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Form **990-PF**Department of the Treasury
Internal Revenue Service**Return of Private Foundation**

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

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▶ Information about Form 990-PF and its 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 ROBERT E. FRASER FOUNDATION		A Employer identification number 41-1710355
Number and street (or P.O. box number if mail is not delivered to street address) C/O 90 SOUTH SEVENTH ST.	Room/suite 4800	B Telephone number 612-877-5330
City or town, state or province, country, and ZIP or foreign postal code MINNEAPOLIS, MN 55402-4129		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ 4,945,956. (Part I, column (d) must be on cash basis)	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

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			N/A	
1 Contributions, gifts, grants, etc., received				
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
3 Interest on savings and temporary cash investments				
4 Dividends and interest from securities	114,179.	114,179.		STATEMENT 1
5a Gross rents				
b Net rental income or (loss)	287,622.			
5a Net gain or (loss) from sale of assets not on line 10				
b Gross sales price for all assets on line 5a 1,365,448.				
7 Capital gain net income (from Part IV, line 2)		287,622.		
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	19,490.	19,490.		STATEMENT 2
12 Total. Add lines 1 through 11	421,291.	421,291.		
13 Compensation of officers, directors, trustees, etc.	48,000.	24,000.		24,000.
14 Other employee salaries and wages				
15 Pension plans, employee benefits				
16a Legal fees STMT 3	3,655.	0.		3,655.
b Accounting fees				
c Other professional fees				
17 Interest				
18 Taxes STMT 4	5,645.	2,487.		0.
19 Depreciation and depletion				
20 Occupancy				
21 Travel, conferences, and meetings				
22 Printing and publications				
23 Other expenses STMT 5	40,521.	40,509.		0.
24 Total operating and administrative expenses. Add lines 13 through 23	97,821.	66,996.		27,655.
25 Contributions, gifts, grants paid	310,000.			310,000.
26 Total expenses and disbursements. Add lines 24 and 25	407,821.	66,996.		337,655.
27 Subtract line 26 from line 12	13,470.			
a Excess of revenue over expenses and disbursements		354,295.		
b Net investment income (if negative, enter -0-)				
c Adjusted net income (if negative, enter -0-)			N/A	

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LHA For Paperwork Reduction Act Notice, see instructions.

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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	20.		
	2 Savings and temporary cash investments	146,654.	131,136.	131,136.
	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			
	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 STMT 6	1,613,745.	1,676,735.	2,258,150.
	c Investments - corporate bonds			
	11 Investments - land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other STMT 7	2,496,036.	2,461,139.	2,555,059.	
14 Land, buildings, and equipment basis ▶				
Less accumulated depreciation ▶				
15 Other assets (describe ▶ STATEMENT 8)	696.	1,611.	1,611.	
16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item 1)	4,257,151.	4,270,621.	4,945,956.	
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 ▶ <input type="checkbox"/>			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	4,257,151.	4,270,621.	
	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	4,257,151.	4,270,621.	
	31 Total liabilities and net assets/fund balances	4,257,151.	4,270,621.	

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	4,257,151.
2 Enter amount from Part I, line 27a	2	13,470.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	4,270,621.
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	4,270,621.

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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 LEIDOS CASH IN LIEU	P		
b SCIENCE APPLICATION CASH IN LIEU	P		
c PPR SA CASH IN LIEU	P		
d RBC - EXHIBIT A	P	VARIOUS	11/05/13
e CAPITAL GAINS DIVIDENDS			

(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 12.			12.
b 19.			19.
c 44.			44.
d 1,287,718.		1,077,826.	209,892.
e 77,655.			77,655.

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

(i) FMV 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			12.
b			19.
c			44.
d			209,892.
e			77,655.

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	287,622.
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	215,519.	4,461,899.	.048302
2011	301,275.	4,644,808.	.064863
2010	256,827.	4,425,552.	.058033
2009	216,553.	4,045,107.	.053535
2008	270,787.	4,547,246.	.059550

2 Total of line 1, column (d)	2	.284283
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	.056857
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	4,323,611.
5 Multiply line 4 by line 3	5	245,828.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	3,543.
7 Add lines 5 and 6	7	249,371.
8 Enter qualifying distributions from Part XII, line 4	8	337,655.

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 <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	3,543.
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	3,543.
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	3,543.
6 Credits/Payments			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	2,920.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	2,920.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> 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	623.	
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?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? 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.		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input type="checkbox"/> \$ 0. (2) On foundation managers <input type="checkbox"/> \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		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		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	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	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> MN		
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	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		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		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? Website address ► N/A	13	X	
14	The books are in care of ► WILLIAM A. HAUG Telephone no ► 612-604-5316 Located at ► 4802 NICOLLET AVE S, MINNEAPOLIS, MN ZIP+4 ► 55419			
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			
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? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ►	16	Yes	No X

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

		Yes	No
1a	During the year did the foundation (either directly or indirectly)		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here N/A ► <input type="checkbox"/>	1b	
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c	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? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 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 ►		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (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

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
GEORGE P. FRASER 5110 SOUTH LAKESHORE DRIVE MAPLE PLAIN, MN 55369	VICE PRESIDENT, DIRECTOR 1.00	0.	0.	0.
DIANE CARLSON 34894 382ND ST ST PETER, MN 56082	VICE PRESIDENT, TREAS., DI 1.00	0.	0.	0.
WILLIAM A. HAUG 4802 NICOLLET AVENUE S MINNEAPOLIS, MN 55419	PRESIDENT, SECRETARY, DIR. 1.00	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

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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."

[illegible]

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

0

Total number of clients receiving over \$50,000 for professional services	
Part IX-A	Summary of Direct Charitable Activities

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

Expenses

1	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		
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	4,227,076.
b	Average of monthly cash balances	1b	118,986.
c	Fair market value of all other assets	1c	43,391.
d	Total (add lines 1a, b, and c)	1d	4,389,453.
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	4,389,453.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	65,842.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	4,323,611.
6	Minimum investment return. Enter 5% of line 5	6	216,181.

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	216,181.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	3,543.
b	Income tax for 2013 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	3,543.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	212,638.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	212,638.
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	212,638.

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	337,655.
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	337,655.
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	3,543.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	334,112.

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) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				212,638.
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	46,851.			
b From 2009	16,192.			
c From 2010	37,743.			
d From 2011	74,395.			
e From 2012				
f Total of lines 3a through e	175,181.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$	337,655.			
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				212,638.
e Remaining amount distributed out of corpus	125,017.			
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:	300,198.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
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	46,851.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	253,347.			
10 Analysis of line 9				
a Excess from 2009	16,192.			
b Excess from 2010	37,743.			
c Excess from 2011	74,395.			
d Excess from 2012				
e Excess from 2013	125,017.			

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)

- 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

[illegible]

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))

NONE

- b** List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

NONE

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

- a. The name, address, and telephone number or e-mail address of the person to whom applications should be addressed

- b. The form in which applications should be submitted and information and materials they should include**

- c Any submission deadlines**

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

Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient 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				
REDEMPTION HOUSE 12912 63RD AVE N MAPLE GROVE, MN 55369		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	10,000.
LOAVES AND FISHES 1917 LOGAN AVE S MINNEAPOLIS, MN 55403		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	25,000.
NAT'L DISASTER SEARCH DOG 206 N SIGNAL ST. SUITE R OJAI, CA 93023		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	15,000.
FEEDING OUR COMMUNITIES PARTNERS PO BOX 5275 MANKATO, MN 56002		PUBLIC CHARITY	BACKPACK FOOD PROGRAM	15,000.
BEACON INTERFAITH HOUSING COLLABORATIVE 2610 UNIVERSITY AVE W ST. PAUL, MN 55114		PUBLIC CHARITY	NICOLLET SQUARE	10,000.
Total	SEE CONTINUATION SHEET(S)			3a 310,000.
b Approved for future payment				
NONE				
Total				3b 0.

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.		


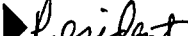

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

☐ Yes ☒ No

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship
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.				May the IRS discuss this return with the preparer shown below (see instr.)? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
	 Signature of officer or trustee		15/9/2014 Date			 Title	
Paid Preparer Use Only	Print/Type preparer's name CINDY J. ACKERMAN		Preparer's signature 		Date 5/6/14	Check <input type="checkbox"/> if self-employed	PTIN P00771663
	Firm's name ▶ MOSS & BARNETT, P.A.					Firm's EIN ▶ 41-0943845	
Firm's address ▶ 90 SOUTH SEVENTH STREET, SUITE 4800 MINNEAPOLIS, MN 55402-4129					Phone no 612-877-5000		

Form **990-PF** (2013)

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient 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
NATIONAL PARKS CONSERVATION ASSOCIATION PO BOX 2007 LIVINGSTON, MT 59047		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	10,000.
SPECIAL OLYMPICS MINNESOTA 100 WASHINGTON AVE S #550 MINNEAPOLIS, MN 55401		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	10,000.
OPEN YOUR HEART 900 N 4TH ST MINNEAPOLIS, MN 55401		PUBLIC CHARITY	PURCHASE MEMBERSHIPS FOR MEN AT THE MINNEAPOLIS ARC	15,000.
AEON 822 SOUTH THIRD STREET, STE 300 MINNEAPOLIS, MN 55415		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	5,000.
BOLDER OPTIONS 2100 STEVENS AVENUE SOUTH MINNEAPOLIS, MN 55404		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	15,000.
GROVELAND EMERGENCY FOODSHELPH 1900 NICOLLET AVE S MINNEAPOLIS, MN 55403		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	20,000.
HOSPITALITY HOUSE YOUTH DIRECTIONS 1220 LOGAN AVE N MINNEAPOLIS, MN 55411		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	30,000.
MARY'S WISH 12 E. 8TH ST. WACONIA, MN 55387		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	35,000.
MINNESOTA FOODSHARE 1001 EAST LAKE STREET MINNEAPOLIS, MN 55407		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	20,000.
NC LITTLE MEMORIAL HOSPICE 7019 LYNMAR LANE EDINA, MN 55435		PUBLIC CHARITY	GENERAL CHARITABLE PURPOSES	50,000.
Total from continuation sheets				235,000.

3 Grants and Contributions Paid During the Year (Continuation)**Total from continuation sheets**

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
FULLMER 155 LLLP	2.	0.	2.	2.	
NORTHEAST SENIORS HOUSING	474.	0.	474.	474.	
RBC	191,358.	77,655.	113,703.	113,703.	
TO PART I, LINE 4	191,834.	77,655.	114,179.	114,179.	

FORM 990-PF

OTHER INCOME

STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
NORTHEAST SENIORS HOUSING	19,197.	19,197.	
FULLMER 155 LLLP	4.	4.	
FOREIGN TAX REFUND	31.	31.	
MISCELLANEOUS	258.	258.	
TOTAL TO FORM 990-PF, PART I, LINE 11	19,490.	19,490.	

FORM 990-PF

LEGAL FEES

STATEMENT

3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MOSS & BARNETT	3,655.	0.		3,655.
TO FM 990-PF, PG 1, LN 16A	3,655.	0.		3,655.

FORM 990-PF

TAXES

STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAX PAID	2,487.	2,487.		0.
2013 ESTIMATED TAX	2,920.	0.		0.
2012 EXCISE TAX	238.	0.		0.
TO FORM 990-PF, PG 1, LN 18	5,645.	2,487.		0.

FORM 990-PF	OTHER EXPENSES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
RBC INVESTMENT FEES	40,509.	40,509.		0.	
NE SENIORS NONDEDUCTIBLE EXP	12.	0.		0.	
TO FORM 990-PF, PG 1, LN 23	40,521.	40,509.		0.	

FORM 990-PF

CORPORATE STOCK

STATEMENT 6

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
US STOCK-SEE STATEMENT 9	1,288,139.	1,803,244.
FOREIGN STOCK-SEE STATEMENT 9	388,596.	454,906.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,676,735.	2,258,150.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	7
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
TAXABLE FIXED INCOME-SEE STATEMENT 9	COST	1,374,504.	1,403,481.
MIXED ASSETS-SEE STATEMENT 9	COST	983,293.	1,045,976.
OTHER ASSETS-SEE STATEMENT 9	COST	18,566.	20,826.
FULLMER 155 LLLP	COST	12,601.	12,601.
NORTHEAST SENIORS HOUSING	COST	72,175.	72,175.
TOTAL TO FORM 990-PF, PART II, LINE 13		2,461,139.	2,555,059.

FORM 990-PF	OTHER ASSETS		STATEMENT 8
DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
2012 DIVIDENDS RECEIVED 2013	696.	0.	0.
2013 DIVIDENDS RECEIVED 2014	0.	1,611.	1,611.
TO FORM 990-PF, PART II, LINE 15	696.	1,611.	1,611.

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
FULLMER 155 LLLP	2.	0.	2.	2.	
NORTHEAST SENIORS HOUSING	474.	0.	474.	474.	
RBC	191,358.	77,655.	113,703.	113,703.	
TO PART I, LINE 4	191,834.	77,655.	114,179.	114,179.	

FORM 990-PF

OTHER INCOME

STATEMENT 2

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
NORTHEAST SENIORS HOUSING	19,197.	19,197.	
FULLMER 155 LLLP	4.	4.	
FOREIGN TAX REFUND	31.	31.	
MISCELLANEOUS	258.	258.	
TOTAL TO FORM 990-PF, PART I, LINE 11	19,490.	19,490.	

FORM 990-PF

LEGAL FEES

STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MOSS & BARNETT	3,655.	0.		3,655.
TO FM 990-PF, PG 1, LN 16A	3,655.	0.		3,655.

FORM 990-PF

TAXES

STATEMENT

4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAX PAID	2,487.	2,487.		0.
2013 ESTIMATED TAX	2,920.	0.		0.
2012 EXCISE TAX	238.	0.		0.
TO FORM 990-PF, PG 1, LN 18	5,645.	2,487.		0.

FORM 990-PF

OTHER EXPENSES

STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
RBC INVESTMENT FEES	40,509.	40,509.		0.
NE SENIORS NONDEDUCTIBLE EXP	12.	0.		0.
TO FORM 990-PF, PG 1, LN 23	40,521.	40,509.		0.

FORM 990-PF	CORPORATE STOCK	STATEMENT	6
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
US STOCK-SEE STATEMENT 9	1,288,139.	1,803,244.
FOREIGN STOCK-SEE STATEMENT 9	388,596.	454,906.
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,676,735.	2,258,150.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	7
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
TAXABLE FIXED INCOME-SEE STATEMENT 9	COST	1,374,504.	1,403,481.
MIXED ASSETS-SEE STATEMENT 9	COST	983,293.	1,045,976.
OTHER ASSETS-SEE STATEMENT 9	COST	18,566.	20,826.
FULLMER 155 LLLP	COST	12,601.	12,601.
NORTHEAST SENIORS HOUSING	COST	72,175.	72,175.
TOTAL TO FORM 990-PF, PART II, LINE 13		2,461,139.	2,555,059.

FORM 990-PF

OTHER ASSETS

STATEMENT

8

DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
2012 DIVIDENDS RECEIVED 2013	696.	0.	0.
2013 DIVIDENDS RECEIVED 2014	0.	1,611.	1,611.
TO FORM 990-PF, PART II, LINE 15	696.	1,611.	1,611.

ROBERT E FRASER FOUNDATION
ATTN WILLIAM A HAUG
C/O HEARTLAND REALTY INVESTORS
4802 NICOLLET AVE SO
MINNEAPOLIS MN 55419-5511

EXHIBIT A

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RECIPIENT'S ACCOUNT NUMBER

EIN: 41-1416330

(cont)

RBC Capital Markets, LLC - Dividends

- S Short-term capital gain distribution
W Collectibles gain distribution
X Unrecaptured Section 1250 gain distribution

RBC Capital Markets, LLC - Sales, Redemptions, and Returns of Principal

Please note that items that are checked in the 'Non-Cvrd. Sec.' column are noncovered securities and cost basis information for these items is not reported to the IRS. Cost basis information for items that are checked in the 'Basis Rptd. To IRS' column is reported to the IRS. Please see enclosed insert for additional information.

BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 -- Stocks, bonds etc.

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
00287Y109	ABBV	ABBVIE INC							
01/18/13		81.000	2,991.40	2/11/2011	1,919.42		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		12.000	544.06	2/11/2011	284.36		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		1.000	48.21	6/21/2011	27.20		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		2.000	96.43	2/11/2011	47.39		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
013817101	AA	ALCOA INC							
11/05/13		43.000	423.11	9/19/2013	362.49		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
02503X105		AMERICAN CAPITAL AGENCY CORP							
05/14/13		8.000	230.40	4/2/2012	239.04		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		121.000	3,484.84	6/22/2011	3,496.54		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
06/03/13		60.000	1,524.67	4/2/2012	1,792.79		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		10.000	217.11	4/2/2012	298.80		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
032654105	ADI	ANALOG DEVICES INC							
02/04/13		8.000	353.91	6/4/2009	195.32		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
02/22/13		88.000	4,005.67	6/4/2009	2,148.52		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		45.000	2,086.60	6/4/2009	1,098.67		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		6.000	299.33	6/4/2009	146.49		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
035710409	NLY	ANNALY CAPITAL MANAGEMENT INC							
05/14/13		40.000	588.82	4/21/2009	550.40		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		77.000	1,133.48	11/17/2008	1,027.91		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		104.000	1,530.93	9/10/2008	1,677.21		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
10/09/13		49.000	563.98	8/3/2009	843.28		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
10/09/13		59.000	679.07	4/21/2009	811.84		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		29.000	333.52	8/3/2009	499.08		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
12/11/13		46.000	460.95	2/3/2012	786.14		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
12/11/13		59.000	591.21	8/3/2009	1,015.37		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
12/11/13		170.000	1,703.53	8/7/2012	2,828.80		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
037833100	AAPL	APPLE INC							
05/14/13		3.000	1,332.27	4/21/2009	365.70		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

ROBERT E FRASER FOUNDATION
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RECIPIENT'S ACCOUNT NUMBER

(cont) RBC Capital Markets, LLC - Sales, Redemptions, and Returns of Principal

BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 - Stocks, bonds etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON- CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
037833100	AAPL	APPLE INC							
11/05/13		1.000	526.53	4/21/2009	121.90		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		1.000	526.53	12/23/2011	401.25		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
038222105	AMAT	APPLIED MATERIALS INC							
07/09/13		48.000	749.30	6/10/2013	744.16		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		12.000	214.31	6/10/2013	186.04		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
053611109	AVY	AVERY DENNISON CORP							
02/04/13		7.000	268.30	1/14/2011	295.05		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		58.000	2,518.30	1/14/2011	2,444.68		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		7.000	329.06	1/14/2011	295.05		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05615F102		BABCOCK & WILCOX CO							
02/04/13		14.000	369.73	11/17/2008	108.70		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		6.000	165.24	11/17/2008	46.59		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		10.000	275.40	8/5/2010	240.84		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		29.000	798.67	4/21/2009	435.36		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		71.000	1,955.35	3/12/2010	1,741.26		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		14.000	444.63	8/5/2010	337.17		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
071813109	BAX	BAXTER INTERNATIONAL INC							
02/04/13		7.000	479.69	6/2/2006	268.73		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		28.000	1,982.91	6/2/2006	1,074.92		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		6.000	391.25	7/31/2007	316.86		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		8.000	521.67	6/2/2006	307.12		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
097023105	BA	BOEING CO							
05/14/13		9.000	863.44	2/13/2006	649.08		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		20.000	1,918.75	12/7/2005	1,390.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/24/13		2.000	199.72	2/13/2006	144.24		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/24/13		49.000	4,893.35	4/21/2009	1,787.03		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
101137107	BSX	BOSTON SCIENTIFIC CORP							
05/14/13		293.000	2,551.97	3/14/2011	2,124.25		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		41.000	491.99	1/12/2012	227.08		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
105368203	BDN	BRANDYWINE REALTY TRUST-SBI							
02/04/13		6.000	77.75	11/24/2008	31.17		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		124.000	1,950.59	11/24/2008	641.74		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		15.000	211.34	11/24/2008	77.02		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11133T103	BR	BROADRIDGE FINANCIAL SOLUTIONS INC							
02/04/13		14.000	329.27	11/12/2007	293.93		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		129.000	3,399.20	11/12/2007	2,708.33		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

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BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 -- Stocks, bonds, etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
11133T103	BR	BROADRIDGE FINANCIAL SOLUTIONS INC							
11/05/13		17.000	593.62	11/12/2007	356.91		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
12686C109	CVC	CABLEVISION SYSTEMS CORP-CLA CABLEVISION NY GROUP COM							
02/04/13		10.000	141.99	12/7/2005	112.46		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
02/04/13		20.000	283.99	2/13/2006	224.92		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		42.000	652.28	5/24/2006	472.33		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		123.000	1,910.26	4/13/2006	1,383.27		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
07/11/13		4.000	75.99	4/21/2009	44.98		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
07/11/13		23.000	436.99	7/31/2007	258.66		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
07/11/13		95.000	1,804.96	5/24/2006	1,068.38		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		10.000	161.59	4/21/2009	112.46		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
808513105	SCHW	CHARLES SCHWAB CORP NEW							
05/14/13		17.000	315.85	8/24/2011	206.04		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		127.000	2,359.61	10/14/2011	1,606.54		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/18/13		241.000	5,880.33	10/14/2011	3,048.63		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
171232101	CB	CHUBB CORP							
02/04/13		6.000	494.38	6/4/2009	248.22		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		53.000	4,788.45	6/4/2009	2,192.61		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		5.000	463.74	6/4/2009	206.85		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
125509109	CI	CIGNA CORPORATION							
05/14/13		40.000	2,707.53	8/26/2011	1,788.11		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
08/08/13		68.000	5,361.31	8/26/2011	3,039.79		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
12/04/13		10.000	859.28	8/26/2011	447.03		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
17243V102	CNK	CINEMARK HLDGS INC							
05/14/13		57.000	1,734.47	2/8/2013	1,674.38		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		8.000	259.35	2/8/2013	235.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
189054109	CLX	CLOROX CO							
05/14/13		18.000	1,586.12	8/26/2011	1,205.95		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		21.000	1,850.47	2/3/2012	1,467.48		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		3.000	271.16	2/3/2012	209.64		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
244199105	DE	DEERE & CO							
02/04/13		3.000	279.65	6/22/2006	116.65		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		24.000	2,246.34	6/22/2006	933.19		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		9.000	738.34	6/22/2006	349.95		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
25243Q205	DEO	DIAGEO PLC-SPONSORED ADR REPSTG 4 ORD SHS							
05/14/13		2.000	251.33	7/27/2009	119.62		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		7.000	896.19	7/27/2009	418.66		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

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BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 — Stocks, bonds etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

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253651103	DBD	DIEBOLD INC							
05/14/13		44.000	1,349.88	5/9/2013	1,346.50		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		7.000	205.37	5/9/2013	214.22		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
256210105	DODIX	DODGE & COX INCOME FUND							
02/04/13		453.673	6,292.44	9/14/2005	5,820.62		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		3,030.182	42,058.92	VARIOUS	38,877.07		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		3,656.633	50,754.06	10/11/2005	46,110.14		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/16/13		591.722	8,236.77	10/11/2005	7,461.61		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		1,079.142	14,665.54	VARIOUS	13,607.96		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		4,826.529	65,592.53	12/7/2005	60,814.26		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
26441C204	DUK	DUKE ENERGY CORPORATION HOLDING COMPANY							
05/14/13		7.000	504.47	VARIOUS	351.37		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		10.000	720.68	6/2/2006	488.01		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		28.000	2,017.91	6/2/2006	1,366.43		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/18/13		10.000	680.98	10/18/2006	525.36		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/18/13		23.000	1,566.27	VARIOUS	1,164.17		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		3.000	217.67	10/18/2006	157.61		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
23337F888	DFRPX	DWS PORTFOLIO TR.FLTG.RATE FD CL S							
02/04/13		133.000	1,259.51	2/7/2011	1,259.87		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/20/13		410.000	3,915.50	2/7/2011	3,883.81		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
278642103	EBAY	EBAY INC							
05/14/13		18.000	1,011.57	9/9/2010	436.77		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
09/24/13		124.000	6,843.66	9/9/2010	3,008.84		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
268648102	EMC	EMC CORP-MASS							
05/14/13		86.000	1,976.31	9/25/2008	1,116.93		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		44.000	1,037.06	9/25/2008	571.45		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
12/02/13		112.000	2,653.23	9/25/2008	1,454.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
G30397106	ENH	ENDURANCE SPECIALTY HOLDINGS LTD							
05/14/13		5.000	254.74	2/13/2006	160.75		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		23.000	1,171.82	3/27/2009	587.74		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		44.000	2,241.74	11/17/2008	1,090.76		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		7.000	384.01	3/27/2009	178.88		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
29364G103	ETR	ENTERGY CORP NEW							
02/04/13		1.000	64.36	9/16/2008	92.31		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		31.000	2,103.61	9/16/2008	2,861.76		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		2.000	128.17	9/16/2008	184.63		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

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BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 - Stocks, bonds etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
30161N101	EXC	EXELON CORPORATION							
05/14/13		62.000	2,166.23	10/10/2011	2,521.12		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
08/12/13		5.000	155.24	11/21/2011	212.04		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
08/12/13		65.000	2,018.21	VARIOUS	2,643.92		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
08/21/13		41.000	1,225.46	8/19/2013	1,224.23		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
08/21/13		68.000	2,032.48	11/21/2011	2,883.75		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
316071604	FINSX	FIDELITY ADVISOR NEW INSIGHTS FD CL I							
02/04/13		156.003	3,719.10	4/21/2009	2,046.76		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
04/29/13		263.234	6,715.10	4/21/2009	3,453.63		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		1,240.329	32,992.74	4/21/2009	16,273.12		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/16/13		213.438	5,662.52	4/21/2009	2,800.31		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
08/12/13		187.068	5,114.45	4/21/2009	2,454.33		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		1,218.779	35,612.73	4/21/2009	15,990.38		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
31847R102	FAF	FIRST AMERICAN FINANCIAL CORPORATION							
02/04/13		17.000	403.06	12/13/2010	255.22		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		125.000	3,192.43	12/13/2010	1,876.59		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		19.000	481.45	12/13/2010	285.24		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
354613101	BEN	FRANKLIN RESOURCES INC							
02/04/13		3.000	416.87	10/27/2011	327.67		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		13.000	2,171.34	10/27/2011	1,419.88		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		16.000	842.56	10/27/2011	582.52		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
372460105	GPC	GENUINE PARTS CO							
05/14/13		11.000	866.01	4/21/2009	385.22		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		38.000	2,991.67	11/17/2008	1,389.66		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		3.000	240.92	4/21/2009	105.06		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		3.000	240.92	12/3/2010	150.27		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
423074103		H J HEINZ CO							
04/30/13		53.000	3,839.23	8/24/2010	2,464.95		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
04/30/13		118.000	8,547.72	5/10/2010	5,471.82		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		38.000	2,751.89	11/17/2009	1,609.57		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		39.000	2,824.31	12/16/2009	1,687.38		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/06/13		3.000	217.36	8/24/2010	139.53		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
423074103		H J HEINZ CO							
06/10/13		129.000	9,352.50	VARIOUS	5,986.83		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
405024100	HAE	HAEMONETICS CORP-MASS							
02/04/13		1.000	41.52	3/9/2011	31.96		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		27.000	1,069.98	5/2/2011	924.73		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG

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405024100	HAE	HAEMONETICS CORP-MASS							
05/14/13		37.000	1,466.27	3/9/2011	1,182.41		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
41664M235	HWDIX	HARTFORD MUT FDS INC WORLD BD FD CL I							
05/20/13		362.663	3,902.25	5/14/2013	3,902.25		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
418056107	HAS	HASBRO INC							
02/04/13		5.000	187.24	9/8/2006	103.55		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		24.000	1,135.89	9/8/2006	497.04		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		45.000	2,129.80	10/18/2006	1,050.30		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		8.000	416.31	10/18/2006	186.72		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
40414L109	HCP	HCP INC							
05/14/13		1.000	53.33	8/22/2005	23.90		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		23.000	1,226.79	9/14/2005	586.06		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		47.000	2,506.92	12/7/2005	1,136.53		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		10.000	407.89	12/7/2005	241.13		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
42217K106	HCN	HEALTH CARE REIT INC							
02/04/13		3.000	186.59	4/15/2008	131.69		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		1.000	75.76	4/21/2009	29.63		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		64.000	4,849.17	4/15/2008	2,786.64		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		7.000	440.99	4/21/2009	204.86		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
427866108	HSY	HERSHEY COMPANY (THE)							
05/14/13		20.000	1,794.75	6/1/2009	708.52		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		11.000	1,095.80	6/1/2009	389.69		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
42809H107	HES	HESS CORPORATION							
01/30/13		55.000	3,686.48	7/8/2010	2,968.64		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/16/13		22.000	1,509.16	8/26/2011	1,221.22		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/16/13		106.000	7,271.43	7/8/2010	5,721.38		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		5.000	403.04	8/26/2011	277.55		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
437076102	HD	HOME DEPOT INC							
02/27/13		64.000	4,354.64	12/22/2008	1,494.40		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		26.000	2,004.29	4/21/2009	673.65		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		12.000	919.42	4/21/2009	310.91		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
441060100	HSP	HOSPIRA INC							
02/12/13		23.000	803.77	7/31/2007	892.17		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
02/12/13		90.000	3,145.20	3/21/2007	3,608.97		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
02/25/13		3.000	87.87	7/31/2007	116.37		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
02/25/13		40.000	1,171.70	11/11/2011	1,297.17		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
02/25/13		44.000	1,288.87	4/21/2009	1,397.44		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

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443683107	HCBK	HUDSON CITY BANCORP INC							
02/04/13		27.000	231.92	10/28/2010	311.31		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/17/13		24.000	200.39	2/3/2012	172.32		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
06/17/13		149.000	1,244.12	10/28/2010	1,717.97		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/17/13		307.000	2,563.40						
		158.000	1,319.27	10/28/2010	1,821.74		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
		149.000	1,244.12	1/14/2011	1,960.84		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
446413106		HUNTINGTON INGALLS INDUSTRIES INC							
02/04/13		3.000	132.59	10/19/2009	89.42		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		1.000	53.98	VARIOUS	27.47		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		6.000	323.93	10/19/2009	178.84		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		14.000	755.84	2/8/2010	471.84		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		2.000	144.95	2/8/2010	67.41		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		5.000	362.39	4/8/2011	192.95		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
459200101	IBM	INTERNATIONAL BUSINESS MACHINES CORP							
05/14/13		10.000	2,025.75	10/11/2005	830.30		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		4.000	712.74	10/11/2005	332.12		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/29/13		13.000	2,340.25	10/11/2005	1,079.39		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
461202103	INTU	INTUIT INC							
02/04/13		1.000	62.18	11/9/2009	30.22		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		42.000	2,484.24	11/9/2009	1,269.21		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		2.000	143.33	12/14/2009	60.64		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		13.000	931.72	11/9/2009	392.85		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
G491BT108		INVESCO LTD							
02/04/13		11.000	299.74	1/14/2011	274.90		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		117.000	4,023.54	1/14/2011	2,923.96		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		19.000	627.36	1/14/2011	474.83		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
465685105	ITC	ITC HOLDINGS CORP							
05/14/13		13.000	1,143.71	12/14/2012	1,010.50		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		2.000	211.17	12/14/2012	155.46		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
45070A206	IWWIX	IWA FIDUCIARY TR IWA WORLDWIDE FD CLI							
02/04/13		185.450	3,059.92	7/16/2010	2,774.33		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
04/29/13		335.027	5,722.26	7/16/2010	5,012.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/20/13		315.908	5,503.12	7/16/2010	4,725.98		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		1,043.571	19,212.14	7/16/2010	15,611.82		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
47102X105	JNS	JANUS CAPITAL GROUP INC							
11/05/13		20.000	202.19	7/29/2013	185.86		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

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(cont) **RBC Capital Markets, LLC - Sales, Redemptions, and Returns of Principal**

BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 -- Stocks, bonds etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
46625H100	JPM	JPMORGAN CHASE & CO							
05/14/13		1.000	50.15	8/22/2005	34.52		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		19.000	953.01	2/8/2010	719.10		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		4.000	207.88	10/18/2010	152.63		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		15.000	779.56	2/8/2010	567.71		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
492089107	PPRU	KERING UNSPONSORED ADR							
11/05/13		35.000	778.03	6/6/2013	766.35		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
500255104	KSS	KOHLS CORP							
05/14/13		56.000	2,753.45	2/6/2013	2,584.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/20/13		14.000	718.60	2/6/2013	646.15		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		12.000	690.70	2/6/2013	553.84		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
525327102	LDOS	LEIDOS HOLDINGS INC COM							
10/02/13		0.250	11.74	1/30/2013	8.44		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
527289870	GLBIX	LEUTHOLD FDS INC GLOBAL FD INSTL CL							
08/12/13		224.000	2,573.76	2/7/2011	2,425.54		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
527289888	GLBLX	LEUTHOLD FDS INC GLOBAL FD							
02/04/13		124.138	1,341.93	2/7/2011	1,339.45		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
04/29/13		218.634	2,464.00	2/7/2011	2,359.06		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
540132305	LFMIX	LOCORR INVT TR MANAGED FUTURES STRATEGY FD I							
02/04/13		271.276	2,441.48	10/14/2011	2,512.02		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
04/29/13		520.229	4,858.94	10/14/2011	4,817.32		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/20/13		519.567	4,754.04	10/14/2011	4,811.19		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		30,704.222	249,625.32						
		28,048.711	228,036.01	VARIOUS	259,176.89		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
		2,655.511	21,589.30	2/3/2012	24,165.15		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
543915532	ALFFX	LORD ABBETT ALPHA STRATEGY: FD CL F							
02/04/13		88.050	2,262.00	10/18/2010	1,923.89		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
04/29/13		151.823	4,144.77	10/18/2010	3,317.33		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/15/13		160.606	4,594.94	10/18/2010	3,509.24		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
08/12/13		109.715	3,382.50	10/18/2010	2,397.27		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		1,056.893	34,803.48	10/18/2010	23,093.11		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
55261F104	MTB	M & T BANK CORP							
02/04/13		4.000	411.79	4/21/2009	205.04		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		7.000	725.53	5/27/2009	345.58		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		11.000	1,140.12	4/21/2009	563.86		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		11.000	1,140.12	10/13/2011	838.17		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		15.000	1,554.71	10/17/2011	1,111.64		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG

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BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 - Stocks, bonds, etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

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55261F104	MTB	M & T BANK CORP							
05/20/13		17.000	1,802.80	5/27/2009	839.26		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		5.000	557.84	10/17/2011	370.55		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		7.000	780.97	5/27/2009	345.58		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
12/16/13		16.000	1,845.32	8/8/2013	1,889.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
12/16/13		30.000	3,459.98	10/8/2010	2,309.09		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
12/16/13		33.000	3,805.98	5/27/2009	1,629.14		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
577081102	MAT	MATTEL INC							
02/04/13		22.000	852.70	9/18/2007	508.63		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		16.000	742.07	3/11/2010	363.66		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		30.000	1,391.38	4/21/2009	444.30		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		71.000	3,292.94	9/18/2007	1,641.48		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		15.000	676.33	3/11/2010	340.93		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
58155Q103	MCK	MCKESSON CORP							
05/14/13		1.000	114.81	2/7/2011	77.47		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		3.000	344.45	4/7/2010	199.64		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		24.000	2,755.61	6/10/2010	1,672.80		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/20/13		8.000	945.81	2/7/2011	619.75		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
55273G298	MDIJX	MFS SER TRX INTERNATIONAL DIVERSIFICATION FUND CL I							
02/04/13		188.394	2,780.70	12/7/2005	2,468.24		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
04/29/13		318.087	4,908.09	12/7/2005	4,167.41		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/20/13		396.484	6,288.24	12/7/2005	5,194.52		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		1,025.960	16,794.96	12/7/2005	13,441.59		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
636180101	NFG	NATIONAL FUEL GAS CO							
05/14/13		22.000	1,377.16	12/17/2012	1,171.50		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		3.000	214.25	12/18/2012	159.75		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		4.000	285.67	12/17/2012	213.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
649445103	NYCB	NEW YORK COMMUNITY BANCORP INC							
02/04/13		33.000	438.89	12/3/2009	393.93		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		105.000	1,413.27	2/8/2010	1,591.64		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		137.000	1,843.98	12/3/2009	1,635.40		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		29.000	461.67	2/8/2010	439.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
65334H102		NEXEN INC							
02/04/13		22.000	586.94	8/12/2011	455.07		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
65334H102		NEXEN INC							
03/01/13		326.000	8,965.00	VARIOUS	6,637.42		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG

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BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 - Stocks, bonds etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
65339F101	NEE	NEXTERA ENERGY INC							
05/14/13		30.000	2,401.74	10/30/2008	1,407.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		15.000	1,315.47	10/30/2008	703.50		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
65473P105	NI	NISOURCE INC COM							
05/14/13		6.000	173.88	11/17/2008	71.46		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		25.000	724.51	11/16/2007	449.50		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		57.000	1,651.88	11/16/2007	1,024.86		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
07/29/13		44.000	1,356.09	11/17/2008	524.04		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
664397106	NU	NORTHEAST UTILITIES							
05/14/13		48.000	2,104.75	12/27/2012	1,863.26		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		26.000	1,106.80	12/27/2012	1,009.27		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
66537Y314	EGLIX	NORTHERN LTS FD TR EAGLE MLP STRATEGY FD CL I SHS							
11/07/13		250.271	3,035.79	11/5/2013	3,058.31		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
665859104	NTRS	NORTHERN TRUST CORP							
05/14/13		43.000	2,432.45	1/31/2011	2,239.80		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		9.000	513.08	2/7/2011	469.52		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		9.000	513.08	1/31/2011	468.80		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
666807102	NOC	NORTHROP GRUMMAN CORP							
02/07/13		6.000	394.05	4/21/2009	256.63		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
02/07/13		24.000	1,576.18	2/8/2010	1,262.19		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
02/07/13		59.000	3,874.79	10/19/2009	2,744.23		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
03/14/13		77.000	5,189.80	2/8/2010	4,049.54		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
674599105	OXY	OCCIDENTAL PETE CORP							
05/14/13		22.000	1,996.67	6/22/2012	1,761.18		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		12.000	1,163.05	6/22/2012	960.65		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
680223104	ORI	OLD REPUBLIC INTL CORP							
02/04/13		32.000	368.95	12/7/2005	688.20		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		14.000	198.10	12/7/2005	301.09		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		30.000	424.52	2/14/2006	637.80		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		110.000	1,556.56	2/6/2008	1,689.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		36.000	613.13	2/6/2008	552.96		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
681919106	OMC	OMNICOM GROUP INC							
02/04/13		7.000	376.38	4/26/2010	302.35		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		12.000	759.94	11/3/2010	544.32		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		66.000	4,179.68	4/26/2010	2,850.68		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
07/30/13		50.000	3,171.99	11/3/2010	2,267.99		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		3.000	211.04	11/3/2010	136.08		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

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BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 - Stocks, bonds etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
68389X105	ORCL	ORACLE CORPORATION							
02/04/13		4.000	140.79	7/31/2007	76.88		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
02/04/13		7.000	246.39	2/14/2006	87.01		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		65.000	2,180.70	VARIOUS	952.39		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		6.000	201.06	4/21/2009	116.33		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		23.000	770.76	7/31/2007	442.06		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
704549104	BTU	PEABODY ENERGY CORPORATION							
11/05/13		9.000	182.87	9/10/2013	168.92		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
713448108	PEP	PEPSICO INC							
05/14/13		28.000	2,333.46	2/7/2012	1,872.36		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		7.000	593.72	9/13/2012	497.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		8.000	678.54	2/7/2012	534.96		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
74733V100	QEP	QEP RESOURCES INC							
02/04/13		4.000	118.55	1/30/2009	91.51		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		42.000	1,233.93	1/30/2009	960.84		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		17.000	565.58	1/30/2009	388.91		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
747525103	QCOM	QUALCOMM INC							
02/04/13		10.000	658.38	4/19/2011	535.14		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		30.000	1,953.90	4/19/2011	1,605.43		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
758766109	RGC	REGAL ENTERTAINMENT GROUP CL A							
02/04/13		15.000	220.04	12/19/2012	208.38		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		179.000	3,361.56	12/19/2012	2,486.67		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/23/13		58.000	1,084.59	12/19/2012	805.74		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
774341101	COL	ROCKWELL COLLINS INC							
02/04/13		4.000	233.91	7/16/2008	188.79		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		25.000	1,640.21	7/16/2008	1,179.91		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
78390X101		SAIC INC							
05/14/13		215.000	3,250.91	1/30/2013	2,642.35		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
80589M102	SCG	SCANA CORPORATION NEW							
02/04/13		1.000	46.83	2/12/2009	33.47		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		32.000	1,690.52	3/27/2009	992.31		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		47.000	2,482.95	2/12/2009	1,573.14		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/04/13		4.000	201.43	9/2/2009	137.83		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/04/13		23.000	1,158.26	4/21/2009	709.32		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/04/13		29.000	1,460.43	3/27/2009	899.28		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
10/18/13		58.000	2,699.76	9/2/2009	1,998.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

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DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
806857108	SLB	SCHLUMBERGER LTD							
05/14/13		16.000	1,228.29	10/19/2011	1,093.60		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		9.000	832.66	10/19/2011	615.15		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
808625107	SAIC	SCIENCE APPLICATIONS INTERNATIONAL CORPORATION							
09/27/13		0.571	18.96	1/30/2013	15.40		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
808625107	SAIC	SCIENCE APPLICATIONS INTERNATIONAL CORPORATION							
12/31/13		9.000	299.15	1/30/2013	242.58		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
816851109	SRE	SEMPRA ENERGY							
05/14/13		2.000	164.33	12/7/2005	88.32		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		13.000	1,068.18	7/24/2009	676.38		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		17.000	1,396.85	4/21/2009	775.37		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		17.000	1,396.85	2/14/2006	786.76		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
07/11/13		24.000	1,986.29	7/24/2009	1,248.71		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
835495102	SON	SONOCO PRODUCTS CO							
02/04/13		2.000	62.37	8/26/2011	58.65		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		84.000	2,989.50	8/26/2011	2,463.49		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		9.000	363.68	8/26/2011	263.95		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
78463V107	GLD	SPDR GOLD TR GOLD SHS							
01/04/13		5.000	802.03	4/21/2009	434.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
01/04/13		9.000	1,443.65	12/27/2005	455.58		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
01/04/13		52.000	8,341.14	VARIOUS	2,635.84		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		10.000	1,379.76	4/21/2009	868.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		11.000	1,517.74	10/15/2009	1,133.65		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/21/13		37.000	4,632.78	10/15/2009	3,813.19		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
784635104	SPW	SPX CORP							
02/04/13		8.000	598.14	2/8/2010	436.69		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/07/13		33.000	2,601.72	6/25/2010	1,845.35		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
06/07/13		65.000	5,124.60	2/8/2010	3,548.12		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
07/24/13		22.000	1,648.95	6/25/2010	1,230.24		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
790849103	STJ	ST JUDE MEDICAL INC							
02/04/13		15.000	615.28	1/29/2008	617.65		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		1.000	45.95	11/24/2008	27.50		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		12.000	551.50	1/29/2008	494.12		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		69.000	3,171.16	3/17/2008	2,846.94		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		11.000	632.81	11/24/2008	302.50		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
855030102	SPLS	STAPLES INC							
05/14/13		79.000	1,142.31	5/7/2013	1,100.46		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

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(cont) RBC Capital Markets, LLC - Sales, Redemptions, and Returns of Principal

BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 - Stocks, bonds, etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
855030102	SPLS	STAPLES INC							
11/05/13		36.000	581.45	5/7/2013	501.48		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
866674104	SUI	SUN COMMUNITIES INC							
05/14/13		66.000	3,579.09	1/12/2012	2,316.71		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		10.000	439.29	1/12/2012	342.78		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
867914103	STI	SUNTRUST BANKS INC							
05/14/13		20.000	615.63	4/5/2012	480.39		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		37.000	1,138.92	10/26/2011	710.72		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		66.000	2,031.60	10/20/2011	1,264.95		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		17.000	577.85	10/26/2011	326.55		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		40.000	1,359.67	4/5/2012	960.77		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
871829107	SY	SYSCO CORP							
05/14/13		118.000	4,102.87	9/28/2012	3,693.05		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		12.000	401.51	9/28/2012	375.56		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
872375100	TE	TECO ENERGY INC							
02/04/13		18.000	313.91	10/1/2012	318.78		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		148.000	2,752.86	10/1/2012	2,621.08		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		18.000	315.17	10/1/2012	318.78		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
879433829	TDS	TELEPHONE & DATA SYSTEM INC							
02/04/13		3.000	76.64	12/7/2005	106.65		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
02/04/13		9.000	229.94	12/7/2005	319.95		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		5.000	113.94	4/21/2009	120.50		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		18.000	410.21	7/31/2007	1,121.22		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		23.000	524.15	VARIOUS	797.89		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		31.000	706.47	8/29/2007	1,869.92		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		9.000	273.77	4/21/2009	216.90		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
882508104	TXN	TEXAS INSTRUMENTS INCORPORATED							
02/04/13		3.000	100.13	12/7/2005	100.53		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		54.000	1,973.65	12/7/2005	1,809.54		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		31.000	1,302.03	12/7/2005	1,038.81		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
885215467	TIBIX	THORNBURG INVT TR INVT INCOME BUILDER FD CL I							
02/04/13		209.578	4,143.36	2/7/2011	4,126.59		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/20/13		374.287	7,878.75	2/7/2011	7,369.71		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		237.080	4,945.48	2/7/2011	4,668.11		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
887317303	TWX	TIME WARNER INC							
05/14/13		40.000	2,448.74	2/19/2010	1,175.14		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		22.000	1,497.07	2/19/2010	646.33		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

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BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 Stocks, bonds etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON-CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
887317303	TWX	TIME WARNER INC							
11/22/13		78 000	5,214.53	2/19/2010	2,291.52		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
87264S106	TRW	TRWAUTOMOTIVE HOLDINGS INC							
05/14/13		30.000	1,866.25	5/15/2012	1,199.45		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		5.000	376.34	5/15/2012	199.91		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		11.000	827.95	6/7/2012	435.91		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
H89231338	UBS	UBS AG							
05/14/13		89.000	1,597.59	2/26/2013	1,407.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		46.000	839.02	2/26/2013	727.52		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
904784709	UN	UNILEVER N V YORK SHS ADR							
05/14/13		16.000	667.98	2/3/2012	532.15		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
05/14/13		34.000	1,419.46	5/18/2011	1,104.66		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		26.000	1,029.32	2/3/2012	864.75		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
911312106	UPS	UNITED PARCEL SVC INC CL B							
05/14/13		14.000	1,237.43	4/20/2012	1,123.75		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		11.000	1,105.48	4/20/2012	882.94		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
922031406	VFSTX	VANGUARD FIXED INC SECS FD INC SHORT TERM INVT GRADE FUND							
02/04/13		315.708	3,419.12	2/8/2010	3,378.08		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
04/29/13		552.000	5,972.64	2/8/2010	5,906.40		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		4,178.000	45,164.18	2/8/2010	44,704.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/16/13		507.530	5,491.48	2/8/2010	5,430.57		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
922908736	VUG	VANGUARD INDEX FUNDS VANGUARD GROWTH ETF							
02/04/13		43.000	3,191.81	2/11/2008	2,524.10		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
04/29/13		63.000	4,931.52	2/11/2008	3,698.10		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		309 000	25,245.01	2/11/2008	18,138.30		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/16/13		58.000	4,736.75	2/11/2008	3,404.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		324.000	28,658.11	2/11/2008	19,018.80		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
92342Y109	PAY	VERIFONE SYSTEMS INC							
03/01/13		205.000	3,905.16	1/25/2013	7,379.89		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		69.000	1,627.67	4/19/2013	1,322.07		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
07/03/13		65.000	1,083.03	4/19/2013	1,245.43		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		6.000	135.35	4/19/2013	114.96		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
38388F108	GRA	W R GRACE & CO-DEL NEW							
05/14/13		34.000	2,702.59	12/12/2011	1,436.81		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
11/05/13		5.000	463.64	12/12/2011	211.30		<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
254687106	DIS	WALT DISNEY CO							
05/14/13		21.000	1,410.74	10/24/2012	1,069.46		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

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BOXES 1a, 1b, 1c, 1d, 1e, 2a, 3, 5, 6a, 6b & 8 - Stocks, bonds etc. (cont)

SECURITY ID, SYMBOL (Box 1d) & DESCRIPTION (Box 8)

DATE OF SALE (Box 1a)	NOTES	QUANTITY (Box 1e)	NET PROCEEDS (Box 2a)	DATE OF ACQUISITION (Box 1b)	NET COST (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	NON- CVRD SEC (6a)	BASIS RPTD TO IRS (6b)	TERM (Box 1c)
254687106	DIS	WALT DISNEY CO							
11/05/13		17.000	1,171.27	10/24/2012	865.75		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
98389B100	XEL	XCEL ENERGY INC							
01/22/13		91.000	2,487.11	10/17/2008	1,540.63		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		72.000	2,159.23	10/17/2008	1,218.96		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		3.000	86.21	10/17/2008	50.79		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
984121103	XRX	XEROX CORP							
02/04/13		48.000	381.66	2/9/2010	401.47		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		316.000	2,812.61	2/9/2010	2,643.03		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		17.000	175.09	2/9/2010	142.19		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		22.000	226.59	3/5/2010	215.60		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
98956P102	ZMH	ZIMMER HOLDINGS INC							
05/14/13		10.000	808.88	11/17/2008	403.70		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/14/13		24.000	1,941.31	3/18/2008	1,838.58		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
05/20/13		12.000	969.57	11/17/2008	484.44		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
11/05/13		6.000	533.99	11/17/2008	242.22		<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG

	NET PROCEEDS	NET COST	WASH SALE LOSS DISALLOWED	NON- CVRD SEC	BASIS RPTD TO IRS	TERM
Boxes 2a, 3 & 5 SUBTOTALS	\$0.00	\$0.00	\$0.00	<input checked="" type="checkbox"/>	<input type="checkbox"/>	UNKNOWN
	\$0.00	\$0.00	\$0.00	<input checked="" type="checkbox"/>	<input type="checkbox"/>	SHORT
	\$1,161,980.76	\$971,553.36	\$0.00	<input checked="" type="checkbox"/>	<input type="checkbox"/>	LONG
	\$0.00	\$0.00	\$0.00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	SHORT
	\$125,736.98	\$106,272.60	\$0.00	<input type="checkbox"/>	<input checked="" type="checkbox"/>	LONG
Boxes 2a, 3 & 5 TOTAL	\$1,287,717.74	\$1,077,825.96	\$0.00			

Please note items that are checked in the "Non-Cvrd. Sec." column are noncovered securities and cost basis information for these items is not reported to the IRS. Cost basis information for items that are checked in the 'Basis Rptd. To IRS' column is reported to the IRS. Please see enclosed insert for additional information.

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