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Form 990-PF



Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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OMB No 1545-0052

2013

Open to Public Inspection

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

| | | | |
|--|--|--|--|
| Name of foundation SHAFFER FAMILY FOUNDATION DTD 42911 CO LAWRENCE M SCHWARTZ CPA | | A Employer identification number 45-6314648 | |
| Number and street (or P O box number if mail is not delivered to street address) 2211 ENCINITAS BLVD | | Room/suite | |
| City or town, state or province, country, and ZIP or foreign postal code ENCINITAS, CA 92024 | | B Telephone number (see instructions) (760) 753-4434 | |
| G Check all that apply <div><input type="checkbox"/> Initial return</div> <div><input type="checkbox"/> Initial return of a former public charity</div> <div><input type="checkbox"/> Final return</div> <div><input type="checkbox"/> Amended return</div> <div><input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Name change</div> | | C If exemption application is pending, check here <input type="checkbox"/> | |
| H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation | | D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> | |
| I Fair market value of all assets at end of year (from Part II, col. (c), line 16) <input checked="" type="checkbox"/> \$ 31,059,487 | | E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/> | |
| J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.) | | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> | |

| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions)) | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|--|---|---------------------------|-------------------------|---|
| Revenue | 1 Contributions, gifts, grants, etc , received (attach schedule) | 615,271 | | | |
| | 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | | | | |
| | 4 Dividends and interest from securities. | 858,310 | 843,346 | 14,964 | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) _____ | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 253,624 | | | |
| | b Gross sales price for all assets on line 6a 3,818,880 | | | | |
| | 7 Capital gain net income (from Part IV, line 2) . . . | | 253,624 | | |
| | 8 Net short-term capital gain | | | 19,394 | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| Operating and Administrative Expenses | c Gross profit or (loss) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | | | | |
| | 12 Total. Add lines 1 through 11 | 1,727,205 | 1,096,970 | 34,358 | |
| | 13 Compensation of officers, directors, trustees, etc | | | | |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) |  12,000 | 6,000 | 1,200 | 3,000 |
| | c Other professional fees (attach schedule) |  186,140 | 93,070 | 18,614 | 59,582 |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) |  1,193 | 1,193 | | |
| | 19 Depreciation (attach schedule) and depletion . . . | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) |  420 | 210 | 42 | 42 |
| | 24 Total operating and administrative expenses. Add lines 13 through 23 | 199,753 | 100,473 | 19,856 | 62,624 |
| | 25 Contributions, gifts, grants paid | 1,344,300 | | | 1,344,300 |
| | 26 Total expenses and disbursements. Add lines 24 and 25 | 1,544,053 | 100,473 | 19,856 | 1,406,924 |
| | 27 Subtract line 26 from line 12 | | | | |
| | a Excess of revenue over expenses and disbursements | 183,152 | | | |
| | b Net investment income (if negative, enter -0-) | | 996,497 | | |
| | c Adjusted net income (if negative, enter -0-) | | | 14,502 | |

| 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 | | | | 1,000 | 1,000 |
| | 2 | Savings and temporary cash investments | | | 579,225 | 614,568 | 614,568 |
| | 3 | Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____ | | | | | |
| | 4 | Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____ | | | | | |
| | 5 | Grants receivable | | | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____ | | | | | |
| | 8 | Inventories for sale or use | | | | | |
| | 9 | Prepaid expenses and deferred charges | | | | | |
| | 10a | Investments—U S and state government obligations (attach schedule) | | | 1,474,578 | 1,496,201 | 1,443,672 |
| | b | Investments—corporate stock (attach schedule) | | | 11,236,759 | 12,067,114 | 16,095,589 |
| | c | Investments—corporate bonds (attach schedule). | | | 1,961,373 | 1,588,734 | 1,593,840 |
| | 11 | Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____ | | | | | |
| | 12 | Investments—mortgage loans | | | | | |
| | 13 | Investments—other (attach schedule) | | | 11,491,999 | 11,159,470 | 11,310,818 |
| | 14 | Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____ | | | | | |
| Liabilities | 15 | Other assets (describe ▶ _____) | | | | | |
| | 16 | Total assets (to be completed by all filers—see the instructions Also, see page 1, item I) | | | 26,743,934 | 26,927,087 | 31,059,487 |
| | 17 | Accounts payable and accrued expenses | | | | | |
| | 18 | Grants payable | | | | | |
| | 19 | Deferred revenue | | | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | | | |
| Net Assets or Fund Balances | 22 | Other liabilities (describe ▶ _____) | | | | 1 | |
| | 23 | Total liabilities (add lines 17 through 22) | | | | 1 | |
| | | Foundations that follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31. | | | | | |
| | 24 | Unrestricted | | | 26,743,934 | 26,927,086 | |
| | 25 | Temporarily restricted | | | | | |
| | 26 | Permanently restricted | | | | | |
| | | Foundations that do not follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 27 through 31. | | | | | |
| | 27 | Capital stock, trust principal, or current funds | | | | | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | | | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | | | | | |
| | 30 | Total net assets or fund balances (see page 17 of the instructions) | | | 26,743,934 | 26,927,086 | |
| | 31 | Total liabilities and net assets/fund balances (see page 17 of the instructions) | | | 26,743,934 | 26,927,087 | |

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 | 26,743,934 |
| 2 | Enter amount from Part I, line 27a | 2 | 183,152 |
| 3 | Other increases not included in line 2 (itemize) ▶ _____ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 26,927,086 |
| 5 | Decreases not included in line 2 (itemize) ▶ _____ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 | 6 | 26,927,086 |

Part IV

Capital Gains and Losses for Tax on Investment Income

| | | | | |
|---|--|---|---|----------------------------------|
| (a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co) | | (b) How acquired P—Purchase D—Donation | (c) Date acquired (mo , day, yr) | (d) Date sold (mo , day, yr) |
| 1a | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) | |
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (i) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) | |
| (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | | |
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } | | 2 | 253,624 |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 } | | 3 | 19,394 |

Part V

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

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

| | | | | | |
|---|--|--|---|---|------------|
| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) | | |
| 2012 | 1,224,326 | 26,193,188 | 0 04674 | | |
| 2011 | 500,000 | 26,041,695 | 0 01920 | | |
| 2010 | | | | | |
| 2009 | | | | | |
| 2008 | | | | | |
| 2 Total of line 1, column (d). | | | | 2 | 0 06594 |
| 3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | | | | 3 | 0 03297 |
| 4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5. | | | | 4 | 28,981,030 |
| 5 Multiply line 4 by line 3. | | | | 5 | 955,534 |
| 6 Enter 1% of net investment income (1% of Part I, line 27b). | | | | 6 | 9,965 |
| 7 Add lines 5 and 6. | | | | 7 | 965,499 |
| 8 Enter qualifying distributions from Part XII, line 4. | | | | 8 | 1,406,924 |

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


Part VI

Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

| | | | |
|----|---|----|--------|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 | | |
| | Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions) | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b | 1 | 9,965 |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b) | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 2 | |
| 3 | Add lines 1 and 2. | 3 | 9,965 |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 4 | |
| 5 | Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- | 5 | 9,965 |
| 6 | Credits/Payments | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 | 6a | 9,629 |
| b | Exempt foreign organizations—tax withheld at source | 6b | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | 3,000 |
| d | Backup withholding erroneously withheld | 6d | |
| 7 | Total credits and payments. Add lines 6a through 6d. | 7 | 12,629 |
| 8 | Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached. | 8 | |
| 9 | Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed | 9 | |
| 10 | Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid | 10 | 2,664 |
| 11 | Enter the amount of line 10 to be Credited to 2014 estimated tax <input checked="" type="checkbox"/> 2,664 Refunded <input checked="" type="checkbox"/> | 11 | |

Part VII-A

Statements Regarding Activities

| | | | | |
|----|---|----|-----|----|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | Yes | No |
| b | Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <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> | 1b | | No |
| c | Did the foundation file Form 1120-POL for this year? | 1c | | No |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input checked="" type="checkbox"/> \$ _____ (2) On foundation managers <input checked="" type="checkbox"/> \$ _____ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input checked="" type="checkbox"/> \$ _____ | | | |
| 2 | 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> | 2 | | No |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i> | 3 | | No |
| 4a | Did the foundation have unrelated business gross income of \$1,000 or more during the year? | 4a | | No |
| b | If "Yes," has it filed a tax return on Form 990-T for this year? | 4b | | No |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i> | 5 | | No |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | | No |
| 7 | 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> | 7 | Yes | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions): <input checked="" type="checkbox"/> CA _____ | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i> | 8b | Yes | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i> | 9 | | No |
| 10 | Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>  | 10 | Yes | |

Part VII-A

Statements Regarding Activities *(continued)*

| | | | | |
|---|---|----|-----|----|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions). | 11 | | No |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | No |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | Yes | |
| Website address N/A | | | | |
| 14 | The books are in care of LAWRENCE M SCHWARTZ CPA Telephone no (760) 753-4434 Located at 2211 ENCINITAS BLVD 200 ENCINITAS CA ZIP+4 920244361 | | | |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here and enter the amount of tax-exempt interest received or accrued during the year. | 15 | | |
| 16 | At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | Yes | No |
| See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country | | | | |

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

| | | | | |
|---|---|----|-----|----|
| File Form 4720 if any item is checked in the "Yes" column, unless an exception applies. | | | Yes | No |
| 1a | During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? (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)? (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). | | | |
| b | If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here. | 1b | | No |
| 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 | | No |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | | |
| a | At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? If "Yes," list the years 20____, 20____, 20____, 20____ | | | |
| b | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions). | 2b | | No |
| 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? | | | |
| 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 | | No |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | No |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? | 4b | | No |

Part VII-B

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

| | | | | |
|----|--|------------------------------|--|----|
| 5a | During the year did the foundation pay or incur any amount to | | | |
| | (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| | (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| | (3) Provide a grant to an individual for travel, study, or other similar purposes? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> 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). | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> 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? | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> 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 | | No |
| | 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? | | | |
| | 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? | | | |
| | | | | |
| b | Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | No |
| | If "Yes" to 6b, file Form 8870. | | | |
| 7a | At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? | | | |
| | | | | |
| b | If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? | 7b | | No |

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 |
| JAMES D SHAFFER | Trustee | 0 | | |
| PO BOX 9543 | 10 00 | | | |
| RANCHO SANTA FE,CA 92067 | | | | |
| TANYA L SHAFFER | Trustee | 0 | | |
| PO BOX 9543 | 10 00 | | | |
| RANCHO SANTA FE,CA 92067 | | | | |
| 2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE." | | | | |
| (a) Name and address of each employee paid more than \$50,000 | (b) Title, and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
| NONE | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Total number of other employees paid over \$50,000. | | | | |

Part VIII

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

| 3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE". | | |
|--|---------------------|------------------|
| (a) Name and address of each person paid more than \$50,000 | (b) Type of service | (c) Compensation |
| NONE | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| Total number of others receiving over \$50,000 for professional services. | | |

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see instructions)

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|--|--------|
| 1 | |
| | |
| | |
| 2 | |
| | |
| | |
| All other program-related investments. See page 24 of the instructions. | |
| 3 | |
| | |
| | |
| Total. Add lines 1 through 3. | |

Part X

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

| | | | |
|---|--|----|------------|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes | | |
| a | Average monthly fair market value of securities. | 1a | 29,422,365 |
| b | Average of monthly cash balances. | 1b | 0 |
| c | Fair market value of all other assets (see instructions). | 1c | 0 |
| d | Total (add lines 1a, b, and c). | 1d | 29,422,365 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). | 1e | 0 |
| 2 | Acquisition indebtedness applicable to line 1 assets. | 2 | |
| 3 | Subtract line 2 from line 1d. | 3 | 29,422,365 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). | 4 | 441,335 |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 28,981,030 |
| 6 | Minimum investment return. Enter 5% of line 5. | 6 | 1,449,052 |

Part XI

Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

| | | | |
|----|---|----|-----------|
| 1 | Minimum investment return from Part X, line 6. | 1 | 1,449,052 |
| 2a | Tax on investment income for 2013 from Part VI, line 5. | 2a | 9,965 |
| b | Income tax for 2013 (This does not include the tax from Part VI). | 2b | |
| c | Add lines 2a and 2b. | 2c | 9,965 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1. | 3 | 1,439,087 |
| 4 | Recoveries of amounts treated as qualifying distributions. | 4 | |
| 5 | Add lines 3 and 4. | 5 | 1,439,087 |
| 6 | Deduction from distributable amount (see instructions). | 6 | |
| 7 | Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1. | 7 | 1,439,087 |

Part XII

Qualifying Distributions (see instructions)

| | | | |
|--|--|----|-----------|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes | | |
| a | Expenses, contributions, gifts, etc —total from Part I, column (d), line 26. | 1a | 1,406,924 |
| b | Program-related investments—total from Part IX-B. | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes. | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required). | 3a | |
| b | Cash distribution test (attach the required schedule). | 3b | |
| 4 | Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 1,406,924 |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions). | 5 | 9,965 |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4. | 6 | 1,396,959 |
| Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years | | | |

Part XIII

Undistributed Income (see instructions)

| | (a) Corpus | (b) Years prior to 2012 | (c) 2012 | (d) 2013 |
|---|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2013 from Part XI, line 7 | | | | 1,439,087 |
| 2 Undistributed income, if any, as of the end of 2013 | | | | |
| a Enter amount for 2012 only. | | | | |
| b Total for prior years 20____, 20____, 20____ | | | | |
| 3 Excess distributions carryover, if any, to 2013 | | | | |
| a From 2008. | | | | |
| b From 2009. | | | | |
| c From 2010. | | | | |
| d From 2011. 326,804 | | | | |
| e From 2012. | | | | |
| f Total of lines 3a through e. | 326,804 | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 1,406,924 | | | | |
| a Applied to 2012, but not more than line 2a | | | | |
| b Applied to undistributed income of prior years (Election required—see instructions). | | | | |
| c Treated as distributions out of corpus (Election required—see instructions). | 0 | | | |
| d Applied to 2013 distributable amount. | | | | 1,406,924 |
| e Remaining amount distributed out of corpus | | | | |
| 5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).) | 32,163 | | | 32,163 |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 294,641 | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b. | | | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. | | | | |
| d Subtract line 6c from line 6b Taxable amount—see instructions | | | | |
| e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions | | | | |
| f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014 | | | | 0 |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions). | | | | |
| 8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . . | | | | |
| 9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a | 294,641 | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2009. . . . | | | | |
| b Excess from 2010. . . . | | | | |
| c Excess from 2011. . . . 294,641 | | | | |
| d Excess from 2012. . . . | | | | |
| e Excess from 2013. . . . | | | | |

Part XIV

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

3 Complete 3a, b, or c for the alternative test relied upon

a "Assets" alternative test—enter

(1) Value of all assets

(2) Value of assets qualifying under section 4942(j)(3)(B)(i)

b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . . .

c "Support" alternative test—enter

(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)

(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).

(3) Largest amount of support from an exempt organization

(4) Gross investment income

Part XV

1

See Additional Data Table

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

2

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 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 | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|--------------------------------|---|-----------|
| Name and address (home or business) | | | | |
| a <i>Paid during the year</i> SCRIPPS HEALTH FOUNDATION 4275 CAMPUS POINT COURT SAN DIEGO, CA 92121 | NONE | 501(c)(3) | Funding Research | 960,000 |
| The Bishop's School 7607 LA JOLLA BLVD LA JOLLA, CA 92037 | NONE | 501(c)(3) | FUNDING EDUCATIONAL PROGRAMS | 100,000 |
| Palo Verde Unified School District 295 N First Street Blythe, CA 92225 | NONE | 501(c)(3) | FUNDING EDUCATIONAL PROGRAMS | 282,300 |
| Project Concern International 5151 Murphy Canyon Road 320 San Diego, CA 92123 | NONE | 501(c)(3) | Fund healthcare to children and families in vulnerable communities throughout the world | 2,000 |
| Total | | |  3a | 1,344,300 |
| b <i>Approved for future payment</i> | | | | |
| Total | | |  3b | |

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

| | | |
|--|--|------------------|
| Schedule B (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service | Schedule of Contributors ▶ Attach to Form 990, 990-EZ, or 990-PF. ▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at <u>www.irs.gov/form990</u>. | OMB No 1545-0047 |
| | | 2013 |

| | |
|--|---|
| Name of the organization SHAFFER FAMILY FOUNDATION DTD 42911 CO LAWRENCE M SCHWARTZ CPA | Employer identification number 45-6314648 |
|--|---|

Organization type (check one)

| | |
|--------------------|---|
| Filers of: | Section: |
| Form 990 or 990-EZ | <input type="checkbox"/> 501(c)() (enter number) organization |
| | <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation |
| | <input type="checkbox"/> 527 political organization |
| Form 990-PF | <input checked="" type="checkbox"/> 501(c)(3) exempt private foundation |
| | <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | <input type="checkbox"/> 501(c)(3) taxable private foundation |

Check if your organization is covered by the **General Rule** or a **Special Rule**.
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

Special Rules

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer “No” on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

[illegible]

Employer identification number

45-6314648

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---------------------------|--|--|---|
| <u> 1 </u> | VARIOUS INVESTMENTS FROM SHAFFER FAMILY TRUST PORTFOLIO HOLDINGS | \$ _____ 611,184 | <u> 2013-12-27 </u> |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| <u> </u> | _____ _____ _____ _____ | \$ _____ | <u> </u> |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| <u> </u> | _____ _____ _____ _____ | \$ _____ | <u> </u> |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| <u> </u> | _____ _____ _____ _____ | \$ _____ | <u> </u> |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| <u> </u> | _____ _____ _____ _____ | \$ _____ | <u> </u> |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| <u> </u> | _____ _____ _____ _____ | \$ _____ | <u> </u> |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| <u> </u> | _____ _____ _____ _____ | \$ _____ | <u> </u> |

| | |
|--|---|
| Name of organization SHAFFER FAMILY FOUNDATION DTD 42911 CO LAWRENCE M SCHWARTZ CPA | Employer identification number 45-6314648 |
|--|---|

Part III

Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry

For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of **\$1,000 or less** for the year (Enter this information once See instructions) ▶ \$

Use duplicate copies of Part III if additional space is needed

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---------------------------|---------------------------------------|-------------------------------------|--|
| — | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP 4 | | Relationship of transferor to transferee |
| <div></div> <div></div> | | <div></div> <div></div> <div></div> | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---------------------------|---------------------------------------|-------------------------------------|--|
| — | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP 4 | | Relationship of transferor to transferee |
| <div></div> <div></div> | | <div></div> <div></div> <div></div> | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---------------------------|---------------------------------------|-------------------------------------|--|
| — | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP 4 | | Relationship of transferor to transferee |
| <div></div> <div></div> | | <div></div> <div></div> <div></div> | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---------------------------|---------------------------------------|-------------------------------------|--|
| — | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP 4 | | Relationship of transferor to transferee |
| <div></div> <div></div> | | <div></div> <div></div> <div></div> | |

Form 990PF Part XV Line 1a - 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).

| |
|-----------------|
| JAMES D SHAFFER |
| TANYA L SHAFFER |

TY 2013 Accounting Fees Schedule

Name: SHAFFER FAMILY FOUNDATION DTD 42911
CO LAWRENCE M SCHWARTZ CPA

EIN: 45-6314648

Software ID: 13000170

Software Version: 2013v3.1

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|-----------------|--------|--------------------------|------------------------|---|
| Tax Preparation | 12,000 | 6,000 | 1,200 | 3,000 |

TY 2013 Other Expenses Schedule

Name: SHAFFER FAMILY FOUNDATION DTD 42911
CO LAWRENCE M SCHWARTZ CPA

EIN: 45-6314648

Software ID: 13000170

Software Version: 2013v3.1

| Description | Revenue and Expenses per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|------------------------|-----------------------------------|--------------------------|---------------------|--|
| Miscellaneous Expenses | 420 | 210 | 42 | 42 |

TY 2013 Other Professional Fees Schedule

Name: SHAFFER FAMILY FOUNDATION DTD 42911
CO LAWRENCE M SCHWARTZ CPA

EIN: 45-6314648

Software ID: 13000170

Software Version: 2013v3.1

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|----------------------------|---------|--------------------------|------------------------|---|
| Investment Management Fees | 186,140 | 93,070 | 18,614 | 59,582 |

TY 2013 Substantial Contributors Schedule

Name: SHAFFER FAMILY FOUNDATION DTD 42911
CO LAWRENCE M SCHWARTZ CPA

EIN: 45-6314648

Software ID: 13000170

Software Version: 2013v3.1

| Name | Address |
|-------------------------|---|
| JAMES D TANYA L SHAFFER | PO BOX 9543 RANCHO SANTA FE,CA 92067 |

TY 2013 Taxes Schedule

Name: SHAFFER FAMILY FOUNDATION DTD 42911
CO LAWRENCE M SCHWARTZ CPA

EIN: 45-6314648

Software ID: 13000170

Software Version: 2013v3.1

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|--------------------|--------|--------------------------|------------------------|---|
| Foreign Taxes Paid | 1,193 | 1,193 | | |



SHAFFER FAM FOUNDATION AGY-MAIN

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Forms 1099 for 2013

1099-B Proceeds From Broker and Barter Exchange Transactions (OMB No. 1545-0715)**Copy B, For Recipient**

A schedule of your net gains and losses is shown below. Although we have shown quantity sold on the sales with either two decimal places, as a whole number, or as a fractional share, all of these amounts will be filed with the IRS as whole numbers per IRS publication 1220. Please note that if you have sold an asset for which we do not have cost basis information, it is either shown separately in the section entitled Cost Not Available or it may appear with a zero tax cost. Please review these carefully when preparing your return. Note also that an asterisk symbol (*) next to tax cost indicates that the tax cost has been adjusted for current year's return of capital. If applicable, we have shown IRC Section 988 translation gains and losses separately within the sales sections. Please note these gains or losses are not entitled to capital gains treatment. Rather, under IRC Section 988, they are either ordinary income or loss.

Proceeds from Short Term Covered Security Transactions

This category includes transactions that are short-term gain or loss on Form 1099-B, Box 1c. Form 1099-B, Box 6b is checked because this category includes only sales of covered securities. If applicable, transactions subject to wash sale are shown separately. If wash sales are not shown separately, your account has no wash sales in this category. For individual taxpayers, these transactions are reportable on Form 8949, Part I, Box A.

Short Term Covered Security Transactions (Form 8949, Part I, Box A)

| Description (Box 8) | Symbol (Box 1d) | Cusip | Quantity sold (Box 1e) | Date of acquisition (Box 1b) | Sale date (Box 1a) | Sales price less commissions (Box 2a) | Cost or other basis (Box 3) | Net gain or loss |
|--|--------------------|-----------|---------------------------|------------------------------------|-----------------------|--|-----------------------------------|------------------|
| VODAFONE GROUP PLC NEW ADR | VOD | 92857W209 | 245 | 02/07/12 | 01/09/13 | \$6,466.87 | \$6,852.63 | \$-385.76 |
| VODAFONE GROUP PLC NEW ADR | VOD | 92857W209 | 250 | 03/07/12 | 01/09/13 | \$6,598.85 | \$6,722.48 | \$-123.63 |
| NOVARTIS AG - ADR | NVS | 66987V109 | 115 | 03/07/12 | 02/04/13 | \$7,825.83 | \$6,162.84 | \$1,662.99 |
| NOVARTIS AG - ADR | NVS | 66987V109 | 100 | 02/07/12 | 02/04/13 | \$6,805.07 | \$5,651.99 | \$1,153.08 |
| GATEWAY FUND - Y 1986 | GTEYX | 367829884 | 8837.05 | 05/23/13 | 09/27/13 | \$249,116.30 | \$250,000.00 | \$-883.70 |
| DIAMOND HILL LONG-SHORT FD CL | DHLSX | 25264S833 | 4830.92 | 05/23/13 | 09/27/13 | \$103,043.48 | \$100,000.00 | \$3,043.48 |
| DIAMOND HILL LONG-SHORT FD CL | DHLSX | 25264S833 | 5425.94 | 12/27/12 | 09/27/13 | \$115,735.22 | \$100,000.00 | \$15,735.22 |
| Total short term gain/loss from covered security transactions not subject to wash sale: | | | | | | \$495,591.62 | \$475,389.94 | \$20,201.68 |

**WELLS
FARGO**

SHAFFER FAM FOUNDATION AGY-MAIN

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| | | | | | |
|---|-----------------------|---------------------|---------------------|------------------------|-------------------------|
| Total short term gain/loss from covered security transactions: | Gross Proceeds | Tax Cost | Gain or Loss | Loss Disallowed | Net Gain or Loss |
| Report each transaction on Form 8949, Part I, Box A | \$495,591.62 | \$475,389.94 | \$20,201.68 | \$0.00 | \$20,201.68 |

Proceeds from Short Term Noncovered Security Transactions

This category includes transactions that are short-term gain or loss. Form 1099-B, Box 6a is checked because this category includes only sales of non-covered securities. For sales of noncovered securities we report security description, symbol, cusip, quantity sold, sale date, federal income tax withheld and gross proceeds to the Internal Revenue Service but we do not report acquisition date, tax cost, wash sale loss disallowed and type of gain or loss. If applicable, transactions subject to wash sale are shown separately. If wash sales are not shown separately, your account has no wash sales in this category. For individual taxpayers, these transactions are reportable on Form 8949, Part I, Box B.

Short Term Noncovered Security Transactions (Form 8949, Part I, Box B)

| Description (Box 8) | Symbol (Box 1d) | Cusip | Quantity sold (Box 1e) | Date of acquisition | Sale date (Box 1a) | Sales price less commissions (Box 2a) | Cost or other basis | Net gain or loss |
|---|-----------------------|--------------------|---------------------------|------------------------|-------------------------|--|------------------------|------------------|
| FHLMC POOL C90916 4 500% 6 | | 3128P7AR4 | 2073 4 | 06/28/12 | 02/15/13 | \$2,073 40 | \$2,238 62 | \$-165 22 |
| FHLMC POOL C90916 4 500% 6 | | 3128P7AR4 | 2867 64 | 06/28/12 | 03/15/13 | \$2,867 64 | \$3,096 15 | \$-228 51 |
| FHLMC POOL C90916 4 500% 6 | | 3128P7AR4 | 1630 09 | 06/28/12 | 04/15/13 | \$1,630 09 | \$1,759 99 | \$-129 90 |
| FHLMC POOL C90916 4 500% 6 | | 3128P7AR4 | 2513 28 | 06/28/12 | 05/15/13 | \$2,513 28 | \$2,713 56 | \$-200 28 |
| FHLMC POOL C90916 4 500% 6 | | 3128P7AR4 | 4960 14 | 06/28/12 | 06/15/13 | \$4,960 14 | \$5,355 40 | \$-395 26 |
| HEWLETT-PACKARD CO 5 400% 3 | | 428236AM5 | 25000 | 12/03/12 | 10/03/13 | \$27,739 50 | \$26,655 75 | \$1,083 75 |
| TECK RESOURCES LIMIT 3 000% 3 | | 878744AA9 | 25000 | 05/29/13 | 10/03/13 | \$24,586 50 | \$25,360 00 | \$-773 50 |
| Total short term gain/loss from noncovered security transactions not subject to wash sale: | | | | | | \$66,370 55 | \$67,179 47 | \$-808 92 |
| Total short term gain/loss from noncovered security transactions: | Gross Proceeds | Tax Cost | Gain or Loss | Loss Disallowed | Net Gain or Loss | | | |
| Report each transaction on Form 8949, Part I, Box B | \$66,370.55 | \$67,179.47 | \$-808.92 | \$0.00 | \$-808.92 | | | |

Proceeds from Long Term Covered Security Transactions

This category includes transactions that are long-term gain or loss on Form 1099-B, Box 1c. Form 1099-B, Box 6b is checked because this category includes only sales of covered securities. If applicable, transactions subject to wash sale are shown separately. If wash sales are not shown separately, your account has no wash sales in this category. For individual taxpayers, these transactions are reportable on Form 8949, Part II, Box D.



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Long Term Covered Security Transactions (Form 8949, Part II, Box D)

| Description (Box 8) | Symbol (Box 1d) | Cusip | Quantity sold (Box 1e) | Date of acquisition (Box 1b) | Sale date (Box 1a) | Sales price less commissions (Box 2a) | Cost or other basis (Box 3) | Net gain or loss |
|------------------------------------|--------------------|-----------|---------------------------|------------------------------------|-----------------------|--|-----------------------------------|------------------|
| VODAFONE GROUP PLC NEW ADR | VOD | 92857W209 | 320 | 10/04/11 | 01/09/13 | \$8,446 53 | \$8,223 14 | \$223 39 |
| VODAFONE GROUP PLC NEW ADR | VOD | 92857W209 | 265 | 01/06/12 | 01/09/13 | \$6,994 78 | \$7,382 87 | \$-388 09 |
| NOVARTIS AG - ADR | NVS | 66987V109 | 115 | 01/06/12 | 02/04/13 | \$7,825 83 | \$6,584 90 | \$1,240 93 |
| NOVARTIS AG - ADR | NVS | 66987V109 | 140 | 10/04/11 | 02/04/13 | \$9,527 10 | \$7,615 98 | \$1,911 12 |
| AFFILIATED MANAGERS GROUP INC | AMG | 008252108 | 56 | 01/06/12 | 02/26/13 | \$7,957 10 | \$5,521 60 | \$2,435 50 |
| AFFILIATED MANAGERS GROUP INC | AMG | 008252108 | 35 | 10/04/11 | 02/26/13 | \$4,973 19 | \$2,594 90 | \$2,378 29 |
| AFFILIATED MANAGERS GROUP INC | AMG | 008252108 | 46 | 10/11/11 | 02/26/13 | \$6,536 19 | \$3,906 71 | \$2,629 48 |
| GILEAD SCIENCES INC | GILD | 375558103 | 221 | 12/09/11 | 04/02/13 | \$10,643 07 | \$4,329 49 | \$6,313 58 |
| LAUDUS MONDRIAN INTL FI-INST 2 | LIFNX | 51855Q655 | 7739 69 | 01/05/12 | 05/09/13 | \$84,517 37 | \$88,851 60 | \$-4,334 23 |
| HUSSMAN STRATEGIC GROWTH FUI HSGFX | | 448108100 | 14817 95 | 03/07/12 | 05/23/13 | \$152,328 54 | \$175,000 00 | \$-22,671 46 |
| HUSSMAN STRATEGIC GROWTH FUI HSGFX | | 448108100 | 20903 01 | 02/06/12 | 05/23/13 | \$214,882 94 | \$250,000 00 | \$-35,117 06 |
| HUSSMAN STRATEGIC GROWTH FUI HSGFX | | 448108100 | 12482 77 | 01/05/12 | 05/23/13 | \$128,322 90 | \$152,913 96 | \$-24,591 06 |
| LAUDUS MONDRIAN INTL FI-INST 2 | LIFNX | 51855Q655 | 971 12 | 01/05/12 | 05/24/13 | \$10,410 35 | \$11,148 40 | \$-738 05 |
| FEDERATED STRAT VAL DIV FD IS | SVAIX | 314172560 | 1757 47 | 01/05/12 | 05/24/13 | \$10,000 00 | \$8,471 00 | \$1,529 00 |
| LAUDUS MONDRIAN INTL FI-INST 2 | LIFNX | 51855Q655 | 428 14 | 02/06/12 | 05/24/13 | \$4,589 65 | \$5,094 85 | \$-505 20 |
| INTEL CORP | INTC | 458140100 | 365 | 03/07/12 | 06/17/13 | \$9,206 09 | \$9,829 41 | \$-623 32 |
| INTEL CORP | INTC | 458140100 | 360 | 02/07/12 | 06/17/13 | \$9,079 98 | \$9,604 76 | \$-524 78 |
| INTEL CORP | INTC | 458140100 | 390 | 01/06/12 | 06/17/13 | \$9,836 64 | \$9,851 36 | \$-14 72 |
| INTEL CORP | INTC | 458140100 | 470 | 10/04/11 | 06/17/13 | \$11,854 42 | \$9,837 01 | \$2,017 41 |
| CHEVRON CORP | CVX | 166764100 | 47 | 01/06/12 | 07/03/13 | \$5,594 99 | \$5,092 45 | \$502 54 |
| UNION PACIFIC CORP | UNP | 907818108 | 139 | 10/04/11 | 07/03/13 | \$21,542 98 | \$11,177 25 | \$10,365 73 |
| THERMO FISHER SCIENTIFIC INC | TMO | 883556102 | 126 | 10/04/11 | 07/03/13 | \$10,717 31 | \$6,264 95 | \$4,452 36 |
| TEVA PHARMACEUTICAL INDUSTRIE | TEVA | 881624209 | 260 | 10/04/11 | 08/19/13 | \$10,378 71 | \$9,286 50 | \$1,092 21 |
| TEVA PHARMACEUTICAL INDUSTRIE | TEVA | 881624209 | 195 | 03/07/12 | 08/19/13 | \$7,784 03 | \$8,763 28 | \$-979 25 |
| TEVA PHARMACEUTICAL INDUSTRIE | TEVA | 881624209 | 205 | 02/07/12 | 08/19/13 | \$8,183 21 | \$9,255 73 | \$-1,072 52 |
| TEVA PHARMACEUTICAL INDUSTRIE | TEVA | 881624209 | 210 | 01/06/12 | 08/19/13 | \$8,382 80 | \$9,197 98 | \$-815 18 |



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Long Term Covered Security Transactions (Form 8949, Part II, Box D)

| Description (Box 8) | Symbol (Box 1d) | Cusip | Quantity sold (Box 1e) | Date of acquisition (Box 1b) | Sale date (Box 1a) | Sales price less commissions (Box 2a) | Cost or other basis (Box 3) | Net gain or loss |
|---|--------------------|-----------|---------------------------|------------------------------------|-----------------------|--|-----------------------------------|------------------|
| THERMO FISHER SCIENTIFIC INC | TMO | 883556102 | 54 | 01/06/12 | 08/29/13 | \$4,830 48 | \$2,542 85 | \$2,287 63 |
| THERMO FISHER SCIENTIFIC INC | TMO | 883556102 | 74 | 10/04/11 | 08/29/13 | \$6,619 54 | \$3,679 42 | \$2,940 12 |
| DIAMOND HILL LONG-SHORT FD CL | DHLSX | 25264S833 | 8417 51 | 03/07/12 | 09/27/13 | \$179,545 45 | \$150,000 00 | \$29,545 45 |
| DIAMOND HILL LONG-SHORT FD CL | DHLSX | 25264S833 | 10133 18 | 01/05/12 | 09/27/13 | \$216,140 71 | \$175,000 00 | \$41,140 71 |
| GATEWAY FUND - Y 1986 | GTEYX | 367829884 | 6527 42 | 02/06/12 | 09/27/13 | \$184,007 83 | \$175,000 00 | \$9,007 83 |
| DIAMOND HILL LONG-SHORT FD CL | DHLSX | 25264S833 | 9875 85 | 02/06/12 | 09/27/13 | \$210,651 82 | \$175,000 00 | \$35,651 82 |
| GATEWAY FUND - Y 1986 | GTEYX | 367829884 | 6586 38 | 01/05/12 | 09/27/13 | \$185,669 94 | \$175,000 00 | \$10,669 94 |
| GATEWAY FUND - Y 1986 | GTEYX | 367829884 | 5576 21 | 03/07/12 | 09/27/13 | \$157,193 30 | \$150,000 00 | \$7,193 30 |
| JOHNSON CONTROLS INC | JCI | 478366107 | 26 | 02/07/12 | 11/14/13 | \$1,267 53 | \$859 30 | \$408 23 |
| JOHNSON CONTROLS INC | JCI | 478366107 | 195 | 01/06/12 | 11/14/13 | \$9,506 44 | \$6,501 28 | \$3,005 16 |
| JOHNSON CONTROLS INC | JCI | 478366107 | 205 | 10/04/11 | 11/14/13 | \$9,993 95 | \$5,358 15 | \$4,635 80 |
| GILEAD SCIENCES INC | GILD | 375558103 | 135 | 01/06/12 | 12/12/13 | \$9,557 28 | \$2,896 42 | \$6,660 86 |
| MCKESSON CORP | MCK | 58155Q103 | 30 | 11/07/12 | 12/12/13 | \$4,708 62 | \$2,845 48 | \$1,863 14 |
| GILEAD SCIENCES INC | GILD | 375558103 | 49 | 12/09/11 | 12/12/13 | \$3,468 94 | \$959 93 | \$2,509 01 |
| Total long term gain/loss from covered security transactions not subject to wash sale: | | | | | | \$1,963,678 53 | \$1,861,442 91 | \$102,235 62 |

| Total long term gain/loss from covered security transactions: | Gross Proceeds | Tax Cost | Gain or Loss | Loss Disallowed | Net Gain or Loss |
|--|-----------------------|-----------------------|---------------------|------------------------|-------------------------|
| Report each transaction on Form 8949, Part II, Box D | \$1,963,678.53 | \$1,861,442.91 | \$102,235.62 | \$0.00 | \$102,235.62 |

Proceeds from Long Term Noncovered Security Transactions

This category includes transactions that are long-term gain or loss. Form 1099-B, Box 6a is checked because this category includes only sales of non-covered securities. For sales of noncovered securities we report security description, symbol, cusip, quantity sold, sale date, federal income tax withheld and gross proceeds to the Internal Revenue Service but we do not report acquisition date, tax cost, wash sale loss disallowed and type of gain or loss. If applicable, transactions subject to wash sale are shown separately. If wash sales are not shown separately, your account has no wash sales in this category. For individual taxpayers, these transactions are reportable on Form 8949, Part II, Box E.



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Long Term Noncovered Security Transactions (Form 8949, Part II, Box E)

| Description (Box 8) | Symbol (Box 1d) | Cusip | Quantity sold (Box 1e) | Date of acquisition | Sale date (Box 1a) | Sales price less commissions (Box 2a) | Cost or other basis | Net gain or loss |
|------------------------------------|--------------------|-----------|---------------------------|------------------------|-----------------------|--|------------------------|------------------|
| FED FARM CREDIT BK 2 300% 3 | | 3133Eajs8 | 200000 | 03/22/12 | 03/26/13 | \$200,000 00 | \$199,800 00 | \$200 00 |
| LAUDUS MONDRIAN INTL FI-INST 2 | LIFNX | 51855Q655 | 44 2 | 01/28/11 | 05/09/13 | \$482 63 | \$519 76 | \$-37 13 |
| PIMCO FOREIGN BD FD USD H-INST | PFORX | 693390882 | 2802 85 | 10/04/11 | 05/09/13 | \$30,635 13 | \$29,962 44 | \$672 69 |
| PIMCO FOREIGN BD FD USD H-INST | PFORX | 693390882 | 938 97 | 10/04/11 | 05/09/13 | \$10,262 91 | \$9,981 22 | \$281 69 |
| PIMCO FOREIGN BD FD USD H-INST | PFORX | 693390882 | 2205 12 | 10/14/11 | 05/09/13 | \$24,101 96 | \$23,352 22 | \$749 74 |
| VR MORGAN STANLEY 2 876% 5 | | 61747YcQ6 | 200000 | 02/27/12 | 05/14/13 | \$200,000 00 | \$200,000 00 | \$0 00 |
| CHEVRON CORP | CVX | 166764100 | 130 | 12/01/05 | 07/03/13 | \$15,475 51 | \$7,524 40 | \$7,951 11 |
| CHEVRON CORP | CVX | 166764100 | 5 | 10/25/05 | 07/03/13 | \$595 21 | \$289 00 | \$306 21 |
| FHLMC POOL C90916 4 500% 6 | | 3128P7AR4 | 2872 42 | 06/28/12 | 07/15/13 | \$2,872 42 | \$3,101 32 | \$-228 90 |
| FHLMC POOL C90916 4 500% 6 | | 3128P7AR4 | 883 61 | 06/28/12 | 08/15/13 | \$883 61 | \$954 02 | \$-70 41 |
| FHLMC POOL C90916 4 500% 6 | | 3128P7AR4 | 1360 18 | 06/28/12 | 09/15/13 | \$1,360 18 | \$1,468 57 | \$-108 39 |
| ELEMENTS ROGERS TOTAL RETURN RJi | | 870297801 | 1375 | 10/04/11 | 09/26/13 | \$11,412 30 | \$10,931 11 | \$481 19 |
| ELEMENTS ROGERS TOTAL RETURN RJi | | 870297801 | 2225 | 10/05/11 | 09/26/13 | \$18,467 17 | \$18,209 40 | \$257 77 |
| ISHARES TR RUSSELL MIDCAP INDE IWR | | 464287499 | 121 | 01/28/11 | 09/26/13 | \$16,892 58 | \$12,496 26 | \$4,396 32 |
| ISHARES TR RUSSELL MIDCAP INDE IWR | | 464287499 | 599 | 07/08/10 | 09/26/13 | \$83,625 23 | \$49,534 90 | \$34,090 33 |
| ISHARES MSCI BRIC INDEX FUND | BKF | 464286657 | 660 | 10/04/11 | 09/26/13 | \$24,894 84 | \$21,215 04 | \$3,679 80 |
| ISHARES RUSSELL MICROCAP INDE IWC | | 464288869 | 730 | 10/04/11 | 09/26/13 | \$49,953 10 | \$27,419 09 | \$22,534 01 |
| DODGE & COX INT'L STOCK FD 104 | DODFX | 256206103 | 609 01 | 10/05/11 | 09/26/13 | \$25,000 00 | \$17,472 58 | \$7,527 42 |
| DIAMOND HILL LONG-SHORT FD CL | DHLSX | 25264S833 | 1649 89 | 10/14/11 | 09/27/13 | \$35,192 24 | \$26,909 77 | \$8,282 47 |
| GATEWAY FUND - Y 1986 | GTEYX | 367829884 | 2904 73 | 10/14/11 | 09/27/13 | \$81,884 20 | \$75,000 00 | \$6,884 20 |
| GATEWAY FUND - Y 1986 | GTEYX | 367829884 | 2407 55 | 10/04/11 | 09/27/13 | \$67,868 92 | \$60,429 58 | \$7,439 34 |
| VR SAFEWAY INC 1 968% 12 | | 786514BV0 | 25000 | 07/23/12 | 10/03/13 | \$25,046 75 | \$25,074 50 | \$-27 75 |
| VR GENERAL ELEC CA 1 142% 5 | | 36962G5D2 | 50000 | 01/23/12 | 10/03/13 | \$50,376 90 | \$48,663 68 | \$1,713 22 |
| PRIMERICA INC 4 750% 7 | | 74164MAA6 | 50000 | 07/12/12 | 10/03/13 | \$52,397 00 | \$50,671 50 | \$1,725 50 |
| BUNGE LIMITED FINANC 3 200% 6 | | 120568AV2 | 50000 | 06/12/12 | 10/03/13 | \$51,855 50 | \$49,904 00 | \$1,951 50 |
| VR SAFEWAY INC 1 968% 12 | | 786514BV0 | 125000 | 06/07/12 | 10/03/13 | \$125,233 75 | \$125,000 00 | \$233 75 |



SHAFFER FAM FOUNDATION AGY-MAIN

Long Term Noncovered Security Transactions (Form 8949, Part II, Box E)

| Description (Box 8) | Symbol (Box 1d) | Cusip | Quantity sold (Box 1e) | Date of acquisition | Sale date (Box 1a) | Sales price less commissions (Box 2a) | Cost or other basis | Net gain or loss |
|--|--------------------|-----------|---------------------------|------------------------|-----------------------|--|-------------------------|------------------|
| BARCLAYS PLC | 2 750% 2 | 06741JS26 | 50000 | 02/15/12 | 10/03/13 | \$51,287 50 | \$49,970 00 | \$1,317 50 |
| FHLMC POOL | C90916 4 500% 6 | 3128P7AR4 | 3155 41 | 06/28/12 | 10/15/13 | \$3,155 41 | \$3,406 86 | \$-251 45 |
| FHLMC POOL | C90916 4 500% 6 | 3128P7AR4 | 599 02 | 06/28/12 | 11/15/13 | \$599 02 | \$646 75 | \$-47 73 |
| FHLMC POOL | C90916 4 500% 6 | 3128P7AR4 | 669 43 | 06/28/12 | 12/15/13 | \$669 43 | \$722 78 | \$-53 35 |
| FHLMC POOL | C90916 4 500% 6 | 3128P7AR4 | 2106 38 | 06/28/12 | 01/15/14 | \$2,106 38 | \$2,274 23 | \$-167 85 |
| Total long term gain/loss from noncovered security transactions not subject to wash sale: | | | | | | \$1,264,587 78 | \$1,152,904 98 | \$111,682 80 |
| Total long term gain/loss from noncovered security transactions: | | | Gross Proceeds | Tax Cost | Gain or Loss | Loss Disallowed | Net Gain or Loss | |
| Report each transaction on Form 8949, Part II, Box E | | | \$1,264,587.78 | \$1,152,904.98 | \$111,682.80 | \$0.00 | \$111,682.80 | |
| Total proceeds reported to IRS on Form 1099-B | | | | | | \$3,790,228.48 | | |

Proceeds from Gains and Losses Not Reported On Form 1099-B

The following gains, losses or exchanges in your account includes transactions, partnerships, options, and common trust funds which are either not subject to Form 1099-B reporting or are not registered for 1099-B reporting by us. For individual taxpayers, capital gain or loss transactions which are not received on a Form 1099-B are reportable on Form 8949, Part I, Box C or Part II, Box F. However, if an asset below is not registered for Form 1099-B reporting by us and you receive a separate Form 1099-B from a different payer for this same information, you should follow their 1099-B regarding tax reporting guidelines. If this account holds an interest in a partnership, the cost basis of the sale shown below may or may not have been adjusted since the original purchase. You should consult your tax advisor regarding the tax treatment applicable to these items.

Long Term Transactions for 28% gains and losses (Not reported on Form 1099-B)

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|--------------------|--------|-----------|---------------|------------------------|-----------|---------------------------------|------------------------|------------------|
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 01/31/13 | \$67 11 | \$64 98 | \$2 13 |
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 02/28/13 | \$60 65 | \$61 95 | \$-1 30 |
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 03/31/13 | \$64 56 | \$65 89 | \$-1 33 |



SHAFFER FAM FOUNDATION AGY-MAIN

Long Term Transactions for 28% gains and losses (Not reported on Form 1099-B)

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---------------------------------------|--------|-----------|---------------|---------------------|-----------|------------------------------|---------------------|------------------|
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 04/30/13 | \$61 13 | \$67 92 | \$-6 79 |
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 05/31/13 | \$58 75 | \$67 70 | \$-8 95 |
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 06/30/13 | \$54 34 | \$70 67 | \$-16 33 |
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 07/31/13 | \$51 78 | \$63 64 | \$-11 86 |
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 08/31/13 | \$54 23 | \$62 63 | \$-8 40 |
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 09/30/13 | \$52 88 | \$66 22 | \$-13 34 |
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 10/31/13 | \$53 84 | \$66 59 | \$-12 75 |
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 11/30/13 | \$50 34 | \$66 17 | \$-15 83 |
| ISHARES GOLD TRUST | IAU | 464285105 | 19570 | 01/01/01 | 12/31/13 | \$50 68 | \$66 86 | \$-16 18 |
| Total long term 28% gain/loss: | | | | | | \$680 29 | \$791 22 | \$-110 93 |

| Total long term gain/loss transactions not reported on Form 1099-B: | | | Gross Proceeds | Tax Cost | Gain or Loss | Loss Disallowed | Net Gain or Loss |
|--|--|--|-----------------------|-----------------|---------------------|------------------------|-------------------------|
| Report each transaction on Form 8949, Part II, Box F | | | \$680.29 | \$791.22 | \$-110.93 | \$0.00 | \$-110.93 |

Cost Not Available (Not reported on Form 1099-B)

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|-------------------------------|--------|-----------|---------------|---------------------|-----------|------------------------------|---------------------|------------------|
| CARLYLE ENERGY MEZZ ASP WHEN | | CEM999WH4 | 18 | 08/29/12 | 02/04/13 | \$18,000 00 | Unknown | |
| CARLYLE ENERGY MEZZ ACCESS R/ | | CEM994007 | 10 65 | 08/30/12 | 10/15/13 | \$10,650 00 | Unknown | |

Total cost not available: \$28,650 00

| Total cost not available gross proceeds from transactions not reported on Form 1099-B: | | | Gross Proceeds | | | | |
|---|--|--|-----------------------|--|--|--|--|
| Report each transaction on Form 8949, Part I, Box C or Part II, Box F | | | \$28,650.00 | | | | |