Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation: QUADRIVIUM FOUNDATION P25607006

A Employer identification number: 46-1535719

Number and street (or P O. box number if mail is not delivered to street address): 1211 AVENUE OF THE AMERICAS

Room/suite:

B Telephone number (see instructions): 866-888-5157

City or town, state or province, country, and ZIP or foreign postal code: NEW YORK, NY 10036

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 [X] Address change [X] 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: [X] 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) ▶ $ 9,919,688.

J Accounting method: [X] Cash [ ] Accrual [ ] Other (specify) ____ (Part I, column (d) must be on cash basis.)

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

Part I Analysis of Revenue and Expenses *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))*

	Line	Description	(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)				
	2	Check ▶ [X] if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities	130,299.	130,159.		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	1,575,737.			
	b	Gross sales price for all assets on line 6a 4,010,938.				
	7	Capital gain net income (from Part IV, line 2)		1,575,737.		
	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) (attach schedule)				
	11	Other income (attach schedule)	-5,725.			STMT 1
	12	**Total.** Add lines 1 through 11	1,700,311.	1,705,896.		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc				
	14	Other employee salaries and wages		NONE	NONE	
	15	Pension plans, employee benefits		NONE	NONE	
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)				
	c	Other professional fees (attach schedule) STMT 2	81,312.	61,596.		19,716.
	17	Interest				
	18	Taxes (attach schedule) (see instructions) STMT 3	248,889.	2,496.		
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings		NONE	NONE	
	22	Printing and publications		NONE	NONE	
	23	Other expenses (attach schedule) STMT 4	330.			330.
	24	**Total operating and administrative expenses.** Add lines 13 through 23	330,531.	64,092.	NONE	20,046.
	25	Contributions, gifts, grants paid	452,900.			452,900.
	26	**Total expenses and disbursements** Add lines 24 and 25	783,431.	64,092.	NONE	472,946.
	27	Subtract line 26 from line 12:				
	a	**Excess of revenue over expenses and disbursements**	916,880.			
	b	**Net investment income** (if negative, enter -0-)		1,641,804.		
	c	**Adjusted net income** (if negative, enter -0-)				

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Part II Balance Sheets	Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	6,984,623.	245,129.	245,129.
	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 ▶ NONE			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10 a Investments - U S and state government obligations (attach schedule)			
	b Investments - corporate stock (attach schedule)	2,735,110.	4,272,947.	5,096,714.
	c Investments - corporate bonds (attach schedule)	98,000.	1,275,000.	1,267,951.
	11 Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
	12 Investments - mortgage loans			
	13 Investments - other (attach schedule)		3,303,603.	3,309,894.
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	9,817,733.	9,096,679.	9,919,688.
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)		NONE	
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	9,817,733.	9,096,679.	
	28 Paid-in or capital surplus, or land, bldg , and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
	30 Total net assets or fund balances (see instructions)	9,817,733.	9,096,679.	
	31 Total liabilities and net assets/fund balances (see instructions)	9,817,733.	9,096,679.	

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	9,817,733.
2 Enter amount from Part I, line 27a	2	916,880.
3 Other increases not included in line 2 (itemize) ▶	3	
4 Add lines 1, 2, and 3	4	10,734,613.
5 Decreases not included in line 2 (itemize) ▶ SEE STATEMENT 5	5	1,637,934.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	9,096,679.

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	PUBLICLY TRADED SECURITIES			
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	4,010,938.		2,493,034.	1,517,904.
b				
c				
d				
e				

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

	(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	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a				1,517,904.
b				
c				
d				
e				

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	1,517,904.
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	

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	NONE	6,263,121.	NONE
2011			
2010			
2009			
2008			

2 **Total** of line 1, column (d)	2	NONE
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	NONE
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	9,962,458.
5 Multiply line 4 by line 3	5	NONE
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	16,418.
7 Add lines 5 and 6	7	16,418.
8 Enter qualifying distributions from Part XII, line 4	8	472,946.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 . . . Date of ruling or determination letter ________ (attach copy of letter if necessary - see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ [X] and enter 1% of Part I, line 27b	1	16,418.
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	16,418.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	NONE
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-	5	16,418.
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013 — 6a: 49,185.		
b	Exempt foreign organizations - tax withheld at source — 6b: NONE		
c	Tax paid with application for extension of time to file (Form 8868) — 6c: NONE		
d	Backup withholding erroneously withheld — 6d:		
7	Total credits and payments. Add lines 6a through 6d	7	49,185.
8	Enter any **penalty** for underpayment of estimated tax. Check here [X] 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	32,767.
11	Enter the amount of line 10 to be: **Credited to 2014 estimated tax** ▶ 32,767. **Refunded** ▶	11	

Part VII-A Statements Regarding Activities

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

Part VII-A Statements Regarding Activities *(continued)*

		Line	Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ JPMORGAN CHASE BANK, NA Telephone no. ▶ (866) 888-5157
Located at ▶ 10 S DEARBORN IL-0117, CHICAGO, IL ZIP+4 ▶ 60603

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

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

			Line	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)?		1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐				
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?		1c		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))				
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013?	☐ Yes ☒ No			
	If "Yes," list the years ▶ ____, ____, ____, ____				
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.)		2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ____, ____, ____, ____				
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?	☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)*		3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?		4b		X

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes ☒ No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	☐ Yes ☒ No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes ☒ No		
	(4) Provide a grant to an organization other than a charitable, etc, organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions)	☐ Yes ☒ No		
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes ☒ No		
b	If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?		**5b**	
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	☐ Yes ☐ No		
	If "Yes," attach the statement required by Regulations section 53 4945-5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes ☒ No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		**6b**	X (No)
	If "Yes" to 6b, file Form 8870			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes ☒ No		
b	If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?		**7b**	

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JAMES R. MURDOCH 1211 AVENUE OF THE AMERICAS, NEW YORK, NY 10036	CO-PRESIDENT 40	-0-	-0-	-0-
KATHRYN MURDOCH 1211 AVENUE OF THE AMERICAS, NEW YORK, NY 10036	CO-PRESIDENT 40	-0-	-0-	-0-
JESSE ANGELO 1211 AVENUE OF THE AMERICAS, NEW YORK, NY 10036	SECRETARY/TREASU 40	-0-	-0-	-0-

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

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

Total number of other employees paid over $50,000 ▶ NONE

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		NONE
Total number of others receiving over $50,000 for professional services ▶		NONE

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 NONE	
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 NONE	
2	
All other program-related investments See instructions 3 NONE	
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	6,340,742.
b	Average of monthly cash balances	1b	3,773,429.
c	Fair market value of all other assets (see instructions)	1c	NONE
d	**Total** (add lines 1a, b, and c)	1d	10,114,171.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) ... 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	NONE
3	Subtract line 2 from line 1d	3	10,114,171.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	151,713.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	9,962,458.
6	**Minimum investment return.** Enter 5% of line 5	6	498,123.

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	498,123.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	16,418.		
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b			
c	Add lines 2a and 2b			2c	16,418.
3	Distributable amount before adjustments. Subtract line 2c from line 1			3	481,705.
4	Recoveries of amounts treated as qualifying distributions			4	NONE
5	Add lines 3 and 4			5	481,705.
6	Deduction from distributable amount (see instructions)			6	NONE
7	**Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1			7	481,705.

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	472,946.
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	NONE
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	NONE
b	Cash distribution test (attach the required schedule)	3b	NONE
4	**Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	472,946.
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	16,418.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	456,528.

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				481,705.
2	Undistributed income, if any, as of the end of 2013				
a	Enter amount for 2012 only			NONE	
b	Total for prior years 20 11 ,20___,20___		NONE		
3	Excess distributions carryover, if any, to 2013				
a	From 2008 . . . . . . NONE				
b	From 2009 . . . . . . NONE				
c	From 2010 . . . . . . NONE				
d	From 2011 . . . . . . NONE				
e	From 2012 . . . . . . NONE				
f	**Total** of lines 3a through e	NONE			
4	Qualifying distributions for 2013 from Part XII, line 4. ▶ $ 472,946.				
a	Applied to 2012, but not more than line 2a			NONE	
b	Applied to undistributed income of prior years (Election required - see instructions)		NONE		
c	Treated as distributions out of corpus (Election required - see instructions)	NONE			
d	Applied to 2013 distributable amount				472,946.
e	Remaining amount distributed out of corpus	NONE			
5	Excess distributions carryover applied to 2013 *(If an amount appears in column (d), the same amount must be shown in column (a).)*	NONE			NONE
6	**Enter the net total of each column as indicated below:**				
a	Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	NONE			
b	Prior years' undistributed income. Subtract line 4b from line 2b		NONE		
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		NONE		
d	Subtract line 6c from line 6b. Taxable amount - see instructions		NONE		
e	Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instructions			NONE	
f	Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				8,759.
7	Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)	NONE			
8	Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)	NONE			
9	**Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a	NONE			
10	Analysis of line 9:				
a	Excess from 2009 . . . NONE				
b	Excess from 2010 . . . NONE				
c	Excess from 2011 . . . NONE				
d	Excess from 2012 . . . NONE				
e	Excess from 2013 . . . NONE				

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9) NOT APPLICABLE

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

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

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

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

1 Information Regarding Foundation Managers:

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

N/A

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

N/A

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

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

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

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
AHA FOUNDATION, INC 130 7TH AVENUE # 236 NEW YORK NY 10011-1803	NONE	PUBLIC	PROGRAM SUPPORT	50,000.
ENVIRONMENTAL DEFENSE FUND 257 PARK AVE S 17TH FL NEW YORK NY 10010	NONE	PUBLIC	PROGRAM SUPPORT	250,000.
THE ROCKEFELLER UNIVERSITY 1230 YORK AVENUE NEW YORK NY 10065-6307	NONE	PUBLIC	PROGRAM SUPPORT	47,000.
INNER CITY SCHOLARSHIP FUND 1011 FIRST AVENUE 14TH FL NEW YORK NY 10022	NONE	PUBLIC	SCHOLARSHIP	5,900.
UNCOMMON SCHOOLS INC 826 BROADWAY, 9TH FL NEW YORK NY 10003	NONE	PUBLIC	PROGRAM SUPPORT	100,000.
Total . . . . ▶ 3a				452,900.
b *Approved for future payment*				
Total . . . . ▶ 3b				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income (a) Business code	(b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	(d) Amount	(e) Related or exempt function income (See instructions.)
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	130,299.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	1,575,737.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue. a					
b DEFERRED REVENUE			14	-5,725.	
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)				1,700,311.	

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 1,700,311.

(See worksheet in line 13 instructions to verify calculations.)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). (See instructions.)
	NOT APPLICABLE

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

Signature of officer or trustee | Date: 10/23/2014 | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
CAROLYN J. SECHEL	Carolyn J. Sechel	10/23/2014		P01256399
Firm's name ▶ DELOITTE TAX LLP			Firm's EIN ▶ 86-1065772	
Firm's address ▶ 127 PUBLIC SQUARE CLEVELAND, OH 44114			Phone no 216-589-1300	

FORM 990PF, PART I - OTHER INCOME

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS
DEFERRED REVENUE		-5,725.
	TOTALS	-5,725.

STATEMENT 1

FORM 990PF, PART I - OTHER PROFESSIONAL FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
INVEST MGMT FEE - CITIBANK	55,271.	55,271.	
INVEST MGMT FEE - JPMORGAN	6,325.	6,325.	
PENTAGRAM DESIGN INC	19,716.		19,716.
TOTALS	81,312.	61,596.	19,716.

FORM 990PF, PART I - TAXES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
EXCISE TAX PAID	246,393.	
FOREIGN TAX WITHHELD	2,496.	2,496.
TOTALS	248,889.	2,496.

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	CHARITABLE PURPOSES
NY AG FILING FEE	250.	250.
DEPT CONSUMER AFFAIRS	80.	80.
TOTALS	330.	330.

FORM 990PF, PART III - OTHER DECREASES IN NET WORTH OR FUND BALANCES

DESCRIPTION		AMOUNT
COST OF PENDING PURCHASES		1,409,110.
COST BASIS ADJUSTMENT		228,824.
	TOTAL	1,637,934.

SCHEDULE D
(Form 1041)

Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

▶ Attach to Form 1041, Form 5227, or Form 990-T.
▶ Use Form 8949 to list your transactions for lines 1b, 2, 3, 8b, 9 and 10.
▶ Information about Schedule D and its separate instructions is at www.irs.gov/form1041

OMB No. 1545-0092

2013

Name of estate or trust: QUADRIVIUM FOUNDATION P25607006

Employer identification number: 46-1535719

Note: *Form 5227 filers need to complete **only** Parts I and II.*

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

See instructions for how to figure the amounts to enter on the lines below. This form may be easier to complete if you round off cents to whole dollars.	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part I, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
1a Totals for all short-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions). However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 1b				
1b Totals for all transactions reported on Form(s) 8949 with **Box A** checked				
2 Totals for all transactions reported on Form(s) 8949 with **Box B** checked				
3 Totals for all transactions reported on Form(s) 8949 with **Box C** checked	3,883,486.	2,493,034.		1,390,452.

4 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824	4	
5 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts	5	
6 Short-term capital loss carryover. Enter the amount, if any, from line 9 of the 2012 Capital Loss Carryover Worksheet	6	( )
7 **Net short-term capital gain or (loss).** Combine lines 1a through 6 in column (h). Enter here and on line 17, column (3) on the back ▶	7	1,390,452.

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

See instructions for how to figure the amounts to enter on the lines below. This form may be easier to complete if you round off cents to whole dollars.	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part II, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
8a Totals for all long-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions). However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 8b				
8b Totals for all transactions reported on Form(s) 8949 with **Box D** checked				
9 Totals for all transactions reported on Form(s) 8949 with **Box E** checked				
10 Totals for all transactions reported on Form(s) 8949 with **Box F** checked				

11 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824	11	
12 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts	12	
13 Capital gain distributions	13	127,452.
14 Gain from Form 4797, Part I	14	
15 Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2012 Capital Loss Carryover Worksheet	15	( )
16 **Net long-term capital gain or (loss).** Combine lines 8a through 15 in column (h). Enter here and on line 18a, column (3) on the back ▶	16	127,452.

Part III Summary of Parts I and II

Caution: *Read the instructions before completing this part.*

			(1) Beneficiaries' (see instr.)	(2) Estate's or trust's	(3) Total
17	**Net short-term gain or (loss)**	17			1,390,452.
18	**Net long-term gain or (loss):**				
a	Total for year	18a			127,452.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht.)	18b			
c	28% rate gain	18c			86.
19	**Total net gain or (loss).** Combine lines 17 and 18a ▶	19			1,517,904.

Note: *If line 19, column (3), is a net gain, enter the gain on Form 1041, line 4 (or Form 990-T, Part I, line 4a) If lines 18a and 19, column (2), are net gains, go to Part V, and* **do not** *complete Part IV If line 19, column (3), is a net loss, complete Part IV and the* **Capital Loss Carryover Worksheet,** *as necessary*

Part IV Capital Loss Limitation

20 Enter here and enter as a (loss) on Form 1041, line 4 (or Form 990-T, Part I, line 4c, if a trust), the **smaller** of.
a The loss on line 19, column (3) **or** b $3,000 . . . 20 ( )

Note: *If the loss on line 19, column (3), is more than $3,000,* **or** *if Form 1041, page 1, line 22 (or Form 990-T, line 34), is a loss, complete the* ***Capital Loss Carryover Worksheet*** *in the instructions to figure your capital loss carryover.*

Part V Tax Computation Using Maximum Capital Gains Rates

Form 1041 filers. Complete this part **only** if both lines 18a and 19 in column (2) are gains, or an amount is entered in Part I or Part II and there is an entry on Form 1041, line 2b(2), **and** Form 1041, line 22, is more than zero.

Caution: *Skip this part and complete the* ***Schedule D Tax Worksheet*** *in the instructions if:*

- *Either line 18b, col. (2) or line 18c, col (2) is more than zero, or*
- *Both Form 1041, line 2b(1), and Form 4952, line 4g are more than zero.*

Form 990-T trusts. Complete this part **only** if both lines 18a and 19 are gains, or qualified dividends are included in income in Part I of Form 990-T, **and** Form 990-T, line 34, is more than zero. Skip this part and complete the **Schedule D Tax Worksheet** in the instructions if either line 18b, col. (2) or line 18c, col. (2) is more than zero.

21	Enter taxable income from Form 1041, line 22 (or Form 990-T, line 34)			21			
22	Enter the **smaller** of line 18a or 19 in column (2) but not less than zero	22					
23	Enter the estate's or trust's qualified dividends from Form 1041, line 2b(2) (or enter the qualified dividends included in income in Part I of Form 990-T)	23					
24	Add lines 22 and 23	24					
25	If the estate or trust is filing Form 4952, enter the amount from line 4g; otherwise, enter -0- ▶	25					
26	Subtract line 25 from line 24. If zero or less, enter -0-			26			
27	Subtract line 26 from line 21. If zero or less, enter -0-			27			
28	Enter the **smaller** of the amount on line 21 or $2,450			28			
29	Enter the **smaller** of the amount on line 27 or line 28			29			
30	Subtract line 29 from line 28. If zero or less, enter -0-. This amount is taxed at 0% ▶					30	
31	Enter the smaller of line 21 or line 26			31			
32	Subtract line 30 from line 26			32			
33	Enter the **smaller** of line 21 or $11,950			33			
34	Add lines 27 and 30			34			
35	Subtract line 34 from line 33. If zero or less, enter -0-			35			
36	Enter the **smaller** of line 32 or line 35			36			
37	Multiply line 36 by 15% ▶					37	
38	Enter the amount from line 31			38			
39	Add lines 30 and 36			39			
40	Subtract line 39 from line 38. If zero or less, enter -0-			40			
41	Multiply line 40 by 20% ▶					41	
42	Figure the tax on the amount on line 27. Use the 2013 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)			42			
43	Add lines 37, 41, and 42			43			
44	Figure the tax on the amount on line 21. Use the 2013 Tax Rate Schedule for Estates and Trusts (see the Schedule G instructions in the instructions for Form 1041)			44			
45	**Tax on all taxable income.** Enter the **smaller** of line 43 or line 44 here and on Form 1041, Schedule G, line 1a (or Form 990-T, line 36) ▶					45	

Form **8949**

Department of the Treasury
Internal Revenue Service

Sales and Other Dispositions of Capital Assets

▶Information about Form 8949 and its separate instructions is at www.irs.gov/form8949

▶File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

OMB No 1545-0074

2013

Attachment Sequence No 12A

Name(s) shown on return	Social security number or taxpayer identification number
QUADRIVIUM FOUNDATION P25607006	46-1535719

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS. Brokers are required to report basis to the IRS for most stock you bought in 2011 or later

Part I **Short-Term.** Transactions involving capital assets you held one year or less are short-term. For long-term transactions, see page 2.

Note. You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 1a; you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box A, B, *or* C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

☐ **(A)** Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

☐ **(B)** Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

X **(C)** Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh. XYZ Co.)	(b) Date acquired (Mo., day, yr)	(c) Date sold or disposed (Mo., day, yr)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f) See the separate instructions (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
445. ADT CORPORATION	VAR	08/21/2013	18,214 00	19,793.00			-1,579 00
335. ABBOTT LABS	VAR	08/21/2013	11,611.00	10,882 00			729.00
330. ABBVIE INC	VAR	08/21/2013	14,124.00	11,817.00			2,307.00
510. AMERICAN INTL GROUP I	VAR	08/21/2013	23,793.00	18,375 00			5,418.00
235. AMPHENOL CORP NEW CL	VAR	08/21/2013	17,723.00	16,313.00			1,410.00
180. ANSYS INC	VAR	08/21/2013	15,381.00	13,579.00			1,802.00
27000. APACHE CORP	04/22/2013	08/21/2013	23,954.00	26,756.00			-2,802.00
65. APPLE COMPUTER INC	VAR	08/21/2013	32,705.00	29,198.00			3,507.00
31000. BARRICK GOLD CORP	VAR	08/21/2013	26,824 00	30,774.00			-3,950 00
425. CVS CORP	VAR	08/21/2013	25,009.00	21,309 00			3,700.00
1090. CALPINE CORP NEW	VAR	08/21/2013	20,699.00	20,235.00			464.00
295. CAMERON INTERNATIONAL	VAR	08/21/2013	16,307.00	16,618.00			-311.00
360. CAPITAL ONE FINL CORP	VAR	08/21/2013	23,884.00	20,056.00			3,828 00
110. CHEVRON CORP	VAR	08/21/2013	13,004.00	12,050.00			954.00
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶							

Note. If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment.

Form **8949**

Department of the Treasury
Internal Revenue Service

Sales and Other Dispositions of Capital Assets

▶ Information about Form 8949 and its separate instructions is at www.irs.gov/form8949

▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

OMB No 1545-0074

2013

Attachment Sequence No 12A

Name(s) shown on return	Social security number or taxpayer identification number
QUADRIVIUM FOUNDATION P25607006	46-1535719

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS. Brokers are required to report basis to the IRS for most stock you bought in 2011 or later.

Part I **Short-Term.** Transactions involving capital assets you held one year or less are short-term. For long-term transactions, see page 2.

Note. You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 1a; you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box A, B, *or* C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

- [ ] (A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
- [ ] (B) Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS
- [X] (C) Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co.)	(b) Date acquired (Mo , day, yr)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f). **See the separate instructions.** (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g)
215. CITRIX SYS INC	VAR	08/21/2013	15,365 00	15,015 00			350 00
148. COGNIZANT TECHNOLOGY A	VAR	08/21/2013	10,428.00	11,462.00			-1,034.00
620. COMCAST CORP	VAR	08/21/2013	25,135 00	22,522.00			2,613.00
23000. COMCAST CORP	VAR	08/21/2013	25,723.00	27,223.00			-1,500 00
160. COSTCO WHSL CORP NEW	VAR	08/21/2013	18,014.00	16,728.00			1,286.00
215. COVANCE INC	VAR	08/21/2013	17,901.00	14,991.00			2,910.00
355. DANAHER CORP	VAR	08/21/2013	23,484.00	21,598.00			1,886.00
160. DAVITA INC	VAR	08/21/2013	17,801.00	18,793.00			-992.00
290. DRESSER-RAND GROUP IN	VAR	08/21/2013	17,756.00	16,227.00			1,529 00
660. EMC CORP	VAR	08/21/2013	16,896.00	16,057.00			839.00
225. ECOLAB INC	VAR	08/21/2013	20,373.00	17,095.00			3,278.00
25000. ENTERPRISE PRODUCTS	VAR	08/21/2013	25,243.00	27,450 00			-2,207.00
715. EXPRESS SCRIPTS HOLDI	VAR	08/21/2013	45,916.00	39,816.00			6,100 00
400. FMC TECHNOLOGIES INC	VAR	08/21/2013	21,053.00	19,792.00			1,261 00
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, line 1b (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶							

Note. If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment.

Form **8949**

Department of the Treasury Internal Revenue Service

Sales and Other Dispositions of Capital Assets

▶ Information about Form 8949 and its separate instructions is at www.irs.gov/form8949

▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

OMB No 1545-0074

2013

Attachment Sequence No 12A

Name(s) shown on return: QUADRIVIUM FOUNDATION P25607006

Social security number or taxpayer identification number: 46-1535719

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS Brokers are required to report basis to the IRS for most stock you bought in 2011 or later.

Part I **Short-Term.** Transactions involving capital assets you held one year or less are short-term. For long-term transactions, see page 2.

Note. You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 1a; you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box A, B, *or* C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

[ ] **(A)** Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

[ ] **(B)** Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

[X] **(C)** Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo , day, yr)	(c) Date sold or disposed (Mo , day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f). See the separate instructions (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
415 FLUOR CORP	VAR	08/21/2013	26,831.00	26,535.00			296.00
1440. FORD MTR CO DEL PAR	VAR	08/21/2013	23,424.00	18,615 00			4,809.00
160. FOSSIL GROUP INC	VAR	08/21/2013	18,593.00	16,444 00			2,149.00
115. GOLDMAN SACHS GROUP I	VAR	08/21/2013	18,239.00	15,224.00			3,015.00
27000. GOLDMAN SACHS GROUP	06/20/2013	08/21/2013	25,170.00	25,685.00			-515.00
35 GOOGLE INC	VAR	08/21/2013	30,470.00	27,410.00			3,060 00
495. HALLIBURTON CO	VAR	08/21/2013	23,386.00	17,842 00			5,544 00
200. HONEYWELL INTL INC	VAR	08/21/2013	16,304.00	13,133.00			3,171.00
165. IDEXX LABS INC	VAR	08/21/2013	15,846.00	15,283.00			563.00
60. INTUITIVE SURGICAL INC	VAR	08/21/2013	23,158.00	30,710.00			-7,552.00
330. J P MORGAN CHASE & CO	VAR	08/21/2013	17,094.00	14,816.00			2,278.00
23000. KINDER MORGAN ENER	03/26/2013	08/21/2013	26,307.00	27,487.00			-1,180.00
515. KINDER MORGAN INC	VAR	08/21/2013	19,013 00	18,376.00			637.00
310. LAUDER ESTEE COS INC	VAR	08/21/2013	20,703 00	19,910.00			793.00
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶							

Note. If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment.

For Paperwork Reduction Act Notice, see your tax return instructions. Form **8949** (2013)

Form **8949**

Department of the Treasury
Internal Revenue Service

Sales and Other Dispositions of Capital Assets

▶ Information about Form 8949 and its separate instructions is at www irs gov/form8949

▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

OMB No 1545-0074

2013

Attachment Sequence No **12A**

Name(s) shown on return	Social security number or taxpayer identification number
QUADRIVIUM FOUNDATION P25607006	46-1535719

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS Brokers are required to report basis to the IRS for most stock you bought in 2011 or later

Part I **Short-Term.** Transactions involving capital assets you held one year or less are short-term. For long-term transactions, see page 2.

Note. You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 1a; you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box A, B, *or* C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

[ ] **(A)** Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

[ ] **(B)** Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

[X] **(C)** Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed (Mo, day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f) **See the separate instructions.** (f) Code(s) from instructions	(g) Amount of adjustment	(h) **Gain or (loss)** Subtract column (e) from column (d) and combine the result with column (g)
280. LOWES COS INC	VAR	08/21/2013	12,759 00	10,022.00			2,737.00
70. MASTERCARD INC - CLASS	VAR	08/21/2013	43,428 00	36,117.00			7,311.00
330. MEAD JOHNSON NUTRITIO	VAR	08/21/2013	25,126.00	25,023.00			103.00
520. METLIFE INC	VAR	08/21/2013	24,798.00	17,738.00			7,060.00
160. THE MOSAIC COMPANY	VAR	08/21/2013	6,637 00	9,003.00			-2,366.00
430 NATIONAL INSTRS CORP	VAR	08/21/2013	12,117.00	12,726.00			-609.00
510. NETAPP INC	VAR	08/21/2013	21,302 00	18,260 00			3,042 00
415. ORACLE CORP	VAR	08/21/2013	13,327.00	13,867.00			-540.00
115. PRAXAIR INC	VAR	08/21/2013	13,479.00	12,600.00			879.00
445. QUALCOMM INC	VAR	08/21/2013	29,506.00	29,461.00			45.00
160. ROPER INDS INC NEW	VAR	08/21/2013	19,899.00	19,230.00			669.00
390. SALESFORCE.COM INC	VAR	08/21/2013	16,906.00	16,576.00			330.00
305. SCHLUMBERGER LTD	VAR	08/21/2013	24,424.00	23,757.00			667 00
1082. SCHWAB CHARLES CORP	02/05/2013	08/21/2013	23,375.00	18,012.00			5,363.00
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶							

Note. If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment.

For Paperwork Reduction Act Notice, see your tax return instructions.

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Form **8949** (2013)

Form **8949**

Department of the Treasury Internal Revenue Service

Sales and Other Dispositions of Capital Assets

▶ Information about Form 8949 and its separate instructions is at www irs gov/form8949

▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

OMB No 1545-0074

2013

Attachment Sequence No **12A**

Name(s) shown on return	Social security number or taxpayer identification number
QUADRIVIUM FOUNDATION P25607006	46-1535719

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS Brokers are required to report basis to the IRS for most stock you bought in 2011 or later.

Part I **Short-Term.** Transactions involving capital assets you held one year or less are short-term. For long-term transactions, see page 2.

Note. You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 1a; you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box A, B, *or* C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

[ ] **(A)** Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

[ ] **(B)** Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

[X] **(C)** Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh. XYZ Co)	(b) Date acquired (Mo., day, yr)	(c) Date sold or disposed (Mo , day, yr)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f). See the separate instructions. (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
415. STARBUCKS CORP	VAR	08/21/2013	29,208.00	23,616.00			5,592.00
195. STERICYCLE INC	VAR	08/21/2013	22,384.00	19,025.00			3,359.00
195. THERMO ELECTRON CORP	VAR	08/21/2013	17,578.00	12,593.00			4,985 00
23000. TIME WARNER INC	01/04/2013	08/21/2013	24,332.00	26,291.00			-1,959.00
22000. TIME WARNER CABLE I	03/18/2013	08/21/2013	22,087 00	25,006 00			-2,919.00
145. UNITED PARCEL SVC INC	VAR	08/21/2013	12,498 00	11,025.00			1,473.00
150. UNITED TECHNOLOGIES C	VAR	08/21/2013	15,327 00	12,380 00			2,947.00
280 UNITEDHEALTH GROUP IN	VAR	08/21/2013	20,190.00	15,784.00			4,406 00
110. WABCO HOLDINGS INC	VAR	08/21/2013	8,574.00	7,051.00			1,523.00
90 WELLPOINT INC	04/25/2013	08/21/2013	7,725 00	6,664.00			1,061 00
500. WELLS FARGO & CO NEW	VAR	08/21/2013	21,193.00	17,560.00			3,633.00
341. WHOLE FOODS MKT INC	VAR	08/21/2013	17,922.00	16,750.00			1,172.00
335. WYNDHAM WORLDWIDE COR	VAR	08/21/2013	19,956.00	18,418.00			1,538.00
265. ACCENTURE PLC	VAR	08/21/2013	19,082.00	19,645.00			-563.00
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶							

Note. If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment

For Paperwork Reduction Act Notice, see your tax return instructions.

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Form **8949** (2013)

Form **8949** | Department of the Treasury Internal Revenue Service

Sales and Other Dispositions of Capital Assets

▶ Information about Form 8949 and its separate instructions is at www irs gov/form8949

▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

OMB No 1545-0074 | **2013** | Attachment Sequence No **12A**

Name(s) shown on return: QUADRIVIUM FOUNDATION P25607006

Social security number or taxpayer identification number: 46-1535719

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS Brokers are required to report basis to the IRS for most stock you bought in 2011 or later.

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You *must* check Box A, B, *or* C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

[ ] **(A)** Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

[ ] **(B)** Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

[X] **(C)** Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the Note below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f). See the separate instructions. (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
315 COVIDIEN PLC NEW	07/16/2013	08/21/2013	19,142 00				19,142 00
800. GENPACT LTD	VAR	08/21/2013	15,708 00	13,961.00			1,747 00
39. MALLINCKRODT PUB LTD C	07/16/2013	08/21/2013	1,666 00				1,666 00
220. ACE LTD NEW	07/16/2013	08/21/2013	19,632.00				19,632.00
645. WEATHERFORD INTL LTD	07/16/2013	08/21/2013	9,375.00				9,375 00
530 TYCO INTERNATIONAL LT	07/16/2013	08/21/2013	17,951.00				17,951.00
145. CORE LABORATORIES NV	VAR	08/21/2013	21,631 00	19,440 00			2,191 00
193. SENSATA TECHNOLOGIES	07/16/2013	08/21/2013	7,232 00				7,232.00
22000. AT&T INC	01/04/2013	09/11/2013	24,619.00	26,206 00			-1,587.00
26000. BANK OF NOVA SCOTIA	03/25/2013	09/11/2013	26,926 00	27,301.00			-375 00
23000. BURLINGTON NORTH SA	03/22/2013	09/11/2013	25,930.00	27,003 00			-1,073.00
26000. FHLMC	07/16/2013	09/11/2013	26,921.00				26,921.00
24000. GENERAL ELEC CAP CO	VAR	09/11/2013	25,691 00	27,633.00			-1,942 00
23000. HSBC HOLDINGS PLC	03/22/2013	09/11/2013	24,917 00	26,636.00			-1,719.00
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶							

Note. If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment.

Form **8949**

Department of the Treasury
Internal Revenue Service

Sales and Other Dispositions of Capital Assets

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OMB No 1545-0074

2013

Attachment Sequence No **12A**

Name(s) shown on return	Social security number or taxpayer identification number
QUADRIVIUM FOUNDATION P25607006	46-1535719

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS Brokers are required to report basis to the IRS for most stock you bought in 2011 or later.

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☐ **(A)** Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
☐ **(B)** Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS
X **(C)** Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the Note below and see Column (e) in the separate instructions	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f). See the separate instructions. (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
24000 KRAFT FOODS INC A	VAR	09/11/2013	25,530.00	26,174.00			-644.00
25000 PETROBRAS INTL FIN	01/04/2013	09/11/2013	25,012.00	26,178.00			-1,166.00
26000. AMER EXPRESS CREDIT	03/26/2013	10/10/2013	26,952.00	27,246.00			-294.00
27000. BHP BILLITON FIN US	03/25/2013	10/10/2013	27,150.00	27,563.00			-413.00
26000 BNP PARIBAS	VAR	10/10/2013	26,380.00	26,497.00			-117.00
25000. CREDIT SUISSE FB US	03/21/2013	10/10/2013	26,308.00	26,894.00			-586 00
27000. GLAXOSMITHKLINE CAP	03/26/2013	10/10/2013	26,941 00	27,010.00			-69 00
27000. PEPSICO INC	VAR	10/10/2013	26,694 00	27,093 00			-399 00
27000. TORONTO-DOMINION BA	04/24/2013	10/10/2013	26,330.00	27,059.00			-729 00
25000. WELLS FARGO & COMPA	06/06/2013	10/10/2013	25,104.00	25,935.00			-831.00
25000. CATERPILLAR INC	03/21/2013	10/30/2013	25,138.00	25,226.00			-88.00
28000. FREEPORT-MCMORAN C	VAR	10/30/2013	26,641.00	27,952.00			-1,311 00
26000. US BANCORP	03/22/2013	10/30/2013	26,533.00	27,145.00			-612.00
25000. CELLCO PART/VERI WI	01/04/2013	10/30/2013	25,274.00	26,243.00			-969 00
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶							

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For Paperwork Reduction Act Notice, see your tax return instructions.

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Form **8949**

Department of the Treasury Internal Revenue Service

Sales and Other Dispositions of Capital Assets

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OMB No 1545-0074

2013

Attachment Sequence No 12A

Name(s) shown on return: QUADRIVIUM FOUNDATION P25607006

Social security number or taxpayer identification number: 46-1535719

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[ ] (A) Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

[ ] (B) Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

[X] (C) Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed (Mo., day, yr.)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the Note below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f) See the separate instructions. (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
26000. WAL MART STORES INC	03/26/2013	10/30/2013	26,802.00	27,088.00			-286.00
27000 APPLE INC	05/07/2013	10/31/2013	26,270.00	26,886.00			-616 00
27000. BERKSHIRE HATHAWAY	03/26/2013	10/31/2013	26,896.00	27,353.00			-457.00
20000. CVS CAREMARK CORP	03/18/2013	10/31/2013	22,939.00	23,707.00			-768 00
27000. CONOCOPHILLIPS COMP	03/22/2013	10/31/2013	26,549.00	26,887.00			-338.00
27000. WALT DISNEY COMPANY	03/25/2013	10/31/2013	27,435.00	27,534.00			-99.00
23000. GILEAD SCIENCES INC	03/19/2013	10/31/2013	24,849.00	25,849.00			-1,000.00
23000. MERRILL LYNCH & CO	VAR	10/31/2013	26,689.00	27,072.00			-383.00
27000. MORGAN STANLEY	03/20/2013	10/31/2013	27,293.00	27,288.00			5.00
26000. PNC FUNDING CORP	03/19/2013	10/31/2013	27,125.00	27,510.00			-385.00
27000. UNITEDHEALTH GROUP	03/19/2013	10/31/2013	26,985.00	27,199.00			-214.00
25000. JPMORGAN CHASE & CO	VAR	11/01/2013	26,967.00	27,966.00			-999.00
50. TE CONNECTIVITY LTD	09/23/2013	11/05/2013	2,587.00	2,626.00			-39.00
75. TE CONNECTIVITY LTD	09/23/2013	11/06/2013	3,917.00	3,939.00			-22.00
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶							

Note. If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment.

For Paperwork Reduction Act Notice, see your tax return instructions.

JSA 3X2615 2.000

Form **8949** (2013)

Form **8949**

Department of the Treasury
Internal Revenue Service

Sales and Other Dispositions of Capital Assets

▶ Information about Form 8949 and its separate instructions is at www irs gov/form8949

▶ File with your Schedule D to list your transactions for lines 1b, 2, 3, 8b, 9, and 10 of Schedule D.

OMB No 1545-0074

2013

Attachment Sequence No 12A

Name(s) shown on return	Social security number or taxpayer identification number
QUADRIVIUM FOUNDATION P25607006	46-1535719

Most brokers issue their own substitute statement instead of using Form 1099-B They also may provide basis information (usually your cost) to you on the statement even if it is not reported to the IRS Before you check Box A, B, or C below, determine whether you received any statement(s) and, if so, the transactions for which basis was reported to the IRS. Brokers are required to report basis to the IRS for most stock you bought in 2011 or later.

Part I **Short-Term.** Transactions involving capital assets you held one year or less are short-term. For long-term transactions, see page 2.

Note. You may aggregate all short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 1a; you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box A, B, *or* C below. Check only one box. If more than one box applies for your short-term transactions, complete a separate Form 8949, page 1, for each applicable box. If you have more short-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

[ ] **(A)** Short-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)

[ ] **(B)** Short-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS

[X] **(C)** Short-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed (Mo, day, yr)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss If you enter an amount in column (g), enter a code in column (f). See the separate instructions. (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
2426.261 PIMCO COMMODITYPL	09/20/2013	12/02/2013	25,500.00	26,058.00			-558 00
746 SPDR GOLD TRUST	09/20/2013	12/02/2013	87,802.00	95,428.00			-7,626.00
50. SYSCO CORP	09/23/2013	12/09/2013	1,943.00	1,614.00			329.00
100. SYSCO CORP	09/23/2013	12/09/2013	3,859.00	3,229.00			630.00
50. SYSCO CORP	09/23/2013	12/10/2013	1,850 00	1,614.00			236.00
175. SYSCO CORP	09/23/2013	12/12/2013	6,316.00	5,650.00			666.00
8491.668 INVESCO DEVELOPIN	VAR	12/23/2013	272,583 00	3,863 00			268,720.00
13933.133 WESTERN ASSET GL YIELD	VAR	12/23/2013	101,294 00	2,404.00			98,890 00
18741.202 MFS INSTL INTL E	VAR	12/23/2013	413,244.00	6,903.00			406,341.00
6673.218 ROWE T PRICE BLUE FD INC*	07/23/2013	12/23/2013	427,887.00				427,887.00
825. SPDR TR UNIT SER 1	09/20/2013	12/23/2013	150,580.00	140,778.00			9,802.00
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 1b** (if **Box A** above is checked), **line 2** (if **Box B** above is checked), or **line 3** (if **Box C** above is checked) ▶			3,883,486.	2,493,034.			1,390,452.

Note. If you checked Box A above but the basis reported to the IRS was incorrect, enter in column (e) the basis as reported to the IRS, and enter an adjustment in column (g) to correct the basis. See *Column (g)* in the separate instructions for how to figure the amount of the adjustment.

For Paperwork Reduction Act Notice, see your tax return instructions.
JSA
3X2615 2 000

2013 Tax Information Statement

Payer's Name and Address:
CITICORP TRUST SOUTH DAKOTA
PO BOX 6008
SIOUX FALLS, SD 57117

Account Number: C7B016725004
Recipient's Tax ID Number: 46-1535719
Payer's Federal ID Number: 46-0439553
Payer's State ID Number:
State: NR

☐ **Corrected** ☐ **2nd TIN notice**

Recipient's Name and Address:
QUADRIVIUM IMA
C/O JP MORGAN ; ATTN· A. HAUBERT
10 SOUTH DEARBORN, 21ST FLOOR
CHICAGO, IL 60603

2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No. 1545-0715

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip / Quantity Sold (Box 1e)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc. (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
Short Term Sales Reported on 1099-B								
H6169Q108	PENTAIR LTD REGISTERED		PNR					
90.0000	01/09/2013	12/28/2012	4,547 85	4,298.39	0 00	249 46	0 00	0 00
171340102	CHURCH & DWIGHT INC		CHD					
160.0000	01/15/2013	12/28/2012	8,998.86	8,601.58	0.00	397.28	0.00	0 00
459200101	INTERNATIONAL BUSINESS MACHS CORP		IBM					
30.0000	01/23/2013	12/28/2012	6,210 79	5,754.00	0 00	456.79	0.00	0.00
464287614	ISHARES TRUST RUSSELL 1000 GROWTH INDEX FUND		IWF					
7440.0000	02/04/2013	12/28/2012	507,776 80	481,807.38	0 00	25,969.42	0 00	0.00
00101J106	THE ADT CORPORATION		ADT WI					
50.0000	02/05/2013	12/28/2012	2,383 70	2,297.50	0.00	86.20	0.00	0 00
002824100	ABBOTT LABS		ABT					
50.0000	02/05/2013	12/28/2012	1,697 03	1,556 07	0 00	140.96	0 00	0 00
00287Y109	ABBVIE INC		ABBV					
50.0000	02/05/2013	12/28/2012	1,884 51	1,687.43	0 00	197 08	0 00	0.00
026874784	AMERICAN INTL GROUP INC		AIG					
75.0000	02/05/2013	12/28/2012	2,897 21	2,607 58	0 00	289 63	0.00	0.00

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2013 Tax Information Statement

Ref: 31

Payer's Name and Address:
CITICORP TRUST SOUTH DAKOTA
PO BOX 6008
SIOUX FALLS, SD 57117

Account Number: C7B016725004
Recipient's Tax ID Number: 46-1535719
Payer's Federal ID Number: 46-0439553
Payer's State ID Number:
State: NR

☐ **Corrected** ☐ **2nd TIN notice**

Recipient's Name and Address:
QUADRIVIUM IMA
C/O JP MORGAN ; ATTN: A. HAUBERT
10 SOUTH DEARBORN, 21ST FLOOR
CHICAGO, IL 60603

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip / Quantity Sold (Box 1e)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc. (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
037411105	APACHE CORP		APA					
25.0000	02/05/2013	12/28/2012	2,123.23	1,936.75	0.00	186 48	0.00	0.00
04314H881	ARTISAN FDS INC INTL VALUE FD INV SH		ARTKX					
1583 2070	02/05/2013	12/28/2012	49,292.52	47,654.53	0 00	1,637.99	0 00	0 00
126650100	CVS CORPORATION (DEL)		CVS					
65 0000	02/05/2013	12/28/2012	3,339 96	3,136.89	0.00	203 07	0.00	0.00
131347304	CALPINE CORP		CPNI					
145.0000	02/05/2013	12/28/2012	2,840 48	2,602.74	0.00	237.74	0 00	0.00
13342B105	CAMERON INTL CORP		CAM					
45.0000	02/05/2013	12/28/2012	2,945 35	2,454.54	0.00	490.81	0 00	0.00
166764100	CHEVRONTEXACO CORP		CVX					
20 0000	02/05/2013	12/28/2012	2,320.77	2,146 31	0 00	174.46	0.00	0 00
20030N200	COMCAST CORP NEW CL A SPL		CMCSK					
90.0000	02/05/2013	12/28/2012	3,383 06	3,193 02	0 00	190 04	0 00	0 00
261608103	DRESSER-RAND GROUP INC		DRC					
40.0000	02/05/2013	12/28/2012	2,462.81	2,201 58	0 00	261 23	0.00	0.00
268648102	E M C CORP MASS		EMC					
85.0000	02/05/2013	12/28/2012	2,121.04	2,132.23	0.00	-11.19	0.00	0 00

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2013 Tax Information Statement

Payer's Name and Address:
CITICORP TRUST SOUTH DAKOTA
PO BOX 6008
SIOUX FALLS, SD 57117

Account Number: C7B016725004
Recipient's Tax ID Number: 46-1535719
Payer's Federal ID Number: 46-0439553
Payer's State ID Number:
State: NR

☐ **Corrected** ☐ **2nd TIN notice**

Recipient's Name and Address:
QUADRIVIUM IMA
C/O JP MORGAN ; ATTN: A. HAUBERT
10 SOUTH DEARBORN, 21ST FLOOR
CHICAGO, IL 60603

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums
Covered (Box 6a is not checked)

Cusip / Quantity Sold (Box 1e)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc. (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
30219G108	EXPRESS SCRIPTS INC		ESRX					
30.0000	02/05/2013	02/05/2013	1,661.40	1,663.29	0.00	-1.89	0.00	0 00
345370860	FORD MOTOR COMPANY		F					
270.0000	02/05/2013	12/28/2012	2,879 75	2,791.80	0.00	87.95	0.00	0 00
38141G104	GOLDMAN SACHS GROUP INC		GS					
20.0000	02/05/2013	12/28/2012	3,003.88	2,519 25	0.00	484 63	0.00	0.00
406216101	HALLIBURTON CO		HAL					
65.0000	02/05/2013	12/28/2012	2,655 87	2,218.22	0 00	437.65	0 00	0 00
438516106	HONEYWELL INTERNATIONAL INC		HON					
30.0000	02/05/2013	12/28/2012	2,088.44	1,901.03	0.00	187.41	0.00	0.00
464287655	ISHARES TR RUSSELL 2000 INDEX FD		IWM					
55.0000	02/05/2013	12/28/2012	4,954.30	4,567.69	0 00	386.61	0 00	0 00
46625H100	J. P. MORGAN CHASE & CO F/K/A		JPM					
55.0000	02/05/2013	12/28/2012	2,662.51	2,383 51	0.00	279.00	0.00	0 00
49456B101	KINDER MORGAN INC DEL		KMI					
80.0000	02/05/2013	12/28/2012	2,984.81	2,780.48	0 00	204 33	0 00	0 00
500255104	KOHLS CORP		KSS					
30 0000	02/05/2013	12/28/2012	1,365.71	1,270.10	0 00	95 61	0.00	0 00

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2013 Tax Information Statement

Payer's Name and Address:
CITICORP TRUST SOUTH DAKOTA
PO BOX 6008
SIOUX FALLS, SD 57117

Account Number: C7B016725004
Recipient's Tax ID Number: 46-1535719
Payer's Federal ID Number: 46-0439553
Payer's State ID Number:
State: NR

☐ **Corrected** ☐ **2nd TIN notice**

Recipient's Name and Address:
QUADRIVIUM IMA
C/O JP MORGAN ; ATTN: A. HAUBERT
10 SOUTH DEARBORN, 21ST FLOOR
CHICAGO, IL 60603

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip / Quantity Sold (Box 1e)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
52469F465	WESTERN AST GLB HIGH YLD BD FD		SAHYX					
1275.8870	02/05/2013	12/28/2012	9,467.08	9,339.49	0.00	127.59	0 00	0 00
548661107	LOWES COMPANIES INC		LOW					
65.0000	02/05/2013	12/28/2012	2,490 12	2,279.97	0.00	210.15	0 00	0.00
552966806	MFS INSTL INTL EQUITY FD		MIEIX					
2154.4200	02/05/2013	12/28/2012	42,571.33	41,041.70	0.00	1,529.63	0 00	0 00
59156R108	METLIFE INC		MET					
80.0000	02/05/2013	12/28/2012	3,014 34	2,603.72	0.00	410 62	0 00	0.00
61945C103	MOSAIC CO NEW		MOS					
70.0000	02/05/2013	12/28/2012	4,281.98	3,876.88	0.00	405 10	0 00	0.00
68389X105	ORACLE CORP		ORCL					
55.0000	02/05/2013	12/28/2012	1,956 31	1,830 29	0.00	126.02	0 00	0 00
74005P104	PRAXAIR INC		PX					
20.0000	02/05/2013	12/28/2012	2,213 65	2,172.12	0 00	41.53	0.00	0.00
780259206	ROYAL DUTCH SHELL PLC SPD ADR		RDS A					
20 0000	02/05/2013	12/28/2012	1,378 38	1,377.16	0 00	1.22	0 00	0 00
883556102	THERMO ELECTRON CORP		TMO					
40.0000	02/05/2013	12/28/2012	2,955.11	2,531.60	0 00	423 51	0.00	0.00

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10 SOUTH DEARBORN, 21ST FLOOR
CHICAGO, IL 60603

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip / Quantity Sold (Box 1a)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss	Federal Income Tax Withhold (Box 4)	State Tax Withheld (Box 15)
911312106	UNITED PARCEL SERVICE -CL B		UPS					
55.0000	02/05/2013	12/28/2012	4,426.41	4,053.49	0.00	372.92	0 00	0.00
913017109	UNITED TECHNOLOGIES CP		UTX					
30.0000	02/05/2013	12/28/2012	2,673.90	2,444.98	0.00	228.92	0 00	0 00
91324P102	UNITEDHEALTH GROUP INC		UNH					
45.0000	02/05/2013	12/28/2012	2,583.27	2,453.30	0 00	129.97	0 00	0 00
92927K102	WABCO HLDGS INC		WBCI					
10.0000	02/05/2013	12/28/2012	639.72	627 08	0.00	12.64	0 00	0.00
949746101	WELLS FARGO & COMPANY (NEW)		WFC					
70 0000	02/05/2013	12/28/2012	2,452 75	2,386.76	0 00	65.99	0 00	0 00
98310W108	WYNDHAM WORLDWIDE CORP		WYN					
60 0000	02/05/2013	12/28/2012	3,362 30	3,160 79	0.00	201.51	0 00	0 00
G2554F113	COVIDIEN PLC		COV					
45.0000	02/05/2013	12/28/2012	2,801.18	2,550 39	0.00	250.79	0 00	0 00
H0023R105	ACE LTD		ACE					
35.0000	02/05/2013	12/28/2012	2,980.88	2,776.20	0.00	204.68	0.00	0.00
H89128104	TYCO INTERNATIONAL COM USD0 80		TYC					
80.0000	02/05/2013	12/28/2012	2,447.22	2,304.62	0.00	142 60	0.00	0.00

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2013 Tax Information Statement

Payer's Name and Address:
CITICORP TRUST SOUTH DAKOTA
PO BOX 6008
SIOUX FALLS, SD 57117

Account Number: C7B016725004
Recipient's Tax ID Number: 46-1535719
Payer's Federal ID Number: 46-0439553
Payer's State ID Number:
State: NR

☐ **Corrected** ☐ **2nd TIN notice**

Recipient's Name and Address:
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C/O JP MORGAN ; ATTN: A. HAUBERT
10 SOUTH DEARBORN, 21ST FLOOR
CHICAGO, IL 60603

Reported to the IRS is Sales Price of stocks, bonds etc., less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip / Quantity Sold (Box 1e)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc. (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
98310W108	WYNDHAM WORLDWIDE CORP		WYN					
40.0000	02/06/2013	12/28/2012	2,383.06	2,107.20	0.00	275.86	0.00	0.00
500255104	KOHLS CORP		KSS					
190.0000	02/08/2013	12/28/2012	8,687.00	8,043.96	0.00	643.04	0.00	0.00
222816100	COVANCE INC		CVD					
40.0000	03/07/2013	02/05/2013	2,700.32	2,736.36	0.00	-36.04	0.00	0.00
883556102	THERMO ELECTRON CORP		TMO					
30.0000	04/03/2013	12/28/2012	2,369.20	1,898.70	0.00	470.50	0.00	0.00
780259206	ROYAL DUTCH SHELL PLC SPD ADR		RDS.A					
100.0000	04/05/2013	12/28/2012	6,403.08	6,885.80	0.00	-482.72	0.00	0.00
459200101	INTERNATIONAL BUSINESS MACHS CORP		IBM					
40.0000	04/10/2013	Various	8,457.63	7,785.60	0.00	672.03	0.00	0.00
518439104	LAUDER ESTEE COS INC CL A		EL					
15.0000	04/17/2013	04/10/2013	998.61	980.59	0.00	18.02	0.00	0.00
23918K108	DAVITA INC		DVA					
10.0000	04/23/2013	04/10/2013	1,229.21	1,248.70	0.00	-19.49	0.00	0.00
30219G108	EXPRESS SCRIPTS INC		ESRX					
20.0000	04/23/2013	04/10/2013	1,129.79	1,163.88	34.09	0.00	0.00	0.00

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2013 Tax Information Statement

Payer's Name and Address:
CITICORP TRUST SOUTH DAKOTA
PO BOX 6008
SIOUX FALLS, SD 57117

Account Number: C7B016725004
Recipient's Tax ID Number: 46-1535719
Payer's Federal ID Number: 46-0439553
Payer's State ID Number:
State: NR

☐ **Corrected** ☐ **2nd TIN notice**

Recipient's Name and Address:
QUADRIVIUM IMA
C/O JP MORGAN ; ATTN: A. HAUBERT
10 SOUTH DEARBORN, 21ST FLOOR
CHICAGO, IL 60603

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Covered (Box 6a is not checked)

Cusip / Quantity Sold *(Box 1e)*	Description *(Box 8)* / Date of Sale or Exchange *(Box 1a)*	Date of Acquisition *(Box 1b)*	Stock or Other Symbol *(Box 1d)* / Stocks Bonds, etc. *(Box 2a)*	Cost or Other Basis *(Box 3)*	Wash Sale Loss Disallowed *(Box 5)*	Net Gain or Loss	Federal Income Tax Withheld *(Box 4)*	State Tax Withheld *(Box 15)*
032095101	AMPHENOL CORP NEW		APH					
25.0000	05/06/2013	04/10/2013	1,932 88	1,852.32	0.00	80.56	0 00	0.00
192446102	COGNIZANT TECHNOLOGY SOLUTIONS CORP		CTSH					
25.0000	05/06/2013	02/05/2013	1,648.48	1,959 04	310 56	0 00	0 00	0.00
38259P508	GOOGLE INC CL A		GOOG					
5.0000	05/06/2013	04/10/2013	4,278.54	3,952 42	0 00	326 12	0.00	0.00
518439104	LAUDER ESTEE COS INC CL A		EL					
30.0000	05/06/2013	04/10/2013	2,109.33	1,961.18	0.00	148.15	0 00	0.00
582839106	MEAD JOHNSON NUTRITION CO		MJN					
5.0000	05/06/2013	04/10/2013	399 89	385.31	0 00	14.58	0 00	0.00
G1151C101	ACCENTURE PLC		ACN					
5.0000	05/06/2013	04/10/2013	394 55	385.24	0.00	9 31	0 00	0 00
032095101	AMPHENOL CORP NEW		APH					
5.0000	05/08/2013	04/10/2013	388 63	370.46	0 00	18.17	0 00	0.00
582839106	MEAD JOHNSON NUTRITION CO		MJN					
15.0000	05/08/2013	04/10/2013	1,198 45	1,155.93	0 00	42 52	0 00	0.00
G1151C101	ACCENTURE PLC		ACN					
15.0000	05/08/2013	04/10/2013	1,190 52	1,155 71	0 00	34 81	0 00	0 00

2013 Tax Information Statement

Payer's Name and Address:
CITICORP TRUST SOUTH DAKOTA
PO BOX 6008
SIOUX FALLS, SD 57117

Account Number: C7B016725004
Recipient's Tax ID Number: 46-1535719
Payer's Federal ID Number: 46-0439553
Payer's State ID Number:
State: NR

☐ **Corrected** ☐ **2nd TIN notice**

Recipient's Name and Address:
QUADRIVIUM IMA
C/O JP MORGAN ; ATTN: A. HAUBERT
10 SOUTH DEARBORN, 21ST FLOOR
CHICAGO, IL 60603

Reported to the IRS is Sales Price of stocks, bonds etc , less commissions and option premiums.
Covered (Box 6a is not checked)

Cusip / Quantity Sold *(Box 1e)*	Description *(Box 8)* / Date of Sale or Exchange *(Box 1a)*	Date of Acquisition *(Box 1b)*	Stock or Other Symbol *(Box 1d)* / Stocks Bonds, etc *(Box 2a)*	Cost or Other Basis *(Box 3)*	Wash Sale Loss Disallowed *(Box 5)*	Net Gain or Loss	Federal Income Tax Withheld *(Box 4)*	State Tax Withheld *(Box 15)*
883556102	THERMO ELECTRON CORP		TMO					
30.0000	05/09/2013	Various	2,500.94	2,346.70	0.00	154 24	0.00	0.00
548661107	LOWES COMPANIES INC		LOW					
170.0000	05/16/2013	Various	7,325.50	6,748.08	0.00	1,077.42	0.00	0 00
464287655	ISHARES TR RUSSELL 2000 INDEX FD		IWM					
245.0000	05/21/2013	Various	24,316 73	22,977 82	0 00	1,338.91	0.00	0 00
192446102	COGNIZANT TECHNOLOGY SOLUTIONS CORP		CTSH					
62.0000	05/22/2013	Various	4,029 28	5,125.83	0.00	-1,096 55	0.00	0.00
808513105	SCHWAB CHARLES CORP NEW		SCHW					
78.0000	05/22/2013	04/10/2013	1,490.50	1,356.39	0.00	134.11	0 00	0 00
855244109	STARBUCKS CORP		SBUX					
35.0000	05/22/2013	04/10/2013	2,245.26	2,034.43	0.00	210.83	0.00	0.00
04314H881	ARTISAN FDS INC INTL VALUE FD INV SH		ARTKX					
780.8900	05/23/2013	03/27/2013	26,370.67	25,246 16	0 00	1,124.51	0.00	0 00
552966806	MFS INSTL INTL EQUITY FD		MIEIX					
1472.2580	05/23/2013	Various	30,225 48	29,097.59	0.00	1,127.89	0 00	0 00
779540106	ROWE T PRICE BLUE CHIP GROWTH FD		TRBCX					
4265.4490	05/30/2013	Various	224,319.96	204,572.59	0.00	19,747 37	0.00	0 00

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343412102	FLUOR CORP NEW		FLR					
15.0004	05/31/2013	02/05/2013	959 29	980.19	0.00	-20 90	0.00	0 00
343412102	FLUOR CORP NEW		FLR					
69.9996	05/31/2013	02/05/2013	4,476.52	4,574.05	97.53	0.00	0 00	0 00
808513105	SCHWAB CHARLES CORP NEW		SCHW					
30.0000	06/10/2013	05/30/2013	604 65	603.87	0.00	0.78	0 00	0.00
913017109	UNITED TECHNOLOGIES CP		UTX					
29.7826	06/18/2013	Various	2,857.86	2,848.78	0.00	9.08	0.00	0 00
913017109	UNITED TECHNOLOGIES CP		UTX					
5.2174	06/18/2013	05/30/2013	500 65	500.77	0.12	0.00	0 00	0 00
808513105	SCHWAB CHARLES CORP NEW		SCHW					
110.0000	06/28/2013	Various	2,308.92	1,953.94	0.00	354.98	0 00	0 00
00101J106	THE ADT CORPORATION		ADT WI					
15.0000	07/09/2013	12/28/2012	632.68	687.38	0 00	-54.70	0.00	0 00
002824100	ABBOTT LABS		ABT					
5.0000	07/09/2013	05/30/2013	175 05	188 24	0.00	-13.19	0 00	0 00
00287Y109	ABBVIE INC		ABBV					
5.0000	07/09/2013	05/30/2013	217 54	224 45	0 00	-6.91	0.00	0.00

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026874784	AMERICAN INTL GROUP INC		AIG					
10.0000	07/09/2013	05/30/2013	458.59	463.80	0.00	-5 21	0 00	0.00
032095101	AMPHENOL CORP NEW		APH					
10.0000	07/09/2013	05/30/2013	817 22	784 18	0.00	33.04	0 00	0 00
037411105	APACHE CORP		APA					
5.0000	07/09/2013	05/30/2013	405 91	424.82	0.00	-18.91	0.00	0 00
037411105	APACHE CORP		APA					
145.0000	07/09/2013	Various	11,811.73	11,223.85	0 00	587.88	0 00	0 00
037833100	APPLE COMPUTER INC		AAPL					
5.0000	07/09/2013	02/07/2013	2,098.53	2,289.90	191.37	0.00	0 00	0 00
126650100	CVS CORPORATION (DEL)		CVS					
10.0000	07/09/2013	05/30/2013	601.10	590 40	0.00	10.70	0.00	0.00
13342B105	CAMERON INTL CORP		CAM					
10.0000	07/09/2013	04/10/2013	649.73	635 88	0.00	13.85	0.00	0 00
166764100	CHEVRONTEXACO CORP		CVX					
5.0000	07/09/2013	05/30/2013	616.49	629 66	0 00	-13.17	0 00	0.00
177376100	CITRIX SYS INC		CTXS					
15.0000	07/09/2013	02/05/2013	959.86	1,092.32	0.00	-132 46	0.00	0 00

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20030N200	COMCAST CORP NEW CL A SPL		CMCSK					
15.0000	07/09/2013	04/10/2013	616 48	592 92	0.00	23.56	0 00	0.00
235851102	DANAHER CORP		DHR					
15 0000	07/09/2013	05/30/2013	992 55	938.18	0.00	54 37	0 00	0 00
261608103	DRESSER-RAND GROUP INC		DRC					
5.0000	07/09/2013	05/30/2013	319 75	310.80	0.00	8 95	0 00	0 00
268648102	E M C CORP MASS		EMC					
5.0000	07/09/2013	12/28/2012	123 39	125.42	0.00	-2 03	0 00	0.00
278865100	ECOLAB INC		ECL					
10.0000	07/09/2013	05/30/2013	881 90	861.67	0 00	20.23	0.00	0 00
30249U101	FMC TECHNOLOGIES INC		FTI					
20.0000	07/09/2013	05/30/2013	1,164.16	1,143.13	0 00	21.03	0 00	0 00
34988V108	FOSSIL INC							
5.0000	07/09/2013	05/30/2013	545 53	535.26	0.00	10.27	0.00	0 00
406216101	HALLIBURTON CO		HAL					
25.0000	07/09/2013	05/30/2013	1,111 48	1,074 25	0 00	37.23	0 00	0 00
438516106	HONEYWELL INTERNATIONAL INC		HON					
5.0000	07/09/2013	05/30/2013	406 76	397 70	0.00	9 06	0.00	0.00

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CHICAGO, IL 60603

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Cusip / Quantity Sold (Box 1a)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition (Box 1b)	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc. (Box 2a)	Cost or Other Basis (Box 3)	Wash Sale Loss Disallowed (Box 5)	Net Gain or Loss	Federal Income Tax Withhold (Box 4)	State Tax Withheld (Box 15)
464287655	ISHARES TR RUSSELL 2000 INDEX FD		IWM					
120.0000	07/09/2013	Various	12,129.98	10,126.82	0.00	2,003 16	0.00	0.00
49456B101	KINDER MORGAN INC DFL		KMI					
10.0000	07/09/2013	04/10/2013	394 41	390.08	0.00	4 33	0.00	0 00
518439104	LAUDER ESTEE COS INC CL A		EL					
5.0000	07/09/2013	05/30/2013	331 41	349 62	0.00	-18.21	0.00	0 00
548661107	LOWES COMPANIES INC		LOW					
5 0000	07/09/2013	05/30/2013	219 45	215.50	0.00	3.95	0.00	0 00
59156R108	METLIFE INC		MET					
5.0000	07/09/2013	05/30/2013	242.81	223.70	0.00	19.11	0.00	0 00
61945C103	MOSAIC CO NEW		MOS					
5 0000	07/09/2013	05/30/2013	281.00	309.74	0.00	-28 74	0.00	0 00
776696106	ROPER INDS INC NEW		ROP					
5.0000	07/09/2013	05/30/2013	643.71	624 55	0.00	19.16	0.00	0.00
77954Q106	ROWE T PRICE BLUE CHIP GROWTH FD		TRBCX					
82.7050	07/09/2013	12/28/2012	4,382.54	3,699 39	0 00	683.15	0.00	0.00
806857108	SCHLUMBERGER LTD		SLB					
20.0000	07/09/2013	02/05/2013	1,531.77	1,597.60	0.00	-65 83	0.00	0 00

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PO BOX 6008
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10 SOUTH DEARBORN, 21ST FLOOR
CHICAGO, IL 60603

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808513105	SCHWAB CHARLES CORP NEW		SCHW					
50.0000	07/09/2013	Various	1,115 99	856.12	0 00	259 87	0.00	0.00
855244109	STARBUCKS CORP		SBUX					
15.0000	07/09/2013	05/30/2013	1,025.24	954 01	0.00	71 23	0 00	0 00
858912108	STERICYCLE INC		SRCL					
10.0000	07/09/2013	05/30/2013	1,144 66	1,102.59	0.00	42.07	0 00	0.00
883556102	THERMO ELECTRON CORP		TMO					
5.0000	07/09/2013	05/30/2013	434.04	442.14	0.00	-8.10	0.00	0 00
911312106	UNITED PARCEL SERVICE -CL B		UPS					
5.0000	07/09/2013	05/30/2013	454 55	432.74	0.00	21 81	0.00	0.00
91324P102	UNITEDHEALTH GROUP INC		UNH					
5.0000	07/09/2013	05/30/2013	338.50	318 90	0.00	19.60	0.00	0.00
966837106	WHOLE FOODS MKT INC		WFMI					
5.0000	07/09/2013	05/30/2013	272 19	265.21	0.00	6.98	0.00	0 00
98310W108	WYNDHAM WORLDWIDE CORP		WYN					
5 0000	07/09/2013	04/10/2013	294.66	320 10	0.00	-25 44	0.00	0.00
H0023R105	ACE LTD		ACE					
5.0000	07/09/2013	04/10/2013	460 51	453 86	0.00	6 65	0 00	0.00

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H27013103	WEATHERFORD INT LTD COM USD1 00		WFT					
15.0000	07/09/2013	05/30/2013	216.47	207.59	0.00	8.88	0.00	0 00
H89128104	TYCO INTERNATIONAL COM USD0.80		TYC					
10.0000	07/09/2013	05/30/2013	353 60	343 68	0.00	9.92	0.00	0.00
N22717107	CORE LABORATORIES N V		CLB					
5 0000	07/09/2013	05/30/2013	785.64	700 85	0 00	84 79	0.00	0.00
N7902X106	SENSATA TECHNOLOGIES HLDG BV		ST					
5.0000	07/09/2013	06/20/2013	179 84	177.70	0.00	2.14	0 00	0.00
G5785G107	MALLINCKRODT PUB LTD CO		MNK.WI					
.3750	07/10/2013	04/10/2013	16.36	18.42	0.00	-2 06	0.00	0.00
Total Short Term Sales Reported on 1099-B			**1,161,465.71**	**1,093,815.14**	**633.67**	**68,284.24**	**0.00**	**0.00**

Report on Form 8949, Part I, with Box A checked

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2013 Form 1099-B: Proceeds from Broker and Barter Exchange Transactions

OMB No 1545-0715

Reported to the IRS is Sales Price of stocks, bonds, etc., less commissions and option premiums.
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Cusip / Quantity Sold (Box 1c)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc. (Box 2a)	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
Short Term Sales Reported on 1099-B								
025816BA6	AMERICAN EXPRESS CO 7 250% 5/20/14		AEC7214					
2000.0000	02/05/2013	01/04/2013	2,164 12	2,177.08	0.00	-12.96	0.00	0.00
05531FAF0	BB&T CORPORATION 3.950% 4/29/16		BC33916					
2000.0000	02/05/2013	01/04/2013	2,181.68	2,185.06	0 00	-3.38	0.00	0 00
14912L5E7	CATERPILLAR FINL SVC 1 625% 6/01/17		CFS1617					
3000 0000	02/05/2013	01/04/2013	3,036.45	3,052.47	0.00	-16 02	0 00	0 00
20030NBA8	COMCAST CORP NEW 5.150% 3/01/20		CCN5120					
2000.0000	02/05/2013	01/04/2013	2,328 68	2,366 42	0 00	-37.74	0 00	0 00
3128X2TM7	FED HOME LN MTG CORP 5 000% 1/30/14		FHL5014G					
3000 0000	02/05/2013	01/02/2013	3,141.85	3,153 72	0.00	-11.87	0.00	0.00
3134A4VC5	FEDERAL HOME LN MTG 4 375% 7/17/15		FHL4315					
7000 0000	02/05/2013	01/02/2013	7,682.66	7,706.30	0 00	-23 64	0 00	0 00
31359MW41	FED NATL MTG ASSN 5 250% 9/15/16		FNM5216					
7000.0000	02/05/2013	01/02/2013	8,157 06	8,207.50	0.00	-50.44	0.00	0 00

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3137EACH0	FED HOME LN MTG CORP 2.875% 2/09/15		FHL2815					
2000.0000	02/05/2013	01/02/2013	2,102 69	2,106.94	0 00	-4.25	0.00	0.00
3137EADB2	FEDL HOME LN MTG COR 2 3750% 01/13/22		FHL2322					
2000 0000	02/05/2013	01/02/2013	2,050 96	2,077 28	0 00	-26.32	0.00	0.00
31398AVZ2	FEDL NATL MTG ASSN 2.750% 3/13/14		FNM2714A					
2000 0000	02/05/2013	01/02/2013	2,055 89	2,060.94	0 00	-5 05	0.00	0 00
369622SM8	GENERAL ELEC CAP 5.300% 2/11/21		GEC5321A					
2000.0000	02/05/2013	01/04/2013	2,281 44	2,303.34	0 00	-21 90	0.00	0.00
38141GFM1	GOLDMAN SACHS 6.150% 4/01/18		GS66118					
2000.0000	02/05/2013	01/04/2013	2,350 76	2,363 20	0.00	-12.44	0.00	0.00
46625HHS2	JP MORGAN CHASE & CO 4.400% 7/22/20		JMC4420					
2000.0000	02/05/2013	01/04/2013	2,206.88	2,239.40	0 00	-32 52	0.00	0.00
50075NBB9	KRAFT FOODS INC 4.125% 2/09/16		KFI4116					
2000.0000	02/05/2013	01/04/2013	2,178.78	2,183.22	0 00	-4 44	0 00	0 00
59018YJ69	MERRILL LYNCH & CO 6.400% 8/28/17		MLC6417					
2000.0000	02/05/2013	01/04/2013	2,340 70	2,354.04	0.00	-13 34	0.00	0.00
713448CB2	PEPSICO INC 1.250% 8/13/17		PI11217					
2000 0000	02/05/2013	01/04/2013	1,997 82	2,006 68	0 00	-8 86	0.00	0.00
78463V107	SPDR GOLD TRUST GLD SHS		GLD					
55.0000	02/05/2013	12/28/2012	8,903 86	8,817.97	0 00	85 89	0 00	0 00

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2013 Tax Information Statement

Account Number: C7B016725004
Recipient's Tax ID Number: 46-1535719
Payer's Federal ID Number: 46-0439553
Payer's State ID Number:
State: NR

☐ Corrected ☐ 2nd TIN notice

Recipient's Name and Address:
QUADRIVIUM IMA
C/O JP MORGAN ; ATTN· A. HAUBERT
10 SOUTH DEARBORN, 21ST FLOOR
CHICAGO, IL 60603

Payer's Name and Address:
CITICORP TRUST SOUTH DAKOTA
PO BOX 6008
SIOUX FALLS, SD 57117

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Cusip / Quantity Sold (Box 1e)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc. (Box 2a)	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
912828BH2	U S TREASURY NOTES 4.250% 8/15/13		UTN4213					
7000.0000	02/05/2013	01/02/2013	7,151.76	7,177.19	0 00	-25 43	0.00	0.00
912828FQ8	U S TREASURY NOTES 4.875% 8/15/16		UST4816					
4000.0000	02/05/2013	01/02/2013	4,608.28	4,626 25	0 00	-17.97	0 00	0 00
912828LY4	U S TREASURY NOTES 3.375% 11/15/19		UST3319					
4000.0000	02/05/2013	01/02/2013	4,536.56	4,576 25	0 00	-39.69	0 00	0.00
912828NT3	U S TREAS NTS 2 625% 8/15/20		UST2620					
2000.0000	02/05/2013	01/02/2013	2,159.69	2,182 66	0 00	-22.97	0.00	0.00
912828PJ3	U S TREAS NTS 1.3750% 11/30/15		UST1315					
2000.0000	02/05/2013	01/02/2013	2,055.31	2,057.81	0.00	-2 50	0.00	0.00
912828PT1	U S TREAS NTS 2.625% 1/31/18		UST2618					
2000.0000	02/05/2013	01/02/2013	2,171.56	2,183.91	0 00	-12 35	0.00	0.00
912828QC7	U S TREAS NTS 1.250% 4/15/14		UST1214B					
6000.0000	02/05/2013	01/02/2013	6,075.47	6,078.98	0 00	-3.51	0 00	0 00
912828LY4	U S TREASURY NOTES 3 375% 11/15/19		UST3319					
43000.0000	03/15/2013	01/02/2013	48,900.74	49,194 69	0 00	-293 95	0.00	0 00
31359MW41	FED NATL MTG ASSN 5.250% 9/15/16		FNM5216					
15000.0000	03/18/2013	01/02/2013	17,425 50	17,587 50	0 00	-162 00	0 00	0 00
31398AVZ2	FEDL NATL MTG ASSN 2 750% 3/13/14		FNM2714A					
29000.0000	03/19/2013	01/02/2013	29,725 87	29,883 57	0.00	-157,70	0 00	0 00

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SIOUX FALLS, SD 57117

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Cusip / Quantity Sold (Box 1c)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc. (Box 2a)	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
912828NT3	U S TREAS NTS 2.625% 8/15/20		UST2620					
32000.0000	03/19/2013	01/02/2013	34,808.75	34,922 50	0.00	-113 75	0 00	0.00
912828PJ3	U S TREAS NTS 1.3750% 11/30/15		UST1315					
19000.0000	03/19/2013	01/02/2013	19,530 66	19,549.22	0.00	-18 56	0 00	0.00
912828PT1	U S TREAS NTS 2 625% 1/31/18		UST2618					
27000.0000	03/20/2013	01/02/2013	29,400 47	29,482 73	0 00	-82 26	0.00	0.00
912828FQ8	U S TREASURY NOTES 4.875% 8/15/16		UST4816					
42000 0000	03/21/2013	01/02/2013	48,252.42	48,575.63	0.00	-323.21	0.00	0.00
14912L5E7	CATERPILLAR FINL SVC 1.625% 6/01/17		CFS1617					
24000.0000	03/22/2013	01/04/2013	24,366 72	24,419.76	0 00	-53.04	0.00	0.00
3134A4VC5	FEDERAL HOME LN MTG 4 375% 7/17/15		FHL4315					
84000 0000	03/22/2013	01/02/2013	91,736.40	92,475.60	0.00	-739.20	0.00	0.00
912828BH2	U S TREASURY NOTES 4 250% 8/15/13		UTN4213					
50000 0000	03/22/2013	01/02/2013	50,818.36	51,265.62	0 00	-447 26	0 00	0 00
912828QC7	U S TREAS NTS 1.250% 4/15/14		UST1214B					
47000.0000	03/22/2013	01/02/2013	47,534.26	47,618.72	0 00	-84.46	0.00	0.00
3128X2TM7	FED HOME LN MTG CORP 5.000% 1/30/14		FHL5014G					
47000.0000	03/25/2013	01/02/2013	48,913.37	49,408.23	0 00	-494 86	0.00	0.00
3137EADB2	FEDL HOME LN MTG COR 2.3750% 01/13/22		FHL2322					
34000.0000	03/25/2013	01/02/2013	35,243.38	35,313 76	0 00	-70.38	0.00	0.00

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CHICAGO, IL 60603

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Cusip / Quantity Sold *(Box 1a)*	Description *(Box 8)* / Date of Sale or Exchange *(Box 1a)*	Date of Acquisition	Stock or Other Symbol *(Box 1d)* / Stocks Bonds, etc. *(Box 2a)*	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld *(Box 4)*	State Tax Withheld *(Box 15)*
025816BA6	AMERICAN EXPRESS CO 7.250% 5/20/14		AEC7214					
23000.0000	03/26/2013	01/04/2013	24,693 26	25,036.42	0 00	-343.16	0.00	0.00
05531FAF0	BB&T CORPORATION 3.950% 4/29/16		BC33916					
23000.0000	03/26/2013	01/04/2013	25,056.43	25,128 19	0.00	-71.76	0.00	0 00
78463V107	SPDR GOLD TRUST GLD SHS		GLD					
645 0000	04/05/2013	Various	98,473 55	102,880 02	0 00	-4,406.47	0.00	0.00
31359MW41	FED NATL MTG ASSN 5 250% 9/15/16		FNM5216					
19000.0000	04/22/2013	01/02/2013	22,040 95	22,277 50	0 00	-236.55	0.00	0 00
06406HBN8	BANK NEW YORK MTN 3 100% 1/15/15		BK15B					
26000.0000	04/24/2013	03/22/2013	27,204 84	27,235.52	0 00	-30 68	0.00	0 00
31359MW41	FED NATL MTG ASSN 5.250% 9/15/16		FNM5216					
23000.0000	05/07/2013	01/02/2013	26,636.07	26,967 50	0 00	-331.43	0.00	0.00
3137EACH0	FED HOME LN MTG CORP 2.875% 2/09/15		FHL2815					
26000.0000	05/16/2013	01/02/2013	27,177 54	27,390 22	0 00	-212.68	0 00	0.00
05567L7E1	BNP PARIBAS SA 2.375% 9/14/17		BPS2317					
2000.0000	05/28/2013	03/22/2013	2,040.44	2,038 32	0 00	2.12	0 00	0 00
149123BY6	CATERPILLAR INC 0.950% 6/26/15		CAT15					
2000.0000	05/28/2013	03/21/2013	2,015.16	2,018.04	0 00	-2.88	0.00	0.00
375558AU7	GILEAD SCIENCES INC 4 400% 12/01/21		GSI4421					
3000.0000	05/28/2013	03/19/2013	3,338.61	3,371.67	0 00	-33 06	0 00	0 00

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Cusip / Quantity Sold (Box 1e)	Description (Box 8) / Date of Sale or Exchange (Box 1a)	Date of Acquisition	Stock or Other Symbol (Box 1d) / Stocks Bonds, etc (Box 2a)	Cost or Other Basis	Wash Sale Loss Disallowed	Net Gain or Loss	Federal Income Tax Withheld (Box 4)	State Tax Withheld (Box 15)
929903AJ1	WACHOVIA CORP NEW 5 250% 8/01/14		WCN5214					
26000.0000	06/06/2013	03/22/2013	27,301 56	27,580 02	0 00	-278 46	0 00	0.00
38141GFM1	GOLDMAN SACHS 6.150% 4/01/18		GS66118					
23000.0000	06/20/2013	Various	26,043.59	27,179.74	0 00	-1,136.15	0 00	0.00
78463V107	SPDR GOLD TRUST GLD SHS		GLD					
.0000	12/31/2013	Various	98 37	101.54	0 00	-3.17	0.00	0.00
Total Short Term Sales Reported on 1099-B			**924,698.18**	**935,146.84**	**0.00**	**-10,448.66**	**0.00**	**0.00**

Report on Form 8949, Part I, with Box B checked

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Citi Private Bank

citi

Investment
Account Statement

Account Number: C92-093555
Statement Period: 10/01/2013 - 12/31/2013

QUADRIVIUM
701 E 60TH ST N
SIOUX FALLS SD 57104-0493

Valuation at a Glance

	This Period	Year-to-Date
Beginning Account Value	$2.69	$2.69
Adjusted Previous Account Value	2.69	2.69
Ending Account Value	**$2.69**	**$2.69**
Total Purchasing Power	$2 69	

Your Representative:
NAM EQUITY & DERIVATIVES
(212) 816-6000

Your Broker-Dealer is Citigroup Global Markets Inc.
For service call: (888) 272-3233

INVESTMENT AND INSURANCE PRODUCTS: NOT FDIC INSURED • NOT A BANK DEPOSIT • NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY • NO BANK GUARANTEE • MAY LOSE VALUE

Asset Allocation

	Last Period	This Period	% Allocation
Cash, Money Funds, and Bank Deposits	2 69	2 69	100%
Account Total	**$2.69**	**$2.69**	**100%**

Your Account is 100% invested in Cash, Money Funds, and Bank Deposits

Statement of Accounts

Statement Period 1 Dec 2013 - 31 Dec 2013

STATEMENT OVERVIEW

Reference Currency USD

This statement has been prepared for

Quadrivium

Legal Entity

CITICORP TRUST - SOUTH DAKOTA

	LAST PERIOD Total Value USD	THIS PERIOD Total Value USD	Page Number
TOTAL ASSETS	**1,018,626.15**	**1,026,309.08**	
Investment Assets In This Statement	**1,018,626.15**	**1,026,309.08**	
Citigroup Umbrella Portfolio US4 — **C7B016725004**	1,018,626.15	1,026,309.08	3

Total Value = Market Value + Accrued Interest + Accrued Dividend

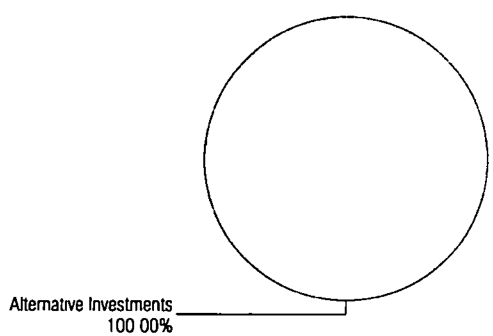
ACCOUNT SUMMARY

Reference Currency USD

ACTIVITY SUMMARY

	TOTAL ACTIVITY		PRINCIPAL ACTIVITY		INCOME ACTIVITY	
	This Period	Year to Date	This Period	Year to Date	This Period	Year to Date
Opening Market Value	**1,018,626.15**	**9,850,662.90**	**1,018,624.59**	**9,850,662.90**	**1.56**	**0.00**
Deposits to Account	—	20,818 78	—	7,700 36	—	13,118 42
Withdrawals from Account	—	(4,521,123 02)	—	(4,513,422 66)	—	(7,700 36)
Securities Transferred In	—	29,752 50	—	29,752 50	—	—
Securities Transferred Out	—	(4,456,347 03)	—	(4,456,347 03)	—	—
Dividends and Interest	—	22,287 27	—	48 75	—	22,238 52
Market Change	7,682 93	381,091 19	7,682 93	381,091 19	0 00	0 00
Other Income or Expense	—	(300,833.51)	—	(273,178 49)	—	(27,655.02)
Closing Market Value	**1,026,309.08**	**1,026,309.08**	**1,026,307.52**	**1,026,307.52**	**1.56**	**1.56**

ASSET ALLOCATION *TABLE SHOWN ON NEXT PAGE*



Values less than 1% not graphed.

ACCOUNT SUMMARY

Reference Currency USD

ASSET ALLOCATION & UNREALIZED GAIN/(LOSS)

Asset Class	Total Value Last Period	Change	**Total Value This Period**	**Percent of Total Account**	Cost	Unrealized Gain/(Loss)	Estimated Annual Income	Accrued Interest/Dividend
Cash & Short Term Investments	1 56	0 00	**1.56**	**0.00**	1 56	0 00	0 00	0 00
Cash	0.00	0 00	0 00	0 00	0.00	0 00	0 00	0.00
Short Term Investments	1 56	0.00	1.56	0 00	1 56	0.00	0.00	0 00
Alternative Investments	1,018,624 59	7,682 93	**1,026,307.52**	**100.00**	0 00	0.00	0.00	0.00
Hedge Funds	1,018,624 59	7,682 93	1,026,307.52	100.00	0 00	0.00	0.00	0 00
Total Assets	**1,018,626.15**	**7,682.93**	**1,026,309.08**	**100.00**	**1.56**	**0.00**	**0.00**	**0.00**

Total Value = Market Value + Accrued Interest + Accrued Dividend

ACCOUNT SUMMARY

Reference Currency USD

ASSET ALLOCATION - PRINCIPAL AND INCOME

	TOTAL	PRINCIPAL		INCOME	
	Total Value	Market Value	Accrued Interest/Dividend	Market Value	Accrued Interest/Dividend
Cash & Short Term Investments	1.56	0.00	0 00	1.56	0 00
Equities	—	—	—	—	—
Fixed Income	—	—	—	—	—
Convertible Bonds	—	—	—	—	—
Multi Asset Class Funds	—	—	—	—	—
Alternative Investments	1,026,307.52	1,026,307 52	0 00	—	—
Capital Markets	—	—	—	—	—
Others	—	—	—	—	—
Total	**1,026,309.08**	**1,026,307.52**	**0.00**	**1.56**	**0.00**

Total Value = Market Value + Accrued Interest + Accrued Dividend

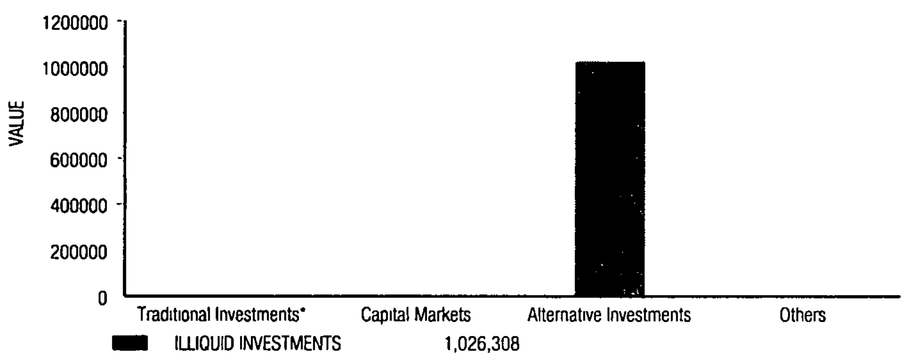
CASH ACTIVITY - PRINCIPAL AND INCOME

	TOTAL ACTIVITY		PRINCIPAL ACTIVITY		INCOME ACTIVITY	
	This Period	Year to Date	This Period	Year to Date	This Period	Year to Date
Opening Cash Balance	**1.56**	**6,984,623.06**	**0.00**	**6,984,623.06**	**1.56**	**0.00**
Cash Deposits	—	20,818 78	—	7,700 36	—	13,118 42
Cash Withdrawals	—	(4,521,123.02)	—	(4,513,422 66)	—	(7,700 36)
Assets Purchased	—	(4,291,836 55)	—	(4,291,836 55)	—	—
Assets Sold	—	2,086,065 53	—	2,086,065 53	—	—
Income Received	—	22,287 27	—	48 75	—	22,238 52
Taxes / Fees / Miscellaneous	—	(300,833 51)	—	(273,178 49)	—	(27,655 02)
Closing Cash Balance	**1.56**	**1.56**	**0.00**	**0.00**	**1.56**	**1.56**

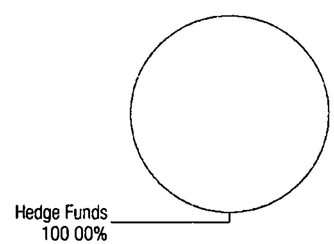
ALTERNATIVE INVESTMENTS ANALYSIS

Reference Currency USD

ASSET ALLOCATION



ALTERNATIVE INVESTMENTS BY STRATEGY



ILLIQUID ALTERNATIVE INVESTMENTS

Values less than 1% not graphed.

ALTERNATIVE INVESTMENTS POSITIONS

	Asset Value	Strategy	Valuation As of Date	% Total
ILLIQUID ALTERNATIVE ASSETS				
Hedge Funds	1,026,308			100 00
HF Balanced Series Interests LLC D	1,026,308	Multi-Strategy and Relative Value	30 NOV 13	100 00
Total Illiquid Alternative Investments**	**1,026,308**			**100.00**
Total Alternative Investments	**1,026,308**			**100.00**

*Traditional Investments are those securities in the following asset classes Cash and Short Term Investment, Fixed Income,Convertible Bonds, Multi Asset Class Funds and Equities
**The valuation of some illiquid investments such as Private Equity and Real Estate may decrease over the life of the investment as cash is returned to investors For specific information regarding valuation methodologies, please see the reports issued by the particular investment vehicles Illiquid investments are assets that cannot be rebalanced In practical terms, Cash, Fixed Income, Equities and Hedge Funds are Liquid and Private Equity, Real Estate and certain Structured Investments are Illiquid

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

CASH AND SHORT TERM INVESTMENTS **0.00%** *SORTED BY LIQUIDITY*

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0 00	0 000	0 00	0 00	0.00	0 00	0 00	0 00	0 00
Total Cash and Short Term Investments			**0.00**		**0.00**	**0.00**	**0.00**	**0.00**	**0.00**

ALTERNATIVE INVESTMENTS **100.00%** *SORTED ALPHABETICALLY*

Description	Investment	Quantity	NAV	Distribution	Estimated Asset Value[1]	Valuation Date	Post Valuation Activity[2]	Est Asset Val + Post Val Activity + Distributions[3]
Hedge Funds								
HF Balanced Series Interests LLC CL D CUSIP 325990109	980,000 00	942 52	1,088 90		1,026,307 52	30 Nov 13		1,026,307 52
Total Hedge Funds (USD)[4]	980,000 00		1,088 90		1,026,307 52			1,026,307 52

Total Alternative Investments	**Estimated Asset Value (USD)[3,4]**	**1,026,307.52**	
	Post Valuation Activity (USD)[3,4]		
	Estimated Asset Value[1] + Post Valuation Activity (USD)[3,4]		**1,026,307.52**

[1]Estimated Asset Values are based on valuations received directly from the related funds or their agents and are subject to change Refer to the "Notice" section at end of statement
[2]Post Valuation Activity reflects investor contributions minus fund distributions since the Valuation Date
[3]These figures represent an aggregation of the noted columns and do not reflect a current valuation of the related investment
[4]The aggregation of individual figures to create totals involves adding together values that are computed based on different accounting valuation methodologies and valuation dates

INVESTMENT POSITIONS - PRINCIPAL

Reference Currency USD

	Total Cost	Market Value	Accrued Interest or Dividend	Total Value	Unrealized Gain/Loss	Est Annual Income
TOTAL INVESTMENT POSITIONS - PRINCIPAL	**0.00**	**1,026,307.52**	**0.00**	**1,026,307.52**	**0.00**	**0.00**

INVESTMENT POSITIONS - INCOME

Reference Currency USD

CASH AND SHORT TERM INVESTMENTS 100.00% *SORTED BY LIQUIDITY*

Description	Qty	Average/ Unit Cost	Total Cost	Market Price As of Date	Market Value	Accrued Interest	Total Value	Unrealized Gain/Loss	Est Annual Income
Cash									
USD	0 00	0 000	0 00	0 00 —	0 00	0 00	0 00	0 00	0 00
Short Term Investments									
CITIBANK M D A (L) CUSIP 9900CST72 Yield 05%	1 56	100 000	1 56	1 00 —	1 56	0 00	1 56	0 00	0 00
Total Cash and Short Term Investments			**1.56**		**1.56**	**0.00**	**1.56**	**0.00**	**0.00**
TOTAL INVESTMENT POSITIONS - INCOME			**1.56**		**1.56**	**0.00**	**1.56**	**0.00**	**0.00**
TOTAL INVESTMENT POSITIONS - PRINCIPAL AND INCOME			**1.56**		**1,026,309 08**	**0.00**	**1,026,309.08**	**0.00**	**0.00**

ACTIVITY DETAILS

Reference Currency USD

Trade Date	Settlement Date	Transaction Type	Description	Principal	Income	End of Day Balance
US Dollar						
01 DEC 13			**Opening Balance - Cash and Short Term Investments**	**0.00**	**1.56**	**1.56**
31 DEC 13			**Closing Balance - Cash and Short Term Investments**	**0.00**	**1.56**	**1.56**

Account Summary

Asset Allocation	Beginning Market Value	Ending Market Value	Change in Value	Estimated Annual Income	Current Allocation
Equity	522,182.24	537,261 53	15,079 29	9,546 08	100%
Market Value	**$522,182.24**	**$537,261.53**	**$15,079.29**	**$9,546.08**	**100%**
Accruals	904.01	811 41	(92 60)		
Market Value with Accruals	**$523,086.25**	**$538,072.94**	**$14,986.69**		

Portfolio Activity	Current Period Value	Year-to-Date Value
Beginning Market Value	**522,182.24**	**0.00**
Contributions		500,000 00
Withdrawals & Fees		(131 28)
Net Contributions/Withdrawals	**$0.00**	**$499,868.72**
Income & Distributions	930 36	2,079.32
Change In Investment Value	14,148 93	35,313.49
Ending Market Value	**$537,261.53**	**$537,261.53**
Accruals	811 41	811 41
Market Value with Accruals	**$538,072.94**	**$538,072.94**

Account Summary CONTINUED

Tax Summary	Current Period Value	Year-to-Date Value
Domestic Dividends/Distributions	854.38	1,260 13
Foreign Dividends	75 00	816 75
Interest Income	0 98	2 44
Taxable Income	**$930.36**	**$2,079.32**

	Current Period Value	Year-to-Date Value
ST Realized Gain/Loss	1,860 93	1,800 78
Realized Gain/Loss	**$1,860.93**	**$1,800.78**

	To-Date Value
Unrealized Gain/Loss	**$33,512.71**

Cost Summary	Cost
Equity	503,748.82
Total	**$503,748.82**

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Equity Summary

Asset Categories	Beginning Market Value	Ending Market Value	Change In Value	Current Allocation
US Large Cap Equity	522,182 24	537,261 53	15,079 29	100%

Market Value/Cost	Current Period Value
Market Value	537,261 53
Tax Cost	503,748.82
Unrealized Gain/Loss	33,512 71
Estimated Annual Income	9,546.08
Accrued Dividends	811.41
Yield	1.77%

Note: [1] This is the Annual Percentage Yield (APY) which is the rate earned if balances remain on deposit for a full year with compounding, there is no change in the interest rate and all interest is left in the account.

Equity Detail

	Price	Quantity	Value	Adjusted Tax Cost / Original Cost	Unrealized Gain/Loss	Est. Annual Inc / Accrued Div	Yield
US Large Cap Equity							
ACCENTURE PLC-CL A G1151C-10-1 ACN	82 22	325 000	26,721.50	24,826 73	1,894.77	604 50	2 26%
AMERICAN EXPRESS CO 025816-10-9 AXP	90.73	250 000	22,682.50	19,260 94	3,421.56	230.00	1.01%
AMERISOURCEBERGEN CORP 03073E-10-5 ABC	70.31	275 000	19,335 25	16,966.32	2,368.93	258 50	1 34%
BANK OF NEW YORK MELLON CORP 064058-10-0 BK	34.94	750 000	26,205.00	22,773 75	3,431 25	450 00	1 72%
BERKSHIRE HATHAWAY INC DEL CL B 084670-70-2 BRK B	118.56	200 000	23,712 00	23,169 00	543 00		
CINTAS CORP 172908-10-5 CTAS	59.59	275 000	16,387 25	14,084.41	2,302.84	211.75	1 29%
COMERICA INC 200340-10-7 CMA	47 54	425 000	20,204 50	16,762.26	3,442.24	289.00 72 25	1.43%
COVIDIEN PLC G2554F-11-3 COV	68 10	325 000	22,132 50	20,375.88	1,756.62	416.00	1 88%
DANONE SPONS ADR 23636T-10-0 DANO Y	14.52	1,300 000	18,876.00	20,249 53	(1,373.53)	319.80	1 69%
DEVON ENERGY CORP 25179M-10-3 DVN	61.87	350 000	21,654 50	20,854.75	799.75	308 00	1.42%

	Price	Quantity	Value	Adjusted Tax Cost / Original Cost	Unrealized Gain/Loss	Est Annual Inc / Accrued Div.	Yield

US Large Cap Equity

	Price	Quantity	Value	Adjusted Tax Cost / Original Cost	Unrealized Gain/Loss	Est Annual Inc / Accrued Div.	Yield
EXPEDITORS INTERNATIONAL WASHINGTON INC 302130-10-9 EXPD	44 25	375 000	16,593 75	16,723.13	(129.38)	225 00	1 36%
GLAXOSMITHKLINE PLC SPONS ADR 37733W-10-5 GSK	53.39	200 000	10,678.00	10,209 00	469 00	481.80 110 90	4 51%
ILLINOIS TOOL WORKS INC 452308-10-9 ITW	84.08	325 000	27,326 00	24,776.50	2,549 50	546 00 136 50	2 00%
MICROSOFT CORP 594918-10-4 MSFT	37 41	375 000	14,028.75	12,252.76	1,775.99	420.00	2 99%
NESTLE S A SPONS ADR REPSTG REG SH 641069-40-6 NSRG Y	73.59	250 000	18,397.50	17,687.17	710.33	454.00	2 47%
PACCAR INC 693718-10-8 PCAR	59 17	250.000	14,792 50	14,361 25	431 25	200.00 225 00	1 35%
POTASH CORP SASKATCHEWAN INC 73755L-10-7 POT	32 96	925 000	30,488.00	29,617 94	870 06	1,295 00	4 25%
SCHLUMBERGER LTD 806857-10-8 SLB	90.11	250 000	22,527 50	21,803 75	723.75	312 50 78.13	1 39%
TE CONNECTIVITY LTD H84989-10-4 TEL	55 11	300 000	16,533.00	15,754 50	778 50	300 00	1 81%
TIME WARNER INC NEW 887317-30-3 TWX	69 72	200 000	13,944 00	12,715 00	1,229 00	230 00	1 65%
UNILEVER PLC SPONS ADR 904767-70-4 UL	41.20	250 000	10,300 00	9,951.62	348 38	348 75	3 39%

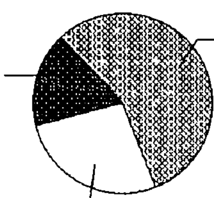
	Price	Quantity	Value	Adjusted Tax Cost / Original Cost	Unrealized Gain/Loss	Est. Annual Inc / Accrued Div	Yield
US Large Cap Equity							
UNITEDHEALTH GROUP INC 91324P-10-2 UNH	75 30	175 000	13,177.50	12,538.10	639 40	196 00	1.49%
US DOLLAR PRINCIPAL	1 00	49,631.900	49,631 90	49,631 90		14.88 1.13	0 03%
US DOLLAR INCOME	1.00	2,007.130	2,007 13	2,007.13		0 60	0 03%
WALMART STORES INC 931142-10-3 WMT	78.69	250 000	19,672.50	19,086.25	586 25	470 00 117 50	2 39%
WILLIS GROUP HOLDINGS PLC G96666-10-5 WSH	44 81	250 000	11,202.50	11,066.25	136 25	280.00 70 00	2 50%
3M CO 88579Y-10-1 MMM	140 25	200 000	28,050.00	24,243.00	3,807 00	684.00	2.44%
Total US Large Cap Equity			**$537,261.53**	**$503,748.82**	**$33,512.71**	**$9,546.08** **$811.41**	**1.78%**

Account Summary

PRINCIPAL

Asset Allocation	Beginning Market Value	Ending Market Value	Change In Value	Estimated Annual Income	Current Allocation
Equity	3,764,417 11	4,611,091 09	846,673 98	73,171 98	56%
Alternative Assets	925,682 00	2,283,586 76	1,357,904 76	16,388 61	27%
Cash & Fixed Income	1,777,986.95	1,395,861 01	(382,125 94)	51,884 11	17%
Market Value	**$6,468,086.06**	**$8,290,538.86**	**$1,822,452.80**	**$141,444.70**	**100%**

Asset Allocation



INCOME

Cash Position	Beginning Market Value	Ending Market Value	Change In Value
Cash Balance	30,010 43	65,576 04	35,565.61
Accruals	21 72	7 89	(13 83)
Market Value	**$30,032.15**	**$65,583 93**	**$35,551.78**

Account Summary CONTINUED

Portfolio Activity	PRINCIPAL Current Period Value	PRINCIPAL Year-to-Date Value	INCOME Current Period Value	INCOME Year-to-Date Value
Beginning Market Value	6,468,086.06	0.00	30,010.43	0.00
Additions	1,750,862 81	4,750,862.81		
Withdrawals & Fees		(6,265.44)		(250.00)
Securities Transferred In		3,326,257 75	--	--
Net Additions/Withdrawals	**$1,750,862.81**	**$8,070,855.12**	**$0.00**	**($250.00)**
Income	3,206 88	10,064.15	35,565.61	65,833 45
Change In Investment Value	68,383 11	209,619.59		(7.41)
Ending Market Value	**$8,290,538.86**	**$8,290,538.86**	**$65,576.04**	**$65,576.04**
Accruals	--	--	7 89	7 89
Market Value with Accruals	--	--	**$65,583.93**	**$65,583.93**

Tax Summary	Current Period Value	Year-to-Date Value
Domestic Dividends/Distributions	38,750 77	64,376.09
Interest Income	21.72	11,503.20
Ordinary Income		18.31
Taxable Income	**$38,772.49**	**$75,897.60**

	Current Period Value	Year-to-Date Value
LT Capital Gain Distributions	78,858 66	125,420.76
ST Realized Gain/Loss	1,618 13	186,681 73
Realized Gain/Loss	**$80,476.79**	**$312,102.49**

	To-Date Value
Unrealized Gain/Loss	**$174,535.55**

Account Summary CONTINUED

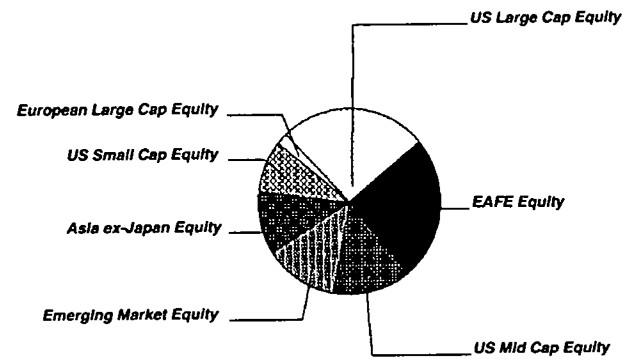
Cost Summary	Cost
Equity	3,820,837.30
Cash & Fixed Income	1,402,909 62
Total	**$5,223,746.92**

Equity Summary

Asset Categories	Beginning Market Value	Ending Market Value	Change In Value	Current Allocation
US Large Cap Equity	1,103,445 82	1,227,729 08	124,283 26	15%
US Mid Cap Equity	717,816 28	682,812 04	(35,004 24)	8%
US Small Cap Equity	384,798 90	391,070.40	6,271 50	5%
EAFE Equity	612,445.56	1,149,491.37	537,045 81	14%
European Large Cap Equity	103,248 00	105,840 00	2,592 00	1%
Asia ex-Japan Equity	495,879 69	486,183.16	(9,696 53)	6%
Emerging Market Equity	346,782 86	567,965.04	221,182 18	7%
Total Value	**$3,764,417.11**	**$4,611,091.09**	**$846,673.98**	**56%**

Market Value/Cost	Current Period Value
Market Value	4,611,091.09
Tax Cost	3,820,837 30
Unrealized Gain/Loss	221,600 16
Estimated Annual Income	73,171 98
Yield	1 58%

Asset Categories



Equity as a percentage of your portfolio - 56 %

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Note: ** Unrealized Gain/Loss is shown as "N/A" in cases where we do not have appropriate cost information for all tax lots comprising the position. Please contact your J P. Morgan team for additional information

Equity Detail

	Price	Quantity	Value	Adjusted Tax Cost / Original Cost	Unrealized Gain/Loss	Est. Annual Inc / Accrued Div.	Yield
US Large Cap Equity							
NEUBERGER BER MU/C OPP-INS 64122Q-30-9 NMUL X	15.35	16,523 463	253,635 16	250,000 00	3,635 16	1,784.53	0 70%
PARNASSUS EQTY INCOME FD-INS 701769-40-8 PRIL X	36 73	14,140 679	519,387.14	500,000 00	19,387.14	7,706 67	1 48%
SPDR S&P 500 ETF TRUST 78462F-10-3 SPY	184 69	2,462.000	454,706 78	412,859.53	41,847 25	8,250 16	1.81%
Total US Large Cap Equity			**$1,227,729.08**	**$1,162,859.53**	**$64,869.55**	**$17,741.36**	**1.44%**
US Mid Cap Equity							
ASTON/FAIRPOINTE MID CAP-I 00078H-15-8 ABMI X	44.67	15,285.696	682,812 04	680,000 00	2,812.04	932 42	0 14%
US Small Cap Equity							
ISHARES RUSSELL 2000 INDEX FUND 464287-65-5 IWM	115 36	3,390.000	391,070 40	281,535 73	109,534.67	4,793 46	1 23%

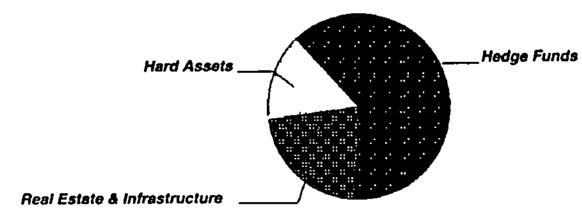
	Price	Quantity	Value	Adjusted Tax Cost / Original Cost	Unrealized Gain/Loss	Est. Annual Inc / Accrued Div	Yield
EAFE Equity							
ARTISAN INTL VALUE FUND-INV 04314H-88-1 ARTK X	36 77	11,727.324	431,213 70	30,249 57 **	N/A	10,824.32	2 51%
ISHARES MSCI EAFE INDEX FUND 464287-46-5 EFA	67.10	5,471.000	367,076 75	345,721.35	21,355 40	9,317 11	2 54%
OAKMARK INTERNATIONAL FD-I 413838-20-2 OAKI X	26.32	13,343.500	351,200.92	350,000 00	1,200 92	5,817.76	1 66%
Total EAFE Equity			**$1,149,491.37**	**$725,970.92**	**$22,556.32**	**$25,959.19**	**2.26%**
European Large Cap Equity							
VANGUARD FTSE EUROPE ETF 922042-87-4 VGK	58 80	1,800 000	105,840 00	99,288 00	6,552.00	2,932 20	2 77%
Asia ex-Japan Equity							
ISHARES MSCI ALL COUNTRY ASIA EX JAPAN INDEX FUND 464288-18-2 AAXJ	60.31	4,845 000	292,201 95	278,006.24	14,195 71	5,164 77	1.77%
MATTHEWS ASIA DIVIDEND-INS 577130-75-0 MIPI X	15.59	12,442.669	193,981 21	195,000 00	(1,018 79)	7,764 22	4 00%
Total Asia ex-Japan Equity			**$486,183.16**	**$473,006.24**	**$13,176.92**	**$12,928.99**	**2.66%**

	Price	Quantity	Value	Adjusted Tax Cost / Original Cost	Unrealized Gain/Loss	Est Annual Inc. / Accrued Div	Yield
Emerging Market Equity							
ISHARES MSCI EMERGING MARKET INDEX 464287-23-4 EEM	41 80	4,115.000	171,986 43	169,887.77	2,098 66	3,530 67	2 05%
VIRTUS EMERGING MKTS OPPOR-I 92828T-88-9 HIEM X	9 55	41,463 729	395,978 61	228,289.11 **	N/A	4,353 69	1.10%
Total Emerging Market Equity			**$567,965.04**	**$398,176.88**	**$2,098.66**	**$7,884.36**	**1.39%**

Alternative Assets Summary

Asset Categories	Beginning Estimated Value	Ending Estimated Value	Change In Value	Current Allocation
Hedge Funds	0 00	1,475,000 00	1,475,000 00	17%
Real Estate & Infrastructure	458,912.85	456,165.60	(2,747 25)	6%
Hard Assets	466,769 15	352,421.16	(114,347.99)	4%
Total Value	**$925,682.00**	**$2,283,586.76**	**$1,357,904.76**	**27%**

Asset Categories



Alternative Assets as a percentage of your portfolio - 27 %

Alternative Assets Detail

	Price	Quantity	Estimated Value	Cost
Hedge Funds				
JPM ACCESS MULTI-STRATEGY FUND II RIC ENDOWMENTS & FOUNDATIONS & OTHER - AUTOMATIC REINVESTMENT PENDING NAV N/O Client 476110-95-2	1 00 11/29/13	1,475,000 000	1,475,000 00	1,475,000 00

	Quantity/Original Commitment Amount	Cost/Net Capital Called Since Inception	Net Distributions Since Inception	Estimated Value	Est. Annual Inc / Accrued Div	Yield
Real Estate & Infrastructure						
ISHARES COHEN & STEERS REALTY MAJORS INDEX FUND 464287-56-4 ICF	6,105.00	485,767 52		456,165 60	15,537 22	3 41 %

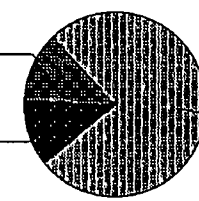
Amounts shown above under "Estimated Value" for private equity funds are estimates based on the latest fund values received from each underlying fund, which value may be as of a date (underlying fund value date) prior to the period covered by this statement. The values provided by the underlying fund have been adjusted for any cash flows between your account and such fund that have occurred subsequent to the underlying fund value date to derive the "Estimated Value" Therefore, such "Estimated Value" may not reflect the value of your interest shown on any fund's actual books and records as of the date of this statement For additional information, please contact your J P. Morgan representative.
For private equity funds, Estimated Values are based on estimates provided by the underlying funds that are generally presented on a US GAAP basis, which records investments at fair value, or "marked-to-market". Most of these underlying funds also present their audited financial statements on a US GAAP basis (i e , "marked-to-market"). However, some of these underlying funds present their audited financial statements using the Income Tax Basis of Accounting, which records investments "at cost" based on the accrual basis of accounting for Federal income taxes. Where the underlying fund provides periodic estimates on a "marked-to-market" basis but reflects investments "at cost" in its audited financial statements, the marked-to-market Estimated Value shown herein for a private equity fund may be materially different from the value reflected on such fund's audited financial statements (which are also based on the audited financial statements of the underlying fund).

	Price	Quantity	Estimated Value	Cost	Est Annual Income / Accrued Income
Hard Assets					
PIMCO COMMODITYPL STRAT-P 72201P-16-7 PCLP X	10 67	25,041 151	267,189 08	268,941 96	851 39
SPDR GOLD TRUST 78463V-10-7 GLD	116 12	734 000	85,232 08	93,893 28	
Total Hard Assets			**$352,421.16**	**$362,835.24**	**$851.39**

Cash & Fixed Income Summary

Asset Categories	Beginning Market Value	Ending Market Value	Change In Value	Current Allocation
Cash	923,418 48	127,909 62	(795,508 86)	2%
US Fixed Income	660,611.25	1,072,951 39	412,340 14	13%
Foreign Exchange & Non-USD Fixed Income	193,957.22	195,000 00	1,042.78	2%
Total Value	**$1,777,986.95**	**$1,395,861.01**	**($382,125.94)**	**17%**

Asset Categories



Cash & Fixed Income as a percentage of your portfolio - 17 %

Market Value/Cost	Current Period Value
Market Value	1,395,861.01
Tax Cost	1,402,909.62
Unrealized Gain/Loss	(7,048 61)
Estimated Annual Income	51,884 11
Accrued Interest	7 89
Yield	3.71 %

SUMMARY BY MATURITY

Cash & Fixed Income	Market Value	% of Bond Portfolio
0-6 months[1]	1,395,861 01	100%

[1] The years indicate the number of years until the bond is scheduled to mature based on the statement end date. Some bonds may be called, or paid in full, before their stated maturity

SUMMARY BY TYPE

Cash & Fixed Income	Market Value	% of Bond Portfolio
Cash	127,909 62	9%
Mutual Funds	1,267,951.39	91%
Total Value	**$1,395,861.01**	**100%**

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Note: [1] This is the Annual Percentage Yield (APY) which is the rate earned if balances remain on deposit for a full year with compounding, there is no change in the interest rate and all interest is left in the account

Cash & Fixed Income Detail

	Price	Quantity	Value	Adjusted Tax Cost / Original Cost	Unrealized Gain/Loss	Est. Annual Income / Accrued Interest	Yield
Cash							
US DOLLAR PRINCIPAL	1 00	127,909 62	127,909 62	127,909.62		38 37 7 89	0.03% [1]
US Fixed Income							
HARBOR HIGH YIELD BOND-INST 411511-55-3	10.81	23,324.04	252,132 86	260,000 00	(7,867.14)	14,600.84	5.79%
DOUBLELINE TOTAL RET BD-I 258620-10-3	10.78	25,298 99	272,723 09	275,000 00	(2,276 91)	14,091.53	5.17%
PIMCO FDS LOW DRTN III P 72201W-82-4	9 83	29,175 68	286,796 89	285,000.00	1,796 89	4,580 58	1 60%
RIDGEWORTH SEIX FLOATING-I 76628T-67-8	9 06	28,840.90	261,298 55	260,000.00	1,298 55	10,930.70	4.18%
Total US Fixed Income			**$1,072,951.39**	**$1,080,000.00**	**($7,048.61)**	**$44,203.65**	**4.12%**
Foreign Exchange & Non-USD Fixed Income							
TEMPLETON GLOBAL BOND FD-AD 880208-40-0	13.09	14,896.87	195,000 00	195,000 00		7,642 09	3 92%