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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052




2013

Open to Public Inspection

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

Name of foundation DAVID B LICHTENSTEIN FOUNDATION		A Employer identification number 43-6033786	
Number and street (or P O box number if mail is not delivered to street address) 1400 FORUM BLVD SUITE 38		B Telephone number (see instructions) (314) 290-3300	
City or town, state or province, country, and ZIP or foreign postal code COLUMBIA, MO 65203		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div>		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) \$ 12,110,402	J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)	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) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	115,389	115,389		
	4 Dividends and interest from securities.	323,815	323,815		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	248,744			
	b Gross sales price for all assets on line 6a 2,411,259				
	7 Capital gain net income (from Part IV, line 2) . . .		248,744		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
Operating and Administrative Expenses	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	687,948	687,948		
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)	3,000	3,000		
	b Accounting fees (attach schedule)	6,760	6,760		
	c Other professional fees (attach schedule)	70,733	70,733		
	17 Interest	50,537	50,537		
	18 Taxes (attach schedule) (see instructions)	1,162	1,162		
	19 Depreciation (attach schedule) and depletion . . .	421	421		
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	13,582	13,582		
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	146,195	146,195		0
	25 Contributions, gifts, grants paid	754,795			754,795
	26 Total expenses and disbursements. Add lines 24 and 25	900,990	146,195		754,795
	27 Subtract line 26 from line 12				
a Excess of revenue over expenses and disbursements		-213,042			
b Net investment income (if negative, enter -0-)			541,753		
c Adjusted net income (if negative, enter -0-)					

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	1,190,661	640,153	640,153
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	7,348,970	 7,755,344	9,285,732
	c	Investments—corporate bonds (attach schedule).	2,289,716	 2,221,229	2,183,260
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ 2,151 Less accumulated depreciation (attach schedule) ▶ _____ 894	1,678	 1,257	1,257
15	Other assets (describe ▶ _____)				
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	10,831,025	10,617,983	12,110,402	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)		0	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted	10,831,025	10,617,983	
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see page 17 of the instructions)	10,831,025	10,617,983	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	10,831,025	10,617,983	

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	10,831,025
2	Enter amount from Part I, line 27a	2	-213,042
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	10,617,983
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	10,617,983

Part IV Capital Gains and Losses for Tax on Investment Income

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

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

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

2	Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	248,744
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	113,244

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	1,114,449	11,270,600	0 098881
2011	657,103	11,807,874	0 055650
2010	656,837	11,807,874	0 055627
2009	644,430	14,608,727	0 044113
2008	1,011,072	16,462,445	0 061417

2	Total of line 1, column (d).	2	0 315688
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 063138
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	11,451,163
5	Multiply line 4 by line 3.	5	723,004
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	5,418
7	Add lines 5 and 6.	7	728,422
8	Enter qualifying distributions from Part XII, line 4. If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions	8	754,795

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)			
1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1		1	5,418
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			
c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	
3 Add lines 1 and 2.		3	5,418
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		4	
5 Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-		5	5,418
6 Credits/Payments			
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	3,120
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	3,120
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	2,298
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			
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		1a	No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?		1b	No
If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.			
c Did the foundation file Form 1120-POL for this year?.		1c	No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation \$ (2) On foundation managers \$			
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers \$			
2 Has the foundation engaged in any activities that have not previously been reported to the IRS?		2	No
If "Yes," attach a detailed description of the activities.			
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		3	No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?.		4a	No
b If "Yes," has it filed a tax return on Form 990-T for this year?.		4b	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year?		5	No
If "Yes," attach the statement required by General Instruction T.			
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either <ul style="list-style-type: none">By language in the governing instrument, orBy state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?		6	Yes
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV.		7	Yes
8a Enter the states to which the foundation reports or with which it is registered (see instructions)			
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation .		8b	Yes
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV		9	No
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses.		10	No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address N/A				
14	The books are in care of CONNIE POPEJOY Telephone no (314) 290-3300 Located at 1400 FORUM BLVD STE 38 COLUMBIA MO ZIP+4 65203			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here and enter the amount of tax-exempt interest received or accrued during the year.	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?. Organizations relying on a current notice regarding disaster assistance check here.	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		
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?. If "Yes," list the years 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.</i>)	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b		No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a

During the year did the foundation pay or incur any amount to

(1)

Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

Yes

No

(2)

Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?

Yes

No

(3)

Provide a grant to an individual for travel, study, or other similar purposes?

Yes

No

(4)

Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions).

Yes

No

(5)

Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

Yes

No

b

If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

5b

Organizations relying on a current notice regarding disaster assistance check here.

c

If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

Yes

No

If "Yes," attach the statement required by Regulations section 53.4945–5(d).

6a

Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

Yes

No

b

Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

6b

No

If "Yes" to 6b, file Form 8870.

7a

At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

Yes

No

b

If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?

7b

Part VIII

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

1

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Additional Data Table				

2

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

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

Total number of other employees paid over \$50,000.

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Part VIII

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

NONE

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

Part IX-A

1

2

3

4

Part IX-B

1 N/A

2

All other program-related investments See page 24 of the instructions

3

Total. Add lines 1 through 3

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	10,708,672
b	Average of monthly cash balances.	1b	915,407
c	Fair market value of all other assets (see instructions).	1c	1,467
d	Total (add lines 1a, b, and c).	1d	11,625,546
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	11,625,546
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	174,383
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	11,451,163
6	Minimum investment return. Enter 5% of line 5.	6	572,558

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	572,558
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	5,418
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	5,418
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	567,140
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	567,140
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	567,140

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	754,795
b	Program-related investments—total from Part IX-B.	1b	
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	754,795
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	5,418
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	749,377
Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years			

Part XIII

Undistributed Income (see instructions)

		(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1	Distributable amount for 2013 from Part XI, line 7				567,140
2	Undistributed income, if any, as of the end of 2013				
a	Enter amount for 2012 only.				
b	Total for prior years 20____, 20____, 20____				
3	Excess distributions carryover, if any, to 2013				
a	From 2008.				137,564
b	From 2009.				36,199
c	From 2010.				98,800
d	From 2011.				87,843
e	From 2012.				555,017
f	Total of lines 3a through e.	915,423			
4	Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 754,795				
a	Applied to 2012, but not more than line 2a				
b	Applied to undistributed income of prior years (Election required—see instructions).				
c	Treated as distributions out of corpus (Election required—see instructions).				
d	Applied to 2013 distributable amount.				567,140
e	Remaining amount distributed out of corpus	187,655			
5	Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6	Enter the net total of each column as indicated below:				
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5	1,103,078			
b	Prior years' undistributed income Subtract line 4b from line 2b.				
c	Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d	Subtract line 6c from line 6b Taxable amount—see instructions				
e	Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions				
f	Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0
7	Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8	Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . .	137,564			
9	Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	965,514			
10	Analysis of line 9				
a	Excess from 2009. . . .				36,199
b	Excess from 2010. . . .				98,800
c	Excess from 2011. . . .				87,843
d	Excess from 2012. . . .				555,017
e	Excess from 2013. . . .				187,655

Part XIVPrivate Operating Foundations (see instructions and Part VII-A, question 9)

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed.	Tax year	Prior 3 years			(e) Total
		(a) 2013	(b) 2012	(c) 2011	(d) 2010	
b	85% of line 2a					
c	Qualifying distributions from Part XII, line 4 for each year listed.					
d	Amounts included in line 2c not used directly for active conduct of exempt activities.					
e	Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c.					
3	Complete 3a, b, or c for the alternative test relied upon					
a	"Assets" alternative test—enter					
	(1) Value of all assets					
	(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b	"Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c	"Support" alternative test—enter					
	(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties).					
	(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
	(3) Largest amount of support from an exempt organization					
	(4) Gross investment income					

Part XVSupplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)

1

Information Regarding Foundation Managers:

a

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

b

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

2

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

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

a

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

DAVIDA LAYER
1400 FORUM BLVD STE 38
COLUMBIA,MO 65203
(573) 445-9176

b

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

NO PRECISE FORMAT

c

Any submission deadlines

d

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

100% OF THE AWARD MUST REMAIN IN MISSOURI

Form 990-PF (2013)

Part XV

Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	754,795
b Approved for future payment				
Total			3b	

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Part XVII

Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

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?

Yes

No

a

Transfers from the reporting foundation to a noncharitable exempt organization of

(1)

Cash.

1a(1)

No

(2)

Other assets.

1a(2)

No

b

Other transactions

(1)

Sales of assets to a noncharitable exempt organization.

1b(1)

No

(2)

Purchases of assets from a noncharitable exempt organization.

1b(2)

No

(3)

Rental of facilities, equipment, or other assets.

1b(3)

No

(4)

Reimbursement arrangements.

1b(4)

No

(5)

Loans or loan guarantees.

1b(5)

No

(6)

Performance of services or membership or fundraising solicitations.

1b(6)

No

c

Sharing of facilities, equipment, mailing lists, other assets, or paid employees.

1c

No

d

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

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

2a

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

Yes

No

b

If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

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

Signature of officer or trustee

2014-07-31

Date

Title

May the IRS discuss this return with the preparer shown below (see instr.)?

Yes

No

Paid Preparer Use Only

Print/Type preparer's name
CHERYL V EDINGTON
CPA

Preparer's Signature

Date
2014-08-12

Check if self-employed ☒

PTIN
P00063024

Firm's name BAER & EDINGTON LLC

Firm's EIN 43-1723158

Firm's address 3005 CHINABERRY DR STE A COLUMBIA, MO 652013721

Phone no (573) 875-2525

Form 990-PF (2013)

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

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
SEE ATTACHED STIFEL ACCT 5942	P	2013-01-15	2013-12-31
SEE ATTACHED STIFEL ACCT 5942	P	2013-01-15	2013-12-31
SEE ATTACHED STIFEL ACCT 5942	P	2013-01-15	2013-12-31
SEE ATTACHED STIFEL ACCT 0274	P	2013-01-15	2013-12-31
SEE ATTACHED STIFEL ACCT 0274	P	2013-01-15	2013-12-31
SEE ATTACHED STIFEL ACCT 3764	P	2013-01-15	2013-12-31
SEE ATTACHED STIFEL ACCT 3764	P	2013-01-15	2013-12-31
SEE ATTACHED STIFEL ACCT 9450	P	2013-01-15	2013-12-31
SEE ATTACHED STIFEL ACCT 9450	P	2013-01-15	2013-12-31
SEE ATTACHED STIFEL ACCT 9450	P	2013-01-15	2013-12-31






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

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
617,713		528,794	88,919
201,407		175,192	26,215
143,430		100,835	42,595
227,687		183,092	44,595
183,601		145,547	38,054
406,202		426,472	-20,270
74,278		80,462	-6,184
200,000		200,000	
200,000		172,121	27,879
150,000		150,000	


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

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			88,919
			26,215
			42,595
			44,595
			38,054
			-20,270
			-6,184
			27,879

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
RANDY LAYER  1400 FORUM BLVD SUITE 38 COLUMBIA, MO 65203	VICE CHAIRMA 14 00	0	0	0
CONNIE POPEJOY  1400 FORUM BLVD SUITE 38 COLUMBIA, MO 65203	TREASURER 5 76	0	0	0
DAVIDA LAYER  1400 FORUM BLVD SUITE 38 COLUMBIA, MO 65203	CHAIRMAN 28 00	0	0	0
GAIL ABERNATHY  1400 FORUM BLVD SUITE 38 COLUMBIA, MO 65203	SECRETARY 2 00	0	0	0
KEVIN POPEJOY  1400 FORUM BLVD SUITE 38 COLUMBIA, MO 65203	TRUSTEE 1 00	0	0	0

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
ST LOUIS ZOO 1 GOVERNMENT DR ST LOUIS,MO 63110	NONE	PUB CHARITY	GENERAL SUPPORT	412,500
THE MUNY 1 THEATRE DRIVE ST LOUIS,MO 63112	NONE	PUB CHARITY	GENERAL SUPPORT	200,000
UNIVERSITY OF MISSOURI 109 REYNOLDS ALUMNI CENTE COLUMBIA,MO 65211	NONE	UNIVERSITY	GENERAL SUPPORT	19,295
VARIETY CHILDRENS CHARITY 2200 WESTPORT PLAZA DRIVE ST LOUIS,MO 63146	NONE	PUB CHARITY	GENERAL SUPPORT	62,000
ELLIS FISCHER CANCER CENTER ONE HOSPITAL DRIVE COLUMBIA,MO 65212	NONE	HOSPITAL	GENERAL SUPPORT	10,000
HOUSE OF GODS LOVE ORPHANAGE PO BOX 257760 CHICAGO,IL 60625	NONE	PUBLIC CHARI	GENERAL SUPPORT	1,000
NEW CENTURY FUND PO BOX 6015 COLUMBIA,MO 65205	NONE	PUBLIC CHARI	GENERAL SUPPORT	50,000
Total  3a				754,795

Form **4562**

Department of the Treasury
Internal Revenue Service (99)

Depreciation and Amortization
(Including Information on Listed Property)

▶ See separate instructions. ▶ Attach to your tax return.

OMB No 1545-0172

2013

Attachment
Sequence No **179**

Name(s) shown on return
DAVID B LICHTENSTEIN FOUNDATION

Business or activity to which this form relates
INDIRECT DEPRECIATION

Identifying number

43-6033786

Part I Election To Expense Certain Property Under Section 179

Note: If you have any listed property, complete Part V before you complete Part I.

1	Maximum amount (see instructions)	1	500,000
2	Total cost of section 179 property placed in service (see instructions)	2	
3	Threshold cost of section 179 property before reduction in limitation (see instructions)	3	2,000,000
4	Reduction in limitation Subtract line 3 from line 2 If zero or less, enter -0-	4	
5	Dollar limitation for tax year Subtract line 4 from line 1 If zero or less, enter -0- If married filing separately, see instructions	5	

6	(a) Description of property	(b) Cost (business use only)	(c) Elected cost	
7	Listed property Enter the amount from line 29	7		
8	Total elected cost of section 179 property Add amounts in column (c), lines 6 and 7	8		
9	Tentative deduction Enter the smaller of line 5 or line 8	9		
10	Carryover of disallowed deduction from line 13 of your 2012 Form 4562	10		
11	Business income limitation Enter the smaller of business income (not less than zero) or line 5 (see instructions)	11		
12	Section 179 expense deduction Add lines 9 and 10, but do not enter more than line 11	12		
13	Carryover of disallowed deduction to 2014 Add lines 9 and 10, less line 12	13		

Note: Do not use Part II or Part III below for listed property. Instead, use Part V.

Part II Special Depreciation Allowance and Other Depreciation (Do not include listed property) (See instructions)

14	Special depreciation allowance for qualified property (other than listed property) placed in service during the tax year (see instructions)	14	
15	Property subject to section 168(f)(1) election	15	
16	Other depreciation (including ACRS)	16	421

Part III MACRS Depreciation (Do not include listed property.) (See instructions.)

Section A

17	MACRS deductions for assets placed in service in tax years beginning before 2013	17	
18	If you are electing to group any assets placed in service during the tax year into one or more general asset accounts, check here		

Section B—Assets Placed in Service During 2013 Tax Year Using the General Depreciation System

(a) Classification of property	(b) Month and year placed in service	(c) Basis for depreciation (business/investment use only—see instructions)	(d) Recovery period	(e) Convention	(f) Method	(g) Depreciation deduction
19a 3-year property						
b 5-year property						
c 7-year property						
d 10-year property						
e 15-year property						
f 20-year property						
g 25-year property			25 yrs		S/L	
h Residential rental property			27 5 yrs	MM	S/L	
			27 5 yrs	MM	S/L	
i Nonresidential real property			39 yrs	MM	S/L	
				MM	S/L	

Section C—Assets Placed in Service During 2013 Tax Year Using the Alternative Depreciation System

20a Class life					S/L	
b 12-year			12 yrs		S/L	
c 40-year			40 yrs	MM	S/L	

Part IV Summary (see instructions.)

21	Listed property Enter amount from line 28	21	
22	Total. Add amounts from line 12, lines 14 through 17, lines 19 and 20 in column (g), and line 21 Enter here and on the appropriate lines of your return Partnerships and S corporations—see instructions	22	421
23	For assets shown above and placed in service during the current year, enter the portion of the basis attributable to section 263A costs	23	

Part V

Listed Property (Include automobiles, certain other vehicles, certain computers, and property used for entertainment, recreation, or amusement.)
Note: For any vehicle for which you are using the standard mileage rate or deducting lease expense, complete **only** 24a, 24b, columns (a) through (c) of Section A, all of Section B, and Section C if applicable.

Section A—Depreciation and Other Information (Caution: See the instructions for limits for passenger automobiles.)

24a Do you have evidence to support the business/investment use claimed? <input type="checkbox"/> Yes <input type="checkbox"/> No						24b If "Yes," is the evidence written? <input type="checkbox"/> Yes <input type="checkbox"/> No			
(a) Type of property (list vehicles first)	(b) Date placed in service	(c) Business/ investment use percentage	(d) Cost or other basis	(e) Basis for depreciation (business/investment use only)	(f) Recovery period	(g) Method/ Convention	(h) Depreciation/ deduction	(i) Elected section 179 cost	
25Special depreciation allowance for qualified listed property placed in service during the tax year and used more than 50% in a qualified business use (see instructions)							25		
26 Property used more than 50% in a qualified business use									
		%							
		%							
		%							
27 Property used 50% or less in a qualified business use									
		%				S/L -			
		%				S/L -			
		%				S/L -			
28 Add amounts in column (h), lines 25 through 27 Enter here and on line 21, page 1						28			
29 Add amounts in column (i), line 26 Enter here and on line 7, page 1							29		

Section B—Information on Use of Vehicles

Complete this section for vehicles used by a sole proprietor, partner, or other "more than 5% owner," or related person
If you provided vehicles to your employees, first answer the questions in Section C to see if you meet an exception to completing this section for those vehicles

30 Total business/investment miles driven during the year (do not include commuting miles) . . .	(a) Vehicle 1		(b) Vehicle 2		(c) Vehicle 3		(d) Vehicle 4		(e) Vehicle 5		(f) Vehicle 6	
31 Total commuting miles driven during the year . . .												
32 Total other personal(noncommuting) miles driven . . .												
33 Total miles driven during the year Add lines 30 through 32												
34 Was the vehicle available for personal use during off-duty hours?	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No
35 Was the vehicle used primarily by a more than 5% owner or related person?												
36 Is another vehicle available for personal use? . . .												

Section C—Questions for Employers Who Provide Vehicles for Use by Their Employees

Answer these questions to determine if you meet an exception to completing Section B for vehicles used by employees who **are not** more than 5% owners or related persons (see instructions)

37 Do you maintain a written policy statement that prohibits all personal use of vehicles, including commuting, by your employees?	Yes	No
38 Do you maintain a written policy statement that prohibits personal use of vehicles, except commuting, by your employees? See the instructions for vehicles used by corporate officers, directors, or 1% or more owners		
39 Do you treat all use of vehicles by employees as personal use?		
40 Do you provide more than five vehicles to your employees, obtain information from your employees about the use of vehicles, and retain the information received?		
41 Do you meet the requirements concerning qualified automobile demonstration use? (See instructions)		
Note: If your answer to 37, 38, 39, 40, or 41 is "Yes," do not complete Section B for the covered vehicles		

Part VI Amortization

(a) Description of costs	(b) Date amortization begins	(c) Amortizable amount	(d) Code section	(e) Amortization period or percentage	(f) Amortization for this year
42 Amortization of costs that begins during your 2013 tax year (see instructions)					
43 Amortization of costs that began before your 2013 tax year				43	
44 Total. Add amounts in column (f) See the instructions for where to report				44	

TY 2013 Accounting Fees Schedule

Name: DAVID B LICHTENSTEIN FOUNDATION

EIN: 43-6033786

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
	6,760	6,760		

TY 2013 Compensation Explanation**Name:** DAVID B LICHTENSTEIN FOUNDATION**EIN:** 43-6033786

Person Name	Explanation
RANDY LAYER	
CONNIE POPEJOY	
DAVIDA LAYER	
GAIL ABERNATHY	
KEVIN POPEJOY	

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

TY 2013 Depreciation Schedule

Name: DAVID B LICHTENSTEIN FOUNDATION

EIN: 43-6033786

Description of Property	Date Acquired	Cost or Other Basis	Prior Years' Depreciation	Computation Method	Rate / Life (# of years)	Current Year's Depreciation Expense	Net Investment Income	Adjusted Net Income	Cost of Goods Sold Not Included
SCANNER	2011-06-27	795	170	S/L	7 0000	114	114		
SCANNER	2011-07-10	189	41	S/L	7 0000	27	27		
PRINTER	2011-08-23	234	45	S/L	7 0000	33	33		
SOFTWARE	2012-02-01	593	181		3 0000	198	198		
PHOTO CAMERA	2012-04-09	340	36	S/L	7 0000	49	49		

TY 2013 Investments Corporate Bonds Schedule

Name: DAVID B LICHTENSTEIN FOUNDATION

EIN: 43-6033786

Name of Bond	End of Year Book Value	End of Year Fair Market Value
CORPORATE BONDS	2,221,229	2,183,260

**TY 2013 Investments Corporate
Stock Schedule****Name:** DAVID B LICHTENSTEIN FOUNDATION**EIN:** 43-6033786

Name of Stock	End of Year Book Value	End of Year Fair Market Value
TRANSPORT HOLDINGS	345	345
US HOME FINANCE CORP	3,771	3,771
AMBASSADOR	169	169
FOX ST LOUIS	345	345
STIFEL NICOLAUS - SEE ATTACHED	7,750,714	9,281,102

TY 2013 Land, Etc. Schedule

Name: DAVID B LICHTENSTEIN FOUNDATION

EIN: 43-6033786

Category / Item	Cost / Other Basis	Accumulated Depreciation	Book Value	End of Year Fair Market Value
	2,151	894	1,257	1,257

TY 2013 Legal Fees Schedule

Name: DAVID B LICHTENSTEIN FOUNDATION

EIN: 43-6033786

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
GREEN JACOBSON, PC	3,000	3,000		

TY 2013 Other Expenses Schedule**Name:** DAVID B LICHTENSTEIN FOUNDATION**EIN:** 43-6033786

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXPENSES				
DUES	871	871		
INSURANCE	2,200	2,200		
IT SERVICE	1,044	1,044		
OFFICE SUPPLIES	1,212	1,212		
SCANNING	220	220		
STORAGE	50	50		
TELEPHONE	7,985	7,985		

TY 2013 Other Professional Fees Schedule**Name:** DAVID B LICHTENSTEIN FOUNDATION**EIN:** 43-6033786

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ADVISORY FEES ACCT 5942	39,372	39,372		
ADVISORY FEES ACCT 0274	16,937	16,937		
ADVISORY FEES ACCT 3764	14,424	14,424		

TY 2013 Taxes Schedule**Name:** DAVID B LICHTENSTEIN FOUNDATION**EIN:** 43-6033786

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX ON DIVIDENDS 0274	768	768		
FOREIGN TAX ON DIVIDENDS 9450	394	394		

STIFEL

ONE FINANCIAL PLAZA
501 NORTH BROADWAY
ST. LOUIS, MO 63102

THE DAVID B. LICHTENSTEIN
FOUNDATION
CAPSTONE MANAGED ACCOUNT

2013 CONSOLIDATED FORM 1099
ORIGINAL 02/07/14

PAYER INFORMATION:		
STIFEL, NICOLAUS & COMPANY, INCORPORATED		
FEDERAL ID NO: 43-0538770		
F.A.	ACCOUNT	PAGE
CU04	1161-3764	9 of 20
TAXPAYER ID:		43-6033786

1099-B DETAIL INFORMATION (CONTINUED)

The following detail is being provided for your information only and will not be furnished to the IRS.

SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS (CONTINUED)

Gross Proceeds SHORT-TERM transactions with cost basis NOT
reported to the IRS - Report on Form 8949, Part I, with Box B
checked (continued)

DESCRIPTION	QUANTITY	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST BASIS	WASH SALE (LOSS) DISALLOWED	GAIN/LOSS	ACTIVITY
CITIGR NT 5.5 041113								
CUSIP/SEC NO 172967EQ0	75,000.00	07/17/12	04/11/13	\$75,000.00	75,000.00		\$0.00	Redemption
DUKE CAP CORP 6.25 021513								
CUSIP/SEC NO 26439RAJ5	75,000.00	07/19/12	02/15/13	\$75,000.00	75,000.00		\$0.00	Redemption
KINDER MORGAN 3.45 021523								
CUSIP/SEC NO 494550BM7	80,000.00	12/14/12	10/24/13	\$75,764.80	81,531.97		(\$5,767.17)	Sale
TIME WARNER 5.0 020120								
CUSIP/SEC NO 88732JAW8	85,000.00	Various	07/08/13	\$84,257.95	96,798.54		(\$12,540.59)	Sale
UNITED TECHS 3.1 060122								
CUSIP/SEC NO 913017BV0	10,000.00	12/05/12	10/24/13	\$9,903.80	10,697.17		(\$793.37)	Sale
Total Gross Proceeds SHORT-TERM transactions with cost basis NOT reported to the IRS	410,000.00			\$406,201.55	426,472.03	\$0.00	(\$20,270.48)	

(continued on backside)

Feb 10 2014 1:43PM

No. 791 P. 24

STIFEL

ONE FINANCIAL PLAZA
501 NORTH BROADWAY
ST. LOUIS, MO 63102

THE DAVID B LICHTENSTEIN
FOUNDATION
CAPSTONE MANAGED ACCOUNT

2013 CONSOLIDATED FORM 1099
ORIGINAL 02/07/14

PAYER INFORMATION:		
STIFEL, NICOLAUS & COMPANY, INCORPORATED		
FEDERAL ID NO: 43-0538770		
F.A.	ACCOUNT	PAGE
CU04	1161-3764	10 of 20
TAXPAYER ID:		43-6033786

1099-B DETAIL INFORMATION (CONTINUED)

The following detail is being provided for your information only and will not be furnished to the IRS.

SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS (CONTINUED)

Gross Proceeds LONG-TERM transactions with cost basis NOT
reported to the IRS - Report on Form 8949, Part II, with Box E
checked

<u>DESCRIPTION</u>	<u>QUANTITY</u>	<u>DATE</u> <u>ACQUIRED</u>	<u>DATE</u> <u>SOLE</u>	<u>PROCEEDS</u>	<u>COST</u> <u>BASIS</u>	<u>WASH</u> <u>SALE (LOSS)</u> <u>DISALLOWED</u>	<u>GAIN/(LOSS)</u>	<u>ACTIVITY</u>
UNITED TECHS 31 060122 CUSIP/SEC NO 913017BV0	75,000.00	07/24/12	10/24/13	\$74,278.50	80,462.48		(\$6,183.98)	Sale
Total Gross Proceeds LONG-TERM transactions with cost basis NOT reported to the IRS	75,000.00			\$74,278.50	80,462.48	\$0.00	(\$6,183.98)	
TOTAL SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS				\$480,480.05				

Feb 10 2014 1:43PM

No 1791 P. 25

STIFEL

ONE FINANCIAL PLAZA
501 NORTH BROADWAY
ST. LOUIS, MO 63102

THE DAVID B LICHTENSTEIN
FOUNDATION
CLEARBRIDGE MANAGED ACCT

2013 CONSOLIDATED FORM 1099 ORIGINAL 02/07/14

PAYER INFORMATION:		
STIFEL, NICOLAUS & COMPANY, INCORPORATED		
FEDERAL ID NO: 43-0538770		
P.A.	ACCOUNT	PAGE
CU04	1499-0274	14 of 24
TAXPAYER ID:		43-6033786

1099-B DETAIL INFORMATION

The following detail is being provided for your information only and will not be furnished to the IRS.

SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS

Gross Proceeds SHORT-TERM transactions with cost basis reported to the IRS - Report on Form 8949, Part I, with Box A checked

DESCRIPTION	QUANTITY	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST BASIS	WASH SALE (LOSS) DISALLOWED	GAIN/(LOSS)	ACTIVITY
BHP BILLITON PLC ADR CUSIP/SEC NO: 055458209	74.00	10/01/12	07/19/13	\$4,204.99	4,690.11		(\$485.12)	Sale
CATERPILLAR INC CUSIP/SEC NO: 149123101	109.00	01/02/13	10/22/13	\$9,636.63	10,194.36		(\$557.73)	Sale
CONOCOPHILLIPS CUSIP/SEC NO: 20825C104	194.00	Various	05/22/13	\$12,295.75	10,907.41		\$1,388.34	Sale
GENL MILLS INC CUSIP/SEC NO: 370334104	174.00	10/01/12	08/15/13	\$8,829.15	6,946.06		\$1,883.09	Sale
HEINZ HJ COMPANY CUSIP/SEC NO: 423074103	870.00	Various	02/25/13	\$62,943.26	48,288.54		\$14,654.72	Sale
JOHNSON CONTROLS INC CUSIP/SEC NO: 478366107	615.00	Various	05/15/13	\$22,594.71	16,973.87		\$5,620.84	Sale
KIMBERLY CLARK CORP CUSIP/SEC NO: 494368103	103.00	07/16/12	04/19/13	\$10,817.70	8,787.96		\$2,029.74	Sale
MICROSOFT CORP CUSIP/SEC NO: 594918104	498.00	07/16/12	07/08/13	\$16,974.13	14,690.95		\$2,283.18	Sale
PPG INDUSTRIES INC CUSIP/SEC NO: 693506107	67.00	07/16/12	01/02/13	\$9,282.26	6,860.80		\$2,421.46	Sale
	15.00	07/16/12	01/03/13	\$2,078.25	1,536.00		\$542.25	Sale
CUSIP/SEC NO 693506107 TOTAL:	82.00			\$11,360.51	\$8,396.80	\$0.00	\$2,963.71	
PROCTER & GAMBLE COMPANY CUSIP/SEC NO: 747218109	300.00	07/16/12	04/24/13	\$23,522.89	19,484.98		\$4,037.91	Sale
THERMO FISHER SCIENTIFIC CUSIP/SEC NO: 883556102	354.00	Various	04/15/13	\$28,986.78	19,951.13		\$9,035.65	Sale

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STIFEL

ONE FINANCIAL PLAZA
501 NORTH BROADWAY
ST. LOUIS, MO 63102

THE DAVID B LICHTENSTEIN
FOUNDATION
CLEARBRIDGE MANAGED ACCT

2013 CONSOLIDATED FORM 1099
ORIGINAL 02/07/14

PAYER INFORMATION:		
STIFEL, NICOLAUS & COMPANY, INCORPORATED		
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1099-B DETAIL INFORMATION (CONTINUED)

The following detail is being provided for your information only and will not be furnished to the IRS.

SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS (CONTINUED)

Gross Proceeds **SHORT-TERM** transactions with cost basis reported to the IRS - Report on Form 8949, Part I, with Box A checked (continued)

<u>DESCRIPTION</u>	<u>QUANTITY</u>	<u>DATE ACQUIRED</u>	<u>DATE SOLD</u>	<u>PROCEEDS</u>	<u>COST BASIS</u>	<u>WASH SALE (LOSS) DISALLOWED</u>	<u>GAIN/(LOSS)</u>	<u>ACTIVITY</u>
TOTAL S A SPONS ADR CUSIP/SEC NO: 89151E109	274 00	Various	08/28/13	\$15,521.04	13,780.10		\$1,740.94	Sale
Total Gross Proceeds SHORT-TERM transactions with cost basis reported to the IRS	3,647.00			\$127,687.54	183,092.27	50.00	\$44,595.27	

Gross Proceeds **LONG-TERM** transactions with cost basis reported to the IRS - Report on Form 8949, Part II, with Box D checked

<u>DESCRIPTION</u>	<u>QUANTITY</u>	<u>DATE ACQUIRED</u>	<u>DATE SOLD</u>	<u>PROCEEDS</u>	<u>COST BASIS</u>	<u>WASH SALE (LOSS) DISALLOWED</u>	<u>GAIN/(LOSS)</u>	<u>ACTIVITY</u>
AUTOMATIC DATA PROC INC CUSIP/SEC NO: 053015103	365 00	07/16/12	09/23/13	\$26,730.20	20,366.37		\$6,363.63	Sale
BHP BILLITON PLC ADR CUSIP/SEC NO: 05545E209	170 00	07/16/12	07/19/13	\$9,660.08	9,535.28		\$124.80	Sale
DU PONT E I DE NEMOUR & CO CUSIP/SEC NO: 263534109	146 00	07/16/12	10/25/13	\$9,109.20	6,963.35		\$2,145.85	Sale
	105 00	07/16/12	11/08/13	\$6,509.88	5,007.89		\$1,501.99	Sale
	130 00	07/16/12	11/11/13	\$9,300.73	7,154.12		\$2,146.61	Sale
CUSIP/SEC NO 263534109 TOTAL.	401.00			\$24,919.81	\$19,125.36	\$0.00	\$5,794.45	
GENL MILLS INC CUSIP/SEC NO: 370334104	300 00	07/16/12	08/15/13	\$15,222.66	11,609.97		\$3,612.69	Sale
MICROSOFT CORP CUSIP/SEC NO: 594918104	283 00	07/16/12	07/18/13	\$10,075.72	8,348.48		\$1,727.24	Sale

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THE DAVID B. LICHTENSTEIN
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2013 CONSOLIDATED FORM 1099
ORIGINAL 02/07/14

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The following detail is being provided for your information only and will not be furnished to the IRS.

SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS (CONTINUED)

Gross Proceeds LONG-TERM transactions with cost basis reported
to the IRS - Report on Form 8949, Part II, with Box D checked
(continued)

DESCRIPTION	QUANTITY	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST BASIS	WASH SALE (LOSS) DISALLOWED	GAIN/(LOSS)	ACTIVITY
PEOPLES UTI FINL INC CUSIP/SEC NO: 712704105	859.00	07/16/12	07/18/13	\$13,100.55	10,384.46		\$2,716.09	Sale
PROCTER & GAMBLE COMPANY CUSIP/SEC NO 742718109	56.00	07/16/12	09/23/13	\$4,424.55	3,637.20		\$787.35	Sale
3M COMPANY CUSIP/SEC NO 88579Y101	186.00	07/16/12	07/22/13	\$21,607.98	16,442.39		\$5,165.59	Sale
TOTAL S.A. SPONS ADR CUSIP/SEC NO: 89151E109	541.00	07/16/12	08/28/13	\$30,645.54	23,957.39		\$6,688.15	Sale
UNITED PARCEL SVC INC B CUSIP/SEC NO: 911312106	122.00	07/16/12	09/23/13	\$11,081.13	9,675.75		\$1,405.38	Sale
WASTE MANAGEMENT INC DEL CUSIP/SEC NO 94106L109	384.00	07/16/12	08/15/13	\$16,132.78	12,464.63		\$3,668.15	Sale
Total Gross Proceeds LONG-TERM transactions with cost basis reported to the IRS	3,667.00			\$183,601.00	145,547.48	\$0.00	\$38,053.52	
TOTAL SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS				\$411,288.54				

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SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS

Gross Proceeds **SHORT-TERM** transactions with cost basis **NOT** reported to the IRS - Report on Form 8949, Part I, with Box B checked

<u>DESCRIPTION</u>	<u>QUANTITY</u>	<u>DATE ACQUIRED</u>	<u>DATE SOLD</u>	<u>PROCEEDS</u>	<u>COST BASIS</u>	<u>WASH SALE (LOSS) DISALLOWED</u>	<u>GAIN/(LOSS)</u>	<u>ACTIVITY</u>
MS CONTINGENT METLIFE CUSIP/SEC NO: 61760T504	20,000.00	03/29/12	03/27/13	\$200,000.00	200,000.00		\$0.00	Redemption
Total Gross Proceeds SHORT-TERM transactions with cost basis NOT reported to the IRS	20,000.00			\$200,000.00	200,000.00	\$0.00	\$0.00	

Gross Proceeds **LONG-TERM** transactions with cost basis reported to the IRS - Report on Form 8949, Part II, with Box D checked

<u>DESCRIPTION</u>	<u>QUANTITY</u>	<u>DATE ACQUIRED</u>	<u>DATE SOLD</u>	<u>PROCEEDS</u>	<u>COST BASIS</u>	<u>WASH SALE (LOSS) DISALLOWED</u>	<u>GAIN/(LOSS)</u>	<u>ACTIVITY</u>
INCOME FD OF AMER A CUSIP/SEC NO. 453320103	5,089.06	07/12/12	07/29/13	\$100,000.00	87,735.38		\$12,264.62	Sale
	4,894.76	07/12/12	11/14/13	\$100,000.00	84,385.72		\$15,614.28	Sale
CUSIP/SEC NO 453320103 TOTAL:	9,983.82			\$200,000.00	\$172,121.10	\$0.00	\$27,878.90	
Total Gross Proceeds LONG-TERM transactions with cost basis reported to the IRS	9,983.82			\$200,000.00	172,121.10	\$0.00	\$27,878.90	

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 501 NORTH BROADWAY
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THE DAVID B LICHTENSTEIN
 FOUNDATION

2013 CONSOLIDATED FORM 1099
ORIGINAL 02/07/14

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1099-B DETAIL INFORMATION (CONTINUED)

The following detail is being provided for your information only and will not be furnished to the IRS.

SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS (CONTINUED)

Gross Proceeds LONG-TERM transactions with cost basis NOT
 reported to the IRS - Report on Form 8949, Part II, with Box E
 checked

<u>DESCRIPTION</u>	<u>QUANTITY</u>	<u>DATE</u> <u>ACQUIRED</u>	<u>DATE</u> <u>SOLD</u>	<u>PROCEEDS</u>	<u>COST</u> <u>BASIS</u>	<u>WASH</u> <u>SALE (LOSS)</u> <u>DISALLOWED</u>	<u>GAIN/(LOSS)</u>	<u>ACTIVITY</u>
MS CONTINGENT BROADCOM ELN CUSIP/SEC NO: 61760T637	15,000.00	04/27/12	04/29/13	\$150,000.00	150,000.00		\$0.00	Redemption
Total Gross Proceeds LONG-TERM transactions with cost basis NOT reported to the IRS	15,000.00			\$150,000.00	150,000.00	\$0.00	\$0.00	
TOTAL SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS				\$550,000.00				

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STIFEL
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THE DAVID B LICHENSTEIN
FOUNDATION
CONFLUENCE MANAGED ACCOUNT

2013 CONSOLIDATED FORM 1099
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The following detail is being provided for your information only and will not be furnished to the IRS.

INTEREST INCOME (NOT INCLUDED IN IRS BOX 3)

DESCRIPTION	CUSIP/ SEC NO	DATE	ACTIVITY	AMOUNT	IRS BOX	CNTRY
	9999435	06/27/13	Interest	\$0.45	1	
	9999435	06/28/13	Interest	\$0.51	1	
	9999435	07/31/13	Interest	\$3.69	1	
	9999435	08/30/13	Interest	\$3.61	1	
	9999435	09/30/13	Interest	\$3.57	1	
	9999435	10/31/13	Interest	\$7.17	1	
	9999435	11/29/13	Interest	\$6.98	1	
	9999435	12/31/13	Interest	\$5.74	1	
CUSIP TOTAL:				\$66.82		
TOTAL INTEREST INCOME (NOT INCLUDED IN IRS BOX 3)				\$66.82		

1099-B DETAIL INFORMATION

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SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS

Gross Proceeds **SHORT-TERM** transactions with cost basis reported to the IRS - Report on Form 8949, Part I, with Box A checked

DESCRIPTION	QUANTITY	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST BASIS	WASH SALE (LOSS) DISALLOWED	GAIN/(LOSS)	ACTIVITY
ANNALY CAP MGMT INC CUSIP/SEC NO: 035710409	4,780.00	Various	03/27/13	\$74,812.97	80,995.17		(\$6,182.20)	Sale
FRANKLIN STREET PTYS CUSIP/SEC NO: 35471R106	888.00	07/19/12	04/26/13	\$13,072.04	9,238.29		\$3,833.75	Sale
	518.00	07/19/12	04/29/13	\$7,649.49	5,389.02		\$2,260.47	Sale
	2,166.00	07/19/12	05/03/13	\$32,177.58	22,531.92		\$9,645.66	Sale
	1,375.00	07/19/12	05/06/13	\$20,414.99	14,304.79		\$6,110.20	Sale

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THE DAVID B LICHTENSTEIN
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CONFLUENCE MANAGED ACCOUNT

2013 CONSOLIDATED FORM 1099
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1099-B DETAIL INFORMATION (CONTINUED)

The following detail is being provided for your information only and will not be furnished to the IRS.

SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS (CONTINUED)

Gross Proceeds SHORT-TERM transactions with cost basis reported
to the IRS - Report on Form 8949, Part I, with Box A checked
(continued)

DESCRIPTION	QUANTITY	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST BASIS	WASH SALE (LOSS) DISALLOWED	GAIN/(LOSS)	ACTIVITY
	4,100.00	Various	05/08/13	\$39,562.64	42,770.24		\$16,792.40	Sale
CUSIP/SEC NO 35471R106 TOTAL:	9,047.00			\$132,876.74	\$94,236.26	\$0.00	\$38,640.48	
HNI CORP								
CUSIP/SEC NO: 404251100	1,057.00	07/19/12	01/24/13	\$33,498.74	29,011.38		\$4,487.36	Sale
	1,564.00	07/19/12	01/23/13	\$49,412.84	42,926.95		\$6,485.89	Sale
	1,246.00	Various	01/28/13	\$39,438.62	31,911.91		\$7,526.71	Sale
CUSIP/SEC NO 404251100 TOTAL:	3,867.00			\$122,350.20	\$103,850.24	\$0.00	\$18,499.96	
LANDAUER INC								
CUSIP/SEC NO: 51476K103	12.00	04/01/13	09/26/13	\$611.98	672.91		(\$60.93)	Sale
	404.00	Various	09/26/13	\$20,603.65	23,562.84		(\$2,959.19)	Sale
	127.00	04/01/13	09/30/13	\$6,496.68	7,121.56		(\$624.88)	Sale
	82.00	04/01/13	10/01/13	\$4,202.42	4,598.17		(\$395.75)	Sale
	48.00	04/01/13	10/11/13	\$2,447.95	2,691.61		(\$243.66)	Sale
	27.00	04/01/13	10/14/13	\$1,378.07	1,514.03		(\$135.96)	Sale
CUSIP/SEC NO 51476K103 TOTAL:	700.00			\$35,740.75	\$40,161.12	\$0.00	(\$4,420.37)	
MCGRAW HILL FINL INC								
CUSIP/SEC NO: 580645109	1,995.00	Various	06/11/13	\$108,707.25	94,604.88		\$14,102.37	Sale
RLI CORP								
CUSIP/SEC NO 749607107	75.00	11/15/12	10/29/13	\$7,176.50	4,989.38		\$2,187.12	Sale
	64.00	11/15/12	10/31/13	\$6,090.87	4,257.60		\$1,833.27	Sale
CUSIP/SEC NO 749607107 TOTAL:	139.00			\$13,267.37	\$9,246.98	\$0.00	\$4,020.39	

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STIFEL
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501 NORTH BROADWAY
ST. LOUIS, MO 63102

THE DAVID B LICHTENSTEIN
FOUNDATION
CONFLUENCE MANAGED ACCOUNT

2013 CONSOLIDATED FORM 1099
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1099-B DETAIL INFORMATION (CONTINUED)

The following detail is being provided for your information only and will not be furnished to the IRS.

SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS (CONTINUED)

Gross Proceeds **SHORT-TERM** transactions with cost basis reported to the IRS - Report on Form 8949, Part I, with Box A checked (continued)

DESCRIPTION	QUANTITY	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST BASIS	WASH SALE (LOSS) DISALLOWED	GAIN/(LOSS)	ACTIVITY
VBCTREN CORP								
CUSIP/SEC NO. 92240Q101	2,677.00	Various	05/10/13	\$96,521.62	79,109.57		\$17,412.05	Sale
	928.00	Various	05/10/13	\$33,436.20	26,589.73		\$6,846.47	Sale
CUSIP/SEC NO 92240Q101 TOTAL:	3,605.00			\$129,957.82	\$105,699.30	\$0.00	\$24,258.52	
Total Gross Proceeds SHORT-TERM transactions with cost basis reported to the IRS	24,133.00			\$617,713.10	\$28,793.95	\$0.00	\$588,919.15	

Gross Proceeds **LONG-TERM** transactions with cost basis reported to the IRS - Report on Form 8949, Part II, with Box D checked

DESCRIPTION	QUANTITY	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST BASIS	WASH SALE (LOSS) DISALLOWED	GAIN/(LOSS)	ACTIVITY
GRACO INC								
CUSIP/SEC NO. 384109104	92.00	07/19/12	07/24/13	\$6,239.93	4,051.45		\$2,188.48	Sale
LANDAUER INC								
CUSIP/SEC NO. 51476K103	302.00	07/19/12	09/24/13	\$15,495.20	17,651.72		(\$2,156.52)	Sale
	199.00	07/19/12	09/25/13	\$10,150.17	11,631.44		(\$1,481.27)	Sale
	969.00	Various	09/26/13	\$49,418.13	56,424.66		(\$7,006.53)	Sale
CUSIP/SEC NO 51476K103 TOTAL:	1,470.00			\$75,063.50	\$85,707.82	\$0.00	(\$10,644.32)	

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STIFEL
ONE FINANCIAL PLAZA
501 NORTH BROADWAY
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THE DAVID B LICHTENSTEIN
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CONFLUENCE MANAGED ACCOUNT

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1099-B DETAIL INFORMATION (CONTINUED)

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SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS (CONTINUED)

Gross Proceeds LONG-TERM transactions with cost basis reported to the IRS - Report on Form 8949, Part II, with Box D checked (continued)

DESCRIPTION	QUANTITY	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST BASIS	WASH SALE (LOSS) DISALLOWED	GAIN/(LOSS)	ACTIVITY
RLJ CORP								
CUSIP/SEC NO 749607107	732.00	08/01/12	10/04/13	\$62,308.95	46,808.70		\$15,500.25	Sale
	604.00	08/01/12	10/29/13	\$57,794.72	38,623.56		\$19,171.16	Sale
CUSIP/SEC NO 749607107 TOTAL:	1,336.00			\$120,103.67	\$85,432.26	\$0.00	\$34,671.41	
Total Gross Proceeds LONG-TERM transactions with cost basis reported to the IRS	2,898.00			\$201,407.10	175,191.53	\$0.00	\$26,215.57	

Gross Proceeds LONG-TERM transactions with cost basis NOT reported to the IRS - Report on Form 8949, Part II, with Box E checked

DESCRIPTION	QUANTITY	DATE ACQUIRED	DATE SOLD	PROCEEDS	COST BASIS	WASH SALE (LOSS) DISALLOWED	GAIN/(LOSS)	ACTIVITY
ANHEUSER BUSCH INBEV								
CUSIP/SEC NO: 03524A108	500.00	02/01/12	03/27/13	\$48,589.91	31,163.21		\$17,426.70	Sale
EXXON MOBIL CORP								
CUSIP/SEC NO 30231G102	600.00	11/04/10	03/27/13	\$54,316.78	41,908.44		\$12,408.34	Sale
COVIDIEN PLC NEW								
CUSIP/SEC NO G2554F113	600.00	01/11/12	03/27/13	\$40,523.09	27,763.35		\$12,759.74	Sale
Total Gross Proceeds LONG-TERM transactions with cost basis NOT reported to the IRS	1,700.00			\$143,429.78	100,835.00	\$0.00	\$42,594.78	

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The following detail is being provided for your information only and will not be furnished to the IRS.

SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS (CONTINUED)

TOTAL SALES PRICE LESS COMMISSIONS AND OPTION PREMIUMS **\$962,549.98**
