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Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation

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

▶ **Do not enter Social Security numbers on this form as it may be made public.**

▶ **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 , 2013, and ending , 20**

Name of foundation

The Lesley Waldheim Charitable Foundation

**A** Employer identification number

43-6886268

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

600 Washington Avenue | 2500

**B** Telephone number (see instructions)

(314) 444-7600

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

St. Louis, MO 63101

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

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

**D** 1. Foreign organizations, check here . ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation . . . . . ▶ ☐

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

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

**I** Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶ $ 26,202,488.51

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

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

| **Part I** Analysis of Revenue and Expenses *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions) )* | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| Revenue | 1 Contributions, gifts, grants, etc , received (attach schedule) | | | | |
| | 2 Check ▶ ☐ if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 10,188.33 | 10,188.33 | 10,188.33 | |
| | 4 Dividends and interest from securities | 404,569.13 | 404,569.13 | 404,569.13 | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | | | | |
| | b Gross sales price for all assets on line 6a | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 1,420,602.00 | | |
| | 8 Net short-term capital gain | | | 416,633.25 | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | | | | |
| | 12 **Total.** Add lines 1 through 11 | 414,757.46 | 1,835,359.46 | 831,390.71 | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | | | | |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | 31,251.00 | 31,251.00 | 31,251.00 | |
| | b Accounting fees (attach schedule) | | | | |
| | c Other professional fees (attach schedule) | 250,670.39 | 250,670.39 | 250,670.39 | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) | 3,092.98 | 3,092.98 | 3,092.98 | |
| | 19 Depreciation (attach schedule) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) | | | | |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 285,014.37 | 285,014.37 | 285,014.37 | |
| | 25 Contributions, gifts, grants paid | 1,183,000.00 | | | 1,183,000.00 |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 1,468,014.37 | 285,014.37 | 285,014.37 | 1,183,000.00 |
| | 27 Subtract line 26 from line 12 | | | | |
| | a **Excess of revenue over expenses and disbursements** | -1,053,256.91 | | | |
| | b **Net investment income** (if negative, enter -0-) | | 1,550,345.09 | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | 546,376.34 | |

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**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 | 416,360.16 | 1,278,222.42 | 1,278,222.42 |
| | 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 | | | |
| | 10 a Investments - U S and state government obligations (attach schedule) | | | |
| | b Investments - corporate stock (attach schedule) | 14,930,727.13 | 15,499,983.50 | 21,029,463.03 |
| | c Investments - corporate bonds (attach schedule) | 3,022,931.11 | 1,750,000.00 | 2,051,157.00 |
| | 11 Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation ▶ (attach schedule) | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other (attach schedule) | | | |
| | 14 Land, buildings, and equipment basis ▶ Less accumulated depreciation ▶ (attach schedule) | | | |
| | 15 Other assets (describe ▶ LP ) | 1,000,000.00 | 1,000,000.00 | 1,843,646 06 |
| | 16 **Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I) | 19,370,018.40 | 19,528,205.92 | 26,202,488.51 |
| 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) | | | |
| Net Assets or Fund Balances | **Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 Unrestricted | | | |
| | 25 Temporarily restricted | | | |
| | 26 Permanently restricted | | | |
| | **Foundations that do not follow SFAS 117, ▶ ☐ check here and complete lines 27 through 31.** | | | |
| | 27 Capital stock, trust principal, or current funds | | | |
| | 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 instructions) | 19,370,018.40 | 19,528,205.92 | |
| | 31 **Total liabilities and net assets/fund balances** (see instructions) | 19,370,018.40 | 19,528,205.92 | |

**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 | 19,370,018.40 |
| 2 Enter amount from Part I, line 27a | 2 | -1,053,256.91 |
| 3 Other increases not included in line 2 (itemize) ▶ step-up in cost basis | 3 | 1,211,444.43 |
| 4 Add lines 1, 2, and 3 | 4 | 19,528,205 92 |
| 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 | 19,528,205.92 |

## 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 | Publically traded securities - Goldman Sachs | | | |
| 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 | 8,414,891.17 | | 6,994,863.46 | 1,420,027.71 |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---|---|---|---|---|
| | (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col (j), if any | |
| a | | | | 1,420,027.71 |
| 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 | 1,420,027.71 |
| 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 | 416,633.25 |

## 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 | 1,097,000.00 | 20,492,381.84 | 0.0535 |
| 2011 | 1,093,445.80 | 19,627,076.07 | 0.0557 |
| 2010 | 945,000.00 | 18,567,951.44 | 0.0509 |
| 2009 | 1,020,000.00 | 16,357,591.51 | 0.0624 |
| 2008 | 1,080,000.00 | 21,235,412.42 | 0.0509 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0.2734 |
| 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 | 0.0547 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | 4 | 23,295,019.04 |
| 5 | Multiply line 4 by line 3 | 5 | 1,274,237.54 |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 15,503.45 |
| 7 | Add lines 5 and 6 | 7 | 1,289,740.99 |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 1,183,000.00 |

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

## Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see instructions)

| | | | |
|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions) | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b | 1 | 30,995.42 |
| 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 | 30,995.42 |
| 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 | 30,995.42 |
| 6 | Credits/Payments | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a: 70,000.00 | | |
| 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 | 70,000.00 |
| 8 | Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached | 8 | |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | 9 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | 10 | 39,004.58 |
| 11 | Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 39,004.58 **Refunded** ▶ | 11 | |

## Part VII-A Statements Regarding Activities

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

**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? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ Marian V. Mehan Telephone no ▶ 314-444-7600

Located at ▶ 600 Washington Avenue, Suite 2500, St. Louis MO ZIP+4 ▶ 63101

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15

| | | | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? 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 | | X |

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

| | | | Yes | No |
|---|---|---|---|---|
| | **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | | |
| 1a | During the year did the foundation (either directly or indirectly) | | | |
| | (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No | | | |
| | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No | | | |
| | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No | | | |
| | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No | | | |
| | (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No | | | |
| | (6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ) ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? | 1b | | |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013? | 1c | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | | |
| a | At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? ☐ Yes ☒ No | | | |
| | 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 ) | 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? ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2013 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013 )* | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | 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 |

**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 | x |
| | *If "Yes" to 6b, file Form 8870* | | | | |
| 7a | At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? | ☐ Yes | ☒ No | | |
| b | If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? | | | 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 |
|---|---|---|---|---|
| Lesley A. Waldheim<br>One McKnight Place #476<br>St. Louis, MO 63124 | Co-Trustee | 0.00 | 0.00 | 0.00 |
| Marian V. Mehan<br>600 Washington Avenue, Suite 2500<br>St. Louis, MO 63101 | Co-Trustee | 0.00 | 0.00 | 0.00 |

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

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

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

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

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

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| none | | |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ▶ | | |

**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 Distribution to Places for People<br>Housing and care for the mentally handicapped | 228,000.00 |
| 2 Distribution to Washington University Medical School<br>Prevention of sexual abuse in children | 200,000.00 |
| 3 Distribution to Access Academies<br>Middle school program for disadvantaged students | 100,000.00 |
| 4 Ranken Jordan Pediatric Bridge Hospital<br>Transitional care for children | 100,000.00 |

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 | |
| 2 | |
| All other program-related investments See instructions<br>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 | 22,896,620.49 |
| b | Average of monthly cash balances | 1b | 753,145.03 |
| c | Fair market value of all other assets (see instructions) | 1c | |
| d | **Total** (add lines 1a, b, and c) | 1d | 23,649,765.52 |
| 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 | 23,649,765.52 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see instructions) | 4 | 354,746.48 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 23,295,019.04 |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 1,164,750.95 |

**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 | 1,164,750.95 |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a | 30,995.42 | | |
| b | Income tax for 2013 (This does not include the tax from Part VI) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 30,995.42 |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 1,133,755.53 |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 1,133,755.53 |
| 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 | 1,133,755.53 |

**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 | 1,183,000.00 |
| 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 | 1,183,000.00 |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions) | 5 | |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 1,183,000.00 |

**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 | | | | 1,133,755.53 |
| 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 41,071.77 | | | | |
| b From 2009 301,200.28 | | | | |
| c From 2010 24,723.69 | | | | |
| d From 2011 125,200.40 | | | | |
| e From 2012 251,899.81 | | | | |
| f **Total** of lines 3a through e | 744,095.95 | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4. ▶ $ 1,183,000.00 | | | | |
| 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 | | | | 1,133,755.53 |
| e Remaining amount distributed out of corpus | 49,244.47 | | | |
| 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 | 793,340.42 | | | |
| 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 | | | | |
| 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) | 41,071.77 | | | |
| 9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a | 752,268.65 | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2009 301,200.28 | | | | |
| b Excess from 2010 24,723.69 | | | | |
| c Excess from 2011 125,200.40 | | | | |
| d Excess from 2012 251,899.81 | | | | |
| e Excess from 2013 49,244.47 | | | | |

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

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

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

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

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

**1 Information Regarding Foundation Managers:**

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

Lesley A. Waldheim

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

N/A

**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

Marian V. Mehan, Co-Trustee, 600 Washington Avenue, Suite 2500, St. Louis, MO 63101

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

No set form

c Any submission deadlines

No set deadlines

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

None

**Part XV Supplementary Information** (continued)

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

| Recipient 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* | | | | |
| Hot City Theatre | | Public | Theatrical Events | 10,000.00 |
| New Line Theatre | | Public | Theatrical Events | 10,000.00 |
| Washington University | | Public | Prev. of Child Abuse | 200,000.00 |
| Access Academies | | Public | Education | 100,000.00 |
| Places for People | | Public | Homeless Shelter | 228,000.00 |
| Matthews Dickey | | Public | Community Center | 100,000.00 |
| St. Louis Symphony | | Public | Music Events | 100,000.00 |
| St. Louis Area Food Bank | | Public | Food for the poor | 100,000.00 |
| Meal on Wheels | | Public | Food for shut-ins | 100,000.00 |
| Opera Theatre of St. Louis | | Public | Theatrical Events | 50,000.00 |
| Energy Care | | Public | Energy Assistance | 15,000.00 |
| Eyecare Charity of Mid-America | | Public | Medical Care | 35,000.00 |
| Pony Bird, Inc. | | Public | Medical Care | 35,000.00 |
| Ranken Jordan Pediatric Hospital | | Public | Medical Care | 100,000.00 |
| **Total** ▶ **3a** | | | | 1,183,000.00 |
| **b** *Approved for future payment* | | | | |
| **Total** ▶ **3b** | | | | |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions ) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 10,188.33 | |
| 4 Dividends and interest from securities | | | 14 | 404,569.13 | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | | | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | | | 414,757.46 | |
| 13 **Total.** Add line 12, columns (b), (d), and (e) | | | | | 13 414,757.46 |

(See worksheet in line 13 instructions to verify calculations )

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

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

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

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

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

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

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 |
|---|---|---|
| | | |

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

**Sign Here**

Marian V Mehan — Signature of officer or trustee

5-2-14 — Date

▶ Trustee — Title

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| Marian V. Mehan | Marian V Mehan | 5-2-14 | | P00992944 |

Firm's name ▶ Lewis, Rice & Fingersh — Firm's EIN ▶ 48-1072151

Firm's address ▶ 600 Washington Avenue, Suite 2500, St. Louis, MO 63101 — Phone no (314) 444-7600

| The Lesley Waldheim Charitable Foundation | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| EIN: 43-6886268 | | | | | | | | |
| 2013 Form 990-PF | | | | | | | | |
| | | | | | | | | |
| | | | | | Pt 1, Ln 3 (int) | Pt 1, Ln 4 (div) | | |
| | | | | | | | | |
| Goldman Sachs, Acct#020-57074-3 | | | | | $ 7.36 | $ 9,745.82 | | |
| Goldman Sachs, Acct#020-53028-3 | | | | | $ 9,831.07 | $ 40,581.40 | | |
| Goldman Sachs, Acct#020-66956-0 | | | | | $ 81.29 | $ 162,446.82 | | |
| Goldman Sachs, Acct#020-67176-4 | | | | | $ 72.15 | $ 68,329.59 | | |
| Goldman Sachs, Acct#020-67178-0 | | | | | $ 144.07 | $ 65,806.75 | | |
| Goldman Sachs, Acct#020-67180-6 | | | | | $ 52.39 | $ 57,658.75 | | |
| | | | | | $ 10,188.33 | $ 404,569.13 | | |

**The Lesley Waldheim Charitable Foundation**

**EIN: 43-6886268**

**2013 Form 990-PF**

Long Term Capital Gain/Loss

| | Gross Sale | Cost Basis | Wash Sale/ loss disallowed | Gain/Loss |
|---|---|---|---|---|
| Goldman Sachs, Acct#020-57074-3 | $ 476,383.32 | $ 387,142.01 | | $ 89,241.31 |
| Goldman Sachs, Acct#020-53028-3 | $ 2,364,115.88 | $ 2,022,459.03 | | $ 341,656.85 |
| Goldman Sachs, Acct#020-66956-0 | $ 672,115.74 | $ 389,245.20 | | $ 282,870.54 |
| Goldman Sachs, Acct#020-67176-4 | $ 606,646.17 | $ 444,541.46 | | $ 162,104.71 |
| Goldman Sachs, Acct#020-67178-0 | $ 446,420.87 | $ 336,179.54 | | $ 110,241.33 |
| Goldman Sachs, Acct#020-67180-6 | $ 126,630.81 | $ 108,776.80 | | $ 17,854.01 |
| | $ 4,692,312.79 | $ 3,688,344.04 | | $ 1,003,968.75 |

Short Term Capital Gain/Loss

| | | | | |
|---|---|---|---|---|
| Goldman Sachs, Acct#020-57074-3 | $ 924,193.82 | $ 832,847.58 | $ 574.29 | $ 91,920.53 |
| Goldman Sachs, Acct#020-53028-3 | $ 450,000.00 | $ 449,648.70 | | $ 351.30 |
| Goldman Sachs, Acct#020-66956-0 | $ 550,040.30 | $ 498,009.35 | | $ 52,030.95 |
| Goldman Sachs, Acct#020-67176-4 | $ 121,883.63 | $ 113,652.25 | | $ 8,231.38 |
| Goldman Sachs, Acct#020-67178-0 | $ 1,543,727.22 | $ 1,278,329.57 | | $ 265,397.65 |
| Goldman Sachs, Acct#020-67180-6 | $ 132,733.41 | $ 134,031.97 | | $ (1,298.56) |
| | $ 3,722,578.38 | $ 3,306,519.42 | | $ 416,633.25 |

# REALIZED GAINS AND LOSSES

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | 52,030 95 | Net Covered Long-Term Gains (Losses) | 9 081 27 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 273,789 27 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short-Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **52,030.95** | **Total Long-Term Gains (Losses)** | **282,870.54** | **Total Ordinary Gains (Losses)** | **0.00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| CISCO SYSTEMS, INC CMN (17275R102) | 09/10/2012 | 02/11/2013 | 1,721 00 | 36,486 82 | 0 00 | 33,060 41 | 3,426 41 |
| CISCO SYSTEMS, INC CMN (17275R102) | 08/16/2012 | 02/11/2013 | 1,733 00 | 36,741 23 | 0 00 | 32,733 65 | 4,007 58 |
| CISCO SYSTEMS, INC CMN (17275R102) | 11/30/2012 | 02/11/2013 | 3,452 00 | 73,185 65 | 0 00 | 65,500 81 | 7,684 84 |
| LOWES COMPANIES INC CMN (548661107) | 08/08/2012 | 02/11/2013 | 1,846 00 | 71,925 36 | 0 00 | 48,251 74 | 23,673 62 |
| LOWES COMPANIES INC CMN (548661107) | 09/10/2012 | 02/25/2013 | 237 00 | 8,892 32 | 0 00 | 6,881.03 | 2,011.29 |
| LOWES COMPANIES INC CMN (548661107) | 08/08/2012 | 02/25/2013 | 880 00 | 33,017 91 | 0 00 | 23,001 91 | 10,016 00 |
| DUKE ENERGY CORPORATION CMN (26441C204) | 02/25/2013 | 04/12/2013 | 1,330 00 | 97,023 92 | 0 00 | 92,901 33 | 4,122 59 |
| ENI S P A SPON ADR SPONSORED ADR CMN (26874R108) | 08/08/2012 | 06/12/2013 | 820 00 | 36,659 86 | 0 00 | 36,658 81 | 1 05 |
| ENI S P A SPON ADR SPONSORED ADR CMN (26874R108) | 09/10/2012 | 06/13/2013 | 938 00 | 41,544 19 | 0 00 | 42,809.34 | (1,265 15) |
| ENI S P A SPON ADR SPONSORED ADR CMN (26874R108) | 08/08/2012 | 06/13/2013 | 1,355 00 | 60,013 19 | 0 00 | 60,576 44 | (563 25) |
| ENI S P A SPON ADR SPONSORED ADR CMN (26874R108) | 09/10/2012 | 06/14/2013 | 1,219 00 | 54,549 85 | 0.00 | 55,633 88 | (1,084 03) |
| **Net Covered Short-Term Gains (Losses)** | | | | **550,040.30** | **0.00** | **498,009.35** | **52,030.95** |

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

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



Goldman Sachs

Realized and unrealized gains and loss values do not include securities for which cost basis is unavailable The recognition of any loss reflected herein may be disallowed or deferred by the application of capital loss limitations, wash sale rules or other special tax rules, and you are strongly urged to consult your own outside tax and other advisors about this and all tax-related matters addressed in any way herein All information regarding the cost basis and acquisition dates of securities that you acquired elsewhere and that were subsequently delivered into your Goldman Sachs account(s) were provided by you and/or a third party and Goldman Sachs makes no representation as to the accuracy and completeness of such information and it should not be relied upon as such

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| PPL CORPORATION CMN (69351T106) | 09/10/2012 | 10/18/2013 | 3,615 00 | 109,758 75 | 0 00 | 105,666.22 | 4,092 53 |
| PPL CORPORATION CMN (69351T106) | 08/08/2012 | 10/18/2013 | 3,645 00 | 110,669 62 | 0 00 | 105,680 88 | 4,988 74 |
| **Net Covered Long-Term Gains (Losses)** | | | | **220,428.37** | **0.00** | **211,347.10** | **9,081.27** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| CHEVRON CORPORATION CMN (166764100) | 01/01/1966 | 01/04/2013 | 1,495 00 | 164,704 23 | 0 00 | 639 80 | 164,064 43 |
| JOHNSON & JOHNSON CMN (478160104) | 09/28/2004 | 08/14/2013 | 840 00 | 76,150 47 | 0 00 | 47,754 00 | 28,396 47 |
| JOHNSON & JOHNSON CMN (478160104) | 09/28/2004 | 11/04/2013 | 2,278 00 | 210,832 67 | 0 00 | 129,504 30 | 81,328 37 |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **451,687.37** | **0.00** | **177,898.10** | **273,789.27** |

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

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



Goldman Sachs

Realized and unrealized gains and loss values do not include securities for which cost basis is unavailable The recognition of any loss reflected herein may be disallowed or deferred by the application of capital loss limitations, wash sale rules or other special tax rules, and you are strongly urged to consult your own outside tax and other advisors about this and all tax-related matters addressed in any way herein All information regarding the cost basis and acquisition dates of securities that you acquired elsewhere and that were subsequently delivered into your Goldman Sachs account(s) were provided by you and/or a third party and Goldman Sachs makes no representation as to the accuracy and completeness of such information and it should not be relied upon as such

# REALIZED GAINS AND LOSSES

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | 265,397 65 | Net Covered Long-Term Gains (Losses) | 110,241 33 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 0 00 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short-Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **265,397.65** | **Total Long-Term Gains (Losses)** | **110,241.33** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| CARNIVAL CORPORATION CMN (143658300) | 08/08/2012 | 01/28/2013 | 400 00 | 15,625 24 | 0 00 | 13,684 84 | 1,940 40 |
| CARNIVAL CORPORATION CMN (143658300) | 08/08/2012 | 01/29/2013 | 3,200 00 | 124,271 13 | 0 00 | 109,478 72 | 14,792 41 |
| CARNIVAL CORPORATION CMN (143658300) | 08/08/2012 | 01/30/2013 | 200 00 | 7,791 53 | 0 00 | 6,842 42 | 949 11 |
| CARNIVAL CORPORATION CMN (143658300) | 09/10/2012 | 01/30/2013 | 3,200 00 | 124,664 41 | 0 00 | 118,056 00 | 6,608 41 |
| AMERICAN INTL GROUP, INC CMN (026874784) | 09/12/2012 | 02/05/2013 | 700 00 | 26,809 39 | 0 00 | 23,779 56 | 3,029 83 |
| APPLIED MATERIALS INC CMN (038222105) | 08/08/2012 | 02/05/2013 | 4,000 00 | 52,406 42 | 0 00 | 47,616 00 | 4,790 42 |
| BOEING COMPANY CMN (097023105) | 08/08/2012 | 02/05/2013 | 400 00 | 30,333 32 | 0 00 | 29,830 12 | 503 20 |
| CARMAX, INC CMN (143130102) | 08/08/2012 | 02/05/2013 | 500 00 | 19,683 05 | 0 00 | 14,475 15 | 5,207 90 |
| DELPHI AUTOMOTIVE PLC CMN (G27823106) | 08/08/2012 | 02/05/2013 | 1,000 00 | 39,357 11 | 0 00 | 28,896 40 | 10,460 71 |
| FRANKLIN RESOURCES INC CMN (354613101) | 08/08/2012 | 02/05/2013 | 200 00 | 27,869 37 | 0 00 | 23,563.50 | 4,305 87 |
| JPMORGAN CHASE & CO CMN (46625H100) | 08/08/2012 | 02/05/2013 | 1,000 00 | 48,129 42 | 0 00 | 37,242 10 | 10,887 32 |
| PENN NATIONAL GAMING INC CMN (707569109) | 08/08/2012 | 02/05/2013 | 500 00 | 25,306 43 | 0 00 | 18,959 10 | 6,347 33 |
| STARWOOD HOTELS & RESORTS CMN (85590A401) | 08/08/2012 | 02/05/2013 | 500 00 | 30,640 31 | 0 00 | 27,592 10 | 3,048 21 |
| VISA INC CMN CLASS A (92826C839) | 08/08/2012 | 02/05/2013 | 100 00 | 15,805 64 | 0 00 | 13,125 53 | 2,680 11 |
| CARMAX, INC CMN (143130102) | 08/08/2012 | 02/07/2013 | 1,500 00 | 58,819 83 | 0 00 | 43,425 45 | 15,394 38 |
| DIEBOLD INCORPORATED CMN (253651103) | 09/10/2012 | 03/07/2013 | 2,400 00 | 67,543 36 | 0 00 | 81,803.52 | (14,260 16) |

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



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# REALIZED GAINS AND LOSSES (Continued)

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| DIEBOLD INCORPORATED CMN (253651103) | 08/08/2012 | 03/07/2013 | 2,600 00 | 73,171 98 | 0 00 | 85,007 00 | (11,835 02) |
| CARMAX, INC CMN (143130102) | 08/08/2012 | 03/20/2013 | 100 00 | 4,110 50 | 0 00 | 2,895.03 | 1,215 47 |
| DELPHI AUTOMOTIVE PLC CMN (G27823106) | 08/08/2012 | 03/20/2013 | 400 00 | 17,295 13 | 0 00 | 11,558 56 | 5,736 57 |
| FRANKLIN RESOURCES INC CMN (354613101) | 08/08/2012 | 03/20/2013 | 300 00 | 44,778 25 | 0 00 | 35,345 25 | 9,433 00 |
| TIFFANY & CO CMN (886547108) | 08/08/2012 | 03/20/2013 | 600 00 | 41,789 06 | 0 00 | 34,598 70 | 7,190 36 |
| WELLS FARGO & CO (NEW) CMN (949746101) | 08/08/2012 | 03/20/2013 | 500 00 | 18,732 38 | 0 00 | 16,893 35 | 1,839.03 |
| BOEING COMPANY CMN (097023105) | 08/08/2012 | 04/02/2013 | 100 00 | 8,419 81 | 0 00 | 7,457 53 | 962 28 |
| COMCAST CORPORATION CMN CLASS A NON VOTING (20030N200) | 08/08/2012 | 04/02/2013 | 1,400 00 | 55,857 62 | 0 00 | 47,096 28 | 8,761 34 |
| DRESSER-RAND GROUP INC CMN (261608103) | 08/08/2012 | 04/02/2013 | 200 00 | 12,147 72 | 0 00 | 9,856 30 | 2,291 42 |
| PENN NATIONAL GAMING INC CMN (707569109) | 08/08/2012 | 04/02/2013 | 300 00 | 16,379 63 | 0 00 | 11,375 46 | 5,004 17 |
| STARWOOD HOTELS & RESORTS CMN (85590A401) | 08/08/2012 | 04/02/2013 | 200 00 | 12,429 72 | 0 00 | 11,036 84 | 1,392 88 |
| VISA INC CMN CLASS A (92826C839) | 08/08/2012 | 04/02/2013 | 200 00 | 33,539 24 | 0 00 | 26,251 06 | 7,288 18 |
| COMCAST CORPORATION CMN CLASS A NON VOTING (20030N200) | 08/08/2012 | 04/03/2013 | 1,100 00 | 43,657 25 | 0 00 | 37,004 22 | 6,653 03 |
| BOEING COMPANY CMN (097023105) | 08/08/2012 | 04/11/2013 | 800 00 | 70,986 80 | 0 00 | 59,660 24 | 11,326 56 |
| CARMAX, INC CMN (143130102) | 09/10/2012 | 05/01/2013 | 100 00 | 4,543 05 | 0.00 | 3,245 46 | 1,297 59 |
| CARMAX, INC CMN (143130102) | 08/08/2012 | 05/01/2013 | 1,100 00 | 49,973 53 | 0 00 | 31,845 33 | 18,128 20 |
| CARMAX, INC CMN (143130102) | 09/10/2012 | 05/15/2013 | 1,300 00 | 62,813 42 | 0 00 | 42,190 98 | 20,622 44 |
| TIFFANY & CO CMN (886547108) | 08/08/2012 | 05/22/2013 | 100 00 | 7,903 75 | 0 00 | 5,766 45 | 2,137 30 |
| DELPHI AUTOMOTIVE PLC CMN (G27823106) | 08/08/2012 | 07/11/2013 | 850 00 | 46,281 10 | 0 00 | 24,561 94 | 21,719 16 |
| BOEING COMPANY CMN (097023105) | 08/08/2012 | 07/23/2013 | 200 00 | 21,459.09 | 0 00 | 14,915 06 | 6,544 03 |
| BOEING COMPANY CMN (097023105) | 09/10/2012 | 07/23/2013 | 1,700 00 | 182,402 23 | 0 00 | 121,398 02 | 61,004 21 |
| **Net Covered Short-Term Gains (Losses)** | | | | **1,543,727.22** | **0.00** | **1,278,329.57** | **265,397.65** |

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



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# REALIZED GAINS AND LOSSES (Continued)

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| APPLIED MATERIALS INC CMN (038222105) | 08/08/2012 | 09/11/2013 | 1,000 00 | 16,005 82 | 0 00 | 11,904 00 | 4,101 82 |
| APPLIED MATERIALS INC CMN (038222105) | 08/08/2012 | 09/16/2013 | 3,700 00 | 59,314 40 | 0 00 | 44,044.80 | 15,269 60 |
| APPLIED MATERIALS INC CMN (038222105) | 08/08/2012 | 09/18/2013 | 800 00 | 12,761 93 | 0 00 | 9,523 20 | 3,238 73 |
| STARWOOD HOTELS & RESORTS CMN (85590A401) | 08/08/2012 | 11/04/2013 | 800 00 | 59,870 79 | 0 00 | 44,147 36 | 15,723 43 |
| ILLINOIS TOOL WORKS CMN (452308109) | 08/08/2012 | 11/14/2013 | 1,400 00 | 111,405 16 | 0 00 | 79,046 80 | 32,358 36 |
| VISA INC CMN CLASS A (92826C839) | 09/10/2012 | 11/14/2013 | 50 00 | 9,994 99 | 0.00 | 6,485.61 | 3,509 38 |
| VISA INC CMN CLASS A (92826C839) | 08/08/2012 | 11/14/2013 | 300 00 | 59,969 88 | 0 00 | 39,376 59 | 20,593 29 |
| TIFFANY & CO CMN (886547108) | 08/08/2012 | 11/27/2013 | 700 00 | 61,988 33 | 0 00 | 40,365 15 | 21,623 18 |
| INTEL CORPORATION CMN (458140100) | 08/08/2012 | 12/05/2013 | 2,300 00 | 55,109 57 | 0 00 | 61,286 03 | (6,176 46) |
| **Net Covered Long-Term Gains (Losses)** | | | | **446,420.87** | **0.00** | **336,179.54** | **110,241.33** |

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# REALIZED GAINS AND LOSSES

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## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | (1,298 56) | Net Covered Long-Term Gains (Losses) | (1,899 85) | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 19,753 86 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short-Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **(1,298.56)** | **Total Long-Term Gains (Losses)** | **17,854.01** | **Total Ordinary Gains (Losses)** | **0.00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| COMCAST CORPORATION CMN CLASS A NON VOTING (20030N200) | 08/08/2012 | 02/08/2013 | 1,150 00 | 42,902 77 | 0 00 | 38,815 03 | 4,087 74 |
| NEWS CORPORATION CMN SERIES CLASS A (65249B109) | 08/08/2012 | 07/01/2013 | 0 50 | 7 68 | 0 00 | 0.00 | 7 68 |
| APACHE CORP CMN (037411105) | 09/10/2012 | 07/18/2013 | 250 00 | 20,889 06 | 0 00 | 22,404 50 | (1,515 44) |
| APACHE CORP CMN (037411105) | 08/08/2012 | 07/18/2013 | 825 00 | 68,933 90 | 0 00 | 72,812 44 | (3,878.54) |
| **Net Covered Short-Term Gains (Losses)** | | | | **132,733.41** | **0.00** | **134,031.97** | **(1,298.56)** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| APACHE CORP CMN (037411105) | 09/10/2012 | 12/19/2013 | 600 00 | 51,870 95 | 0 00 | 53,770 80 | (1,899 85) |
| **Net Covered Long-Term Gains (Losses)** | | | | **51,870.95** | **0.00** | **53,770.80** | **(1,899.85)** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| 3M COMPANY CMN (88579Y101) | 09/28/2004 | 04/23/2013 | 700 00 | 74,759 86 | 0 00 | 55,006 00 | 19,753 86 |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **74,759.86** | **0.00** | **55,006.00** | **19,753.86** |

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# REALIZED GAINS AND LOSSES

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## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | 8,177 65 | Net Covered Long-Term Gains (Losses) | 162,103 44 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 3.14 | Net NonCovered Long-Term Gains (Losses) | 1 27 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 50.59 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0.00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short-Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **8,231.38** | **Total Long-Term Gains (Losses)** | **162,104.71** | **Total Ordinary Gains (Losses)** | **0.00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| NU SKIN ENTERPRISES INC CMN CLASS A (67018T105) | 08/08/2012 | 02/21/2013 | 1,377.00 | 54,519.43 | 0.00 | 59,232.07 | (4,712.64) |
| MONTPELIER RE HOLDINGS LTD. CMN (G62185106) | 08/08/2012 | 07/31/2013 | 479 00 | 12,944.70 | 0 00 | 10,069.73 | 2,874 97 |
| ALLEGHANY CORP (DELAWARE) CMN (017175100) | 08/08/2012 | 08/02/2013 | 52.00 | 21,405.38 | 0.00 | 18,030.41 | 3,374.97 |
| MONTPELIER RE HOLDINGS LTD. CMN (G62185106) | 08/08/2012 | 08/02/2013 | 409.00 | 10,985.62 | 0.00 | 8,598.16 | 2,387.46 |
| MONTPELIER RE HOLDINGS LTD. CMN (G62185106) | 08/08/2012 | 08/05/2013 | 843.00 | 21,974.77 | 0.00 | 17,721.88 | 4,252.89 |
| **Net Covered Short-Term Gains (Losses)** | | | | **121,829.90** | **0.00** | **113,652.25** | **8,177.65** |
| **NonCovered Short-Term Gains (Losses)** | | | | | | | |
| CORRECTIONS CORP OF AMERICA CMN (22025Y407) | 05/21/2013 | 05/21/2013 | 0.09 | 3.14 | 0.00 | 0.00 | 3.14 |
| **Net NonCovered Short-Term Gains (Losses)** | | | | **3.14** | **0.00** | **0.00** | **3.14** |
| **1099B Non Reportable Short-Term Gains (Losses)** | | | | | | | |
| CORRECTIONS CORP OF AMERICA CMN (220OPT994) | 09/10/2012 | 05/02/2013 | 0.00 | 24.61 | 0.00 | 0.00 | 24.61 |
| CORRECTIONS CORP OF AMERICA CMN (220OPT994) | 08/08/2012 | 05/02/2013 | 0 00 | 25.98 | 0 00 | 0.00 | 25 98 |
| **Net 1099B Non Reportable Short-Term Gains (Losses)** | | | | **50.59** | **0.00** | **0.00** | **50.59** |

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# REALIZED GAINS AND LOSSES (Continued)

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| KAMAN CORP CMN (483548103) | 08/08/2012 | 08/23/2013 | 901.00 | 31,538.78 | 0.00 | 29,717 33 | 1,821.45 |
| CONVERSANT, INC. ORD CMN (92046N102) | 08/08/2012 | 09/23/2013 | 318.00 | 6,621.50 | 0.00 | 5,182.51 | 1,438.99 |
| ENERGIZER HOLDINGS, INC CMN (29266R108) | 08/08/2012 | 09/23/2013 | 40.00 | 3,787.39 | 0.00 | 2,635.94 | 1,151.45 |
| KRATON PERFORMNC POLMERS INC. CMN (50077C106) | 08/08/2012 | 09/23/2013 | 301.00 | 6,017.63 | 0.00 | 6,440.71 | (423.08) |
| MATSON, INC. CMN (57686G105) | 08/08/2012 | 09/23/2013 | 132.00 | 3,556.66 | 0.00 | 3,430.97 | 125.69 |
| MICREL INC CMN (594793101) | 08/08/2012 | 09/23/2013 | 412.00 | 3,787.28 | 0.00 | 4,048.23 | (260.95) |
| RITCHIE BROS. AUCTIONEERS INC CMN (767744105) | 08/08/2012 | 09/23/2013 | 110 00 | 2,256 31 | 0.00 | 2,071.82 | 184 49 |
| WORLD FUEL SERVICES CORP CMN (981475106) | 08/08/2012 | 09/23/2013 | 104 00 | 3,822.78 | 0.00 | 3,690.11 | 132.67 |
| CONVERSANT, INC. ORD CMN (92046N102) | 08/08/2012 | 09/24/2013 | 430 00 | 9,029.76 | 0.00 | 7,007.80 | 2,021.96 |
| ENERGIZER HOLDINGS, INC. CMN (29266R108) | 08/08/2012 | 09/24/2013 | 54.00 | 5,076.48 | 0.00 | 3,558 51 | 1,517 97 |
| KRATON PERFORMNC POLMERS INC. CMN (50077C106) | 08/08/2012 | 09/24/2013 | 406.00 | 8,070.40 | 0.00 | 8,687.47 | (617 07) |
| MATSON, INC CMN (57686G105) | 08/08/2012 | 09/24/2013 | 178 00 | 4,837 10 | 0.00 | 4,626.61 | 210.49 |
| MICREL INC CMN (594793101) | 08/08/2012 | 09/24/2013 | 556.00 | 5,088.42 | 0.00 | 5,463.14 | (374 72) |
| RITCHIE BROS. AUCTIONEERS INC CMN (767744105) | 08/08/2012 | 09/24/2013 | 149.00 | 3,038.47 | 0.00 | 2,806.37 | 232.10 |
| WORLD FUEL SERVICES CORP CMN (981475106) | 08/08/2012 | 09/24/2013 | 141.00 | 5,166.14 | 0.00 | 5,002.93 | 163.21 |
| CONVERSANT, INC ORD CMN (92046N102) | 08/08/2012 | 09/25/2013 | 1,224.00 | 25,331.09 | 0.00 | 19,947.77 | 5,383.32 |
| ENERGIZER HOLDINGS, INC CMN (29266R108) | 08/08/2012 | 09/25/2013 | 157.00 | 14,552.35 | 0 00 | 10,346.05 | 4,206.30 |
| KRATON PERFORMNC POLMERS INC. CMN (50077C106) | 09/10/2012 | 09/25/2013 | 295.00 | 5,803.11 | 0.00 | 6,868 22 | (1,065.11) |
| KRATON PERFORMNC POLMERS INC. CMN (50077C106) | 08/08/2012 | 09/25/2013 | 837.00 | 16,465.09 | 0.00 | 17,909.88 | (1,444 79) |
| MATSON, INC. CMN (57686G105) | 08/08/2012 | 09/25/2013 | 509.00 | 13,434.10 | 0.00 | 13,230.03 | 204.07 |
| MICREL INC CMN (594793101) | 08/08/2012 | 09/25/2013 | 1,587.00 | 14,320.68 | 0.00 | 15,593.54 | (1,272.86) |
| RITCHIE BROS AUCTIONEERS INC CMN (767744105) | 08/08/2012 | 09/25/2013 | 423.00 | 8,619.28 | 0.00 | 7,967 08 | 652 20 |
| WORLD FUEL SERVICES CORP CMN (981475106) | 08/08/2012 | 09/25/2013 | 400.00 | 14,700 46 | 0.00 | 14,192.72 | 507.74 |
| CONVERSANT, INC. ORD CMN (92046N102) | 09/10/2012 | 09/26/2013 | 37.00 | 770.67 | 0.00 | 609 76 | 160.91 |
| CONVERSANT, INC ORD CMN (92046N102) | 08/08/2012 | 09/26/2013 | 1,173.00 | 24,432.34 | 0.00 | 19,116.61 | 5,315.73 |

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# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| ENERGIZER HOLDINGS, INC. CMN (29266R108) | 08/08/2012 | 09/26/2013 | 151.00 | 13,978.79 | 0.00 | 9,950.66 | 4,028 13 |
| KRATON PERFORMNC POLMERS INC. CMN (50077C106) | 09/10/2012 | 09/26/2013 | 1,168.00 | 22,698.16 | 0.00 | 27,193.49 | (4,495.33) |
| MATSON, INC. CMN (57686G105) | 08/08/2012 | 09/26/2013 | 501.00 | 13,241.64 | 0.00 | 13,022.09 | 219.55 |
| MICREL INC CMN (594793101) | 08/08/2012 | 09/26/2013 | 1,562.00 | 14,043.07 | 0.00 | 15,347.90 | (1,304.83) |
| RITCHIE BROS. AUCTIONEERS INC CMN (767744105) | 08/08/2012 | 09/26/2013 | 420 00 | 8,569.45 | 0.00 | 7,910.57 | 658.88 |
| WORLD FUEL SERVICES CORP CMN (981475106) | 08/08/2012 | 09/26/2013 | 399.00 | 14,814.69 | 0.00 | 14,157.24 | 657.45 |
| ALLEGHANY CORP (DELAWARE) CMN (017175100) | 08/08/2012 | 12/11/2013 | 30.00 | 11,787.35 | 0.00 | 10,402.16 | 1,385.19 |
| ALLEGHANY CORP (DELAWARE) CMN (017175100) | 09/10/2012 | 12/11/2013 | 78.00 | 30,647.10 | 0.00 | 27,018.42 | 3,628.68 |
| ENERGIZER HOLDINGS, INC. CMN (29266R108) | 08/08/2012 | 12/11/2013 | 11.00 | 1,211 37 | 0.00 | 724.88 | 486.49 |
| ENERGIZER HOLDINGS, INC CMN (29266R108) | 09/10/2012 | 12/11/2013 | 391.00 | 43,058 74 | 0.00 | 27,816.37 | 15,242 37 |
| NU SKIN ENTERPRISES INC CMN CLASS A (67018T105) | 08/08/2012 | 12/11/2013 | 59.00 | 7,473.87 | 0.00 | 2,537 90 | 4,935.97 |
| NU SKIN ENTERPRISES INC CMN CLASS A (67018T105) | 09/10/2012 | 12/11/2013 | 1,360.00 | 172,279.08 | 0.00 | 60,185.71 | 112,093 37 |
| PRICESMART INC CMN (741511109) | 08/08/2012 | 12/11/2013 | 56.00 | 6,625 58 | 0.00 | 4,031.14 | 2,594.44 |
| EATON VANCE CORP (NON-VTG) CMN (278265103) | 08/08/2012 | 12/13/2013 | 150 00 | 6,091.74 | 0.00 | 4,090.82 | 2,000.92 |
| **Net Covered Long-Term Gains (Losses)** | | | | **606,644.90** | **0.00** | **444,541.46** | **162,103.44** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| WTS/TEJON RANCH CO. 40.0000 EXP08/31/2016 (879080133) | | 08/29/2013 | 0.00 | 1.27 | 0.00 | No Cost | 1.27 [8] |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **1.27** | **0.00** | **0.00** | **1.27** |

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

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



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| Tax Year | Account No | Legal Name |
|---|---|---|
| 2013 | 020-53028-3 | THE LESLEY A. WALDHEIM CHARITA |

# REALIZED GAINS AND LOSSES

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | 351 30 | Net Covered Long-Term Gains (Losses) | 0 00 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 341,656 83 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short-Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **351.30** | **Total Long-Term Gains (Losses)** | **341,656 83** | **Total Ordinary Gains (Losses)** | **0.00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455) | 02/14/2013 | 08/08/2013 | 9,900 99 | 100,000 00 | 0 00 | 99,767 97 | 232 03 |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455) | 02/14/2013 | 09/18/2013 | 34,722 22 | 350,000 00 | 0 00 | 349,880 73 | 119 27 |
| **Net Covered Short-Term Gains (Losses)** | | | | **450,000.00** | **0.00** | **449,648.70** | **351.30** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| ISHARES IBOXX INVSTMNT GRADE CORPORATE BOND ETF (464287242) | 05/13/2009 | 02/04/2013 | 230 00 | 27,380 88 | 0 00 | 22,459 05 | 4,921 83 |
| RABOBANK NEDERLAND UTRECHT LINKED TO S&P 500 0% COUPON DUE 02/19/2013 STRUCTURED NOTE (21686C381) | 07/06/2011 | 02/19/2013 | 1,000 00 | 1,136,110 00 | 0 00 | 1,000,000 00 | 136,110 00 |
| CONSOLIDATED EDISON, INC 3 850000 06/15/2013 M-W+15 00BP (209111EC3) | 05/19/2009 | 06/15/2013 | 500,000 00 | 500,000 00 | (3,945 00) | 500,000 00 | 0 00 |

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# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| THE GOLDMAN SACHS GROUP, INC LINKED TO S&P 500 0% COUPON DUE 10/28/2013 STRUCTURED NOTE (38146Q677) | 08/29/2011 | 10/28/2013 | 500 00 | 700,625 00 | 0 00 | 500,000 00 | 200,625 00 |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **2,364,115.88** | **(3,945.00)** | **2,022,459.05** | **341,656.83** |

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# REALIZED GAINS AND LOSSES

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | 91 920 53 | Net Covered Long-Term Gains (Losses) | 59,993 04 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 29,248 27 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short-Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **91,920 53** | **Total Long-Term Gains (Losses)** | **89,241.31** | **Total Ordinary Gains (Losses)** | **0.00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| ANGLO AMERICAN PLC ADR CMN (03485P201) | 01/13/2012 | 01/03/2013 | 37 00 | 594 33 | 0 00 | 724 14 | (129 81) |
| ANGLO AMERICAN PLC ADR CMN (03485P201) | 02/08/2012 | 01/03/2013 | 51 00 | 819 21 | 0 00 | 1,161.66 | (342 45) |
| ANGLO AMERICAN PLC ADR CMN (03485P201) | 07/30/2012 | 01/03/2013 | 82 00 | 1,317 16 | 0 00 | 1,233 67 | 83 49 |
| ANGLO AMERICAN PLC ADR CMN (03485P201) | 02/07/2012 | 01/03/2013 | 101 00 | 1,622 36 | 0 00 | 2,304 34 | (681 98) |
| ANGLO AMERICAN PLC ADR CMN (03485P201) | 09/10/2012 | 01/03/2013 | 104 00 | 1,670 54 | 0 00 | 1,673 54 | (3.00) |
| ANGLO AMERICAN PLC ADR CMN (03485P201) | 10/19/2012 | 01/03/2013 | 167 00 | 2,682 51 | 0 00 | 2,549 81 | 132 70 |
| KEPPEL CORP LTD (ADR) SPONSORED ADR CMN (492051305) | 03/14/2012 | 01/03/2013 | 84 00 | 1,511 07 | 0 00 | 1,473 54 | 37 53 |
| NEW WORLD DEVELOPMENT & CO LTD (SPONS ADR) (649274305) | 01/26/2012 | 01/03/2013 | 1,717 00 | 5,394 34 | 0 00 | 3,829 08 | 1,565 26 |
| ROCHE HOLDING AG ADR B SHS(NOM CHF 100) VAL 224 184 (771195104) | 07/03/2012 | 01/03/2013 | 84 00 | 4,298 84 | 0 00 | 3,652 39 | 646 45 |
| FRESENIUS SE & CO KGAA SPONSORED ADR CMN (35804M105) | 05/14/2012 | 01/04/2013 | 18 00 | 252 80 | 0 00 | 221 31 | 31 49 |
| FRESENIUS SE & CO KGAA SPONSORED ADR CMN (35804M105) | 08/20/2012 | 01/04/2013 | 106 00 | 1,488 70 | 0 00 | 1,433 18 | 55 52 |
| VIVENDI ADR CMN (92852T201) | 06/20/2012 | 01/04/2013 | 110 00 | 2,413 55 | 0 00 | 1,956 44 | 457 11 |
| TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100) | 02/16/2012 | 01/15/2013 | 319 00 | 5,694 56 | 0 00 | 4,617 40 | 1,077 16 |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 01/20/2012 | 01/16/2013 | 324 00 | 3,498 57 | 0 00 | 1,835 95 | 1,662 62 |

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# REALIZED GAINS AND LOSSES (Continued)

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| GAZPROM ADR SPONSORED ADR CMN (368287207) | 09/17/2012 | 01/16/2013 | 162 00 | 1,561 28 | 0 00 | 1,778.87 | (217 59) |
| KASIKORNBANK PUB CO LTD ADR CMN (485785109) | 02/14/2012 | 01/16/2013 | 49 00 | 1,261 88 | 0 00 | 895 70 | 366 18 |
| MAPFRE, S A UNSPONSORED ADR CMN (565100104) | 08/20/2012 | 01/16/2013 | 269 00 | 1,707 92 | 0 00 | 1,382 77 | 325 15 |
| GAZPROM ADR SPONSORED ADR CMN (368287207) | 10/11/2012 | 01/18/2013 | 96 00 | 926 63 | 0 00 | 953 78 | (27 15) |
| GAZPROM ADR SPONSORED ADR CMN (368287207) | 09/17/2012 | 01/18/2013 | 783 00 | 7,557 81 | 0 00 | 8,597 89 | (1,040 08) |
| RESMED INC CMN (761152107) | 01/19/2012 | 01/18/2013 | 2 00 | 88 61 | 0 00 | 53 08 | 35 53 |
| RESMED INC CMN (761152107) | 03/02/2012 | 01/18/2013 | 23 00 | 1,018 91 | 0 00 | 690 48 | 328 43 |
| BALFOUR BEATTY PLC SPONSORED ADR CMN (05845R306) | 07/16/2012 | 01/22/2013 | 45 00 | 404 23 | 0 00 | 422 75 | (18 52) |
| BALFOUR BEATTY PLC SPONSORED ADR CMN (05845R306) | 06/06/2012 | 01/22/2013 | 96 00 | 862 36 | 0 00 | 852 51 | 9 85 |
| SWEDBANK A B ADR CMN (870195104) | 06/08/2012 | 01/24/2013 | 148 00 | 2,989 40 | 0 00 | 2,206 83 | 782 57 |
| MAPFRE, S A UNSPONSORED ADR CMN (565100104) | 08/30/2012 | 01/25/2013 | 55 00 | 344 94 | 0 00 | 262 17 | 82 77 |
| MAPFRE, S A UNSPONSORED ADR CMN (565100104) | 08/20/2012 | 01/25/2013 | 759 00 | 4,760 19 | 0 00 | 3,901.56 | 858 63 |
| RESMED INC CMN (761152107) | 06/01/2012 | 01/25/2013 | 18 00 | 866 55 | 0 00 | 551 67 | 314 88 |
| RESMED INC CMN (761152107) | 03/02/2012 | 01/25/2013 | 44 00 | 2,118 25 | 0 00 | 1,320 92 | 797 33 |
| AVIVA PLC SPONSORED ADR CMN (05382A104) | 07/16/2012 | 01/28/2013 | 356 00 | 4,166 27 | 0 00 | 3,302 83 | 863 44 |
| RESMED INC CMN (761152107) | 07/05/2012 | 01/29/2013 | 12 00 | 569 53 | 0 00 | 371.00 | 198 53 |
| RESMED INC CMN (761152107) | 06/01/2012 | 01/29/2013 | 24 00 | 1,139 08 | 0 00 | 735 57 | 403 51 |
| RESMED INC CMN (761152107) | 07/13/2012 | 02/01/2013 | 10 00 | 443 76 | 0 00 | 318.93 | 124 83 |
| RESMED INC CMN (761152107) | 07/05/2012 | 02/01/2013 | 33 00 | 1,464 41 | 0 00 | 1,020.26 | 444 15 |
| AVIVA PLC SPONSORED ADR CMN (05382A104) | 07/16/2012 | 02/04/2013 | 229 00 | 2,575 32 | 0 00 | 2,124 57 | 450 75 |
| MAPFRE, S A UNSPONSORED ADR CMN (565100104) | 09/26/2012 | 02/04/2013 | 85 00 | 501 93 | 0 00 | 460 16 | 41 77 |
| MAPFRE, S A UNSPONSORED ADR CMN (565100104) | 08/30/2012 | 02/04/2013 | 524 00 | 3,094 20 | 0 00 | 2,497 75 | 596 45 |
| AKTIEBOLAGET ELECTROLUX ADR SPONSORED CL B (010198208) | 02/01/2013 | 02/05/2013 | 19 00 | 923 94 | 0 00 | 958 73 | (34 79) |
| AKTIEBOLAGET ELECTROLUX ADR SPONSORED CL B (010198208) Disallowed Loss | | | | | | | 34 79 |

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# REALIZED GAINS AND LOSSES (Continued)

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| ASHAI KASEI CORP ADR CMN (043400100) | 12/19/2012 | 02/05/2013 | 570 00 | 6,463 65 | 0 00 | 6,703 03 | (239 38) |
| ASTELLAS PHARMA INC UNSPONSORED ADR CMN (04623U102) | 12/19/2012 | 02/05/2013 | 83.00 | 4,108 40 | 0 00 | 3,979 54 | 128 86 |
| AVIVA PLC SPONSORED ADR CMN (05382A104) | 07/16/2012 | 02/05/2013 | 118 00 | 1,325 11 | 0 00 | 1,094 76 | 230 35 |
| AVIVA PLC SPONSORED ADR CMN (05382A104) | 07/30/2012 | 02/05/2013 | 140 00 | 1,572 16 | 0 00 | 1,312 58 | 259 58 |
| AXA-UAP AMERICAN DEPOSITARY SHARES (054536107) | 10/19/2012 | 02/05/2013 | 445 00 | 8,040 96 | 0 00 | 7,329 06 | 711 90 |
| BALFOUR BEATTY PLC SPONSORED ADR CMN (05845R306) | 07/18/2012 | 02/05/2013 | 43 00 | 361 19 | 0 00 | 410.37 | (49 18) |
| BALFOUR BEATTY PLC SPONSORED ADR CMN (05845R306) | 07/16/2012 | 02/05/2013 | 240 00 | 2,015 95 | 0 00 | 2,254 68 | (238 73) |
| BANCO BILBAO VIZCAYA S A ADR SPONSORED ADR CMN USD0 3296 (05946K101) | 01/17/2013 | 02/05/2013 | 689 00 | 6,634 92 | 0 00 | 7,179 11 | (544 19) |
| BANCO BILBAO VIZCAYA S A ADR SPONSORED ADR CMN USD0 3296 (05946K101) Disallowed Loss | | | | | | | 458 89 |
| BANK RAKYAT INDONESIA ADR (69366X100) | 01/28/2013 | 02/05/2013 | 245 00 | 4,039 95 | 0 00 | 3,923 70 | 116 25 |
| CHINA OVERSEAS LAND&INVT LTD UNSPONSORED ADR CMN (169403201) | 07/06/2012 | 02/05/2013 | 108 00 | 9,602 06 | 0 00 | 7,922 91 | 1,679 15 |
| DAIMLER AG CMN ISIN DE0007100000 (D1668R123) | 12/13/2012 | 02/05/2013 | 108 00 | 6,152 62 | 0 00 | 5,608 41 | 544 21 |
| DANONE SPONSORED ADR CMN (23636T100) | 04/19/2012 | 02/05/2013 | 464 00 | 6,310 25 | 0 00 | 6,661 60 | (351.35) |
| DNB ASA SPONSORED ADR CMN (23328E106) | 01/24/2013 | 02/05/2013 | 59.00 | 8,253 91 | 0 00 | 8,050 13 | 203.78 |
| DONGFENG MOTOR CORPORATION ADR CLASS H (257738203) | 03/27/2012 | 02/05/2013 | 49 00 | 3,851 31 | 0 00 | 4,186 48 | (335 17) |
| ENERSIS S A - SPON ADR SPONSORED ADR CMN (29274F104) | 12/05/2012 | 02/05/2013 | 58 00 | 1,140 83 | 0 00 | 1,004 21 | 136 62 |
| ENERSIS S A - SPON ADR SPONSORED ADR CMN (29274F104) | 12/04/2012 | 02/05/2013 | 102 00 | 2,006 29 | 0 00 | 1,751 45 | 254 84 |
| ENI S P A SPON ADR SPONSORED ADR CMN (26874R108) | 01/03/2013 | 02/05/2013 | 92 00 | 4,518 01 | 0 00 | 4,556 99 | (38 98) |
| ENI S P A SPON ADR SPONSORED ADR CMN (26874R108) Disallowed Loss | | | | | | | 15 25 |
| FLETCHER BUILDING LIMITED SPONSORED ADR CMN (339305302) | 10/09/2012 | 02/05/2013 | 12.00 | 181 08 | 0 00 | 146 33 | 34 75 |
| FLETCHER BUILDING LIMITED SPONSORED ADR CMN (339305302) | 10/05/2012 | 02/05/2013 | 370 00 | 5,583 17 | 0 00 | 4,534 79 | 1,048 38 |
| FRESENIUS SE & CO KGAA SPONSORED ADR CMN (35804M105) | 11/16/2012 | 02/05/2013 | 136 00 | 2,103 87 | 0 00 | 1,838 92 | 264 95 |

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# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| FRESENIUS SE & CO KGAA SPONSORED ADR CMN (35804M105) | 08/20/2012 | 02/05/2013 | 256 00 | 3,960 23 | 0 00 | 3,461 28 | 498 95 |
| H. LUNDBECK A/S SPONSORED ADR CMN (40422M206) | 01/30/2013 | 02/05/2013 | 129 00 | 2,075 56 | 0 00 | 2,069.82 | 5 74 |
| HEINEKEN N V SPONSORED ADR CMN (423012301) | 07/30/2012 | 02/05/2013 | 236 00 | 8,486 36 | 0 00 | 6,459 04 | 2,027 32 |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 02/07/2012 | 02/05/2013 | 48 00 | 412 79 | 0 00 | 504 15 | (91 36) |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406) | 09/17/2012 | 02/05/2013 | 8 00 | 445 43 | 0 00 | 380 23 | 65 20 |
| INFOSYS LTD SPONSORED ADR CMN SRS 16840480 (456788108) | 12/19/2012 | 02/05/2013 | 138 00 | 7,240 69 | 0 00 | 5,872 12 | 1,368 57 |
| INTERNATIONAL CONSOLIDATED AIRLINES GROUP, S A SPONSORED ADR CMN (459348108) | 10/08/2012 | 02/05/2013 | 234 00 | 3,914 73 | 0 00 | 3,088 47 | 826 26 |
| KASIKORNBANK PUB CO LTD ADR CMN (485785109) | 02/16/2012 | 02/05/2013 | 13 00 | 374 39 | 0 00 | 246 59 | 127.80 |
| KASIKORNBANK PUB CO LTD ADR CMN (485785109) | 02/14/2012 | 02/05/2013 | 218 00 | 6,278 26 | 0 00 | 3,984 95 | 2,293 31 |
| KDDI CORP UNSPONSORED ADR CMN (48667L106) | 10/19/2012 | 02/05/2013 | 327 00 | 5,934 91 | 0 00 | 6,240 08 | (305 17) |
| KINROSS GOLD CORP CMN (496902404) | 09/17/2012 | 02/05/2013 | 595 00 | 4,890 79 | 0 00 | 6,030.45 | (1,139 66) |
| MAPFRE, S A UNSPONSORED ADR CMN (565100104) | 09/26/2012 | 02/05/2013 | 425 00 | 2,507 44 | 0 00 | 2,300 78 | 206 66 |
| MURATA MFG CO , LTD UNSPONSORED ADR CMN (626425102) | 01/04/2013 | 02/05/2013 | 398 00 | 6,224 58 | 0 00 | 5,944 21 | 280 37 |
| NISSAN MOTOR CO LTD SPONSORED ADR (654744408) | 11/20/2012 | 02/05/2013 | 413 00 | 8,590 20 | 0 00 | 7,669 78 | 920 42 |
| NSK LTD ADR SPONSORED ADR CMN (670184100) | 12/20/2012 | 02/05/2013 | 533 00 | 7,877 56 | 0 00 | 7,460 29 | 417 27 |
| OCEAN RIG UDW INC CMN (Y64354205) | 09/24/2012 | 02/05/2013 | 12.00 | 210 48 | 0 00 | 208 01 | 2 47 |
| OCEAN RIG UDW INC CMN (Y64354205) | 09/18/2012 | 02/05/2013 | 19 00 | 333 25 | 0 00 | 342 19 | (8 94) |
| OCEAN RIG UDW INC CMN (Y64354205) | 09/14/2012 | 02/05/2013 | 27 00 | 473 57 | 0 00 | 483 65 | (10 08) |
| OCEAN RIG UDW INC CMN (Y64354205) | 09/11/2012 | 02/05/2013 | 30 00 | 526 19 | 0 00 | 534 47 | (8 28) |
| OCEAN RIG UDW INC CMN (Y64354205) | 09/10/2012 | 02/05/2013 | 31 00 | 543 73 | 0 00 | 548 76 | (5 03) |
| OCEAN RIG UDW INC CMN (Y64354205) | 09/17/2012 | 02/05/2013 | 36 00 | 631 42 | 0 00 | 649 50 | (18 08) |
| OCEAN RIG UDW INC CMN (Y64354205) | 09/12/2012 | 02/05/2013 | 42 00 | 736 66 | 0 00 | 749 80 | (13 14) |
| REPSOL SA - ADR SPONSORED ADR CMN (76026T205) | 09/07/2012 | 02/05/2013 | 246 00 | 5,293 80 | 0 00 | 4,972 18 | 321 62 |
| RESMED INC CMN (761152107) | 07/13/2012 | 02/05/2013 | 9 00 | 399 23 | 0 00 | 287 03 | 112 20 |

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| RIO TINTO PLC SPONSORED ADR (767204100) | 07/27/2012 | 02/05/2013 | 202 00 | 11,483 44 | 0 00 | 9,201 18 | 2,282 26 |
| ROCHE HOLDING AG ADR B SHS(NOM CHF 100) VAL 224 184 (771195104) | 07/03/2012 | 02/05/2013 | 156 00 | 8,670 28 | 0 00 | 6,783 01 | 1,887 27 |
| SCHNEIDER ELECTRIC SA UNSPONSORED ADR (FRANCE) (80687P106) | 05/07/2012 | 02/05/2013 | 93.00 | 1,398 69 | 0 00 | 1,112 81 | 285 88 |
| SCHNEIDER ELECTRIC SA UNSPONSORED ADR (FRANCE) (80687P106) | 04/16/2012 | 02/05/2013 | 179 00 | 2,692.10 | 0 00 | 2,171 97 | 520 13 |
| SCHNEIDER ELECTRIC SA UNSPONSORED ADR (FRANCE) (80687P106) | 04/26/2012 | 02/05/2013 | 216 00 | 3,248 57 | 0 00 | 2,700 00 | 548 57 |
| SHIRE LIMITED SPONSORED ADR CMN (82481R106) | 03/02/2012 | 02/05/2013 | 4 00 | 402 39 | 0 00 | 420 78 | (18 39) |
| SHIRE LIMITED SPONSORED ADR CMN (82481R106) | 02/09/2012 | 02/05/2013 | 20 00 | 2,011 95 | 0 00 | 2,071 90 | (59 95) |
| SHIRE LIMITED SPONSORED ADR CMN (82481R106) | 02/29/2012 | 02/05/2013 | 22 00 | 2,213 15 | 0 00 | 2,316 11 | (102 96) |
| SSE PLC SPONSORED ADR CMN (78467K107) | 04/16/2012 | 02/05/2013 | 326 00 | 7,285 93 | 0 00 | 7,119 35 | 166 58 |
| TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100) | 03/23/2012 | 02/05/2013 | 100 00 | 1,802 30 | 0 00 | 1,507 23 | 295 07 |
| TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100) | 02/16/2012 | 02/05/2013 | 169 00 | 3,045 89 | 0 00 | 2,446 21 | 599 68 |
| TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100) | 03/02/2012 | 02/05/2013 | 179 00 | 3,226 11 | 0 00 | 2,610 20 | 615 91 |
| TECK RESOURCES LIMITED CMN CLASS B (878742204) | 01/04/2013 | 02/05/2013 | 145 00 | 5,325 73 | 0 00 | 5,409 60 | (83 87) |
| TECK RESOURCES LIMITED CMN CLASS B (878742204) Disallowed Loss | | | | | | | 65.36 |
| VIVENDI ADR CMN (92852T201) | 06/20/2012 | 02/05/2013 | 308 00 | 6,514 05 | 0 00 | 5,478 03 | 1,036 02 |
| WPP PLC ADR CMN (92937A102) | 04/12/2012 | 02/05/2013 | 5 00 | 392 19 | 0 00 | 341 89 | 50 30 |
| WPP PLC ADR CMN (92937A102) | 03/28/2012 | 02/05/2013 | 8 00 | 627 51 | 0 00 | 562 12 | 65 39 |
| WPP PLC ADR CMN (92937A102) | 04/03/2012 | 02/05/2013 | 20 00 | 1,568 76 | 0 00 | 1,383 79 | 184 97 |
| WPP PLC ADR CMN (92937A102) | 03/14/2012 | 02/05/2013 | 91 00 | 7,137 88 | 0 00 | 6,004 51 | 1,133 37 |
| YANZHOU COAL MINING CO LTD SPONSORED ADR CMN (984846105) | 09/17/2012 | 02/05/2013 | 249 00 | 4,188 08 | 0 00 | 3,968 91 | 219 17 |
| AVIVA PLC SPONSORED ADR CMN (05382A104) | 07/30/2012 | 02/07/2013 | 46 00 | 510 95 | 0 00 | 431 28 | 79 67 |
| AVIVA PLC SPONSORED ADR CMN (05382A104) | 09/17/2012 | 02/07/2013 | 63 00 | 699 77 | 0 00 | 742 21 | (42 44) |

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# REALIZED GAINS AND LOSSES (Continued)

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| AVIVA PLC SPONSORED ADR CMN (05382A104) | 11/21/2012 | 02/07/2013 | 150 00 | 1,666 12 | 0 00 | 1,647 93 | 18 19 |
| AVIVA PLC SPONSORED ADR CMN (05382A104) | 08/20/2012 | 02/07/2013 | 218 00 | 2,421 42 | 0.00 | 2,263 71 | 157 71 |
| FLETCHER BUILDING LIMITED SPONSORED ADR CMN (339305302) | 10/09/2012 | 02/07/2013 | 115 00 | 1,702 40 | 0 00 | 1,402.33 | 300.07 |
| RESMED INC CMN (761152107) | 07/13/2012 | 02/08/2013 | 17 00 | 749 34 | 0 00 | 542 17 | 207 17 |
| BALFOUR BEATTY PLC SPONSORED ADR CMN (05845R306) | 07/18/2012 | 02/19/2013 | 88 00 | 729 88 | 0 00 | 839 83 | (109 95) |
| INTESA SANPAOLO SPONSORED ADR CMN (46115H107) | 10/19/2012 | 02/22/2013 | 34 00 | 357.69 | 0 00 | 353 53 | 4 16 |
| FLETCHER BUILDING LIMITED SPONSORED ADR CMN (339305302) | 10/09/2012 | 02/26/2013 | 334 00 | 4,853 59 | 0 00 | 4,072 87 | 780 72 |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 09/06/2012 | 02/27/2013 | 70 00 | 1,278 06 | 0 00 | 860 99 | 417 07 |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 08/22/2012 | 02/27/2013 | 230 00 | 4,199 34 | 0 00 | 2,826 65 | 1,372 69 |
| INTESA SANPAOLO SPONSORED ADR CMN (46115H107) | 10/19/2012 | 02/27/2013 | 488 00 | 4,752 96 | 0 00 | 5,074 13 | (321 17) |
| MAPFRE, S A UNSPONSORED ADR CMN (565100104) | 09/26/2012 | 03/12/2013 | 127 00 | 852 54 | 0 00 | 687 53 | 165 01 |
| MAPFRE, S A UNSPONSORED ADR CMN (565100104) | 11/21/2012 | 03/12/2013 | 193 00 | 1,295 58 | 0 00 | 1,076 09 | 219 49 |
| MAPFRE, S A UNSPONSORED ADR CMN (565100104) | 11/23/2012 | 03/12/2013 | 466 00 | 3,128 19 | 0 00 | 2,708 02 | 420 17 |
| RIO TINTO PLC SPONSORED ADR (767204100) | 07/27/2012 | 03/19/2013 | 53 00 | 2,478 26 | 0 00 | 2,414 17 | 64 09 |
| BALFOUR BEATTY PLC SPONSORED ADR CMN (05845R306) | 07/25/2012 | 03/20/2013 | 93 00 | 728 33 | 0 00 | 834 70 | (106 37) |
| BALFOUR BEATTY PLC SPONSORED ADR CMN (05845R306) | 07/18/2012 | 03/20/2013 | 111 00 | 869 30 | 0 00 | 1,059.33 | (190.03) |
| FLETCHER BUILDING LIMITED SPONSORED ADR CMN (339305302) | 10/09/2012 | 03/20/2013 | 41 00 | 581 20 | 0 00 | 499 96 | 81 24 |
| FLETCHER BUILDING LIMITED SPONSORED ADR CMN (339305302) | 10/19/2012 | 03/20/2013 | 85 00 | 1,204 94 | 0 00 | 1,037 62 | 167 32 |
| BALFOUR BEATTY PLC SPONSORED ADR CMN (05845R306) | 07/25/2012 | 03/21/2013 | 232 00 | 1,732 21 | 0 00 | 2,082.27 | (350 06) |
| YANZHOU COAL MINING CO LTD SPONSORED ADR CMN (984846105) | 09/17/2012 | 03/21/2013 | 68 00 | 938 15 | 0 00 | 1,083 88 | (145 73) |
| ANHEUSER-BUSCH INBEV S A SPONSORED ADR CMN (03524A108) | 04/13/2012 | 03/25/2013 | 20 00 | 1,953 69 | 0 00 | 1,421 68 | 532 01 |
| RIO TINTO PLC SPONSORED ADR (767204100) | 07/27/2012 | 03/25/2013 | 14 00 | 653 65 | 0 00 | 637 71 | 15 94 |
| RIO TINTO PLC SPONSORED ADR (767204100) | 09/17/2012 | 03/25/2013 | 16 00 | 747 02 | 0 00 | 837 26 | (90 24) |
| RIO TINTO PLC SPONSORED ADR (767204100) | 09/10/2012 | 03/25/2013 | 50 00 | 2,334 44 | 0 00 | 2,468 48 | (134 04) |
| FLETCHER BUILDING LIMITED SPONSORED ADR CMN (339305302) | 10/19/2012 | 03/26/2013 | 130 00 | 1,802 58 | 0 00 | 1,586 95 | 215 63 |

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# REALIZED GAINS AND LOSSES (Continued)

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 04/12/2012 | 04/05/2013 | 65 00 | 824 25 | 0 00 | 467 67 | 356 58 |
| YANZHOU COAL MINING CO LTD SPONSORED ADR CMN (984846105) | 09/17/2012 | 04/05/2013 | 107 00 | 1,324 49 | 0 00 | 1,705 52 | (381.03) |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 04/12/2012 | 04/08/2013 | 175 00 | 2,286 09 | 0 00 | 1,259 11 | 1,026 98 |
| KINROSS GOLD CORP CMN (496902404) | 09/17/2012 | 04/08/2013 | 170 00 | 1,192 84 | 0 00 | 1,722 98 | (530 14) |
| KINROSS GOLD CORP CMN (496902404) | 10/11/2012 | 04/08/2013 | 203 00 | 1,424 40 | 0 00 | 2,141 45 | (717 05) |
| KINROSS GOLD CORP CMN (496902404) | 09/24/2012 | 04/08/2013 | 276 00 | 1,936 62 | 0 00 | 2,753 62 | (817 00) |
| KINROSS GOLD CORP CMN (496902404) | 11/08/2012 | 04/08/2013 | 449 00 | 3,150 52 | 0 00 | 4,460 46 | (1,309 94) |
| YANZHOU COAL MINING CO LTD SPONSORED ADR CMN (984846105) | 09/17/2012 | 04/08/2013 | 50 00 | 603 36 | 0 00 | 796 97 | (193 61) |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 04/12/2012 | 04/09/2013 | 36 00 | 467 05 | 0 00 | 259 02 | 208 03 |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 07/06/2012 | 04/09/2013 | 84 00 | 1,089 78 | 0 00 | 603 87 | 485 91 |
| YANZHOU COAL MINING CO. LTD SPONSORED ADR CMN (984846105) | 09/17/2012 | 04/09/2013 | 7 00 | 87 85 | 0 00 | 111 58 | (23 73) |
| YANZHOU COAL MINING CO LTD SPONSORED ADR CMN (984846105) | 10/17/2012 | 04/09/2013 | 229 00 | 2,873 95 | 0 00 | 3,752 69 | (878 74) |
| MURATA MFG CO , LTD UNSPONSORED ADR CMN (626425102) | 01/04/2013 | 04/17/2013 | 101 00 | 2,066 24 | 0 00 | 1,508 46 | 557 78 |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 09/06/2012 | 04/18/2013 | 65 00 | 1,125 74 | 0 00 | 799 49 | 326 25 |
| AXA-UAP AMERICAN DEPOSITARY SHARES (054536107) | 10/19/2012 | 04/19/2013 | 58 00 | 980 58 | 0 00 | 955 25 | 25.33 |
| INFOSYS LTD SPONSORED ADR CMN SRS 16840480 (456788108) | 12/19/2012 | 04/26/2013 | 97 00 | 3,878 19 | 0 00 | 4,127 51 | (249 32) |
| MURATA MFG CO , LTD UNSPONSORED ADR CMN (626425102) | 01/04/2013 | 04/26/2013 | 54 00 | 1,044 83 | 0 00 | 806 50 | 238 33 |
| NISSAN MOTOR CO LTD SPONSORED ADR (654744408) | 11/20/2012 | 04/26/2013 | 43 00 | 904 76 | 0 00 | 798 55 | 106 21 |
| ASHAI KASEI CORP ADR CMN (043400100) | 12/19/2012 | 04/30/2013 | 201 00 | 2,681 47 | 0 00 | 2,363 70 | 317 77 |
| AKTIEBOLAGET ELECTROLUX ADR SPONSORED CL B (010198208) | 02/13/2013 | 05/01/2013 | 4 00 | 226 36 | 0 00 | 207 70 | 18 66 |
| AKTIEBOLAGET ELECTROLUX ADR SPONSORED CL B (010198208) | 02/09/2013 | 05/01/2013 | 19 00 | 1,075 19 | 0 00 | 1,021 36 | 53 83 |
| AKTIEBOLAGET ELECTROLUX ADR SPONSORED CL B (010198208) | 03/21/2013 | 05/01/2013 | 23 00 | 1,301 54 | 0 00 | 1,229 63 | 71 91 |
| AKTIEBOLAGET ELECTROLUX ADR SPONSORED CL B (010198208) | 02/01/2013 | 05/01/2013 | 36 00 | 2,037 20 | 0 00 | 1,816 55 | 220 65 |
| AKTIEBOLAGET ELECTROLUX ADR SPONSORED CL B (010198208) | 03/12/2013 | 05/01/2013 | 57 00 | 3,225 56 | 0 00 | 2,916 67 | 308 89 |
| ASHAI KASEI CORP ADR CMN (043400100) | 12/19/2012 | 05/01/2013 | 408 00 | 5,487 48 | 0 00 | 4,797 96 | 689 52 |

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# REALIZED GAINS AND LOSSES (Continued)

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| ASHAI KASEI CORP ADR CMN (043400100) | 01/04/2013 | 05/01/2013 | 445 00 | 5,985 11 | 0 00 | 5,302 40 | 682 71 |
| ASTELLAS PHARMA INC. UNSPONSORED ADR CMN (04623U102) | 04/05/2013 | 05/01/2013 | 19 00 | 1,089 63 | 0 00 | 1,084 65 | 4.98 |
| ASTELLAS PHARMA INC UNSPONSORED ADR CMN (04623U102) | 02/25/2013 | 05/01/2013 | 52 00 | 2,982 13 | 0 00 | 2,730 61 | 251 52 |
| ASTELLAS PHARMA INC UNSPONSORED ADR CMN (04623U102) | 12/19/2012 | 05/01/2013 | 154 00 | 8,831 70 | 0 00 | 7,383 73 | 1,447 97 |
| AXA-UAP AMERICAN DEPOSITARY SHARES (054536107) | 11/21/2012 | 05/01/2013 | 165 00 | 3,059 03 | 0 00 | 2,604 74 | 454 29 |
| AXA-UAP AMERICAN DEPOSITARY SHARES (054536107) | 12/19/2012 | 05/01/2013 | 292 00 | 5,413 56 | 0 00 | 5,114 17 | 299 39 |
| AXA-UAP AMERICAN DEPOSITARY SHARES (054536107) | 10/19/2012 | 05/01/2013 | 308 00 | 5,710 19 | 0 00 | 5,072 70 | 637 49 |
| BANCO BILBAO VIZCAYA S A ADR SPONSORED ADR CMN USD0 3296 (05946K101) | 01/17/2013 | 05/01/2013 | 261 00 | 2,523 81 | 0 00 | 2,963 87 | (440 06) |
| BANCO BILBAO VIZCAYA S A ADR SPONSORED ADR CMN USD0 3296 (05946K101) | 01/17/2013 | 05/01/2013 | 320 00 | 3,094 33 | 0 00 | 3,572 45 | (478 12) |
| BANCO BILBAO VIZCAYA S A ADR SPONSORED ADR CMN USD0 3296 (05946K101) | 01/17/2013 | 05/01/2013 | 691 00 | 6,681 82 | 0 00 | 7,199 95 | (518 13) |
| BANK RAKYAT INDONESIA ADR (69366X100) | 04/05/2013 | 05/01/2013 | 62 00 | 1,221 37 | 0 00 | 1,094 93 | 126 44 |
| BANK RAKYAT INDONESIA ADR (69366X100) | 01/28/2013 | 05/01/2013 | 453 00 | 8,923 90 | 0 00 | 7,254 84 | 1,669 06 |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 09/06/2012 | 05/01/2013 | 54 00 | 971 44 | 0 00 | 664 19 | 307 25 |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 09/17/2012 | 05/01/2013 | 135 00 | 2,428 60 | 0 00 | 1,996 87 | 431 73 |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 01/24/2013 | 05/01/2013 | 554 00 | 9,966 24 | 0 00 | 10,445.67 | (479 43) |
| BRITISH SKY BROADCASTING GROUP PLC AMERICAN DEPOSITARY SHARES (1 ADS = 4 ORDS) (111013108) | 11/14/2012 | 05/01/2013 | 21 00 | 1,098 48 | 0 00 | 1,011 71 | 86 77 |
| BRITISH SKY BROADCASTING GROUP PLC AMERICAN DEPOSITARY SHARES (1 ADS = 4 ORDS) (111013108) | 11/01/2012 | 05/01/2013 | 25 00 | 1,307 72 | 0 00 | 1,234 00 | 73 72 |
| BRITISH SKY BROADCASTING GROUP PLC AMERICAN DEPOSITARY SHARES (1 ADS = 4 ORDS) (111013108) | 07/23/2012 | 05/01/2013 | 91 00 | 4,760 10 | 0 00 | 3,887 37 | 872 73 |
| CHINA OVERSEAS LAND&INVT LTD UNSPONSORED ADR CMN (169403201) | 08/30/2012 | 05/01/2013 | 36 00 | 3,280 25 | 0 00 | 2,469 61 | 810 64 |

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# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| CHINA OVERSEAS LAND&INVT LTD UNSPONSORED ADR CMN (169403201) | 07/30/2012 | 05/01/2013 | 41 00 | 3,735 84 | 0 00 | 2,848 62 | 887 22 |
| CHINA OVERSEAS LAND&INVT LTD UNSPONSORED ADR CMN (169403201) | 12/20/2012 | 05/01/2013 | 51 00 | 4,647 01 | 0 00 | 4,638 79 | 8 22 |
| CHINA OVERSEAS LAND&INVT LTD UNSPONSORED ADR CMN (169403201) | 07/06/2012 | 05/01/2013 | 70 00 | 6,378 26 | 0 00 | 5,135 22 | 1,243 04 |
| DAIMLER AG CMN ISIN DE0007100000 (D1668R123) | 12/17/2012 | 05/01/2013 | 98 00 | 5,399 68 | 0 00 | 5,344 12 | 55 56 |
| DAIMLER AG CMN ISIN DE0007100000 (D1668R123) | 12/13/2012 | 05/01/2013 | 100 00 | 5,509 87 | 0 00 | 5,192 97 | 316 90 |
| DANONE SPONSORED ADR CMN (23636T100) | 04/19/2013 | 05/01/2013 | 32 00 | 480 63 | 0 00 | 486 06 | (5 43) |
| DANONE SPONSORED ADR CMN (23636T100) | 11/14/2012 | 05/01/2013 | 123 00 | 1,847 42 | 0 00 | 1,543.37 | 304 05 |
| DANONE SPONSORED ADR CMN (23636T100) | 05/18/2012 | 05/01/2013 | 186 00 | 2,793 66 | 0 00 | 2,443 82 | 349 84 |
| DANONE SPONSORED ADR CMN (23636T100) | 05/09/2012 | 05/01/2013 | 348 00 | 5,226 84 | 0 00 | 4,691 70 | 535 14 |
| DNB ASA SPONSORED ADR CMN (23328E106) | 03/12/2013 | 05/01/2013 | 10 00 | 1,627 96 | 0 00 | 1,616 18 | 11 78 |
| DNB ASA SPONSORED ADR CMN (23328E106) | 01/24/2013 | 05/01/2013 | 110 00 | 17,907 60 | 0 00 | 15,008 72 | 2,898 88 |
| DONGFENG MOTOR CORPORATION ADR CLASS H (257738203) | 12/13/2012 | 05/01/2013 | 49 00 | 3,621 02 | 0 00 | 3,926 37 | (305 35) |
| EAST JAPAN RAILWAY COMPANY UNSPONSORED ADR (JAPAN) (273202101) | 10/25/2012 | 05/01/2013 | 207 00 | 2,945 54 | 0 00 | 2,360 42 | 585 12 |
| EMPRESAS ICA, S A DE C.V SPONSORED ADR CMN (292448206) | 09/17/2012 | 05/01/2013 | 100 00 | 1,068 16 | 0 00 | 759 99 | 308 17 |
| EMPRESAS ICA, S A DE C V. SPONSORED ADR CMN (292448206) | 07/06/2012 | 05/01/2013 | 158 00 | 1,687 68 | 0 00 | 1,135.84 | 551 84 |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 09/25/2012 | 05/01/2013 | 309 00 | 3,300 60 | 0 00 | 2,401 89 | 898 71 |
| ENERSIS S A - SPON ADR SPONSORED ADR CMN (29274F104) | 04/01/2013 | 05/01/2013 | 55 00 | 1,033 21 | 0 00 | 1,057 31 | (24 10) |
| ENERSIS S A - SPON ADR SPONSORED ADR CMN (29274F104) | 04/05/2013 | 05/01/2013 | 77 00 | 1,446 49 | 0 00 | 1,466 54 | (20 05) |
| ENERSIS S A - SPON ADR SPONSORED ADR CMN (29274F104) | 04/08/2013 | 05/01/2013 | 95 00 | 1,784 63 | 0 00 | 1,837 14 | (52 51) |
| ENERSIS S.A - SPON ADR SPONSORED ADR CMN (29274F104) | 12/17/2012 | 05/01/2013 | 141 00 | 2,648 77 | 0 00 | 2,567 51 | 81 26 |
| ENERSIS S A - SPON ADR SPONSORED ADR CMN (29274F104) | 04/02/2013 | 05/01/2013 | 149 00 | 2,799 05 | 0 00 | 2,778.85 | 20 20 |
| ENERSIS S A - SPON ADR SPONSORED ADR CMN (29274F104) | 12/05/2012 | 05/01/2013 | 155 00 | 2,911 76 | 0 00 | 2,683 67 | 228 09 |

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# REALIZED GAINS AND LOSSES (Continued)

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| ENI S P A SPON ADR SPONSORED ADR CMN (26874R108) | 01/03/2013 | 05/01/2013 | 36 00 | 1,719 10 | 0 00 | 1,834 46 | (115 36) |
| ENI S P A SPON ADR SPONSORED ADR CMN (26874R108) | 01/03/2013 | 05/01/2013 | 134 00 | 6,398 90 | 0.00 | 6,637 36 | (238 46) |
| FRESENIUS SE & CO KGAA SPONSORED ADR CMN (35804M105) | 11/16/2012 | 05/01/2013 | 107 00 | 1,674 51 | 0 00 | 1,446 80 | 227 71 |
| FRESENIUS SE & CO KGAA SPONSORED ADR CMN (35804M105) | 01/16/2013 | 05/01/2013 | 135 00 | 2,112 70 | 0 00 | 1,920 59 | 192 11 |
| FRESENIUS SE & CO KGAA SPONSORED ADR CMN (35804M105) | 11/21/2012 | 05/01/2013 | 481 00 | 7,527 48 | 0 00 | 6,524 52 | 1,002 96 |
| H LUNDBECK A/S SPONSORED ADR CMN (40422M206) | 01/30/2013 | 05/01/2013 | 87 00 | 1,735 61 | 0 00 | 1,395 92 | 339 69 |
| H LUNDBECK A/S SPONSORED ADR CMN (40422M206) | 02/01/2013 | 05/01/2013 | 151 00 | 3,012 38 | 0 00 | 2,470 92 | 541 46 |
| HEINEKEN N V SPONSORED ADR CMN (423012301) | 12/17/2012 | 05/01/2013 | 62 00 | 2,181.73 | 0 00 | 2,022 01 | 159 72 |
| HEINEKEN N V SPONSORED ADR CMN (423012301) | 09/05/2012 | 05/01/2013 | 80 00 | 2,815 14 | 0 00 | 2,238 02 | 577 12 |
| HEINEKEN N V SPONSORED ADR CMN (423012301) | 07/30/2012 | 05/01/2013 | 293 00 | 10,310 43 | 0 00 | 8,019.06 | 2,291 37 |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 11/07/2012 | 05/01/2013 | 8 00 | 58 00 | 0 00 | 74 80 | (16 80) |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 09/12/2012 | 05/01/2013 | 97 00 | 703 23 | 0 00 | 703 81 | (0 58) |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 09/10/2012 | 05/01/2013 | 254 00 | 1,841 46 | 0 00 | 1,819 12 | 22 34 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406) | 09/17/2012 | 05/01/2013 | 67 00 | 3,684 92 | 0 00 | 3,184 45 | 500 47 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406) | 11/21/2012 | 05/01/2013 | 123 00 | 6,764 85 | 0 00 | 6,056 13 | 708 72 |
| INFOSYS LTD SPONSORED ADR CMN SRS 16840480 (456788108) | 02/14/2013 | 05/01/2013 | 34 00 | 1,412 84 | 0 00 | 1,771 84 | (359 00) |
| INFOSYS LTD SPONSORED ADR CMN SRS 16840480 (456788108) | 01/02/2013 | 05/01/2013 | 66 00 | 2,742 58 | 0 00 | 2,815 65 | (73 07) |
| INFOSYS LTD SPONSORED ADR CMN SRS 16840480 (456788108) | 12/19/2012 | 05/01/2013 | 91 00 | 3,781 44 | 0 00 | 3,872 20 | (90 76) |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 05/11/2012 | 05/01/2013 | 61 00 | 495 31 | 0 00 | 408 82 | 86 49 |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 05/22/2012 | 05/01/2013 | 117 00 | 950 02 | 0 00 | 741 12 | 208 90 |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 08/09/2012 | 05/01/2013 | 144 00 | 1,169 25 | 0 00 | 1,026.32 | 142 93 |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 09/06/2012 | 05/01/2013 | 245 00 | 1,989 36 | 0 00 | 1,965 64 | 23 72 |
| INPEX CORPORATION UNSPONSORED ADR CMN (45790H101) | 03/12/2013 | 05/01/2013 | 70 00 | 840 68 | 0 00 | 956 61 | (115 93) |
| INPEX CORPORATION UNSPONSORED ADR CMN (45790H101) | 02/07/2013 | 05/01/2013 | 644 00 | 7,734 26 | 0 00 | 8,977 68 | (1,243 42) |

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# REALIZED GAINS AND LOSSES (Continued)

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| INTERNATIONAL CONSOLIDATED AIRLINES GROUP, S A SPONSORED ADR CMN (459348108) | 11/14/2012 | 05/01/2013 | 68 00 | 1,449 05 | 0 00 | 911 07 | 537 98 |
| INTERNATIONAL CONSOLIDATED AIRLINES GROUP, S A SPONSORED ADR CMN (459348108) | 12/17/2012 | 05/01/2013 | 89 00 | 1,896 55 | 0 00 | 1,286.64 | 609 91 |
| INTERNATIONAL CONSOLIDATED AIRLINES GROUP, S A SPONSORED ADR CMN (459348108) | 10/25/2012 | 05/01/2013 | 105 00 | 2,237 50 | 0 00 | 1,362 84 | 874 66 |
| INTERNATIONAL CONSOLIDATED AIRLINES GROUP, S A SPONSORED ADR CMN (459348108) | 03/21/2013 | 05/01/2013 | 132 00 | 2,812 86 | 0 00 | 2,597.59 | 215.27 |
| INTERNATIONAL CONSOLIDATED AIRLINES GROUP, S A SPONSORED ADR CMN (459348108) | 10/08/2012 | 05/01/2013 | 170 00 | 3,622 62 | 0 00 | 2,243 76 | 1,378 86 |
| KASIKORNBANK PUB CO LTD ADR CMN (485785109) | 05/14/2012 | 05/01/2013 | 43 00 | 1,253 42 | 0 00 | 841 63 | 411 79 |
| KB FINANCIAL GROUP INC SPONSORED ADR (48241A105) | 06/01/2012 | 05/01/2013 | 33 00 | 1,074 56 | 0 00 | 1,006 10 | 68 46 |
| KB FINANCIAL GROUP INC SPONSORED ADR (48241A105) | 06/07/2012 | 05/01/2013 | 67 00 | 2,181 68 | 0 00 | 2,205 43 | (23 75) |
| KDDI CORP UNSPONSORED ADR CMN (48667L106) | 11/02/2012 | 05/01/2013 | 136 00 | 1,630 60 | 0 00 | 1,322 93 | 307 67 |
| KDDI CORP UNSPONSORED ADR CMN (48667L106) | 10/19/2012 | 05/01/2013 | 496 00 | 5,946 90 | 0 00 | 4,732 53 | 1,214 37 |
| KDDI CORP UNSPONSORED ADR CMN (48667L106) | 11/08/2012 | 05/01/2013 | 574 00 | 6,882 10 | 0 00 | 5,527 05 | 1,355 05 |
| KOMATSU LTD ADR (NEW) SPONSORED GDS CMN (500458401) | 04/26/2013 | 05/01/2013 | 59 00 | 1,577 03 | 0 00 | 1,590.49 | (13 46) |
| KOMATSU LTD ADR (NEW) SPONSORED GDS CMN (500458401) | 04/08/2013 | 05/01/2013 | 318 00 | 8,499 95 | 0 00 | 7,335 91 | 1,164 04 |
| KONINKLIJKE AHOLD N V SPONSORED ADR CMN (500467402) | 05/18/2012 | 05/01/2013 | 133 00 | 2,101 35 | 0 00 | 1,597 69 | 503 66 |
| MURATA MFG CO , LTD UNSPONSORED ADR CMN (626425102) | 02/07/2013 | 05/01/2013 | 67 00 | 1,363 42 | 0 00 | 1,087 46 | 275 96 |
| MURATA MFG CO , LTD. UNSPONSORED ADR CMN (626425102) | 02/19/2013 | 05/01/2013 | 143 00 | 2,909 98 | 0 00 | 2,287 73 | 622 25 |
| MURATA MFG CO , LTD UNSPONSORED ADR CMN (626425102) | 01/04/2013 | 05/01/2013 | 204 00 | 4,151 30 | 0 00 | 3,046 78 | 1,104 52 |
| MURATA MFG CO , LTD UNSPONSORED ADR CMN (626425102) | 01/22/2013 | 05/01/2013 | 376 00 | 7,651 42 | 0 00 | 5,688 47 | 1,962 95 |
| NISSAN MOTOR CO LTD SPONSORED ADR (654744408) | 01/04/2013 | 05/01/2013 | 122 00 | 2,497 28 | 0 00 | 2,366 21 | 131 07 |
| NISSAN MOTOR CO LTD SPONSORED ADR (654744408) | 01/22/2013 | 05/01/2013 | 148 00 | 3,029 49 | 0 00 | 2,883 45 | 146 04 |
| NISSAN MOTOR CO LTD SPONSORED ADR (654744408) | 12/05/2012 | 05/01/2013 | 157 00 | 3,213 72 | 0 00 | 2,955 21 | 258 51 |

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# REALIZED GAINS AND LOSSES (Continued)

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| NISSAN MOTOR CO LTD SPONSORED ADR (654744408) | 11/20/2012 | 05/01/2013 | 293 00 | 5,997 57 | 0 00 | 5,441 27 | 556 30 |
| NOVARTIS AG-ADR SPONSORED ADR CMN (66987V109) | 04/18/2013 | 05/01/2013 | 13 00 | 956 78 | 0 00 | 936.66 | 20 12 |
| NOVARTIS AG-ADR SPONSORED ADR CMN (66987V109) | 04/25/2013 | 05/01/2013 | 16 00 | 1,177 57 | 0 00 | 1,172 58 | 4 99 |
| NOVARTIS AG-ADR SPONSORED ADR CMN (66987V109) | 04/16/2013 | 05/01/2013 | 47 00 | 3,459 12 | 0 00 | 3,439 59 | 19 53 |
| NOVARTIS AG-ADR SPONSORED ADR CMN (66987V109) | 04/08/2013 | 05/01/2013 | 107 00 | 7,875 02 | 0 00 | 7,635 18 | 239 84 |
| NSK LTD ADR SPONSORED ADR CMN (670184100) | 01/04/2013 | 05/01/2013 | 195 00 | 3,073 13 | 0 00 | 2,806 97 | 266 16 |
| NSK LTD ADR SPONSORED ADR CMN (670184100) | 01/22/2013 | 05/01/2013 | 316 00 | 4,980 05 | 0 00 | 4,393 95 | 586 10 |
| NSK LTD ADR SPONSORED ADR CMN (670184100) | 12/20/2012 | 05/01/2013 | 475 00 | 7,485 83 | 0 00 | 6,648 48 | 837 35 |
| OCEAN RIG UDW INC CMN (Y64354205) | 12/20/2012 | 05/01/2013 | 11 00 | 178 32 | 0 00 | 164 92 | 13 40 |
| OCEAN RIG UDW INC CMN (Y64354205) | 11/19/2012 | 05/01/2013 | 35 00 | 567 37 | 0 00 | 525 90 | 41.47 |
| OCEAN RIG UDW INC CMN (Y64354205) | 09/24/2012 | 05/01/2013 | 40 00 | 648 42 | 0 00 | 693 35 | (44 93) |
| OCEAN RIG UDW INC CMN (Y64354205) | 12/21/2012 | 05/01/2013 | 52 00 | 842 95 | 0 00 | 777.57 | 65 38 |
| OCEAN RIG UDW INC CMN (Y64354205) | 09/25/2012 | 05/01/2013 | 53 00 | 859 16 | 0 00 | 914 74 | (55 58) |
| OCEAN RIG UDW INC CMN (Y64354205) | 12/24/2012 | 05/01/2013 | 58 00 | 940 22 | 0 00 | 886 69 | 53 53 |
| OCEAN RIG UDW INC CMN (Y64354205) | 11/20/2012 | 05/01/2013 | 115 00 | 1,864 22 | 0 00 | 1,746 57 | 117 65 |
| OMRON CORP SPONSORED ADR CMN (682151303) | 04/08/2013 | 05/01/2013 | 64 00 | 1,947 48 | 0 00 | 1,693 86 | 253 62 |
| OMRON CORP SPONSORED ADR CMN (682151303) | 03/12/2013 | 05/01/2013 | 75 00 | 2,282 20 | 0 00 | 1,908 23 | 373 97 |
| OMRON CORP SPONSORED ADR CMN (682151303) | 04/02/2013 | 05/01/2013 | 154 00 | 4,686 12 | 0 00 | 3,728 03 | 958 09 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 11/20/2012 | 05/01/2013 | 27.00 | 2,062 48 | 0 00 | 1,386 49 | 675 99 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 03/12/2013 | 05/01/2013 | 33 00 | 2,520 81 | 0 00 | 2,081 05 | 439 76 |
| REPSOL SA - ADR SPONSORED ADR CMN (76026T205) | 09/13/2012 | 05/01/2013 | 59 00 | 1,372 90 | 0 00 | 1,198 15 | 174 75 |
| REPSOL SA - ADR SPONSORED ADR CMN (76026T205) | 10/19/2012 | 05/01/2013 | 138 00 | 3,211 19 | 0 00 | 2,836 08 | 375 11 |
| REPSOL SA - ADR SPONSORED ADR CMN (76026T205) | 09/07/2012 | 05/01/2013 | 257.00 | 5,980 25 | 0 00 | 5,194 51 | 785 74 |
| RIO TINTO PLC SPONSORED ADR (767204100) | 09/17/2012 | 05/01/2013 | 19 00 | 856 69 | 0 00 | 994 25 | (137 56) |
| RIO TINTO PLC SPONSORED ADR (767204100) | 01/02/2013 | 05/01/2013 | 45 00 | 2,029 00 | 0 00 | 2,688 21 | (659 21) |

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# REALIZED GAINS AND LOSSES (Continued)

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| RIO TINTO PLC SPONSORED ADR (767204100) | 10/17/2012 | 05/01/2013 | 63 00 | 2,840 60 | 0 00 | 3,264 18 | (423 58) |
| RIO TINTO PLC SPONSORED ADR (767204100) | 01/03/2013 | 05/01/2013 | 112 00 | 5,049 96 | 0 00 | 6,614.00 | (1,564 04) |
| ROCHE HOLDING AG ADR B SHS(NOM CHF 100) VAL 224 184 (771195104) | 07/03/2012 | 05/01/2013 | 43 00 | 2,678 13 | 0 00 | 1,869 68 | 808 45 |
| ROCHE HOLDING AG ADR B SHS(NOM CHF 100) VAL 224.184 (771195104) | 07/23/2012 | 05/01/2013 | 45 00 | 2,802 69 | 0 00 | 1,914 00 | 888.69 |
| ROCHE HOLDING AG ADR B SHS(NOM CHF 100) VAL 224 184 (771195104) | 07/30/2012 | 05/01/2013 | 54 00 | 3,363 23 | 0 00 | 2,344.69 | 1,018 54 |
| ROCHE HOLDING AG ADR B SHS(NOM CHF 100) VAL 224 184 (771195104) | 07/06/2012 | 05/01/2013 | 65 00 | 4,048 34 | 0 00 | 2,774 17 | 1,274 17 |
| ROCHE HOLDING AG ADR B SHS(NOM CHF 100) VAL 224 184 (771195104) | 08/23/2012 | 05/01/2013 | 82 00 | 5,107 13 | 0 00 | 3,696 92 | 1,410 21 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 08/16/2012 | 05/01/2013 | 24 00 | 1,175.97 | 0 00 | 845 93 | 330 04 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 08/30/2012 | 05/01/2013 | 60.00 | 2,939 93 | 0 00 | 2,103 65 | 836 28 |
| SCHNEIDER ELECTRIC SA UNSPONSORED ADR (FRANCE) (80687P106) | 08/20/2012 | 05/01/2013 | 45 00 | 659 69 | 0 00 | 574 21 | 85 48 |
| SCHNEIDER ELECTRIC SA UNSPONSORED ADR (FRANCE) (80687P106) | 11/08/2012 | 05/01/2013 | 108 00 | 1,583 24 | 0 00 | 1,378 08 | 205 16 |
| SCHNEIDER ELECTRIC SA UNSPONSORED ADR (FRANCE) (80687P106) | 05/07/2012 | 05/01/2013 | 124 00 | 1,817 80 | 0 00 | 1,483 75 | 334 05 |
| SCHNEIDER ELECTRIC SA UNSPONSORED ADR (FRANCE) (80687P106) | 11/01/2012 | 05/01/2013 | 130 00 | 1,905 76 | 0 00 | 1,664 36 | 241 40 |
| SCHNEIDER ELECTRIC SA UNSPONSORED ADR (FRANCE) (80687P106) | 08/16/2012 | 05/01/2013 | 189 00 | 2,770 68 | 0 00 | 2,327 25 | 443 43 |
| SCHNEIDER ELECTRIC SA UNSPONSORED ADR (FRANCE) (80687P106) | 11/21/2012 | 05/01/2013 | 305 00 | 4,471 20 | 0 00 | 4,050 00 | 421 20 |
| SHIRE LIMITED SPONSORED ADR CMN (82481R106) | 11/15/2012 | 05/01/2013 | 13 00 | 1,230 03 | 0 00 | 1,072 59 | 157 44 |
| SHIRE LIMITED SPONSORED ADR CMN (82481R106) | 10/11/2012 | 05/01/2013 | 34 00 | 3,217 01 | 0 00 | 2,970.53 | 246 48 |
| SIEMENS AKTIENGESELLSCHAFT SPONSORED ADR CMN (826197501) | 03/21/2013 | 05/01/2013 | 81 00 | 8,427 86 | 0 00 | 9,080 66 | (652 80) |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 04/17/2013 | 05/01/2013 | 271.00 | 1,639 51 | 0 00 | 1,427 17 | 212 34 |
| SSE PLC SPONSORED ADR CMN (78467K107) | 07/30/2012 | 05/01/2013 | 46 00 | 1,113 18 | 0 00 | 957 23 | 155 95 |
| SSE PLC SPONSORED ADR CMN (78467K107) | 05/21/2012 | 05/01/2013 | 85 00 | 2,056 95 | 0 00 | 1,801 63 | 255 32 |

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# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| SSE PLC SPONSORED ADR CMN (78467K107) | 06/06/2012 | 05/01/2013 | 99 00 | 2,395 75 | 0 00 | 2,064 81 | 330 94 |
| SSE PLC SPONSORED ADR CMN (78467K107) | 07/19/2012 | 05/01/2013 | 114 00 | 2,758 74 | 0 00 | 2,549 23 | 209 51 |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 04/05/2013 | 05/01/2013 | 24 00 | 297 35 | 0 00 | 294 18 | 3 17 |
| SYNGENTA AG SPONSORED ADR CMN (87160A100) | 07/27/2012 | 05/01/2013 | 7 00 | 594 99 | 0 00 | 487 77 | 107 22 |
| SYNGENTA AG SPONSORED ADR CMN (87160A100) | 08/29/2012 | 05/01/2013 | 11 00 | 934 98 | 0 00 | 764 08 | 170 90 |
| TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100) | 07/05/2012 | 05/01/2013 | 483 00 | 9,196 11 | 0 00 | 6,609 03 | 2,587 08 |
| TATE & LYLE PLC SPNSRD ADR NEW SPONSORED ADR CMN (876570607) | 03/28/2013 | 05/01/2013 | 47 00 | 2,465.56 | 0.00 | 2,439 18 | 26.38 |
| TATE & LYLE PLC SPNSRD ADR NEW SPONSORED ADR CMN (876570607) | 03/26/2013 | 05/01/2013 | 155 00 | 8,131 12 | 0 00 | 7,901 59 | 229 53 |
| TECK RESOURCES LIMITED CMN CLASS B (878742204) | 01/04/2013 | 05/01/2013 | 113 00 | 2,944 71 | 0 00 | 4,295 05 | (1,350.34) |
| TECK RESOURCES LIMITED CMN CLASS B (878742204) | 01/04/2013 | 05/01/2013 | 154 00 | 4,013 15 | 0 00 | 5,745 37 | (1,732 22) |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 05/11/2012 | 05/01/2013 | 17 00 | 1,944 25 | 0 00 | 1,380 39 | 563 86 |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 11/13/2012 | 05/01/2013 | 21 00 | 2,401 72 | 0 00 | 1,637 75 | 763 97 |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 11/19/2012 | 05/01/2013 | 23 00 | 2,630 45 | 0 00 | 1,910 75 | 719 70 |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 01/18/2013 | 05/01/2013 | 37 00 | 4,231 59 | 0 00 | 3,542 93 | 688 66 |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 12/20/2012 | 05/01/2013 | 49 00 | 5,604 00 | 0 00 | 4,526 29 | 1,077.71 |
| TULLOW OIL PLC ADR CMN (899415202) | 08/23/2012 | 05/01/2013 | 80 00 | 619 98 | 0 00 | 892 30 | (272 32) |
| UNILEVER N V NY SHS (NEW) ADR CMN (904784709) | 05/11/2012 | 05/01/2013 | 33 00 | 1,404 12 | 0 00 | 1,114 04 | 290 08 |
| UNILEVER N V NY SHS (NEW) ADR CMN (904784709) | 01/25/2013 | 05/01/2013 | 81 00 | 3,446 47 | 0 00 | 3,249 67 | 196 80 |
| UNILEVER N V NY SHS (NEW) ADR CMN (904784709) | 06/01/2012 | 05/01/2013 | 147 00 | 6,254 71 | 0 00 | 4,520 01 | 1,734 70 |
| VIVENDI ADR CMN (92852T201) | 07/20/2012 | 05/01/2013 | 74 00 | 1,664 22 | 0 00 | 1,374 50 | 289 72 |
| VIVENDI ADR CMN (92852T201) | 08/30/2012 | 05/01/2013 | 79 00 | 1,776 67 | 0 00 | 1,544 17 | 232 50 |
| VIVENDI ADR CMN (92852T201) | 06/20/2012 | 05/01/2013 | 132 00 | 2,968 62 | 0 00 | 2,347 73 | 620 89 |

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# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| VIVENDI ADR CMN (92852T201) | 07/06/2012 | 05/01/2013 | 134 00 | 3,013 59 | 0 00 | 2,424 09 | 589 50 |
| VIVENDI ADR CMN (92852T201) | 02/27/2013 | 05/01/2013 | 147 00 | 3,305 95 | 0 00 | 3,084 09 | 221 86 |
| VIVENDI ADR CMN (92852T201) | 08/10/2012 | 05/01/2013 | 150 00 | 3,373 42 | 0 00 | 2,872 92 | 500 50 |
| VTECH HOLDINGS LIMITED ADR CMN (928929207) | 04/12/2013 | 05/01/2013 | 94 00 | 1,193 77 | 0 00 | 1,207 58 | (13 81) |
| VTECH HOLDINGS LIMITED ADR CMN (928929207) | 04/16/2013 | 05/01/2013 | 194 00 | 2,463 74 | 0 00 | 2,519 77 | (56 03) |
| WPP PLC ADR CMN (92937A102) | 05/17/2012 | 05/01/2013 | 21 00 | 1,736 75 | 0 00 | 1,308.56 | 428 19 |
| WPP PLC ADR CMN (92937A102) | 12/21/2012 | 05/01/2013 | 35 00 | 2,894 59 | 0 00 | 2,519 67 | 374 92 |
| WPP PLC ADR CMN (92937A102) | 01/30/2013 | 05/01/2013 | 48 00 | 3,969 72 | 0 00 | 3,783 82 | 185 90 |
| WPP PLC ADR CMN (92937A102) | 09/10/2012 | 05/01/2013 | 49 00 | 4,052 42 | 0 00 | 3,302 66 | 749 76 |
| **Net Covered Short-Term Disallowed Losses** | | | | | | | **574.29** |
| **Net Covered Short-Term Gains (Losses)** | | | | **924,193.82** | **0.00** | **832,847.58** | **91,920.53** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| ANHEUSER-BUSCH INBEV S A SPONSORED ADR CMN (03524A108) | 06/17/2011 | 01/03/2013 | 6 00 | 523 88 | 0 00 | 343 37 | 180 51 |
| ANHEUSER-BUSCH INBEV S A SPONSORED ADR CMN (03524A108) | 04/12/2011 | 01/03/2013 | 23 00 | 2,008 21 | 0 00 | 1,365 88 | 642 33 |
| KEPPEL CORP LTD (ADR) SPONSORED ADR CMN (492051305) | 04/29/2011 | 01/03/2013 | 22 00 | 395 76 | 0 00 | 430 59 | (34 83) |
| KEPPEL CORP LTD (ADR) SPONSORED ADR CMN (492051305) | 05/16/2011 | 01/03/2013 | 39 00 | 701 57 | 0 00 | 713 08 | (11 51) |
| KEPPEL CORP LTD (ADR) SPONSORED ADR CMN (492051305) | 12/02/2011 | 01/03/2013 | 154 00 | 2,770 29 | 0 00 | 2,285 34 | 484 95 |
| KEPPEL CORP LTD (ADR) SPONSORED ADR CMN (492051305) | 06/13/2011 | 01/03/2013 | 166 00 | 2,986 16 | 0 00 | 2,989.16 | (3 00) |
| KEPPEL CORP LTD (ADR) SPONSORED ADR CMN (492051305) | 06/03/2011 | 01/03/2013 | 321 00 | 5,774 43 | 0 00 | 5,951 40 | (176 97) |
| COCA-COLA AMATIL LIMITED SPONSORED ADR CMN (191085208) | 08/17/2011 | 01/04/2013 | 65 00 | 1,844 39 | 0 00 | 1,563 84 | 280 55 |
| KB FINANCIAL GROUP INC SPONSORED ADR (48241A105) | 07/25/2011 | 01/15/2013 | 43 00 | 1,558 85 | 0 00 | 2,213 72 | (654 87) |

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# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| YAMANA GOLD INC CMN (98462Y100) | 12/01/2011 | 01/15/2013 | 91 00 | 1,580 45 | 0 00 | 1,533 28 | 47 17 |
| YAMANA GOLD INC CMN (98462Y100) | 07/29/2011 | 01/15/2013 | 134.00 | 2,327 26 | 0 00 | 1,764.87 | 562 39 |
| YAMANA GOLD INC CMN (98462Y100) | 11/09/2011 | 01/15/2013 | 146 00 | 2,535 67 | 0 00 | 2,413 70 | 121 97 |
| YAMANA GOLD INC CMN (98462Y100) | 07/28/2011 | 01/15/2013 | 178 00 | 3,091 43 | 0 00 | 2,334 17 | 757 26 |
| ANHEUSER-BUSCH INBEV S A SPONSORED ADR CMN (03524A108) | 06/17/2011 | 01/23/2013 | 24 00 | 2,159 39 | 0 00 | 1,373 47 | 785 92 |
| BANK OF YOKOHAMA LTD JAPAN(ADR ADR CMN (066011206) | 06/28/2011 | 01/24/2013 | 138 00 | 2,646 27 | 0 00 | 2,668 19 | (21 92) |
| BANK OF YOKOHAMA LTD JAPAN(ADR ADR CMN (066011206) | 07/05/2011 | 01/24/2013 | 197 00 | 3,777 64 | 0 00 | 4,025 50 | (247 86) |
| BANK OF YOKOHAMA LTD JAPAN(ADR ADR CMN (066011206) | 06/24/2011 | 01/24/2013 | 248 00 | 4,755 61 | 0 00 | 4,787 91 | (32 30) |
| DBS GROUP HOLDINGS SPONSORED ADR CMN (23304Y100) | 07/15/2011 | 01/24/2013 | 14 00 | 665 60 | 0 00 | 682 35 | (16 75) |
| DBS GROUP HOLDINGS SPONSORED ADR CMN (23304Y100) | 12/02/2011 | 01/24/2013 | 22 00 | 1,045 93 | 0 00 | 873 12 | 172 81 |
| DBS GROUP HOLDINGS SPONSORED ADR CMN (23304Y100) | 01/13/2012 | 01/24/2013 | 25 00 | 1,188 56 | 0 00 | 994 94 | 193 62 |
| DBS GROUP HOLDINGS SPONSORED ADR CMN (23304Y100) | 07/21/2011 | 01/24/2013 | 52 00 | 2,472 20 | 0 00 | 2,573 86 | (101 66) |
| DBS GROUP HOLDINGS SPONSORED ADR CMN (23304Y100) | 11/10/2011 | 01/24/2013 | 54 00 | 2,567 29 | 0 00 | 2,112 77 | 454 52 |
| SWEDBANK A B ADR CMN (870195104) | 11/14/2011 | 01/24/2013 | 89 00 | 1,797 68 | 0 00 | 1,213 46 | 584 22 |
| SWEDBANK A B ADR CMN (870195104) | 09/30/2011 | 01/24/2013 | 130 00 | 2,625 82 | 0 00 | 1,481 09 | 1,144 73 |
| SWEDBANK A B ADR CMN (870195104) | 09/12/2011 | 01/24/2013 | 163 00 | 3,292 38 | 0 00 | 1,869 02 | 1,423 36 |
| SWEDBANK A B ADR CMN (870195104) | 07/26/2011 | 01/24/2013 | 173 00 | 3,494 37 | 0 00 | 3,068 00 | 426 37 |
| SWEDBANK A B ADR CMN (870195104) | 09/14/2011 | 01/24/2013 | 198 00 | 3,999 33 | 0 00 | 2,187 58 | 1,811 75 |
| ANHEUSER-BUSCH INBEV S A SPONSORED ADR CMN (03524A108) | 06/17/2011 | 01/25/2013 | 43.00 | 3,938 21 | 0 00 | 2,460 80 | 1,477 41 |
| TELENOR ASA AMERICAN DEPOSITARY SHARES 1 ADS = 3 ORDS (87944W105) | 08/03/2011 | 01/30/2013 | 1 00 | 66 19 | 0 00 | 50 31 | 15 88 |
| TELENOR ASA AMERICAN DEPOSITARY SHARES 1 ADS = 3 ORDS (87944W105) | 08/04/2011 | 01/30/2013 | 51 00 | 3,375 58 | 0 00 | 2,483 00 | 892 58 |
| ANHEUSER-BUSCH INBEV S A SPONSORED ADR CMN (03524A108) | 06/17/2011 | 02/05/2013 | 5 00 | 440 79 | 0 00 | 286 14 | 154 65 |
| ANHEUSER-BUSCH INBEV S A SPONSORED ADR CMN (03524A108) | 12/01/2011 | 02/05/2013 | 17 00 | 1,498 68 | 0 00 | 1,016 74 | 481 94 |

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# REALIZED GAINS AND LOSSES (Continued)

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 09/29/2011 | 02/05/2013 | 36 00 | 665 27 | 0 00 | 385 06 | 280 21 |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 01/05/2012 | 02/05/2013 | 100 00 | 1,847 96 | 0.00 | 1,153 39 | 694 57 |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 10/14/2011 | 02/05/2013 | 178 00 | 3,289 36 | 0 00 | 1,987.01 | 1,302 35 |
| BRITISH SKY BROADCASTING GROUP PLC AMERICAN DEPOSITARY SHARES (1 ADS = 4 ORDS) (111013108) | 09/26/2011 | 02/05/2013 | 26 00 | 1,317 13 | 0 00 | 1,106 58 | 210 55 |
| BRITISH SKY BROADCASTING GROUP PLC AMERICAN DEPOSITARY SHARES (1 ADS = 4 ORDS) (111013108) | 01/25/2012 | 02/05/2013 | 48 00 | 2,431 62 | 0 00 | 2,036 49 | 395 13 |
| COCA-COLA AMATIL LIMITED SPONSORED ADR CMN (191085208) | 08/17/2011 | 02/05/2013 | 105 00 | 3,000 83 | 0 00 | 2,526 19 | 474 64 |
| EAST JAPAN RAILWAY COMPANY UNSPONSORED ADR (JAPAN) (273202101) | 05/06/2011 | 02/05/2013 | 655 00 | 7,204 83 | 0 00 | 6,270 84 | 933 99 |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 01/20/2012 | 02/05/2013 | 165 00 | 2,012 49 | 0 00 | 934 97 | 1,077 52 |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 01/24/2012 | 02/05/2013 | 578 00 | 7,049 82 | 0 00 | 3,322 81 | 3,727 01 |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 01/30/2012 | 02/05/2013 | 101 00 | 868 58 | 0 00 | 981 27 | (112.69) |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 02/01/2012 | 02/05/2013 | 168 00 | 1,444 77 | 0 00 | 1,614.40 | (169 63) |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 02/03/2012 | 02/05/2013 | 225 00 | 1,934 95 | 0 00 | 2,209.48 | (274 53) |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406) | 07/20/2011 | 02/05/2013 | 12 00 | 668 15 | 0 00 | 584 97 | 83 18 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406) | 01/05/2012 | 02/05/2013 | 55 00 | 3,062 33 | 0 00 | 2,125 61 | 936 72 |
| INTESA SANPAOLO SPONSORED ADR CMN (46115H107) | 11/14/2011 | 02/05/2013 | 70 00 | 792 38 | 0 00 | 732.57 | 59.81 |
| INTESA SANPAOLO SPONSORED ADR CMN (46115H107) | 12/07/2011 | 02/05/2013 | 71 00 | 803 70 | 0 00 | 762 40 | 41 30 |
| INTESA SANPAOLO SPONSORED ADR CMN (46115H107) | 10/27/2011 | 02/05/2013 | 213 00 | 2,411 10 | 0 00 | 2,532 44 | (121 34) |
| KB FINANCIAL GROUP INC SPONSORED ADR (48241A105) | 07/25/2011 | 02/05/2013 | 39 00 | 1,364 97 | 0 00 | 2,007 79 | (642 82) |
| KB FINANCIAL GROUP INC SPONSORED ADR (48241A105) | 07/27/2011 | 02/05/2013 | 127 00 | 4,444 90 | 0 00 | 6,494 82 | (2,049 92) |
| KONINKLIJKE AHOLD N V SPONSORED ADR CMN (500467402) | 03/31/2011 | 02/05/2013 | 12 00 | 172 92 | 0 00 | 162 00 | 10 92 |
| KONINKLIJKE AHOLD N V SPONSORED ADR CMN (500467402) | 07/08/2011 | 02/05/2013 | 132 00 | 1,902 08 | 0 00 | 1,760 48 | 141 60 |
| KONINKLIJKE AHOLD N V SPONSORED ADR CMN (500467402) | 08/04/2011 | 02/05/2013 | 140 00 | 2,017 36 | 0 00 | 1,790 96 | 226 40 |

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# REALIZED GAINS AND LOSSES (Continued)

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| KONINKLIJKE AHOLD N V SPONSORED ADR CMN (500467402) | 08/05/2011 | 02/05/2013 | 148 00 | 2,132 63 | 0 00 | 1,860 75 | 271 88 |
| NATIONAL GRID PLC SPONSORED ADR CMN (636274300) | 08/10/2011 | 02/05/2013 | 26 00 | 1,425 55 | 0 00 | 1,212 94 | 212 61 |
| NATIONAL GRID PLC SPONSORED ADR CMN (636274300) | 07/29/2011 | 02/05/2013 | 43 00 | 2,357 64 | 0 00 | 2,121 88 | 235 76 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 04/26/2011 | 02/05/2013 | 3 00 | 137 37 | 0 00 | 106 62 | 30 75 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 09/30/2011 | 02/05/2013 | 15 00 | 686 83 | 0 00 | 474 07 | 212 76 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 04/13/2011 | 02/05/2013 | 38 00 | 1,739 98 | 0 00 | 1,319.51 | 420.47 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 05/16/2011 | 02/05/2013 | 54 00 | 2,472 60 | 0 00 | 2,106 17 | 366 43 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 05/06/2011 | 02/05/2013 | 67 00 | 3,067 86 | 0 00 | 2,532 94 | 534 92 |
| SHIRE LIMITED SPONSORED ADR CMN (82481R106) | 01/27/2012 | 02/05/2013 | 8 00 | 804 78 | 0 00 | 802 97 | 1 81 |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 07/14/2011 | 02/05/2013 | 89 00 | 463 68 | 0 00 | 482.61 | (18 93) |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 01/05/2012 | 02/05/2013 | 256 00 | 1,333 73 | 0 00 | 1,208 78 | 124 95 |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 09/09/2011 | 02/05/2013 | 441 00 | 2,297 55 | 0 00 | 2,061 76 | 235 79 |
| TELENOR ASA AMERICAN DEPOSITARY SHARES 1 ADS = 3 ORDS (87944W105) | 09/26/2011 | 02/05/2013 | 5 00 | 333 20 | 0 00 | 222 38 | 110 82 |
| TELENOR ASA AMERICAN DEPOSITARY SHARES 1 ADS = 3 ORDS (87944W105) | 08/22/2011 | 02/05/2013 | 15 00 | 999 58 | 0 00 | 694 02 | 305 56 |
| TELENOR ASA AMERICAN DEPOSITARY SHARES 1 ADS = 3 ORDS (87944W105) | 08/15/2011 | 02/05/2013 | 23 00 | 1,532 69 | 0 00 | 1,119 13 | 413 56 |
| TELENOR ASA AMERICAN DEPOSITARY SHARES 1 ADS = 3 ORDS (87944W105) | 08/25/2011 | 02/05/2013 | 31 00 | 2,065 79 | 0 00 | 1,512 77 | 553 02 |
| TELENOR ASA AMERICAN DEPOSITARY SHARES 1 ADS = 3 ORDS (87944W105) | 08/04/2011 | 02/05/2013 | 36 00 | 2,398 98 | 0 00 | 1,752 70 | 646 28 |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 01/23/2012 | 02/05/2013 | 35 00 | 3,444 97 | 0 00 | 2,493 60 | 951 37 |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 01/12/2012 | 02/05/2013 | 84 00 | 8,267 93 | 0 00 | 5,726 03 | 2,541 90 |
| TULLOW OIL PLC ADR CMN (899415202) | 03/11/2011 | 02/05/2013 | 16 00 | 148 64 | 0 00 | 180 90 | (32 26) |
| TULLOW OIL PLC ADR CMN (899415202) | 03/16/2011 | 02/05/2013 | 29 00 | 269 40 | 0 00 | 322 37 | (52 97) |

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# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| TULLOW OIL PLC ADR CMN (899415202) | 03/14/2011 | 02/05/2013 | 39 00 | 362 30 | 0 00 | 434 89 | (72 59) |
| TULLOW OIL PLC ADR CMN (899415202) | 03/15/2011 | 02/05/2013 | 76 00 | 706 02 | 0 00 | 831 63 | (125 61) |
| TULLOW OIL PLC ADR CMN (899415202) | 04/19/2011 | 02/05/2013 | 162 00 | 1,504 95 | 0 00 | 1,841 54 | (336 59) |
| UNILEVER N V NY SHS (NEW) ADR CMN (904784709) | 01/12/2012 | 02/05/2013 | 38 00 | 1,523 00 | 0 00 | 1,252 06 | 270 94 |
| UNILEVER N V NY SHS (NEW) ADR CMN (904784709) | 08/10/2011 | 02/05/2013 | 47 00 | 1,883 72 | 0 00 | 1,447 43 | 436 29 |
| UNILEVER N V NY SHS (NEW) ADR CMN (904784709) | 08/19/2011 | 02/05/2013 | 99 00 | 3,967 83 | 0 00 | 3,262 44 | 705.39 |
| SAP AG (SPON ADR) (803054204) | 06/01/2011 | 02/13/2013 | 16 00 | 1,292 11 | 0 00 | 986 97 | 305 14 |
| SAP AG (SPON ADR) (803054204) | 06/01/2011 | 02/15/2013 | 16 00 | 1,279 74 | 0 00 | 986 97 | 292 77 |
| SAP AG (SPON ADR) (803054204) | 12/06/2011 | 02/15/2013 | 29 00 | 2,319 52 | 0 00 | 1,704 50 | 615 02 |
| INTESA SANPAOLO SPONSORED ADR CMN (46115H107) | 12/07/2011 | 02/22/2013 | 133 00 | 1,399 17 | 0.00 | 1,428 17 | (29 00) |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 01/05/2012 | 02/27/2013 | 53 00 | 967 68 | 0 00 | 611 30 | 356 38 |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 02/09/2012 | 03/20/2013 | 19 00 | 129 05 | 0 00 | 201 79 | (72 74) |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 02/07/2012 | 03/20/2013 | 171 00 | 1,161 46 | 0 00 | 1,796 02 | (634 56) |
| ANHEUSER-BUSCH INBEV S A SPONSORED ADR CMN (03524A108) | 12/01/2011 | 03/25/2013 | 20 00 | 1,953 68 | 0 00 | 1,196 16 | 757 52 |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 01/24/2012 | 04/01/2013 | 1 00 | 13 24 | 0 00 | 5.75 | 7 49 |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 01/24/2012 | 04/02/2013 | 163 00 | 2,161 69 | 0 00 | 937 05 | 1,224 64 |
| EMPRESAS ICA, S A DE C.V SPONSORED ADR CMN (292448206) | 01/24/2012 | 04/03/2013 | 29 00 | 377 17 | 0 00 | 166 72 | 210 45 |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 01/25/2012 | 04/04/2013 | 4 00 | 51 12 | 0 00 | 24 39 | 26 73 |
| EMPRESAS ICA, S A DE C.V SPONSORED ADR CMN (292448206) | 01/24/2012 | 04/04/2013 | 52.00 | 664 60 | 0 00 | 298 94 | 365 66 |
| EMPRESAS ICA, S A DE C V SPONSORED ADR CMN (292448206) | 01/25/2012 | 04/05/2013 | 196 00 | 2,485.44 | 0 00 | 1,195 19 | 1,290.25 |
| KB FINANCIAL GROUP INC SPONSORED ADR (48241A105) | 10/25/2011 | 04/05/2013 | 24 00 | 754 73 | 0 00 | 911 85 | (157 12) |
| KB FINANCIAL GROUP INC SPONSORED ADR (48241A105) | 07/27/2011 | 04/05/2013 | 56 00 | 1,761 04 | 0 00 | 2,863 86 | (1,102 82) |
| TULLOW OIL PLC ADR CMN (899415202) | 04/19/2011 | 04/17/2013 | 81 00 | 620 16 | 0 00 | 920 77 | (300 61) |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 01/23/2012 | 04/25/2013 | 3 00 | 347 08 | 0 00 | 213.74 | 133 34 |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 02/09/2012 | 04/25/2013 | 21 00 | 2,429 53 | 0 00 | 1,697 87 | 731 66 |

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# REALIZED GAINS AND LOSSES (Continued)

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| BRITISH SKY BROADCASTING GROUP PLC AMERICAN DEPOSITARY SHARES (1 ADS = 4 ORDS) (111013108) | 01/25/2012 | 05/01/2013 | 1 00 | 52 31 | 0 00 | 42 43 | 9 88 |
| COCA-COLA AMATIL LIMITED SPONSORED ADR CMN (191085208) | 09/26/2011 | 05/01/2013 | 40.00 | 1,235 57 | 0 00 | 939 18 | 296 39 |
| COCA-COLA AMATIL LIMITED SPONSORED ADR CMN (191085208) | 08/17/2011 | 05/01/2013 | 65 00 | 2,007 81 | 0 00 | 1,563 84 | 443 97 |
| COCA-COLA AMATIL LIMITED SPONSORED ADR CMN (191085208) | 09/12/2011 | 05/01/2013 | 88 00 | 2,718 26 | 0.00 | 2,121 39 | 596 87 |
| DANONE SPONSORED ADR CMN (23636T100) | 04/19/2012 | 05/01/2013 | 201 00 | 3,018 95 | 0 00 | 2,885 74 | 133 21 |
| DONGFENG MOTOR CORPORATION ADR CLASS H (257738203) | 03/27/2012 | 05/01/2013 | 18 00 | 1,330 17 | 0 00 | 1,537 89 | (207 72) |
| DONGFENG MOTOR CORPORATION ADR CLASS H (257738203) | 04/11/2012 | 05/01/2013 | 23 00 | 1,699 66 | 0 00 | 2,037 18 | (337 52) |
| EAST JAPAN RAILWAY COMPANY UNSPONSORED ADR (JAPAN) (273202101) | 09/23/2011 | 05/01/2013 | 93 00 | 1,323 36 | 0 00 | 925 63 | 397 73 |
| EAST JAPAN RAILWAY COMPANY UNSPONSORED ADR (JAPAN) (273202101) | 09/26/2011 | 05/01/2013 | 180 00 | 2,561 34 | 0 00 | 1,778 35 | 782 99 |
| EAST JAPAN RAILWAY COMPANY UNSPONSORED ADR (JAPAN) (273202101) | 05/06/2011 | 05/01/2013 | 218 00 | 3,102 07 | 0 00 | 2,087 09 | 1,014 98 |
| EAST JAPAN RAILWAY COMPANY UNSPONSORED ADR (JAPAN) (273202101) | 06/22/2011 | 05/01/2013 | 513 00 | 7,299 83 | 0 00 | 4,792 81 | 2,507 02 |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 02/09/2012 | 05/01/2013 | 63 00 | 456 74 | 0 00 | 669 11 | (212 37) |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 02/13/2012 | 05/01/2013 | 127 00 | 920 73 | 0 00 | 1,350 70 | (429 97) |
| HENGDELI HOLDINGS LTD UNSPON ADR (42551K100) | 03/05/2012 | 05/01/2013 | 262 00 | 1,899 45 | 0 00 | 2,964 71 | (1,065 26) |
| IMPERIAL TOBACCO GROUP PLC SPON ADR (453142101) | 08/19/2011 | 05/01/2013 | 6 00 | 430 55 | 0 00 | 404 45 | 26 10 |
| IMPERIAL TOBACCO GROUP PLC SPON ADR (453142101) | 09/26/2011 | 05/01/2013 | 28 00 | 2,009 23 | 0 00 | 1,848 08 | 161 15 |
| IMPERIAL TOBACCO GROUP PLC SPON ADR (453142101) | 09/14/2011 | 05/01/2013 | 37 00 | 2,655 06 | 0 00 | 2,371 85 | 283 21 |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 03/04/2011 | 05/01/2013 | 32.00 | 259 83 | 0 00 | 394 23 | (134 40) |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 09/29/2011 | 05/01/2013 | 57 00 | 462 83 | 0 00 | 445 82 | 17 01 |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 10/12/2011 | 05/01/2013 | 229 00 | 1,859 44 | 0 00 | 1,962 55 | (103 11) |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 09/13/2011 | 05/01/2013 | 402 00 | 3,264 17 | 0 00 | 2,619.87 | 644 30 |

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# REALIZED GAINS AND LOSSES (Continued)

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| KASIKORNBANK PUB CO LTD ADR CMN (485785109) | 04/23/2012 | 05/01/2013 | 35 00 | 1,020 23 | 0 00 | 704 63 | 315 60 |
| KASIKORNBANK PUB CO LTD ADR CMN (485785109) | 04/03/2012 | 05/01/2013 | 85 00 | 2,477.69 | 0.00 | 1,799.37 | 678 32 |
| KASIKORNBANK PUB CO LTD ADR CMN (485785109) | 02/16/2012 | 05/01/2013 | 265 00 | 7,724 58 | 0 00 | 5,026 71 | 2,697 87 |
| KB FINANCIAL GROUP INC SPONSORED ADR (48241A105) | 10/25/2011 | 05/01/2013 | 61 00 | 1,986 31 | 0 00 | 2,317 62 | (331 31) |
| KB FINANCIAL GROUP INC SPONSORED ADR (48241A105) | 12/06/2011 | 05/01/2013 | 66 00 | 2,149 12 | 0 00 | 2,262 76 | (113 64) |
| KONINKLIJKE AHOLD N V SPONSORED ADR CMN (500467402) | 08/05/2011 | 05/01/2013 | 4 00 | 63 20 | 0 00 | 50 29 | 12 91 |
| KONINKLIJKE AHOLD N V SPONSORED ADR CMN (500467402) | 11/14/2011 | 05/01/2013 | 121 00 | 1,911 76 | 0 00 | 1,553 13 | 358 63 |
| KONINKLIJKE AHOLD N V SPONSORED ADR CMN (500467402) | 01/23/2012 | 05/01/2013 | 154 00 | 2,433 14 | 0 00 | 2,075 70 | 357 44 |
| KONINKLIJKE AHOLD N V SPONSORED ADR CMN (500467402) | 04/12/2012 | 05/01/2013 | 168 00 | 2,654 34 | 0 00 | 2,278 08 | 376 26 |
| KONINKLIJKE AHOLD N V SPONSORED ADR CMN (500467402) | 01/17/2012 | 05/01/2013 | 219 00 | 3,460 12 | 0 00 | 2,810 54 | 649.58 |
| NATIONAL GRID PLC SPONSORED ADR CMN (636274300) | 12/01/2011 | 05/01/2013 | 50 00 | 3,189 43 | 0 00 | 2,466 00 | 723 43 |
| NATIONAL GRID PLC SPONSORED ADR CMN (636274300) | 08/10/2011 | 05/01/2013 | 109 00 | 6,952 96 | 0 00 | 5,085 00 | 1,867 96 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 07/29/2011 | 05/01/2013 | 2 00 | 152 78 | 0 00 | 107 86 | 44 92 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 08/01/2011 | 05/01/2013 | 9 00 | 687 49 | 0 00 | 487 03 | 200 46 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 12/07/2011 | 05/01/2013 | 11 00 | 840.27 | 0 00 | 474 43 | 365 84 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 03/13/2012 | 05/01/2013 | 11 00 | 840 27 | 0 00 | 547 81 | 292 46 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 12/08/2011 | 05/01/2013 | 20 00 | 1,527 77 | 0 00 | 856 17 | 671 60 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 12/06/2011 | 05/01/2013 | 27 00 | 2,062 48 | 0 00 | 1,144 72 | 917 76 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 03/14/2012 | 05/01/2013 | 29 00 | 2,215 26 | 0 00 | 1,459 19 | 756 07 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 09/30/2011 | 05/01/2013 | 1 00 | 49.00 | 0.00 | 31 61 | 17 39 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 11/17/2011 | 05/01/2013 | 39 00 | 1,910 96 | 0 00 | 1,132 62 | 778 34 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 11/22/2011 | 05/01/2013 | 90 00 | 4,409 90 | 0 00 | 2,548 84 | 1,861 06 |
| SAFRAN SA SPONSORED ADR CMN (786584102) | 03/01/2012 | 05/01/2013 | 114 00 | 5,585 87 | 0 00 | 3,897 41 | 1,688 46 |
| SHIRE LIMITED SPONSORED ADR CMN (82481R106) | 03/02/2012 | 05/01/2013 | 9 00 | 851 56 | 0 00 | 946 76 | (95 20) |
| SHIRE LIMITED SPONSORED ADR CMN (82481R106) | 03/21/2012 | 05/01/2013 | 22 00 | 2,081 59 | 0 00 | 2,263 19 | (181 60) |

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# REALIZED GAINS AND LOSSES (Continued)

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| SHIRE LIMITED SPONSORED ADR CMN (82481R106) | 04/12/2012 | 05/01/2013 | 22 00 | 2,081 59 | 0 00 | 2,055 03 | 26 56 |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 01/05/2012 | 05/01/2013 | 77.00 | 465 84 | 0 00 | 363 58 | 102 26 |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 04/18/2012 | 05/01/2013 | 98 00 | 592 89 | 0 00 | 574 29 | 18 60 |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 01/12/2012 | 05/01/2013 | 104 00 | 629 19 | 0 00 | 517 62 | 111 57 |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 04/19/2012 | 05/01/2013 | 187 00 | 1,131 32 | 0 00 | 1,093 52 | 37 80 |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 01/23/2012 | 05/01/2013 | 238 00 | 1,439 87 | 0 00 | 1,305 07 | 134 80 |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 01/17/2012 | 05/01/2013 | 343 00 | 2,075 10 | 0 00 | 1,731 98 | 343 12 |
| SILICONWARE PRECISION IND CO L SPONSORED ADR (827084864) | 04/25/2012 | 05/01/2013 | 405 00 | 2,450 19 | 0 00 | 2,301 86 | 148 33 |
| SSE PLC SPONSORED ADR CMN (78467K107) | 04/19/2012 | 05/01/2013 | 110 00 | 2,661 94 | 0 00 | 2,397 60 | 264 34 |
| SSE PLC SPONSORED ADR CMN (78467K107) | 04/16/2012 | 05/01/2013 | 147 00 | 3,557 32 | 0 00 | 3,210 26 | 347 06 |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 02/04/2011 | 05/01/2013 | 22 00 | 272 57 | 0 00 | 338 72 | (66 15) |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 02/08/2011 | 05/01/2013 | 52 00 | 644 26 | 0 00 | 807 63 | (163 37) |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 10/13/2011 | 05/01/2013 | 102 00 | 1,263 75 | 0 00 | 1,296 11 | (32 36) |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 02/07/2011 | 05/01/2013 | 120 00 | 1,486 76 | 0 00 | 1,874 54 | (387 78) |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 10/26/2011 | 05/01/2013 | 128 00 | 1,585 88 | 0 00 | 1,610 33 | (24 45) |
| SYNGENTA AG SPONSORED ADR CMN (87160A100) | 01/19/2012 | 05/01/2013 | 21 00 | 1,784 96 | 0 00 | 1,293 99 | 490 97 |
| SYNGENTA AG SPONSORED ADR CMN (87160A100) | 06/10/2011 | 05/01/2013 | 40 00 | 3,399 92 | 0 00 | 2,679 42 | 720 50 |
| TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100) | 03/23/2012 | 05/01/2013 | 171 00 | 3,255 77 | 0 00 | 2,577 36 | 678 41 |
| TAIWAN SEMICONDUCTOR MFG ADS LTD ADS 1ADS EQUALS 5ORDS (874039100) | 04/18/2012 | 05/01/2013 | 174 00 | 3,312 88 | 0 00 | 2,658 35 | 654 53 |
| TELENOR ASA AMERICAN DEPOSITARY SHARES 1 ADS = 3 ORDS (87944W105) | 04/19/2012 | 05/01/2013 | 47 00 | 3,163 03 | 0 00 | 2,473 19 | 689 84 |
| TELENOR ASA AMERICAN DEPOSITARY SHARES 1 ADS = 3 ORDS (87944W105) | 09/26/2011 | 05/01/2013 | 76 00 | 5,114 69 | 0 00 | 3,380 11 | 1,734 58 |

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# REALIZED GAINS AND LOSSES (Continued)

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| TELENOR ASA AMERICAN DEPOSITARY SHARES 1 ADS = 3 ORDS (87944W105) | 04/16/2012 | 05/01/2013 | 81 00 | 5,451 18 | 0 00 | 4,292 17 | 1,159 01 |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 02/09/2012 | 05/01/2013 | 20 00 | 2,287 35 | 0 00 | 1,617 02 | 670 33 |
| TOYOTA MOTOR CORPORATION SPON ADR (892331307) | 04/13/2012 | 05/01/2013 | 29 00 | 3,316 66 | 0 00 | 2,365 81 | 950 85 |
| TULLOW OIL PLC ADR CMN (899415202) | 04/20/2011 | 05/01/2013 | 8 00 | 62 00 | 0 00 | 93 84 | (31 84) |
| TULLOW OIL PLC ADR CMN (899415202) | 04/19/2011 | 05/01/2013 | 30 00 | 232 50 | 0 00 | 341 03 | (108 53) |
| TULLOW OIL PLC ADR CMN (899415202) | 11/22/2011 | 05/01/2013 | 55 00 | 426 24 | 0 00 | 547 51 | (121 27) |
| TULLOW OIL PLC ADR CMN (899415202) | 06/24/2011 | 05/01/2013 | 57 00 | 441 74 | 0 00 | 558 54 | (116 80) |
| TULLOW OIL PLC ADR CMN (899415202) | 09/14/2011 | 05/01/2013 | 111 00 | 860 23 | 0 00 | 1,241 17 | (380 94) |
| TULLOW OIL PLC ADR CMN (899415202) | 11/17/2011 | 05/01/2013 | 249 00 | 1,929 70 | 0 00 | 2,682 90 | (753 20) |
| TULLOW OIL PLC ADR CMN (899415202) | 07/29/2011 | 05/01/2013 | 300 00 | 2,324 95 | 0 00 | 3,066 99 | (742 04) |
| UNILEVER N V NY SHS (NEW) ADR CMN (904784709) | 01/12/2012 | 05/01/2013 | 39 00 | 1,659 41 | 0 00 | 1,285.01 | 374 40 |
| UNILEVER N V NY SHS (NEW) ADR CMN (904784709) | 01/19/2012 | 05/01/2013 | 40 00 | 1,701 96 | 0 00 | 1,304 36 | 397 60 |
| WPP PLC ADR CMN (92937A102) | 04/12/2012 | 05/01/2013 | 27 00 | 2,232 97 | 0 00 | 1,846 19 | 386 78 |
| WPP PLC ADR CMN (92937A102) | 04/13/2012 | 05/01/2013 | 48 00 | 3,969 72 | 0 00 | 3,209 96 | 759 76 |
| **Net Covered Long-Term Gains (Losses)** | | | | **364,182.55** | **0.00** | **304,189.51** | **59,993.04** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| SYNGENTA AG SPONSORED ADR CMN (87160A100) | 11/01/2010 | 01/02/2013 | 31 00 | 2,518 45 | 0 00 | 1,668 10 | 850 35 |
| NATIONAL GRID PLC SPONSORED ADR CMN (636274300) | 08/06/2010 | 01/03/2013 | 41 00 | 2,345 82 | 0 00 | 1,740.57 | 605 25 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406) | 05/10/2010 | 01/23/2013 | 17 00 | 937 03 | 0 00 | 851 07 | 85 96 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406) | 04/27/2010 | 01/23/2013 | 31 00 | 1,708 69 | 0 00 | 1,598 17 | 110 52 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 03/02/2010 | 01/24/2013 | 26 00 | 1,352 30 | 0 00 | 1,010.00 | 342 30 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406) | 05/10/2010 | 01/25/2013 | 38 00 | 2,137 09 | 0 00 | 1,902.38 | 234 71 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406) | 11/05/2010 | 01/25/2013 | 44 00 | 2,474 53 | 0 00 | 2,446 80 | 27.73 |
| SAP AG (SPON ADR) (803054204) | 04/30/2010 | 01/29/2013 | 38 00 | 3,081 58 | 0 00 | 1,836 86 | 1,244 72 |

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

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



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Realized and unrealized gains and loss values do not include securities for which cost basis is unavailable The recognition of any loss reflected herein may be disallowed or deferred by the application of capital loss limitations, wash sale rules or other special tax rules, and you are strongly urged to consult your own outside tax and other advisors about this and all tax-related matters addressed in any way herein All information regarding the cost basis and acquisition dates of securities that you acquired elsewhere and that were subsequently delivered into your Goldman Sachs account(s) were provided by you and/or a third party and Goldman Sachs makes no representation as to the accuracy and completeness of such information and it should not be relied upon as such

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 03/02/2010 | 02/05/2013 | 26 00 | 480 47 | 0 00 | 502 96 | (22 49) |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 07/30/2010 | 02/05/2013 | 121 00 | 2,236 03 | 0 00 | 2,505 96 | (269 93) |
| BARCLAYS PLC,AMER DEP SHS ADR CMN (06738E204) | 04/27/2010 | 02/05/2013 | 168 00 | 3,104 57 | 0 00 | 3,754 46 | (649 89) |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (404280406) | 11/05/2010 | 02/05/2013 | 28 00 | 1,559 00 | 0 00 | 1,557 05 | 1 95 |
| IMPERIAL TOBACCO GROUP PLC SPON ADR (453142101) | 08/06/2010 | 02/05/2013 | 3 00 | 221 97 | 0 00 | 172 20 | 49 77 |
| IMPERIAL TOBACCO GROUP PLC SPON ADR (453142101) | 07/02/2010 | 02/05/2013 | 39 00 | 2,885 54 | 0 00 | 2,196.00 | 689 54 |
| IMPERIAL TOBACCO GROUP PLC SPON ADR (453142101) | 07/01/2010 | 02/05/2013 | 41 00 | 3,033 52 | 0 00 | 2,302 54 | 730 98 |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 03/02/2010 | 02/05/2013 | 877 00 | 8,252 38 | 0 00 | 8,232 31 | 20 07 |
| NATIONAL GRID PLC SPONSORED ADR CMN (636274300) | 08/06/2010 | 02/05/2013 | 17 00 | 932 09 | 0 00 | 721 70 | 210 39 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 07/12/2010 | 02/05/2013 | 42 00 | 2,321 70 | 0 00 | 1,542 10 | 779 60 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 03/02/2010 | 02/05/2013 | 72 00 | 3,980 06 | 0 00 | 2,796 91 | 1,183 15 |
| PRUDENTIAL CORP (ADR) ADR CMN (74435K204) | 03/02/2010 | 02/05/2013 | 313 00 | 9,214 51 | 0 00 | 4,577 09 | 4,637 42 |
| SAP AG (SPON ADR) (803054204) | 04/30/2010 | 02/05/2013 | 34 00 | 2,772 63 | 0 00 | 1,643 50 | 1,129 13 |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 08/06/2010 | 02/05/2013 | 20 00 | 246 39 | 0 00 | 236 40 | 9 99 |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 09/03/2010 | 02/05/2013 | 68 00 | 837 74 | 0 00 | 808 43 | 29 31 |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 09/08/2010 | 02/05/2013 | 101 00 | 1,244 30 | 0 00 | 1,226 79 | 17 51 |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 08/09/2010 | 02/05/2013 | 123 00 | 1,515 33 | 0 00 | 1,459 91 | 55 42 |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 04/16/2010 | 02/05/2013 | 147 00 | 1,811 00 | 0 00 | 1,806 49 | 4 51 |
| SYNGENTA AG SPONSORED ADR CMN (87160A100) | 11/01/2010 | 02/05/2013 | 26 00 | 2,262 47 | 0 00 | 1,399 05 | 863 42 |
| SYNGENTA AG SPONSORED ADR CMN (87160A100) | 11/08/2010 | 02/05/2013 | 34 00 | 2,958 61 | 0 00 | 1,934 88 | 1,023 73 |
| TULLOW OIL PLC ADR CMN (899415202) | 06/24/2010 | 02/05/2013 | 31 00 | 287 99 | 0 00 | 257 95 | 30 04 |
| TULLOW OIL PLC ADR CMN (899415202) | 07/12/2010 | 02/05/2013 | 172 00 | 1,597 84 | 0 00 | 1,494 68 | 103 16 |
| SAP AG (SPON ADR) (803054204) | 04/30/2010 | 02/13/2013 | 1 00 | 80 76 | 0 00 | 48 34 | 32 42 |
| IMPERIAL TOBACCO GROUP PLC SPON ADR (453142101) | 08/10/2010 | 03/26/2013 | 18 00 | 1,235 52 | 0.00 | 1,026 30 | 209 22 |
| IMPERIAL TOBACCO GROUP PLC SPON ADR (453142101) | 08/09/2010 | 03/26/2013 | 29 00 | 1,990 56 | 0 00 | 1,681 92 | 308 64 |

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



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# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| PRUDENTIAL CORP (ADR) ADR CMN (74435K204) | 03/02/2010 | 03/28/2013 | 124 00 | 3,997 21 | 0 00 | 1,813 29 | 2,183 92 |
| IMPERIAL TOBACCO GROUP PLC SPON ADR (453142101) | 08/10/2010 | 05/01/2013 | 36 00 | 2,583 30 | 0 00 | 2,052.60 | 530 70 |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 11/22/2010 | 05/01/2013 | 48 00 | 389 75 | 0 00 | 506 43 | (116 68) |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 11/19/2010 | 05/01/2013 | 94 00 | 763 26 | 0 00 | 1,019 73 | (256 47) |
| ING GROEP N V SPONS ADR SPONSORED ADR CMN (456837103) | 03/02/2010 | 05/01/2013 | 192 00 | 1,559 01 | 0 00 | 1,802 29 | (243.28) |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 07/12/2010 | 05/01/2013 | 35 00 | 2,673 59 | 0 00 | 1,285 09 | 1,388 50 |
| ORIX CORPORATION SPONS ADR SPONSORED ADR CMN (686330101) | 11/04/2010 | 05/01/2013 | 40 00 | 3,055 53 | 0 00 | 1,805 94 | 1,249 59 |
| PRUDENTIAL CORP (ADR) ADR CMN (74435K204) | 03/02/2010 | 05/01/2013 | 454 00 | 15,587 47 | 0 00 | 6,638 98 | 8,948 49 |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 11/08/2010 | 05/01/2013 | 8 00 | 99 12 | 0 00 | 111 33 | (12 21) |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 11/09/2010 | 05/01/2013 | 14 00 | 173 46 | 0 00 | 193 06 | (19 60) |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 09/15/2010 | 05/01/2013 | 38 00 | 470 81 | 0 00 | 479 76 | (8.95) |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 09/16/2010 | 05/01/2013 | 42 00 | 520 37 | 0 00 | 527 83 | (7 46) |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 09/14/2010 | 05/01/2013 | 57 00 | 706 21 | 0 00 | 736 44 | (30 23) |
| SUMITOMO CORPORATION SPONSORED ADR CMN (865613103) | 09/08/2010 | 05/01/2013 | 265 00 | 3,283 27 | 0 00 | 3,218 79 | 64 48 |
| SYNGENTA AG SPONSORED ADR CMN (87160A100) | 11/08/2010 | 05/01/2013 | 32 00 | 2,719 94 | 0 00 | 1,821 07 | 898 87 |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **112,200.77** | **0.00** | **82,952.50** | **29,248.27** |

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

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



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| The Lesley Waldheim Charitable Foundation | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| EIN: 43-6886268 | | | | | | | | |
| 2013 Form 990-PF | | | | | | | | |
| | | | | | | | | |
| Attorney Fees (Part 1, Line 16a) | | | | | | | | |
| | | | | | | | | |
| 8-Jan | | Lewis Rice & Fingersh, L.C. | | | | | $ 1,284.00 | |
| 28-Feb | | Lewis Rice & Fingersh, L.C. | | | | | $ 312.00 | |
| 12-Mar | | Lewis Rice & Fingersh, L.C. | | | | | $ 3,322.50 | |
| 26-Apr | | Lewis Rice & Fingersh, L.C. | | | | | $ 3,717.00 | |
| 13-May | | Lewis Rice & Fingersh, L.C. | | | | | $ 3,432.00 | |
| 27-Jun | | Lewis Rice & Fingersh, L.C. | | | | | $ 2,331.00 | |
| 25-Jul | | Lewis Rice & Fingersh, L.C. | | | | | $ 2,652.00 | |
| 30-Aug | | Lewis Rice & Fingersh, L.C. | | | | | $ 3,876.50 | |
| 30-Sep | | Lewis Rice & Fingersh, L.C. | | | | | $ 5,156.50 | |
| 21-Oct | | Lewis Rice & Fingersh, L.C. | | | | | $ 2,230.50 | |
| 27-Nov | | Lewis Rice & Fingersh, L.C. | | | | | $ 315.00 | |
| 20-Dec | | Lewis Rice & Fingersh, L.C. | | | | | $ 2,622.00 | |
| | | | | | | | $ 31,251.00 | |
| | | | | | | | | |
| Investment Management Fees (Part 1, Line 16c) | | | | | | | | |
| | | | | | | | | |
| 2013 | | Goldman Sachs, Acct#020-57074-3 | | | | | $ 6,152.47 | |
| 2013 | | Goldman Sachs, Acct#020-53028-3 | | | | | $ 16,636.26 | |
| 2013 | | Goldman Sachs, Acct#020-66956-0 | | | | | $ 47,940.26 | |
| 2013 | | Goldman Sachs, Acct#020-67176-4 | | | | | $ 46,460.60 | |
| 2013 | | Goldman Sachs, Acct#020-67178-0 | | | | | $ 64,549.89 | |
| 2013 | | Goldman Sachs, Acct#020-67180-6 | | | | | $ 68,207.16 | |
| | | | | | | | $ 249,946.64 | |
| | | | | | | | | |
| ADR Fees (Part 1, Line 16c) | | | | | | | | |
| 2013 | | Goldman Sachs, Acct#020-57074-3 | | | | | $ 406.92 | |
| 2013 | | Goldman Sachs, Acct#020-53028-3 | | | | | $ - | |
| 2013 | | Goldman Sachs, Acct#020-66956-0 | | | | | $ 276.33 | |
| 2013 | | Goldman Sachs, Acct#020-67176-4 | | | | | $ - | |
| 2013 | | Goldman Sachs, Acct#020-67178-0 | | | | | $ - | |
| 2013 | | Goldman Sachs, Acct#020-67180-6 | | | | | $ 40.50 | |
| | | | | | | | $ 723.75 | |
| | | | | | | | | |
| | | Foreign Taxes (Part 1, Line 18) | | | | | | |
| | | | | | | | | |
| 2013 | | Goldman Sachs, Acct#020-57074-3 | | | | | $ 1,027.94 | |
| 2013 | | Goldman Sachs, Acct#020-53028-3 | | | | | $ - | |
| 2013 | | Goldman Sachs, Acct#020-66956-0 | | | | | $ 1,839.13 | |
| 2013 | | Goldman Sachs, Acct#020-67176-4 | | | | | $ 225.91 | |
| 2013 | | Goldman Sachs, Acct#020-67178-0 | | | | | $ - | |
| 2013 | | Goldman Sachs, Acct#020-67180-6 | | | | | $ - | |
| | | | | | | | $ 3,092.98 | |

**The Lesley Waldheim Charitable Foundation**

**EIN: 43-6886268**

**2013 Form 990-PF**

End of Year Book Value

| | Savings | Stock | Bonds | Other Assets | Account Total |
|---|---|---|---|---|---|
| Goldman Sachs, Acct#020-57074-3 | | | | | |
| Goldman Sachs, Acct#020-53028-3 | $ 704,772.47 | $ 1,191,127.40 | $ 1,750,000.00 | | $ 3,645,899.87 |
| Goldman Sachs, Acct#020-66956-0 | $ 113,845.46 | $ 3,730,203.90 | | | $ 3,844,049.36 |
| Goldman Sachs, Acct#020-67176-4 | $ 66,342.67 | $ 3,247,408.97 | | | $ 3,313,751.64 |
| Goldman Sachs, Acct#020-67178-0 | $ 372,487.84 | $ 3,509,807.21 | | | $ 3,882,295.05 |
| Goldman Sachs, Acct#020-67180-6 | $ 20,773.98 | $ 3,821,436.02 | | | $ 3,842,210.00 |
| Goldman Sachs, Acct#090-9 | | | | $ 1,000,000.00 | $ 1,000,000.00 |
| | $ 1,278,222.42 | $ 15,499,983.50 | $ 1,750,000.00 | $ 1,000,000.00 | $ 19,528,205.92 |

End of Year FMV

| | Savings | Stock | Bonds | Other Assets | Account Total |
|---|---|---|---|---|---|
| Goldman Sachs, Acct#020-57074-3 | | | $ - | $ - | |
| Goldman Sachs, Acct#020-53028-3 | $ 704,772.47 | $ 1,194,441.28 | $ 2,051,157.00 | $ - | $ 3,950,370.75 |
| Goldman Sachs, Acct#020-66956-0 | $ 113,845.46 | $ 5,537,821.80 | $ - | $ - | $ 5,651,667.26 |
| Goldman Sachs, Acct#020-67176-4 | $ 66,342.67 | $ 4,152,265.32 | $ - | $ - | $ 4,218,607.99 |
| Goldman Sachs, Acct#020-67178-0 | $ 372,487.84 | $ 4,644,196.00 | $ - | $ - | $ 5,016,683.84 |
| Goldman Sachs, Acct#020-67180-6 | $ 20,773.98 | $ 5,500,738.63 | $ - | $ - | $ 5,521,512.61 |
| Goldman Sachs, Acct#090-9 | - | $ - | $ - | $ 1,843,646.06 | $ 1,843,646.06 |
| | $ 1,278,222.42 | $ 21,029,463.03 | $ 2,051,157.00 | $ 1,843,646.06 | $ 26,202,488.51 |

# LESLEY A. WALDHEIM FOUNDATION
## 2013 END OF YEAR BOOK VALUE-GOLDMAN SACHS

| Description | Quantity | | Value |
|---|---|---|---|
| *Acct #028-3* | | | |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 704,772.47 |
| GOLDMAN SACHS HIGH YIELD FLOATING RATE FUND, INSTITUTIONAL SHARES | 118,261.513 | $ | 1,191,127 40 |
| THE GOLDMAN SACHS GROUP INC LINKED TO RUSSELL 2000, NOTE DUE 2/4/14 | 250 | $ | 250,000.00 |
| THE GOLDMAN SACHS GROUP INC LINKED TO MSCI EAFE, NOTE DUE 7/6/15 | 500 | $ | 500,000 00 |
| JPMORGAN CHASE & CO LINKED TO EURO STOXX 50 SMEX | 500,000 | $ | 500,000.00 |
| CREDIT SUISSE AG LKD TO EURO STOXX 50 | 500,000 | $ | 500,000 00 |
| | | **$** | **3,645,899.87** |
| *Acct#090-9* | | | |
| ARTISAN: DYNAMIC EQUITY(NON-US EQUITY) OFFSHORE L P. | 7,953.93 | $ | 1,000,000 00 |
| | | **$** | **1,000,000.00** |
| *Acct#074-3* | | | |
| | | **$** | - |
| *Acct #956-0* | | | |
| CASH | | $ | 2,695 10 |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 111,150.36 |
| APPLE, INC. | 290 | $ | 158,729 86 |
| AT&T INC | 5,402 | $ | 202,158 61 |
| BOEING COMPANY | 1,668 | $ | 121,768 37 |
| BP, PLC SPONSORED ADR | 4,117 | $ | 178,991.73 |
| E.I DU PONT DE NEMOURS AND CO | 2,369 | $ | 23.69 |
| EXXON MOBIL CORPORATION | 1,646 | $ | 19,140 79 |
| FIRSTENERGY CORP. | 5,720 | $ | 216,803.74 |
| GENERAL ELECTRIC CO | 10,659 | $ | 90,424 80 |
| HONEYWELL INTL INC | 1,370 | $ | 81,211.90 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN | 1,839 | $ | 82,006.53 |
| JPMORGAN CHASE & CO | 4,979 | $ | 190,118.30 |
| LOWES COMPANIES INC | 2,468 | $ | 71,655.67 |
| MCDONALDS CORP | 1,274 | $ | 113,860 20 |
| MERCK & CO | 6,182 | $ | 270,422 66 |
| MICROSOFT CORPORATION | 4,873 | $ | 156,851 82 |
| NOVARTIS AG SPONSORED ADR | 2,827 | $ | 219,151 13 |
| PEPSICO INC | 2,883 | $ | 136,505 74 |
| PFIZER INC | 5,434 | $ | 95,176 51 |
| PG&E CORPORATION | 2,083 | $ | 97,698 62 |
| PHILIP MORRIS INTL | 1,455 | $ | 35,338.28 |
| PROCTER & GAMBLE COMPANY | 2,540 | $ | 9,040 25 |
| PRUDENTIAL FINANCIAL INC | 1,280 | $ | 70,297 86 |
| QUALCOMM INC | 2,537 | $ | 156,325.73 |
| THE TRAVELERS COMPANIES, INC | 3,571 | $ | 231,053.06 |
| TOTAL SA, SPONSORED ADR | 3,962 | $ | 197,942 64 |
| VIACOM INC CL B | 3,032 | $ | 151,528 78 |
| XILINX INC | 3,147 | $ | 109,191.41 |
| VODAFONE GROUP PLC | 9,211 | $ | 266,785.22 |
| | | **$** | **3,844,049.36** |

*Acct #176-4*

| | | | |
|---|---|---|---|
| CASH | | $ | 943.67 |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 65,399.00 |
| ADVENT SOFTWARE INC | 2,734 | $ | 64,392.09 |
| ALBEMARLE CORP | 2,935 | $ | 174,229 80 |
| ALEXANDER & BALDWIN | 2,755 | $ | 85,651 05 |
| ALLIANT TECHSYSTEMS INC. | 850 | $ | 81,144 25 |
| AMERICAN EAGLE OUTFITTERS INC | 3,345 | $ | 74,106 53 |
| ATWOOD OCEANICS INC | 3,083 | $ | 144,001.32 |
| CABELA'S INC | 2,970 | $ | 148,309.22 |
| COLUMBIA SPORTSWEAR COMPANY | 1,266 | $ | 67,221.06 |
| DECKERS OUTDOORS CORP. | 1,884 | $ | 119,942.08 |
| EATON VANCE CORP | 5,134 | $ | 142,432.22 |
| KAMAN CORP | 1,576 | $ | 54,941 99 |
| MARTIN MARIETTA MATERIALS INC | 616 | $ | 49,518 06 |
| MATSON INC | 3,028 | $ | 76,477.40 |
| MBIA INC | 8,786 | $ | 90,117 11 |
| MICREL INC | 4,135 | $ | 43,277 18 |
| MONTPELIER RE HOLDINGS LTD | 2,900 | $ | 63,617.19 |
| MRC GLOBAL INC. | 4,559 | $ | 145,451.06 |
| NEWMARKET CORP | 596 | $ | 151,169.14 |
| OLD DOMINION FGHT LINES INC | 4,827 | $ | 146,870 15 |
| OLIN CORP. | 5,702 | $ | 157,045 62 |
| PRICESMART INC | 1,814 | $ | 134,744 86 |
| SERVICE CORP INTERNATL | 9,961 | $ | 132,426.37 |
| STURM, RUGER & COMPANY INC | 1,700 | $ | 89,378 38 |
| TEMPUR SEALY INTERNATIONAL | 2,687 | $ | 118,004 79 |
| TEJON RANCH CO | 2,508 | $ | 71,687.03 |
| TENET HEALTHCARE CORP | 3,767 | $ | 80,127.19 |
| TREDEGAR CORPORATION | 3,210 | $ | 50,298 49 |
| VALUECLICK INC ORD | 2,943 | $ | 48,500 94 |
| WHITE MTNS INS GROUP LTD | 166 | $ | 86,173.31 |
| WORLD FUEL SERVICES CORP | 1,339 | $ | 50,197 27 |
| CORRECTIONS CORP OF AMERICA | 4,685 | $ | 158,878.29 |
| FIRST INDUSTRIAL REALTY TRUST | 7,545 | $ | 106,445.85 |
| WTS/TEJON RANCH CO | 370 | $ | - |
| RITCHIE BROS. AUCTIONEERS INC | 2,164 | $ | 40,631 68 |
| | | **$** | **3,313,751.64** |

*Acct #178-0*

| | | | |
|---|---|---|---|
| GOLDMAN SACHS BANK DEPOSIT | | $ | 372,487 84 |
| AMERICAN INTL GROUP INC | 5,400 | $ | 186,718 98 |
| APPLIED MATERIALS INC | 14,500 | $ | 169,959.00 |
| BLACKROCK, INC. | 650 | $ | 168,694 31 |
| CARMAX, INC | 1,400 | $ | 45,436.44 |
| DELPHI AUTOMOTIVE | 3,750 | $ | 114,855 58 |
| DRESSER-RAND GROUP | 2,300 | $ | 117,077.05 |
| FAMILY DOLLAR STORES INC. | 2,800 | $ | 163,850.65 |
| FRANKLIN RESOURCES | 4,600 | $ | 194,258.33 |
| GAMING & LEISURE PROP, INC | 3,200 | $ | 97,307.93 |
| GENERAL MOTORS COMPANY | 6,900 | $ | 203,262.56 |
| ILLINOIS TOOL WORKS | 2,100 | $ | 124,968.83 |
| INTEL CORPORATION | 10,200 | $ | 250,201.17 |
| JPMORGAN CHASE & CO | 5,500 | $ | 211,321 09 |
| NATIONAL OILWELL VARCO, INC | 2,900 | $ | 213,676 75 |

| | | | |
|---|---|---|---|
| ORACLE CORPORATION | 7,000 | $ | 225,418 10 |
| PENN NATIONAL GAMING INC | 3,200 | $ | 28,420 55 |
| TIFFANY & CO | 1,600 | $ | 100,698 45 |
| TRIUMPH GROUP INC. | 2,200 | $ | 160,315 61 |
| VISA INC | 950 | $ | 123,226 50 |
| WELLS FARGO & CO | 7,000 | $ | 240,331.96 |
| STARWOOD HOTELS & RESORTS | 2,500 | $ | 143,607 61 |
| AON PLC | 2,800 | $ | 226,199.76 |
| | | **$** | **3,882,295.05** |
| *Acct #180-6* | | | |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 20,773.98 |
| 3M COMPANY | 475 | $ | 37,325 50 |
| ALTERA CORP | 2,300 | $ | 81,708.49 |
| ANADARKO PETROLEUM CORP. | 700 | $ | 54,940.20 |
| BERKSHIRE HATHAWAY INC | 3,400 | $ | 291,414 51 |
| COCA-COLA COMPANY | 4,850 | $ | 187,850 27 |
| COMCAST CORPORATION CL A | 3,850 | $ | 129,400 22 |
| CONSTELLATION BRANDS INC. | 2,000 | $ | 87,311 00 |
| DISH NETWORK CORP | 1,900 | $ | 73,858 27 |
| ECOLAB INC | 2,600 | $ | 167,412 57 |
| FIDELITY NATL INFO SVCS INC | 2,625 | $ | 83,507.44 |
| GOOGLE, INC. | 200 | $ | 134,173 00 |
| LOEWS CORPORATION | 3,600 | $ | 147,037 14 |
| MICROSOFT CORPORATION | 7,300 | $ | 219,267.14 |
| MONDELEZ INTERNATIONAL INC | 4,836 | $ | 72,710 68 |
| MORGAN STANLEY | 11,000 | $ | 163,325.51 |
| NEWS CORPORATION | 1,512 | $ | 16,614.81 |
| NOBLE ENERGY INC | 4,500 | $ | 205,792.80 |
| ORACLE CORPORATION | 9,200 | $ | 299,430 98 |
| PEPSICO INC | 2,026 | $ | 97,957 10 |
| PRAXAIR, INC | 1,375 | $ | 147,580.83 |
| THERMO FISHER SCIENTIFIC INC | 1,425 | $ | 82,853.17 |
| TWENTY-FIRST CENTURY FOX, INC | 6,050 | $ | 128,492.69 |
| UNITEDHEALTH GROUP INC | 2,700 | $ | 144,809.35 |
| W.R. BERKLEY CORPORATION | 2,300 | $ | 86,030.45 |
| WAL MART STORES INC | 2,450 | $ | 180,326.33 |
| AON PLC | 4,100 | $ | 211,605.02 |
| LIBERTY GLOBAL PLC | 3,100 | $ | 163,545.40 |
| NESTLE SA SPONSORED ADR | 2,025 | $ | 125,155.15 |
| | | **$** | **3,842,210.00** |
| **TOTAL 2013 END OF THE YEAR BOOK VALUE** | | **$** | **19,528,205.92** |

# LESLEY A. WALDHEIM FOUNDATION
## 2013 END OF THE YEAR FMV-GOLDMAN SACHS

| Description | Quantity | | Value |
|---|---|---|---|
| *Acct #028-3* | | | |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 704,772.47 |
| GOLDMAN SACHS HIGH YIELD FLOATING RATE FUND, INSTITUTIONAL SHARES | 118,261 513 | $ | 1,194,441 28 |
| THE GOLDMAN SACHS GROUP INC LINKED TO RUSSELL 2000, NOTE DUE 2/4/14 | 250 | $ | 275,478.50 |
| THE GOLDMAN SACHS GROUP INC LINKED TO MSCI EAFE, NOTE DUE 7/6/15 | 500 | $ | 540,278.50 |
| JPMORGAN CHASE & CO LINKED TO EURO STOXX 50 SMEX | 500,000 | $ | 620,900 00 |
| CREDIT SUISSE AG LKD TO EURO STOXX 50 | 500,000 | $ | 614,500 00 |
| | | **$** | **3,950,370.75** |
| *Acct#090-9* | | | |
| ARTISAN: DYNAMIC EQUITY(NON-US EQL | 7,953.93 | $ | 1,843,646.06 |
| | | **$** | **1,843,646.06** |
| *Acct#074-3* | | | |
| | | **$** | - |
| *Acct #956-0* | | | |
| CASH | | $ | 2,695 10 |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 111,150.36 |
| APPLE, INC | 290 | $ | 162,695.80 |
| AT&T INC | 5,402 | $ | 189,934 32 |
| BOEING COMPANY | 1,668 | $ | 227,665 32 |
| BP, PLC SPONSORED ADR | 4,117 | $ | 200,127 37 |
| E.I. DU PONT DE NEMOURS AND CO | 2,369 | $ | 153,913.93 |
| EXXON MOBIL CORPORATION | 1,646 | $ | 166,575 20 |
| FIRSTENERGY CORP. | 5,720 | $ | 188,645 60 |
| GENERAL ELECTRIC CO | 10,659 | $ | 298,771 77 |
| HONEYWELL INTL INC | 1,370 | $ | 125,176.90 |
| HSBC HOLDINGS PLC SPONSORED ADR ( | 1,839 | $ | 101,384 07 |
| JPMORGAN CHASE & CO | 4,979 | $ | 291,171 92 |
| LOWES COMPANIES INC | 2,468 | $ | 122,289.40 |
| MCDONALDS CORP | 1,274 | $ | 123,616 22 |
| MERCK & CO | 6,182 | $ | 309,409 10 |
| MICROSOFT CORPORATION | 4,873 | $ | 182,298 93 |
| NOVARTIS AG SPONSORED ADR | 2,827 | $ | 227,234 26 |
| PEPSICO INC | 2,883 | $ | 239,116 02 |
| PFIZER INC | 5,434 | $ | 166,443 42 |
| PG&E CORPORATION | 2,083 | $ | 83,903 24 |
| PHILIP MORRIS INTL | 1,455 | $ | 126,774 15 |
| PROCTER & GAMBLE COMPANY | 2,540 | $ | 206,781 40 |
| PRUDENTIAL FINANCIAL INC | 1,280 | $ | 118,041 60 |
| QUALCOMM INC | 2,537 | $ | 188,372.25 |

| | | | |
|---|---|---|---|
| THE TRAVELERS COMPANIES, INC | 3,571 | $ | 323,318 34 |
| TOTAL SA, SPONSORED ADR | 3,962 | $ | 242,751.74 |
| VIACOM INC CL B | 3,032 | $ | 264,814.88 |
| XILINX INC | 3,147 | $ | 144,510.24 |
| VODAFONE GROUP PLC | 9,211 | $ | 362,084 41 |
| | | **$** | **5,651,667.26** |
| *Acct #176-4* | | | |
| CASH | | $ | 943.67 |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 65,399.00 |
| ADVENT SOFTWARE INC | 2,734 | $ | 95,558.77 |
| ALBEMARLE CORP | 2,935 | $ | 186,049.65 |
| ALEXANDER & BALDWIN | 2,755 | $ | 114,966.15 |
| ALLIANT TECHSYSTEMS INC. | 850 | $ | 103,428.00 |
| AMERICAN EAGLE OUTFITTERS INC | 3,345 | $ | 48,168.00 |
| ATWOOD OCEANICS INC | 3,083 | $ | 164,601 37 |
| CABELA'S INC | 2,970 | $ | 197,980 20 |
| COLUMBIA SPORTSWEAR COMPANY | 1,266 | $ | 99,697.50 |
| DECKERS OUTDOORS CORP. | 1,884 | $ | 159,122.64 |
| EATON VANCE CORP | 5,134 | $ | 219,683.86 |
| KAMAN CORP | 1,576 | $ | 62,614.48 |
| MARTIN MARIETTA MATERIALS INC | 616 | $ | 61,563 04 |
| MATSON INC | 3,028 | $ | 79,061.08 |
| MBIA INC | 8,786 | $ | 104,904 84 |
| MICREL INC | 4,135 | $ | 40,812.45 |
| MONTPELIER RE HOLDINGS LTD | 2,900 | $ | 84,390.00 |
| MRC GLOBAL INC. | 4,559 | $ | 147,073.34 |
| NEWMARKET CORP | 596 | $ | 199,153 40 |
| OLD DOMINION FGHT LINES INC | 4,827 | $ | 255,927.54 |
| OLIN CORP. | 5,702 | $ | 164,502.70 |
| PRICESMART INC | 1,814 | $ | 209,589.56 |
| SERVICE CORP INTERNATL | 9,961 | $ | 180,592 93 |
| STURM, RUGER & COMPANY INC | 1,700 | $ | 124,253.00 |
| TEMPUR SEALY INTERNATIONAL | 2,687 | $ | 144,990.52 |
| TEJON RANCH CO | 2,508 | $ | 92,194.08 |
| TENET HEALTHCARE CORP | 3,767 | $ | 158,666.04 |
| TREDEGAR CORPORATION | 3,210 | $ | 92,480.10 |
| VALUECLICK INC ORD | 2,943 | $ | 68,777.91 |
| WHITE MTNS INS GROUP LTD | 166 | $ | 100,111.28 |
| WORLD FUEL SERVICES CORP | 1,339 | $ | 57,791 24 |
| CORRECTIONS CORP OF AMERICA | 4,685 | $ | 150,247.95 |
| FIRST INDUSTRIAL REALTY TRUST | 7,545 | $ | 131,660 25 |
| WTS/TEJON RANCH CO | 370 | $ | 2,030.93 |
| RITCHIE BROS. AUCTIONEERS INC | 2,164 | $ | 49,620 52 |
| | | **$** | **4,218,607.99** |
| *Acct #178-0* | | | |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 372,487 84 |
| AMERICAN INTL GROUP INC | 5,400 | $ | 275,670 00 |
| APPLIED MATERIALS INC | 14,500 | $ | 256,360.00 |
| BLACKROCK, INC. | 650 | $ | 205,705.50 |
| CARMAX, INC | 1,400 | $ | 65,828 00 |
| DELPHI AUTOMOTIVE | 3,750 | $ | 225,487 50 |
| DRESSER-RAND GROUP | 2,300 | $ | 137,149.00 |
| FAMILY DOLLAR STORES INC. | 2,800 | $ | 181,916.00 |
| FRANKLIN RESOURCES | 4,600 | $ | 265,558.00 |

| | | | |
|---|---|---|---|
| GAMING & LEISURE PROP, INC. | 3,200 | $ | 162,592 00 |
| GENERAL MOTORS COMPANY | 6,900 | $ | 282,003.00 |
| ILLINOIS TOOL WORKS | 2,100 | $ | 176,568 00 |
| INTEL CORPORATION | 10,200 | $ | 264,741.00 |
| JPMORGAN CHASE & CO | 5,500 | $ | 321,640 00 |
| NATIONAL OILWELL VARCO, INC | 2,900 | $ | 230,637.00 |
| ORACLE CORPORATION | 7,000 | $ | 267,820 00 |
| PENN NATIONAL GAMING INC | 3,200 | $ | 45,856 00 |
| TIFFANY & CO | 1,600 | $ | 148,448.00 |
| TRIUMPH GROUP INC. | 2,200 | $ | 167,354.00 |
| VISA INC | 950 | $ | 211,546 00 |
| WELLS FARGO & CO | 7,000 | $ | 317,800 00 |
| STARWOOD HOTELS & RESORTS | 2,500 | $ | 198,625 00 |
| AON PLC | 2,800 | $ | 234,892.00 |
| | | **$** | **5,016,683.84** |
| *Acct #180-6* | | | |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 20,773 98 |
| 3M COMPANY | 475 | $ | 66,618.75 |
| ALTERA CORP | 2,300 | $ | 74,775 30 |
| ANADARKO PETROLEUM CORP. | 700 | $ | 55,524 00 |
| BERKSHIRE HATHAWAY INC | 3,400 | $ | 403,104 00 |
| COCA-COLA COMPANY | 4,850 | $ | 200,353.50 |
| COMCAST CORPORATION CL A | 3,850 | $ | 192,038 00 |
| CONSTELLATION BRANDS INC. | 2,000 | $ | 140,760 00 |
| DISH NETWORK CORP | 1,900 | $ | 110,048.00 |
| ECOLAB INC | 2,600 | $ | 271,102 00 |
| FIDELITY NATL INFO SVCS INC | 2,625 | $ | 140,910 00 |
| GOOGLE, INC. | 200 | $ | 224,142.00 |
| LOEWS CORPORATION | 3,600 | $ | 173,664.00 |
| MICROSOFT CORPORATION | 7,300 | $ | 273,093 00 |
| MONDELEZ INTERNATIONAL INC | 4,836 | $ | 170,710.80 |
| MORGAN STANLEY | 11,000 | $ | 344,960.00 |
| NEWS CORPORATION | 1,512 | $ | 27,246.24 |
| NOBLE ENERGY INC | 4,500 | $ | 306,495.00 |
| ORACLE CORPORATION | 9,200 | $ | 351,992.00 |
| PEPSICO INC | 2,026 | $ | 168,036.44 |
| PRAXAIR, INC | 1,375 | $ | 178,791 25 |
| THERMO FISHER SCIENTIFIC INC | 1,425 | $ | 158,673 75 |
| TWENTY-FIRST CENTURY FOX, INC | 6,050 | $ | 212,778 50 |
| UNITEDHEALTH GROUP INC | 2,700 | $ | 203,310 00 |
| W.R. BERKLEY CORPORATION | 2,300 | $ | 99,797 00 |
| WAL MART STORES INC | 2,450 | $ | 197,790.50 |
| AON PLC | 4,100 | $ | 343,949.00 |
| LIBERTY GLOBAL PLC | 3,100 | $ | 261,392.00 |
| NESTLE SA SPONSORED ADR | 2,025 | $ | 148,683.60 |
| | | **$** | **5,521,512.61** |
| **TOTAL 2013 END OF THE YEAR FMV** | | **$** | **26,202,488.51** |

# LESLEY WALDHEIM CHARITABLE FDN EAGLE:DYN

## Holdings

Period Ended December 31, 2013

## PUBLIC EQUITY

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Adjusted Cost / Original Cost | Unrealized Gain (Loss) | Yield to Maturity / Current Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| EAGLE DYNAMIC EQUITY | | | | | | | | |
| GOLDMAN SACHS BANK DEPOSIT (BDA) (*BDANOW)[14] | 20,773.98 | 1 0000 | 20,773.98 | 1.0000 | 20,773.98 | | 0.0496 | 10 30 |

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| 3M COMPANY CMN (MMM) | 475.00 | 140.2500 | 66,618.75 | 78 5800 | 37,325 50 | 29,293.25 | 2.4385 | 1,624 50 |
| ALTERA CORP CMN (ALTR) | 2,300.00 | 32 5110 | 74,775.30 | 35 5254 | 81,708 49 | (6,933.19) | 1.8455 | 1,380.00 |
| ANADARKO PETROLEUM CORP CMN (APC) | 700 00 | 79 3200 | 55,524 00 | 78 4860 | 54,940 20 | 583 80 | 0.9077 | 504 00 |
| BERKSHIRE HATHAWAY INC CLASS B (BRKB) | 3,400 00 | 118.5600 | 403,104.00 | 85.7102 | 291,414.51 | 111,689.49 | | |
| COCA-COLA COMPANY (THE) CMN (KO) | 4,850.00 | 41.3100 | 200,353 50 | 38 7320 | 187,850.27 | 12,503 23 | 2.7112 | 5,432.00 |
| COMCAST CORPORATION CMN CLASS A NON VOTING (CMCSK) | 3,850 00 | 49.8800 | 192,038.00<br>750 75 | 33.6104 | 129,400 22 | 62,637 78 | 1.5638 | 3,003.00 |
| CONSTELLATION BRANDS INC CMN CLASS A (STZ) | 2,000 00 | 70.3800 | 140,760.00 | 43 6555 | 87,311 00 | 53,449 00 | | |
| DISH NETWORK CORPORATION CMN CLASS A (DISH) | 1,900 00 | 57.9200 | 110,048 00 | 38 8728 | 73,858.27 | 36,189.73 | | |
| ECOLAB INC CMN (ECL) | 2,600.00 | 104.2700 | 271,102 00<br>715.00 | 64 3895 | 167,412.57 | 103,689 43 | 1.0550 | 2,860 00 |
| FIDELITY NATL INFO SVCS INC CMN (FIS) | 2,625 00 | 53.6800 | 140,910 00 | 31 8124 | 83,507 44 | 57,402.56 | 1 6393 | 2,310 00 |
| GOOGLE, INC CMN CLASS A (GOOG) | 200.00 | 1,120.7100 | 224,142 00 | 670.8650 | 134,173.00 | 89,969.00 | | |
| LOEWS CORPORATION CMN (L) | 3,600 00 | 48.2400 | 173,664.00 | 40 8437 | 147,037 14 | 26,626 86 | 0.5182 | 900 00 |
| MICROSOFT CORPORATION CMN (MSFT) | 7,300 00 | 37 4100 | 273,093 00 | 30 0366 | 219,267 14 | 53,825 86 | 2.9939 | 8,176 00 |
| MONDELEZ INTERNATIONAL, INC. CMN (MDLZ) | 4,836 00 | 35.3000 | 170,710 80<br>677.04 | 15 0353 | 72,710 68 | 98,000 12 | 1 4731 | 2,514 72 |
| MORGAN STANLEY CMN (MS) | 11,000 00 | 31.3600 | 344,960.00 | 14.8478 | 163,325 51 | 181,634 49 | 0 6378 | 2,200.00 |
| NEWS CORPORATION CMN SERIES CLASS A (NWSA) | 1,512.00 | 18.0200 | 27,246 24 | 10 9886 | 16,614 81 | 10,631 43 | | |
| NOBLE ENERGY INC CMN (NBL) | 4,500 00 | 68 1100 | 306,495 00 | 45 7317 | 205,792 80 | 100,702 20 | 0 8222 | 2,520 00 |
| ORACLE CORPORATION CMN (ORCL) | 9,200 00 | 38.2600 | 351,992.00 | 32.5468 | 299,430 98 | 52,561 02 | 1.2546 | 4,416.00 |

[14] This represents a bank deposit of an affiliated bank reflected here for your convenience and is not cash held in your brokerage or custody account Please see the enclosed Bank Statement page(s) for specific information related to your bank deposit

Not a Deposit Not FDIC Insured May Lose Value (Excluding Goldman Sachs Bank Deposit Account and Certificates of Deposit)

Brokerage and securities services provided by Goldman, Sachs & Co Bank Deposit Account and Certificate of Deposit Account offered by Goldman Sachs Bank USA, Member FDIC.

# LESLEY WALDHEIM CHARITABLE FDN EAGLE:DYN

## Holdings (Continued)

Period Ended December 31, 2013

## PUBLIC EQUITY (Continued)

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| EAGLE DYNAMIC EQUITY | | | | | | | | |
| PEPSICO INC CMN (PEP) | 2,026 00 | 82 9400 | 168,036 44<br>1,149 76 | 48 3500 | 97,957.10 | 70,079.34 | 2.7369 | 4,599 02 |
| PRAXAIR, INC CMN SERIES (PX) | 1,375 00 | 130 0300 | 178,791.25 | 107 3315 | 147,580 83 | 31,210 42 | 1 8457 | 3,300 00 |
| THERMO FISHER SCIENTIFIC INC CMN (TMO) | 1,425 00 | 111 3500 | 158,673 75<br>213.75 | 58 1426 | 82,853.17 | 75,820 58 | 0.5388 | 855.00 |
| TWENTY-FIRST CENTURY FOX, INC CMN CLASS A (FOXA) | 6,050 00 | 35.1700 | 212,778 50 | 21.2385 | 128,492 69 | 84,285.81 | | |
| UNITEDHEALTH GROUP INCORPORATE CMN (UNH) | 2,700 00 | 75 3000 | 203,310 00 | 53 6331 | 144,809.35 | 58,500 65 | 1.4874 | 3,024.00 |
| W R BERKLEY CORPORATION CMN (WRB) | 2,300 00 | 43 3900 | 99,797 00 | 37 4045 | 86,030 45 | 13,766 55 | 0.9219 | 920 00 |
| WAL MART STORES INC CMN (WMT) | 2,450 00 | 78.6900 | 192,790.50<br>1,151.50 | 73 6026 | 180,326.33 | 12,464 17 | 2.3891 | 4,606 00 |
| AON PLC CMN (AON) | 4,100 00 | 83.8900 | 343,949 00 | 51.6110 | 211,605.02 | 132,343 98 | | |
| LIBERTY GLOBAL, PLC CMN CLASS C (LBTYK) | 3,100 00 | 84 3200 | 261,392 00 | 52 7566 | 163,545 40 | 97,846 60 | | |
| NESTLE SA SPONSORED ADR (REP 1/20 CHF 10 REGD SHS) (NSRGY) | 2,025.00 | 73.4240 | 148,683 60 | 61.8050 | 125,155.15 | 23,528 45 | 2.4726 | 3,676 41 |
| TOTAL EAGLE DYNAMIC EQUITY | | | 5,516,512 61<br>4,657 80 | | 3,842,210 00 | 1,674,302 61 | 1.5510 | 58,830 95 |

| | Market Value | Adjusted Cost / [6] Original Cost | Unrealized Gain (Loss) | Estimated Annual Income |
|---|---|---|---|---|
| **TOTAL PORTFOLIO** | **5,521,170.41** | **3,842,210.00** | **1,674,302.61** | **58,830.95** |

[6] Original Cost is price paid by purchaser adjusted for annual original issue discount inclusions and/or return of capital adjustments, if applicable Adjusted Cost reflects adjustments to Original Cost for market discount accretion and/or premium amortization Adjusted cost for GMS Portfolios and Alternative Investments are determined by inception to date contributions minus inception to date distributions

# LESLEY WALDHEIM CHARIABLE FDN HARRIS
Holdings

Period Ended December 31, 2013

## PUBLIC EQUITY

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Adjusted Cost / Original Cost | Unrealized Gain (Loss) | Yield to Maturity / Current Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| HARRIS ASSOCIATES DYNAMIC EQUITY | | | | | | | | |
| GOLDMAN SACHS BANK DEPOSIT (BDA) (*BDANOW)[14] | 372,487.84 | 1.0000 | 372,487.84 | 1.0000 | 372,487 84 | | 0.0503 | 187.23 |

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| AMERICAN INTL GROUP, INC. CMN (AIG) | 5,400.00 | 51.0500 | 275,670 00 | 34.5776 | 186,718.98 | 88,951 02 | 0 7835 | 2,160 00 |
| APPLIED MATERIALS INC CMN (AMAT) | 14,500.00 | 17 6800 | 256,360 00 | 11 7213 | 169,959.00 | 86,401.00 | 2 2624 | 5,800.00 |
| BLACKROCK, INC CMN (BLK) • | 650 00 | 316 4700 | 205,705 50 | 259 5297 | 168,694 31 | 37,011 19 | 2 1234 | 4,368 00 |
| CARMAX, INC. CMN (KMX) | 1,400 00 | 47.0200 | 65,828.00 | 32 4546 | 45,436.44 | 20,391.56 | | |
| DELPHI AUTOMOTIVE PLC CMN (DLPH) | 3,750 00 | 60.1300 | 225,487.50 | 30.6282 | 114,855.58 | 110,631.92 | 1.1309 | 2,550 00 |
| DRESSER-RAND GROUP INC CMN (DRC) | 2,300 00 | 59 6300 | 137,149 00 | 50 9031 | 117,077.05 | 20,071.95 | | |
| FAMILY DOLLAR STORES INC CMN (FDO) ✎ | 2,800 00 | 64 9700 | 181,916.00<br>728 00 | 58 5181 | 163,850 65 | 18,065 35 | 1 6007 | 2,912 00 |
| FRANKLIN RESOURCES INC CMN (BEN) | 4,600.00 | 57.7300 | 265,558 00<br>552 00 | 42.2301 | 194,258.33 | 71,299 67 | 0 8315 | 2,208 00 |
| GAMING AND LEISURE PROP, INC. CMN (GLPI) • | 3,200 00 | 50.8100 | 162,592.00 | 30 4087 | 97,307.93 | 65,284.07 | | |
| GENERAL MOTORS COMPANY CMN (GM) ✎ | 6,900 00 | 40 8700 | 282,003 00 | 29 4583 | 203,262 56 | 78,740 44 | | |
| ILLINOIS TOOL WORKS CMN (ITW) | 2,100.00 | 84.0800 | 176,568.00<br>882 00 | 59 5090 | 124,968.83 | 51,599.17 | 1.9981 | 3,528 00 |
| INTEL CORPORATION CMN (INTC) | 10,200.00 | 25.9550 | 264,741.00 | 24.5295 | 250,201.17 | 14,539 83 | 3 4675 | 9,180 00 |
| JPMORGAN CHASE & CO CMN (JPM) | 5,500 00 | 58 4800 | 321,640 00 | 38 4220 | 211,321 09 | 110,318 91 | 2 5992 | 8,360.00 |
| NATIONAL OILWELL VARCO, INC. COMMON STOCK CMN (NOV) | 2,900.00 | 79 5300 | 230,637 00 | 73 6816 | 213,676.75 | 16,960 25 | 1 3077 | 3,016.00 |
| ORACLE CORPORATION CMN (ORCL) e | 7,000 00 | 38 2600 | 267,820 00 | 32.2026 | 225,418 10 | 42,401.90 | 1 2546 | 3,360 00 |
| PENN NATIONAL GAMING INC CMN (PENN) | 3,200.00 | 14 3300 | 45,856 00 | 8 8814 | 28,420 55 | 17,435 45 | | |
| TIFFANY & CO CMN (TIF) | 1,600.00 | 92.7800 | 148,448.00<br>544 00 | 62.9365 | 100,698.45 | 47,749.55 | 1.4658 | 2,176 00 |

[14]This represents a bank deposit of an affiliated bank reflected here for your convenience and is not cash held in your brokerage or custody account Please see the enclosed Bank Statement page(s) for specific information related to your bank deposit

Not a Deposit Not FDIC Insured May Lose Value (Excluding Goldman Sachs Bank Deposit Account and Certificates of Deposit)

Brokerage and securities services provided by Goldman, Sachs & Co Bank Deposit Account and Certificate of Deposit Account offered by Goldman Sachs Bank USA, Member FDIC

# LESLEY WALDHEIM CHARIABLE FDN HARRIS

## Holdings (Continued)

Period Ended December 31, 2013

## PUBLIC EQUITY (Continued)

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| HARRIS ASSOCIATES DYNAMIC EQUITY | | | | | | | | |
| TRIUMPH GROUP INC CMN (TGI) • | 2,200.00 | 76.0700 | 167,354.00 | 72 8707 | 160,315.61 | 7,038.39 | 0 2103 | 352 00 |
| VISA INC. CMN CLASS A (V) | 950 00 | 222 6800 | 211,546 00 | 129 7121 | 123,226 50 | 88,319 50 | 0 7185 | 1,520 00 |
| WELLS FARGO & CO (NEW) CMN (WFC) | 7,000 00 | 45 4000 | 317,800 00 | 34 3331 | 240,331 96 | 77,468 04 | 2 6432 | 8,400 00 |
| STARWOOD HOTELS & RESORTS CMN (HOT) | 2,500 00 | 79.4500 | 198,625 00 | 57 4430 | 143,607.61 | 55,017.39 | 1.6992 | 3,375 00 |
| AON PLC CMN (AON) • | 2,800 00 | 83 8900 | 234,892.00 | 80 7856 | 226,199 76 | 8,692 24 | | |
| TOTAL HARRIS ASSOCIATES DYNAMIC EQUITY | | | 5,016,683 84 | | 3,882,295 05 | 1,134,388 79 | 1.5520 | 63,452 23 |
| | | | 2,706 00 | | | | | |

| | Market Value | Adjusted Cost / [6] Original Cost | Unrealized Gain (Loss) | Estimated Annual Income |
|---|---|---|---|---|
| **TOTAL PORTFOLIO** | **5,019,389.84** | **3,882,295.05** | **1,134,388.79** | **63,452.23** |

[6] Original Cost is price paid by purchaser adjusted for annual original issue discount inclusions and/or return of capital adjustments, if applicable Adjusted Cost reflects adjustments to Original Cost for market discount accretion and/or premium amortization Adjusted cost for GMS Portfolios and Alternative Investments are determined by inception to date contributions minus inception to date distributions

# LESLEY WALDHEIM CHARITABLE FDN LONDON CO

Holdings

Period Ended December 31, 2013

## PUBLIC EQUITY

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Adjusted Cost / Original Cost | Unrealized Gain (Loss) | Yield to Maturity / Current Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| THE LONDON COMPANY SMALL CAP CORE | | | | | | | | |
| U S DOLLAR | 943.67 | 1.0000 | 943.67 | | 943 67 | | | |
| GOLDMAN SACHS BANK DEPOSIT (BDA) (*BDANOW)[14] | 65,399 00 | 1 0000 | 65,399 00 | 1 0000 | 65,399 00 | | 0 0504 | 32 99 |

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| ADVENT SOFTWARE INC CMN (ADVS) | 2,734 00 | 34.9520 | 95,558 77 | 23 5523 | 64,392 09 | 31,166.68 | | |
| ALBEMARLE CORP CMN (ALB) | 2,935 00 | 63 3900 | 186,049 65<br>704 40 | 59 3628 | 174,229 80 | 11,819.85 | 1 5144 | 2,817 60 |
| ALEXANDER & BALDWIN, INC. CMN (ALEX) | 2,755.00 | 41.7300 | 114,966 15 | 31 0893 | 85,651 05 | 29,315 10 | 0.3834 | 440.80 |
| ALLIANT TECHSYSTEMS INC CMN (ATK) • | 850 00 | 121.6800 | 103,428.00 | 95.4638 | 81,144 25 | 22,283.75 | 0.8547 | 884 00 |
| AMERICAN EAGLE OUTFITTERS INC (NEW) (AEO) | 3,345.00 | 14 4000 | 48,168.00 | 22 1544 | 74,106 53 | (25,938 53) | 3.4722 | 1,672.50 |
| ATWOOD OCEANICS INC CMN (ATW) | 3,083 00 | 53.3900 | 164,601 37 | 46 7082 | 144,001 32 | 20,600 05 | | |
| CABELA'S INCORPORATED CMN CLASS A (CAB) | 2,970 00 | 66.6600 | 197,980 20 | 49.9358 | 148,309.22 | 49,670 98 | | |
| COLUMBIA SPORTSWEAR COMPANY COMMON STOCK (COLM) | 1,266.00 | 78.7500 | 99,697 50 | 53.0972 | 67,221.06 | 32,476 44 | 1.2698 | 1,266.00 |
| DECKERS OUTDOORS CORP CMN (DECK) • | 1,884 00 | 84.4600 | 159,122 64 | 63 6635 | 119,942 08 | 39,180.56 | | |
| EATON VANCE CORP (NON-VTG) CMN (EV) | 5,134 00 | 42.7900 | 219,683 86 | 27 7429 | 142,432 22 | 77,251 64 | 2.0566 | 4,517.92 |
| KAMAN CORP CMN (KAMN) | 1,576.00 | 39.7300 | 62,614.48<br>252 16 | 34.8617 | 54,941 99 | 7,672.49 | 1.6109 | 1,008.64 |
| MARTIN MARIETTA MATERIALS,INC CMN (MLM) | 616.00 | 99.9400 | 61,563.04 | 80.3865 | 49,518.06 | 12,044.98 | 1.6010 | 985 60 |
| MATSON, INC CMN (MATX) | 3,028 00 | 26.1100 | 79,061 08 | 25.2567 | 76,477 40 | 2,583 68 | 2.4512 | 1,937 92 |
| MBIA INC CMN (MBI) • | 8,786 00 | 11.9400 | 104,904 84 | 10 2569 | 90,117.11 | 14,787.73 | | |
| MICREL INC CMN (MCRL) | 4,135 00 | 9.8700 | 40,812 45 | 10 4661 | 43,277 18 | (2,464 73) | 2 0263 | 827 00 |
| MONTPELIER RE HOLDINGS LTD. CMN (MRH) | 2,900 00 | 29.1000 | 84,390 00<br>362 50 | 21 9370 | 63,617 19 | 20,772 81 | 1.7182 | 1,450.00 |
| MRC GLOBAL INC CMN (MRC) • | 4,559 00 | 32.2600 | 147,073.34 | 31.9042 | 145,451 06 | 1,622 28 | | |

[14]This represents a bank deposit of an affiliated bank reflected here for your convenience and is not cash held in your brokerage or custody account Please see the enclosed Bank Statement page(s) for specific information related to your bank deposit

Not a Deposit Not FDIC Insured May Lose Value (Excluding Goldman Sachs Bank Deposit Account and Certificates of Deposit)

Brokerage and securities services provided by Goldman, Sachs & Co Bank Deposit Account and Certificate of Deposit Account offered by Goldman Sachs Bank USA, Member FDIC

# LESLEY WALDHEIM CHARITABLE FDN LONDON CO

## Holdings (Continued)

Period Ended December 31, 2013

## PUBLIC EQUITY (Continued)

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| THE LONDON COMPANY SMALL CAP CORE | | | | | | | | |
| NEWMARKET CORP CMN (NEU) | 596 00 | 334.1500 | 199,153.40<br>655 60 | 253.6395 | 151,169 14 | 47,984 26 | 1 3168 | 2,622 40 |
| OLD DOMINION FGHT LINES INC CMN (ODFL) | 4,827 00 | 53 0200 | 255,927 54 | 30 4268 | 146,870 15 | 109,057 39 | | |
| OLIN CORP NEW $1 PAR CMN (OLN) • | 5,702 00 | 28.8500 | 164,502.70 | 27 5422 | 157,045.62 | 7,457 08 | 2 7730 | 4,561 60 |
| PRICESMART INC CMN (PSMT) | 1,814.00 | 115.5400 | 209,589.56 | 74 2805 | 134,744.86 | 74,844.70 | 0.5193 | 1,088 40 |
| SERVICE CORP INTERNATL CMN (SCI) | 9,961 00 | 18.1300 | 180,592.93 | 13.2945 | 132,426.37 | 48,166.56 | 1.5444 | 2,789 08 |
| STURM, RUGER & COMPANY INC CMN (RGR) | 1,700 00 | 73.0900 | 124,253 00 | 52 5755 | 89,378 38 | 34,874 62 | 3 1742 | 3,944 00 |
| TEJON RANCH CO CMN (TRC) | 2,508 00 | 36.7600 | 92,194 08 | 28 5833 | 71,687.03 | 20,507.05 | | |
| TEMPUR SEALY INTERNATIONAL INC CMN (TPX) • | 2,687.00 | 53 9600 | 144,990 52 | 43 9169 | 118,004.79 | 26,985 73 | | |
| TENET HEALTHCARE CORP CMN (THC) | 3,767 00 | 42 1200 | 158,666 04 | 21 2708 | 80,127.19 | 78,538 85 | | |
| TREDEGAR CORPORATION CMN (TG) | 3,210.00 | 28 8100 | 92,480.10<br>224 70 | 15.6693 | 50,298.49 | 42,181 61 | 0.9719 | 898.80 |
| VALUECLICK INC ORD CMN (VCLK) | 2,943.00 | 23.3700 | 68,777 91 | 16 4801 | 48,500.94 | 20,276 97 | | |
| WHITE MTNS INS GROUP LTD CMN (WTM) | 166 00 | 603 0800 | 100,111 28 | 519 1163 | 86,173.31 | 13,937 97 | 0.1658 | 166.00 |
| WORLD FUEL SERVICES CORP CMN (INT) | 1,339 00 | 43 1600 | 57,791.24<br>50 21 | 37 4886 | 50,197 27 | 7,593 97 | 0 3475 | 200 85 |
| CORRECTIONS CORP OF AMERICA CMN (CXW) | 4,685.00 | 32 0700 | 150,247 95<br>2,248.80 | 33 9121 | 158,878 29 | (8,630.34) | 5.9869 | 8,995.20 |
| FIRST INDUSTRIAL REALTY TRUST CMN (FR) | 7,545 00 | 17 4500 | 131,660 25<br>641 33 | 14 1081 | 106,445 85 | 25,214 40 | 1 9484 | 2,565 30 |
| WTS/TEJON RANCH CO. 40.0000 EXP08/31/2016 (TRCWS) • | 370 00 | 5 4890 | 2,030 93 | | | 2,030 93 | | |
| RITCHIE BROS AUCTIONEERS INC CMN (RBA) | 2,164 00 | 22 9300 | 49,620 52 | 18 7762 | 40,631 68 | 8,988.84 | 2 2678 | 1,125 28 |
| TOTAL THE LONDON COMPANY SMALL CAP CORE | | | 4,218,607.99<br>5,139 70 | | 3,313,751.64 | 904,856.35 | 1 7822 | 46,797 88 |

| | Market Value | Adjusted Cost / [6] Original Cost | Unrealized Gain (Loss) | Estimated Annual Income |
|---|---|---|---|---|
| **TOTAL PORTFOLIO** | **4,223,747.69** | **3,313,751.64** | **904,856.35** | **46,797.88** |

[6] Original Cost is price paid by purchaser adjusted for annual original issue discount inclusions and/or return of capital adjustments, if applicable Adjusted Cost reflects adjustments to Original Cost for market discount accretion and/or premium amortization Adjusted cost for GMS Portfolios and Alternative Investments are determined by inception to date contributions minus inception to date distributions

# LESLEY WALDHEIM CHAR FDN GSAM EQ INC
Holdings

Period Ended December 31, 2013

## PUBLIC EQUITY

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Adjusted Cost / Original Cost | Unrealized Gain (Loss) | Yield to Maturity / Current Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| GSAM EQUITY INCOME STRATEGY | | | | | | | | |
| U S DOLLAR | 2,695.10 | 1.0000 | 2,695.10 | | 2,695.10 | | | |
| GOLDMAN SACHS BANK DEPOSIT (BDA) (*BDANOW)[14] | 111,150.36 | 1 0000 | 111,150 36 | 1 0000 | 111,150.36 | | 0 0509 | 56 55 |
| | **Quantity** | **Market Price** | **Market Value / Accrued Income** | **Unit Cost** | **Cost Basis** | **Unrealized Gain (Loss)** | **Dividend Yield** | **Estimated Annual Income** |
| APPLE, INC. CMN (AAPL) | 290 00 | 561 0200 | 162,695.80 | 547 3443 | 158,729.86 | 3,965.94 | 2.1746 | 3,538.00 |
| AT&T INC CMN (T) | 5,402 00 | 35.1600 | 189,934 32 | 37 4229 | 202,158 61 | (12,224 29) | 5.2332 | 9,939 68 |
| BOEING COMPANY CMN (BA) | 1,668 00 | 136 4900 | 227,665 32 | 73 0026 | 121,768 37 | 105,896 95 | 2.1394 | 4,870 56 |
| E.I. DU PONT DE NEMOURS AND CO CMN (DD) | 2,369.00 | 64 9700 | 153,913.93 | 0 0100 | 23.69 | 153,890 24 | 2 7705 | 4,264 20 |
| EXXON MOBIL CORPORATION CMN (XOM) | 1,646 00 | 101.2000 | 166,575 20 | 11.6287 | 19,140 79 | 147,434.41 | 2.4901 | 4,147.92 |
| FIRSTENERGY CORP CMN (FE) | 5,720 00 | 32 9800 | 188,645 60 | 37 9028 | 216,803 74 | (28,158 14) | 6.6707 | 12,584 00 |
| GENERAL ELECTRIC CO CMN (GE) | 10,659 00 | 28.0300 | 298,771.77<br>2,344.98 | 8.4834 | 90,424.80 | 208,346.97 | 3.1395 | 9,379.92 |
| HONEYWELL INTL INC CMN (HON) | 1,370.00 | 91 3700 | 125,176.90 | 59.2788 | 81,211.90 | 43,965 00 | 1.9700 | 2,466.00 |
| JPMORGAN CHASE & CO CMN (JPM) | 4,979 00 | 58.4800 | 291,171 92 | 38 1840 | 190,118 30 | 101,053 62 | 2 5992 | 7,568 08 |
| LOWES COMPANIES INC CMN (LOW) | 2,468.00 | 49 5500 | 122,289 40 | 29 0339 | 71,655 67 | 50,633.73 | 1.4531 | 1,776 96 |
| MC DONALDS CORP CMN (MCD) | 1,274 00 | 97.0300 | 123,616.22 | 89.3722 | 113,860.20 | 9,756 02 | 3 3392 | 4,127 76 |
| MERCK & CO , INC CMN (MRK) | 6,182 00 | 50 0500 | 309,409 10<br>2,720 08 | 43 7436 | 270,422.66 | 38,986 44 | 3.5165 | 10,880.32 |
| MICROSOFT CORPORATION CMN (MSFT) | 4,873 00 | 37.4100 | 182,298 93 | 32.1879 | 156,851 82 | 25,447.11 | 2.9939 | 5,457.76 |
| P G & E CORPORATION CMN (PCG) | 2,083 00 | 40.2800 | 83,903 24 | 46 9028 | 97,698.62 | (13,795.38) | 4.5184 | 3,791 06 |
| PEPSICO INC CMN (PEP) | 2,883.00 | 82.9400 | 239,116.02<br>1,636.10 | 47 3485 | 136,505 74 | 102,610 28 | 2.7369 | 6,544.41 |
| PFIZER INC CMN (PFE) | 5,434 00 | 30.6300 | 166,443 42 | 17 5150 | 95,176 51 | 71,266 91 | 3.3954 | 5,651 36 |

[14]This represents a bank deposit of an affiliated bank reflected here for your convenience and is not cash held in your brokerage or custody account Please see the enclosed Bank Statement page(s) for specific information related to your bank deposit

Not a Deposit Not FDIC Insured May Lose Value (Excluding Goldman Sachs Bank Deposit Account and Certificates of Deposit)

Brokerage and securities services provided by Goldman, Sachs & Co Bank Deposit Account and Certificate of Deposit Account offered by Goldman Sachs Bank USA, Member FDIC

# LESLEY WALDHEIM CHAR FDN GSAM EQ INC

## Holdings (Continued)

Period Ended December 31, 2013

## PUBLIC EQUITY (Continued)

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| GSAM EQUITY INCOME STRATEGY | | | | | | | | |
| PHILIP MORRIS INTL INC CMN (PM) | 1,455.00 | 87.1300 | 126,774.15<br>1,367 70 | 24 2875 | 35,338.28 | 91,435.87 | 4.3154 | 5,470 80 |
| PROCTER & GAMBLE COMPANY (THE) CMN (PG) | 2,540 00 | 81.4100 | 206,781 40 | 3 5592 | 9,040 25 | 197,741 15 | 2 9554 | 6,111 24 |
| PRUDENTIAL FINANCIAL INC CMN (PRU) | 1,280.00 | 92 2200 | 118,041 60 | 54.9202 | 70,297 86 | 47,743.74 | 2.2989 | 2,713.60 |
| QUALCOMM INC CMN (QCOM) | 2,537.00 | 74 2500 | 188,372 25 | 61 6183 | 156,325 73 | 32,046.52 | 1.8855 | 3,551.80 |
| THE TRAVELERS COMPANIES, INC CMN (TRV) | 3,571.00 | 90 5400 | 323,318.34 | 64.7026 | 231,053 06 | 92,265.28 | 2.2090 | 7,142.00 |
| VIACOM INC CMN CLASS B (VIAB) | 3,032 00 | 87 3400 | 264,814 88 | 49 9765 | 151,528 78 | 113,286 10 | 1 3739 | 3,638.40 |
| XILINX INCORPORATED CMN (XLNX) | 3,147.00 | 45 9200 | 144,510 24 | 34 6970 | 109,191.41 | 35,318.83 | 2 1777 | 3,147 00 |
| BP P L C SPONSORED ADR CMN (BP) | 4,117 00 | 48.6100 | 200,127.37 | 43 4763 | 178,991.73 | 21,135.64 | 4 6904 | 9,386 76 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN (HSBC) | 1,839 00 | 55 1300 | 101,384 07 | 44 5930 | 82,006 53 | 19,377.54 | 4.3533 | 4,413 60 |
| NOVARTIS AG-ADR SPONSORED ADR CMN (NVS) | 2,827.00 | 80.3800 | 227,234 26 | 77 5207 | 219,151 13 | 8,083.13 | 2.5597 | 5,816 55 |
| TOTAL SA SPONSORED ADR CMN (TOT) | 3,962 00 | 61.2700 | 242,751.74<br>2,177 59 | 49.9603 | 197,942.64 | 44,809.10 | 4.3068 | 10,454.76 |
| VODAFONE GROUP PLC SPONSORED ADR CMN (VOD) | 9,211 00 | 39 3100 | 362,084 41<br>5,037 21 | 28 9638 | 266,785 22 | 95,299 19 | 4 0435 | 14,640 93 |
| TOTAL GSAM EQUITY INCOME STRATEGY | | | 5,651,667.26<br>15,283 66 | | 3,844,049.36 | 1,807,617 90 | 3 0719 | 173,531 99 |

| | Market Value | Adjusted Cost / [6] Original Cost | Unrealized Gain (Loss) | Estimated Annual Income |
|---|---|---|---|---|
| **TOTAL PORTFOLIO** | **5,666,950.92** | **3,844,049.36** | **1,807,617.90** | **173,531.99** |

[6] Original Cost is price paid by purchaser adjusted for annual original issue discount inclusions and/or return of capital adjustments, if applicable Adjusted Cost reflects adjustments to Original Cost for market discount accretion and/or premium amortization Adjusted cost for GMS Portfolios and Alternative Investments are determined by inception to date contributions minus inception to date distributions

# LESLEY WALDHEIM CHARITABLE FDN ADVISORY
Holdings

Period Ended December 31, 2013

## PUBLIC EQUITY

| | Quantity | Market Price | Market Value / Accrued Income | Contributions/ Distributions To Date | Net Contribution To Date | Economic Gain (Loss) |
|---|---|---|---|---|---|---|
| **NON-US EQUITY** | | | | | | |
| ARTISAN DYNAMIC EQUITY (NON-US EQUITY) [SERIES] | | | | | | |
| ARTISAN DYNAMIC EQUITY(NON-US EQUITY) OFFSHORE L.P. (GMSAA2AC)[12] | 7,953.93 | 232.0420 | 1,845,646 06 | 1,000,000.00<br>0.00 | | 845,646.06 |

| | Market Value | Adjusted Cost / [6] Original Cost | Unrealized Gain (Loss) | Estimated Annual Income |
|---|---|---|---|---|
| **TOTAL PORTFOLIO** | **1,845,646.06** | **1,000,000.00** | **845,646.06** | |

The calculations noted above (other than contributions and distributions since the last capital statement) are taken from the applicable partnership capital value statement as provided by the fund administrator A partnership capital value statement is available upon request from your Private Wealth Advisor Tax information regarding these investments, including allocations of income and realized and unrealized gains and losses will be available through a Schedule K-1 which will be mailed to you after year end Please be advised that the delivery of K-1s is subject to the reporting of the particular underlying partnerships and that the delivery of particular K-1s may be delayed, requiring you to file an extension Your private equity assets are held away from Goldman Sachs and are not covered by the Securities Investor Protection Corporation ("SIPC") or any supplemental insurance provided by Goldman Sachs for its clients holdings Please contact your Private Wealth Advisor if you have any questions

[6] Original Cost is price paid by purchaser adjusted for annual original issue discount inclusions and/or return of capital adjustments, if applicable Adjusted Cost reflects adjustments to Original Cost for market discount accretion and/or premium amortization Adjusted cost for GMS Portfolios and Alternative Investments are determined by inception to date contributions minus inception to date distributions

[12] Please refer to the end of the Holdings section for further details pertaining to these investments

# LESLEY A WALDHEIM CHARITABLE FOUNDATION

Holdings

Period Ended December 31, 2013

## CASH, DEPOSITS & MONEY MARKET FUNDS

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Adjusted Cost / Original Cost | Unrealized Gain (Loss) | Yield to Maturity / Current Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **DEPOSITS & MONEY MARKET FUNDS** | | | | | | | | |
| DEPOSITS | | | | | | | | |
| GOLDMAN SACHS BANK DEPOSIT (BDA)[14] | 704,772.47 | 1 0000 | 704,772.47 | 1.0000 | 704,772.47 | 0 00 | 0 0507 | 356 99 |

## FIXED INCOME

| | Quantity / Current Face | Market Price | Market Value / Accrued Income | Unit Cost | Adjusted Cost / Original Cost | Unrealized / Economic Gain (Loss) | Yield to Maturity in Percentage | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **OTHER FIXED INCOME** | | | | | | | | |
| GS HIGH YIELD FLOATING RATE FUND | | | | | | | | |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES | 118,261.513 | 10.1000 | 1,194,441 28 | 10 0720 | 1,191,127.40 | 3,313 88<br>44,441.29 | | 45,175.90 |

## PUBLIC EQUITY

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **US EQUITY** | | | | | | | | |
| US EQUITY STRUCTURED PRODUCTS | | | | | | | | |
| THE GOLDMAN SACHS GROUP, INC. LINKED TO RUSSELL 2000 INDEX UPSIDE CAPPED W BUFFER STRUCTURED NOTE DUE 12/04/2014 (RUTELN25) | 250 00 | 1,101.9140 | 275,478 50 | 1,000 0000 | 250,000 00 | 25,478.50 | | |
| **NON-US EQUITY** | | | | | | | | |
| NON-US EQUITY STRUCTURED PRODUCTS | | | | | | | | |
| JPMORGAN CHASE & CO LINKED TO EURO STOXX 50 SMEX UPSIDE LEVERED CAPPED W BUFFER STRUCTURED NOTE DUE 03/18/2014 (OJSX5EEL) | 500,000 00 | 124 1800 | 620,900 00 | 100 0000 | 500,000 00 | 120,900 00 | | |
| CREDIT SUISSE AG LKD TO EURO STOXX 50, EURO/USD BETTER OF CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 10/17/2014 (OCSX5EL2) | 500,000.00 | 122 9000 | 614,500 00 | 100 0000 | 500,000.00 | 114,500.00 | | |

[14]This represents a bank deposit of an affiliated bank reflected here for your convenience and is not cash held in your brokerage or custody account Please see the enclosed Bank Statement page(s) for specific information related to your bank deposit

Not a Deposit Not FDIC Insured May Lose Value (Excluding Goldman Sachs Bank Deposit Account and Certificates of Deposit)

Brokerage and securities services provided by Goldman, Sachs & Co Bank Deposit Account and Certificate of Deposit Account offered by Goldman Sachs Bank USA, Member FDIC

# LESLEY A WALDHEIM CHARITABLE FOUNDATION

## Holdings (Continued)

Period Ended December 31, 2013

## PUBLIC EQUITY (Continued)

| | Quantity | Market Price | Market Value / Accrued Income | Unit Cost | Cost Basis | Unrealized Gain (Loss) | Dividend Yield | Estimated Annual Income |
|---|---|---|---|---|---|---|---|---|
| **NON-US EQUITY** | | | | | | | | |
| NON-US EQUITY STRUCTURED PRODUCTS | | | | | | | | |
| THE GOLDMAN SACHS GROUP, INC LINKED TO MSCI EAFE UPSIDE LEVERED CAPPED W BUFFER STRUCTURED NOTE DUE 07/06/2015 (MXEAE177) | 500.00 | 1,080.5570 | 540,278.50 | 1,000.0000 | 500,000 00 | 40,278 50 | | |
| TOTAL NON-US EQUITY STRUCTURED PRODUCTS | | | 1,775,678 50 | | 1,500,000.00 | 275,678 50 | | |
| **TOTAL PUBLIC EQUITY** | | | **2,051,157.00** | | **1,750,000.00** | **301,157.00** | | |

| | Market Value | Adjusted Cost / [6] Original Cost | Unrealized Gain (Loss) | Estimated Annual Income |
|---|---|---|---|---|
| **TOTAL PORTFOLIO** | **3,950,370.75** | **3,645,899.87** | **304,470.88** | **45,532.88** |

[6] Original Cost is price paid by purchaser adjusted for annual original issue discount inclusions and/or return of capital adjustments, if applicable Adjusted Cost reflects adjustments to Original Cost for market discount accretion and/or premium amortization Adjusted cost for GMS Portfolios and Alternative Investments are determined by inception to date contributions minus inception to date distributions

# LESLEY A. WALDHEIM FOUNDATION
## 2013 BEGINNING OF YEAR BOOK VALUE-GOLDMAN SACHS

| Description | Quantity | | Value |
|---|---|---|---|
| *Acct #028-3* | | | |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 17,549.70 |
| ISHARES IBOXX $ INVESTMENT GRADE CORP BOND | 230 | $ | 22,459.05 |
| CONSOLIDATED EDISON, INC. 3.85% 6/15/2013 | 500,000 | $ | 500,472.06 |
| RABOBANK NEDERLAND UTRECHT LINKED TO S&P 500 0% COUPON DUE 02-19-2013 | 1,000 | $ | 1,000,000.00 |
| THE GOLDMAN SACHS GROUP INC LINKED TO S&P 500 0% COUPON DUE 10-28-2013 | 500 | $ | 500,000.00 |
| JPMORGAN CHASE & CO LINKED TO EURO STOXX 50 SMEX | 500,000 | $ | 500,000.00 |
| CREDIT SUISSE AG LKD TO EURO STOXX 50 | 500,000 | $ | 500,000 00 |
| | | **$** | **3,040,480.81** |
| *Acct#090-9* | | | |
| ARTISAN· DYNAMIC EQUITY(NON-US EQUITY) OFFSHORE I | 7,953.93 | $ | 1,000,000.00 |
| | | **$** | **1,000,000.00** |
| *Acct#074-3* | | | |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 26,608.83 |
| HENGDELI HOLDINGS LTD UNSPON ADR | 1,543 | $ | 14,889 35 |
| RESMED INC DMN | 192 | $ | 5,891.11 |
| WPP PLC ADR CMN | 304 | $ | 20,479.35 |
| ANGLO AMERICAN PLC ADR CMN | 542 | $ | 9,647.16 |
| ANHEUSER-BUSCH INBEV S.A. SPONSORED ADR CMN | 158 | $ | 9,464.24 |
| ASHAI KASEI CORP ADR | 1,179 | $ | 13,864.69 |
| ASTELLAS PHARMA INC UNSPONSORED ADR | 237 | $ | 11,363.27 |
| AVIVA PLC SPONSORED | 1,320 | $ | 12,919.86 |
| AXA-UAP AMERICAN DEPOSITARY SHARES | 1,268 | $ | 21,075.92 |
| BALFOUR BEATTY PLC SPONSORED | 948 | $ | 8,756.44 |
| BANK OF YOKOHAMA LTD JAPAN | 583 | $ | 11,481.60 |
| BARCLAYS PLC,AMER DEP SHS ADR CMN | 1,236 | $ | 18,048.32 |
| BRITISH SKY BROADCASTING GROUP | 212 | $ | 9,318.58 |
| CHINA OVERSEAS LAND&INVT LTD UNSPONSORED | 306 | $ | 23,015.15 |
| COCA COLA AMATIL LTD | 363 | $ | 8,714.43 |
| DAIMLER AG | 306 | $ | 16,145 50 |
| DANONE SPONSORED ADR | 1,322 | $ | 18,226.23 |
| DBS GROUP HOLDINGS | 167 | $ | 7,237 04 |
| DONGFENG MOTOR CORPORATION | 139 | $ | 11,687.92 |
| EAST JAPAN RAILWAY | 1,866 | $ | 18,215 14 |
| EMPRESAS ICA, S.A DE C.V. | 2,439 | $ | 15,609 14 |
| ENERSIS S.A. | 456 | $ | 8,006.84 |
| FLETCHER BUILDING LIMITED | 1,087 | $ | 13,280 85 |
| FRESENIUS SE & CO KGAA | 1,104 | $ | 14,926.01 |
| GAZPROM ADR | 1,041 | $ | 11,330.54 |
| HEINEKEN N V. | 671 | $ | 18,738.13 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN | 423 | $ | 20,686 86 |

| | | | |
|---|---|---|---|
| IMPERIAL TOBACCO GROUP PLC SPON ADR | 237 | $ | 14,055.94 |
| INFOSYS LTD SPONS ADR | 326 | $ | 13,871.82 |
| ING GROEP N.V. SPONS ADR SPONSORED ADR CMN | 2,498 | $ | 21,125.12 |
| INTERNATIONAL CONSOLIDATED AIRLINES GROUP, S.A | 666 | $ | 8,892.78 |
| INTESA SANPAOLO SPONSORED ADR CMN | 1,009 | $ | 10,883.23 |
| KASIKORNBANK PUB CO LTD | 708 | $ | 13,499.58 |
| KB FINANCIAL GROUP | 516 | $ | 22,283.94 |
| KDDI CORP UNSPONS | 930 | $ | 17,822.59 |
| KEPPEL CORP LTD | 786 | $ | 13,843.11 |
| KINROSS GOLD CORP | 1,693 | $ | 17,108.96 |
| KONINKLIJKE AHOLD N.V. SPONSORED ADR CMN | 1,231 | $ | 15,939.62 |
| MAPFRE, S.A. UNSPONS | 2,903 | $ | 15,276.82 |
| NATIONAL GRID PLC SPONSORED ADR CMN | 286 | $ | 13,348 09 |
| NEW WORLD DEVELOPMENT & CO LTD | 1,717 | $ | 3,829 08 |
| NISSAN MOTOR CO LTD SPONS | 906 | $ | 16,864.81 |
| NSK LTD ADR SPONS | 1,008 | $ | 14,108.77 |
| OCEAN RIG UDW INC | 561 | $ | 9,226 12 |
| ORIX CORPORATION SPONS ADR | 351 | $ | 14,903.74 |
| PRUDENTIAL CORP (ADR) ADR CMN | 891 | $ | 13,029.36 |
| REPSOL SA - ADR SPONS | 700 | $ | 14,200.92 |
| RIO TINTO PLC SPONS ADR | 417 | $ | 19,817 23 |
| ROCHE HOLDING AG ADR B SHS | 529 | $ | 23,034 85 |
| SAFRAN S A | 505 | $ | 17,099.36 |
| SAP AG (SPON ADR) | 134 | $ | 7,207.13 |
| SCHNEIDER ELECTRIC SA UNSPONS | 1,389 | $ | 17,462.43 |
| SHIRE LIMITED SPONS | 154 | $ | 14,919.86 |
| SILICONWARE PRECISION IND CO L SPONSORED ADR | 2,238 | $ | 11,641.07 |
| SSE PLC SPONS | 927 | $ | 20,100.11 |
| SUMITOMO CORPORATION SPONSORED ADR CMN | 1,307 | $ | 16,732.56 |
| SWEDBANK AB | 901 | $ | 12,025.98 |
| SYNGENTA AG SPONSORED ADR CMN | 202 | $ | 12,048.36 |
| TAIWAN SEMICONDUCTOR MFG ADS | 1,595 | $ | 23,025.78 |
| TELENOR ASA | 366 | $ | 17,979.77 |
| TOYOTA MOTOR CORPORATION SPON | 302 | $ | 23,569.25 |
| TULLOW OIL PLC ADR CMN | 1,496 | $ | 15,709.00 |
| UNILEVER | 443 | $ | 14,185.35 |
| VIVENDI ADR | 987 | $ | 17,997.87 |
| YAMANA GOLD INC | 549 | $ | 8,046.02 |
| YANZHOU COAL MINING CO. | 710 | $ | 11,419.54 |
| | | **$** | **987,764.42** |

*Acct #956-0*

| | | | |
|---|---|---|---|
| CASH | | $ | 2,476.46 |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 45,515.20 |
| APPLE, INC. | 187 | $ | 109,109.11 |
| AT&T INC | 5,402 | $ | 202,158.61 |
| BOEING COMPANY | 1,668 | $ | 121,768.37 |
| CHEVRON CORPORATION | 1,495 | $ | 639 80 |
| CISCO SYSTEMS, INC | 6,906 | $ | 131,294.87 |
| E.I. DU PONT DE NEMOURS AND CO | 2,369 | $ | 23.69 |
| EXXON MOBIL CORPORATION | 1,433 | $ | 320.75 |
| GENERAL ELECTRIC CO | 10,659 | $ | 90,424.80 |
| HONEYWELL INTL INC | 1,370 | $ | 81,211.90 |
| JOHNSON & JOHNSON | 3,118 | $ | 177,258.30 |
| JPMORGAN CHASE & CO | 4,979 | $ | 190,118.30 |

| | | | |
|---|---|---|---|
| LOWES COMPANIES INC | 5,431 | $ | 149,790.35 |
| MCDONALDS CORP | 1,274 | $ | 113,860.20 |
| MERCK & CO | 5,245 | $ | 231,661.71 |
| PEPSICO INC | 2,883 | $ | 136,505.74 |
| PFIZER INC | 5,434 | $ | 95,176.51 |
| PHILIP MORRIS INTL | 1,455 | $ | 35,338.28 |
| PPL CORPORATION | 7,260 | $ | 211,347.10 |
| PROCTER & GAMBLE COMPANY | 2,540 | $ | 9,040.25 |
| PRUDENTIAL FINANCIAL INC | 1,280 | $ | 70,297.86 |
| QUALCOMM INC | 2,537 | $ | 156,325.73 |
| THE TRAVELERS COMPANIES, INC | 3,571 | $ | 231,053.06 |
| VIACOM INC CL B | 3,032 | $ | 151,528.78 |
| XILINX INC | 3,147 | $ | 109,191.41 |
| ENI S.P.A. SPON ADR | 4,332 | $ | 195,678.47 |
| HSBC HOLDINGS PLC SPONSORED ADR CMN | 1,839 | $ | 82,006.53 |
| VODAFONE GROUP PLC | 9,211 | $ | 266,785.22 |
| | | **$** | **3,397,907.36** |
| *Acct #176-4* | | | |
| CASH | | $ | 844.06 |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 99,947.94 |
| ADVENT SOFTWARE INC | 2,734 | $ | 64,392.09 |
| ALBEMARLE CORP | 2,367 | $ | 138,600.04 |
| ALEXANDER & BALDWIN | 2,755 | $ | 85,651.05 |
| ALLEGHANY CORP | 160 | $ | 55,450.99 |
| AMERICAN EAGLE OUTFITTERS INC | 3,345 | $ | 74,106.53 |
| ATWOOD OCEANICS INC | 3,083 | $ | 144,001.32 |
| CABELA'S INC | 2,970 | $ | 148,309.22 |
| COLUMBIA SPORTSWEAR COMPANY | 1,266 | $ | 67,221.06 |
| CORRECTIONS CORP OF AMERICA | 4,000 | $ | 132,228.18 |
| EATON VANCE CORP | 5,284 | $ | 146,523.03 |
| ENERGIZER HOLDINGS, INC | 804 | $ | 55,032.41 |
| KAMAN CORP | 2,477 | $ | 84,659 31 |
| KRATON PERFORMNC POLMERS INC | 3,007 | $ | 67,099.76 |
| MARTIN MARIETTA MATERIALS INC | 616 | $ | 49,518.06 |
| MATSON INC | 2,755 | $ | 68,086.05 |
| MBIA INC | 8,786 | $ | 90,117.11 |
| MICREL INC | 8,252 | $ | 83,729.99 |
| MONTPELIER RE HOLDINGS LTD | 4,631 | $ | 100,006.97 |
| NEWMARKET CORP | 596 | $ | 151,169.14 |
| NU SKIN ENTERPRISES INC | 2,796 | $ | 121,955.68 |
| OLD DOMINION FGHT LINES INC | 4,827 | $ | 146,870.15 |
| PRICESMART INC | 1,870 | $ | 138,776.00 |
| SERVICE CORP INTERNATL | 9,961 | $ | 132,426.37 |
| STURM, RUGER & COMPANY INC | 1,120 | $ | 51,966.38 |
| TEJON RANCH CO | 2,508 | $ | 71,687.03 |
| TENET HEALTHCARE CORP | 3,767 | $ | 80,127.19 |
| TREDEGAR CORPORATION | 3,210 | $ | 50,298 49 |
| VALUECLICK INC ORD | 6,125 | $ | 100,365.39 |
| WHITE MTNS INS GROUP LTD | 166 | $ | 86,173 31 |
| WORLD FUEL SERVICES CORP | 2,383 | $ | 87,240.27 |
| FIRST INDUSTRIAL REALTY TRUST | 5,024 | $ | 64,918.09 |
| RITCHIE BROS. AUCTIONEERS INC | 3,266 | $ | 61,387.52 |
| | | **$** | **3,100,886.18** |
| *Acct #178-0* | | | |
| CASH | | $ | 1,823 00 |

| | | | |
|---|---|---|---|
| GOLDMAN SACHS BANK DEPOSIT | | $ | 108,213.98 |
| AMERICAN INTL GROUP INC | 6,000 | $ | 205,629.02 |
| APPLIED MATERIALS INC | 24,000 | $ | 283,047.00 |
| BOEING COMPANY | 3,200 | $ | 233,260.97 |
| CARMAX, INC | 6,000 | $ | 183,513.84 |
| CARNIVAL CORPORATION | 7,000 | $ | 248,061.98 |
| COMCAST CORPORATION CL A | 2,500 | $ | 84,100.50 |
| DELPHI AUTOMOTIVE | 6,000 | $ | 179,872.48 |
| DIEBOLD INCORPORATED | 5,000 | $ | 166,810.52 |
| DRESSER-RAND GROUP | 2,500 | $ | 126,933.35 |
| FRANKLIN RESOURCES | 1,700 | $ | 203,902.98 |
| ILLINOIS TOOL WORKS | 3,500 | $ | 204,015.63 |
| INTEL CORPORATION | 12,500 | $ | 311,487.20 |
| JPMORGAN CHASE & CO | 6,500 | $ | 248,563.19 |
| NATIONAL OILWELL VARCO, INC | 2,500 | $ | 186,453.22 |
| PENN NATIONAL GAMING INC | 4,000 | $ | 156,063.04 |
| TIFFANY & CO | 3,000 | $ | 181,428 75 |
| VISA INC | 1,600 | $ | 208,465.28 |
| WELLS FARGO & CO | 7,500 | $ | 257,225.31 |
| STARWOOD HOTELS & RESORTS | 4,000 | $ | 226,383.91 |
| | | **$** | **4,005,255.15** |
| *Acct #180-6* | | | |
| CASH | | $ | 2,300.00 |
| GOLDMAN SACHS BANK DEPOSIT | | $ | 111,080.99 |
| 3M COMPANY | 1,175 | $ | 92,331.50 |
| ALTERA CORP | 2,300 | $ | 81,708.49 |
| APACHE CORP | 1,675 | $ | 148,987.74 |
| BERKSHIRE HATHAWAY INC | 3,400 | $ | 291,414.51 |
| COCA-COLA COMPANY | 4,850 | $ | 187,850.27 |
| COMCAST CORPORATION CL A | 5,000 | $ | 168,215.25 |
| ECOLAB INC | 2,600 | $ | 167,412.57 |
| FIDELITY NATL INFO SVCS INC | 2,625 | $ | 83,507.44 |
| GOOGLE, INC. | 200 | $ | 134,173.00 |
| LIBERTY GLOBAL, INC | 3,100 | $ | 163,545 40 |
| LOEWS CORPORATION | 3,600 | $ | 147,037.14 |
| MICROSOFT CORPORATION | 7,300 | $ | 219,267.14 |
| MONDELEZ INTERNATIONAL INC | 4,836 | $ | 72,710.68 |
| MORGAN STANLEY | 11,000 | $ | 163,325.51 |
| NEWS CORPORATION | 6,050 | $ | 145,107.50 |
| NOBLE ENERGY INC | 2,250 | $ | 205,792.80 |
| ORACLE CORPORATION | 5,550 | $ | 175,639.15 |
| PEPSICO INC | 2,026 | $ | 97,957.10 |
| PRAXAIR, INC | 1,275 | $ | 147,580.83 |
| THERMO FISHER SCIENTIFIC INC | 1,425 | $ | 82,853.17 |
| UNITEDHEALTH GROUP INC | 2,700 | $ | 144,809.35 |
| W.R. BERKLEY CORPORATION | 2,300 | $ | 86,030.45 |
| WAL MART STORES INC | 2,450 | $ | 180,326.33 |
| AON PLC | 4,100 | $ | 211,605.02 |
| NESTLE SA SPONSORED ADR | 2,025 | $ | 125,155.15 |
| | | **$** | **3,837,724.48** |
| **TOTAL 2013 BEGINNING BOOK VALUE** | | **$** | **19,370,018.40** |

## LESLEY A WALDHEIM FOUNDATION 2013 MONTHLY AVERAGE BALANCE

| | GS | Gain/Loss | Cash | Securities | Cash | Securities | Cash | Securities | Cash | Securities | Cash | Securities | Cash | Securities | Cash | Securities |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Value | YTD | 028-3 | 028-3 | 074-3 | 074-3 | 090-9 | 090-9 | 956-0 | 956-0 | 176-4 | 176-4 | 178 0 | 178 0 | 180-6 | 180-6 |
| Jan | 21,636,116 90 | | 17,549 70 | 3,243,301 53 | 26,608 83 | 1,079,909 14 | - | 1 398 794 21 | 47,991 66 | 4 350 319 38 | 100,792 00 | 3,117,834 13 | 110 036 98 | 4 061,935 40 | 113 380 99 | 3 967,662 95 |
| Feb | 22,788,874 35 | | 11,015 77 | 3,371,460 32 | 23,193 50 | 1,126 358 85 | - | 1 473 346 41 | 56 999 36 | 4 590,260 26 | 49 360 35 | 3,413,249 74 | 111 048 23 | 4 252 073 06 | 100,261 18 | 4 210 347 32 |
| March | 22,267,895 66 | | 254,616 03 | 3,304,544 33 | 14 529 29 | 726 071 07 | - | 1 480 226 56 | 104 599 52 | 4 556 429 98 | 103 884 13 | 3 417 763 12 | 238 205 49 | 3,676 922 27 | 57,903 48 | 4 332,200 39 |
| April | 22,900,283 91 | | 201,000 39 | 3,318,480 54 | 25,476 61 | 716,050 55 | - | 1,512,225 22 | 118,685 32 | 4 698 375 27 | 107,746 85 | 3 597 012 27 | 42 616 44 | 4,033 349 59 | 11,035 42 | 4,518 229 44 |
| May | 23,346,917 48 | | 196,977 95 | 3,384,522 50 | 18,705 57 | 755 247 97 | - | 1,540,557 13 | 117,326 72 | 4,822,713 65 | 101,218 75 | 3 585,684 39 | 121,829 50 | 4 094,754 00 | 76,565 58 | 4 530,813 77 |
| June | 23,778,159 28 | | 158,231 38 | 4,138 343 37 | 411 58 | 655 49 | - | 1,549,179 19 | 124 228 13 | 4 821 663 76 | 103,460 42 | 3,712,489 57 | 247,857 89 | 4,178,377 00 | 33,335 87 | 4 709 925 63 |
| July | 23,519,571 94 | | 669,161 83 | 3,569,875 34 | 271 71 | 148 67 | - | 1,530,328 37 | 139,565 75 | 4,788,133 70 | 106,112 41 | 3,631,660 25 | 194 768 82 | 4,171,168 50 | 14,648 64 | 4,703,727 95 |
| August | 24,540,122 49 | | 163 691 92 | 4,192 369 43 | - | - | - | 1,643 290 10 | 142 657 26 | 5 030 002 72 | 124,032 58 | 3,805,496 98 | 251 180 28 | 4 269 126 50 | 90 861 52 | 4 827,413 20 |
| September | 23,769,377 38 | | 84,990 23 | 4,058,045 15 | - | - | - | 1,634 906 66 | 77,640 25 | 5 001 450 63 | 144,780 51 | 3,543 429 85 | 159 943 55 | 4,241,009 50 | 93,953 77 | 4,729,227 28 |
| October | 24,309 513 98 | | 93,466 19 | 3 816,197 06 | - | - | - | 1,722 034 02 | 91,951 19 | 5,140 295 40 | 91,208 55 | 3 719 973 62 | 257 840 63 | 4 351,004 00 | 100 968 65 | 4 924 574 67 |
| November | 25,165,899 00 | | 782 091 89 | 3,193,097 36 | - | - | - | 1,773,464 13 | 98,178 46 | 5 331,174 73 | 83,970 69 | 3,918 636 66 | 95,888 39 | 4 638 724 00 | 87 798 21 | 5,162 874 48 |
| December | 25,774,453 83 | 4 138,336 93 | 775 677 51 | 3 218,018 77 | - | - | - | 1 809,105 70 | 95,938 21 | 5 453,579 81 | 86,329 51 | 4 082,398 57 | 399,764 91 | 4 446,169 50 | 89 819 42 | 5 317,651 92 |
| | | | | | | | | | | | | | | | | |
| Average Value | 23,649,765 52 | | 284 039 23 | 3,567,354 64 | 9,099 76 | 367,036 81 | - | 1 588,954 81 | 101,305 15 | 4 882,033 27 | 100 241 40 | 3 628 802 43 | 185 915 09 | 4,201,217 78 | 72 544 39 | 4 661,220 75 |
| | | | | | | | | | | | | | | | | |
| Total Average Value | 23 649,765 52 | | | | | | | | | | | | | | | |
| Total Average Cash Value | 753,145 03 | | | | | | | | | | | | | | | |
| Total Average Securities | 22,896,620 49 | | | | | | | | | | | | | | | |
| Total Distributions | 1,183,000 00 | | | | | | | | | | | | | | | |
| Percentage distributed | 5 00% | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | |
| 5% of assets | 1,182,488 28 | | | | | | | | | | | | | | | |

*All values are as of the 1st of the month*

## LESLEY A WALDHEIM FOUNDATION 2013 DISTRIBUTIONS

| Date | | Entity | Amount |
|---|---|---|---|
| 2/12/2013 | | Hot City Theatre | 10 000 00 |
| 2/12/2013 | | New Line Theatre | 10,000 00 |
| 2/12/2013 | | Washington University (for use by John Constantino in prevention of sexual abuse in children) | 200,000 00 |
| 2/12/2013 | | Access Academies | 100,000 00 |
| 2/12/2013 | | Places for People | 100 000 00 |
| 2/12/2013 | | Matthews Dickey | 100,000 00 |
| 2/12/2013 | | St Louis Symphony | 100,000 00 |
| 2/12/2013 | | St Louis Area Food Bank (in memory of John Musser) | 100 000 00 |
| 3/13/2013 | | Meals on Wheels | 50,000 00 |
| 5/13/2013 | | Opera Theatre of St Louis | 50,000 00 |
| 9/24/2013 | | Energy Care | 15,000 00 |
| 9/24/2013 | | Eyecare Charity of Mid-America | 35,000 00 |
| 9/24/2013 | | Meals on Wheels | 50,000 00 |
| 9/24/2013 | | Places for People | 100 000 00 |
| 9/24/2013 | | Pony Bird, Inc | 35 000 00 |
| 9/24/2013 | | Ranken Jordan Children's Hospital | 100,000 00 |
| 12/23/2012 | | Places for People | 28,000 00 |
| | | TOTAL | $ 1 183,000 |