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Return of Private Foundation

Form **990-PF**

Department of the Treasury
Internal Revenue Service

or Section 4947(a)(1) Trust Treated as Private Foundation
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Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning

, and ending

Name of foundation THE ELEANOR M. AND HERBERT D. KATZ FAMILY FOUNDATION, INC.		A Employer identification number 59-2320940
Number and street (or P.O. box number if mail is not delivered to street address) C/O THOMAS O. KATZ, 2255 GLADES RD	Room/suite 240W	B Telephone number 561-910-5700
City or town, state or province, country, and ZIP or foreign postal code Boca Raton, FL 33431		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 10,671,752.	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue					
1 Contributions, gifts, grants, etc., received				N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		4,124.	4,124.		Statement 3
4 Dividends and interest from securities		203,842.	191,655.		Statement 4
5a Gross rents		22.	22.		Statement 5
b Net rental income or (loss)	22.				
6a Net gain or (loss) from sale of assets not on line 10		554,364.			
b Gross sales price for all assets on line 6a	4,620,328.				
7 Capital gain net income (from Part IV, line 2)			554,364.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income		-10,669.	-10,669.		Statement 6
12 Total. Add lines 1 through 11		751,683.	739,496.		
Operating and Administrative Expenses					
13 Compensation of officers, directors, trustees, etc		0.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees Stmt 7		6,500.	5,200.		1,300.
b Accounting fees					
c Other professional fees					
17 Interest		573.	573.		0.
18 Taxes Stmt 8		11,456.	4,912.		0.
19 Depreciation and depletion		41.	41.		
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses Stmt 9		74,360.	74,360.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		92,930.	85,086.		1,300.
25 Contributions, gifts, grants paid		1,047,606.			1,047,606.
26 Total expenses and disbursements. Add lines 24 and 25		1,140,536.	85,086.		1,048,906.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		-388,853.			
b Net investment income (if negative, enter -0-)			654,410.		
c Adjusted net income (if negative, enter -0-)				N/A	

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		
		Beginning of year (a) Book Value	End of year (b) Book Value (c) Fair Market Value	
Assets	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	318,623.	835,912.	835,912.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock Stmt 13	10,243,134.	9,347,952.	9,347,952.
	c Investments - corporate bonds			
Liabilities	11 Investments - land, buildings, and equipment, basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other Stmt 14	477,622.	487,888.	487,888.
	14 Land, buildings, and equipment, basis ▶			
	Less accumulated depreciation ▶			
	15 Other assets (describe ▶)			
	16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)	11,039,379.	10,671,752.	10,671,752.
	17 Accounts payable and accrued expenses			
	18 Grants payable			
Net Assets or Fund Balances	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
	23 Total liabilities (add lines 17 through 22)	0.	0.	
Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/>	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/>			
	27 Capital stock, trust principal, or current funds	14,247,260.	14,268,486.	
	28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29 Retained earnings, accumulated income, endowment, or other funds	-3,207,881.	-3,596,734.	
	30 Total net assets or fund balances	11,039,379.	10,671,752.	
31 Total liabilities and net assets/fund balances	11,039,379.	10,671,752.		

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	11,039,379.
2 Enter amount from Part I, line 27a	2	-388,853.
3 Other increases not included in line 2 (itemize) ▶ See Statement 11	3	24,100.
4 Add lines 1, 2, and 3	4	10,674,626.
5 Decreases not included in line 2 (itemize) ▶ See Statement 12	5	2,874.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	10,671,752.

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Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a			
b See Attached Statement			
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			
b			
c			
d			
e 4,620,328.		4,065,964.	554,364.

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a			
b			
c			
d			
e			554,364.

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	554,364.
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). If (loss), enter -0- in Part I, line 8	3	N/A

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	1,067,553.	11,768,239.	.090715
2011	1,036,426.	12,735,563.	.081380
2010	1,154,679.	12,901,069.	.089503
2009	345,307.	13,000,801.	.026560
2008	1,690,063.	15,046,864.	.112320

2 Total of line 1, column (d)	2	.400478
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	.080096
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	12,589,838.
5 Multiply line 4 by line 3	5	1,008,396.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	6,544.
7 Add lines 5 and 6	7	1,014,940.
8 Enter qualifying distributions from Part XII, line 4 <small>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.</small>	8	1,048,906.

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

1a Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> 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 <input checked="" type="checkbox"/> and enter 1% of Part I, line 27b		1	6,544.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	6,544.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	6,544.
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	7,774.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	7,774.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> 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	1,230.	
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax <input checked="" type="checkbox"/> 1,230. Refunded <input type="checkbox"/>	11	0.	

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

N/A

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► THOMAS O. KATZ Telephone no. ► 561-910-5700 Located at ► 2255 GLADES ROAD SUITE 240W, BOCA RATON, FL ZIP+4 ► 33431			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

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

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

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

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to:

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

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

N/A

Organizations relying on a current notice regarding disaster assistance check here

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

N/A

☐ Yes ☐ No

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

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

6b

X

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**1** List all officers, directors, trustees, foundation managers and their compensation.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
See Statement 15		0.	0.	0.

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

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

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

0

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

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

Total number of others receiving over \$50,000 for professional services

0

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

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

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

Total. Add lines 1 through 3

0.

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Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	12,196,062.
b	Average of monthly cash balances	1b	585,499.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	12,781,561.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	12,781,561.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	191,723.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	12,589,838.
6	Minimum investment return. Enter 5% of line 5	6	629,492.

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	629,492.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	6,544.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	6,544.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	622,948.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	622,948.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	622,948.

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	1,048,906.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,048,906.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	6,544.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,042,362.

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

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				622,948.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010	438,623.			
d From 2011	407,824.			
e From 2012	483,497.			
f Total of lines 3a through e	1,329,944.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ 1,048,906.				
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				622,948.
e Remaining amount distributed out of corpus	425,958.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:	1,755,902.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	1,755,902.			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010	438,623.			
c Excess from 2011	407,824.			
d Excess from 2012	483,497.			
e Excess from 2013	425,958.			

N/A

- b**
- Check box to indicate whether the foundation is a private operating foundation described in section

☐ 4942(j)(3) or ☐ 4942(j)(5)

- [illegible]

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

1 Information Regarding Foundation Managers:

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

None

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

None

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

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

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

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

- c Any submission deadlines:**

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

Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment				
Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
ADAS ISRAEL CONGREGATION 2850 QUEBEC STREET NW WASHINGTON, DC 20008	NONE	PUBLIC CHARITY	ANNUAL FUND	1,000.
AISH HATORAH 4010 N 46 AVENUE HOLLYWOOD, FL 33021	NONE	PUBLIC CHARITY	ANNUAL FUND	18,000.
AMERICAN ISRAEL CULTURAL FOUNDATION 1140 BROADWAY, SUITE 304 NEW YORK, NY 10001	NONE	PUBLIC CHARITY	ANNUAL FUND	1,800.
TRUSTEES OF THE UNIVERSITY OF PENNSYLVANIA 3401 GRAYS FERRY AVENUE PHILADELPHIA, PA 19122	NONE	PUBLIC CHARITY	ANNUAL FUND	1,000.
AMERICAN UNIVERSITY CENTER FOR ISRAEL STUDIES 4400 MASSACHUSETTS AVENUE NW WASHINGTON, DC 20016	NONE	PUBLIC CHARITY	ANNUAL FUND	2,000.
Total	See continuation sheet(s)			1,047,606.
b Approved for future payment				
None				
Total				0.

Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
		14	4,124.	
		14	203,842.	
		17	22.	
		14	-10,669.	
		18	554,364.	
	0.		751,683.	0

13 751,683

N/A

2013.03061	THE ELEANOR M. AND HERBERT	2931	1
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THE ELEANOR M. AND HERBERT D. KATZ
FAMILY FOUNDATION, INC.

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Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
ANN STORCK CENTER 1790 SW 43 WAY FORT LAUDERDALE, FL 33317	NONE	PUBLIC CHARITY	ANNUAL FUND	1,000.
BBYO, INC. 2020 K STREET NW, 7TH FLOOR WASHINGTON, DC 20006	NONE	PUBLIC CHARITY	ANNUAL FUND	18,000.
CLAL 99 PARK AVENUE SUITE C - 300 NEW YORK, NY 10016	NONE	PUBLIC CHARITY	ANNUAL FUND	31,000.
COMMUNITY FOUNDATION BROWARD 910 E LAS OLAS BLVD #200 FORT LAUDERDALE, FL 33301	NONE	PUBLIC CHARITY	ANNUAL FUND	2,500.
HAZELDEN FOUNDATION PO BOX 11, OS-3, 15251 PLEASANT VALLEY ROAD CENTER CITY, MN 55012-0011	NONE	PUBLIC CHARITY	ANNUAL FUND	10,000.
JOESPH MEYERHOFF SENIOR CENTER 3081 TAFT STREET HOLLYWOOD, FL 33021	NONE	PUBLIC CHARITY	ANNUAL FUND	10,000.
FROM PASS-THROUGH ENTITY NUSTAR GP HOLDINGS, LLC PO BOX 781690 SAN ANTONIO, TX 78278	NONE	PUBLIC CHARITY	MISC. DONATION	6.
PHILADELPHIA THEATRE COMPANY 180 S BROAD STREET PHILADELPHIA, PA 19102	NONE	PUBLIC CHARITY	ANNUAL FUND	11,000.
HILLEL OF BROWARD & PALM BEACH 777 GLADES RD, BLDG LY-3A BOCA RATON, FL 33439	NONE	PUBLIC CHARITY	ANNUAL FUND	18,000.
HERBERT D KATZ CENTER FOR ADVANCED JUDIAC STUDIES 420 WALNUT ST PHILADELPHIA, PA 19106	NONE	PUBLIC CHARITY	ANNUAL FUND	1,000.
Total from continuation sheets				1,023,806.

THE ELEANOR M. AND HERBERT D. KATZ
FAMILY FOUNDATION, INC.

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Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
ISRAEL EDUCATION FUND 25 BROADWAY, SUITE 1700 NEW YORK, NY 10004	NONE	PUBLIC CHARITY	ANNUAL FUND	40,000.
JEWISH FAMILY SERVICE OF GREATER WASHINGTON 6101 MONTROSE ROAD ROCKVILLE, MD 20852	NONE	PUBLIC CHARITY	ANNUAL FUND	13,000.
JEWISH FEDERATION OF GREATER PHILADELPHIA 2100 ARCH STREET PHILADELPHIA, PA 19103	NONE	PUBLIC CHARITY	ANNUAL FUND	11,000.
MEMORIAL FOUNDATION 3711 GARFIELD STREET HOLLYWOOD, FL 33021	NONE	PUBLIC CHARITY	ANNUAL FUND	2,000.
JOA DIMAGGIO CHILDREN'S HOSPITAL FOUNDATION, INC. 1005 JOE DIMAGGIO DRIVE HOLLYWOOD, FL 33021	NONE	PUBLIC CHARITY	ANNUAL FUND	10,000.
NATIONAL MUSEUM OF AMERICAN JEWISH HISTORY INDEPENDENCE MALL EAST, 55 N 5 ST PHILADELPHIA, PA 19106	NONE	PUBLIC CHARITY	ANNUAL FUND	15,000.
NATIONAL PARKINSON FOUNDATION P.O. BOX 5018 HAGERSTOWN, MD 21741	NONE	PUBLIC CHARITY	ANNUAL FUND	25,000.
OCEAN REEF MEDICAL CENTER 50 BARRACUDA LANE KEY LARGO, FL 33037	NONE	PUBLIC CHARITY	ANNUAL FUND	300.
P.E.F. ISRAEL ENDOWMENT FUNDS 317 MADISON AVENUE, SUITE 607 NEW YORK, NY 10017	NONE	PUBLIC CHARITY	ANNUAL FUND	10,000.
TEMPLE UNIVERSITY 1801 N BROAD STREET PHILADELPHIA, PA 19122	NONE	PUBLIC CHARITY	ANNUAL FUND	1,000.
Total from continuation sheets				

THE ELEANOR M. AND HERBERT D. KATZ
FAMILY FOUNDATION, INC.

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Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
PARKINSON'S ACTION NETWORK 300 NORTH LEE STREET, SUITE 500 ALEXANDRIA, VA 22314	NONE	PUBLIC CHARITY	ANNUAL FUND	1,000.
PROJECT INTERCHANGE 1156 15 STREET, SUITE 1201 WASHINGTON, DC 20001	NONE	PUBLIC CHARITY	ANNUAL FUND	5,000.
SOUTH PALM BEACH COUNTY JEWISH FEDERATION 9901 DONNA KLEIN BLVD. BOCA RATON, FL 33428	NONE	PUBLIC CHARITY	ANNUAL FUND	11,000.
UNITED JEWISH COMMUNITY OF BROWARD COUNTY DAVID POSNACK JEWISH COMMUNITY CENTER, 5850 S PINE ISLAND RD DAVIE, FL 33328	NONE	PUBLIC CHARITY	ANNUAL FUND	11,000.
UNITED WAY OF BROWARD COUNTY 1300 S. ANDREWS AVENUE FORT LAUDERDALE, FL 33312	NONE	PUBLIC CHARITY	ANNUAL FUND	2,500.
UNIVERSITY OF PENNSYLVANIA 3451 WALNUT PHILADELPHIA, PA 19104	NONE	PUBLIC CHARITY	ANNUAL FUND	750,000.
WASHINGTON INST. FOR N. EAST POLICY 11710 HUNTERS LANE ROCKVILLE, MD 20852	NONE	PUBLIC CHARITY	ANNUAL FUND	12,500.
WPBT CHANNEL 2 P.O. BOX 610002 MIAMI, FL 33261-0002	NONE	PUBLIC CHARITY	ANNUAL FUND	1,000.
Total from continuation sheets				

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.		(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a SEE ATTACHED SCHEDULE		P		
b SEE ATTACHED SCHEDULE		P		
c SEE ATTACHED SCHEDULE-PASS THROUGH FROM PARTNERSH		P		
d SEE ATTACHED SCHEDULE-PASS THROUGH FROM PARTNERSH		P		
e SECTION 1231 GAIN FROM PASS THROUGH ENTITIES		P		
f Capital Gains Dividends				
g				
h				
i				
j				
k				
l				
m				
n				
o				

(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 712,109.		702,639.	9,470.
b 3,831,928.		3,363,294.	468,634.
c		31.	-31.
d 48,250.			48,250.
e 39.			39.
f 28,002.			28,002.
g			
h			
i			
j			
k			
l			
m			
n			
o			

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			9,470.
b			468,634.
c			-31.
d			48,250.
e			39.
f			28,002.
g			
h			
i			
j			
k			
l			
m			
n			
o			

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	554,364.
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). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

The Eleanor M. and Herbert D. Katz Family Foundation, Inc.
Form 990PF
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Page 3, Part IV-Schedule of Capital Gains

Security	Shares	Date		How	Proceeds	Basis	Gain/(Loss)
		Purchased	Sold	Acquired			
SHORT TERM							
ACME PACKET INC	56	7/18/2012	3/8/2013	Purchase	\$ 1,633	\$ 908	\$ 725
ACME PACKET INC	153	8/10/2012	3/8/2013	Purchase	4,461	2,694	1,767
ACME PACKET INC	14	8/13/2012	3/8/2013	Purchase	408	245	163
ACME PACKET INC	131	8/17/2012	3/8/2013	Purchase	3,820	2,182	1,638
ACME PACKET INC	89	8/17/2012	3/18/2013	Purchase	2,596	1,482	1,114
ACME PACKET INC	34	8/28/2012	3/18/2013	Purchase	992	589	403
ACME PACKET INC	34	8/29/2012	3/18/2013	Purchase	992	581	411
ACME PACKET INC	54	8/29/2012	3/19/2013	Purchase	1,575	923	653
ACME PACKET INC	108	10/31/2012	3/19/2013	Purchase	3,150	1,864	1,286
AFFYMAX, INC	44	10/12/2012	2/20/2013	Purchase	614	1,039	(425)
AFFYMAX, INC	138	10/15/2012	2/20/2013	Purchase	1,925	3,456	(1,531)
AFFYMAX, INC	75	11/15/2012	2/20/2013	Purchase	1,046	1,750	(704)
AFFYMAX, INC	78	12/27/2012	2/20/2013	Purchase	1,088	1,494	(406)
Aruba Networks, Inc	78	8/31/2012	2/27/2013	Purchase	1,971	1,489	482
Aruba Networks, Inc	145	8/31/2012	7/16/2013	Purchase	2,423	2,769	(345)
Aruba Networks, Inc	3	9/4/2012	7/16/2013	Purchase	50	60	(9)
Aruba Networks, Inc	29	10/5/2012	9/30/2013	Purchase	488	603	(115)
Aruba Networks, Inc	68	10/5/2012	10/1/2013	Purchase	1,142	1,414	(272)
Aruba Networks, Inc	77	10/30/2012	10/1/2013	Purchase	1,293	1,391	(98)
Aruba Networks, Inc	36	5/10/2013	10/1/2013	Purchase	605	630	(26)
Aruba Networks, Inc	75	5/10/2013	10/2/2013	Purchase	1,243	1,313	(70)
Aruba Networks, Inc	75	5/22/2013	10/2/2013	Purchase	1,243	970	273
Aruba Networks, Inc	111	5/22/2013	10/3/2013	Purchase	1,844	1,436	408
BJ S RESTAURANTS, INC	41	10/31/2012	10/10/2013	Purchase	1,147	1,331	(184)
BJ S RESTAURANTS, INC	28	12/3/2012	10/10/2013	Purchase	783	954	(171)
BJ S RESTAURANTS, INC	18	12/5/2012	10/10/2013	Purchase	504	619	(116)
BJ S RESTAURANTS, INC	22	1/15/2013	10/10/2013	Purchase	615	756	(141)
BJ S RESTAURANTS, INC	57	1/15/2013	10/11/2013	Purchase	1,631	1,959	(328)
BJ S RESTAURANTS, INC	17	5/22/2013	10/11/2013	Purchase	486	635	(149)
BJ S RESTAURANTS, INC	24	5/23/2013	10/11/2013	Purchase	687	920	(233)
BJ S RESTAURANTS, INC	25	6/12/2013	10/11/2013	Purchase	715	942	(227)
BJ S RESTAURANTS, INC	18	6/13/2013	10/11/2013	Purchase	515	699	(184)
BJ S RESTAURANTS, INC	15	6/14/2013	10/11/2013	Purchase	429	572	(143)
BJ S RESTAURANTS, INC	39	8/12/2013	10/11/2013	Purchase	1,116	1,214	(98)
BJ S RESTAURANTS, INC	19	8/13/2013	10/11/2013	Purchase	544	598	(54)
BJ S RESTAURANTS, INC	17	8/14/2013	10/11/2013	Purchase	486	540	(53)
BJ S RESTAURANTS, INC	20	9/10/2013	10/11/2013	Purchase	572	628	(56)
BJ S RESTAURANTS, INC	22	9/11/2013	10/11/2013	Purchase	629	692	(63)
BJ S RESTAURANTS, INC	22	9/12/2013	10/11/2013	Purchase	629	703	(74)
BJ S RESTAURANTS, INC	15	9/13/2013	10/11/2013	Purchase	429	476	(46)
Cavium, Inc	25	11/30/2012	7/19/2013	Purchase	908	854	54
Cavium, Inc	23	11/30/2012	7/25/2013	Purchase	843	786	57
Cavium, Inc	16	11/30/2012	7/26/2013	Purchase	589	547	43
Cavium, Inc	3	12/3/2012	7/26/2013	Purchase	111	102	8
Cavium, Inc	53	12/3/2012	9/19/2013	Purchase	2,122	1,802	320
Cavium, Inc	10	12/4/2012	9/19/2013	Purchase	400	350	50
CBRE CLARION LONG SHORT FUND	28,436	02 5/4/2012	3/26/2013	Purchase	292,322	300,000	(7,678)
Chicago Bndge & Iron	37	8/17/2012	2/8/2013	Purchase	1,927	1,362	565
Chicago Bndge & Iron	28	8/17/2012	2/11/2013	Purchase	1,476	1,031	445
Chicos Fashions, Inc	111	3/8/2012	1/28/2013	Purchase	1,959	1,703	255
Cirrus Logic, Inc.	61	1/10/2013	4/22/2013	Purchase	1,120	1,809	(689)
Cirrus Logic, Inc	203	1/11/2013	4/22/2013	Purchase	3,727	6,113	(2,387)
Cirrus Logic, Inc	34	1/14/2013	4/22/2013	Purchase	624	1,029	(405)
Cirrus Logic, Inc.	124	1/15/2013	4/22/2013	Purchase	2,276	3,883	(1,606)
Cirrus Logic, Inc	91	2/27/2013	4/22/2013	Purchase	1,671	2,319	(648)
Cirrus Logic, Inc	92	3/19/2013	4/22/2013	Purchase	1,689	2,187	(498)
Cloud Peak Energy, Inc.	24	8/17/2012	7/8/2013	Purchase	390	419	(29)

The Eleanor M. and Herbert D. Katz Family Foundation, Inc.
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Security	Shares	Date		How Acquired	Proceeds	Basis	Gain/(Loss)
		Purchased	Sold				
Cloud Peak Energy, Inc	29	8/17/2012	7/8/2013	Purchase	471	508	(37)
Cloud Peak Energy, Inc	23	8/17/2012	7/9/2013	Purchase	367	403	(36)
Cloud Peak Energy, Inc	45	8/20/2012	7/9/2013	Purchase	718	793	(75)
Cloud Peak Energy, Inc	11	8/20/2012	7/10/2013	Purchase	175	194	(19)
Cloud Peak Energy, Inc	81	8/21/2012	7/10/2013	Purchase	1,287	1,450	(163)
Cloud Peak Energy, Inc	30	8/21/2012	7/11/2013	Purchase	490	537	(47)
Cloud Peak Energy, Inc	26	8/28/2012	7/11/2013	Purchase	425	463	(38)
Cloud Peak Energy, Inc	45	8/29/2012	7/11/2013	Purchase	735	813	(79)
Cloud Peak Energy, Inc	73	9/17/2012	9/11/2013	Purchase	1,159	1,370	(211)
Cloud Peak Energy, Inc	4	9/18/2012	9/11/2013	Purchase	64	78	(15)
Cloud Peak Energy, Inc	9	9/18/2012	9/12/2013	Purchase	142	176	(34)
Cloud Peak Energy, Inc	35	9/19/2012	9/12/2013	Purchase	552	695	(143)
Cloud Peak Energy, Inc	8	10/4/2012	9/12/2013	Purchase	126	148	(22)
Cloud Peak Energy, Inc	15	10/4/2012	9/13/2013	Purchase	232	278	(46)
Cloud Peak Energy, Inc	13	10/5/2012	9/13/2013	Purchase	201	241	(40)
Cloud Peak Energy, Inc	20	10/9/2012	9/13/2013	Purchase	309	372	(63)
Cloud Peak Energy, Inc	21	10/10/2012	9/13/2013	Purchase	325	393	(68)
Cloud Peak Energy, Inc	17	10/11/2012	9/13/2013	Purchase	263	321	(58)
Cloud Peak Energy, Inc	14	10/11/2012	9/16/2013	Purchase	217	264	(47)
Cloud Peak Energy, Inc	16	10/11/2012	9/16/2013	Purchase	248	300	(52)
Cloud Peak Energy, Inc	18	10/31/2012	9/16/2013	Purchase	279	389	(110)
Cloud Peak Energy, Inc	34	10/31/2012	9/18/2013	Purchase	527	735	(208)
Cloud Peak Energy, Inc	7	10/31/2012	9/19/2013	Purchase	107	151	(44)
Cloud Peak Energy, Inc	44	3/4/2013	9/19/2013	Purchase	671	760	(89)
Cloud Peak Energy, Inc	33	3/4/2013	9/20/2013	Purchase	509	570	(61)
Cloud Peak Energy, Inc	13	3/4/2013	9/23/2013	Purchase	203	225	(22)
Cloud Peak Energy, Inc	40	3/5/2013	9/23/2013	Purchase	623	696	(72)
Cloud Peak Energy, Inc	12	3/5/2013	9/24/2013	Purchase	185	209	(23)
Cloud Peak Energy, Inc	12	8/13/2013	9/24/2013	Purchase	185	195	(10)
Cloud Peak Energy, Inc	44	8/13/2013	9/25/2013	Purchase	660	715	(55)
Cloud Peak Energy, Inc	25	8/14/2013	9/25/2013	Purchase	375	423	(48)
Cloud Peak Energy, Inc	30	8/15/2013	9/26/2013	Purchase	446	504	(58)
Cloud Peak Energy, Inc	37	8/16/2013	9/26/2013	Purchase	550	602	(51)
Coinstar, Inc	26	8/17/2012	2/13/2013	Purchase	1,248	1,260	(11)
Coinstar, Inc	71	8/17/2012	5/3/2013	Purchase	3,763	3,440	323
Coinstar, Inc	22	10/2/2012	5/3/2013	Purchase	1,166	992	174
Coinstar, Inc	34	10/31/2012	5/3/2013	Purchase	1,802	1,534	268
Coinstar, Inc	6	10/31/2012	5/6/2013	Purchase	310	271	39
Coinstar, Inc	37	11/5/2012	5/6/2013	Purchase	1,911	1,691	220
COLFAX CORP	4	8/17/2012	8/2/2013	Purchase	211	132	79
COLFAX CORP	22	8/17/2012	8/5/2013	Purchase	1,172	727	445
COLFAX CORP	9	8/17/2012	8/6/2013	Purchase	487	298	190
COLFAX CORP	25	8/17/2012	8/13/2013	Purchase	1,323	826	496
COLFAX CORP	34	8/17/2012	8/14/2013	Purchase	1,796	1,124	672
COLFAX CORP	44	8/17/2012	8/15/2013	Purchase	2,323	1,454	869
COLFAX CORP	9	8/17/2012	8/15/2013	Purchase	475	298	177
COLFAX CORP	28	8/17/2012	8/16/2013	Purchase	1,473	926	547
COLFAX CORP	15	8/17/2012	8/19/2013	Purchase	785	496	289
COMSTOCK RESOURCES INC	57	1/23/2012	1/14/2013	Purchase	795	770	25
COMSTOCK RESOURCES INC	63	1/24/2012	1/14/2013	Purchase	879	840	39
COMSTOCK RESOURCES INC	25	2/10/2012	1/14/2013	Purchase	349	316	33
COMSTOCK RESOURCES INC	100	2/10/2012	1/15/2013	Purchase	1,435	1,263	172
COMSTOCK RESOURCES INC	339	8/17/2012	1/15/2013	Purchase	4,863	5,884	(1,020)
Cott Corp Que	21	10/4/2012	9/9/2013	Purchase	167	168	(1)
Cott Corp Que	26	10/5/2012	9/9/2013	Purchase	207	207	(0)
Cott Corp Que	35	10/9/2012	9/9/2013	Purchase	279	279	(0)
Cott Corp Que	52	10/10/2012	9/9/2013	Purchase	414	415	(1)
Cott Corp Que	36	10/11/2012	9/9/2013	Purchase	287	288	(2)
Cott Corp Que	7	10/11/2012	9/9/2013	Purchase	56	57	(1)

The Eleanor M. and Herbert D. Katz Family Foundation, Inc.
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Security	Shares	Date		How Acquired	Proceeds	Basis	Gain/(Loss)
		Purchased	Sold				
Cott Corp Que	23	10/12/2012	9/9/2013	Purchase	183	185	(2)
Cott Corp Que	38	10/15/2012	9/9/2013	Purchase	303	305	(2)
Cott Corp Que	56	10/16/2012	9/9/2013	Purchase	446	463	(17)
Cott Corp Que	34	10/16/2012	9/13/2013	Purchase	273	281	(8)
Cott Corp Que	84	10/17/2012	9/13/2013	Purchase	675	710	(34)
Cott Corp Que	19	10/19/2012	9/13/2013	Purchase	153	160	(7)
Cott Corp Que	40	10/23/2012	9/13/2013	Purchase	322	333	(11)
Cott Corp Que	23	10/23/2012	9/16/2013	Purchase	185	191	(6)
Cott Corp Que	48	10/24/2012	9/16/2013	Purchase	387	392	(5)
Cott Corp Que	35	11/6/2012	9/16/2013	Purchase	282	283	(1)
Cott Corp Que	54	11/7/2012	9/16/2013	Purchase	435	435	0
Cott Corp Que	68	2/22/2013	12/6/2013	Purchase	569	638	(70)
Cott Corp Que	20	2/25/2013	12/6/2013	Purchase	167	185	(18)
Cott Corp Que	119	2/25/2013	12/9/2013	Purchase	1,012	1,100	(87)
Cott Corp Que	15	2/25/2013	12/10/2013	Purchase	128	139	(11)
Cott Corp Que	29	2/26/2013	12/10/2013	Purchase	247	270	(23)
Cott Corp Que	17	2/26/2013	12/11/2013	Purchase	145	158	(13)
Cott Corp Que	24	4/23/2013	12/11/2013	Purchase	205	257	(53)
Cott Corp Que	31	4/23/2013	12/12/2013	Purchase	266	332	(66)
Cott Corp Que	12	4/23/2013	12/13/2013	Purchase	102	129	(26)
Cott Corp Que	45	4/23/2013	12/16/2013	Purchase	374	483	(108)
Cott Corp Que	28	4/23/2013	12/17/2013	Purchase	229	300	(71)
Cott Corp Que	31	4/23/2013	12/17/2013	Purchase	250	332	(82)
Cott Corp Que	127	5/7/2013	12/17/2013	Purchase	1,026	1,179	(152)
Cott Corp Que	90	5/7/2013	12/17/2013	Purchase	727	832	(105)
Cypress Semiconductor Corp	147	8/21/2013	10/29/2013	Purchase	1,357	1,740	(383)
Cypress Semiconductor Corp	63	8/21/2013	10/30/2013	Purchase	575	756	(181)
DRIEHAUS ACTIVE INCOME FUND FUND	281 708	3/22/2012	1/4/2013	Purchase	3,020	2,983	37
DRIEHAUS ACTIVE INCOME FUND FUND	442 979	6/21/2012	1/4/2013	Purchase	4,749	4,572	177
DRIEHAUS ACTIVE INCOME FUND FUND	45 06	9/20/2012	1/4/2013	Purchase	483	472	11
DRIEHAUS ACTIVE INCOME FUND FUND	198 197	12/20/2012	1/4/2013	Purchase	2,125	2,109	16
First Cash Financial Svcs, Inc	14	11/20/2012	8/27/2013	Purchase	747	619	128
First Cash Financial Svcs, Inc	32	11/20/2012	8/28/2013	Purchase	1,720	1,415	305
First Cash Financial Svcs, Inc	2	11/21/2012	8/28/2013	Purchase	107	90	18
FRESH MARKET INC /THE	21	4/20/2012	3/11/2013	Purchase	808	1,097	(288)
FRESH MARKET INC /THE	27	4/23/2012	3/11/2013	Purchase	1,039	1,408	(369)
FRESH MARKET INC /THE	17	4/24/2012	3/11/2013	Purchase	654	902	(248)
FRESH MARKET INC /THE	27	4/25/2012	3/11/2013	Purchase	1,039	1,437	(398)
FRESH MARKET INC /THE	26	4/26/2012	3/11/2013	Purchase	1,001	1,345	(344)
FRESH MARKET INC /THE	22	4/27/2012	3/11/2013	Purchase	847	1,128	(281)
FRESH MARKET INC /THE	21	5/2/2012	3/11/2013	Purchase	808	1,129	(321)
FRESH MARKET INC /THE	17	5/3/2012	3/11/2013	Purchase	654	881	(227)
FRESH MARKET INC /THE	11	5/22/2012	3/11/2013	Purchase	423	536	(113)
FRESH MARKET INC /THE	34	5/23/2012	3/11/2013	Purchase	1,309	1,647	(338)
FRESH MARKET INC /THE	95	8/17/2012	3/11/2013	Purchase	3,656	5,684	(2,028)
FRESH MARKET INC /THE	32	12/3/2012	3/11/2013	Purchase	1,232	1,635	(404)
Gardner Denver Inc	375	6/18/2012	3/13/2013	Purchase	27,994	19,210	8,784
Greenhill & Co ,Inc	12	8/8/2012	7/26/2013	Purchase	588	490	98
Greenhill & Co ,Inc	1	8/9/2012	7/26/2013	Purchase	49	41	8
Greenhill & Co.,Inc	11	8/9/2012	7/29/2013	Purchase	542	449	93
Greenhill & Co.,Inc.	21	8/13/2012	7/29/2013	Purchase	1,035	860	174
Greenhill & Co ,Inc	1	8/13/2012	7/30/2013	Purchase	50	41	9
Greenhill & Co ,Inc	14	8/14/2012	7/30/2013	Purchase	695	575	120
Greenhill & Co ,Inc	42	8/17/2012	7/30/2013	Purchase	2,084	1,705	379
Harman Int'l Industres	10	5/25/2012	4/3/2013	Purchase	817	580	237
Harman Int'l Industres	35	Various	12/31/2013	Purchase	2,862	2,027	835
HEALTH MANAGEMENT ASSOCIATES INC	3	8/17/2012	6/25/2013	Purchase	45	20	25
HEALTH MANAGEMENT ASSOCIATES INC	192	8/17/2012	7/29/2013	Purchase	2,868	1,303	1,566
HEALTH MANAGEMENT ASSOCIATES INC	275	8/17/2012	7/30/2013	Purchase	4,207	1,866	2,342

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		Purchased	Sold				
HEALTH MANAGEMENT ASSOCIATES INC	156	8/17/2012	7/31/2013	Purchase	2,338	1,058	1,280
Healthways, Inc	64	7/29/2013	11/4/2013	Purchase	669	1,078	(409)
Healthways, Inc	44	7/29/2013	11/5/2013	Purchase	406	741	(335)
Healthways, Inc	68	7/30/2013	11/5/2013	Purchase	628	1,179	(551)
Healthways, Inc	68	7/30/2013	11/5/2013	Purchase	666	1,179	(513)
Healthways, Inc	96	7/31/2013	11/5/2013	Purchase	940	1,656	(717)
Healthways, Inc	21	8/1/2013	11/5/2013	Purchase	206	362	(156)
Healthways, Inc	5	8/2/2013	11/5/2013	Purchase	49	85	(37)
Healthways, Inc	9	8/2/2013	11/6/2013	Purchase	88	154	(66)
Healthways, Inc	22	8/5/2013	11/6/2013	Purchase	216	374	(159)
Healthways, Inc	13	8/6/2013	11/6/2013	Purchase	127	225	(97)
Healthways, Inc	68	8/7/2013	11/6/2013	Purchase	666	1,144	(478)
Healthways, Inc	36	8/8/2013	11/6/2013	Purchase	353	621	(268)
Healthways, Inc	35	8/9/2013	11/6/2013	Purchase	343	609	(266)
Healthways, Inc	29	8/13/2013	11/6/2013	Purchase	284	504	(220)
Healthways, Inc	12	8/14/2013	11/6/2013	Purchase	118	215	(97)
Healthways, Inc	23	8/15/2013	11/6/2013	Purchase	225	411	(185)
Healthways, Inc	20	8/16/2013	11/6/2013	Purchase	196	364	(168)
Healthways, Inc	40	8/19/2013	11/6/2013	Purchase	392	758	(366)
Healthways, Inc	36	8/20/2013	11/6/2013	Purchase	353	675	(322)
Healthways, Inc	22	8/21/2013	11/6/2013	Purchase	216	427	(211)
Healthways, Inc	19	8/22/2013	11/6/2013	Purchase	186	366	(180)
Healthways, Inc	35	9/30/2013	11/6/2013	Purchase	343	642	(299)
Healthways, Inc	29	10/1/2013	11/6/2013	Purchase	284	536	(252)
Healthways, Inc	19	10/2/2013	11/6/2013	Purchase	186	354	(167)
Healthways, Inc	14	10/3/2013	11/6/2013	Purchase	137	258	(121)
Healthways, Inc	10	10/4/2013	11/6/2013	Purchase	98	186	(88)
Healthways, Inc	37	10/7/2013	11/6/2013	Purchase	363	676	(313)
HMS HLDGS CORP	8	5/31/2012	4/8/2013	Purchase	215	212	3
IBERIBANK CORP	21	8/14/2012	3/21/2013	Purchase	1,049	988	62
IBERIBANK CORP	8	8/17/2012	3/21/2013	Purchase	400	378	22
IBERIBANK CORP	68	8/17/2012	3/22/2013	Purchase	3,368	3,213	156
IBERIBANK CORP	22	8/17/2012	3/25/2013	Purchase	1,094	1,039	55
IBERIBANK CORP	18	8/17/2012	3/26/2013	Purchase	887	850	37
Innerworkings, Inc	750	12/12/2012	7/14/2013	Purchase	8,212	9,740	(1,528)
Innerworkings, Inc	2000	12/12/2012	7/23/2013	Purchase	22,136	25,972	(3,836)
IXIA	28	5/6/2013	11/8/2013	Purchase	376	405	(29)
IXIA	107	5/6/2013	11/12/2013	Purchase	1,439	1,549	(111)
IXIA	3	5/6/2013	11/13/2013	Purchase	40	43	(4)
IXIA	23	5/7/2013	11/13/2013	Purchase	303	334	(31)
IXIA	2	5/7/2013	11/14/2013	Purchase	27	29	(2)
IXIA	124	7/12/2013	11/14/2013	Purchase	1,667	1,765	(99)
Landstar Sys , Inc	26	12/13/2012	5/14/2013	Purchase	1,402	1,280	122
Landstar Sys , Inc	4	12/13/2012	5/15/2013	Purchase	216	197	19
Landstar Sys , Inc	12	12/14/2012	5/15/2013	Purchase	647	595	52
Landstar Sys., Inc	1	12/19/2012	5/15/2013	Purchase	54	49	5
Landstar Sys , Inc	23	12/19/2012	11/6/2013	Purchase	1,257	1,135	121
LSB Industries, Inc	10	1/22/2013	11/12/2013	Purchase	327	387	(60)
LSB Industries, Inc	13	1/23/2013	11/12/2013	Purchase	425	525	(100)
LSB Industries, Inc	9	1/23/2013	11/13/2013	Purchase	279	364	(85)
LSB Industries, Inc.	22	1/24/2013	11/13/2013	Purchase	682	890	(208)
LSB Industries, Inc	8	1/25/2013	11/13/2013	Purchase	248	329	(81)
LSB Industries, Inc	13	3/4/2013	11/14/2013	Purchase	402	500	(98)
LSB Industries, Inc	14	3/5/2013	11/14/2013	Purchase	433	544	(111)
LSB Industries, Inc.	17	3/6/2013	11/14/2013	Purchase	525	639	(114)
LSB Industries, Inc	19	1/28/2013	11/14/2013	Purchase	583	795	(212)
LSB Industries, Inc	29	1/29/2013	11/14/2013	Purchase	890	1,202	(313)
LSB Industries, Inc	13	3/6/2013	11/15/2013	Purchase	400	489	(89)
LSB Industries, Inc	30	3/6/2013	11/15/2013	Purchase	923	1,128	(206)

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		Purchased	Sold				
LSB Industries, Inc	3	3/6/2013	11/18/2013	Purchase	91	113	(22)
LSB Industries, Inc	24	3/7/2013	11/18/2013	Purchase	728	913	(185)
LSB Industries, Inc	11	3/8/2013	11/18/2013	Purchase	334	427	(94)
LSB Industries, Inc	5	3/8/2013	11/19/2013	Purchase	154	194	(40)
LSB Industries, Inc	13	4/15/2013	11/19/2013	Purchase	400	427	(27)
LSB Industries, Inc	20	4/16/2013	11/19/2013	Purchase	615	661	(46)
LSB Industries, Inc	16	4/17/2013	11/20/2013	Purchase	490	526	(36)
LSB Industries, Inc	5	4/17/2013	11/21/2013	Purchase	149	164	(15)
LSB Industries, Inc	14	4/18/2013	11/21/2013	Purchase	418	440	(22)
LSB Industries, Inc	12	4/18/2013	11/22/2013	Purchase	359	378	(19)
LSB Industries, Inc	20	6/25/2013	11/22/2013	Purchase	598	643	(45)
LSB Industries, Inc	16	6/25/2013	11/25/2013	Purchase	475	514	(39)
LSB Industries, Inc	8	6/25/2013	11/26/2013	Purchase	238	257	(19)
LSB Industries, Inc	22	6/26/2013	11/26/2013	Purchase	654	695	(41)
LSB Industries, Inc	21	8/14/2013	11/26/2013	Purchase	624	712	(88)
LSB Industries, Inc	31	8/14/2013	11/26/2013	Purchase	931	1,051	(120)
LSB Industries, Inc	2	8/14/2013	11/27/2013	Purchase	60	68	(7)
LSB Industries, Inc	22	8/16/2013	11/27/2013	Purchase	665	724	(59)
Lufkin Inds , Inc	22	12/7/2012	4/11/2013	Purchase	1,935	1,215	720
Lufkin Inds , Inc	15	12/10/2012	4/11/2013	Purchase	1,319	852	467
Lufkin Inds , Inc	23	1/9/2013	4/11/2013	Purchase	2,023	1,369	654
Lufkin Inds , Inc	42	1/10/2013	4/11/2013	Purchase	3,694	2,472	1,222
Lufkin Inds , Inc	12	1/11/2013	4/11/2013	Purchase	1,055	695	360
Lufkin Inds , Inc	16	1/14/2013	4/11/2013	Purchase	1,407	918	489
Lufkin Inds , Inc	38	1/15/2013	4/11/2013	Purchase	3,342	2,191	1,151
Lufkin Inds , Inc	24	1/16/2013	4/11/2013	Purchase	2,111	1,381	730
Lufkin Inds , Inc	26	3/7/2013	4/11/2013	Purchase	2,287	1,674	613
Lufkin Inds , Inc	9	3/8/2013	4/11/2013	Purchase	792	599	192
Lufkin Inds , Inc	23	3/11/2013	4/11/2013	Purchase	2,023	1,547	476
MDC Holdings, Inc	48	7/16/2013	9/12/2013	Purchase	1,396	1,587	(191)
MDC Holdings, Inc	45	7/22/2013	9/12/2013	Purchase	1,309	1,521	(212)
MDC Holdings, Inc	22	7/23/2013	9/12/2013	Purchase	640	746	(106)
Monro Muffler Brake, Inc	17	9/10/2012	7/3/2013	Purchase	818	586	232
Monro Muffler Brake, Inc	31	9/11/2012	7/3/2013	Purchase	1,491	1,121	370
Monro Muffler Brake, Inc	1	9/11/2012	7/5/2013	Purchase	48	36	12
Monro Muffler Brake, Inc	16	9/12/2012	7/5/2013	Purchase	773	583	190
Monro Muffler Brake, Inc	4	9/12/2012	7/16/2013	Purchase	201	146	55
Monro Muffler Brake, Inc	14	9/13/2012	7/16/2013	Purchase	703	517	186
Monro Muffler Brake, Inc	3	9/14/2012	7/16/2013	Purchase	151	111	39
NETGEAR INC	6	6/26/2013	11/13/2013	Purchase	178	198	(20)
NETGEAR INC	47	6/26/2013	11/14/2013	Purchase	1,398	1,554	(156)
Northwest Natural Gas Co	5	7/25/2012	4/8/2013	Purchase	217	246	(29)
PIMCO COMMODITY REAL RETURN STR	79 333	12/13/2012	10/15/2013	Purchase	457	538	(81)
PIMCO COMMODITY REAL RETURN STR	195 423	12/13/2012	10/15/2013	Purchase	1,126	1,325	(199)
PIMCO COMMODITY REAL RETURN STR	79 672	12/28/2012	10/15/2013	Purchase	459	530	(71)
PIMCO COMMODITY REAL RETURN STR	0 004	12/31/2012	10/15/2013	Purchase	0	0	(0)
PIMCO COMMODITY REAL RETURN STR	0 012	12/31/2012	10/15/2013	Purchase	0	0	(0)
PIMCO COMMODITY REAL RETURN STR	130 252	3/22/2013	10/15/2013	Purchase	750	857	(107)
PIMCO COMMODITY REAL RETURN STR	188 454	6/25/2013	10/15/2013	Purchase	1,086	1,078	8
PIMCO COMMODITY REAL RETURN STR	56 709	9/23/2013	10/15/2013	Purchase	327	330	(3)
Portfolio Recovery Associate	9	6/21/2012	2/15/2013	Purchase	992	708	284
Portfolio Recovery Associate	8	6/22/2012	2/15/2013	Purchase	882	661	221
Portfolio Recovery Associate	5	6/22/2012	2/19/2013	Purchase	556	413	143
Portfolio Recovery Associate	13	6/25/2012	6/12/2013	Purchase	1,933	1,095	838
Power Integrations, Inc.	19	9/5/2012	6/3/2013	Purchase	806	650	156
Power Integrations, Inc	4	9/6/2012	6/3/2013	Purchase	170	138	32
Power Integrations, Inc.	10	9/6/2012	6/4/2013	Purchase	424	345	79
Power Integrations, Inc	26	9/7/2012	6/4/2013	Purchase	1,103	900	203
Power Integrations, Inc	4	9/7/2012	8/6/2013	Purchase	220	138	82

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		Purchased	Sold				
Power Integrations, Inc	17	9/10/2012	8/6/2013	Purchase	935	583	352
Power Integrations, Inc	10	9/10/2012	8/7/2013	Purchase	537	343	194
Power Integrations, Inc	7	9/10/2012	8/8/2013	Purchase	377	240	137
Power Integrations, Inc	7	9/11/2012	8/8/2013	Purchase	377	251	126
Power Integrations, Inc.	31	10/31/2012	10/24/2013	Purchase	1,668	939	730
Power Integrations, Inc	10	11/5/2012	10/31/2013	Purchase	521	300	221
Power Integrations, Inc	3	11/5/2012	10/31/2013	Purchase	156	89	67
Power Integrations, Inc	11	11/5/2012	11/1/2013	Purchase	570	326	244
Power Integrations, Inc	19	11/6/2012	11/1/2013	Purchase	984	571	413
Power Integrations, Inc	2	2/8/2013	11/1/2013	Purchase	104	85	19
Power Integrations, Inc	15	2/8/2013	11/4/2013	Purchase	768	635	134
Power Integrations, Inc	12	2/8/2013	11/4/2013	Purchase	617	508	110
Power Integrations, Inc	23	2/8/2013	11/5/2013	Purchase	1,313	973	340
PRECISION DRILLING STOCK	12	5/24/2013	12/23/2013	Purchase	106	104	2
PRECISION DRILLING STOCK	64	5/24/2013	12/24/2013	Purchase	565	553	12
PRECISION DRILLING STOCK	92	5/28/2013	12/24/2013	Purchase	812	790	22
Range Res Corp	250	8/14/2012	7/22/2013	Purchase	19,039	16,634	2,405
Redwood TR, Inc	8	8/15/2012	4/8/2013	Purchase	178	106	72
Redwood TR, Inc	26	8/15/2012	5/13/2013	Purchase	571	345	226
Redwood TR, Inc	5	8/15/2012	5/14/2013	Purchase	106	67	39
Redwood TR, Inc	34	8/16/2012	5/14/2013	Purchase	719	452	267
Redwood TR, Inc	20	8/16/2012	8/16/2013	Purchase	366	268	98
Redwood TR, Inc	39	8/17/2012	8/16/2013	Purchase	714	526	188
Redwood TR, Inc	21	8/20/2012	8/19/2013	Purchase	376	282	94
Redwood TR, Inc	15	8/17/2012	8/19/2013	Purchase	268	202	66
Redwood TR, Inc	31	7/2/2013	11/29/2013	Purchase	591	526	65
Redwood TR, Inc	8	7/2/2013	12/2/2013	Purchase	151	136	15
Redwood TR, Inc	24	7/3/2013	12/2/2013	Purchase	452	406	46
Redwood TR, Inc	23	7/3/2013	12/3/2013	Purchase	430	390	41
Redwood TR, Inc	19	7/25/2013	12/3/2013	Purchase	355	315	40
Redwood TR, Inc	13	7/25/2013	12/4/2013	Purchase	244	216	28
Redwood TR, Inc	2	7/25/2013	12/5/2013	Purchase	37	33	4
Redwood TR, Inc	69	7/26/2013	12/5/2013	Purchase	1,273	1,151	122
TELEFLEX INC	2	8/17/2012	8/9/2013	Purchase	157	128	29
TELEFLEX INC	8	8/17/2012	8/12/2013	Purchase	622	512	110
TELEFLEX INC	43	8/17/2012	8/13/2013	Purchase	3,331	2,752	579
TELEFLEX INC	23	8/17/2012	8/14/2013	Purchase	1,778	1,472	306
Tempur Sealy Int'l, Inc	44	3/8/2013	10/22/2013	Purchase	1,689	1,878	(189)
Tempur Sealy Int'l, Inc	19	7/2/2013	10/22/2013	Purchase	729	837	(108)
Tempur Sealy Int'l, Inc	11	7/3/2013	10/22/2013	Purchase	422	486	(63)
Tempur Sealy Int'l, Inc	98	7/31/2013	10/22/2013	Purchase	3,762	3,700	62
Titan Int'l, Inc	79	8/22/2012	6/24/2013	Purchase	1,377	1,703	(326)
Titan Int'l, Inc	58	8/23/2012	6/24/2013	Purchase	1,011	1,260	(249)
Titan Int'l, Inc	90	8/24/2012	6/24/2013	Purchase	1,569	2,011	(443)
Titan Int'l, Inc	21	8/27/2012	6/24/2013	Purchase	366	465	(98)
Titan Int'l, Inc	48	8/27/2012	6/25/2013	Purchase	807	1,062	(255)
Titan Int'l, Inc	13	8/28/2012	6/25/2013	Purchase	218	279	(61)
Titan Int'l, Inc	41	8/29/2012	6/25/2013	Purchase	689	877	(188)
Titan Int'l, Inc	19	8/30/2012	6/25/2013	Purchase	319	411	(92)
Titan Int'l, Inc	43	9/18/2012	6/25/2013	Purchase	723	861	(138)
Titan Int'l, Inc	35	9/19/2012	6/25/2013	Purchase	588	730	(142)
Titan Int'l, Inc	66	9/19/2012	6/26/2013	Purchase	1,103	1,377	(274)
Titan Int'l, Inc	39	9/20/2012	6/26/2013	Purchase	652	800	(148)
Titan Int'l, Inc	45	10/30/2012	6/26/2013	Purchase	752	931	(179)
Titan Int'l, Inc.	17	2/6/2013	6/26/2013	Purchase	284	418	(133)
Titan Int'l, Inc.	29	2/7/2013	6/26/2013	Purchase	485	716	(231)
Titan Int'l, Inc.	5	2/7/2013	6/27/2013	Purchase	81	123	(43)
Titan Int'l, Inc	70	2/8/2013	6/27/2013	Purchase	1,133	1,734	(601)
Titan Int'l, Inc	19	2/11/2013	6/27/2013	Purchase	308	468	(161)

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Page 3, Part IV-Schedule of Capital Gains

Security	Shares	Date		How Acquired	Proceeds	Basis	Gain/(Loss)
		Purchased	Sold				
Titan Int'l, Inc	44	3/1/2013	6/27/2013	Purchase	712	916	(204)
Titan Int'l, Inc	48	3/1/2013	6/28/2013	Purchase	789	1,000	(211)
Tootsie Roll Industries, Inc	0 88	9/11/2012	4/9/2013	Purchase	27	22	5
Unit Corp	26	1/28/2013	11/6/2013	Purchase	1,329	1,224	106
Unit Corp	17	1/29/2013	11/6/2013	Purchase	869	807	62
US Airways Group, Inc	161	3/20/2013	11/5/2013	Purchase	3,558	2,582	976
US Airways Group, Inc	24	3/20/2013	11/6/2013	Purchase	526	385	141
US Airways Group, Inc	21	3/21/2013	11/6/2013	Purchase	460	338	123
US Airways Group, Inc	46	3/21/2013	11/6/2013	Purchase	1,018	740	278
US Airways Group, Inc	20	3/21/2013	11/25/2013	Purchase	481	322	159
US Airways Group, Inc	52	3/22/2013	11/25/2013	Purchase	1,251	870	381
US Airways Group, Inc	242	3/22/2013	12/11/2013	Purchase	5,440	4,048	1,393
US Airways Group, Inc	135	4/19/2013	12/11/2013	Purchase	3,035	2,221	814
US Airways Group, Inc	278	4/26/2013	12/11/2013	Purchase	6,250	4,519	1,730
US Airways Group, Inc	149	4/29/2013	12/11/2013	Purchase	3,350	2,425	925
US Airways Group, Inc	78	8/16/2013	12/11/2013	Purchase	1,754	1,322	432
WABTEC CORP	27	8/17/2012	5/24/2013	Purchase	2,985	2,133	852
ZILLOW, INC	25	5/30/2012	1/8/2013	Purchase	710	1,016	(306)
ZILLOW, INC	7	5/31/2012	1/8/2013	Purchase	199	281	(82)
ZILLOW, INC	24	6/4/2012	1/8/2013	Purchase	682	939	(257)
ZILLOW, INC	37	6/5/2012	1/8/2013	Purchase	1,051	1,440	(389)
ZILLOW, INC	6	7/3/2012	1/8/2013	Purchase	170	216	(46)
ZILLOW, INC	23	7/5/2012	1/8/2013	Purchase	653	867	(213)
ZILLOW, INC	11	7/20/2012	1/8/2013	Purchase	313	455	(143)
ZILLOW, INC	30	7/20/2012	1/30/2013	Purchase	1,065	1,242	(177)
ZILLOW, INC	9	7/23/2012	1/30/2013	Purchase	319	381	(62)
ZILLOW, INC	16	8/17/2012	1/30/2013	Purchase	568	601	(33)
ZILLOW, INC	105	8/17/2012	2/20/2013	Purchase	4,543	3,945	598
ZILLOW, INC	38	10/5/2012	2/20/2013	Purchase	1,644	1,474	170
ZILLOW, INC	68	11/9/2012	2/20/2013	Purchase	2,942	1,925	1,017
ZILLOW, INC	33	11/9/2012	2/21/2013	Purchase	1,432	934	498
ZILLOW, INC	10	11/13/2012	2/21/2013	Purchase	434	275	159
Subtotal of Short-term Capital Gains from Sales of Securities					712,109	702,639	9,469
Pass through from Partnerships							
HarbourVest Partners VI-BuyOut Partnership Fund L P							(23)
HarbourVest Partners VI-Partnership Fund							(8)
Subtotal Short Term Pass-Through from Partnerships							(31)
Total Short-term Capital Gains, Net						\$	9,438

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LONG TERM

Security	Shares	Purchased	Sold	Acquired	Proceeds	Basis	Gain/(Loss)
3D Sys Corp Del	500	5/9/2011	1/10/2013	Purchase	\$ 30,590	\$ 9,732	\$ 20,859
3D Sys Corp Del	100	5/9/2011	1/30/2013	Purchase	6,913	1,946	4,966
3D Sys Corp Del	400	5/9/2011	5/20/2013	Purchase	19,430	5,190	14,240
3D Sys Corp Del	350	5/9/2011	10/1/2013	Purchase	19,203	4,541	14,662
3D Sys Corp Del	400	5/9/2011	12/10/2013	Purchase	30,386	5,190	25,195
ACME PACKET INC	45	10/26/2011	1/10/2013	Purchase	1,074	1,436	(363)
ACME PACKET INC	15	10/26/2011	1/11/2013	Purchase	348	479	(131)
ACME PACKET INC	30	11/1/2011	1/11/2013	Purchase	695	1,035	(339)
ACME PACKET INC	13	11/2/2011	1/11/2013	Purchase	301	459	(158)
ACME PACKET INC	10	11/3/2011	1/11/2013	Purchase	232	368	(136)
ACME PACKET INC	8	12/5/2011	1/11/2013	Purchase	185	267	(81)
ACME PACKET INC	19	12/5/2011	1/14/2013	Purchase	438	633	(196)
ACME PACKET INC	8	12/5/2011	2/8/2013	Purchase	234	267	(32)
ACME PACKET INC	15	12/6/2011	2/8/2013	Purchase	439	508	(69)
ACME PACKET INC	30	12/23/2011	2/8/2013	Purchase	878	950	(72)
ACME PACKET INC	25	1/24/2012	2/8/2013	Purchase	732	749	(17)
Adtran, Inc	1,300	00 12/6/2010	1/22/2013	Purchase	28,291	41,920	(13,629)
Adtran, Inc	150	10/4/2011	1/22/2013	Purchase	3,264	4,038	(774)
ADVISORY BOARD CO	5	12/31/2010	4/8/2013	Purchase	253	121	132
ADVISORY BOARD CO	16	12/31/2010	4/19/2013	Purchase	822	386	436
ADVISORY BOARD CO	16	12/31/2010	4/22/2013	Purchase	790	386	404
ADVISORY BOARD CO	9	12/31/2010	4/23/2013	Purchase	433	217	216
ADVISORY BOARD CO	21	12/31/2010	4/24/2013	Purchase	995	506	488
ADVISORY BOARD CO	16	12/31/2010	4/25/2013	Purchase	751	386	366
ADVISORY BOARD CO	41	12/31/2010	6/6/2013	Purchase	2,146	989	1,158
ADVISORY BOARD CO	34	12/31/2010	9/30/2013	Purchase	1,999	820	1,179
ADVISORY BOARD CO	17	12/31/2010	10/1/2013	Purchase	995	410	585
ADVISORY BOARD CO	23	12/31/2010	10/2/2013	Purchase	1,351	555	796
American Tower Corp	50	8/16/2002	8/27/2013	Purchase	3,428	75	3,353
American Tower Corp	650	8/16/2002	9/20/2013	Purchase	48,078	973	47,105
ANALOGIC CORP NEW	30	12/31/2010	1/30/2013	Purchase	2,349	1,507	841
ANALOGIC CORP NEW	32	12/31/2010	10/23/2013	Purchase	2,997	1,608	1,390
Ansys, Inc	250	1/15/2008	3/1/2013	Purchase	18,663	9,173	9,491
Aruba Networks, Inc	87	9/4/2012	9/19/2013	Purchase	1,513	1,728	(215)
Aruba Networks, Inc	43	9/4/2012	9/20/2013	Purchase	745	854	(109)
Aruba Networks, Inc	7	9/5/2012	9/20/2013	Purchase	121	137	(16)
Aruba Networks, Inc	57	9/5/2012	9/26/2013	Purchase	975	1,118	(143)
Aruba Networks, Inc	16	9/5/2012	9/27/2013	Purchase	270	314	(44)
Aruba Networks, Inc	49	9/19/2012	9/27/2013	Purchase	826	1,088	(262)
Aruba Networks, Inc	101	9/19/2012	9/30/2013	Purchase	1,701	2,243	(542)
Aruba Networks, Inc	44	9/20/2012	9/30/2013	Purchase	741	977	(236)
ATHENAHEALTH INC	2	12/31/2010	4/8/2013	Purchase	190	83	107
ATHENAHEALTH INC	38	12/31/2010	5/8/2013	Purchase	3,448	1,573	1,875
ATHENAHEALTH INC	12	12/31/2010	7/19/2013	Purchase	1,347	497	850
ATHENAHEALTH INC	34	12/31/2010	7/26/2013	Purchase	3,769	1,408	2,361
ATHENAHEALTH INC	8	12/20/2011	7/26/2013	Purchase	887	350	537
ATHENAHEALTH INC	17	12/20/2011	9/30/2013	Purchase	1,814	743	1,071
ATHENAHEALTH INC	17	12/20/2011	10/1/2013	Purchase	1,809	743	1,066
BANK OF THE OZARKS	7	12/31/2010	4/8/2013	Purchase	294	156	139
BANK OF THE OZARKS	43	12/31/2010	5/24/2013	Purchase	1,920	955	964
BANK OF THE OZARKS	18	12/31/2010	7/15/2013	Purchase	828	400	428
BANK OF THE OZARKS	5	12/31/2010	7/16/2013	Purchase	226	111	115
BANK OF THE OZARKS	9	12/31/2010	7/22/2013	Purchase	413	200	213
BANK OF THE OZARKS	18	12/31/2010	7/23/2013	Purchase	838	400	438
BJ S RESTAURANTS, INC	55	12/31/2010	3/8/2013	Purchase	1,636	1,990	(354)
BJ S RESTAURANTS, INC	38	12/31/2010	3/11/2013	Purchase	1,114	1,375	(261)
BJ S RESTAURANTS, INC	17	12/31/2010	3/12/2013	Purchase	496	615	(119)
BJ S RESTAURANTS, INC	17	12/31/2010	3/12/2013	Purchase	501	615	(114)
BJ S RESTAURANTS, INC	65	12/31/2010	10/8/2013	Purchase	1,883	2,352	(469)
BJ S RESTAURANTS, INC	15	8/17/2012	10/8/2013	Purchase	434	598	(163)

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BJ S RESTAURANTS, INC	51	8/17/2012	10/9/2013	Purchase	1,447	2,033	(586)
BJ S RESTAURANTS, INC	15	8/17/2012	10/10/2013	Purchase	420	598	(178)
Chicago Bndge & Iron	4	12/31/2010	2/1/2013	Purchase	207	129	77
Chicago Bndge & Iron	22	6/28/2011	2/6/2013	Purchase	1,136	768	369
Chicago Bndge & Iron	34	12/31/2010	2/7/2013	Purchase	1,758	1,099	659
Chicago Bndge & Iron	16	5/11/2011	2/7/2013	Purchase	827	617	211
Chicago Bndge & Iron	52	5/11/2011	2/8/2013	Purchase	2,708	2,004	703
Chicago Bndge & Iron	14	6/29/2011	2/8/2013	Purchase	729	491	238
Chicago Bndge & Iron	10	8/12/2011	2/8/2013	Purchase	521	316	205
Cloud Peak Energy, Inc	28	8/29/2012	9/5/2013	Purchase	438	506	(68)
Cloud Peak Energy, Inc	35	8/30/2012	9/5/2013	Purchase	548	625	(78)
Cloud Peak Energy, Inc	16	8/30/2012	9/6/2013	Purchase	251	286	(35)
Cloud Peak Energy, Inc	20	8/31/2012	9/6/2013	Purchase	313	360	(47)
Cloud Peak Energy, Inc	6	9/4/2012	9/6/2013	Purchase	94	108	(14)
Cloud Peak Energy, Inc	46	9/4/2012	9/9/2013	Purchase	709	829	(121)
Cloud Peak Energy, Inc	5	9/4/2012	9/11/2013	Purchase	79	90	(11)
Coinstar, Inc	7	11/1/2011	2/13/2013	Purchase	336	384	(48)
Coinstar, Inc	23	11/14/2011	2/13/2013	Purchase	1,104	1,129	(25)
Coinstar, Inc	25	12/8/2011	2/13/2013	Purchase	1,200	1,045	155
Coinstar, Inc	19	12/12/2011	2/13/2013	Purchase	912	827	86
COLFAX CORP	6	12/31/2010	4/8/2013	Purchase	272	111	160
COLFAX CORP	61	12/31/2010	4/26/2013	Purchase	2,645	1,133	1,512
COLFAX CORP	25	12/31/2010	6/3/2013	Purchase	1,230	464	766
COLFAX CORP	23	12/31/2010	6/4/2013	Purchase	1,136	427	709
COLFAX CORP	34	12/31/2010	6/5/2013	Purchase	1,695	631	1,064
COLFAX CORP	17	12/31/2010	6/6/2013	Purchase	838	316	522
COLFAX CORP	1	2/14/2011	6/6/2013	Purchase	49	19	31
COLFAX CORP	21	2/14/2011	7/2/2013	Purchase	1,095	393	701
COLFAX CORP	2	10/4/2011	7/2/2013	Purchase	104	41	63
COLFAX CORP	26	10/6/2011	7/2/2013	Purchase	1,355	509	846
COLFAX CORP	15	10/4/2011	7/8/2013	Purchase	787	308	479
COLFAX CORP	32	10/7/2011	7/8/2013	Purchase	1,679	603	1,075
COLFAX CORP	5	10/11/2011	7/8/2013	Purchase	262	100	162
COLFAX CORP	8	12/31/2010	7/9/2013	Purchase	417	149	268
COLFAX CORP	8	10/4/2011	7/9/2013	Purchase	417	165	252
COLFAX CORP	1	10/6/2011	7/9/2013	Purchase	52	20	32
COLFAX CORP	21	12/31/2010	7/10/2013	Purchase	1,105	390	715
COLFAX CORP	11	12/31/2010	8/2/2013	Purchase	581	204	376
COLFAX CORP	23	7/18/2012	8/2/2013	Purchase	1,214	617	597
COLFAX CORP	35	8/17/2012	8/20/2013	Purchase	1,788	1,157	631
Commvault Systems, Inc	8	9/23/2011	1/10/2013	Purchase	551	292	258
Commvault Systems, Inc	3	9/26/2011	1/10/2013	Purchase	207	113	94
Commvault Systems, Inc.	28	9/26/2011	1/11/2013	Purchase	1,890	1,052	838
Commvault Systems, Inc	16	9/26/2011	2/4/2013	Purchase	1,241	601	640
Commvault Systems, Inc	2	9/27/2011	2/4/2013	Purchase	155	72	84
Commvault Systems, Inc	20	9/27/2011	7/19/2013	Purchase	1,585	716	869
Commvault Systems, Inc	3	10/5/2011	7/19/2013	Purchase	238	114	123
Commvault Systems, Inc	7	10/5/2011	7/24/2013	Purchase	565	267	298
Commvault Systems, Inc.	5	10/5/2011	7/25/2013	Purchase	397	190	207
Commvault Systems, Inc	4	10/25/2011	7/25/2013	Purchase	318	159	159
COMSTOCK RESOURCES INC	13	1/13/2011	1/9/2013	Purchase	197	318	(121)
COMSTOCK RESOURCES INC	29	1/14/2011	1/9/2013	Purchase	439	715	(276)
COMSTOCK RESOURCES INC	28	2/1/2011	1/9/2013	Purchase	424	745	(321)
COMSTOCK RESOURCES INC	13	2/1/2011	1/10/2013	Purchase	197	346	(149)
COMSTOCK RESOURCES INC	12	2/2/2011	1/10/2013	Purchase	182	317	(135)
COMSTOCK RESOURCES INC	75	2/10/2011	1/10/2013	Purchase	1,136	2,045	(909)
COMSTOCK RESOURCES INC	99	2/11/2011	1/10/2013	Purchase	1,499	2,611	(1,112)
COMSTOCK RESOURCES INC	18	2/11/2011	1/11/2013	Purchase	273	475	(201)
COMSTOCK RESOURCES INC	14	2/11/2011	1/14/2013	Purchase	195	369	(174)
COMSTOCK RESOURCES INC	24	2/28/2011	1/14/2013	Purchase	335	637	(303)
COMSTOCK RESOURCES INC	64	9/8/2011	1/14/2013	Purchase	893	1,220	(328)
COMSTOCK RESOURCES INC	6	9/9/2011	1/14/2013	Purchase	84	111	(27)
COMSTOCK RESOURCES INC	35	10/11/2011	1/14/2013	Purchase	488	553	(64)
Concur Technologies, Inc	250	9/19/2011	10/4/2013	Purchase	27,417	10,081	17,336

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CORPORATE EXECUTIVE BOARD CO	7	12/31/2010	4/8/2013	Purchase	394	268	125
CORPORATE EXECUTIVE BOARD CO	11	12/31/2010	4/26/2013	Purchase	616	422	195
CORPORATE EXECUTIVE BOARD CO	6	12/31/2010	4/29/2013	Purchase	336	230	106
CORPORATE EXECUTIVE BOARD CO	70	12/31/2010	4/30/2013	Purchase	3,949	2,683	1,266
Costar Group, Inc	100	9/6/2011	9/25/2013	Purchase	16,725	5,075	11,650
Cott Corp Que	51	8/28/2012	9/6/2013	Purchase	408	425	(17)
Cott Corp Que	12	8/28/2012	9/9/2013	Purchase	96	100	(4)
Cott Corp Que	16	8/29/2012	9/9/2013	Purchase	127	134	(7)
Cott Corp Que	28	8/30/2012	9/9/2013	Purchase	223	239	(16)
Cott Corp Que	61	8/31/2012	9/9/2013	Purchase	486	517	(31)
Cott Corp Que	24	9/4/2012	9/9/2013	Purchase	191	202	(11)
Cott Corp Que	34	9/5/2012	9/9/2013	Purchase	271	281	(10)
Cott Corp Que	28	9/6/2012	9/9/2013	Purchase	223	230	(7)
Cott Corp Que	77	11/7/2012	12/5/2013	Purchase	648	620	28
Cott Corp Que	5	11/7/2012	12/5/2013	Purchase	42	41	1
Cott Corp Que	40	11/8/2012	12/5/2013	Purchase	336	319	18
Cott Corp Que	22	11/20/2012	12/5/2013	Purchase	185	182	3
Cott Corp Que	2	11/20/2012	12/6/2013	Purchase	17	17	0
Cott Corp Que	21	11/20/2012	12/6/2013	Purchase	176	173	3
Cott Corp Que	9	11/21/2012	12/6/2013	Purchase	75	74	1
Cott Corp Que	28	11/23/2012	12/6/2013	Purchase	234	240	(6)
Cott Corp Que	12	11/26/2012	12/6/2013	Purchase	100	104	(4)
Cott Corp Que	18	11/27/2012	12/6/2013	Purchase	151	155	(5)
Cott Corp Que	89	11/29/2012	12/6/2013	Purchase	744	766	(22)
Cott Corp Que	38	11/30/2012	12/6/2013	Purchase	318	328	(10)
Crestwood Midstream, L P		9/13/2010	6/19/2013	Purchase	20	-	20
Dealertrack Holdings, Inc	300	5/25/2010	8/26/2013	Purchase	11,986	4,834	7,152
DEXCOM, INC	11	1/4/2012	4/8/2013	Purchase	183	100	83
DEXCOM, INC	18	1/4/2012	6/25/2013	Purchase	366	164	202
DEXCOM, INC	27	1/6/2012	6/25/2013	Purchase	549	256	293
DEXCOM, INC	17	1/9/2012	6/25/2013	Purchase	346	158	188
DEXCOM, INC	4	1/10/2012	6/25/2013	Purchase	81	36	45
DEXCOM, INC	56	1/10/2012	6/26/2013	Purchase	1,153	508	645
DEXCOM, INC	6	1/11/2012	6/26/2013	Purchase	124	53	70
DEXCOM, INC	11	1/11/2012	7/19/2013	Purchase	251	97	153
DEXCOM, INC	5	1/17/2012	7/19/2013	Purchase	114	49	65
DEXCOM, INC	30	1/17/2012	7/22/2013	Purchase	673	293	380
DEXCOM, INC	5	1/18/2012	7/22/2013	Purchase	112	50	62
DRIEHAUS ACTIVE INCOME FUND FUND	36,000 00	12/27/2010	1/4/2013	Purchase	385,920	397,440	(11,520)
DRIEHAUS ACTIVE INCOME FUND FUND	211 175	3/25/2011	1/4/2013	Purchase	2,264	2,369	(106)
DRIEHAUS ACTIVE INCOME FUND FUND	301.485	6/23/2011	1/4/2013	Purchase	3,232	3,328	(96)
DRIEHAUS ACTIVE INCOME FUND FUND	522 188	9/22/2011	1/4/2013	Purchase	5,598	5,352	245
DRIEHAUS ACTIVE INCOME FUND FUND	462 07	12/21/2011	1/4/2013	Purchase	4,953	4,588	365
DRIEHAUS ACTIVE INCOME FUND FUND	13 639	12/21/2011	1/4/2013	Purchase	146	135	11
Energy Transfer Equity LP	100	3/14/2007	12/30/2013	Purchase	8,231	1,786	6,445
Energy Transfer Equity LP	75	6/2/2008	12/30/2013	Purchase	6,173	1,499	4,674
EW SCRIPPS CO CLASS A	7	12/31/2010	3/25/2013	Purchase	82	72	10
EW SCRIPPS CO CLASS A	13	12/31/2010	3/26/2013	Purchase	150	134	16
EW SCRIPPS CO CLASS A	16	12/31/2010	3/27/2013	Purchase	188	164	24
EW SCRIPPS CO CLASS A	5	12/31/2010	3/28/2013	Purchase	60	51	8
EW SCRIPPS CO CLASS A	120	12/31/2010	7/16/2013	Purchase	2,085	1,233	853
EW SCRIPPS CO CLASS A	17	12/31/2010	7/30/2013	Purchase	292	175	117
EW SCRIPPS CO CLASS A	47	12/31/2010	7/31/2013	Purchase	798	483	315
EW SCRIPPS CO CLASS A	10	12/31/2010	8/1/2013	Purchase	167	103	64
EW SCRIPPS CO CLASS A	17	12/31/2010	8/2/2013	Purchase	283	175	108
EW SCRIPPS CO CLASS A	20	12/31/2010	8/5/2013	Purchase	335	205	129
EW SCRIPPS CO CLASS A	10	12/31/2010	8/6/2013	Purchase	167	103	64
EW SCRIPPS CO CLASS A	421	12/31/2010	8/8/2013	Purchase	6,333	4,324	2,009
EW SCRIPPS CO CLASS A	71	12/31/2010	8/9/2013	Purchase	1,028	729	299
EW SCRIPPS CO CLASS A	46	12/31/2010	8/12/2013	Purchase	665	472	193
EW SCRIPPS CO CLASS A	89	12/31/2010	8/13/2013	Purchase	1,299	914	385
EW SCRIPPS CO CLASS A	76	12/31/2010	8/14/2013	Purchase	1,109	781	328
EW SCRIPPS CO CLASS A	58	12/31/2010	8/15/2013	Purchase	857	596	261
Evergreen Partners Direct U S Fund III LP	0.126114%	Various	12/31/2013	Purchase	-	6,535	(6,535)

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Financial Engines, Inc	400	11/7/2012	12/20/2013	Purchase	26,908	9,614	17,294
FRANKLIN ELECTRIC INC	8	1/3/2011	4/8/2013	Purchase	254	159	95
GLACIER BANCORP INC	34	12/31/2010	4/9/2013	Purchase	616	535	81
GLACIER BANCORP INC	87	12/31/2010	4/10/2013	Purchase	1,554	1,370	184
GLACIER BANCORP INC	31	12/31/2010	4/11/2013	Purchase	556	488	68
GLACIER BANCORP INC	57	12/31/2010	7/2/2013	Purchase	1,279	898	382
GLACIER BANCORP INC	13	12/31/2010	7/3/2013	Purchase	292	205	87
GLACIER BANCORP INC	18	10/26/2011	7/3/2013	Purchase	404	207	197
GLACIER BANCORP INC	14	10/27/2011	7/3/2013	Purchase	314	164	149
GLACIER BANCORP INC	19	10/27/2011	7/15/2013	Purchase	439	223	216
GLACIER BANCORP INC	30	10/28/2011	7/15/2013	Purchase	693	344	349
GLACIER BANCORP INC	9	10/28/2011	7/16/2013	Purchase	204	103	101
GLACIER BANCORP INC	2	10/31/2011	7/16/2013	Purchase	45	24	22
GRAND CANYON EDUCATION INC	10	12/31/2010	1/28/2013	Purchase	232	188	44
GRAND CANYON EDUCATION INC	76	12/31/2010	1/29/2013	Purchase	1,720	1,432	289
GRAND CANYON EDUCATION INC	42	12/31/2010	5/22/2013	Purchase	1,355	791	564
GRAND CANYON EDUCATION INC	26	12/31/2010	5/23/2013	Purchase	842	490	353
GRAND CANYON EDUCATION INC	29	12/31/2010	7/18/2013	Purchase	1,049	546	503
GRAND CANYON EDUCATION INC	32	12/31/2010	7/19/2013	Purchase	1,137	603	534
GRAND CANYON EDUCATION INC	28	12/31/2010	7/22/2013	Purchase	966	527	438
GRAND CANYON EDUCATION INC	46	12/31/2010	8/12/2013	Purchase	1,639	866	773
GRAND CANYON EDUCATION INC	31	12/31/2010	8/13/2013	Purchase	1,092	584	508
GRAND CANYON EDUCATION INC	20	12/31/2010	8/14/2013	Purchase	692	377	315
GRAND CANYON EDUCATION INC	36	12/31/2010	8/15/2013	Purchase	1,255	678	577
GRAND CANYON EDUCATION INC	20	12/31/2010	8/16/2013	Purchase	696	377	319
Greenhill & Co ,Inc	11	7/3/2012	7/25/2013	Purchase	543	374	169
Greenhill & Co ,Inc	12	7/3/2012	7/26/2013	Purchase	590	408	181
Greenhill & Co ,Inc	14	7/5/2012	7/26/2013	Purchase	688	499	189
Greenhill & Co ,Inc	4	7/6/2012	7/26/2013	Purchase	197	142	55
Greenhill & Co ,Inc	13	7/18/2012	7/26/2013	Purchase	639	468	171
Greenhill & Co ,Inc	15	7/19/2012	7/26/2013	Purchase	737	562	175
Greenhill & Co ,Inc	14	7/19/2012	7/26/2013	Purchase	686	524	162
HARBOR INTERNATIONAL FUND CLASS	772 917	12/28/2010	6/6/2013	Purchase	50,000	46,429	3,571
HARDING LOEVNEREMERG MKTS	2,110 60	12/27/2010	6/6/2013	Purchase	100,000	107,007	(7,007)
HARMAN INTERNATIONAL INDUSTRIES I	7	12/31/2010	4/8/2013	Purchase	296	326	(30)
HARMAN INTERNATIONAL INDUSTRIES I	115	12/31/2010	5/7/2013	Purchase	5,451	5,356	96
HARMAN INTERNATIONAL INDUSTRIES I	32	12/31/2010	8/16/2013	Purchase	2,269	1,490	778
HARMAN INTERNATIONAL INDUSTRIES I	26	12/31/2010	8/28/2013	Purchase	1,777	1,211	566
HARMAN INTERNATIONAL INDUSTRIES I	37	12/31/2010	9/3/2013	Purchase	2,412	1,723	688
HARMAN INTERNATIONAL INDUSTRIES I	10	12/31/2010	10/11/2013	Purchase	654	466	188
HARMAN INTERNATIONAL INDUSTRIES I	24	10/18/2011	10/11/2013	Purchase	1,568	818	750
HARMAN INTERNATIONAL INDUSTRIES I	4	10/19/2011	10/11/2013	Purchase	261	143	118
HARMAN INTERNATIONAL INDUSTRIES I	6	6/20/2012	10/11/2013	Purchase	393	222	171
HARMAN INTERNATIONAL INDUSTRIES I	32	6/20/2012	12/31/2013	Purchase	2,713	1,185	1,528
HARMAN INTERNATIONAL INDUSTRIES I	23	8/17/2012	12/31/2013	Purchase	1,950	1,035	915
HARMAN INTERNATIONAL INDUSTRIES I	24	8/17/2012	12/27/2013	Purchase	2,005	1,080	925
HARMAN INTERNATIONAL INDUSTRIES I	80	8/17/2012	12/30/2013	Purchase	6,538	3,600	2,938
HEALTH MANAGEMENT ASSOCIATES INC	213	12/31/2010	1/28/2013	Purchase	2,106	2,025	81
HEALTH MANAGEMENT ASSOCIATES INC	141	12/31/2010	4/15/2013	Purchase	1,512	1,340	172
HEALTH MANAGEMENT ASSOCIATES INC	32	12/31/2010	4/16/2013	Purchase	342	304	38
HEALTH MANAGEMENT ASSOCIATES INC	155	8/2/2011	4/16/2013	Purchase	1,655	1,518	138
HEALTH MANAGEMENT ASSOCIATES INC	137	11/16/2011	4/16/2013	Purchase	1,463	1,224	240
HEALTH MANAGEMENT ASSOCIATES INC	72	11/23/2011	4/16/2013	Purchase	769	611	158
HEALTH MANAGEMENT ASSOCIATES INC	22	11/23/2011	5/8/2013	Purchase	237	187	50
HEALTH MANAGEMENT ASSOCIATES INC	61	11/25/2011	5/8/2013	Purchase	656	497	159
HEALTH MANAGEMENT ASSOCIATES INC	275	1/13/2012	5/8/2013	Purchase	2,957	1,402	1,555
HEALTH MANAGEMENT ASSOCIATES INC	159	1/13/2012	6/25/2013	Purchase	2,410	810	1,600
HMS HLDGS CORP	69	5/31/2012	6/13/2013	Purchase	1,564	1,827	(263)
HMS HLDGS CORP	28	5/31/2012	6/14/2013	Purchase	639	742	(102)
HMS HLDGS CORP	10	6/1/2012	6/14/2013	Purchase	228	270	(42)
HMS HLDGS CORP	35	6/1/2012	12/17/2013	Purchase	734	945	(211)
HMS HLDGS CORP	9	6/4/2012	12/17/2013	Purchase	189	241	(53)
HMS HLDGS CORP	23	6/4/2012	12/17/2013	Purchase	482	617	(135)
HMS HLDGS CORP	27	6/5/2012	12/17/2013	Purchase	566	716	(151)

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HMS HLDGS CORP	33	6/13/2012	12/17/2013	Purchase	691	924	(232)
HMS HLDGS CORP	10	6/14/2012	12/17/2013	Purchase	210	279	(69)
IBERIBANK CORP	26	5/2/2011	3/7/2013	Purchase	1,289	1,546	(257)
IBERIBANK CORP	1	5/3/2011	3/7/2013	Purchase	50	60	(10)
IBERIBANK CORP	28	5/3/2011	3/8/2013	Purchase	1,398	1,674	(276)
IBERIBANK CORP	9	5/3/2011	3/11/2013	Purchase	453	538	(85)
IBERIBANK CORP	1	5/4/2011	3/11/2013	Purchase	50	60	(10)
IBERIBANK CORP	18	5/4/2011	3/12/2013	Purchase	910	1,079	(170)
IBERIBANK CORP	13	5/5/2011	3/12/2013	Purchase	658	775	(118)
IBERIBANK CORP	6	5/5/2011	3/13/2013	Purchase	303	358	(55)
IBERIBANK CORP	9	5/6/2011	3/13/2013	Purchase	454	540	(85)
IBERIBANK CORP	9	5/9/2011	3/13/2013	Purchase	454	544	(89)
IBERIBANK CORP	13	5/9/2011	3/14/2013	Purchase	655	785	(130)
IBERIBANK CORP	2	5/10/2011	3/14/2013	Purchase	101	120	(20)
IBERIBANK CORP	9	5/10/2011	3/15/2013	Purchase	450	542	(92)
IBERIBANK CORP	7	5/10/2011	3/18/2013	Purchase	349	421	(72)
IBERIBANK CORP	14	5/11/2011	3/18/2013	Purchase	699	837	(138)
IBERIBANK CORP	4	5/13/2011	3/18/2013	Purchase	200	239	(39)
IBERIBANK CORP	3	5/13/2011	3/19/2013	Purchase	150	179	(30)
IBERIBANK CORP	15	5/25/2011	3/19/2013	Purchase	748	881	(133)
IBERIBANK CORP	2	5/25/2011	3/20/2013	Purchase	99	117	(18)
IBERIBANK CORP	9	6/3/2011	3/20/2013	Purchase	447	526	(79)
IBERIBANK CORP	7	6/6/2011	3/20/2013	Purchase	347	407	(60)
IBERIBANK CORP	9	11/23/2011	3/20/2013	Purchase	447	453	(7)
IBERIBANK CORP	6	11/25/2011	3/20/2013	Purchase	298	299	(1)
IBERIBANK CORP	18	3/13/2012	3/20/2013	Purchase	893	941	(48)
IBERIBANK CORP	5	3/14/2012	3/20/2013	Purchase	248	268	(19)
IBERIBANK CORP	4	3/14/2012	3/21/2013	Purchase	200	214	(14)
Idexx Labs, Inc	200	6/14/2005	3/8/2013	Purchase	18,606	5,643	12,963
Idexx Labs, Inc	100	6/14/2005	4/29/2013	Purchase	8,653	2,822	5,832
Idexx Labs, Inc	150	6/14/2005	4/29/2013	Purchase	12,980	4,249	8,731
Idexx Labs, Inc	100	6/14/2005	4/29/2013	Purchase	8,458	2,822	5,636
Idexx Labs, Inc	200	6/14/2005	4/29/2013	Purchase	16,915	5,665	11,250
II-VI, Inc	950	2/24/2009	2/11/2013	Purchase	16,105	8,579	7,526
II-VI, Inc.	700	2/24/2009	3/28/2013	Purchase	11,535	6,322	5,213
Ishares Iboxx \$ Investop Investment Grade	1,237.00	6/1/2009	1/8/2013	Purchase	149,404	119,173	30,231
Ishares Iboxx \$ Investop Investment Grade	1,101.00	6/1/2009	3/28/2013	Purchase	131,313	106,071	25,243
Ishares Iboxx \$ Investop Investment Grade	1,899.00	1/19/2010	3/28/2013	Purchase	226,489	199,623	26,866
Ishares Iboxx \$ Investop Investment Grade	2,184.00	1/19/2010	8/2/2013	Purchase	250,260	229,582	20,678
Ishares Iboxx \$ Investop Investment Grade	1,357.00	1/19/2010	11/1/2013	Purchase	156,588	142,648	13,940
IXIA	89	12/31/2010	1/10/2013	Purchase	1,580	1,514	66
IXIA	45	12/31/2010	1/11/2013	Purchase	788	765	23
IXIA	72	12/31/2010	2/20/2013	Purchase	1,517	1,225	292
IXIA	14	12/31/2010	2/20/2013	Purchase	296	238	58
IXIA	27	12/31/2010	2/21/2013	Purchase	571	459	111
IXIA	62	12/31/2010	3/22/2013	Purchase	1,304	1,055	249
IXIA	40	12/31/2010	3/25/2013	Purchase	832	680	152
IXIA	90	12/31/2010	4/18/2013	Purchase	1,581	1,531	50
IXIA	105	12/31/2010	4/19/2013	Purchase	1,835	1,786	49
IXIA	45	12/31/2010	9/19/2013	Purchase	684	765	(82)
IXIA	84	12/31/2010	9/20/2013	Purchase	1,275	1,429	(153)
IXIA	3	12/31/2010	9/23/2013	Purchase	46	51	(5)
IXIA	34	4/28/2011	9/23/2013	Purchase	520	549	(29)
IXIA	11	12/5/2011	9/23/2013	Purchase	168	120	48
IXIA	16	12/6/2011	9/23/2013	Purchase	245	178	67
IXIA	22	12/6/2011	10/31/2013	Purchase	321	245	77
IXIA	15	12/7/2011	10/31/2013	Purchase	219	173	46
IXIA	26	8/17/2012	10/31/2013	Purchase	380	391	(11)
IXIA	98	8/17/2012	11/1/2013	Purchase	1,430	1,473	(43)
IXIA	36	8/17/2012	11/4/2013	Purchase	527	541	(14)
IXIA	122	8/17/2012	11/7/2013	Purchase	1,640	1,834	(195)
IXIA	69	8/17/2012	11/8/2013	Purchase	928	1,037	(110)
Jacobs Engineering Group, Inc	350	1/16/2007	7/16/2013	Purchase	19,929	13,473	6,456
LASALLE HOTEL PPTYS REIT	8	12/31/2010	4/8/2013	Purchase	199	215	(15)

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MDC Holdings, Inc	8	3/22/2012	4/8/2013	Purchase	275	213	63	
MDC Holdings, Inc	37	3/22/2012	6/12/2013	Purchase	1,311	984	327	
MDC Holdings, Inc	8	3/23/2012	6/12/2013	Purchase	284	210	74	
MDC Holdings, Inc	25	3/23/2012	6/13/2013	Purchase	866	655	211	
MDC Holdings, Inc	47	3/23/2012	9/3/2013	Purchase	1,322	1,232	90	
MDC Holdings, Inc	38	3/23/2012	9/4/2013	Purchase	1,082	996	86	
MDC Holdings, Inc	54	3/26/2012	9/4/2013	Purchase	1,538	1,431	106	
MDC Holdings, Inc	23	3/26/2012	9/9/2013	Purchase	635	610	26	
MDC Holdings, Inc.	22	3/27/2012	9/9/2013	Purchase	608	565	43	
MDC Holdings, Inc	32	3/27/2012	9/10/2013	Purchase	870	822	48	
MDC Holdings, Inc	40	3/30/2012	9/10/2013	Purchase	1,088	1,068	20	
MDC Holdings, Inc	12	5/1/2012	9/10/2013	Purchase	326	331	(5)	
MDC Holdings, Inc	34	5/1/2012	9/11/2013	Purchase	939	939	0	
MDC Holdings, Inc	135	8/17/2012	9/11/2013	Purchase	3,730	4,433	(704)	
MDC Holdings, Inc	27	8/17/2012	9/12/2013	Purchase	785	887	(102)	
Microsoft Corp	800	3/30/2001	8/6/2013	Purchase	25,272	23,259	2,012	
MORNINGSTAR INC	5	12/31/2010	4/8/2013	Purchase	344	265	79	
MORNINGSTAR INC	4	12/31/2010	10/17/2013	Purchase	296	212	85	
MORNINGSTAR INC	13	12/31/2010	10/18/2013	Purchase	962	688	274	
MORNINGSTAR INC	8	12/31/2010	10/21/2013	Purchase	592	423	168	
MORNINGSTAR INC	14	12/31/2010	10/22/2013	Purchase	1,034	741	294	
Mosaic Co.	700	5/25/2011	12/31/2013	Purchase	32,676	46,299	(13,624)	
National AM Univ Holdings	3,000	00	6/1/2010	11/12/2013	Purchase	10,845	22,500	(11,655)
NETGEAR INC	5	12/31/2010	4/8/2013	Purchase	161	171	(10)	
NETGEAR INC	142	12/31/2010	4/19/2013	Purchase	4,056	4,855	(799)	
NETGEAR INC	56	12/31/2010	10/31/2013	Purchase	1,594	1,915	(320)	
NETGEAR INC	51	12/31/2010	11/1/2013	Purchase	1,463	1,744	(281)	
NETGEAR INC	24	4/30/2012	11/1/2013	Purchase	688	819	(131)	
NETGEAR INC	10	7/20/2012	11/1/2013	Purchase	287	326	(40)	
NETGEAR INC	6	7/23/2012	11/1/2013	Purchase	172	204	(32)	
NETGEAR INC	15	7/23/2012	11/8/2013	Purchase	440	510	(70)	
NETGEAR INC	25	8/17/2012	11/8/2013	Purchase	733	918	(185)	
NETGEAR INC	82	8/17/2012	11/12/2013	Purchase	2,418	3,011	(593)	
NETGEAR INC	51	8/17/2012	11/13/2013	Purchase	1,514	1,873	(359)	
Northwest Natural Gas Co	29	7/25/2012	12/6/2013	Purchase	1,203	1,428	(225)	
Northwest Natural Gas Co	25	7/25/2012	12/9/2013	Purchase	1,031	1,231	(200)	
Northwest Natural Gas Co	3	7/30/2012	12/9/2013	Purchase	124	145	(21)	
Northwest Natural Gas Co	8	7/30/2012	12/10/2013	Purchase	329	386	(57)	
Northwest Natural Gas Co	5	7/31/2012	12/10/2013	Purchase	205	244	(39)	
Northwest Natural Gas Co	23	7/31/2012	12/11/2013	Purchase	955	1,123	(168)	
Northwest Natural Gas Co	5	8/1/2012	12/11/2013	Purchase	208	245	(37)	
Northwest Natural Gas Co	7	8/1/2012	12/20/2013	Purchase	297	343	(46)	
Northwest Natural Gas Co	6	8/2/2012	12/20/2013	Purchase	255	297	(42)	
Northwest Natural Gas Co	8	8/8/2012	12/20/2013	Purchase	340	391	(51)	
Northwest Natural Gas Co	2	8/9/2012	12/20/2013	Purchase	85	98	(13)	
Northwest Natural Gas Co	12	8/9/2012	12/23/2013	Purchase	511	588	(77)	
Northwest Natural Gas Co	22	8/10/2012	12/23/2013	Purchase	937	1,072	(136)	
Northwest Natural Gas Co	4	8/10/2012	12/24/2013	Purchase	170	195	(25)	
Northwest Natural Gas Co.	15	8/13/2012	12/24/2013	Purchase	638	730	(92)	
Northwest Natural Gas Co.	36	8/17/2012	12/26/2013	Purchase	1,561	1,776	(214)	
Northwest Natural Gas Co	8	8/17/2012	12/30/2013	Purchase	346	395	(48)	
Northwest Natural Gas Co.	8	8/17/2012	12/31/2013	Purchase	344	395	(50)	
Northwest Natural Gas Co	7	8/14/2012	12/27/2013	Purchase	301	345	(44)	
Northwest Natural Gas Co	9	8/14/2012	12/30/2013	Purchase	387	444	(57)	
Northwest Natural Gas Co	28	Various	12/30/2013	Purchase	1,199	1,373	(174)	
Nustar GP Holdings, LLC	200	2/22/2007	5/3/2013	Purchase	6,154	4,569	1,585	
PIMCO COMMODITY REAL RETURN STR.	12,021	41	5/4/2011	10/15/2013	Purchase	69,243	120,455	(51,211)
PIMCO COMMODITY REAL RETURN STR.	2,660	13	6/17/2011	10/15/2013	Purchase	15,322	23,595	(8,273)
PIMCO COMMODITY REAL RETURN STR.	2,644	69	9/16/2011	10/15/2013	Purchase	15,233	22,348	(7,114)
PIMCO COMMODITY REAL RETURN STR.	1,059	81	12/8/2011	10/15/2013	Purchase	6,104	8,044	(1,939)
PIMCO COMMODITY REAL RETURN STR.	252	169	12/8/2011	10/15/2013	Purchase	1,452	1,914	(461)
PIMCO COMMODITY REAL RETURN STR.	7,262	30	12/29/2011	10/15/2013	Purchase	41,831	47,423	(5,592)
PIMCO COMMODITY REAL RETURN STR.	560	156	3/23/2012	10/15/2013	Purchase	3,227	3,764	(538)
PIMCO COMMODITY REAL RETURN STR.	180	946	6/22/2012	10/15/2013	Purchase	1,042	1,097	(54)

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PIMCO COMMODITY REAL RETURN STR	212,245	9/21/2012	10/15/2013	Purchase	1,223	1,490	(267)
PNC LIMITED MATURITY BOND FUND CL	14,705.88	1/5/2011	1/4/2013	Purchase	150,000	150,147	(147)
PNC LIMITED MATURITY BOND FUND CL	14,705.88	1/5/2011	2/5/2013	Purchase	150,000	150,147	(147)
PNC LIMITED MATURITY BOND FUND CL	4,911.59	1/5/2011	5/30/2013	Purchase	50,000	50,147	(147)
PNC LIMITED MATURITY BOND FUND CL	49,164.21	1/5/2011	7/31/2013	Purchase	500,000	501,967	(1,967)
Portfolio Recovery Associate	39	6/26/2012	8/16/2013	Purchase	2,183	1,091	1,092
Portfolio Recovery Associate	3	6/27/2012	8/16/2013	Purchase	168	83	85
Power Integrations, Inc	7	9/11/2012	9/19/2013	Purchase	387	251	136
Power Integrations, Inc	3	9/12/2012	9/19/2013	Purchase	166	109	57
Power Integrations, Inc	10	9/12/2012	9/20/2013	Purchase	551	362	189
Power Integrations, Inc	11	9/19/2012	9/20/2013	Purchase	607	387	220
Power Integrations, Inc	6	9/19/2012	9/23/2013	Purchase	330	211	119
Power Integrations, Inc.	13	9/19/2012	10/22/2013	Purchase	699	457	242
Power Integrations, Inc	10	9/20/2012	10/22/2013	Purchase	538	351	187
Power Integrations, Inc	13	9/20/2012	10/23/2013	Purchase	697	456	241
Power Integrations, Inc.	10	9/21/2012	10/23/2013	Purchase	536	349	188
Power Integrations, Inc	6	9/21/2012	10/24/2013	Purchase	323	209	114
Power Integrations, Inc	4	10/31/2012	10/31/2013	Purchase	208	121	87
PRECISION DRILLING STOCK	108	12/31/2010	11/6/2013	Purchase	1,125	1,053	72
PRECISION DRILLING STOCK	33	12/31/2010	11/7/2013	Purchase	345	322	24
PRECISION DRILLING STOCK	14	10/4/2011	11/7/2013	Purchase	147	128	19
PRECISION DRILLING STOCK	35	10/4/2011	11/8/2013	Purchase	359	320	39
PRECISION DRILLING STOCK	71	10/4/2011	12/18/2013	Purchase	634	649	(15)
PRECISION DRILLING STOCK	160	10/13/2011	12/18/2013	Purchase	1,428	1,522	(94)
PRECISION DRILLING STOCK	113	8/17/2012	12/18/2013	Purchase	1,009	986	22
PRECISION DRILLING STOCK	65	8/17/2012	12/19/2013	Purchase	588	567	21
PRECISION DRILLING STOCK	30	8/28/2012	12/19/2013	Purchase	271	253	18
PRECISION DRILLING STOCK	70	8/29/2012	12/19/2013	Purchase	633	582	52
PRECISION DRILLING STOCK	41	8/29/2012	12/20/2013	Purchase	364	341	24
PRECISION DRILLING STOCK	42	10/4/2012	12/20/2013	Purchase	373	329	44
PRECISION DRILLING STOCK	77	10/4/2012	12/23/2013	Purchase	679	604	75
PRECISION DRILLING STOCK	31	10/5/2012	12/23/2013	Purchase	273	243	30
PRECISION DRILLING STOCK	100	10/9/2012	12/23/2013	Purchase	882	783	100
Range Res Corp	150	10/22/2010	7/22/2013	Purchase	11,423	5,477	5,946
Red Robin Gourmet Burgers	1	8/10/2011	4/8/2013	Purchase	45	33	13
Red Robin Gourmet Burgers	3	8/11/2011	4/8/2013	Purchase	136	96	40
Red Robin Gourmet Burgers	6	8/11/2011	7/26/2013	Purchase	351	192	159
Red Robin Gourmet Burgers	9	8/17/2011	7/26/2013	Purchase	526	315	212
Red Robin Gourmet Burgers	11	8/17/2011	7/29/2013	Purchase	636	385	251
Red Robin Gourmet Burgers	14	8/17/2011	7/30/2013	Purchase	788	489	299
Red Robin Gourmet Burgers	9	8/17/2011	7/31/2013	Purchase	504	315	190
Red Robin Gourmet Burgers	8	8/18/2011	7/31/2013	Purchase	448	279	169
Red Robin Gourmet Burgers	5	8/18/2011	8/1/2013	Purchase	278	175	104
Redwood TR, Inc	73	8/20/2012	11/4/2013	Purchase	1,288	981	307
Redwood TR, Inc	45	8/20/2012	11/4/2013	Purchase	793	605	189
Redwood TR, Inc	129	Various	11/5/2013	Purchase	2,256	1,754	502
Redwood TR, Inc	98	Various	11/6/2013	Purchase	1,740	1,357	383
Redwood TR, Inc	23	Various	11/7/2013	Purchase	410	320	90
Redwood TR, Inc	61	Various	11/7/2013	Purchase	1,088	849	239
Redwood TR, Inc	42	Various	11/8/2013	Purchase	751	584	167
Redwood TR, Inc	12	8/29/2012	11/8/2013	Purchase	214	167	47
Redwood TR, Inc	23	8/29/2012	11/12/2013	Purchase	409	320	89
Redwood TR, Inc	43	8/29/2012	11/14/2013	Purchase	773	599	174
Redwood TR, Inc	124	Various	11/14/2013	Purchase	2,227	1,738	489
Redwood TR, Inc	151	Various	11/15/2013	Purchase	2,714	2,174	540
Redwood TR, Inc	84	Various	11/26/2013	Purchase	1,635	1,288	347
Redwood TR, Inc	45	11/20/2012	11/27/2013	Purchase	864	679	185
Redwood TR, Inc	7	11/20/2012	11/29/2013	Purchase	133	105	28
Redwood TR, Inc	30	11/21/2012	11/29/2013	Purchase	572	455	117
Resmed, Inc	350	11/23/2007	5/9/2013	Purchase	16,617	7,830	8,787
Resmed, Inc	300	12/19/2011	5/9/2013	Purchase	14,243	7,039	7,204
Resmed, Inc	200	11/23/2007	9/3/2013	Purchase	9,650	4,474	5,176
Resmed, Inc	330	11/23/2007	9/19/2013	Purchase	17,561	7,383	10,179
Resmed, Inc.	570	11/23/2007	9/27/2013	Purchase	30,054	12,752	17,303

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Spectra Energy Partners, LP	250	6/2/2008	6/17/2013	Purchase	9,741	4,708	5,033	
STIFEL FINL CORP	57	12/31/2010	1/23/2013	Purchase	1,994	2,385	(391)	
STIFEL FINL CORP	11	12/31/2010	1/24/2013	Purchase	382	460	(78)	
STIFEL FINL CORP	62	12/31/2010	4/19/2013	Purchase	2,002	2,594	(592)	
STIFEL FINL CORP	15	1/14/2011	4/19/2013	Purchase	484	638	(153)	
STIFEL FINL CORP	7	5/6/2011	4/19/2013	Purchase	226	312	(86)	
T Rowe Price	250	10/29/2008	8/27/2013	Purchase	18,107	7,745	10,362	
TELEFLEX INC	5	12/31/2010	4/8/2013	Purchase	423	274	149	
TELEFLEX INC	25	12/31/2010	5/3/2013	Purchase	1,975	1,370	605	
TELEFLEX INC	20	12/31/2010	5/24/2013	Purchase	1,585	1,096	489	
TELEFLEX INC	10	12/31/2010	7/19/2013	Purchase	774	548	225	
TELEFLEX INC	21	12/31/2010	7/22/2013	Purchase	1,634	1,151	482	
TELEFLEX INC	35	12/31/2010	8/6/2013	Purchase	2,779	1,919	861	
TELEFLEX INC	18	12/31/2010	8/7/2013	Purchase	1,421	987	435	
TELEFLEX INC	18	12/31/2010	8/8/2013	Purchase	1,421	987	434	
TELEFLEX INC	17	12/31/2010	8/9/2013	Purchase	1,331	932	399	
TELEFLEX INC	10	9/19/2011	8/9/2013	Purchase	783	552	231	
Tempur Sealy Int'l, Inc	60	6/13/2012	9/11/2013	Purchase	2,522	1,517	1,005	
Tempur Sealy Int'l, Inc	49	6/13/2012	10/16/2013	Purchase	2,007	1,239	768	
Tempur Sealy Int'l, Inc	21	7/30/2012	10/16/2013	Purchase	860	630	230	
Tempur Sealy Int'l, Inc	107	7/30/2012	10/22/2013	Purchase	4,107	3,210	898	
Tempur Sealy Int'l, Inc	102	8/17/2012	10/22/2013	Purchase	3,916	3,235	681	
Tempur Sealy Int'l, Inc	24	10/2/2012	10/22/2013	Purchase	921	746	175	
TEXAS ROADHOUSE INC	123	12/31/2010	1/15/2013	Purchase	2,165	2,132	33	
TEXAS ROADHOUSE INC	99	12/31/2010	1/29/2013	Purchase	1,742	1,716	26	
TEXAS ROADHOUSE INC	37	12/31/2010	1/30/2013	Purchase	649	641	8	
TEXAS ROADHOUSE INC	46	12/31/2010	7/22/2013	Purchase	1,127	797	329	
TEXAS ROADHOUSE INC	64	12/31/2010	7/23/2013	Purchase	1,564	1,109	455	
TEXAS ROADHOUSE INC	67	12/31/2010	7/26/2013	Purchase	1,631	1,161	470	
TREEHOUSE FOODS INC WHEN ISS	33	12/31/2010	7/30/2013	Purchase	2,315	1,726	589	
VANGUARD VALUE ETF	1,584	00	12/29/2010	2/7/2013	Purchase	99,394	84,976	14,418
VANGUARD VALUE ETF	3,634	00	12/29/2010	6/10/2013	Purchase	247,944	194,951	52,993
WABTEC CORP	2	12/31/2010	4/8/2013	Purchase	194	105	89	
WABTEC CORP	29	12/31/2010	5/23/2013	Purchase	3,228	1,522	1,706	
WABTEC CORP	36	12/31/2010	5/24/2013	Purchase	3,981	1,890	2,091	
WADDLE & REED FINL, INC	49	1/11/2012	1/29/2013	Purchase	1,868	1,281	587	
WADDLE & REED FINL, INC	67	1/12/2012	3/1/2013	Purchase	2,686	1,756	931	
WADDLE & REED FINL, INC	6	1/12/2012	4/26/2013	Purchase	244	157	86	
WADDLE & REED FINL, INC	68	1/23/2012	4/26/2013	Purchase	2,760	1,832	928	
WADDLE & REED FINL, INC	10	1/23/2012	4/29/2013	Purchase	411	269	141	
WADDLE & REED FINL, INC	22	1/24/2012	4/29/2013	Purchase	903	611	292	
WADDLE & REED FINL, INC	4	1/31/2012	4/29/2013	Purchase	164	117	47	
WADDLE & REED FINL, INC	19	1/31/2012	8/13/2013	Purchase	977	558	420	
WADDLE & REED FINL, INC	6	2/1/2012	8/13/2013	Purchase	309	178	130	
WADDLE & REED FINL, INC	13	2/1/2012	8/14/2013	Purchase	669	386	283	
WADDLE & REED FINL, INC	5	2/6/2012	8/14/2013	Purchase	257	140	117	
WADDLE & REED FINL, INC	40	2/6/2012	8/15/2013	Purchase	2,040	1,124	916	
WADDLE & REED FINL, INC	23	3/23/2012	8/15/2013	Purchase	1,173	750	423	
WADDLE & REED FINL, INC.	13	3/23/2012	8/16/2013	Purchase	662	424	239	
WADDLE & REED FINL, INC	20	3/26/2012	8/16/2013	Purchase	1,019	652	367	
WADDLE & REED FINL, INC	9	3/26/2012	8/29/2013	Purchase	449	294	156	
WADDLE & REED FINL, INC	13	8/17/2012	8/29/2013	Purchase	649	382	267	
WADDLE & REED FINL, INC	74	8/17/2012	8/30/2013	Purchase	3,553	2,176	1,377	
WADDLE & REED FINL, INC	56	8/17/2012	9/3/2013	Purchase	2,688	1,647	1,041	
WADDLE & REED FINL, INC	48	8/17/2012	9/4/2013	Purchase	2,319	1,411	908	
Subtotal of Long-term Capital Gains from Sales of Securities					\$ 3,831,928	\$ 3,363,294	468,635	

Capital Gain Distributions

28,002

Pass through from Partnerships

Boardwalk Pipeline Partners	107
CMS/GEN NX 360 Capital Fund L P	47,339
Energy Transfer Equity LP	283
HarbourVest Partners VI-BuyOut Partnership Fund L P	3,647
HarbourVest Partners VI-Partnership Fund	1,743

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Hudson Venture Partners II LP	(2,689)
Nustar GP Holdings, LLC	7
Teekay Lng Partners	(7)
Tnmaran Fund II, LLC	(2,204)
Western Gas Partners	24
Subtotal Long Term Pass-Through from Partnerships	<u>48,250</u>
Total Long-term Capital Gains, Net	<u><u>\$ 544,886</u></u>

Form 990-PF Interest on Savings and Temporary Cash Investments Statement 3

Source	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income
SEE ATTACHED SCHEDULE	4,124.	4,124.	
Total to Part I, line 3	4,124.	4,124.	

Form 990-PF Dividends and Interest from Securities Statement 4

Source	Gross Amount	Capital Gains Dividends	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income
HAWTHORN/PNC IMA	28,002.	28,002.	0.	0.	
HAWTHORN/PNC IMA - NONDIVIDEND DISTRIBUTION	12,187.	0.	12,187.	0.	
SEE ATTACHED SCHEDULE	191,655.	0.	191,655.	191,655.	
To Part I, line 4	231,844.	28,002.	203,842.	191,655.	

Form 990-PF Rental Income Statement 5

Kind and Location of Property	Activity Number	Gross Rental Income
FROM PASS-THROUGH ENTITY PENN VIRGINIA RESOURCE PTRS, L.P.	7	24.
FROM PASS-THROUGH ENTITY HARBOURVEST VI BUYOUT	8	-1.
FROM PASS-THROUGH ENTITY HARBOURVEST VI	9	-1.
Total to Form 990-PF, Part I, line 5a		22.

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Part I, Line 3-Interest on Savings & Temporary Cash Investments

Alliance Holdings GP, L P	\$	2
CMS/GENX360 Capital Fund, L P.		2,595
Energy Transfer Equity LP		258
Enterprise Products Partners LP		1
HarbourVest Partners VI-BuyOut Partnership Fund L.P.		18
HarbourVest Partners VI-Partnership Fund		144
Hudson Venture Partners		121
NGL Energy Partners LP		2
Nustar GP Holdings, LLC		107
PNC Checking Account		6
PNC-Dent Account		20
Regency Energy Partners		14
Spectra Energy Partners		27
State of Israel Bonds		260
Suburban Propane Partners		7
Teekay Lng Partners		75
Trimaran Fund II		348
Western Gas Partners		119
Total	\$	4,124

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Part I, Line 4-Schedule of Dividends and Interest from Securities

PNC-Dent Account	\$	16,685
PNC-Hawthorne		163,715
UBS		2,361
Subtotal		182,761
CMS/GENX360 Capital Fund, L P.		6,691
Energy Transfer Equity LP		697
Crestwood Equity Partners, LP		4
HarbourVest Partners VI-BuyOut Partnership Fund L P		201
HarbourVest Partners VI-Partnership Fund		161
Trimaran Fund II		1,088
Teekay Lng Partners		53
Total	\$	191,655

Form 990-PF	Other Income		Statement	6
Description	(a) Revenue Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	
OTHER PORTFOLIO INCOME FROM PASS-THROUGH ENTITY HARBOURVEST PARTNERS VI	28.	28.		
OTHER PORTFOLIO INCOME FROM PASS-THROUGH ENTITY HARBOURVEST PARTNERS BUYOUT	-53.	-53.		
FROM PASS-THROUGH ENTITY PENN VIRGINIA RESOURCE PTRS, L.P.	127.	127.		
OTHER PORTFOLIO INCOME FROM PASS-THROUGH ENTITY CMS/GEN CAP FUND	97.	97.		
OTHER GAIN FROM SALE OF PASS-THROUGH ENTITIES	6,180.	6,180.		
OTHER INCOME FROM INVESTMENTS	-7.	-7.		
OTHER INCOME FROM PASS-THROUGH ENTITY TEEKAY LNG	74.	74.		
OTHER (LOSS) FROM PASS-THROUGH ENTITIES	-17,218.	-17,218.		
OTHER INCOME FROM PASS-THROUGH BLUE KNIGHT ENERGY PTRS A	97.	97.		
OTHER INCOME FROM PASS-THROUGH ENTITY REGENCY ENERGY PARTNERS	1.	1.		
OTHER INCOME FROM PASS-THROUGH ENTITY ALLIANCE HOLDINGS	1.	1.		
OTHER PORTFOLIO INCOME FROM PASS-THROUGH ENTITY HUDSON	4.	4.		
Total to Form 990-PF, Part I, line 11	-10,669.	-10,669.		

Form 990-PF	Legal Fees		Statement	7
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes
LEGAL AND PROFESSIONAL FEES	6,500.	5,200.		1,300.
To Fm 990-PF, Pg 1, ln 16a	6,500.	5,200.		1,300.

Form 990-PF	Taxes			Statement	8
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
FOREIGN TAXES	4,866.	4,866.		0.	
FEDERAL INCOME TAX	6,544.	0.		0.	
FOREIGN TAXES, PASS-THROUGH ENTITY HARBOURVEST PARTNERS VI	3.	3.		0.	
FOREIGN TAXES, PASS-THROUGH ENTITY HARBOURVEST PARTNERS	11.	11.		0.	
FOREIGN TAXES, PASS-THROUGH ENTITY NUSTAR GP HOLDINGS, LLC	21.	21.		0.	
FOREIGN TAXES, PASS-THROUGH ENTITY SPECTRA	9.	9.		0.	
FOREIGN TAXES, PASS-THROUGH ENTITY TEEKAY LNG PARTNERS	2.	2.		0.	
To Form 990-PF, Pg 1, ln 18	11,456.	4,912.		0.	

Form 990-PF	Other Expenses			Statement	9
Description	(a) Expenses Per Books	(b) Net Invest- ment Income	(c) Adjusted Net Income	(d) Charitable Purposes	
DUES	725.	725.		0.	
INVESTMENT FEES	65,186.	65,186.		0.	
OFFICE	61.	61.		0.	
FROM PASS-THROUGH ENTITY EVERGREEN PARTNERS DIRECT U.S. FD III LP	14.	14.		0.	
FROM PASS-THROUGH ENTITY HUDSON VENTURE PARTNERS II, L.P.	2,053.	2,053.		0.	
FROM PASS-THROUGH ENTITY HARBOURVEST PARTNERS VI - PARTNERSHIP FUND L.P.	355.	355.		0.	
FROM PASS-THROUGH ENTITY HARBOURVEST PARTNERS VI - BUYOUT	245.	245.		0.	
FROM PASS-THROUGH ENTITY TRIMARAN FUND II, LLC	104.	104.		0.	

FROM PASS-THROUGH ENTITY			
CMS/GENNX360 CAPITAL FUND,			
L.P.	5,591.	5,591.	0.
OTHER INVESTMENT FEES	26.	26.	0.
To Form 990-PF, Pg 1, ln 23	74,360.	74,360.	0.

Footnotes

Statement 10

SECTION 751 STATEMENT

THE FOUNDATION HAS REPORTED ORDINARY INCOME UPON DISPOSITION OF UNITS IN NUSTAR GP HOLDINGS, LLC, ENERGY TRANSFER EQUITY L.P., AND SPECTRA ENERGY PARTNERS AS PROVIDED BY THE TAX MATTERS GENERAL PARTNERS. THE AMOUNTS WERE DETERMINED IN ACCORDANCE WITH INTERNAL REVENUE CODE SECTION 751 AND THE DETAILED INFORMATION IS AVAILABLE IN THE OFFICES OF THE TAX MATTERS GENERAL PARTNERS UPON REQUEST.

Form 990-PF	Other Increases in Net Assets or Fund Balances	Statement	11
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Description	Amount
BOOK/TAX DIFFERENCES FROM PASS-THROUGH ENTITY-EVERGREEN PARTNERS DIRECT	2,999.
BOOK/TAX DIFFERENCES FROM PASS-THROUGH ENTITY-HARBOURVEST PARTNERS VI	101.
BOOK/TAX DIFFERENCES FROM PASS-THROUGH ENTITY-TRIMARAN FUND II, LLC	20,978.
BOOK/TAX DIFFERENCES FROM PASS-THROUGH ENTITY-CMS/GEN CAP FUND	22.
Total to Form 990-PF, Part III, line 3	24,100.

Form 990-PF	Other Decreases in Net Assets or Fund Balances	Statement	12
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Description	Amount
BOOK/TAX DIFFERENCES FROM PASS-THROUGH ENTITY-HARBOURVEST PARTNERS VI-BUYOUT	644.
NON DEDUCTIBLE EXPENSES FROM PASS-THROUGH ENTITIES	272.
BOOK/TAX DIFFERENCES FROM PASS-THROUGH ENTITIES	1,957.
NON DEDUCTIBLE EXPENSES FROM PASS-THROUGH ENTITY-CMS/GEN CAP FUND	1.
Total to Form 990-PF, Part III, line 5	2,874.

Form 990-PF	Corporate Stock	Statement	13
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Description	Book Value	Fair Market Value
CORPORATE STOCKS-SEE ATTACHED SCHEDULE	9,347,952.	9,347,952.
Total to Form 990-PF, Part II, line 10b	9,347,952.	9,347,952.

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Page 2, Part II-Balance Sheet, Line 10b-Schedule of Investments-Corporate Stock

	Beginning of Year Cost	End of Year	
		Cost	Fair Market Value
3D Sys Corp Del	41,957	15,357	116,163
ACME PACKET INC	18,620	-	-
Adtran, Inc	45,958	-	-
ADVISORY BOARD CO	13,696	8,921	16,936
AFFYMAX, INC	7,738	-	-
American Tower Corp	1,048	-	-
ANALOGIC CORP NEW	15,082	12,918	20,369
Ansys, Inc	66,282	57,110	152,600
Applied Indl Technologies, Inc	-	5,282	5,056
Arcos Dorados Holdings Inc	-	13,499	13,296
Aruba Networks, Inc	16,184	-	-
ATHENAHEALTH INC	13,391	10,411	15,602
Auxilium Pharmaceuticals, Inc	-	16,949	18,159
BANK OF THE OZARKS	15,766	13,543	29,427
BJ S RESTAURANTS, INC	13,080	-	-
BRUKER CORP	-	16,251	17,556
Camzo Oil & Gas, Inc	-	19,418	27,847
Carter's, Inc	-	56,919	57,432
Cavium, Inc	11,040	21,870	21,707
CBRE CLARION LONG SHORT FUND	300,000	-	-
Celgene Corp	29,107	29,107	84,484
Cepheid, Inc	-	17,488	22,403
Chart Industries, Inc	-	21,059	22,093
Chicago Bridge & Iron	7,816	-	-
Chicos Fashions, Inc	17,415	15,922	19,368
Clean Harbors, Inc	36,308	82,175	86,942
Cloud Peak Energy, Inc	14,295	-	-
Coinstar, Inc	12,571	-	-
COLFAX CORP	14,038	-	-
Colony Financial, Inc	-	23,225	21,102
Commvault Systems, Inc	11,279	16,400	21,261
Compugen Limited Ordinary Shares	1	1	2,147
COMSTOCK RESOURCES INC	19,535	-	-
Concho Resources, Inc	51,925	88,679	108,000
Concur Technologies, Inc	32,260	22,179	56,749
CORPORATE EXECUTIVE BOARD CO	16,457	12,854	23,848
Costar Group, Inc	32,985	27,910	101,519
Cott Corp Que	10,300	-	-
Dealertrack Holdings, Inc	27,164	22,329	67,312
DEXCOM, INC	11,473	9,708	30,984
Diamond Foods, Inc	-	9,783	10,646
DRIEHAUS ACTIVE INCOME FUND FUND # 640	423,349	-	-
EATON VANCE FLOATING RATE FUND CLASS I	370,332	486,699	496,310
EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUNDCLASS I #88	531,021	553,302	510,253
Ecolab, Inc	42,143	42,143	83,416
EW SCRIPPS CO CLASS A	10,713	-	-
Examworks Group, Inc	-	39,769	65,714
Expeditors Intl Wash Inc	69,873	69,873	115,050
Fastenal Co	21,559	21,559	152,032
Federated Strategic Value Dividend	-	362,905	395,463
Financial Engines, Inc	44,703	35,088	111,168
First Cash Financial Svcs, Inc	8,659	19,025	23,252
Firstment Corp	-	16,532	22,141
Five Below	-	12,493	11,447
Foster Wheeler AG	-	17,655	19,570

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Page 2, Part II-Balance Sheet, Line 10b-Schedule of Investments-Corporate Stock, Continued

	Beginning of Year Cost	End of Year	
		Cost	Fair Market Value
Francescas Holdings Corp	-	5,183	5,170
FRANKLIN ELECTRIC INC	10,800	10,641	21,338
FRESH MARKET INC /THE	18,829	-	-
Gardner Denver, Inc	19,210	-	-
Geospace Technologies Corp	-	7,532	7,949
GLACIER BANCORP INC	17,658	14,419	30,088
GRAND CANYON EDUCATION INC	16,090	8,631	19,969
Greenhill & Co ,Inc	-	13,616	15,991
GREENLIGHT CAPITAL RE LTD A ISIN KYG4095J1094 SEDOL B1XRCZ3	11,936	-	-
Hanover Insurance Group, Inc	-	19,091	20,779
HARBOR INTERNATIONAL FUND CLASS INS	792,822	765,069	906,541
HARDING LOEVNEREMERG MKTS	848,329	767,507	783,281
HARMAN INTERNATIONAL INDUSTRIES INC NEW	18,655	-	-
Hawaiian Holdings, Inc	-	1,359	1,406
HEALTH MANAGEMENT ASSOCIATES INC CLASS A	14,164	-	-
HMS HLDGS CORP	19,875	20,560	17,888
IBERIBANK CORP	20,870	-	-
Idexx Labs, Inc	21,200	-	-
II-VI, Inc	14,901	-	-
Illumina, Inc	34,281	34,281	88,472
Innerworkings, Inc	35,712	-	-
Intuitive Surgical, Inc	-	33,669	34,567
Ishares Barclays Iboxx \$ Investop Investment Grade	797,097	-	-
IXIA	18,040	-	-
Jacobs Engineering Group, Inc	62,602	49,129	91,335
Landstar Sys , Inc	5,034	14,209	14,880
LASALLE HOTEL PPTYS REIT	17,499	20,536	25,367
Lazard Global Listed Infrastructure	-	318,044	348,526
LKQ CORP	33,427	33,427	92,120
Lufkin Inds , Inc	2,067	-	-
Markel Corp	41,277	54,511	95,758
MDC Holdings, Inc	15,377	-	-
Microsoft Corp	23,259	-	-
Monro Muffler Brake, Inc	12,822	14,969	23,502
Moody's Corp	-	64,697	70,623
MORNINGSTAR INC	13,984	11,657	16,555
Mosaic Co	46,299	-	-
National AM Univ Holdings	22,500	-	-
National Penn Bancshares, Inc	-	16,985	18,354
NETGEAR INC	16,346	-	-
Northwest Natural Gas Co	19,102	6,966	6,466
Omnivision Technologies, Inc	-	16,450	16,822
Oneok Inc	10,730	10,730	27,981
Opentable, Inc	-	20,869	21,747
PERSISTENT EDGE ASIA PARTNERS LTD CLASS BD NNI SERIES	550,000	550,000	729,715
PIMCO COMMODITY REAL RETURN STRATEGY FUND INSTITUTIONAL CL	232,522	-	-
PIMCO Unconstrained Bond Fund	-	650,000	641,897
PNC LIMITED MATURITY BOND FUND CLASS I FUND #413	1,500,000	647,592	645,055
Polypore International, Inc	-	14,697	13,732
Pool Corp	-	19,377	21,279
Portfolio Recovery Associate	15,464	13,978	22,034
Potash Corp Saskatchewan, Inc	51,806	87,963	88,333
Power Integrations, Inc	9,077	-	-
PRECISION DRILLING STOCK	8,682	-	-
Pncesmart, Inc	-	52,165	75,101
The Eleanor M. & Herbert D. Katz Family Foundation, Inc.			
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Page 2, Part II-Balance Sheet, Line 10b-Schedule of Investments-Corporate Stock, continued

	Beginning of Year	End of Year	
	Cost	Cost	Fair Market Value
Proto Labs, Inc	-	18,007	15,873
Qualcomm Inc	27,162	27,162	81,675
Quiksilver, Inc	-	14,003	16,637
Range Res Corp	59,811	37,699	88,525
Raven Industries	-	7,296	9,750
Realpage, Inc	33,073	42,578	46,760
Red Hat, Inc	-	81,274	92,466
Red Robin Gourmet Burgers	10,087	9,859	21,915
Redwood TR, Inc	16,440	-	-
Resmed, Inc	39,478	-	-
Roper Inds, Inc	17,834	17,834	48,538
Sanderson Farms, Inc.	-	15,924	21,699
Schlumberger Ltd	57,769	57,769	169,767
Seacor Holdings, Inc	-	13,514	16,781
SEI Investment Co	51,825	51,825	86,825
Southwestern Energy Co	35,791	53,694	62,928
Stercycle Inc	24,613	24,613	58,085
STIFEL FINL CORP	20,254	17,520	24,631
T Rowe Price	23,004	15,259	62,827
Tech Data Corp	-	2,573	2,632
Teekay Offshore Partners, L P	11,960	11,960	14,891
TELEFLEX INC	14,681	-	-
Templeton Global Bond Fund	-	300,000	292,405
Tempur Sealy Int'l, Inc	10,578	-	-
TEXAS ROADHOUSE INC	17,731	15,680	22,351
Titan Int'l, Inc	12,768	-	-
Tootsie Roll Industries, Inc	10,545	13,463	16,368
TREEHOUSE FOODS INC WHEN ISS	9,177	11,251	13,853
Trimble NAV, Ltd	26,239	26,239	104,100
Tyler Technologies, Inc	-	10,943	14,196
Unit Corp	-	12,550	14,402
UNITED NAT FOODS INC	13,082	17,313	29,100
VAN ECK GLOBAL HARD ASSETS	250,000	250,000	273,940
Vanguard	-	250,363	332,067
VANGUARD VALUE ETF	1,510,032	979,742	1,395,111
Versick Analytics, Inc	-	58,947	62,434
WABTEC CORP	5,650	-	-
WADDLE & REED FINL, INC	16,145	-	-
Wageworks, Inc	-	39,386	118,880
Waste Connections, Inc	-	48,505	63,263
Weight Watchers Int'l Inc	-	8,104	8,167
Westport Innovations, Inc	-	21,843	16,257
Williams Cos, Inc	13,947	13,954	20,249
ZILLOW, INC	15,990	-	-
Zumiez, Inc	-	14,488	14,300
TOTAL Investments	10,243,134	9,347,952	12,012,093

Form 990-PF	Other Investments	Statement	14
Description	Valuation Method	Book Value	Fair Market Value
OTHER INVESTMENTS-SEE ATTACHED SCHEDULE	COST	479,747.	479,747.
ACCRUED DIVIDENDS	COST	3,314.	3,314.
DUE FROM JOINT VENTURES	COST	3,060.	3,060.
DISTRIBUTIONS RECEIVABLE	COST	537.	537.
PREPAID FEDERAL TAXES	COST	1,230.	1,230.
Total to Form 990-PF, Part II, line 13		487,888.	487,888.

Form 990-PF	Part VIII - List of Officers, Directors Trustees and Foundation Managers	Statement	15
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Name and Address	Title and Avrg Hrs/Wk	Compensation	Employee Ben Contrib	Plan Expense Account
ELEANOR M. KATZ #404 21218 ST ANDREWS BLVD BOCA RATON, FL 33433	DIR/PRES 1.00	0.	0.	0.
THOMAS O. KATZ 800 S. OCEAN BLVD, APT LPH2 BOCA RATON, FL 33432	DIR/TR/SEC 6.00	0.	0.	0.
LAURA KATZ CUTLER 5307 ELLIOTT ROAD BETHESDA, MD 20816	DIRECTOR 0.00	0.	0.	0.
SALLY KATZ ONE INDEPENDENCE PL, 241 S 6TH ST, APT 1601 PHILADELPHIA, PA 191063733	DIRECTOR 0.00	0.	0.	0.
DANIEL KATZ 673 NW 110 AVENUE PLANTATION, FL 33324	DIRECTOR 0.00	0.	0.	0.
WALTER KATZ 714 N.W. 101 TERRACE PLANTATION, FL 33324	DIRECTOR 0.00	0.	0.	0.
Totals included on 990-PF, Page 6, Part VIII		0.	0.	0.

The Eleanor M. & Herbert D. Katz Family Foundation, Inc.
Form 990PF
EIN 59-2320940
for the year ended December 31, 2013

Page 2, Part II-Balance Sheet, Line 13-Other Investments

	Beginning of Year Cost	End of Year	
		Cost	Fair Market Value
Alliance Holdings GP L P	6,170	5,838	23,452
Blueknight Energy Partners, L P	3,362	2,886	2,128
Blue Knight Energy Ptrs A	877	878	1,241
Boardwalk Pipeline Partners, LP	10,185	14,752	15,950
Cedar Fair, L P	6,600	4,720	48,341
CMS Gen NX 360 Capital Fund, L P	164,506	172,127	172,127
Energy Transfer Equity, L P	10,098	5,987	65,392
Enterpse Product Partners	4,184	2,916	43,095
Evergreen Partners Direct U S Fund III LP	3,550	-	-
HarbourVest Partners VI-BuyOut Partnership Fund L P	21,818	17,779	16,281
HarbourVest Partners VI-Partnership Fund	23,651	20,097	18,016
Hudson Venture Partners II LP	51,611	46,994	46,994
Crestwood Equity Partners, L P (f/k/a Inergy, L P)	26,903	23,771	22,820
Crestwood Midstream Partners (f/k/a Inergy Midstream L P)	9,068	9,659	27,479
NGL Energy Partners, L P	-	6,929	8,625
Nustar GP Holdings, LLC	10,197	6,511	16,854
Penn VA Resource Partners	17,254	12,431	32,196
Regency Energy Partners	17,427	8,072	36,764
Spectra Energy Partners, L P	10,750	5,213	22,675
State of Israel Bond	-	50,000	50,000
Suburban Propane Pamters LP	8,404	11,688	23,497
Teekay LNG Partners	4,366	3,455	14,949
Trimaran Fund II, LLC	26,681	43,727	43,727
Western Gas Partners, L P	6,081	3,318	37,014
\$	443,743	479,747	789,616

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

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

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

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

Enter filer's identifying number, see instructions

Type or print File by the due date for filing your return. See instructions.	Name of exempt organization or other filer, see instructions. THE ELEANOR M. AND HERBERT D. KATZ FAMILY FOUNDATION, INC.	Employer identification number (EIN) or 59-2320940
	Number, street, and room or suite no. If a P.O. box, see instructions. C/O SHELLY LAUGHLIN, CPA J.D. GILBERT & CO. CPA'S 3	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. DEERFIELD BEACH, FL 33442	

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

0 4

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

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

THOMAS O. KATZ

- The books are in the care of **2255 GLADES ROAD SUITE 240W - BOCA RATON, FL 33431**
Telephone No. **561-910-5700** Fax No. **561-910-5701**

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

- 4 I request an additional 3-month extension of time until **November 15, 2014**.
- 5 For calendar year **2013**, or other tax year beginning _____, and ending _____.
- 6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return
☐ Change in accounting period
- 7 State in detail why you need the extension **See Statement 18**

8a If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	8a	\$	6,423.
b If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868.	8b	\$	7,774.
c Balance due. Subtract line 8b from line 8a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	8c	\$	0.

Signature and Verification must be completed for Part II only.

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

Signature **▶**

Title **▶ CPA**

Date **▶**

Form 8868 (Rev. 1-2014)

COPY

Form 8688

Explanation for Extension

Statement 18

Explanation

THE TAXPAYER IS AWAITING INFORMATION FROM THIRD PARTIES REQUIRED TO BE INCLUDED IN AN ACCURATELY FILED RETURN. IT IS EXPECTED TO BE RECEIVED IN THE NEXT 30 TO 60 DAYS TO ENABLE THE COMPLETION OF THE RETURN BY NOVEMBER 15, 2014.

COPY