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 , and ending**

Name of foundation
WALTER & FRANCES GREEN CHARITABLE TRUST
C/O DAN LEIKVOLD

**A Employer identification number**
46-6096446

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

**B** Telephone number
605-394-3896

City or town, state or province, country, and ZIP or foreign postal code
LEAD, SD 57754

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

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

**D 1.** Foreign organizations, check here ▶ ☐

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

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

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

**I** Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶$ 1,324,421.

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

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

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

| | | | (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 | | | N/A | |
| | 2 | Check ▶ ☒ if the foundation is not required to attach Sch B | | | | |
| | 3 | Interest on savings and temporary cash investments | | | | |
| | 4 | Dividends and interest from securities | 36,066. | 36,066. | | STATEMENT 1 |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 46,878. | | | |
| | b | Gross sales price for all assets on line 6a 607,351. | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 46,878. | | |
| | 8 | Net short-term capital gain | | | | |
| | 9 | Income modifications | | | | |
| | 10a | Gross sales less returns and allowances | | | | |
| | b | Less Cost of goods sold | | | | |
| | c | Gross profit or (loss) | | | | |
| | 11 | Other income | 37. | 37. | | STATEMENT 2 |
| | 12 | Total. Add lines 1 through 11 | 82,981. | 82,981. | | |
| Operating and Administrative Expenses | 13 | Compensation of officers, directors, trustees, etc | 13,031. | 13,031. | | 0. |
| | 14 | Other employee salaries and wages | | | | |
| | 15 | Pension plans, employee benefits | | | | |
| | 16a | Legal fees STMT 3 | 2,730. | 2,730. | | 0. |
| | b | Accounting fees STMT 4 | 1,052. | 1,052. | | 0. |
| | c | Other professional fees | | | | |
| | 17 | Interest | | | | |
| | 18 | Taxes | | | | |
| | 19 | Depreciation and depletion | | | | |
| | 20 | Occupancy | | | | |
| | 21 | Travel, conferences, and meetings | | | | |
| | 22 | Printing and publications | | | | |
| | 23 | Other expenses | | | | |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 16,813. | 16,813. | | 0. |
| | 25 | Contributions, gifts, grants paid | 57,850. | | | 57,850. |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 74,663. | 16,813. | | 57,850. |
| | 27 | Subtract line 26 from line 12: | | | | |
| | a | Excess of revenue over expenses and disbursements | 8,318. | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 66,168. | | |
| | c | **Adjusted net income** (if negative, enter -0-) | | | N/A | |

323501
10-10-13 LHA **For Paperwork Reduction Act Notice, see instructions.**

8

WALTER & FRANCES GREEN CHARITABLE TRUST
C/O DAN LEIKVOLD 46-6096446

## Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only

| | | | Beginning of year | End of year | |
|---|---|---|---|---|---|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash - non-interest-bearing | 693. | 2,733. | 2,733. |
| | 2 | Savings and temporary cash investments | 37,586. | 56,306. | 56,306. |
| | 3 | Accounts receivable ▶<br>Less: allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶<br>Less: allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 | Other notes and loans receivable ▶<br>Less: allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments - U.S. and state government obligations STMT 5 | 130,865. | 75,743. | 75,025. |
| | b | Investments - corporate stock STMT 6 | 564,780. | 504,483. | 662,572. |
| | c | Investments - corporate bonds STMT 7 | 414,394. | 520,008. | 527,785. |
| | 11 | Investments - land, buildings, and equipment basis ▶<br>Less accumulated depreciation ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other | | | |
| | 14 | Land, buildings, and equipment: basis ▶<br>Less accumulated depreciation ▶ | | | |
| | 15 | Other assets (describe ▶ ) | | | |
| | 16 | **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item 1) | 1,148,318. | 1,159,273. | 1,324,421. |
| 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 | | | |
| | 22 | Other liabilities (describe ▶ ) | | | |
| | 23 | **Total liabilities** (add lines 17 through 22) | 0. | 0. | |
| 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 | 1,324,087. | 1,324,087. | |
| | 28 | Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | -175,769. | -164,814. | |
| | 30 | **Total net assets or fund balances** | 1,148,318. | 1,159,273. | |
| | 31 | **Total liabilities and net assets/fund balances** | 1,148,318. | 1,159,273. | |

## Part III Analysis of Changes in Net Assets or Fund Balances

| | | | |
|---|---|---|---|
| 1 | Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 1,148,318. |
| 2 | Enter amount from Part I, line 27a | 2 | 8,318. |
| 3 | Other increases not included in line 2 (itemize) ▶ RETURNED SCHOLARSHIPS | 3 | 3,000. |
| 4 | Add lines 1, 2, and 3 | 4 | 1,159,636. |
| 5 | Decreases not included in line 2 (itemize) ▶ COST BASIS ADJ | 5 | 363. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 1,159,273. |

## 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 | SEE ATTACHED SCHEDULE | P | 03/11/13 | 10/17/13 |
| b | SEE ATTACHED SCHEDULE | P | 05/03/10 | 10/17/13 |
| c | CAPITAL GAINS DIVIDENDS | | | |
| d | | | | |
| e | | | | |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 184,634. | | 173,566. | 11,068. |
| b | 410,958. | | 386,907. | 24,051. |
| c | 11,759. | | | 11,759. |
| d | | | | |
| e | | | | |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 11,068. |
| b | | | | 24,051. |
| c | | | | 11,759. |
| d | | | | |
| e | | | | |

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 } | 2 | 46,878. |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):<br>If gain, also enter in Part I, line 8, column (c).<br>If (loss), enter -0- in Part I, line 8 | 3 | N/A |

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col. (b) divided by col. (c)) |
|---|---|---|---|
| 2012 | 74,398. | 1,266,974. | .058721 |
| 2011 | 62,805. | 1,311,713. | .047880 |
| 2010 | 50,876. | 1,278,768. | .039785 |
| 2009 | 58,025. | 1,165,925. | .049767 |
| 2008 | 70,532. | 1,344,004. | .052479 |

| | | | |
|---|---|---|---|
| 2 | Total of line 1, column (d) | 2 | .248632 |
| 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 | .049726 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | 4 | 1,291,182. |
| 5 | Multiply line 4 by line 3 | 5 | 64,205. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 662. |
| 7 | Add lines 5 and 6 | 7 | 64,867. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 57,850. |

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.<br>Date of ruling or determination letter: ______ **(attach copy of letter if necessary-see instructions)** | | | | |
| **b** Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b | | | 1 | 1,323. |
| **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 | 0. |
| **3** Add lines 1 and 2 | | | 3 | 1,323. |
| **4** Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | 4 | 0. |
| **5** **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | | | 5 | 1,323. |
| **6** Credits/Payments: | | | | |
| **a** 2013 estimated tax payments and 2012 overpayment credited to 2013 | 6a | 577. | | |
| **b** Exempt foreign organizations - tax withheld at source | 6b | | | |
| **c** Tax paid with application for extension of time to file (Form 8868) | 6c | | | |
| **d** Backup withholding erroneously withheld | 6d | | | |
| **7** Total credits and payments. Add lines 6a through 6d | | | 7 | 577. |
| **8** Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached | | | 8 | |
| **9** **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | | 9 | 746. |
| **10** **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | | 10 | |
| **11** Enter the amount of line 10 to be: **Credited to 2014 estimated tax** ▶ | **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)?<br>*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* | 1b | | X |
| **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:<br>(1) On the foundation. ▶ $ 0. (2) On foundation managers. ▶ $ 0. | | | |
| **e** Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0. | | | |
| **2** Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>*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? N/A | 4b | | |
| **5** Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>*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:<br>• By language in the governing instrument, or<br>• 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) ▶<br>SD | | | |
| **b** If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| **9** Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| **10** Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

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

| | | | |
|---|---|---|---|
| 11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | X |
| 13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ WELLS FARGO SD NA-PRIV CLIENT SERV Telephone no. ▶605-394-3896

Located at ▶825 ST. JOSEPH STREET, RAPID CITY, SD ZIP+4 ▶57701

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 N/A

| | | 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

| | | Yes | No |
|---|---|---|---|
| **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | | |
| 1a During the year did the foundation (either directly or indirectly): | | | |
| (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No | | | |
| (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No | | | |
| (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No | | | |
| (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☒ Yes ☐ No | | | |
| (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No | | | |
| (6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No | | | |
| b If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? | 1b | | X |
| 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.) N/A | 2b | | |
| c If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ , , , | | | |
| 3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No | | | |
| b If "Yes," did it have excess business holdings in 2013 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)* N/A | 3b | | |
| 4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013? | 4b | | X |

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☒ Yes ☐ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? **5b** No: X

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No

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

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** No: X

*If "Yes" to 6b, file Form 8870*

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A **7b**

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| SEE STATEMENT 8 | | 13,031. | 0. | 0. |
| | | | | |
| | | | | |
| | | | | |

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

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

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

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

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

| **(a)** Name and address of each person paid more than $50,000 | **(b)** Type of service | **(c)** Compensation |
|---|---|---|
| NONE | | |
| | | |
| | | |
| | | |
| | | |

**Total** number of others receiving over $50,000 for professional services ▶ 0

## Part IX-A Summary of Direct Charitable Activities

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

## Part IX-B Summary of Program-Related Investments

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments. See instructions.<br>3 | |
| **Total.** Add lines 1 through 3 ▶ | 0. |

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

| | | | | |
|---|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | | |
| a | Average monthly fair market value of securities | | 1a | 1,310,845. |
| b | Average of monthly cash balances | | 1b | |
| c | Fair market value of all other assets | | 1c | |
| d | **Total** (add lines 1a, b, and c) | | 1d | 1,310,845. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) | 1e 0. | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | | 2 | 0. |
| 3 | Subtract line 2 from line 1d | | 3 | 1,310,845. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | | 4 | 19,663. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | | 5 | 1,291,182. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | | 6 | 64,559. |

## 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 | 64,559. |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a 1,323. | | |
| b | Income tax for 2013. (This does not include the tax from Part VI.) | 2b | | |
| c | Add lines 2a and 2b | | 2c | 1,323. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | 3 | 63,236. |
| 4 | Recoveries of amounts treated as qualifying distributions | | 4 | 0. |
| 5 | Add lines 3 and 4 | | 5 | 63,236. |
| 6 | Deduction from distributable amount (see instructions) | | 6 | 0. |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | | 7 | 63,236. |

## 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 | 57,850. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 57,850. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b | 5 | 0. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 57,850. |

**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)<br>Corpus | (b)<br>Years prior to 2012 | (c)<br>2012 | (d)<br>2013 |
|---|---|---|---|---|---|
| 1 Distributable amount for 2013 from Part XI, line 7 | | | | | 63,236. |
| 2 Undistributed income, if any, as of the end of 2013 | | | | | |
| a Enter amount for 2012 only | | | | 0. | |
| b Total for prior years: _____, _____, _____ | | | 0. | | |
| 3 Excess distributions carryover, if any, to 2013: | | | | | |
| a From 2008 | | | | | |
| b From 2009 | | | | | |
| c From 2010 | | | | | |
| d From 2011 | | | | | |
| e From 2012 | 1,309. | | | | |
| f **Total** of lines 3a through e | | 1,309. | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4: ▶ $ | 57,850. | | | | |
| a Applied to 2012, but not more than line 2a | | | | 0. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | | 0. | | | |
| d Applied to 2013 distributable amount | | | | | 57,850. |
| e Remaining amount distributed out of corpus | | 0. | | | |
| 5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).) | | 1,309. | | | 1,309. |
| 6 **Enter the net total of each column as indicated below:** | | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | | 0. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | | 0. | | |
| e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr. | | | | 0. | |
| f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014 | | | | | 4,077. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) | | 0. | | | |
| 8 Excess distributions carryover from 2008 not applied on line 5 or line 7 | | 0. | | | |
| 9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a | | 0. | | | |
| 10 Analysis of line 9: | | | | | |
| a Excess from 2009 | | | | | |
| b Excess from 2010 | | | | | |
| c Excess from 2011 | | | | | |
| d Excess from 2012 | | | | | |
| e Excess from 2013 | | | | | |

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

1 a 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 |
| 2 a 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:<br>a "Assets" alternative test - enter:<br>(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:<br>(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).)

NONE

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

NONE

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

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

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

GREEN SCHOLARSHIP COMMITTEE
320 S. MAIN, LEAD, SD 57754

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

SEE ATTACHED APPLICATION FORM

c Any submission deadlines:

NONE

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

LIMITED TO HIGH SCHOOL SENIORS GRADUATING FROM LEAD/DEADWOOD HIGH SCHOOL IN LEAD, SD.

**Part XV Supplementary Information** (continued)

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

| Recipient<br>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* | | | | |
| ADAMS MUSEUM E HOUSE<br>22 VAN BUREN STREET<br>DEADWOOD, SD 57732 | NONE | 501(C)(3) | ARTS EDUCATION | 2,500. |
| FIRST STEP CHILD CARE<br>753 MAIN STREET<br>DEADWOOD, SD 57732 | NONE | 501(C)(3) | CHILD CARE | 1,200. |
| HANDLEY RECREATIONAL CENTER<br>845 MINERS AVE<br>LEAD, SD 57754 | NONE | 501(C)(3) | PHYSICAL EDUCATION | 500. |
| JUNIOR ACHIEVEMENT<br>1000 N. WEST AVE #10<br>SIOUX FALLS, SD 57104 | NONE | 501(C)(3) | YOUTH PROGRAM | 1,000. |
| JUVENILE DIVERSION TRUANCY PROGRAM<br>300 KANSAS CITY ST<br>RAPID CITY, SD 57701 | NONE | 501(C)(3) | EDUCATION | 500. |
| **Total** SEE CONTINUATION SHEET(S) | | | ▶ 3a | 57,850. |
| b *Approved for future payment*<br>NONE | | | | |
| | | | | |
| | | | | |
| **Total** | | | ▶ 3b | 0. |

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

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | | | |
| 4 Dividends and interest from securities | | | 14 | 36,066. | |
| 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 | | | 15 | 37. | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 46,878. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | 0. | | 82,981. | 0. |

13 **Total.** Add line 12, columns (b), (d), and (e) 13 82,981.

(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). |
|---|---|
| | N/A |

## 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 |
|---|---|---|---|
| | | N/A | |

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

b If "Yes," complete the following schedule.

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

**Sign Here**

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: 11/12/14

Title: OFFICER

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| LORI LARSON, CPA | Lori Larson CPA | 10/28/14 | | P00745018 |

Firm's name ▶ CASEY PETERSON & ASSOC

Firm's EIN ▶ 46-0403496

Firm's address ▶ 909 ST JOSEPH ST SUITE 101
RAPID CITY, SD 57701

Phone no. (605)348-1930

WALTER & FRANCES GREEN CHARITABLE TRUST
C/O DAN LEIKVOLD 46-6096446

**Part XV** **Supplementary Information**

**3 Grants and Contributions Paid During the Year (Continuation)**

| Recipient<br>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 |
|---|---|---|---|---|
| LEAD-DEADWOOD ARTS CENTER<br>309 W. MAIN<br>LEAD, SD 57754 | NONE | 501(C)(3) | ARTS EDUCATION | 1,500. |
| LEAD-DEADWOOD WELLNESS DAY<br>309 W. MAIN<br>LEAD, SD 57754 | NONE | 501(C)(3) | WELLNESS PROGRAM | 2,500. |
| OUTLAW RANCH<br>12703 OUTLAW RANCH ROAD<br>CUSTER, SD 57730 | NONE | 501(C)(3) | FAITH EDUCATION AND DEVELOPMENT | 2,500. |
| SCHOLARSHIPS - SEE ATTACHED SCHEDULE<br>VARIES<br>LEAD, SD 57754 | NONE | N/A | COLLEGE EDUCATION | 37,000. |
| BLACK HILLS STATE UNIVERSITY<br>1200 UNIVERSITY BLVD<br>SPEARFISH, SD 57799 | | 501(C)(3) | HIGH SCHOOL DUAL ENROLLMENT | 2,500. |
| LEAD-DEADWOOD MIDDLE SCHOOL<br>234 S MAIN ST.<br>LEAD, SD 57754 | | 501(C)(3) | EDUCATION | 2,650. |
| LEAD-DEADWOOD HIGH SCHOOL<br>320 S MAIN ST.<br>LEAD, SD 57754 | | 501(C)(3) | EDUCATION | 3,500. |
| | | | | |
| | | | | |
| | | | | |
| **Total from continuation sheets** | | | | 52,150. |

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | (A) REVENUE PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME |
|---|---|---|---|---|---|
| WELLS FARGO BANK SOUTH DAKOTA NA - DIVIDENDS | 47,825. | 11,759. | 36,066. | 36,066. | |
| TO PART I, LINE 4 | 47,825. | 11,759. | 36,066. | 36,066. | |

## FORM 990-PF OTHER INCOME STATEMENT 2

| DESCRIPTION | (A) REVENUE PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME |
|---|---|---|---|
| ROYALTIES | 22. | 22. | |
| ROYALTIES | 15. | 15. | |
| TOTAL TO FORM 990-PF, PART I, LINE 11 | 37. | 37. | |

## FORM 990-PF LEGAL FEES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| LEGAL FEES | 2,730. | 2,730. | | 0. |
| TO FM 990-PF, PG 1, LN 16A | 2,730. | 2,730. | | 0. |

## FORM 990-PF ACCOUNTING FEES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| ANNUAL TAX RETURN PREPARATION | 1,052. | 1,052. | | 0. |
| TO FORM 990-PF, PG 1, LN 16B | 1,052. | 1,052. | | 0. |

## FORM 990-PF U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS STATEMENT 5

| DESCRIPTION | U.S. GOV'T | OTHER GOV'T | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|---|
| SEE ATTACHMENT | X | | 75,743. | 75,025. |
| TOTAL U.S. GOVERNMENT OBLIGATIONS | | | 75,743. | 75,025. |
| TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS | | | | |
| TOTAL TO FORM 990-PF, PART II, LINE 10A | | | 75,743. | 75,025. |

## FORM 990-PF CORPORATE STOCK STATEMENT 6

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| SEE ATTACHMENT | 504,483. | 662,572. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 504,483. | 662,572. |

## FORM 990-PF CORPORATE BONDS STATEMENT 7

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| SEE ATTACHMENT | 520,008. | 527,785. |
| TOTAL TO FORM 990-PF, PART II, LINE 10C | 520,008. | 527,785. |

FORM 990-PF

## PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS

STATEMENT 8

| NAME AND ADDRESS | TITLE AND AVRG HRS/WK | COMPEN-SATION | EMPLOYEE BEN PLAN CONTRIB | EXPENSE ACCOUNT |
|---|---|---|---|---|
| DR. DAN LEIKVOLD<br>LEAD-DEADWOOD SCHOOL DISTRICT<br>40-1, 320 SOUTH MAIN ST.<br>DEADWOOD, SD 57732 | BOARD MEMBER<br>0.42 | 0. | 0. | 0. |
| ORSON WARD<br>411 PEAK STREET<br>LEAD, SD 57754 | BOARD MEMBER<br>0.42 | 0. | 0. | 0. |
| CHUCK TURBIVILLE<br>458 WILLIAMS<br>DEADWOOD, SD 57732 | BOARD MEMBER<br>0.42 | 0. | 0. | 0. |
| TERI ADLER<br>17 SELBIE<br>DEADWOOD, SD 57732 | BOARD MEMBER<br>0.42 | 0. | 0. | 0. |
| JERRY APA<br>137 GRAND AVENUE<br>LEAD, SD 57754 | BOARD MEMBER<br>0.42 | 0. | 0. | 0. |
| WELLS FARGO SD NA-PRIV CLIENT SERVICE<br>PO BOX 1040<br>RAPID CITY, SD 57709 | TRUSTEE<br>0.42 | 13,031. | 0. | 0. |
| TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII | | 13,031. | 0. | 0. |

## 2013 Frances & Walter Green Recipients

| NAME | SS# | AMOUNT | SCHOOL |
|---|---|---|---|
| Dakotah Simpson | 522-95-4107 | $4,000 | South Dakota School of Mines & Technology<br>Office of Financial Aid<br>501 E St. Joseph<br>Rapid City, SD 57701-3995 |
| Sarah Shoop | 503-25-4868 | $3,000 | Black Hills State University<br>Office of Financial Aid<br>1200 University<br>Spearfish, SD 57799-9502 |
| Shelby Stagner | 503-25-2186 | $3,000 | Dickinson State University<br>Office of Financial Aid<br>291 Campus Dr. Box 173<br>Dickinson, ND 58601 |
| Garrett Mack | 503-25-6659 | $3,000 | South Dakota School of Mines & Technology<br>Office of Financial Aid<br>501 E St. Joseph<br>Rapid City, SD 57701-3995 |
| Gabe Dirksen | 503-25-4340 | $3,000 | Dakota Wesleyan University<br>Office of Financial Aid<br>1200 W University Ave.<br>Mitchell, SD 57301-4398 |
| Seth Kuchenbecker | 280-98-4345 | $3,000 | University of Wyoming<br>Office of Financial Aid<br>1000 E University<br>Laramie, WY 82071 |
| Genae Messner | 503-25-5001 | $2,000 | South Dakota State University<br>Office of Financial Aid<br>Box 2201<br>Brookings, SD 57007-0649 |
| Jacque Bratcher | 503-25-7004 | $2,000 | Northern State University<br>Office of Financial Aid<br>1200 S Jay<br>Aberdeen, SD 57401-7198 |
| Samantha Gregory | 504-25-0992 | $2,000 | Black Hills State University<br>Office of Financial Aid<br>1200 University<br>Spearfish, SD 57799-9502 |

| | | | |
|---|---|---|---|
| Blake Bauer | 503-25-6435 | 2,000 | South Dakota School of Mines & Technology<br>Office of Financial Aid<br>501 E. St. Joseph<br>Rapid City ,57701-3995 |
| Mikayla Gallagher | 503-25-8007 | $2,000 | Chadron State University<br>Office of Financial Aid<br>1000 Main<br>Chadron, NE 69337 |
| Patrick Brick | 503-25-7626 | $2,000 | Black Hills State University<br>Office of Financial Aid<br>1200 University<br>Spearfish, SD 57799-9502 |
| Derek Morrison | 504-25-0151 | $2,000 | South Dakota School of Mines & Technology<br>Office of Financial Aid<br>501 E St. Joseph<br>Rapid City, SD 57701-3995 |
| Daryon Baumberger | 504-25-1551 | $2,000 | Central Wyoming College<br>Office of Financial Aid<br>2660 Peck Ave<br>Riverton, WY 82501 |
| Ashley Kjellsen | 503-25-5085 | $2,000 | Alvin Community College<br>Office of Financial Aid<br>3110 Mustang RD<br>Alvin, TX 77511 |

# The Frances & Walter Green Scholarship

*Established 1995*

**Walter and Frances Green loved their community, its people and children; so, through a monetary endowment enacted by these two benefactors, a perpetual benevolent fund has been created to serve and help young people realize their goals.**

---

To Students:

This scholarship is available to all Lead-Deadwood High School Seniors planning to attend a vocational/technical school or a college. Twenty-two scholarships will be awarded in varying amounts. The selection committee will judge students' applications based on ACT scores, GPA curriculum, extra-curricular activities and special awards or work activities. There will be two applications, one for vocational students and one for college bound students. The judges will consider vocational and college applications separately. Thank you for applying for this scholarship.

Green Scholarship Committee

## Application for College Bound Students

Name ________________________________ Grade _______________

Class rank ____________________________ GPA _______________

ACT: English ____ Math ____ Reading ___ Sci. Reas. ____ Composite ____

Please provide the following:

1) List of extra-curricular activities

2) Outline of special awards

3) Copy of high school transcript

4) Essay of 100-150 words covering:
   a) Future educational plans and career goals
   b) Why you want to be considered for this scholarship

WELLS FARGO

P.O. BOX 2999
MINNEAPOLIS, MN 55402

UZUZ

DC5BE1DOAO 000157

DR. DAN LEIKVOLD
LEAD-DEADWOOD SCHOOL DISTRICT 40-1
320 SOUTH MAIN STREET
LEAD SD 57754

WALTER & FRANCES GREEN
CHARITABLE TRUST
NONPROFIT SERVICE AGREEMENT

## Gifting in a Changing Tax Landscape

Making a large financial gift - whether to a family member or to an established charity - is probably not a decision you take lightly. Many factors can go into your assessment; the need of the recipient, alignment with your personal values, and of course, how it might impact your tax situation.

With the 2012 changes enacted by Congress, what you gift and when you gift can require a more detailed analysis than in the past. The taxable basis, expected return, and lost opportunity costs all play a role. Recently we published "Gifting in a Changing Tax Landscape: Do Taxable Gifts Still Make Financial Sense?" to inform your decision making. You'll find it along with other timely publications, podcasts, and webcasts at wealthmanagementinsights.com

Period Covered: January 1, 2013 - December 31, 2013

Account Number

Total Account Value **$1,324,420.87**

WELLS FARGO BANK, N.A.
ACCOUNT STATEMENT FOR:
GREEN, WALTER & FRANCES CHARI TR NSA

## RELATIONSHIP TEAM

| | |
|---|---|
| Darrick J Brooks, Relationship Manager | (605) 394-3807<br>darrickj brooks@wellsfargo.com |
| Client Service | (800) 352-3705 |

## TABLE OF CONTENTS

Account Statement For:
GREEN, WALTER & FRANCES CHARI TR NSA

Period Covered: January 1, 2013 - December 31, 2013

Account Number

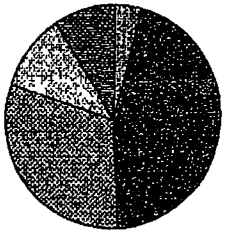
## ACCOUNT SUMMARY

| | ACCOUNT VALUE AS OF 12/31/13 |
|---|---|
| Cash & Equivalents | $59,038.61 |
| Fixed Income | 602,809.90 |
| Equities | 406,947.45 |
| Complementary Strategies | 142,449.63 |
| Real Assets | 113,175.28 |
| Miscellaneous | 0.00 |
| **Total Assets** | **$1,324,420.87** |
| **ACCOUNT VALUE** | **$1,324,420.87** |
| | |
| **Accrued Income** | **$3,941.50** |
| **Account Value and Accrued Income** | **$1,328,362.37** |

Values reflected for publicly-traded assets are derived from unaffiliated financial industry sources believed to be reliable Values for non-publicly traded assets are derived using external sources and may be based on estimates. Assets for which a current value is unavailable from an external source may be valued at the last reported price, at par, or may be shown as having nominal or no value Reported values may not reflect the price at which an asset may be sold Asset values are updated as they become available from external sources, and may be updated less frequently than statements are generated. Although asset values are obtained from sources deemed reliable, values should only be used for reference. Values indicated should not be used to calculate gain/loss ratios or for tax preparation purposes.

## ASSET ALLOCATION

| | % ALLOCATION | |
|---|---|---|
| Cash & Equivalents | 4.46% | ▨ |
| Fixed Income | 45.51 | ■ |
| Equities | 30.73 | ▨ |
| Complementary Strategies | 10.76 | ▨ |
| Real Assets | 8.55 | ▦ |
| Miscellaneous | 0.00 | □ |
| **Total Assets** | **100%** | |



Percentages may not be exact due to rounding.
Amounts less than 50 are not displayed on graphs.

**This account is being managed to achieve an investment objective with an emphasis on the production of current income with some consideration for capital appreciation. If you feel that circumstances warrant a change in this objective, please contact your account officer or investment officer.**

## Market Insights and Research

**A generational shift is underway in the globalized world of investing. Learn how the changes taking place in the global investment landscape may offer investor opportunities. Join us on the Wealth Management Insights Center for online insights on the financial markets, global economy, and research from our senior investment strategists. Listen, read or watch our valuable perspectives on wealth management issues and topics that may affect your financial plans. Visit wealthmanagementinsights.com to get the latest market insights from anywhere.**

Account Statement For:
GREEN, WALTER & FRANCES CHARI TR NSA

Period Covered January 1, 2013 - December 31, 2013

Account Number

## ACCOUNT VALUE CHANGE

| | THIS PERIOD | YEAR TO DATE |
|---|---|---|
| **Beginning Account Value** | **$1,286,883.13** | **$1,286,883.13** |
| Cash Receipts | 53,111.61 | 53,111.61 |
| Cash Disbursements | - 63,883.38 | - 63,883.38 |
| Assets Received | 18,696.22 | 18,696.22 |
| Assets Disbursed | - 18,696.22 | - 18,696.22 |
| Miscellaneous | 0.00 | 0.00 |
| Fees | - 13,030.73 | - 13,030.73 |
| Change in Value | 61,340.24 | 61,340.24 |
| **Ending Account Value** | **$1,324,420.87** | **$1,324,420.87** |

## REALIZED GAIN/LOSS SUMMARY

| | SHORT TERM | LONG TERM |
|---|---|---|
| This Period | $11,067.64 | $24,051.00 |
| Year to Date | $11,067.64 | $24,051.00 |

Gain/Loss information is un-audited and should not be used for tax preparation, estate and/or retirement planning purposes

## CASH SUMMARY

| | PRINCIPAL CASH | INCOME CASH |
|---|---|---|
| **Beginning Balance** | **$0.00** | **$693.03** |
| Purchases | - 551,030.46 | 0.00 |
| Sales | 595,592.27 | 0.00 |
| Cash Receipts | 17,045.21 | 36,066.40 |
| Cash Disbursements | - 59,333.38 | - 4,550.00 |
| Cash Sweep Activity | - 14,107.34 | - 4,612.05 |
| Miscellaneous | 0.00 | 0.00 |
| Transfers Within Account | 12,800.00 | - 12,800.00 |
| Wells Fargo Bank Fees | 0.00 | - 13,030.73 |
| **Ending Balance** | **$966.30** | **$1,766.65** |

## INCOME SUMMARY

| | THIS PERIOD | YEAR TO DATE |
|---|---|---|
| **Taxable** | | |
| Interest | $12,650.19 | $12,650.19 |
| Dividends | 23,416.21 | 23,416.21 |
| Real Assets | 0.00 | 0.00 |
| Other | 0.00 | 0.00 |
| **Total Taxable** | **$36,066.40** | **$36,066.40** |
| **Tax Exempt** | | |
| Interest | $0.00 | $0.00 |
| Dividends | 0.00 | 0.00 |
| Real Assets | 0.00 | 0.00 |
| Other | 0.00 | 0.00 |
| **Total Tax Exempt** | **$0.00** | **$0.00** |
| **TOTAL INCOME** | **$36,066.40** | **$36,066.40** |

The tax classification of income in this statement was obtained from a third party provider and may not represent the final classification of character as determined for federal or state income tax purposes. Please refer to your year-end tax information (if applicable) or your tax advisor for proper tax classification

## ASSET SUMMARY

| | ACCOUNT VALUE AS OF 12/31/13 | % OF ASSETS | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ACCRUED INCOME |
|---|---|---|---|---|---|
| **Cash & Equivalents** | | | | | |
| Cash | $2,732.95 | 0.21% | $0.00 | $0.00 | $0.00 |
| Money Market | 56,305.66 | 4.25 | 0.00 | $5.64 | $0.42 |
| **Total Cash & Equivalents** | **$59,038.61** | **4.46%** | **$0.00** | **$5.64** | **$0.42** |
| **Fixed Income** | | | | | |
| Government Obligations | $75,024.75 | 5.66% | - $717 75 | $1,875.00 | $906.25 |
| Corporate Obligations | 136,675.75 | 10.32 | 13,872.50 | 6,875.00 | 2,238.19 |
| Domestic Mutual Funds | 212,577.73 | 16.05 | - 67.06 | 7,979.00 | 12.70 |
| International Mutual Funds | 178,531.67 | 13.48 | - 6,028.11 | 4,190.28 | 0.00 |
| **Total Fixed Income** | **$602,809.90** | **45.51%** | **$7,059.58** | **$20,919.28** | **$3,157.14** |
| **Equities** | | | | | |
| Domestic Mutual Funds | $273,702.39 | 20.67% | $98,501.34 | $1,865.10 | $0.00 |
| International Mutual Funds | 133,245.06 | 10.06 | 37,680.68 | 2,213.13 | 0.00 |
| **Total Equities** | **$406,947.45** | **30.73%** | **$136,182.02** | **$4,078.23** | **$0.00** |
| **Complementary Strategies** | | | | | |
| Other | $142,449.63 | 10.76% | - $186.76 | $2,588.84 | $0.00 |
| **Total Complementary Strategies** | **$142,449.63** | **10.76%** | **- $186.76** | **$2,588.84** | **$0.00** |

## ASSET SUMMARY *(continued)*

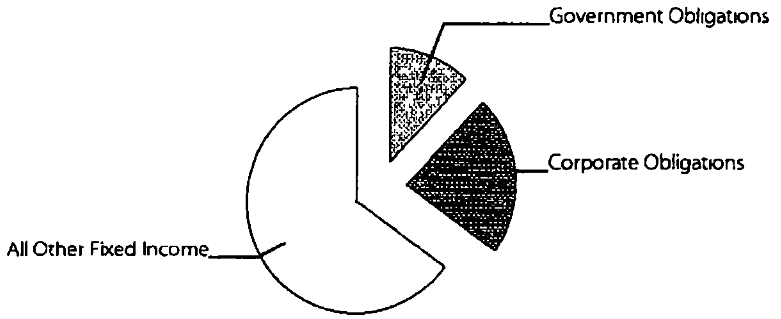
| | ACCOUNT VALUE AS OF 12/31/13 | % OF ASSETS | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ACCRUED INCOME |
|---|---|---|---|---|---|
| **Real Assets** | | | | | |
| Real Asset Funds | $113,175 28 | 8 55% | $22,094.03 | $3,320.52 | $783.94 |
| **Total Real Assets** | **$113,175.28** | **8.55%** | **$22,094.03** | **$3,320.52** | **$783.94** |
| **TOTAL ASSETS** | **$1,324,420.87** | **100%** | **$165,148.87** | **$30,912.51** | **$3,941.50** |
| **TOTAL INCOME** | **$12,422.37** | | | | |
| **TOTAL PRINCIPAL** | **$1,311,998.50** | | | | |

## FIXED INCOME ANALYSIS

### Fixed Income by Type

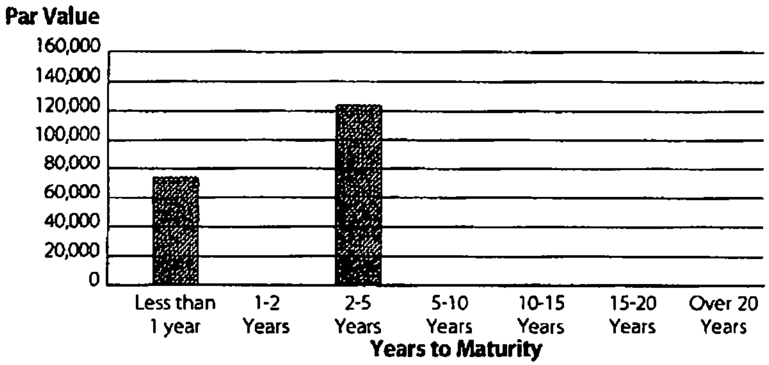
| | Market Value as of 12/31/13 | % of Fixed Income |
|---|---|---|
| Government Obligations | $75,024 75 | 12.45% |
| Corporate Obligations | 136,675 75 | 22.67 |
| All Other Fixed Income | 391,109.40 | 64.88 |
| **Total Fixed Income** | **$602,809.90** | **100%** |

Percentages may not be exact due to rounding.
Amounts less than .50 are not displayed on graphs



### Bond Maturity Schedule

| | Par Value | % of Par Value | Market Value as of 12/31/13 |
|---|---|---|---|
| Less than 1 year | $75,000 00 | 37.50% | $75,024.75 |
| 2-5 Years | 125,000.00 | 62.50 | 136,675 75 |
| **Total** | | **100%** | **$211,700.50** |



The maturities listed are stated legal maturities of the fixed income securities in your portfolio excluding cash and do not reflect imbedded put options, dutch auctions, potential principal prepayments or imbedded call options which may effectively shorten the maturity of the securities included in your portfolio

## ASSET DETAIL

| Asset Description | Quantity | Price | Market Value as of 12/31/13 | Cost Basis | Unrealized Gain/Loss | Current Yield | Accrued Income |
|---|---|---|---|---|---|---|---|
| **Cash & Equivalents** | | | | | | | |
| CASH | | | | | | | |
| PRINCIPAL | | | $966.30 | $966.30 | $0 00 | | |
| INCOME | | | 1,766.65 | 1,766.65 | 0 00 | | |
| **Total Cash** | | | **$2,732.95** | **$2,732.95** | **$0.00** | | |
| MONEY MARKET | | | | | | | |
| FEDERATED TREAS OBL FD 68<br>*Asset held in Invested Income Portfolio* | 10,655 720 | | $10,655.72 | $10,655 72 | $0.00 | 0.01% | $0 07 |
| FEDERATED TREAS OBL FD 68 | 45,649.940 | | 45,649.94 | 45,649.94 | 0.00 | 0 01 | 0.35 |
| **Total Money Market** | | | **$56,305.66** | **$56,305.66** | **$0.00** | **0.01%** | **$0.42** |
| **Total Cash & Equivalents** | | | **$59,038.61** | **$59,038.61** | **$0.00** | **0.01%** | **$0.42** |

| Asset Description | Par Value | Price | Market Value as of 12/31/13 | Cost Basis | Unrealized Gain/Loss | Yield to Maturity | Accrued Income |
|---|---|---|---|---|---|---|---|
| **Fixed Income** | | | | | | | |
| GOVERNMENT OBLIGATIONS | | | | | | | |
| FED HOME LN MTG CORP<br>MED TERM NOTE<br>DTD 01/08/09 2.500 01/07/2014<br>CUSIP: 3137EABX6<br>MOODY'S RATING AAA<br>STANDARD & POOR'S RATING AA+ | 75,000.000 | $100 033 | $75,024.75 | $75,742 50 | - $717.75 | 0.51% | $906.25 |
| **Total Government Obligations** | | | **$75,024.75** | **$75,742.50** | **- $717.75** | | **$906.25** |

## ASSET DETAIL *(continued)*

| Asset Description | Par Value | Price | Market Value as of 12/31/13 | Cost Basis | Unrealized Gain/Loss | Yield to Maturity | Accrued Income |
|---|---|---|---|---|---|---|---|
| **Fixed Income** *(continued)* | | | | | | | |
| CORPORATE OBLIGATIONS | | | | | | | |
| CATERPILLAR FINL SVCS CORP MED TERM NOTE TRANCHE # TR 00791<br>DTD 03/10/06 5.500 03/15/2016<br>CUSIP: 14912L2Y6<br>MOODY'S RATING: A2<br>STANDARD & POOR'S RATING: A | 100,000 000 | $109.572 | $109,572.00 | $98,104.00 | $11,468.00 | 1.10% | $1,619.44 |
| HSBC FINANCE CORP<br>DTD 01/19/06 5.500 01/19/2016<br>CUSIP: 40429CFN7<br>MOODY'S RATING: BAA1<br>STANDARD & POOR'S RATING: A | 25,000 000 | 108.415 | 27,103 75 | 24,699.25 | 2,404.50 | 1.33 | 618 75 |
| **Total Corporate Obligations** | | | **$136,675.75** | **$122,803.25** | **$13,872.50** | | **$2,238.19** |

| Asset Description | Quantity | Price | Market Value as of 12/31/13 | Cost Basis | Unrealized Gain/Loss | Current Yield | Accrued Income |
|---|---|---|---|---|---|---|---|
| **Fixed Income** | | | | | | | |
| DOMESTIC MUTUAL FUNDS | | | | | | | |
| DODGE & COX INCOME FD COM #147<br>SYMBOL: DODIX CUSIP: 256210105 | 3,534 492 | $13 530 | $47,821.68 | $47,302.17 | $519.51 | 3.07% | $0.00 |
| PIMCO TOTAL RETURN FUND INSTITUTIONAL SHARES #35<br>SYMBOL: PTTRX CUSIP: 693390700 | 4,414.196 | 10.690 | 47,187.76 | 48,326.62 | - 1,138.86 | 2.58 | 0.00 |
| RIDGEWORTH SEIX HIGH YIELD BOND FUND CLASS I #5855<br>SYMBOL: SAMHX CUSIP: 76628T645 | 7,764.914 | 9.780 | 75,940.86 | 75,230.89 | 709.97 | 6.10 | 12.70 |
| T ROWE PRICE SHORT TERM BOND FUND #55<br>SYMBOL: PRWBX CUSIP: 77957P105 | 8,690.487 | 4 790 | 41,627.43 | 41,785.11 | - 157.68 | 1.58 | 0.00 |
| **Total Domestic Mutual Funds** | | | **$212,577.73** | **$212,644.79** | **- $67.06** | **3.75%** | **$12.70** |

## ASSET DETAIL *(continued)*

| Asset Description | Quantity | Price | Market Value as of 12/31/13 | Cost Basis | Unrealized Gain/Loss | Current Yield | Accrued Income |
|---|---|---|---|---|---|---|---|
| **Fixed Income** *(continued)* | | | | | | | |
| INTERNATIONAL MUTUAL FUNDS | | | | | | | |
| DREYFUS EMERGING MARKETS DEBT LOCAL CURRENCY FUND CLASS I #6083<br>SYMBOL: DDBIX CUSIP: 261980494 | 3,189.855 | $13.870 | $44,243.29 | $46,496.26 | - $2,252.97 | 4.43% | $0.00 |
| FIDELITY ADVISORS EMERGING MARKETS INCOME FUND CLASS I<br>SYMBOL: FMKIX CUSIP: 315920702 | 1,422.222 | 13.350 | 18,986.66 | 19,456.00 | - 469.34 | 4.62 | 0.00 |
| LAUDUS MONDRIAN INTERNATIONAL FIXED INCOME FUND CLASS INST #2940<br>SYMBOL: LIFNX CUSIP: 51855Q655 | 5,371.628 | 10.640 | 57,154.12 | 59,248 40 | - 2,094.28 | 0.00 | 0.00 |
| PIMCO FOREIGN BOND FUND USD HEDGED INSTL #103<br>SYMBOL: PFORX CUSIP: 693390882 | 5,527.338 | 10.520 | 58,147.60 | 59,359.12 | - 1,211.52 | 2.33 | 0.00 |
| **Total International Mutual Funds** | | | **$178,531.67** | **$184,559.78** | **- $6,028.11** | **2.35%** | **$0.00** |
| **Total Fixed Income** | | | **$602,809.90** | **$595,750.32** | **$7,059.58** | | **$3,157.14** |

## ASSET DETAIL *(continued)*

| ASSET DESCRIPTION | QUANTITY | PRICE | MARKET VALUE AS OF 12/31/13 | COST BASIS | UNREALIZED GAIN/LOSS | CURRENT YIELD | ACCRUED INCOME |
|---|---|---|---|---|---|---|---|
| **Equities** | | | | | | | |
| DOMESTIC MUTUAL FUNDS | | | | | | | |
| ARTISAN MID CAP FUND CLASS INS #1333<br>SYMBOL. APHMX CUSIP: 04314H600 | 904.746 | $49.830 | $45,083 49 | $36,091.23 | $8,992.26 | 0.00% | $0.00 |
| GATEWAY FUND - Y #1986<br>SYMBOL: GTEYX CUSIP: 367829884 | 689.502 | 28.990 | 19,988 66 | 18,775.02 | 1,213.64 | 1.55 | 0 00 |
| HARBOR CAPITAL APPRECIATION FUND CLASS INST #2012<br>SYMBOL: HACAX CUSIP: 411511504 | 1,269.487 | 56.690 | 71,967 22 | 33,965.16 | 38,002.06 | 0.08 | 0.00 |
| ISHARES CORE S & P 500 ETF<br>SYMBOL: IVV CUSIP: 464287200 | 107.000 | 185.650 | 19,864.55 | 11,334.29 | 8,530.26 | 1.80 | 0 00 |
| JP MORGAN MID CAP VALUE FUND-CLASS I #758<br>SYMBOL: FLMVX CUSIP. 339128100 | 870.648 | 35 120 | 30,577.16 | 18,082.88 | 12,494.28 | 0.87 | 0.00 |
| KALMAR "GROWTH WITH VALUE" SMALL CAP CLASS-INS #4<br>SYMBOL: KGSIX CUSIP: 483438305 | 847.901 | 22 810 | 19,340.62 | 14,639.58 | 4,701.04 | 0.00 | 0.00 |
| KEELEY SMALL CAP VALUE FUND CLASS I #2251<br>SYMBOL KSCIX CUSIP: 487300808 | 502 627 | 38.690 | 19,446.64 | 7,885.76 | 11,560.88 | 0.42 | 0.00 |
| MFS VALUE FUND-CLASS I<br>SYMBOL: MEIIX CUSIP: 552983694 | 1,421.884 | 33.360 | 47,434.05 | 34,427 13 | 13,006.92 | 1 67 | 0 00 |
| **Total Domestic Mutual Funds** | | | **$273,702.39** | **$175,201.05** | **$98,501.34** | **0.68%** | **$0.00** |

## ASSET DETAIL *(continued)*

| ASSET DESCRIPTION | QUANTITY | PRICE | MARKET VALUE AS OF 12/31/13 | COST BASIS | UNREALIZED GAIN/LOSS | CURRENT YIELD | ACCRUED INCOME |
|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | |
| INTERNATIONAL MUTUAL FUNDS | | | | | | | |
| ARTISAN INTERNATIONAL FUND #661<br>SYMBOL: ARTIX CUSIP: 04314H204 | 1,181.444 | $30.480 | $36,010.41 | $19,604.81 | $16,405 60 | 1.86% | $0.00 |
| DODGE & COX INTERNATIONAL STOCK FUND #1048<br>SYMBOL: DODFX CUSIP: 256206103 | 824 449 | 43.040 | 35,484.28 | 24,913.49 | 10,570 79 | 1.61 | 0.00 |
| OPPENHEIMER DEVELOPING MKT-Y #788<br>SYMBOL: ODVYX CUSIP: 683974505 | 831.323 | 37.560 | 31,224 49 | 25,151.00 | 6,073.49 | 0.43 | 0 00 |
| VANGUARD FTSE EMERGING MARKETS ETF<br>SYMBOL: VWO CUSIP: 922042858 | 742.000 | 41 140 | 30,525 88 | 25,895 08 | 4,630.80 | 2.73 | 0.00 |
| **Total International Mutual Funds** | | | **$133,245.06** | **$95,564.38** | **$37,680.68** | **1.66%** | **$0.00** |
| **Total Equities** | | | **$406,947.45** | **$270,765.43** | **$136,182.02** | **1.00%** | **$0.00** |

## ASSET DETAIL *(continued)*

| ASSET DESCRIPTION | QUANTITY | PRICE | MARKET VALUE AS OF 12/31/13 | COST BASIS | UNREALIZED GAIN/LOSS | CURRENT YIELD | ACCRUED INCOME |
|---|---|---|---|---|---|---|---|
| **Complementary Strategies** | | | | | | | |
| OTHER | | | | | | | |
| ASG GLOBAL ALTERNATIVES FUND CLASS Y #1993<br>SYMBOL: GAFYX CUSIP: 63872T885 | 2,259.207 | $11.430 | $25,822.74 | $26,182.80 | - $360.06 | 0.00% | $0.00 |
| DRIEHAUS ACTIVE INCOME FUND<br>SYMBOL: LCMAX CUSIP: 262028855 | 6,054.162 | 10.770 | 65,203.32 | 65,136 75 | 66.57 | 2.01 | 0.00 |
| EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CLASS I #0088<br>SYMBOL: EIGMX CUSIP: 277923728 | 1,376.567 | 9.420 | 12,967.26 | 13,297.64 | - 330.38 | 4.12 | 0.00 |
| MERGER FD SH BEN INT<br>SYMBOL: MERFX CUSIP: 589509108 | 2,402.018 | 16.010 | 38,456.31 | 38,019.20 | 437.11 | 1.94 | 0.00 |
| **Total Other** | | | **$142,449.63** | **$142,636.39** | **- $186.76** | **1.82%** | **$0.00** |
| **Total Complementary Strategies** | | | **$142,449.63** | **$142,636.39** | **- $186.76** | **1.82%** | **$0.00** |

## ASSET DETAIL *(continued)*

| Asset Description | Quantity | Price | Market Value as of 12/31/13 | Cost Basis | Unrealized Gain/Loss | Current Yield | Accrued Income |
|---|---|---|---|---|---|---|---|
| **Real Assets** | | | | | | | |
| REAL ASSET FUNDS | | | | | | | |
| CREDIT SUISSE COMMODITY RETURN STRATEGY FUND CLASS-I #2156<br>SYMBOL: CRSOX CUSIP: 22544R305 | 1,652 060 | $7 230 | $11,944 39 | $12,960.50 | - $1,016.11 | 0.00% | $0 00 |
| IPATH DOW JONES-UBS COMMODITY INDEX TOTAL RETURN ETN DUE JUNE 12, 2036<br>DTD 06/06/06 06/12/2036<br>SYMBOL: DJP CUSIP: 06738C778 | 715 000 | 36.750 | 26,276.25 | 26,923 54 | - 647.29 | 0.00 | 0 00 |
| SPDR DJ WILSHIRE INTERNATIONAL REAL ESTATE ETF<br>SYMBOL: RWX CUSIP: 78463X863 | 912.000 | 41.200 | 37,574.40 | 31,169 94 | 6,404.46 | 4.54 | 783.94 |
| VANGUARD REIT VIPER<br>SYMBOL: VNQ CUSIP: 922908553 | 579 000 | 64.560 | 37,380.24 | 20,027.27 | 17,352 97 | 4.32 | 0.00 |
| **Total Real Asset Funds** | | | **$113,175.28** | **$91,081.25** | **$22,094.03** | **2.93%** | **$783.94** |
| **Total Real Assets** | | | **$113,175.28** | **$91,081.25** | **$22,094.03** | **2.93%** | **$783.94** |

| | Account Value as of 12/31/13 | Cost Basis | Unrealized Gain/Loss | Accrued Income |
|---|---|---|---|---|
| **TOTAL ASSETS** | **$1,324,420.87** | **$1,159,272.00** | **$165,148.87** | **$3,941.50** |

## TRANSACTION DETAIL

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| | | **Beginning Balance** | **$0.00** | **$693.03** | **$1,147,625.42** |
| **Purchases** | | | | | |
| 10/18/13 | 43.200 | ARTISAN INTERNATIONAL FUND #661<br>ON TRADE DATE 10/17/2013<br>SYMBOL: ARTIX CUSIP: 04314H204<br>TRADE PRICE $29.1898 | - $1,261.00 | | $1,261.00 |
| 02/12/13 | 177 061 | ARTISAN MID CAP FUND-INS #1333<br>ON TRADE DATE 02/11/2013<br>SYMBOL: APHMX CUSIP: 04314H600<br>TRADE PRICE: $41 6899 | - 7,381 66 | | 7,381.66 |
| 07/22/13 | 50.988 | ARTISAN MID CAP FUND-INS #1333<br>ON TRADE DATE 07/19/2013<br>SYMBOL: APHMX CUSIP: 04314H600<br>TRADE PRICE: $47.0699 | - 2,400.00 | | 2,400.00 |
| 07/22/13 | 2,269.198 | ASG GLOBAL ALTERNATIVES-Y #1993<br>ON TRADE DATE 07/19/2013<br>CUSIP: 63872T885<br>TRADE PRICE: $11.5900 | - 26,300.00 | | 26,300.00 |
| 10/18/13 | 70.009 | ASG GLOBAL ALTERNATIVES-Y #1993<br>ON TRADE DATE 10/17/2013<br>CUSIP· 63872T885<br>TRADE PRICE: $11.5699 | - 810 00 | | 810.00 |
| 02/12/13 | 272.291 | CREDIT SUISSE COMM RET ST-I #2156<br>ON TRADE DATE 02/11/2013<br>SYMBOL: CRSOX CUSIP· 22544R305<br>TRADE PRICE: $8.1200 | - 2,211 00 | | 2,211.00 |
| 03/11/13 | 720 607 | CREDIT SUISSE COMM RET ST-I #2156<br>ON TRADE DATE 03/08/2013<br>SYMBOL: CRSOX CUSIP· 22544R305<br>TRADE PRICE: $7.9100 | - 5,700.00 | | 5,700.00 |
| 07/22/13 | 459.459 | CREDIT SUISSE COMM RET ST-I #2156<br>ON TRADE DATE 07/19/2013<br>SYMBOL: CRSOX CUSIP: 22544R305<br>TRADE PRICE· $7.4000 | - 3,400.00 | | 3,400.00 |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Purchases** *(continued)* | | | | | |
| 07/22/13 | 147.384 | DODGE & COX INCOME FD COM #147<br>ON TRADE DATE 07/19/2013<br>CUSIP· 256210105<br>TRADE PRICE: $13.5700 | - 2,000.00 | | 2,000.00 |
| 08/28/13 | 741.290 | DODGE & COX INCOME FD COM #147<br>ON TRADE DATE 08/27/2013<br>CUSIP. 256210105<br>TRADE PRICE· $13.4900 | - 10,000.00 | | 10,000.00 |
| 10/18/13 | 47.570 | DODGE & COX INCOME FD COM #147<br>ON TRADE DATE 10/17/2013<br>CUSIP. 256210105<br>TRADE PRICE: $13.5800 | - 646 00 | | 646.00 |
| 10/18/13 | 24.935 | DODGE & COX INT'L STOCK FD #1048<br>ON TRADE DATE 10/17/2013<br>SYMBOL. DODFX CUSIP. 256206103<br>TRADE PRICE. $42.0293 | - 1,048.00 | | 1,048.00 |
| 03/11/13 | 981.795 | DREYFUS EMG MKT DEBT LOC C-I #6083<br>ON TRADE DATE 03/08/2013<br>CUSIP· 261980494<br>TRADE PRICE: $15.3800 | - 15,100 00 | | 15,100 00 |
| 07/22/13 | 744.905 | DREYFUS EMG MKT DEBT LOC C-I #6083<br>ON TRADE DATE 07/19/2013<br>CUSIP: 261980494<br>TRADE PRICE: $14 2300 | - 10,600 00 | | 10,600.00 |
| 03/11/13 | 3,617.811 | DRIEHAUS ACTIVE INCOME FUND<br>ON TRADE DATE 03/08/2013<br>CUSIP: 262028855<br>TRADE PRICE. $10.7800 | - 39,000.00 | | 39,000 00 |
| 07/22/13 | 1,275.605 | DRIEHAUS ACTIVE INCOME FUND<br>ON TRADE DATE 07/19/2013<br>CUSIP: 262028855<br>TRADE PRICE $10.7400 | - 13,700 00 | | 13,700.00 |

## TRANSACTION DETAIL *(continued)*

### Purchases *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 10/18/13 | 1,375 746 | DRIEHAUS ACTIVE INCOME FUND<br>ON TRADE DATE 10/17/2013<br>CUSIP 262028855<br>TRADE PRICE. $10.7200 | - 14,748.00 | | 14,748.00 |
| 07/22/13 | 2,722.567 | EATON VANCE GLOBAL MACRO - I #0088<br>ON TRADE DATE 07/19/2013<br>CUSIP. 277923728<br>TRADE PRICE: $9.6600 | - 26,300.00 | | 26,300.00 |
| 10/18/13 | 1,422.222 | FID ADV EMER MKTS INC- CL I #607<br>ON TRADE DATE 10/17/2013<br>CUSIP: 315920702<br>TRADE PRICE: $13.6800 | - 19,456.00 | | 19,456.00 |
| 02/12/13 | 554.599 | GATEWAY FUND - Y #1986<br>ON TRADE DATE 02/11/2013<br>SYMBOL: GTEYX CUSIP: 367829884<br>TRADE PRICE: $27.7100 | - 15,367.95 | | 15,367.95 |
| 03/11/13 | 457.306 | GATEWAY FUND - Y #1986<br>ON TRADE DATE 03/08/2013<br>SYMBOL· GTEYX CUSIP. 367829884<br>TRADE PRICE: $27.9900 | - 12,800.00 | | 12,800.00 |
| 10/18/13 | 28.073 | GATEWAY FUND - Y #1986<br>ON TRADE DATE 10/17/2013<br>SYMBOL. GTEYX CUSIP· 367829884<br>TRADE PRICE: $28.3903 | - 797.00 | | 797.00 |
| 02/12/13 | 349 738 | HARBOR CAPITAL APRCTION-INST #2012<br>ON TRADE DATE 02/11/2013<br>SYMBOL· HACAX CUSIP: 411511504<br>TRADE PRICE: $44.5100 | - 15,566.85 | | 15,566.85 |
| 10/18/13 | 33.290 | HARBOR CAPITAL APRCTION-INST #2012<br>ON TRADE DATE 10/17/2013<br>SYMBOL: HACAX CUSIP· 411511504<br>TRADE PRICE: $53.5296 | - 1,782.00 | | 1,782.00 |

## TRANSACTION DETAIL *(continued)*

### Purchases *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 10/17/13 | 715.000 | IPATH DOW JONES-UBS COMMODITY INDEX<br>ON TRADE DATE 10/14/2013<br>PURCHASED THROUGH MORGAN STANLEY & CO.<br>CUSIP: 06738C778<br>COMM. $14.30<br>TRADE PRICE: $37.6353 | - 26,923 54 | | 26,923 54 |
| 10/17/13 | 21.000 | ISHARES CORE S & P 500 ETF<br>ON TRADE DATE 10/14/2013<br>PURCHASED THROUGH PIPER JAFFRAY HOPWOOD INC<br>SYMBOL: IVV CUSIP 464287200<br>COMM· $0.42<br>TRADE PRICE: $170 2667 | - 3,576.02 | | 3,576 02 |
| 02/12/13 | 97 217 | JP MORGAN MID CAP VALUE-I #758<br>ON TRADE DATE 02/11/2013<br>SYMBOL. FLMVX CUSIP 339128100<br>TRADE PRICE. $30.0299 | - 2,919.42 | | 2,919 42 |
| 10/18/13 | 62.364 | JP MORGAN MID CAP VALUE-I #758<br>ON TRADE DATE 10/17/2013<br>SYMBOL: FLMVX CUSIP: 339128100<br>TRADE PRICE. $34 8599 | - 2,174.00 | | 2,174.00 |
| 02/12/13 | 1,331.671 | KALMAR GR W/VAL SM CAP FD #2<br>ON TRADE DATE 02/11/2013<br>SYMBOL· KGSCX CUSIP. 483438206<br>TRADE PRICE: $17.2500 | - 22,971.33 | | 22,971.33 |
| 10/18/13 | 4 190 | KEELEY SMALL CAP VAL FD CL I #2251<br>ON TRADE DATE 10/17/2013<br>SYMBOL. KSCIX CUSIP. 487300808<br>TRADE PRICE. $36.9928 | - 155.00 | | 155.00 |
| 03/11/13 | 3,865 932 | LAUDUS MONDRIAN INTL FI-INST #2940<br>ON TRADE DATE 03/08/2013<br>CUSIP. 51855Q655<br>TRADE PRICE· $10.8900 | - 42,100 00 | | 42,100.00 |
| 07/22/13 | 252 101 | LAUDUS MONDRIAN INTL FI-INST #2940<br>ON TRADE DATE 07/19/2013<br>CUSIP: 51855Q655<br>TRADE PRICE· $10 7100 | - 2,700.00 | | 2,700.00 |

## TRANSACTION DETAIL *(continued)*

### Purchases *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 10/18/13 | 720.784 | LAUDUS MONDRIAN INTL FI-INST #2940<br>ON TRADE DATE 10/17/2013<br>CUSIP: 51855Q655<br>TRADE PRICE: $10.9700 | - 7,907.00 | | 7,907.00 |
| 02/12/13 | 702.660 | MERGER FD SH BEN INT #260<br>ON TRADE DATE 02/11/2013<br>CUSIP. 589509108<br>TRADE PRICE: $15.7600 | - 11,073.92 | | 11,073.92 |
| 07/22/13 | 592.639 | MERGER FD SH BEN INT #260<br>ON TRADE DATE 07/19/2013<br>CUSIP: 589509108<br>TRADE PRICE· $16.0300 | - 9,500.00 | | 9,500.00 |
| 02/12/13 | 172.431 | MFS VALUE FUND-CLASS I #893<br>ON TRADE DATE 02/11/2013<br>SYMBOL: MEIIX CUSIP: 552983694<br>TRADE PRICE: $27.3399 | - 4,714.25 | | 4,714.25 |
| 10/18/13 | 86.633 | MFS VALUE FUND-CLASS I #893<br>ON TRADE DATE 10/17/2013<br>SYMBOL: MEIIX CUSIP: 552983694<br>TRADE PRICE: $31.7200 | - 2,748.00 | | 2,748.00 |
| 02/12/13 | 326.364 | OPPENHEIMER DEVELOPING MKT-Y #788<br>ON TRADE DATE 02/11/2013<br>SYMBOL. ODVYX CUSIP: 683974505<br>TRADE PRICE· $35.7300 | - 11,661 00 | | 11,661 00 |
| 03/11/13 | 3,953.704 | PIMCO FOREIGN BD FD USD H-INST #103<br>ON TRADE DATE 03/08/2013<br>CUSIP· 693390882<br>TRADE PRICE· $10.8000 | - 42,700.00 | | 42,700 00 |
| 07/22/13 | 263.653 | PIMCO FOREIGN BD FD USD H-INST #103<br>ON TRADE DATE 07/19/2013<br>CUSIP: 693390882<br>TRADE PRICE: $10 6200 | - 2,800 00 | | 2,800.00 |

## TRANSACTION DETAIL *(continued)*

### Purchases *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 10/18/13 | 767.045 | PIMCO FOREIGN BD FD USD H-INST #103<br>ON TRADE DATE 10/17/2013<br>CUSIP. 693390882<br>TRADE PRICE· $10.5600 | - 8,100 00 | | 8,100 00 |
| 07/22/13 | 258.303 | PIMCO TOTAL RET FD-INST #35<br>ON TRADE DATE 07/19/2013<br>CUSIP· 693390700<br>TRADE PRICE: $10.8400 | - 2,800.00 | | 2,800.00 |
| 08/28/13 | 934.579 | PIMCO TOTAL RET FD-INST #35<br>ON TRADE DATE 08/27/2013<br>CUSIP: 693390700<br>TRADE PRICE: $10.7000 | - 10,000.00 | | 10,000 00 |
| 10/18/13 | 28 703 | PIMCO TOTAL RET FD-INST #35<br>ON TRADE DATE 10/17/2013<br>CUSIP: 693390700<br>TRADE PRICE· $10.8699 | - 312.00 | | 312 00 |
| 03/11/13 | 2,556.098 | RIDGEWORTH SEIX HY BD-I #5855<br>ON TRADE DATE 03/08/2013<br>CUSIP: 76628T645<br>TRADE PRICE· $10.2500 | - 26,200.00 | | 26,200.00 |
| 07/22/13 | 815 324 | RIDGEWORTH SEIX HY BD-I #5855<br>ON TRADE DATE 07/19/2013<br>CUSIP 76628T645<br>TRADE PRICE: $10.1800 | - 8,300.00 | | 8,300.00 |
| 10/18/13 | 297.225 | RIDGEWORTH SEIX HY BD-I #5855<br>ON TRADE DATE 10/17/2013<br>CUSIP: 76628T645<br>TRADE PRICE: $10 0900 | - 2,999.00 | | 2,999 00 |
| 07/22/13 | 29 000 | SPDR DJ WILSHIRE INTERNATIONAL REAL<br>ON TRADE DATE 07/17/2013<br>PURCHASED THROUGH UBS SECURITIES LLC<br>CUSIP 78463X863<br>COMM. $0.87<br>TRADE PRICE. $41 1652 | - 1,194 66 | | 1,194.66 |

## TRANSACTION DETAIL *(continued)*

### Purchases *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 10/17/13 | 5.000 | SPDR DJ WILSHIRE INTERNATIONAL REAL<br>ON TRADE DATE 10/14/2013<br>PURCHASED THROUGH BARCLAYS CAPITAL LE<br>CUSIP: 78463X863<br>COMM: $0.10<br>TRADE PRICE: $42.6860 | - 213.53 |  | 213.53 |
| 02/12/13 | 1,207.000 | T ROWE PRICE SHORT TERM BD FD #55<br>ON TRADE DATE 02/11/2013<br>CUSIP: 77957P105<br>TRADE PRICE: $4 8400 | - 5,841.88 |  | 5,841.88 |
| 07/22/13 | 2,937.500 | T ROWE PRICE SHORT TERM BD FD #55<br>ON TRADE DATE 07/19/2013<br>CUSIP: 77957P105<br>TRADE PRICE: $4.8000 | - 14,100.00 |  | 14,100.00 |
| 08/28/13 | 1,799 163 | T ROWE PRICE SHORT TERM BD FD #55<br>ON TRADE DATE 08/27/2013<br>CUSIP: 77957P105<br>TRADE PRICE: $4 7800 | - 8,600.00 |  | 8,600.00 |
| 10/18/13 | 106.681 | T ROWE PRICE SHORT TERM BD FD #55<br>ON TRADE DATE 10/17/2013<br>CUSIP· 77957P105<br>TRADE PRICE: $4.7900 | - 511.00 |  | 511.00 |
| 02/12/13 | 259.000 | VANGUARD FTSE EMERGING MARKETS ETF<br>ON TRADE DATE 02/07/2013<br>PURCHASED THROUGH BNY BROKERAGE INC.<br>SYMBOL: VWO CUSIP: 922042858<br>COMM: $7.77<br>TRADE PRICE· $43.9456 | - 11,389.68 |  | 11,389.68 |
| 07/22/13 | 42.000 | VANGUARD FTSE EMERGING MARKETS ETF<br>ON TRADE DATE 07/17/2013<br>PURCHASED THROUGH UBS SECURITIES LLC<br>SYMBOL. VWO CUSIP. 922042858<br>COMM: $1.26<br>TRADE PRICE: $40.0833 | - 1,684.76 |  | 1,684 76 |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Purchases** *(continued)* | | | | | |
| 10/17/13 | 56.000 | VANGUARD REIT VIPER<br>ON TRADE DATE 10/14/2013<br>PURCHASED THROUGH BLAIR, WILLIAM & CO<br>CUSIP: 922908553<br>COMM· $1.12<br>TRADE PRICE. $67.5695 | - 3,785.01 | | 3,785.01 |
| **Total Purchases** | | | **- $551,030.46** | **$0.00** | **$551,030.46** |
| **Sales** | | | | | |
| 02/08/13 | 88.000 | ARTISAN INTERNATIONAL FUND #661<br>ON TRADE DATE 02/07/2013<br>SYMBOL. ARTIX CUSIP: 04314H204<br>TRADE PRICE $25.3400 | $2,229.92 | | - $2,054.80 |
| 03/07/13 | 666.000 | ARTISAN INTERNATIONAL FUND #661<br>ON TRADE DATE 03/06/2013<br>SYMBOL. ARTIX CUSIP: 04314H204<br>TRADE PRICE: $25.8800 | 17,236.08 | | - 11,727.15 |
| 07/18/13 | 196 000 | ARTISAN INTERNATIONAL FUND #661<br>ON TRADE DATE 07/17/2013<br>SYMBOL. ARTIX CUSIP: 04314H204<br>TRADE PRICE: $27 1700 | 5,325.32 | | - 3,181.33 |
| 07/30/13 | 70.000 | ARTISAN INTERNATIONAL FUND #661<br>ON TRADE DATE 07/29/2013<br>SYMBOL. ARTIX CUSIP: 04314H204<br>TRADE PRICE: $27 3400 | 1,913.80 | | - 1,131.20 |
| 03/07/13 | 51 000 | ARTISAN MID CAP FUND-INS #1333<br>ON TRADE DATE 03/06/2013<br>SYMBOL: APHMX CUSIP: 04314H600<br>TRADE PRICE. $42.3300 | 2,158.83 | | - 2,126.19 |
| 07/30/13 | 58.000 | ARTISAN MID CAP FUND-INS #1333<br>ON TRADE DATE 07/29/2013<br>SYMBOL: APHMX CUSIP: 04314H600<br>TRADE PRICE: $46 7800 | 2,713.24 | | - 2,692.33 |

## TRANSACTION DETAIL *(continued)*

### Sales *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 07/30/13 | 80.000 | ASG GLOBAL ALTERNATIVES-Y #1993<br>ON TRADE DATE 07/29/2013<br>CUSIP. 63872T885<br>TRADE PRICE: $11.4200 | 913.60 | | - 927.20 |
| 07/30/13 | 158.000 | CREDIT SUISSE COMM RET ST-I #2156<br>ON TRADE DATE 07/29/2013<br>SYMBOL: CRSOX CUSIP. 22544R305<br>TRADE PRICE: $7.2400 | 1,143 92 | | - 1,143 92 |
| 10/15/13 | 5,312 019 | CREDIT SUISSE COMM RET ST-I #2156<br>ON TRADE DATE 10/14/2013<br>SYMBOL: CRSOX CUSIP: 22544R305<br>TRADE PRICE: $7.3800 | 39,202.70 | | - 47,040.19 |
| 02/08/13 | 71.000 | DIAMOND HILL LONG-SHORT FD CL I #11<br>ON TRADE DATE 02/07/2013<br>SYMBOL: DHLSX CUSIP: 25264S833<br>TRADE PRICE: $19 6800 | 1,397.28 | | - 1,202.03 |
| 03/07/13 | 2,001.405 | DIAMOND HILL LONG-SHORT FD CL I #11<br>ON TRADE DATE 03/06/2013<br>SYMBOL. DHLSX CUSIP. 25264S833<br>TRADE PRICE: $19.7700 | 39,567.78 | | - 33,164.31 |
| 02/08/13 | 906.000 | DODGE & COX INCOME FD COM #147<br>ON TRADE DATE 02/07/2013<br>CUSIP. 256210105<br>TRADE PRICE: $13.8600 | 12,557 16 | | - 12,620.58 |
| 03/07/13 | 573.000 | DODGE & COX INCOME FD COM #147<br>ON TRADE DATE 03/06/2013<br>CUSIP· 256210105<br>TRADE PRICE: $13 9000 | 7,964 70 | | - 7,942.69 |
| 07/30/13 | 90.000 | DODGE & COX INCOME FD COM #147<br>ON TRADE DATE 07/29/2013<br>CUSIP 256210105<br>TRADE PRICE: $13 5400 | 1,218 60 | | - 1,218.60 |

## TRANSACTION DETAIL *(continued)*

### Sales *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 02/08/13 | 78.000 | DODGE & COX INT'L STOCK FD #1048<br>ON TRADE DATE 02/07/2013<br>SYMBOL: DODFX CUSIP: 256206103<br>TRADE PRICE: $35.8800 | 2,798 64 | | - 2,328.30 |
| 03/07/13 | 454.000 | DODGE & COX INT'L STOCK FD #1048<br>ON TRADE DATE 03/06/2013<br>SYMBOL· DODFX CUSIP: 256206103<br>TRADE PRICE. $36.1300 | 16,403.02 | | - 13,923.42 |
| 07/18/13 | 150.000 | DODGE & COX INT'L STOCK FD #1048<br>ON TRADE DATE 07/17/2013<br>SYMBOL: DODFX CUSIP: 256206103<br>TRADE PRICE· $38.3600 | 5,754.00 | | - 4,477.50 |
| 07/30/13 | 60.000 | DODGE & COX INT'L STOCK FD #1048<br>ON TRADE DATE 07/29/2013<br>SYMBOL: DODFX CUSIP: 256206103<br>TRADE PRICE. $38.6400 | 2,318.40 | | - 1,791.00 |
| 02/08/13 | 558 000 | DREYFUS EMG MKT DEBT LOC C-I #6083<br>ON TRADE DATE 02/07/2013<br>CUSIP. 261980494<br>TRADE PRICE: $15.4900 | 8,643.42 | | - 8,414.64 |
| 07/30/13 | 185 000 | DREYFUS EMG MKT DEBT LOC C-I #6083<br>ON TRADE DATE 07/29/2013<br>CUSIP. 261980494<br>TRADE PRICE: $14.0700 | 2,602.95 | | - 2,602.95 |
| 10/15/13 | 1,253.000 | DREYFUS EMG MKT DEBT LOC C-I #6083<br>ON TRADE DATE 10/14/2013<br>CUSIP: 261980494<br>TRADE PRICE $14.2900 | 17,905.37 | | - 19,208.86 |
| 07/30/13 | 215.000 | DRIEHAUS ACTIVE INCOME FUND<br>ON TRADE DATE 07/29/2013<br>CUSIP: 262028855<br>TRADE PRICE· $10.7500 | 2,311.25 | | - 2,311 25 |

## TRANSACTION DETAIL *(continued)*

### Sales *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 07/30/13 | 120.000 | EATON VANCE GLOBAL MACRO - I #0088<br>ON TRADE DATE 07/29/2013<br>CUSIP: 277923728<br>TRADE PRICE: $9.6400 | 1,156.80 | | - 1,159.20 |
| 10/15/13 | 1,226.000 | EATON VANCE GLOBAL MACRO - I #0088<br>ON TRADE DATE 10/14/2013<br>CUSIP: 277923728<br>TRADE PRICE: $9.4200 | 11,548.92 | | - 11,843.16 |
| 08/26/13 | 30,000.000 | MATURED<br>FED FARM CREDIT BK 4.920% 8/26/13<br>ON TRADE DATE 08/26/2013<br>CUSIP: 31331TBW0<br>TRADE PRICE: 100.0000% OF PV | 30,000.00 | | - 29,569.50 |
| 07/17/13 | 25,000.000 | MATURED<br>FED NATL MTG ASSN 4.375% 7/17/13<br>ON TRADE DATE 07/17/2013<br>CUSIP: 31359MSL8<br>TRADE PRICE: 100.0000% OF PV | 25,000.00 | | - 25,553.25 |
| 07/18/13 | 1,174.000 | GATEWAY FUND - Y #1986<br>ON TRADE DATE 07/17/2013<br>SYMBOL: GTEYX CUSIP: 367829884<br>TRADE PRICE: $28.1200 | 33,012.88 | | - 32,580 17 |
| 07/30/13 | 40 000 | GATEWAY FUND - Y #1986<br>ON TRADE DATE 07/29/2013<br>SYMBOL: GTEYX CUSIP: 367829884<br>TRADE PRICE: $28 2100 | 1,128.40 | | - 1,088.80 |
| 03/07/13 | 107.000 | HARBOR CAPITAL APRCTION-INST #2012<br>ON TRADE DATE 03/06/2013<br>SYMBOL. HACAX CUSIP. 411511504<br>TRADE PRICE $45 0800 | 4,823.56 | | - 4,762 57 |
| 07/18/13 | 459.000 | HARBOR CAPITAL APRCTION-INST #2012<br>ON TRADE DATE 07/17/2013<br>SYMBOL: HACAX CUSIP. 411511504<br>TRADE PRICE: $49.2100 | 22,587.39 | | - 19,539.31 |

## TRANSACTION DETAIL *(continued)*

### Sales *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 07/30/13 | 78.000 | HARBOR CAPITAL APRCTION-INST #2012<br>ON TRADE DATE 07/29/2013<br>SYMBOL: HACAX CUSIP: 411511504<br>TRADE PRICE: $49.5500 | 3,864.90 | | - 2,036.58 |
| 02/08/13 | 2,038.887 | HUSSMAN STRATEGIC GROWTH FUND #601<br>ON TRADE DATE 02/07/2013<br>CUSIP. 448108100<br>TRADE PRICE: $10.4300 | 21,265.59 | | - 24,967.34 |
| 02/12/13 | 19.000 | ISHARES CORE S & P 500 ETF<br>ON TRADE DATE 02/07/2013<br>SOLD THROUGH JP MORGAN SECURITIES, INC<br>SYMBOL: IVV CUSIP: 464287200<br>COMM: 0.57, SEC FEES. $0.07<br>TRADE PRICE. $151.9853 | 2,887.08 | | - 2,643.18 |
| 03/11/13 | 33 000 | ISHARES CORE S & P 500 ETF<br>ON TRADE DATE 03/06/2013<br>SOLD THROUGH BNY BROKERAGE INC.<br>SYMBOL. IVV CUSIP: 464287200<br>COMM: 0.99, SEC FEES: $0 12<br>TRADE PRICE: $155.3500 | 5,125.44 | | - 4,590.78 |
| 07/22/13 | 111.000 | ISHARES CORE S & P 500 ETF<br>ON TRADE DATE 07/17/2013<br>SOLD THROUGH SIDCO / CONVERGEX<br>SYMBOL: IVV CUSIP 464287200<br>COMM: 3.33, SEC FEES: $0.32<br>TRADE PRICE· $168.7507 | 18,727.68 | | - 12,387.92 |
| 08/01/13 | 15.000 | ISHARES CORE S & P 500 ETF<br>ON TRADE DATE 07/29/2013<br>SOLD THROUGH CAP INSTITUTIONAL SERVICES INC<br>SYMBOL· IVV CUSIP: 464287200<br>COMM· 0.45, SEC FEES $0 05<br>TRADE PRICE. $169.6700 | 2,544.55 | | - 1,353.19 |

## TRANSACTION DETAIL *(continued)*

### Sales *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 02/12/13 | 297.000 | ISHARES RUSSELL 2000 GROWTH<br>ON TRADE DATE 02/07/2013<br>SOLD THROUGH GOLDMAN SACHS<br>SYMBOL: IWO CUSIP: 464287648<br>COMM: 8.91, SEC FEES: $0.68<br>TRADE PRICE: $102 1317 | 30,323.52 | | - 27,471.40 |
| 03/07/13 | 56.000 | JP MORGAN MID CAP VALUE-I #758<br>ON TRADE DATE 03/06/2013<br>SYMBOL: FLMVX CUSIP: 339128100<br>TRADE PRICE. $30.5500 | 1,710.80 | | - 1,681 68 |
| 07/18/13 | 74.000 | JP MORGAN MID CAP VALUE-I #758<br>ON TRADE DATE 07/17/2013<br>SYMBOL: FLMVX CUSIP· 339128100<br>TRADE PRICE: $33.7500 | 2,497.50 | | - 2,152.06 |
| 07/30/13 | 50.000 | JP MORGAN MID CAP VALUE-I #758<br>ON TRADE DATE 07/29/2013<br>SYMBOL. FLMVX CUSIP: 339128100<br>TRADE PRICE: $33.8000 | 1,690.00 | | - 1,394.51 |
| 03/08/13 | 336.000 | KALMAR GR W/VAL SM CAP FD #2<br>ON TRADE DATE 03/06/2013<br>SYMBOL. KGSCX CUSIP 483438206<br>TRADE PRICE· $17.0716 | 5,736.06 | | - 5,796 00 |
| 07/18/13 | 74.000 | KALMAR GR W/VAL SM CAP FD #2<br>ON TRADE DATE 07/17/2013<br>SYMBOL. KGSCX CUSIP: 483438206<br>TRADE PRICE: $19.9300 | 1,474 82 | | - 1,276.50 |
| 07/30/13 | 45 000 | KALMAR GR W/VAL SM CAP FD #2<br>ON TRADE DATE 07/29/2013<br>SYMBOL· KGSCX CUSIP· 483438206<br>TRADE PRICE $19.8700 | 894.15 | | - 776.25 |
| 10/15/13 | 28.000 | KALMAR GR W/VAL SM CAP FD #2<br>ON TRADE DATE 10/14/2013<br>SYMBOL: KGSCX CUSIP: 483438206<br>TRADE PRICE· $21.8300 | 611.24 | | - 483.00 |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Sales** *(continued)* | | | | | |
| 02/08/13 | 294.000 | KEELEY SMALL CAP VAL FD CL I #2251<br>ON TRADE DATE 02/07/2013<br>SYMBOL· KSCIX CUSIP. 487300808<br>TRADE PRICE. $31.1200 | 9,149.28 | | - 6,685 91 |
| 03/07/13 | 196.000 | KEELEY SMALL CAP VAL FD CL I #2251<br>ON TRADE DATE 03/06/2013<br>SYMBOL: KSCIX CUSIP. 487300808<br>TRADE PRICE: $31.9100 | 6,254.36 | | - 3,147.69 |
| 07/30/13 | 45.000 | KEELEY SMALL CAP VAL FD CL I #2251<br>ON TRADE DATE 07/29/2013<br>SYMBOL: KSCIX CUSIP· 487300808<br>TRADE PRICE· $34.8300 | 1,567 35 | | - 697.95 |
| 07/30/13 | 245 000 | LAUDUS MONDRIAN INTL FI-INST #2940<br>ON TRADE DATE 07/29/2013<br>CUSIP: 51855Q655<br>TRADE PRICE. $10.8200 | 2,650.90 | | - 2,650.90 |
| 10/15/13 | 62.000 | MERGER FD SH BEN INT #260<br>ON TRADE DATE 10/14/2013<br>CUSIP: 589509108<br>TRADE PRICE: $16.2200 | 1,005 64 | | - 993.86 |
| 03/07/13 | 114.000 | MFS VALUE FUND-CLASS I #893<br>ON TRADE DATE 03/06/2013<br>SYMBOL: MEIIX CUSIP: 552983694<br>TRADE PRICE: $27.9400 | 3,185 16 | | - 3,116.75 |
| 07/18/13 | 556 000 | MFS VALUE FUND-CLASS I #893<br>ON TRADE DATE 07/17/2013<br>SYMBOL: MEIIX CUSIP 552983694<br>TRADE PRICE $30.7500 | 17,097 00 | | - 13,776 00 |
| 07/30/13 | 80.000 | MFS VALUE FUND-CLASS I #893<br>ON TRADE DATE 07/29/2013<br>SYMBOL. MEIIX CUSIP· 552983694<br>TRADE PRICE: $31.0300 | 2,482 40 | | - 1,926.40 |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Sales** *(continued)* | | | | | |
| 03/01/13 | 50,000.000 | MATURED<br>MORGAN STANLEY 5.300% 3/01/13<br>ON TRADE DATE 03/01/2013<br>CUSIP: 617446HR3<br>TRADE PRICE: 100 0000% OF PV | 50,000.00 | | - 51,017.00 |
| 03/07/13 | 328.000 | OPPENHEIMER DEVELOPING MKT-Y #788<br>ON TRADE DATE 03/06/2013<br>SYMBOL: ODVYX CUSIP: 683974505<br>TRADE PRICE: $35.3300 | 11,588.24 | | - 11,715.02 |
| 07/18/13 | 24.000 | OPPENHEIMER DEVELOPING MKT-Y #788<br>ON TRADE DATE 07/17/2013<br>SYMBOL: ODVYX CUSIP: 683974505<br>TRADE PRICE: $34.7100 | 833.04 | | - 792.48 |
| 07/30/13 | 70.000 | OPPENHEIMER DEVELOPING MKT-Y #788<br>ON TRADE DATE 07/29/2013<br>SYMBOL: ODVYX CUSIP: 683974505<br>TRADE PRICE: $34.8600 | 2,440.20 | | - 2,301.01 |
| 10/15/13 | 168 000 | OPPENHEIMER DEVELOPING MKT-Y #788<br>ON TRADE DATE 10/14/2013<br>SYMBOL: ODVYX CUSIP 683974505<br>TRADE PRICE: $37.7800 | 6,347.04 | | - 5,322.95 |
| 07/30/13 | 200.000 | PIMCO FOREIGN BD FD USD H-INST #103<br>ON TRADE DATE 07/29/2013<br>CUSIP: 693390882<br>TRADE PRICE· $10.5800 | 2,116.00 | | - 2,116.00 |
| 02/08/13 | 730.000 | PIMCO TOTAL RET FD-INST #35<br>ON TRADE DATE 02/07/2013<br>CUSIP: 693390700<br>TRADE PRICE: $11 1900 | 8,168.70 | | - 8,468.00 |
| 03/07/13 | 739 000 | PIMCO TOTAL RET FD-INST #35<br>ON TRADE DATE 03/06/2013<br>CUSIP: 693390700<br>TRADE PRICE: $11.2300 | 8,298.97 | | - 8,517.93 |

## TRANSACTION DETAIL *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| **Sales** *(continued)* | | | | | |
| 07/30/13 | 105.000 | PIMCO TOTAL RET FD-INST #35<br>ON TRADE DATE 07/29/2013<br>CUSIP 693390700<br>TRADE PRICE $10.7900 | 1,132.95 | | - 1,132.95 |
| 02/08/13 | 779 000 | RIDGEWORTH SEIX HY BD-I #5855<br>ON TRADE DATE 02/07/2013<br>CUSIP. 76628T645<br>TRADE PRICE: $10.1900 | 7,938.01 | | - 7,889.02 |
| 07/30/13 | 332.000 | RIDGEWORTH SEIX HY BD-I #5855<br>ON TRADE DATE 07/29/2013<br>CUSIP: 76628T645<br>TRADE PRICE· $10.1000 | 3,353.20 | | - 3,353.20 |
| 08/01/13 | 48.000 | SPDR DJ WILSHIRE INTERNATIONAL REAL<br>ON TRADE DATE 07/29/2013<br>SOLD THROUGH BNY BROKERAGE INC.<br>CUSIP 78463X863<br>COMM· 1.44, SEC FEES: $0.03<br>TRADE PRICE: $40.9400 | 1,963.65 | | - 1,976.75 |
| 07/30/13 | 210.000 | T ROWE PRICE SHORT TERM BD FD #55<br>ON TRADE DATE 07/29/2013<br>CUSIP: 77957P105<br>TRADE PRICE: $4.7900 | 1,005.90 | | - 1,005 90 |
| 03/11/13 | 264.000 | VANGUARD FTSE EMERGING MARKETS ETF<br>ON TRADE DATE 03/06/2013<br>SOLD THROUGH BNY BROKERAGE INC.<br>SYMBOL: VWO CUSIP. 922042858<br>COMM. 7.92, SEC FEES: $0.26<br>TRADE PRICE: $43.8501 | 11,568.25 | | - 11,595.23 |
| 08/01/13 | 54 000 | VANGUARD FTSE EMERGING MARKETS ETF<br>ON TRADE DATE 07/29/2013<br>SOLD THROUGH CAP INSTITUTIONAL SERVICES INC<br>SYMBOL: VWO CUSIP: 922042858<br>COMM: 1.62, SEC FEES· $0 04<br>TRADE PRICE: $39.6100 | 2,137.28 | | - 2,155.66 |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Sales** *(continued)* | | | | | |
| 10/17/13 | 129.000 | VANGUARD FTSE EMERGING MARKETS ETF<br>ON TRADE DATE 10/14/2013<br>SOLD THROUGH RBC DAIN RAUSCHER INC<br>SYMBOL: VWO CUSIP: 922042858<br>COMM: 2.58, SEC FEES· $0.10<br>TRADE PRICE: $42 2603 | 5,448.90 | | - 5,322.36 |
| 02/12/13 | 19.000 | VANGUARD REIT VIPER<br>ON TRADE DATE 02/07/2013<br>SOLD THROUGH RBC DAIN RAUSCHER INC<br>CUSIP 922908553<br>COMM: 0 57, SEC FEES· $0.03<br>TRADE PRICE. $68.5216 | 1,301.31 | | - 1,199.75 |
| 03/11/13 | 16.000 | VANGUARD REIT VIPER<br>ON TRADE DATE 03/06/2013<br>SOLD THROUGH BNY BROKERAGE INC<br>CUSIP: 922908553<br>COMM. 0.48, SEC FEES· $0.03<br>TRADE PRICE: $70.2100 | 1,122.85 | | - 1,010.31 |
| 08/01/13 | 36 000 | VANGUARD REIT VIPER<br>ON TRADE DATE 07/29/2013<br>SOLD THROUGH BNY BROKERAGE INC<br>CUSIP: 922908553<br>COMM: 1 08, SEC FEES $0.05<br>TRADE PRICE: $70.7100 | 2,544 43 | | - 2,249.86 |
| **Total Sales** | | | **$595,592.27** | **$0.00** | **- $560,473.63** |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Receipts** | | | | | |
| **TAXABLE** | | | | | |
| Interest | | | | | |
| 03/15/13 | | CATERPILLAR FINL SVC 5 500% 3/15/16<br>INTEREST ON 100,000.000 PAR VALUE<br>AT $0.0275 PER $1 PV<br>CUSIP: 14912L2Y6 | | $2,750.00 | |
| 09/16/13 | | CATERPILLAR FINL SVC 5.500% 3/15/16<br>INTEREST ON 100,000.000 PAR VALUE<br>AT $0.0275 PER $1 PV<br>CUSIP: 14912L2Y6 | | 2,750.00 | |
| 02/26/13 | | FED FARM CREDIT BK 4.920% 8/26/13<br>INTEREST ON 30,000.000 PAR VALUE<br>AT $0.0246 PER $1 PV<br>CUSIP: 31331TBW0 | | 738 00 | |
| 08/26/13 | | FED FARM CREDIT BK 4.920% 8/26/13<br>INTEREST ON 30,000 000 PAR VALUE<br>AT $0.0246 PER $1 PV<br>CUSIP. 31331TBW0 | | 738 00 | |
| 01/07/13 | | FED HOME LN MTG CORP 2.500% 1/07/14<br>INTEREST ON 75,000.000 PAR VALUE<br>AT $0.0125 PER $1 PV<br>CUSIP. 3137EABX6 | | 937.50 | |
| 07/08/13 | | FED HOME LN MTG CORP 2.500% 1/07/14<br>INTEREST ON 75,000.000 PAR VALUE<br>AT $0.0125 PER $1 PV<br>CUSIP: 3137EABX6 | | 937.50 | |
| 01/17/13 | | FED NATL MTG ASSN 4.375% 7/17/13<br>INTEREST ON 25,000.000 PAR VALUE<br>AT $0.021875 PER $1 PV<br>CUSIP: 31359MSL8 | | 546.88 | |
| 07/17/13 | | FED NATL MTG ASSN 4.375% 7/17/13<br>INTEREST ON 25,000.000 PAR VALUE<br>AT $0.021875 PER $1 PV<br>CUSIP 31359MSL8 | | 546.88 | |

## TRANSACTION DETAIL *(continued)*

### Cash Receipts *(continued)*

**TAXABLE** *(continued)*

Interest *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 01/02/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 12/1/12 TO 12/31/12 | | 0.26 | |
| 01/02/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 12/1/12 TO 12/31/12 | | 0.02 | |
| 02/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 1/1/13 TO 1/31/13 | | 0.27 | |
| 02/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 1/1/13 TO 1/31/13 | | 0.09 | |
| 03/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 2/1/13 TO 2/28/13 | | 0.31 | |
| 03/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 2/1/13 TO 2/28/13 | | 0.09 | |
| 04/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 3/1/13 TO 3/31/13 | | 0.58 | |
| 04/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 3/1/13 TO 3/31/13 | | 0.12 | |
| 05/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 4/1/13 TO 4/30/13 | | 0.32 | |
| 05/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 4/1/13 TO 4/30/13 | | 0.12 | |
| 06/03/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 5/1/13 TO 5/31/13 | | 0.31 | |
| 06/03/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 5/1/13 TO 5/31/13 | | 0.10 | |
| 07/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 6/1/13 TO 6/30/13 | | 0.29 | |
| 07/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 6/1/13 TO 6/30/13 | | 0.09 | |
| 08/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 7/1/13 TO 7/31/13 | | 0.45 | |

## TRANSACTION DETAIL *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| **TAXABLE** *(continued)* | | | | | |
| Interest *(continued)* | | | | | |
| 08/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 7/1/13 TO 7/31/13 | | 0.08 | |
| 09/03/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 8/1/13 TO 8/31/13 | | 0.49 | |
| 09/03/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 8/1/13 TO 8/31/13 | | 0 02 | |
| 10/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 9/1/13 TO 9/30/13 | | 0.46 | |
| 10/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 9/1/13 TO 9/30/13 | | 0.04 | |
| 11/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 10/1/13 TO 10/31/13 | | 0.45 | |
| 11/01/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 10/1/13 TO 10/31/13 | | 0.06 | |
| 12/02/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 11/1/13 TO 11/30/13 | | 0.35 | |
| 12/02/13 | | FEDERATED TREAS OBL FD 68<br>INTEREST FROM 11/1/13 TO 11/30/13 | | 0.06 | |
| 01/22/13 | | HSBC FINANCE CORP 5.500% 1/19/16<br>INTEREST ON 25,000.000 PAR VALUE<br>AT $0.0275 PER $1 PV<br>CUSIP· 40429CFN7 | | 687.50 | |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| **TAXABLE** *(continued)* | | | | | |
| Interest *(continued)* | | | | | |
| 07/19/13 | | HSBC FINANCE CORP 5.500% 1/19/16<br>INTEREST ON 25,000.000 PAR VALUE<br>AT $0.0275 PER $1 PV<br>CUSIP: 40429CFN7 | | 687.50 | |
| 03/01/13 | | MORGAN STANLEY 5.300% 3/01/13<br>INTEREST ON 50,000.000 PAR VALUE<br>AT $0.0265 PER $1 PV<br>CUSIP: 617446HR3 | | 1,325.00 | |
| **Total Taxable Interest** | | | | **$12,650.19** | **$0.00** |
| Dividends | | | | | |
| 11/25/13 | | ARTISAN INTERNATIONAL FUND #661<br>DIVIDEND ON 1,182.260 SHARES<br>AT $0 2920 PER SHARE<br>SYMBOL: ARTIX CUSIP 04314H204 | | $345.22 | |
| 12/31/13 | | ASG GLOBAL ALTERNATIVES-Y #1993<br>SHORT TERM CAPITAL GAIN<br>DIVIDEND ON 2,263.786 SHARES<br>AT $0.3460 PER SHARE<br>CUSIP: 63872T885 | | 783.27 | |
| 01/02/13 | | DIVIDEND EARNED ON<br>DIAMOND HILL LONG-SHORT FD CL I #11<br>0.063993 PER SHARE ON 2,072.405 SHARES<br>SYMBOL: DHLSX CUSIP: 25264S833 | | 132.62 | |
| 03/29/13 | | DODGE & COX INCOME FD COM #147<br>DIVIDEND ON 2,688.248 SHARES<br>AT $0.1050 PER SHARE<br>CUSIP 256210105 | | 282.27 | |

## TRANSACTION DETAIL *(continued)*

### Cash Receipts *(continued)*

**TAXABLE** *(continued)*

Dividends *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 06/28/13 | | DODGE & COX INCOME FD COM #147<br>DIVIDEND ON 2,688.248 SHARES<br>AT $0 0950 PER SHARE<br>CUSIP· 256210105 | | 255.38 | |
| 09/30/13 | | DODGE & COX INCOME FD COM #147<br>DIVIDEND ON 3,486.922 SHARES<br>AT $0.1000 PER SHARE<br>CUSIP: 256210105 | | 348.69 | |
| 12/23/13 | | DODGE & COX INCOME FD COM #147<br>DIVIDEND ON 3,534 492 SHARES<br>AT $0.1150 PER SHARE<br>CUSIP· 256210105 | | 406.47 | |
| 12/23/13 | | DODGE & COX INT'L STOCK FD #1048<br>DIVIDEND ON 824 449 SHARES<br>AT $0.6950 PER SHARE<br>SYMBOL: DODFX CUSIP: 256206103 | | 572.99 | |
| 01/02/13 | | DREYFUS EMG MKT DEBT LOC C-I #6083<br>DIVIDEND ON 3,459.155 SHARES<br>AT $0.1230 PER SHARE<br>CUSIP· 261980494 | | 425.48 | |
| 04/03/13 | | DREYFUS EMG MKT DEBT LOC C-I #6083<br>DIVIDEND ON 3,882.950 SHARES<br>AT $0.1620 PER SHARE<br>CUSIP 261980494 | | 629.04 | |
| 07/03/13 | | DREYFUS EMG MKT DEBT LOC C-I #6083<br>DIVIDEND ON 3,882 950 SHARES<br>AT $0.1520 PER SHARE<br>CUSIP· 261980494 | | 590.21 | |
| 10/03/13 | | DREYFUS EMG MKT DEBT LOC C-I #6083<br>DIVIDEND ON 4,442.855 SHARES<br>AT $0 0860 PER SHARE<br>CUSIP· 261980494 | | 382 09 | |

## TRANSACTION DETAIL *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| **TAXABLE** *(continued)* | | | | | |
| Dividends *(continued)* | | | | | |
| 03/22/13 | | DRIEHAUS ACTIVE INCOME FUND<br>DIVIDEND ON 3,641.500 SHARES<br>AT $0.0400 PER SHARE<br>CUSIP: 262028855 | | 145.66 | |
| 06/21/13 | | DRIEHAUS ACTIVE INCOME FUND<br>DIVIDEND ON 3,636.622 SHARES<br>AT $0.0740 PER SHARE<br>CUSIP: 262028855 | | 269.11 | |
| 09/20/13 | | DRIEHAUS ACTIVE INCOME FUND<br>DIVIDEND ON 4,710 612 SHARES<br>AT $0.0490 PER SHARE<br>CUSIP: 262028855 | | 230.82 | |
| 12/19/13 | | DRIEHAUS ACTIVE INCOME FUND<br>DIVIDEND ON 6,089.039 SHARES<br>AT $0.0520 PER SHARE<br>CUSIP: 262028855 | | 316.63 | |
| 08/01/13 | | EATON VANCE GLOBAL MACRO - I #0088<br>DIVIDEND ON 2,602 567 SHARES<br>AT $0.0330 PER SHARE<br>CUSIP: 277923728 | | 85 88 | |
| 09/03/13 | | EATON VANCE GLOBAL MACRO - I #0088<br>DIVIDEND ON 2,602.567 SHARES<br>AT $0.0330 PER SHARE<br>CUSIP: 277923728 | | 85.88 | |
| 10/01/13 | | EATON VANCE GLOBAL MACRO - I #0088<br>DIVIDEND ON 2,678.065 SHARES<br>AT $0.0310 PER SHARE<br>CUSIP: 277923728 | | 83.02 | |
| 11/01/13 | | EATON VANCE GLOBAL MACRO - I #0088<br>DIVIDEND ON 1,376.567 SHARES<br>AT $0.0330 PER SHARE<br>CUSIP: 277923728 | | 45.43 | |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| **TAXABLE** *(continued)* | | | | | |
| Dividends *(continued)* | | | | | |
| 11/29/13 | | EATON VANCE GLOBAL MACRO - I #0088<br>DIVIDEND ON 1,416.452 SHARES<br>AT $0.0310 PER SHARE<br>CUSIP: 277923728 | | 43 91 | |
| 12/31/13 | | EATON VANCE GLOBAL MACRO - I #0088<br>DIVIDEND ON 1,376.567 SHARES<br>AT $0 0330 PER SHARE<br>CUSIP. 277923728 | | 45.43 | |
| 11/04/13 | | FID ADV EMER MKTS INC- CL I #607<br>DIVIDEND ON 0.334 SHARE<br>AT $99.9990 PER SHARE<br>CUSIP: 315920702 | | 33.38 | |
| 12/02/13 | | FID ADV EMER MKTS INC- CL I #607<br>DIVIDEND ON 0 679 SHARE<br>AT $99.9990 PER SHARE<br>CUSIP: 315920702 | | 67.89 | |
| 12/23/13 | | FID ADV EMER MKTS INC- CL I #607<br>SHORT TERM CAPITAL GAIN<br>DIVIDEND ON 1,422.222 SHARES<br>AT $0.0190 PER SHARE<br>CUSIP: 315920702 | | 27.02 | |
| 03/26/13 | | GATEWAY FUND - Y #1986<br>DIVIDEND ON 1,882.547 SHARES<br>AT $0.1060 PER SHARE<br>SYMBOL: GTEYX CUSIP: 367829884 | | 199.55 | |
| 06/25/13 | | GATEWAY FUND - Y #1986<br>DIVIDEND ON 1,878.512 SHARES<br>AT $0.1210 PER SHARE<br>SYMBOL: GTEYX CUSIP 367829884 | | 227.30 | |

## TRANSACTION DETAIL *(continued)*

### Cash Receipts *(continued)*

**TAXABLE** *(continued)*

Dividends *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| 09/27/13 | | GATEWAY FUND - Y #1986<br>DIVIDEND ON 661.429 SHARES<br>AT $0 1220 PER SHARE<br>SYMBOL: GTEYX CUSIP: 367829884 | | 80.69 | |
| 12/20/13 | | GATEWAY FUND - Y #1986<br>DIVIDEND ON 691.616 SHARES<br>AT $0.0990 PER SHARE<br>SYMBOL: GTEYX CUSIP· 367829884 | | 68.47 | |
| 12/19/13 | | HARBOR CAPITAL APRCTION-INST #2012<br>DIVIDEND ON 1,272.222 SHARES<br>AT $0.0450 PER SHARE<br>SYMBOL: HACAX CUSIP: 411511504 | | 57.25 | |
| 01/03/13 | | HUSSMAN STRATEGIC GROWTH FUND #601<br>DIVIDEND ON 2,036 184 SHARES<br>AT $0.1520 PER SHARE<br>CUSIP. 448108100 | | 309.50 | |
| 04/01/13 | | DIVIDEND EARNED ON<br>ISHARES CORE S & P 500 ETF<br>0.742650 PER SHARE ON 212.000 SHARES<br>SYMBOL· IVV CUSIP· 464287200 | | 157.44 | |
| 07/02/13 | | DIVIDEND EARNED ON<br>ISHARES CORE S & P 500 ETF<br>0.808499 PER SHARE ON 212.000 SHARES<br>SYMBOL. IVV CUSIP· 464287200 | | 171 40 | |
| 09/30/13 | | DIVIDEND EARNED ON<br>ISHARES CORE S & P 500 ETF<br>0.835371 PER SHARE ON 86.000 SHARES<br>SYMBOL: IVV CUSIP: 464287200 | | 71.84 | |
| 12/30/13 | | DIVIDEND EARNED ON<br>ISHARES CORE S & P 500 ETF<br>0.958645 PER SHARE ON 107 000 SHARES<br>SYMBOL. IVV CUSIP· 464287200 | | 102.58 | |

## TRANSACTION DETAIL *(continued)*

### Cash Receipts *(continued)*

**TAXABLE** *(continued)*

Dividends *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 12/16/13 | | JP MORGAN MID CAP VALUE-I #758<br>SHORT TERM CAPITAL GAIN<br>DIVIDEND ON 872 985 SHARES<br>AT $0.3250 PER SHARE<br>SYMBOL: FLMVX CUSIP: 339128100 | | 283.72 | |
| 12/24/13 | | JP MORGAN MID CAP VALUE-I #758<br>DIVIDEND ON 871.699 SHARES<br>AT $0.3060 PER SHARE<br>SYMBOL: FLMVX CUSIP: 339128100 | | 266.74 | |
| 01/04/13 | | KEELEY SMALL CAP VAL FD CL I #2251<br>DIVIDEND ON 1,038.704 SHARES<br>AT $0 1620 PER SHARE<br>SYMBOL. KSCIX CUSIP: 487300808 | | 168 27 | |
| 01/02/13 | | DIVIDEND EARNED ON<br>MERGER FD SH BEN INT #260<br>0.259277 PER SHARE ON 1,168.719 SHARES<br>CUSIP: 589509108 | | 303.02 | |
| 01/02/13 | | MERGER FD SH BEN INT #260<br>SHORT TERM CAPITAL GAIN<br>DIVIDEND ON 1,168.719 SHARES<br>AT $0.06307 PER SHARE<br>CUSIP. 589509108 | | 73.71 | |
| 12/31/13 | | DIVIDEND EARNED ON<br>MERGER FD SH BEN INT #260<br>0.311014 PER SHARE ON 2,402.018 SHARES<br>CUSIP· 589509108 | | 747.06 | |
| 12/31/13 | | MERGER FD SH BEN INT #260<br>SHORT TERM CAPITAL GAIN<br>DIVIDEND ON 2,402.018 SHARES<br>AT $0.07947 PER SHARE<br>CUSIP· 589509108 | | 190.89 | |

## TRANSACTION DETAIL *(continued)*

### Cash Receipts *(continued)*

**TAXABLE** *(continued)*

Dividends *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 04/02/13 | | MFS VALUE FUND-CLASS I #893<br>DIVIDEND ON 1,985.214 SHARES<br>AT $0.1170 PER SHARE<br>SYMBOL· MEIIX CUSIP: 552983694 | | 232.27 | |
| 07/01/13 | | MFS VALUE FUND-CLASS I #893<br>DIVIDEND ON 1,980.269 SHARES<br>AT $0.1490 PER SHARE<br>SYMBOL: MEIIX CUSIP. 552983694 | | 295.06 | |
| 09/30/13 | | MFS VALUE FUND-CLASS I #893<br>DIVIDEND ON 1,342.314 SHARES<br>AT $0.1210 PER SHARE<br>SYMBOL: MEIIX CUSIP: 552983694 | | 162.42 | |
| 12/12/13 | | MFS VALUE FUND-CLASS I #893<br>DIVIDEND ON 1,428.503 SHARES<br>AT $0.1670 PER SHARE<br>SYMBOL: MEIIX CUSIP: 552983694 | | 238.56 | |
| 12/12/13 | | MFS VALUE FUND-CLASS I #893<br>SHORT TERM CAPITAL GAIN<br>DIVIDEND ON 1,424.101 SHARES<br>AT $0.1390 PER SHARE<br>SYMBOL· MEIIX CUSIP: 552983694 | | 197.95 | |
| 12/12/13 | | DIVIDEND EARNED ON<br>OPPENHEIMER DEVELOPING MKT-Y #788<br>0.163500 PER SHARE ON 831.323 SHARES<br>SYMBOL: ODVYX CUSIP. 683974505 | | 135.92 | |
| 01/03/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 12/1/12 TO 12/31/12 | | 16.63 | |
| 02/04/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 1/1/13 TO 1/31/13 | | 13.52 | |

## TRANSACTION DETAIL *(continued)*

### Cash Receipts *(continued)*

**TAXABLE** *(continued)*

Dividends *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| 03/04/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 2/1/13 TO 2/28/13 | | 14.08 | |
| 04/02/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 3/1/13 TO 3/31/13 | | 61.50 | |
| 05/02/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 4/1/13 TO 4/30/13 | | 102.39 | |
| 06/04/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 5/1/13 TO 5/31/13 | | 98.45 | |
| 07/02/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 6/1/13 TO 6/30/13 | | 94.62 | |
| 08/02/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 7/1/13 TO 7/31/13 | | 96.35 | |
| 09/04/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 8/1/13 TO 8/31/13 | | 102.52 | |
| 10/02/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 9/1/13 TO 9/30/13 | | 92.74 | |
| 11/04/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 10/1/13 TO 10/31/13 | | 125.86 | |
| 12/03/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>CUSIP: 693390882<br>DIVIDEND FROM 11/1/13 TO 11/30/13 | | 103.00 | |

## TRANSACTION DETAIL *(continued)*

### Cash Receipts *(continued)*

**TAXABLE** *(continued)*

Dividends *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 12/13/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>SHORT TERM CAPITAL GAIN<br>DIVIDEND ON 5,527.338 SHARES<br>AT $0.09286 PER SHARE<br>CUSIP: 693390882 | | 513.27 | |
| 01/03/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP: 693390700<br>DIVIDEND FROM 12/1/12 TO 12/31/12 | | 120.52 | |
| 02/04/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP: 693390700<br>DIVIDEND FROM 1/1/13 TO 1/31/13 | | 90.20 | |
| 03/04/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP: 693390700<br>DIVIDEND FROM 2/1/13 TO 2/28/13 | | 89.92 | |
| 04/02/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP: 693390700<br>DIVIDEND FROM 3/1/13 TO 3/31/13 | | 93.49 | |
| 05/02/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP: 693390700<br>DIVIDEND FROM 4/1/13 TO 4/30/13 | | 106.21 | |
| 06/04/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP: 693390700<br>DIVIDEND FROM 5/1/13 TO 5/31/13 | | 87.90 | |
| 07/02/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP: 693390700<br>DIVIDEND FROM 6/1/13 TO 6/30/13 | | 60.30 | |
| 08/02/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP: 693390700<br>DIVIDEND FROM 7/1/13 TO 7/31/13 | | 76.29 | |
| 09/04/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP: 693390700<br>DIVIDEND FROM 8/1/13 TO 8/31/13 | | 86.99 | |

## TRANSACTION DETAIL *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| **TAXABLE** *(continued)* | | | | | |
| Dividends *(continued)* | | | | | |
| 10/02/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP: 693390700<br>DIVIDEND FROM 9/1/13 TO 9/30/13 | | 81.94 | |
| 11/04/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP. 693390700<br>DIVIDEND FROM 10/1/13 TO 10/31/13 | | 92 67 | |
| 12/04/13 | | PIMCO TOTAL RET FD-INST #35<br>CUSIP 693390700<br>DIVIDEND FROM 11/1/13 TO 11/30/13 | | 88.81 | |
| 12/13/13 | | PIMCO TOTAL RET FD-INST #35<br>SHORT TERM CAPITAL GAIN<br>DIVIDEND ON 4,414.196 SHARES<br>AT $0.01146 PER SHARE<br>CUSIP: 693390700 | | 50.59 | |
| 01/04/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 5,207.267 SHARES<br>CUSIP 76628T645 | | 273.73 | |
| 02/05/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 5,207.267 SHARES<br>CUSIP: 76628T645 | | 256.05 | |
| 03/05/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 4,428.267 SHARES<br>CUSIP: 76628T645 | | 239.66 | |
| 04/03/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 6,984.365 SHARES<br>CUSIP: 76628T645 | | 310.63 | |
| 05/03/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 6,984.365 SHARES<br>CUSIP: 76628T645 | | 347.67 | |
| 06/05/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 6,984.365 SHARES<br>CUSIP. 76628T645 | | 339.29 | |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| **TAXABLE** *(continued)* | | | | | |
| Dividends *(continued)* | | | | | |
| 07/03/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 6,984.365 SHARES<br>CUSIP: 76628T645 | | 362.55 | |
| 08/05/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 7,467.689 SHARES<br>CUSIP: 76628T645 | | 351 48 | |
| 09/05/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 7,467.689 SHARES<br>CUSIP: 76628T645 | | 369.54 | |
| 10/03/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 7,467.689 SHARES<br>CUSIP: 76628T645 | | 340.91 | |
| 11/05/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 7,764.914 SHARES<br>CUSIP. 76628T645 | | 375.54 | |
| 12/03/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 7,764.914 SHARES<br>CUSIP: 76628T645 | | 385 78 | |
| 12/20/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>DIVIDEND ON 9,487.500 SHARES<br>AT $0.0040 PER SHARE<br>CUSIP: 76628T645 | | 37.95 | |
| 12/20/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>SHORT TERM CAPITAL GAIN<br>DIVIDEND ON 8,122.000 SHARES<br>AT $0.0200 PER SHARE<br>CUSIP: 76628T645 | | 162.44 | |
| 01/04/13 | | DIVIDEND EARNED ON<br>SPDR DJ WILSHIRE INTERNATIONAL REAL<br>1.604305 PER SHARE ON 926.000 SHARES<br>CUSIP: 78463X863 | | 1,485.59 | |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| **TAXABLE** *(continued)* | | | | | |
| Dividends *(continued)* | | | | | |
| 03/27/13 | | DIVIDEND EARNED ON<br>SPDR DJ WILSHIRE INTERNATIONAL REAL<br>0.172410 PER SHARE ON 926.000 SHARES<br>CUSIP 78463X863 | | 159.65 | |
| 07/03/13 | | DIVIDEND EARNED ON<br>SPDR DJ WILSHIRE INTERNATIONAL REAL<br>0.557038 PER SHARE ON 926.000 SHARES<br>CUSIP. 78463X863 | | 515.82 | |
| 10/02/13 | | DIVIDEND EARNED ON<br>SPDR DJ WILSHIRE INTERNATIONAL REAL<br>0.279631 PER SHARE ON 907.000 SHARES<br>CUSIP: 78463X863 | | 253 63 | |
| 01/04/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 2,850 143 SHARES<br>CUSIP: 77957P105 | | 18.95 | |
| 02/05/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 2,850.143 SHARES<br>CUSIP: 77957P105 | | 16.42 | |
| 03/05/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 4,057.143 SHARES<br>CUSIP· 77957P105 | | 22.79 | |
| 04/03/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 4,057.143 SHARES<br>CUSIP 77957P105 | | 27.12 | |
| 05/03/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 4,057.143 SHARES<br>CUSIP. 77957P105 | | 29.35 | |
| 06/05/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 4,057.143 SHARES<br>CUSIP· 77957P105 | | 27.49 | |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| **TAXABLE** *(continued)* | | | | | |
| Dividends *(continued)* | | | | | |
| 07/03/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 4,057.143 SHARES<br>CUSIP. 77957P105 | | 22.67 | |
| 08/05/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 6,784.643 SHARES<br>CUSIP: 77957P105 | | 30.59 | |
| 09/05/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 8,583.806 SHARES<br>CUSIP· 77957P105 | | 46.59 | |
| 10/03/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 8,583.806 SHARES<br>CUSIP: 77957P105 | | 48.12 | |
| 11/05/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 8,690.487 SHARES<br>CUSIP: 77957P105 | | 51.27 | |
| 12/03/13 | | T ROWE PRICE SHORT TERM BD FD #55<br>DIVIDEND ON 8,690.487 SHARES<br>CUSIP: 77957P105 | | 53.92 | |
| 03/28/13 | | DIVIDEND EARNED ON<br>VANGUARD FTSE EMERGING MARKETS ETF<br>0.058000 PER SHARE ON 883 000 SHARES<br>SYMBOL VWO CUSIP: 922042858 | | 51.21 | |
| 06/28/13 | | DIVIDEND EARNED ON<br>VANGUARD FTSE EMERGING MARKETS ETF<br>0.506000 PER SHARE ON 883 000 SHARES<br>SYMBOL. VWO CUSIP: 922042858 | | 446.80 | |
| 09/27/13 | | DIVIDEND EARNED ON<br>VANGUARD FTSE EMERGING MARKETS ETF<br>0.345000 PER SHARE ON 871.000 SHARES<br>SYMBOL· VWO CUSIP: 922042858 | | 300.50 | |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| **TAXABLE** *(continued)* | | | | | |
| Dividends *(continued)* | | | | | |
| 12/27/13 | | DIVIDEND EARNED ON<br>VANGUARD FTSE EMERGING MARKETS ETF<br>0.216000 PER SHARE ON 742.000 SHARES<br>SYMBOL· VWO CUSIP· 922042858 | | 160.27 | |
| 03/28/13 | | VANGUARD REIT VIPER<br>DIVIDEND ON 559.000 SHARES<br>AT $0.5340 PER SHARE<br>CUSIP· 922908553 | | 298.51 | |
| 06/28/13 | | DIVIDEND EARNED ON<br>VANGUARD REIT VIPER<br>0.631000 PER SHARE ON 559.000 SHARES<br>CUSIP· 922908553 | | 352 73 | |
| 09/27/13 | | DIVIDEND EARNED ON<br>VANGUARD REIT VIPER<br>0.618000 PER SHARE ON 523.000 SHARES<br>CUSIP: 922908553 | | 323.21 | |
| 12/31/13 | | DIVIDEND EARNED ON<br>VANGUARD REIT VIPER<br>1 008000 PER SHARE ON 579.000 SHARES<br>CUSIP 922908553 | | 583.63 | |
| **Total Taxable Dividends** | | | | **$23,416.21** | **$0.00** |
| **Total Taxable** | | | | **$36,066.40** | **$0.00** |
| **Total Taxable & Tax Exempt** | | | | **$36,066.40** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

### Cash Receipts

MISCELLANEOUS

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 01/09/13 | | OTHER CASH RECEIPT<br>PRE RESOURCES ROCKIES, L.P. CK#<br>13937 DTD12/27/12 | $14.54 | | |
| 01/18/13 | | OTHER CASH RECEIPT<br>STATE OF SOUTH DAKOTA CK# 12089550<br>DTD 1/11/13 | 250.00 | | |
| 03/01/13 | | OTHER CASH RECEIPT<br>STATE OF SOUTH DAKOTA CK# 12100214<br>DTD 2/25/13<br>STUDENT ID 7119470 ASHLEY SCHULTZ | 1,000.00 | | |
| 03/19/13 | | OTHER CASH RECEIPT<br>PRE RESOURCES ROCKIES L.P. CK#<br>15241 DTD 3/06/13 | 7.25 | | |
| 08/15/13 | | CLASS ACTION SETTLEMENT<br>WASHINGTON MUTUAL, CLASS ACTION<br>939322103 | 14.57 | | |
| 09/09/13 | | OTHER CASH RECEIPT<br>FROM ALVIN COMMUNITY COLLEGE, CK<br>#0139083<br>DTD 9/5/13 | 2,000.00 | | |
| 09/11/13 | | OTHER CASH RECEIPT<br>STATE OF SOUTH DAKOTA CK# 12138481<br>DTD 9/3/13 | 2,000.00 | | |
| 11/25/13 | | ARTISAN MID CAP FUND-INS #1333<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 904.746 SHARES<br>AT $3.7980 PER SHARE<br>SYMBOL: APHMX CUSIP. 04314H600 | 3,436.23 | | |
| 12/31/13 | | ASG GLOBAL ALTERNATIVES-Y #1993<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 2,261.922 SHARES<br>AT $0.3330 PER SHARE<br>CUSIP: 63872T885 | 753.22 | | |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| MISCELLANEOUS *(continued)* | | | | | |
| 12/31/13 | | DREYFUS EMG MKT DEBT LOC C-I #6083<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 3,228.485 SHARES<br>AT $0.0660 PER SHARE<br>CUSIP. 261980494 | 213.08 | | |
| 12/19/13 | | HARBOR CAPITAL APRCTION-INST #2012<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 1,269.532 SHARES<br>AT $1.7290 PER SHARE<br>SYMBOL: HACAX CUSIP. 411511504 | 2,195.02 | | |
| 12/16/13 | | JP MORGAN MID CAP VALUE-I #758<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 871.277 SHARES<br>AT $1.1280 PER SHARE<br>SYMBOL: FLMVX CUSIP: 339128100 | 982 80 | | |
| 12/09/13 | | LAUDUS MONDRIAN INTL FI-INST #2940<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 5,371.628 SHARES<br>AT $0 0651 PER SHARE<br>CUSIP: 51855Q655 | 349.69 | | |
| 04/02/13 | | MFS VALUE FUND-CLASS I #893<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 2,596.667 SHARES<br>AT $0.0030 PER SHARE<br>SYMBOL: MEIIX CUSIP. 552983694 | 7.79 | | |
| 12/12/13 | | MFS VALUE FUND-CLASS I #893<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 1,424.195 SHARES<br>AT $0 4410 PER SHARE<br>SYMBOL MEIIX CUSIP: 552983694 | 628.07 | | |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Receipts** *(continued)* | | | | | |
| MISCELLANEOUS *(continued)* | | | | | |
| 12/12/13 | | OPPENHEIMER DEVELOPING MKT-Y #788<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 831.323 SHARES<br>AT $0.17922 PER SHARE<br>SYMBOL· ODVYX CUSIP· 683974505 | 148.99 | | |
| 12/13/13 | | PIMCO FOREIGN BD FD USD H-INST #103<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 5,527.338 SHARES<br>AT $0.03165 PER SHARE<br>CUSIP: 693390882 | 174.94 | | |
| 12/13/13 | | PIMCO TOTAL RET FD-INST #35<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 4,414 196 SHARES<br>AT $0.05996 PER SHARE<br>CUSIP· 693390700 | 264.67 | | |
| 12/20/13 | | RIDGEWORTH SEIX HY BD-I #5855<br>LONG TERM CAPITAL GAIN<br>DIVIDEND ON 7,774 179 SHARES<br>AT $0.3350 PER SHARE<br>CUSIP· 76628T645 | 2,604.35 | | |
| **Total Miscellaneous** | | | **$17,045.21** | **$0.00** | **$0.00** |
| **Total Cash Receipts** | | | **$17,045.21** | **$36,066.40** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Disbursements** | | | | | |
| PAID TO/FOR - ADAMS MUSEUM AND HOUSE | | | | | |
| 04/30/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT FROM WALTER AND FRANCES GREEN FOUNDATION<br>PER LTR FROM DAN LIEKVOLD DTD 04/30/2013 | - $2,500 00 | | |
| **Total Paid To/For - ADAMS MUSEUM AND HOUSE** | | | **- $2,500.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - ALVIN COMMUNITY COLLEGE | | | | | |
| 07/31/13 | | DIST TO/FOR BENEFICIARY/CLIENT<br>2013 GREEN FOUNDATION SCHOLARSHIP-ASHLEY KJELLSEN | - $2,000.00 | | |
| **Total Paid To/For - ALVIN COMMUNITY COLLEGE** | | | **- $2,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - BHSU FOR HIGH SCHOOL DUAL ENROLLMENT | | | | | |
| 08/19/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT FOR HIGH SCHOOL DUAL ENROLLMENT | - $2,500.00 | | |
| **Total Paid To/For - BHSU FOR HIGH SCHOOL DUAL ENROLLMENT** | | | **- $2,500.00** | **$0.00** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

### Cash Disbursements *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| PAID TO/FOR - BLACK HILLS STATE UNIVERSITY | | | | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT 2013 GREEN SCHOLARSHIP- PATRICK BRICK | - $2,000.00 | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT 2013 GREEN SCHOLARSHIP- SAMANTHA GREGORY | - 2,000.00 | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT 2013 GREEN SCHOLARSHIP- SARAH SHOOP | - 3,000 00 | | |
| **Total Paid To/For - BLACK HILLS STATE UNIVERSITY** | | | **- $7,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - CENTRAL WYOMING COLLEGE | | | | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT 2013 GREEN SCHOLARSHIP - DARYON BAUMBERGER | - $2,000.00 | | |
| **Total Paid To/For - CENTRAL WYOMING COLLEGE** | | | **- $2,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - CHADRON STATE UNIVERSITY | | | | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT 2013 GREEN SCHOLARSHIP- MIKAYLA GALLAGHER | - $2,000.00 | | |
| **Total Paid To/For - CHADRON STATE UNIVERSITY** | | | **- $2,000.00** | **$0.00** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

### Cash Disbursements *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| PAID TO/FOR - DAKOTA WESLEYAN UNIVERSITY | | | | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT<br>2013 GREEN SCHOLARSHIP- GABE DIRKSEN | - $3,000.00 | | |
| **Total Paid To/For - DAKOTA WESLEYAN UNIVERSITY** | | | **- $3,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - DICKINSON STATE UNIVERSITY | | | | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT<br>2013 GREEN SCHOLARSHIP- SHELBY STAGNER | - $3,000.00 | | |
| **Total Paid To/For - DICKINSON STATE UNIVERSITY** | | | **- $3,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - FIRST STEP CHILD CARE CENTER | | | | | |
| 04/18/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT FOR FIRST STEP CHILDCARE CENTER<br>PER LTR FROM DAN LIEKVOLD DTD 04/15/13 | | - $1,200.00 | |
| **Total Paid To/For - FIRST STEP CHILD CARE CENTER** | | | **$0.00** | **- $1,200.00** | **$0.00** |
| PAID TO/FOR - HANDLEY REC CENTER | | | | | |
| 07/18/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT FOR HANDLEY REC CENTER<br>PER LTR FROM DAN LIEKVOLD DTD 7.16.13 | - $500.00 | | |
| **Total Paid To/For - HANDLEY REC CENTER** | | | **- $500.00** | **$0.00** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

### Cash Disbursements *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| PAID TO/FOR - L/D MIDDLE SCHOOL OUTLAW RANCH | | | | | |
| 07/18/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT FOR LEAD DEADWOOD MIDDLE SCHOOL OUTLAW RANCH<br>PER LTR FROM DAN LIEKVOLD DTD 07.16.13 | - $2,500 00 | | |
| **Total Paid To/For - L/D MIDDLE SCHOOL OUTLAW RANCH** | | | **- $2,500.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - L/D MIDDLE SCHOOL STUDENT COUNCIL | | | | | |
| 07/18/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT FOR L/D MIDDLE SCHOOL STUDENT COUNCIL<br>PER LTR FROM DAN LIEKVOLD DTD 7.16.13 | - $1,500.00 | | |
| **Total Paid To/For - L/D MIDDLE SCHOOL STUDENT COUNCIL** | | | **- $1,500.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - LD MIDDLE SCHOOL SPEECH AND DEBATE | | | | | |
| 07/18/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT FOR L/D MIDDLE SCHOOL SPEECH AND DEBATE<br>PER LTR FROM DAN LIEKVOLD DTD 7 16.13 | - $1,000.00 | | |
| **Total Paid To/For - LD MIDDLE SCHOOL SPEECH AND DEBATE** | | | **- $1,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - LDHS ARCHERY PROGRAM | | | | | |
| 06/03/13 | | CHARITABLE CASH CONTRIBUTION<br>DONATION TO LDHS ARCHERY PROGRAM<br>PER LTR FROM DAN LIEKVOLD DTD 05/30/2013 | - $500 00 | | |
| **Total Paid To/For - LDHS ARCHERY PROGRAM** | | | **- $500.00** | **$0.00** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| **Cash Disbursements** *(continued)* | | | | | |
| PAID TO/FOR - LEAD DEADWOOD ARTS CENTER | | | | | |
| 07/12/13 | | CHARITABLE CASH CONTRIBUTION<br>DONATION TO LEAD DEADWOOD ARTS CENTER<br>PER LTR FROM DAN LIEKVOLD 04/15/2013 | - $1,500 00 | | |
| **Total Paid To/For - LEAD DEADWOOD ARTS CENTER** | | | **- $1,500.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - LEAD DEADWOOD HIGH SCHOOL VOLLEYBALL | | | | | |
| 07/18/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT FOR LEAD DEADWOOD HIGH SCHOOL VOLLEYBALL<br>PER LTR FROM DAN LIEKVOLD DTD 07 16.13 | - $300.00 | | |
| **Total Paid To/For - LEAD DEADWOOD HIGH SCHOOL VOLLEYBALL** | | | **- $300.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - LEAD DEADWOOD HIGH/MIDDLE SCHOOL PE | | | | | |
| 11/20/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT FROM WALTER AND FRANCES GREEN FOUNDATION<br>PER LTR FROM DAN LIEKVOLD | - $1,000 00 | | |
| **Total Paid To/For - LEAD DEADWOOD HIGH/MIDDLE SCHOOL PE** | | | **- $1,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - LEAD DEADWOOD WELLNESS DAY | | | | | |
| 07/18/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT FOR LEAD DEADWOOD WELLNESS DAY<br>PER LTR FROM DAN LIEKVOLD DTD 07 16 13 | - $2,500 00 | | |
| **Total Paid To/For - LEAD DEADWOOD WELLNESS DAY** | | | **- $2,500.00** | **$0.00** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

### Cash Disbursements *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| PAID TO/FOR - LEAD DEADWOOD 7TH GRADE PROJECT CITI | | | | | |
| 04/18/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT TO LEAD DEADWOOD 7TH GRADE PROJECT CITIZEN<br>PER LTR FROM DAN LIEKVOLD DTD 04/15/2013 | | - $150.00 | |
| **Total Paid To/For - LEAD DEADWOOD 7TH GRADE PROJECT CITI** | | | **$0.00** | **- $150.00** | **$0.00** |
| PAID TO/FOR - LEAD HIGH SCHOOL STUDENT COUNCIL | | | | | |
| 04/15/13 | | CHARITABLE CASH CONTRIBUTION<br>PER DAN LIEKVOLD LTR DTD 04.13.13 | | - $1,700.00 | |
| **Total Paid To/For - LEAD HIGH SCHOOL STUDENT COUNCIL** | | | **$0.00** | **- $1,700.00** | **$0.00** |
| PAID TO/FOR - NORTHERN HILLS JUNIOR ACHIEVEMENT | | | | | |
| 04/18/13 | | CHARITABLE CASH CONTRIBUTION<br>GRANT TO NORTHERN HILLS JUNIOR ACHIEVEMENT<br>PER LTR FROM DAN LIEKVOLD DTD 04/15/2013 | | - $1,000.00 | |
| **Total Paid To/For - NORTHERN HILLS JUNIOR ACHIEVEMENT** | | | **$0.00** | **- $1,000.00** | **$0.00** |
| PAID TO/FOR - NORTHERN STATE UNIVERSITY | | | | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT<br>2013 GREEN SCHOLARSHIP- JACQUE BRATCHER | - $2,000.00 | | |
| **Total Paid To/For - NORTHERN STATE UNIVERSITY** | | | **- $2,000.00** | **$0.00** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Disbursements** *(continued)* | | | | | |
| PAID TO/FOR - SD SCHOOL OF MINES AND TECHNOLOGY | | | | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT 2013 GREEN SCHOLARSHIP- BLAKE BAUER | - $2,000.00 | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT 2013 GREEN SCHOLARSHIP- DEREK MORRISON | - 2,000.00 | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT 2013 GREEN SCHOLARSHIP- GARRETT MACK | - 3,000.00 | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT 2013 GREEN SCHOLARSHIP- DAKOTAH SIMPSON | - 4,000 00 | | |
| **Total Paid To/For - SD SCHOOL OF MINES AND TECHNOLOGY** | | | **- $11,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - SOUTH DAKOTA STATE UNIVERSITY | | | | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT 2013 GREEN SCHOLARSHIP- GENAE MESSNER | - $2,000 00 | | |
| **Total Paid To/For - SOUTH DAKOTA STATE UNIVERSITY** | | | **- $2,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - TEEN COURT | | | | | |
| 04/17/13 | | CHARITABLE CASH CONTRIBUTION TEEN COURT MINI GRANT | | - $500.00 | |
| **Total Paid To/For - TEEN COURT** | | | **$0.00** | **- $500.00** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Cash Disbursements** *(continued)* | | | | | |
| PAID TO/FOR - UNIVERSITY CENTER USD | | | | | |
| 09/25/13 | | CHARITABLE CASH CONTRIBUTION<br>2013 GREEN SCHOLARSHIP-GENAE<br>MESSNER 7195995 | - $2,000.00 | | |
| **Total Paid To/For - UNIVERSITY CENTER USD** | | | **- $2,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - UNIVERSITY OF WYOMING | | | | | |
| 07/30/13 | | DIST TO/FOR BENEFICIARY/CLIENT<br>2013 GREEN SCHOLARSHIP- SETH<br>KUCHENBECKER | - $3,000.00 | | |
| **Total Paid To/For - UNIVERSITY OF WYOMING** | | | **- $3,000.00** | **$0.00** | **$0.00** |
| PAID TO/FOR - WALTER & FRANCES GREEN CHARITABLE TR | | | | | |
| 12/05/13 | | PAID TO NOONEY SOLAY & VAN NORMAN,<br>LLP<br>DIST TO/FOR BENEFICIARY/CLIENT<br>ACCT NO. 01S111-00M, STMT NO. 12 DTD 11/12/13 | - $1,939.80 | | |
| 12/05/13 | | PAID TO CASEY PETERSON & ASSOCIATES,<br>LTD<br>DIST TO/FOR BENEFICIARY/CLIENT<br>CLIENT NO 1926 DTD 11/6/13; INVOICE NO 108578 | - 1,053.80 | | |
| **Total Paid To/For - WALTER & FRANCES GREEN CHARITABLE TR** | | | **- $2,993.60** | **$0.00** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

### Cash Disbursements *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| PAID TO/FOR - WESTERN DAKOTA TECHNICAL INSTITUTE | | | | | |
| 02/21/13 | | DIST TO/FOR BENEFICIARY/CLIENT<br>2012 GREEN SCHOLARSHIP - JESSIE<br>RANTAPAA<br>PER INSTRUCTIONS RECIEVED ON 02/21/2013 | - $250 00 | | |
| **Total Paid To/For - WESTERN DAKOTA TECHNICAL INSTITUTE** | | | **- $250.00** | **$0.00** | **$0.00** |
| **Total Paid To/For** | | | **- $58,543.60** | **- $4,550.00** | **$0.00** |
| EXPENSES - NOONEY SOLAY & VAN NORMA LLP | | | | | |
| 03/18/13 | | LEGAL FEE FOR TRUST/ESTATE<br>W & F GREEN CHARITABLE TR AC#<br>01S111-00M STMT# 11<br>DTD 3/7/13 | - $789.78 | | |
| **Total Expenses - NOONEY SOLAY & VAN NORMA LLP** | | | **- $789.78** | **$0.00** | **$0.00** |
| **Total Expenses** | | | **- $789.78** | **$0.00** | **$0.00** |
| **Total Cash Disbursements** | | | **- $59,333.38** | **- $4,550.00** | **$0.00** |

## TRANSACTION DETAIL *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| **Assets Received** | | | | | |
| OTHER ASSETS RECEIVED | | | | | |
| 11/07/13 | 847 901 | SHARE CLASS EXCHANGE RECEIVED<br>847.901 SHARES OF KALMAR GR W/ VAL<br>SM CAP-INS #4 DISTRIBUTION 11/07/13 0.99909297<br>SHARES FOR EACH SHARE HELD OF KALMAR GR W/VAL SM<br>CAP FD #2<br>SYMBOL. KGSIX CUSIP: 483438305<br>VALUE· $18,696 22 | | | $14,639.58 |
| **Total Other Assets Received** | | **Value: $18,696.22** | **$0.00** | **$0.00** | **$14,639.58** |
| **Total Assets Received** | | **Value: $18,696.22** | **$0.00** | **$0.00** | **$14,639.58** |
| **Assets Disbursed** | | | | | |
| OTHER ASSETS DELIVERED | | | | | |
| 11/07/13 | 848.671 | SHARE CLASS EXCHANGE DELIVERED<br>848.671 SHARES OF KALMAR GR W/VAL SM<br>CAP FD #2<br>SYMBOL: KGSCX CUSIP: 483438206<br>VALUE: $18,696.22 | | | - $14,639.58 |
| **Total Other Assets Delivered** | | **Value: $18,696.22** | **$0.00** | **$0.00** | **- $14,639.58** |
| **Total Assets Disbursed** | | **Value: $18,696.22** | **$0.00** | **$0.00** | **- $14,639.58** |
| **Cash Sweep Activity** | | | | | |
| 12/31/13 | 582,628.300 | SUMMARY OF PURCHASE TRANSACTIONS | - $548,583.21 | - $34,045.09 | $582,628.30 |
| 12/31/13 | 563,908.910 | SUMMARY OF SALES TRANSACTIONS | 534,475.87 | 29,433.04 | - 563,908.91 |
| **Total Cash Sweep Activity** | | | **- $14,107.34** | **- $4,612.05** | **$18,719.39** |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Miscellaneous** | | | | | |
| COST BASIS ADJUSTMENTS | | | | | |
| 07/30/13 | | FED BASIS OF CREDIT SUISSE COMM RET<br>ST-I #2156 ADJUSTED BY 152.79- USD<br>OLD· 606.16 USD/NEW. 453 37 USD<br>SYMBOL: CRSOX CUSIP: 22544R305<br>FIXED FEDRL TX CST FROM $606.16 TO $453.37<br>WASH ADJUSTMENT SALE | | | - $152.79 |
| 07/30/13 | | FED BASIS OF CREDIT SUISSE COMM RET<br>ST-I #2156 ADJUSTED BY 182.18- USD<br>OLD: 872.73 USD/NEW: 690.55 USD<br>SYMBOL: CRSOX CUSIP· 22544R305<br>FIXED FEDRL TX CST FROM $872 73 TO $690.55<br>WASH ADJUSTMENT SALE | | | - 182.18 |
| 07/30/13 | | FED BASIS OF CREDIT SUISSE COMM RET<br>ST-I #2156 ADJUSTED BY 152.79 USD<br>OLD. 463.39 USD/NEW. 616.18 USD<br>SYMBOL. CRSOX CUSIP: 22544R305<br>FIXED FEDRL TX CST FROM $463.39 TO $616.18<br>WASH ADJUSTMENT PURCHASE | | | 152.79 |
| 07/30/13 | | FED BASIS OF CREDIT SUISSE COMM RET<br>ST-I #2156 ADJUSTED BY 182.18 USD<br>OLD: 705.81 USD/NEW: 887.99 USD<br>SYMBOL: CRSOX CUSIP: 22544R305<br>FIXED FEDRL TX CST FROM $705.81 TO $887.99<br>WASH ADJUSTMENT PURCHASE | | | 182 18 |
| 07/30/13 | | FED BASIS OF DODGE & COX INCOME FD<br>COM #147 ADJUSTED BY 26 10- USD OLD<br>1,244.70 USD/NEW: 1,218.60 USD<br>CUSIP: 256210105<br>FIXED FEDRL TX CST FROM $1244 70 TO $1218 60<br>WASH ADJUSTMENT SALE | | | - 26.10 |
| 07/30/13 | | FED BASIS OF DODGE & COX INCOME FD<br>COM #147 ADJUSTED BY 26 10 USD OLD·<br>1,221.30 USD/NEW: 1,247.40 USD<br>CUSIP· 256210105<br>FIXED FEDRL TX CST FROM $1221.30 TO $1247.40 | | | 26.10 |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Miscellaneous** *(continued)*<br>COST BASIS ADJUSTMENTS *(continued)* | | | | | |
| | | WASH ADJUSTMENT PURCHASE | | | |
| 07/30/13 | | FED BASIS OF DREYFUS EMG MKT DEBT<br>LOC C-I #6083 ADJUSTED BY 242.35-<br>USD OLD: 2,845.30 USD/NEW· 2,602.95 USD<br>CUSIP: 261980494<br>FIXED FEDRL TX CST FROM $2845.30 TO $2602.95<br>WASH ADJUSTMENT SALE | | | - 242.35 |
| 07/30/13 | | FED BASIS OF DREYFUS EMG MKT DEBT<br>LOC C-I #6083 ADJUSTED BY 242.35 USD<br>OLD· 2,632.55 USD/NEW. 2,874.90 USD<br>CUSIP: 261980494<br>FIXED FEDRL TX CST FROM $2632.55 TO $2874.90<br>WASH ADJUSTMENT PURCHASE | | | 242.35 |
| 07/30/13 | | FED BASIS OF DRIEHAUS ACTIVE INCOME<br>FUND ADJUSTED BY 6 45- USD OLD·<br>2,317.70 USD/NEW: 2,311.25 USD<br>CUSIP. 262028855<br>FIXED FEDRL TX CST FROM $2317.70 TO $2311.25<br>WASH ADJUSTMENT SALE | | | - 6.45 |
| 07/30/13 | | FED BASIS OF DRIEHAUS ACTIVE INCOME<br>FUND ADJUSTED BY 6.45 USD OLD·<br>2,309 10 USD/NEW· 2,315.55 USD<br>CUSIP. 262028855<br>FIXED FEDRL TX CST FROM $2309 10 TO $2315.55<br>WASH ADJUSTMENT PURCHASE | | | 6.45 |
| 07/30/13 | | FED BASIS OF LAUDUS MONDRIAN INTL<br>FI-INST #2940 ADJUSTED BY 257.25-<br>USD OLD: 2,908 15 USD/NEW: 2,650.90 USD<br>CUSIP· 51855Q655<br>FIXED FEDRL TX CST FROM $2908.15 TO $2650.90<br>WASH ADJUSTMENT SALE | | | - 257 25 |

## TRANSACTION DETAIL *(continued)*

### Miscellaneous *(continued)*

COST BASIS ADJUSTMENTS *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| 07/30/13 | | FED BASIS OF LAUDUS MONDRIAN INTL<br>FI-INST #2940 ADJUSTED BY 257.25 USD<br>OLD 2,623.95 USD/NEW: 2,881.20 USD<br>CUSIP· 51855Q655<br>FIXED FEDRL TX CST FROM $2623.95 TO $2881.20<br>WASH ADJUSTMENT PURCHASE | | | 257.25 |
| 07/30/13 | | FED BASIS OF PIMCO FOREIGN BD FD USD<br>H-INST #103 ADJUSTED BY 44.00- USD<br>OLD· 2,160.00 USD/NEW: 2,116.00 USD<br>CUSIP: 693390882<br>FIXED FEDRL TX CST FROM $2160.00 TO $2116.00<br>WASH ADJUSTMENT SALE | | | - 44.00 |
| 07/30/13 | | FED BASIS OF PIMCO FOREIGN BD FD USD<br>H-INST #103 ADJUSTED BY 44.00 USD<br>OLD· 2,124.00 USD/NEW· 2,168.00 USD<br>CUSIP: 693390882<br>FIXED FEDRL TX CST FROM $2124.00 TO $2168.00<br>WASH ADJUSTMENT PURCHASE | | | 44.00 |
| 07/30/13 | | FED BASIS OF PIMCO TOTAL RET FD-INST<br>#35 ADJUSTED BY 71.40- USD OLD.<br>1,204.35 USD/NEW. 1,132.95 USD<br>CUSIP: 693390700<br>FIXED FEDRL TX CST FROM $1204.35 TO $1132.95<br>WASH ADJUSTMENT SALE | | | - 71.40 |
| 07/30/13 | | FED BASIS OF PIMCO TOTAL RET FD-INST<br>#35 ADJUSTED BY 71.40 USD OLD:<br>1,138.20 USD/NEW 1,209.60 USD<br>CUSIP: 693390700<br>FIXED FEDRL TX CST FROM $1138.20 TO $1209.60<br>WASH ADJUSTMENT PURCHASE | | | 71.40 |
| 03/11/13 | | FED BASIS OF RIDGEWORTH SEIX HY BD-I<br>#5855 ADJUSTED BY 6.07- USD OLD<br>1,240.70 USD/NEW. 1,234.63 USD<br>CUSIP· 76628T645<br>FIXED FEDRL TX CST FROM $1240.70 TO $1234.63 | | | - 6.07 |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Miscellaneous** *(continued)* | | | | | |
| COST BASIS ADJUSTMENTS *(continued)* | | | | | |
| | | WASH ADJUSTMENT SALE | | | |
| 03/11/13 | | FED BASIS OF RIDGEWORTH SEIX HY BD-I<br>#5855 ADJUSTED BY 6.07 USD OLD:<br>1,241.90 USD/NEW: 1,247.97 USD<br>CUSIP: 76628T645<br>FIXED FEDRL TX CST FROM $1241.90 TO $1247.97<br>WASH ADJUSTMENT PURCHASE | | | 6.07 |
| 07/30/13 | | FED BASIS OF RIDGEWORTH SEIX HY BD-I<br>#5855 ADJUSTED BY 24.24- USD OLD<br>1,247.97 USD/NEW: 1,223.73 USD<br>CUSIP· 76628T645<br>FIXED FEDRL TX CST FROM $1247.97 TO $1223.73<br>WASH ADJUSTMENT SALE | | | - 24.24 |
| 07/30/13 | | FED BASIS OF RIDGEWORTH SEIX HY BD-I<br>#5855 ADJUSTED BY 31.63- USD OLD.<br>2,161.10 USD/NEW: 2,129.47 USD<br>CUSIP: 76628T645<br>FIXED FEDRL TX CST FROM $2161.10 TO $2129.47<br>WASH ADJUSTMENT SALE | | | - 31.63 |
| 07/30/13 | | FED BASIS OF RIDGEWORTH SEIX HY BD-I<br>#5855 ADJUSTED BY 24.24 USD OLD:<br>1,233.42 USD/NEW: 1,257.66 USD<br>CUSIP: 76628T645<br>FIXED FEDRL TX CST FROM $1233 42 TO $1257.66<br>WASH ADJUSTMENT PURCHASE | | | 24.24 |
| 07/30/13 | | FED BASIS OF RIDGEWORTH SEIX HY BD-I<br>#5855 ADJUSTED BY 31.63 USD OLD:<br>2,146.34 USD/NEW. 2,177.97 USD<br>CUSIP. 76628T645<br>FIXED FEDRL TX CST FROM $2146.34 TO $2177 97<br>WASH ADJUSTMENT PURCHASE | | | 31.63 |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Miscellaneous** *(continued)* | | | | | |
| COST BASIS ADJUSTMENTS *(continued)* | | | | | |
| 07/30/13 | | FED BASIS OF T ROWE PRICE SHORT TERM<br>BD FD #55 ADJUSTED BY 10.50- USD<br>OLD: 1,016 40 USD/NEW: 1,005.90 USD<br>CUSIP 77957P105<br>FIXED FEDRL TX CST FROM $1016.40 TO $1005.90<br>WASH ADJUSTMENT SALE | | | - 10.50 |
| 07/30/13 | | FED BASIS OF T ROWE PRICE SHORT TERM<br>BD FD #55 ADJUSTED BY 10.50 USD OLD:<br>1,008.00 USD/NEW. 1,018.50 USD<br>CUSIP 77957P105<br>FIXED FEDRL TX CST FROM $1008.00 TO $1018.50<br>WASH ADJUSTMENT PURCHASE | | | 10.50 |
| 08/01/13 | | FED BASIS OF VANGUARD FTSE EMERGING<br>MARKETS ETF ADJUSTED BY 64.33- USD<br>OLD 2,219.99 USD/NEW: 2,155.66 USD<br>SYMBOL· VWO CUSIP: 922042858<br>FIXED FEDRL TX CST FROM $2219.99 TO $2155.66<br>WASH ADJUSTMENT SALE | | | - 64 33 |
| 08/01/13 | | FED BASIS OF VANGUARD FTSE EMERGING<br>MARKETS ETF ADJUSTED BY 64.33 USD<br>OLD· 1,684.76 USD/NEW: 1,749.09 USD<br>SYMBOL: VWO CUSIP: 922042858<br>FIXED FEDRL TX CST FROM $1684.76 TO $1749.09<br>WASH ADJUSTMENT PURCHASE | | | 64.33 |
| 06/20/13 | | FED BASIS OF VANGUARD REIT VIPER<br>ADJUSTED BY 315.89- USD OLD·<br>14,505.79 USD/NEW: 14,189.90 USD<br>CUSIP: 922908553<br>2012 RETURN OF CAPITAL | | | - 315.89 |

## TRANSACTION DETAIL *(continued)*

| Date | Quantity | Description | Principal Cash | Income Cash | Cost Basis |
|---|---|---|---|---|---|
| **Miscellaneous** *(continued)* | | | | | |
| COST BASIS ADJUSTMENTS *(continued)* | | | | | |
| 06/20/13 | | FED BASIS OF VANGUARD REIT VIPER<br>ADJUSTED BY 3.89- USD OLD: 181.37<br>USD/NEW: 177.48 USD<br>CUSIP: 922908553<br>2012 RETURN OF CAPITAL | | | - 3.89 |
| 06/20/13 | | FED BASIS OF VANGUARD REIT VIPER<br>ADJUSTED BY 42.81- USD OLD: 4,167.55<br>USD/NEW: 4,124.74 USD<br>CUSIP: 922908553<br>2012 RETURN OF CAPITAL | | | - 42.81 |
| **Total Cost Basis Adjustments** | | | **$0.00** | **$0.00** | **- $362.59** |
| OTHER | | | | | |
| 03/11/13 | | GAIN/LOSS FOR 02/08/13 TRN #ZY000511<br>042821 HAS BEEN RECALCULATED. OLD<br>VALUES WERE: A FEDERAL TAX COST OF 7895.09 AND A<br>STATE TAX COST OF 7895 09 | | | |
| **Total Other** | | | **$0.00** | **$0.00** | **$0.00** |
| **Total Miscellaneous** | | | **$0.00** | **$0.00** | **- $362.59** |

## TRANSACTION DETAIL *(continued)*

| DATE | QUANTITY | DESCRIPTION | PRINCIPAL CASH | INCOME CASH | COST BASIS |
|---|---|---|---|---|---|
| **Transfers Within Account** | | | | | |
| 07/18/13 | | TRANSFER TO PRINCIPAL<br>TO COVER 2013 GRAMT PAYMENTS MADE<br>FROM PRINCIPAL | | - $12,800.00 | |
| 07/18/13 | | TRANSFER FROM INCOME<br>TO COVER 2013 GRAMT PAYMENTS MADE<br>FROM PRINCIPAL | 12,800.00 | | |
| **Total Transfers Within Account** | | | **$12,800.00** | **- $12,800.00** | **$0.00** |
| **Wells Fargo Bank Fees** | | | | | |
| 01/22/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - $1,018.78 | |
| 02/20/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,096.40 | |
| 03/20/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,094.18 | |
| 04/22/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,108.79 | |
| 05/20/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,117.02 | |
| 06/20/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,105.22 | |
| 07/22/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,083.74 | |
| 08/20/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,069.61 | |
| 09/20/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,052.82 | |
| 10/21/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,082.72 | |
| 11/20/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,100.50 | |
| 12/20/13 | | WELLS FARGO BANK FEE - INC COLLECTED | | - 1,100.95 | |
| **Total Wells Fargo Bank Fees** | | | **$0.00** | **- $13,030.73** | **$0.00** |
| **TOTAL TRANSACTIONS** | | | **$966.30** | **$1,073.62** | **$8,913.63** |
| | | **Ending Balance:** | **$966.30** | **$1,766.65** | **$1,156,539.05** |

## REALIZED GAIN/LOSS DETAIL

| Date Sold | Quantity | Asset Description | Cost Basis | Proceeds | Short Term Realized Gain/Loss | Long Term Realized Gain/Loss |
|---|---|---|---|---|---|---|
| 02/08/13 | 88.000 | **ARTISAN INTERNATIONAL FUND #661** | - $2,054.80 | $2,229.92 | $175.12 | $0.00 |
| | | 88.0000 UNITS ACQUIRED ON 11/19/12 | 2,054.80 | | | |
| 03/07/13 | 666.000 | **ARTISAN INTERNATIONAL FUND #661** | - 11,727.15 | 17,236.08 | 276.75 | 5,232.18 |
| | | 109.3850 UNITS ACQUIRED ON 11/19/12 | 2,554.13 | | | |
| | | 556.6150 UNITS ACQUIRED ON 05/26/09 | 9,173.02 | | | |
| 07/18/13 | 196.000 | **ARTISAN INTERNATIONAL FUND #661** | - 3,181.33 | 5,325.32 | 0.00 | 2,143.99 |
| | | 43 6720 UNITS ACQUIRED ON 05/26/09 | 719.71 | | | |
| | | 152.3280 UNITS ACQUIRED ON 06/23/09 | 2,461.62 | | | |
| 07/30/13 | 70.000 | **ARTISAN INTERNATIONAL FUND #661** | - 1,131.20 | 1,913.80 | 0.00 | 782.60 |
| | | 70.0000 UNITS ACQUIRED ON 06/23/09 | 1,131.20 | | | |
| 03/07/13 | 51.000 | **ARTISAN MID CAP FUND-INS #1333** | - 2,126.19 | 2,158.83 | 32.64 | 0.00 |
| | | 51.0000 UNITS ACQUIRED ON 02/11/13 | 2,126.19 | | | |
| 07/30/13 | 58.000 | **ARTISAN MID CAP FUND-INS #1333** | - 2,692.33 | 2,713.24 | 20.91 | 0.00 |
| | | 50.9880 UNITS ACQUIRED ON 07/19/13 | 2,400.00 | | | |
| | | 7 0120 UNITS ACQUIRED ON 02/11/13 | 292.33 | | | |
| 07/30/13 | 80.000 | **ASG GLOBAL ALTERNATIVES-Y #1993** | - 927.20 | 913.60 | - 13.60 | 0.00 |
| | | 80.0000 UNITS ACQUIRED ON 07/19/13 | 927 20 | | | |
| 07/30/13 | 158.000 | **CREDIT SUISSE COMM RET ST-I #2156** | - 1,143.92 | 1,143.92 | 0.00 | 0.00 |
| | | 62 6200 UNITS ACQUIRED ON 03/01/11 | 453.37 | | | |
| | | 95.3800 UNITS ACQUIRED ON 08/12/11 | 690.55 | | | |
| 10/15/13 | 5,312.019 | **CREDIT SUISSE COMM RET ST-I #2156** | - 47,040.19 | 39,202.70 | - 615.64 | - 7,221.85 |
| | | 3,523 0000 UNITS ACQUIRED ON 10/08/10 | 31,707.00 | | | |
| | | 235.4240 UNITS ACQUIRED ON 08/12/11 | 2,154.13 | | | |
| | | 342 9920 UNITS ACQUIRED ON 10/24/11 | 2,946 30 | | | |
| | | 328.3200 UNITS ACQUIRED ON 02/14/12 | 2,767.74 | | | |
| | | 724 2830 UNITS ACQUIRED ON 11/19/12 | 5,960.85 | | | |
| | | 62.6200 UNITS ACQUIRED ON 02/19/11 | 616.18 | | | |
| | | 95.3800 UNITS ACQUIRED ON 08/02/11 | 887.99 | | | |
| 02/08/13 | 71.000 | **DIAMOND HILL LONG-SHORT FD CL I #11** | - 1,202.03 | 1,397.28 | 0.00 | 195.25 |
| | | 71.0000 UNITS ACQUIRED ON 03/01/11 | 1,202.03 | | | |

## REALIZED GAIN/LOSS DETAIL *(continued)*

| Date Sold | Quantity | Asset Description | Cost Basis | Proceeds | Short Term Realized Gain/Loss | Long Term Realized Gain/Loss |
|---|---|---|---|---|---|---|
| 03/07/13 | 2,001.405 | **DIAMOND HILL LONG-SHORT FD CL I #11** | **- 33,164.31** | **39,567.78** | **1,330.01** | **5,073.46** |
| | | 1,152.1660 UNITS ACQUIRED ON 05/03/10 | 18,549.87 | | | |
| | | 67.0000 UNITS ACQUIRED ON 10/08/10 | 1,062.62 | | | |
| | | 13.0000 UNITS ACQUIRED ON 11/23/10 | 203 97 | | | |
| | | 82.5740 UNITS ACQUIRED ON 03/01/11 | 1,397.97 | | | |
| | | 74.6140 UNITS ACQUIRED ON 08/12/11 | 1,179 64 | | | |
| | | 400.5520 UNITS ACQUIRED ON 08/02/12 | 6,969.60 | | | |
| | | 211.4990 UNITS ACQUIRED ON 11/19/12 | 3,800.64 | | | |
| 02/08/13 | 906.000 | **DODGE & COX INCOME FD COM #147** | **- 12,620.58** | **12,557.16** | **- 63.42** | **0.00** |
| | | 906.0000 UNITS ACQUIRED ON 11/19/12 | 12,620 58 | | | |
| 03/07/13 | 573.000 | **DODGE & COX INCOME FD COM #147** | **- 7,942.69** | **7,964.70** | **22.01** | **0.00** |
| | | 181 0000 UNITS ACQUIRED ON 11/19/12 | 2,521.33 | | | |
| | | 392.0000 UNITS ACQUIRED ON 08/02/12 | 5,421 36 | | | |
| 07/30/13 | 90.000 | **DODGE & COX INCOME FD COM #147** | **- 1,218.60** | **1,218.60** | **0.00** | **0.00** |
| | | 90.0000 UNITS ACQUIRED ON 08/02/12 | 1,218.60 | | | |
| 02/08/13 | 78.000 | **DODGE & COX INT'L STOCK FD #1048** | **- 2,328.30** | **2,798.64** | **0.00** | **470.34** |
| | | 78 0000 UNITS ACQUIRED ON 02/05/10 | 2,328.30 | | | |
| 03/07/13 | 454.000 | **DODGE & COX INT'L STOCK FD #1048** | **- 13,923.42** | **16,403.02** | **806.15** | **1,673.45** |
| | | 83 5330 UNITS ACQUIRED ON 05/10/12 | 2,564.45 | | | |
| | | 103.9930 UNITS ACQUIRED ON 11/19/12 | 3,404.72 | | | |
| | | 266.4740 UNITS ACQUIRED ON 02/05/10 | 7,954.25 | | | |
| 07/18/13 | 150.000 | **DODGE & COX INT'L STOCK FD #1048** | **- 4,477.50** | **5,754.00** | **0.00** | **1,276.50** |
| | | 150.0000 UNITS ACQUIRED ON 02/05/10 | 4,477.50 | | | |
| 07/30/13 | 60.000 | **DODGE & COX INT'L STOCK FD #1048** | **- 1,791.00** | **2,318.40** | **0.00** | **527.40** |
| | | 60.0000 UNITS ACQUIRED ON 02/05/10 | 1,791.00 | | | |
| 02/08/13 | 558.000 | **DREYFUS EMG MKT DEBT LOC C-I #6083** | **- 8,414.64** | **8,643.42** | **0.00** | **228.78** |
| | | 558.0000 UNITS ACQUIRED ON 10/08/10 | 8,414.64 | | | |
| 07/30/13 | 185.000 | **DREYFUS EMG MKT DEBT LOC C-I #6083** | **- 2,602.95** | **2,602.95** | **0.00** | **0.00** |
| | | 185.0000 UNITS ACQUIRED ON 03/08/13 | 2,602.95 | | | |
| 10/15/13 | 1,253.000 | **DREYFUS EMG MKT DEBT LOC C-I #6083** | **- 19,208.86** | **17,905.37** | **- 1,227.65** | **- 75.84** |
| | | 96.0000 UNITS ACQUIRED ON 10/08/10 | 1,447.68 | | | |
| | | 796.7950 UNITS ACQUIRED ON 03/08/13 | 12,254.70 | | | |
| | | 185.0000 UNITS ACQUIRED ON 02/26/13 | 2,874.90 | | | |
| | | 175.2050 UNITS ACQUIRED ON 11/19/12 | 2,631.58 | | | |
| 07/30/13 | 215.000 | **DRIEHAUS ACTIVE INCOME FUND** | **- 2,311.25** | **2,311.25** | **0.00** | **0.00** |
| | | 215.0000 UNITS ACQUIRED ON 03/08/13 | 2,311.25 | | | |

## REALIZED GAIN/LOSS DETAIL *(continued)*

| DATE SOLD | QUANTITY | ASSET DESCRIPTION | COST BASIS | PROCEEDS | SHORT TERM REALIZED GAIN/LOSS | LONG TERM REALIZED GAIN/LOSS |
|---|---|---|---|---|---|---|
| 07/30/13 | 120.000 | **EATON VANCE GLOBAL MACRO - I #0088** | - 1,159.20 | 1,156.80 | - 2.40 | 0.00 |
| | | 120.0000 UNITS ACQUIRED ON 07/19/13 | 1,159.20 | | | |
| 10/15/13 | 1,226.000 | **EATON VANCE GLOBAL MACRO - I #0088** | - 11,843.16 | 11,548.92 | - 294.24 | 0.00 |
| | | 1,226.0000 UNITS ACQUIRED ON 07/19/13 | 11,843.16 | | | |
| 08/26/13 | 30,000.000 | **FED FARM CREDIT BK 4.920% 8/26/13** | - 29,569.50 | 30,000.00 | 0.00 | 430.50 |
| | | 30,000.0000 UNITS ACQUIRED ON 08/21/03 | 29,569.50 | | | |
| 07/17/13 | 25,000.000 | **FED NATL MTG ASSN 4.375% 7/17/13** | - 25,553.25 | 25,000.00 | 0.00 | - 553.25 |
| | | 25,000.0000 UNITS ACQUIRED ON 11/24/08 | 25,553.25 | | | |
| 07/18/13 | 1,174.000 | **GATEWAY FUND - Y #1986** | - 32,580.17 | 33,012.88 | 432.71 | 0.00 |
| | | 554.5990 UNITS ACQUIRED ON 02/11/13 | 15,367.95 | | | |
| | | 457.3060 UNITS ACQUIRED ON 03/08/13 | 12,800.00 | | | |
| | | 162.0950 UNITS ACQUIRED ON 08/02/12 | 4,412.22 | | | |
| 07/30/13 | 40.000 | **GATEWAY FUND - Y #1986** | - 1,088.80 | 1,128.40 | 39.60 | 0.00 |
| | | 40.0000 UNITS ACQUIRED ON 08/02/12 | 1,088.80 | | | |
| 03/07/13 | 107.000 | **HARBOR CAPITAL APRCTION-INST #2012** | - 4,762.57 | 4,823.56 | 60.99 | 0.00 |
| | | 107.0000 UNITS ACQUIRED ON 02/11/13 | 4,762.57 | | | |
| 07/18/13 | 459.000 | **HARBOR CAPITAL APRCTION-INST #2012** | - 19,539.31 | 22,587.39 | 2,774.01 | 274.07 |
| | | 204.3970 UNITS ACQUIRED ON 11/19/12 | 8,425 23 | | | |
| | | 242 7380 UNITS ACQUIRED ON 02/11/13 | 10,804.28 | | | |
| | | 11.8650 UNITS ACQUIRED ON 05/26/09 | 309.80 | | | |
| 07/30/13 | 78.000 | **HARBOR CAPITAL APRCTION-INST #2012** | - 2,036.58 | 3,864.90 | 0.00 | 1,828.32 |
| | | 78.0000 UNITS ACQUIRED ON 05/26/09 | 2,036.58 | | | |
| 02/08/13 | 2,038.887 | **HUSSMAN STRATEGIC GROWTH FUND #601** | - 24,967.34 | 21,265.59 | - 722.07 | - 2,979.68 |
| | | 535.4420 UNITS ACQUIRED ON 08/17/09 | 6,966.10 | | | |
| | | 198.0720 UNITS ACQUIRED ON 02/05/10 | 2,547.20 | | | |
| | | 614 1080 UNITS ACQUIRED ON 03/01/11 | 7,400.00 | | | |
| | | 72.6670 UNITS ACQUIRED ON 04/28/11 | 880.00 | | | |
| | | 379.0000 UNITS ACQUIRED ON 02/14/12 | 4,502 52 | | | |
| | | 239.5980 UNITS ACQUIRED ON 11/19/12 | 2,671.52 | | | |
| 02/12/13 | 19.000 | **ISHARES CORE S & P 500 ETF** | - 2,643.18 | 2,887.08 | 243.90 | 0.00 |
| | | 19.0000 UNITS ACQUIRED ON 07/31/12 | 2,643.18 | | | |
| 03/11/13 | 33.000 | **ISHARES CORE S & P 500 ETF** | - 4,590.78 | 5,125.44 | 534.66 | 0.00 |
| | | 33.0000 UNITS ACQUIRED ON 07/31/12 | 4,590.78 | | | |

## REALIZED GAIN/LOSS DETAIL *(continued)*

| Date Sold | Quantity | Asset Description | Cost Basis | Proceeds | Short Term Realized Gain/Loss | Long Term Realized Gain/Loss |
|---|---|---|---|---|---|---|
| 07/22/13 | 111.000 | **ISHARES CORE S & P 500 ETF** | **- 12,387.92** | **18,727.68** | **1,472.42** | **4,867.34** |
| | | 14.0000 UNITS ACQUIRED ON 07/31/12 | 1,947.60 | | | |
| | | 35.0000 UNITS ACQUIRED ON 11/19/12 | 4,847.15 | | | |
| | | 62 0000 UNITS ACQUIRED ON 05/22/09 | 5,593.17 | | | |
| 08/01/13 | 15.000 | **ISHARES CORE S & P 500 ETF** | **- 1,353.19** | **2,544.55** | **0.00** | **1,191.36** |
| | | 15 0000 UNITS ACQUIRED ON 05/22/09 | 1,353.19 | | | |
| 02/12/13 | 297.000 | **ISHARES RUSSELL 2000 GROWTH** | **- 27,471.40** | **30,323.52** | **2,852.12** | **0.00** |
| | | 154.0000 UNITS ACQUIRED ON 11/19/12 | 13,835.01 | | | |
| | | 143.0000 UNITS ACQUIRED ON 12/19/12 | 13,636.39 | | | |
| 03/07/13 | 56.000 | **JP MORGAN MID CAP VALUE-I #758** | **- 1,681.68** | **1,710.80** | **29.12** | **0.00** |
| | | 56.0000 UNITS ACQUIRED ON 02/11/13 | 1,681.68 | | | |
| 07/18/13 | 74.000 | **JP MORGAN MID CAP VALUE-I #758** | **- 2,152.06** | **2,497.50** | **345.44** | **0.00** |
| | | 41 2170 UNITS ACQUIRED ON 02/11/13 | 1,237.74 | | | |
| | | 32.7830 UNITS ACQUIRED ON 11/19/12 | 914.32 | | | |
| 07/30/13 | 50.000 | **JP MORGAN MID CAP VALUE-I #758** | **- 1,394.51** | **1,690.00** | **295.49** | **0.00** |
| | | 50.0000 UNITS ACQUIRED ON 11/19/12 | 1,394.51 | | | |
| 03/08/13 | 336.000 | **KALMAR GR W/VAL SM CAP FD #2** | **- 5,796.00** | **5,736.06** | **- 59.94** | **0.00** |
| | | 336.0000 UNITS ACQUIRED ON 02/11/13 | 5,796.00 | | | |
| 07/18/13 | 74.000 | **KALMAR GR W/VAL SM CAP FD #2** | **- 1,276.50** | **1,474.82** | **198.32** | **0.00** |
| | | 74.0000 UNITS ACQUIRED ON 02/11/13 | 1,276.50 | | | |
| 07/30/13 | 45.000 | **KALMAR GR W/VAL SM CAP FD #2** | **- 776.25** | **894.15** | **117.90** | **0.00** |
| | | 45.0000 UNITS ACQUIRED ON 02/11/13 | 776.25 | | | |
| 10/15/13 | 28.000 | **KALMAR GR W/VAL SM CAP FD #2** | **- 483.00** | **611.24** | **128.24** | **0.00** |
| | | 28 0000 UNITS ACQUIRED ON 02/11/13 | 483.00 | | | |
| 02/08/13 | 294.000 | **KEELEY SMALL CAP VAL FD CL I #2251** | **- 6,685.91** | **9,149.28** | **249.77** | **2,213.60** |
| | | 201 1100 UNITS ACQUIRED ON 08/12/11 | 4,528.99 | | | |
| | | 60 1840 UNITS ACQUIRED ON 11/19/12 | 1,623.16 | | | |
| | | 32 7060 UNITS ACQUIRED ON 05/26/09 | 533.76 | | | |
| 03/07/13 | 196.000 | **KEELEY SMALL CAP VAL FD CL I #2251** | **- 3,147.69** | **6,254.36** | **0.00** | **3,106.67** |
| | | 132.9900 UNITS ACQUIRED ON 05/26/09 | 2,170.40 | | | |
| | | 63.0100 UNITS ACQUIRED ON 06/23/09 | 977.29 | | | |
| 07/30/13 | 45.000 | **KEELEY SMALL CAP VAL FD CL I #2251** | **- 697.95** | **1,567.35** | **0.00** | **869.40** |
| | | 45 0000 UNITS ACQUIRED ON 06/23/09 | 697.95 | | | |
| 07/30/13 | 245.000 | **LAUDUS MONDRIAN INTL FI-INST #2940** | **- 2,650.90** | **2,650.90** | **0.00** | **0.00** |
| | | 245.0000 UNITS ACQUIRED ON 03/01/11 | 2,650.90 | | | |

## REALIZED GAIN/LOSS DETAIL *(continued)*

| DATE SOLD | QUANTITY | ASSET DESCRIPTION | COST BASIS | PROCEEDS | SHORT TERM REALIZED GAIN/LOSS | LONG TERM REALIZED GAIN/LOSS |
|---|---|---|---|---|---|---|
| 10/15/13 | 62.000 | **MERGER FD SH BEN INT #260** | **- 993.86** | **1,005.64** | **11.78** | **0.00** |
| | | 62.0000 UNITS ACQUIRED ON 07/19/13 | 993.86 | | | |
| 03/07/13 | 114.000 | **MFS VALUE FUND-CLASS I #893** | **- 3,116.75** | **3,185.16** | **68.41** | **0.00** |
| | | 114.0000 UNITS ACQUIRED ON 02/11/13 | 3,116.75 | | | |
| 07/18/13 | 556.000 | **MFS VALUE FUND-CLASS I #893** | **- 13,776.00** | **17,097.00** | **1,478.85** | **1,842.15** |
| | | 221.3840 UNITS ACQUIRED ON 11/19/12 | 5,527.96 | | | |
| | | 58.4310 UNITS ACQUIRED ON 02/11/13 | 1,597 50 | | | |
| | | 276 1850 UNITS ACQUIRED ON 02/14/12 | 6,650.54 | | | |
| 07/30/13 | 80.000 | **MFS VALUE FUND-CLASS I #893** | **- 1,926.40** | **2,482.40** | **0.00** | **556.00** |
| | | 80.0000 UNITS ACQUIRED ON 02/14/12 | 1,926.40 | | | |
| 03/01/13 | 50,000.000 | **MORGAN STANLEY 5.300% 3/01/13** | **- 51,017.00** | **50,000.00** | **0.00** | **- 1,017.00** |
| | | 50,000.0000 UNITS ACQUIRED ON 11/14/03 | 51,017.00 | | | |
| 03/07/13 | 328.000 | **OPPENHEIMER DEVELOPING MKT-Y #788** | **- 11,715.02** | **11,588.24** | **- 126.78** | **0.00** |
| | | 326.3640 UNITS ACQUIRED ON 02/11/13 | 11,661.00 | | | |
| | | 1.6360 UNITS ACQUIRED ON 11/19/12 | 54.02 | | | |
| 07/18/13 | 24.000 | **OPPENHEIMER DEVELOPING MKT-Y #788** | **- 792.48** | **833.04** | **40.56** | **0.00** |
| | | 24.0000 UNITS ACQUIRED ON 11/19/12 | 792.48 | | | |
| 07/30/13 | 70.000 | **OPPENHEIMER DEVELOPING MKT-Y #788** | **- 2,301.01** | **2,440.20** | **112.33** | **26.86** |
| | | 61.0480 UNITS ACQUIRED ON 11/19/12 | 2,015 80 | | | |
| | | 8.9520 UNITS ACQUIRED ON 05/10/12 | 285.21 | | | |
| 10/15/13 | 168.000 | **OPPENHEIMER DEVELOPING MKT-Y #788** | **- 5,322.95** | **6,347.04** | **0.00** | **1,024.09** |
| | | 33.8310 UNITS ACQUIRED ON 05/10/12 | 1,077.85 | | | |
| | | 134 1690 UNITS ACQUIRED ON 08/12/11 | 4,245.10 | | | |
| 07/30/13 | 200.000 | **PIMCO FOREIGN BD FD USD H-INST #103** | **- 2,116.00** | **2,116.00** | **0.00** | **0.00** |
| | | 200.0000 UNITS ACQUIRED ON 03/08/13 | 2,116.00 | | | |
| 02/08/13 | 730.000 | **PIMCO TOTAL RET FD-INST #35** | **- 8,468.00** | **8,168.70** | **- 299.30** | **0.00** |
| | | 730.0000 UNITS ACQUIRED ON 11/19/12 | 8,468.00 | | | |
| 03/07/13 | 739.000 | **PIMCO TOTAL RET FD-INST #35** | **- 8,517.93** | **8,298.97** | **- 218.96** | **0.00** |
| | | 320.0000 UNITS ACQUIRED ON 11/19/12 | 3,712.00 | | | |
| | | 419.0000 UNITS ACQUIRED ON 08/02/12 | 4,805.93 | | | |
| 07/30/13 | 105.000 | **PIMCO TOTAL RET FD-INST #35** | **- 1,132.95** | **1,132.95** | **0.00** | **0.00** |
| | | 105.0000 UNITS ACQUIRED ON 08/02/12 | 1,132.95 | | | |

## REALIZED GAIN/LOSS DETAIL *(continued)*

| DATE SOLD | QUANTITY | ASSET DESCRIPTION | COST BASIS | PROCEEDS | SHORT TERM REALIZED GAIN/LOSS | LONG TERM REALIZED GAIN/LOSS |
|---|---|---|---|---|---|---|
| **02/08/13** | **779.000** | **RIDGEWORTH SEIX HY BD-I #5855** | **- 7,889.02** | **7,938.01** | **0.00** | **48.99** |
| | | 127.8390 UNITS ACQUIRED ON 03/17/11 | 1,301.39 | | | |
| | | 121.1610 UNITS ACQUIRED ON 05/14/11 | 1,234.63 | | | |
| | | 530.0000 UNITS ACQUIRED ON 03/01/11 | 5,353.00 | | | |
| **07/30/13** | **332.000** | **RIDGEWORTH SEIX HY BD-I #5855** | **- 3,353.20** | **3,353.20** | **0.00** | **0.00** |
| | | 121.1610 UNITS ACQUIRED ON 06/12/11 | 1,223.73 | | | |
| | | 210 8390 UNITS ACQUIRED ON 03/08/13 | 2,129.47 | | | |
| **08/01/13** | **48.000** | **SPDR DJ WILSHIRE INTERNATIONAL REAL** | **- 1,976.75** | **1,963.65** | **- 8.29** | **- 4.81** |
| | | 29.0000 UNITS ACQUIRED ON 07/17/13 | 1,194.66 | | | |
| | | 19.0000 UNITS ACQUIRED ON 04/28/11 | 782.09 | | | |
| **07/30/13** | **210.000** | **T ROWE PRICE SHORT TERM BD FD #55** | **- 1,005.90** | **1,005.90** | **0.00** | **0.00** |
| | | 210.0000 UNITS ACQUIRED ON 02/11/13 | 1,005.90 | | | |
| **03/11/13** | **264.000** | **VANGUARD FTSE EMERGING MARKETS ETF** | **- 11,595.23** | **11,568.25** | **- 26.98** | **0.00** |
| | | 259.0000 UNITS ACQUIRED ON 02/07/13 | 11,389.68 | | | |
| | | 5.0000 UNITS ACQUIRED ON 05/08/12 | 205.55 | | | |
| **08/01/13** | **54.000** | **VANGUARD FTSE EMERGING MARKETS ETF** | **- 2,155.66** | **2,137.28** | **0.00** | **- 18.38** |
| | | 54.0000 UNITS ACQUIRED ON 05/08/12 | 2,155.66 | | | |
| **10/17/13** | **129.000** | **VANGUARD FTSE EMERGING MARKETS ETF** | **- 5,322.36** | **5,448.90** | **88.03** | **38.51** |
| | | 12 0000 UNITS ACQUIRED ON 05/08/12 | 493.33 | | | |
| | | 42.0000 UNITS ACQUIRED ON 04/26/12 | 1,749.09 | | | |
| | | 75.0000 UNITS ACQUIRED ON 11/19/12 | 3,079.94 | | | |
| **02/12/13** | **19.000** | **VANGUARD REIT VIPER** | **- 1,199.75** | **1,301.31** | **101.56** | **0.00** |
| | | 19.0000 UNITS ACQUIRED ON 11/19/12 | 1,199.75 | | | |
| **03/11/13** | **16.000** | **VANGUARD REIT VIPER** | **- 1,010.31** | **1,122.85** | **112.54** | **0.00** |
| | | 16.0000 UNITS ACQUIRED ON 11/19/12 | 1,010.31 | | | |
| **08/01/13** | **36.000** | **VANGUARD REIT VIPER** | **- 2,249.86** | **2,544.43** | **294.57** | **0.00** |
| | | 36.0000 UNITS ACQUIRED ON 11/19/12 | 2,249.86 | | | |
| **Total This Period** | | | **- $560,473.63** | **$595,592.27** | **$11,067.64** | **$24,051.00** |

Gain/Loss information is un-audited and should not be used for tax preparation, estate and/or retirement planning purposes.

## DISCLOSURE MESSAGES

All information provided with respect to cost basis is derived from transactions in the account or information supplied by you or other sources. There is no guarantee as to the accuracy of cost basis information or the profit and loss information provided. Accordingly cost basis information is not intended for tax reporting purposes. Please inform us in the event that a cost basis is not accurate.

### NOTICE

For accounts where Wells Fargo is acting as a trustee, if no objection has been made by a distribution beneficiary of a trust within 180 days after a copy of this accounting has been mailed to the last known address of such beneficiary, the distribution beneficiary is deemed to have approved this accounting, and Wells Fargo and any other trustee, absent fraud, intentional misrepresentation, or material omission, shall be released and discharged from any and all liability to all beneficiaries of the trust as to all matters set forth in this accounting.

This statement includes compensation paid to Wells Fargo for services provided to this account.

A guide to reading your statement is now available on-line at www.wellsfargo.com/statementguide or by contacting a member of your Relationship Team listed on the first page of this statement.

Form **8868**
(Rev. January 2014)

Department of the Treasury
Internal Revenue Service

# Application for Extension of Time To File an Exempt Organization Return

▶ **File a separate application for each return.**
▶ **Information about Form 8868 and its instructions is at *www.irs.gov/form8868*.**

OMB No. 1545-1709

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box ▶ ☒
- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** (on page 2 of this form).

*Do not complete Part II unless* you have already been granted an automatic 3-month extension on a previously filed Form 8868

**Electronic filing *(e-file)*.** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions) For more details on the electronic filing of this form, visit *www.irs gov/efile* and click on *e-file for Charities & Nonprofits.*

## Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ▶ ☐

*All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns*

**Enter filer's identifying number**

**Type or print**

File by the due date for filing your return See instructions

Name of exempt organization or other filer, see instructions.
WALTER & FRANCES GREEN CHARITABLE TRUST
C/O DAN LEIKVOLD

Employer identification number (EIN) or
46-6096446

Number, street, and room or suite no If a P O box, see instructions.
320 SOUTH MAIN

Social security number (SSN)

City, town or post office, state, and ZIP code For a foreign address, see instructions.
LEAD, SD 57754

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

| Application Is For | Return Code | Application Is For | Return Code |
|---|---|---|---|
| Form 990 or Form 990-EZ | 01 | Form 990-T (corporation) | 07 |
| Form 990-BL | 02 | Form 1041-A | 08 |
| Form 4720 (individual) | 03 | Form 4720 (other than individual) | 09 |
| Form 990-PF | 04 | Form 5227 | 10 |
| Form 990-T (sec 401(a) or 408(a) trust) | 05 | Form 6069 | 11 |
| Form 990-T (trust other than above) | 06 | Form 8870 | 12 |

- The books are in the care of ▶ WELLS FARGO SD NA-PRIV CLIENT SERV 825 ST. JOSEPH STREET - RAPID CITY, SD 57701
  Telephone No ▶ 605-394-3896 Fax No ▶
- If the organization does not have an office or place of business in the United States, check this box ▶ ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ . If this is for the whole group, check this box ▶ ☐ . If it is for part of the group, check this box ▶ ☐ and attach a list with the names and EINs of all members the extension is for

**1** I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until AUGUST 15, 2014 , to file the exempt organization return for the organization named above. The extension is for the organization's return for:
▶ ☒ calendar year 2013 or
▶ ☐ tax year beginning ______ , and ending ______ .

**2** If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

| | | | |
|---|---|---|---|
| **3a** | If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits See instructions. | 3a | $ 0. |
| **b** | If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit | 3b | $ 577. |
| **c** | **Balance due.** Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions | 3c | $ 0. |

**Caution.** If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

LHA **For Privacy Act and Paperwork Reduction Act Notice, see instructions.**

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

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

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

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

**Enter filer's identifying number, see instructions**

**Type or print** File by the due date for filing your return See instructions

Name of exempt organization or other filer, see instructions
WALTER & FRANCES GREEN CHARITABLE TRUST
C/O DAN LEIKVOLD

Employer identification number (EIN) or
46-6096446

Number, street, and room or suite no. If a P O box, see instructions.
320 SOUTH MAIN

Social security number (SSN)

City, town or post office, state, and ZIP code. For a foreign address, see instructions
LEAD, SD 57754

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

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

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

- The books are in the care of ▶ WELLS FARGO SD NA-PRIV CLIENT SERV 825 ST. JOSEPH STREET - RAPID CITY, SD 57701

Telephone No. ▶ 605-394-3896 Fax No. ▶

- If the organization does not have an office or place of business in the United States, check this box ▶ ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ If this is for the whole group, check this box ▶ ☐. If it is for part of the group, check this box ▶ ☐ and attach a list with the names and EINs of all members the extension is for.

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

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

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

7 State in detail why you need the extension
AN ADDITIONAL AMOUNT OF TIME IS NEEDED TO COMPILE INFORMATION TO FILE A COMPLETE AND ACCURATE RETURN.

| | | | |
|---|---|---|---|
| **8a** | If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions | 8a | $ 0. |
| **b** | If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868. | 8b | $ 577. |
| **c** | **Balance due.** Subtract line 8b from line 8a Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions. | 8c | $ 0. |

**Signature and Verification must be completed for Part II only.**

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

Signature ▶ Title ▶ CPA Date ▶ 8/1/14