



See a Social Security Number? Say Something!  
Report Privacy Problems to <https://public.resource.org/privacy>  
Or call the IRS Identity Theft Hotline at 1-800-908-4490



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

Department of the Treasury  
Internal Revenue Service

▶ 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](http://www.irs.gov/form990pf).

**For calendar year 2013 or tax year beginning , 2013, and ending , 20**

Name of foundation <b>Carol E Dice Memorial Foundation</b>		<b>A</b> Employer identification number <b>45-1769542</b>
Number and street (or P.O. box number if mail is not delivered to street address) <b>295 Cardens Cove Road</b>	Room/suite	<b>B</b> Telephone number (see instructions) <b>503-436-0146</b>
City or town, state or province, country, and ZIP or foreign postal code <b>Timberlake, N.C. 27583</b>		<b>C</b> If exemption application is pending, check here <input type="checkbox"/>
<b>G</b> Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		<b>D</b> 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
<b>H</b> Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		<b>E</b> If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
<b>I</b> Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ <b>284,662</b> (Part I, column (d) must be on cash basis)		<b>F</b> If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>
<b>J</b> Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify)		

<b>Part I Analysis of Revenue and Expenses</b> (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)
<b>Revenue</b>	<b>1</b> Contributions, gifts, grants, etc., received (attach schedule) Check <input type="checkbox"/> if the foundation is not required to attach Sch. B	0			
	<b>3</b> Interest on savings and temporary cash investments	0	0	N/A	
	<b>4</b> Dividends and interest from securities	4430	0	N/A	
	<b>5a</b> Gross rents	0	0	N/A	
	<b>b</b> Net rental income or (loss)				
	<b>6a</b> Net gain or (loss) from sale of assets not on line 10				
	<b>b</b> Gross sales price for all assets on line 6a				
	<b>7</b> Capital gain net income (from Part IV, line 2)		8068		
	<b>8</b> Net short-term capital gain			N/A	
	<b>9</b> Income modifications			N/A	
	<b>10a</b> Gross sales less returns and allowances				
	<b>b</b> Less: Cost of goods sold				
<b>c</b> Gross profit or (loss) (attach schedule)	0		N/A		
<b>11</b> Other income (attach schedule)	0	0	N/A		
<b>12</b> <b>Total.</b> Add lines 1 through 11	4430	8068	N/A		
<b>Operating and Administrative Expenses</b>	<b>13</b> Compensation of officers, directors, trustees, etc	0	0	N/A	
	<b>14</b> Other employee salaries and wages	0	0	N/A	
	<b>15</b> Pension plans, employee benefits	0	0	N/A	
	<b>16a</b> Legal fees (attach schedule)	0	0	N/A	
	<b>b</b> Accounting fees (attach schedule)	0	0	N/A	
	<b>c</b> Other professional fees (attach schedule)	0	3879	N/A	
	<b>17</b> Interest	0	0	N/A	
	<b>18</b> Taxes (attach schedule) (see instructions)	0	0	N/A	
	<b>19</b> Depreciation (attach schedule) and depletion	0	0	N/A	
	<b>20</b> Occupancy	0	0	N/A	
	<b>21</b> Travel, conferences, and meetings	0	0	N/A	
	<b>22</b> Printing and publications	0	0	N/A	
	<b>23</b> Other expenses (attach schedule)	0	0	N/A	
	<b>24</b> <b>Total operating and administrative expenses.</b> Add lines 13 through 23	0	3879	N/A	
<b>25</b> Contributions, gifts, grants paid	9160			9160	
<b>26</b> <b>Total expenses and disbursements.</b> Add lines 24 and 25	9160	3879	N/A	9160	
<b>27</b> Subtract line 26 from line 12:					
<b>a</b> Excess of revenue over expenses and disbursements	-4730				
<b>b</b> Net investment income (if negative, enter -0-)		4189			
<b>c</b> Adjusted net income (if negative, enter -0-)			N/A		

053 RECEIVED  
AY 2014  
OGDEN UT

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	12799	3639	3639
	2	Savings and temporary cash investments	0	0	0
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶	0	0	0
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶	0	0	0
	5	Grants receivable	0	0	0
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)	0	0	0
	7	Other notes and loans receivable (attach schedule) ▶			
		Less: allowance for doubtful accounts ▶	0	0	0
	8	Inventories for sale or use	0	0	0
	9	Prepaid expenses and deferred charges	0	0	0
	10a	Investments—U.S. and state government obligations (attach schedule)	0	0	0
	b	Investments—corporate stock (attach schedule)	0	0	0
	c	Investments—corporate bonds (attach schedule)	0	0	0
	11	Investments—land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation (attach schedule) ▶	0	0	0	
12	Investments—mortgage loans	0	0	0	
13	Investments—other (attach schedule)	259123	281023	281023	
14	Land, buildings, and equipment basis ▶				
	Less: accumulated depreciation (attach schedule) ▶	0	0	0	
15	Other assets (describe ▶ )	0	0	0	
16	<b>Total assets</b> (to be completed by all filers—see the instructions. Also, see page 1, item I)	271922	284662	284662	
Liabilities	17	Accounts payable and accrued expenses	0	0	
	18	Grants payable	0	0	
	19	Deferred revenue	0	0	
	20	Loans from officers, directors, trustees, and other disqualified persons	0	0	
	21	Mortgages and other notes payable (attach schedule)	0	0	
	22	Other liabilities (describe ▶ )	0	0	
	23	<b>Total liabilities</b> (add lines 17 through 22)	0	0	
Net Assets or Fund Balances	<b>Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.</b> <input checked="" type="checkbox"/>				
	24	Unrestricted	271922	284662	
	25	Temporarily restricted	0	0	
	26	Permanently restricted	0	0	
	<b>Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.</b> <input type="checkbox"/>				
	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	<b>Total net assets or fund balances</b> (see instructions)	271922	284662		
31	<b>Total liabilities and net assets/fund balances</b> (see instructions)	271922	284662		

**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	271922
2	Enter amount from Part I, line 27a	2	-4730
3	Other increases not included in line 2 (itemize) ▶ Net Invest Income+Realized & UnRealized CapGain	3	17470
4	Add lines 1, 2, and 3	4	284662
5	Decreases not included in line 2 (itemize) ▶	5	0
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	284662

**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.)
<b>1a</b>	See Attached Pershing Statement for Account ending in 8690	D	VAR	VAR
<b>b</b>	See Attached Pershing Statement for Account ending in 8682	D	VAR	VAR
<b>c</b>	See Attached Pershing Statement for Account ending in 8708	D	VAR	VAR
<b>d</b>				
<b>e</b>				
(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)	
<b>a</b>	404369	0	402764	4454
<b>b</b>	5838	0	5085	753
<b>c</b>	57468	0	54612	2861
<b>d</b>				
<b>e</b>				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69				(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any		
<b>a</b>				
<b>b</b>				
<b>c</b>				
<b>d</b>				
<b>e</b>				
<b>2</b>	Capital gain net income or (net capital loss) $\left\{ \begin{array}{l} \text{If gain, also enter in Part I, line 7} \\ \text{If (loss), enter -0- in Part I, line 7} \end{array} \right\}$	<b>2</b>		8068
<b>3</b>	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	<b>3</b>		0

**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	11326	0	0
2011	NA	NA	NA
2010	NA	NA	NA
2009	NA	NA	NA
2008	NA	NA	NA

<b>2</b>	Total of line 1, column (d)	<b>2</b>	0
<b>3</b>	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	<b>3</b>	0
<b>4</b>	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	<b>4</b>	0
<b>5</b>	Multiply line 4 by line 3	<b>5</b>	0
<b>6</b>	Enter 1% of net investment income (1% of Part I, line 27b)	<b>6</b>	42
<b>7</b>	Add lines 5 and 6	<b>7</b>	42
<b>8</b>	Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	<b>8</b>	9160

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

<b>1a</b>	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter <b>(attach copy of letter if necessary—see instructions)</b>			
<b>b</b>	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b	<b>1</b>	42	00
<b>c</b>	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
<b>2</b>	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>2</b>	0	
<b>3</b>	Add lines 1 and 2	<b>3</b>	42	00
<b>4</b>	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	<b>4</b>	0	
<b>5</b>	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-	<b>5</b>	42	00
<b>6</b>	<b>Credits/Payments:</b>			
<b>a</b>	2013 estimated tax payments and 2012 overpayment credited to 2013	<b>6a</b>	0	
<b>b</b>	Exempt foreign organizations—tax withheld at source	<b>6b</b>	0	
<b>c</b>	Tax paid with application for extension of time to file (Form 8868)	<b>6c</b>	0	
<b>d</b>	Backup withholding erroneously withheld	<b>6d</b>	0	
<b>7</b>	Total credits and payments. Add lines 6a through 6d	<b>7</b>	0	
<b>8</b>	Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	<b>8</b>	0	
<b>9</b>	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>	<b>9</b>	42	00
<b>10</b>	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>	<b>10</b>	0	
<b>11</b>	Enter the amount of line 10 to be. <b>Credited to 2014 estimated tax</b> <b>Refunded</b>	<b>11</b>	0	

**Part VII-A Statements Regarding Activities**

	Yes	No
<b>1a</b> 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?		<input checked="" type="checkbox"/>
<b>b</b> Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? <i>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.</i>		<input checked="" type="checkbox"/>
<b>c</b> Did the foundation file <b>Form 1120-POL</b> for this year?		<input checked="" type="checkbox"/>
<b>d</b> Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: <b>(1)</b> On the foundation. ▶ \$ _____ <b>(2)</b> On foundation managers. ▶ \$ _____		
<b>e</b> Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ _____		
<b>2</b> Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>		<input checked="" type="checkbox"/>
<b>3</b> 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? <i>If "Yes," attach a conformed copy of the changes.</i>		<input checked="" type="checkbox"/>
<b>4a</b> Did the foundation have unrelated business gross income of \$1,000 or more during the year?		<input checked="" type="checkbox"/>
<b>b</b> If "Yes," has it filed a tax return on <b>Form 990-T</b> for this year?		
<b>5</b> Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>		
<b>6</b> 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?	<input checked="" type="checkbox"/>	
<b>7</b> Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV</i>	<input checked="" type="checkbox"/>	
<b>8a</b> Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ North Carolina		
<b>b</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 <i>General Instruction G</i> ? <i>If "No," attach explanation.</i>	<input checked="" type="checkbox"/>	
<b>9</b> 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)? <i>If "Yes," complete Part XIV.</i>		<input checked="" type="checkbox"/>
<b>10</b> Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>		<input checked="" type="checkbox"/>

**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		✓
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		✓
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶	13	✓	
14	The books are in care of ▶ Charles A Dice Telephone no. ▶ 503-436-0146 Located at ▶ 31911 Clatsop Lane, Arch Cape, OR ZIP+4 ▶ 97102			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here. ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ▶ 15			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶	16	Yes	No ✓

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a	During the year did the foundation (either directly or indirectly):		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ▶ <input type="checkbox"/>	1b	
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c	✓
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years ▶ 20 , 20 , 20 , 20 <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b	✓
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ 20 , 20 , 20 , 20		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (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	✓
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	✓

**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**

*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
Charles A. Dice 31911 Clatsop Lane, Arch Cape, OR 97102	President 1 Hr/Wk	0	0	0
Theresa P Dice 31911 Clatsop Lane, Arch Cape, OR 97102	Treasurer 0 5 Hr/Wk	0	0	0
Toretta Snipes 295 Cardens Cove Road, Timberlake, NC 27583	Secretary 0 5 Hr/Wk	0	0	0
Erik Dyce 3845 South Jersey Street, Denver, CO	Director 0 25 Hr/Wk	0	0	0

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

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

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

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

**3 Five highest-paid independent contractors for professional services (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
<b>1</b> Provided support for Special Needs Students at Duplin County Schools In Duplin County N C Support includes, iPads, running Shoes	9160
<b>2</b>	
<b>3</b>	
<b>4</b>	

**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
<b>1</b> NONE	
<b>2</b>	
<b>3</b> All other program-related investments See instructions	
<b>Total.</b> Add lines 1 through 3 . . . . . ▶	

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

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

**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.)

<b>1</b>	Minimum investment return from Part X, line 6 . . . . .	<b>1</b>	0
<b>2a</b>	Tax on investment income for 2013 from Part VI, line 5 . . . . .	<b>2a</b>	42
<b>b</b>	Income tax for 2013 (This does not include the tax from Part VI) . . . . .	<b>2b</b>	0
<b>c</b>	Add lines 2a and 2b . . . . .	<b>2c</b>	42
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1 . . . . .	<b>3</b>	0
<b>4</b>	Recoveries of amounts treated as qualifying distributions . . . . .	<b>4</b>	0
<b>5</b>	Add lines 3 and 4 . . . . .	<b>5</b>	0
<b>6</b>	Deduction from distributable amount (see instructions) . . . . .	<b>6</b>	0
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 . . . . .	<b>7</b>	0

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26 . . . . .	<b>1a</b>	9160
<b>b</b>	Program-related investments—total from Part IX-B . . . . .	<b>1b</b>	0
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes . . . . .	<b>2</b>	0
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the		
<b>a</b>	Suitability test (prior IRS approval required) . . . . .	<b>3a</b>	0
<b>b</b>	Cash distribution test (attach the required schedule) . . . . .	<b>3b</b>	0
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 . . . . .	<b>4</b>	9160
<b>5</b>	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) . . . . .	<b>5</b>	42
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4 . . . . .	<b>6</b>	9118

**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
<b>1</b> Distributable amount for 2013 from Part XI, line 7 . . . . .				
<b>2</b> Undistributed income, if any, as of the end of 2013:				
<b>a</b> Enter amount for 2012 only . . . . .			0	
<b>b</b> Total for prior years: 20____, 20____, 20____		0		
<b>3</b> Excess distributions carryover, if any, to 2013:				
<b>a</b> From 2008 . . . . .	0			
<b>b</b> From 2009 . . . . .	0			
<b>c</b> From 2010 . . . . .	0			
<b>d</b> From 2011 . . . . .	0			
<b>e</b> From 2012 . . . . .	0			
<b>f</b> Total of lines 3a through e . . . . .	0			
<b>4</b> Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ <u>9160</u>				
<b>a</b> Applied to 2012, but not more than line 2a . . . . .			0	
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions) . . . . .		0		
<b>c</b> Treated as distributions out of corpus (Election required—see instructions) . . . . .	0			
<b>d</b> Applied to 2013 distributable amount . . . . .				0
<b>e</b> Remaining amount distributed out of corpus . . . . .	0			
<b>5</b> Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a) )	0			0
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5 . . . . .	0			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b . . . . .		0		
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed . . . . .			0	
<b>d</b> Subtract line 6c from line 6b. Taxable amount—see instructions . . . . .		0		
<b>e</b> Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount—see instructions . . . . .			0	
<b>f</b> Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014 . . . . .				0
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) . . . . .	0			
<b>8</b> Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . . . .	0			
<b>9</b> Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a . . . . .	0			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2009 . . . . .	0			
<b>b</b> Excess from 2010 . . . . .	0			
<b>c</b> Excess from 2011 . . . . .	0			
<b>d</b> Excess from 2012 . . . . .	0			
<b>e</b> Excess from 2013 . . . . .	0			

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

NONE

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

NONE

**2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**  
 Check here  if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

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

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

**c** Any submission deadlines.

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

**Part XV Supplementary Information (continued)**

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a</b> <i>Paid during the year</i> Duplin County Schools 315 N Main Street, Kenansville, NC 28349			iPads and running shoes  for Special Needs Student	9160
<b>Total</b> . . . . . ▶ <b>3a</b>				9160
<b>b</b> <i>Approved for future payment</i>				
<b>Total</b> . . . . . ▶ <b>3b</b>				0



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

- 1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code... 1a(1) Cash... 1a(2) Other assets... 1b(1) Sales of assets... 1b(2) Purchases of assets... 1b(3) Rental of facilities... 1b(4) Reimbursement arrangements... 1b(5) Loans or loan guarantees... 1b(6) Performance of services... 1c Sharing of facilities...

Table with 4 columns: (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... [ ] Yes [x] No

b If "Yes," complete the following schedule

Table with 3 columns: (a) Name of organization, (b) Type of organization, (c) Description of relationship

Sign Here Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge. Signature of officer or trustee: [Signature], Date: 4/30/2014, Title: President

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

Paid Preparer Use Only Form fields: Print/Type preparer's name, Preparer's signature, Date, Check [ ] if self-employed, PTIN, Firm's name, Firm's address, Firm's EIN, Phone no

Pershing Advisor Solutions LLC, a BNY Mellon company  
 One Pershing Plaza, Jersey City, NJ 07399  
 (877) 870-7230  
 Member FINRA, SIPC

Account Number: ██████████ 8690  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**Recipient's Name and Address:**

CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)  
 31911 CLATSOP LN  
 ARCH CAPE OR 97102-0151

**Your Investment Advisor:**

CHARLES A. DICE  
 FINANCIAL AFFAIRS LLC  
 31911 CLATSOP LANE  
 ARCH CAPE OR 97102-0151  
 (503) 436-0146  
 ID: GQC

**Payer Information:**

PERSHING LLC  
 Federal Identification  
 Number: 13-2741729

**See page 2 if you are expecting another tax statement.**

**This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.**

2013-1099-B Summary of Form 1099-B		OMB No. 1545-0112
Box	Amount	
1	404,369.17	
3	402,764.10	
4	0.00	
5	0.00	
6	0.00	
7	0.00	
8	0.00	
9	0.00	
10	0.00	
11	0.00	

2013-1099-DIV Dividends and Distributions		OMB No. 1545-0110
Box	Amount	
1a	3,101.40	
1b	2,399.73	
2a	0.00	
2b	0.00	
2c	0.00	
2d	0.00	
3	0.00	
4	0.00	
5	0.00	
6	73.57	
8	0.00	
9	0.00	
10	0.00	
11	0.00	
12/13/14	State ID# /State Tax Withheld	

2013-1099-INT Interest Income		OMB No. 1545-0112
Box	Amount	
1	0.00	
3	0.00	
4	0.00	
5	0.00	
6	0.00	
8	0.00	
9	0.00	
10	0.00	
11/12/13	State ID# /State Tax Withheld	

2013-1099-OID Summary of Form 1099-OID		OMB No. 1545-0110
Box	Amount	
1	0.00	
3	0.00	
4	0.00	
5	0.00	
6	0.00	
8	0.00	
9	0.00	
10	0.00	
11/12/13	State ID# /State Tax Withheld	



007416 X58B2F04 000304

Account Number: 8690

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Recipient's Name and Address:

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Recipient's Identification  
Number: 45-1769542

**IMPORTANT MESSAGE:** We send tax statements when information is finalized by securities issuers. If information is pending from issuers, you and members of your household may receive tax statement(s) at different times. Tax statement mailings will occur by January 31, February 18, February 28 and March 17, depending on when final information for your account is received from issuers. If you have any questions, please visit mytaxhandbook.com.

**Summary Of Transactions We Do Not Report To The IRS (See instructions for additional information)**

Advisory Fees \_\_\_\_\_ **Amount**  
**(2,716.97)**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0716**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 3b or 9)

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjusted Wash Sale Loss (Box 5)	Realized Gain or (Loss)
-------------------------	--------------------	-------------------	------------------------------	-----------------------------------	--	-----------------------------	---------------------------------	-------------------------

**Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.  
Covered (Box 6b)**

CUSIP: 00203H107								
Description (Box 6)	AQR DIVERSIFIED ARBI TRAGE FUND CLASS N							
SELL	FIRST IN FIRST OUT	445.046	04/18/2012	03/05/2013	4,926.66	4,917.76		8.90
SELL	FIRST IN FIRST OUT	3.801	12/17/2012	03/05/2013	42.08	41.73		0.35
SELL	FIRST IN FIRST OUT	2.135	12/17/2012	03/05/2013	23.63	23.44		0.19
<b>SALE DATE TOTAL</b>		<b>450.982</b>	<b>VARIOUS</b>	<b>03/05/2013</b>	<b>4,992.37</b>	<b>4,982.93</b>		<b>9.44</b>
CUSIP: 09256H211								
Description (Box 6)	BLACKROCK FLOATING RATE INCOME PORTFOLIO CLASS A							
SELL	VERSUS PURCHASE	96.022	04/18/2012	03/05/2013	1,003.43	985.18		18.25
SELL	VERSUS PURCHASE	.119	04/30/2012	03/05/2013	1.24	1.22		0.02
SELL	VERSUS PURCHASE	340	05/31/2012	03/05/2013	3.55	3.49		0.06

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 8690  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) O=Option Premium	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
<b>Description (Box 8): BLACKROCK FLOATING RATE INCOME PORTFOLIO CLASS A</b>								
SELL	VERSUS PURCHASE	.348	06/29/2012	03/05/2013	3.64	3.59		0.05
Wash sale: 51 day(s) added to holding period								
SELL	VERSUS PURCHASE	.357	07/31/2012	03/05/2013	3.73	3.66		0.07
SELL	VERSUS PURCHASE	.363	08/31/2012	03/05/2013	3.79	3.74		0.05
SELL	VERSUS PURCHASE	.351	09/28/2012	03/05/2013	3.67	3.64		0.03
SELL	VERSUS PURCHASE	.317	10/31/2012	03/05/2013	3.31	3.29		0.02
SELL	VERSUS PURCHASE	.320	11/30/2012	03/05/2013	3.34	3.32		0.02
SELL	VERSUS PURCHASE	.180	12/24/2012	03/05/2013	1.88	1.87		0.01
SELL	VERSUS PURCHASE	.333	12/31/2012	03/05/2013	3.48	3.46		0.02
<b>SALE DATE TOTAL</b>					<b>1,035.06</b>	<b>1,016.46</b>		<b>18.60</b>
SELL	HIGH COST	.279	03/05/2013	03/18/2013	2.93	2.91		0.02
<b>SECURITY TOTAL</b>					<b>1,037.99</b>	<b>1,019.37</b>		<b>18.62</b>
<b>Description (Box 9): DWS FLOATING RATE FUND CLASS S</b>								
SELL	FIRST IN FIRST OUT	105.460	04/18/2012	03/05/2013	997.65	979.40		18.25
SELL	FIRST IN FIRST OUT	.442	04/24/2012	03/05/2013	4.18	4.09		0.09
SELL	FIRST IN FIRST OUT	.448	05/24/2012	03/05/2013	4.24	4.16		0.08

807416 X58BZ-04 00305



Recipient's Name and Address

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 8690

Recipient's Identification  
Number: 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

**2013 Form 1099-B**

**Proceeds From Broker and Barter Exchange Transactions**

OMB No. 1545-0735 (Continued)

(For individuals report details on Form 1040 Schedule D, Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W-Wash Sale Loss (Box 5) 0-Option Premiums (Less)	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>CUSIP: 23337F888 (continued)</b>								
Description (Box 0): DWS FLOATING RATE FUND CLASS S								
SELL	Wash sale: 51 day(s) added to holding period FIRST IN FIRST OUT	.443	06/25/2012	03/05/2013	4.19	4.11		0.08
SELL	Wash sale: 51 day(s) added to holding period FIRST IN FIRST OUT	.444	07/25/2012	03/05/2013	4.20	4.10		0.10
SELL	FIRST IN FIRST OUT	.444	08/27/2012	03/05/2013	4.20	4.12		0.08
SELL	FIRST IN FIRST OUT	.440	09/24/2012	03/05/2013	4.16	4.12		0.04
SELL	FIRST IN FIRST OUT	.441	10/25/2012	03/05/2013	4.17	4.14		0.03
SELL	FIRST IN FIRST OUT	.445	11/26/2012	03/05/2013	4.21	4.16		0.05
SELL	FIRST IN FIRST OUT	.446	12/11/2012	03/05/2013	4.22	4.17		0.05
SELL	FIRST IN FIRST OUT	.442	01/25/2013	03/05/2013	4.18	4.18		0.00
SELL	FIRST IN FIRST OUT	.444	02/22/2013	03/05/2013	4.21	4.19		0.02
SALE DATE TOTAL		110.339	VARIOUS	03/05/2013	1,043.81	1,024.94		18.87
<b>CUSIP: 36191E862</b>								
Description (Box 0): *GUIDEMARK OPPORTUNI STIC FIXED INCOME FUND SERVICE CLASS								
SELL	FIRST IN FIRST OUT	2,671.960	04/18/2012	03/05/2013	27,815.11	25,811.14		2,003.97
SELL	FIRST IN FIRST OUT	19,550	06/21/2012	03/05/2013	203.52	189.24		14.28
SELL	Wash sale: 51 day(s) added to holding period FIRST IN FIRST OUT	2.157	06/21/2012	03/05/2013	22.45	20.51		1.94

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 6690

Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds		Cost or Other Basis (Box 3)	Adjustments		Realized Gain or Loss (Less)
					Less Commissions and Option Premiums (Box 2a)	0-Option Premium		W-Wash Sale Loss (Box 5)	0-Option Premium (Less)	

**Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.**

**Covered (Box 6b) (continued)**

**Description (Box 8): \*GUIDEMARK OPPORTUNI STIC FIXED INCOME FUND SERVICE CLASS**

CUSIP: 36191E862 (continued)

SELL	FIRST IN FIRST OUT	23.296	09/20/2012	03/05/2013		242.51	232.49			10.02
SELL	FIRST IN FIRST OUT	19.641	12/27/2012	03/05/2013		204.46	200.34			4.12
SALE DATE TOTAL		2,736.604	VARIOUS	03/05/2013		28,488.05	26,453.72			2,034.33

**Description (Box 8): \*GUIDEMARK LARGE CAP GROWTH FUND**

CUSIP: 36191K108

SELL	FIRST IN FIRST OUT	302.882	04/18/2012	03/05/2013		3,316.56	3,162.09			154.47
SELL	FIRST IN FIRST OUT	550	12/27/2012	03/05/2013		6.02	5.59			0.43
SALE DATE TOTAL		303.432	VARIOUS	03/05/2013		3,322.58	3,167.68			154.90

**Description (Box 8): \*GUIDEMARK LARGE CAP VALUE FUND**

CUSIP: 36191K306

SELL	FIRST IN FIRST OUT	437.824	04/18/2012	03/05/2013		4,080.52	3,616.43			464.09
SELL	FIRST IN FIRST OUT	6.100	12/27/2012	03/05/2013		56.85	52.03			4.82
SALE DATE TOTAL		443.924	VARIOUS	03/05/2013		4,137.37	3,668.46			468.91

**Description (Box 8): \*GUIDEMARK WORLD EX- U.S. FUND**

CUSIP: 36191K702

SELL	FIRST IN FIRST OUT	405.951	04/18/2012	03/05/2013		3,284.14	2,999.98			284.16
SELL	FIRST IN FIRST OUT	610.899	06/08/2012	03/05/2013		4,942.17	4,105.24			836.93
SELL	FIRST IN FIRST OUT	7.294	12/27/2012	03/05/2013		59.01	57.11			1.90
SALE DATE TOTAL		1,024.144	VARIOUS	03/05/2013		8,285.32	7,162.33			1,122.99

937416 K58827F04 000306

4-2-8 (REV. 3-11-13)

TEFRA ROLL

▶ **GO paperless**  
Ask about e-delivery



Recipient's Name and Address:

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 8690

Recipient's Identification  
Number: 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individual report details on Form 1040 Schedule D Line 1b, 2, 2b or 8)

Disposition Transaction	Quantity (Box 1c)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments		Realized Gain or (Loss)
						W-Wash Sale Loss (Box 5)	0-Option Premium (Less)	

**Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.**

**Covered (Box 6b) (continued)**

**Description (Box 8): \*GUIDEMARK CORE FIVE D INCOME FUND**

SELL	FIRST IN FIRST OUT	3,637.971	04/18/2012	03/05/2013	36,052.29	35,870.39		181.90
SELL	FIRST IN FIRST OUT	15.790	06/21/2012	03/05/2013	156.48	156.79		(0.31)
SELL	FIRST IN FIRST OUT	10.371	09/20/2012	03/05/2013	102.78	104.12		(1.34)
SELL	FIRST IN FIRST OUT	18.066	12/27/2012	03/05/2013	179.03	179.76		(0.73)
SELL	FIRST IN FIRST OUT	17.831	12/27/2012	03/05/2013	176.71	177.42		(0.71)
SELL	FIRST IN FIRST OUT	19.937	12/27/2012	03/05/2013	197.57	198.37		(0.80)
<b>SALE DATE TOTAL</b>		<b>3,719.966</b>	<b>VARIOUS</b>	<b>03/05/2013</b>	<b>36,864.86</b>	<b>36,686.85</b>		<b>178.01</b>

**Description (Box 8): \*GUIDEMARK OPPORTUNI STIC EQUITY FUND**

SELL	FIRST IN FIRST OUT	712.733	04/18/2012	03/05/2013	7,818.68	6,827.98		990.70
SELL	FIRST IN FIRST OUT	1.617	12/27/2012	03/05/2013	17.74	16.07		1.67
<b>SALE DATE TOTAL</b>		<b>714.350</b>	<b>VARIOUS</b>	<b>03/05/2013</b>	<b>7,836.42</b>	<b>6,844.05</b>		<b>992.37</b>

**Description (Box 8): ISHARES INC MSCI CDA ETF**

SELL	VERSUS PURCHASE	68	03/05/2013	04/15/2013	1,831.20	1,927.77	96.57	0.00
SELL	VERSUS PURCHASE	35	03/07/2013	04/15/2013	942.53	993.65	51.12	0.00
SELL	VERSUS PURCHASE	35	03/19/2013	04/15/2013	942.52	1,039.49	96.97	0.00

Wash sale: 39 day(s) added to holding period

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: ██████████8690  
Recipient's Identification  
Number 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or		Realized Gain or (Loss)
						Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) O=Option Premium	
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 8): ISHARES INC MSCI CDA ETF CUSIP: 464286509 (continued)								
SELL	VERSUS PURCHASE	62	03/19/2013	04/15/2013	1,659.62	1,838.89	163.81	(5.46)
Wash sale: 41 day(s) added to holding period								
SALE DATE TOTAL		200	VARIOUS	04/15/2013	5,385.87	5,799.80	12.53	(5.46)
SELL	VERSUS PURCHASE	6	05/13/2013	06/17/2013	165.48	178.01	12.53	0.00
Wash sale: 41 day(s) added to holding period								
SELL	VERSUS PURCHASE	35	05/13/2013	06/17/2013	965.29	1,085.71	120.42	0.00
Wash sale: 66 day(s) added to holding period								
SELL	VERSUS PURCHASE	58	05/13/2013	06/17/2013	1,599.62	1,796.84	197.22	0.00
Wash sale: 68 day(s) added to holding period								
SALE DATE TOTAL		99	VARIOUS	06/17/2013	2,730.39	3,060.56	9.31	0.00
SELL	VERSUS PURCHASE	2	05/13/2013	07/01/2013	52.67	61.96	23.61	0.00
Wash sale: 68 day(s) added to holding period								
SELL	VERSUS PURCHASE	6	05/28/2013	07/01/2013	157.94	181.55	185.01	0.00
Wash sale: 76 day(s) added to holding period								
SELL	VERSUS PURCHASE	35	05/28/2013	07/01/2013	921.34	1,106.35	304.26	0.00
Wash sale: 101 day(s) added to holding period								
SELL	VERSUS PURCHASE	58	05/28/2013	07/01/2013	1,526.79	1,831.05	304.26	0.00
Wash sale: 103 day(s) added to holding period								



**Recipient's Name and Address**  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

**Account Number:** ██████████ 8690  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
 (For individuals report details on Form 1040 Schedule D Line (b, 2, 8b, or 9))

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments		Realized Gain or (Loss)
							Wash Sale Loss (Box 5)	0-Option Premium (Loss)	
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>									
<b>Covered (Box 6b) (continued)</b>									
Description (Box 8): ISHARES INC MSCI CDA ETF CUSIP: 464286509 (continued)									
SELL	VERSUS PURCHASE	1	05/28/2013	07/01/2013	26.32	28.18	1.86	0.00	0.00
SELL	VERSUS PURCHASE	1	06/03/2013	07/01/2013	26.32	32.62	6.30	0.00	0.00
SELL	Wash sale: 117 day(s) added to holding period VERSUS PURCHASE	1	06/10/2013	07/01/2013	26.33	32.40	6.07	0.00	0.00
SELL	Wash sale: 117 day(s) added to holding period VERSUS PURCHASE	104	VARIOUS	07/01/2013	2,737.71	3,274.11	536.40	0.00	0.00
SELL	VERSUS PURCHASE	4	07/15/2013	08/05/2013	110.11	125.49	15.38	0.00	0.00
SELL	Wash sale: 110 day(s) added to holding period VERSUS PURCHASE	101	07/29/2013	08/05/2013	2,780.33	2,828.89	48.56	0.00	0.00
SELL	VERSUS PURCHASE	105	VARIOUS	08/05/2013	2,890.44	2,954.38	63.94	0.00	0.00
SELL	VERSUS PURCHASE	2	07/15/2013	10/14/2013	56.77	62.74	5.97	0.00	0.00
SELL	Wash sale: 110 day(s) added to holding period VERSUS PURCHASE	1	07/15/2013	10/14/2013	28.39	32.72	4.33	0.00	0.00
SELL	Wash sale: 135 day(s) added to holding period VERSUS PURCHASE	3	VARIOUS	10/14/2013	85.16	95.46	10.30	0.00	0.00
SELL	HIGH COST	1	07/15/2013	12/16/2013	28.66	33.74	5.08	0.00	0.00
SELL	Wash sale: 145 day(s) added to holding period VERSUS PURCHASE	1	07/15/2013	12/16/2013	28.66	33.74	5.08	0.00	0.00
<b>SECURITY TOTAL</b>					13,858.23	15,218.05	1,359.82	(5.46)	(5.46)

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 8690  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments		Realized Gain or (Loss)
							Wash Sale Loss (Box 5)	0-Option Premium	
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>									
<b>Covered (Box 6b) (continued)</b>									
Description (Box 8): ISHARES INC MSCI PACIFIC EX-JAPAN INDEX FD CUSIP: 464286665									
SELL	VERSUS PURCHASE	1	03/07/2013	03/19/2013	48.84	50.35	1.51		0.00
SELL	HIGH COST	1	03/07/2013	04/15/2013	49.19	50.35	1.16		0.00
SELL	VERSUS PURCHASE	1	03/05/2013	06/03/2013	46.78	51.43	4.65		0.00
Wash sale: 12 day(s) added to holding period									
SELL	VERSUS PURCHASE	1	03/07/2013	06/03/2013	46.77	50.35	3.58		0.00
SELL	VERSUS PURCHASE	1	04/01/2013	06/03/2013	46.78	50.68	3.90		0.00
Wash sale: 39 day(s) added to holding period									
<b>SALE DATE TOTAL</b>									
		3	VARIOUS 06/03/2013		140.33	152.46			0.00
SELL	VERSUS PURCHASE	81	03/05/2013	06/10/2013	3,648.32	4,043.53			(395.21)
SELL	VERSUS PURCHASE	37	03/07/2013	06/10/2013	1,666.52	1,862.91			(196.39)
SELL	VERSUS PURCHASE	1	05/28/2013	06/10/2013	45.04	52.78			(7.74)
Wash sale: 90 day(s) added to holding period									
SELL	VERSUS PURCHASE	1	05/28/2013	06/10/2013	45.04	52.03			(6.99)
Wash sale: 63 day(s) added to holding period									
SELL	VERSUS PURCHASE	1	05/28/2013	06/10/2013	45.04	51.71			(6.67)
Wash sale: 88 day(s) added to holding period									
<b>SALE DATE TOTAL</b>		121	VARIOUS 06/10/2013		5,449.96	6,062.96			(613.00)

Account Number: 8690

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Recipient's Name and Address

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Recipient's Identification  
Number: 45-1769542

**2013 Form 1099-B Proceeds from Broker and Barter Exchange Transactions OMB No. 1545-0719 (continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W-Wash Sale Loss (Box 5) O-Option Premiums	Realized Gain or Loss
----------------------------	--------------------	----------------------	------------------------------------	--	---	--------------------------------------	---	-----------------------------

**Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.**

**Covered (Box 6b) (continued)**

Description (Box 6): ISHARES INC MSCI PAC IFC EX-JAPAN INDEX FD CUSIP: 464286665 (continued)

SELL	VERSUS PURCHASE	66	07/22/2013	08/27/2013	2,924.59	2,978.82	53.41	(0.82)
SELL	VERSUS PURCHASE	65	07/29/2013	08/27/2013	2,880.28	2,947.74	67.46	0.00
<b>SALE DATE TOTAL</b>		<b>131</b>	<b>VARIOUS</b>	<b>08/27/2013</b>	<b>5,804.87</b>	<b>5,926.56</b>	<b>0.25</b>	<b>(0.82)</b>
SELL	VERSUS PURCHASE	2	09/16/2013	10/14/2013	96.95	97.20		0.00
	Wash sale: 36 day(s) added to holding period							
SELL	HIGH COST	2	11/06/2013	12/16/2013	92.57	100.17	7.60	0.00
	Wash sale: 28 day(s) added to holding period							
<b>SECURITY TOTAL</b>					<b>11,682.71</b>	<b>12,440.05</b>		<b>(613.82)</b>

Description (Box 6): ISHARES INC MSCI IAP AN INDEX FD CUSIP: 464286948

SELL	HIGH COST	2	03/19/2013	04/15/2013	22.62	21.18		1.44
SELL	HIGH COST	6	03/25/2013	04/15/2013	67.85	64.26		3.59
<b>SALE DATE TOTAL</b>		<b>8</b>	<b>VARIOUS</b>	<b>04/15/2013</b>	<b>90.47</b>	<b>85.44</b>		<b>5.03</b>
SELL	HIGH COST	3	04/29/2013	05/06/2013	35.21	34.71		0.50
SELL	VERSUS PURCHASE	4	05/13/2013	06/03/2013	42.35	47.60	5.25	0.00
SELL	VERSUS PURCHASE	2	05/28/2013	06/03/2013	21.18	25.55	4.37	0.00
	Wash sale: 21 day(s) added to holding period							
<b>SALE DATE TOTAL</b>		<b>6</b>	<b>VARIOUS</b>	<b>06/03/2013</b>	<b>63.53</b>	<b>73.15</b>		<b>0.00</b>

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: ██████████8690

Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transactions	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1g)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments		Required Gain or (Loss)
							W=Wash Sale Loss (Box 5)	0=Option Premium	
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>									
<b>Covered (Box 6b) (continued)</b>									
Description (Box 8): ISHARES INC MSCI JAP AN INDEX FD CUSIP: 464286948 (continued)									
SELL	VERSUS PURCHASE	14	03/07/2013	06/10/2013	155.82	145.98			9.84
SELL	VERSUS PURCHASE	2	05/28/2013	06/10/2013	22.26	25.54	3.28		0.00
SELL	Wash sale: 21 day(s) added to holding period VERSUS PURCHASE	5	05/28/2013	06/10/2013	55.65	57.31	1.66		0.00
SALE DATE TOTAL		21	VARIOUS	06/10/2013	233.73	228.83			9.84
SELL	VERSUS PURCHASE	2	06/17/2013	07/01/2013	22.74	26.98			(4.24)
SELL	Wash sale: 27 day(s) added to holding period VERSUS PURCHASE	2	06/17/2013	07/01/2013	22.73	25.90			(3.17)
SALE DATE TOTAL		4	VARIOUS	07/01/2013	45.47	52.88			(7.41)
SELL	HIGH COST	1	06/17/2013	09/16/2013	11.71	11.64			0.07
SELL	Wash sale: 13 day(s) added to holding period HIGH COST	4	06/17/2013	10/14/2013	47.48	46.56			0.92
SELL	Wash sale: 13 day(s) added to holding period HIGH COST	8	11/06/2013	12/09/2013	95.35	94.88			0.47
SELL	HIGH COST	9	11/06/2013	12/30/2013	109.16	106.74			2.42
SECURITY TOTAL					732.11	734.83			11.84



**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 8690  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address  
CAROLE DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule B Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2e)	Cost or Other Basis (Box 3)	Adjustments W-Wash Sale Loss (Box 5) 0-Option Premium	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
<b>Description (Box 6): ISHARES TR BARCLAYS TIPS BD FD</b>								
SELL	HIGH COST	1	03/05/2013	03/19/2013	120.99	121.08	0.09	0.00
SELL	HIGH COST	5	03/05/2013	04/29/2013	612.33	605.40		6.93
SELL	HIGH COST	14	03/05/2013	06/03/2013	1,630.69	1,695.12		(64.43)
SELL	HIGH COST	1	03/07/2013	06/03/2013	116.48	120.52		(4.04)
SELL	Wash sale: 14 day(s) added to holding period HIGH COST	10	03/07/2013	06/03/2013	1,164.78	1,204.31		(39.53)
<b>SALE DATE TOTAL</b>					<b>2,911.95</b>	<b>3,019.95</b>		<b>(108.00)</b>
<b>SECURITY TOTAL</b>					<b>3,645.27</b>	<b>3,746.43</b>		<b>(101.07)</b>
<b>CUSIP: 464287176</b>								
<b>Description (Box 6): ISHARES TR MSCI EMER GING MKTS INDEX FD</b>								
SELL	VERSUS PURCHASE	88	03/07/2013	03/25/2013	3,700.31	3,853.19	152.88	0.00
SELL	VERSUS PURCHASE	64	03/05/2013	04/01/2013	2,716.09	2,896.86	180.77	0.00
SELL	Wash sale: 18 day(s) added to holding period VERSUS PURCHASE	42	03/07/2013	04/01/2013	1,782.44	1,839.02	56.58	0.00
<b>SALE DATE TOTAL</b>					<b>4,498.53</b>	<b>4,735.88</b>	<b>2.44</b>	<b>0.00</b>
SELL	Wash sale: 18 day(s) added to holding period VERSUS PURCHASE	1	03/05/2013	05/28/2013	42.82	45.26		0.00
SELL	VERSUS PURCHASE	1	03/05/2013	06/03/2013	41.29	45.26	3.97	0.00
<b>CUSIP: 464287234</b>								



TEFRA-ROLL

Recipient's Name and Address:

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 78690

Recipient's Identification  
Number 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments		Realized Gain or (Loss)
							W=Wash Sale Loss (Box 5)	O=Option Premium	
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>									
<b>Covered (Box 6b) (Continued)</b>									
<b>Description (Box 8): ISHARES TR MSCI EMER GING MKTS INDEX FD</b>									
SELL	Wash sale: 18 day(s) added to holding period VERSUS PURCHASE	22	03/05/2013	06/10/2013	883.52	995.80	15.31		(96.97)
SELL	Wash sale: 18 day(s) added to holding period VERSUS PURCHASE	42	03/05/2013	06/10/2013	1,686.71	1,884.68			(197.97)
SELL	Wash sale: 25 day(s) added to holding period VERSUS PURCHASE	136	03/05/2013	06/10/2013	5,461.74	5,919.57			(457.83)
SELL	Wash sale: 45 day(s) added to holding period VERSUS PURCHASE	2	04/29/2013	06/10/2013	80.32	90.87			(10.55)
SELL	Wash sale: 45 day(s) added to holding period VERSUS PURCHASE	1	05/06/2013	06/10/2013	40.16	47.47			(7.31)
SELL	Wash sale: 108 day(s) added to holding period VERSUS PURCHASE	89	05/06/2013	06/10/2013	3,574.22	3,871.51			(297.29)
SELL	Wash sale: 115 day(s) added to holding period VERSUS PURCHASE	3	05/13/2013	06/10/2013	120.48	144.99			(24.51)
<b>SALE DATE TOTAL</b>		<b>295</b>	<b>VARIOUS</b>	<b>06/10/2013</b>	<b>11,847.15</b>	<b>12,954.89</b>			<b>(1,092.43)</b>
SELL	VERSUS PURCHASE	3	03/19/2013	06/17/2013	119.58	133.79			(14.21)
SELL	Wash sale: 45 day(s) added to holding period VERSUS PURCHASE	2	04/15/2013	06/17/2013	79.72	88.40			(8.68)
SELL	Wash sale: 45 day(s) added to holding period VERSUS PURCHASE	57	04/29/2013	06/17/2013	2,271.98	2,589.76			(317.78)

CUSIP: 464287234 (continued)

**2013 TAX and  
YEAR-END STATEMENT  
AS of 02/11/2014**

Account Number: **8690**  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address  
**CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions** **OMB No. 1545-0045 (continued)**  
(For individuals report details on Form 1040, Schedule D, Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2e)	Cost or Other Basis (Box 3)	Adjustments W-Wash Sale Loss (Box 5) 0-Option Premium	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 8): ISHARES TR MSCI EMER GING MKTS INDEX FD CUSIP: 464287234 (continued)								
SELL	Wash sale: 45 day(s) added to holding period VERSUS PURCHASE	1	04/29/2013	06/17/2013	39.86	45.05		(5.19)
SELL	Wash sale: 102 day(s) added to holding period VERSUS PURCHASE	44	04/29/2013	06/17/2013	1,753.80	1,874.86		(121.06)
SALE DATE TOTAL		107	VARIOUS	06/17/2013	4,264.94	4,731.86		(466.92)
SELL	VERSUS PURCHASE	224	07/22/2013	08/05/2013	8,850.18	8,878.51	14.54	(13.79)
SELL	VERSUS PURCHASE	114	07/22/2013	08/27/2013	4,272.43	4,518.53	246.10	0.00
SELL	VERSUS PURCHASE	1	07/22/2013	09/03/2013	38.47	39.64	1.17	0.00
SELL	VERSUS PURCHASE	4	09/09/2013	10/14/2013	170.43	170.75	0.32	0.00
SELL	Wash sale: 36 day(s) added to holding period HIGH COST	110	09/09/2013	12/09/2013	4,633.52	4,695.76	62.24	0.00
SELL	Wash sale: 36 day(s) added to holding period HIGH COST	4	11/06/2013	12/09/2013	168.49	168.24		0.25
SALE DATE TOTAL		114	VARIOUS	12/09/2013	4,802.01	4,864.00		0.25
SELL	HIGH COST	5	11/06/2013	12/30/2013	206.80	210.30	3.50	0.00
SECURITY TOTAL					42,735.36	45,048.07		(1,572.89)

Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: 690

Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1e)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments		Realized Gain or Loss
							W= Wash Sale Loss (Box 5)	O= Option Premium	

**Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.**

**Covered (Box 6b) (continued)**

CUSIP: 464287242									
Description (Box 0): ISHARES TR IBOXX USD INVT GRADE CORP BD FD									
SELL	HIGH COST	1	04/01/2013	04/15/2013	121.43	119.75			1.68
SELL	HIGH COST	5	04/01/2013	04/29/2013	612.06	598.73			13.33
SELL	HIGH COST	25	04/01/2013	06/03/2013	2,935.44	2,993.67			(58.23)
SELL	HIGH COST	33	07/29/2013	09/03/2013	3,683.13	3,780.48			(97.35)
<b>SECURITY TOTAL</b>					<b>7,352.06</b>	<b>7,492.63</b>			<b>(140.57)</b>

**Description (Box 0): ISHARES TR BARCLAYS 7-10 YR TREAS 8D FD**

CUSIP: 464287440									
SELL	HIGH COST	6	04/01/2013	04/29/2013	653.56	645.12			8.44
SELL	HIGH COST	28	04/01/2013	06/03/2013	2,956.47	3,010.56			(54.09)
SELL	HIGH COST	1	09/30/2013	10/14/2013	101.58	101.99			(0.41)
SELL	HIGH COST	37	09/30/2013	12/02/2013	3,740.26	3,773.52			(33.26)
<b>SECURITY TOTAL</b>					<b>7,451.87</b>	<b>7,531.19</b>			<b>(79.32)</b>

**Description (Box 0): ISHARES TR DOW JONES US UTILS SECTOR IN DEX FD**

CUSIP: 464287697									
SELL	HIGH COST	1	03/05/2013	04/01/2013	96.54	94.68			1.86
SELL	HIGH COST	1	04/15/2013	04/29/2013	101.67	99.67			2.00
SELL	VERSUS PURCHASE	1	05/06/2013	05/13/2013	98.30	100.54		2.24 <sup>W</sup>	0.00
SELL	VERSUS PURCHASE	1	05/06/2013	06/03/2013	94.24	100.54		6.30 <sup>W</sup>	0.00

007416 X582F04 000311



Recipient's Name and Address:  
**CAROLE DICE MEMORIAL FOUNDATION**  
 (NON-TAXABLE)

Account Number: ██████████8690  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT**  
 As of 02/11/2014

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions** OMB No. 1545-0715 (Continued)  
 (For individuals, report details on Form 1040, Schedule D Line 1b, 2, 3b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W= Wash Sale Loss (Box 5) O= Option Premium	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 6): ISHARES TR DOW JONES U S UTILS SECTOR IN DEX FD CUSIP: 464287697 (continued)								
SELL	VERSUS PURCHASE	1	05/28/2013	06/03/2013	94.23	99.18		(4.95)
	Wash sale: 7 day(s) added to holding period							
<b>SALE DATE TOTAL</b>								
SELL	VERSUS PURCHASE	1	06/10/2013	06/17/2013	96.24	101.38	5.14	0.00
	Wash sale: 28 day(s) added to holding period							
SELL	VERSUS PURCHASE	54	03/05/2013	07/01/2013	5,092.67	5,112.58	19.91	0.00
SELL	VERSUS PURCHASE	28	03/07/2013	07/01/2013	2,640.64	2,640.90	0.26	0.00
<b>SALE DATE TOTAL</b>								
SELL	VERSUS PURCHASE	1	07/15/2013	07/22/2013	99.04	103.11		(4.07)
	Wash sale: 35 day(s) added to holding period							
SELL	VERSUS PURCHASE	10	07/15/2013	07/22/2013	990.39	983.46		6.93
	Wash sale: 118 day(s) added to holding period							
<b>SALE DATE TOTAL</b>								
SELL	VERSUS PURCHASE	44	07/15/2013	09/16/2013	4,116.13	4,327.20	211.07	0.00
	Wash sale: 118 day(s) added to holding period							
SELL	VERSUS PURCHASE	28	07/15/2013	09/16/2013	2,619.36	2,743.61	124.25	0.00
	Wash sale: 116 day(s) added to holding period							
SELL	VERSUS PURCHASE	7	07/15/2013	09/16/2013	654.84	685.86	31.02	0.00

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 8690  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1c)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) O=Option Premium	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
<b>Description (Box 8): ISHARES TR DOW JONES U S UTILS SECTOR IN DEX FD</b>								
SELL	VERSUS PURCHASE	13	09/03/2013	09/16/2013	1,216.13	1,267.72	51.59 <sup>W</sup>	0.00
Wash sale: 63 day(s) added to holding period								
<b>SALE DATE TOTAL</b>								
SELL	VERSUS PURCHASE	31	09/23/2013	10/14/2013	2,914.90	3,126.53		(211.63)
Wash sale: 63 day(s) added to holding period								
SELL	VERSUS PURCHASE	28	09/23/2013	10/14/2013	2,632.81	2,813.89		(181.08)
Wash sale: 63 day(s) added to holding period								
SELL	VERSUS PURCHASE	7	09/23/2013	10/14/2013	658.20	703.43		(45.23)
Wash sale: 63 day(s) added to holding period								
SELL	VERSUS PURCHASE	13	09/23/2013	10/14/2013	1,222.38	1,300.35		(77.97)
Wash sale: 76 day(s) added to holding period								
SELL	VERSUS PURCHASE	13	09/23/2013	10/14/2013	1,222.37	1,248.79		(26.42)
<b>SALE DATE TOTAL</b>								
<b>SECURITY TOTAL</b>								
<b>Description (Box 8): ISHARES TR DOW JONES U S TECHNOLOGY SECT OR</b>								
SELL	HIGH COST	1	03/07/2013	04/29/2013	72.33	73.46		(1.13)
SELL	HIGH COST	1	06/10/2013	07/15/2013	77.21	77.08		0.13
SELL	HIGH COST	18	07/01/2013	07/15/2013	1,389.77	1,342.25		47.52

007416 X58B2F04 000312



Recipient's Name and Address:

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: ██████████8690

Recipient's Identification  
Number: 45-1769542

**2013 TAX and  
YEAR-END STATEMENT**  
As of 02/11/2014

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions** OMB No. 1545-0715 (Continued)  
(For individuals report details on Form 1040 Schedule D line 1b, 2, 8b or 9)

Disposition Transaction	Quantity (Box 1e)	Disposition Method	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments		Realized Gain or (Loss)
							W-Wash Sale Loss (Box 5)	0-Option Premium (Less)	
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>									
<b>Covered (Box 6b) (continued)</b>									
Description (Box 8): ISHARES TR DOW JONES US TECHNOLOGY SECT OR CUSIP: 464287721 (continued)									
SALE DATE TOTAL	19		VARIOUS	07/15/2013	1,466.98	1,419.33			47.65
SELL	12	HIGH COST	07/01/2013	07/22/2013	914.39	894.83			19.56
SELL	1	HIGH COST	09/03/2013	09/23/2013	79.58	77.47			2.11
SELL	16	HIGH COST	09/16/2013	09/23/2013	1,273.32	1,262.49			10.83
SALE DATE TOTAL	17		VARIOUS	09/23/2013	1,352.90	1,339.96			12.94
SELL	2	HIGH COST	09/03/2013	10/28/2013	163.57	154.94			8.63
SELL	16	HIGH COST	10/14/2013	10/28/2013	1,308.60	1,272.04			36.56
SALE DATE TOTAL	18		VARIOUS	10/28/2013	1,472.17	1,426.98			45.19
SECURITY TOTAL					5,278.77	5,154.56			124.21
Description (Box 8): ISHARES TR DOW JONES U S REAL ESTATE IND EX FD CUSIP: 464287739									
SELL	1	VERSUS PURCHASE	03/05/2013	03/19/2013	68.37	69.39		1.02	0.00
SELL	2	VERSUS PURCHASE	03/05/2013	04/15/2013	144.01	138.78			5.23
SELL	1	VERSUS PURCHASE	05/06/2013	05/28/2013	73.13	73.55		0.42	0.00
SELL	74	VERSUS PURCHASE	03/05/2013	06/10/2013	5,051.22	5,134.86			(83.64)
SELL	1	VERSUS PURCHASE	03/07/2013	06/10/2013	68.26	70.03			(1.77)
SELL	37	Wash sale: 14 day(s) added to holding period VERSUS PURCHASE	03/07/2013	06/10/2013	2,525.61	2,553.38			(27.77)

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 9690  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Quantity (Box 1a)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) 0=Option Premium	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>							
<b>Covered (Box 6b) (continued)</b>							
Description (Box 6): ISHARES TR DOW JONES U S REAL ESTATE IND EX FD CUSIP: 464287739 (continued)							
SELL	1	04/01/2013	06/10/2013	68.26	69.26		(1.00)
SELL	1	04/29/2013	06/10/2013	68.26	72.82		(4.56)
Wash sale: 22 day(s) added to holding period							
SALE DATE TOTAL	114	VARIOUS	06/10/2013	7,781.61	7,900.35		(118.74)
SECURITY TOTAL				8,067.12	8,182.07		(113.51)

Disposition Transaction	Quantity (Box 1a)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) 0=Option Premium	Realized Gain or Loss
Description (Box 6): ISHARES TR DOW JONES U S INDL SECTOR IND EX FD CUSIP: 464287754							
SELL	1	03/07/2013	04/01/2013	80.73	80.87	0.14 <sup>W</sup>	0.00
SELL	1	03/07/2013	04/29/2013	80.67	80.87	0.20 <sup>W</sup>	0.00
SELL	17	07/01/2013	07/15/2013	1,478.66	1,428.51		50.15
SELL	1	03/05/2013	07/22/2013	88.42	80.90		7.52
Wash sale: 25 day(s) added to holding period							
SELL	6	03/07/2013	07/22/2013	530.50	485.21		45.29
SELL	6	07/01/2013	07/22/2013	530.51	504.18		26.33
SALE DATE TOTAL	13	VARIOUS	07/22/2013	1,149.43	1,070.29		79.14
SELL	4	09/03/2013	09/23/2013	364.60	347.92		16.68
SELL	12	09/16/2013	09/23/2013	1,093.80	1,093.74		0.06
SALE DATE TOTAL	16	VARIOUS	09/23/2013	1,458.40	1,441.66		16.74

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 86950

Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b, 9f, g)

Disposition Transaction	Disposition Method	Quantity (Box 1c)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1e)	Gross Proceeds Less Commissions and Option Premiums (Box 2e)	Cost or Other Basis (Box 3)	Adjustments W-Wash Sale Less (Box 5) 0-Option Premium	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
<b>Description (Box 8): ISHARES TR DOW JONES U S INDL SECTOR IND EX FD</b>								
SELL	HIGH COST	1	09/03/2013	10/28/2013	94.49	86.98		7.51
SELL	HIGH COST	16	10/14/2013	10/28/2013	1,511.81	1,455.20		56.61
SALE DATE TOTAL		17	VARIOUS	10/28/2013	1,606.30	1,542.18		64.12
SELL	HIGH COST	1	09/03/2013	12/09/2013	97.65	86.98		10.67
SECURITY TOTAL					5,951.84	5,731.36		220.82

<b>Description (Box 8): ISHARES TR DOW JONES U S HEALTHCARE SECT OR</b>								
SELL	HIGH COST	1	03/19/2013	04/01/2013	96.18	93.23		2.95
SELL	HIGH COST	1	05/06/2013	05/13/2013	101.84	99.90		1.94
SELL	HIGH COST	1	06/03/2013	06/10/2013	102.17	101.04		1.13
SELL	HIGH COST	56	03/05/2013	07/01/2013	5,687.89	5,203.96		483.93
SELL	HIGH COST	27	03/07/2013	07/01/2013	2,742.37	2,515.05		227.32
SALE DATE TOTAL		83	VARIOUS	07/01/2013	8,430.26	7,719.01		711.25
SELL	VERSUS PURCHASE	2	07/23/2013	09/23/2013	216.16	214.51		1.65
SELL	VERSUS PURCHASE	11	09/16/2013	09/23/2013	1,188.86	1,196.90	8.04	0.00
SALE DATE TOTAL		13	VARIOUS	09/23/2013	1,405.02	1,411.41		1.65

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 8690  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) O=Option Premium	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
<b>Description (Box 8): ISHARES TR DOW JONES U S HEALTHCARE SECT OR</b>								
SELL	VERSUS PURCHASE	2	10/14/2013	10/28/2013	222.36	216.12		6.24
Wash sale: 7 day(s) added to holding period								
SELL	VERSUS PURCHASE	12	10/14/2013	10/28/2013	1,334.13	1,287.96		46.17
<b>SALE DATE TOTAL</b>								
SELL	HIGH COST	14	VARIOUS	10/28/2013	1,556.49	1,504.08		52.41
SELL	HIGH COST	1	07/22/2013	12/09/2013	116.10	107.26		8.84
<b>SECURITY TOTAL</b>								
					11,808.06	11,035.93		780.17
<b>Description (Box 8): ISHARES TR DOW JONES U S FINL SECTOR IND EX FD</b>								
SELL	HIGH COST	1	03/07/2013	03/25/2013	67.56	67.43		0.13
SELL	HIGH COST	1	04/01/2013	04/15/2013	68.54	67.52		1.02
SELL	HIGH COST	1	03/07/2013	06/10/2013	73.23	67.43		5.80
SELL	HIGH COST	1	06/17/2013	07/15/2013	74.82	72.72		2.10
SELL	HIGH COST	20	07/01/2013	07/15/2013	1,496.45	1,449.60		46.85
<b>SALE DATE TOTAL</b>								
					1,571.27	1,522.32		48.95
SELL	HIGH COST	11	03/07/2013	07/22/2013	839.95	741.72		98.23
SELL	HIGH COST	3	07/01/2013	07/22/2013	229.08	217.44		11.64
<b>SALE DATE TOTAL</b>								
					1,069.03	959.16		109.87



Recipient's Name and Address  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: 8690  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions** **OMB No. 1545-0045 (Continued)**  
 (For individual reports on Form 1040 Schedule D, Line 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments: Wash Sale Loss (Box 5) 0-Option Premiums	Realized Gain or (Loss)
SELL	VERSUS PURCHASE	4	09/03/2013	09/23/2013	297.12	290.60		6.52
	Wash sale: 7 day(s) added to holding period							
SELL	VERSUS PURCHASE	15	09/16/2013	09/23/2013	1,114.18	1,121.55	7.37	0.00
SALE DATE TOTAL		19	VARIOUS	09/23/2013	1,411.30	1,412.15		6.52
SELL	HIGH COST	21	10/14/2013	10/28/2013	1,615.08	1,561.14		53.94
SELL	HIGH COST	1	11/06/2013	12/09/2013	78.58	76.08		2.50
SECURITY TOTAL					5,954.59	5,733.23		228.73

CUSIP: 464287788 (continued)

**Description (Box 9): ISHARES TR DOW JONES U S FINL SECTOR IND EX FD**

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments: Wash Sale Loss (Box 5) 0-Option Premiums	Realized Gain or (Loss)
SELL	VERSUS PURCHASE	1	03/07/2013	03/19/2013	44.35	44.66	0.31	0.00
SELL	VERSUS PURCHASE	2	03/07/2013	03/25/2013	89.71	89.32		0.39
SELL	VERSUS PURCHASE	1	03/05/2013	04/29/2013	44.32	44.88		0.00
	Wash sale: 12 day(s) added to holding period							
SELL	VERSUS PURCHASE	1	04/01/2013	04/29/2013	44.31	45.41	1.10	0.00
	Wash sale: 67 day(s) added to holding period							
SALE DATE TOTAL		2	VARIOUS	04/29/2013	88.63	90.29		0.00
SELL	VERSUS PURCHASE	1	04/01/2013	05/06/2013	45.51	44.85		0.66
SELL	VERSUS PURCHASE	1	05/13/2013	05/28/2013	47.22	46.76		0.46

CUSIP: 464287796

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: ██████████8690  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2e)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Less (Box 5) O=Option Premium	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
<b>Description (Box 8): ISHARES TR DOW JONES US ENERGY SECTOR I INDEX FD</b>								
SELL	VERSUS PURCHASE	1	06/03/2013	06/10/2013	46.24	45.95		0.29
SELL	HIGH COST	1	05/13/2013	07/15/2013	46.58	45.66		0.92
SELL	HIGH COST	31	07/01/2013	07/15/2013	1,444.09	1,403.91		40.18
SALE DATE TOTAL		32	VARIOUS	07/15/2013	1,490.67	1,449.57		41.10
SELL	HIGH COST	4	03/07/2013	07/22/2013	190.63	178.64		11.99
SELL	HIGH COST	19	07/01/2013	07/22/2013	905.52	860.46		45.06
SALE DATE TOTAL		23	VARIOUS	07/22/2013	1,096.15	1,039.10		57.05
SELL	VERSUS PURCHASE	7	09/03/2013	09/23/2013	332.91	328.42		4.49
SELL	Wash sale: 7 day(s) added to holding period VERSUS PURCHASE	20	09/16/2013	09/23/2013	951.19	955.16	3.97	0.00
SALE DATE TOTAL		27	VARIOUS	09/23/2013	1,284.10	1,283.58		4.49
SELL	HIGH COST	1	09/03/2013	10/28/2013	48.95	46.92		2.03
SELL	Wash sale: 7 day(s) added to holding period HIGH COST	29	10/14/2013	10/28/2013	1,419.53	1,383.29		36.24
SALE DATE TOTAL		30	VARIOUS	10/28/2013	1,468.48	1,430.21		38.27

CUSIP: 464287796 (continued)



Recipient's Name and Address  
**CAROL E DICE MEMORIAL FOUNDATION**  
 (NON-TAXABLE)

Account Number: 8690  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT**  
 As of 02/11/2014

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions** OMB No. 1545-0715 (Continued)  
 (For individuals report details on Form 1040 Schedule D-Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments Wash Sale Loss (Box 5) 0-Option Premium (Loss)	Realized Gain or (Loss)
SELL	HIGH COST	1	09/03/2013	12/30/2013	50.41	46.92		3.49
Wash sale: 7 day(s) added to holding period								
SELL	HIGH COST	1	12/16/2013	12/30/2013	50.42	49.04		1.38
SALE DATE TOTAL		2	VARIOUS	12/30/2013	100.83	95.96		4.87
SECURITY TOTAL					5,801.89	5,660.25		147.58

CUSIP: 464287796 (continued)

**Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.**

**Covered (Box 6b) (continued)**

Description (Box 8): ISHARES TR DOW JONES US ENERGY SECTOR INDEX FD

SELL	HIGH COST	1	03/05/2013	03/19/2013	94.28	93.99		0.29
SELL	HIGH COST	1	03/25/2013	04/15/2013	94.43	94.37		0.06
SELL	HIGH COST	6	03/05/2013	04/29/2013	572.81	563.94		8.87
SELL	HIGH COST	19	03/05/2013	06/03/2013	1,747.15	1,785.81		(38.66)
SELL	HIGH COST	13	03/07/2013	06/03/2013	1,195.41	1,221.35		(25.94)
SALE DATE TOTAL		32	VARIOUS	06/03/2013	2,942.56	3,007.16		(64.60)
SELL	VERSUS PURCHASE	41	07/29/2013	09/03/2013	3,710.81	3,799.88	89.07	0.00
SELL	VERSUS PURCHASE	1	09/30/2013	10/14/2013	92.15	94.04		(1.89)
Wash sale: 36 day(s) added to holding period								
SELL	HIGH COST	1	09/30/2013	12/16/2013	92.96	94.04	1.08	0.00
Wash sale: 36 day(s) added to holding period								

Description (Box 8): ISHARES TR IBOXX \$ HIGH YIELD CORP BD FD

CUSIP: 464288513

SELL	HIGH COST	1	03/05/2013	03/19/2013	94.28	93.99		0.29
SELL	HIGH COST	1	03/25/2013	04/15/2013	94.43	94.37		0.06
SELL	HIGH COST	6	03/05/2013	04/29/2013	572.81	563.94		8.87
SELL	HIGH COST	19	03/05/2013	06/03/2013	1,747.15	1,785.81		(38.66)
SELL	HIGH COST	13	03/07/2013	06/03/2013	1,195.41	1,221.35		(25.94)
SALE DATE TOTAL		32	VARIOUS	06/03/2013	2,942.56	3,007.16		(64.60)
SELL	VERSUS PURCHASE	41	07/29/2013	09/03/2013	3,710.81	3,799.88	89.07	0.00
SELL	VERSUS PURCHASE	1	09/30/2013	10/14/2013	92.15	94.04		(1.89)
Wash sale: 36 day(s) added to holding period								
SELL	HIGH COST	1	09/30/2013	12/16/2013	92.96	94.04	1.08	0.00
Wash sale: 36 day(s) added to holding period								

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 8690  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) O=Option Premium (Less)	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>							
<b>Covered (Box 6b) (continued)</b>							
Description (Box 0): ISHARES TR IBOX \$ HIGH YIELD CORP BD FD CUSIP: 464288513 (continued)							
SECURITY TOTAL				7,600.00	7,747.42		(57.27)
Description (Box 0): ISHARES TR BARCLAYS MBS BD FD CUSIP: 464288588							
SELL	28	04/29/2013	06/03/2013	2,971.30	3,032.67		(61.37)
SELL	36	09/30/2013	12/02/2013	3,790.37	3,812.04		(21.67)
SECURITY TOTAL				6,761.67	6,844.71		(83.04)
Description (Box 0): ISHARES TR SHORT TRE AS BD ETF CUSIP: 464288679							
SELL	28	03/05/2013	03/19/2013	3,086.37	3,086.15		0.22
SELL	27	03/25/2013	04/01/2013	2,975.87	2,976.47	0.60 W	0.00
SELL	13	03/25/2013	04/29/2013	1,432.96	1,433.12	0.16 W	0.00
SELL	13	04/15/2013	04/29/2013	1,432.96	1,433.28		(0.32)
SELL	13	04/15/2013	04/29/2013	1,432.95	1,433.12		(0.17)
Wash sale: 35 day(s) added to holding period							
VERSUS PURCHASE				4,298.87	4,299.52		(0.49)
VERSUS PURCHASE				1,543.18	1,543.38	0.20 W	0.00
SALE DATE TOTAL	39	VARIOUS	04/29/2013	2,755.69	2,756.01	0.32 W	0.00
SELL	14	03/05/2013	05/06/2013	4,298.87	4,299.39		0.00
Wash sale: 7 day(s) added to holding period							
VERSUS PURCHASE				4,298.87	4,299.39		0.00
SELL	25	04/15/2013	05/06/2013	4,298.87	4,299.39		0.00
Wash sale: 7 day(s) added to holding period							
VERSUS PURCHASE				4,298.87	4,299.39		0.00
SALE DATE TOTAL	39	VARIOUS	05/06/2013	4,298.87	4,299.39		0.00

Account Number: 8690

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Recipient's Identification  
Number: 45-1769542

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0045 (Continued)**  
(For individuals report details on Form 1040 Schedule D, Line 1b, 2, 8b, or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1e)	Gross Proceeds Less Commissions and Option Premiums (Box 2e)	Cost or Other Basis (Box 3)	Adjustments W-Wash Sale Loss (Box 5) O-Option Premiums	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 6): ISHARES TR SHORT TRE AS 8D ETF CUSIP: 464288679 (continued)								
SELL	VERSUS PURCHASE	13	03/05/2013	05/13/2013	1,433.09	1,433.14	0.05	0.00
	Wash sale: 7 day(s) added to holding period							
SELL	VERSUS PURCHASE	7	03/05/2013	05/13/2013	771.66	771.54		0.12
SELL	VERSUS PURCHASE	6	03/07/2013	05/13/2013	661.43	661.32		0.11
<b>SALE DATE TOTAL</b>								
SELL	VERSUS PURCHASE	26	VARIOUS	05/13/2013	2,866.18	2,866.00		0.23
SELL	VERSUS PURCHASE	26	03/07/2013	05/28/2013	2,865.93	2,865.70		0.23
SELL	VERSUS PURCHASE	21	06/03/2013	07/15/2013	2,314.78	2,315.51	0.73	0.00
	Wash sale: 21 day(s) added to holding period							
SELL	VERSUS PURCHASE	4	06/03/2013	07/22/2013	440.91	441.05	0.14	0.00
	Wash sale: 21 day(s) added to holding period							
SELL	VERSUS PURCHASE	14	06/03/2013	07/22/2013	1,543.19	1,543.70	0.51	0.00
	Wash sale: 69 day(s) added to holding period							
SELL	VERSUS PURCHASE	13	06/03/2013	07/22/2013	1,432.96	1,433.30	0.34	0.00
	Wash sale: 76 day(s) added to holding period							
SELL	VERSUS PURCHASE	78	06/03/2013	07/22/2013	8,597.79	8,599.52	1.73	0.00
SELL	VERSUS PURCHASE	21	06/17/2013	07/22/2013	2,314.79	2,315.98	1.19	0.00
	Wash sale: 63 day(s) added to holding period							
SELL	VERSUS PURCHASE	17	06/17/2013	07/22/2013	1,873.88	1,874.25	0.37	0.00

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: ██████████ 8690

Recipient's Identification  
Number 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) O=Option Premium	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
<b>Description (Box 8): ISHARES TR SHORT TRE AS BD ETF CUSIP: 464288679 (continued)</b>								
SALE DATE TOTAL		147	VARIOUS	07/22/2013	16,203.52	16,207.80		0.00
SELL	VERSUS PURCHASE	144	06/10/2013	07/29/2013	15,872.90	15,874.56	0.83	(0.83)
SELL	VERSUS PURCHASE	21	06/17/2013	07/29/2013	2,314.80	2,315.26	0.46	0.00
SALE DATE TOTAL		165	VARIOUS	07/29/2013	18,187.70	18,189.82		(0.83)
SELL	VERSUS PURCHASE	71	08/05/2013	09/09/2013	7,827.61	7,829.31	0.93	(0.77)
SELL	Wash sale: 49 day(s) added to holding period							
SELL	VERSUS PURCHASE	21	08/05/2013	09/09/2013	2,315.21	2,316.43		(1.22)
SELL	Wash sale: 98 day(s) added to holding period							
SELL	VERSUS PURCHASE	17	08/05/2013	09/09/2013	1,874.22	1,874.62		(0.40)
SELL	Wash sale: 35 day(s) added to holding period							
SELL	VERSUS PURCHASE	1	08/05/2013	09/09/2013	110.24	110.27		(0.03)
SELL	Wash sale: 42 day(s) added to holding period							
SELL	VERSUS PURCHASE	20	08/27/2013	09/09/2013	2,204.97	2,205.42		(0.45)
SELL	Wash sale: 42 day(s) added to holding period							
SELL	VERSUS PURCHASE	3	08/27/2013	09/09/2013	330.74	330.78		(0.04)
SELL	Wash sale: 49 day(s) added to holding period							
SELL	VERSUS PURCHASE	133	VARIOUS	09/09/2013	14,562.99	14,566.83		(2.91)
SALE DATE TOTAL								



Recipient's Name and Address:  
**CAROL E DICE MEMORIAL FOUNDATION**  
 (NON-TAXABLE)

Account Number: ██████████ 8690  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT**  
 As of 02/11/2014

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions** OMB No. 1545-0715 (Continued)  
 (For individuals report details on Form 1049 Schedule D Line 1b, 2, 6b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) O=Option Premiums	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
<b>Description (Box 8): ISHARES TR SHORT TRE AS BD ETF</b>								
SELL	VERSUS PURCHASE	38	08/27/2013	09/16/2013	4,189.42	4,189.94		(0.52)
	Wash sale: 49 day(s) added to holding period							
SELL	VERSUS PURCHASE	31	06/10/2013	09/30/2013	3,417.69	3,417.44		0.25
SELL	VERSUS PURCHASE	3	07/01/2013	09/30/2013	330.74	330.82		(0.08)
	Wash sale: 70 day(s) added to holding period							
SELL	VERSUS PURCHASE	31	08/27/2013	09/30/2013	3,417.69	3,418.11		(0.42)
	Wash sale: 49 day(s) added to holding period							
SELL	VERSUS PURCHASE	39	09/03/2013	09/30/2013	4,299.68	4,300.68		(1.00)
	Wash sale: 84 day(s) added to holding period							
<b>SALE DATE TOTAL</b>		<b>104</b>			<b>11,465.80</b>	<b>11,467.05</b>		<b>(1.25)</b>
SELL	HIGH COST	1	VARIOUS	09/30/2013	110.20	110.28		(0.08)
	Wash sale: 118 day(s) added to holding period							
SELL	HIGH COST	13	07/01/2013	10/28/2013	1,433.00	1,433.59		(0.59)
	Wash sale: 118 day(s) added to holding period							
SELL	HIGH COST	1	07/01/2013	10/28/2013	110.23	110.27		(0.04)
	Wash sale: 70 day(s) added to holding period							
SELL	HIGH COST	13	07/01/2013	10/28/2013	1,433.00	1,433.46		(0.46)
	Wash sale: 125 day(s) added to holding period							

Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: [REDACTED] 8690  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Less (Box 5) O=Option Premium	Reduced Gain or (Loss)
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 8): ISHARES TR SHORT TRE AS BD ETF CUSIP: 464288679 (continued)								
SELL	HIGH COST	7	07/01/2013	10/28/2013	771.61	771.83		(0.22)
Wash sale: 49 day(s) added to holding period								
SALE DATE TOTAL		34	VARIOUS	10/28/2013	3,747.84	3,749.15		(1.31)
SELL	HIGH COST	43	12/02/2013	12/16/2013	4,740.23	4,740.76	0.53 <sup>W</sup>	0.00
SELL	HIGH COST	35	12/09/2013	12/30/2013	3,857.98	3,858.70	0.72 <sup>W</sup>	0.00
Wash sale: 14 day(s) added to holding period								
SECURITY TOTAL					99,872.55	99,889.07		(6.71)
<b>Security Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part II, with Box A checked.</b>								
Description (Box 8): ISHARES TR FLTG RATE NT FD CUSIP: 464298655								
SELL	VERSUS PURCHASE	2	03/07/2013	03/19/2013	101.21	101.22	0.01 <sup>W</sup>	0.00
SELL	VERSUS PURCHASE	1	03/07/2013	04/15/2013	50.58	50.61		(0.03)
SELL	HIGH COST	11	03/07/2013	04/29/2013	557.02	556.70		0.32
SELL	VERSUS PURCHASE	1	06/03/2013	06/17/2013	50.65	50.70	0.05 <sup>W</sup>	0.00
SELL	VERSUS PURCHASE	1	06/10/2013	10/14/2013	50.63	50.73	0.10 <sup>W</sup>	0.00
Wash sale: 14 day(s) added to holding period								
SELL	VERSUS PURCHASE	2	03/05/2013	12/02/2013	101.10	101.20	0.10 <sup>W</sup>	0.00
Wash sale: 12 day(s) added to holding period								
SELL	VERSUS PURCHASE	47	03/05/2013	12/02/2013	2,375.96	2,378.15	2.19 <sup>W</sup>	0.00
SELL	VERSUS PURCHASE	11	03/07/2013	12/02/2013	556.07	556.70	0.63 <sup>W</sup>	0.00



007416 X5882F04 000318

Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: 8690  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
 (For individuals, report details on Form 1040, Schedule B Line 1b, 2, 8b or 8)

Disposition Transactions	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments: Wash Sale Loss (Box 5) 0-Option Premium	Realized Gain or (Loss)
<b>Covered (Box 6b) (continued)</b>								
Description (Box 8): ISHARES TR.FLTG RATE NT FD CUSIP: 464298655 (continued)								
SELL	VERSUS PURCHASE	10	06/03/2013	12/02/2013	505.52	506.98	1.46	0.00
SELL	VERSUS PURCHASE	3	07/01/2013	12/02/2013	151.67	151.74	0.07	0.00
SELL	VERSUS PURCHASE	1	09/16/2013	12/02/2013	50.55	50.77	0.22	0.00
SELL	Wash sale: 126 day(s) added to holding period	1	09/16/2013	12/02/2013	50.55	50.67	0.12	0.00
SELL	VERSUS PURCHASE	1	11/06/2013	12/02/2013	50.55	50.90	0.35	0.00
SELL	Wash sale: 203 day(s) added to holding period	1	11/06/2013	12/02/2013	50.55	50.90	0.35	0.00
SALE DATE TOTAL					3,841.97	3,847.11		0.00
SECURITY TOTAL					4,652.06	4,657.07		0.29
<b>Description (Box 8): PIMCO EMERGING LOCAL BOND FUND CLASS D CUSIP: 722015383</b>								
SELL	FIRST IN FIRST OUT	284.233	04/18/2012	03/05/2013	3,112.35	3,035.61		76.74
SELL	FIRST IN FIRST OUT	.778	04/30/2012	03/05/2013	8.52	8.38		0.14
SELL	FIRST IN FIRST OUT	1.878	05/31/2012	03/05/2013	20.56	18.84		1.72
SELL	FIRST IN FIRST OUT	1.118	06/29/2012	03/05/2013	12.24	11.75		0.49
SELL	FIRST IN FIRST OUT	.812	07/31/2012	03/05/2013	8.89	8.66		0.23
SELL	FIRST IN FIRST OUT	1.086	08/31/2012	03/05/2013	11.89	11.53		0.36
SELL	FIRST IN FIRST OUT	.790	09/28/2012	03/05/2013	8.65	8.58		0.07



TEFRA-ROLL

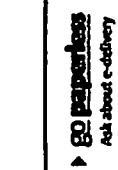
**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 8690  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W= Wash Sale Loss (Box 5) 0= Option Premium	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 6): PIMCO EMERGING LOCAL BOND FUND CLASS D CUSIP: 72201F383 (continued)								
SELL	FIRST IN FIRST OUT	1.050	10/31/2012	03/05/2013	11.50	11.40		0.10
SELL	FIRST IN FIRST OUT	1.006	11/30/2012	03/05/2013	11.02	10.97		0.05
SELL	FIRST IN FIRST OUT	3.964	12/27/2012	03/05/2013	43.41	43.53		(0.12)
SELL	FIRST IN FIRST OUT	1.085	12/31/2012	03/05/2013	11.88	11.91		(0.03)
SALE DATE TOTAL		297.800	VARIOUS	03/05/2013	3,260.91	3,181.16		79.75
SELL	HIGH COST	.871	03/05/2013	08/08/2013	9.54	9.51		0.03
SECURITY TOTAL					3,270.45	3,190.67		79.78
Description (Box 6): SPDR S&P 500 ETF TR UNIT CUSIP: 78462F103								
SELL	HIGH COST	1	03/07/2013	03/25/2013	155.48	154.86		0.62
SELL	HIGH COST	1	09/16/2013	10/14/2013	169.37	170.70	1.33 W	0.00
SECURITY TOTAL					324.85	325.56		0.62
Description (Box 6): SSGA EMERGING MARKET S FUND CUSIP: 784924789								
SELL	FIRST IN FIRST OUT	149.479	04/18/2012	03/05/2013	3,107.67	3,000.04		107.63
SELL	FIRST IN FIRST OUT	122.745	06/08/2012	03/05/2013	2,551.87	2,202.04		349.83
SELL	FIRST IN FIRST OUT	4.430	10/29/2012	03/05/2013	92.10	84.96		7.14
SELL	FIRST IN FIRST OUT	2.17	12/24/2012	03/05/2013	4.51	4.43		0.08



**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 86690  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions** OMB No. 1545-0715 (Continued)  
(For individuals report details on Form 1040 Schedule D, Line 1b, 2, 3b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1c)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1e)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments Wash Sale Loss (Box 5) 0-Option Premium (Loss)	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 8): SSGA EMERGING MARKET S FUND CUSIP: 784924789 (continued)								
SALE DATE TOTAL		276.871	VARIOUS	03/05/2013	5,756.15	5,291.47		464.68
Description (Box 8): SELECT SECTOR SPDR T R MATLS CUSIP: 81369Y100								
SELL	VERSUS PURCHASE	1	03/07/2013	03/25/2013	38.95	39.36	0.41	0.00
SELL	HIGH COST	1	03/05/2013	05/06/2013	39.87	39.43		0.44
SELL	Wash sale: 18 day(s) added to holding period HIGH COST	3	03/07/2013	05/06/2013	119.60	118.08		1.52
SALE DATE TOTAL		4	VARIOUS	05/06/2013	159.47	157.51		1.96
SELL	VERSUS PURCHASE	1	05/13/2013	06/03/2013	40.21	40.38	0.17	0.00
SELL	VERSUS PURCHASE	33	03/07/2013	07/15/2013	1,321.97	1,298.88		23.09
SELL	VERSUS PURCHASE	2	05/13/2013	07/15/2013	80.12	80.75	0.63	0.00
SALE DATE TOTAL		35	VARIOUS	07/15/2013	1,402.09	1,379.63		23.09
SELL	VERSUS PURCHASE	3	03/05/2013	07/22/2013	121.86	117.08		4.78
SELL	VERSUS PURCHASE	24	03/07/2013	07/22/2013	974.86	944.64		30.22
SELL	VERSUS PURCHASE	1	03/19/2013	07/22/2013	40.62	39.15		1.47
SALE DATE TOTAL		28	VARIOUS	07/22/2013	1,137.34	1,100.87		36.47

Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: 8690

Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments Wash Sale Loss (Box 5) 0=Option Premium (Loss)	Realized Gain or (Loss)
SELL	VERSUS PURCHASE	8	09/03/2013	09/23/2013	339.59	328.62		10.97
	Wash sale: 7 day(s) added to holding period							
SELL	VERSUS PURCHASE	23	09/16/2013	09/23/2013	976.33	979.52	3.19	0.00
SALE DATE TOTAL		31	VARIOUS	09/23/2013	1,315.92	1,308.14		10.97
SELL	VERSUS PURCHASE	3	09/03/2013	10/28/2013	132.04	123.24		8.80
	Wash sale: 7 day(s) added to holding period							
SELL	VERSUS PURCHASE	2	10/14/2013	10/28/2013	88.03	85.18		2.85
SELL	VERSUS PURCHASE	32	10/14/2013	10/28/2013	1,408.46	1,358.56		49.90
SALE DATE TOTAL		37	VARIOUS	10/28/2013	1,628.53	1,566.98		61.55
SELL	HIGH COST	1	09/03/2013	12/09/2013	44.41	41.08		3.33
	Wash sale: 7 day(s) added to holding period							
SELL	HIGH COST	1	11/06/2013	12/09/2013	44.42	43.89		0.53
SALE DATE TOTAL		2	VARIOUS	12/09/2013	88.83	84.97		3.86
SECURITY TOTAL					5,811.34	5,677.84		137.90

Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.

**Covered (Box 6b) (continued)**

Description (Box 8): SELECT SECTOR SPDR T R MATLS CUSIP: 81369Y100 (continued)



Recipient's Name and Address:

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 8690

Recipient's Identification  
Number: 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

**2013 Form 1099-B**

**Proceeds From Broker and Barter Exchange Transactions**

OMB No. 1545-0045 (Continued)

(For individuals report details on Form 1040, Schedule D, Line 1b, 2, 3b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments: W-Wash Sale Loss (Box 5) 0-Option Premiums	Realized Gain or (Loss)
-------------------------	--------------------	-------------------	------------------------------	-----------------------------------	--	-----------------------------	---	-------------------------

**Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.**

**Covered (Box 6b) (continued)**

Description (Box 6): SELECT SECTOR SPDR TR CONSUMER STAPLES

CUSIP: 81369V308

SELL	HIGH COST	3	03/05/2013	03/25/2013	118.07	116.01		2.06
SELL	HIGH COST	1	04/01/2013	04/15/2013	40.61	39.65		0.96
SELL	HIGH COST	2	05/06/2013	05/13/2013	82.37	81.92		0.45
SELL	HIGH COST	2	03/05/2013	05/28/2013	84.35	77.34		7.01
SELL	HIGH COST	2	06/03/2013	06/10/2013	81.39	80.00		1.39
SELL	HIGH COST	1	06/03/2013	06/17/2013	41.05	40.00		1.05
SELL	HIGH COST	36	07/01/2013	07/15/2013	1,490.75	1,447.92		42.83
SELL	HIGH COST	14	03/05/2013	07/22/2013	585.05	541.38		43.67
SELL	HIGH COST	1	06/03/2013	07/22/2013	41.79	40.00		1.79
SELL	HIGH COST	10	07/01/2013	07/22/2013	417.90	402.20		15.70
SALE DATE TOTAL		25	VARIOUS	07/22/2013	1,044.74	983.58		61.16
SELL	HIGH COST	117	03/05/2013	08/27/2013	4,627.49	4,524.39		103.10
SELL	HIGH COST	69	03/07/2013	08/27/2013	2,729.03	2,661.32		67.71
SALE DATE TOTAL		186	VARIOUS	08/27/2013	7,356.52	7,185.71		170.81
SECURITY TOTAL					10,339.85	10,052.13		287.72

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 8690  
 Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)  
 Recipient's Identification  
 Number: 45-1769542

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions** OMB No. 1545-0715 (Continued)  
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1e)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments		Realized Gain or Loss (Less)
						Wash Sale Loss (Box 5)	0-Option Premium	
SELL	3	03/05/2013	03/25/2013	157.98	156.27			1.71
SELL	2	04/01/2013	04/15/2013	107.81	105.50			2.31
SELL	1	04/29/2013	05/13/2013	56.57	54.45			2.12
SELL	1	05/28/2013	06/10/2013	56.89	57.65		0.76	0.00
SELL	1	07/01/2013	07/15/2013	59.70	57.81			1.89
Wash sale: 13 day(s) added to holding period								
SELL	26	07/01/2013	07/15/2013	1,552.17	1,483.31			68.86
Wash sale: 7 day(s) added to holding period								
SELL	27	VARIOUS	07/15/2013	1,611.87	1,541.12			70.75
Wash sale: 7 day(s) added to holding period								
SELL	16	03/05/2013	07/22/2013	952.00	833.43			118.57
Wash sale: 7 day(s) added to holding period								
SELL	5	09/03/2013	09/23/2013	303.34	293.00			10.34
Wash sale: 7 day(s) added to holding period								
SELL	18	09/16/2013	09/23/2013	1,092.04	1,094.40		2.36	0.00
Wash sale: 7 day(s) added to holding period								
SELL	23	VARIOUS	09/23/2013	1,395.38	1,387.40			7.98
Wash sale: 7 day(s) added to holding period								
SELL	2	09/03/2013	10/28/2013	125.94	117.20			8.74
Wash sale: 7 day(s) added to holding period								
SELL	1	10/14/2013	10/28/2013	62.97	60.63			2.34
Wash sale: 7 day(s) added to holding period								
SELL	23	10/14/2013	10/28/2013	1,448.28	1,391.69			56.59

**Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.**  
**Covered (Box 6b) (continued)**

Description (Box 9): SELECT SECTOR SPDR T R CONSUMER DISCRETIONARY TRANSM TO 06/24 CUSIP: 81369Y407



Recipient's Name and Address

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 0690

Recipient's Identification  
Number: 45-1769542

2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014

2013 Form 1099-B

Proceeds From Broker and Barter Exchange Transactions

OMB No. 1545-0715 (Continued)

(For individual's report details on Form 1049 Schedule D, Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)		Adjusted Wash Sale Loss (Box 5) 0-Option Premium (Less)	Realized Gain or (Loss)
						Wash Sale Loss (Box 5)	0-Option Premium (Less)		

Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.

Covered (Box 6b) (continued)

Description (Box 8): SELECT SECTOR SPDR TR CONSUMER DISCRETIO NARY TRANSN TO 06/24

CUSIP: 81369Y407 (continued)

SALE DATE TOTAL		26	VARIOUS	10/28/2013	1,637.19	1,569.52			67.67
SELL	HIGH COST	1	12/09/2013	12/16/2013	64.88	65.12		0.24	0.00
SECURITY TOTAL					6,040.57	5,770.46			273.47

Description (Box 8): VANGUARD INTL EQUITY INDEX FDS FTSE EURO PE ETF

CUSIP: 922042874

SELL	VERSUS PURCHASE	4	03/07/2013	03/25/2013	197.07	201.00		3.93	0.00
SELL	VERSUS PURCHASE	2	03/07/2013	04/01/2013	97.93	100.50		2.57	0.00
SELL	VERSUS PURCHASE	2	03/07/2013	04/29/2013	101.95	100.50			1.45
SELL	VERSUS PURCHASE	1	05/06/2013	06/10/2013	51.56	51.84		0.28	0.00
SELL	VERSUS PURCHASE	1	06/03/2013	06/17/2013	52.05	51.75			0.30
Wash sale: 35 day(s) added to holding period									
SELL	HIGH COST	2	09/03/2013	10/14/2013	109.81	103.71			6.10
SELL	HIGH COST	2	09/16/2013	10/14/2013	109.82	109.04			0.78
SALE DATE TOTAL		4	VARIOUS	10/14/2013	219.63	212.75			6.88
SELL	HIGH COST	2	11/06/2013	12/09/2013	113.01	113.48		0.24	(0.23)
SELL	HIGH COST	2	11/06/2013	12/30/2013	116.75	113.48			3.27
SECURITY TOTAL					949.95	945.30			11.67

Short-Term Covered Total

404,369.17

4,453.70

Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: 8690  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 AS of 02/11/2014**

**2013 Form 1099-B - Proceeds from Broker and Barter Exchange Transactions** OMB No. 1545-0715 (Continued)  
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Quantity (Box 1a)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) O=Option Premium	Realized Gain or Loss
				404,369.17	402,764.10		4,453.70
				404,369.17	402,764.10		4,453.70

**IRS Form 1099-B - Proceeds from Broker and Barter Exchange Transactions**

The amounts in this section of your Tax Information Statement reflect proceeds from securities transactions such as sales, redemptions, tender offers, return of principal distributions, the option premium portion of reverse convertibles and bond maturities. Short-term and long-term transactions are segregated in your 1099-B form in a format comparable to IRS Form 8949, for dispositions of covered and noncovered securities. Since your financial organization subscribes to our premium Tax and Year-End Statement, the date of acquisition, cost or other basis, type of gain or loss (long-term or short-term) and whether any loss is disallowed due to a wash sale for both covered and noncovered securities transactions will be displayed when available. Please note that such detail for noncovered transactions is not reported to the IRS. Types of Gain or Loss (Box 1c). The section headings within the 1099-B indicate the type of gain or loss for the transactions, short-term or long-term Covered (C) or Noncovered (N) Security (Box 6). The section headings within the 1099-B indicate whether your security transaction is or is not a covered security under the IRS cost basis reporting program Descriptions (Box 7). Shows a brief description of the item or service for which the proceeds are being reported.

CUSIP. Broker transactions may show the Committee on Uniform Security Identification Procedures (CUSIP) number of the item reported. Disposition Information. This column will denote the type of transaction, for example "SELL". Disposition Method. This method used to select the lot will be displayed as, for example, first-in first-out (FIFO). Please refer to the Client Service Information Section in your brokerage account statement for your account's existing tax lot disposition method.

Quantity (Box 1a). The number of shares included in the sale or exchange for the lot reported. If fractional shares are part of the disposition, those shares will be displayed to three decimal places. Date of Acquisition (Box 1b). This box represents the date you acquired the security or, for short sales, the date you opened the short sale. You may see the word "VARIOUS" displayed in this column if the disposition transaction includes multiple lots with various acquisition dates.

Date of Sale or Exchange (Box 1c). This box shows the trade date of the sale or exchange. For short sales, the date shown is the date you closed the short sale. Gross Proceeds (Less Commissions and Option Premiums) (Box 2a). Gross proceeds from transactions involving stocks, bonds and other debt obligations are reported in Box 2a. These amounts do not reflect net profits and are not of transaction costs (for instance, commissions and option premiums). Report the gross proceeds from each transaction separately on IRS Form 8949 (Sales and Other Dispositions of Capital Assets) and IRS Form 1040, Schedule D (Capital Gains and Losses). See the Instructions for Form 8949 for exceptions to reporting each transaction on a separate row. This box does not include proceeds from regulated futures or foreign currency forward contracts.

Cost or Other Basis (Box 3). This box shows the original cost, adjusted cost basis due to a corporate action or gifted or inherited cost basis. The IRS provides a detailed description of cost or other basis reporting in the 2013 Instructions for Form 1099-B available at [irs.gov](http://irs.gov). For additional information about cost basis and its use during your tax preparation, please refer to the following IRS publications: IRS instructions for Schedules D and Form 8949, IRS Pub. 550 (Investment Income and Expenses (Including Capital Gains and Losses)) and IRS Pub. 551 (Basis of Assets). Average cost is segregated between covered, non-covered and gifted (see the Tax Guide at [mytaxhandbook.com](http://mytaxhandbook.com) for more specific details).

Adjustments. This column may display the following:  
 W = Wash Sale Loss Disallowed (Box 5). An adjustment code (W) will be displayed next to an amount for a disallowed wash sale loss within the Adjustments column. The loss is being reported as disallowed because the sale of the covered security has been treated as a broker wash sale. This occurs when you repurchase the identical security, as determined by CUSIP number, in the same brokerage account within the 30-day period preceding or following the date of the original loss. The wash sale loss is reported as a positive amount as required by the IRS.

O = Option Premium. When stock is sold based upon the assignment of either a put or a call option, the proceeds of that sale are adjusted by the price of the option or the option premium. The proceeds amount is increased by the option premium received or decreased by the option premium paid. An adjustment code (O) will be displayed next to the amount for an option premium within the Adjustments column. See the Tax Guide or IRS Publication 550 for more information.

Realized Gain or Loss. The realized gain or loss for the transaction may be displayed. Note that the IRS does not require the reporting of this information on Form 1099-B. Sale Date Totals. If you have multiple lots with the same sale or exchange date you may see a line item with SALE DATE TOTAL noted in the Disposition Transaction column. The totals provided in this line item are an aggregate of the lots listed above the total line when the security and sale or exchange date are the same. For these totals the word VARIOUS will be displayed in the Date of Acquisition column since the total includes multiple lots with different acquisition dates. These total amounts are included to help assist you with the completion of IRS Form(s) 8949.

Transactions for Which Basis is Not Reported to the IRS. This section of the Tax and Year-End Statement reports proceeds information for noncovered transactions for which there is no holding period determination (short term or long term). You will see the following information reported or displayed in this section: noncovered indication, security description, disposition transaction type, date of sale or exchange, gross proceeds and any option premium adjustments. Since this section displays and reports only proceeds-related information, you will not see the following information for transactions in this section: type of gain or loss (short term or long term), disposition method, date of acquisition, cost or other basis, wash sale loss disallowed amounts and realized gains and losses.

For additional information about wash sales, please refer to the following 2013 Instructions for Schedule D (and Form 8949) and IRS Pub. 550 (Investment Income and Expenses (Including Capital Gains and Losses)).

O = Option Premium. When stock is sold based upon the assignment of either a put or a call option, the proceeds of that sale are adjusted by the price of the option or the option premium. The proceeds amount is increased by the option premium received or decreased by the option premium paid. An adjustment code (O) will be displayed next to the amount for an option premium within the Adjustments column. See the Tax Guide or IRS Publication 550 for more information.

Realized Gain or Loss. The realized gain or loss for the transaction may be displayed. Note that the IRS does not require the reporting of this information on Form 1099-B. Sale Date Totals. If you have multiple lots with the same sale or exchange date you may see a line item with SALE DATE TOTAL noted in the Disposition Transaction column. The totals provided in this line item are an aggregate of the lots listed above the total line when the security and sale or exchange date are the same. For these totals the word VARIOUS will be displayed in the Date of Acquisition column since the total includes multiple lots with different acquisition dates. These total amounts are included to help assist you with the completion of IRS Form(s) 8949.

Transactions for Which Basis is Not Reported to the IRS. This section of the Tax and Year-End Statement reports proceeds information for noncovered transactions for which there is no holding period determination (short term or long term). You will see the following information reported or displayed in this section: noncovered indication, security description, disposition transaction type, date of sale or exchange, gross proceeds and any option premium adjustments. Since this section displays and reports only proceeds-related information, you will not see the following information for transactions in this section: type of gain or loss (short term or long term), disposition method, date of acquisition, cost or other basis, wash sale loss disallowed amounts and realized gains and losses.



Recipient's Name and Address

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 09690

Recipient's Identification  
Number: 45-1769542

### 2013 TAX and YEAR-END STATEMENT As of 02/11/2014

Securities are considered covered if they are acquired on or after their applicable January 1 effective date, and noncovered if they are acquired before their covered effective date, as follows:

- January 1, 2011 - Stock in a corporation
- January 1, 2012 - Mutual fund shares, stock in DRPs and ETFs that are treated like mutual funds for tax purposes
- January 1, 2014 - Other types of securities, principally simple debt instruments and options
- January 1, 2016 - Complex debt instruments

For tax return reporting purposes, you may need to make adjustments to your cost basis information on IRS Form 8949 and Schedule D of IRS Form 1040. You may also need to take into account tax reporting rules that a reporting financial organization is not required to use when preparing your Form 1099-B, such as when reporting wash sales. As a result, you must take into account all applicable tax return reporting rules, and be able to verify, from your own records, all cost basis information that is reported on your tax return. The IRS requires you to maintain all such records, in case it requests that you produce them.

For gilded shares where the original cost is greater than the fair market value, if you elect to include these shares in the average calculation, you must instruct your registered investment adviser or investment professional in writing to move these shares from fair market value to the average.

The following information may be provided below certain transactions:

**Cost Basis on Bonds.** Pershing is providing you with two different cost figures (when available) on debt instrument investments, the original cost of the bonds (which may have been provided by you or a third party) and a projection of where the adjusted current cost could be if the bonds had been amortized or accreted over the time you held the bonds. The method of amortization and accretion provided was designed for performance purposes only and may not be the same method you chose when deciding to amortize or accrete. You or your tax professional should verify the amounts that have been previously calculated to adjust the cost basis of the bond and reported throughout the life of the bond starting with the original purchase price.

The tax rules applicable to the reporting of gain and loss information are complex. You should consult your tax advisor for the appropriate tax treatment of your transactions and the manner in which they should be reported on your tax returns.

**Short Sales.** Cost basis reporting rules require brokers to report short sales for the tax year the short sale is "closed" (or the tax year it is covered by delivery of securities to satisfy the short sale obligation.) In tax years prior to 2011, short sales were reportable for the tax the year the short sell was "opened" (or the tax year it occurred).

Please see the 2013 Tax Guide at [mytaxandbook.com](http://mytaxandbook.com) for more information about cost basis reporting and your tax statement. For additional information about basis and its use during your tax preparation, please refer to the following IRS publications: 2013 Instructions for Schedule D (and Form 8949), IRS Publication 550 (Investment Income and Expenses) and IRS Publication 551 (Basis of Assets). You can find these publications at [irs.gov](http://irs.gov).

**Income Tax Withholding - Gross Proceeds**

If federal and/or state income taxes were withheld from your proceeds amounts, they will be reported and displayed in this section.

**Quantity.** This quantity is provided for reference purposes only and is the total number of shares that may have been split and reported in earlier 1099-B sections.

**Disposition Transactions.** This column is provided for reference purposes only and will denote the type of transaction, for example "SELL."

**Proceeds.** This amount is provided for reference purposes only and is the total proceeds amount for a sale or exchange. If a sale or exchange included multiple lots, the proceeds amounts were reported at the lot level in the appropriate 1099-B section.

**Federal Income Tax Withheld (Box 4).** Report federal income tax withheld (backup withholding) as a payment on IRS Form 1040 (U.S. Individual Income Tax Return), line 62. Federal income tax withheld is 28% of gross proceeds. See the Additional Information section of these instructions.

**State (Box 12).** Displays the two letter postal abbreviation of the state(s) for which state income taxes are being withheld.

**State ID Number (Box 13).** Displays the payer's state identification number(s).

**State Tax Withheld (Box 15).** Displays the amount of state income tax(es) withheld.

### DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Total Capital Gain Distributions (Box 2a)	Nondividend Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State (Box 12)	State ID Number (Box 13)	State Tax Withheld (Box 14)
BLACKROCK FLOATING	02/01/2013	3.57									
RATE INCOME	03/01/2013	2.91									
PORTFOLIO CLASS A	03/08/2013	0.60									
CUSIP: 09256H211											
											7.08

Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: ██████████8690  
 Recipient's Identification  
 Number 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT**  
 As of 02/11/2014

**DIVIDENDS AND DISTRIBUTIONS** (Details of Form 1099-DIV) (Continued)

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Total Capital Gain Distributions (Box 2e)	Nondividend Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State (Box 12)	State ID Number (Box 13)	State Tax Withheld (Box 14)
DWS FLOATING RATE FUND CLASS S CUSIP 23337F888	01/25/2013 02/22/2013	4.18 4.19									
		8.37									
ISHARES INC MSCI CDA ETF CUSIP 464286509	07/05/2013 12/30/2013	41.80 94.94	41.80 84.50					10.23 9.62			
		136.74	126.30					19.85			
ISHARES INC MSCI PACIFIC EX-JAPAN ETF CUSIP 464286665	12/30/2013 01/03/2014	115.97 10.82	76.77 6.74					1.15 0.11			
		126.79	83.51					1.26			
ISHARES INC MSCI JAPAN ETF CUSIP 464286848	07/05/2013 12/30/2013	31.90 58.87	31.90 53.50					3.65 4.14			
		90.77	85.40					7.79			
ISHARES TR TIPS BD ETF CUSIP 464287176	04/05/2013 05/07/2013 06/07/2013	2.41 7.78 7.33									
		17.52									
ISHARES TR MSCI EMERGING MKTS ETF	12/30/2013	179.63	131.33					16.50			

007416 ASB2P204 000320



Recipient's Name and Address:

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 8690

Recipient's Identification  
Number: 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV) (Continued)**

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Total Capital Gains Distributions (Box 2a)	Nonwithheld Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State ID Number (Box 13)	State Tax Withheld (Box 14)
CUSIP: 464287234										
ISHARES TR IBOXX USD	05/07/2013	9.05								
INVT GRADE CORP BD	06/07/2013	9.03								
ETF	08/07/2013	11.54								
CUSIP: 464287242	09/09/2013	12.07								
	11/07/2013	12.54								
	12/06/2013	12.50								
	01/02/2014	11.82								
		78.55								
ISHARES TR BARCLAYS										
7-10 YR TREAS BD ETF	05/07/2013	3.78								
CUSIP: 464287440	06/07/2013	3.96								
	10/07/2013	5.83								
	11/07/2013	5.97								
	12/06/2013	6.07								
		25.61								
ISHARES TR U S UTILS										
ETF	04/01/2013	67.71	67.71							
CUSIP: 464287697	07/02/2013	65.38	65.38							
	09/30/2013	73.15	73.15							
		206.24	206.24							
ISHARES TR DOW JONES										
U S ETF	04/01/2013	20.43	20.43							
CUSIP: 464287721	07/02/2013	23.25	23.25							
	09/30/2013	27.02	27.02							
	12/30/2013	29.29	29.29							

**Recipient's Name and Address**

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 8690

Recipient's Identification  
Number 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

**DIVIDENDS AND DISTRIBUTIONS**

(Details of Form 1099-DIV)

(Continued)

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Total Capital Gain Distributions (Box 2a)	Nondividend Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State (Box 12)	State ID Number (Box 13)	State Tax Withheld (Box 14)
		99.99	99.99								
ISHARES TR US REAL ESTATE ETF CUSIP: 464287739	04/01/2013	66.62	6.98								
ISHARES TR US INDUSTRIALS ETF CUSIP: 464287754	04/01/2013 07/02/2013 09/30/2013 12/30/2013	22.19 26.65 27.79 33.36	22.19 26.65 27.79 33.36								
		109.99	109.99								
ISHARES TR U S HEALTHCARE ETF CUSIP: 464287762	04/01/2013 07/02/2013 09/30/2013 12/30/2013 01/03/2014	24.88 28.44 23.48 26.72 2.42	24.88 28.44 23.48 26.72 2.42								
		105.94	105.94								
ISHARES TR US FINANCIALS ETF INDEX FD CUSIP: 464287788	04/01/2013 07/02/2013 09/30/2013 12/30/2013	22.27 26.43 28.66 45.70	22.27 21.54 22.39 35.70								
		123.06	101.90								
ISHARES TR U S ENERGY ETF CUSIP: 464287796	04/01/2013 07/02/2013 09/30/2013 12/30/2013	32.74 34.91 33.69 35.12	32.74 34.91 33.69 35.12								

007116 X1582F04 000024



**Recipient's Name and Address:**CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 8690

Recipient's Identification  
Number: 45-1769542**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014****DIVIDENDS AND DISTRIBUTIONS**

(Details of Form 1099-DIV)

(Continued)

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Total Capital Gain Distributions (Box 2a)	Non-Dividend Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State (Box 12)	State ID Number (Box 13)	State Tax Withheld (Box 14)
		136.46	136.46								
ISHARES TR IBOXX S	04/05/2013	19.05									
HIGH YIELD CORP BD	05/07/2013	14.98									
ETF	06/07/2013	15.33									
CUSIP: 464288513	08/07/2013	18.58									
	09/09/2013	19.68									
	10/07/2013	18.68									
	11/07/2013	18.46									
	12/06/2013	18.45									
	01/02/2014	19.16									
		162.37									
ISHARES TR MBS ETF	05/07/2013	2.22									
CUSIP: 464288588	06/07/2013	1.60									
	10/07/2013	3.98									
	11/07/2013	4.37									
	12/06/2013	5.04									
		17.21									
ISHARES TR SHORT	01/02/2014	0.17									
TREAS BD ETF											
CUSIP: 464288679											
ISHARES TR FLTG RATE	04/05/2013	1.53									
NT ETF	05/07/2013	0.96									
CUSIP: 464298655	06/07/2013	1.27									
	07/08/2013	1.32									

Recipient's Name and Address:

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: ██████████690

Recipient's Identification  
Number: 45-1769542

**2013 TAX and  
YEAR-END STATEMENT**  
As of 02/11/2014

**DIVIDENDS AND DISTRIBUTIONS**

(Continued)

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Total Capital Gain Distributions (Box 2a)	Nondividend Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State Tax Withheld (Box 14)
	08/07/2013	1.24							
	09/09/2013	1.34							
	10/07/2013	1.25							
	11/07/2013	1.28							
	12/06/2013	1.35							
		11.54							
PIMCO EMERGING	02/10/2013	11.18							
LOCAL BOND FUND	03/01/2013	9.51							
CLASS D	03/07/2013	1.65							
CUSIP: 72201F383									
		22.34							
SPDR S&P 500 ETF TR	04/30/2013	36.07	34.08						
TR UNIT	07/31/2013	75.52	71.36						
CUSIP: 78462F103	10/31/2013	79.61	75.23						
	01/31/2014	94.10	88.92						
		285.30	269.59						
SELECT SECTOR SPDR	03/25/2013	30.69	26.97						
TR MATLS	07/01/2013	55.38	48.67						
CUSIP: 81369Y100	09/30/2013	50.87	44.71						
	12/31/2013	56.39	49.56						
		193.33	169.91						
SELECT SECTOR SPDR	03/25/2013	39.13	33.93						
TR CONSUMER STAPLES	07/01/2013	51.04	44.25						



**Recipient's Name and Address**

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 0000000690

Recipient's Identification  
Number: 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

**DIVIDENDS AND DISTRIBUTIONS** (Details of Form 1099-DIV) (Continued)

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Total Capital Gain Distributions (Box 2a)	Nondividend Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State (Box 12)	State ID Number (Box 13)	State Tax Withheld (Box 14)
CUSIP: 81369Y308	12/31/2013	67.65	58.66								
		157.82	136.84								
SELECT SECTOR SPDR	03/25/2013	23.36	23.36								
TR CONSUMER	07/01/2013	25.91	25.91								
DISCRETIONARY	09/30/2013	29.94	29.94								
TRANSN TO 06/24/02	12/31/2013	36.88	36.88								
CUSIP: 81369Y407		116.09	116.09								
VANGUARD INTL EQUITY	03/28/2013	89.78	74.82					4.11			
INDEX FDS FTSE	06/28/2013	353.41	294.53					16.16			
EUROPE ETF	09/27/2013	79.30	66.09					3.63			
CUSIP: 922042874	12/27/2013	93.38	77.82					4.27			
		615.87	513.26					28.17			
Dividends - U.S. Corporations .....		2,817.70	2,326.03								
Dividends - Foreign Corporations .....		283.70	73.70								
<b>Total</b>		<b>3,101.40</b>	<b>2,399.73</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>73.57</b>			<b>0.00</b>

**IRS Form 1099-DIV - Dividends and Distributions**

Dividends and other distributions from corporations, mutual funds, ETFs (treated as mutual funds for tax purposes), UITs and REITs are reported in this section of your Tax Information Statement. Income derived from money market funds will also be reported in this section. You will receive a separate IRS Form 1099-DIV directly from a money market fund if we did not handle the processing of your funds for the entire year.

**Box 1a - Total Ordinary Dividends.** Ordinary dividends, which include any not short-term capital gains from a mutual fund, are fully taxable. Ordinary dividends paid by corporations, mutual funds and certain UITs are included in this section of your Tax Information Statement. Subtotals for U.S. and foreign source ordinary dividends are included at the end of this section. For mutual funds and UITs, foreign income includes any distribution that is comprised in whole or in part of foreign-sourced ordinary dividends. Report total ordinary dividends on IRS Form 1040, line 9a, or IRS Form 1040A. Also report them on IRS Form 1040, Schedule B (Interest and Ordinary Dividends), line 5, if required. See the instructions for IRS Form 1040, Schedule B (Interest and Ordinary Dividends) to determine if you are required to complete Schedule B to report your dividends.

**Box 1b - Qualified Dividends.** This shows the portion of the amount in Box 1a that may be eligible for the 20%, 15% or 0% capital gains rates. See the Form 1040 or 1040A instructions for how to determine this amount. Report the eligible amount on line 9b, IRS Form 1040. If you have qualified dividends, you must figure your tax by completing the Qualified Dividends and Capital Gains Tax Worksheet in the IRS Form 1040 or 1040A instructions, or the Schedule D Tax Worksheet in the Schedule D instructions, whichever applies.

**Box 2a - Total Capital Gain Distributions.** This shows total capital gain distributions (long term) from a regulated investment company or REIT. Report the amounts shown in Box 2a on Schedule D of IRS Form 1040, line 13. But, if no amount is shown in Boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in Box 2a on line 13 of IRS Form 1040 rather than Schedule D. See IRS Form 1040 instructions.

**Recipient's Name and Address:**  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

**Account Number:** 8690  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**Box 2a - Unrecaptured Section 1250 Gain.** This shows the portion of the amount in Box 2a that is unrecaptured Section 1250 gain from certain depreciable real property. Use this amount when completing the Unrecaptured Section 1250 Gain Worksheet (found in the line 19 instructions for Schedule D (IRS Form 1040)).

**Box 2c - Section 1202 Gain.** This shows the portion of the amount in Box 2a that is a Section 1202 gain from certain small business stock that may be subject to a 50% exclusion. See the Schedule D (IRS Form 1040) instructions.

**Box 2d - Collectibles (28%) Gain.** This shows the 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet, line 18, in the instructions for Schedule D (IRS Form 1040).

**Box 3 - Nonqualified Distributions.** This shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis) by this amount (or figuring gain or loss when you sell your investment. But if you have recovered all your cost (or other basis), report future nontaxable distributions as capital gains, even though this form shows them as nontaxable. See IRS Publication 550, Investment Income and Expenses (including Capital and Losses).

**Box 4 - Federal Income Tax Withheld.** Report federal income tax withheld (backup withholding) as a payment on IRS Form 1040 (U.S. Individual Income Tax Return), line 62. Federal income tax withheld is 28% of dividends. See the Additional Information section of these instructions.

**Box 5 - Investment Expenses.** Your share of a UTI's and/or a WHFIT's expenses is reported in Box 5. You may deduct these expenses, subject to the 2% limit, on the "Other Expenses" line of IRS Form 1040, Schedule A, line 23. These expenses are included in Box 1a.

**Box 6 - Foreign Tax Paid.** This shows the foreign tax you may be able to claim as a deduction or a credit on IRS Form 1040. See the IRS Form 1040 instructions and the Foreign Tax Paid section of these instructions.

**Box 12 - State.** Displays the two letter postal abbreviation of the state(s) for which state income taxes are being withheld.

**Box 13 - State Identification No.** Displays Peshing LLC's payer state identification number(s).

**Box 14 - State Income Tax Withheld.** Displays amount of state income tax(es) withheld on interest payments reported on this form.

**Special Message for Owners of Mutual Funds, Unit Investment Trusts (UITs), Widely Held Fixed Investment Funds (WHFITs), Widely Held Foreign Investment Funds (WHFITs), and Real Estate Investment Trusts (REITs).** Income and interest declared on these investments in October, November or December 2013 is considered received on December 31, 2013, even if the income or interest was not actually paid until January 2014 (in the case of regulated investment companies (RICs), mutual funds and REITs) or February 2014 (in the case of WHFITs, WHFITs and UITs). Accordingly, those amounts are reported on your 2013 IRS Form 1099. Supplemental information regarding the percentages of tax-exempt income on municipal bond funds by state and the percentage of government agency, direct federal and foreign source income for funds will be available by March 1, 2014, at [mytaxhandbook.com](http://mytaxhandbook.com).

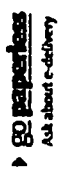
**TRANSACTIONS WE DO NOT REPORT TO THE IRS**

**ADVISORY FEES**

Description	Date Paid	Amount
MANAGEMENT FEE PAID	01/10/2013	(257.75)
INIT FEE BSD BRK CHG	03/08/2013	(17.12)
MANAGEMENT FEE PAID	04/03/2013	(228.93)
FEE BASED BRK CHARGE	04/10/2013	(98.28)
MANAGEMENT FEE PAID	04/10/2013	(514.90)
FEE BASED BRK CHARGE	07/11/2013	(99.81)
MANAGEMENT FEE PAID	07/11/2013	(690.54)
FEE BASED BRK CHARGE	10/10/2013	(98.98)
MANAGEMENT FEE PAID	10/11/2013	(710.56)
<b>Total</b>		<b>(2,716.87)</b>

**Advisory Fees.** Certain advisory fees charged to your account during 2013 will be displayed in this section. Advisory fees are generally deductible to the extent they exceed 2% of your AGI on IRS Form 1040, Schedule A, line 23.

**Tax Information Statement Instructions**



Recipient's Name and Address

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 09950

Recipient's Identification  
Number: 45-1769542

# 2013 TAX and YEAR-END STATEMENT As of 02/11/2014

The tax information statement provides a detailed summary of your brokerage account transactions during 2013. It includes information related to transactions we are required to report to the IRS, as well as information that we do not report. The instructions are provided to help you prepare your tax returns. For a more detailed explanation of your Tax Information Statement, please visit [mytaxhandbook.com](http://mytaxhandbook.com), or call (800) 890-0510 to receive a copy of the Tax Guide. If your account was transferred to our firm during 2013, your Tax Information Statement only includes your activity during the time you conducted business with our firm. Your former firm should provide you with IRS Form 1099 reporting for prior activity. These instructions have been tailored for use by taxpayers that are U.S. individuals who are "investors" for tax purposes.

## Additional Information

**Recipient's Identification Number.** For your protection, this form shows only the last four digits of your Social Security number (SSN), individual taxpayer identification number (ITIN), or adoption taxpayer identification number (ATIN) if you received a physical copy of this statement in the mail. Per IRS requirements, if you received this statement electronically your entire SSN, ITIN or ATIN is displayed. However, Pershing LLC will report your complete identification number to the IRS and, where applicable, to state and/or local governments. **Electronic Delivery.** The IRS allows for the electronic delivery of 1099 forms and Pershing offers electronic delivery of this tax information statement. If you would like to "go paperless," please see [mytaxhandbook.com](http://mytaxhandbook.com) and speak to your advisor for more information.

**Marriage Residency.** If your truncated Social Security number or Employer Identification Number is shown on your Tax Information Statement, and the statement includes amounts belonging to another person, you are considered a nominee recipient. Generally, you must file IRS Form 1099 for each of the other owners, showing the income allocable to each. File the applicable IRS Form 1099, along with IRS Form 1098 (Annual Summary and Transmittal of U.S. Information Returns), with the IRS Center in your area. List yourself as the "payer" on IRS Form 1099 and as the "filor" on IRS Form 1098. List the other owner(s) as the "recipient(s)" on IRS Form 1099. You must provide a copy of each IRS Form 1099. Spouses are not required to file a nominee return to show amounts owned by their spouse.

**Payers.** The "payer" for all transactions on your Tax Information Statement is Pershing LLC (Taxpayer Identification Number 13-2741729). This name and Taxpayer Identification Number should be listed wherever the payer's name is requested on an IRS form with respect to amounts reported on your Tax Information Statement.

**Corrections.** Please review your Tax Information Statement. If it is incorrect, contact your investment professional or financial organization. If necessary, we will promptly correct the information provided to the IRS and mail a Revised Tax Information Statement to you. After the initial mailing, revised statements will begin mailing in February and will be mailed at least weekly from March through the end of June.

**Federal Income Tax Withheld.** Federal income tax withheld is 28% of interest, dividends and proceeds from broker and dealer exchanges transactions, and could be reported in any of these sections of your Tax Information Statement. You should combine these amounts and report them on IRS Form 1040, line 62. Backup withholding applies when certain conditions exist. If this Tax Information Statement reflects backup withholding, you may need to provide a new IRS Form W-9 (Request for Taxpayer Identification Number and Certification). See IRS Form W-9 for information on backup withholding and how to furnish your Taxpayer Identification Number.

**State and Local Tax Requirements.** We are required to provide information to a number of state and local jurisdictions. This guide describes the federal tax reporting requirements. We are required to report information to California, Connecticut, Minnesota, Montana, New York and Rhode Island concerning municipal bond interest income earned from bonds not issued by these states. We report certain 1099 information directly to California, Kansas, Massachusetts, North Dakota and Oklahoma. For 2013 we withheld, remitted and reported state income tax for California, Maine and South Carolina according to the requirements of those states. We also provided tax information to Puerto Rico as required by the Puerto Rico taxing authority. Check with your tax professional for your specific state and local tax reporting requirements.

**Cost Basis Adjustments.** There are times when your cost basis reported from a broker will not match your calculations for reporting purposes. IRS Form 8949 allows you and the IRS to reconcile amounts that were reported to you and the IRS on IRS Form 1099-B with the amounts you report on your return.

**Form 2439.** If you held shares in a mutual fund or REIT that paid tax on undistributed long-term capital gains, we will issue IRS Form 2439 (Notice to Shareholder of Undistributed Long-Term Capital Gains) to you. This information is provided after the close of the fund's or the REIT's tax year and will be sent to you shortly after the information becomes available.

**Foreign Tax Paid.** Your Tax Information Statement may include foreign tax paid (withheld) from foreign source dividends and interest credited to your account during 2013. This information allows you to calculate and claim a foreign tax credit or deduction on your tax return, if you are eligible to do so. A foreign tax credit can be claimed either on IRS Form 1116 (Foreign Tax Credit) or, in some circumstances, by reporting it directly on IRS Form 1040, line 47. You can claim a deduction on IRS Form 1040, Schedule A (Itemized Deductions), line 8. See instructions for both IRS Form 1116 and IRS Form 1040 for additional information on foreign tax credits and deductions. Foreign tax paid is reported in the Form 1099-DIV and Form 1099-DIV sections of your Tax Information Statement. You should combine these amounts to determine your total foreign tax credit or deduction. A foreign tax credit may be claimed only if the tax was legally owed and not eligible for a refund.

**IRS Publications.** IRS publications are available through your local IRS office by calling the IRS Forms Distribution Center at (800) TAX-FORM, or visiting the IRS website at [irs.gov](http://irs.gov). For instance, IRS Publication 560 and IRS Publication 1212 provide useful tax information related to reporting securities transactions.

To receive more information regarding your Tax Information Statement, including illustrations on how to report your income, visit [mytaxhandbook.com](http://mytaxhandbook.com) or call (800) 890-0510 for a copy of the Tax Guide.

The instructions contained in this Tax Information Statement are not intended to provide tax advisory services. We suggest that you consult with your tax professional to discuss the appropriate federal, foreign, state and local tax treatment of your transactions. These instructions, as well as your Tax Information Statement, are solely intended to help you accumulate data to prepare your income tax return and should not be interpreted or relied upon as tax advice.

Trademark(s) belong to their respective owners.

Pershing Advisor Solutions LLC, a BNY Mellon company  
One Pershing Plaza, Jersey City, NJ 07399  
(877) 870-7230  
Member FINRA, SIPC

**2013 TAX and  
YEAR-END STATEMENT**  
As of 02/11/2014

**Recipient's Name and Address:**

00020911 02 AB 0.406 02 X58B2A05 TR 00134

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)  
31911 CLATSOP LN  
ARCH CAPE OR 97102-0151

**Your Financial Consultant:**

CHARLES A. DICE  
FINANCIAL AFFAIRS LLC  
31911 CLATSOP LANE OR 97102-0151  
ARCH CAPE OR 97102-0146  
(503) 436-0146  
ID: GQC

**Investment  
Account Statement**

**Account Holder Information:**  
Account Number: 8708

**General Information:**

Making sense of your finances just got simpler, thanks to this consolidated tax and year-end summary.

The following sources of must-have, year-end information are now at your fingertips:

- ◆ Tax Summary (IRS Form 1099)-containing a detailed summary of your reportable and other non-reportable 2013 brokerage account transactions to assist with tax preparation
- ◆ Cost Basis Service-featuring realized gains and losses for your investments
  - Cost Basis for noncovered securities has not been validated by Pershing and is not reported to the IRS
  - Cost Basis for bonds has been amortized or accreted using either yield to worst call or a yield to maturity; this may not be how you have been reporting the bonds and should only be used as a guide; the original basis has been provided to assist in calculating the correct deductions
  - Wash Sales have been calculated for both full and partial dispositions - for full dispositions, your net gain or loss will not change; the cost and holding period will be moved between tax lots

We hope you will find the information provided by these powerful tools helpful while preparing for the current tax-filing season.

For more information, please see the Tax Guide at [mytaxhandbook.com](http://mytaxhandbook.com).



Pershing Advisor Solutions LLC, a BNY Mellon company  
One Pershing Plaza, Jersey City, NJ 07399  
(877) 870-7230  
Member FINRA, SIPC

Account Number: ██████████ 3708

**2013 TAX and  
YEAR-END STATEMENT**  
As of 02/11/2014

**Recipient's Name and Address:**

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)  
31911 CLATSOP LN  
ARCH CAPE OR 97102-0151

**Your Financial Consultant:**

CHARLES A. DICE  
FINANCIAL AFFAIRS LLC  
31911 CLATSOP LANE  
ARCH CAPE OR 97102-0151  
(503) 436-0146  
ID: GQC

**Table of Contents**

**This tax statement may include the following IRS forms: 1099-B, 1099-INT, 1099-DIV, 1099-MISC and 1099-OID. Only the forms that pertain to the activity in this account are included in this tax statement. Please retain this document for tax preparation purposes.**

**1099 Form or Tax Statement Section**

**Starting Page Number**

Summary of Form 1099-B.....	1
1099-INT Form: Interest Income.....	1
1099-DIV Form: Dividends and Distributions.....	1
Summary of Form 1099-OID.....	1
Summary of Transactions We Do Not Report to the IRS.....	2
1099-B Forms: Proceeds From Broker and Barter Exchange Transactions.....	2
Short-Term Covered Transactions.....	2
Other Noncovered Transactions - No Holding Period.....	10
Dividends and Distributions (Details of Form 1099-DIV).....	12
Details for Transactions We Do Not Report to the IRS.....	14
Advisory Fees.....	14

20911 X582A05 007661



Pershing Advisor Solutions LLC, a BNY Mellon company  
 One Pershing Plaza, Jersey City, NJ 07399  
 (877) 870-7230  
 Member FINRA, SIPC

Account Number: 8708  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT**  
 As of 02/11/2014

**Recipient's Name and Address:**

CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)  
 31911 CLATSOP LN  
 ARCH CAPE OR 97102-0151

**Your Financial Consultant:**

CHARLES A DICE  
 FINANCIAL AFFAIRS LLC  
 31911 CLATSOP LANE  
 ARCH CAPE OR 97102-0151  
 (503) 436-0146  
 ID: GQC

**Payer information:**

PERSHING LLC  
 Federal Identification  
 Number: 13-2741729

**See page 2 if you are expecting another tax statement.**

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Box	Amount
1	57,468.45
3	51,765.52
4	0.00
5	0.00
6	0.00
7	0.00
8	0.00
9	0.00
10	0.00
11	0.00
12/13/14	0.00

**2013 1099-INT Interest Income** OMB No. 1545-0112

Details are reported to the IRS. Refer to the 1099-INT section of this statement for those details.

Box	Amount
1a	83.12
1b	0.04
2a	0.00
2b	0.00
2c	0.00
2d	0.00
3	0.00
4	0.00
5	0.00
6	0.80
8	0.00
9	0.00
10	0.00
11	0.00
12/13/14	0.00

**2013 1099-DIV Dividends and Distributions** OMB No. 1545-0110

Details are reported to the IRS. Refer to the 1099-DIV section of this statement for those details.

Box	Amount
1	0.00
3	0.00
4	0.00
5	0.00
6	0.00
8	0.00
9	0.00
10	0.00
11/12/13	0.00
11/12/13	0.00

**2013 1099-INT Interest Income** OMB No. 1545-0112

Details are reported to the IRS. Refer to the 1099-INT section of this statement for those details.

Box	Amount
1	0.00
3	0.00
4	0.00
5	0.00
6	0.00
8	0.00
9	0.00
10	0.00
11/12/13	0.00
11/12/13	0.00

**2013 1099-DIV Dividends and Distributions** OMB No. 1545-0110

Details are reported to the IRS. Refer to the 1099-DIV section of this statement for those details.



Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: 8708  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**IMPORTANT MESSAGE:** We send tax statements when information is finalized by securities issuers. If information is pending from issuers, you and members of your household may receive tax statement(s) at different times. Tax statement mailings will occur by January 31, February 18, February 28 and March 17, depending on when final information for your account is received from issuers. If you have any questions, please visit mytaxhandbook.com.

**Summary Of Transactions We Do Not Report To The IRS (See instructions for additional information)**

Advisory Fees \_\_\_\_\_ **Amount**  
 (129.97)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715**  
 (For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Disposition Transaction	Disposition Method	Quantity (Box 1c)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2e)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) 0=Option Premium	Realized Gain or Loss
SELL	VERSUS PURCHASE	55.116	04/18/2012	01/03/2013	726.43	729.18		(2.75)
SELL	VERSUS PURCHASE	505.323	04/18/2012	03/05/2013	6,655.11	6,685.43		(30.32)
SELL	VERSUS PURCHASE	1.110	04/30/2012	03/05/2013	14.62	14.68		(0.06)
SELL	VERSUS PURCHASE	1.133	05/31/2012	03/05/2013	14.92	15.10		(0.18)
SELL	VERSUS PURCHASE	1.007	06/29/2012	03/05/2013	13.26	13.45		(0.19)
SELL	VERSUS PURCHASE	.883	07/31/2012	03/05/2013	11.63	11.95		(0.32)
SELL	VERSUS PURCHASE	.958	08/31/2012	03/05/2013	12.62	13.00		(0.38)
SELL	VERSUS PURCHASE	.935	09/28/2012	03/05/2013	12.31	12.72		(0.41)

**Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part 1, with Box A checked. Covered (Box 6b)**

Description (Box 0): GOLDMAN SACHS GLOBAL INCOME FUND CLASS A CUSIP: 38141W109

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 8708

Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions - OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W-Wash Sale Loss (Box 5) 0=Option Premium	Realized Gain or (Loss)
CUSIP: 38141W109 (continued)								
Description (Box 8): GOLDMAN SACHS GLOBAL INCOME FUND CLASS A								
SELL	VERSUS PURCHASE	.911	11/01/2012	03/05/2013	12.00	12.46		(0.46)
SELL	VERSUS PURCHASE	.992	11/30/2012	03/05/2013	13.06	13.56		(0.50)
SELL	VERSUS PURCHASE	11.354	12/13/2012	03/05/2013	149.53	150.67		(1.14)
SELL	VERSUS PURCHASE	7.752	12/13/2012	03/05/2013	102.09	102.87		(0.78)
SELL	VERSUS PURCHASE	4.339	12/31/2012	03/05/2013	57.14	57.28		(0.14)
SELL	VERSUS PURCHASE	2.160	01/31/2013	03/05/2013	28.45	28.28		0.17
<b>SALE DATE TOTAL</b>					<b>7,096.74</b>	<b>7,131.45</b>		<b>(34.71)</b>
SELL	FIRST IN FIRST OUT	.927	03/05/2013	03/18/2013	12.22	12.20		0.02
<b>SECURITY TOTAL</b>					<b>7,835.39</b>	<b>7,872.83</b>		<b>(37.44)</b>

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W-Wash Sale Loss (Box 5) 0=Option Premium	Realized Gain or (Loss)
CUSIP: 38141W653								
Description (Box 8): GOLDMAN SACHS HIGH YIELD FUND CL A								
SELL	FIRST IN FIRST OUT	2.498	04/18/2012	01/03/2013	18.31	17.71		0.60
SELL	VERSUS PURCHASE	142.931	04/18/2012	03/05/2013	1,051.97	1,013.38		38.59
SELL	VERSUS PURCHASE	.387	04/30/2012	03/05/2013	2.85	2.77		0.08
SELL	VERSUS PURCHASE	.963	05/31/2012	03/05/2013	7.09	6.75		0.34
SELL	VERSUS PURCHASE	.910	06/29/2012	03/05/2013	6.70	6.47		0.23
SELL	VERSUS PURCHASE	87.945	07/11/2012	03/05/2013	647.28	628.81		18.47
SELL	VERSUS PURCHASE	1.194	07/31/2012	03/05/2013	8.79	8.60		0.19



**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: **83708**  
Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROLE DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W= Wash Sale Loss (Box 5) 0= Option Premium	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
<b>Description (Box 8): GOLDMAN SACHS HIGH YIELD FUND CL A</b>								
SELL	VERSUS PURCHASE	1.409	09/31/2012	03/05/2013	10.37	10.20		0.17
SELL	VERSUS PURCHASE	1.399	09/28/2012	03/05/2013	10.30	10.21		0.09
SELL	VERSUS PURCHASE	1.252	10/31/2012	03/05/2013	9.21	9.18		0.03
SELL	VERSUS PURCHASE	1.287	11/30/2012	03/05/2013	9.47	9.45		0.02
SELL	VERSUS PURCHASE	.418	12/13/2012	03/05/2013	3.08	3.05		0.03
SELL	VERSUS PURCHASE	3.996	12/13/2012	03/05/2013	29.41	29.13		0.28
SELL	VERSUS PURCHASE	1.311	12/31/2012	03/05/2013	9.65	9.56		0.09
<b>SALE DATE TOTAL</b>		<b>245.402</b>	<b>VARIOUS</b>	<b>03/05/2013</b>	<b>1,806.17</b>	<b>1,747.56</b>		<b>58.61</b>
SELL	FIRST IN FIRST OUT	1.307	03/05/2013	03/18/2013	9.61	9.61		0.00
<b>SECURITY TOTAL</b>					<b>1,834.09</b>	<b>1,774.88</b>		<b>59.21</b>
<b>Description (Box 8): GOLDMAN SACHS STRUCTURED LARGE CAP GROWTH H FD CL A</b>								
SELL	FIRST IN FIRST OUT	82.339	04/18/2012	01/03/2013	1,189.80	1,154.39		35.41
SELL	FIRST IN FIRST OUT	251.746	04/18/2012	03/05/2013	3,813.96	3,529.48		284.48
SELL	FIRST IN FIRST OUT	3.723	12/06/2012	03/05/2013	56.40	51.82		4.58
<b>SALE DATE TOTAL</b>		<b>255.469</b>	<b>VARIOUS</b>	<b>03/05/2013</b>	<b>3,870.36</b>	<b>3,581.30</b>		<b>289.06</b>
<b>SECURITY TOTAL</b>					<b>5,060.16</b>	<b>4,735.69</b>		<b>324.47</b>

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: 8708

Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 3b or 8)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) O=Option Premium	Realized Gain or Loss
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 8): GOLDMAN SACHS SHORT DURATION GOVT FUND C LASS A CUSIP: 38142B476								
SELL	FIRST IN FIRST OUT	33.153	04/18/2012	01/03/2013	340.48	341.81		(1.33)
Description (Box 8): GOLDMAN SACHS STRUCTURED LARGE CAP VALUE FD CL A CUSIP: 38142V225								
SELL	FIRST IN FIRST OUT	93.765	04/18/2012	01/03/2013	1,111.12	1,042.67		68.45
SELL	FIRST IN FIRST OUT	330.776	04/18/2012	03/05/2013	4,200.86	3,678.22		522.64
SELL	FIRST IN FIRST OUT	1.563	06/29/2012	03/05/2013	19.85	17.17		2.68
Wash sale: 84 day(s) added to holding period								
SELL	FIRST IN FIRST OUT	1.795	09/28/2012	03/05/2013	22.80	20.84		1.96
SELL	FIRST IN FIRST OUT	36	10/03/2012	03/05/2013	457.20	420.48		36.72
SELL	FIRST IN FIRST OUT	3.587	12/06/2012	03/05/2013	45.55	40.78		4.77
SALE DATE TOTAL		373.721	VARIOUS	03/05/2013	4,746.26	4,177.49		568.77
SECURITY TOTAL					5,857.38	5,220.16		637.22
Description (Box 8): GOLDMAN SACHS STRUCTURED SMALL CAP EQUITY YD CL A CUSIP: 38142V506								
SELL	FIRST IN FIRST OUT	76.489	04/18/2012	03/05/2013	1,104.50	992.07		112.43
SELL	FIRST IN FIRST OUT	28.341	10/03/2012	03/05/2013	409.24	376.09		33.15
SELL	FIRST IN FIRST OUT	.196	12/06/2012	03/05/2013	2.83	2.54		0.29
SELL	FIRST IN FIRST OUT	30.244	01/03/2013	03/05/2013	436.73	413.44		23.29
SALE DATE TOTAL		135.270	VARIOUS	03/05/2013	1,953.30	1,784.14		169.16



Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: ██████████8708  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
 (For individuals report details on Form 1040 Schedule D-Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1c)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W= Wash Sale Loss (Box 5) 0=Option Premium	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 8): GOLDMAN SACHS REAL ESTATE SECURITIES FUN D CLASS A CUSIP: 38142V829								
SELL	FIRST IN FIRST OUT	264	04/18/2012	01/03/2013	4.12	3.89		0.23
SELL	FIRST IN FIRST OUT	37.877	04/18/2012	03/05/2013	618.15	557.54		60.61
SELL	FIRST IN FIRST OUT	.222	05/29/2012	03/05/2013	3.62	3.31		0.31
SELL	FIRST IN FIRST OUT	.156	09/28/2012	03/05/2013	2.55	2.37		0.18
SELL	FIRST IN FIRST OUT	2.334	10/03/2012	03/05/2013	38.09	35.46		2.63
SALE DATE TOTAL		40.589	VARIOUS	03/05/2013	662.41	598.68		63.73
SECURITY TOTAL					665.53	602.57		63.96
Description (Box 8): GOLDMAN SACHS STRUCTURED INTL EQUITY FUND CLASS A CUSIP: 38142V878								
SELL	FIRST IN FIRST OUT	558.737	04/18/2012	03/05/2013	5,358.29	4,944.82		413.47
SELL	FIRST IN FIRST OUT	171.773	10/03/2012	03/05/2013	1,647.30	1,549.39		97.91
SELL	FIRST IN FIRST OUT	25.105	12/11/2012	03/05/2013	240.76	225.44		15.32
SELL	FIRST IN FIRST OUT	177.629	01/03/2013	03/05/2013	1,703.46	1,644.84		58.62
SALE DATE TOTAL		933.244	VARIOUS	03/05/2013	8,949.81	8,364.49		585.32
Description (Box 8): GOLDMAN SACHS STRATE GIC GROWTH FD CLASS A CUSIP: 38142V609								
SELL	FIRST IN FIRST OUT	46.711	04/18/2012	01/03/2013	518.03	529.70	3.77	(7.90)
SELL	FIRST IN FIRST OUT	127.479	04/18/2012	03/05/2013	1,485.13	1,445.61		39.52
SELL	FIRST IN FIRST OUT	14.202	12/06/2012	03/05/2013	165.45	154.79		10.66

Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: [REDACTED] 8708  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT**  
 As of 02/11/2014

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions** OMB No. 1545-0715 (Continued)  
 (For individuals report details on Form 1040, Schedule D, Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1c)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Loss (Box 5) O=Option Premium (Loss)	Realized Gain or (Loss)
-------------------------	--------------------	-------------------	------------------------------	-----------------------------------	--	-----------------------------	--	-------------------------

**Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.**

**Covered (Box 6b) (continued)**

Description (Box 8): GOLDMAN SACHS STRATE GIC GROWTH FD CLASS A

CUSIP: 38142Y609 (continued)

SELL	FIRST IN FIRST OUT	898	12/06/2012	03/05/2013	10.47	9.78		0.69
Wash sale: 260 day(s) added to holding period								
SALE DATE TOTAL		142.579	VARIOUS	03/05/2013	1,661.05	1,610.18		50.87
SECURITY TOTAL					2,179.08	2,139.88		42.97

Description (Box 8): GOLDMAN SACHS LARGE CAP VALUE FD CLASS A

CUSIP: 38142Y815

SELL	FIRST IN FIRST OUT	39.182	04/18/2012	01/03/2013	507.41	464.70		42.71
SELL	FIRST IN FIRST OUT	132.114	04/18/2012	03/05/2013	1,806.00	1,566.87		239.13
SELL	FIRST IN FIRST OUT	12.390	10/03/2012	03/05/2013	169.37	156.73		12.64
SELL	FIRST IN FIRST OUT	2.080	12/06/2012	03/05/2013	28.43	25.75		2.68
SALE DATE TOTAL		146.584	VARIOUS	03/05/2013	2,003.80	1,749.35		254.45
SECURITY TOTAL					2,511.21	2,214.05		297.16

Description (Box 8): GOLDMAN SACHS COMMODITY STRATEGY FD CLASS A

CUSIP: 38143H373

SELL	FIRST IN FIRST OUT	252.556	04/18/2012	03/05/2013	1,439.57	1,517.86		(78.29)
SELL	FIRST IN FIRST OUT	12.106	01/03/2013	03/05/2013	69.00	69.85		(0.85)
SALE DATE TOTAL		264.662	VARIOUS	03/05/2013	1,508.57	1,587.71		(79.14)



**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: ██████████8708

Recipient's Identification  
Number: 45-1769542

Recipient's Name and Address:  
CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**2013 Form 1099-B - Proceeds From Broker and Barter Exchange Transactions - OMB No. 1545-0715 (Continued)**  
(For individuals report details on Form 1040 Schedule D Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W-Wash Sale Loss (Box 5) 0-Option Premium	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 8): GOLDMAN SACHS INTERN ATIONAL REAL ESTATE SECS FD CL A CUSIP: 38143H589								
SELL	FIRST IN FIRST OUT	8.287	04/18/2012	01/03/2013	53.78	47.48		6.30
SELL	FIRST IN FIRST OUT	87.735	04/18/2012	03/05/2013	581.69	502.73		78.96
SELL	FIRST IN FIRST OUT	1.055	06/29/2012	03/05/2013	6.99	5.97		1.02
SELL	FIRST IN FIRST OUT	7.766	12/11/2012	03/05/2013	51.49	48.54		2.95
SALE DATE TOTAL		96.556	VARIOUS	03/05/2013	640.17	557.24		82.93
SECURITY TOTAL					693.95	604.72		89.23
Description (Box 8): GOLDMAN SACHS STRUCT URED EMERGING MKTS E QUITY FD CL A CUSIP: 38144N585								
SELL	FIRST IN FIRST OUT	70.506	04/18/2012	03/05/2013	642.31	600.01		42.30
SELL	FIRST IN FIRST OUT	197.996	07/11/2012	03/05/2013	1,803.75	1,550.31		253.44
SELL	FIRST IN FIRST OUT	102.674	10/03/2012	03/05/2013	935.36	868.62		66.74
SELL	FIRST IN FIRST OUT	5.067	12/11/2012	03/05/2013	46.16	44.39		1.77
SELL	FIRST IN FIRST OUT	115.615	01/03/2013	03/05/2013	1,053.25	1,067.13		(13.88)
SALE DATE TOTAL		491.858	VARIOUS	03/05/2013	4,480.83	4,130.46		350.37
Description (Box 8): GOLDMAN SACHS STRUCT URED INTERNATIONAL S M CAP FD CL A CUSIP: 38144N627								
SELL	FIRST IN FIRST OUT	5.437	04/18/2012	01/03/2013	45.51	44.31		1.20
SELL	FIRST IN FIRST OUT	107.230	04/18/2012	03/05/2013	953.27	873.93		79.34
SELL	FIRST IN FIRST OUT	5.541	12/11/2012	03/05/2013	49.26	44.33		4.93

Recipient's Name and Address  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: ██████████6708  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT**  
 As of 02/11/2014

**2013 Form 1099-B Proceeds From Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)**  
 (For individuals report details on Form 1040 Schedule D-Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W=Wash Sale Less (Box 5) 0=Option Premium	Realized Gain or (Loss)
<b>Short-Term Transactions for Which Basis Is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>								
<b>Covered (Box 6b) (continued)</b>								
Description (Box 8): GOLDMAN SACHS STRUCTURED INTERNATIONAL S M CAP FD CL A CUSIP: 38144AN627 (continued)								
SALE DATE TOTAL		112.771	VARIOUS	03/05/2013	1,002.53	918.26		84.27
SECURITY TOTAL					1,048.04	962.57		85.47
<b>Description (Box 8): GOLDMAN SACHS DYNAMI C ALLOCATION FUND CL ASS A CUSIP: 38145L505</b>								
SELL	FIRST IN FIRST OUT	673.135	07/11/2012	03/05/2013	7,424.68	7,182.35		242.33
SELL	FIRST IN FIRST OUT	1.285	10/03/2012	03/05/2013	14.17	14.40		(0.23)
SELL	FIRST IN FIRST OUT	19.750	12/06/2012	03/05/2013	217.84	212.31		5.53
SELL	FIRST IN FIRST OUT	4.241	12/06/2012	03/05/2013	46.78	45.59		1.19
SELL	FIRST IN FIRST OUT	18.866	01/03/2013	03/05/2013	208.10	202.62		5.48
SALE DATE TOTAL		717.277	VARIOUS	03/05/2013	7,911.57	7,657.27		254.30
<b>Description (Box 8): GOLDMAN SACHS LOCAL EMERGING MARKETS DEB T FUND CLASS A CUSIP: 38145N105</b>								
SELL	FIRST IN FIRST OUT	86.049	10/03/2012	03/05/2013	847.58	824.35		23.23
SELL	FIRST IN FIRST OUT	3.13	10/31/2012	03/05/2013	3.08	3.00		0.08
SELL	FIRST IN FIRST OUT	3.13	11/30/2012	03/05/2013	3.08	3.03		0.05
SELL	FIRST IN FIRST OUT	2.45	12/13/2012	03/05/2013	2.41	2.41		0.00
SELL	FIRST IN FIRST OUT	1.41	12/13/2012	03/05/2013	1.39	1.38		0.01
SELL	FIRST IN FIRST OUT	3.37	12/31/2012	03/05/2013	3.32	3.32		0.00
SELL	FIRST IN FIRST OUT	93.879	01/03/2013	03/05/2013	924.71	928.46	0.03 W	(3.72)



Recipient's Name and Address:

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 8708

Recipient's Identification  
Number: 45-1769542

2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014

2013 Form 1099-B Proceeds from Broker and Barter Exchange Transactions OMB No. 1545-0715 (Continued)  
(For individuals report details on Form 1040 Schedule D-Line 1b, 2, 8b or 9)

Disposition Transaction	Disposition Method	Quantity (Box 1e)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)		Realized Gain or (Loss)
						Other Basis (Box 3)	Wash Sale Loss (Box 5) 0=Option Premium	
<b>Covered (Box 6b) (continued)</b>								
Description (Box 6): GOLDMAN SACHS LOCAL EMERGING MARKETS DEB T FUND CLASS A CUSIP: 38145N105 (continued)								
SELL	FIRST IN FIRST OUT	644	03/01/2013	03/05/2013	6.35	6.34		0.01
Wash sale: 61 day(s) added to holding period								
SALE DATE TOTAL		181.921	VARIOUS	03/05/2013	1,791.92	1,772.29		19.66
<b>Short-Term Covered Total</b>					54,622.31	51,765.52		2,860.59
<b>Covered Total</b>					54,622.31	51,765.52		2,860.59

Transactions for Which Basis is Not Reported to the IRS and for Which Short- or Long-Term Determination is Unknown (to Broker) - You must determine short-term or long-term based on your records and report on Form 8949, Part I, with Box B checked, or on Form 8949, Part II, with Box E checked, as appropriate. Noncovered (Box 6a)

Description (Box 6): GOLDMAN SACHS SHORT DURATION GOVT FUND CLASS A CUSIP: 38142B476								
SELL		277.672		03/05/2013	2,846.14			0.00
<b>Other Noncovered Total</b>					2,846.14	0.00		0.00
<b>Noncovered Total</b>					2,846.14	0.00		0.00
<b>Total</b>					57,468.45	51,765.52		2,860.59

1099-B - Proceeds from Broker and Barter Exchange Transactions

The amounts in this section of your Tax Information Statement reflect proceeds from securities transactions such as sales, redemptions, tender offers, return of principal distributions, the option premium portion of reverse convertibles and bond maturities. Short-term and long-term transactions are segregated in your 1099-B form in a format comparable to IRS Form 8949, for dispositions of covered and noncovered securities. Since your financial organization subscribes to our premium Tax and Year-End Statement, the date of acquisition, cost or other basis, type of gain or loss (long-term or short-term) and whether any loss is disallowed due to a wash sale for both covered and noncovered securities transactions will be displayed when available. Please note that such detail for noncovered transactions is not reported to the IRS. Type of Gain/Loss (Box 1c). The section headings within the 1099-B indicate the type of gain or (loss) for the transactions, short-term or long-term Covered (0) or Noncovered (1) Security (Box 6). The section headings within the 1099-B indicate whether your security transaction is or is not a covered security under the IRS cost basis reporting program. Description (Box 6). Shows a brief description of the item or service for which the proceeds are being reported.

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Recipient's Name and Address:

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 3708

Recipient's Identification  
Number: 45-1769542

CUSIP. Broker transactions may show the Committee on Uniform Security Identification Procedures (CUSIP) number of the item reported.

Disposition Transaction. This column will denote the type of transaction, for example "SELL."

Disposition Method. The method used to select the lot will be displayed as, for example, first-in first-out (FIFO). Please refer to the Client Service Information Section in your brokerage account statement for your account's existing tax-lot disposition method.

Quantity (Box 1a). The number of shares included in the sale or exchange for the lot reported. If fractional shares are part of the disposition, those shares will be displayed to three decimal places.

Date of Acquisition (Box 1b). This box represents the date you acquired the security or, for short sales, the date you opened the short sale. You may see the word "VARIOUS" displayed in this column if the disposition transaction includes multiple lots with various acquisition dates.

Date of Sale or Exchange (Box 1c). This box shows the trade date of the sale or exchange. For short sales, the date shown is the date you closed the short sale.

Gross Proceeds (Less Commissions and Option Premiums) (Box 2a). Gross proceeds from transactions involving stocks, bonds and other debt obligations are reported in Box 2a. These amounts do not reflect net profits and are net of transaction costs (for instance, commissions and option premiums). Report the gross proceeds from each transaction separately on IRS Form 8949 (Sales and Other Dispositions of Capital Assets) and IRS Form 1040 Schedule D (Capital Gains and Losses). See the Instructions for Form 8949 for exceptions to reporting each transaction on a separate row. The box does not include proceeds from regulated futures or foreign currency forward contracts.

Cost or Other Basis (Box 3). This box shows the original cost, adjusted cost basis due to a corporate action or gifted or inherited cost basis. The IRS provides a detailed description of cost or other basis reporting in the 2013 Instructions for Form 1099-B available at [irs.gov](http://irs.gov). For additional information about cost basis and its use during your tax preparation, please refer to the following IRS publications: IRS instructions for Schedule D and Form 8949, IRS Pub. 550 (Investment Income and Expenses (Including Capital Gains and Losses)) and IRS Pub. 551 (Basis of Assets). Average cost is segregated between covered, non-covered and gifted (see the Tax Guide at [mytaxhandbook.com](http://mytaxhandbook.com) for more specific details).

Adjustments. This column may display the following:

W = Wash Sale Loss Disallowed (Box 5). An adjustment code (W) will be displayed next to an amount for a disallowed wash sale loss within the Adjustments column. This loss is being reported as disallowed because the sale of the covered security has been treated as a broker wash sale. This occurs when you re-purchase the identical security, as determined by CUSIP number, in the same brokerage account within the 30-day period preceding or following the date of the original loss. The wash sale loss is reported as a positive amount as required by the IRS.

For additional information about wash sales, please refer to the following: 2013 Instructions for Schedule D (and Form 8949) and IRS Pub. 550 (Investment Income and Expenses (Including Capital Gains and Losses)).

O = Option Premium. When stock is sold based upon the assignment of either a put or a call option, the proceeds of that sale are adjusted by the price of the option or the option premium. The proceeds amount is increased by the option premium received or decreased by the option premium paid. An adjustment code (O) will be displayed next to the amount for an option premium within the Adjustment column. See the Tax Guide or IRS Publication 550 for more information.

Realized Gain or (Loss). The realized gain or loss for the transaction may be displayed. Note that the IRS does not require the reporting of this information on Form 1099-B.

Sale Date Totals. If you have multiple lots with the same sale or exchange date you may see a line item with SALE DATE TOTAL noted in the Disposition Transaction column. The totals provided in this line item are an aggregate of the lots listed above the total line when the security and sale or exchange date are the same. For these totals the word VARIOUS will be displayed in the Date of Acquisition column since the total includes multiple lots with different acquisition dates. These total amounts are included to help assist you with the completion of IRS Form(s) 8949.

Transactions for Which Basis is Not Reported to the IRS. This section of the Tax and Year-End Statement reports proceeds information for noncovered transactions for which there is no holding period determination (short term or long term). You will see the following information reported or displayed in this section: noncovered indication, security description, disposition transaction type, date of sale or exchange, gross proceeds and any option premium adjustments. Since this section displays and reports only proceeds-related information, you will not see the following information for transactions in this section: type of gain or loss (short term or long term), disposition method, date of acquisition, cost or other basis, wash sale loss disallowed amounts and realized gains and losses.

Securities are considered covered if they are acquired on or after their applicable January 1 effective date, and noncovered if they are acquired before their covered effective date, as follows:

January 1, 2011 - Stock in a corporation

January 1, 2012 - Mutual fund shares, stock in DRPs and ETFs that are treated like mutual funds for tax purposes

January 1, 2014 - Other types of securities, principally simple debt instruments and options

January 1, 2016 - Complex debt instruments

For tax return reporting purposes, you may need to make adjustments to your cost basis information on IRS Form 8949 and Schedule D of IRS Form 1040. You may also need to take into account tax reporting rules that a reporting financial organization is not required to use when preparing your Form 1099-B, such as when reporting wash sales. As a result, you must take into account all applicable tax return reporting rules, and be able to verify, from your own records, all cost basis information that is reported on your tax return. The IRS requires you to maintain all such records, in case it requests that you produce them.

For gifted shares where the original cost is greater than the fair market value, if you elect to include these shares in the average calculation, you must instruct your registered investment advisor or investment professional in writing to move these shares from fair market value to the average.

The following information may be provided below certain transactions.

Cost Basis on Bonds. Pershing is providing you with two different cost figures (when available) on debt instrument investments, the original cost of the bonds (which may have been provided by you or a third party) and a projection of where the adjusted current cost could be if the bonds had been amortized or accreted over the time you held the bonds. The method of amortization and accretion provided was designed for performance purposes only and may not be the same method you chose when deciding to amortize or accrete. You or your tax professional should verify the amounts that have been previously calculated to adjust the cost basis of the bond and reported throughout the life of the bond starting with the original purchase price.

The tax rules applicable to the reporting of gain and loss information are complex. You should consult your tax advisor for the appropriate tax treatment of your transactions and the manner in which they should be reported on your tax returns.

Short Sales. Cost basis reporting rules require brokers to report short sales for the tax year the short sale is "closed" (or the tax year it is covered by delivery of securities to satisfy the short sale obligation.) In tax years prior to 2011, short sales were reportable for the tax the year the short sell was "opened" (or the tax year it occurred).

Please see the 2013 Tax Guide at [mytaxhandbook.com](http://mytaxhandbook.com) for more information about cost basis reporting and your tax statement. For additional information about basis and its use during your tax preparation, please refer to the following IRS publications: 2013 Instructions for Schedule D (and Form 8949), IRS Publication 550 (Investment Income and Expenses) and IRS Publication 551 (Basis of Assets). You can find these publications at [irs.gov](http://irs.gov).

Income Tax Withholding - Gross Proceeds

If federal and/or state income taxes were withheld from your proceeds amounts, they will be reported and displayed in this section.

Quantity. This quantity is provided for reference purposes only and is the total number of shares that may have been split and reported in earlier 1099-B sections.

Page 11 of 15

TEFRA-ROLL

GO paperless  
Ask about e-delivery



**Recipient's Name and Address:**CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: ██████████ 8708

Recipient's Identification  
Number 45-1769542**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014****Disposition Transaction.** This column is provided for reference purposes only and will denote the type of transaction, for example "SELL".**Proceeds.** This amount is provided for reference purposes only and is the total proceeds amount for a sale or exchange. If a sale or exchange included multiple lots, the proceeds amounts were reported at the lot level in the appropriate 1099-B section.**Federal Income Tax Withheld (Box 4).** Report federal income tax withheld (backup withholding) as a payment on IRS Form 1040 (U.S. Individual Income Tax Return), line 62. Federal income tax withheld is 28% of gross proceeds. See the Additional Information section of these instructions.**State (Box 13).** Displays the two letter postal abbreviation of the state(s) for which state income taxes are being withheld.**State ID Number (Box 14).** Displays the payer's state identification number(s).**State Tax Withheld (Box 15).** Displays the amount of state income tax(es) withheld.**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Total Capital Gain Distributions (Box 2a)	Nondividend Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State (Box 12)	State ID Number (Box 13)	State Tax Withheld (Box 14)
GOLDMAN SACHS	01/31/2013	28.28									
GLOBAL INCOME FUND CLASS A	03/01/2013	12.20									
CUSIP: 38141W109	03/07/2013	1.86									
		42.34									
GOLDMAN SACHS HIGH YIELD FUND CL A	02/01/2013	9.46	0.02								
CUSIP: 38141W653	03/01/2013	9.61	0.02								
	03/07/2013	1.53									
		20.60	0.04								
GOLDMAN SACHS SHORT DURATION GOVT FUND CLASS A	02/01/2013	2.62									
CUSIP: 38142B476	03/01/2013	1.82									
	03/07/2013	0.33									
		4.77									
GOLDMAN SACHS LOCAL EMERGING MARKETS DEBT FUND CLASS A	02/01/2013	7.72						0.39			
CUSIP: 38145N105	03/01/2013	6.68						0.36			
	03/07/2013	1.01						0.05			

Recipient's Name and Address

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 8708

Recipient's Identification  
Number: 45-1769542

2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014

DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV) (Continued)

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Total Capital Gain Distributions (Box 2c)	Nondividend Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State ID Number (Box 13)	State Tax Withheld (Box 14)
Dividends - U.S. Corporations		15.41						0.80		
Dividends - Foreign Corporations		67.71	0.04							
		15.41	0.00							
<b>Total</b>		<b>83.12</b>	<b>0.04</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.80</b>		<b>0.00</b>

IRS Form 1099-DIV - Dividends and Distributions

Dividends and other distributions from corporations, mutual funds, ETFs (treated as mutual funds for tax purposes), UITs and REITs are reported in this section of your Tax Information Statement. Income derived from money market funds will also be reported in this section. You will receive a separate IRS Form 1099-DIV directly from a money market fund if we did not handle the processing of your funds for the entire year.

**Box 1a - Total Ordinary Dividends.** Ordinary dividends, which include any net short-term capital gains from a mutual fund, are fully taxable. Ordinary dividends paid by corporations, mutual funds and certain UITs are included in this section of your Tax Information Statement Subtotals for U.S. and foreign source ordinary dividends are included at the end of this section. For mutual funds and UITs, foreign income includes any distribution that is composed in whole or in part of foreign-sourced ordinary dividends. Report total ordinary dividends on IRS Form 1040, line 9a, or IRS Form 1040A. Also report them on IRS Form 1040, Schedule B (Interest and Ordinary Dividends), line 5, if required. See the instructions for IRS Form 1040, Schedule B (Interest and Ordinary Dividends) to determine if you are required to complete Schedule B to report your dividends.

**Box 1b - Qualified Dividends.** This shows the portion of the amount in Box 1a that may be eligible for the 20%, 15% or 0% capital gains rates. See the Form 1040 or 1040A instructions for how to determine this amount. Report the eligible amount on line 9b, IRS Form 1040. If you have qualified dividends, you must figure your tax by completing the Qualified Dividends and Capital Gains Tax Worksheet in the Schedule D Tax Worksheet in the Schedule D instructions, whichever applies.

**Box 2a - Total Capital Gain Distributions.** This shows total capital gain distributions (long term) from a regulated investment company or REIT. Report the amounts shown in Box 2a on Schedule D or IRS Form 1040, line 13. But, if no amount is shown in Boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in Box 2a on line 13 of IRS Form 1040 rather than Schedule D. See IRS Form 1040 instructions.

**Box 2b - Unrecaptured Section 1250 Gain.** This shows the portion of the amount in Box 2a that is unrecaptured Section 1250 gain from certain depreciable real property. Use this amount when completing the Unrecaptured Section 1250 Gain Worksheet found in the line 19 instructions for Schedule D (IRS Form 1040).

**Box 2c - Section 1202 Gain.** This shows the portion of the amount in Box 2a that is a Section 1202 gain from certain small business stock that may be subject to a 50% exclusion. See the Schedule D (IRS Form 1040) instructions.

**Box 2d - Collectibles (28%) Gain.** This shows the 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet, line 18, in the instructions for Schedule D (IRS Form 1040).

**Box 3 - Nondividend Distributions.** This shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your investment. But if you have recovered all your cost (or other basis), report future nontaxable distributions as capital gains, even though this form shows them as nontaxable. See IRS Publication 550, Investment Income and Expenses (including Capital and Losses).

**Box 4 - Federal Income Tax Withheld.** Report federal income tax withheld (backup withholding) as a payment on IRS Form 1040 (U.S. individual income tax return), line 62. Federal income tax withheld is 28% of dividends. See the Additional Information section of these instructions.

**Box 5 - Investment Expenses.** Your share of a UITs and/or a WHFT's expenses is reported in Box 5. You may deduct these expenses, subject to the 2% limit, on the "Other Expenses" line of IRS Form 1040, Schedule A, line 23. These expenses are included in Box 1a.

**Box 6 - Foreign Tax Paid.** This shows the foreign tax you may be able to claim as a deduction or a credit on IRS Form 1040. See the IRS Form 1040 instructions and the Foreign Tax Paid section of these instructions.

**Box 12 - State.** Displays the two letter postal abbreviation of the state(s) for which state income taxes are being withheld.

**Box 13 - State Identification No.** Displays Payer's state identification number(s).

**Box 14 - State Income Tax Withheld.** Displays amount of state income tax(es) withheld on interest payments reported on this form.

**Special Message for Owners of Mutual Funds, Unit Investment Trusts (UITs), Weekly Field Fund Investment Trusts (WHFTs), and Real Estate Investment Trusts (REITs).** Income and interest declared on these investments in October, November or December 2013 is considered received on December 31, 2013, even if the income or interest was not actually paid until January 2014 (in the case of regulated investment companies (RICs), mutual funds and REITs) or February 2014 (in the case of WHFTs, UITs and REITs). Accordingly, these amounts are reported on your 2013 IRS Form 1099. Supplemental information regarding the percentages of tax-empt income on municipal bond funds by state and the percentage of government agency, direct federal and foreign source income for funds will be available by March 1, 2014, at mytaxhandbook.com.



**Recipient's Name and Address:**

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**Account Number:** [REDACTED] 8708

**Recipient's Identification  
Number** 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

**TRANSACTIONS WE DO NOT REPORT TO THE IRS**

**ADVISORY FEES**

Description	Date Paid	Amount
MANAGEMENT FEE PAID	01/07/2013	(37.50)
MANAGEMENT FEE PAID	01/10/2013	(92.47)
<b>Total</b>		<b>(129.97)</b>

**Advisory Fees.** Certain advisory fees charged to your account during 2013 will be displayed in this section. Advisory fees are generally deductible to the extent they exceed 2% of your AGI on IRS Form 1040, Schedule A, line 21.

**Tax Information Statement Instructions**

The tax information statement provides a detailed summary of your brokerage account transactions during 2013. It includes information related to transactions we are required to report to the IRS, as well as information that we do not report. The instructions are provided to help you prepare your tax returns. For a more detailed explanation of your Tax Information Statement, please visit [mytaxhandbook.com](http://mytaxhandbook.com), or call (888) 860-8510 to receive a copy of the Tax Guide. If your account was transferred to our firm during 2013, your Tax Information Statement only includes your activity during the time you conducted business with our firm. Your former firm should provide you with IRS Form 1099 reporting for prior activity. These instructions have been tailored for use by taxpayers that are U.S. individuals who are "investors" for tax purposes.

**Additional Information**

**Recipient's Identification Number.** For your protection, this form shows only the last four digits of your Social Security number (SSN), individual taxpayer identification number (ITIN), or adoption taxpayer identification number (ATIN) if you received a physical copy of this statement in the mail. Per IRS requirements, if you received this statement electronically your entire SSN, ITIN or ATIN is displayed. However, Pershing LLC will report your complete identification number to the IRS and, where applicable, to state and/or local governments.

**Electronic Delivery.** The IRS allows for the electronic delivery of 1099 forms and Pershing offers electronic delivery of this tax information statement. If you would like to "go paperless," please see [mytaxhandbook.com](http://mytaxhandbook.com) and speak to your advisor for more information.

**Nominee Reports.** If your truncated Social Security number or Employer Identification Number is shown on your Tax Information Statement and the statement includes amounts belonging to another person, you are considered a nominee recipient. Generally, you must file IRS Form 1099 for each of the other owners, showing the income allocable to each. File the applicable IRS Form 1099 along with IRS Form 1096 (Annual Summary and Transmittal of U.S. Information Returns) with the IRS Center in your area. List yourself as the "payer" on IRS Form 1099 and as the "filer" on IRS Form 1096. List the other owner(s) as the "recipient(s)" on IRS Form 1099. You must provide a copy of each IRS Form 1099 you file to the other owner(s). Spouses are not required to file a nominee return to show amounts owned by their spouse.

**Payer.** The "payer" for all transactions on your Tax Information Statement is Pershing LLC (Taxpayer Identification Number 13-2741729). This name and Taxpayer Identification Number should be listed whenever the payer's name is requested on an IRS form with respect to amounts reported on your Tax Information Statement.

**Corrections.** Please review your Tax Information Statement. If it is incorrect, contact your investment professional or financial organization. If necessary, we will promptly correct the information provided to the IRS and mail a Revised Tax Information Statement to you. After the initial mailing, revised statements will begin mailing in February and will be mailed at least weekly from March through the end of June.

**Federal Income Tax Withheld.** Federal income tax withheld is 28% of interest, dividends and proceeds from broker and dealer exchange transactions, and could be reported in any of these sections of your Tax Information Statement. You should combine these amounts and report them on IRS Form 1040, line 62. Backup withholding applies when certain conditions exist. If this Tax Information Statement reflects backup withholding, you may need to provide a new IRS Form W-9 (Request for Taxpayer Identification Number and Certification). See IRS Form W-9 for information on backup withholding and how to furnish your Taxpayer Identification Number.

**State and Local Tax Reporting.** We are required to provide information to a number of state and local jurisdictions. This guide describes the federal tax reporting requirements. We are required to report information to California, Connecticut, Minnesota, Montana, New York and Rhode Island concerning municipal bond interest income earned from bonds not issued by these states. We report certain 1099 information directly to California, Kansas, Massachusetts, North Dakota and Oklahoma. For 2013 we withheld, remitted and reported state income tax for California, Maine and South Carolina according to the requirements of those states. We also provided tax information to Puerto Rico as required by the Puerto Rico taxing authority. Check with your tax professional for your specific state and local tax reporting requirements.

**Cost Basis Adjustments.** There are times when your cost basis reported from a broker will not match your calculations for reporting purposes. IRS Form 8949 allows you and the IRS to reconcile amounts that were reported to you and the IRS on IRS Form 1099-B with the amounts you report on your return.

**Form 2439.** If you held shares in a mutual fund or REIT that paid tax on undistributed long-term capital gains, we will issue IRS Form 2439 (Notice to Shareholder of Undistributed Long-Term Capital Gains) to you. This information is provided after the close of the fund's or the REIT's tax year and will be sent to you shortly after the information becomes available.

**Foreign Tax Paid.** Your Tax Information Statement may include foreign tax paid (withheld) from foreign source dividends and interest credited to your account during 2013. This information allows you to calculate and claim a foreign tax credit or deduction on your tax return, if you are eligible to do so. A foreign tax credit can be claimed either on IRS Form 1116 (Foreign Tax Credit) or, in some circumstances, by reporting it directly on IRS Form 1040, line 47. You can claim a deduction on IRS Form 1040, Schedule A (Itemized Deductions), line 8. See instructions for both IRS Form 1116 and IRS Form 1040 for additional information on foreign tax credits and deductions. Foreign tax paid is reported on the Form 1099-INT and Form 1099-DIV sections of your Tax Information Statement. You should combine these amounts to determine your total foreign tax credit or deduction. A foreign tax credit may be claimed only if the tax was legally owed and not eligible for a refund.

**Recipient's Name and Address:**

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**Account Number:** 00000003708

**Recipient's Identification  
Number:** 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

IRS Publications, IRS publications are available through your local IRS office by calling the IRS Forms Distribution Center at (800) TAX FORM, or visiting the IRS website at irs.gov. For instance, IRS Publication 550 and IRS Publication 1212 provide useful tax information related to reporting securities transactions.

To receive more information regarding your Tax Information Statement, including illustrations on how to report your income, visit mytaxhandbook.com or call (888) 860-8510 for a copy of the Tax Guide.

The instructions contained in this Tax Information Statement are not intended to provide tax advisory services. We suggest that you consult with your tax professional to discuss the appropriate federal, foreign, state and local tax treatment of your transactions. These instructions, as well as your Tax Information Statement, are solely intended to help you accumulate data to prepare your income tax return and should not be interpreted or relied upon as tax advice.

Trademark(s) belong to their respective owners

020911 XLSB2A05 007669



Pershing Advisor Solutions LLC, a BNY Mellon company  
One Pershing Plaza, Jersey City, NJ 07399  
(877) 870-7230  
Member FINRA, SIPC

Account Number: 3682

**2013 TAX and  
YEAR-END STATEMENT**  
As of 02/11/2014

**Recipient's Name and Address**

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)  
31911 CLATSOP LN  
ARCH CAPE OR 97102-0151

**Your Investment Advisor**

CHARLES A DICE  
FINANCIAL AFFAIRS LLC  
31911 CLATSOP LANE  
ARCH CAPE OR 97102-0151  
(503) 436-0146  
ID GQC

**Table of Contents**

This tax statement may include the following IRS forms: 1099-B, 1099-INT, 1099-DIV, 1099-MISC and 1099-OID. Only the forms that pertain to the activity in this account are included in this tax statement. Please retain this document for tax preparation purposes.

**1099 Form or Tax Statement Section**

**Starting Page Number**

Summary of Form 1099-B.....	1
1099-INT Form: Interest Income.....	1
1099-DIV Form: Dividends and Distributions.....	1
Summary of Form 1099-OID.....	1
Summary of Transactions We Do Not Report to the IRS.....	2
1099-B Forms: Proceeds From Broker and Barter Exchange Transactions.....	2
Short-Term Covered Transactions.....	2
Long-Term Covered Transactions.....	3
Dividends and Distributions (Details of Form 1099-DIV).....	5
Details for Transactions We Do Not Report to the IRS.....	7
Advisory Fees.....	7



Pershing Advisor Solutions LLC, a BNY Mellon company  
 One Pershing Plaza, Jersey City, NJ 07399  
 (877) 870-7230  
 Member FINRA, SIPC

Account Number: ██████████682  
 Recipient's Identification  
 Number: 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**Recipient's Name and Address**

CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)  
 31911 CLATSOP LN  
 ARCH CAPE OR 97102-0151

**Account Information**

CHARLES A. DICE  
 FINANCIAL AFFAIRS LLC  
 31911 CLATSOP LANE  
 ARCH CAPE OR 97102-0151  
 (503) 436-0146  
 ID: GQC

**Payment Information**

PERSHING LLC  
 Federal Identification  
 Number: 13-2741729

**See page 2 if you are expecting another tax statement.**

This important tax information and is being furnished to the Internal Revenue Service (IRS) as indicated. If you are required to file a return, please file on a timely basis. A return may be imposed on you if this information is taxable and the IRS determines that it is so. It is not to be used for any other purpose.

**2013 Summary of Form 1099-DIV**  
 Details are reported to the IRS for the 1099-DIV section of this statement. For more details.

Box	Amount
1	5,837.73
3	5,084.72
4	0.00
5	0.00
6	0.00
7	0.00
8	0.00
9	0.00
10	0.00
11	0.00

**2013 Dividends and Distributions**  
 OMB No. 1545-0040

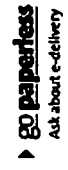
Box	Amount
1a	1,169.23
1b	152.75
2a	267.09
2b	0.00
2c	0.00
2d	0.00
3	0.00
4	0.00
5	0.00
6	9.13
8	0.00
9	0.00
10	0.00
11	0.00
12/13/14	State /State ID# /State Tax Withheld

**2013 Interest Income**  
 OMB No. 1545-0027

Box	Amount
1	0.00
3	0.00
4	0.00
5	0.00
6	0.00
8	0.00
9	0.00
10	0.00
11/12/13	State /State ID# /State Tax Withheld

**2013 Summary of Form 1099-DIV**  
 Details are reported to the IRS for the 1099-DIV section of this statement. For more details.

Box	Amount
Original Issue Discount (Non-U.S. Treasury Obligations)	0.00
Other Periodic Interest	0.00
Original Issue Discount on U.S. Treasury Obligations	0.00
Investment Expenses	0.00
Federal Income Tax Withheld	0.00
State Tax Withheld	0.00



Recipient's Name and Address:  
 CAROL E DICE MEMORIAL FOUNDATION  
 (NON-TAXABLE)

Account Number: 8682  
 Recipient's Identification  
 Number 45-1769542

**2013 TAX and  
 YEAR-END STATEMENT  
 As of 02/11/2014**

**IMPORTANT MESSAGE:** We send tax statements when information is finalized by securities issuers. If information is pending from issuers, you and members of your household may receive tax statement(s) at different times. Tax statement mailings will occur by January 31, February 18, February 28 and March 17, depending on when final information for your account is received from issuers. If you have any questions, please visit mytaxhandbook.com.

**Summary Of Transactions We Do Not Report To The IRS (See instructions for additional information)**

Advisory Fees ..... Amount  
 (1,072.31)

**2013 Form 1099-B Proceeds from Broker and Barter Exchange Transactions OMB No. 1545-0715**  
 (For individual's report details on Form 1040 Schedule D, Line 1b, 2, 6b, or 9)

This is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Disposition Transaction	Disposition Method	Quantity (Box 1c)	Date of Acquisition (Box 1b)	Date of Sale or Exchange (Box 1a)	Gross Proceeds Less Commissions and Option Premiums (Box 2a)	Cost or Other Basis (Box 3)	Adjustments W-Wash Sale Loss (Box 5) 0-Option Premium (Loss)	Realized Gain or (Loss)	
<b>Short-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part I, with Box A checked.</b>									
<b>Covered (Box 6b)</b>									
<b>Description (Box 8): *GUIDEMARK LARGE CAP VALUE FUND CUSIP: 36191K306</b>									
SELL	FIRST IN FIRST OUT	66 699	04/18/2012	01/18/2013	598.96	550.93		48.03	
<b>Description (Box 8): *GUIDEMARK SMALL/MID CAP CORE FUND CUSIP: 36191K504</b>									
SELL	FIRST IN FIRST OUT	36 714	04/18/2012	01/18/2013	461.86	414.87		46.99	
<b>Description (Box 8): *GUIDEMARK WORLD EX- U.S. FUND CUSIP: 36191K702</b>									
SELL	FIRST IN FIRST OUT	45 284	04/18/2012	01/18/2013	365.44	334.65		30.79	
<b>Description (Box 8): *GUIDEMARK CORE FIXE D INCOME FUND CUSIP: 36191K668</b>									
SELL	FIRST IN FIRST OUT	109 717	04/18/2012	01/18/2013	1,088.39	1,081.81		6.58	
<b>Short-Term Covered Total</b>							<b>2,514.65</b>	<b>2,382.26</b>	<b>132.39</b>

Account Number: 8682

Recipient's Identification Number 45-1769542

Recipient Name and Address

CAROL E DICE MEMORIAL FOUNDATION (NON-TAXABLE)

2013 TAX and YEAR-END STATEMENT AS of 02/11/2014

2013 Form 1099-B Proceeds from Broker and Barter Exchange Transactions OMB No. 1545-0713 (Continued)

(For individuals report details on Form 1040 Schedule D, line 1b, 2, 8b or 9)

Table with columns: Disposition Transaction, Disposition Method, Quantity (Box 1c), Date of Acquisition (Box 1b), Date of Sale or Exchange (Box 1e), Gross Proceeds Less Commissions and Option Premiums (Box 2a), Cost or Other Basis (Box 3), Adjustments (Wash Sale Loss (Box 5), 0-Option Premium), and Realized Gain or Loss.

Long-Term Transactions for Which Basis is Reported to the IRS - Report on Form 8949, Part II, with Box D checked.

Covered (Box 6b)

Description (Box 6): \*GUIDEMARK GLOBAL REAL RETURN FUND SEI CLASS CUSIP: 36191E888

SELL FIRST IN FIRST OUT 30 190 04/18/2012 10/01/2013 272 92 279 26 (6 34)

Description (Box 6): \*GUIDEMARK LARGE CAP GROWTH FUND CUSIP: 36191K108

SELL FIRST IN FIRST OUT 57 911 04/18/2012 10/01/2013 715 78 604 59 111 19

Description (Box 6): \*GUIDEMARK LARGE CAP VALUE FUND CUSIP: 36191K306

SELL FIRST IN FIRST OUT 62 120 04/18/2012 10/01/2013 675 24 513 11 162 13

Description (Box 6): \*GUIDEMARK SMALL/MID CAP CORE FUND CUSIP: 36191K504

SELL FIRST IN FIRST OUT 62 808 04/18/2012 10/01/2013 966 62 709 73 256 89

Description (Box 6): \*GUIDEMARK WORLD EX-U.S. FUND CUSIP: 36191K702

SELL FIRST IN FIRST OUT 80 619 04/18/2012 10/01/2013 692 52 595 77 96 75

Long-Term Covered Total 3,323.08 2,702.46 620.62

Covered Total 5,837.73 5,084.72 753.01

Total 5,837.73 5,084.72 753.01

IRS Form 1099-B - Proceeds from Broker and Barter Exchange Transactions

The amounts in this section of your Tax Information Statement reflect proceeds from securities transactions such as sales, redemptions, tender offers, return of principal distributions, the option premium portion of reverse convertibles and bond maturities. Short-term and long-term transactions are segregated in your 1099-B form in a format comparable to IRS Form 8949, for dispositions of covered and noncovered securities. Since your financial organization subscribes to our premium Tax and Year-End Statement, the date of acquisition, cost or other basis type of gain or loss (long-term or short-term) and whether any loss is disallowed due to a wash sale for both covered and noncovered securities transactions will be displayed when available. Please note that such detail for noncovered transactions is not reported to the IRS.

Recipient's Name and Address

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 662

Recipient's Identification  
Number 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

**CUSIP.** Broker transactions may show the Committee on Uniform Security Identification Procedures (CUSIP) number of the cam reported.

**Disposition Transaction.** This column will denote the type of transaction for example "SELL."

**Disposition Method.** The method used to select the lot will be displayed as, for example, first-in first-out (FIFO). Please refer to the Client Service Information Section in your brokerage account statement for your account's existing tax lot disposition method.

**Quantity (Box 1a).** The number of shares included in the sale or exchange for the lot reported. If fractional shares are part of the disposition, those shares will be displayed to three decimal places.

**Date of Acquisition (Box 1b).** This box represents the date you acquired the security or for short sales, the date you opened the short sale. You may see the word "VARIOUS" displayed in this column if the disposition transaction includes multiple lots with various acquisition dates.

**Date of Sale or Exchange (Box 1c).** This box shows the trade date of the sale or exchange. For short sales, the date shown is the date you closed the short sale.

**Gross Proceeds (Less Commissions and Option Premiums) (Box 2a).** Gross proceeds from transactions involving stocks, bonds and other debt obligations are reported in Box 2a. These amounts do not reflect net profits and are net of transaction costs (for instance, commissions and option premiums). Report the gross proceeds from each transaction separately on IRS Form 8949 (Sales and Other Dispositions of Capital Assets) and IRS Form 1040, Schedule D (Capital Gains and Losses). See the instructions for Form 8949 for exceptions to reporting each transaction on a separate row. This box does not include proceeds from regulated futures or foreign currency forward contracts.

**Cost or Other Basis (Box 3).** This box shows the original cost, adjusted cost basis due to a corporate action or gifted or inherited cost basis. The IRS provides a detailed description of cost or other basis reporting in the 2013 Instructions for Form 1099-B available at [irs.gov](http://irs.gov). For additional information about cost basis and its use during your tax preparation, please refer to the following IRS publications: IRS instructions for Schedule D and Form 8949, IRS Pub 550 (Investment Income and Expenses (including Capital Gains and Losses)) and IRS Pub 551 (Basis of Assets). Average cost is segregated between covered, non-covered and gifted (see the Tax Guide at [mytaxhandbook.com](http://mytaxhandbook.com) for more specific details).

**Adjustments.** This column may display the following:

**W = Wash Sale Loss Disallowed (Box 5).** An adjustment code (W) will be displayed next to an amount for a disallowed wash sale loss within the Adjustments column. The loss is being reported as disallowed because the sale of the covered security has been treated as a broker wash sale. This occurs when you re-purchase the identical security, as determined by CUSIP number, in the same brokerage account within the 30-day period preceding or following the date of the original loss. The wash sale loss is reported as a positive amount as required by the IRS.

For additional information about wash sales, please refer to the following: 2013 Instructions for Schedule D (and Form 8949) and IRS Pub 550 (Investment Income and Expenses (including Capital Gains and Losses)).

**O = Option Premium.** When stock is sold based upon the assignment of either a put or a call option, the proceeds of that sale are adjusted by the price of the option or the option premium. The proceeds amount is increased by the option premium received or decreased by the option premium paid. An adjustment code (O) will be displayed next to the amount for an option premium within the Adjustments column. See the Tax Guide or IRS Publication 550 for more information.

**Realized Gain or (Loss).** The realized gain or loss for the transaction may be displayed. Note that the IRS does not require the reporting of this information on Form 1099-B.

**Sale Date Totals.** If you have multiple lots with the same sale or exchange date you may see a line item with SALE DATE TOTAL noted in the Disposition Transaction column. The totals provided in this line item are an aggregate of the lots listed above the total line when the security and sale or exchange date are the same. For those totals the word VARIOUS will be displayed in the Date of Acquisition column since the total includes multiple lots with different acquisition dates. These total amounts are included to help assist you with the completion of IRS Form(s) 8949.

**Transactions for Which Basis is Not Reported to the IRS.** This section of the Tax and Year-End Statement reports proceeds information for noncovered transactions for which there is no holding period determination (short term or long term). You will see the following information reported or displayed in this section: noncovered indication, security description, disposition transaction type, date of sale or exchange, gross proceeds and any option premium adjustments. Since this section displays and reports only proceeds-related information, you will not see the following information for transactions in this section: type of gain or loss (short term or long term), disposition method, date of acquisition, cost or other basis, wash sale loss disallowed amounts and realized gains and losses.

Securities are considered covered if they are acquired on or after their applicable January 1 effective date and noncovered if they are acquired before their covered effective date as follows:

January 1, 2011 - Stock in a corporation

January 1, 2012 - Mutual fund shares, stock in DRPs and ETFs that are treated like mutual funds for tax purposes

January 1, 2014 - Other types of securities, principally simple debt instruments and options

January 1, 2016 - Complex debt instruments

For tax return reporting purposes, you may need to make adjustments to your cost basis information on IRS Form 8949 and Schedule D of IRS Form 1040. You may also need to take into account tax reporting rules that a reporting financial organization is not required to use when preparing your Form 1099-B, such as when reporting wash sales. As a result, you must take into account all applicable tax return reporting rules, and be able to verify, from your own records, all cost basis information that is reported on your tax return. The IRS requires you to maintain all such records, in case it requests that you produce them.

For gifted shares where the original cost is greater than the fair market value, if you elect to include these shares in the average calculation, you must instruct your registered investment advisor or investment professional in writing to move these shares from fair market value to the average.

The following information may be provided below certain transactions:

**Cost Basis on Bonds.** Perhaps providing you with two different cost figures (when available) on debt instrument investments: the original cost of the bonds (which may have been provided by you or a third party) and a projection of where the adjusted current cost could be if the bonds had been amortized or accreted over the time you held the bonds. The method of amortization and accretion provided was designed for performance purposes only and may not be the same method you chose when deciding to amortize or accrete. You or your tax professional should verify the amounts that have been previously calculated to adjust the cost basis of the bond and reported throughout the life of the bond starting with the original purchase price.

The tax rules applicable to the reporting of gain and loss information are complex. You should consult your tax advisor for the appropriate tax treatment of your transactions and the manner in which they should be reported on your tax returns.

**Short Sales.** Cost basis reporting rules require brokers to report short sales for the tax year the short sale is "closed" (or the tax year it is covered by delivery of securities to satisfy the short sale obligation). In tax years prior to 2011, short sales were reportable for the tax the year the short sale was "opened" (or the tax year it occurred).

Please see the 2013 Tax Guide at [mytaxhandbook.com](http://mytaxhandbook.com) for more information about cost basis reporting and your tax statement. For additional information about basis and its use during your tax preparation, please refer to the following IRS publications: 2013 Instructions for Schedule D (and Form 8949), IRS Publication 550 (Investment Income and Expenses) and IRS Publication 551 (Basis of Assets). You can find these publications at [irs.gov](http://irs.gov).

**Income Tax Withholding - Gross Proceeds**

If federal and/or state income taxes were withheld from your proceeds amounts, they will be reported and displayed in this section.

**Quantity.** This quantity is provided for reference purposes only and is the total number of shares that may have been split and reported in earlier 1099-B sections.

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Account Number: **3682**

Recipient's Identification  
Number 45-1769547

**Recipient's Name and Address:**

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**Disposition Transaction.** This column is provided for reference purposes only and will denote the type of transaction, for example "SELL".  
**Proceeds.** This amount is provided for reference purposes only and is the total proceeds amount for a sale or exchange. If a sale or exchange included multiple lots, the proceeds amounts were reported at the lot level in the appropriate 1099-B section.  
**Federal Income Tax Withheld (Box 4).** Report federal income tax withheld (backup withholding) as a payment on IRS Form 1040 (U.S. Individual Income Tax Return), line 62. Federal income tax withheld is 28% of gross proceeds. See the Additional Information section of these instructions.  
**State (Box 13).** Displays the two letter postal abbreviation of the state(s) for which state income taxes are being withheld.  
**State ID Number (Box 14).** Displays the payer's state identification number(s).  
**State Tax Withheld (Box 15).** Displays the amount of state income tax(es) withheld.

**DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	*Total Capital Gains Distributions (Box 2a)	Nondividend Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State ID Number (Box 13)	State Tax Withheld (Box 14)
*GUIDEMARK GLOBAL REAL RETURN FUND SERVICE CLASS CUSIP: 36191E888	12/30/2013	25.27	25.27							
*GUIDEMARK LARGE CAP GROWTH FUND CUSIP: 36191K108	12/30/2013	3.94	3.94							
*GUIDEMARK LARGE CAP VALUE FUND CUSIP: 36191K306	12/30/2013	77.60	77.60							
*GUIDEMARK WORLD EX-U.S. FUND CUSIP: 36191K702	12/30/2013	45.94	45.94					9.13		
*GUIDEMARK CORE FIXED INCOME FUND CUSIP: 36191K868	03/22/2013 06/21/2013 09/20/2013 12/30/2013 12/30/2013	185.36 232.73 283.66 298.82 15.91								267.09
		1,016.48		267.09						
Dividends - U.S. Corporations		1,123.29	106.81							
Dividends - Foreign Corporations		45.94	45.94							

Seq. # (1-25 407513)

TEFRA-ROLL

GO paperless  
Ask about e-delivery

Recipient's Name and Address

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

Account Number: 3582

Recipient's Identification  
Number: 45-1769542

2013 TAX and  
YEAR-END STATEMENT  
AS of 02/11/2014

DIVIDENDS AND DISTRIBUTIONS

(Details of Form 1099-DIV)

(Continued)

Description	Date Paid	Total Ordinary Dividends (Box 1a)	Qualified Dividends (Box 1b)	Total Capital Gain Distributions (Box 2a)	Nondividend Distributions (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)	State Number (Box 12)	State ID Number (Box 13)	State Tax Withheld (Box 14)
		1,169.23	152.75	267.09	0.00	0.00	0.00	9.13			0.00
<b>Total</b>											

All Capital Gain Distributions paid were classified as Long Term Capital Gain Distributions (see instructions for details).

IRS Form 1099-DIV - Dividends and Distributions

Dividends and other distributions from corporations, mutual funds, ETFs (treated as mutual funds for tax purposes), UITs and REITs are reported in this section of your Tax Information Statement. Income derived from money market funds will also be reported in this section. You will receive a separate IRS Form 1099-DIV directly from a money market fund if we did not handle the processing of your funds for the entire year.

**Box 1a - Total Ordinary Dividends.** Ordinary dividends, which include any net short-term capital gains from a mutual fund, are fully taxable. Ordinary dividends paid by corporations, mutual funds and certain UITs are included in this section of your Tax Information Statement. Subtotals for U.S. and foreign source ordinary dividends are included at the end of this section. For mutual funds and UITs, foreign income includes any distribution that is comprised in whole or in part of foreign-sourced ordinary dividends. Report total ordinary dividends on IRS Form 1040, line 8a, or IRS Form 1040A. Also report them on IRS Form 1040, Schedule B (Interest and Ordinary Dividends), line 5, if required. See the instructions for IRS Form 1040, Schedule B (Interest and Ordinary Dividends) to determine if you are required to complete Schedule B to report your dividends.

**Box 1b - Qualified Dividends.** This shows the portion of the amount in Box 1a that may be eligible for the 20%, 15% or 0% capital gains rates. See the Form 1040 or 1040A instructions for how to determine this amount. Report the eligible amount on line 8b, IRS Form 1040. If you have qualified dividends, you must figure your tax by completing the Qualified Dividends and Capital Gains Tax Worksheet in the Schedule D Tax Worksheet in the Schedule D instructions, whichever applies.

**Box 2a - Total Capital Gain Distributions.** This shows total capital gain distributions (long term) from a regulated investment company or REIT. Report the amounts shown in Box 2a on Schedule D of IRS Form 1040, line 13. But, if no amount is shown in Boxes 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in Box 2a on line 13 of IRS Form 1040 rather than Schedule D. See IRS Form 1040 instructions.

**Box 2b - Unrecaptured Section 1250 Gain.** This shows the portion of the amount in Box 2a that is unrecaptured Section 1250 gain from certain depreciable real property. Use this amount when completing the Unrecaptured Section 1250 Gain Worksheet found in the line 19 instructions for Schedule D (IRS Form 1040).

**Box 2c - Section 1202 Gain.** This shows the portion of the amount in Box 2a that is a Section 1202 gain from certain small business stock that may be subject to a 50% exclusion. See the Schedule D (IRS Form 1040) instructions.

**Box 2d - Capital Gains (28%) Gain.** This shows the 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet, line 18, in the instructions for Schedule D (IRS Form 1040).

**Box 3 - Nonqualified Distributions.** This shows the part of the distribution that is non-taxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by the amount for (ignoring gain or loss when you sell your investment. But, if you have recovered all your cost (or other basis), report future non-taxable distributions as capital gains, even though this form shows them as non-taxable. See IRS Publication 550, Investment Income and Expenses (including Capital and Loans).

**Box 4 - Federal Income Tax Withheld.** Report federal income tax withheld (backup withholding) as a payment on IRS Form 1040 (U.S. Individual Income Tax Return), line 62. Federal income tax withheld is 28% of dividends. See the Additional Information section of these instructions.

**Box 5 - Investment Expenses.** Your share of a UIT's and/or a WHF's expenses is reported in Box 5. You may deduct these expenses, subject to the 2% limit, on the "Other Expenses" line of IRS Form 1040, Schedule A, line 23. These expenses are included in Box 1a.

**Box 6 - Foreign Tax Paid.** This shows the foreign tax you may be able to claim as a deduction or a credit on IRS Form 1040. See the IRS Form 1040 instructions and the Foreign Tax Paid section of these instructions.

**Box 12 - State.** Displays the two letter postal abbreviation of the state(s) for which state income taxes are being withheld.

**Box 13 - State Identification No.** Displays Paying LLC's payer state identification number(s).

**Box 14 - State Income Tax Withheld.** Displays amount of state income tax(es) withheld on interest payments reported on this form.

**Special Message for Owners of Mutual Funds, Unit Investment Trusts (UITs), Money Market Funds, Money Market Funds (MMFs), Money Market Funds (MMFs), and Real Estate Investment Trusts (REITs).** Income and interest declared on these investments in October, November or December 2013 is considered received on December 31, 2013, even if the income or interest was not actually paid until January 2014 (in the case of regulated investment companies (RICs), mutual funds and REITs) or February 2014 (in the case of WHF's, WHM's and UITs). Accordingly, these amounts are reported on your 2013 IRS Form 1099. Supplemental information regarding the percentages of tax-exempt income on municipal bond funds by state and the percentage of government agency, direct federal and foreign source income for funds will be available by March 1, 2014, at [myfundsbook.com](http://myfundsbook.com).

Recipient's Identification  
Number 45-1769542

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)

**TRANSACTIONS WE DO NOT REPORT TO THE IRS**

**ADVISORY FEES**

Description	Date Paid	Amount
MANAGEMENT FEE PAID	01/10/2013	(255.12)
MANAGEMENT FEE PAID	04/10/2013	(257.64)
MANAGEMENT FEE PAID	07/11/2013	(259.09)
MANAGEMENT FEE PAID	10/11/2013	(260.46)
<b>Total</b>		<b>(1,032.31)</b>

**Advisory Fees.** Certain advisory fees charged to your account during 2013 will be displayed in this section. Advisory fees are generally deductible to the extent they exceed 2% of your AGI on IRS Form 1040, Schedule A, line 23.

**Tax Information Statement Instructions**

The tax information statement provides a detailed summary of your brokerage account transactions during 2013. It includes information related to transactions we are required to report to the IRS, as well as information that we do not report. The instructions are provided to help you prepare your tax returns. For a more detailed explanation of your Tax Information Statement, please visit [myfidelity.com](http://myfidelity.com), or call (888) 860-8510 to receive a copy of the Tax Guide. If your account was transferred to our firm during 2013, your Tax Information Statement only includes your activity during the time you conducted business with our firm. Your former firm should provide you with IRS Form 1099 reporting for prior activity. These instructions have been tailored for use by taxpayers that are U.S. individuals who are "investors" for tax purposes.

**Additional Information**

**Recipient's Identification Number.** For your protection, this form shows only the last four digits of your Social Security number (SSN) or adoption taxpayer identification number (ATIN). If you received a physical copy of this statement in the mail, Per IRS requirements, if you received this statement electronically your entire SSN, ITIN or ATIN is displayed. However, Pershing LLC will report your complete identification number to the IRS and, where applicable, to state and/or local governments.

**Electronic Delivery.** The IRS allows for the electronic delivery of 1099 forms and Pershing offers electronic delivery of this tax information statement. If you would like to "go paperless," please see [myfidelity.com](http://myfidelity.com) and speak to your advisor for more information.

**Nonresident Recipients.** If your truncated Social Security number or Employer Identification Number is shown on your Tax Information Statement, and the statement includes amounts belonging to another person, you are considered a nominee recipient. Generally, you must file IRS Form 1099 for each of the other owners, showing the income allocable to each. File the applicable IRS Form 1099, along with IRS Form 1099, along with IRS Form 1099 (Annual Summary and Transmittal of U.S. Information Returns), with the IRS Center in your area. List yourself as the "payer" on IRS Form 1099 and as the "filer" on IRS Form 1099. You must provide a copy of each IRS Form 1099 you file to the other owner(s) as the "recipient(s)" on IRS Form 1099. You must provide a copy of each IRS Form 1099 you file to the other owner(s). Spouses are not required to file a nominee return to show amounts earned by their spouse.

**Payer.** The "payer" for all transactions on your Tax Information Statement is Pershing LLC (Taxpayer Identification Number 13-2741729). This name and Taxpayer Identification Number should be listed wherever the payer's name is requested on an IRS form with respect to amounts reported on your Tax Information Statement.

**Contributions.** Please review your Tax Information Statement. If it is incorrect, contact your investment professional or financial organization. If necessary, we will promptly correct the information provided to the IRS and mail a Revised Tax Information Statement to you. After the initial mailing, revised statements will begin mailing in February and will be mailed at least weekly from March through the end of June.

**Federal Income Tax Withheld.** Federal income tax withheld is 25% of interest, dividends and proceeds from broker and dealer exchange transactions, and could be reported in any of these sections of your Tax Information Statement. You should combine these amounts and report them on IRS Form 1040, line 62. Backup withholding applies when certain conditions exist. If this Tax Information Statement reflects backup withholding, you may need to provide a new IRS Form W-9 (Request for Taxpayer Identification Number and Certification). See IRS Form W-9 for information on backup withholding and how to furnish your Taxpayer Identification Number.

**State and Local Tax Reporting.** We are required to provide information to a number of state and local jurisdictions. This guide describes the federal tax reporting requirements. We are required to report information to California, Connecticut, Minnesota, Montana, New York and Rhode Island concerning municipal bond interest income earned from bonds not issued by these states. We report certain 1099 information directly to California, Kansas, Massachusetts, North Dakota and Oklahoma. For 2013 we withheld, remitted and reported state income tax for California, Maine and South Carolina according to the requirements of those states. We also provided tax information to Puerto Rico as required by the Puerto Rico taxing authority. Check with your tax professional for your specific state and local tax reporting requirements.

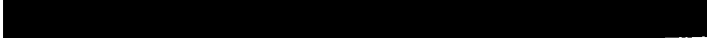
**Cash Basis Adjustments.** There are times when your cost basis reported from a broker will not match your calculations for reporting purposes. IRS Form 8949 allows you and the IRS to reconcile amounts that were reported to you and the IRS on IRS Form 1099-B with the amounts you report on your return.

**Form 2439B.** If you held shares in a mutual fund or REIT that paid tax on undistributed long-term capital gains, we will issue IRS Form 2439B (Notice to Shareholder of Undistributed Long-Term Capital Gains) to you. This information is provided after the close of the fund's or the REIT's tax year and will be sent to you shortly after the information becomes available.

**Foreign Tax Paid.** Your Tax Information Statement may include foreign tax paid (withheld) from foreign source dividends and interest credited to your account during 2013. This information allows you to calculate and claim a foreign tax credit or deduction on your tax return. If you are eligible to do so, a foreign tax credit can be claimed either on IRS Form 1118 (Foreign Tax Credit) or, in some circumstances, by reporting it directly on IRS Form 1040, line 47. You can claim a deduction on IRS Form 1040, Schedule A (Itemized Deductions), line 8. See

Recipient's Name and Address

CAROL E DICE MEMORIAL FOUNDATION  
(NON-TAXABLE)



Account Number: 0000008682

Recipient's Identification  
Number 45-1769542

**2013 TAX and  
YEAR-END STATEMENT  
As of 02/11/2014**

Instructions for both IRS Form 1116 and IRS Form 1040 for additional information on foreign tax credits and deductions. Foreign tax paid is reported in the Form 1099-INT and Form 1099-DIV sections of your Tax Information Statement. You should combine these amounts to determine your total foreign tax credit or deduction. A foreign tax credit may be claimed only if the tax was legally owed and not eligible for a refund.

**IRS Publications.** IRS publications are available through your local IRS office by calling the IRS Forms Distribution Center at (800) TAX-FORM or using the IRS website at [irs.gov](http://irs.gov). For instance, IRS Publication 550 and IRS Publication 1212 provide useful tax information related to reporting securities transactions.

To receive more information regarding your Tax Information Statement, including illustrations on how to report your income, visit [mytaxhandbook.com](http://mytaxhandbook.com) or call (888) 850-8510 for a copy of the Tax Guide.

The instructions contained in this Tax Information Statement are not intended to provide tax advisory services. We suggest that you consult with your tax professional to discuss the appropriate federal, foreign, state and local tax treatment of your transactions. These instructions, as well as your Tax Information Statement, are solely intended to help you accumulate data to prepare your income tax return and should not be interpreted or relied upon as tax advice.

Trademark(s) belong to their respective owners.