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Return of Private Foundation

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

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

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation LUBBE FAMILY FOUNDATION		A Employer identification number 45-6643003
Number and street (or P.O. box number if mail is not delivered to street address) 110 AGASSIZ STREET	Room/suite	B Telephone number (603) 298-8564
City or town, state or province, country, and ZIP or foreign postal code BETHLEHEM, NH 03574		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☒ Address change ☐ Name change		D 1 Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 2,080,859. (Part I, column (d) must be on cash basis.)	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1	Contributions, gifts, grants, etc., received	500,000.		N/A	
2	Check ☐ if the foundation is not required to attach Sch. B				
3	Interest on savings and temporary cash investments	57.	57.		STATEMENT 1
4	Dividends and interest from securities	40,920.	40,920.		STATEMENT 2
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	27,522.			
b	Gross sales price for all assets on line 6a	880,178.			
7	Capital gain net income (from Part IV, line 2)		27,522.		
8	Net short-term capital gain				
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less: Cost of goods sold				
c	Gross profit or (loss)				
11	Other income				
12	Total. Add lines 1 through 11	568,499.	68,499.		
13	Compensation of officers, directors, trustees, etc.	0.	0.		0.
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees	360.	90.		270.
b	Accounting fees	1,977.	494.		1,483.
c	Other professional fees				
17	Interest				
18	Taxes	228.	228.		0.
19	Depreciation and depletion				
20	Occupancy				
21	Travel, conferences, and meetings				
22	Printing and publications				
23	Other expenses	12,252.	12,252.		0.
24	Total operating and administrative expenses. Add lines 13 through 23	14,817.	13,064.		1,753.
25	Contributions, gifts, grants paid	100,000.			100,000.
26	Total expenses and disbursements. Add lines 24 and 25	114,817.	13,064.		101,753.
27	Subtract line 26 from line 12:				
a	Excess of revenue over expenses and disbursements	453,682.			
b	Net investment income (if negative, enter -0-)		55,435.		
c	Adjusted net income (if negative, enter -0-)			N/A	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only			
		Beginning of year	End of year		
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1 Cash - non-interest-bearing				
	2 Savings and temporary cash investments	263,327.	182,074.	182,074.	
	3 Accounts receivable ▶				
	Less: allowance for doubtful accounts ▶				
	4 Pledges receivable ▶				
	Less: allowance for doubtful accounts ▶				
	5 Grants receivable				
	6 Receivables due from officers, directors, trustees, and other disqualified persons				
	7 Other notes and loans receivable ▶				
	Less: allowance for doubtful accounts ▶				
	8 Inventories for sale or use				
	9 Prepaid expenses and deferred charges				
	10a Investments - U.S. and state government obligations				
	b Investments - corporate stock				
	c Investments - corporate bonds				
		11 Investments - land, buildings and equipment basis ▶			
Less: accumulated depreciation ▶					
12 Investments - mortgage loans					
13 Investments - other STMT 7		1,164,944.	1,702,016.	1,898,785.	
14 Land, buildings, and equipment: basis ▶					
Less: accumulated depreciation ▶					
15 Other assets (describe ▶)					
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)		1,428,271.	1,884,090.	2,080,859.	
Liabilities		17 Accounts payable and accrued expenses			
		18 Grants payable			
	19 Deferred revenue				
	20 Loans from officers, directors, trustees, and other disqualified persons	7,945.	10,082.	STATEMENT 8	
	21 Mortgages and other notes payable				
	22 Other liabilities (describe ▶)				
23 Total liabilities (add lines 17 through 22)	7,945.	10,082.			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐				
	and complete lines 24 through 26 and lines 30 and 31.				
	24 Unrestricted				
	25 Temporarily restricted				
	26 Permanently restricted				
	Foundations that do not follow SFAS 117, check here ▶ ☒				
	and complete lines 27 through 31				
	27 Capital stock, trust principal, or current funds	0.	0.		
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
	29 Retained earnings, accumulated income, endowment, or other funds	1,420,326.	1,874,008.		
30 Total net assets or fund balances	1,420,326.	1,874,008.			
31 Total liabilities and net assets/fund balances	1,428,271.	1,884,090.			

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	1,420,326.
2 Enter amount from Part I, line 27a	2	453,682.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	1,874,008.
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	1,874,008.

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 MERRILL LYNCH SHORT TERM SEE ATTACHED		VARIOUS	VARIOUS
b MERRILL LYNCH LONG TERM SEE ATTACHED		VARIOUS	VARIOUS
c CAPITAL GAINS DIVIDENDS			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 511,547.		506,603.	4,944.
b 354,100.		346,053.	8,047.
c 14,531.			14,531.
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a			4,944.
b			8,047.
c			14,531.
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	27,522.
	3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

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

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	99,797.	1,008,872.	.098919
2011	0.	985,001.	.000000
2010			
2009			
2008			

2 Total of line 1, column (d)	2	.098919
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	.049460
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	1,657,832.
5 Multiply line 4 by line 3	5	81,996.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	554.
7 Add lines 5 and 6	7	82,550.
8 Enter qualifying distributions from Part XII, line 4	8	101,753.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)	1	554.
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b	2	0.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)	3	554.
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
3	Add lines 1 and 2	5	554.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		
5	Tax based on investment income Subtract line 4 from line 3. If zero or less, enter -0-		
6	Credits/Payments.		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	1,147.
b	Exempt foreign organizations - tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	1,147.
8	Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8	
9	Tax due If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	593.
11	Enter the amount of line 10 to be: Credited to 2014 estimated tax	11	0.

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 0. (2) On foundation managers. \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) <u>VT</u>		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	X	

N/A

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>N/A</u>	13	X	
14	The books are in care of ► <u>THE FOUNDATION</u> Telephone no. ► <u>(603) 298-8564</u> Located at ► <u>110 AGASSIZ STREET, BETHLEHEM, NH</u> ZIP+4 ► <u>03574</u>			
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 ► <u>15</u> <u>N/A</u>			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

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

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

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

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

5a During the year did the foundation pay or incur any amount to:

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

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

6b

X

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

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

N/A

7b

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

1 List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
KLAUS LUBBE 110 AGASSIZ ROAD BETHLEHAM, NH 03547	TRUSTEE 0.00	0.	0.	0.
PATRICIA LUBBE 110 AGASSIZ ROAD BETHLEHAM, NH 03547	TRUSTEE 0.00	0.	0.	0.

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

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

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

0

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Part VIII**Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors** (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

(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

0

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.

	Amount
1 N/A	
2	
3 All other program-related investments. See instructions.	

Total. Add lines 1 through 3

0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	1,614,876.
b	Average of monthly cash balances	1b	68,202.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	1,683,078.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	1,683,078.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	25,246.
5	Net value of noncharitable-use assets Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,657,832.
6	Minimum investment return Enter 5% of line 5	6	82,892.

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	82,892.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	554.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	554.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	82,338.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	82,338.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	82,338.

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	101,753.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	101,753.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	554.
6	Adjusted qualifying distributions Subtract line 5 from line 4	6	101,199.

Note The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				82,338.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012	49,759.			
f Total of lines 3a through e	49,759.			
4 Qualifying distributions for 2013 from Part XII, line 4: ► \$ 101,753.				
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				82,338.
e Remaining amount distributed out of corpus	19,415.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	69,174.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	69,174.			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012	49,759.			
e Excess from 2013	19,415.			

Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
ALS THERAPY DEVELOPMENT CORP 300 TECHNOLOGY SQUARE CAMBRIDGE, MA 02139	NONE	NON PROFIT BIOTECHNOLOGY ORG		100,000.
Total			► 3a	100,000.
b Approved for future payment				
NONE				
Total			► 3b	0.

Part XVII

- | | | Yes | No |
|---|--|-------|----|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | |
| | (1) Cash | 1a(1) | X |
| | (2) Other assets | 1a(2) | X |
| b | Other transactions: | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | X |
| | (4) Reimbursement arrangements | 1b(4) | X |
| | (5) Loans or loan guarantees | 1b(5) | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | X |
| d | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | |

[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No
- b** If "Yes," complete the following schedule.

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

**Sign
Here**

Signature of officer or trustee

Title

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

☒ Yes ☐ No

**Paid
Preparer
Use Only**

Preparer's signature

Date

Check ☒ self-employed

PTIN

PATRICIA H. MORSE

09/18/14

Firm's name ▶ PATRICIA H. MORSE, CPA

Firm's address ► 103 HANOVER ST., SUITE #7
LEBANON, NH 03766

Phone no. (603) 448-4224

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, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and
its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Name of the organization

Employer identification number

LUBBE FAMILY FOUNDATION

45-6643003

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)() (enter number) organization

☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation

☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation

☐ 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 33 1/3% 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 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 to 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 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2013)

Name of organization

Employer identification number

LUBBE FAMILY FOUNDATION**45-6643003****Part I Contributors** (see instructions) Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<u>1</u>	<u>KLAUS & PATRICIA LUBBE</u> <u>110 AGASSIZ ROAD</u> <u>BETHLEHAM, NH 03547</u>	\$ <u>500,000.</u>	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions)

Name of organization

Employer identification number

LUBBE FAMILY FOUNDATION**45-6643003****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) ▶ \$

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
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
MERRILL LYNCH	55.	55.	
MERRILL LYNCH	2.	2.	
TOTAL TO PART I, LINE 3	57.	57.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
MERRILL LYNCH	55,451.	14,531.	40,920.	40,920.	
TO PART I, LINE 4	55,451.	14,531.	40,920.	40,920.	

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL	360.	90.		270.
TO FM 990-PF, PG 1, LN 16A	360.	90.		270.

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING	1,977.	494.		1,483.
TO FORM 990-PF, PG 1, LN 16B	1,977.	494.		1,483.

FORM 990-PF	TAXES	STATEMENT	5
-------------	-------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAX	228.	228.		0.
TO FORM 990-PF, PG 1, LN 18	228.	228.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	6
-------------	----------------	-----------	---

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BANK CHARGES	155.	155.		0.
INVESTMENT FEES	12,097.	12,097.		0.
TO FORM 990-PF, PG 1, LN 23	12,252.	12,252.		0.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	7
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
PUBLICLY TRADED SECURITIES	COST	1,702,016.	1,898,785.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,702,016.	1,898,785.

FORM 990-PF LOANS PAYABLE TO OFFICERS, DIRECTORS, ETC. STATEMENT 8

LENDER'S NAME AND TITLE

KLAUS & PATRICIA LUBBE, DIRECTOR

DATE OF NOTE	MATURITY DATE	INTEREST RATE	TERMS OF REPAYMENT
		.00%	

SECURITY PROVIDED BY BORROWER

PURPOSE OF LOAN

ADVANCE FOR LEGAL EXPENSES

DESCRIPTION OF CONSIDERATION	FMV OF CONSIDERATION	ORIGINAL LOAN AMOUNT	BALANCE DUE
	0.	0.	10,082.

TOTAL TO FORM 990-PF, PART II, LINE 20, COLUMN B

10,082.

FORM 990-PF LIST OF SUBSTANTIAL CONTRIBUTORS STATEMENT 9
PART VII-A, LINE 10

NAME OF CONTRIBUTOR

ADDRESS

KLAUS AND PATRICIA LUBBE

504 BROWNSVILLE-HARTLAND ROAD
WEST WINDSOR, VT 05089

FORM 990-PF PART XV - LINE 1A STATEMENT 10
LIST OF FOUNDATION MANAGERS

NAME OF MANAGER

KLAUS LUBBE
PATRICIA LUBBE

• If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only Part II and check this box ☒ **X**

Note. Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868

• If you are filing for an **Automatic 3-Month Extension**, complete only Part I (on page 1)

Part II Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed).

Type or print File by the due date for filing your return See instructions	Enter filer's identifying number, see instructions	
	Name of exempt organization or other filer, see instructions.	Employer identification number (EIN) or
	LUBBE FAMILY FOUNDATION	45-6643003
	Number, street, and room or suite no. If a P O box, see instructions	Social security number (SSN)
	110 AGASSIZ STREET	
	City, town or post office, state, and ZIP code For a foreign address, see instructions	
	BETHLEHEM, NH 03574	

Enter the Return code for the return that this application is for (file a separate application for each return)

0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01		
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.

THE FOUNDATION

• The books are in the care of **110 AGASSIZ STREET - BETHLEHEM, NH 03574**

Telephone No **(603) 298-8564**

Fax No

• If the organization does not have an office or place of business in the United States, check this box ☐

• If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____ If this is for the whole group, check this box ☐ If it is for part of the group, check this box ☐ and attach a list with the names and EINs of all members the extension is for

4 I request an additional 3-month extension of time until **NOVEMBER 15, 2014**

5 For calendar year **2013**, or other tax year beginning _____, and ending _____

6 If the tax year entered in line 5 is for less than 12 months, check reason ☐ Initial return ☐ Final return

☐ Change in accounting period

7 State in detail why you need the extension

ADDITIONAL TIME IS NEEDED DUE TO UNAVOIDABLE ABSENCE OF AN INDIVIDUAL HAVING SOLE AUTHORITY TO EXECUTE THE RETURN

8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits See instructions	8a	\$	1,147.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868	8b	\$	1,147.
c Balance due. Subtract line 8b from line 8a Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions	8c	\$	0.

Signature and Verification must be completed for Part II only.

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature

Title

Date

Form 8868 (Rev 1 2014)



Lubbe Family Foundation 45-6643003
2013 Form 990-PF
Sch D Attachment

Account No.
71E-10905

Taxpayer No.
45-6643003

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PATRICIA A LUBBE TTEE

2013 TAX REPORTING STATEMENT

The following sections are provided to facilitate your review and the preparation of your tax return.

The 2013 Proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities." A covered security includes those with a purchase date within the following timeline: Equities acquired on or after January 1, 2011 and Mutual Funds acquired on or after January 1, 2012. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities." Any sale of a security that is considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available) but the adjusted basis will not be transmitted to the IRS.

In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and non covered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

This is important tax information and is being furnished to the Internal Revenue Service. 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.

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

(OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
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SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

ABBOTT LABS		CUSIP Number	002824100	01/27/12	01/16/13	818.73	658.33	0.00	160.40
25.0000	Sale			02/28/12	01/16/13	98.24	82.06	0.00	16.18
3.0000	Sale			04/30/12	01/16/13	130.99	119.26	0.00	11.73
4.0000	Sale			05/01/12	01/16/13	327.49	297.54	0.00	29.95
10.0000	Sale			06/01/12	01/16/13	982.48	871.46	0.00	111.02
30.0000	Sale			07/05/12	01/16/13	622.25	589.66	0.00	32.59
19.0000	Sale								
Security Subtotal						2,980.18	2,618.31	0.00	361.87
ALLERGAN INC		CUSIP Number	018490102	10/01/12	09/25/13	274.76	279.63	0.00	(4.87)
3.0000	Sale			01/16/13	09/25/13	1,923.38	2,194.00	0.00	(270.62)
21.0000	Sale			08/20/13	09/25/13	2,106.57	2,121.95	0.00	(15.38)
23.0000	Sale								
Security Subtotal						4,304.71	4,595.58	0.00	(290.87)



PATRICIA A LUBBE TTEE

2013 TAX REPORTING STATEMENT

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

(OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
APACHE CORP								
37,000	Sale	CUSIP Number 10/01/12	037411105 08/20/13	2,826.00	3,211.23	0.00	(385.23)	
59,000	Sale	01/16/13	08/20/13	4,506.35	4,756.58	0.00	(250.23)	
	Security Subtotal			7,332.35	7,967.81	0.00	(635.46)	
BIOGEN IDEC INC								
20,000	Sale	CUSIP Number 01/16/13	09062X103 08/20/13	4,167.17	2,850.00	0.00	1,317.17	
BOEING COMPANY								
25,000	Sale	CUSIP Number 10/01/12	097023105 08/20/13	2,621.21	1,756.04	0.00	865.17	
BRISTOL-MYERS SQUIBB CO								
11,000	Sale	CUSIP Number 01/16/13	110122108 08/20/13	460.90	377.70	0.00	83.20	
42,000	Sale	01/16/13	09/25/13	1,962.22	1,442.12	0.00	520.10	
	Security Subtotal			2,423.12	1,819.82	0.00	603.30	
CITRIX SYSTEMS INC	COM							
165,000	Sale	CUSIP Number 08/20/13	177376100 12/31/13	10,404.25	11,872.87	0.00	(1,468.62)	
152,000	Sale	09/25/13	12/31/13	9,584.53	11,077.03	0.00	(1,492.50)	
	Security Subtotal			19,988.78	22,949.90	0.00	(2,961.12)	
COCA COLA COM								
36,000	Sale	CUSIP Number 01/27/12	191216100 01/16/13	1,342.52	1,212.84	0.00	129.68	
4,000	Sale	02/28/12	01/16/13	149.17	137.80	0.00	11.37	
34,000	Sale	04/02/12	01/16/13	1,267.94	1,260.38	0.00	7.56	
6,000	Sale	04/30/12	01/16/13	223.75	228.45	0.00	(4.70)	
16,000	Sale	05/01/12	01/16/13	596.68	612.32	0.00	(15.64)	
60,000	Sale	06/01/12	01/16/13	2,237.56	2,195.70	0.00	41.86	
7,000	Sale	10/01/12	01/16/13	261.05	269.29	0.00	(8.24)	
	Security Subtotal			6,078.67	5,916.78	0.00	161.89	
DIGITAL RLTY TR INC								
25,000	Sale	CUSIP Number 01/27/12	253868103 01/16/13	1,769.71	1,738.06	0.00	31.65	
76,000	Sale	08/20/13	11/07/13	3,555.41	3,971.75	0.00	(416.34)	
	Security Subtotal			5,325.12	5,709.81	0.00	(384.69)	



Account No.
 71E-10905

Taxpayer No.
 45-6643003

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PATRICIA A LUBBE TTEE

2013 TAX REPORTING STATEMENT

1099-B **2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS** (OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
DU PONT E I DE NEMOURS								
8,000	Sale	CUSIP Number 01/16/13	263534109 08/20/13	461.12	366.92	0.00	94.20	
14,000	Sale	01/16/13	09/25/13	835.65	642.11	0.00	193.54	
Security Subtotal				1,296.77	1,009.03	0.00	287.74	
E M C CORPORATION MASS								
184,000	Sale	CUSIP Number 01/16/13	268648102 08/20/13	4,716.74	4,451.88	0.00	264.86	
EATON CORP PLC								
4,000	Sale	CUSIP Number 12/04/12	G29183103 08/20/13	260.43	205.84	0.00	54.59	
32,000	Sale	12/04/12	09/25/13	2,274.84	1,646.66	0.00	628.18	
Security Subtotal				2,535.27	1,852.50	0.00	682.77	
ISHARES BARCLAYS 1-3 YEA CREDIT								
174,000	Sale	CUSIP Number 01/27/12	464288646 01/16/13	18,390.06	18,185.26	0.00	204.80	
20,000	Sale	01/27/12	01/16/13	2,113.80	2,090.40	0.00	23.40	
9,000	Sale	02/28/12	01/16/13	951.22	946.08	0.00	5.14	
259,000	Sale	07/05/12	07/01/13	27,168.66	27,083.61	0.00	85.05	
14,000	Sale	10/01/12	07/01/13	1,468.57	1,474.90	0.00	(6.33)	
18,000	Sale	12/10/12	07/01/13	1,888.18	1,897.56	0.00	(9.38)	
1,000	Sale	12/10/12	08/20/13	105.06	105.42	0.00	(0.36)	
Security Subtotal				52,085.55	51,783.23	0.00	302.32	
VANGUARD SHORT TERM BOND								
174,000	Sale	CUSIP Number 01/27/12	921937827 01/16/13	14,099.77	14,151.42	0.00	(51.65)	
14,000	Sale	10/01/12	07/01/13	1,120.02	1,139.32	0.00	(19.30)	
2,000	Sale	10/01/12	09/25/13	160.64	162.76	0.00	(2.12)	
500,000	Sale	12/10/12	09/25/13	40,160.95	40,675.00	0.00	(514.05)	
14,000	Sale	08/20/13	09/25/13	1,124.51	1,120.55	0.00	3.96	
Security Subtotal				56,665.89	57,249.05	0.00	(583.16)	
GLAXOSMITHKLINE PLC ADR								
26,000	Sale	CUSIP Number 01/27/12	37733W105 01/16/13	1,140.07	1,162.98	0.00	(22.91)	
3,000	Sale	02/28/12	01/16/13	131.54	134.70	0.00	(3.16)	
4,000	Sale	04/30/12	01/16/13	175.39	184.72	0.00	(9.33)	
10,000	Sale	05/01/12	01/16/13	438.49	467.00	0.00	(28.51)	
30,000	Sale	06/01/12	01/16/13	1,315.48	1,304.70	0.00	10.78	



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PATRICIA A LUBBE TTEE

2013 TAX REPORTING STATEMENT

1099-B 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
GLAXOSMITHKLINE PLC ADR								
26.0000	Sale	07/05/12	37733W105 01/16/13	1,140.09	1,197.30	0.00	(57.21)	
2.0000	Sale	10/01/12	01/16/13	87.70	92.86	0.00	(5.16)	
	Security Subtotal			4,428.76	4,544.26	0.00	(115.50)	
GENERAL ELECTRIC								
67.0000	Sale	01/16/13	369604103 09/25/13	1,638.79	1,412.69	0.00	226.10	
HALLIBURTON COMPANY								
23.0000	Sale	01/27/12	406216101 01/16/13	834.30	853.76	0.00	(19.46)	
4.0000	Sale	02/28/12	01/16/13	145.09	150.36	0.00	(5.27)	
7.0000	Sale	04/30/12	01/16/13	253.92	239.12	0.00	14.80	
20.0000	Sale	05/01/12	01/16/13	725.48	685.20	0.00	40.28	
66.0000	Sale	06/01/12	01/16/13	2,394.11	1,980.66	0.00	413.45	
78.0000	Sale	07/05/12	01/16/13	2,829.41	2,311.92	0.00	517.49	
	Security Subtotal			7,182.31	6,221.02	0.00	961.29	
INTUIT INC								
3.0000	COM Sale	10/01/12	461202103 08/20/13	190.26	177.30	0.00	12.96	
39.0000	Sale	01/16/13	08/20/13	2,473.48	2,453.88	0.00	19.60	
	Security Subtotal			2,663.74	2,631.18	0.00	32.56	
JACOBS ENGN GRP INC DELA								
65.0000	Sale	01/16/13	469814107 09/25/13	3,799.48	2,945.15	0.00	854.33	
JPMORGAN CHASE & CO								
15.0000	Sale	01/16/13	46625H100 09/25/13	772.04	698.70	0.00	73.34	
MALLINCKRODT PLC SHS								
7.0000	Cash/Lieu Sale	01/16/13	G5785G107 07/15/13	25.87	25.69	0.00	0.18	
	Security Subtotal			326.87	318.94	0.00	7.93	
MICROSOFT CORP								
150.0000	Sale	01/16/13	594918104 12/12/13	5,614.43	4,053.00	0.00	1,561.43	
NATIONAL-OILWELL VARCO INC								
48.0000	Sale	01/16/13	637071101 08/20/13	3,450.73	3,380.64	0.00	70.09	



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1099-B **2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS** (OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
OCCEIDENTAL PETE CORP CAL								
22.0000	Sale	02/07/13	09/25/13	2,041.78	1,937.21	0.00	104.57	
PG&E CORP								
19.0000	Sale	08/20/13	09/25/13	803.50	816.16	0.00	(12.66)	
PPL CORPORATION								
29.0000	Sale	08/20/13	09/25/13	886.22	894.30	0.00	(8.08)	
PRUDENTIAL FINANCIAL INC								
13.0000	Sale	01/27/12	01/16/13	735.65	733.46	0.00	2.19	
2.0000	Sale	02/28/12	01/16/13	113.17	122.60	0.00	(9.43)	
3.0000	Sale	04/30/12	01/16/13	169.76	181.14	0.00	(11.38)	
8.0000	Sale	05/01/12	01/16/13	452.71	483.60	0.00	(30.89)	
30.0000	Sale	06/01/12	01/16/13	1,697.67	1,345.20	0.00	352.47	
31.0000	Sale	07/05/12	01/16/13	1,754.26	1,494.51	0.00	259.75	
				4,923.22	4,360.51	0.00	562.71	
Security Subtotal								
QUALCOMM INC								
52.0000	Sale	01/16/13	08/20/13	3,472.72	3,374.28	0.00	98.44	
RAYTHEON CO DELAWARE NEW								
21.0000	Sale	01/27/12	01/16/13	1,212.51	1,022.70	0.00	189.81	
2.0000	Sale	02/28/12	01/16/13	115.47	101.52	0.00	13.95	
17.0000	Sale	04/02/12	01/16/13	981.55	895.22	0.00	86.33	
3.0000	Sale	04/30/12	01/16/13	173.21	162.42	0.00	10.79	
9.0000	Sale	05/01/12	01/16/13	519.65	486.00	0.00	33.65	
30.0000	Sale	06/01/12	01/16/13	1,732.18	1,488.30	0.00	243.88	
				4,734.57	4,156.16	0.00	578.41	
Security Subtotal								
ROYAL DUTCH SHELL PLC								
SPONS ADR B								
2.0000	Sale	02/28/12	02/07/13	138.64	149.18	0.00	(10.54)	
16.0000	Sale	04/02/12	02/07/13	1,109.19	1,150.88	0.00	(41.69)	
3.0000	Sale	04/30/12	02/07/13	207.97	219.57	0.00	(11.60)	
9.0000	Sale	05/01/12	02/07/13	623.92	661.14	0.00	(37.22)	
30.0000	Sale	06/01/12	02/07/13	2,079.73	1,900.20	0.00	179.53	
5.0000	Sale	07/05/12	02/07/13	346.62	353.25	0.00	(6.63)	



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1099-B **2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS** (OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ROYAL DUTCH SHELL PLC SPONS ADR B								
	1.0000 Sale	10/01/12	02/07/13	69.32	71.77	0.00	(2.45)	
	50.0000 Sale	01/16/13	02/07/13	3,466.24	3,563.00	0.00	(96.76)	
	Security Subtotal			8,041.63	8,068.99	0.00	(27.36)	
RPM INTERNATIONAL INC								
	62.0000 Sale	01/27/12	01/16/13	1,921.96	1,540.70	0.00	381.26	
	6.0000 Sale	02/28/12	01/16/13	185.99	149.70	0.00	36.29	
	4.0000 Sale	04/30/12	01/16/13	123.99	106.96	0.00	17.03	
	12.0000 Sale	05/01/12	01/16/13	371.99	320.04	0.00	51.95	
	14.0000 Sale	06/01/12	01/16/13	434.00	351.54	0.00	82.46	
	11.0000 Sale	07/05/12	01/16/13	341.00	307.12	0.00	33.88	
	3.0000 Sale	10/01/12	01/16/13	93.00	84.15	0.00	8.85	
	Security Subtotal			3,471.93	2,860.21	0.00	611.72	
SEMPRA ENERGY								
	6.0000 Sale	10/01/12	08/20/13	499.86	388.44	0.00	111.42	
SOUTHERN COMPANY								
	26.0000 Sale	01/27/12	01/16/13	1,116.41	1,170.78	0.00	(54.37)	
	3.0000 Sale	02/28/12	01/16/13	128.81	133.11	0.00	(4.30)	
	4.0000 Sale	04/30/12	01/16/13	171.75	183.52	0.00	(11.77)	
	10.0000 Sale	05/01/12	01/16/13	429.39	461.00	0.00	(31.61)	
	30.0000 Sale	06/01/12	01/16/13	1,288.17	1,377.60	0.00	(89.43)	
	25.0000 Sale	07/05/12	01/16/13	1,073.49	1,160.50	0.00	(87.01)	
	4.0000 Sale	10/01/12	01/16/13	171.76	183.36	0.00	(11.60)	
	Security Subtotal			4,379.78	4,669.87	0.00	(290.09)	
THOMSON REUTERS CORP								
	25.0000 Sale	08/20/13	09/25/13	887.98	850.64	0.00	37.34	
TIME WARNER INC SHS								
	30.0000 Sale	01/16/13	08/20/13	1,853.99	1,476.90	0.00	377.09	
UNITED PARCEL SVC CL B								
	20.0000 Sale	01/27/12	01/16/13	1,590.76	1,518.00	0.00	72.76	
	11.0000 Sale	04/02/12	01/16/13	874.92	886.49	0.00	(11.57)	
	2.0000 Sale	04/30/12	01/16/13	159.07	156.00	0.00	3.07	
	6.0000 Sale	05/01/12	01/16/13	477.23	469.20	0.00	8.03	



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1099-B **2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS** (OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
UNITED PARCEL SVC CL B								
18.0000	Sale	06/01/12	01/16/13	1,431.69	1,322.46	0.00	109.23	
7.0000	Sale	10/01/12	01/16/13	556.78	507.08	0.00	49.70	
	Security Subtotal			5,090.45	4,859.23	0.00	231.22	
XCEL ENERGY INC								
12.0000	Sale	10/01/12	08/20/13	334.12	330.36	0.00	3.76	
PRUDENTIAL JENNISON NATURAL RESOURCES INC Z								
.1690	Sale	08/20/13	09/25/13	8.67	7.74	0.00	0.93	
TRANSAMERICA SMALL/MID CAP VALUE FUND I								
.2540	Sale	08/20/13	09/25/13	7.31	7.01	0.00	0.30	
385.0000	Sale	08/20/13	09/25/13	11,084.15	10,629.85	0.00	454.30	
.0130	Sale	08/20/13	09/25/13	0.38	0.00	0.00	0.38	
	Security Subtotal			11,091.84	10,636.86	0.00	454.98	
ING REAL ESTATE FUND CLASS I								
105.0000	Sale	10/01/12	08/20/13	1,790.25	1,786.05	0.00	4.20	
.5910	Sale	01/16/13	08/20/13	10.08	10.17	0.00	(0.09)	
1087.0000	Sale	01/16/13	08/20/13	18,533.37	19,326.86	0.00	(793.49)	
	Security Subtotal			20,333.70	21,123.08	0.00	(789.38)	
ING GLOBAL REAL ESTATE FUND CL I								
.3910	Sale	08/20/13	09/25/13	7.23	6.88	0.00	0.35	
220.0000	Sale	08/20/13	09/25/13	4,067.80	3,872.00	0.00	195.80	
.3330	Sale	08/20/13	09/25/13	6.16	0.00	0.00	6.16	
	Security Subtotal			4,081.19	3,878.88	0.00	202.31	
PIMCO REAL RETURN FUND CL P								
183.0000	Sale	01/27/12	01/16/13	2,243.58	2,192.34	0.00	51.24	
.0910	Sale	12/10/12	01/16/13	1.12	1.17	0.00	(0.05)	
15.0000	Sale	07/05/12	07/01/13	168.45	185.40	0.00	(16.95)	
.2090	Sale	07/05/12	07/01/13	2.35	2.59	0.00	(0.24)	
.4990	Sale	12/10/12	07/01/13	5.60	6.39	0.00	(0.79)	



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1099-B **2013 TAX REPORTING STATEMENT** **2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS** (OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
PIMCO REAL RETURN FUND								
CL P								
50.0000	Sale	10/01/12	09/25/13	565.00	629.00	0.00	(64.00)	
1.0000	Sale	12/10/12	09/25/13	11.29	12.50	0.00	(1.21)	
1951.0000	Sale	12/10/12	09/25/13	22,046.30	24,992.31	0.00	(2,946.01)	
1.0000	Sale	08/20/13	09/25/13	11.29	12.09	0.00	(0.80)	
3700	Sale	08/20/13	09/25/13	4.18	4.10	0.00	0.08	
2709.0000	Sale	08/20/13	09/25/13	30,611.73	30,015.72	0.00	596.01	
Security Subtotal				55,670.89	58,053.61	0.00	(2,382.72)	
ROYCE MICRO-CAP FUND								
CL INVESTMENT								
1.0000	Sale	10/01/12	08/20/13	16.06	15.86	0.00	0.20	
18.0000	Sale	10/01/12	08/20/13	289.08	282.96	0.00	6.12	
.5480	Sale	01/16/13	08/20/13	8.80	8.39	0.00	0.41	
1489.0000	Sale	01/16/13	08/20/13	23,913.36	22,335.00	0.00	1,578.36	
Security Subtotal				24,227.30	22,642.21	0.00	1,585.09	
LOOMIS SAYLES INVT GRADE								
BD FD CL Y								
2526.0000	Sale	02/03/12	01/16/13	32,181.24	31,120.32	0.00	1,060.92	
.0480	Sale	02/03/12	01/16/13	0.62	0.60	0.00	0.02	
.1190	Sale	12/10/12	01/16/13	1.51	1.52	0.00	(0.01)	
1.0000	Sale	10/01/12	09/25/13	12.25	12.59	0.00	(0.34)	
6.0000	Sale	10/01/12	09/25/13	73.50	76.44	0.00	(2.94)	
2187.0000	Sale	12/10/12	09/25/13	26,790.76	28,124.82	0.00	(1,334.06)	
1000	Sale	12/10/12	09/25/13	1.23	0.00	0.00	1.23	
.3120	Sale	08/20/13	09/25/13	3.82	3.76	0.00	0.06	
1.0000	Sale	08/20/13	12/31/13	11.90	12.20	0.00	(0.30)	
6017.0000	Sale	08/20/13	12/31/13	71,602.30	72,565.02	0.00	(962.72)	
Security Subtotal				130,679.13	131,917.27	0.00	(1,238.14)	
TEMPLETON GLBL BOND FD								
ADV CL								
.1840	Sale	08/20/13	09/25/13	2.38	2.34	0.00	0.04	



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PATRICIA A LUBBE TTEE

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1099-B **2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS** (OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
LUMIS SAYLES STRATEGIC INC FD CL Y								
		CUSIP Number	543487250					
1370.0000	Sale	02/03/12	01/16/13	21,618.60	20,550.00	0.00	1,068.60	
.7910	Sale	12/10/12	01/16/13	12.48	12.16	0.00	0.32	
Security Subtotal				21,631.08	20,562.16	0.00	1,068.92	
Covered Short Term Capital Gains and Losses Subtotal				511,546.61	506,602.73	0.00	4,943.88	
NET SHORT TERM CAPITAL GAINS AND LOSSES				511,546.61	506,602.73	0.00	4,943.88	

LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

AFFILIATED MANAGERS GRP								
6.0000	Sale	CUSIP Number	008252108					
		01/27/12	08/20/13	1,067.38	608.04	0.00	459.34	
ALTRIA GROUP INC								
11.0000	Sale	CUSIP Number	022095103					
3.0000	Sale	01/27/12	09/25/13	384.33	310.75	0.00	73.58	
9.0000	Sale	02/28/12	09/25/13	104.82	89.97	0.00	14.85	
		04/02/12	09/25/13	314.46	280.53	0.00	33.93	
Security Subtotal				803.61	681.25	0.00	122.36	
ALLERGAN INC								
13.0000	Sale	CUSIP Number	018490102					
1.0000	Sale	01/27/12	09/25/13	1,190.65	1,152.45	0.00	38.20	
2.0000	Sale	02/28/12	09/25/13	91.58	88.58	0.00	3.00	
5.0000	Sale	04/30/12	09/25/13	183.17	191.56	0.00	(8.39)	
16.0000	Sale	05/01/12	09/25/13	457.94	479.25	0.00	(21.31)	
13.0000	Sale	06/01/12	09/25/13	1,465.43	1,408.96	0.00	56.47	
		07/05/12	09/25/13	1,190.66	1,237.73	0.00	(47.07)	
Security Subtotal				4,579.43	4,558.53	0.00	20.90	
ABBVIE INC SHS								
15.0000	Sale	CUSIP Number	00287Y109					
10.0000	Sale	01/27/12	08/20/13	647.24	428.35	0.00	218.89	
3.0000	Sale	01/27/12	09/25/13	456.29	285.56	0.00	170.73	
4.0000	Sale	02/28/12	09/25/13	136.88	88.99	0.00	47.89	
		04/30/12	09/25/13	182.51	129.33	0.00	53.18	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ABBVIE INC SHS								
10.0000	Sale	05/01/12	00287Y109 09/25/13	456.29	322.65	0.00	133.64	
17.0000	Sale	06/01/12	09/25/13	775.72	535.52	0.00	240.20	
	Security Subtotal			2,654.93	1,790.40	0.00	864.53	
AT&T INC								
13.0000	Sale	01/27/12	00206R102 09/25/13	445.11	381.42	0.00	63.69	
4.0000	Sale	02/28/12	09/25/13	136.95	122.20	0.00	14.75	
13.0000	Sale	04/02/12	09/25/13	445.12	409.50	0.00	35.62	
	Security Subtotal			1,027.18	913.12	0.00	114.06	
ANADARKO PETE CORP								
1.0000	Sale	01/27/12	032511107 08/20/13	90.22	79.62	0.00	10.60	
BORG WARNER INC COM								
9.0000	Sale	01/27/12	099724106 08/20/13	871.00	666.54	0.00	204.46	
BIOGEN IDEC INC								
9.0000	Sale	01/27/12	09062X103 08/20/13	1,875.22	1,067.58	0.00	807.64	
1.0000	Sale	02/28/12	08/20/13	208.35	116.85	0.00	91.50	
2.0000	Sale	04/30/12	08/20/13	416.71	267.30	0.00	149.41	
4.0000	Sale	05/01/12	08/20/13	833.43	526.44	0.00	306.99	
18.0000	Sale	06/01/12	08/20/13	3,750.44	2,285.64	0.00	1,464.80	
	Security Subtotal			7,084.15	4,263.81	0.00	2,820.34	
BCE INC								
22.0000	Sale	01/27/12	05534B760 09/25/13	945.54	890.56	0.00	54.98	
3.0000	Sale	02/28/12	09/25/13	128.94	121.53	0.00	7.41	
7.0000	Sale	04/02/12	09/25/13	300.86	283.64	0.00	17.22	
	Security Subtotal			1,375.34	1,295.73	0.00	79.61	
CHEVRON CORP								
13.0000	Sale	01/27/12	166764100 09/25/13	1,621.98	1,351.87	0.00	270.11	
1.0000	Sale	02/28/12	09/25/13	124.77	109.52	0.00	15.25	
	Security Subtotal			1,746.75	1,461.39	0.00	285.36	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
DIGITAL RLTY TR INC								
CUSIP Number	253868103							
01/27/12	3.0000 Sale	09/25/13	165.65	208.59	0.00	(42.94)		
02/28/12	3.0000 Sale	09/25/13	165.65	212.22	0.00	(46.57)		
04/30/12	5.0000 Sale	09/25/13	276.09	372.82	0.00	(96.73)		
05/01/12	15.0000 Sale	09/25/13	828.29	1,122.02	0.00	(293.73)		
06/01/12	8.0000 Sale	09/25/13	441.77	554.73	0.00	(112.96)		
06/01/12	40.0000 Sale	11/07/13	1,871.26	2,773.65	0.00	(902.39)		
07/05/12	43.0000 Sale	11/07/13	2,011.60	3,295.98	0.00	(1,284.38)		
10/01/12	22.0000 Sale	11/07/13	1,029.19	1,507.22	0.00	(478.03)		
Security Subtotal				6,789.50	10,047.23	0.00	(3,257.73)	
DISCOVERY COMMUNICATN INC SERIES A								
CUSIP Number	25470F104							
01/27/12	4.0000 Sale	08/20/13	321.11	174.76	0.00	146.35		
E M C CORPORATION MASS								
CUSIP Number	268648102							
01/27/12	51.0000 Sale	08/20/13	1,307.35	1,313.25	0.00	(5.90)		
02/28/12	6.0000 Sale	08/20/13	153.80	167.76	0.00	(13.96)		
04/30/12	8.0000 Sale	08/20/13	205.07	225.12	0.00	(20.05)		
05/01/12	24.0000 Sale	08/20/13	615.22	675.36	0.00	(60.14)		
06/01/12	10.0000 Sale	08/20/13	256.34	231.80	0.00	24.54		
07/05/12	146.0000 Sale	08/20/13	3,742.62	3,704.75	0.00	37.87		
Security Subtotal				6,280.40	6,318.04	0.00	(37.64)	
EXPRESS SCRIPTS HLDG CO								
CUSIP Number	30219G108							
01/27/12	4.0000 Sale	08/20/13	259.07	206.68	0.00	52.39		
ISHARES 1-3 YEAR CREDIT BOND ETF								
CUSIP Number	464288646							
02/28/12	4.0000 Sale	07/01/13	419.59	420.48	0.00	(0.89)		
05/01/12	55.0000 Sale	07/01/13	5,769.40	5,765.65	0.00	3.75		
Security Subtotal				6,188.99	6,186.13	0.00	2.86	
VANGUARD SHORT TERM BOND								
CUSIP Number	921937827							
01/27/12	210.0000 Sale	07/01/13	16,800.25	17,079.30	0.00	(279.05)		
01/27/12	83.0000 Sale	07/01/13	6,640.10	6,749.56	0.00	(109.46)		
01/27/12	14.0000 Sale	07/01/13	1,120.01	1,138.50	0.00	(18.49)		
04/30/12	20.0000 Sale	07/01/13	1,600.02	1,623.60	0.00	(23.58)		
05/01/12	59.0000 Sale	07/01/13	4,720.08	4,787.26	0.00	(67.18)		
Security Subtotal				30,880.46	31,378.22	0.00	(497.76)	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
HONEYWELL INTL INC DEL								
7,0000	Sale	01/27/12	08/20/13	573.22	405.51	0.00	167.71	
INTEL CORP								
58,0000	Sale	01/27/12	09/25/13	1,375.15	1,549.76	0.00	(174.61)	
6,0000	Sale	02/28/12	09/25/13	142.26	163.38	0.00	(21.12)	
8,0000	Sale	04/30/12	09/25/13	189.67	227.28	0.00	(37.61)	
7,0000	Sale	05/01/12	09/25/13	165.98	199.29	0.00	(33.31)	
Security Subtotal				1,873.06	2,139.71	0.00	(266.65)	
INTUIT INC								
COM								
20,0000	Sale	01/27/12	08/20/13	1,268.43	1,148.40	0.00	120.03	
2,0000	Sale	02/28/12	08/20/13	126.84	115.22	0.00	11.62	
3,0000	Sale	04/30/12	08/20/13	190.26	173.79	0.00	16.47	
9,0000	Sale	05/01/12	08/20/13	570.79	523.08	0.00	47.71	
20,0000	Sale	06/01/12	08/20/13	1,268.44	1,099.80	0.00	168.64	
27,0000	Sale	07/05/12	08/20/13	1,712.40	1,612.98	0.00	99.42	
Security Subtotal				5,137.16	4,673.27	0.00	463.89	
JACOBS ENGN GRP INC DELA								
SHS								
30,0000	Sale	01/27/12	08/20/13	1,809.27	1,352.60	0.00	446.67	
5,0000	Sale	04/30/12	09/25/13	292.26	219.50	0.00	72.76	
3,0000	Sale	02/28/12	09/25/13	175.35	140.58	0.00	34.77	
16,0000	Sale	05/01/12	09/25/13	935.25	664.00	0.00	271.25	
18,0000	Sale	06/01/12	09/25/13	1,052.16	630.72	0.00	421.44	
92,0000	Sale	07/05/12	09/25/13	5,377.71	3,530.03	0.00	1,847.68	
Security Subtotal				9,642.00	6,547.43	0.00	3,094.57	
KRAFT FOODS GROUP INC								
SHS								
9,0000	Sale	01/27/12	09/25/13	477.53	363.62	0.00	113.91	
1,0000	Sale	02/28/12	09/25/13	53.05	40.40	0.00	12.65	
8,0000	Sale	04/02/12	09/25/13	424.49	322.90	0.00	101.59	
Security Subtotal				955.07	726.92	0.00	228.15	
KIMBERLY CLARK								
14,0000	Sale	01/27/12	09/25/13	1,342.09	997.50	0.00	344.59	



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1099-B 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
MERCK AND CO INC SHS								
17.0000	Sale	01/27/12	09/25/13	813.60	652.80	0.00	160.80	
2.0000	Sale	02/28/12	09/25/13	95.72	76.72	0.00	19.00	
3.0000	Sale	04/30/12	09/25/13	143.58	117.18	0.00	26.40	
5.0000	Sale	05/01/12	09/25/13	239.30	194.50	0.00	44.80	
Security Subtotal				1,292.20	1,041.20	0.00	251.00	
MALLINCKRODT PLC SHS								
3.0000	Sale	01/27/12	08/20/13	128.99	109.06	0.00	19.93	
2.0000	Sale	05/01/12	08/20/13	85.99	76.45	0.00	9.54	
4.0000	Sale	06/01/12	08/20/13	172.00	142.09	0.00	29.91	
5.0000	Sale	07/05/12	08/20/13	215.00	188.39	0.00	26.61	
Security Subtotal				601.98	515.99	0.00	85.99	
MCDONALDS CORP COM								
15.0000	Sale	01/27/12	09/25/13	1,466.07	1,480.05	0.00	(13.98)	
MICROSOFT CORP								
6.0000	Sale	01/27/12	08/20/13	189.77	175.56	0.00	14.21	
47.0000	Sale	01/27/12	09/25/13	1,536.88	1,375.22	0.00	161.66	
4.0000	Sale	02/28/12	09/25/13	130.80	127.48	0.00	3.32	
1.0000	Sale	02/28/12	12/12/13	37.42	31.87	0.00	5.55	
66.0000	Sale	06/01/12	12/12/13	2,470.34	1,886.28	0.00	584.06	
11.0000	Sale	07/05/12	12/12/13	411.72	337.15	0.00	74.57	
14.0000	Sale	10/01/12	12/12/13	524.01	414.96	0.00	109.05	
36.0000	Sale	04/02/12	12/12/13	1,347.45	1,162.80	0.00	184.65	
7.0000	Sale	04/30/12	12/12/13	262.00	224.14	0.00	37.86	
20.0000	Sale	05/01/12	12/12/13	748.58	641.00	0.00	107.58	
Security Subtotal				7,658.97	6,376.46	0.00	1,282.51	
NATIONAL-OILWELL VARCO INC								
6.0000	Sale	01/27/12	08/20/13	431.33	465.00	0.00	(33.67)	
1.0000	Sale	02/28/12	08/20/13	71.88	84.48	0.00	(12.60)	
2.0000	Sale	04/30/12	08/20/13	143.77	151.88	0.00	(8.11)	
7.0000	Sale	05/01/12	08/20/13	503.22	530.74	0.00	(27.52)	
18.0000	Sale	06/01/12	08/20/13	1,294.01	1,171.44	0.00	122.57	
28.0000	Sale	07/05/12	08/20/13	2,012.92	1,895.32	0.00	117.60	
Security Subtotal				4,457.13	4,298.86	0.00	158.27	



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1099-B 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
NEXTERA ENERGY INC SHS								
13.0000	Sale	01/27/12	09/25/13	1,054.41	773.50	0.00	280.91	
PACCAR INC								
1.0000	Sale	02/28/12	08/20/13	54.80	46.49	0.00	8.31	
4.0000	Sale	04/30/12	08/20/13	219.23	170.88	0.00	48.35	
3.0000	Sale	05/01/12	08/20/13	164.44	128.79	0.00	35.65	
8.0000	Sale	05/01/12	09/25/13	454.95	343.44	0.00	111.51	
23.0000	Sale	06/01/12	09/25/13	1,307.99	839.27	0.00	468.72	
Security Subtotal				2,201.41	1,528.87	0.00	672.54	
PHILIP MORRIS INTL INC								
8.0000	Sale	01/27/12	09/25/13	695.75	602.96	0.00	92.79	
QUALCOMM INC								
21.0000	Sale	01/27/12	08/20/13	1,402.43	1,211.91	0.00	190.52	
3.0000	Sale	02/28/12	08/20/13	200.34	187.77	0.00	12.57	
4.0000	Sale	04/30/12	08/20/13	267.13	254.51	0.00	12.62	
11.0000	Sale	05/01/12	08/20/13	734.61	702.02	0.00	32.59	
36.0000	Sale	06/01/12	08/20/13	2,404.18	1,987.46	0.00	416.72	
33.0000	Sale	07/05/12	08/20/13	2,203.84	1,867.14	0.00	336.70	
Security Subtotal				7,212.53	6,210.81	0.00	1,001.72	
ROYAL DUTCH SHELL PLC								
SPONS ADR B								
21.0000	Sale	01/27/12	02/07/13	1,455.81	1,525.44	0.00	(69.63)	
SEMPRA ENERGY								
3.0000	Sale	04/30/12	08/20/13	249.92	193.83	0.00	56.09	
7.0000	Sale	05/01/12	08/20/13	583.16	452.48	0.00	130.68	
19.0000	Sale	06/01/12	08/20/13	1,582.88	1,216.19	0.00	366.69	
37.0000	Sale	07/05/12	08/20/13	3,082.47	2,556.33	0.00	526.14	
Security Subtotal				5,498.43	4,418.83	0.00	1,079.60	
SPECTRA ENERGY CORP								
19.0000	Sale	01/27/12	08/20/13	639.73	597.74	0.00	41.99	
30.0000	Sale	01/27/12	09/25/13	1,022.68	943.80	0.00	78.88	
5.0000	Sale	02/28/12	09/25/13	170.44	156.30	0.00	14.14	



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1099-B **2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS** (OMB NO. 1545-0715)

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
SPECTRA ENERGY CORP								
7,000	Sale	CUSIP Number 04/30/12	847560109 09/25/13	238.63	214.62	0.00	24.01	
1 0000	Sale	05/01/12	09/25/13	34 10	30.69	0.00	3 41	
Security Subtotal				2,105.58	1,943.15	0.00	162.43	
TIME WARNER INC SHS								
10,000	Sale	CUSIP Number 01/27/12	887317303 08/20/13	617.98	374 40	0.00	243.58	
2,000	Sale	02/28/12	08/20/13	123.59	75 58	0.00	48.01	
3,000	Sale	04/30/12	08/20/13	185.39	112.20	0.00	73.19	
9,000	Sale	05/01/12	08/20/13	556.19	337.50	0.00	218.69	
30,000	Sale	06/01/12	08/20/13	1,853.97	1,014.90	0.00	839.07	
15,000	Sale	07/05/12	08/20/13	926.98	577 35	0.00	349.63	
Security Subtotal				4,264.10	2,491.93	0.00	1,772.17	
THERMO FISHER SCIENTIFIC INC								
4,000	Sale	CUSIP Number 05/01/12	883556102 08/20/13	361.55	222 36	0.00	139.19	
16,000	Sale	06/01/12	08/20/13	1,446.24	788.32	0.00	657.92	
Security Subtotal				1,807.79	1,010.68	0.00	797.11	
TORONTO DOMINION BANK								
15,000	Sale	CUSIP Number 01/27/12	891160509 09/25/13	1,343.23	1,154.25	0.00	188.98	
VENTAS INC REIT								
26,000	Sale	CUSIP Number 01/27/12	92276F100 09/25/13	1,634 33	1,525.42	0.00	108.91	
1,000	Sale	02/28/12	09/25/13	62.86	55.91	0.00	6.95	
Security Subtotal				1,697.19	1,581.33	0.00	115.86	
VERIZON COMMUNICATIONS COM								
23,000	Sale	CUSIP Number 01/27/12	92343V104 09/25/13	1,086.50	860.20	0.00	226.30	
XCEL ENERGY INC								
43,000	Sale	CUSIP Number 01/27/12	98389B100 08/20/13	1,197.20	1,163.58	0.00	33.62	
4,000	Sale	02/28/12	08/20/13	111.36	105.60	0.00	5.76	
34,000	Sale	04/02/12	08/20/13	946.63	902 70	0.00	43.93	
6,000	Sale	04/30/12	08/20/13	167.05	162.18	0.00	4.87	
18,000	Sale	05/01/12	08/20/13	501.16	487 44	0.00	13.72	



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2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
XCEL ENERGY INC								
48.0000	Sale	06/01/12	08/20/13	1,336.42	1,342.56	0.00	(6.14)	
6.0000	Sale	07/05/12	08/20/13	167.05	172.02	0.00	(4.97)	
	Security Subtotal			4,426.87	4,336.08	0.00	90.79	
WHOLE FOODS MKT INC COM								
5.0000	Sale	01/27/12	08/20/13	264.09	186.98	0.00	77.11	
PRUDENTIAL JENNISON NATURAL RESOURCES INC Z								
95.0000	Sale	01/27/12	09/25/13	4,875.40	4,928.60	0.00	(53.20)	
6.0000	Sale	02/28/12	09/25/13	307.92	327.18	0.00	(19.26)	
	Security Subtotal			5,183.32	5,255.78	0.00	(72.46)	
ING REAL ESTATE FUND CLASS I								
412.0000	Sale	01/27/12	08/20/13	7,024.59	6,748.56	0.00	276.03	
55.0000	Sale	02/28/12	08/20/13	937.75	888.80	0.00	48.95	
1.0000	Sale	03/27/12	08/20/13	17.04	16.51	0.00	0.53	
411.0000	Sale	03/27/12	08/20/13	7,007.55	6,929.46	0.00	78.09	
213.0000	Sale	05/01/12	08/20/13	3,631.65	3,757.32	0.00	(125.67)	
1.0000	Sale	07/05/12	08/20/13	17.04	17.41	0.00	(0.37)	
938.0000	Sale	07/05/12	08/20/13	15,992.91	16,424.38	0.00	(431.47)	
	Security Subtotal			34,628.53	34,782.44	0.00	(153.91)	
PIMCO REAL RETURN FUND CL P								
658.0000	Sale	01/27/12	07/01/13	7,389.34	7,882.84	0.00	(493.50)	
75.0000	Sale	02/28/12	07/01/13	842.25	906.75	0.00	(64.50)	
1.0000	Sale	03/27/12	07/01/13	11.23	11.98	0.00	(0.75)	
586.0000	Sale	03/27/12	07/01/13	6,580.78	7,020.28	0.00	(439.50)	
1407.0000	Sale	07/05/12	09/25/13	15,899.09	17,390.52	0.00	(1,491.43)	
	Security Subtotal			30,722.69	33,212.37	0.00	(2,489.68)	
ROYCE MICRO-CAP FUND CL INVESTMENT								
438.0000	Sale	01/27/12	08/20/13	7,034.28	7,012.38	0.00	21.90	
55.0000	Sale	02/28/12	08/20/13	883.29	915.20	0.00	(31.91)	
1.0000	Sale	03/27/12	08/20/13	16.05	16.44	0.00	(0.39)	



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2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ROYCE MICRO-CAP FUND								
	CL INVESTMENT							
	431.0000 Sale	03/27/12	08/20/13	6,921.86	7,107.19	0.00	(185.33)	
	1481.0000 Sale	07/05/12	08/20/13	23,784.86	22,451.96	0.00	1,332.90	
	Security Subtotal			38,640.34	37,503.17	0.00	1,137.17	
LOOMIS SAYLES INVT GRADE								
	BD FD CL Y							
	1643.0000 Sale	02/03/12	07/01/13	19,995.31	20,241.76	0.00	(246.45)	
	3850 Sale	02/03/12	07/01/13	4.69	4.74	0.00	(0.05)	
	450.0000 Sale	02/03/12	09/25/13	5,512.49	5,544.00	0.00	(31.51)	
	1.0000 Sale	02/28/12	09/25/13	12.25	12.44	0.00	(0.19)	
	146.0000 Sale	02/28/12	09/25/13	1,788.50	1,822.08	0.00	(33.58)	
	1143.0000 Sale	03/27/12	09/25/13	14,001.75	14,196.06	0.00	(194.31)	
	3644.0000 Sale	12/10/12	12/31/13	43,363.60	46,863.13	0.00	(3,499.53)	
	.9000 Sale	12/10/12	12/31/13	10.71	11.57	0.00	(0.86)	
	Security Subtotal			84,689.30	88,695.78	0.00	(4,006.48)	
TEMPLETON GLBL BOND FD								
	ADV CL							
	1392.0000 Sale	01/27/12	09/25/13	18,068.16	18,109.92	0.00	(41.76)	
	2.0000 Sale	02/28/12	09/25/13	25.96	26.46	0.00	(0.50)	
	.7500 Sale	02/28/12	09/25/13	9.74	9.89	0.00	(0.15)	
	Security Subtotal			18,103.86	18,146.27	0.00	(42.41)	
Covered Long Term Capital Gains and Losses Subtotal				354,100.20	346,053.21	0.00	8,046.99	
NET LONG TERM CAPITAL GAINS AND LOSSES				354,100.20	346,053.21	0.00	8,046.99	
TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES				865,646.81				
TOTAL REPORTED SALES PROCEEDS				865,646.81				

(Y) The gain or loss of this transaction includes an adjustment to basis for the deferred loss amount on one or more previous "Wash Sales."



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2013 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
4,943.88	0.00	8,046.99	0.00