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Form 990-PF



Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation THE PHILIP E AND HARRIET J KLEIN FOUNDATION INC		A Employer identification number 52-2046127	
Number and street (or P O box number if mail is not delivered to street address) 1777 REISTERSTOWN ROAD		Room/suite	
City or town, state or province, country, and ZIP or foreign postal code BALTIMORE, MD 21208		B Telephone number (see instructions) (410) 902-5994	
G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		C If exemption application is pending, check here ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ☒ \$ 14,845,118		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
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) (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	31,616	31,616	31,616	
	4 Dividends and interest from securities.	82,691	82,691	82,691	
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	406,339			
	b Gross sales price for all assets on line 6a 2,721,665				
	7 Capital gain net income (from Part IV, line 2) . . .		406,339		
	8 Net short-term capital gain			21,554	
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
Operating and Administrative Expenses	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)	 84,074	84,074	84,074	
	12 Total. Add lines 1 through 11	604,720	604,720	219,935	
	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)	 145	145	145	145
	b Accounting fees (attach schedule)	 25,300	25,300	25,300	25,300
	c Other professional fees (attach schedule)				
	17 Interest	7,487	7,487	7,487	7,487
	18 Taxes (attach schedule) (see instructions)	 16,501	16,501	16,501	16,501
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	 47,010	47,010	47,010	47,010
	24 Total operating and administrative expenses. Add lines 13 through 23	96,443	96,443	96,443	96,443
	25 Contributions, gifts, grants paid	602,950			602,950
	26 Total expenses and disbursements. Add lines 24 and 25	699,393	96,443	96,443	699,393
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	-94,673			
	b Net investment income (if negative, enter -0-)		508,277		
	c Adjusted net income (if negative, enter -0-)			123,492	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	199,279	423,451	423,451
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	6,437,670	☒ 7,865,797	9,270,301
	c	Investments—corporate bonds (attach schedule).	55,000	☒ 30,000	30,000
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	6,421,861	☒ 3,868,669	5,121,366
	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)	13,113,810	12,187,917	14,845,118	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons		10,500	
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)	☒ 1,720,942	☒ 850,151	
	23	Total liabilities (add lines 17 through 22)	1,720,942	860,651	
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	11,392,868	11,327,266	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see page 17 of the instructions)	11,392,868	11,327,266	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	13,113,810	12,187,917	

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	11,392,868
2	Enter amount from Part I, line 27a	2	-94,673
3	Other increases not included in line 2 (itemize) ▶ _____ ☒	3	30,000
4	Add lines 1, 2, and 3	4	11,328,195
5	Decreases not included in line 2 (itemize) ▶ _____ ☒	5	929
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	11,327,266

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)
1 a	SEE ATTACHED EXHIBIT A	P	2013-01-01	2013-01-01
b	SEE ATTACHED EXHIBIT B	P	2011-01-01	2013-01-01
c	VARIOUS PARTNERSHIP LIQUIDATIONS	P	2001-01-01	2003-01-01
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 792,214		770,660	21,554
b 1,740,893		1,407,541	333,352
c 188,558		137,125	51,433
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			21,554
b			333,352
c			51,433
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	406,339
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	21,554

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	629,970	13,969,923	0 04510
2011	505,978	13,446,596	0 03763
2010	156,497	6,762,923	0 02314
2009	338,191	5,544,203	0 06100
2008	356,882	4,535,436	0 07869

2 Total of line 1, column (d).	2	0 24555
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 04911
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	13,303,439
5 Multiply line 4 by line 3.	5	653,332
6 Enter 1% of net investment income (1% of Part I, line 27b).	6	5,083
7 Add lines 5 and 6.	7	658,415
8 Enter qualifying distributions from Part XII, line 4. 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	8	699,393

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)		
1a Exempt operating foundations described in section 4940(d)(2), check here ☐ 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	5,083
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	5,083
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	
5 Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-	5	5,083
6 Credits/Payments		
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	17,922
b Exempt foreign organizations—tax withheld at source	6b	
c Tax paid with application for extension of time to file (Form 8868)	6c	10,000
d Backup withholding erroneously withheld	6d	
7 Total credits and payments Add lines 6a through 6d.	7	27,922
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	22,839
11 Enter the amount of line 10 to be Credited to 2014 estimated tax 22,839 Refunded	11	

Part VII-A Statements Regarding Activities

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

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address N/A				
14	The books are in care of DANIEL J KLEIN Telephone no (410) 902-5994 Located at 1777 REISTERSTOWN ROAD SUITE 245 BALTO MD ZIP+4 21208			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here and enter the amount of tax-exempt interest received or accrued during the year.	15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

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

Part VII-B

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ 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		No
	Organizations relying on a current notice regarding disaster assistance check here.			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?			
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		No
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	7b		No

Part VIII

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JEFFREY F KLEIN 150 BLADES LANE SUITE R GLEN BURNIE,MD 21060	Trustee/VP 0 00	0		
MICHAEL F KLEIN 2307 HIDDEN GLEN DRIVE OWINGS MILLS,MD 21117	Trustee/PRES 0 00	0		
DANIEL J KLEIN 1777 REISTERSTOWN ROAD STE 245 BALTIMORE,MD 21208	Trtee/TR,SY 0 00	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				
Total number of other employees paid over \$50,000.				

Part VIII

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

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

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see instructions)

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

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	9,064,305
b	Average of monthly cash balances.	1b	315,087
c	Fair market value of all other assets (see instructions).	1c	4,126,637
d	Total (add lines 1a, b, and c).	1d	13,506,029
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	13,506,029
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	202,590
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	13,303,439
6	Minimum investment return. Enter 5% of line 5.	6	665,172

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	665,172
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	5,083
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	5,083
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	660,089
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	660,089
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	660,089

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	699,393
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule).	3b	
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	699,393
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	5,083
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	694,310
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				660,089
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.				
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2013				
a From 2008.	76,016			
b From 2009.	62,085			
c From 2010.				
d From 2011.				
e From 2012.				
f Total of lines 3a through e.	138,101			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 699,393				
a Applied to 2012, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2013 distributable amount.				660,089
e Remaining amount distributed out of corpus	39,304			
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	177,405			
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . .	76,016			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	101,389			
10 Analysis of line 9				
a Excess from 2009. . . .	62,085			
b Excess from 2010. . . .				
c Excess from 2011. . . .				
d Excess from 2012. . . .				
e Excess from 2013. . . .	39,304			

Part XIV

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. . . .

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

	Tax year	Prior 3 years			(e) Total
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	
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 organization had \$5,000 or more in assets at any time during the year—see instructions.)**

1 Information Regarding Foundation Managers:

■ 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))

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

2 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 of the person to whom applications should be addressed

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

c Any submission deadlines

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

Part XV

Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data TableSee Additional Data Table				
Total			3a	602,950
b Approved for future payment				
Total			3b	

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
AMERICAN TECHNION SOCIETY 55 EAST 59TH STREET NEW YORK,NY 10022	N/A	EDUC	GENERAL SUPPORT	150,000
UNIVERSITY OF BALTIMORE FOUNDATION 1130 N CHARLES STREET BALTIMORE,MD 21201	N/A	EDUC	GENERAL SUPPORT	50,000
UNITED NEGRO COLLEGE FUND 8260 WILLOW OAKS CORPORATE DRIVE FAIRFAX,VA 22031	N/A	EDUC	GENERAL SUPPORT	10,000
THE ASSOCIATED 101 W MOUNT ROYAL AVENUE BALTIMORE,MD 21201	N/A	PUBLIC	GENERAL SUPPORT	170,000
THE GREATER BALTO BOARD OF REALTORS 1954 GREENSPRING DRIVE SUITE 100 TIMONIUM,MD 21093	N/A	PUBLIC	GENERAL SUPPORT	5,000
BAR ILAN 160 E 56TH STREET NEW YORK,NY 10022	N/A	EDUC	GENERAL SUPPORT	12,000
SHORESH 2704 BARTOL AVENUE BALTIMORE,MD 21209	N/A	RELIG	GENERAL SUPPORT	5,000
BALTIMORE EDUCATIONAL SCHOLARSHIP TRUST 808 NORTH CHARLES STREET BALTIMORE,MD 21201	N/A	EDUC	GENERAL SUPPORT	5,000
JEWISH NATIONAL FUND 78 RANDALL AVENUE ROCKVILLE CENTRE,NY 11570	N/A	PUBLIC	GENERAL SUPPORT	12,500
AMERICAN VISIONARY ART MUSEUM 800 KEY HIGHWAY BALTIMORE,MD 21230	N/A	PUBLIC	GENERAL SUPPORT	5,000
REGINALD F LEWIS MUSEUM 830 EAST PRATT STREET BALTIMORE,MD 21202	N/A	PUBLIC	GENERAL SUPPORT	1,000
BOYSTOWN JERUSALEM 1 PENN PLAZA SUITE 6250 NEW YORK,NY 10119	N/A	PUBLIC	GENERAL SUPPORT	5,000
BALTIMORE MUSEUM OF ART 10 ART MUSEUM DRIVE BALTIMORE,MD 21218	N/A	PUBLIC	GENERAL SUPPORT	5,000
NATIONAL AQUARIUM 501 E PRATT STREET BALTIMORE,MD 21202	N/A	PUBLIC	GENERAL SUPPORT	2,500
BETH TFILOH CONGREGATION 3300 OLD COURT ROAD BALTIMORE,MD 21208	N/A	RELIG	GENERAL SUPPORT	10,000
Total  3a				602,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
LIFEBRIDGE HEALTH 2401 WEST BELVEDERE AVENUE BALTIMORE,MD 21215	N/A	PUBLIC	GENERAL SUPPORT	10,000
HADASSAH 50 WEST 58TH STREET NEW YORK,NY 10019	N/A	PUBLIC	GENERAL SUPPORT	10,000
TEMPLE BETH SHALOM 1461 BALTIMORE-ANNAPOLIS BOULEVARD ARNOLD,MD 21012	N/A	RELIG	GENERAL SUPPORT	12,500
TEMPLE OHEB SHALOM 7310 PARK HEIGHTS AVENUE BALTIMORE,MD 21208	N/A	RELIG	GENERAL SUPPORT	10,000
MARYLAND FOOD BANK 2200 HALETHORPE FARMS ROAD BALTIMORE,MD 21227	N/A	PUBLIC	GENERAL SUPPORT	2,500
MARYLAND INSTITUTE COLLEGE OF ART 1300 W MOUNT ROYAL AVENUE BALTIMORE,MD 21217	N/A	EDUC	GENERAL SUPPORT	30,000
MELITZ-CENTERS FOR JEWISH ZIONIST EDUC 24 HILLEL STREET JERUSALEM 91101 IS	N/A	EDUC	GENERAL SUPPORT	2,500
BALTIMORE SYMPHONY ORCHESTRA 1212 CATHEDRAL STREET BALTIMORE,MD 21201	N/A	PUBLIC	GENERAL SUPPORT	2,500
BALTIMORE SCHOOL FOR THE ARTS 712 CATHEDRAL STREET BALTIMORE,MD 21201	N/A	EDUC	GENERAL SUPPORT	2,500
BALTIMORE ZIONIST DISTRICT 3655-B OLD COURT ROAD SUITE 24 BALTIMORE,MD 21208	N/A	PUBLIC	GENERAL SUPPORT	5,000
THE PARK SCHOOL OF BALTIMORE PO BOX 8200 BROOKLANDVILLE,MD 21022	N/A	EDUC	GENERAL SUPPORT	30,000
ETZ CHAIM 3702 FORDS LANE BALTIMORE,MD 21215	N/A	PUBLIC	GENERAL SUPPORT	5,000
MARYLAND SCIENCE CENTER 601 LIGHT STREET BALTIMORE,MD 21230	N/A	PUBLIC	GENERAL SUPPORT	2,500
FRIENDS OF THE ISRAEL DEFENSE FORCES PO BOX 395 STEVENSON,MD 21153	N/A	PUBLIC	GENERAL SUPPORT	5,500
THE JEWISH MUSEUM OF MARYLAND 15 LLOYD STREET BALTIMORE,MD 21202	N/A	PUBLIC	GENERAL SUPPORT	2,500
Total 3a				602,950

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
BNAI ISRAEL CONGREGATION 27 LLOYD STREET BALTIMORE, MD 21202	N/A	RELIG	GENERAL SUPPORT	7,500
SNYDER CENTER FOR APHASIA 413 WARREN AVENUE BALTIMORE, MD 21230	N/A	PUBLIC	GENERAL SUPPORT	5,000
ELIJAH CUMMINGS YOUTH PROGRAM IN IS 5700 PARK HEIGHTS AVENUE BALTIMORE, MD 21215	N/A	PUBLIC	GENERAL SUPPORT	9,450
Total  3a				602,950

TY 2013 Accounting Fees Schedule

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FELDMAN, BLUM & ASSOCIATES, LLC	25,300	25,300	25,300	25,300

TY 2013 Investments Corporate Bonds Schedule

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Name of Bond	End of Year Book Value	End of Year Fair Market Value
STATE OF ISRAEL 4.0% DUE 08/01/14	30,000	30,000

**TY 2013 Investments Corporate
Stock Schedule**

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Name of Stock	End of Year Book Value	End of Year Fair Market Value
SEE ATTACHED EXHIBIT C	7,865,797	9,270,301

TY 2013 Investments - Other Schedule

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
MDK DEER PARK LLC	AT COST	68,478	68,478
TAX LIEN FUND - CRTI EXEMPT INVESTORS	AT COST	161	161
BOIII CUMBERLAND, LLC	AT COST	414,681	414,681
BROADFIN HEALTHCARE OFFSHORE FUND, LTD	AT COST	1,000,000	2,252,697
MARYLAND/ISRAEL TRENDLINES	AT COST	68,792	68,792
WORLD TOTAL RETURN FUND	AT COST	248,572	248,572
SHELTER SENIOR LIVING V	AT COST	106,489	106,489
BROWNSAVANO DIRECT CAPITAL PARTNERS	AT COST	115,601	115,601
CRC FUND III LP	AT COST	266,467	266,467
CVPR GAMING HOLDINGS	AT COST	267,952	267,952
MDK FELS POINT, LLC	AT COST	322,157	322,157
GREENSPRING GLOBAL PARTNERS V LP	AT COST	104,379	104,379
MDK CHARLESTOWN CROSSING	AT COST	291,054	291,054
MDK RUN CROSSING LLC	AT COST	249,791	249,791
THE TOPIARY SELECT FUND I, LLC	AT COST	49,751	49,751
MDK TRIANGLE LLC	AT COST	200,715	200,715
SHELTER SENIOR LIVING VI	AT COST	64,889	64,889
U.S.A. FUND LLLP	AT COST	165,696	165,696

TY 2013 Legal Fees Schedule

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
GORDON FEINBLATT	145	145	145	145

TY 2013 Other Decreases Schedule

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Description	Amount
NON-DEDUCTIBLE EXPENSES	929

TY 2013 Other Expenses Schedule

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BANK CHARGES	253	253	253	253
INVESTMENT ADVISORY FEES	46,295	46,295	46,295	46,295
OFFICE	462	462	462	462

TY 2013 Other Income Schedule

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
PASS-THRU K-1 ENTITIES	84,074	84,074	84,074

TY 2013 Other Increases Schedule

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Description	Amount
ISRAEL BONDS TRANSFERRED IN	30,000

TY 2013 Other Liabilities Schedule

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Description	Beginning of Year - Book Value	End of Year - Book Value
CASH OVERDRAFT-MARGIN ACCOUNT	1,720,942	850,151

TY 2013 Taxes Schedule

Name: THE PHILIP E AND HARRIET J KLEIN
FOUNDATION INC

EIN: 52-2046127

Software ID: 13000170

Software Version: 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX WITHHELD-VARIOUS	1,501	1,501	1,501	1,501
FORM 990-PF FYE 12/31/12	15,000	15,000	15,000	15,000

DEUTSCHE 5XZ - 946884
SCHEDULE OF SHORT TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

<u>DESCRIPTION</u>	<u>DATE ACQUIRED</u>	<u>DATE SOLD</u>	<u>PAR VALUE SHARES</u>	<u>PROCEEDS</u>	<u>TAX COST BASIS</u>	<u>GAIN(LOSS)</u>
ABERCROMBIE & FITCH CO	6/1/2012	1/14/2013	50	2,371.55	1,603.90	767 65
AVERY DENNISON CORP	2/2/2012	1/17/2013	105	3,760.27	3,033 29	726 98
ABERCROMBIE & FITCH CO	6/1/2012	2/8/2013	60	3,080 33	1,924 68	1,155 65
AVERY DENNISON CORP	3/6/2012	2/8//13	55	2,163 66	1,589 26	574 40
ABERCROMBIE & FITCH CO	8/2/2012	2/22/2013	75	3,550 77	2,183 06	1,367 71
ABERCROMBIE & FITCH CO	VARIOUS	3/4/2013	100	4,620 91	3,147 96	1,472 95
AVERY DENNISON CORP	9/20/2012	3/4/2013	75	3,233.62	2,238 53	995 09
TRUE RELIGION APPAREL INC	VARIOUS	7/31/2013	325	10,400 00	8,187 54	2,212.46
SEALED AIR CORP	9/20/2012	9/12/2013	20	599 35	324 92	274 43
O M GROUP INC	VARIOUS	10/22/2013	115	3,789 29	2,942 36	846 93
O M GROUP INC	VARIOUS	11/29/2013	205	6,685 42	5,129 86	1,555 56
OVERALL TOTALS				<u>44,255 17</u>	<u>32,305 36</u>	<u>11,949 81</u>

DEUTSCHE 5XZ - 946892
SCHEDULE OF SHORT TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

DESCRIPTION	DATE ACQUIRED	DATE SOLD	PAR VALUE SHARES	PROCEEDS	TAX COST BASIS	GAIN(LOSS)
TIME WARNER INC	1/20/2012	1/16/2013	10	491.85	374 50	117 35
FLOWSERVE CORP	7/11/2012	1/31/2013	30	4,584 68	3,288 93	1,295 75
INTEL CORP	9/11/2012	1/31/2013	40	841 19	942 68	(101 49)
CISCO SYSTEMS INC	5/7/2012	2/13/2013	260	5,457 27	4,963 98	493 29
VODAFONE GROUP	4/18/2012	2/22/2013	260	6,471 26	7,112 63	(641 37)
CISCO SYSTEMS INC	VARIOUS	3/28/2013	180	3,761 91	3,194 14	567 77
EMC CORPORTION	6/14/2012	4/16/2013	155	3,546 94	3,708 79	(161 85)
NOVARTIS	4/18/2012	4/16/2013	20	1,470.87	1,112.72	358 15
TEVA PHARMACEUTICAL LTD	10/1/2012	5/14/2013	20	794 21	827 33	(33 12)
GENERAL DYNAMICS	11/5/2012	5/17/2013	5	389 01	341 32	47 69
CARDINAL HEALTH INC	VARIOUS	5/22/2013	190	9,106 79	7,474 31	1,632 48
DOW CHEM CO	9/11/2012	5/30/2013	25	873 58	760 17	113 41
GENUINE PARTS CO	12/7/2012	6/7/2013	60	4,628 07	3,842.74	785 33
ABBOTT LABS	1/28/2013	7/1/2013	15	528 35	496 00	32 35
GENERAL MILLS INC	7/17/2012	7/1/2013	45	2,160 63	1,742 37	418 26
HARTFORD FINL SVCS GROUP INC	10/18/2012	7/8/2013	50	1,558.77	1,125 84	432 93
EMC CORPORTION	1/30/2013	7/31/2013	50	1,319.48	1,236 31	83 17
POLARIS INDUSTRIES INC	8/31/2013	8/16/2013	10	1,141 27	968 53	172 74
VIACOM INC	1/16/2013	8/26/2013	20	1,575 27	1,149 75	425 52
VARIAN MED SYS INC	5/17/2013	11/7/2013	65	4,751 21	4,482 08	269 13
POLARIS INDUSTRIES INC	5/31/2013	11/19/2013	45	6,042 17	4,358 39	1,683 78
DAVITA HEALTHCARE PA	4/10/2013	12/13/2013	130	8,051 84	8,141 40	(89.56)
VENTAS CORP	4/16/2013	12/27/2013	40	2,283.84	3,098 09	(814 25)
OVERALL TOTALS				71,830.46	64,743 00	7,087 46

DEUTSCHE 5XZ-947015
SCHEDULE OF SHORT TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

<u>DESCRIPTION</u>	<u>DATE ACQUIRED</u>	<u>DATE SOLD</u>	<u>PAR VALUE SHARES</u>	<u>PROCEEDS</u>	<u>TAX COST BASIS</u>	<u>GAIN/(LOSS)</u>
DIAMOND OFFSHORE DRI	2/22/2013	12/19/2013	75	<u>4,200 17</u>	<u>5,397 70</u>	<u>(1,197 53)</u>
OVERALL TOTALS				<u>4,200 17</u>	<u>5,397 70</u>	<u>(1,197 53)</u>

DEUTSCHE 5XF-741451
SCHEDULE OF SHORT TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

DESCRIPTION	DATE ACQUIRED	DATE SOLD	PAR VALUE SHARES	PROCEEDS	TAX COST BASIS	GAIN/(LOSS)
ANIXTER INTL INC	3/31/2012	1/11/2013	3,000	3,491 82	2,938 72	553 10
ANIXTER INTL INC	3/31/2012	1/14/2013	1,000	1,161 62	979 58	182 04
ANIXTER INTL INC	3/31/2012	1/16/2013	1,000	1,157 99	979 58	178 41
AMGEN INC	3/31/2012	1/18/2013	5,000	5,558 19	4,560.44	997 75
ANIXTER INTL INC	3/31/2012	1/18/2013	3,000	3,483 06	2,938 72	544 34
AMGEN INC	3/31/2012	1/22/2013	2,000	2,205 66	1,824 18	381 48
AMGEN INC	3/31/2012	1/23/2013	3,000	3,273 52	2,736 27	537 25
AMGEN INC	3/31/2012	1/24/2013	1,000	1,071 22	912 09	159 13
ANIXTER INTL INC	3/31/2012	1/24/2013	1,000	1,185 33	979 58	205 75
LIBERTY MEDIA CORP	VARIOUS	1/24/2013	15,000	134 38	-	134 38
AMGEN INC	VARIOUS	1/25/2013	3,000	3,200 77	3,220 36	(19 59)
AMGEN INC	7/13/2012	1/28/2013	1,000	1,071 49	1,059 72	11 77
ANIXTER INTL INC	3/31/2012	1/28/2013	2,000	2,391 20	1,959 15	432 05
ANIXTER INTL INC	3/31/2012	1/29/2013	4,000	4,792 70	3,918 28	874 42
ANGLOGOLD ASHANTI	VARIOUS	2/7/2013	185	6,496 96	7,935 96	(1,439 00)
NUANCE COMMUNICATIONS	10/26/2012	2/8/2013	2,000	2,129 37	2,177 81	(48.44)
NUANCE COMMUNICATIONS	10/26/2012	2/8/2013	5,000	5,300 00	5,444 53	(144 53)
ROYAL GOLD INC	6/20/2012	2/22/2013	1,000	1,044 74	1,042 68	2 06
ROYAL GOLD INC	6/20/2012	2/25/2013	4,000	4,210 56	4,168 03	42 53
ROYAL GOLD INC	VARIOUS	3/4/2013	3,000	3,095 91	3,109 47	(13 56)
ROYAL GOLD INC	VARIOUS	3/5/2013	8,000	8,250 96	8,271 28	(20 32)
CHESAPEAKE ENERGY CO	5/31/2012	4/8/2013	23,000	23,000 00	23,608 16	(608 16)
VOLCANO CORP	VARIOUS	4/23/2013	17,000	16,373 13	17,529 42	(1,156 29)
GOLDCORP INC	4/1/2012	4/24/2013	7,000	7,210 00	8,141 87	(931 87)
FIDELITY NATL FINL	8/7/2012	5/3/2013	6,000	8,133 55	6,801 41	1,332 14
FIDELITY NATL FINL	8/20/2012	5/6/2013	7,000	9,537 12	8,014 32	1,522.80
FIDELITY NATL FINL	8/20/2012	5/7/2013	2,000	2,752 50	2,289 81	462 69
OMNICOM GROUP INC	6/12/2013	6/12/2013	CASH IN LIEU	60 96	16 17	44 79
CHARLES RIVER LABORATORY	9/21/2012	6/15/2013	8,000	8,000 00	8,128 00	(128 00)
FIFTH THIRD BANCORP	11/5/2012	7/2/2013	CASH IN LIEU	13 23	11 33	1 90
OMNICOM GROUP INC	6/12/2013	7/11/2013	67	4,287 81	1,140 26	3,147 55
FIFTH THIRD BANCORP	VARIOUS	7/15/2013	1,036	19,414 51	16,587 49	2,827 02
TESLA MOTORS	5/17/2013	7/22/2013	3,000	3,600 00	3,126 75	473 25
NEWMONT MINING CORP	3/31/2013	8/19/2013	10,000	11,295 00	10,308 90	986 10
TESLA MOTORS	5/17/2013	8/19/2013	1,000	1,350 00	1,042 25	307 75
TESLA MOTORS	5/17/2013	8/19/2013	1,000	1,343 34	1,042 25	301 09
TESLA MOTORS	5/17/2013	8/20/2013	1,000	1,342 42	1,042 25	300 17
TESLA MOTORS	5/17/2013	8/21/2013	1,000	1,360 53	1,042 24	318 29
TESLA MOTORS	5/17/2013	8/22/2013	1,000	1,373 87	1,051 00	322 87
TESLA MOTORS	5/17/2013	8/22/2013	1,000	1,380 34	1,051 00	329 34
METLIFE INC	9/17/2013	9/17/2013	CASH IN LIEU	21 71	17 99	3 72
METLIFE INC	9/16/2013	9/17/2013	181	8,908 15	8,174 36	733 79
TYSON FOODS INC	VARIOUS	10/15/2013	7,000	7,000 00	7,000 00	-
GENERAL MOTORS CO	VARIOUS	10/24/2013	375	18,898 43	16,462 02	2,436 41
JEFFERIES GROUP INC	VARIOUS	10/28/2013	9,000	9,528 75	10,261 86	(733 11)
EXTERRAN HLDGS INC	VARIOUS	10/31/2013	7,000	8,959 30	8,439 30	520 00
GENERAL CABLE CORP	1/29/2013	10/31/2013	1,000	1,167 84	1,296 25	(128 41)
GENERAL CABLE CORP	1/29/2013	11/1/2013	2,000	2,333 99	2,435 00	(101 01)
GENERAL CABLE CORP	1/29/2013	11/4/2013	1,000	1,166 56	1,297 64	(131 08)
GENERAL CABLE CORP	1/30/2013	11/5/2013	1,000	1,163 21	1,295 70	(132 49)
GENERAL CABLE CORP	1/30/2013	11/6/2013	2,000	2,320 39	2,592 34	(271 95)
ARRIS GROUP INC	2/26/2013	11/8/2013	3,000	3,217 20	3,389 24	(172 04)
ARRIS GROUP INC	2/27/2013	11/12/2013	1,000	1,072 40	1,140.00	(67 60)
HORNBECK OFFSHORE	VARIOUS	11/15/2013	0 116	6 26	-	6 26
HORNBECK OFFSHORE	12/3/2013	12/6/2013	67	3,328 13	-	3,328 13
NUANCE COMMUNICATIONS	VARIOUS	12/16/2013	4,000	4,157 50	4,995 88	(838 38)
OVERALL TOTALS				<u>259,785 58</u>	<u>241,928 89</u>	<u>17,856 69</u>

DEUTSCHE 5XZ-948195
SCHEDULE OF SHORT TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

<u>DESCRIPTION</u>	DATE <u>ACQUIRED</u>	DATE <u>SOLD</u>	PAR VALUE <u>SHARES</u>	<u>PROCEEDS</u>	TAX COST <u>BASIS</u>	<u>GAIN/(LOSS)</u>
PHILLIPS 66	VARIOUS	4/17/2013	191	11,058.84	5,940.66	5,118.18
ASTRAZENECA PLC	7/5/2012	6/13/2013	241	12,251.91	10,972.68	1,279.23
FREEPORT-MCMORAN CORP	1/11/2013	6/24/2013	96	2,594.16	6,402.24	(3,808.08)
FREEPORT-MCMORAN CORP	VARIOUS	7/8/2013	191	5,291.18	9,801.51	(4,510.33)
ANNALY CAP MGMT INC	1/1/2013	10/1/2013	329	3,810.01	5,449.03	(1,639.02)
ANNALY CAP MGMT INC	6/13/2013	10/24/2013	359	4,361.77	4,810.50	(448.73)
HOLLYFRONTIER CORP	4/17/2013	11/19/2013	280	<u>12,990.57</u>	<u>13,075.22</u>	<u>(84.65)</u>
OVERALL TOTALS				<u>52,358.44</u>	<u>56,451.84</u>	<u>(4,093.40)</u>

INVESTORS CAPITAL - PJQ-003065
SCHEDULE OF SHORT TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

DESCRIPTION	DATE ACQUIRED	DATE SOLD	PAR VALUE SHARES	PROCEEDS	TAX COST BASIS	GAIN/(LOSS)
MARKET VECTORS ETF GOLD MINERS	11/23/2012	3/20/2013	1,000	37,461 21	48,818 75	(11,357 54)
MICROSOFT CORP	6/22/2012	4/11/2013	1,250	35,904 24	30,916 70	4,987 54
ALLIANZGI EQUITY & CONV INCOME	2/1/2013	5/10/2013	1,000	18,649 73	17,889 65	760 08
COCA COLA CO	6/15/2012	5/10/2013	400	16,937 64	15,202 95	1,734 69
CONOCOPHILLIPS	6/15/2012	5/10/2013	500	31,129 40	27,422 45	3,706 95
ENCANA CORP	6/15/2012	5/10/2013	500	9,042 24	10,704 10	(1,661 86)
FREEPORT-McMORAN COPPER & GOLD	12/14/2012	5/10/2013	1,000	31,274 34	33,593 95	(2,319 61)
LEGGETT & PLATT INC	3/27/2013	5/10/2013	1,000	32,710.41	32,889 85	(179 44)
YAHOO INC	6/15/2012	5/10/2013	200	5,118 99	3,102 95	2,016 04
OVERALL TOTALS				<u>218,228 20</u>	<u>220,541 35</u>	<u>(2,313 15)</u>

ROYAL ALLIANCE 60Z-033387
SCHEDULE OF SHORT TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

DESCRIPTION	DATE ACQUIRED	DATE SOLD	PAR VALUE SHARES	PROCEEDS	TAX COST BASIS	GAIN/(LOSS)
METLIFE INC	10/5/2012	1/18/2013	13,000	19,922 50	19,500 00	422 50
EATON CORP	7/18/2012	3/12/2013	250	15,625 89	12,953 59	2,672 30
ACME PACKET INC	7/18/2012	3/12/2013	400	11,681 73	6,467 64	5,214 09
ISHARES INC	1/18/2013	3/20/2013	500	6,202 61	7,060 00	(857 39)
DREYFUS STRATEGIC	10/5/2012	5/17/2013	1,200	10,981 19	11,753 88	(772 69)
MARKET VECTORS EFT GOLD MINERS	11/28/2012	6/18/2013	600	6,743 94	14,818 80	(8,074 86)
PIMCO ETF TR 15+	1/18/2013	6/18/2013	150	9,363 13	10,732 50	(1,369 37)
PIMCO INCOME FUND	VARIOUS	8/5/2013	1,447 261	17,700 00	18,245 71	(545 71)
CREDIT SUISSE HIGH YIELD BD	6/11/2013	9/18/2013	4,000	12,359 78	12,826 17	(466 39)
NUVEEN FLTNG RATE INCOME OPPT FD	10/5/2012	9/18/2013	1,100	13,584 76	13,901 91	(317 15)
FARO TECHNOLOGIES INC	5/17/2013	11/5/2013	300	14,113 10	10,628 25	3,484 85
GOLD RESOURCE CORP	1/18/2013	12/26/2013	700	3,277 76	10,403 40	(7,125 64)
OVERALL TOTALS				141,556 39	149,291 85	(7,735 46)
GRAND TOTALS - SHORT TERM GAINS(LOSSES)				792,214 41	770,659 99	21,554 42

DEUTSCHE 5XF - 008505
SCHEDULE OF LONG TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

<u>DESCRIPTION</u>	<u>DATE</u> <u>ACQUIRED</u>	<u>DATE</u> <u>SOLD</u>	<u>PAR VALUE</u> <u>SHARES</u>	<u>PROCEEDS</u>	<u>TAX COST</u> <u>BASIS</u>	<u>GAIN(LOSS)</u>
HSBC USA INC MEDIUM	10/14/2011	4/13/2013	450,000	553,500 00	450,000 00	103,500 00
ISRAEL ST DLR BD JUBILEE 5 60%	11/17/2008	6/23/2013	REDEMPTION	30,000 00	30,000 00	-
OVERALL TOTALS				583,500 00	480,000 00	103,500 00

DEUTSCHE 5XZ - 946884
SCHEDULE OF LONG TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

DESCRIPTION	DATE ACQUIRED	DATE SOLD	PAR VALUE SHARES	PROCEEDS	TAX COST BASIS	GAIN(LOSS)
TEREX CORPORATION	VARIOUS	1/7/2013	140	4,128 96	3,043 23	1,085 73
INTERNATIONAL PAPER CO	3/10/2011	1/14/2013	25	1,007.32	644 22	363 10
VALERO ENERGY CORP	6/28/2010	1/14/2013	75	2,573 97	1,389 00	1,184 97
TEREX CORPORATION	8/10/2011	1/15/2013	80	2,342 57	1,274 83	1,067 74
AVERY DENNISON CORP	2/2/2012	2/8/2013	35	1,376 87	1,011 09	365 78
TEREX CORPORATION	8/10/2011	2/8/2013	115	3,856 18	1,832.57	2,023 61
TEREX CORPORATION	10/6/2011	2/20/2013	30	1,008 57	349.47	659 10
VALERO ENERGY CORP	VARIOUS	3/6/2013	135	6,472 07	2,582 04	3,890 03
AVERY DENNISON CORP	3/6/2012	3/12/2013	50	2,135 96	1,444 78	691 18
AVERY DENNISON CORP	3/6/2012	3/15/2013	45	1,940 17	1,300 30	639 87
VALERO ENERGY CORP	8/19/2010	4/1/2013	45	2,023 18	874 32	1,148 86
AECOM TECHNOLOGY CORP	VARIOUS	4/5/2013	55	1,621 27	1,070 09	551 18
AECOM TECHNOLOGY CORP	9/12/2011	4/11/2013	65	2,010 40	1,326 57	683 83
AECOM TECHNOLOGY CORP	9/12/2011	4/16/2013	85	2,455 60	1,734 75	720 85
VALERO ENERGY CORP	8/19/2010	4/16/2013	25	978 07	485 73	492 34
CST BRANDS INC	8/19/2010	5/7/2013	CASH IN LIEU	3 30	-	3 30
AECOM TECHNOLOGY CORP	VARIOUS	5/8/2013	70	2,112 84	1,441 01	671 83
CST BRANDS INC	VARIOUS	5/8/2013	20	639 78	354 52	285 26
CST BRANDS INC	8/26/2011	5/8/2013	1	31 69	14 78	16 91
COMMUNITY HEALTH SYSTEM	8/4/2011	5/8/2013	65	2,977 99	1,491 00	1,486 99
VALERO ENERGY CORP	8/19/2010	5/8/2013	40	1,563 33	777 17	786 16
SEALED AIR CORP	3/2/2012	5/21/2013	145	3,461 77	2,855 96	605 81
SEALED AIR CORP	VARIOUS	6/27/2013	140	3,207 34	2,811 95	395 39
VALERO ENERGY CORP	VARIOUS	6/27/2013	150	5,098 14	2,581 16	2,516 98
WELLS FARGO & CO	VARIOUS	6/27/2013	115	4,601 59	3,482 52	1,119 07
TEXAS INSTRUMENTS INC	4/21/2009	7/23/2013	105	4,109 10	1,787 23	2,321 87
AECOM TECHNOLOGY CORP	11/18/2011	8/9/2013	75	2,410 80	1,567 82	842 98
BARNES GROUP INC	2/22/2011	8/9/2013	35	1,158 23	721 45	436 78
HOSPIRA INC	12/12/2011	8/9/2013	60	2,489 62	1,681 80	807 82
KINDRED HEALTHCARE INC	VARIOUS	8/9/2013	365	5,949 39	4,581 54	1,367 85
SEALED AIR CORP	VARIOUS	8/9/2013	145	4,384 16	2,152 94	2,231 22
WELLS FARGO & CO	VARIOUS	8/9/2013	45	1,991 83	985 29	1,006 54
SEALED AIR CORP	8/2/2012	8/23/2013	100	2,897 33	1,193 76	1,703 57
SEALED AIR CORP	8/2/2012	9/3/2013	75	2,127 28	895 32	1,231 96
HOSPIRA INC	VARIOUS	9/9/2013	55	2,109 54	1,687 19	422.35
KINDRED HEALTHCARE INC	8/19/2011	9/17/2013	145	1,934 78	1,900 46	34 32
TEXAS INSTRUMENTS INC	4/21/2009	9/17/2013	55	2,197 06	936 17	1,260 89
SEALED AIR CORP	8/2/2012	9/17/2013	190	5,693 81	2,268 16	3,425 65
KINDRED HEALTHCARE INC	VARIOUS	9/25/2013	235	3,196 41	2,841 72	354 69
MACYS INC	8/19/2010	10/11/2013	45	1,915 34	660 91	1,254 43
TEXAS INSTRUMENTS INC	VARIOUS	10/11/2013	55	2,162 29	961 10	1,201 19
BARNES GROUP INC	4/20/2011	10/17/2013	80	2,877 80	1,739 69	1,138 11
AECOM TECHNOLOGY CORP	11/18/2011	10/25/2013	180	5,891 99	3,762 77	2,129 22
BARNES GROUP INC	4/20/2011	10/25/2013	90	3,414 11	1,957 15	1,456 96
ARCHER DANIELS MIDLAND	VARIOUS	11/1/2013	60	2,438 07	1,857 43	580 64
WELLPOINT INC	VARIOUS	11/14/2013	80	7,003 53	4,407 17	2,596 36
HEALTH MANAGEMENT	VARIOUS	11/18/2013	965	12,802 39	7,892 09	4,910 30
BARNES GROUP INC	4/20/2011	11/19/2013	55	1,991 28	1,196 04	795.24
ASPEN INSURANCE HLDG	VARIOUS	11/22/2013	310	12,343 38	7,700 20	4,643 18
ARCHER DANIELS MIDLAND	2/14/2011	12/2/2013	65	2,704 28	2,373 08	331 20
OVERALL TOTALS				157,822 73	95,881 54	61,941 19

DEUTSCHE 5XZ - 946892
SCHEDULE OF LONG TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

DESCRIPTION	DATE ACQUIRED	DATE SOLD	PAR VALUE SHARES	PROCEEDS	TAX COST BASIS	GAIN(LOSS)
TIME WARNER INC	8/31/2011	1/8/2013	40	1,993 33	1,263 04	730 29
TIME WARNER INC	8/31/2011	1/22/2013	65	3,196 99	2,052 43	1,144 56
INTEL CORP	VARIOUS	1/31/2013	270	5,678 00	6,525 96	(847 96)
WAL MART STORES INC	1/10/2011	2/5/2013	65	4,551 85	3,495 65	1,056 20
AFLAC INC	VARIOUS	2/15/2013	155	7,607 47	7,297 49	309 98
TRAVELERS COS INC	VARIOUS	2/27/2013	60	4,818 63	3,322 11	1,496 52
MERCK & CO INC	VARIOUS	3/6/2013	185	8,012 45	6,898 16	1,114 29
ABBVIE INC	VARIOUS	3/26/2013	105	4,213 16	3,070 75	1,142 41
WAL MART STORES INC	1/20/2012	3/26/2013	55	4,120 28	3,350 05	770 23
TE CONNECTIVITY LTD	VARIOUS	4/4/2013	100	4,136 67	3,583 33	553 34
DISNEY WALT CO	VARIOUS	4/5/2013	65	3,707 15	2,433 35	1,273 80
GENERAL MOTORS CO	VARIOUS	4/5/2013	120	3,299 68	3,117 56	182 12
JOHNSON & JOHNSON CO	VARIOUS	4/5/2013	55	4,510 07	3,793 92	716 15
AMERICAN ELECTRIC POWER CO	7/9/2010	4/16/2013	25	1,235 22	868 70	366 52
AMERIPRISE FINL INC	VARIOUS	4/16/2013	25	1,823 25	1,070 73	752 52
METLIFE INC	VARIOUS	4/16/2013	80	2,943 51	3,550 72	(607 21)
DOW CHEMICAL CO	VARIOUS	4/19/2013	105	3,190 87	3,443 03	(252 16)
EQT CORPORATION	VARIOUS	4/19/2013	75	4,989 14	3,482 30	1,506 84
MARATHON OIL CORP	VARIOUS	4/19/2013	130	3,867 44	3,952 91	(85 47)
OCCIDENTAL PETE CORP	9/23/2011	4/19/2013	25	1,982 23	1,813 88	168 35
TEVA PHARMACEUTICAL LTD	VARIOUS	4/26/2013	70	2,697 34	3,492 85	(795 51)
BOEING CO	VARIOUS	5/13/2013	50	4,734 98	3,117 41	1,617 57
TEVA PHARMACEUTICAL LTD	1/20/2012	5/14/2013	90	3,573 95	4,125 60	(551 65)
NOVARTIS	4/18/2012	5/16/2013	50	3,752 84	2,781 81	971 03
GENERAL DYNAMICS	VARIOUS	5/17/2013	50	3,890 11	3,707 57	182 54
DOW CHEMICAL CO	VARIOUS	5/30/2013	110	3,843 76	3,587 79	255 97
MICROSOFT CORP	VARIOUS	5/30/2013	165	5,799 71	4,352 23	1,447 48
AMERICAN ELECTRIC POWER CO	VARIOUS	6/18/2013	165	7,552 81	6,348 32	1,204 49
JOHNSON & JOHNSON CO	1/20/2012	6/21/2013	25	2,088 07	1,632 18	455 89
ABBOTT LABS	VARIOUS	7/1/2013	105	3,698 39	2,831 73	866 66
MALLINCKRODT PUB LTD	10/7/2011	7/2/2013	0 500	21 35	15 89	5 46
GENERAL MOTORS CO	VARIOUS	7/8/2013	150	5,129 93	3,656 49	1,473 44
MALLINCKRODT PUB LTD	VARIOUS	7/16/2013	17	722 32	569 11	153 21
MICROSOFT CORP	1/20/2012	7/25/2013	110	3,496 06	3,256 67	239 39
ORACLE CORP	VARIOUS	7/25/2013	105	3,338 21	2,719 97	618 24
EMC CORP	6/14/2012	7/31/2013	130	3,430 63	3,110 60	320 03
MARATHON OIL CORP	VARIOUS	8/27/2013	135	4,512 01	4,006 43	505 58
PFIZER INC	1/20/2012	8/27/2013	180	4,502 32	3,501 93	1,000 39
AMERICAN INTERNATIONAL GROUP INC	4/12/2012	9/20/2013	40	2,018 02	1,315 20	702 82
CVS CAREMARK CORP	VARIOUS	10/8/2013	165	9,368 97	5,774 05	3,594 92
BAXTER INTL INC	VARIOUS	10/29/2013	125	8,195 14	7,071 89	1,123 25
AMERIPRISE FINL INC	1/20/2012	10/30/2013	55	5,477 50	2,998 60	2,478 90
ANADARKO PETE CORP	VARIOUS	10/30/2013	96	9,149 80	6,272 45	2,877 35
DISNEY WALT CO	1/20/2012	11/1/2013	75	5,149 08	2,939 78	2,209 30
ORACLE CORP	VARIOUS	11/1/2013	145	4,859 07	4,084 58	774 49
AMERICAN INTERNATIONAL GROUP INC	4/12/2012	11/13/2013	75	3,553 02	2,466 00	1,087 02
WELLS FARGO & CO	VARIOUS	11/15/2013	120	5,111 38	2,784 78	2,326 60
ADVANCED AUTO PARTS	8/21/2012	12/27/2013	40	4,387 21	2,870 46	1,516 75
MICROSOFT CORP	VARIOUS	12/27/2013	140	5,221 90	4,031 21	1,190 69
OVERALL TOTALS				<u>209,153 27</u>	<u>167,809 65</u>	<u>41,343 62</u>

DEUTSCHE 5XZ-947015
SCHEDULE OF LONG TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

<u>DESCRIPTION</u>	<u>DATE ACQUIRED</u>	<u>DATE SOLD</u>	<u>PAR VALUE SHARES</u>	<u>PROCEEDS</u>	<u>TAX COST BASIS</u>	<u>GAIN/(LOSS)</u>
MONDELEZ INC	VARIOUS	3/22/2013	480	14,271 95	8,829.48	5,442.47
VERIZON COMMUNICATIONS	VARIOUS	4/4/2013	380	18,639 68	11,173.34	7,466 34
HEINZ HJ COMPANY	8/19/2010	6/10/2013	270	19,575 00	9,427 21	10,147.79
KIMBERLY CLARK CORP	8/19/2010	6/10/2013	55	5,275 13	2,822 60	2,452 53
CONOCOPHILLIPS COM	VARIOUS	7/1/2013	0	-	1,229 07	(1,229 07)
DIAMOND OFFSHORE DRILLING	VARIOUS	7/1/2013	0	346.78	-	346 78
HCP INC	VARIOUS	7/1/2013	0	-	311 43	(311 43)
HEALTH CARE REIT INC	VARIOUS	7/1/2013	0	-	229 50	(229 50)
KRAFT FOODS, INC	3/14/2011	7/1/2013	0	240 68	-	240 68
OVERALL TOTALS				<u>58,349 22</u>	<u>34,022 63</u>	<u>24,326 59</u>

DEUTSCHE 5XF-741451
SCHEDULE OF LONG TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

DESCRIPTION	DATE ACQUIRED	DATE SOLD	PAR VALUE SHARES	PROCEEDS	TAX COST BASIS	GAIN/(LOSS)
AMGEN INC	7/21/2011	1/24/2013	3,000	3,224 51	3,006 00	218 51
AMGEN INC	7/21/2011	1/28/2013	12,000	12,857 88	12,024 00	833 88
LIBERTY MEDIA CORP 3 125%	VARIOUS	2/1/2013	9,000	13,196 70	10,951 43	2,245 27
ANGLOGOLD ASHANTI	11/23/2011	2/6/2013	190	6,645 29	9,424 00	(2,778 71)
APACHE CORP	9/13/2010	2/20/2013	8	358 96	451 51	(92 55)
APACHE CORP	9/13/2010	2/26/2013	22	946 99	1,241 66	(294 67)
APACHE CORP	9/13/2010	2/27/2013	68	2,939.96	3,837.85	(897 89)
APACHE CORP	VARIOUS	3/5/2013	242	10,279 19	13,551 13	(3,271 94)
LIBERTY MEDIA CORP 3 250%	4/27/2011	3/8/2013	22,000	22,000 00	23,363 42	(1,363 42)
ARCHER DANIELS MIDLAND	VARIOUS	3/26/2013	16,000	16,160 00	17,092 22	(932 22)
LIBERTY MEDIA CORP 3 125%	8/18/2011	4/4/2013	4,000	6,570 00	4,883 73	1,686 27
LIBERTY MEDIA CORP 3 125%	8/18/2011	4/4/2013	2,000	3,292 15	2,441 86	850 29
GOLDCORP INC	10/25/2011	4/24/2013	7,000	7,210 00	8,977 50	(1,767 50)
XILINX INC	9/7/2010	4/25/2013	7,000	9,372.13	6,840 00	2,532.13
EMC CORP	3/31/2011	4/29/2013	2,000	2,821 68	2,387 50	434 18
EMC CORP	3/31/2011	4/30/2013	3,000	4,229 82	3,581 25	648 57
EMC CORP	3/31/2011	5/1/2013	1,000	1,403 68	1,193 75	209 93
TELEFLEX INC	VARIOUS	4/29/2013	3,000	4,263 17	3,542 35	720 82
TELEFLEX INC	VARIOUS	4/30/2013	3,000	4,137 53	3,551 70	585 83
SYMANTEC CORP	3/2/2011	5/8/2013	3,000	3,808 71	3,603 75	204 96
TELEFLEX INC	11/21/2011	5/10/2013	2,000	2,803 50	2,351 28	452 22
SYMANTEC CORP	3/2/2011	5/13/2013	1,000	1,263 67	1,201 25	62 42
SYMANTEC CORP	3/2/2011	5/14/2013	2,000	2,558 27	2,402.50	155 77
TELEFLEX INC	11/22/2011	5/14/2013	1,000	1,402 03	1,173 78	228 25
SYMANTEC CORP	3/2/2011	5/15/2013	1,000	1,283 31	1,201 25	82 06
SYMANTEC CORP	3/4/2011	5/16/2013	1,000	1,274 22	1,207 50	66 72
OMNICOM GROUP INC	VARIOUS	6/12/2013	18,000	18,000 00	18,000 00	-
ENERSYS SR NT CONV	3/12/2012	8/1/2013	6,000	8,229 91	7,316 84	913 07
ENERSYS SR NT CONV	3/12/2012	8/1/2013	2,000	2,767 40	2,564 56	202 84
NEWMONT MINING CORP	VARIOUS	8/19/2013	3,000	3,388 50	4,433 90	(1,045 40)
TYSON FOODS INC	VARIOUS	8/23/2013	6,000	11,339 23	7,215 75	4,123 48
AFFILIATED MANAGERS SR NT	VARIOUS	9/16/2013	17,000	24,010 00	18,895 21	5,114 79
TYSON FOODS INC	1/4/2011	10/15/2013	CASH IN LIEU	15.70	4 10	11 60
TELEFLEX INC	VARIOUS	10/22/2013	6,000	8,738.28	7,099 00	1,639 28
TYSON FOODS INC	1/4/2011	10/23/2013	178	5,288.28	1,365 28	3,923 00
ARRIS GROUP INC	VARIOUS	11/7/2013	5,000	5,455 49	5,265 37	190 12
ARRIS GROUP INC	7/19/2012	11/8/2013	1,000	1,069 50	1,073 99	(4 49)
ARRIS GROUP INC	VARIOUS	11/12/2013	9,000	9,651 60	9,639 05	12 55
HORNBECK OFFSHORE	VARIOUS	11/15/2013	23,000	23,000 00	23,640 16	(640 16)
NUANCE COMMUNICATIONS	10/26/2012	12/13/2013	8,000	7,690 00	8,711 25	(1,021 25)
OVERALL TOTALS				<u>274,947 24</u>	<u>260,708 63</u>	<u>14,238 61</u>

DEUTSCHE 5XZ-948195
SCHEDULE OF LONG TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

<u>DESCRIPTION</u>	<u>DATE ACQUIRED</u>	<u>DATE SOLD</u>	<u>PAR VALUE SHARES</u>	<u>PROCEEDS</u>	<u>TAX COST BASIS</u>	<u>GAIN/(LOSS)</u>
INTERNATIONAL PAPER	3/18/2011	3/7/2013	91	4,190 45	2,419 32	1,771 13
WHIRLPOOL CORP	8/12/2011	3/8/2013	20	2,363 03	1,266 99	1,096 04
WHIRLPOOL CORP	VARIOUS	3/11/2013	106	12,550 14	6,607 49	5,942 65
INTERNATIONAL PAPER	VARIOUS	3/12/2013	303	14,026 28	8,527 33	5,498 95
PHILLIPS 66	8/19/2010	3/13/2013	53	3,427 13	2,544 00	883 13
PHILLIPS 66	8/19/2010	4/17/2013	22	1,273 79	1,056 00	217 79
KIMBERLY CLARK CORP	VARIOUS	5/17/2013	150	15,592 18	9,258 89	6,333 29
JP MORGAN CHASE & CO	VARIOUS	6/6/2013	69	3,645 20	2,990 82	654.38
CONOCOPHILLIPS	8/19/2010	7/1/2013	0	-	1,671 51	(1,671 51)
MARATHON OIL CORP	8/19/2010	7/1/2013	0	-	1,491 51	(1,491 51)
FREEPORT-MCMORAN CORP	8/20/2011	7/8/2013	58	1,606 74	2,049 43	(442 69)
NORTHROP GRUMMAN CORP	8/19/2010	8/22/2013	35	3,317 28	2,538 87	778 41
AMERIPRISE FINL INC	8/31/2010	9/20/2013	40	3,692 43	1,721 72	1,970 71
ANNALY CAP MGMT INC	2/10/2011	10/1/2013	111	1,285 45	1,988 16	(702 71)
MATTEL INC	VARIOUS	10/16/2013	190	8,247 01	4,892 85	3,354 16
MATTEL INC	9/29/2011	10/22/2013	161	6,923 58	4,131 13	2,792 45
ANNALY CAP MGMT INC	2/10/2011	10/24/2013	244	2,964 55	4,370 36	(1,405 81)
MEDTRONIC INC	VARIOUS	12/31/2013	102	5,854 74	3,446 66	2,408 08
MEDTRONIC INC	8/19/2010	12/31/2013	66	3,790 04	2,217 91	1,572 13
OVERALL TOTALS				<u>94,750 02</u>	<u>65,190 95</u>	<u>29,559 07</u>

INVESTORS CAPITAL - PJQ-003065
SCHEDULE OF LONG TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

<u>DESCRIPTION</u>	<u>DATE ACQUIRED</u>	<u>DATE SOLD</u>	<u>PAR VALUE SHARES</u>	<u>PROCEEDS</u>	<u>TAX COST BASIS</u>	<u>GAIN/(LOSS)</u>
ALLIANCEBERSTEIN GLOBAL HIGH INC FD INC	6/22/2011	1/29/2013	1,000	16,582.67	15,078.55	1,504.12
ALTRIA GROUP INC	8/11/2011	5/10/2013	1,250	45,335.28	30,829.33	14,505.95
ARCHER DANIELS MIDLAND	6/22/2011	5/10/2013	1,000	33,874.29	30,702.65	3,171.64
BCE, INC	6/22/2011	5/10/2013	900	42,770.13	35,190.51	7,579.62
COCA COLA CO	2/8/2012	5/10/2013	600	25,406.46	20,521.35	4,885.11
JP MORGAN CHASE & CO	4/18/2012	5/10/2013	500	24,137.00	21,693.95	2,443.05
YAHOO INC	2/10/2012	5/10/2013	800	20,475.98	12,954.35	7,521.63
OVERALL TOTALS				<u>208,581.81</u>	<u>166,970.69</u>	<u>41,611.12</u>

ROYAL ALLIANCE 60Z-033387
SCHEDULE OF LONG TERM GAINS & LOSSES ON A FIFO BASIS
FOR TAX PURPOSES FROM 01/01/2013 TO 12/31/2013

<u>DESCRIPTION</u>	<u>DATE ACQUIRED</u>	<u>DATE SOLD</u>	<u>PAR VALUE SHARES</u>	<u>PROCEEDS</u>	<u>TAX COST BASIS</u>	<u>GAIN/(LOSS)</u>
ANNALY CAP MGMT INC	11/30/2011	1/18/2013	800	11,775.73	12,685.68	(909.95)
FRANKLIN TEMPLETON LTD DURATION INC	11/2/2011	1/18/2013	800	11,655.73	10,178.48	1,477.25
XEROX CORPORATION	11/2/2011	1/18/2013	600	4,403.90	4,852.86	(448.96)
TEVA PHARMACEUTICAL INDUSTRIES LTD	8/10/2011	3/12/2013	400	16,225.63	15,558.08	667.55
PIMCO CORPORATE & INCOME OPP FD	11/2/2011	4/2/2013	800	17,305.21	14,486.00	2,819.21
UNI-PIXEL INC	8/10/2011	5/17/2013	600	20,326.10	3,654.00	16,672.10
CENTURYLINK INC	11/2/2011	6/18/2013	300	10,759.31	10,325.13	434.18
PROCTER & GAMBLE CO	11/2/2011	8/5/2013	150	12,150.53	9,422.57	2,727.96
CME GROUP INC	7/18/2012	9/18/2013	200	14,551.74	10,536.80	4,014.94
INVESCO MORTGAGE CAPITAL INC	8/10/2011	9/18/2013	800	12,567.78	14,671.92	(2,104.14)
AMERICAN GEN INSTL	10/5/2012	12/26/2013	600	13,205.77	14,740.80	(1,535.03)
PAN AMERN SILVER CORP	11/30/2011	12/26/2013	300	3,349.29	7,631.13	(4,281.84)
WESTPORT INNOVATIONS INC	1/30/2011	12/26/2013	300	5,512.25	8,213.13	(2,700.88)
OVERALL TOTALS				<u>153,788.97</u>	<u>136,956.58</u>	<u>16,832.39</u>
GRAND TOTALS - LONG TERM GAINS(LOSSES)				<u>1,740,893.26</u>	<u>1,407,540.67</u>	<u>333,352.59</u>

INVESTMENTS-CORPORATE STOCKS
Deutsche Bank Alex Brown Balance on Hand 12/31/2013

EXHIBIT C
P 1 OF 11

Philip E. & Harriet J.
Klein Foundation, Inc.
52-2046127

<u>No. of Shares</u>	<u>Description</u>	<u>Purchase Date</u>	<u>Cost Basis</u>	<u>Fair Market Value as of 12/31/2013</u>
250,000	BNP Paribas BNP Paribas	4/18/2013	250,000 00	293,900 00
500,000	Credit Suisse Medium Term Bk Nts	4/20/2011	500,000 00	563,500.00
80,000	DB Energy Select Fund (US) L P.	Various	23,305 00	74,818.92
25,000	DB Energy Select Fund (US) L P.	11/19/2009	25,000 00	23,380 91
15,000	DB Energy Select Fund (US) L P.	6/10/2010	15,000 00	14,028 55
15,000	DB Energy Select Fund (US) L P.	6/29/2011	15,000.00	14,028 55
7,500	DB Energy Select Fund (US) L P.	2/23/2012	7,500 00	7,014 27
12,500	DB Energy Select Fund (US) L P.	6/5/2012	12,500.00	11,690 45
20,000	DB Energy Select Fund (US) L P.	12/17/2010	20,000 00	18,704 72
10,000	DB Energy Select Fund (US) L P.	4/30/2013	10,000 00	9,352 36
7,500	DB Energy Select Fund (US) L.P.	8/26/2013	7,500 00	7,014 27
7,500	DB Energy Select Fund US LP Cap Call	11/15/2013	7,500.00	7,500 00
462,500	DB Private Equity Asia Select Fund II	Various	354,446.00	309,361 00
480,000	DB Private Equity Global Select Fund	Various	163,345 88	252,603.00
30,000	DB Private Equity Global Select Fund Cap Call	Various	10,209 12	30,000 00
435,000	DB Private Equity Global Select Fund II	Various	253,945.00	365,903 00
435,000	Deutsche Bank Private Equity Global Select Fund IV	Various	328,892 00	406,106 00
100,000	Deutsche Bank Private Equity Global Select Fund V	11/26/2007	77,617 53	99,300 00
35,000	Deutsche Bank Private Equity Global Select Fund V	8/5/2008	27,166 14	34,755 00
50,000	Deutsche Bank Private Equity Global Select Fund V	7/9/2009	38,808 77	49,650 00
45,000	Deutsche Bank Private Equity Global Select Fund V	8/10/2010	34,927.89	44,685 00
45,000	Deutsche Bank Private Equity Global Select Fund V	8/24/2010	34,927 89	44,685.00
40,000	Deutsche Bank Private Equity Global Select Fund V	9/22/2010	31,047 01	39,720 00
305,000	Deutsche Bank Private Equity Global Select Fund V	4/21/2011	236,733 45	302,865 00
50,000	Deutsche Bank Private Equity Global Select Fund V	5/23/2012	38,808 77	49,650 00
50,000	Deutsche Bank Private Equity Global Select Fund V	10/4/2012	38,808 77	49,650 00
30,000	Deutsche Bank Private Equity Global Select Fund V	11/6/2013	23,285 26	29,790 00
40,000	Deutsche Bank Private Equity Global Select Fund V	12/13/2013	31,047 01	39,720.00
20,000	Deutsche Bank Private Equity Global Select Fund V	Various	15,523.51	19,860 00
343,409	Milestone RealEstate Investors II	3/15/2011	125,470 61	266,216 96
25,592	Milestone RealEstate Investors II	3/28/2011	9,350 49	19,839 39
2,431	Milestone RealEstate Investors II	9/12/2011	888.22	1,884 56
3,506	Milestone RealEstate Investors II	12/15/2011	1,280.98	2,717 92
5,758	Milestone RealEstate Investors II	6/12/2012	2,103 79	4,463 71
5,253	Milestone RealEstate Investors II	10/19/2012	1,919 28	4,072.22
8,629	Milestone RealEstate Investors II	4/8/2013	3,152 76	6,689 36
3,128	Milestone RealEstate Investors II	8/23/2013	1,142 87	2,424.88
250,000	Morgan Stanley Medium Term Nts	4/30/2013	250,000.00	279,487 50
469,761 220	Titan Masters Fund LP Series C Interest	Various	533,031 00	541,615 91
270,000	Titan Masters Intl Fund LTD	3/28/2007	270,000 00	361,895 62
250,000	Titan Masters Intl Fund LTD	7/30/2007	250,000 00	335,088 53
130,000	Titan Masters Intl Fund LTD	2/25/2009	130,000 00	174,246 03
50,255 300	Topiary Event Driven Fund Class III	4/25/2011	21,688 93	14,774.33
92,660 900	The Topiary Select Fund Class II Units	4/25/2011	260,000 00	3,152 11
239,169 550	The Topiary Select Fund Class II Units	5/20/2011	239,000.00	8,135 99
Deutsche Bank Alex. Brown - #5XF-008505			4,731,873 93	5,239,941 02
85	Agilent Technologies Inc	5/30/2012	3,503.31	4,861 15
65	Agilent Technologies Inc	7/26/2012	2,373 46	3,717 35
55	Agilent Technologies Inc	8/6/2012	2,183.49	3,145 45
60	Agilent Technologies Inc	8/16/2012	2,273 30	3,431 40
70	Agilent Technologies Inc	11/20/2012	2,572.29	4,003 30
40	Archer Daniels Midland Co	2/14/2011	1,460 35	1,736 00
80	Archer Daniels Midland Co	6/14/2011	2,411 06	3,472 00
50	Archer Daniels Midland Co	9/1/2011	1,420.79	2,170 00
85	Atlas Air Worldwide Hldgs Inc	3/16/2012	4,104.84	3,497 75
85	Atlas Air Worldwide Hldgs Inc	8/2/2012	3,969 50	3,497 75
65	Atlas Air Worldwide Hldgs Inc	11/16/2012	2,619 13	2,674 75
90	Atlas Air Worldwide Hldgs Inc	5/8/2013	3,930 18	3,703.50
75	Atlas Air Worldwide Hldgs Inc	10/31/2013	2,880.78	3,086.25
70	Atlas Air Worldwide Hldgs Inc	12/3/2013	2,629.33	2,880 50
140	Avnet Inc	10/19/2012	3,914 02	6,175 40
70	Avnet Inc	12/6/2012	2,097 89	3,087 70
125	Avnet Inc	12/18/2012	3,812 50	5,513 75
100	Avnet Inc	1/14/2013	3,160.05	4,411.00
65	Baker Hughes Inc	1/6/2012	3,320.85	3,591.90

No. of Shares	Description	Purchase Date	Cost Basis	Fair Market Value as of	EXHIBIT C P. 2 OF 11
				12/31/2013	
135	Baker Hughes Inc	1/12/2012	6,594.57	7,460.10	
55	Barnes Group Inc	4/20/2011	1,196.03	2,107.05	
85	Barnes Group Inc	6/16/2011	1,922.83	3,256.35	
60	Barnes Group Inc	8/10/2011	1,234.10	2,298.60	
135	Big Lots Inc	8/30/2012	4,071.45	4,359.15	
80	Big Lots Inc	10/24/2012	2,287.99	2,583.20	
55	Big Lots Inc	12/4/2012	1,655.99	1,775.95	
110	Big Lots Inc	1/3/2013	3,056.64	3,551.90	
35	Big Lots Inc	3/6/2014	1,248.10	1,130.15	
50	Big Lots Inc	9/12/2013	1,783.81	1,614.50	
80	Big Lots Inc	12/6/2013	2,538.86	2,583.20	
95	BP PLC	6/22/2012	3,633.75	4,617.95	
40	BP PLC	7/26/2012	1,634.64	1,944.40	
35	Chesapeake Energy Corp	11/4/2010	772.59	949.90	
40	Chesapeake Energy Corp	12/22/2010	1,015.94	1,085.60	
55	Chesapeake Energy Corp	1/3/2011	1,426.70	1,492.70	
30	Chesapeake Energy Corp	2/11/2011	925.71	814.20	
15	Chesapeake Energy Corp	2/11/2011	462.85	407.10	
345	Chesapeake Energy Corp	2/2/2012	7,530.28	9,363.30	
80	Community Health Sys Inc	8/4/2011	1,835.07	3,141.60	
315	Community Health Sys Inc	8/10/2011	5,881.36	12,370.05	
225	Eaton Corp	12/3/2012	11,537.87	17,127.00	
30	Eaton Corp	8/6/2013	1,973.75	2,283.60	
440	First Niagara Finl Group Inc	1/26/2012	4,223.08	4,672.80	
445	First Niagara Finl Group Inc	3/2/2012	4,288.73	4,725.90	
585	First Niagara Finl Group Inc	6/28/2012	4,437.11	6,212.70	
170	First Niagara Finl Group Inc	7/30/2012	1,297.95	1,805.40	
60	General Dynamics Corp	9/26/2012	4,002.70	5,733.00	
30	General Dynamics Corp	10/24/2012	2,051.39	2,866.50	
385	Hartford Finl Svcs Group Inc	3/6/2013	9,363.20	13,948.55	
55	Hartford Finl Svcs Group Inc	4/16/2013	1,480.93	1,992.65	
90	Hartford Finl Svcs Group Inc	8/6/2013	2,849.74	3,260.70	
240	Health Net inc	11/8/2013	6,407.32	7,120.80	
85	Health Net inc	12/2/2013	2,628.23	2,521.95	
60	Hospira Inc	1/12/2012	1,900.12	2,476.80	
50	Hospira Inc	3/22/2012	1,870.93	2,064.00	
115	Hospira Inc	1/10/2013	3,902.61	4,747.20	
80	International Paper Co	3/10/2011	2,061.51	3,922.40	
95	International Paper Co	3/10/2011	2,448.05	4,657.85	
85	International Paper Co	6/17/2011	2,278.20	4,167.55	
80	International Paper Co	8/10/2011	1,933.83	3,922.40	
120	Johnson Controls Inc	5/30/2012	3,660.75	6,156.00	
160	Johnson Controls Inc	7/19/2012	4,154.85	8,208.00	
85	Johnson Controls Inc	1/18/2013	2,627.01	4,360.50	
110	JP Morgan Chase & Co	6/24/2013	5,587.36	6,432.80	
35	JP Morgan Chase & Co	8/6/2013	1,952.10	2,046.80	
80	JP Morgan Chase & Co	11/5/2013	4,162.88	4,678.40	
60	Kennametal Inc	12/14/2012	2,339.73	3,124.20	
45	Kennametal Inc	12/18/2012	1,803.54	2,343.15	
130	Kennametal Inc	3/14/2013	5,414.93	6,769.10	
80	Kennametal Inc	4/24/2013	3,003.44	4,165.60	
60	Kennametal Inc	8/6/2013	2,674.28	3,124.20	
275	Keycorp	1/16/2013	2,510.72	3,690.50	
260	Keycorp	1/25/2013	2,409.96	3,489.20	
235	Keycorp	3/11/2013	2,326.27	3,153.70	
205	Keycorp	4/10/2013	2,050.00	2,751.10	
255	Keycorp	4/16/2013	2,454.99	3,422.10	
200	Keycorp	6/24/2013	2,085.54	2,684.00	
65	Macys Inc	8/20/2009	954.65	3,471.00	
115	Macys Inc	6/28/2010	2,159.48	6,141.00	
10	Macys Inc	3/8/2011	233.50	534.00	
90	Macys Inc	3/16/2011	2,067.30	4,806.00	
450	McDermott Int'l Inc	11/5/2013	3,332.93	4,122.00	
365	McDermott Int'l Inc	11/19/2013	2,848.87	3,343.40	
10	Metlife Inc	1/8/2009	329.25	539.20	
80	Metlife Inc	1/14/2009	2,165.41	4,313.60	
130	Metlife Inc	3/14/2011	4,225.18	7,009.60	
40	Metlife Inc	3/16/2011	1,684.00	2,156.80	
75	Metlife Inc	8/8/2011	2,534.30	4,044.00	
65	Metlife Inc	7/26/2012	1,888.71	3,504.80	
130	Myriad Genetics Inc	12/3/2013	3,270.40	2,727.40	
140	Myriad Genetics Inc	12/12/2013	3,370.20	2,937.20	
365	Nabors Inds LTD	6/6/2013	5,876.06	6,201.35	
130	Nabors Inds LTD	6/24/2013	1,971.44	2,208.70	

Fair Market
Value as of
12/31/2013

No. of Shares	Description	Purchase Date	Cost Basis	Fair Market Value as of 12/31/2013
205	Nabors Inds LTD	9/12/2013	3,379.03	3,482.95
205	Newmont Mng Corp	11/14/2013	5,712.24	4,721.15
45	Patterson Utl Energy Inc	3/14/2011	691.20	1,139.40
400	Patterson Utl Energy Inc	10/14/2011	7,720.28	10,128.00
195	Patterson Utl Energy Inc	12/12/2011	3,985.02	4,937.40
95	Patterson Utl Energy Inc	7/26/2012	1,463.00	2,405.40
260	PBF Energy Inc	8/27/2013	5,731.97	8,179.60
160	PBF Energy Inc	9/12/2013	3,335.66	5,033.60
95	PBF Energy Inc	10/9/2013	2,023.09	2,988.70
55	PBF Energy Inc	10/22/2013	1,413.07	1,730.30
50	PBF Energy Inc	11/6/2013	1,366.15	1,573.00
125	Quality Sys Inc	10/19/2012	2,264.39	2,632.50
115	Quality Sys Inc	1/1/2013	2,069.74	2,421.90
125	Quality Sys Inc	3/28/2013	2,236.43	2,632.50
80	Rio Tinto PLC	9/20/2012	3,991.19	4,514.40
40	Rio Tinto PLC	12/6/2012	2,077.06	2,257.20
25	Rio Tinto PLC	12/18/2012	1,431.68	1,410.75
50	Rio Tinto PLC	1/10/2013	2,843.87	2,821.50
60	Rio Tinto PLC	9/12/2013	3,008.15	3,385.80
90	Rio Tinto PLC	10/16/2013	4,607.52	5,078.70
135	Terex Corp	10/6/2011	1,572.63	5,668.65
100	Terex Corp	5/30/2012	1,754.95	4,199.00
10	Teva Pharmaceutical Industries LTD	4/5/2011	499.75	400.80
75	Teva Pharmaceutical Industries LTD	4/26/2011	3,450.53	3,006.00
70	Teva Pharmaceutical Industries LTD	5/2/2011	3,305.24	2,805.60
65	Teva Pharmaceutical Industries LTD	8/4/2011	2,717.42	2,605.20
70	Teva Pharmaceutical Industries LTD	12/12/2011	2,809.70	2,805.60
180	Teva Pharmaceutical Industries LTD	10/31/2013	6,731.73	7,214.40
170	Texas Instruments Inc	8/19/2010	2,999.59	7,464.70
220	Textron Inc	6/24/2013	5,567.64	8,087.20
65	Textron Inc	8/6/2013	1,869.81	2,389.40
105	Textron Inc	9/12/2013	3,049.57	3,859.80
130	Textron Inc	10/8/2013	3,478.69	4,778.80
50	Textron Inc	11/27/2013	1,666.81	1,838.00
195	Titan Intl Inc	11/1/2013	3,305.95	3,506.10
140	Verifone Systems Inc	3/4/2013	2,613.29	3,754.80
110	Verifone Systems Inc	3/6/2013	2,233.00	2,950.20
110	Verifone Systems Inc	3/22/2013	2,324.82	2,950.20
100	Verifone Systems Inc	4/2/2013	2,085.61	2,682.00
160	Verifone Systems Inc	4/22/2013	2,952.00	4,291.20
90	Verifone Systems Inc	6/6/2013	1,625.12	2,413.80
15	Verifone Systems Inc	12/18/2013	350.33	402.30
65	Wellpoint Inc	8/6/2012	3,584.09	6,005.35
75	Wellpoint Inc	9/20/2012	4,397.03	6,929.25
20	Wells Fargo & Co	3/10/2011	642.40	908.00
145	Wells Fargo & Co	3/14/2011	4,122.35	6,583.00
95	Wells Fargo & Co	3/16/2011	2,980.15	4,313.00
Deutsche Bank Alex. Brown - #5XZ-946884			406,454.60	544,740.10
120	Abbott Labs	1/28/2013	3,967.97	4,599.60
130	Abbott Labs	10/21/2013	4,812.59	4,982.90
55	Accenture PLC Ireland	4/16/2013	4,230.39	4,522.10
50	Accenture PLC Ireland	4/26/2013	3,943.30	4,111.00
40	Ace Limited Shs	9/3/2008	2,067.97	4,141.20
10	Ace Limited Shs	12/1/2009	501.79	1,035.30
50	Ace Limited Shs	1/20/2012	3,632.50	5,176.50
15	Advance Auto Parts Inc	8/21/2012	717.62	1,106.80
25	Advance Auto Parts Inc	4/5/2013	2,022.79	2,767.00
30	Advance Auto Parts Inc	4/16/2013	2,413.85	3,320.40
25	Advance Auto Parts Inc	6/21/2013	2,032.12	2,767.00
245	Amdocs LTD	10/8/2013	8,960.85	10,103.80
100	American Intl Group Inc	4/12/2012	3,288.00	5,105.00
95	American Intl Group Inc	2/27/2013	3,582.09	4,849.75
10	Apple Inc	11/12/2013	5,216.80	5,610.20
240	AT&T Inc	6/18/2013	8,706.90	8,438.40
10	Bank of America Com	9/2/2011	73.90	155.70
195	Bank of America Com	11/15/2011	1,193.40	3,036.15
510	Bank of America Com	1/20/2012	3,563.42	7,940.70
80	Bank of America Com	8/7/2013	1,142.85	1,245.60
19	Boeing Co	9/23/2011	1,122.08	2,593.31
16	Boeing Co	9/29/2011	1,004.64	2,183.84
9	Boeing Co	11/22/2011	587.97	1,228.41
150	Capital One Finl Corp	2/15/2013	8,115.62	11,491.50
20	Chevron Corp Com	3/12/2009	1,233.80	2,498.20

<u>No. of Shares</u>	<u>Description</u>	<u>Purchase Date</u>	<u>Cost Basis</u>	<u>Fair Market Value as of 12/31/2013</u>
5	Chevron Corp Com	5/1/2009	334.05	624.55
5	Chevron Corp Com	7/29/2009	342.14	624.55
35	Chevron Corp Com	1/20/2012	3,721.90	4,371.85
80	Cit Group Inc	9/28/2011	2,560.33	4,170.40
100	Cit Group Inc	1/20/2012	3,802.71	5,213.00
5	Cisco Systems, Inc	8/1/2012	79.30	112.15
140	Cisco Systems, Inc	8/20/2012	2,647.40	3,140.20
55	Cisco Systems, Inc	11/5/2012	957.33	1,233.65
100	Cisco Systems, Inc	11/7/2013	2,331.84	2,243.00
140	Colgate Palmolive Co	2/27/2013	7,990.87	9,129.40
25	Comcast Corp	10/26/2009	383.49	1,299.13
65	Comcast Corp	7/23/2010	1,255.64	3,377.73
46	Comcast Corp	5/31/2011	1,156.77	2,390.39
18	Comcast Corp	6/6/2011	435.60	935.37
18	Comcast Corp	6/29/2011	1,148.03	2,390.38
5	Covidien LTD	10/7/2011	200.76	340.50
135	Covidien LTD	1/20/2012	5,905.74	9,193.50
25	EOG Res Inc	10/24/2013	4,541.67	4,196.00
145	Equifax Inc	3/19/2013	8,152.31	10,018.05
60	EQT Corporation	1/20/2012	2,788.20	5,386.80
70	Express Scripts Hldg Co	6/13/2013	4,329.44	4,916.80
70	Express Scripts Hldg Co	6/26/2013	4,297.80	4,916.80
95	Exxon Mobil Corp	4/19/2013	8,246.71	9,614.00
35	Fedex Corp	10/24/2013	4,609.13	5,031.95
20	Fedex Corp	11/7/2013	2,635.93	2,875.40
110	Garmin LTD	8/28/2013	4,366.78	5,084.20
55	General Dynamics Corp	11/5/2012	3,754.55	5,255.25
25	General Dynamics Corp	11/7/2013	2,178.18	2,388.75
355	General Electric Co	10/31/2013	9,286.80	9,950.65
135	General Mills inc	7/17/2012	5,227.12	6,737.85
120	Hartford Finl Svcs Group Inc	10/18/2012	2,702.03	4,347.60
160	Hartford Finl Svcs Group Inc	2/11/2013	3,889.59	5,796.80
70	Honeywell Intl Inc	12/9/2009	2,797.22	6,395.90
50	Honeywell Intl Inc	1/20/2012	2,859.00	4,568.50
85	IAC Interactivecorp	11/1/2013	4,661.43	5,835.34
30	Johnson & Johnson Com	1/20/2012	1,958.61	2,747.70
45	Johnson & Johnson Com	6/4/2012	2,791.59	4,121.55
50	Johnson & Johnson Com	10/31/2013	4,635.93	4,579.50
25	Johnson & Johnson Com	11/29/2013	2,374.70	2,289.75
10	JP Morgan Chase & Co	1/16/2009	222.40	584.80
25	JP Morgan Chase & Co	5/1/2009	840.69	1,462.00
15	JP Morgan Chase & Co	12/1/2009	632.08	877.20
40	JP Morgan Chase & Co	11/30/2010	1,495.15	2,339.20
100	JP Morgan Chase & Co	1/20/2012	3,719.71	5,848.00
10	JP Morgan Chase & Co	6/4/2013	549.24	584.80
40	JP Morgan Chase & Co	7/19/2013	2,239.72	2,339.20
115	McCormick & Co	3/8/2013	8,066.56	7,925.80
10	Metlife Inc	9/2/2011	431.32	539.20
10	Metlife Inc	9/2/2001	377.03	539.20
90	Metlife Inc	1/20/2012	3,264.30	4,852.80
60	MSC Indl Direct Inc	10/30/2013	4,707.46	4,852.20
105	Nextera Energy Inc	3/27/2013	8,084.60	8,990.10
60	Novartis Ag	4/18/2012	3,338.18	4,822.80
45	Occidental Petroleum Corp	1/20/2012	4,500.90	4,279.50
60	Occidental Petroleum Corp	6/28/2012	4,799.84	5,706.00
5	Pepsico Inc	10/6/2011	301.41	414.70
45	Pepsico Inc	10/18/2011	2,786.20	3,732.30
65	Pepsico Inc	1/20/2012	4,291.30	5,391.10
35	Polaris Industries Inc	5/31/2013	3,389.85	5,097.40
125	Qualcomm Inc	4/4/2013	8,227.94	9,281.25
45	Rock-Tenn Co	3/5/2013	3,979.87	4,725.45
55	Schlumberger LTD	5/14/2013	4,240.87	4,956.05
105	Sigma Aldrich Corp	5/30/2013	8,842.63	9,871.05
115	Target Corp	11/28/2012	7,223.65	7,276.05
20	Target Corp	1/30/2013	1,222.32	1,265.40
45	Target Corp	11/7/2013	2,957.22	2,847.15
45	Target Corp	12/10/2013	2,837.95	2,847.15
80	Time Warner Inc	1/20/2012	2,996.00	5,577.60
65	Time Warner Inc	8/8/2013	4,146.69	4,531.80
10	Union Pacific Corp	2/4/2009	463.01	1,680.00
15	Union Pacific Corp	7/23/2010	1,109.90	2,520.00
15	Union Pacific Corp	7/15/2011	1,501.50	2,520.00
4	Union Pacific Corp	7/18/2011	400.84	672.00
11	Union Pacific Corp	9/30/2011	912.56	1,848.00

No. of Shares	Description	Purchase Date	Cost Basis	Fair Market Value as of 12/31/2013
10	Union Pacific Corp	11/21/2011	979.60	1,680.00
45	United Technologies Corp	5/14/2013	4,309.07	5,121.00
45	United Technologies Corp	6/4/2013	4,270.68	5,121.00
120	US Bancorp	7/2/2013	4,360.62	4,848.00
15	Ventas Inc	4/16/2013	1,161.78	859.20
50	Ventas Inc	4/22/2013	3,935.84	2,864.00
20	Ventas Inc	6/13/2013	1,379.58	1,145.60
50	Viacom Inc	1/16/2013	2,874.36	4,367.00
65	Viacom Inc	1/28/2013	3,830.72	5,677.10
115	Wells Fargo & Co	1/20/2012	3,494.51	5,221.00
25	Wells Fargo & Co	8/1/2012	850.19	1,135.00
80	Wells Fargo & Co	2/13/2013	2,810.40	3,632.00
60	Wesco Intl Inc	8/28/2013	4,420.14	5,464.20
50	Wesco Intl Inc	11/4/2013	4,325.87	4,553.50
Deutsche Bank Alex. Brown - #5XZ-946892			358,578.08	458,141.10
560	Altria Group Inc	3/14/2001	8,998.59	21,498.40
120	Astrazeneca Plc Sponsored	1/14/2009	4,743.19	7,124.40
280	Astrazeneca Plc Sponsored	3/14/2011	11,067.44	16,623.60
150	AT&T Inc	1/14/2009	3,799.25	5,274.00
450	AT&T Inc	3/14/2011	11,397.74	15,822.00
205	BCE Inc	4/4/2013	9,457.88	8,874.45
230	BCE Inc	6/3/2013	10,335.97	9,956.70
40	Boeing Co	5/15/2009	1,742.44	5,459.60
130	Boeing Co	3/14/2011	5,662.92	17,743.70
10	Chevron Corp	1/14/2009	692.67	1,249.10
150	Chevron Corp	3/14/2011	10,390.10	18,736.50
605	Cisco Systems Inc	9/18/2012	11,555.50	13,570.15
180	Cisco Systems Inc	6/25/2013	4,354.61	4,037.40
30	Conocophillips Com	11/4/2009	1,175.50	2,119.50
190	Conocophillips Com	3/14/2011	2,960.26	13,423.50
100	Conocophillips Com	6/12/2012	5,466.81	7,065.00
20	Diageo Plc Sponsored ADR	1/14/2009	1,071.69	2,648.40
150	Diageo Plc Sponsored ADR	3/14/2011	8,037.65	19,863.00
95	Diamond Offshore Drilling Inc	2/22/2013	6,837.08	5,407.40
65	Diamond Offshore Drilling Inc	6/28/2013	4,461.84	3,699.80
40	Diamond Offshore Drilling Inc	7/9/2013	2,799.58	2,276.80
165	Diamond Offshore Drilling Inc	10/30/2013	10,337.86	9,391.80
200	Dominion Res Inc	3/14/2011	8,228.44	12,938.00
70	Du Pont E De Nemours & Co	1/8/2010	2,367.34	4,547.90
230	Du Pont E De Nemours & Co	3/14/2011	7,500.30	14,943.10
820	General Electric Co	3/14/2011	11,576.43	22,984.60
210	Genuine Parts Co	3/14/2011	7,620.02	17,469.90
100	HCP Inc	6/29/2010	3,142.64	3,632.00
300	HCP Inc	3/14/2011	9,484.11	10,896.00
90	HSBC Holdings Plc Spon ADR	6/4/2009	4,117.23	4,961.70
200	HSBC Holdings Plc Spon ADR	3/14/2011	9,149.40	11,026.00
40	Health Care Reit Inc	1/14/2009	1,329.10	2,142.80
250	Health Care Reit Inc	3/14/2011	8,393.50	13,392.50
290	Intel Corp	11/25/2009	5,576.53	7,526.95
350	Intel Corp	3/14/2011	6,730.29	9,084.25
160	Intel Corp	6/25/2013	3,805.02	4,152.80
90	Johnson & Johnson	5/17/2010	5,746.50	8,243.10
190	Johnson & Johnson	3/14/2011	11,507.30	17,402.10
235	JP Morgan Chase & Co	3/28/2012	10,809.06	13,742.80
220	Kimberly Clark Corp	3/14/2011	8,467.80	17,235.90
26 667	Kraft Foods Inc	1/14/2009	785.73	1,437.60
133 333	Kraft Foods Inc	3/14/2011	3,928.67	7,188.00
150	Lilly Eli & Co	1/14/2009	5,605.50	7,650.00
310	Lilly Eli & Co	3/14/2011	10,912.00	15,810.00
480	Merck & Co Inc	10/5/2011	15,117.36	24,024.00
240	Metlife Inc	3/22/2013	9,154.80	12,940.80
115	Metlife Inc	6/25/2013	5,176.76	6,200.80
10	Microsoft Corp	4/20/2009	187.25	374.10
120	Microsoft Corp	9/7/2010	2,879.38	4,489.20
120	Microsoft Corp	9/7/2010	2,879.38	4,489.20
290	Microsoft Corp	7/27/2011	7,965.31	10,848.90
70	Nextera Energy Inc	2/25/2009	3,368.16	5,993.40
190	Nextera Energy Inc	3/14/2011	9,142.14	16,267.80
190	Philip Morris Intl Inc	3/14/2011	7,792.58	16,554.70
150	3M Co	3/14/2011	8,249.23	21,037.50
300	Raytheon Co	4/16/2012	15,818.13	27,210.00
210	Royal Dutch Shell PLC	3/23/2011	15,118.70	15,773.10

No. of Shares	Description	Purchase Date	Cost Basis	Fair Market Value as of 12/31/2013
80	Royal Dutch Shell PLC	6/26/2013	5,283.21	6,008 80
120	Travelers Cos Inc	3/26/2009	4,776 04	10,864 80
130	Travelers Cos Inc	3/14/2011	5,174.04	11,770.20
460	Unilever NV New York Shs	1/28/2010	10,417 16	18,505.80
530	Vodafone Group Plc	1/28/2010	10,478 10	20,834 30
155	Vodafone Group Plc	6/25/2013	4,315 73	6,093 05
	Deutsche Bank Alex. Brown - #5XZ-947015		427,422 94	680,553 65
8,000	AGCO Corp	9/8/2010	9,010 00	11,665 04
1,000	Alliant Techsystems Inc	4/23/2013	1,165 20	1,600 63
1,000	Alliant Techsystems Inc	4/24/2013	1,168 99	1,600.63
1,000	Alliant Techsystems Inc	4/30/2013	1,175 36	1,600 63
2,000	Alliant Techsystems Inc	5/1/2013	2,230.07	3,201 26
1,000	Alliant Techsystems Inc	5/2/2013	1,175.59	1,600 63
2,000	Alliant Techsystems Inc	5/3/2013	2,340 21	3,201 26
97	AMG Cap Tr 5 1%	12/3/2012	5,652 05	7,026.49
5	AMG Cap Tr 5 1%	12/10/2012	289 03	362.19
1	AMG Cap Tr 5 1%	12/12/2012	57 94	72 44
7	AMG Cap Tr 5 1%	12/18/2012	410 52	507 06
200	AMG Capital TR II 5 15%	9/19/2013	12,261 46	12,650.00
1,000	ARES Cap Corp	10/26/2012	1,066.46	1,076 88
1,000	ARES Cap Corp	11/7/2012	1,066.25	1,076 88
4,000	ARES Cap Corp	11/14/2012	4,234.63	4,307 52
1,000	ARES Cap Corp	11/16/2012	1,065 50	1,076 88
1,000	ARES Cap Corp	11/21/2012	1,069 80	1,076 88
2,000	ARES Cap Corp	11/26/2012	2,143 00	2,153 76
3,000	ARES Cap Corp	11/28/2012	3,217 50	3,230 64
1,000	ARES Cap Corp	12/4/2012	1,070 00	1,076.88
1,000	ARES Cap Corp	12/6/2012	1,071 25	1,076.88
1,000	ARES Cap Corp 4 750%	11/27/2013	1,047.46	1,055 63
5,000	ARES Cap Corp 4 750%	12/2/2013	5,244 99	5,278 15
3,000	ARES Cap Corp 4 750%	12/3/2013	3,143 72	3,166 89
2,000	ARES Cap Corp 4 750%	12/10/2013	2,100 00	2,111 26
2,000	Biomarin Pharmaceutical Inc FXD RT 750%	10/9/2013	2,074 41	2,118.76
1,000	Biomarin Pharmaceutical Inc FXD RT 1.500%	10/9/2013	1,036 88	1,069 38
1,000	Biomarin Pharmaceutical Inc FXD RT 1.500%	11/14/2013	1,041 62	1,069.38
2,000	Chemed Corp	4/1/2013	2,191.04	2,071 26
1,000	Chemed Corp	4/2/2013	1,095.97	1,035 63
5,000	Chemed Corp	4/3/2013	5,470 42	5,178 15
5,000	Chemed Corp	4/5/2013	5,453 19	5,178 15
1,000	Chemed Corp	4/8/2013	1,090 48	1,035 63
2,000	Chemed Corp	4/9/2013	2,180.43	2,071 26
115	Cliffs Nat Res Inc	10/21/2013	2,501.25	2,640 40
65	Cliffs Nat Res Inc	10/22/2013	1,431 87	1,492.40
20	Cliffs Nat Res Inc	10/23/2013	433 11	459 20
25	Cliffs Nat Res Inc	10/24/2013	541 61	574 00
195	Cliffs Nat Res Inc	11/26/2013	4,301 72	4,477 20
5	Crown Castle Intl Corp	10/23/2013	506 25	501 90
5	Crown Castle Intl Corp	10/23/2013	504 75	501 90
30	Crown Castle Intl Corp	10/23/2013	3,036 25	3,011 40
10	Crown Castle Intl Corp	10/23/2013	1,012 50	1,003 80
45	Crown Castle Intl Corp	10/23/2013	4,567 50	4,517 10
11,000	Danaher Corp	3/31/2011	11,082 64	24,688 18
1,000	Dealertrack Technologies Inc	6/26/2013	1,146 20	1,382 50
2,000	Dealertrack Technologies Inc	7/2/2013	2,333 02	2,765.00
1,000	Dealertrack Technologies Inc	7/9/2013	1,196 39	1,382 50
1,000	Dealertrack Technologies Inc	7/10/2013	1,197 29	1,382.50
3,000	Dealertrack Technologies Inc	7/11/2013	3,615 58	4,147 50
6,000	Electronic Arts SR NT Conv	5/24/2013	6,270 35	6,382 50
3,000	Electronic Arts SR NT Conv	5/29/2013	3,150.00	3,191 25
2,000	Electronic Arts SR NT Conv	8/15/2013	2,217.20	2,127.50
1,000	Electronic Arts SR NT Conv	8/16/2013	1,111 87	1,063 75
1,000	Electronic Arts SR NT Conv	8/19/2013	1,113 63	1,063 75
2,000	Electronic Arts SR NT Conv	8/21/2013	2,220 68	2,127 50
2,000	Electronic Arts SR NT Conv	8/26/2013	2,269 99	2,127 50
9,000	EMC Corp	3/31/2011	10,743 75	13,349 07
5,000	Energys SR NT Conv 3.375%	3/12/2012	6,638 93	8,815 65
2,000	Energys SR NT Conv 3.375%	3/13/2012	2,659.29	3,526 26
5	Genesee & Wyo Tangible Equity Unit	4/25/2013	603 21	640 10
8	Genesee & Wyo Tangible Equity Unit	4/26/2013	961 18	1,024 16
18	Genesee & Wyo Tangible Equity Unit	4/29/2013	2,180 25	2,304 36
18	Genesee & Wyo Tangible Equity Unit	4/30/2013	2,174 22	2,304 36
26	Genesee & Wyo Tangible Equity Unit	5/1/2013	3,094 11	3,328 52

No. of Shares	Description	Purchase Date	Cost Basis	Fair Market Value as of 12/31/2013
2,000	Gilead Sciences Inc	6/20/2012	2,584.33	6,596.26
5,000	Gilead Sciences Inc	6/21/2012	6,431.23	16,490.65
6,000	Gilead Sciences Inc	7/3/2012	7,830.00	19,788.78
8,000	Helix Energy Solutions Group Inc	3/22/2012	8,896.52	9,575.04
3,000	Helix Energy Solutions Group Inc	4/19/2012	3,467.65	3,590.64
5,000	Helix Energy Solutions Group Inc	4/30/2012	6,288.78	5,984.40
5,000	Hologic Inc	2/1/2013	6,268.44	5,828.15
2,000	Hologic Inc	2/11/2013	2,559.97	2,331.26
5,000	Hologic Inc	2/15/2013	6,345.41	5,828.15
2,000	Hologic Inc	2/19/2013	2,526.54	2,331.26
1,000	Integra Lifesciences Hldgs Corp	10/2/2012	1,027.35	1,073.75
7,000	Integra Lifesciences Hldgs Corp	10/2/2012	7,218.75	7,516.25
2,000	Integra Lifesciences Hldgs Corp	10/9/2012	2,039.75	2,147.50
2,000	Integra Lifesciences Hldgs Corp	10/12/2012	2,034.92	2,147.50
1,000	Integra Lifesciences Hldgs Corp	10/15/2012	1,019.08	1,073.75
2,000	Integra Lifesciences Hldgs Corp	10/16/2012	2,038.73	2,147.50
2,000	Integra Lifesciences Hldgs Corp	10/18/2012	2,040.02	2,147.50
2,000	Intel Corp	7/25/2012	2,241.32	2,240.00
4,000	Intel Corp	8/13/2012	4,590.04	4,480.00
1,000	Intel Corp	8/15/2012	1,257.67	1,120.00
3,000	Intel Corp	8/17/2012	3,773.89	3,360.00
1,000	Intel Corp	8/21/2012	1,254.56	1,120.00
2,000	Intel Corp	8/23/2012	2,473.47	2,240.00
1,000	Intel Corp	8/28/2012	1,230.54	1,120.00
1,000	Intel Corp	8/29/2012	1,228.73	1,120.00
1,000	Intel Corp	8/30/2012	1,222.60	1,120.00
8,000	International Game Technology	6/20/2013	8,480.00	8,480.00
2,000	International Game Technology	8/15/2013	2,213.60	2,120.00
1,000	International Game Technology	8/16/2013	1,108.26	1,060.00
1,000	International Game Technology	8/21/2013	1,117.67	1,060.00
1,000	International Game Technology	8/23/2013	1,125.52	1,060.00
2,000	International Game Technology	8/27/2013	2,243.00	2,120.00
1,000	International Game Technology	9/3/2013	1,116.56	1,060.00
1,000	International Game Technology	9/5/2013	1,123.08	1,060.00
8,000	Iconix Brand Group Inc	4/25/2013	8,971.26	10,995.04
2,000	Iconix Brand Group Inc	4/29/2013	2,310.26	2,748.76
4,000	Iconix Brand Group Inc	4/30/2013	4,603.61	5,497.52
2,000	Iconix Brand Group Inc	5/3/2013	2,341.69	2,748.76
16,000	Ixia Sr Nt Conv	5/17/2012	16,170.00	17,240.00
4,000	KB Home ST NT Conv 1 375%	1/24/2013	4,050.00	3,972.52
16,000	LAM Research Corp	5/10/2012	16,238.24	19,460.00
8,000	Lifepoint Hosps Inc	1/18/2012	8,196.64	8,695.04
8,000	Lifepoint Hosps Inc	6/24/2013	8,655.79	8,695.04
4,000	Lifepoint Hosps Inc	12/11/2013	4,276.64	4,347.52
1,000	Lifepoint Hosps Inc	12/11/2013	1,063.18	1,086.88
1,000	Lifepoint Hosps Inc	12/11/2013	1,064.72	1,086.88
3,000	Lifepoint Hosps Inc	12/12/2013	3,193.80	3,260.64
2,000	Lifepoint Hosps Inc	12/17/2013	2,141.25	2,173.76
1,000	Linear Technology Corp	1/31/2012	1,237.22	1,140.00
1,000	Linear Technology Corp	2/9/2012	1,238.16	1,140.00
1,000	Linear Technology Corp	3/6/2012	1,216.31	1,140.00
3,000	Linear Technology Corp	3/9/2012	3,434.72	3,420.00
2,000	Linear Technology Corp	3/14/2012	2,458.63	2,280.00
37	Maiden Holdings LTD 7.25%	9/26/2013	1,862.95	1,686.09
58	Maiden Holdings LTD 7.25%	9/26/2013	2,920.30	2,643.06
16,000	Mentor Graphics Corp	4/19/2012	16,987.04	21,270.08
180	Metlife Inc	11/2/2012	4,173.93	5,677.20
140	Metlife Inc	7/22/2013	4,018.42	4,415.60
315	Metlife Inc	9/16/2013	9,412.86	9,935.10
335	Metlife Inc	10/22/2013	10,004.91	10,565.90
6,000	Micron Technology Inc	10/16/2013	7,514.28	9,142.50
1,000	Micron Technology Inc	10/17/2013	1,249.35	1,523.75
2,000	Micron Technology Inc	10/21/2013	2,502.60	3,047.50
1,000	Micron Technology Inc	10/21/2013	1,236.88	1,523.75
2,000	Micron Technology Inc	10/23/2013	2,464.47	3,047.50
1,000	Micron Technology Inc	10/28/2013	1,228.87	1,523.75
1,000	Micron Technology Inc	11/1/2013	1,279.79	1,523.75
1,000	Micron Technology Inc	11/6/2013	1,276.54	1,523.75
7,000	Molina Healthcare Inc	2/15/2013	8,587.60	8,338.75
8,000	MGM Resorts Intl SR NT Conv	1/30/2013	8,720.00	11,000.00
2,000	MGM Resorts Intl SR NT Conv	7/22/2013	2,318.55	2,750.00
2,000	MGM Resorts Intl SR NT Conv	7/23/2013	2,331.25	2,750.00
2,000	MGM Resorts Intl SR NT Conv	7/24/2013	2,331.96	2,750.00
1,000	MGM Resorts Intl SR NT Conv	8/1/2013	1,173.38	1,375.00

<u>No. of Shares</u>	<u>Description</u>	<u>Purchase Date</u>	<u>Cost Basis</u>	<u>Fair Market Value as of 12/31/2013</u>
1,000	MGM Resorts Intl SR NT Conv	8/8/2013	1,200 00	1,375 00
1,000	Newpark Resources Inc	3/5/2013	1,152 27	1,342.50
1,000	Newpark Resources Inc	3/6/2013	1,156.79	1,342 50
1,000	Newpark Resources Inc	3/8/2013	1,178.75	1,342 50
1,000	Newpark Resources Inc	3/11/2013	1,175 58	1,342 50
1,000	Newpark Resources Inc	3/12/2013	1,179 23	1,342 50
2,000	Newpark Resources Inc	3/13/2013	2,352 50	2,685 00
1,000	Newpark Resources Inc	3/13/2013	1,181.14	1,342 50
190	New York Cmnty Cap TR V Bifurcated OPT	8/20/2013	9,455 22	9,287 20
225	Nextera Energy Inc	5/21/2012	11,153 59	12,937 50
95	Nextera Energy Inc	6/5/2012	4,850 83	5,462.50
8,000	Old Rep Intl Corp	7/30/2013	9,410 00	9,950.00
2,000	Old Rep Intl Corp	10/25/2013	2,428 56	2,487.50
4,000	Old Rep Intl Corp	10/28/2013	4,900 62	4,975.00
2,000	Old Rep Intl Corp	10/29/2013	2,463.68	2,487.50
3,000	Omnicom Group Inc	7/8/2013	3,562 50	3,946.89
6,000	Omnicom Group Inc	7/8/2013	7,191.20	7,893.78
6,000	Omnicom Group Inc	7/19/2013	7,310 80	7,893 78
12,000	Priceline Com Inc	3/18/2013	13,211 86	16,545 00
12,000	Priceline Com Inc	3/19/2013	13,120 01	16,545 00
3,000	RTI Intl Metals Inc	3/4/2013	3,356 34	3,399 39
3,000	RTI Intl Metals Inc	3/8/2013	3,480 90	3,399 39
1,000	RTI Intl Metals Inc	3/11/2013	1,160 43	1,133 13
1,000	RTI Intl Metals Inc	3/12/2013	1,161 92	1,133 13
6,000	Ryland Group Inc	5/15/2013	6,066 56	5,598 78
2,000	Ryland Group Inc	5/15/2013	2,023 97	1,866 26
1,000	Ryland Group Inc	5/16/2013	1,001 99	933 13
3,000	Sandisk Corp	9/9/2010	2,887.50	4,421 25
5,000	Sandisk Corp	9/21/2011	5,468.75	7,368 75
4,000	Sandisk Corp	9/22/2011	4,234 24	5,895.00
4,000	Sandisk Corp	3/22/2012	4,803 04	5,895.00
6,000	Sandisk Corp	12/7/2012	6,893 14	8,842.50
5,000	Salix Pharmaceuticals LTD	4/5/2013	5,325 00	7,453 15
3,000	Salix Pharmaceuticals LTD	4/8/2013	3,172 34	4,471 89
9,000	Salix Pharmaceuticals LTD	4/11/2013	9,517.50	13,415.67
1,000	Seacor Smit Inc	12/23/2013	1,228 33	1,225 63
8,000	Seacor Smit Inc	12/24/2013	9,784 29	9,805.04
5,000	Standard Pac Corp	12/6/2012	5,526 05	6,618 75
1,000	Standard Pac Corp	12/10/2012	1,113 80	1,323 75
3,000	Standard Pac Corp	12/11/2012	3,340 21	3,971 25
4,000	Standard Pac Corp	12/12/2012	4,524 72	5,295.00
1,000	Standard Pac Corp	12/19/2012	1,165 97	1,323.75
1,000	Standard Pac Corp	12/20/2012	1,162 47	1,323.75
135	Stanley Black & Decker Inc	4/17/2012	16,740 00	16,757.55
8,000	Starwood PPTY TR inc	4/23/2013	8,901 28	8,835 04
1,000	Stone Energy Corp	11/18/2013	1,075 00	1,103.75
5,000	Stone Energy Corp	11/18/2013	5,378 17	5,518 75
3,000	Stone Energy Corp	11/19/2013	3,207 17	3,311 25
1,000	Take-Two Interactive Software Inc	2/20/2013	1,112 88	1,153.75
1,000	Take-Two Interactive Software Inc	3/8/2013	1,120 50	1,153 75
2,000	Take-Two Interactive Software Inc	3/14/2013	2,273 75	2,307 50
5,000	Take-Two Interactive Software Inc Fixed	6/13/2013	4,945 25	5,334 40
9,000	Teva Pharmaceutical Fin LLC	3/31/2011	10,541 25	9,556 92
1,000	Teva Pharmaceutical Fin LLC	1/6/2012	1,065 00	1,061 88
1,000	Teva Pharmaceutical Fin LLC	1/10/2012	1,074.93	1,061 88
1,000	Teva Pharmaceutical Fin LLC	1/13/2012	1,085 88	1,061 88
1,000	Teva Pharmaceutical Fin LLC	1/18/2012	1,090 00	1,061 88
1,000	Teva Pharmaceutical Fin LLC	1/20/2012	1,098 75	1,061.88
1,000	Teva Pharmaceutical Fin LLC	2/7/2012	1,105 22	1,061 88
1,000	Teva Pharmaceutical Fin LLC	2/9/2012	1,105 00	1,061 88
1,000	Trinity Inds Inc	4/11/2011	1,325.42	1,316 88
1,000	Trinity Inds Inc	4/12/2011	1,321.67	1,316 88
1,000	Trinity Inds Inc	4/12/2011	1,322 92	1,316 88
2,000	Trinity Inds Inc	4/14/2011	2,630 84	2,633.76
7,000	Trinity Inds Inc	4/20/2011	9,234.16	9,218 16
8,000	Trinity Inds Inc	4/28/2011	9,868 32	10,535.04
9,000	United STS STL Corp 2 75%	3/21/2013	9,011 25	11,913 75
38	United Technologies Corp	6/13/2012	1,935 15	2,487 86
16	United Technologies Corp	6/13/2012	813 60	1,047 52
3	United Technologies Corp	6/13/2012	152 70	196 41
6	United Technologies Corp	6/13/2012	305.70	392 82
10	United Technologies Corp	6/13/2012	508 28	654.70
3	United Technologies Corp	6/13/2012	152 55	196 41
4	United Technologies Corp	6/13/2012	203 80	261 88

No. of Shares	Description	Purchase Date	Cost Basis	Fair Market Value as of 12/31/2013
75	United Technologies Corp	6/15/2012	3,861.72	4,910.25
102	United Technologies Corp	8/1/2012	5,435.95	6,677.94
53	United Technologies Corp	8/1/2012	2,813.38	3,469.91
145	United Technologies Corp	10/24/2013	9,257.53	9,493.15
5,000	Walter Invst Mgmt Corp 4 500%	2/12/2013	5,697.15	4,993.75
3,000	Walter Invst Mgmt Corp 4 500%	2/19/2013	3,502.21	2,996.25
7	Wells Fargo & Co	6/4/2012	7,735.00	7,770.00
7	Wells Fargo & Co	6/22/2012	7,800.59	7,770.00
3	Wells Fargo & Co	12/10/2012	3,708.75	3,330.00
3,000	Wellpoint Inc	11/26/2013	4,159.31	4,061.25
8,000	Wellpoint Inc	11/26/2013	11,117.64	10,830.00
2,000	Wellpoint Inc	11/26/2013	2,772.48	2,707.50
1,000	Wellpoint Inc	11/26/2013	1,389.86	1,353.75
7,000	Xilinx Inc	9/7/2010	7,611.74	11,081.91
	Deutsche Bank Alex. Brown - #5XF-741451		834,408.33	949,704.85
261	Allstate Corp	8/19/2010	7,811.73	14,234.94
64	Allstate Corp	3/28/2011	2,030.08	3,490.56
299	American Electric Power Co	1/9/2012	12,216.18	13,975.26
203	Ameriprise Finl Inc	8/31/2010	7,016.01	18,753.15
6	Astrazeneca PLC	7/5/2012	273.18	356.22
56	Astrazeneca PLC	7/23/2012	2,567.55	3,324.72
67	Astrazeneca PLC	7/27/2012	3,109.96	3,977.79
33	Astrazeneca PLC	9/17/2012	1,550.67	1,959.21
30	Astrazeneca PLC	9/27/2012	1,443.00	1,781.10
86	Astrazeneca PLC	10/1/2012	4,029.19	5,105.82
219	AT&T Inc	3/24/2011	5,553.84	7,700.04
83	AT&T Inc	8/20/2010	2,191.20	2,918.28
63	AT&T Inc	3/28/2011	1,849.68	2,215.08
227	Barrick Gold Corp	1/26/2012	11,121.98	4,002.01
46	Barrick Gold Corp	4/13/2012	1,909.00	810.98
97	Barrick Gold Corp	1/18/2013	3,298.00	1,710.11
345	Barrick Gold Corp	4/26/2013	6,406.17	6,082.35
109	Baxter Intl Inc	12/23/2013	7,444.72	7,580.95
291	CA Inc	5/1/2012	7,723.31	9,792.15
128	CA Inc	5/10/2012	3,347.20	4,307.20
105	Chevron Corp	8/19/2010	5,731.75	13,115.55
33	Cisco Systems Inc	5/21/2012	541.20	740.19
620	Cisco Systems Inc	5/30/2012	10,171.91	13,906.60
142	Citigroup Inc	10/16/2013	7,014.79	7,399.62
148	Citigroup Inc	10/22/2013	7,531.78	7,712.28
304	Conocophillips	8/19/2010	5,624.49	21,477.60
107	Conocophillips	5/14/2012	5,664.58	7,559.55
222	Du Pont E I De Nemours & Co	3/12/2012	11,389.22	14,423.34
193	Ensco Plc	11/23/2011	9,168.62	11,035.74
73	Ensco Plc	9/20/2013	4,002.95	4,174.14
777	Fifth Third Bancorp	9/5/2012	11,661.76	16,340.31
971	Ford Motor Co	3/14/2013	13,024.22	14,982.53
387	Ford Motor Co	6/25/2013	5,774.04	5,971.41
293	Ford Motor Co	7/9/2013	4,931.19	4,520.99
588	General Electric Co	8/19/2010	9,025.80	16,481.64
67	Harris Corp	3/24/2011	2,851.36	4,677.27
76	Harris Corp	8/20/2010	3,249.00	5,305.56
33	Harris Corp	3/28/2011	1,592.25	2,303.73
90	Harris Corp	12/12/2011	3,143.10	6,282.90
659	Intel Corp	9/1/2010	12,000.59	17,104.34
181	Intel Corp	3/28/2011	3,709.79	4,697.85
206	Intel Corp	9/13/2012	4,729.70	5,346.73
166	Intel Corp	3/13/2013	3,575.11	4,308.54
256	International Paper Co	6/21/2011	7,307.16	12,551.68
34	International Paper Co	6/27/2011	1,003.34	1,667.02
84	Johnson & Johnson	3/24/2011	4,642.36	7,693.56
32	Johnson & Johnson	8/20/2010	1,873.60	2,930.88
59	Johnson & Johnson	3/28/2011	3,488.67	5,403.81
526	JP Morgan Chase & Co	11/4/2011	17,646.41	30,760.48
84	Lockheed Martin Corp	8/19/2010	7,136.04	12,487.44
45	Lockheed Martin Corp	3/28/2011	3,615.75	6,689.70
124	Marathon Oil Corp	8/19/2010	2,204.93	4,377.20
203	Marathon Oil Corp	7/14/2011	6,491.96	7,165.90

<u>No. of Shares</u>	<u>Description</u>	<u>Purchase Date</u>	<u>Cost Basis</u>	<u>Fair Market Value as of 12/31/2013</u>
113	Marathon Oil Corp	6/14/2012	2,764.55	3,988.90
88	Medtronic Inc	8/20/2010	3,036.71	5,050.32
44	Medtronic Inc	3/28/2011	1,708.52	2,525.16
303	Merck & Co Inc	4/3/2012	11,697.04	15,165.15
191	Metlife Inc	8/19/2010	5,517.36	10,298.72
108	Metlife Inc	12/8/2011	3,399.67	5,823.36
288	Metlife Inc	11/15/2013	14,852.68	15,528.96
389	Microsoft Corp	8/15/2012	11,737.53	14,552.49
20	Molson Coors Brewing Co	8/17/2012	881.26	1,123.00
110	Molson Coors Brewing Co	8/20/2012	4,830.65	6,176.50
151	Molson Coors Brewing Co	10/2/2012	6,501.29	8,478.65
50	Newell Rubbermaid Inc	3/6/2013	1,190.36	1,620.50
470	Newell Rubbermaid Inc	3/11/2013	11,785.96	15,232.70
89	Norfolk Southern Corp	9/25/2013	6,969.31	8,261.87
25	Norfolk Southern Corp	10/29/2013	2,206.24	2,320.75
5	Norfolk Southern Corp	10/30/2013	431.78	464.15
5	Norfolk Southern Corp	11/6/2013	430.11	464.15
10	Norfolk Southern Corp	11/7/2013	855.10	928.30
41	Norfolk Southern Corp	11/19/2013	3,534.69	3,806.03
155	Northrop Grumman Corp	8/19/2010	7,117.06	17,764.55
530	Pfizer Inc	8/19/2010	9,505.58	16,233.90
190	PNC Finl Svcs Group Inc	11/9/2010	10,661.11	14,740.20
279	Reynolds Amerin Inc	8/19/2010	14,842.80	13,947.21
154	Royal Dutch Shell	8/19/2010	8,530.06	10,975.58
44	Royal Dutch Shell	3/13/2013	2,897.51	3,135.88
615	SLM Corp	5/24/2013	13,896.05	16,162.20
446	Staples Inc	7/19/2012	5,725.21	7,086.94
574	Staples Inc	8/15/2012	6,548.42	9,120.86
355	Teva Pharmaceutical Industries LTD	6/14/2013	13,932.86	14,228.40
407	Total SA Sponsored	8/19/2010	22,415.89	24,936.89
49	Total SA Sponsored	4/9/2012	2,447.97	3,002.23
66	Total SA Sponsored	3/13/2013	3,309.01	4,043.82
193	Travelers Cos Inc	8/19/2010	8,202.50	17,474.22
54	Wal Mart Stores Inc	7/14/2011	2,893.82	4,249.26
99	Wal Mart Stores Inc	7/20/2011	5,342.85	7,790.31
372	Wells Fargo & Co	9/1/2010	9,136.02	16,888.80
351	Wells Fargo & Co	12/11/2012	11,617.99	15,935.40
1,117	Xerox Corporation	3/24/2011	9,740.24	13,593.89
251	Xerox Corporation	8/20/2010	2,248.48	3,054.67
	Deutsche Bank Alex. Brown - #5XZ-948195		559,754.31	771,848.87
Deutsche Bank Alex. Brown Grand Totals			7,318,492.19	8,644,929.59

INVESTMENTS-CORPORATE STOCKS
Royal Alliance Associates, Inc. Balance on Hand 12/31/2013

600	ABB LTD	11/2/2011	10,919.16	15,936.00
20	Apple Inc	1/18/2013	9,960.80	11,220.40
20	Apple Inc	5/17/2013	8,875.20	11,220.40
300	Berkshire Hathaway Inc	8/10/2011	20,991.00	35,568.00
1,300	Blackrock Kelso Cap Corporation	8/10/2011	8,393.88	12,129.00
550 661	Calvert Global Water Fund	6/7/2013	10,000.00	10,776.44
658 617	Calvert Global Water Fund	7/31/2013	12,000.00	12,889.14
78 947	Calvert Global Water Fund	12/6/2013	1,456.58	1,544.99
8 732	Calvert Global Water Fund	12/6/2013	161.10	170.89
0 376	Calvert Global Water Fund	12/27/2013	7.29	7.35
600	Cisco Systems Inc	7/18/2012	9,807.00	13,458.00
600	Cohen & Steers Infrastructure FD	7/19/2012	10,301.82	12,360.00
700	Compass Diversified Holdings	5/17/2013	11,939.59	13,741.00
300	Ebay Inc	12/23/2013	15,852.00	16,459.50
200	Emerson Electric Co	7/18/2012	8,983.10	14,036.00
150	First TR Exchange - Biotechnology Index FD	7/19/2012	6,691.50	10,377.00

<u>No. of Shares</u>	<u>Description</u>	<u>Purchase Date</u>	<u>Cost Basis</u>	<u>Fair Market Value as of 12/31/2013</u>
150	First TR Exchange - Biotechnology Index FD	12/26/2013	10,190.49	10,377.00
200	First TR Exchange - Health Care Alphadex FD	7/19/2012	6,140.00	9,614.00
400	First TR IPOX Index Fund	8/2/2013	15,597.92	18,156.00
700	Franklin Templeton LTD Duration Income	11/2/2011	8,906.17	9,093.00
600	Gamco Global Gold Nat Res & Income TR	11/2/2011	9,124.86	5,412.00
1,200	Hercules Technology Growth Cap Inc	4/26/2013	15,463.56	19,680.00
1,000	Intel Corp	8/10/2011	20,408.00	25,955.00
100	International Business Machines Corp	12/23/2013	17,621.00	18,757.00
600	KKR & Co	11/2/2011	10,587.75	14,604.00
200	KKR & Co	12/23/2013	3,529.25	4,868.00
200	Market Vectors ETF TR Agribusiness EFT	11/30/2011	9,747.42	10,898.00
531.35	Matthews Asian Growth & Income	1/16/2013	10,000.00	10,047.83
7.144	Matthews Asian Growth & Income	6/21/2013	129.74	135.09
3.431	Matthews Asian Growth & Income	12/13/2013	63.85	64.88
6.257	Matthews Asian Growth & Income	12/13/2013	116.44	118.32
500	MFS International New Discovery Fund	11/2/2011	10,130.00	14,170.00
6.037	MFS International New Discovery Fund	12/12/2011	117.72	171.09
5.547	MFS International New Discovery Fund	12/13/2012	131.24	157.20
5.551	MFS International New Discovery Fund	12/11/2013	153.37	157.32
600	Microsoft Corp	11/30/2011	15,225.66	22,446.00
400	Newmont Mining Corp	4/26/2013	12,897.80	9,212.00
1,300	Nuveen Diversified Commodity Fund	12/26/2013	19,837.22	19,721.00
1,686.34	Pimco EQS Long/Short Fund	12/23/2013	20,000.00	20,016.87
8.917	Pimco EQS Long/Short Fund	12/30/2013	105.67	105.84
300	Plum Creek Timber Co Inc	10/5/2012	12,862.80	13,953.00
200	Rio Tinto PLC	11/30/2011	10,499.42	11,286.00
551.471	Scout Core Plus Bond Fund	5/15/2013	18,000.00	17,613.99
0.303	Scout Core Plus Bond Fund	6/3/2013	9.83	9.68
0.46	Scout Core Plus Bond Fund	7/1/2013	14.70	14.69
0.581	Scout Core Plus Bond Fund	8/1/2013	18.53	18.56
0.415	Scout Core Plus Bond Fund	9/3/2013	13.18	13.26
0.426	Scout Core Plus Bond Fund	10/1/2013	13.62	13.61
0.594	Scout Core Plus Bond Fund	11/1/2013	19.16	18.97
0.631	Scout Core Plus Bond Fund	12/2/2013	20.36	20.15
2.194	Scout Core Plus Bond Fund	12/23/2013	70.36	70.07
300	SPDR Ser TR S&P Regl Bkg EFT	8/2/2013	11,038.65	12,183.00
800	Sprott Physical Platinum &	1/18/2013	7,888.00	6,944.00
200	Teekay LNG Partnership LP	7/18/2012	7,600.33	8,542.00
400	Teekay LNG Partnership LP	12/23/2013	15,200.67	17,084.00
1,291.25	Templeton Global Total Return Fund	4/24/2014	18,000.00	17,418.96
4.127	Templeton Global Total Return Fund	5/16/2013	58.11	55.67
4.163	Templeton Global Total Return Fund	6/18/2013	55.83	56.16
4.364	Templeton Global Total Return Fund	7/16/2013	58.35	58.87
4.508	Templeton Global Total Return Fund	8/16/2013	59.33	60.81
4.569	Templeton Global Total Return Fund	9/17/2013	60.58	61.64
4.897	Templeton Global Total Return Fund	10/16/2013	65.91	66.06
4.044	Templeton Global Total Return Fund	11/18/2013	54.43	54.55
13.84	Templeton Global Total Return Fund	12/17/2013	185.60	186.68
75	Terra Nitrogen Company L P	4/26/2013	14,420.25	10,582.50
1005.587	Thornburg Developing World	4/24/2013	18,000.00	19,166.49
0.39	Thornburg Developing World	12/26/2013	7.37	7.43
400	Total SA Sponsored ADR	12/26/2013	23,878.30	24,508.00
300	Vale SA ADR	11/30/2011	6,914.13	4,575.00
400	Vanguard Nat Res LLC	7/18/2012	9,004.84	11,808.00
600	Veolia Environment	11/2/2011	8,123.16	9,816.00
200	Veolia Environment	11/30/2011	2,523.42	3,272.00
	Royal Alliance Associates, Inc - #60Z-033387		547,304.37	625,371.35
Portfolio Grand Totals			7,865,796.56	9,270,300.94