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.

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

OMB No 1545-0052

**2013**

Open to Public Inspection

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

Name of foundation
RHODENBAUGH FOUNDATION

**A Employer identification number**
36-4404572

Number and street (or P O box number if mail is not delivered to street address) 5 BEACON DRIVE
Room/suite

B Telephone number
864-944-2630

City or town, state or province, country, and ZIP or foreign postal code
SALEM, SC 29676

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 ▶ ☐

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 839,570.

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) )

| | | (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 | 2,625. | | N/A | |
| | 2 Check ▶ ☒ if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | | | | |
| | 4 Dividends and interest from securities | 21,066. | 21,066. | | STATEMENT 1 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | <29,699.> | | | |
| | b Gross sales price for all assets on line 6a 189,297. | | | | |
| | 7 Capital gain net income (from Part IV line 2) | | 0. | | |
| | 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) | | | | |
| | 11 Other income | | | | |
| | 12 **Total.** Add lines 1 through 11 | <6,008.> | 21,066. | | |
| **Operating and Administrative Expenses** | 13 Compensation of officers, directors, trustees, etc | 0. | 0. | | 0. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees STMT 2 | 218. | 0. | | 218. |
| | b Accounting fees STMT 3 | 2,500. | 1,250. | | 1,250. |
| | c Other professional fees STMT 4 | 1,507. | 1,507. | | 0. |
| | 17 Interest | 13. | 0. | | 0. |
| | 18 Taxes STMT 5 | 1,058. | 47. | | 25. |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses | | | | |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 5,296. | 2,804. | | 1,493. |
| | 25 Contributions, gifts, grants paid | 40,878. | | | 40,878. |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 46,174. | 2,804. | | 42,371. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a Excess of revenue over expenses and disbursements | <52,182.> | | | |
| | b **Net investment income** (if negative, enter -0-) | | 18,262. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | N/A | |

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10-10-13 LHA **For Paperwork Reduction Act Notice, see instructions.**

**Part II** **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only

| | | Beginning of year | End of year | |
|---|---|---|---|---|
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 Cash - non-interest-bearing | 9,237. | 17,382. | 17,382. |
| | 2 Savings and temporary cash investments | | | |
| | 3 Accounts receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 4 Pledges receivable ▶ | | | |
| | Less: allowance for doubtful accounts ▶ | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons | 802. | | |
| | 7 Other notes and loans receivable ▶ | | | |
| | 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 | | | |
| | b Investments - corporate stock | | | |
| | c Investments - corporate bonds | | | |
| | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other STMT 6 | 829,442. | 769,917. | 822,188. |
| | 14 Land, buildings, and equipment: basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 15 Other assets (describe ▶ ) | | | |
| | 16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item 1) | 839,481. | 787,299. | 839,570. |
| 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 | | | |
| | 22 Other liabilities (describe ▶ ) | | | |
| | 23 **Total liabilities** (add lines 17 through 22) | 0. | 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 | 839,481. | 787,299. | |
| | 28 Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | 0. | 0. | |
| | 30 **Total net assets or fund balances** | 839,481. | 787,299. | |
| | 31 **Total liabilities and net assets/fund balances** | 839,481. | 787,299. | |

**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 | 839,481. |
| 2 Enter amount from Part I, line 27a | 2 | <52,182.> |
| 3 Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 Add lines 1, 2, and 3 | 4 | 787,299. |
| 5 Decreases not included in line 2 (itemize) ▶ | 5 | 0. |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 787,299. |

## 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 | | | | |
| b | SEE ATTACHED STATEMENT | | | |
| 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 | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | 189,297. | | 218,996. | <29,699.> |

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | <29,699.> |

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } 2 <29,699.>

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8 } 3 N/A

## 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 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 | 32,786. | 857,232. | .038246 |
| 2011 | 36,657. | 804,264. | .045578 |
| 2010 | 37,546. | 779,313. | .048178 |
| 2009 | 55,382. | 743,760. | .074462 |
| 2008 | 47,190. | 946,645. | .049850 |

| | | | |
|---|---|---|---|
| 2 | Total of line 1, column (d) | 2 | .256314 |
| 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 | .051263 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | 4 | 813,525. |
| 5 | Multiply line 4 by line 3 | 5 | 41,704. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 183. |
| 7 | Add lines 5 and 6 | 7 | 41,887. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 42,371. |

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 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 | 183. |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b). | | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | 2 | 0. |
| 3 | Add lines 1 and 2 | | | 3 | 183. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | 4 | 0. |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | | | 5 | 183. |
| 6 | Credits/Payments: | | | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 | 6a | | | |
| 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 | 0. |
| 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 | 183. |
| 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 | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? | 1b | | X |
| | *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 | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:<br>**(1)** On the foundation. ▶ $ 0. **(2)** On foundation managers. ▶ $ 0. | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0. | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>*If "Yes," attach a detailed description of the activities.* | 2 | | X |
| 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 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>*If "Yes," attach the statement required by General Instruction T* | 5 | | X |
| 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 | X | |
| 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 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶<br>IL | | | |
| 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 | X | |
| 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 | | X |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

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## 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 | | X |
| 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 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ JEFFREY RHODENBAUGH Telephone no. ▶864-944-2630

Located at ▶5 BEACON DRIVE, SALEM, SC ZIP+4 ▶29676

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 N/A

| | | | 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 | | X |
| | See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶ | | | |

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

| | | | Yes | No |
|---|---|---|---|---|
| | **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | | |
| 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 instructions)? N/A | 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 | | X |
| 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<br>If "Yes," list the years ▶ ____, ____, ____, ____ | | | |
| 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.) N/A | 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.<br>▶ ____, ____, ____, ____ | | | |
| 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.)* N/A | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| 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 | | X |

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## 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)? ☐ 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)? N/A | 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? N/A ☐ 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 | | X

*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? N/A | 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.**

| (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 |
|---|---|---|---|---|
| JEFFREY RHODENBAUGH<br>5 BEACON DRIVE<br>SALEM, SC 29676 | PRESIDENT<br>2.00 | 0. | 0. | 0. |
| SHARON RHODENBAUGH<br>5 BEACON DRIVE<br>SALEM, SC 29676 | SECRETARY<br>2.00 | 0. | 0. | 0. |
| CHRISTOPHER RHODENBAUGH<br>5 BEACON DRIVE<br>SALEM, SC 29676 | TREASURER<br>2.00 | 0. | 0. | 0. |
| | | | | |

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

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

Total number of other employees paid over $50,000 ▶ 0

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

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

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| NONE | | |
| | | |
| | | |
| | | |
| | | |

**Total** number of others receiving over $50,000 for professional services ▶ 0

**Part IX-A** Summary of Direct Charitable Activities

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

**Part IX-B** Summary of Program-Related Investments

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments. See instructions.<br>3 | |
| **Total.** Add lines 1 through 3 ▶ | 0. |

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## 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 | 812,604. |
| b | Average of monthly cash balances | 1b | 13,310. |
| c | Fair market value of all other assets | 1c | |
| d | **Total** (add lines 1a, b, and c) | 1d | 825,914. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e: 0. | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0. |
| 3 | Subtract line 2 from line 1d | 3 | 825,914. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 12,389. |
| 5 | **Net value of noncharitable-use assets** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 813,525. |
| 6 | **Minimum investment return** Enter 5% of line 5 | 6 | 40,676. |

## 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 | 40,676. |
| 2a | Tax on investment income for 2013 from Part VI, line 5 — 2a: 183. | | |
| b | Income tax for 2013. (This does not include the tax from Part VI.) — 2b: | | |
| c | Add lines 2a and 2b | 2c | 183. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 40,493. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 40,493. |
| 6 | Deduction from distributable amount (see instructions) | 6 | 0. |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | 7 | 40,493. |

## 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 | 42,371. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 42,371. |
| 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 | 5 | 183. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 42,188. |

**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.

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## Part XIII Undistributed Income (see instructions)

| | | (a)<br>Corpus | (b)<br>Years prior to 2012 | (c)<br>2012 | (d)<br>2013 |
|---|---|---|---|---|---|
| 1 Distributable amount for 2013 from Part XI, line 7 | | | | | 40,493. |
| 2 Undistributed income, if any, as of the end of 2013 | | | | | |
| a Enter amount for 2012 only | | | | 0. | |
| b Total for prior years: _____ , _____ , _____ | | | 0. | | |
| 3 Excess distributions carryover, if any, to 2013: | | | | | |
| a From 2008 | 322. | | | | |
| b From 2009 | 18,396. | | | | |
| c From 2010 | | | | | |
| d From 2011 | | | | | |
| e From 2012 | | | | | |
| f **Total** of lines 3a through e | | 18,718. | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4: ▶ $ | 42,371. | | | | |
| a Applied to 2012, but not more than line 2a | | | | 0. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | | 0. | | | |
| d Applied to 2013 distributable amount | | | | | 40,493. |
| e Remaining amount distributed out of corpus | | 1,878. | | | |
| 5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).) | | 0. | | | 0. |
| 6 **Enter the net total of each column as indicated below:** | | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | | 20,596. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | | 0. | | |
| e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr. | | | | 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) | | 0. | | | |
| 8 Excess distributions carryover from 2008 not applied on line 5 or line 7 | | 322. | | | |
| 9 **Excess distributions carryover to 2014** Subtract lines 7 and 8 from line 6a | | 20,274. | | | |
| 10 Analysis of line 9: | | | | | |
| a Excess from 2009 | 18,396. | | | | |
| b Excess from 2010 | | | | | |
| c Excess from 2011 | | | | | |
| d Excess from 2012 | | | | | |
| e Excess from 2013 | 1,878. | | | | |

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

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

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

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | (a) 2013 | (b) 2012 | (c) 2011 | (d) 2010 | (e) Total |
| 2 a 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: a "Assets" alternative test - enter: (1) Value of all assets | | | | | |
| (2) Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed | | | | | |
| c "Support" alternative test - enter: (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) | | | | | |
| (3) Largest amount of support from an exempt organization | | | | | |
| (4) Gross investment income | | | | | |

## Part XV Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year-see instructions.)

1 **Information Regarding Foundation Managers:**

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

JEFFREY RHODENBAUGH

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 or e-mail address of the person to whom applications should be addressed:

JEFFREY RHODENBAUGH, 864-944-2630
5 BEACON DRIVE, SALEM, SC 29676

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

LETTER

c Any submission deadlines:

NONE

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

NONE

**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* | | | | |
| BIRTH RIGHT | | PUBLIC CHARITY | GENERAL SUPPORT | 100. |
| CAMPONILE FOUNDATION SDSU | | PUBLIC CHARITY | GENERAL SUPPORT | 400. |
| CLEMSON UNIVERSITY TGGF | | PUBLIC CHARITY | GENERAL SUPPORT | 2,650. |
| COLLINS HOME AND FAMILY MINISTRIES<br>PO BOX 745<br>SENECA, SC 29679 | | PUBLIC CHARITY | GENERAL SUPPORT | 500. |
| COMMUNITIES FOR MARINES | | PUBLIC CHARITY | GENERAL SUPPORT | 250. |
| Total SEE CONTINUATION SHEET(S) | | | ▶ 3a | 40,878. |
| b *Approved for future payment*<br>NONE | | | | |
| | | | | |
| | | | | |
| Total | | | ▶ 3b | 0. |

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## 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 |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | | | |
| 4 Dividends and interest from securities | | | 14 | 21,066. | |
| 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 | <29,699.> | |
| 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) | | 0. | | <8,633.> | 0. |

13 Total Add line 12, columns (b), (d), and (e) 13 <8,633.>

(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). |
|---|---|
| | N/A |

## 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) | | X |
| | (2) Other assets | 1a(2) | | X |
| b | Other transactions: | | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| | (4) Reimbursement arrangements | 1b(4) | | X |
| | (5) Loans or loan guarantees | 1b(5) | | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |

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 |
|---|---|---|---|
| | | N/A | |
| | | | |
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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 |
|---|---|---|
| N/A | | |
| | | |
| | | |
| | | |
| | | |

**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) is based on all information of which preparer has any knowledge

| Signature of officer or trustee | Date | Title |
|---|---|---|
| | 5-9-2014 | PRESIDENT |

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 |
|---|---|---|---|---|
| DANIEL M. WEITZMAN | D Weitzman | 5/8/14 | | P00099932 |

Firm's name ▶ DANIEL M. WEITZMAN, CPA, LLC

Firm's EIN ▶ 26-4078343

Firm's address ▶ 2700 PATRIOT BOULEVARD-SUITE 400
GLENVIEW, IL 60026

Phone no. 847-904-5188

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RHODENBAUGH FOUNDATION

CONTINUATION FOR 990-PF, PART IV
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**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 | FIDELITY - SEE ATTACHED | P | VARIOUS | VARIOUS |
| b | FIDELITY - SEE ATTACHED | P | VARIOUS | VARIOUS |
| c | FIDELITY - SEE ATTACHED | P | VARIOUS | 08/14/13 |
| d | FIDELITY - SEE ATTACHED | P | VARIOUS | VARIOUS |
| e | TELLABS INC | P | 03/09/01 | 12/31/13 |
| f | CAPITAL GAINS DIVIDENDS | | | |
| g | | | | |
| h | | | | |
| i | | | | |
| j | | | | |
| k | | | | |
| l | | | | |
| m | | | | |
| n | | | | |
| o | | | | |

| | (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 | 103,291. | | 101,813. | 1,478. |
| b | 32,007. | | 23,632. | 8,375. |
| c | 869. | | 876. | <7.> |
| d | 45,111. | | 45,170. | <59.> |
| e | 2,450. | | 47,505. | <45,055.> |
| f | 5,569. | | | 5,569. |
| g | | | | |
| h | | | | |
| i | | | | |
| j | | | | |
| k | | | | |
| l | | | | |
| m | | | | |
| n | | | | |
| o | | | | |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (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 | | | | 1,478. |
| b | | | | 8,375. |
| c | | | | <7.> |
| d | | | | <59.> |
| e | | | | <45,055.> |
| f | | | | 5,569. |
| g | | | | |
| h | | | | |
| i | | | | |
| j | | | | |
| k | | | | |
| l | | | | |
| m | | | | |
| n | | | | |
| o | | | | |

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 } | 2 | <29,699.> |
| 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).<br>If (loss), enter "-0-" in Part I, line 8 | 3 | N/A |

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**Part XV** **Supplementary Information**

3 Grants and Contributions Paid During the Year (Continuation)

| 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 |
|---|---|---|---|---|
| FURMAN UNIVERSITY | | PUBLIC CHARITY | GENERAL SUPPORT | 250. |
| GREENVILLE ZOO | | PUBLIC CHARITY | GENERAL SUPPORT | 250. |
| HARRY HAMPTON WILD LIFE | | PUBLIC CHARITY | GENERAL SUPPORT | 1,000. |
| HARTFORD LIFE FBO RONALD MCDONALD HOUSE<br>706 GROVE ROAD<br>GREENVILLE, SC 29605 | | PUBLIC CHARITY | GENERAL SUPPORT | 20,003. |
| HOPE FOR THE FUTURE | | PUBLIC CHARITY | GENERAL SUPPORT | 100. |
| JDRF | | PUBLIC CHARITY | GENERAL SUPPORT | 100. |
| KNIGHTS OF COLUMBUS<br>762 MAULDIN RD.<br>GREENVILLE, SC 29607 | | PUBLIC CHARITY | GENERAL SUPPORT | 175. |
| MARCH OF DIMES<br>1275 MAMARONECK AVENUE<br>WHITE PLAINS, NY 10605 | | PUBLIC CHARITY | GENERAL SUPPORT | 50. |
| MIRACLE HILL MINISTRIES<br>PO BOX 2546<br>GREENVILLE, SC 29602 | | PUBLIC CHARITY | GENERAL SUPPORT | 600. |
| MULTIPLE SCLEROSIS | | PUBLIC CHARITY | GENERAL SUPPORT | 200. |
| Total from continuation sheets | | | | 36,978. |

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**Part XV Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

| 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 |
|---|---|---|---|---|
| NCGA FOUNDATION | | PUBLIC CHARITY | GENERAL SUPPORT | 250. |
| OCCONEE COUNTY MEDICAL CENTER | | PUBLIC CHARITY | GENERAL SUPPORT | 4,475. |
| PALMETTO MEDICAL | | PUBLIC CHARITY | GENERAL SUPPORT | 500. |
| PEACE CENTER FOR THE PERFORMING ARTS<br>101 W. BROAD ST.<br>GREENVILLE, SC 29601 | | PUBLIC CHARITY | GENERAL SUPPORT | 1,500. |
| PROJECT HOPE | | PUBLIC CHARITY | GENERAL SUPPORT | 260. |
| SALVATION ARMY<br>311 S JOHN ST.<br>WALHALLA, SC 29691 | | PUBLIC CHARITY | GENERAL SUPPORT | 2,345. |
| SHIVAS IRONS SOCIETY<br>PO BOX 222339<br>CARMEL, CA 93992 | | PUBLIC CHARITY | GENERAL SUPPORT | 150. |
| ST. ANDREW'S<br>200 EDGEWOOD DRIVE<br>CLEMSON, SC 29631 | | PUBLIC CHARITY | GENERAL SUPPORT | 240. |
| ST. ANTHONY'S<br>307 GOWER STREET<br>GREENVILLE, SC 29611 | | PUBLIC CHARITY | GENERAL SUPPORT | 130. |
| ST. MARY MAGDELEN CATHOLIC SCHOOL | | PUBLIC CHARITY | GENERAL SUPPORT | 1,000. |
| **Total from continuation sheets** | | | | |

**Part XV** **Supplementary Information**

3 Grants and Contributions Paid During the Year (Continuation)

| 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 |
|---|---|---|---|---|
| ST. PAUL THE APOSTLE<br>161 NORTH DEAN ST.<br>SPARTANBURG, SC 29302 | | PUBLIC CHARITY | GENERAL SUPPORT | 50. |
| TAMASSEE DAR SCHOOL<br>PO BOX 8<br>TAMASEE, SC 28986 | | PUBLIC CHARITY | GENERAL SUPPORT | 240. |
| THE HOPE PROGRAM<br>1122 LADY ST. STE 300<br>COLUMBIA, SC 29201 | | PUBLIC CHARITY | GENERAL SUPPORT | 260. |
| UNITED WAY | | PUBLIC CHARITY | GENERAL SUPPORT | 500. |
| UNIV OF NOTRE DAME -WILLIAM CORBY SOCIETY<br>1100 GRACE HALL<br>NOTRE DAME, IN 46556 | | PUBLIC CHARITY | GENERAL SUPPORT | 500. |
| VAGABOND SCHOOL OF DRAMA | | PUBLIC CHARITY | GENERAL SUPPORT | 250. |
| VISTAS HOSPICE | | PUBLIC CHARITY | GENERAL SUPPORT | 100. |
| WOUNDED WARRIOR PROJECT<br>PO BOX 78517<br>TOPEKA, KS 66675 | | PUBLIC CHARITY | GENERAL SUPPORT | 500. |
| YOUNG AMERICA'S REAGAN RANCH | | PUBLIC CHARITY | GENERAL SUPPORT | 1,000. |
| | | | | |
| Total from continuation sheets | | | | |

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## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | (A) REVENUE PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME |
|---|---|---|---|---|---|
| FIDELITY #437204 | 1,677. | 0. | 1,677. | 1,677. | |
| FIDELITY #80139 | 10,825. | 51. | 10,774. | 10,774. | |
| FIDELITY #80139 | 1,713. | 0. | 1,713. | 1,713. | |
| WELLS FARGO | 12,420. | 5,518. | 6,902. | 6,902. | |
| TO PART I, LINE 4 | 26,635. | 5,569. | 21,066. | 21,066. | |

## FORM 990-PF LEGAL FEES STATEMENT 2

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| LEGAL | 218. | 0. | | 218. |
| TO FM 990-PF, PG 1, LN 16A | 218. | 0. | | 218. |

## FORM 990-PF ACCOUNTING FEES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| ACCOUNTING | 2,500. | 1,250. | | 1,250. |
| TO FORM 990-PF, PG 1, LN 16B | 2,500. | 1,250. | | 1,250. |

| FORM 990-PF | OTHER PROFESSIONAL FEES | STATEMENT 4 |
|---|---|---|

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| INVESTMENT MANAGEMENT FEES | 1,507. | 1,507. | | 0. |
| TO FORM 990-PF, PG 1, LN 16C | 1,507. | 1,507. | | 0. |

| FORM 990-PF | TAXES | STATEMENT 5 |
|---|---|---|

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| STATE TAXES AND FEES | 25. | 0. | | 25. |
| FOREIGN TAX | 47. | 47. | | 0. |
| EXCISE TAXES | 853. | 0. | | 0. |
| PENALTIES | 133. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 1,058. | 47. | | 25. |

| FORM 990-PF | OTHER INVESTMENTS | STATEMENT 6 |
|---|---|---|

| DESCRIPTION | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|
| EQUITIES | COST | 162,358. | 212,395. |
| MUTUAL FUNDS | COST | 607,559. | 609,793. |
| TOTAL TO FORM 990-PF, PART II, LINE 13 | | 769,917. | 822,188. |

# 2013 Proceeds from Broker and Barter Exchange Transactions*

## Short-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

**8** Description, **1d** Stock or Other Symbol, CUSIP

| Action | **1a** Date of Sale or Exchange | **1b** Date of Acquisition | **1e** Quantity Sold | **2a** Sales Price of Stocks, Bonds, etc (b) | **3** Cost or Other Basis (a) | Gain/Loss (-) | **5** Wash Sale Loss Disallowed | **4 Federal Income Tax Withheld** | **13** State | **15** State Ta Withhelc |
|---|---|---|---|---|---|---|---|---|---|---|
| ISHARES TR DOW JONES U S ENERGY SECTOR I, IYE, 464287796 | | | | | | | | | | |
| Sale | 01/28/13 | 12/31/12 | 43 000 | 1,892 38 | 1,741 57 | 150 81 | | | | |
| ISHARES TR DOW JONES U S INDL SECTOR IND, IYJ, 464287754 | | | | | | | | | | |
| Sale | 01/28/13 | 12/10/12 | 20 000 | 1,564 17 | 1,455 80 | 108 37 | | | | |
| ISHARES TR DOW JONES U S UTILS SECTOR IN, IDU, 464287697 | | | | | | | | | | |
| Sale | 01/28/13 | 12/17/12 | 12 000 | 1,076 08 | 1,055 82 | 20 26 | | | | |
| ISHARES U S CONSUMER SERVICES ETF, IYC 464287580 | | | | | | | | | | |
| Sale | 07/22/13 | 07/01/13 | 5 000 | 542 20 | 517 35 | 24 85 | | | | |
| Sale | 09/23/13 | 08/26/13 | 2 000 | 220 70 | 212 78 | 7 92 | | | | |
| Sale | 09/23/13 | 09/16/13 | 21 000 | 2 317 35 | 2,306 25 | 11 10 | | | | |
| **Subtotals** | | | | **3.080.25** | **3.036.38** | | | | | |
| ISHARES U S ENERGY ETF, IYE, 464287796 | | | | | | | | | | |
| Sale | 07/15/13 | 07/01/13 | 49 000 | 2 285 47 | 2,211 08 | 74 39 | | | | |
| Sale | 07/22/13 | 07/01/13 | 38 000 | 1,809 33 | 1 714 71 | 94 62 | | | | |
| Sale | 09/23/13 | 08/26/13 | 5 000 | 238 10 | 231 95 | 6 15 | | | | |
| Sale | 09/23/13 | 09/16/13 | 42 000 | 2,000 03 | 1,999 24 | 0 79 | | | | |
| **Subtotals** | | | | **6.332.93** | **6,156.98** | | | | | |
| ISHARES U S HEALTHCARE ETF, IYH, 464287762 | | | | | | | | | | |
| Sale | 09/23/13 | 09/16/13 | 21 000 | 2,275 01 | 2,287 25 | -12 24 | 12 24 | | | |

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# 2013 Proceeds from Broker and Barter Exchange Transactions*

## Short-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

**8** Description **1d** Stock or Other Symbol, CUSIP

| Action | **1a** Date of Sale or Exchange | **1b** Date of Acquisition | **1e** Quantity Sold | **2a** Sales Price of Stocks, Bonds, etc (b) | **3** Cost or Other Basis (a) | Gain/Loss (-) | **5** Wash Sale Loss Disallowed | **4 Federal Income Tax Withheld** | **13** State | **15** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| ISHARES U S INDUSTRIALS ETF, IYJ, 464287754 | | | | | | | | | | |
| Sale | 07/15/13 | 07/01/13 | 27 000 | 2,349 50 | 2,270 76 | 78 74 | | | | |
| Sale | 07/22/13 | 12/10/12 | 2 000 | 176 77 | 145 58 | 31 19 | | | | |
| Sale | 07/22/13 | 07/01/13 | 18 000 | 1,590 92 | 1,513 84 | 77 08 | | | | |
| Sale | 09/23/13 | 08/26/13 | 3 000 | 274 28 | 265 17 | 9 11 | | | | |
| Sale | 09/23/13 | 09/16/13 | 24 000 | 2,194 26 | 2,188 18 | 6 08 | | | | |
| **Subtotals** | | | | **6,585.73** | **6,383.53** | | | | | |
| ISHARES US TECHNOLOGY ETF, IYW 464287721 | | | | | | | | | | |
| Sale | 07/15/13 | 07/01/13 | 30 000 | 2,324 73 | 2,233 05 | 91 68 | | | | |
| Sale | 07/22/13 | 07/01/13 | 26 000 | 1,981 95 | 1 935 32 | 46 63 | | | | |
| Sale | 09/23/13 | 08/26/13 | 19 000 | 1,515 81 | 1,498 53 | 17 28 | | | | |
| Sale | 09/23/13 | 09/16/13 | 10 000 | 797 79 | 785 20 | 12 59 | | | | |
| **Subtotals** | | | | **6,620.28** | **6,452.10** | | | | | |
| ISHARES US UTILITIESETF, IDU, 464287697 | | | | | | | | | | |
| Sale | 07/01/13 | 12/17/12 | 148 000 | 13 810 24 | 13 021 80 | 788 44 | | | | |
| Sale | 07/22/13 | 07/15/13 | 21 000 | 2,077 04 | 2 064 32 | 12 72 | | | | |
| Sale | 09/16/13 | 07/15/13 | 23 000 | 2,147 75 | 2,260 92 | -113 17 | 113 17 | | | |
| Sale | 09/16/13 | 07/15/13 | 125 000 | 11,672 54 | 12,287 59 | -615 05 | 615 05 | | | |
| Sale | 09/16/13 | 07/15/13 | 23 000 | 2,147 75 | 2,279 77 | -132 02 | 132 02 | | | |
| Sale | 10/14/13 | 07/22/13 | 148 000 | 14 009 21 | 14,995 56 | -986 35 | | | | |
| Sale | 10/14/13 | 09/23/13 | 26 000 | 2,461 07 | 2,503 12 | -42 05 | | | | |
| **Subtotals** | | | | **48,325.60** | **49,413.08** | | **860.24** | | | |

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# 2013 Proceeds from Broker and Barter Exchange Transactions*

## Short-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

**8** Description, **1d** Stock or Other Symbol, CUSIP

| Action | **1a** Date of Sale or Exchange | **1b** Date of Acquisition | **1e** Quantity Sold | **2a** Sales Price of Stocks, Bonds, etc (b) | **3** Cost or Other Basis (a) | Gain/Loss (-) | **5** Wash Sale Loss Disallowed | **4 Federal Income Tax Withheld** | **13** State | **15** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| SECTOR SPDR TR SHS BEN INT CONSUMER STAP, XLP, 81369Y308 | | | | | | | | | | |
| Sale | 08/26/13 | 10/31/12 | 55 000 | 2,195 07 | 1,945 24 | 249 83 | | | | |
| Sale | 08/26/13 | 10/31/12 | 72 000 | 2,873 55 | 2,546 50 | 327 05 | | | | |
| Sale | 08/26/13 | 11/19/12 | 87 000 | 3,472 21 | 3,030 16 | 442 05 | | | | |
| Sale | 08/26/13 | 07/01/13 | 18 000 | 718 38 | 721 17 | -2 79 | | | | |
| Sale | 08/26/13 | 07/01/13 | 69 000 | 2 753 81 | 2,764 48 | -10 67 | | | | |
| **Subtotals** | | | | **12,013.02** | **11.007.55** | | | | | |
| SECTOR SPDR TR SHS BEN INT FINANCIAL, XLF, 81369Y605 | | | | | | | | | | |
| Sale | 01/28/13 | 07/12/12 | 34 000 | 592 29 | 488 46 | 103 83 | | | | |
| Sale | 01/28/13 | 11/19/12 | 53 000 | 923 28 | 822 45 | 100 83 | | | | |
| Sale | 09/23/13 | 09/16/13 | 116 000 | 2,337 93 | 2,366 98 | -29 05 | 29 05 | | | |
| **Subtotals** | | | | **3.853.50** | **3,677.89** | | **29.05** | | | |
| SELECT SECTOR SPDR TR HEALTH CARE FORMER, XLV, 81369Y209 | | | | | | | | | | |
| Sale | 07/01/13 | 11/19/12 | 32 000 | 1,534 13 | 1,255 99 | 278 14 | | | | |
| SELECT SECTOR SPDR TR SHS BEN INT MATERI, XLB, 81369Y100 | | | | | | | | | | |
| Sale | 01/28/13 | 12/24/12 | 43 000 | 1,691 37 | 1,589 79 | 101 58 | | | | |
| Sale | 07/15/13 | 07/01/13 | 54 000 | 2,168 18 | 2,093 41 | 74 77 | | | | |
| Sale | 07/22/13 | 07/01/13 | 45 000 | 1,823 85 | 1,744 51 | 79 34 | | | | |
| Sale | 09/23/13 | 08/26/13 | 9 000 | 380 93 | 372 05 | 8 88 | | | | |
| Sale | 09/23/13 | 09/16/13 | 49 000 | 2,073 93 | 2,089 58 | -15 65 | 15 65 | | | |
| **Subtotals** | | | | **8.138.26** | **7,889.34** | | **15.65** | | | |

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# 2013 Proceeds from Broker and Barter Exchange Transactions*

## Short-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

**8** Description, **1d** Stock or Other Symbol, CUSIP

| Action | **1a** Date of Sale or Exchange | **1b** Date of Acquisition | **1e** Quantity Sold | **2a** Sales Price of Stocks, Bonds, etc (b) | **3** Cost or Other Basis (a) | Gain/Loss (-) | **5** Wash Sale Loss Disallowed | **4 Federal Income Tax Withheld** | **13** State | **15** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| TOTALS | | | | 103,291.34 | 101,813.28 | | | 0.00 | | |
| | | **Short-Term Realized Gain** | | | | **3,437.10** | | | | |
| | | **Short-Term Realized Loss** | | | | **-1,959.04** | | | | |
| | | **Wash Sale Loss Disallowed** | | | | | **917.18** | | | |

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# 2013 Proceeds from Broker and Barter Exchange Transactions*

## Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

**8** Description, **1d** Stock or Other Symbol, CUSIP

| Action | **1a** Date of Sale or Exchange | **1b** Date of Acquisition | **1e** Quantity Sold | **2a** Sales Price of Stocks, Bonds, etc (b) | **3** Cost or Other Basis (a) | Gain/Loss (-) | **5** Wash Sale Loss Disallowed | **4** Federal Income Tax Withheld | **13** State | **15** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| ISHARES TR DOW JONESU S CONSUMER SERVICE, IYC, 464287580 | | | | | | | | | | |
| Sale | 01/28/13 | 12/12/11 | 17 000 | 1,577 51 | 1,208 66 | 368 85 | | | | |
| Sale | 07/15/13 | 12/12/11 | 24 000 | 2,601 80 | 1,706 35 | 895 45 | | | | |
| Sale | 07/22/13 | 12/12/11 | 1 000 | 108 43 | 71 10 | 37 33 | | | | |
| Sale | 07/22/13 | 12/12/11 | 11 000 | 1,192 85 | 782 07 | 410 78 | | | | |
| **Subtotals** | | | | **5,480.59** | **3,768.18** | | | | | |
| SECTOR SPDR TR SHS BEN INT CONSUMER STAP, XLP, 81369Y308 | | | | | | | | | | |
| Sale | 01/28/13 | 10/31/11 | 36 000 | 1,323 51 | 1 128 78 | 194 73 | | | | |
| Sale | 07/15/13 | 10/31/11 | 53 000 | 2,196 82 | 1,661 82 | 535 00 | | | | |
| Sale | 07/22/13 | 10/31/11 | 44 000 | 1,834 06 | 1,379 63 | 454 43 | | | | |
| Sale | 08/26/13 | 10/31/11 | 18 000 | 718 39 | 564 39 | 154 00 | | | | |
| Sale | 08/26/13 | 10/31/11 | 32 000 | 1,277 13 | 1,003 37 | 273 76 | | | | |
| **Subtotals** | | | | **7,349.91** | **5.737.99** | | | | | |
| SECTOR SPDR TR SHS BEN INT FINANCIAL, XLF, 81369Y605 | | | | | | | | | | |
| Sale | 07/15/13 | 07/12/12 | 117 000 | 2,390 31 | 1,680 87 | 709 44 | | | | |
| Sale | 07/22/13 | 07/12/12 | 34 000 | 708 64 | 488 46 | 220 18 | | | | |
| Sale | 07/22/13 | 07/12/12 | 60 000 | 1,250 54 | 861 98 | 388 56 | | | | |
| **Subtotals** | | | | **4,349.49** | **3,031.31** | | | | | |
| SELECT SECTOR SPDR TR HEALTH CARE FORMER XLV 81369Y209 | | | | | | | | | | |
| Sale | 01/28/13 | 01/03/12 | 53 000 | 2,266 54 | 1,866 71 | 399 83 | | | | |
| Sale | 07/01/13 | 01/03/12 | 65 000 | 3,116 19 | 2,289 36 | 826 83 | | | | |

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# 2013 Proceeds from Broker and Barter Exchange Transactions*

## ong-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

**8** Description, **1d** Stock or Other Symbol, CUSIP

| Action | **1a** Date of Sale or Exchange | **1b** Date of Acquisition | **1e** Quantity Sold | **2a** Sales Price of Stocks, Bonds, etc (b) | **3** Cost or Other Basis (a) | Gain/Loss (-) | **5** Wash Sale Loss Disallowed | **4 Federal Income Tax Withheld** | **13** State | **15** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| SELECT SECTOR SPDR TR HEALTH CARE FORMER, XLV 81369Y209 | | | | | | | | | | |
| Sale | 07/01/13 | 01/03/12 | 77 000 | 3,691 49 | 2,712 01 | 979 48 | | | | |
| Sale | 07/01/13 | 01/03/12 | 120 000 | 5,752 98 | 4,226 50 | 1,526 48 | | | | |
| **Subtotals** | | | | **14,827.20** | **11,094.58** | | | | | |
| **TOTALS** | | | | **32,007.19** | **23,632.06** | | | **0.00** | | |
| | **Long-Term Realized Gain** | | | | | **8,375.13** | | | | |
| | **Long-Term Realized Loss** | | | | | **0.00** | | | | |
| | **Wash Sale Loss Disallowed** | | | | | | **0.00** | | | |

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a) Cost or other basis provided may include adjustments including, but not limited to, dividend reinvestment, return of capital/principal, wash sale loss disallowed amortization, accretion, acquisition premium, bond premium, market discount, market premium, and option premium

b) Gross proceeds less commissions

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# 2013 Proceeds from Broker and Barter Exchange Transactions*

## Short-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

**8** Description, **1d** Stock or Other Symbol, CUSIP

| Action | **1a** Date of Sale or Exchange | **1b** Date of Acquisition | **1e** Quantity Sold | **2a** Sales Price of Stocks, Bonds, etc (b) | **3** Cost or Other Basis (a) | Gain/Loss (-) | **5** Wash Sale Loss Disallowed | **4 Federal Income Tax Withheld** | **13** State | **15** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| JPMORGAN SHORT DURATION BOND SELECT, HLLVX, 4812C1330 | | | | | | | | | | |
| Sale | 08/14/13 | 10/01/12 | 6 801 | 74 06 | 74 95 | -0 89 | | | | |
| Sale | 08/14/13 | 11/01/12 | 8 327 | 90 68 | 91 68 | -1 00 | | | | |
| Sale | 08/14/13 | 12/03/12 | 6 820 | 74 27 | 75 09 | -0 82 | | | | |
| Sale | 08/14/13 | 12/14/12 | 0 516 | 5 62 | 5 68 | -0 06 | | | | |
| Sale | 08/14/13 | 12/14/12 | 1 534 | 16 70 | 16 87 | -0 17 | | | | |
| Sale | 08/14/13 | 01/02/13 | 9 880 | 107 59 | 108 58 | -0 99 | | | | |
| Sale | 08/14/13 | 02/01/13 | 6 854 | 74 64 | 75 26 | -0 62 | | | | |
| Sale | 08/14/13 | 03/01/13 | 6 860 | 74 70 | 75 32 | -0 62 | | | | |
| Sale | 08/14/13 | 04/01/13 | 7 628 | 83 07 | 83 76 | -0 69 | | | | |
| Sale | 08/14/13 | 05/01/13 | 6 108 | 66 51 | 67 07 | -0 56 | | | | |
| Sale | 08/14/13 | 05/31/13 | 6 135 | 66 81 | 67 12 | -0 31 | | | | |
| Sale | 08/14/13 | 06/28/13 | 6 161 | 67 09 | 67 16 | -0 07 | | | | |
| Sale | 08/14/13 | 07/31/13 | 6 160 | 67 08 | 67 21 | -0 13 | | | | |
| **Subtotals** | | | | **868.82** | **875.75** | | | | | |
| **TOTALS** | | | | **868.82** | **875.75** | | | **0.00** | | |
| | | **Short-Term Realized Gain** | | | | **0.00** | | | | |
| | | **Short-Term Realized Loss** | | | | **-6.93** | | | | |
| | | **Wash Sale Loss Disallowed** | | | | | **0.00** | | | |

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# 2013 Proceeds from Broker and Barter Exchange Transactions*

## Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

**8** Description, **1d** Stock or Other Symbol, CUSIP

| Action | **1a** Date of Sale or Exchange | **1b** Date of Acquisition | **1e** Quantity Sold | **2a** Sales Price of Stocks, Bonds, etc (b) | **3** Cost or Other Basis (a) | Gain/Loss (-) | **5** Wash Sale Loss Disallowed | **4 Federal Income Tax Withheld** | **13** State | **15** Stat Ta Withhel |
|---|---|---|---|---|---|---|---|---|---|---|
| DOW CHEM CO DEB 6 85000% 08/15/2013, 260543BF9 | | | | | | | | | | |
| Redemption | 08/15/13 | 03/04/03 | 25,000 000 | 25,000 00 | 25,000 00 | 0 00 | | | | |
| JPMORGAN SHORT DURATION BOND SELECT, HLLVX, 4812C1330 | | | | | | | | | | |
| Sale | 08/14/13 | 11/23/09 | 1,838 517 | 20,020 74 | 20,078 31 | -57 57 | 0 13 | | | |
| Sale | 08/14/13 | 04/20/11 | 8 305 | 90 44 | 91 56 | -1 12 | | | | |
| **Subtotals** | | | | **20,111.18** | **20,169.87** | | **0.13** | | | |
| **TOTALS** | | | | **45,111.18** | **45,169.87** | | | **0.00** | | |
| | | **Long-Term Realized Gain** | | | | **0.00** | | | | |
| | | **Long-Term Realized Loss** | | | | **-58.69** | | | | |
| | | **Wash Sale Loss Disallowed** | | | | | **0.13** | | | |

(a) Cost or other basis provided may include adjustments including, but not limited to, dividend reinvestment, return of capital/principal, wash sale loss disallowed, amortization accretion, acquisition premium, bond premium, market discount, market premium, and option premium

(b) Gross proceeds less commissions

See the supplemental gain/loss sections of this statement for options, foreign currency transactions, and closed short positions opened prior to 2011 Also refer to the gain/loss sections to see details on adjustments made to cost basis for fixed income securities and for the local currency values for internationally denominated equities and fixed income securities

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## Additional information

| | THIS PERIOD | THIS YEAR |
|---|---|---|
| Gross proceeds | 2,450.00 | 2,450 00 |

# Portfolio detail

## Cash and Sweep Balances

Sweep Balances - You have the right, in the course of normal business operations, to withdraw balances in the Bank Deposit Sweep or redeem shares of the money market mutual fund used in the sweep, subject to any open commitments in any of your accounts and have the proceeds returned to your accounts or remitted to you. Note, however, that as required by federal banking regulations, the banks in the Bank Deposit Sweep reserve the right to require seven days prior notice before permitting a transfer out of the Bank Deposit Sweep In addition, the money market mutual funds in the sweep reserve the right to require one or more day's prior notice before permitting withdrawals

Bank Deposit Sweep - Consists of monies held at Wells Fargo Bank, N A and (if amounts exceed $250,000) at one or more other Wells Fargo affiliated banks These assets are not covered by SIPC, but are instead eligible for FDIC insurance of up to $250,000 per depositor, per institution, in accordance with FDIC rules. For additional information on the Bank Deposit Sweep for your account, please contact Your Financial Advisor.

| DESCRIPTION | % OF ACCOUNT | ANNUAL PERCENTAGE YIELD EARNED* | CURRENT MARKET VALUE | ESTIMATED ANNUAL INCOME |
|---|---|---|---|---|
| Cash | 0.29 | 0.00 | 2,450.00 | 0 00 |
| BANK DEPOSIT SWEEP | 2 04 | 0 01 | 17,181 94 | 1.71 |
| Interest Period 12/01/13 - 12/31/13 | | | | |
| **Total Cash and Sweep Balances** | **2.33** | | **$19,631.94** | **$1.71** |

* APYE measures the total amount of the interest paid on an account based on the interest rate and the frequency of the compounding during the interest period The annual percentage yield earned is expressed as an annualized rate, based on a 365 day year

## Stocks, options & ETFs

### Stocks and ETFs

| | | | | | | | | ESTIMATED | |
|---|---|---|---|---|---|---|---|---|---|
| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ANNUAL INCOME | ANNUAL YIELD (%) |
| FACEBOOK INC<br>CLASS A<br>FB<br>Acquired 05/30/12 L nc | 3 25 | 500 | 28 00 | 14,007.95 | 54 6490 | 27,324 50 | 13,316 55 | N/A | N/A |
| FINANCIAL SELECT ET<br>SECTOR SPDR<br>XLF<br>On Reinvestment<br>Acquired 07/12/12 L nc | | 549 | 14 36 | 7,887 15 | | 12,001 13 | 4,113 98 | | |

## Stocks, options & ETFs

### Stocks and ETFs continued

| | | | | | | | | ESTIMATED | |
|---|---|---|---|---|---|---|---|---|---|
| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ANNUAL INCOME | ANNUAL YIELD (%) |
| Acquired 07/01/13 S nc | | 162 | 19.63 | 3,180.87 | | 3,541 32 | 360.45 | | |
| Acquired 08/26/13 S nc | | 95 | 20 07 | 1,931.26 | | 2,076 70 | 145.44 | | |
| Acquired 09/16/13 S nc | | 6 | 20 40 | 122.43 | | 131 16 | 8.73 | | |
| Acquired 10/07/13 S nc | | 21 | 20.35 | 432 77 | | 459.06 | 26.29 | | |
| Acquired 10/14/13 S nc | | 106 | 20 35 | 2,157.93 | | 2,317 16 | 159 23 | | |
| Reinvestments S | | 4.35600 | 21.80 | 94 98 | | 95 23 | 0 25 | | |
| **Total** | **2.45** | **943.35600** | | **$15,807.39** | **21.8600** | **$20,621.76** | **$4,814.37** | **$302.81** | **1.47** |
| ISHARES ET | | | | | | | | | |
| U S CONSUMER SERVICES | | | | | | | | | |
| IYC | | | | | | | | | |
| On Reinvestment | | | | | | | | | |
| Acquired 10/31/12 L nc | | 71 | 85 23 | 6,051 52 | | 8,618 70 | 2,567 18 | | |
| Acquired 11/19/12 L nc | | 36 | 84.35 | 3,039 98 | | 4,370 04 | 1,330 06 | | |
| Acquired 07/01/13 S nc | | 27 | 103 46 | 2,793.66 | | 3,277 53 | 483.87 | | |
| Acquired 08/26/13 S nc | | 16 | 106 39 | 1,702 24 | | 1,942 24 | 240.00 | | |
| Acquired 10/14/13 S nc | | 22 | 111 13 | 2,444 94 | | 2,670 58 | 225 64 | | |
| Reinvestments S | | 0 46000 | 121 95 | 56 10 | | 55 84 | -0.26 | | |
| **Total** | **2.49** | **172.46000** | | **$16,088.44** | **121.3901** | **$20,934.93** | **$4,846.49** | **$164.87** | **0.79** |
| ISHARES ET | | | | | | | | | |
| U.S ENERGY | | | | | | | | | |
| IYE | | | | | | | | | |
| On Reinvestment | | | | | | | | | |
| Acquired 12/31/12 S nc | | 300 | 40 50 | 12,150 49 | | 15,146 99 | 2,996.50 | | |
| Acquired 07/01/13 S nc | | 12 | 45 12 | 541 49 | | 605 88 | 64 39 | | |
| Acquired 08/26/13 S nc | | 35 | 46 38 | 1,623 65 | | 1,767 15 | 143 50 | | |
| Acquired 10/14/13 S nc | | 50 | 48 09 | 2,404 81 | | 2,524.50 | 119.69 | | |
| Reinvestments S | | 1 51700 | 50 49 | 76.60 | | 76 60 | 0 00 | | |
| **Total** | **2.39** | **398.51700** | | **$16,797.04** | **50.4900** | **$20,121.12** | **$3,324.08** | **$309.24** | **1.54** |
| ISHARES ET | | | | | | | | | |
| U S. INDUSTRIALS | | | | | | | | | |
| IYJ | | | | | | | | | |
| On Reinvestment | | | | | | | | | |
| Acquired 12/10/12 L nc | | 168 | 72.79 | 12,228 72 | | 17,031 83 | 4,803 11 | | |
| Acquired 08/26/13 S nc | | 13 | 88 39 | 1,149.07 | | 1,317 94 | 168.87 | | |
| Acquired 10/14/13 S nc | | 27 | 91 45 | 2,469 15 | | 2,737.26 | 268.11 | | |
| Reinvestments S | | 0 73100 | 100 98 | 73.82 | | 74 11 | 0.29 | | |
| **Total** | **2.51** | **208.73100** | | **$15,920.76** | **101.3800** | **$21,161.14** | **$5,240.38** | **$241.91** | **1.14** |

RHODENBAUGH FOUNDATION

DECEMBER 1 - DECEMBER 31, 2013
ACCOUNT NUMBER 1193-8902

# Stocks, options & ETFs

## Stocks and ETFs continued

| | | | | | | | | ESTIMATED | |
|---|---|---|---|---|---|---|---|---|---|
| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ANNUAL INCOME | ANNUAL YIELD (%) |
| ISHARES ET | | | | | | | | | |
| U S TECHNOLOGY | | | | | | | | | |
| IYW | | | | | | | | | |
| On Reinvestment | | | | | | | | | |
| Acquired 01/28/13 S nc | | 183 | 72 04 | 13,185 13 | | 16,184 51 | 2,999 38 | | |
| Acquired 07/01/13 S nc | | 4 | 74.43 | 297 74 | | 353.76 | 56 02 | | |
| Acquired 09/16/13 S nc | | 23 | 78 51 | 1,805 95 | | 2,034.12 | 228 17 | | |
| Acquired 10/14/13 S nc | | 27 | 80 07 | 2,162 14 | | 2,387.88 | 225 74 | | |
| Reinvestments S | | 0.73200 | 87 81 | 64 28 | | 64 74 | 0 46 | | |
| **Total** | **2.50** | **237.73200** | | **$17,515.24** | **88.4400** | **$21,025.01** | **$3,509.77** | **$223.70** | **1.06** |
| ISHARES ET | | | | | | | | | |
| U S HEALTHCARE | | | | | | | | | |
| IYH | | | | | | | | | |
| On Reinvestment | | | | | | | | | |
| Acquired 07/22/13 S nc | | 138 | 107 28 | 14,804 74 | | 16,075 61 | 1,270.87 | | |
| Acquired 08/26/13 S nc | | 15 | 105.92 | 1,597 54 | | 1,747 35 | 149 81 | | |
| Acquired 10/07/13 S nc | | 6 | 108 25 | 653.02 | | 698 94 | 45.92 | | |
| Acquired 10/14/13 S nc | | 17 | 108.25 | 1,840 32 | | 1,980 33 | 140.01 | | |
| Reinvestments S | | 0 51100 | 116 47 | 59 52 | | 59 53 | 0 01 | | |
| **Total** | **2.44** | **176.51100** | | **$18,955.14** | **116.4900** | **$20,561.76** | **$1,606.62** | **$229.64** | **1.12** |
| ISHARES SELECT ET | | | | | | | | | |
| DIVIDEND | | | | | | | | | |
| DVY | | | | | | | | | |
| On Reinvestment | | | | | | | | | |
| Acquired 12/23/11 L nc | | 555 | 53 74 | 29,830 03 | | 39,599 24 | 9,769 21 | | |
| Reinvestments S | | 4 28300 | 71 22 | 305 05 | | 305 60 | 0 55 | | |
| **Total** | **4.74** | **559.28300** | | **$30,135.08** | **71.3500** | **$39,904.84** | **$9,769.76** | **$1,222.59** | **3.06** |
| SELECT SECTOR SPDR FD | | | | | | | | | |
| MATERIALS | | | | | | | | | |
| XLB | | | | | | | | | |
| On Reinvestment | | | | | | | | | |
| Acquired 12/24/12 L nc | | 332 | 36 97 | 12,274 65 | | 15,345 03 | 3,070.38 | | |
| Acquired 07/01/13 S nc | | 30 | 38 76 | 1,163 00 | | 1,386.60 | 223 60 | | |
| Acquired 08/26/13 S nc | | 25 | 41 33 | 1,041 44 | | 1,155.50 | 114 06 | | |
| Acquired 10/07/13 S nc | | 24 | 42 68 | 1,032.10 | | 1,109 28 | 77.18 | | |
| Acquired 10/14/13 S nc | | 35 | 42 68 | 1,493 96 | | 1,617 70 | 123.74 | | |
| Reinvestments S | | 2 72500 | 46 14 | 125 75 | | 125.95 | 0.20 | | |
| **Total** | **2.46** | **448.72500** | | **$17,130.90** | **46.2200** | **$20,740.06** | **$3,609.16** | **$430.77** | **2.08** |

## Stocks, options & ETFs

### Stocks and ETFs continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | <br>ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| **Total Stocks and ETFs** | **25.23** | | | **$162,357.94** | | **$212,395.12** | **$50,037.18** | **$3,125.53** | **1.47** |
| **Total Stocks, options & ETFs** | **25.23** | | | **$162,357.94** | | **$212,395.12** | **$50,037.18** | **$3,125.53** | **1.47** |

nc Cost information for this tax lot is not covered by IRS reporting requirements Unless indicated, cost for all other lots will be reported to the IRS

## Mutual Funds

If a portion of your fund position was converted, the 'Client Investment' value may include reinvestments from previously held positions

### Open End Mutual Funds

Open End Mutual Fund shares are priced at net asset value Estimated Annual Income and Yield refer to Dividends and Interest Income only, and typically do not reflect Total return

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | <br>ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| INVESCO BALANCED-RISK<br>ALLOCATION CL Y<br>ABRYX<br>On Reinvestment | | | | | | | | | |
| Acquired 12/27/12 L nc | | 2,713.48800 | 12 53 | 34,020 00 | | 32,263 35 | -1,756 65 | | |
| Reinvestments S | | 211.56900 | 11 72 | 2,479.59 | | 2,515 57 | 35 98 | | |
| **Total** | **4.13** | **2,925.05700** | | **$36,499.59** | **11.8900** | **$34,778.92** | **-$1,720.67** | **N/A** | **N/A** |
| | Client Investment (Excluding Reinvestments) | | | | | $34,020 00 | | | |
| | Gain/Loss on Client Investment (Including Reinvestments) | | | | | $758 92 | | | |
| DIAMOND HILL SMALL CAP<br>FUND CL-I<br>DHSIX<br>On Reinvestment | | | | | | | | | |
| Acquired 12/23/11 L nc | | 382 97900 | 23 50 | 9,020 00 | | 12,676 61 | 3,656 61 | | |
| Acquired 12/30/11 L nc | | 0 54000 | N/A## | 12 63 | | 17 87 | 5 24 | | |
| Acquired 12/31/12 S nc | | 12 64200 | N/A## | 313.51 | | 418.45 | 104 94 | | |
| Acquired 12/31/12 S nc | | 2 38100 | N/A## | 59.06 | | 78.81 | 19.75 | | |
| Acquired 12/31/12 S nc | | 2.09400 | N/A## | 51.94 | | 69.31 | 17 37 | | |
| Reinvestments S | | 25.40600 | 32.41 | 823 66 | | 840.94 | 17.28 | | |

## Mutual Funds

### Open End Mutual Funds continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| **Total** | **1.68** | **426.04200** | | **$10,280.80** | **33.1000** | **$14,101.99** | **$3,821.19** | **$46.01** | **0.33** |
| Client Investment (Excluding Reinvestments) | | | | | | $9,457 14 | | | |
| Gain/Loss on Client Investment (Including Reinvestments) | | | | | | $4,644 85 | | | |
| DOUBLELINE FDS TR<br>TOTAL RETURN BD FD CL I<br>DBLTX<br>On Reinvestment | | | | | | | | | |
| Acquired 08/15/11 L nc | | 6,244 42500 | 11 21 | 70,020 00 | | 67,314 90 | -2,705 10 | | |
| Acquired 08/31/11 L nc | | 41.74000 | N/A## | 467 07 | | 449 96 | -17.11 | | |
| Acquired 09/30/11 L nc | | 44.27300 | N/A## | 495 86 | | 477 26 | -18.60 | | |
| Acquired 10/31/11 L nc | | 41.02200 | N/A## | 455.75 | | 442 22 | -13 53 | | |
| Acquired 11/30/11 L nc | | 44 07100 | N/A## | 487 87 | | 475 08 | -12.79 | | |
| Acquired 12/30/11 L nc | | 51.83400 | N/A## | 571 73 | | 558 77 | -12 96 | | |
| Acquired 01/31/12 L nc | | 38.70600 | N/A## | 431 18 | | 417 25 | -13 93 | | |
| Acquired 02/29/12 L nc | | 33 42800 | N/A## | 373 73 | | 360 35 | -13.38 | | |
| Acquired 03/30/12 L nc | | 35.60100 | N/A## | 397 66 | | 383 78 | -13.88 | | |
| Acquired 04/30/12 L nc | | 33.14900 | N/A## | 371.27 | | 357 35 | -13 92 | | |
| Acquired 05/31/12 L nc | | 35 16600 | N/A## | 393 51 | | 379 09 | -14 42 | | |
| Acquired 06/29/12 L nc | | 34 37700 | N/A## | 384.33 | | 370 58 | -13.75 | | |
| Acquired 07/31/12 L nc | | 33 43200 | N/A## | 376 44 | | 360 40 | -16 04 | | |
| Acquired 08/31/12 L nc | | 34 13700 | N/A## | 387 11 | | 368.00 | -19 11 | | |
| Acquired 09/28/12 L nc | | 31.43800 | N/A## | 358.39 | | 338 90 | -19.49 | | |
| Acquired 10/31/12 L nc | | 31.50900 | N/A## | 358 26 | | 339.67 | -18.59 | | |
| Acquired 11/30/12 L nc | | 30 40600 | N/A## | 345.41 | | 327.78 | -17.63 | | |
| Acquired 12/31/12 S nc | | 34.01800 | N/A## | 385 42 | | 366 71 | -18.71 | | |
| Acquired 01/31/13 S nc | | 27.94100 | N/A## | 316.85 | | 301.20 | -15.65 | | |
| Acquired 02/28/13 S nc | | 25.99300 | N/A## | 295.02 | | 280 20 | -14 82 | | |
| Acquired 03/28/13 S nc | | 26.92200 | N/A## | 305.29 | | 290.22 | -15.07 | | |
| Acquired 04/30/13 S nc | | 26.15200 | N/A## | 298 39 | | 281 92 | -16 47 | | |
| Acquired 05/31/13 S nc | | 27.41400 | N/A## | 308.96 | | 295.52 | -13 44 | | |
| Acquired 06/28/13 S nc | | 28 21200 | N/A## | 311.18 | | 304.13 | -7 05 | | |
| Acquired 07/31/13 S nc | | 29.38800 | N/A## | 322 09 | | 316 80 | -5.29 | | |
| Acquired 08/30/13 S nc | | 29.59000 | N/A## | 321 94 | | 318 98 | -2.96 | | |
| Acquired 09/30/13 S nc | | 31 36300 | N/A## | 343 74 | | 338 09 | -5.65 | | |
| Reinvestments S | | 63.03400 | 10 94 | 690.00 | | 679 51 | -10 49 | | |
| **Total** | **9.21** | **7,188.74100** | | **$80,574.45** | **10.7800** | **$77,494.62** | **-$3,079.83** | **$4,004.12** | **5.17** |
| Client Investment (Excluding Reinvestments) | | | | | | $79,884 45 | | | |
| Gain/Loss on Client Investment (Including Reinvestments) | | | | | | -$2,389 83 | | | |

**RHODENBAUGH FOUNDATION**

DECEMBER 1 - DECEMBER 31, 2013
ACCOUNT NUMBER. 1193-8902

# Mutual Funds

## Open End Mutual Funds continued

| | | | | | | | | ESTIMATED | |
|---|---|---|---|---|---|---|---|---|---|
| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ANNUAL INCOME | ANNUAL YIELD (%) |
| FIDELITY HEREFORD STR | | | | | | | | | |
| TR TREAS ONLY MONEY MKT | | | | | | | | | |
| FD | | | | | | | | | |
| FDLXX | | | | | | | | | |
| On Reinvestment | | | | | | | | | |
| Acquired 10/23/13 S nc | 0 02 | 183 65000 | N/A## | N/A | 1 0000 | 183 65 | N/A | N/A | N/A |
| GREENSPRING FD INC | | | | | | | | | |
| GRSPX | | | | | | | | | |
| On Reinvestment | | | | | | | | | |
| Acquired 08/02/06 L nc | | 441 69600 | N/A## | 10,005 50 | | 11,691 69 | 1,686 19 | | |
| Acquired 12/22/06 L nc | | 1 56800 | N/A## | 36 56 | | 41 50 | 4 94 | | |
| Acquired 12/22/06 L nc | | 1 96400 | N/A## | 45 77 | | 51 99 | 6.22 | | |
| Acquired 12/22/06 L nc | | 6.28500 | N/A## | 146 51 | | 166 36 | 19 85 | | |
| Acquired 07/19/07 L nc | | 0 20500 | N/A## | 5 17 | | 5 43 | 0 26 | | |
| Acquired 07/19/07 L nc | | 0 25900 | N/A## | 6 52 | | 6 86 | 0 34 | | |
| Acquired 07/19/07 L nc | | 4 48500 | N/A## | 112 88 | | 118.72 | 5.84 | | |
| Acquired 12/20/07 L nc | | 0 68400 | N/A## | 16 04 | | 18 11 | 2.07 | | |
| Acquired 12/20/07 L nc | | 9 09400 | N/A## | 213.17 | | 240 72 | 27 55 | | |
| Acquired 12/20/07 L nc | | 6.05300 | N/A## | 141 88 | | 160 22 | 18 34 | | |
| Acquired 07/23/08 L nc | | 3 84800 | N/A## | 89.74 | | 101 86 | 12.12 | | |
| Acquired 07/23/08 L nc | | 3 08500 | N/A## | 71 95 | | 81 66 | 9 71 | | |
| Acquired 07/23/08 L nc | | 0 13100 | N/A## | 3 06 | | 3 47 | 0 41 | | |
| Acquired 12/18/08 L nc | | 3 74200 | N/A## | 74 31 | | 99 05 | 24 74 | | |
| Acquired 07/15/09 L nc | | 10.76100 | N/A## | 227 06 | | 284 84 | 57 78 | | |
| Acquired 12/16/09 L nc | | 8.24700 | N/A## | 185 88 | | 218 30 | 32 42 | | |
| Acquired 07/14/10 L nc | | 6 36400 | N/A## | 145 61 | | 168 46 | 22.85 | | |
| Acquired 12/15/10 L nc | | 9.10200 | N/A## | 217 89 | | 240 93 | 23.04 | | |
| Acquired 12/15/10 L nc | | 2.29700 | N/A## | 55 00 | | 60.80 | 5 80 | | |
| Acquired 12/15/10 L nc | | 1 15900 | N/A## | 27 74 | | 30 68 | 2.94 | | |
| Acquired 07/13/11 L nc | | 8.40000 | N/A## | 203 20 | | 222.35 | 19 15 | | |
| Acquired 12/14/11 L nc | | 14 10200 | N/A## | 312 36 | | 373 28 | 60 92 | | |
| Acquired 12/14/11 L nc | | 10 27800 | N/A## | 227.65 | | 272 06 | 44 41 | | |
| Acquired 07/11/12 L nc | | 11 07600 | N/A## | 249 21 | | 293 18 | 43 97 | | |
| Acquired 07/11/12 L nc | | 1 80700 | N/A## | 40 65 | | 47 83 | 7.18 | | |
| Acquired 12/19/12 L nc | | 10.39000 | N/A## | 240.84 | | 275 02 | 34.18 | | |
| Acquired 12/19/12 L nc | | 8.60600 | N/A## | 199 48 | | 227.80 | 28 32 | | |
| Acquired 12/19/12 L nc | | 4 57200 | N/A## | 105.97 | | 121.02 | 15 05 | | |
| Acquired 07/10/13 S nc | | 0 68300 | N/A## | 17 24 | | 18.08 | 0.84 | | |
| Acquired 07/10/13 S nc | | 0 06100 | N/A## | 1 54 | | 1.61 | 0 07 | | |
| Acquired 07/10/13 S nc | | 7 94500 | N/A## | 200 69 | | 210 30 | 9 61 | | |
| Reinvestments S | | 12 96300 | 26.05 | 337.81 | | 343.13 | 5.32 | | |

## Mutual Funds

### Open End Mutual Funds continued

| | | | | | | | | ESTIMATED | |
|---|---|---|---|---|---|---|---|---|---|
| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ANNUAL INCOME | ANNUAL YIELD (%) |
| **Total** | **1.92** | **611.91200** | | **$13,964.88** | **26.4700** | **$16,197.31** | **$2,232.43** | **$354.90** | **2.19** |
| | Client Investment (Excluding Reinvestments) | | | | | $13,627 07 | | | |
| | Gain/Loss on Client Investment (Including Reinvestments) | | | | | $2,570.24 | | | |
| IVA WORLDWIDE FUND<br>CLASS I<br>IVWIX<br>On Reinvestment | | | | | | | | | |
| Acquired 08/20/10 L nc | | 727.99500 | 15 11 | 11,020 00 | | 12,972 85 | 1,952 85 | | |
| Acquired 12/15/10 L nc | | 10 13200 | N/A## | 167 88 | | 180 55 | 12 67 | | |
| Acquired 12/15/10 L nc | | 8 27700 | N/A## | 137 15 | | 147 50 | 10 35 | | |
| Acquired 12/15/10 L nc | | 4 52500 | N/A## | 74 98 | | 80 64 | 5 66 | | |
| Acquired 12/14/11 L nc | | 29.86300 | N/A## | 450 03 | | 532 16 | 82.13 | | |
| Acquired 12/14/11 L nc | | 12.52200 | N/A## | 188 71 | | 223 14 | 34.43 | | |
| Acquired 12/14/11 L nc | | 8 04200 | N/A## | 121 20 | | 143 31 | 22 11 | | |
| Acquired 12/13/12 L nc | | 17 38200 | N/A## | 275.51 | | 309 75 | 34 24 | | |
| Acquired 12/13/12 L nc | | 8.72100 | N/A## | 138.23 | | 155.41 | 17 18 | | |
| Reinvestments S | | 37 86800 | 17 45 | 660.81 | | 674.81 | 14 00 | | |
| **Total** | **1.83** | **865.32700** | | **$13,234.50** | **17.8200** | **$15,420.12** | **$2,185.62** | **$212.87** | **1.38** |
| | Client Investment (Excluding Reinvestments) | | | | | $12,573 69 | | | |
| | Gain/Loss on Client Investment (Including Reinvestments) | | | | | $2,846 43 | | | |
| JAMES ADVANTAGE FUNDS<br>GOLDEN RAINBOW FD INSTL<br>GLRIX<br>On Reinvestment | | | | | | | | | |
| Acquired 08/20/10 L nc | | 584 48500 | 18 82 | 11,020.00 | | 13,922 45 | 2,902 45 | | |
| Acquired 09/29/10 L nc | | 2.32300 | N/A## | 45 35 | | 55 33 | 9 98 | | |
| Acquired 12/02/10 L nc | | 4.56600 | N/A## | 91 54 | | 108 76 | 17.22 | | |
| Acquired 12/30/10 L nc | | 3 38700 | N/A## | 67 81 | | 80 68 | 12 87 | | |
| Acquired 03/30/11 L nc | | 1.90900 | N/A## | 39 18 | | 45 47 | 6.29 | | |
| Acquired 06/29/11 L nc | | 2.55300 | N/A## | 52 51 | | 60 81 | 8.30 | | |
| Acquired 09/29/11 L nc | | 2.27000 | N/A## | 44.79 | | 54.07 | 9.28 | | |
| Acquired 12/01/11 L nc | | 8.98800 | N/A## | 182 55 | | 214.09 | 31 54 | | |
| Acquired 12/29/11 L nc | | 2.52000 | N/A## | 51.56 | | 60 03 | 8.47 | | |
| Acquired 03/29/12 L nc | | 2.39100 | N/A## | 50 84 | | 56 95 | 6 11 | | |
| Acquired 06/28/12 L nc | | 3.10400 | N/A## | 64 04 | | 73 94 | 9.90 | | |
| Acquired 09/27/12 L nc | | 2.08400 | N/A## | 45 06 | | 49 64 | 4.58 | | |
| Acquired 12/06/12 L nc | | 4.31900 | N/A## | 93 12 | | 102.88 | 9 76 | | |
| Acquired 12/28/12 L nc | | 4.57700 | N/A## | 97 77 | | 109 02 | 11.25 | | |

# Mutual Funds

## Open End Mutual Funds continued

| | | | | | | | | ESTIMATED | |
|---|---|---|---|---|---|---|---|---|---|
| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ANNUAL INCOME | ANNUAL YIELD (%) |
| Acquired 03/27/13 S nc | | 2.33100 | N/A## | 53.19 | | 55.52 | 2.33 | | |
| Acquired 06/27/13 S nc | | 3.12900 | N/A## | 69.99 | | 74.53 | 4.54 | | |
| Acquired 09/27/13 S nc | | 1.82300 | N/A## | 41.80 | | 43.42 | 1.62 | | |
| Reinvestments S | | 6.29500 | 23.47 | 147.80 | | 149.95 | 2.15 | | |
| **Total** | **1.82** | **643.05400** | | **$12,258.90** | **23.8200** | **$15,317.54** | **$3,058.64** | **$217.35** | **1.42** |
| | Client Investment (Excluding Reinvestments) | | | | | $12,111.10 | | | |
| | Gain/Loss on Client Investment (Including Reinvestments) | | | | | $3,206.44 | | | |
| JPMORGAN TR II<br>MTF BACKED SECS FUND<br>SELECT CLASS<br>OMBIX<br>On Reinvestment | | | | | | | | | |
| Acquired 08/15/11 L nc | | 6,113.53700 | 11.45 | 70,020.00 | | 68,532.69 | -1,487.31 | | |
| Acquired 09/01/11 L nc | | 21.93000 | N/A## | 250.66 | | 245.84 | -4.82 | | |
| Acquired 10/03/11 L nc | | 23.08200 | N/A## | 263.83 | | 258.75 | -5.08 | | |
| Acquired 11/01/11 L nc | | 24.28800 | N/A## | 277.13 | | 272.27 | -4.86 | | |
| Acquired 12/01/11 L nc | | 23.32100 | N/A## | 265.86 | | 261.43 | -4.43 | | |
| Acquired 01/03/12 L nc | | 22.82500 | N/A## | 260.66 | | 255.87 | -4.79 | | |
| Acquired 02/01/12 L nc | | 20.05800 | N/A## | 230.47 | | 224.85 | -5.62 | | |
| Acquired 03/01/12 L nc | | 20.63100 | N/A## | 237.46 | | 231.27 | -6.19 | | |
| Acquired 04/02/12 L nc | | 20.77200 | N/A## | 238.25 | | 232.85 | -5.40 | | |
| Acquired 05/01/12 L nc | | 18.01900 | N/A## | 207.58 | | 201.99 | -5.59 | | |
| Acquired 06/01/12 L nc | | 17.49300 | N/A## | 201.87 | | 196.10 | -5.77 | | |
| Acquired 07/02/12 L nc | | 16.46000 | N/A## | 189.78 | | 184.52 | -5.26 | | |
| Acquired 08/01/12 L nc | | 17.51200 | N/A## | 202.96 | | 196.31 | -6.65 | | |
| Acquired 09/04/12 L nc | | 15.31200 | N/A## | 178.08 | | 171.65 | -6.43 | | |
| Acquired 10/01/12 L nc | | 15.31000 | N/A## | 178.51 | | 171.62 | -6.89 | | |
| Acquired 11/01/12 L nc | | 14.82300 | N/A## | 172.54 | | 166.17 | -6.37 | | |
| Acquired 12/03/12 L nc | | 14.29500 | N/A## | 166.54 | | 160.25 | -6.29 | | |
| Acquired 01/02/13 S nc | | 18.23100 | N/A## | 211.85 | | 204.37 | -7.48 | | |
| Acquired 02/01/13 S nc | | 13.34300 | N/A## | 154.51 | | 149.58 | -4.93 | | |
| Acquired 03/01/13 S nc | | 13.91500 | N/A## | 161.28 | | 155.99 | -5.29 | | |
| Acquired 04/01/13 S nc | | 13.39900 | N/A## | 155.16 | | 150.20 | -4.96 | | |
| Acquired 05/01/13 S nc | | 13.40400 | N/A## | 155.49 | | 150.26 | -5.23 | | |
| Acquired 05/31/13 S nc | | 14.13800 | N/A## | 162.30 | | 158.49 | -3.81 | | |
| Acquired 06/28/13 S nc | | 14.91700 | N/A## | 169.16 | | 167.22 | -1.94 | | |
| Acquired 07/31/13 S nc | | 15.00400 | N/A## | 169.55 | | 168.19 | -1.36 | | |
| Acquired 08/30/13 S nc | | 15.11900 | N/A## | 169.94 | | 169.48 | -0.46 | | |

**RHODENBAUGH FOUNDATION**

DECEMBER 1 - DECEMBER 31, 2013
ACCOUNT NUMBER 1193-8902

## Mutual Funds

### Open End Mutual Funds continued

| | | | | | | | | ESTIMATED | |
|---|---|---|---|---|---|---|---|---|---|
| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ANNUAL INCOME | ANNUAL YIELD (%) |
| Acquired 09/30/13 S nc | | 16.81200 | N/A## | 189.98 | | 188 46 | -1.52 | | |
| Reinvestments S | | 39.21600 | 11.31 | 443 82 | | 439 66 | -4.16 | | |
| **Total** | **8.80** | **6,607.16600** | | **$75,685.22** | **11.2100** | **$74,066.33** | **-$1,618.89** | **$2,114.29** | **2.85** |
| | Client Investment (Excluding Reinvestments) | | | | | $75,241 40 | | | |
| | Gain/Loss on Client Investment (Including Reinvestments) | | | | | -$1,175 07 | | | |
| AMERICAN EUROPACIFIC<br>GROWTH FU CL F2<br>AEPFX<br>On Reinvestment | | | | | | | | | |
| Acquired 12/23/11 L nc | | 306.57700 | 35 88 | 11,020 00 | | 15,016 14 | 3,996 14 | | |
| Acquired 12/28/11 L nc | | 6.10600 | N/A## | 214.39 | | 299 07 | 84 68 | | |
| Acquired 12/27/12 L nc | | 6 24700 | N/A## | 255 27 | | 305 98 | 50 71 | | |
| Reinvestments S | | 3.79300 | 48.30 | 183.23 | | 185 78 | 2.55 | | |
| **Total** | **1.88** | **322.72300** | | **$11,672.89** | **48.9800** | **$15,806.97** | **$4,134.08** | **$185.24** | **1.17** |
| | Client Investment (Excluding Reinvestments) | | | | | $11,489 66 | | | |
| | Gain/Loss on Client Investment (Including Reinvestments) | | | | | $4,317 31 | | | |
| JPMORGAN TR II<br>SHORT DURATION BOND FUND<br>SELECT CLASS<br>HLLVX<br>On Reinvestment | | | | | | | | | |
| Acquired 11/23/09 L nc | | 6,260 81600 | 10 92 | 68,373 93 | | 68,180 29 | -193 64 | | |
| Acquired 12/09/09 L nc | | 4.16600 | N/A## | 45 50 | | 45 37 | -0.13 | | |
| Acquired 01/04/10 L nc | | 45 70600 | N/A## | 495 91 | | 497 74 | 1 83 | | |
| Acquired 02/01/10 L nc | | 39 61000 | N/A## | 432 14 | | 431.35 | -0.79 | | |
| Acquired 03/01/10 L nc | | 37.66400 | N/A## | 411 29 | | 410 16 | -1.13 | | |
| Acquired 04/01/10 L nc | | 25.88600 | N/A## | 281 90 | | 281 90 | 0.00 | | |
| Acquired 05/03/10 L nc | | 35.78700 | N/A## | 390 79 | | 389 72 | -1.07 | | |
| Acquired 06/01/10 L nc | | 35.84500 | N/A## | 391 43 | | 390 35 | -1.08 | | |
| Acquired 09/30/13 S nc | | 4 16100 | N/A## | 45 40 | | 45 31 | -0.09 | | |
| Reinvestments S | | 15.19100 | 10.91 | 165.88 | | 165.43 | -0 45 | | |
| **Total** | **8.41** | **6,504.83200** | | **$71,034.17** | **10.8900** | **$70,837.62** | **-$196.55** | **$676.50** | **0.96** |
| | Client Investment (Excluding Reinvestments) | | | | | $70,868 29 | | | |
| | Gain/Loss on Client Investment (Including Reinvestments) | | | | | -$30 67 | | | |

## Mutual Funds

### Open End Mutual Funds continued

| | | | | | | | | ESTIMATED | |
|---|---|---|---|---|---|---|---|---|---|
| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ANNUAL INCOME | ANNUAL YIELD (%) |
| PERMANENT PORTFOLIO FD<br>PERM PORTFOLIO<br>PORTFOLIO<br>PRPFX<br>On Reinvestment | | | | | | | | | |
| Acquired 08/20/10 L nc | | 269 93900 | 40 75 | 11,000 00 | | 11,623 55 | 623 55 | | |
| Acquired 12/08/10 L nc | | 1.75700 | N/A## | 78 28 | | 75 66 | -2 62 | | |
| Acquired 12/08/10 L nc | | 0 18200 | N/A## | 8.10 | | 7 84 | -0 26 | | |
| Acquired 12/07/11 L nc | | 2.39900 | N/A## | 114 19 | | 103 30 | -10 89 | | |
| Acquired 12/07/11 L nc | | 1 71400 | N/A## | 81.56 | | 73 80 | -7.76 | | |
| Acquired 12/05/12 L nc | | 2 05400 | N/A## | 99 36 | | 88.45 | -10 91 | | |
| Acquired 12/05/12 L nc | | 1 54100 | N/A## | 74 52 | | 66.36 | -8.16 | | |
| Reinvestments S | | 29 86100 | 43 06 | 1,286.10 | | 1,285.82 | -0 28 | | |
| **Total** | **1.58** | **309.44700** | | **$12,742.11** | **43.0600** | **$13,324.78** | **$582.67** | **$77.36** | **0.58** |
| Client Investment (Excluding Reinvestments) | | | | | | $11,456 01 | | | |
| Gain/Loss on Client Investment (Including Reinvestments) | | | | | | $1,868.77 | | | |
| PIMCO FDS PAC INVT<br>MGMT SER TOTAL RETURN FD<br>INSTL CL<br>PTTRX<br>On Reinvestment | | | | | | | | | |
| Acquired 08/20/10 L nc | | 4,347 82600 | 11 50 | 50,020 00 | | 46,478 30 | -3,541 70 | | |
| Acquired 08/31/10 L nc | | 3 22200 | N/A## | 37 18 | | 34 44 | -2 74 | | |
| Acquired 09/30/10 L nc | | 11.03800 | N/A## | 128 04 | | 118 00 | -10 04 | | |
| Acquired 10/29/10 L nc | | 12.08600 | N/A## | 141 29 | | 129 20 | -12 09 | | |
| Acquired 11/30/10 L nc | | 12.66100 | N/A## | 145 48 | | 135 35 | -10 13 | | |
| Acquired 12/08/10 L nc | | 150.30600 | N/A## | 1,623 30 | | 1,606.77 | -16 53 | | |
| Acquired 12/08/10 L nc | | 68.72700 | N/A## | 742 25 | | 734 69 | -7 56 | | |
| Acquired 12/31/10 L nc | | 14 78800 | N/A## | 160 45 | | 158 08 | -2.37 | | |
| Acquired 01/31/11 L nc | | 12.25800 | N/A## | 133 00 | | 131 04 | -1.96 | | |
| Acquired 02/28/11 L nc | | 12.69900 | N/A## | 138 17 | | 135 75 | -2 42 | | |
| Acquired 03/31/11 L nc | | 13 22000 | N/A## | 143 83 | | 141 32 | -2 51 | | |
| Acquired 04/29/11 L nc | | 13.19200 | N/A## | 145.51 | | 141 02 | -4 49 | | |
| Acquired 05/31/11 L nc | | 13 26900 | N/A## | 146.76 | | 141.85 | -4 91 | | |
| Acquired 06/30/11 L nc | | 12.79200 | N/A## | 140.58 | | 136 75 | -3 83 | | |
| Acquired 07/29/11 L nc | | 11 98100 | N/A## | 132.99 | | 128 08 | -4.91 | | |
| Acquired 08/15/11 L nc | | 8,130 08100 | 11.07 | 90,020 00 | | 86,910 48 | -3,109 52 | | |
| Acquired 08/31/11 L nc | | 21 58100 | N/A## | 237 61 | | 230 70 | -6.91 | | |
| Acquired 09/30/11 L nc | | 35 71100 | N/A## | 385.32 | | 381.75 | -3.57 | | |
| Acquired 10/31/11 L nc | | 35.12600 | N/A## | 383 23 | | 375 50 | -7.73 | | |

**RHODENBAUGH FOUNDATION**

DECEMBER 1 - DECEMBER 31, 2013
ACCOUNT NUMBER: 1193-8902

## Mutual Funds

### Open End Mutual Funds continued

| | | | | | | | | ESTIMATED | |
|---|---|---|---|---|---|---|---|---|---|
| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ANNUAL INCOME | ANNUAL YIELD (%) |
| Acquired 11/30/11 L nc | | 38.63500 | N/A## | 416.48 | | 413.01 | -3 47 | | |
| Acquired 12/28/11 L nc | | 77.92300 | N/A## | 843 91 | | 833 00 | -10.91 | | |
| Acquired 12/30/11 L nc | | 38.03100 | N/A## | 413.40 | | 406 55 | -6.85 | | |
| Acquired 01/31/12 L nc | | 35 33800 | N/A## | 392 96 | | 377 76 | -15 20 | | |
| Acquired 02/29/12 L nc | | 33.08700 | N/A## | 367 93 | | 353 70 | -14.23 | | |
| Acquired 03/30/12 L nc | | 41 01400 | N/A## | 454 84 | | 438 44 | -16 40 | | |
| Acquired 04/30/12 L nc | | 37.63100 | N/A## | 422.22 | | 402.28 | -19.94 | | |
| Acquired 05/31/12 L nc | | 41 65400 | N/A## | 469.86 | | 445 28 | -24.58 | | |
| Acquired 06/29/12 L nc | | 37 21200 | N/A## | 420.50 | | 397.80 | -22 70 | | |
| Acquired 07/31/12 L nc | | 29.79400 | N/A## | 341.74 | | 318 50 | -23 24 | | |
| Acquired 08/31/12 L nc | | 32 09500 | N/A## | 369.09 | | 343 10 | -25 99 | | |
| Acquired 09/28/12 L nc | | 25.83200 | N/A## | 299 13 | | 276 14 | -22.99 | | |
| Acquired 10/31/12 L nc | | 37 94300 | N/A## | 439.76 | | 405 61 | -34.15 | | |
| Acquired 11/30/12 L nc | | 38 91000 | N/A## | 452.13 | | 415 95 | -36 18 | | |
| Acquired 12/12/12 L nc | | 183 70500 | N/A## | 2,086.89 | | 1,963 80 | -123 09 | | |
| Acquired 12/12/12 L nc | | 134.84000 | N/A## | 1,531 78 | | 1,441.44 | -90 34 | | |
| Acquired 12/27/12 L nc | | 140.27000 | N/A## | 1,576 63 | | 1,499.48 | -77 15 | | |
| Acquired 12/31/12 S nc | | 30.85300 | N/A## | 346 79 | | 329 82 | -16 97 | | |
| Acquired 01/31/13 S nc | | 23.61700 | N/A## | 264.27 | | 252 47 | -11 80 | | |
| Acquired 02/28/13 S nc | | 26 53900 | N/A## | 298 03 | | 283 70 | -14.33 | | |
| Acquired 03/28/13 S nc | | 33.95100 | N/A## | 381 61 | | 362 94 | -18.67 | | |
| Acquired 04/30/13 S nc | | 39 90700 | N/A## | 452.55 | | 426 61 | -25.94 | | |
| Acquired 05/31/13 S nc | | 33.92500 | N/A## | 375 55 | | 362.66 | -12.89 | | |
| Acquired 06/28/13 S nc | | 24.00700 | N/A## | 258 31 | | 256 63 | -1 68 | | |
| Acquired 07/31/13 S nc | | 29 65100 | N/A## | 319.93 | | 316 97 | -2.96 | | |
| Acquired 08/30/13 S nc | | 32.01900 | N/A## | 341 00 | | 342 28 | 1.28 | | |
| Acquired 09/30/13 S nc | | 24 53900 | N/A## | 265.51 | | 262 32 | -3 19 | | |
| Reinvestments S | | 130.75100 | 10 78 | 1,410 43 | | 1,397.76 | -12 67 | | |
| **Total** | **18.24** | **14,366.23700** | | **$161,018.22** | **10.6900** | **$153,575.07** | **-$7,443.15** | **$3,965.08** | **2.58** |
| Client Investment (Excluding Reinvestments) | | | | | | $159,607 79 | | | |
| Gain/Loss on Client Investment (Including Reinvestments) | | | | | | -$6,032 72 | | | |
| PIMCO<br>ALL ASSET ALL AUTHORITY<br>FD CL I<br>PAUIX<br>On Reinvestment | | | | | | | | | |
| Acquired 08/20/10 L nc | | 991 88500 | 11 09 | 11,020 00 | | 9,819 65 | -1,200 35 | | |
| Acquired 09/16/10 L nc | | 9 65000 | N/A## | 105 96 | | 95 54 | -10 42 | | |
| Acquired 12/08/10 L nc | | 2 60600 | N/A## | 28.38 | | 25 80 | -2 58 | | |
| Acquired 12/31/10 L nc | | 41 91500 | N/A## | 443.04 | | 414 96 | -28.08 | | |

# Mutual Funds

## Open End Mutual Funds continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| Acquired 03/17/11 L nc | | 7.00200 | N/A## | 74.71 | | 69.32 | -5.39 | | |
| Acquired 06/16/11 L nc | | 11 21000 | N/A## | 121 52 | | 110.98 | -10 54 | | |
| Acquired 09/15/11 L nc | | 12 20200 | N/A## | 129.59 | | 120.80 | -8.79 | | |
| Acquired 12/28/11 L nc | | 59 04800 | N/A## | 589 30 | | 584.58 | -4.72 | | |
| Acquired 03/22/12 L nc | | 10.39700 | N/A## | 110 10 | | 102.93 | -7.17 | | |
| Acquired 06/21/12 L nc | | 6.29200 | N/A## | 65 19 | | 62 29 | -2.90 | | |
| Acquired 09/20/12 L nc | | 10 04700 | N/A## | 112.13 | | 99 47 | -12 66 | | |
| Acquired 12/27/12 L nc | | 36.33300 | N/A## | 406.57 | | 359 70 | -46.87 | | |
| Acquired 12/27/12 L nc | | 1,787.31000 | 11.19 | 20,020.00 | | 17,694 35 | -2,325 65 | | |
| Acquired 12/31/12 S nc | | 24 43600 | N/A## | 271 00 | | 241.92 | -29.08 | | |
| Acquired 03/21/13 S nc | | 26.97200 | N/A## | 294 80 | | 267 02 | -27 78 | | |
| Acquired 06/20/13 S nc | | 24.31000 | N/A## | 248.69 | | 240.67 | -8 02 | | |
| Acquired 09/19/13 S nc | | 25 67800 | N/A## | 264 74 | | 254 21 | -10 53 | | |
| Reinvestments S | | 100.40100 | 9.90 | 994 97 | | 993 98 | -0 99 | | |
| **Total** | **3.75** | **3,187.69400** | | **$35,300.69** | **9.9000** | **$31,558.17** | **-$3,742.52** | **$1,877.55** | **5.95** |
| | Client Investment (Excluding Reinvestments) | | | | | $34,305 72 | | | |
| | Gain/Loss on Client Investment (Including Reinvestments) | | | | | -$2,747 55 | | | |
| FPA FDS TR<br>FPA CRESCENT PORTFOLIO<br>INSTL CL SHS<br>FPACX<br>On Reinvestment | | | | | | | | | |
| Acquired 08/20/10 L nc | | 448.24800 | 24 54 | 11,020 00 | | 14,774 24 | 3,754 24 | | |
| Acquired 12/17/10 L nc | | 7 27400 | N/A## | 192 75 | | 239 75 | 47.00 | | |
| Acquired 12/17/10 L nc | | 2 53700 | N/A## | 67 24 | | 83 62 | 16.38 | | |
| Acquired 12/17/10 L nc | | 0 33800 | N/A## | 8 96 | | 11 14 | 2.18 | | |
| Acquired 07/07/11 L nc | | 3.43800 | N/A## | 96 26 | | 113 32 | 17 06 | | |
| Acquired 07/07/11 L nc | | 0.65500 | N/A## | 18 34 | | 21 59 | 3.25 | | |
| Acquired 12/21/11 L nc | | 8.17800 | N/A## | 217.37 | | 269.55 | 52.18 | | |
| Acquired 12/21/11 L nc | | 1.74000 | N/A## | 46 25 | | 57 35 | 11.10 | | |
| Acquired 07/03/12 L nc | | 2 05800 | N/A## | 56 69 | | 67 83 | 11.14 | | |
| Acquired 07/03/12 L nc | | 1.54300 | N/A## | 42.52 | | 50.86 | 8 34 | | |
| Acquired 07/03/12 L nc | | 0.51400 | N/A## | 14 17 | | 16.94 | 2.77 | | |
| Acquired 01/03/13 S nc | | 18.50100 | N/A## | 528 94 | | 609 79 | 80 85 | | |
| Acquired 01/03/13 S nc | | 0 83400 | N/A## | 23 83 | | 27 49 | 3.66 | | |
| Acquired 07/02/13 S nc | | 2.07300 | N/A## | 64 46 | | 68.33 | 3 87 | | |
| Reinvestments S | | 18 48200 | 32.32 | 597 52 | | 609.17 | 11.65 | | |

RHODENBAUGH FOUNDATION

DECEMBER 1 - DECEMBER 31, 2013
ACCOUNT NUMBER. 1193-8902

# Mutual Funds

## Open End Mutual Funds continued

| | | | | | | | | ESTIMATED | |
|---|---|---|---|---|---|---|---|---|---|
| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ANNUAL INCOME | ANNUAL YIELD (%) |
| **Total** | **2.02** | **516.41300** | | **$12,995.30** | **32.9600** | **$17,020.97** | **$4,025.67** | **$134.26** | **0.79** |
| | Client Investment (Excluding Reinvestments) | | | | | $12,397.78 | | | |
| | Gain/Loss on Client Investment (Including Reinvestments) | | | | | $4,623.19 | | | |
| VANGUARD BOND INDEX FD<br>SHORT-TERM PORT FD<br>CL-INV<br>VBISX<br>On Reinvestment | | | | | | | | | |
| Acquired 11/23/09 L nc | | 5,107 16200 | 10.52 | 53,731 92 | | 53,574 13 | -157 79 | | |
| Acquired 12/24/09 L nc | | 2 13700 | N/A## | 22 35 | | 22 42 | 0 07 | | |
| Acquired 12/31/09 L nc | | 45.77100 | N/A## | 476 93 | | 480 14 | 3 21 | | |
| Acquired 01/29/10 L nc | | 44 82400 | N/A## | 471.55 | | 470 20 | -1 35 | | |
| Acquired 02/26/10 L nc | | 40.02700 | N/A## | 421.08 | | 419 88 | -1.20 | | |
| Acquired 03/31/10 L nc | | 43.93900 | N/A## | 460 04 | | 460.92 | 0 88 | | |
| Acquired 04/01/10 L nc | | 8.58900 | N/A## | 89 93 | | 90 10 | 0 17 | | |
| Acquired 04/01/10 L nc | | 6.44100 | N/A## | 67 44 | | 67 57 | 0 13 | | |
| Acquired 04/30/10 L nc | | 42 28300 | N/A## | 444 39 | | 443 55 | -0 84 | | |
| Acquired 12/19/10 L nc | | 11 86600 | N/A## | 127 95 | | 124 47 | -3.48 | | |
| Acquired 12/27/10 L nc | | 54 12300 | N/A## | 569 92 | | 567 75 | -2 17 | | |
| Acquired 12/27/10 L nc | | 29 14300 | N/A## | 306.88 | | 305 71 | -1.17 | | |
| Acquired 12/31/10 L nc | | 37 51800 | N/A## | 395.81 | | 393.56 | -2 25 | | |
| Acquired 02/28/11 L nc | | 33.80600 | N/A## | 356 31 | | 354 62 | -1.69 | | |
| Acquired 03/23/11 L nc | | 14.68500 | N/A## | 154 78 | | 154.05 | -0.73 | | |
| Acquired 03/23/11 L nc | | 2.09800 | N/A## | 22.11 | | 22 01 | -0.10 | | |
| Acquired 03/31/11 L nc | | 37.11500 | N/A## | 389 71 | | 389 34 | -0 37 | | |
| Acquired 01/31/12 L nc | | 7.39700 | N/A## | 78 85 | | 77 59 | -1 26 | | |
| Acquired 02/29/12 L nc | | 6 86900 | N/A## | 73 09 | | 72.06 | -1 03 | | |
| Acquired 03/30/12 L nc | | 7 28700 | N/A## | 77 31 | | 76 44 | -0 87 | | |
| Acquired 04/02/12 L nc | | 1.57700 | N/A## | 16 73 | | 16 54 | -0 19 | | |
| Acquired 04/02/12 L nc | | 0 52600 | N/A## | 5.58 | | 5.52 | -0 06 | | |
| Acquired 04/30/12 L nc | | 7.04200 | N/A## | 74.93 | | 73.87 | -1.06 | | |
| Acquired 05/31/12 L nc | | 7 14800 | N/A## | 76.05 | | 74 98 | -1.07 | | |
| Acquired 06/29/12 L nc | | 6 70100 | N/A## | 71 23 | | 70.29 | -0.94 | | |
| Acquired 07/31/12 L nc | | 6.75200 | N/A## | 72.04 | | 70.83 | -1 21 | | |
| Acquired 08/31/12 L nc | | 6 58300 | N/A## | 70.24 | | 69 06 | -1.18 | | |
| Acquired 09/28/12 L nc | | 6.28600 | N/A## | 67 13 | | 65 94 | -1.19 | | |
| Acquired 10/31/12 L nc | | 6 36700 | N/A## | 67 87 | | 66.79 | -1.08 | | |
| Acquired 11/30/12 L nc | | 6.09100 | N/A## | 64.99 | | 63.89 | -1.10 | | |
| Acquired 12/24/12 L nc | | 2 12300 | N/A## | 22.55 | | 22 27 | -0.28 | | |
| Acquired 12/24/12 L nc | | 12 74200 | N/A## | 135 32 | | 133 66 | -1.66 | | |

## Mutual Funds

### Open End Mutual Funds continued

| DESCRIPTION | % OF ACCOUNT | QUANTITY | ADJ PRICE/ ORIG PRICE | ADJ COST/ ORIG COST | CURRENT PRICE | CURRENT MARKET VALUE | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED ANNUAL YIELD (%) |
|---|---|---|---|---|---|---|---|---|---|
| Acquired 12/31/12 S nc | | 6.15600 | N/A## | 65.44 | | 64 58 | -0 86 | | |
| Acquired 01/31/13 S nc | | 6 12900 | N/A## | 65 03 | | 64 29 | -0 74 | | |
| Acquired 02/28/13 S nc | | 5.39500 | N/A## | 57 30 | | 56 59 | -0 71 | | |
| Acquired 03/28/13 S nc | | 5 74300 | N/A## | 60.93 | | 60 24 | -0.69 | | |
| Acquired 04/01/13 S nc | | 0 53400 | N/A## | 5 67 | | 5.60 | -0 07 | | |
| Acquired 04/01/13 S nc | | 3 20600 | N/A## | 34 02 | | 33 63 | -0 39 | | |
| Acquired 04/30/13 S nc | | 5 36700 | N/A## | 57.05 | | 56 30 | -0.75 | | |
| Acquired 05/31/13 S nc | | 5 32700 | N/A## | 56 31 | | 55 88 | -0 43 | | |
| Acquired 06/28/13 S nc | | 5 01000 | N/A## | 52 61 | | 52 55 | -0 06 | | |
| Acquired 07/31/13 S nc | | 4.99000 | N/A## | 52 49 | | 52 35 | -0 14 | | |
| Acquired 08/30/13 S nc | | 4.99500 | N/A## | 52 35 | | 52 40 | 0.05 | | |
| Acquired 09/30/13 S nc | | 4 79300 | N/A## | 50 47 | | 50.28 | -0 19 | | |
| Reinvestments S | | 19 46500 | 10.51 | 204 63 | | 204 20 | -0.43 | | |
| **Total** | **7.14** | **5,730.12800** | | **$60,297.31** | **10.4900** | **$60,109.04** | **-$188.27** | **$676.15** | **1.12** |
| Client Investment (Excluding Reinvestments) | | | | | | $60,092.68 | | | |
| Gain/Loss on Client Investment (Including Reinvestments) | | | | | | $16 36 | | | |
| **Total Open End Mutual Funds** | **72.44** | | | **$607,559.03** | | **$609,793.10** | **$2,050.42** | **$14,541.68** | **2.38** |
| **Total Mutual Funds** | **72.44** | | | **$607,559.03** | | **$609,793.10** | **$2,050.42** | **$14,541.68** | **2.38** |

## Cost information for one or more securities is not available If you have cost information and would like to see it on future statements, contact Your Financial Advisor
nc Cost information for this tax lot is not covered by IRS reporting requirements Unless indicated, cost for all other lots will be reported to the IRS

## Activity detail

### Income and distributions

| DATE | ACCOUNT TYPE | TRANSACTION | QUANTITY | DESCRIPTION | PRICE | AMOUNT |
|---|---|---|---|---|---|---|
| 12/02 | Cash | DIVIDEND | | DOUBLELINE FDS TR<br>TOTAL RETURN BD FD CL I<br>112913 7,158 51900<br>AS OF 11/29/13 | | 329 72 |
| 12/02 | Cash | DIVIDEND | | JPMORGAN TR II<br>MTF BACKED SECS FUND<br>SELECT CLASS<br>120213 6,585 34100 | | 184 39 |