Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation: LOCKTON FAMILY FOUNDATION

A Employer identification number: 48-1135485

Number and street (or P O box number if mail is not delivered to street address): 444 W. 47TH STREET

Room/suite: 900

B Telephone number (see instructions): (816) 960-9918

City or town, state or province, country, and ZIP or foreign postal code: KANSAS CITY, MO 64112

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: [X] Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶ $ 1,525,952.

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

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

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

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)				
	2 Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3 Interest on savings and temporary cash investments	47.	47.		ATCH 1
	4 Dividends and interest from securities	24,851.	24,851.		ATCH 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	32,852.			
	b Gross sales price for all assets on line 6a 648,694.				
	7 Capital gain net income (from Part IV, line 2)		32,852.		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 **Total.** Add lines 1 through 11	57,750.	57,750.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule) ATCH 3	3,000.	1,500.		1,500.
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions) ATCH 4	386.	386.		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule) ATCH 5	8,207.	7,847.		360.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	11,593.	9,733.		1,860.
	25 Contributions, gifts, grants paid	109,000.			109,000.
	26 **Total expenses and disbursements.** Add lines 24 and 25	120,593.	9,733.	0	110,860.
	27 Subtract line 26 from line 12				
	a **Excess of revenue over expenses and disbursements**	-62,843.			
	b **Net investment income** (if negative, enter -0-)		48,017.		
	c **Adjusted net income** (if negative, enter -0-)				

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Part II Balance Sheets

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

		Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets				
1	Cash - non-interest-bearing	4,376.	3,486.	3,486.
2	Savings and temporary cash investments	363,458.	154,568.	154,568.
3	Accounts receivable ▶			
	Less. allowance for doubtful accounts ▶			
4	Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
5	Grants receivable			
6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
7	Other notes and loans receivable (attach schedule) ▶			
	Less allowance for doubtful accounts ▶			
8	Inventories for sale or use			
9	Prepaid expenses and deferred charges			
10 a	Investments - U S and state government obligations (attach schedule)			
b	Investments - corporate stock (attach schedule) ATCH 6	1,247,346.	1,367,898.	1,367,898.
c	Investments - corporate bonds (attach schedule)			
11	Investments - land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
12	Investments - mortgage loans			
13	Investments - other (attach schedule)			
14	Land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
15	Other assets (describe ▶)			
16	**Total assets** (to be completed by all filers - see the instructions Also, see page 1, item I)	1,615,180.	1,525,952.	1,525,952.
Liabilities				
17	Accounts payable and accrued expenses			
18	Grants payable			
19	Deferred revenue			
20	Loans from officers, directors, trustees, and other disqualified persons			
21	Mortgages and other notes payable (attach schedule)			
22	Other liabilities (describe ▶)			
23	**Total liabilities** (add lines 17 through 22)	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			
28	Paid-in or capital surplus, or land, bldg , and equipment fund			
29	Retained earnings, accumulated income, endowment, or other funds	1,615,180.	1,525,952.	
30	**Total net assets or fund balances** (see instructions)	1,615,180.	1,525,952.	
31	**Total liabilities and net assets/fund balances** (see instructions)	1,615,180.	1,525,952.	

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	1,615,180.
2	Enter amount from Part I, line 27a	2	-62,843.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	1,552,337.
5	Decreases not included in line 2 (itemize) ▶ ATCH 7	5	26,385.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	1,525,952.

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 PART IV SCHEDULE			
b				
c				
d				
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e				

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

	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a				
b				
c				
d				
e				

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	32,852.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	0

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	317,462.	1,435,221.	0.221194
2011	14,345.	1,566,389.	0.009158
2010	11,692.	913,085.	0.012805
2009	3,153.	732,229.	0.004306
2008	272,638.	1,132,612.	0.240716

2	**Total** of line 1, column (d)	2	0.488179
3	Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.097636
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	1,595,518.
5	Multiply line 4 by line 3	5	155,780.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	480.
7	Add lines 5 and 6	7	156,260.
8	Enter qualifying distributions from Part XII, line 4	8	110,860.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1. Date of ruling or determination letter ______________ (attach copy of letter if necessary - see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b		1	960.
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col. (b)			
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)		2	
3	Add lines 1 and 2		3	960.
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	960.
6	Credits/Payments			
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a 1,837.		
b	Exempt foreign organizations - tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments Add lines 6a through 6d		7	1,837.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached		8	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶		9	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶		10	877.
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 877. **Refunded** ▶		11	

Part VII-A Statements Regarding Activities

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

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

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

Website address ▶ N/A

14 The books are in care of ▶ CHERYL L. WILLIAMS Telephone no ▶ 816-960-9918

Located at ▶ 444 W. 47TH ST. SUITE 900 KANSAS CITY, MO ZIP+4 ▶ 64112

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15

		Line	Yes	No
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		X
	See the instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes," enter the name of the foreign country ▶			

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

	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.	Line	Yes	No
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c		
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? ☐ Yes ☒ No			
	If "Yes," list the years ▶			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.)	2b		X
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No			
b	If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)*	3b		X
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)*

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

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

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

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

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

(a) Name and address of each employee paid more than $50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE		0	0	0

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

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."

(a) Name and address of each person paid more than $50,000	(b) Type of service	(c) Compensation
NONE		0
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 (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	0
All other program-related investments See instructions	
3 NONE	0
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	1,303,848.
b	Average of monthly cash balances	1b	315,967.
c	Fair market value of all other assets (see instructions)	1c	
d	**Total** (add lines 1a, b, and c)	1d	1,619,815.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	1,619,815.
4	Cash deemed held for charitable activities Enter 1 1/2 % of line 3 (for greater amount, see instructions)	4	24,297.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,595,518.
6	**Minimum investment return.** Enter 5% of line 5	6	79,776.

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	79,776.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	960.		
b	Income tax for 2013 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	960.
3	Distributable amount before adjustments Subtract line 2c from line 1			3	78,816.
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	78,816.
6	Deduction from distributable amount (see instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	78,816.

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	110,860.
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	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	0
b	Cash distribution test (attach the required schedule)	3b	0
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	110,860.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	0
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	110,860.

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

Part XIII Undistributed Income (see instructions)

		(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1	Distributable amount for 2013 from Part XI, line 7				78,816.
2	Undistributed income, if any, as of the end of 2013				
a	Enter amount for 2012 only				
b	Total for prior years 20 11 ,20 10 ,20 09				
3	Excess distributions carryover, if any, to 2013.				
a	From 2008 154,434.				
b	From 2009 3,153.				
c	From 2010				
d	From 2011				
e	From 2012 247,967.				
f	**Total** of lines 3a through e	405,554.			
4	Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 110,860.				
a	Applied to 2012, but not more than line 2a				
b	Applied to undistributed income of prior years (Election required - see instructions)				
c	Treated as distributions out of corpus (Election required - see instructions)				
d	Applied to 2013 distributable amount				78,816.
e	Remaining amount distributed out of corpus	32,044.			
5	Excess distributions carryover applied to 2013 *(If an amount appears in column (d), the same amount must be shown in column (a).)*				
6	**Enter the net total of each column as indicated below:**				
a	Corpus Add lines 3f, 4c, and 4e Subtract line 5	437,598.			
b	Prior years' undistributed income Subtract line 4b from line 2b				
c	Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d	Subtract line 6c from line 6b Taxable amount - see instructions				
e	Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount - see instructions				
f	Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				
7	Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8	Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)	154,434.			
9	**Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a	283,164.			
10	Analysis of line 9:				
a	Excess from 2009 3,153.				
b	Excess from 2010				
c	Excess from 2011				
d	Excess from 2012 247,967.				
e	Excess from 2013 32,044.				

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

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

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

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

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

1 Information Regarding Foundation Managers:

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

N/A

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

N/A

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

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

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

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

c Any submission deadlines

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
ATCH 9				
Total . . . . ▶ **3a**				109,000.
b *Approved for future payment* NONE				0
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 (See instructions)
	(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			14	47.	
4 Dividends and interest from securities			14	24,851.	
5 Net rental income or (loss) from real estate					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	32,852.	
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)				57,750.	

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 57,750.

(See worksheet in line 13 instructions to verify calculations)

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

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

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

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

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

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

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.

Cheryl Lockton Williams 5-9-14

Signature of officer or trustee Date Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
JOSEPH A JEZAK		5-5-15		P00731634
Firm's name ▶ JMW & ASSOCIATES, LLC			Firm's EIN ▶ 57-1224592	
Firm's address ▶ 6400 GLENWOOD, SUITE 100 OVERLAND PARK, KS 66202			Phone no. 913-499-4920	

FORM 990-PF - PART IV
CAPITAL GAINS AND LOSSES FOR TAX ON INVESTMENT INCOME

Kind of Property		Description				P or D	Date acquired	Date sold
Gross sale price less expenses of sale	Depreciation allowed/ allowable	Cost or other basis	FMV as of 12/31/69	Adj basis as of 12/31/69	Excess of FMV over adj basis		Gain or (loss)	
		TOTAL CAPITAL GAIN DISTRIBUTIONS					1,246.	
		MORGAN STANLEY 107593 ST					VARIOUS	03/08/2013
81,810.		78,994.					2,816.	
		MORGAN STANLEY 107593 LT					VARIOUS	VARIOUS
39,203.		38,887.					316.	
		MORGAN STANLEY 107593 - SEE STMT A					VARIOUS	VARIOUS
526,435.		497,961.					28,474.	
TOTAL GAIN(LOSS)							32,852.	

ATTACHMENT 1

FORM 990PF, PART I - INTEREST ON TEMPORARY CASH INVESTMENTS

DESCRIPTION		REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
COMMERCE BANK		6.	6.
MORGAN STANLEY - 017200		41.	41.
	TOTAL	47.	47.

ATTACHMENT 2

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
MORGAN STANLEY - 107593	24,831.	24,831.
MORGAN STANLEY - 108744	20.	20.
TOTAL	24,851.	24,851.

ATTACHMENT 3

FORM 990PF, PART I - ACCOUNTING FEES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	ADJUSTED NET INCOME	CHARITABLE PURPOSES
JMW & ASSOCIATES	3,000.	1,500.		1,500.
TOTALS	3,000.	1,500.		1,500.

FORM 990PF, PART I - TAXES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
FOREIGN TAXES PAID	386.	386.
TOTALS	386.	386.

FORM 990PF, PART I - OTHER EXPENSES

DESCRIPTION	REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME	CHARITABLE PURPOSES
CONSULTING/ADVISORY FEES	7,811.	7,811.	
WEB HOSTING FEE	360.		360.
BANK FEES	36.	36.	
TOTALS	8,207.	7,847.	360.

ATTACHMENT 6

FORM 990PF, PART II - CORPORATE STOCK

DESCRIPTION	BEGINNING BOOK VALUE	ENDING BOOK VALUE	ENDING FMV
MORGAN STANLEY - 107593 STMT B	1,247,346.	1,367,898.	1,367,898.
TOTALS	1,247,346.	1,367,898.	1,367,898.

ATTACHMENT 7

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

DESCRIPTION		AMOUNT
UNREALIZED G/L		26,385.
	TOTAL	26,385.

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 8

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
CHERYL L. WILLIAMS 5825 OVERHILL MISSION HILLS, KS 66205	TRUSTEE 2.00	0	0	0
RONALD J. LOCKTON 2321 W. 59TH STREET MISSION HILLS, KS 66208	TRUSTEE 1.00	0	0	0
DONALD S. LOCKTON 6715 CHEROKEE LANE MISSION HILLS, KS 66208	TRUSTEE 1.00	0	0	0
JOHN STEPHEN LOCKTON 5771 S. MAPLE COURT GREENWOOD VILLAGE, CO 80121	TRUSTEE 1.00	0	0	0
	GRAND TOTALS	0	0	0

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 9

RECIPIENT NAME AND ADDRESS	RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT	PURPOSE OF GRANT OR CONTRIBUTION	AMOUNT
THE PEMBROKE HILL SCHOOL 400 W. 51ST STREET KANSAS CITY, MO 64112	NONE PC	TO HELP STUDENTS ACHIEVE EDUCATIONAL EXCELLENCE AND BUILD CHARACTER.	2,500.
DENVER ACADEMY 4400 E. ILIFF AVE. DENVER, CO 80222	NONE PC	TO PROVIDE EXCELLENCE IN EDUCATING AND ADVOCATING FOR STUDENTS WITH LEARNING DIFFERENCES.	10,000.
THE ELLIS FOUNDATION P.O. BOX 54 FORT SCOTT, KS 66701	NONE PC	TO HELP EARN DEGREES FOR CAPABLE, DESERVING AND DETERMINED STUDENTS WHO ARE LOOKING FOR A "HAND UP" NOT A "HAND OUT".	6,000.
MOUNT MITCHELL PRAIRIE GUARDS 23320 ROCKTON ROAD ESKRIDGE, KS 66423	NONE PC	TO CONTINUE THE INFRASTRUCTURE DEVELOPMENT AND EDUCATIONAL PROGRAM.	500.
KU ENDOWMENT P.O. BOX 928 LAWRENCE, KS 66044	NONE PC	TO PROVIDE PHILANTHROPIC SUPPORT TO BUILD A GREATER UNIVERSITY OF KANSAS.	40,000.
MCW PANCREATIC CANCER RESEARCH 9200 W WISCONSIN AVENUE MILWAUKEE, WI 53226	NONE PC	TO HELP PROVIDE EXCELLENCE IN EDUCATION, DISCOVERY, PATIENT CARE, AND PUBLIC AND COMMUNITY HEALTH.	50,000.
		TOTAL CONTRIBUTIONS PAID	109,000.

SCHEDULE D (Form 1041)

Department of the Treasury Internal Revenue Service

Capital Gains and Losses

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

OMB No 1545-0092

2013

Name of estate or trust: LOCKTON FAMILY FOUNDATION

Employer identification number: 48-1135485

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

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

See instructions for how to figure the amounts to enter on the lines below. This form may be easier to complete if you round off cents to whole dollars	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part I, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
1a Totals for all short-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions) However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 1b	81,810.	78,994.		2,816.
1b Totals for all transactions reported on Form(s) 8949 with **Box A** checked				
2 Totals for all transactions reported on Form(s) 8949 with **Box B** checked				
3 Totals for all transactions reported on Form(s) 8949 with **Box C** checked				

4 Short-term capital gain or (loss) from Forms 4684, 6252, 6781, and 8824	4	
5 Net short-term gain or (loss) from partnerships, S corporations, and other estates or trusts	5	
6 Short-term capital loss carryover Enter the amount, if any, from line 9 of the 2012 Capital Loss Carryover Worksheet	6	( )
7 **Net short-term capital gain or (loss).** Combine lines 1a through 6 in column (h) Enter here and on line 17, column (3) on the back ▶	7	2,816.

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

See instructions for how to figure the amounts to enter on the lines below. This form may be easier to complete if you round off cents to whole dollars	(d) Proceeds (sales price)	(e) Cost (or other basis)	(g) Adjustments to gain or loss from Form(s) 8949, Part II, line 2, column (g)	(h) Gain or (loss) Subtract column (e) from column (d) and combine the result with column (g)
8a Totals for all long-term transactions reported on Form 1099-B for which basis was reported to the IRS and for which you have no adjustments (see instructions) However, if you choose to report all these transactions on Form 8949, leave this line blank and go to line 8b	39,203.	38,887.		316.
8b Totals for all transactions reported on Form(s) 8949 with **Box D** checked				
9 Totals for all transactions reported on Form(s) 8949 with **Box E** checked	526,435.	497,961.		28,474.
10 Totals for all transactions reported on Form(s) 8949 with **Box F** checked				

11 Long-term capital gain or (loss) from Forms 2439, 4684, 6252, 6781, and 8824	11	
12 Net long-term gain or (loss) from partnerships, S corporations, and other estates or trusts	12	
13 Capital gain distributions	13	1,246.
14 Gain from Form 4797, Part I	14	
15 Long-term capital loss carryover. Enter the amount, if any, from line 14 of the 2012 Capital Loss Carryover Worksheet	15	( )
16 **Net long-term capital gain or (loss).** Combine lines 8a through 15 in column (h) Enter here and on line 18a, column (3) on the back ▶	16	30,036.

For Paperwork Reduction Act Notice, see the Instructions for Form 1041. **Schedule D (Form 1041) 2013**

Part III **Summary of Parts I and II**
Caution: *Read the instructions* ***before*** *completing this part.*

			(1) Beneficiaries' (see instr.)	(2) Estate's or trust's	(3) Total
17	**Net short-term gain or (loss)**	17			2,816.
18	**Net long-term gain or (loss):**				
a	Total for year	18a			30,036.
b	Unrecaptured section 1250 gain (see line 18 of the wrksht)	18b			
c	28% rate gain	18c			
19	**Total net gain or (loss).** Combine lines 17 and 18a ▶	19			32,852.

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

Part IV **Capital Loss Limitation**

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

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

Part V **Tax Computation Using Maximum Capital Gains Rates**

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

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

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

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

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

Name(s) shown on return (Name and SSN or taxpayer identification no not required if shown on other side)	Social security number or taxpayer identification number
LOCKTON FAMILY FOUNDATION	48-1135485

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

Part II **Long-Term.** Transactions involving capital assets you held more than one year are long term. For short-term transactions, see page 1.

Note. You may aggregate all long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS and for which no adjustments or codes are required. Enter the total directly on Schedule D, line 8a; you are not required to report these transactions on Form 8949 (see instructions).

You *must* check Box D, E, *or* F below. Check only one box. If more than one box applies for your long-term transactions, complete a separate Form 8949, page 2, for each applicable box. If you have more long-term transactions than will fit on this page for one or more of the boxes, complete as many forms with the same box checked as you need.

[ ] (D) Long-term transactions reported on Form(s) 1099-B showing basis was reported to the IRS (see **Note** above)
[X] (E) Long-term transactions reported on Form(s) 1099-B showing basis was **not** reported to the IRS
[ ] (F) Long-term transactions not reported to you on Form 1099-B

1 (a) Description of property (Example 100 sh XYZ Co)	(b) Date acquired (Mo, day, yr)	(c) Date sold or disposed (Mo, day, yr)	(d) Proceeds (sales price) (see instructions)	(e) Cost or other basis See the **Note** below and see *Column (e)* in the separate instructions	Adjustment, if any, to gain or loss. If you enter an amount in column (g), enter a code in column (f) See the separate instructions. (f) Code(s) from instructions	(g) Amount of adjustment	(h) Gain or (loss). Subtract column (e) from column (d) and combine the result with column (g)
MORGAN STANLEY 107593 - SEE STMT A	VARIOUS	VARIOUS	526,435.	497,961.			28,474.
2 Totals. Add the amounts in columns (d), (e), (g), and (h) (subtract negative amounts). Enter each total here and include on your Schedule D, **line 8b** (if **Box D** above is checked), **line 9** (if **Box E** above is checked), or **line 10** (if **Box F** above is checked) ▶			526,435.	497,961.			28,474.

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

JSA
3X2616 2 000

Morgan Stanley

Corporate Tax Statement
Tax Year 2013

THE LOCKTON FAMILY FOUNDATION
SELECT UMA MODEL 3
444 W 47TH STREET, SUITE 900
KANSAS CITY MO 64112-1906

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number. 26-4310632

Taxpayer ID Number· 48-1135485
Account Number· 295 107593 343

Customer Service: 866-324-6088

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS — OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box E checked)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ISHARES BARCLAYS SHORT TREAS	CUSIP: 464288679	Symbol (Box 1d): SHV						
	672 000	12/07/11	03/08/13	$74,059 46	$74,074 56	$0.00	($15 10)	$0 00
ISHARES JP MORGAN EM BOND ETF	CUSIP: 464288281	Symbol (Box 1d): EMB						
	31.000	06/04/10	11/08/13	$3,367 74	$3,165 14	$0 00	$202 60	$0 00
	30 000	01/14/11	11/08/13	$3,259.11	$3,232.32	$0 00	$26 79	$0 00
	114.000	04/15/11	11/08/13	$12,384.60	$12,147.84	$0.00	$236.76	$0.00
Security Subtotal	**175.000**			**$19,011.45**	**$18,545.30**	**$0.00**	**$466.15**	**$0.00**
ISHARES RUSSELL MIDCAP G ETF	CUSIP: 464287481	Symbol (Box 1d): IWP						
	25 000	07/23/10	03/08/13	$1,722 11	$1,155 75	$0 00	$566 36	$0 00
	36.000	07/23/10	09/13/13	$2,794.94	$1,664.28	$0.00	$1,130.66	$0.00
Security Subtotal	**61.000**			**$4,517.05**	**$2,820.03**	**$0.00**	**$1,697.02**	**$0.00**
ISHARES RUSSELL MIDCAP V ETF	CUSIP: 464287473	Symbol (Box 1d). IWS						
	50 000	01/14/11	03/08/13	$2,809 23	$2,291 98	$0 00	$517 25	$0 00
	25.000	01/14/11	09/13/13	$1,517.47	$1,145.99	$0.00	$371.48	$0.00
Security Subtotal	**75.000**			**$4,326.70**	**$3,437.97**	**$0.00**	**$888.73**	**$0.00**
ISHARES RUSSELL 1000 GRW ETF	CUSIP: 464287614	Symbol (Box 1d): IWF						
	437 000	06/04/10	03/08/13	$30,737 89	$21,242 35	$0 00	$9,495 54	$0 00
	68 000	07/23/10	03/08/13	$4,783 01	$3,314 92	$0 00	$1,468 09	$0 00
	337 000	07/23/10	09/13/13	$26,245 13	$16,428 35	$0 00	$9,816 78	$0 00
	32.000	07/23/10	11/08/13	$2,594.51	$1,559.96	$0.00	$1,034.55	$0 00
Security Subtotal	**874.000**			**$64,360 54**	**$42,545.58**	**$0.00**	**$21,814.96**	**$0.00**

CONTINUED ON NEXT PAGE

STATEMENT A

Morgan Stanley

Corporate Tax Statement
Tax Year 2013

THE LOCKTON FAMILY FOUNDATION
SELECT UMA MODEL 3
444 W 47TH STREET, SUITE 900
KANSAS CITY MO 64112-1906

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number 26-4310632

Taxpayer ID Number: 48-1135485
Account Number 295 107593 343

Customer Service: 866-324-6088

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

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

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box E checked) (Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ISHARES RUSSELL 1000 VALUE ETF	CUSIP: 464287598		Symbol (Box 1d): IWD					
	317 000	06/04/10	03/08/13	$25,434 21	$18,045 26	$0 00	$7,388 95	$0 00
	12.000	06/04/10	11/08/13	$1,075.63	$683.10	$0.00	$392.53	$0.00
Security Subtotal	329.000			$26,509.84	$18,728.36	$0.00	$7,781.48	$0.00
SPDR BARCLAYS CAPITAL INTERNAT	CUSIP: 78464A516		Symbol (Box 1d): BWX					
	285 000	10/07/11	03/08/13	$16,488 31	$17,225 40	$0 00	($737 09)	$0 00
	100 000	10/24/11	03/08/13	$5,785 37	$6,123.00	$0 00	($337 63)	$0 00
	554 000	12/07/11	03/08/13	$32,050 95	$32,858 52	$0 00	($807 57)	$0.00
	3.000	12/07/11	11/08/13	$173.05	$177.93	$0.00	($4.88)	$0.00
Security Subtotal	942.000			$54,497.68	$56,384.85	$0.00	($1,887.17)	$0.00
VANGUARD TOTAL BOND MARKET	CUSIP: 921937835		Symbol (Box 1d): BND					
	84 000	11/19/10	03/08/13	$6,963 44	$6,873 68	$0 00	$89 76	$0 00
	96 000	01/14/11	03/08/13	$7,958 22	$7,731 84	$0 00	$226 38	$0 00
	1,292 000	10/07/11	03/08/13	$107,104 40	$107,455 64	$0 00	($351 24)	$0.00

CONTINUED ON NEXT PAGE

STATEMENT A

Morgan Stanley

Corporate Tax Statement
Tax Year 2013

THE LOCKTON FAMILY FOUNDATION
SELECT UMA MODEL 3
444 W 47TH STREET, SUITE 900
KANSAS CITY MO 64112-1906

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number. 26-4310632

Taxpayer ID Number 48-1135485
Account Number 295 107593 343

Customer Service: 866-324-6088

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

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part II with box E checked) **(Continued)**

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
VANGUARD TOTAL BOND MARKET	1,419 000	12/07/11	03/08/13	$117,632 47	$118,457.98	$0 00	($825 51)	$0 00
	490.000	12/07/11	11/08/13	$39,493.31	$40,905.15	$0.00	($1,411.84)	$0.00
Security Subtotal	3,381.000			$279,151.84	$281,424.29	$0.00	($2,272.45)	$0.00
Total Long Term Noncovered Securities				**$526,434.56**	**$497,960.94**	**$0.00**	**$28,473.62**	**$0.00**
Total Long Term Covered and Noncovered Securities				**$565,637.46**	**$536,847.94**	**$0.00**	**$28,789.52**	**$0.00**
Total Short and Long Term, Covered and Noncovered Securities				**$647,447.35**	**$615,841.55**	**$0.00**	**$31,605.80**	**$0.00**

Form 1099-B Total Reportable Amounts

Total Sales Price (Box 2a)	**$647,447.35**			
Total Cost or Other Basis (Box 3)		**$117,880.61**		
Total Wash Sale Loss Disallowed (Box 5)			**$0.00**	
Total Fed Tax Withheld (Box 4)				**$0.00**

Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any disallowed loss resulting from a wash sale will not be reported to the IRS

STATEMENT A

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

076190 MS13OA01 470917

Account Detail

Select UMA Basic Securities Account
295-107593-343

THE LOCKTON FAMILY FOUNDATION
SELECT UMA MODEL 3
Nickname: FDTN UMA#3

EXCHANGE-TRADED & CLOSED-END FUNDS

Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain exchange-traded funds Please refer to "CG IAR Statuses in Investment Advisory Programs" in the quarter-end statement (or your first statement, if you have not yet received a statement at the quarter-end) for a description of these status codes All status codes represent the opinions of CG IAR and are not representations or guarantees of performance

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ISHARES JP MORGAN EM BOND ETF (EMB)	8/24/12	10 000	$119 220	$1,192 20	$1,081 60	$(110 60) LT		
	11/7/12	31 000	121 547	3,767 95	3,352 96	(414 99) LT		
	11/20/12	12 000	121.493	1,457.91	1,297.92	(159.99) LT		
	3/8/13	25 000	118 330	2,958 25	2,704 00	(254 25) ST		
	9/13/13	45 000	106 584	4,796 29	4,867 20	70 91 ST		
	Total	123 000		14,172 60	**13,303.68**	(685 58) LT (183 34) ST	632.47	4 75
Share Price: $108 160, CG IAR Status AL, Next Dividend Payable 01/02/14								
ISHARES RUSSELL 1000 GRW ETF (IWF)	7/23/10	197 000	48.749	9,603.51	16,932 15	7,328.64 LT		
	1/14/11	261.000	58 580	15,289.38	22,432 95	7,143 57 LT		
	4/15/11	168 000	59 930	10,068 24	14,439.60	4,371 36 LT		
	8/16/11	544.000	55 593	30,242 37	46,756.80	16,514.43 LT		
	11/7/12	256 000	64.570	16,529 89	22,003 20	5,473 31 LT		
	11/9/12	264 000	63.636	16,799 90	22,690 80	5,890 90 LT		
	11/20/12	136 000	64 199	8,731 12	11,689 20	2,958 08 LT		
	Total	1,826 000		107,264 41	**156,944.70**	49,680 29 LT	2,023 21	1.28
Share Price: $85 950, CG IAR Status AL, Next Dividend Payable 03/2014								
ISHARES RUSSELL 1000 VALUE ETF (IWD)	6/4/10	281 000	56 925	15,995 95	26,461 77	10,465 82 LT		
	11/19/10	30 000	61 196	1,835 89	2,825 10	989.21 LT		
	1/14/11	93 000	66 200	6,156 60	8,757.81	2,601 21 LT		
	8/16/11	438 000	60 320	26,420 16	41,246 46	14,826 30 LT		
	11/7/12	129 000	71 057	9,166 40	12,147.93	2,981 53 LT		
	11/9/12	194.000	70.379	13,653.53	18,268 98	4,615 45 LT		
	11/20/12	106 000	70 250	7,446.50	9,982 02	2,535 52 LT		
	9/13/13	77 000	87 185	6,713 23	7,251.09	537 86 ST		
	Total	1,348 000		87,388 26	**126,941.16**	39,015 04 LT 537 86 ST	2,473.58	1 94
Share Price: $94 170, CG IAR Status AL, Next Dividend Payable 03/2014								
ISHARES RUSSELL 2000 GRWTH ETF (IWO)	8/24/12	167 000	92 460	15,440 82	22,630 17	7,189 35 LT		
	11/7/12	28 000	91 415	2,559 63	3,794 28	1,234 65 LT		
	11/9/12	8 000	90 060	720 48	1,084 08	363 60 LT		
	11/20/12	12 000	90 312	1,083 74	1,626 12	542 38 LT		
	Total	215 000		19,804 67	**29,134.65**	9,329 98 LT	208 34	0 71
Share Price. $135 510, CG IAR Status AL, Next Dividend Payable 03/2014								

STATEMENT B

Account Detail

Select UMA Basic Securities Account 295-107593-343

THE LOCKTON FAMILY FOUNDATION
SELECT UMA MODEL 3
Nickname: FDTN UMA#3

EXCHANGE-TRADED & CLOSED-END FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ISHARES RUSSELL 2000 VALUE ETF (IWN)	8/24/12	226 000	71.360	16,127.34	22,487.00	6,359 66 LT		
	11/7/12	32.000	71 689	2,294.05	3,184.00	889 95 LT		
	11/9/12	9 000	70 470	634 23	895 50	261 27 LT		
	11/20/12	21.000	70 436	1,479 16	2,089.50	610 34 LT		
	Total	288 000		20,534 78	**28,656.00**	8,121.22 LT	507.46	1 77
Share Price $99 500, CG IAR Status AL, Next Dividend Payable 03/2014								
ISHARES RUSSELL MIDCAP G ETF (IWP)	7/23/10	57 000	46 230	2,635 11	4,808 52	2,173 41 LT		
	8/16/11	209 000	53.837	11,251 83	17,631 24	6,379 41 LT		
	8/24/12	11 000	60 745	668 20	927 96	259 76 LT		
	11/7/12	42 000	61.077	2,565.24	3,543 12	977 88 LT		
	11/9/12	7 000	60 176	421.23	590.52	169.29 LT		
	11/20/12	13.000	60 748	789 73	1,096.68	306 95 LT		
	11/8/13	170.000	79.389	13,496 16	14,341.20	845 04 ST		
	Total	509.000		31,827.50	**42,939.24**	10,266 70 LT 845.04 ST	341.54	0.79
Share Price: $84 360, CG IAR Status: AL, Next Dividend Payable 03/2014								
ISHARES RUSSELL MIDCAP V ETF (IWS)	1/14/11	81.000	45.840	3,713.01	5,322 51	1,609.50 LT		
	8/16/11	275 000	41.568	11,431.28	18,070 25	6,638 97 LT		
	11/7/12	49 000	48 728	2,387 68	3,219 79	832 11 LT		
	11/9/12	4.000	47 780	191 12	262.84	71.72 LT		
	11/20/12	26 000	48 167	1,252.34	1,708 46	456 12 LT		
	11/8/13	202 000	63 478	12,822 52	13,273 42	450 90 ST		
	Total	637.000		31,797.95	**41,857.27**	9,608 42 LT 450 90 ST	715.35	1.70
Share Price $65 710; CG IAR Status AL, Next Dividend Payable 03/2014								
SPDR BARCLAYS CAPITAL HIGH YIE (JNK)	8/24/12	477.000	39 990	19,075 23	19,347.12	271.89 LT		
	8/24/12	38 000	40 189	1,527 20	1,541 28	14.08 LT H		
	11/7/12	68 000	40 070	2,724 76	2,758 08	33.32 LT		
	11/20/12	27 000	40 029	1,080 77	1,095 12	14.35 LT		
	3/8/13	333 000	40.840	13,599.72	13,506.48	(93 24) ST		
	9/13/13	52.000	39 628	2,060.66	2,109.12	48 46 ST		
	11/8/13	991 000	40 454	40,089 72	40,194 96	105 24 ST		
	Total	1,986 000		80,158 06	**80,552.16**	333 64 LT 60.46 ST	4,873.64	6 05
Share Price $40 560, CG IAR Status AL, Next Dividend Payable 01/07/14, Basis Adjustment Due to Wash Sale $4 54								
SPDR BARCLAYS CAPITAL INTERNAT (BWX)	12/7/11	367 000	59 311	21,767.28	21,190 58	(576 70) LT		
	4/13/12	58 000	59 670	3,460.86	3,348 92	(111.94) LT		
	11/7/12	162 000	60 880	9,862 59	9,353 88	(508 71) LT		

STATEMENT B

Account Detail

Select UMA Basic Securities Account
295-107593-343

THE LOCKTON FAMILY FOUNDATION
SELECT UMA MODEL 3
Nickname: FDTN UMA#3

EXCHANGE-TRADED & CLOSED-END FUNDS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	11/20/12	71 000	60.476	4,293 82	4,099.54	(194.28) LT		
	9/13/13	32 000	56 969	1,823.00	1,847.68	24.68 ST		
	Total	690 000		41,207.55	**39,840.60**	(1,391 63) LT 24.68 ST	738.99	1.85
Share Price $57.740, CG IAR Status AL, Next Dividend Payable 01/07/14								
VANGUARD FTSE DEVELOPED MKTS E (VEA)	6/4/10	525 000	29.953	15,725.33	21,882.00	6,156.67 LT		
	8/16/11	365 000	33.710	12,304 15	15,213.20	2,909.05 LT		
	4/13/12	32 000	32.620	1,043 84	1,333 76	289 92 LT		
	8/24/12	325.000	32 880	10,685 84	13,546.00	2,860 16 LT		
	11/7/12	153 000	33 065	5,058.95	6,377 04	1,318.09 LT		
	11/9/12	735 000	32 700	24,034.50	30,634 80	6,600.30 LT		
	11/20/12	65 000	32 910	2,139.15	2,709 20	570.05 LT		
	3/8/13	597 000	36 822	21,982 55	24,882.96	2,900.41 ST		
	9/13/13	577 000	39 010	22,508 77	24,049.36	1,540.59 ST		
	11/8/13	967 000	40.160	38,834 72	40,304 56	1,469 84 ST		
	Total	4,341 000		154,317 80	**180,932.88**	20,704.24 LT 5,910.84 ST	4,701 30	2.59
Share Price $41 680; CG IAR Status AL, Next Dividend Payable 03/2014								
VANGUARD FTSE EMERGING MARKETS (VWO)	8/24/12	238 000	40 758	9,700.31	9,791 32	91.01 LT		
	11/7/12	193 000	41.726	8,053 21	7,940 02	(113 19) LT		
	11/20/12	103 000	41 230	4,246.68	4,237 42	(9.26) LT		
	9/13/13	126 000	40 636	5,120 09	5,183 64	63 55 ST		
	Total	660 000		27,120 29	**27,152.40**	(31.44) LT 63.55 ST	742 50	2.73
Share Price: $41 140, CG IAR Status AL, Next Dividend Payable 03/2014								
VANGUARD SHORT TERM BND (BSV)	3/8/13	3,657 000	80.990	296,180.43	292,304 01	(3,876.42) ST		
	9/13/13	129 000	79 900	10,307 10	10,310 97	3 87 ST		
	11/8/13	44.000	80 458	3,540 13	3,516 92	(23.21) ST		
	Total	3,830 000		310,027 66	**306,131.90**	(3,895 76) ST	3,638 50	1 18
Share Price· $79 930, CG IAR Status AL, Next Dividend Payable 01/2014								
VANGUARD TOTAL BOND MARKET (BND)	12/7/11	515 000	83 480	42,992 15	41,225 75	(1,766 40) LT		
	4/13/12	209 000	83 739	17,501 49	16,730 45	(771 04) LT		
	11/7/12	552 000	84.910	46,870.32	44,187 60	(2,682.72) LT		
	11/20/12	243 000	84 808	20,608 25	19,452.15	(1,156 10) LT		
	9/13/13	136 000	79 800	10,852.77	10,886 80	34 03 ST		
	Total	1,655 000		138,824 98	**132,482.75**	(6,376 26) LT 34 03 ST	3,361 31	2 53
Share Price. $80 050, CG IAR Status AL, Next Dividend Payable 01/2014								

STATEMENT B

Morgan Stanley

Account Detail

Select UMA Basic Securities Account 295-107593-343
THE LOCKTON FAMILY FOUNDATION
SELECT UMA MODEL 3
Nickname: FDTN UMA#3

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income / *Accrued Interest*	Yield %
EXCHANGE-TRADED & CLOSED-END FUNDS	87.0%	$1,064,446.51	$1,206,869.39 A	$138,574.62 LT 3,848.26 ST	$24,958.19 $0.00	2.07%

MUTUAL FUNDS

OTHER MUTUAL FUNDS

Consulting Group Investment Advisor Research (CG IAR) status codes (FL, AL or NL) may be shown for certain mutual funds Please refer to "CG IAR Statuses in Investment Advisory Programs" in the quarter-end statement (or your first statement, if you have not yet received a statement at the quarter-end) for a description of these status codes All status codes represent the opinions of CG IAR and are not representations or guarantees of performance.

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
INVESCO PREMIER INST (IPPXX)		161,029.000	$0.000	$0 00	$161,029.00 A		$43.00	0.02
Share Price $1 000, CG IAR Status: AL, Dividend Cash, Capital Gains Cash								

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income / *Accrued Interest*	Yield %
MUTUAL FUNDS	11.6%	$0.00	$161,029.00		$43.00 $0.00	0.03%

Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page
For more information about the pricing of Money Market Funds, please see the Expanded Disclosures.

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income / *Accrued Interest*	Yield %
TOTAL MARKET VALUE	100.0%	$1,064,446.51	$1,386,457.86	$138,574.62 LT $3,848.26 ST	$25,002.91 $0.00	1.80%

TOTAL VALUE (includes accrued interest) $1,386,457.86

H - Wash sale rules apply to this tax lot The cost basis and acquisition date (trade date) have been adjusted to account for disallowed loss of a related wash sale transaction The aggregate amount of the basis adjustment is identified in italics under the Security Description
Unrealized Gain/(Loss) totals only reflect positions that have cost basis and/or market value information available Cash, MMF, Deposits and positions stating 'Please Provide' are not included

Σ(A) = 1,367,898.39

STATEMENT B