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Return of Private Foundation

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

OMB No 1545-0052

2013

Department of the Treasury
Internal Revenue ServiceDo not enter Social Security numbers on this form as it may be made public.
Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

Open to Public Inspection

For calendar year 2013 or tax year beginning

Name of foundation

DON HOWARTH & SUZELLE SMITH FOUNDATION

Number and street (or P O box number if mail is not delivered to street address)

523 W 6TH STREET #728

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

LOS ANGELES, CA 90014

G Check all that apply:

☐

Initial return

☐

Initial return of a former public charity

☐

Final return

☐

Amended return

☐

Address change

☐

Name change

H Check type of organization:

☒

Section 501(c)(3) exempt private foundation

☐

Section 4947(a)(1) nonexempt charitable trust

☐

Other taxable private foundation

I Fair market value of all assets at end of year

(from Part II, col (c), line 16)

\$ 2,361,411. (Part I, column (d) must be on cash basis)

J Accounting method:

☒

Cash

☐

Accrual

Other (specify)

A Employer identification number

72-1546393

B Telephone number

823-955-9400

C If exemption application is pending, check here ☐D 1 Foreign organizations, check here ☐2 Foreign organizations meeting the 85% test, check here and attach computation ☐E If private foundation status was terminated under section 507(b)(1)(A), check here ☐F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

1 Contributions, gifts, grants, etc., received

50,000.

N/A

2 Check ☐ if the foundation is not required to attach Sch B

3 Interest on savings and temporary cash investments

71.

71.

STATEMENT 1

4 Dividends and interest from securities

66,396.

66,396.

STATEMENT 2

5a Gross rents

b Net rental income or (loss)

6a Net gain or (loss) from sale of assets not on line 10

42,489.

b Gross sales price for all assets on line 6a

358,174.

7 Capital gain net income (from Part IV, line 2)

42,489.

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

12 Total Add lines 1 through 11

158,956.

108,956.

13 Compensation of officers, directors, trustees, etc

0.

0.

0.

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees

b Accounting fees

STMT 3

2,350.

0.

2,350.

c Other professional fees

STMT 4

29,167.

29,167.

0.

17 Interest

18 Taxes

STMT 5

2,207.

407.

0.

19 Depreciation and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses

STMT 6

583.

486.

97.

24 Total operating and administrative expenses. Add lines 13 through 23

34,307.

30,060.

2,447.

25 Contributions, gifts, grants paid

125,724.

125,724.

26 Total expenses and disbursements. Add lines 24 and 25

160,031.

30,060.

128,171.

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

<1,075.>

b Net investment income (if negative, enter -0-)

78,896.

c Adjusted net income (if negative, enter -0-)

N/A

Part II Balance Sheets

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

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	6,302.	26,245.	26,245.
	2 Savings and temporary cash investments	561,108.	116,073.	116,073.
	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 7	359,527.	353,630.	436,874.
	c Investments - corporate bonds STMT 8	101,794.	239,137.	225,664.
	11 Investments - land, buildings, and equipment basis ▶			
Less: accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other STMT 9	1,171,747.	1,465,118.	1,556,555.	
14 Land, buildings, and equipment: basis ▶				
Less: accumulated depreciation ▶				
15 Other assets (describe ▶ PREPAID TAXES)	800.	0.	0.	
16 Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)	2,201,278.	2,200,203.	2,361,411.	
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable			
	22 Other liabilities (describe ▶)			
23 Total liabilities (add lines 17 through 22)	0.	0.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26 and lines 30 and 31			
	24 Unrestricted	2,201,278.	2,200,203.	
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☐ and complete lines 27 through 31			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg., and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds			
30 Total net assets or fund balances	2,201,278.	2,200,203.		
31 Total liabilities and net assets/fund balances	2,201,278.	2,200,203.		

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	2,201,278.
2 Enter amount from Part I, line 27a	2	<1,075.>
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	2,200,203.
5 Decreases not included in line 2 (itemize) ▶	5	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	2,200,203.

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 358,174.		315,685.	42,489.

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			42,489.

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	42,489.
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	113,036.	1,268,068.	.089140
2011	188,413.	1,117,493.	.168603
2010	184,036.	923,147.	.199357
2009	183,187.	902,445.	.202990
2008	200,527.	1,079,017.	.185842

2 Total of line 1, column (d)	2	.845932
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	.169186
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	2,287,995.
5 Multiply line 4 by line 3	5	387,097.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	789.
7 Add lines 5 and 6	7	387,886.
8 Enter qualifying distributions from Part XII, line 4	8	128,171.

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

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		1	1,578.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	1,578.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income Subtract line 4 from line 3. If zero or less, enter -0-		5	1,578.
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	825.	
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	825.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due If the total of lines 5 and 8 is more than line 7, enter amount owed	9	753.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b 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
c 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. \$ 0. (2) On foundation managers. \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		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		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		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?	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	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) CA		
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	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		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	X	

N/A

STMT 10

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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 ► <u>N/A</u>	13	X	
14	The books are in care of ► <u>DON HOWARTH</u> Telephone no. ► <u>323-955-9400</u> Located at ► <u>523 W 6TH STREET #728, LOS ANGELES, CA</u> ZIP+4 ► <u>90014</u>			
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 ► <u>15</u> <u>N/A</u>			
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? ☐ Yes ☒ No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No (6) Agree to pay money or property to a government official? (Exception Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? 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? ☐ Yes ☒ No If "Yes," list the years ► _____, _____, _____ b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) N/A c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► _____, _____, _____	2b	
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No b If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.) N/A	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b	X

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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?

If "Yes" to 6b, file Form 8870

6b

X

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
SUZELLE M SMITH	PRESIDENT			
523 W 6TH STREET #728				
LOS ANGELES, CA 90014	1.00	0.	0.	0.
DON HOWARTH	SECRETARY			
523 W 6TH STREET #728				
LOS ANGELES, CA 90014	1.00	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	1,967,974.
b Average of monthly cash balances	1b	354,864.
c Fair market value of all other assets	1c	
d Total (add lines 1a, b, and c)	1d	2,322,838.
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	2,322,838.
4 Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	34,843.
5 Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	2,287,995.
6 Minimum investment return. Enter 5% of line 5	6	114,400.

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	114,400.
2a Tax on investment income for 2013 from Part VI, line 5	2a	1,578.
b Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c Add lines 2a and 2b	2c	1,578.
3 Distributable amount before adjustments. Subtract line 2c from line 1	3	112,822.
4 Recoveries of amounts treated as qualifying distributions	4	0.
5 Add lines 3 and 4	5	112,822.
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	112,822.

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	128,171.
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	128,171.
5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6 Adjusted qualifying distributions. Subtract line 5 from line 4	6	128,171.

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				112,822.
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	147,022.			
b From 2009	138,321.			
c From 2010	139,177.			
d From 2011	63,315.			
e From 2012	50,448.			
f Total of lines 3a through e	538,283.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$	128,171.			
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				112,822.
e Remaining amount distributed out of corpus	15,349.			
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:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	553,632.			
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	147,022.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	406,610.			
10 Analysis of line 9:				
a Excess from 2009	138,321.			
b Excess from 2010	139,177.			
c Excess from 2011	63,315.			
d Excess from 2012	50,448.			
e Excess from 2013	15,349.			

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)

- | Tax year | Prior 3 years | | | (e) Total |
|----------|---------------|----------|----------|-----------|
| (a) 2013 | (b) 2012 | (c) 2011 | (d) 2010 | |

- (4) Gross investment income

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

Part XV Supplementary Information (continued)**3** Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
AMERICANS FOR OXFORD 500 FIFTH AVENUE, 32ND FLOOR NEW YORK, NY 10110	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	10,000.
ASPCA 424 E 92ND STREET NEW YORK, NY 10128	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	60.
LAWNDALE WESLEYAN CHURCH 4455 W 168TH STREET LAWNDALE, CA 90260	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	19,000.
MALIBU COMMUNITY LABOR EXCHANGE 23595 CIVIC CENTER WAY MALIBU, CA 90265	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	2,000.
ONE MISSION SOCIETY PO BOX 1648 MONUMENT, CO 80132	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	6,000.
Total	SEE CONTINUATION SHEET(S)			125,724.
b Approved for future payment				
NONE				
Total				0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Enter gross amounts unless otherwise indicated.		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income
		(a) Business code	(b) Amount	(c) Exclu- sion code	(d) Amount	
1 Program service revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments						
3 Interest on savings and temporary cash investments				14	71.	
4 Dividends and interest from securities				14	66,396.	
5 Net rental income or (loss) from real estate:						
a Debt-financed property						
b Not debt-financed property						
6 Net rental income or (loss) from personal property						
7 Other investment income						
8 Gain or (loss) from sales of assets other than inventory				18	42,489.	
9 Net income or (loss) from special events						
10 Gross profit or (loss) from sales of inventory						
11 Other revenue:						
a _____						
b _____						
c _____						
d _____						
e _____						
12 Subtotal. Add columns (b), (d), and (e)			0.		108,956.	0.
13 Total. Add line 12, columns (b), (d), and (e)						108,956.

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

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

[illegible]

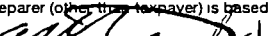
Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

- | | | Yes | No |
|----------|--|-------|----|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | |
| | (1) Cash | 1a(1) | X |
| | (2) Other assets | 1a(2) | X |
| b | Other transactions: | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | X |
| | (4) Reimbursement arrangements | 1b(4) | X |
| | (5) Loans or loan guarantees | 1b(5) | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | X |
| d | If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received. | | |

[illegible]

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

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

Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.			May the IRS discuss this return with the preparer shown below (see instr.)? ☒ Yes ☐ No	
	Signature of officer or trustee 	Date 5/14/14	Title SECRETARY		
Paid Preparer Use Only	Print/Type preparer's name SCOTT I. EISNER	Preparer's signature 	Date 5/8/14	Check ☐ if self-employed	PTIN P00380495
	Firm's name ▶ BPE&H, AN ACCOUNTANCY CORPORATION			Firm's EIN ▶ 95-4083514	
	Firm's address ▶ 21300 VICTORY BLVD., # 520 WOODLAND HILLS, CA 91367			Phone no. 818-914-7100	

Schedule B(Form 990, 990-EZ,
or 990-PF)Department of the Treasury
Internal Revenue Service**Schedule of Contributors**

- ▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and
its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Name of the organization

DON HOWARTH & SUZELLE SMITH FOUNDATION

Employer identification number

72-1546393

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)() (enter number) organization☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

Special Rules

- ☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF. Schedule B (Form 990, 990-EZ, or 990-PF) (2013)

Name of organization

Employer identification number

DON HOWARTH & SUZELLE SMITH FOUNDATION

72-1546393

Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	SUZELLE M. SMITH 523 W 6TH STREET #728 LOS ANGELES, CA 90014	\$ 50,000.	Person ☒ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)
		\$	Person ☐ Payroll ☐ Noncash ☐ (Complete Part II for noncash contributions.)

Name of organization

Employer identification number

DON HOWARTH & SUZELLE SMITH FOUNDATION**72-1546393****Part II Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Name of organization	Employer identification number
DON HOWARTH & SUZELLE SMITH FOUNDATION	72-1546393

Part III Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this information once) ▶ \$

Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

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	MORGAN STANELY #137-033678	P	08/03/09	11/21/13
b	MERRILL LYNCH # 250-07334	P	01/01/13	06/30/13
c	MERRILL LYNCH # 250-07334	P	01/01/13	06/30/13
d	MERRILL LYNCH # 250-07334	P	01/01/12	06/30/13
e	MERRILL LYNCH # 250-07334	P	01/01/12	06/30/13
f	CASH/LIEU	P	01/01/13	06/30/13
g	MORGAN STANELY #137-033678	P	01/01/13	03/25/13
h	CAPITAL GAINS DIVIDENDS			
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 96,282.		106,183.	<9,901.>
b 103,977.		91,689.	12,288.
c 44,374.		45,337.	<963.>
d 39,088.		30,941.	8,147.
e 50,405.		41,528.	8,877.
f 65.			65.
g 7.		7.	0.
h 23,976.			23,976.
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			<9,901.>
b			12,288.
c			<963.>
d			8,147.
e			8,877.
f			65.
g			0.
h			23,976.
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	42,489.
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 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
SALVATION ARMY 180 E OCEAN BLVD LONG BEACH, CA 90802	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	13,000.
SAINT AIDAN'S MALIBU 28211 PACIFIC COAST HWY MALIBU, CA 90265	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	38,114.
SAINT JOHN'S HEALTH CENTER FOUNDATION 2121 SANTA MONICA BLVD SANTA MONICA, CA 90404	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	250.
AMERICAN DITCHLEY FOUNDATION 6 WEST 48TH STREET, 10TH FLOOR NEW YORK, NY 10036	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	500.
AVON PRODUCT FOUNDATION ONE AVON PLAZA RYE, NY 10580	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	250.
THE SEED COMPANY 3030 MATLOCK ROAD, SUITE 104 ARLINGTON, TX 76015	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	13,000.
UNION RESCUE MISSION 545 S. SAN PEDRO STREET LOS ANGELES, CA 90013	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	300.
WASHINGTON NATIONAL CATHEDRAL MASSACHUSETTS AND WISCONSIN AVE, NW WASHINGTON, DC 20016	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	250.
WYCLIFFE BIBLE TRANSLATORS PO BOX 628200 ORLANDO, FL 32862	NONE	PUBLIC CHARITY	SUPPORT CHARITABLE ACTIVITIES	23,000.
Total from continuation sheets				88,664.

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
CITIBANK	71.	71.	
TOTAL TO PART I, LINE 3	71.	71.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
MERRILL LYNCH 250-07334	29,921.	6,374.	23,547.	23,547.	
MORGAN STANLEY 137-033502	45,397.	12,726.	32,671.	32,671.	
MORGAN STANLEY 137-033678	15,054.	4,876.	10,178.	10,178.	
TO PART I, LINE 4	90,372.	23,976.	66,396.	66,396.	

FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX PREPARATION	2,350.	0.		2,350.
TO FORM 990-PF, PG 1, LN 16B	2,350.	0.		2,350.

FORM 990-PF	OTHER PROFESSIONAL FEES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MERRILL LYNCH # 250-07334	17,033.	17,033.		0.
MORGAN STANLEY #137-033502	12,134.	12,134.		0.
TO FORM 990-PF, PG 1, LN 16C	29,167.	29,167.		0.

FORM 990-PF	TAXES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FEDERAL EXCISE TAXES	1,640.	0.		0.
FOREIGN TAX MERRILL LYNCH #07334	394.	394.		0.
FRANCHISE TAX BOARD	10.	0.		0.
CALIFORNIA ATTORNEY GENERAL	150.	0.		0.
FOREIGN TAX MORGAN STANLEY #033502	13.	13.		0.
TO FORM 990-PF, PG 1, LN 18	2,207.	407.		0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	6
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
OFFICE SUPPLIES	97.	0.		97.
ACCRUED INTEREST PAID	486.	486.		0.
TO FORM 990-PF, PG 1, LN 23	583.	486.		97.

FORM 990-PF	CORPORATE STOCK	STATEMENT	7
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
MERRILL LYNCH #250-07334 - SEE DETAIL	353,630.	436,874.
TOTAL TO FORM 990-PF, PART II, LINE 10B	353,630.	436,874.

FORM 990-PF	CORPORATE BONDS	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
MERRILL LYNCH #250-07334 - SEE DETAIL	239,137.	225,664.
TOTAL TO FORM 990-PF, PART II, LINE 10C	239,137.	225,664.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	9
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MERRILL LYNCH #250-07334 MUTUAL FUNDS - SEE DETAIL	COST	228,385.	217,347.
MORGAN STANLEY #137-033502 MUTUAL FUNDS - SEE DETAIL	COST	1,005,113.	1,087,684.
MORGAN STANLEY #137-033678 MUTUAL FUNDS - SEE DETAIL	COST	231,620.	251,524.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,465,118.	1,556,555.

FORM 990-PF

LIST OF SUBSTANTIAL CONTRIBUTORS
PART VII-A, LINE 10

STATEMENT 10

NAME OF CONTRIBUTOR

ADDRESS

SUZELLE M. SMITH

523 W 6TH STREET #728
LOS ANGELES, CA 90014

REALIZED GAIN (LOSS) REPORT
MERRILL LYNCH ACCOUNT #250-07334



Account No.
250-07334

Taxpayer No.
72-1546393

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HOWARTH AND SMITH FOUNDATION

2013 ANNUAL STATEMENT SUMMARY

The following sections are provided to facilitate your review and the preparation of your tax return.

The 2013 Proceeds from Broker and Barter Exchange Transactions section includes both sales of positions for "covered securities" and "noncovered securities." A covered security includes those with a purchase date within the following timeline: Equities acquired on or after January 1, 2011 and Mutual Funds acquired on or after January 1, 2012. Legislation requires reporting the gross proceeds of the sales of "covered" and "noncovered" securities and the adjusted cost basis for "covered securities." Any sale of a security that is considered a "noncovered security" will still be included in this section with the adjusted cost basis (where available).

In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. Under the Cost Basis Reporting Regulations, brokers need not track wash sale activity for substantially identical securities, transactions across accounts, or between covered and non-covered securities. However, you as a taxpayer still have to track and report wash sales as you have in the past which would include all of the aforementioned transaction types. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.								
COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)								
ADOBE SYS DFL PIV\$ 0.001								
	8.0000 Sale	08/20/12	01/02/13	305.24	269.68	0.00	35.56	
	4.0000 Sale	08/20/12	01/11/13	152.22	134.84	0.00	17.38	
	14.0000 Sale	12/26/12	01/11/13	532.78	526.82	0.00	5.96	
	Security Subtotal			990.24	931.34	0.00	58.90	
AGRUM INC								
	1.0000 Sale	06/05/12	05/02/13	89.06	77.00	0.00	12.06	
	1.0000 Sale	12/26/12	06/05/13	91.61	98.45	0.00	(6.84)	
	2.0000 Sale	12/26/12	10/23/13	174.20	196.91	0.00	(22.71)	
	2.0000 Sale	01/22/13	10/23/13	174.21	218.71	0.00	(44.50)	
	2.0000 Sale	01/22/13	10/24/13	171.98	218.71	0.00	(46.73)	
	6.0000 Sale	01/23/13	10/24/13	515.96	665.02	0.00	(149.06)	
	1.0000 Sale	01/24/13	10/24/13	86.00	113.88	0.00	(27.88)	
	5.0000 Sale	01/24/13	10/25/13	430.22	569.39	0.00	(139.17)	
	2.0000 Sale	01/24/13	10/28/13	171.13	227.75	0.00	(56.62)	
	1.0000 Sale	02/22/13	10/28/13	85.57	101.04	0.00	(15.47)	
	1.0000 Sale	02/22/13	12/27/13	91.21	101.04	0.00	(9.83)	
	1.0000 Sale	02/22/13	12/30/13	91.05	101.04	0.00	(9.99)	
	Security Subtotal			2,172.20	2,688.94	0.00	(516.74)	



Bank of America Corporation

Account No.
250-07334

Taxpayer No.
72-1546393

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HOWARTH AND SMITH FOUNDATION

2013 ANNUAL STATEMENT SUMMARY

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
AMAZON COM INC COM								
1.0000	Sale	12/26/12	02/13/13	311.86	255.09	0.00	56.77	
4.0000	Sale	12/26/12	10/25/13	1,440.66	1,020.34	0.00	420.32	
Security Subtotal				1,752.52	1,275.43	0.00	477.09	
AMPHENOL CORP CL A NEW								
2.0000	Sale	07/18/12	03/20/13	153.78	116.84	0.00	36.94	
AMETEK INC NEW								
3.0000	Sale	08/20/12	03/11/13	129.18	102.15	0.00	27.03	
1.0000	Sale	08/20/12	08/15/13	43.82	34.05	0.00	9.77	
1.0000	Sale	08/20/12	08/15/13	43.69	34.05	0.00	9.64	
1.0000	Sale	08/20/12	08/16/13	43.71	34.05	0.00	9.66	
Security Subtotal				260.40	204.30	0.00	56.10	
ANALY CAP MGMT INC								
20.0000	Sale	12/26/12	03/27/13	238.12	284.52	0.00	(46.40)	
92.0000	Sale	12/26/12	10/21/13	1,075.91	1,308.79	0.00	(232.88)	
1.0000	Sale	12/26/12	10/22/13	11.90	14.23	0.00	(2.33)	
20.0000	Sale	06/05/13	10/22/13	238.00	270.87	0.00	(32.87)	
Security Subtotal				1,563.93	1,878.41	0.00	(314.48)	
AMDOCS LIMITED								
3.0000	Sale	08/20/12	02/20/13	105.83	96.65	0.00	9.18	
1.0000	Sale	08/21/12	06/05/13	35.28	32.49	0.00	2.79	
Security Subtotal				141.11	129.14	0.00	11.97	
ALLERGAN INC								
3.0000	Sale	10/18/12	01/15/13	311.54	284.67	0.00	26.87	
3.0000	Sale	10/18/12	05/01/13	300.70	284.67	0.00	16.03	
8.0000	Sale	12/26/12	05/01/13	801.87	730.96	0.00	70.91	
Security Subtotal				1,414.11	1,300.30	0.00	113.81	
ASTRAZENECA PLC SPND ADR								
8.0000	Sale	06/28/12	06/11/13	408.19	352.13	0.00	56.06	
1.0000	Sale	06/28/12	06/12/13	51.63	44.02	0.00	7.61	
3.0000	Sale	06/29/12	06/12/13	154.90	134.70	0.00	20.20	
2.0000	Sale	07/11/12	06/12/13	103.28	91.05	0.00	12.23	
3.0000	Sale	07/11/12	07/02/13	143.82	136.58	0.00	7.24	



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ASTRAZENECA PLC SPND ADR								
6.0000	Sale	07/12/12	046353108	287.65	269.58	0.00	18.07	
1.0000	Sale	07/02/13	07/02/13	47.95	47.15	0.00	0.80	
5.0000	Sale	07/19/12	07/03/13	238.83	235.76	0.00	3.07	
6.0000	Sale	07/24/12	07/03/13	286.61	273.84	0.00	12.77	
2.0000	Sale	10/02/12	07/03/13	95.54	93.89	0.00	1.65	
Security Subtotal				1,818.40	1,678.70	0.00	139.70	
AEON COMPANY LTD ADR								
1.0000	Sale	06/05/12	007627102	13.29	12.02	0.00	1.27	
12.0000	Sale	06/08/12	05/07/13	159.57	143.58	0.00	15.99	
8.0000	Sale	06/14/12	05/07/13	106.38	95.45	0.00	10.93	
3.0000	Sale	06/14/12	05/13/13	37.92	35.80	0.00	2.12	
17.0000	Sale	12/26/12	05/13/13	214.89	192.95	0.00	21.94	
25.0000	Sale	12/26/12	05/17/13	314.37	283.75	0.00	30.62	
26.0000	Sale	12/26/12	05/24/13	313.48	295.10	0.00	18.38	
Security Subtotal				1,159.90	1,058.65	0.00	101.25	
AMERICAN INTERNATIONAL GROUP INC								
4.0000	Sale	08/16/12	03/07/13	156.06	138.23	0.00	17.83	
7.0000	Sale	08/17/12	03/07/13	273.11	242.30	0.00	30.81	
5.0000	Sale	08/17/12	04/30/13	206.79	173.08	0.00	33.71	
11.0000	Sale	10/10/12	04/30/13	454.95	393.09	0.00	61.86	
4.0000	Sale	10/10/12	06/05/13	179.46	142.94	0.00	36.52	
44.0000	Sale	12/26/12	12/17/13	2,182.14	1,548.36	0.00	633.78	
Security Subtotal				3,452.51	2,638.00	0.00	814.51	
ANHEUSER-BUSCH INBEV ADR								
1.0000	Sale	08/29/12	035244108	91.18	83.81	0.00	7.37	
1.0000	Sale	08/30/12	06/05/13	91.18	83.46	0.00	7.72	
Security Subtotal				182.36	167.27	0.00	15.09	
AON PLC								
3.0000	Sale	08/20/12	G0408V102	189.61	159.27	0.00	30.34	
ASML HLDG NV NY REG SHS								
1.0000	Sale	07/18/12	N07059210	74.00	57.51	0.00	16.49	
1.0000	Sale	07/18/12	05/01/13	76.65	57.50	0.00	19.15	
1.0000	Sale	08/20/12	05/09/13	76.65	60.91	0.00	15.74	



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ASML HLDG NV NY REG SHS								
		CUSIP Number	N07059210					
2,0000	Sale	08/20/12	05/10/13	155.01	121.82	0.00	33.19	
2,0000	Sale	08/21/12	05/10/13	155.02	121.66	0.00	33.36	
2,0000	Sale	08/21/12	05/05/13	158.82	121.66	0.00	37.16	
2,0000	Sale	12/07/12	05/05/13	158.82	126.68	0.00	32.14	
4,0000	Sale	12/10/12	08/09/13	368.08	254.17	0.00	111.91	
2,0000	Sale	12/07/12	08/09/13	183.03	126.67	0.00	56.36	
1,0000	Sale	12/07/12	08/09/13	91.51	63.34	0.00	28.17	
1,0000	Sale	12/10/12	08/15/13	91.29	53.54	0.00	27.75	
7,0000	Sale	12/26/12	08/27/13	615.22	442.40	0.00	172.82	
Security Subtotal				2,202.10	1,617.86	0.00	584.24	
ATHENAHEALTH INC								
2,0000	Sale	CUSIP Number	04685W103	169.51	176.62	0.00	(7.11)	
ATMEL CORP COM								
15,0000	Sale	CUSIP Number	049513104	121.94	90.39	0.00	31.55	
AUTOMATIC DATA PROC								
2,0000	Sale	CUSIP Number	053015103	137.42	126.76	0.00	10.66	
10,0000	Sale	03/07/13	06/05/13	770.27	633.80	0.00	136.47	
4,0000	Sale	03/07/13	11/14/13	307.84	253.52	0.00	54.32	
12,0000	Sale	03/08/13	11/15/13	923.55	760.12	0.00	163.43	
5,0000	Sale	03/11/13	11/15/13	384.82	318.02	0.00	66.80	
Security Subtotal				2,523.90	2,092.22	0.00	431.68	
BANCO BRADESCO S A ADR								
	Cash/Lieu	CUSIP Number	059460303	1.66	1.67	0.00	(0.01)	
BARCLAYS PLC ADR								
3,0000	Sale	CUSIP Number	06738E204	58.41	40.57	0.00	17.84	
BRISTOL-MYERS SQUIBB CO								
22,0000	Sale	CUSIP Number	110122108	737.99	722.05	0.00	15.94	
3,0000	Sale	08/27/12	01/09/13	140.90	98.46	0.00	42.44	
2,0000	Sale	09/21/12	06/05/13	93.94	67.27	0.00	26.67	
Security Subtotal				972.83	887.78	0.00	85.05	
CVS CAREMARK CORP								
3,0000	Sale	CUSIP Number	126650100	172.70	177.71	0.00	(5.01)	



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CROWN CASTLE INTL CORP								
		CUSIP Number	228227104					
2.0000	Sale	04/27/12	01/17/13	148.04	113.20	0.00	34.84	
2.0000	Sale	04/27/12	01/18/13	147.95	113.20	0.00	34.75	
3.0000	Sale	04/27/12	01/25/13	220.35	169.80	0.00	50.55	
1.0000	Sale	04/27/12	02/11/13	70.22	56.60	0.00	13.62	
1.0000	Sale	04/30/12	02/11/13	70.23	56.56	0.00	13.67	
5.0000	Sale	04/30/12	04/29/13	386.90	282.79	0.00	104.11	
1.0000	Sale	05/01/12	04/29/13	77.38	56.70	0.00	20.68	
4.0000	Sale	06/11/12	04/29/13	309.52	225.42	0.00	84.10	
3.0000	Sale	06/11/12	04/30/13	231.30	169.07	0.00	62.23	
1.0000	Sale	08/20/12	04/30/13	77.10	62.00	0.00	15.10	
1.0000	Sale	08/20/12	05/01/13	77.73	62.00	0.00	15.73	
1.0000	Sale	08/20/12	05/31/13	72.26	62.00	0.00	10.26	
5.0000	Sale	08/20/12	05/05/13	347.56	310.01	0.00	37.55	
	Security Subtotal			2,236.54	1,739.35	0.00	497.19	
COSTAR GROUP INC COM								
		CUSIP Number	22160N109					
1.0000	Sale	08/20/12	05/05/13	112.31	83.06	0.00	29.25	
1.0000	Sale	08/21/12	08/08/13	161.37	83.73	0.00	77.64	
	Security Subtotal			273.68	166.79	0.00	106.89	
CHINA PETE CHEM SPN ADR								
		CUSIP Number	16941RT08					
	Cash/Lieu	12/26/12	07/15/13	61.68	22.51	0.00	39.17	
CELGENE CORP COM								
		CUSIP Number	151020104					
1.0000	Sale	08/20/12	06/05/13	117.64	70.17	0.00	47.47	
C.H. ROBINSON WORLDWIDE, INC. NEW								
		CUSIP Number	12541W209					
1.0000	Sale	08/20/12	06/05/13	56.33	57.47	0.00	(1.14)	
CHIPOTLE MEXICAN GRILL								
		CUSIP Number	169656105					
2.0000	Sale	01/17/13	03/12/13	638.18	582.93	0.00	55.25	
1.0000	Sale	01/17/13	05/07/13	361.43	291.46	0.00	69.97	
4.0000	Sale	01/17/13	06/27/13	1,453.65	1,165.86	0.00	287.79	
	Security Subtotal			2,453.26	2,040.25	0.00	413.01	

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CAMERON INTL CORP								
7 0000	Sale	01/29/13	04/05/13	427.76	431.01	0.00	(3.25)	
11 0000	Sale	01/29/13	04/08/13	683.12	677.29	0.00	5.83	
4 0000	Sale	01/30/13	04/08/13	248.41	244.58	0.00	3.83	
	Security Subtotal			1,359.29	1,352.88	0.00	6.41	
DIAGEO PLC SP5D ADR NEW								
1 0000	Sale	12/26/12	02/22/13	120.85	116.77	0.00	4.08	
DRESSER RAND GROUP INC								
2 0000	Sale	08/20/12	06/05/13	119.93	101.61	0.00	18.32	
1 0000	Sale	08/21/12	06/05/13	59.97	51.61	0.00	8.36	
	Security Subtotal			179.90	153.22	0.00	26.68	
DEUTSCHE BOERSE AG SHS								
13 0000	Sale	12/26/12	11/29/13	99.35	79.82	0.00	19.53	
E M C CORPORATION MASS								
5 0000	Sale	08/01/12	06/05/13	122.21	130.94	0.00	(8.73)	
6 0000	Sale	08/01/12	07/11/13	146.82	157.12	0.00	(10.30)	
4 0000	Sale	08/10/12	07/11/13	97.88	107.49	0.00	(9.61)	
63 0000	Sale	12/26/12	07/11/13	1,541.66	1,602.08	0.00	(60.42)	
	Security Subtotal			1,908.57	1,997.63	0.00	(89.06)	
EQUINIX INC								
1 0000	Sale	04/29/13	06/05/13	198.77	212.54	0.00	(13.77)	
4 0000	Sale	04/29/13	08/13/13	704.26	850.14	0.00	(145.88)	
7 0000	Sale	04/30/13	08/13/13	1,232.48	1,484.30	0.00	(251.82)	
	Security Subtotal			2,135.51	2,546.98	0.00	(411.47)	
EBAY INC								
26 0000	COM Sale	06/26/13	12/18/13	1,362.83	1,336.70	0.00	26.13	
2 0000	Sale	07/02/13	12/18/13	104.84	106.67	0.00	(1.83)	
	Security Subtotal			1,467.67	1,443.37	0.00	24.30	



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1e. Quantity	Transaction Description	1b Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
EOG RESOURCES INC								
1.0000	Sale	11/16/12	26875P101	124.76	116.53	0.00	8.23	
3.0000	Sale	11/19/12	02/22/13	374.29	358.20	0.00	16.09	
7.0000	Sale	12/26/12	02/22/13	873.37	857.34	0.00	16.03	
	Security Subtotal			1,372.42	1,332.07	0.00	40.35	
EDWARDS LIFESCIENCES CRP								
3.0000	Sale	02/08/13	28176E108	197.77	261.00	0.00	(63.23)	
2.0000	Sale	02/08/13	07/11/13	133.77	174.00	0.00	(40.23)	
3.0000	Sale	02/11/13	07/11/13	200.66	260.01	0.00	(59.35)	
2.0000	Sale	02/11/13	07/24/13	140.04	173.34	0.00	(33.30)	
2.0000	Sale	02/12/13	07/24/13	140.05	174.63	0.00	(34.58)	
	Security Subtotal			812.29	1,042.98	0.00	(230.69)	
EXPRESS SCRIPTS HLDG CO								
5.0000	Sale	05/08/12	30219G108	276.04	269.64	0.00	6.40	
4.0000	Sale	11/06/12	02/11/13	220.84	219.53	0.00	1.31	
4.0000	Sale	11/06/12	05/10/13	245.68	219.52	0.00	26.16	
6.0000	Sale	12/26/12	05/10/13	368.54	322.77	0.00	45.77	
24.0000	Sale	12/26/12	05/13/13	1,485.46	1,291.06	0.00	194.40	
	Security Subtotal			2,596.56	2,322.52	0.00	274.04	
EATON CORP PLC								
11.0000	Sale	02/04/13	G29183103	708.84	621.60	0.00	87.24	
4.0000	Sale	02/04/13	05/13/13	260.73	226.04	0.00	34.69	
8.0000	Sale	02/04/13	06/05/13	544.97	452.08	0.00	92.89	
2.0000	Sale	02/05/13	07/11/13	136.25	115.27	0.00	20.98	
	Security Subtotal			1,650.79	1,414.99	0.00	235.80	
EXPEDITORS INTL WASH INC								
2.0000	Sale	08/20/12	302130109	76.52	76.78	0.00	(0.26)	
FAMILY DOLLAR STORES								
1.0000	Sale	10/16/12	307000109	60.76	68.09	0.00	(7.33)	
FLEXTRONICS INTL LTD								
7.0000	Sale	08/20/12	Y2573F102	53.23	47.32	0.00	5.91	



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FREEPORT-MCMRAN CPR & GLD								
8 0000	Sale	12/26/12	35671D857 06/24/13	216.35	271.60	0.00	(55.25)	
12 0000	Sale	12/26/12	07/02/13	331.71	407.40	0.00	(75.69)	
24 0000	Sale	12/26/12	07/05/13	649.43	814.80	0.00	(165.37)	
Security Subtotal				1,197.49	1,493.80	0.00	(296.31)	
FRANCE TELECOM ADR								
4 0000	Sale	12/26/12	35177Q105 05/30/13	42.01	44.44	0.00	(2.43)	
6 0000	Sale	12/26/12	05/31/13	61.09	66.65	0.00	(5.56)	
Security Subtotal				103.10	111.09	0.00	(7.99)	
FORD MOTOR CO								
18 0000	Sale	03/12/13	345370860 06/05/13	280.23	240.97	0.00	39.26	
21 0000	Sale	03/13/13	06/05/13	326.95	281.47	0.00	45.48	
Security Subtotal				607.18	522.44	0.00	84.74	
FIFTH THIRD BANCORP								
20 0000	Sale	08/28/12	316773100 06/06/13	357.47	299.75	0.00	57.72	
FACEBOOK INC CLASS A COMMON STOCK								
16 0000	Sale	12/26/12	30303M102 12/16/13	855.26	428.96	0.00	426.30	
FUJI HEAVY INDLS LTD ADR								
4 0000	Sale	01/17/13	359556206 04/05/13	128.14	104.00	0.00	24.14	
10 0000	Sale	01/17/13	04/08/13	318.38	260.00	0.00	58.38	
10 0000	Sale	01/17/13	04/11/13	331.24	260.00	0.00	71.24	
Security Subtotal				777.76	624.00	0.00	153.76	
GARTNER INC								
1 0000	Sale	08/20/12	366651107 06/05/13	56.52	48.66	0.00	7.86	
1 0000	Sale	08/21/12	06/05/13	56.53	49.19	0.00	7.34	
Security Subtotal				113.05	97.85	0.00	15.20	
GLOBAL PMTS INC GEORGIA								
2 0000	Sale	08/20/12	37940X102 06/05/13	95.38	80.72	0.00	14.66	
10 0000	Sale	12/26/12	09/17/13	499.27	447.80	0.00	51.47	
1 0000	Sale	12/26/12	09/18/13	49.77	44.78	0.00	4.99	
Security Subtotal				644.42	573.30	0.00	71.12	



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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
GOLDMAN SACHS GROUP INC								
2.0000	Sale	01/17/13	04/29/13	290.19	282.59	0.00	7.60	
11.0000	Sale	01/17/13	05/03/13	1,598.87	1,554.26	0.00	44.61	
1.0000	Sale	01/17/13	05/06/13	145.95	141.30	0.00	4.65	
Security Subtotal				2,035.01	1,978.15	0.00	56.86	
GENERAL ELECTRIC								
24.0000	Sale	11/02/12	08/15/13	575.57	512.06	0.00	63.51	
6.0000	Sale	11/05/12	08/15/13	143.90	127.56	0.00	16.34	
Security Subtotal				719.47	639.62	0.00	79.85	
HANG SENG BK LTD SPN ADR								
10.0000	Sale	12/26/12	12/09/13	161.53	153.20	0.00	8.33	
7.0000	Sale	12/26/12	12/06/13	113.44	107.24	0.00	6.20	
4.0000	Sale	12/26/12	12/09/13	64.94	61.28	0.00	3.66	
Security Subtotal				339.91	321.72	0.00	18.19	
HOLLYFRONTIER CORP								
25.0000	Sale	04/16/13	11/14/13	1,152.31	1,188.66	0.00	(36.35)	
10.0000	Sale	04/26/13	11/25/13	475.19	501.15	0.00	(25.96)	
2.0000	Sale	04/29/13	11/25/13	95.04	100.80	0.00	(5.76)	
3.0000	Sale	04/16/13	11/25/13	142.55	142.64	0.00	(0.09)	
15.0000	Sale	04/29/13	11/26/13	702.02	756.03	0.00	(54.01)	
Security Subtotal				2,567.11	2,689.28	0.00	(122.17)	
JACK HENRY & ASSOC INC								
1.0000	Sale	08/20/12	06/05/13	46.06	36.81	0.00	9.25	
INCYTE CORPORATION								
2.0000	Sale	08/20/12	06/05/13	42.83	37.07	0.00	5.76	
ILLUMINA INC								
1.0000	Sale	06/05/12	06/05/13	71.22	40.75	0.00	30.47	
1.0000	Sale	12/26/12	06/05/13	71.23	55.80	0.00	15.43	
3.0000	Sale	12/26/12	08/02/13	233.07	167.40	0.00	65.67	
6.0000	Sale	12/26/12	11/01/13	572.67	334.80	0.00	237.87	
7.0000	Sale	12/26/12	11/15/13	654.50	390.60	0.00	263.90	

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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
ILLUMINA INC								
6.0000	COM Sale	12/26/12	452327109 11/18/13	556.78	334.80	0.00	221.98	
6.0000	COM Sale	12/26/12	11/19/13	550.80	334.80	0.00	216.00	
	Security Subtotal			2,710.27	1,658.95	0.00	1,051.32	
INTL BUSINESS MACHINES CORP IBM								
1.0000	COM Sale	09/21/12	459200101 06/05/13	206.01	207.33	0.00	(1.32)	
INTL PAPER CO								
10.0000	COM Sale	06/05/12	460146103 03/27/13	454.35	280.69	0.00	173.66	
9.0000	COM Sale	12/26/12	03/27/13	408.93	357.17	0.00	51.76	
2.0000	COM Sale	12/26/12	06/05/13	90.56	79.37	0.00	11.19	
	Security Subtotal			953.84	717.23	0.00	236.61	
INTUIT INC								
1.0000	COM Sale	12/10/12	461202103 06/05/13	57.58	59.62	0.00	(2.04)	
JOY GLOBAL INC DEL COM								
1.0000	COM Sale	05/17/12	487165108 03/12/13	60.85	59.42	0.00	1.43	
3.0000	COM Sale	05/18/12	03/12/13	182.55	181.27	0.00	1.28	
1.0000	COM Sale	07/18/12	03/12/13	60.86	51.79	0.00	9.07	
5.0000	COM Sale	07/18/12	05/08/13	306.32	258.92	0.00	47.40	
2.0000	COM Sale	12/26/12	05/08/13	122.53	125.64	0.00	(3.11)	
5.0000	COM Sale	12/26/12	05/09/13	303.64	314.10	0.00	(10.46)	
18.0000	COM Sale	12/26/12	05/10/13	1,074.70	1,130.76	0.00	(56.06)	
	Security Subtotal			2,111.45	2,121.90	0.00	(10.45)	
KLA TENCOR CORP PV\$0 001								
2.0000	COM Sale	08/20/12	482480100 06/05/13	113.18	106.50	0.00	6.68	
KDDI CORP SHS								
34.0000	COM Sale	12/26/12	486671106 12/20/13	500.50	303.96	0.00	196.54	
KINDER MORGAN INC DEL								
6.0000	COM Sale	08/02/12	494568101 06/05/13	225.96	212.12	0.00	13.84	
1.0000	COM Sale	08/03/12	06/05/13	37.66	35.82	0.00	1.84	
	Security Subtotal			263.62	247.94	0.00	15.68	

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1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
KRAFT FOODS GROUP INC								
SHS								
4,000	Sale	12/26/12	11/01/13	218.63	181.00	0.00	37.63	
12,000	Sale	12/26/12	11/04/13	555.96	543.00	0.00	112.96	
2,000	Sale	05/09/13	11/04/13	109.33	110.06	0.00	(0.73)	
	Security Subtotal			983.92	834.06	0.00	149.86	
KIMBERLY CLARK								
SHS								
4,000	Sale	12/26/12	05/16/13	415.68	335.68	0.00	80.00	
10,000	Sale	12/26/12	05/20/13	1,030.04	839.20	0.00	190.84	
3,000	Sale	12/26/12	05/21/13	306.33	251.76	0.00	54.57	
	Security Subtotal			1,752.05	1,426.64	0.00	325.41	
LAMAR ADVERTISING CL A								
SHS								
1,000	Sale	08/20/12	06/05/13	43.81	32.66	0.00	11.15	
LULULEMON ATHLETICA INC								
SHS								
5,000	Sale	06/27/13	10/18/13	364.05	325.82	0.00	38.23	
4,000	Sale	06/27/13	10/21/13	291.13	260.65	0.00	30.48	
10,000	Sale	06/27/13	10/30/13	706.72	651.63	0.00	55.09	
2,000	Sale	06/27/13	10/31/13	138.96	130.33	0.00	8.63	
4,000	Sale	08/21/13	10/31/13	277.95	279.61	0.00	(1.66)	
	Security Subtotal			1,778.81	1,648.04	0.00	130.77	
LIFE TECHNOLOGIES CORP								
SHS								
1,000	Sale	03/04/13	06/05/13	74.07	59.88	0.00	14.19	
LINKEDIN CORP								
SHS								
2,000	Sale	05/17/12	02/21/13	316.35	221.67	0.00	94.68	
2,000	Sale	06/11/12	03/07/13	347.74	193.57	0.00	154.17	
1,000	Sale	06/11/12	03/28/13	175.71	96.78	0.00	78.93	
1,000	Sale	07/13/12	03/28/13	175.71	105.71	0.00	70.00	
1,000	Sale	07/16/12	04/01/13	175.06	105.73	0.00	69.32	
11,000	Sale	12/26/12	04/01/13	1,925.63	1,278.86	0.00	646.77	
	Security Subtotal			3,116.19	2,002.32	0.00	1,113.87	
LPL FINANCIAL HOLDINGS								
SHS								
1,000	Sale	08/20/12	06/05/13	31.02	28.35	0.00	8.67	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
MSC INDL DIRECT INC CL A	1.0000 Sale	08/20/12	05/30/106	81.26	70.13	0.00	11.13	
MASIMO CORP	2.0000 Sale	08/20/12	574795100	43.67	44.20	0.00	(0.53)	
	1.0000 Sale	08/21/12	06/05/13	21.84	22.93	0.00	(1.09)	
Security Subtotal				65.51	67.13	0.00	(1.62)	
MONSANTO CO NEW DEL COM	3.0000 Sale	12/26/12	61166W101	295.62	280.87	0.00	14.75	
	2.0000 Sale	12/26/12	07/02/13	193.63	187.24	0.00	6.39	
Security Subtotal				489.25	468.11	0.00	21.14	
MOLSON COOR BREW CO CL B	3.0000 Sale	08/15/12	60871R209	153.22	131.32	0.00	19.90	
	3.0000 Sale	08/16/12	06/05/13	151.22	132.02	0.00	19.20	
Security Subtotal				302.44	263.34	0.00	39.10	
MSCI INC CLASS A	4.0000 Sale	08/20/12	55354G100	140.12	141.01	0.00	(0.89)	
MEAD JOHNSON NUTRITION CO	1.0000 Sale	08/20/12	582839106	81.40	72.24	0.00	9.16	
MOTOROLA SOLUTIONS INC	1.0000 Sale	08/20/12	620076307	57.05	47.91	0.00	9.14	
MICHAEL KORS HLDGS LTD SHS	5.0000 Sale	06/27/13	G60754101	379.12	306.05	0.00	73.07	
MONDELEZ INTERNATIONAL INC	18.0000 Sale	05/02/12	609207105	568.04	465.28	0.00	102.76	
	3.0000 Sale	05/02/12	04/26/13	94.58	77.55	0.00	17.03	
	7.0000 Sale	05/07/12	04/29/13	220.70	178.35	0.00	42.35	
	6.0000 Sale	05/08/12	04/29/13	189.17	152.41	0.00	36.76	
	1.0000 Sale	05/05/12	04/29/13	31.52	24.25	0.00	7.27	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
MONDELEZ INTERNATIONAL INC								
		CUSIP Number	609207105					
36.0000	Sale	12/26/12	04/29/13	1,135.06	921.06	0.00	214.00	
12.0000	Sale	12/26/12	04/30/13	378.11	307.02	0.00	72.09	
	Security Subtotal			2,618.18	2,125.92	0.00	492.26	
MATTEL INC								
		CUSIP Number	577081102					
6.0000	COM Sale	12/26/12	10/21/13	256.27	213.02	0.00	43.25	
14.0000	Sale	12/26/12	10/22/13	601.35	497.05	0.00	104.30	
17.0000	Sale	12/26/12	10/26/13	752.25	603.57	0.00	148.68	
	Security Subtotal			1,609.87	1,313.64	0.00	296.23	
MICROSOFT CORP								
		CUSIP Number	594918104					
8.0000	Sale	03/02/12	02/05/13	220.47	259.04	0.00	(38.57)	
1.0000	Sale	04/20/12	02/05/13	27.56	32.77	0.00	(5.21)	
4.0000	Sale	03/07/12	03/07/13	112.64	131.08	0.00	(18.44)	
8.0000	Sale	05/17/12	03/07/13	225.29	239.99	0.00	(14.70)	
2.0000	Sale	06/15/12	03/07/13	56.33	59.99	0.00	(3.66)	
8.0000	Sale	06/15/12	06/05/13	278.00	239.97	0.00	38.03	
4.0000	Sale	07/12/12	06/05/13	139.00	115.37	0.00	23.63	
5.0000	Sale	08/01/12	06/05/13	173.75	147.67	0.00	26.08	
10.0000	Sale	08/16/12	06/05/13	347.51	303.87	0.00	43.64	
	Security Subtotal			1,580.55	1,529.75	0.00	50.80	
NEWELL RUBBERMAID INC								
		CUSIP Number	651229106					
5.0000	Sale	03/07/13	06/05/13	133.49	120.33	0.00	13.16	
NEXTERA ENERGY INC SHS								
		CUSIP Number	65339F101					
5.0000	Sale	10/12/12	01/18/13	357.60	347.35	0.00	10.25	
4.0000	Sale	10/15/12	01/18/13	286.08	278.11	0.00	7.97	
1.0000	Sale	10/16/12	01/18/13	71.53	70.09	0.00	1.44	
14.0000	Sale	12/26/12	01/22/13	1,004.88	976.22	0.00	28.66	
	Security Subtotal			1,720.09	1,671.77	0.00	48.32	
NUCOR CORPORATION								
		CUSIP Number	670346105					
1.0000	Sale	03/11/13	06/05/13	45.02	47.54	0.00	(2.52)	
2.0000	Sale	03/12/13	06/05/13	90.05	94.88	0.00	(4.83)	
3.0000	Sale	03/12/13	07/08/13	131.78	142.32	0.00	(10.54)	
11.0000	Sale	03/12/13	07/08/13	493.07	521.85	0.00	(28.78)	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
NUCOR CORPORATION								
2,000	Sale	03/13/13	07/09/13	89.65	92.68	0.00	(3.03)	
11,000	Sale	03/13/13	07/10/13	483.72	509.77	0.00	(26.05)	
	Security Subtotal			1,333.29	1,409.04	0.00	(75.75)	
ON SEMICONDUCTOR CORP COM								
11,000	Sale	08/20/12	06/05/13	92.75	71.11	0.00	21.64	
O'REILLY AUTOMOTIVE INC								
1,000	Sale	07/16/12	02/08/13	101.88	90.62	0.00	11.26	
4,000	Sale	07/17/12	02/08/13	407.56	369.29	0.00	38.27	
2,000	Sale	07/18/12	02/08/13	203.79	188.37	0.00	15.42	
1,000	Sale	07/18/12	02/11/13	101.88	94.18	0.00	7.70	
1,000	Sale	07/19/12	06/05/13	109.71	95.73	0.00	13.98	
	Security Subtotal			924.82	838.19	0.00	86.63	
OMNICOM GROUP COM								
1,000	Sale	08/20/12	06/05/13	61.30	52.28	0.00	9.02	
PETROLEO BRAS VITG SPD ADR								
19,000	Sale	12/26/12	07/25/13	272.28	381.44	0.00	(109.16)	
5,000	Sale	06/05/13	07/25/13	71.66	89.28	0.00	(17.62)	
	Security Subtotal			343.94	470.72	0.00	(126.78)	
PRICE T ROWE GROUP INC								
1,000	Sale	08/20/12	06/05/13	74.98	61.90	0.00	13.08	
POSCO SPV ADR								
1,000	Sale	12/26/12	09/10/13	77.89	81.16	0.00	(3.27)	
3,000	Sale	12/26/12	09/11/13	228.15	243.47	0.00	(15.32)	
1,000	Sale	12/26/12	12/19/13	77.82	81.16	0.00	(3.34)	
2,000	Sale	12/26/12	12/20/13	155.60	162.32	0.00	(6.72)	
1,000	Sale	12/26/12	12/23/13	78.28	81.16	0.00	(2.88)	
	Security Subtotal			617.74	649.27	0.00	(31.53)	

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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
PHILIP MORRIS INTL INC								
3.0000	Sale	05/07/12	03/12/13	272.30	266.74	0.00	5.56	
2.0000	Sale	06/15/12	06/05/13	182.45	174.99	0.00	7.46	
11.0000	Sale	12/26/12	07/25/13	982.57	917.93	0.00	64.64	
	Security Subtotal			1,437.32	1,359.66	0.00	77.66	
PHILLIPS 66 SHS								
12.0000	Sale	05/15/12	04/16/13	699.15	382.62	0.00	316.53	
6.0000	Sale	05/16/12	04/16/13	349.58	193.50	0.00	156.08	
2.0000	Sale	06/05/12	04/19/13	114.96	60.03	0.00	54.93	
22.0000	Sale	12/26/12	04/19/13	1,264.62	1,141.14	0.00	123.48	
	Security Subtotal			2,428.31	1,777.29	0.00	651.02	
POTASH CORP SASKATCHEWAN								
3.0000	Sale	08/20/12	06/05/13	124.57	131.06	0.00	(6.49)	
QUALCOMM INC								
6.0000	Sale	12/26/12	06/06/13	376.80	370.89	0.00	5.91	
21.0000	Sale	12/26/12	06/26/13	1,290.03	1,298.12	0.00	(8.09)	
	Security Subtotal			1,666.83	1,669.01	0.00	(2.18)	
RYANAIR HLDGS PLC								
1.0000	Sale	08/20/12	06/05/13	49.90	30.52	0.00	19.38	
1.0000	Sale	08/21/12	06/05/13	49.91	31.31	0.00	18.60	
	Security Subtotal			99.81	61.83	0.00	37.98	
RANGE RESOURCES CORP DEL								
4.0000	Sale	06/20/12	03/07/13	316.62	237.46	0.00	79.16	
4.0000	Sale	06/20/12	03/11/13	317.00	237.46	0.00	79.54	
1.0000	Sale	06/20/12	03/12/13	78.79	59.37	0.00	19.42	
2.0000	Sale	06/20/12	06/05/13	148.43	118.73	0.00	29.70	
2.0000	Sale	06/21/12	06/05/13	148.44	117.60	0.00	30.84	
	Security Subtotal			1,009.28	770.62	0.00	238.66	
RITCHIE BROS AUCTIONEERS								
2.0000	Sale	08/20/12	06/05/13	42.27	39.21	0.00	3.06	
2.0000	Sale	08/21/12	06/05/13	42.27	39.57	0.00	2.70	
	Security Subtotal			84.54	78.78	0.00	5.76	

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REED ELSEVIER N V								
3 0000	Sale	12/26/12	758204200	126.72	88.50	0.00	38.22	
8 0000	Sale	12/26/12	12/03/13	325.30	236.00	0.00	89.30	
8 0000	Sale	12/26/12	12/16/13	327.54	236.00	0.00	91.54	
				779.56	560.50	0.00	219.06	
Security Subtotal								
ST JUDE MEDICAL INC								
3 0000	Sale	08/20/12	790849103	126.64	113.79	0.00	12.85	
20 0000	Sale	12/26/12	06/05/13	1,150.56	724.92	0.00	425.64	
				1,277.20	838.71	0.00	438.49	
Security Subtotal								
SCHEIN (HENRY) INC COM								
1 0000	Sale	08/20/12	806407102	95.77	77.89	0.00	18.08	
SANDISK CORP INC								
18 0000	Sale	12/26/12	80004C101	1,081.15	792.72	0.00	288.43	
4 0000	Sale	12/26/12	09/30/13	235.60	176.16	0.00	59.44	
				1,316.75	968.88	0.00	347.87	
Security Subtotal								
SK TELECOM								
10 0000	ADR Sale	12/26/12	78440P108	232.37	162.75	0.00	69.62	
11 0000	Sale	12/26/12	11/07/13	260.09	179.03	0.00	81.06	
14 0000	Sale	12/26/12	12/05/13	324.13	227.85	0.00	96.28	
5 0000	Sale	06/05/13	12/06/13	115.77	102.59	0.00	13.18	
				932.36	672.22	0.00	260.14	
Security Subtotal								
SCHLUMBERGER LTD								
21 0000	Sale	12/26/12	806857108	1,559.67	1,458.45	0.00	201.22	
SLM CORP								
9 0000	Sale	05/16/13	78442P106	212.45	201.64	0.00	10.81	
SOLERA HOLDINGS INC								
2 0000	Sale	08/20/12	83421A104	108.29	87.27	0.00	21.02	
1 0000	Sale	08/21/12	06/05/13	54.15	43.99	0.00	10.16	
				162.44	131.26	0.00	31.18	
Security Subtotal								

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SENSATA TECH HLDNG BV, ALMELO								
		CUSIP Number	N7902X106					
4.0000	Sale	08/20/12	06/05/13	140.15	123.75	0.00	16.40	
1.0000	Sale	08/21/12	06/05/13	35.04	30.83	0.00	4.21	
Security Subtotal				175.19	154.58	0.00	20.61	
SEADRILL LTD								
		CUSIP Number	G7945E105					
1.0000	Sale	06/05/12	05/06/13	39.45	32.35	0.00	7.10	
8.0000	Sale	12/26/12	05/06/13	315.64	298.16	0.00	17.48	
Security Subtotal				355.09	330.51	0.00	24.58	
SAGE GROUP PLC SHS ADR Cash/Lieu								
		CUSIP Number	78663S201					
		12/26/12	06/21/13	10.92	10.02	0.00	0.90	
STAPLES INC								
		CUSIP Number	855030102					
22.0000	Sale	07/18/12	06/05/13	329.64	281.49	0.00	48.15	
21.0000	Sale	07/20/12	06/05/13	314.65	262.09	0.00	52.56	
1.0000	Sale	07/23/12	06/05/13	14.98	12.29	0.00	2.69	
5.0000	Sale	08/15/12	06/05/13	74.93	56.58	0.00	18.35	
Security Subtotal				734.20	612.45	0.00	121.75	
STARBUCKS CORP								
		CUSIP Number	855244109					
4.0000	Sale	12/26/12	11/07/13	317.35	214.36	0.00	102.99	
TECHNE CORP								
		CUSIP Number	878377100					
1.0000	Sale	08/20/12	06/05/13	65.82	67.11	0.00	(1.29)	
TELSTRA CORP ADR								
		CUSIP Number	87969N204					
13.0000	Sale	12/26/12	07/29/13	293.86	295.15	0.00	(1.29)	
2.0000	Sale	06/05/13	07/29/13	45.21	44.59	0.00	0.62	
Security Subtotal				339.07	339.74	0.00	(0.67)	
TRANSDIGM GROUP INC								
		CUSIP Number	893641100					
1.0000	Sale	08/20/12	06/05/13	147.28	137.73	0.00	9.55	
TE CONNECTIVITY LTD REG SHS								
		CUSIP Number	H84989104					
3.0000	Sale	08/20/12	06/05/13	134.10	105.66	0.00	27.44	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
THERMO FISHER SCIENTIFIC INC								
		CUSIP Number	883556102					
2.0000	Sale	08/20/12	04/05/13	153.87	112.93	0.00	40.94	
1.0000	Sale	08/20/12	06/05/13	87.96	56.47	0.00	31.49	
Security Subtotal				241.83	169.40	0.00	72.43	
ULTRA PETROLEUM CORP								
		CUSIP Number	903914109					
2.0000	Sale	08/20/12	06/05/13	45.30	45.33	0.00	(0.03)	
10.0000	Sale	12/26/12	11/04/13	188.90	188.50	0.00	0.40	
Security Subtotal				234.20	233.83	0.00	0.37	
UNILEVER NV NY REG SHS								
		CUSIP Number	904784709					
5.0000	Sale	10/18/12	06/05/13	202.98	185.02	0.00	17.96	
UNITEDHEALTH GROUP INC								
		CUSIP Number	91324P102					
17.0000	Sale	12/26/12	01/31/13	946.13	925.99	0.00	20.14	
VARIAN MEDICAL SYS INC								
		CUSIP Number	92220P105					
2.0000	Sale	08/20/12	06/05/13	134.53	119.67	0.00	14.86	
VERIZON COMMUNICATIONS COM								
		CUSIP Number	92343V104					
16.0000	Sale	04/26/12	03/27/13	783.57	639.31	0.00	144.26	
VISTAPRINT NV								
		CUSIP Number	N93540107					
1.0000	Sale	08/20/12	06/05/13	46.41	41.49	0.00	4.92	
3.0000	Sale	08/21/12	06/05/13	139.23	120.45	0.00	18.78	
Security Subtotal				185.64	161.94	0.00	23.70	
VERISK ANALYTICS INC CLASS A								
		CUSIP Number	92345Y106					
2.0000	Sale	08/20/12	01/25/13	110.22	97.75	0.00	12.47	
1.0000	Sale	08/20/12	06/05/13	58.23	48.87	0.00	9.36	
2.0000	Sale	08/21/12	06/05/13	116.47	97.46	0.00	19.01	
Security Subtotal				284.92	244.08	0.00	40.84	

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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
VALEANT PHARMACEUTICALS INTERNATIONAL INC								
7.0000	Sale	08/20/12	03/04/13	483.43	385.88	0.00	117.55	
8.0000	Sale	12/26/12	03/04/13	552.51	484.08	0.00	68.43	
				1,035.94	849.96	0.00	185.98	
Security Subtotal								
VOLKSWAGEN A G ADR								
2.0000	Sale	04/02/13	06/05/13	86.21	81.05	0.00	5.16	
VERTEX PHARMACEUTICALS INC								
5.0000	Sale	05/30/12	04/05/13	264.76	300.74	0.00	(35.98)	
1.0000	Sale	05/31/12	04/05/13	52.96	60.11	0.00	(7.15)	
1.0000	Sale	05/31/12	04/08/13	52.34	60.11	0.00	(7.77)	
2.0000	Sale	05/31/12	04/22/13	163.90	120.23	0.00	43.67	
1.0000	Sale	06/15/12	04/22/13	81.95	56.52	0.00	25.43	
1.0000	Sale	06/15/12	05/31/13	82.37	56.51	0.00	25.86	
3.0000	Sale	06/29/12	06/05/13	236.46	161.96	0.00	75.40	
2.0000	Sale	11/05/12	08/27/13	150.07	92.29	0.00	57.78	
13.0000	Sale	12/26/12	09/23/13	980.22	546.39	0.00	433.83	
6.0000	Sale	12/26/12	11/07/13	372.75	252.18	0.00	120.57	
13.0000	Sale	12/26/12	11/12/13	772.78	546.39	0.00	226.39	
				3,210.56	2,252.53	0.00	958.03	
Security Subtotal								
WORLD FUEL SERVICES CRP								
2.0000	Sale	08/20/12	06/05/13	80.78	72.72	0.00	8.06	
WATERS CORP								
1.0000	Sale	08/20/12	06/05/13	96.86	75.78	0.00	21.08	
WHIRLPOOL CORP								
1.0000	Sale	06/05/12	03/07/13	117.03	58.84	0.00	58.19	
2.0000	Sale	12/26/12	03/08/13	236.74	199.22	0.00	37.52	
6.0000	Sale	12/26/12	03/27/13	695.69	597.66	0.00	98.03	
5.0000	Sale	12/26/12	03/28/13	587.40	498.05	0.00	89.35	
				1,636.86	1,353.77	0.00	283.09	
Security Subtotal								
WHOLE FOODS MKT INC COM								
2.0000	Sale	04/15/13	06/05/13	102.01	87.10	0.00	14.91	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
WOLVERINE WORLD WIDE 1.0000 Sale		CUSIP Number 01/11/13	978097103 06/05/13	52.53	39.31	0.00	13.22	
XILINX INC 2.0000 Sale		CUSIP Number 08/20/12	983919101 06/05/13	81.21	67.61	0.00	13.60	
YANZHOU COAL MNG SPD ADR 23.0000 Sale 3.0000 Sale 17.0000 Sale		CUSIP Number 12/26/12 06/05/13 06/05/13	984846105 07/17/13 07/17/13 07/18/13	165.17 21.55 123.27	382.26 29.51 167.22	0.00 0.00 0.00	(217.09) (7.96) (43.95)	
Security Subtotal				309.99	578.99	0.00	(269.00)	
WOORI FIN HLDGS CO S ADR 2.0000 Sale 4.0000 Sale 4.0000 Sale 1.0000 Sale		CUSIP Number 12/26/12 12/26/12 12/26/12 06/05/13	981063100 08/28/13 08/29/13 08/30/13 08/30/13	56.28 117.28 118.93 29.74	65.49 130.99 130.98 30.41	0.00 0.00 0.00 0.00	(9.21) (13.71) (12.05) (0.67)	
Security Subtotal				322.23	357.87	0.00	(35.64)	
Covered Short Term Capital Gains and Losses Subtotal				103,977.41	91,689.12	0.00	12,288.29	

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

U.S. TREASURY NOTE 1.375% FEB 28 2019 8000.0000 Sale	CUSIP Number 12/31/12	08/09/13	7,926.25	8,174.06	0.00	(247.80)
U.S. TREASURY NOTE 0.750% OCT 31 2017 11000.0000 Sale 3000.0000 Sale 9000.0000 Sale 4000.0000 Sale	CUSIP Number 11/23/12 12/13/12 12/13/12 12/31/12	03/01/13 03/01/13 03/06/13 03/06/13	11,033.91 3,009.25 9,008.08 4,003.80	11,036.06 3,011.42 9,034.20 4,012.05	0.00 0.00 0.00 0.00	(2.15) (2.17) (26.12) (8.45)
Security Subtotal			27,054.84	27,093.73	0.00	(38.89)



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U.S. TREASURY NOTE								
023	2.000% FEB 15 2023							
1000.0000	Sale	03/01/13	08/26/13	935.62	1,012.70	77.08 (W)	0.00	
6000.0000	Sale	03/01/13	08/26/13	5,613.75	6,076.15	0.00	(462.40)	
3000.0000	Sale	03/06/13	08/26/13	2,806.88	3,020.52	0.00	(213.64)	
Security Subtotal				9,356.25	10,109.37	77.08	(676.04)	
SIEMENS AG ADR								
12 0000	Prin Payment	07/25/13	07/25/13	36.67	36.67	0.00	0.00	
Noncovered Short Term Capital Gains and Losses Subtotal				44,374.02	45,413.83	77.08	(962.73)	
NET SHORT TERM CAPITAL GAINS AND LOSSES				148,351.43	137,102.95	77.08	11,325.56	

LONG TERM CAPITAL GAINS AND LOSSES - 1099-B Line 1c.

COVERED TRANSACTIONS - 1099-B Line 6b. (cost basis reported to the IRS)

AMAZON COM INC COM								
1.0000	Sale	08/23/11	02/05/13	265.30	191.06	0.00	74.24	
1.0000	Sale	08/23/11	04/29/13	250.30	191.05	0.00	59.25	
2.0000	Sale	02/10/12	06/05/13	540.58	371.33	0.00	169.25	
2.0000	Sale	03/27/12	06/27/13	556.74	413.63	0.00	143.11	
1.0000	Sale	05/08/12	10/07/13	311.85	224.74	0.00	87.11	
Security Subtotal				1,924.77	1,391.81	0.00	532.96	
ANNALY CAP MGMT INC								
17.0000	Sale	01/25/11	03/5710409	199.67	302.88	0.00	(103.21)	
5.0000	Sale	06/05/12	10/16/13	59.52	82.50	0.00	(22.98)	
Security Subtotal				259.19	385.38	0.00	(126.19)	
ASTRAZENECA PLC SPND ADR								
3.0000	Sale	01/25/11	046353108	153.06	144.33	0.00	8.73	
3.0000	Sale	06/05/12	06/11/13	153.06	119.53	0.00	33.53	
Security Subtotal				306.12	263.86	0.00	42.26	



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10.0000	AEON COMPANY LTD ADR Sale	03/28/12	007627102	132.96	131.35	0.00	1.61	
9.0000	AEON COMPANY LTD ADR Sale	04/04/12	05/07/13	119.67	118.75	0.00	0.92	
	Security Subtotal			252.63	250.10	0.00	2.53	
1.0000	AMN ELEC POWER CO Sale	01/05/12	025537101	45.65	40.93	0.00	4.72	
10.0000	BARRICK GOLD CORPORATION Sale	01/27/12	067901108	210.62	494.32	283.70 (W)	0.00	
3.0000	BARRICK GOLD CORPORATION Sale	02/03/12	06/05/13	63.19	146.73	83.54 (W)	0.00	
	Security Subtotal			273.81	641.05	367.24	0.00	
1.0000	BIOGEN IDEC INC Sale	11/02/11	09062X103	222.30	113.57	0.00	108.73	
1.0000	BIOGEN IDEC INC Sale	11/23/11	06/05/13	222.31	110.76	0.00	111.55	
1.0000	BIOGEN IDEC INC Sale	11/23/11	07/11/13	222.83	110.76	0.00	112.07	
2.0000	BIOGEN IDEC INC Sale	02/01/12	07/11/13	445.69	243.14	0.00	202.55	
	Security Subtotal			1,113.13	578.23	0.00	534.90	
1.0000	CAP GEMINI SP ADR Sale	11/10/11	139098107	24.01	18.81	0.00	5.20	
3.0000	CROWN CASTLE INTL CORP Sale	09/22/11	228227104	218.66	125.20	0.00	93.46	
4.0000	CROWN CASTLE INTL CORP Sale	09/22/11	01/17/13	296.05	166.93	0.00	129.12	
1.0000	CROWN CASTLE INTL CORP Sale	09/23/11	01/17/13	74.01	41.97	0.00	32.04	
	Security Subtotal			588.72	334.10	0.00	254.62	
1.0000	COSTAR GROUP INC COM Sale	08/22/12	22160N109	179.98	83.22	0.00	96.76	
2.0000	CELGENE CORP COM Sale	08/20/12	151020104	309.51	140.34	0.00	169.17	
18.0000	CA INC Sale	05/02/12	12673P105	494.54	480.51	0.00	14.03	
19.0000	CISCO SYSTEMS INC COM Sale	05/18/12	17275R102	461.17	313.98	0.00	147.19	

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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
COCA COLA COM								
12.0000	Sale	05/18/11	11/26/13	484.41	408.04	0.00	76.37	
14.0000	Sale	06/23/11	11/26/13	565.16	457.52	0.00	107.64	
3.0000	Sale	06/27/12	11/26/13	121.11	114.09	0.00	7.02	
				1,170.68	979.65	0.00	191.03	
Security Subtotal								
DANAHER CORP DEL COM								
2.0000	Sale	05/16/11	06/05/13	122.88	108.19	0.00	14.69	
1.0000	Sale	05/17/11	06/05/13	61.44	53.48	0.00	7.96	
				184.32	161.67	0.00	22.65	
Security Subtotal								
DEUTSCHE BOERSE AG SHS								
6.0000	Sale	03/28/12	06/05/13	38.18	40.66	0.00	(2.48)	
14.0000	Sale	03/28/12	11/13/13	100.89	94.87	0.00	6.02	
18.0000	Sale	04/10/12	11/13/13	129.72	117.05	0.00	12.67	
14.0000	Sale	06/05/12	11/13/13	100.90	63.23	0.00	37.67	
17.0000	Sale	06/07/12	11/13/13	122.53	83.07	0.00	39.46	
10.0000	Sale	06/07/12	11/27/13	76.19	48.87	0.00	27.32	
22.0000	Sale	06/14/12	11/27/13	167.64	107.85	0.00	59.79	
5.0000	Sale	06/14/12	11/29/13	38.21	24.51	0.00	13.70	
				774.26	580.11	0.00	194.15	
Security Subtotal								
DU PONT E I DE NEMOURS								
4.0000	Sale	03/12/12	06/05/13	222.20	205.01	0.00	17.19	
5.0000	Sale	03/13/12	06/05/13	271.77	259.33	0.00	18.44	
				499.97	464.34	0.00	35.63	
Security Subtotal								
EXPRESS SCRIPTS HLDG CO								
8.0000	Sale	05/16/11	02/08/13	446.08	477.96	0.00	(31.88)	
1.0000	Sale	05/17/11	02/11/13	55.20	59.53	0.00	(4.33)	
				501.28	537.49	0.00	(36.21)	
Security Subtotal								
FREEMT-MCMRAN CPR & GLD								
3.0000	Sale	04/11/12	06/24/13	80.39	110.11	0.00	(29.72)	
5.0000	Sale	04/11/12	06/24/13	135.20	183.51	0.00	(48.31)	
2.0000	Sale	06/05/12	06/24/13	54.08	65.32	0.00	(11.24)	
3.0000	Sale	10/01/10	07/02/13	82.92	144.34	0.00	(61.42)	
7.0000	Sale	11/01/10	07/02/13	193.49	362.34	0.00	(168.85)	
				546.08	865.62	0.00	(319.54)	
Security Subtotal								



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FRANCE TELECOM ADR								
1.0000	Sale	01/21/10	05/10/13	10.77	23.88	0.00	(13.11)	
3.0000	Sale	01/21/10	05/13/13	32.22	71.67	0.00	(39.45)	
1.0000	Sale	01/21/10	05/31/13	10.17	23.89	0.00	(13.72)	
2.0000	Sale	01/21/10	05/31/13	20.35	47.79	0.00	(27.44)	
1.0000	Sale	01/21/10	05/31/13	10.17	23.61	0.00	(13.44)	
8.0000	Sale	07/14/11	05/31/13	81.42	156.97	0.00	(75.55)	
5.0000	Sale	02/03/12	05/31/13	50.89	76.25	0.00	(25.36)	
5.0000	Sale	02/06/12	05/31/13	50.89	75.83	0.00	(24.94)	
Security Subtotal				266.88	499.89	0.00	(233.01)	
FEDEX CORP DELAWARE COM								
1.0000	Sale	01/13/12	06/05/13	97.74	90.22	0.00	7.52	
1.0000	Sale	01/17/12	06/05/13	97.75	89.77	0.00	7.98	
3.0000	Sale	01/17/12	11/21/13	413.72	269.32	0.00	144.40	
Security Subtotal				609.21	449.31	0.00	159.90	
FACEBOOK INC CLASS A COMMON STOCK								
2.0000	Sale	05/18/12	06/05/13	47.03	81.99	0.00	(34.96)	
4.0000	Sale	05/18/12	12/16/13	213.81	163.97	0.00	49.84	
6.0000	Sale	11/19/12	12/16/13	320.72	141.60	0.00	179.12	
Security Subtotal				581.56	387.56	0.00	194.00	
FUJI HEAVY INDS LTD ADR								
15.0000	Sale	06/28/11	04/05/13	480.48	233.61	0.00	246.87	
5.0000	Sale	09/02/11	04/05/13	160.16	61.70	0.00	98.46	
Security Subtotal				640.64	295.31	0.00	345.33	
GLOBAL PMTS INC GEORGIA								
5.0000	Sale	08/20/12	09/16/13	249.63	201.80	0.00	47.83	
2.0000	Sale	08/20/12	09/17/13	99.85	80.72	0.00	19.13	
Security Subtotal				349.48	282.52	0.00	66.96	
GOOGLE INC CL A								
1.0000	Sale	04/01/11	06/05/13	868.97	594.01	0.00	274.96	



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HANG SENG BK LTD SPM ADR								
		CUSIP Number	41043C304					
5,000	Sale	02/29/12	11/19/13	80.19	69.38	0.00	10.81	
3,000	Sale	03/05/12	11/19/13	48.11	41.59	0.00	6.52	
10,000	Sale	03/06/12	11/19/13	160.39	138.56	0.00	21.83	
1,000	Sale	06/05/12	12/05/13	16.15	12.99	0.00	3.16	
Security Subtotal				304.84	262.52	0.00	42.32	
HITACHI LTD 10 NEW ADR								
		CUSIP Number	433578507					
1,000	Sale	04/29/11	06/05/13	65.84	54.56	0.00	11.18	
1,000	Sale	05/02/11	06/05/13	65.85	55.55	0.00	10.20	
1,000	Sale	05/03/11	06/05/13	65.85	55.87	0.00	9.98	
Security Subtotal				197.54	166.18	0.00	31.36	
ILLUMINA INC COM								
		CUSIP Number	452327109					
1,000	Sale	03/30/11	02/08/13	51.20	69.71	0.00	(18.51)	
6,000	Sale	03/30/11	02/11/13	302.32	418.23	0.00	(115.91)	
3,000	Sale	03/31/11	02/11/13	151.16	209.28	0.00	(58.12)	
3,000	Sale	05/02/11	02/12/13	150.27	214.68	0.00	(64.41)	
1,000	Sale	05/03/11	05/08/13	66.93	71.37	0.00	(4.44)	
1,000	Sale	07/29/11	05/08/13	66.93	61.68	0.00	5.25	
3,000	Sale	07/29/11	05/09/13	200.51	185.04	0.00	15.47	
1,000	Sale	04/18/12	05/09/13	66.84	43.88	0.00	22.96	
1,000	Sale	04/18/12	06/05/13	71.21	43.87	0.00	27.34	
Security Subtotal				1,127.37	1,317.74	0.00	(190.37)	
INTEL CORP								
		CUSIP Number	458140100					
6,000	Sale	05/18/11	06/05/13	151.07	143.22	0.00	7.85	
2,000	Sale	05/19/11	06/05/13	50.36	46.68	0.00	3.68	
Security Subtotal				201.43	189.90	0.00	11.53	
INTL PAPER CO								
		CUSIP Number	460146103					
3,000	Sale	03/21/11	03/13/13	137.63	81.13	0.00	56.50	
11,000	Sale	03/22/11	03/13/13	504.64	296.27	0.00	208.37	
14,000	Sale	06/20/11	03/13/13	642.27	384.07	0.00	258.20	
3,000	Sale	06/21/11	03/13/13	137.64	85.43	0.00	52.21	
3,000	Sale	06/21/11	03/14/13	137.58	85.42	0.00	52.16	
7,000	Sale	06/24/11	03/14/13	321.05	201.71	0.00	119.34	
1,000	Sale	06/24/11	03/26/13	45.75	28.61	0.00	16.94	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
INTL PAPER CO								
5,000	Sale	06/27/11	03/26/13	228.78	146.49	0.00	82.29	
2,000	Sale	06/27/11	03/27/13	90.87	58.59	0.00	32.28	
Security Subtotal				2,246.21	1,367.92	0.00	878.29	
JPMORGAN CHASE & CO								
7,000	Sale	11/04/11	06/05/13	377.48	236.64	0.00	140.84	
11,000	Sale	11/07/11	06/05/13	593.19	374.80	0.00	218.39	
Security Subtotal				970.67	611.44	0.00	359.23	
JOY GLOBAL INC DEL COM								
6,000	Sale	01/25/12	03/07/13	371.90	544.68	0.00	(172.78)	
1,000	Sale	02/06/12	03/07/13	61.99	95.20	0.00	(33.21)	
1,000	Sale	02/06/12	03/11/13	61.72	95.20	0.00	(33.48)	
1,000	Sale	02/07/12	03/12/13	60.85	93.17	0.00	(32.32)	
Security Subtotal				556.46	828.25	0.00	(271.79)	
JOHNSON AND JOHNSON COM								
2,000	Sale	05/12/11	06/05/13	168.28	133.11	0.00	35.17	
6,000	Sale	06/23/11	06/05/13	504.85	390.58	0.00	114.27	
Security Subtotal				673.13	523.69	0.00	149.44	
KODI CORP SHS								
10,000	Sale	01/18/11	06/05/13	107.43	70.84	0.00	36.59	
13,000	Sale	01/27/11	06/05/13	139.67	95.19	0.00	44.48	
3,000	Sale	01/27/11	11/19/13	45.52	21.97	0.00	23.55	
24,000	Sale	02/21/12	11/19/13	364.23	196.21	0.00	168.02	
12,000	Sale	02/21/12	12/20/13	176.64	98.10	0.00	78.54	
2,000	Sale	06/05/12	12/20/13	29.44	15.49	0.00	13.95	
Security Subtotal				862.93	497.80	0.00	365.13	
KOC HLDG AS-UNSPON								
1,000	Sale	03/09/11	06/05/13	26.88	20.90	0.00	5.98	

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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
KRAFT FOODS GROUP INC								
SHS		CUSIP Number	50076Q106					
2,0000	Sale	05/02/12	06/05/13	107.88	83.84	0.00	24.05	
4,0000	Sale	05/02/12	11/01/13	218.60	167.69	0.00	50.91	
3,0000	Sale	05/07/12	11/01/13	163.95	124.56	0.00	39.39	
2,0000	Sale	05/08/12	11/01/13	109.30	82.43	0.00	26.87	
Security Subtotal				599.74	458.52	0.00	141.22	
KIMBERLY CLARK								
		CUSIP Number	494368103					
3,0000	Sale	09/22/11	05/16/13	311.75	206.46	0.00	105.29	
7,0000	Sale	10/03/11	05/16/13	727.44	495.88	0.00	231.56	
Security Subtotal				1,039.19	702.34	0.00	336.85	
MANULIFE FINANCIAL CORP								
		CUSIP Number	56501R106					
5,0000	Sale	06/24/11	06/05/13	77.39	80.92	0.00	(3.53)	
2,0000	Sale	06/27/11	06/05/13	30.96	32.54	0.00	(1.58)	
3,0000	Sale	06/30/11	06/05/13	46.44	52.89	0.00	(6.45)	
Security Subtotal				154.79	165.35	0.00	(11.56)	
MONSANTO CO NEW DEL COM								
		CUSIP Number	61166W101					
7,0000	Sale	06/30/11	01/17/13	710.77	504.33	0.00	206.44	
4,0000	Sale	10/14/11	01/17/13	406.16	295.47	0.00	110.69	
2,0000	Sale	10/27/11	01/17/13	203.08	155.61	0.00	47.47	
1,0000	Sale	10/27/11	06/05/13	100.93	77.80	0.00	23.13	
2,0000	Sale	01/06/12	06/05/13	201.88	155.17	0.00	46.71	
1,0000	Sale	01/09/12	06/06/13	98.54	77.83	0.00	20.71	
3,0000	Sale	04/12/12	06/06/13	295.62	233.64	0.00	61.98	
1,0000	Sale	06/05/12	06/06/13	98.54	77.03	0.00	21.51	
Security Subtotal				2,115.52	1,576.88	0.00	538.64	
MIZUHO FINL GROUP INC								
ADR		CUSIP Number	60687Y109					
13,0000	Sale	04/28/11	02/13/13	58.49	41.40	0.00	17.09	
3,0000	Sale	04/29/11	02/13/13	13.49	9.59	0.00	3.90	
3,0000	Sale	05/02/11	02/13/13	13.50	9.87	0.00	3.63	
5,0000	Sale	05/03/11	02/13/13	22.50	16.70	0.00	5.80	
2,0000	Sale	05/04/11	02/13/13	9.00	6.61	0.00	2.39	
1,0000	Sale	05/05/11	02/13/13	4.51	3.29	0.00	1.22	
2,0000	Sale	05/05/11	02/14/13	8.77	6.57	0.00	2.20	
3,0000	Sale	05/06/11	02/14/13	13.16	9.81	0.00	3.35	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
MIZUHO FINL GROUP INC								
ADR		CUSIP Number	60687Y109					
5.0000	Sale	05/09/11	02/14/13	21.94	16.60	0.00	5.34	
2.0000	Sale	05/10/11	02/14/13	8.77	6.73	0.00	2.04	
1.0000	Sale	05/11/11	02/14/13	4.39	3.31	0.00	1.08	
36.0000	Sale	05/12/11	02/14/13	158.04	122.19	0.00	35.85	
Security Subtotal				336.56	252.67	0.00	83.89	
MERCK AND CO INC SHS								
8.0000	Sale	04/04/12	06/05/13	395.98	309.66	0.00	86.32	
MAGNA INTL INC CL A VTG								
3.0000	Sale	01/11/12	06/05/13	199.47	113.81	0.00	85.66	
MATTEL INC								
6.0000	Sale	08/30/11	06/05/13	266.20	157.28	0.00	108.92	
1.0000	Sale	09/03/11	06/05/13	44.36	25.94	0.00	18.42	
3.0000	Sale	09/06/11	06/05/13	133.11	75.11	0.00	57.00	
4.0000	Sale	09/06/11	10/17/13	168.72	100.03	0.00	68.69	
5.0000	Sale	09/27/11	10/17/13	210.92	128.30	0.00	82.62	
4.0000	Sale	09/27/11	10/21/13	170.84	102.64	0.00	68.20	
9.0000	Sale	09/29/11	10/21/13	384.39	228.21	0.00	156.18	
Security Subtotal				1,378.54	818.51	0.00	560.03	
MEDTRONIC INC								
2.0000	Sale	01/21/10	12/26/13	114.82	83.06	0.00	31.76	
MICROSOFT CORP								
10.0000	Sale	08/09/11	01/31/13	277.76	252.05	0.00	25.71	
16.0000	Sale	08/18/11	01/31/13	444.42	398.14	0.00	46.28	
12.0000	Sale	08/18/11	02/05/13	330.69	298.60	0.00	32.09	
Security Subtotal				1,052.87	948.79	0.00	104.08	
PETROLEO BRAS VTG SPD ADR								
1.0000	Sale	09/02/11	07/25/13	14.29	27.41	0.00	(13.12)	
4.0000	Sale	06/05/12	07/25/13	57.19	79.60	0.00	(22.41)	
Security Subtotal				71.48	107.01	0.00	(35.53)	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
1.0000	SPN ADR	06/02/11	09/03/13	73.21	93.60	0.00	(20.39)	
1.0000	Sale	06/05/12	08/10/13	77.88	75.55	0.00	2.33	
	Security Subtotal			151.09	169.15	0.00	(18.06)	
3.0000	PHILIP MORRIS INTL INC	02/10/12	03/11/13	273.89	240.69	0.00	33.00	
1.0000	Sale	02/13/12	03/11/13	91.24	81.44	0.00	9.80	
9.0000	Sale	02/13/12	03/12/13	816.89	732.97	0.00	83.92	
1.0000	Sale	05/07/12	06/05/13	91.21	88.91	0.00	2.30	
1.0000	Sale	06/15/12	07/25/13	89.32	87.49	0.00	1.83	
	Security Subtotal			1,362.35	1,231.50	0.00	130.85	
3.0000	PROCTER & GAMBLE CO	05/16/11	06/05/13	230.97	200.95	0.00	30.02	
1.0000	Sale	06/22/11	06/05/13	76.99	64.31	0.00	12.68	
1.0000	Sale	06/22/11	12/23/13	81.60	64.30	0.00	17.30	
4.0000	Sale	08/15/11	12/23/13	326.40	246.70	0.00	79.70	
4.0000	Sale	08/22/11	12/23/13	326.41	246.81	0.00	79.60	
3.0000	Sale	10/23/12	12/23/13	244.81	202.23	0.00	42.58	
2.0000	Sale	10/24/12	12/23/13	163.21	135.94	0.00	27.27	
	Security Subtotal			1,450.39	1,161.24	0.00	289.15	
5.0000	QUALCOMM INC	07/21/11	03/07/13	332.69	284.64	0.00	48.05	
4.0000	Sale	07/21/11	05/09/13	257.37	227.72	0.00	29.65	
1.0000	Sale	07/22/11	05/09/13	64.34	57.11	0.00	7.23	
2.0000	Sale	11/18/11	05/09/13	128.69	111.70	0.00	16.99	
2.0000	Sale	11/18/11	05/09/13	126.90	111.69	0.00	15.21	
2.0000	Sale	03/23/12	06/06/13	125.59	133.30	0.00	(7.71)	
4.0000	Sale	04/18/12	06/06/13	251.20	268.32	0.00	(17.12)	
	Security Subtotal			1,286.78	1,194.48	0.00	92.30	
1.0000	REED ELSEVIER N V	04/29/11	06/05/13	32.74	26.28	0.00	6.46	
1.0000	Sale	05/02/11	06/05/13	32.75	26.68	0.00	6.07	
1.0000	Sale	05/03/11	06/05/13	32.76	26.56	0.00	6.20	
1.0000	Sale	05/03/11	12/02/13	42.59	26.56	0.00	16.03	
1.0000	Sale	05/06/11	12/02/13	42.59	25.94	0.00	16.65	
1.0000	Sale	05/10/11	12/02/13	42.59	26.63	0.00	15.96	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a. Amount	3. Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
REED ELSEVIER N V								
1.0000	Sale	05/11/11	12/02/13	42.60	27.11	0.00	15.49	
3.0000	Sale	05/12/11	12/02/13	127.80	81.26	0.00	46.54	
10.0000	Sale	05/20/11	12/03/13	422.35	271.99	0.00	150.36	
1.0000	Sale	09/02/11	12/03/13	42.23	23.55	0.00	18.68	
2.0000	Sale	06/05/12	12/03/13	84.47	40.81	0.00	43.66	
1.0000	Sale	06/06/12	12/03/13	42.23	20.75	0.00	21.48	
Security Subtotal				987.70	624.12	0.00	363.58	
ST JUDE MEDICAL INC								
2.0000	Sale	08/20/12	09/16/13	106.21	75.86	0.00	30.35	
5.0000	Sale	08/20/12	10/07/13	281.84	189.66	0.00	92.18	
4.0000	Sale	08/20/12	11/22/13	230.78	151.73	0.00	79.05	
1.0000	Sale	08/20/12	12/13/13	57.52	37.93	0.00	19.59	
Security Subtotal				676.35	455.18	0.00	221.17	
SANDISK CORP INC								
3.0000	Sale	01/27/12	06/05/13	173.39	140.44	0.00	32.95	
8.0000	Sale	01/27/12	09/26/13	481.87	374.52	0.00	107.35	
5.0000	Sale	03/02/12	09/26/13	301.17	254.97	0.00	46.20	
1.0000	Sale	03/02/12	09/27/13	60.06	51.00	0.00	9.06	
Security Subtotal				1,016.49	820.93	0.00	195.56	
SK TELECOM								
3.0000	Sale	09/02/11	11/07/13	69.89	47.17	0.00	22.72	
3.0000	Sale	06/05/12	11/07/13	69.89	34.82	0.00	35.07	
10.0000	Sale	06/05/12	11/07/13	232.36	116.06	0.00	116.30	
Security Subtotal				372.14	198.05	0.00	174.09	
SCHLUMBERGER LTD								
4.0000	Sale	01/27/11	01/30/13	316.12	348.73	0.00	(32.61)	
3.0000	Sale	10/26/11	01/30/13	237.09	206.18	0.00	30.91	
Security Subtotal				553.21	554.91	0.00	(1.70)	
SANOFI ADR								
2.0000	Sale	08/17/11	06/05/13	105.81	72.38	0.00	33.43	



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1e Quantity	Transaction Description	1b Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
SEGA SAMMY HOLDINGS INC								
ADR		CUSIP Number	815794102					
26 0000	Sale	03/29/12	06/05/13	151.36	138.63	0.00	12.73	
11 0000	Sale	04/05/12	06/05/13	64.04	58.79	0.00	5.25	
Security Subtotal				215.40	197.42	0.00	17.98	
SEADRILL LTD								
2 0000	Sale	05/09/11	G7945E105	77.74	67.46	0.00	10.28	
3 0000	Sale	05/10/11	05/03/13	116.61	102.47	0.00	14.14	
1 0000	Sale	05/10/11	05/06/13	39.10	34.16	0.00	4.94	
1 0000	Sale	05/11/11	05/06/13	39.11	33.79	0.00	5.32	
Security Subtotal				272.56	237.88	0.00	34.68	
TOTAL S.A. SP ADR								
1 0000	Sale	01/21/10	89151E109	58.97	60.13	0.00 (Y)	(1.16)	
ULTRA PETROLEUM CORP								
6 0000	Sale	08/20/12	903914109	113.33	135.99	0.00	(22.66)	
UNION PACIFIC CORP								
1 0000	Sale	10/06/11	907818108	154.63	89.02	0.00	65.61	
VERIZON COMMUNICATIONS COM								
8 0000	Sale	04/26/12	92343V104	388.32	319.56	0.00	68.66	
VERTEX PHARMACTLS INC								
2 0000	Sale	08/29/12	92532F100	150.07	107.38	0.00	42.69	
4 0000	Sale	08/20/12	08/27/13	300.14	217.29	0.00	82.85	
Security Subtotal				450.21	324.67	0.00	125.54	
WAL-MART STORES INC								
2 0000	Sale	07/14/11	931142103	151.72	107.18	0.00	44.54	
WHIRLPOOL CORP								
3 0000	Sale	08/08/11	963320106	351.08	185.44	0.00	165.64	
3 0000	Sale	08/10/11	03/07/13	351.08	174.93	0.00	176.15	
1 0000	Sale	08/11/11	03/07/13	117.02	57.89	0.00	59.13	
1 0000	Sale	08/12/11	03/07/13	117.03	62.43	0.00	54.60	
3 0000	Sale	08/15/11	03/07/13	351.09	188.82	0.00	162.27	
Security Subtotal				1,287.30	669.51	0.00	617.79	

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2.0000	COAL MNG SPD ADR	08/17/10	07/03/13	13.49	48.18	0.00 (V)	(34.69)	
3.0000	Sale	08/20/10	07/03/13	20.25	73.48	0.00 (V)	(53.23)	
1.0000	Sale	08/20/10	07/05/13	6.95	24.50	0.00 (V)	(17.55)	
5.0000	Sale	06/05/12	07/05/13	34.76	76.73	0.00	(41.97)	
2.0000	Sale	06/05/12	07/17/13	14.35	30.69	0.00	(16.33)	
Security Subtotal				89.81	253.58	0.00	(163.77)	
1.0000	WOORI FIN HLDGS CO S ADR	09/02/11	08/05/13	30.19	31.16	0.00	(0.97)	
2.0000	Sale	06/05/12	08/05/13	60.40	55.87	0.00	4.53	
Security Subtotal				90.59	87.03	0.00	3.56	
Covered Long Term Capital Gains and Losses Subtotal				39,088.13	31,307.75	367.24	8,147.62	

NONCOVERED TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

U.S. TREASURY NOTE 1.375% FEB 28 2019 5000.0000	Sale	03/01/12	08/09/13	4,953.90	4,980.47	0.00	(26.57)	
ALLSTATE CORP DEL COM 6.0000	Sale	01/21/10	06/05/13	278.51	184.26	0.00	94.25	
AGRIUM INC 2.0000	Sale	01/21/10	05/02/13	178.11	122.04	0.00	56.07	
AMAZON COM INC COM 1.0000	Sale	09/14/10	02/05/13	265.29	146.18	0.00	119.11	
ANNALY CAP MGMT INC 21.0000 17.0000	Sale Sale	01/21/10 01/21/10	03/27/09 09/26/13 10/16/13	253.29 199.67	360.09 291.51	0.00 0.00	(106.80) (91.84)	
Security Subtotal				452.96	651.60	0.00	(198.64)	
AXIS CAPITAL HOLDINGS LTD 8.0000	Sale	01/21/10	05/15/13	367.92	229.44	0.00	138.48	



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1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
7.0000	ASTRAZENECA PLC SPND ADR Sale	01/21/10	06/05/13	356.71	348.88	0.00	7.83	
5.0000	ASTRAZENECA PLC SPND ADR Sale	01/21/10	06/11/13	255.10	249.20	0.00	5.90	
	Security Subtotal			611.81	598.08	0.00	13.73	
8.0000	AMERIPRISE FINL INC Sale	08/27/10	06/05/13	648.13	345.88	0.00	302.25	
1.0000	AT&T INC Sale	01/21/10	06/05/13	35.55	25.54	0.00	10.01	
1.0000	APPLE INC Sale	10/01/09	06/05/13	450.33	182.75	0.00	267.58	
3.0000	APPLE INC Sale	10/01/09	07/01/13	1,229.20	548.27	0.00	680.93	
1.0000	APPLE INC Sale	10/01/09	08/21/13	504.81	182.75	0.00	322.06	
	Security Subtotal			2,184.34	913.77	0.00	1,270.57	
3.0000	BAE SYS PLC SPN ADR Sale	02/16/10	05/23/107	73.84	65.66	0.00	8.18	
3.0000	BOEING COMPANY Sale	06/11/10	06/05/13	298.44	194.47	0.00	103.97	
3.0000	BOEING COMPANY Sale	06/11/10	11/21/13	398.25	194.47	0.00	203.78	
	Security Subtotal			696.69	388.94	0.00	307.75	
2.0000	CHEVRON CORP Sale	01/21/10	06/05/13	245.47	153.54	0.00	91.93	
1.0000	CONOCOPHILLIPS Sale	01/21/10	06/05/13	61.95	40.56	0.00	21.39	
10.0000	CONOCOPHILLIPS Sale	01/21/10	10/10/13	704.88	405.57	0.00	299.31	
	Security Subtotal			766.83	446.13	0.00	320.70	
9.0000	COCA COLA COM Sale	07/13/10	06/05/13	368.95	237.44	0.00	131.51	
3.0000	COCA COLA COM Sale	07/13/10	11/26/13	121.10	79.15	0.00	41.95	
	Security Subtotal			490.05	316.59	0.00	173.46	

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HOWARTH AND SMITH FOUNDATION

2013 ANNUAL STATEMENT SUMMARY

1099-B 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b Date of Acquisition	1a Date of Sale or Exchange	2a Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
3.0000	DIAGEO PLC SP5D ADR NEW	01/21/10	25243Q205	358.56	209.01	0.00	149.55	
2.0000	Sale	01/21/10	02/14/13	241.70	139.34	0.00	102.36	
	Security Subtotal			600.26	348.35	0.00	251.91	
17.0000	E M C CORPORATION MASS	01/15/10	268648102	411.28	305.63	0.00	105.65	
13.0000	Sale	01/15/10	04/29/13	292.59	233.71	0.00	58.88	
1.0000	Sale	01/15/10	06/05/13	24.44	17.98	0.00	6.46	
	Security Subtotal			728.31	557.32	0.00	170.99	
3.0000	FREEPRT-MCMRAN CPR & GLD	10/01/10	35671D857	80.38	132.82	52.44 (W)	0.00	
7.0000	Sale	11/01/10	06/24/13	187.55	335.47	147.92 (W)	0.00	
7.0000	Sale	11/01/10	06/24/13	187.55	335.48	0.00	(147.93)	
4.0000	Sale	11/09/10	06/24/13	107.17	214.50	0.00	(107.33)	
	Security Subtotal			562.65	1,018.27	200.36	(255.26)	
3.0000	FRANCE TELECOM ADR	01/21/10	35177Q105	32.00	71.82	0.00	(39.82)	
4.0000	Sale	01/21/10	05/07/13	42.79	95.76	0.00	(52.97)	
1.0000	Sale	01/21/10	05/08/13	10.70	23.94	0.00	(13.24)	
3.0000	Sale	01/21/10	05/09/13	31.88	71.82	0.00	(39.94)	
6.0000	Sale	01/21/10	05/10/13	64.59	143.64	0.00	(79.05)	
	Security Subtotal			181.96	406.98	0.00	(225.02)	
4.0000	FUJI HEAVY INDS LTD ADR	08/17/10	359556206	128.12	44.20	0.00	83.92	
17.0000	GENERAL ELECTRIC	07/29/10	369604103	399.49	274.31	0.00	125.18	
6.0000	Sale	07/29/10	06/05/13	139.27	96.82	0.00	42.45	
7.0000	Sale	07/30/10	07/02/13	162.50	112.52	0.00	49.98	
25.0000	Sale	07/30/10	08/15/13	599.54	401.86	0.00	197.68	
	Security Subtotal			1,300.80	885.51	0.00	415.29	
29.0000	INTEL CORP	08/27/10	458140100	730.14	527.07	0.00	203.07	



Merrill Lynch
Bank of America Corporation

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HOWARTH AND SMITH FOUNDATION

2013 ANNUAL STATEMENT SUMMARY

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
KIMBERLY CLARK								
3.0000	Sale	06/04/10	05/16/13	311.75	180.58	0.00	131.17	
LOCKHEED MARTIN CORP								
2.0000	Sale	03/11/10	06/05/13	208.99	165.42	0.00	43.57	
MARKS AND SPENCER GP ADR								
4.0000	Sale	01/21/10	06/05/13	55.30	45.80	0.00	9.50	
METLIFE INC								
7.0000	COM Sale	01/21/10	06/05/13	305.80	258.87	0.00	46.93	
10.0000	Sale	04/21/10	06/05/13	436.87	465.53	0.00	(28.66)	
	Security Subtotal			742.67	724.40	0.00	18.27	
MARATHON OIL CORP								
7.0000	Sale	01/21/10	06/05/13	242.03	131.99	0.00	110.04	
MEDTRONIC INC								
9.0000	COM Sale	01/21/10	06/05/13	461.91	400.14	0.00	61.77	
11.0000	Sale	01/21/10	12/26/13	631.45	489.06	0.00	142.39	
	Security Subtotal			1,093.36	889.20	0.00	204.16	
MITTO DENKO CORP ADR								
11.0000	Sale	09/30/10	05/16/13	371.31	217.15	0.00	154.16	
NORTHROP GRUMMAN CORP								
5.0000	Sale	01/21/10	06/05/13	409.95	257.72	0.00	152.23	
PETROLEO BRAS VTG SPD ADR								
7.0000	Sale	05/06/09	07/25/13	100.06	273.69	0.00	(173.63)	
POSCO SPN ADR								
3.0000	Sale	01/21/10	08/29/13	217.14	391.50	0.00	(174.36)	
1.0000	Sale	01/21/10	08/30/13	72.05	130.50	0.00	(58.45)	
	Security Subtotal			289.19	522.00	0.00	(232.81)	
PNC FINCL SERVICES GROUP								
2.0000	Sale	11/10/10	06/05/13	141.68	113.11	0.00	28.57	
4.0000	Sale	11/12/10	06/05/13	283.39	228.53	0.00	54.86	
	Security Subtotal			425.07	341.64	0.00	83.43	



HOWARTH AND SMITH FOUNDATION

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2013 ANNUAL STATEMENT SUMMARY
2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
PHILLIPS 66 SHS 6.0000 Sale		CUSIP Number 01/21/10	718546104 04/16/13	349.57	144.63	0.00	204.94	
PFIZER INC 17.0000 Sale 7.0000 Sale 12.0000 Sale		CUSIP Number 03/23/10 05/05/10 05/05/10	717081103 01/08/13 01/08/13 06/05/13	443.24 182.52 334.30 960.06	298.42 120.19 206.03 624.64	0.00 0.00 0.00 0.00	144.82 62.33 128.27 335.42	
Security Subtotal								
PRECISION CASTPARTS 4.0000 Sale 1.0000 Sale 2.0000 Sale		CUSIP Number 07/28/10 07/28/10 08/19/10	740189105 01/17/13 06/05/13 09/26/13	742.08 213.54 459.99 1,415.61	490.04 122.51 239.21 851.76	0.00 0.00 0.00 0.00	252.04 91.03 220.78 563.85	
Security Subtotal								
RENAISSANCE HLDGS LTD 1.0000 Sale		CUSIP Number 01/21/10	G7496G103 06/05/13	85.64	54.23	0.00	31.41	
REYNOLDS AMERICAN INC 6.0000 Sale		CUSIP Number 01/21/10	761713106 06/05/13	290.36	160.32	0.00	130.04	
ROPER INDUSTRIES INC COM 1.0000 Sale		CUSIP Number 01/21/10	776696106 06/05/13	123.55	52.43	0.00	71.12	
SK TELECOM ADR 17.0000 Sale 11.0000 Sale		CUSIP Number 01/21/10 01/21/10	78440P108 05/15/13 11/07/13	364.36 256.25 620.61	308.38 199.54 507.92	0.00 0.00 0.00	55.98 56.71 112.69	
Security Subtotal								
SCHLUMBERGER LTD 3.0000 Sale 2.0000 Sale 4.0000 Sale		CUSIP Number 01/29/10 11/15/10 11/16/10	806857108 01/30/13 01/30/13 01/30/13	237.09 158.06 316.12 711.27	196.01 148.72 293.37 638.10	0.00 0.00 0.00 0.00	41.08 9.34 22.75 73.17	
Security Subtotal								
SAGE GROUP PLC UNSP ADR 1.0000 Sale 2.0000 Sale		CUSIP Number 07/19/10 07/20/10	78663S102 06/05/13 06/05/13	21.85 43.72 65.57	14.45 28.88 43.33	0.00 0.00 0.00	7.40 14.84 22.24	
Security Subtotal								



Bank of America Corporation

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HOWARTH AND SMITH FOUNDATION

2013 ANNUAL STATEMENT SUMMARY

1099-B 2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1e. Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3. Cost Basis	5. Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
STARBUCKS CORP								
3.0000	Sale	05/07/10	05/07/13	189.54	77.03	0.00	112.51	
2.0000	Sale	05/12/10	06/05/13	126.36	55.56	0.00	70.80	
6.0000	Sale	05/12/10	07/10/13	406.96	166.67	0.00	240.29	
2.0000	Sale	05/12/10	11/07/13	159.67	55.55	0.00	103.12	
11.0000	Sale	09/27/10	11/07/13	872.69	289.11	0.00	583.58	
Security Subtotal				1,754.22	643.92	0.00	1,110.30	
SVENSKA C AKTI SPONS ADR								
4.0000	Sale	05/18/10	06/05/13	101.12	45.84	0.00	55.28	
TOTAL S.A SP ADR								
9.0000	Sale	01/21/10	10/10/13	530.77	554.94	0.00	(24.17)	
4.0000	Sale	02/12/10	10/10/13	235.91	227.21	0.00	8.70	
Security Subtotal				766.68	782.15	0.00	(15.47)	
TAIWAN S MANUFACTURING ADR								
2.0000	Sale	11/09/10	06/05/13	37.60	22.44	0.00	15.16	
TELSTRA CORP ADR								
14.0000	Sale	01/21/10	07/26/13	317.88	212.80	0.00	105.08	
TRAVELERS COS INC								
4.0000	Sale	01/21/10	06/05/13	334.52	193.48	0.00	141.04	
UNITEDHEALTH GROUP INC								
6.0000	Sale	06/16/10	01/31/13	333.92	189.12	0.00	144.80	
7.0000	Sale	10/26/10	01/31/13	389.58	261.43	0.00	128.15	
Security Subtotal				723.50	450.55	0.00	272.95	
XEROX CORP								
69.0000	Sale	01/21/10	06/05/13	613.70	639.45	0.00	(25.75)	
YANZHOU COAL MING SPD ADR								
2.0000	Sale	08/17/10	07/02/13	14.07	42.58	28.51 (W)	0.00	
4.0000	Sale	08/20/10	07/02/13	28.15	86.78	58.63 (W)	0.00	
2.0000	Sale	08/20/10	07/03/13	13.50	43.39	0.00	(29.89)	
Security Subtotal				55.72	172.75	87.14	(29.89)	



HOWARTH AND SMITH FOUNDATION

Account No.
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2013 ANNUAL STATEMENT SUMMARY

2013 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

1e Quantity	Transaction Description	1b. Date of Acquisition	1a. Date of Sale or Exchange	2a. Amount	3 Cost Basis	5 Wash Sale Loss Disallowed	Gain or (Loss)	Remarks
YAMANA GOLD INC								
3.0000	Sale	CUSIP Number 01/21/10	98462Y100 06/05/13	35.81	32.79	0.00	3.02	
WELLS FARGO & CO NEW DEL								
11.0000	Sale	CUSIP Number 08/26/10	949746107 06/05/13	443.18	259.94	0.00	183.24	
5.0000	Sale	08/27/10	06/05/13	201.45	118.85	0.00	82.60	
	Security Subtotal			644.63	378.79	0.00	265.84	
WOORI FIN HL DGS CO S ADR								
1.0000	Sale	CUSIP Number 11/29/10	981063100 08/02/13	30.72	36.82	0.00	(6.10)	
2.0000	Sale	11/30/10	08/02/13	61.45	74.69	0.00	(13.24)	
1.0000	Sale	12/14/10	08/02/13	30.73	38.58	0.00	(7.85)	
2.0000	Sale	12/15/10	08/05/13	60.39	75.64	0.00	(15.25)	
	Security Subtotal			183.29	225.73	0.00	(42.44)	
FIXED INCOME SHARES								
	SERIES C F CL INSTL	CUSIP Number 01/26/10	01882B205 06/13/13	5,812.30	5,569.20	0.00	243.10	
442.0000	Sale							
FIXED INCOME SHARES								
	SERIES M F CL INSTL	CUSIP Number 01/26/10	01882B304 06/13/13	13,670.10	12,263.25	0.00	1,406.85	
1245.0000	Sale							
Noncovered Long Term Capital Gains and Losses Subtotal								
				50,404.63	41,815.91	287.50	8,876.22	
NET LONG TERM CAPITAL GAINS AND LOSSES								
				89,492.76	73,123.66	654.74	17,023.84	

OTHER TRANSACTIONS - 1099-B Line 6a. (cost basis not reported to the IRS)

ROYAL DUTCH SHELL PLC SPONS ADR A	CUSIP Number 10/09/13	780259206 10/09/13	64.63	N/A	0.00	N/A
Other Transactions Subtotal			64.63		0.00	
TOTAL SALES PROCEEDS FOR CAPITAL GAINS AND LOSSES			237,908.82			
TOTAL REPORTED SALES PROCEEDS			237,908.82			

REALIZED GAIN (LOSS) REPORT

MORGAN STANLEY ACCOUNT #137-033678

Morgan Stanley

Corporate Tax Statement Tax Year 2013

DON HOWARTH & SUZELLE SMITH
FOUNDATION
ATTN: STACY KERN
523 WEST 6TH ST, STE 728
LOS ANGELES CA 90014-1223

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 72-1546393
Account Number: 137 033678 096
Customer Service: 866-324-6088

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

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
GBP SAVINGS DEPOSIT	4.480	CUSIP: 99XFCA065	Symbol (Box 1d): GBP030609	\$6.71	\$0.00	\$0.00	\$0.00	\$0.00
		03/25/13		\$6.71	\$0.00	\$0.00	\$0.00	\$0.00
Total Short Term Noncovered Securities					\$0.00	\$0.00	\$0.00	\$0.00

Morgan Stanley

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Corporate Tax Statement Tax Year 2013

DON HOWARTH & SUZELLE SMITH
FOUNDATION
ATTN: STACY KERN
523 WEST 6TH ST, STE 728
LOS ANGELES CA 90014-1223

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632
Taxpayer ID Number: 72-1546393
Account Number: 137 033678 096
Customer Service: 866-324-6088

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

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
OPPENHEIMER INTL BOND FD CL C	6,837 974	03/31/08	09/26/13	\$41,500.00	\$46,019.57	\$0.00	(\$4,519.57)	\$0.00
	8,020 026	03/31/08	11/21/13	\$48,515.38	\$53,974.77	\$0.00	(\$5,459.39)	\$0.00
	36,000	04/30/08	11/21/13	\$217.77	\$237.96	\$0.00	(\$20.19)	\$0.00
	1,000	05/01/08	11/21/13	\$6.05	\$6.57	\$0.00	(\$0.52)	\$0.00
	44,000	05/30/08	11/21/13	\$266.17	\$287.32	\$0.00	(\$21.15)	\$0.00
	40,000	06/30/08	11/21/13	\$241.97	\$258.00	\$0.00	(\$16.03)	\$0.00
	1,000	07/01/08	11/21/13	\$6.05	\$6.43	\$0.00	(\$0.38)	\$0.00
	43,000	07/31/08	11/21/13	\$260.12	\$277.78	\$0.00	(\$17.66)	\$0.00
	1,000	08/01/08	11/21/13	\$6.05	\$6.46	\$0.00	(\$0.41)	\$0.00
	44,000	08/29/08	11/21/13	\$266.17	\$276.76	\$0.00	(\$10.59)	\$0.00
	1,000	09/02/08	11/21/13	\$6.05	\$6.24	\$0.00	(\$0.19)	\$0.00
	42,000	09/30/08	11/21/13	\$254.07	\$249.48	\$0.00	\$4.59	\$0.00
	50,000	10/31/08	11/21/13	\$302.46	\$276.50	\$0.00	\$25.96	\$0.00
	39,000	11/28/08	11/21/13	\$235.92	\$220.74	\$0.00	\$15.18	\$0.00
	1,000	12/01/08	11/21/13	\$6.05	\$5.71	\$0.00	\$0.34	\$0.00
	299,000	12/30/08	11/21/13	\$1,808.73	\$1,764.10	\$0.00	\$44.63	\$0.00
	59,000	12/30/08	11/21/13	\$356.91	\$348.10	\$0.00	\$8.81	\$0.00
	56,000	12/30/08	11/21/13	\$338.76	\$330.40	\$0.00	\$8.36	\$0.00
	1,000	12/31/08	11/21/13	\$6.05	\$5.90	\$0.00	\$0.15	\$0.00
	23,000	01/30/09	11/21/13	\$139.13	\$130.64	\$0.00	\$8.49	\$0.00
	1,000	02/02/09	11/21/13	\$6.05	\$5.70	\$0.00	\$0.35	\$0.00
	27,000	02/27/09	11/21/13	\$163.33	\$146.88	\$0.00	\$16.45	\$0.00
	1,000	03/02/09	11/21/13	\$6.05	\$5.43	\$0.00	\$0.62	\$0.00
	45,000	03/31/09	11/21/13	\$272.22	\$251.55	\$0.00	\$20.67	\$0.00

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Morgan Stanley

Corporate Tax Statement Tax Year 2013

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004

DON HOWARTH & SUZELLE SMITH
FOUNDATION
ATTN: STACY KERN
523 WEST 6TH ST, STE 728
LOS ANGELES CA 90014-1223

Identification Number: 26-4310632

Taxpayer ID Number: 72-1546393

Account Number: 137 033678 096

Customer Service: 866-324-6088

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

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

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

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
OPPENHEIMER INTL BOND FD CL C	46.000	04/30/09	11/21/13	\$278.27	\$262.66	\$0.00	\$15.61	\$0.00
	1.000	05/01/09	11/21/13	\$6.05	\$5.72	\$0.00	\$0.33	\$0.00
	42.000	05/29/09	11/21/13	\$254.07	\$253.68	\$0.00	\$0.39	\$0.00
	1.000	06/01/09	11/21/13	\$6.05	\$6.04	\$0.00	\$0.01	\$0.00
	44.000	06/30/09	11/21/13	\$266.17	\$265.32	\$0.00	\$0.85	\$0.00
	1.000	07/01/09	11/21/13	\$6.05	\$6.06	\$0.00	(\$0.01)	\$0.00
	45.000	07/31/09	11/21/13	\$272.22	\$278.55	\$0.00	(\$6.33)	\$0.00
	1.000	08/03/09	11/21/13	\$6.07	\$6.23	\$0.00	(\$0.16)	\$0.00
Security Subtotal	15.894,000			\$96,282.46	\$106,183.25	\$0.00	(\$9,900.79)	\$0.00
Total Long Term Noncovered Securities				\$96,282.46	\$106,183.25	\$0.00	(\$9,900.79)	\$0.00
Total Short and Long Term, Covered and Noncovered Securities				\$96,289.17	\$106,183.25	\$0.00	(\$9,900.79)	\$0.00

Form 1099-B Total Reportable Amounts

Total Sales Price (Box 2a)	\$96,289.17
Total Cost or Other Basis (Box 3)	\$0.00
Total Wash Sale Loss Disallowed (Box 5)	\$0.00
Total Fed Tax Withheld (Box 4)	\$0.00

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

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS