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Form 990-PF



Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2013

Open to Public Inspection

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

Name of foundation Simon & Louise Henderson Foundation		A Employer identification number 75-6022769	
Number and street (or P O box number if mail is not delivered to street address) P O Box 1365		Room/suite	
City or town, state or province, country, and ZIP or foreign postal code Lufkin, TX 75902		B Telephone number (see instructions) (936) 634-3448	
G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change		C If exemption application is pending, check here ☐	
H Check type of organization ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16)▶\$ 14,545,070		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____ (Part I, column (d) must be on cash basis.)		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)				
	2 Check ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	3,625	3,625		
	4 Dividends and interest from securities.	108,555	108,555		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	13,951,535			
	b Gross sales price for all assets on line 6a 16,279,884				
	7 Capital gain net income (from Part IV, line 2)		13,922,850		
	8 Net short-term capital gain			56,435	
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	14,063,715	14,035,030	56,435	
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc				
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	 4,045	2,023		2,022
	c Other professional fees (attach schedule)	 24,020	12,010		12,010
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	 141,811	805		805
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	 93	47		46
	24 Total operating and administrative expenses. Add lines 13 through 23	169,969	14,885		14,883
	25 Contributions, gifts, grants paid	512,588			512,588
	26 Total expenses and disbursements. Add lines 24 and 25	682,557	14,885		527,471
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	13,381,158			
	b Net investment income (if negative, enter -0-)		14,020,145		
	c Adjusted net income (if negative, enter -0-)			56,435	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	10,712	32,534	32,533
	2	Savings and temporary cash investments	91,010	994,614	994,614
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges	2,171		
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	257,938	12,847,417	13,517,923
	c	Investments—corporate bonds (attach schedule).			
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)			
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	15	Other assets (describe ▶ _____)			
	16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	361,831	13,874,565	14,545,070
Liabilities	17	Accounts payable and accrued expenses		131,575	
	18	Grants payable	510,456	264,420	
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)	510,456	395,995	
Net Assets or Fund Balances		Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	1,020,475	1,020,475	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds	-1,169,100	12,458,095	
	30	Total net assets or fund balances (see page 17 of the instructions)	-148,625	13,478,570	
	31	Total liabilities and net assets/fund balances (see page 17 of the instructions)	361,831	13,874,565	

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	-148,625
2	Enter amount from Part I, line 27a	2	13,381,158
3	Other increases not included in line 2 (itemize) ▶ _____	3	246,037
4	Add lines 1, 2, and 3	4	13,478,570
5	Decreases not included in line 2 (itemize) ▶ _____	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	13,478,570

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1 a	156750 shs lufkin industries	D	2001-12-31	2013-12-31
b	Publicly Traded Securities	P	2013-12-31	2013-12-31
c	Publicly Traded Securities	P	2011-12-31	2013-12-31
d	Capital Gain Dividends			
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 13,872,375		80,800	13,791,575
b 2,149,807		2,093,372	56,435
c 232,132		154,177	77,955
d			
e			25,570

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a 109,485	80,800	28,685	13,762,890
b			56,435
c			77,955
d			
e			

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	13,922,850
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8		3	56,435

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2012	633,554	10,391,401	0 06097
2011	320,601	12,836,421	0 02498
2010	268,721	7,575,645	0 03547
2009	312,356	4,473,937	0 06982
2008	295,480	6,555,033	0 04508

2 Total of line 1, column (d).	2	0 23631
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 04726
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	4	12,412,573
5 Multiply line 4 by line 3.	5	586,643
6 Enter 1% of net investment income (1% of Part I, line 27b).	6	140,201
7 Add lines 5 and 6.	7	726,844
8 Enter qualifying distributions from Part XII, line 4.	8	727,471

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 page 18 of the instructions)		
1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1		
Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b	1	140,201
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)		
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	
3 Add lines 1 and 2.	3	140,201
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	140,201
6 Credits/Payments		
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a	8,626
b Exempt foreign organizations—tax withheld at source	6b	
c Tax paid with application for extension of time to file (Form 8868)	6c	150,000
d Backup withholding erroneously withheld	6d	
7 Total credits and payments. Add lines 6a through 6d.	7	158,626
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached.	8	
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	18,425
11 Enter the amount of line 10 to be Credited to 2014 estimated tax 18,425 Refunded	11	

Part VII-A Statements Regarding Activities

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

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address N/A				
14	The books are in care of SIMON W HENDERSON III Telephone no (936) 634-3448 Located at 2915 Atkinson Drive lufkin TX ZIP+4 75901			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here and enter the amount of tax-exempt interest received or accrued during the year.			
		15		
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
	See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country			

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

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

Part VII-B

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

5a	During the year did the foundation pay or incur any amount to			
(1)	Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes	☒ No	
(2)	Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	☐ Yes	☒ No	
(3)	Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes	☒ No	
(4)	Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions).	☐ Yes	☒ No	
(5)	Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes	☒ No	
b	If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?	5b		No
	Organizations relying on a current notice regarding disaster assistance check here.			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?			
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		No
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?			
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	7b		No

Part VIII

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SIMON W HENDERSON III	PRESIDENT	0		
1110 HARMONY HILL	1 00			
LUFKIN,TX 75901				
Virginia L Henderson	Secretary	0		
4803 Champions	1 00			
Lufkin,TX 75901				
HONEA H ROTHERMEL	Vice President	0		
4580 Belfort Place	1 00			
Dallas,TX 75205				
Holly Henderson	Treasurer	0		
2512 Ridgeview	1 00			
austin,TX 78704				
2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."				
(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000.				

Part VIII

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services.		

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see instructions)

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

Part X

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities.	1a	11,563,087
b	Average of monthly cash balances.	1b	1,038,510
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	12,601,597
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	0
2	Acquisition indebtedness applicable to line 1 assets.	2	
3	Subtract line 2 from line 1d.	3	12,601,597
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	189,024
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	12,412,573
6	Minimum investment return. Enter 5% of line 5.	6	620,629

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	620,629
2a	Tax on investment income for 2013 from Part VI, line 5.	2a	140,201
b	Income tax for 2013 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	140,201
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	480,428
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	480,428
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1.	7	480,428

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	527,471
b	Program-related investments—total from Part IX-B.	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	
b	Cash distribution test (attach the required schedule) ☒	3b	200,000
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	727,471
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	140,201
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	587,270
Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years			

Part XIII

Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				480,428
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only.			511,463	
b Total for prior years 20____, 20____, 20____				
3 Excess distributions carryover, if any, to 2013				
a From 2008.				
b From 2009.				
c From 2010.				
d From 2011.				
e From 2012.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 727,471				
a Applied to 2012, but not more than line 2a			511,463	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).	0			
d Applied to 2013 distributable amount.				216,008
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).)				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				264,420
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . .				
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2009. . . .				
b Excess from 2010. . . .				
c Excess from 2011. . . .				
d Excess from 2012. . . .				
e Excess from 2013. . . .				

Part XIV

Private Operating Foundations (see instructions and Part VII-A, question 9)

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

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

Part XV

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

1

Information Regarding Foundation Managers:

a

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

b

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

2

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

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

a

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

Simon Louise Henderson Foundation
PO Box 1365
Lufkin, TX 75902
(936) 634-2448

b

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

No set format required

c

Any submission deadlines

None

d

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

Preferred geographical area is east texas

Part XV

Supplementary Information (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	512,588
b Approved for future payment				
Total			3b	

Enter gross amounts unless otherwise indicated

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

[illegible]

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Angelina Alliance for Children PO Box 1922 Lufkin, TX 75902	None	Public	General Operations	5,000
Angelina Beautiful Clean 1615 S Chestnut Lufkin, TX 75901	None	Public	Lufkin Landscape Projects	2,000
Angelina Cty Chamb of Com Fdn PO Box 1606 Lufkin, TX 75902	None	Public	TX Forest Festival 2014 and General Operations	9,000
Angelina County Child Welfare 117 E Lufkin Avenue Lufkin, TX 75901	None	Public	Christmas party for foster children	5,000
Beth and Horace Stubblefield L 206 N John Redditt Drive Lufkin, TX 75904	None	Public	General Operations	25,000
Boys Girls Club of East TX PO Box 631345 Nacogdoches, TX 75963	None	Public	General Operations/Lufkin	10,000
Buckner Children Family Serv 3402 Daniel McCall Dr 21 Lufkin, TX 75904	None	Public	General Operations	7,500
East Texas PAWS PO Box 2151 Lufkin, TX 75902	None	Public	General Operations	1,000
Ellen Trout Zoo 402 Zoo Circle Dr Lufkin, TX 75904	None	Public	General Operations	10,500
First United Methodist Church 805 E Denman Avenue Lufkin, TX 75901	None	Public	General Operations	25,000
Fuller Springs Volunteer Fire PO Box 773 Lufkin, TX 75902	None	Public	General Operations	1,000
Godtel Ministries 323 Moody St Lufkin, TX 75901	None	Public	General Operations	5,000
Goodwill Industries 301 Hill St Lufkin, TX 75904	None	Public	Youth Works ¹ Project	5,000
Horace C Polk Jr Regional 1201 Frank St Lufkin, TX 75901	None	Public	General Operations	1,500
Hospice in the Pines 116 South Raguet Lufkin, TX 75904	None	Public	general operations	5,200
Total  3a				512,588

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Humane Society of Angelina Cou PO Box 472 Lufkin,TX 75902	None	Public	General Operations	2,000
Junior League of Lufkin PO Box 151812 Lufkin,TX 75915	None	Public	Community fund	1,000
Love Inc of Lufkin PO Box 153311 Lufkin,TX 75902	None	Public	General Operations	2,000
Lufkin ISD 900 East Denman Lufkin,TX 75901	None	Public	Project celebration	3,688
LHS Alumni Association 900 East Denman Lufkin,TX 75901	None	Public	Scholarship Fund	10,000
Memorial Health System of East 1201 W Frank Lufkin,TX 75901	None	Public	General Operations	20,000
Moffett Volunteer Fire Dept Rt 13 Box 5866 Lufkin,TX 75901	None	Public	General Operations	1,000
Mosaic Center PO Box 154225 Lufkin,TX 75915	None	Public	General Operations	5,000
Museum of East Texas 503 E Second Lufkin,TX 75901	None	Public	Endowment	25,000
Salvation Army 412 South Third Street Lufkin,TX 75901	None	Public	General Operations	10,000
Texas Forestry Museum PO Box 1488 Lufkin,TX 75902	None	Public	Treemendous celebration	10,750
Texas Scottish Rite Hospital 2222 Welborn Street Dallas,TX 75219	None	Public	General Operations	20,000
United Way of Angelina County PO Box 1764 Lufkin,TX 75902	None	Public	Fundraiser	400
Women's Shelter of East Texas 910 South St Nacogdoches,TX 75964	None	Public	General Operations	10,000
Operation Smile 6435 Tidewater Drive Norfolk,VA 23509	None	Public	General operations	1,000
Total  3a				512,588

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Texas Forest Educational Fund PO Box 1488 Lufkin, TX 75902	None	Public	Educational Fund, building	10,000
Burke Center 4101 S Medford Drive Lufkin, TX 75901	None	Public	General operations	5,000
Doctors without Borders PO Box 5030 Hagerstown, MD 21741	None	Public	general operations	1,000
The Family Place PO Box 7999 Dallas, TX 75209	None	Public	general operations	3,000
George Henderson Expo Center PO BOX 1606 LUFKIN, TX 75902	None	Public	general operations	25,000
Texas Wildfire Relief Fund PO Box 12275 austin, TX 78711	None	Public	general operations	2,000
Room to Read 111 Sutter St 16th floor San Francisco, CA 94104	None	Public	girls education program in cambodia	2,500
Saint Michael Preschool 8011 Douglas dallas, TX 75225	None	Public	general operations	7,000
Long Way Home Foundation 13444 Janwood Lane Dallas, TX 75234	None	Public	general operations	10,000
Urban Roots 2921 E 17th Bldg D Ste 4 austin, TX 78702	None	Public	general operations	1,000
Pat Tillman Foundation 2141 E Broadway 115 Tempe, AZ 85282	None	Public	general operations	1,000
Wesleyan Fund 1201 Wesleyan St Fort Worth, TX 76105	None	Public	general operations	5,000
American Cancer Society 212 Gene Samford Dr Lufkin, TX 75901	None	Public	general operations	10,000
Christian Info Svc Crt PO Box 2621 lufkin, TX 75902	None	Public	general operations	7,500
East Texas Area Council Boy Scouts 1331 E 5th street tyler, TX 75701	None	Public	general operations	800
Total  3a				512,588

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
University of Texas Longhorn fdn PO Box 13178 austin,TX 78711	None	Public	general operations	15,000
Wounded Warriors 4899 Belfort Road 300 jacksonville,FL 32256	None	Public	general operations	6,500
Dallas Children's Advocacy Center 5351 Samuell Blvd Dallas,TX 75228	None	Public	General Operations	7,500
National Down Syndrome Society 666 Broadway 8th Floor New York,NY 10012	None	Public	General Operations	5,000
East Texas Down Syndrome Group PO Box 6604 Longview,TX 75608	None	Public	General Operations	2,500
Down Syndrome Guild of Dallas 1702 N Collins Blvd Suite 170 Richardson,TX 75080	None	Public	General Operations	5,000
Equest Therapeutic Horsemanship 3800 Troy Rd Wylie,TX 75098	None	Public	General Operations	3,000
The Rise School of Dallas 5923 Royal Lane Dallas,TX 75230	None	Public	General Operations	10,000
Habitat for Humanity PO Box 522 Lufkin,TX 75902	None	Public	General Operations	1,000
Angelina College Scholarship Fund PO Box 1768 Lufkin,TX 75902	None	Public	Educational/Scholarship	550
Goldman Sachs Philanthropy Fund PO Box 15203 Albany,NY 12212	None	N/A	Donor Advised Fund	100,000
Angelina Arts Alliance 3500 1st Street Lufkin,TX 75901	None	N/A	General Operations	3,000
Down Home Ranch 20250 FM Road 619 Elgin,TX 78621	None	N/A	General Operations	5,000
Sons of the Flag Burn Foundation 8750 N Central Expressway Suite510 Dallas,TX 75231	None	N/A	General Operations	5,000
TLL Temple Memorial Library 300 Park Street Diboll,TX 75941	None	N/A	Lufkin Industries Collection	10,000
Total  3a				512,588

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
Texas Game Warden Association 4363 FM Road 1047 Hamilton, TX 76531	None	N/A	Lufkin Game Wardens	2,000
Aliceville Museum Cultural Center 104 Broad Street Aliceville, AL 35442	None	N/A	General Operations	1,000
Victory Memorial United Methodist C PO Box 881 Guymon, OK 73942	None	N/A	General Operations	200
Total  3a				512,588

TY 2013 Accounting Fees Schedule**Name:** Simon & Louise Henderson Foundation**EIN:** 75-6022769**Software ID:** 13000170**Software Version:** 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
AXLEY & RODE LLP	4,045	2,023	0	2,022

TY 2013 Cash Distribution Explanation Statement

Name: Simon & Louise Henderson Foundation

EIN: 75-6022769

Software ID: 13000170

Software Version: 2013v3.1

Explanation: Simon & Louise Henderson Foundation TIN#: 75-6022769 Tax Year Ended: 12/31/2013 Form 990-PF, Part XII, Line 3b:(1) \$200,000 has been set aside to be paid for the construction of a new education building for the Museum of East Texas. The amount set aside for the project should be paid within a 60-month period. As of December 31, 2013, there were no actual distributions made since the construction of the building had not yet begun.

TY 2013 Other Expenses Schedule**Name:** Simon & Louise Henderson Foundation**EIN:** 75-6022769**Software ID:** 13000170**Software Version:** 2013v3.1

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
BANK FEES	93	47		46

TY 2013 Other Increases Schedule

Name: Simon & Louise Henderson Foundation

EIN: 75-6022769

Software ID: 13000170

Software Version: 2013v3.1

Description	Amount
Decrease in Grants Payable	246,037

TY 2013 Other Professional Fees Schedule**Name:** Simon & Louise Henderson Foundation**EIN:** 75-6022769**Software ID:** 13000170**Software Version:** 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
GOLDMAN SACHS- MANAGEMENT FEES	24,020	12,010	0	12,010

TY 2013 Taxes Schedule**Name:** Simon & Louise Henderson Foundation**EIN:** 75-6022769**Software ID:** 13000170**Software Version:** 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXCISE TAXES	140,201			
FOREIGN TAX	1,610	805		805

SIMON & LOUISE HENDERSON FOUNDATION
FORM 990-PF, I.D. #75-6022769
PART X, LINE 1a
AVERAGE MONTHLY FAIR MARKET VALUE OF SECURITIES
FOR THE YEAR ENDED DECEMBER 31, 2013

SECURITY	BOOK VALUES	MARKET VALUES	MARKET VALUES	MARKET VALUES	MARKET VALUES	MARKET VALUES	MARKET VALUES	MARKET VALUES	MARKET VALUES	MARKET VALUES	MARKET VALUES	MARKET VALUES	MARKET VALUES
	12/31/2013	DECEMBER	NOVEMBER	OCTOBER	SEPTEMBER	AUGUST	JULY	JUNE	MAY	APRIL	MARCH	FEBRUARY	JANUARY
GOLDMAN SACHS #035-2													233,839
GOLDMAN SACHS #182-8													9,077,393
BARCLAYS #1928								13,867,673	13,834,755	13,839,458	10,406,633	10,154,265	
BARCLAYS #1929												236,318	
BARCLAYS #1930	4,250,000	4,443,427	4,801,552	4,764,388	4,597,293	3,308,231	2,258,498						
BARCLAYS #2337	495,668	499,488	488,965	483,120	474,889	475,508	143,868						
BARCLAYS #2338	895,993	974,291	967,949	1,288,338	1,178,192	598,304	631,559						
BARCLAYS #2339	907,081	1,018,047	969,749	941,395	907,735	463,816	472,556						
BARCLAYS #2340	773,750	860,384	895,130	880,420	834,954	444,186	426,047						
BARCLAYS #2341	611,572	675,551	670,818	672,491	639,762	362,961	376,265						
BARCLAYS #2342	640,546	724,806	703,417	686,653	647,916	378,605	390,913						
BARCLAYS #2344	1,066,888	1,169,659	1,152,589	1,146,665	1,104,988	671,843	687,202						
BARCLAYS #2345	650,902	603,732	606,870	603,340	584,798	321,912	366,413						
BARCLAYS #2346	1,780,489	1,776,305	1,786,988	1,691,670	979,451	971,621	915,660						
BARCLAYS #2490	766,687	772,231	770,343										
DIVIDENDS RECEIVABLE	7,841												
TOTALS	12,847,417	13,517,923	13,814,370	13,158,479	11,949,978	7,996,988	6,668,981	13,867,673	13,834,755	13,839,458	10,406,633	10,390,583	9,311,232
AVERAGE SECURITIES BALANCE	11,563,087												

HENDERSON FDN US PCP Holdings

Period Ended January 31, 2013

PUBLIC EQUITY

	Quantity	Market Price	Market Value / Accrued Income	Unit Cost	Adjusted Cost / Original Cost	Unrealized Gain (Loss)	Yield to Maturity / Current Yield	Estimated Annual Income
US EQUITY								
GS- US PRIVATE CLIENT PORTFOLIO								
U S DOLLAR	63.90	1.0000	63.90		63.90			
GOLDMAN SACHS BANK DEPOSIT (BDA) (*BDANOW) ¹⁴	7,070.03	1.0000	7,070.03	1.0000	7,070.03		0.1010	7.14
	Quantity	Market Price	Market Value / Accrued Income	Unit Cost	Cost Basis	Unrealized Gain (Loss)	Dividend Yield	Estimated Annual Income
ABBOTT LABORATORIES CMN (ABT)	119.00	33.8800	4,031.72 16.66	29.3624	3,494.13	537.59	1.6529	66.64
ABBVIE INC. CMN (ABBV)	119.00	36.6900	4,366.11 47.60	31.8411	3,789.09	577.02	4.3609	190.40
ALTERA CORP CMN (ALTR)	106.00	33.4200	3,542.52	32.4988	3,444.87			2.40
AMAZON.COM INC CMN (AMZN)	24.00	265.5000	6,372.00	177.4404	4,258.57			
AMERICAN EXPRESS CO. CMN (AXP)	132.00	58.8100	7,762.92 26.40	45.2438	5,972.18			5.60
APPLE, INC. CMN (AAPL)	21.00	455.4900	9,565.29	273.1905	5,737.00			
BOEING COMPANY CMN (BA)	112.00	73.8700	8,273.44	66.2683	7,422.05			
COSTCO WHOLESALE CORPORATION CMN (COST)	75.00	102.3400	7,675.50	60.8100	4,560.75			
DEVON ENERGY CORPORATION (NEW) CMN (DVN)	103.00	57.1900	5,890.57	78.6297	8,098.86			
EMC CORPORATION MASS CMN (EMC)	277.00	24.6100	6,816.97	24.2659	6,721.66			
EXXON MOBIL CORPORATION CMN (XOM)	85.00	89.9700	7,647.45	81.4309	6,921.63			
GENERAL ELECTRIC CO CMN (GE)	448.00	22.2800	9,981.44	17.0971	7,659.50			
GOOGLE, INC. CMN CLASS A (GOOG)	14.00	755.6900	10,579.66	510.8394	7,151.75			
HONEYWELL INTL INC CMN (HON)	113.00	68.2400	7,711.12	40.9700	4,629.61			
JOHNSON & JOHNSON CMN (JNJ)	126.00	73.9200	9,313.92	63.8616	8,046.56	1,261.36	3.3009	307.44
JPMORGAN CHASE & CO CMN (JPM)	213.00	47.0500	10,021.65	40.9344	8,719.02	1,302.63	2.5505	255.60

1-31-13
mkt value 241,165.92 + 2.60
cash { 63.90 - 7.28
balances { 7,070.03 - 2.50
234,031.99 \$ 2.40
Accrued Income 192.98 - 1.80
→ 233,839.01 1.48
Adjusted mkt value at 1-31-13 132

¹⁴This represents a bank deposit of an affiliated bank reflected here for your convenience and is not cash held in your brokerage or custody account. Please see the enclosed Bank Statement page(s) for specific information related to your bank deposit.

Not a Deposit. Not FDIC Insured. May Lose Value (Excluding Goldman Sachs Bank Deposit Account and Certificates of Deposit).

Brokerage and securities services provided by Goldman, Sachs & Co. Bank Deposit Account and Certificate of Deposit Account offered by Goldman Sachs Bank USA, Member FDIC.

HENDERSON FDN US PCP
Holdings (Continued)

Period Ended January 31, 2013

PUBLIC EQUITY (Continued)

	Quantity	Market Price	Market Value / Accrued Income	Unit Cost	Cost Basis	Unrealized Gain (Loss)	Dividend Yield	Estimated Annual Income
US EQUITY								
GS. US PRIVATE CLIENT PORTFOLIO								
LOWES COMPANIES INC CMN (LOW)	211.00	38.1900	8,058.09 33.76	20.9655	4,423.73	3,634.36	1.6758	135.04
MC DONALDS CORP CMN (MCD)	44.00	95.2900	4,192.76	63.6600	2,801.04	1,391.72	3.2322	135.52
MERCK & CO., INC. CMN (MRK)	170.00	43.2500	7,352.50	34.6052	5,882.89	1,469.61	3.9769	292.40
NIKE CLASS-B CMN CLASS B (NKE)	156.00	54.0500	8,431.80	36.6154	5,712.00	2,719.80	1.5541	131.04
OCCIDENTAL PETROLEUM CORP CMN (OXY)	60.00	88.2700	5,296.20	76.6898	4,601.39	694.81	2.4470	129.60
ORACLE CORPORATION CMN (ORCL)	179.00	35.5100	6,356.29	24.5600	4,396.24	1,960.05	0.6759	42.96
PEPSICO INC CMN (PEP)	90.00	72.8500	6,556.50	39.1875	3,526.88	3,029.62	2.9513	193.50
PRAXAIR, INC CMN SERIES (PX)	52.00	110.3700	5,739.24	81.3535	4,230.38	1,508.86	2.1745	124.80
PROCTER & GAMBLE COMPANY (THE) CMN (PG)	122.00	75.1600	9,169.52 68.56	47.8360	5,835.99	3,333.53	2.9910	274.26
PRUDENTIAL FINANCIAL INC CMN (PRU)	138.00	57.8800	7,987.44	57.0288	7,869.97	117.47	2.7643	220.80
QUALCOMM INC CMN (QCOM)	124.00	66.0200	8,186.48	38.6200	4,788.88	3,397.60	1.5147	124.00
SCHLUMBERGER LTD CMN (SLB)	112.00	78.0500	8,741.60	67.2168	7,528.28	1,213.32	1.6015	140.00
THE TRAVELERS COMPANIES, INC CMN (TRV)	98.00	78.4600	7,689.08	53.2700	5,220.46	2,468.62	2.3451	180.32
VIACOM INC CMN CLASS B (VIAB)	104.00	60.3500	6,276.40	54.2252	5,639.42	636.98	1.8227	114.40
VISA INC. CMN CLASS A (V)	43.00	157.9100	6,790.13	70.4469	3,029.22	3,760.92	0.8359	56.76
AMERICAN TOWER CORPORATION CMN (AMT)	98.00	76.1500	7,462.70	51.2524	5,022.73	2,439.97	1.2081	90.16
TOTAL GS: US PRIVATE CLIENT PORTFOLIO			240,972.94 192.98		184,270.66	56,702.29	2.1577	4,685.16
TOTAL PORTFOLIO								
			Market Value		Adjusted Cost / Original Cost	Unrealized Gain (Loss)		Estimated Annual Income
			241,165.92		184,270.66	56,702.29		4,685.16

⁶ Original Cost is price paid by purchaser adjusted for annual original issue discount inclusions and/or return of capital adjustments, if applicable. Adjusted Cost reflects adjustments to Original Cost for market discount accretion and/or premium amortization. Adjusted cost for GMS Portfolios and Alternative Investments are determined by inception to date contributions minus inception to date distributions.



HENDERSON FDN BROKERAGE Holdings

Period Ended January 31, 2013

CASH, DEPOSITS & MONEY MARKET FUNDS

	Quantity	Market Price	Market Value / Accrued Income	Unit Cost	Adjusted Cost / Original Cost	Unrealized Gain (Loss)	Yield to Maturity / Current Yield	Estimated Annual Income
DEPOSITS & MONEY MARKET FUNDS								
DEPOSITS								
GOLDMAN SACHS BANK DEPOSIT (BDA) ¹⁴	83,609.19	1.0000	83,609.19	1.0000	83,609.19	0.00	0.1051	87.89

PUBLIC EQUITY

	Quantity	Market Price	Market Value / Accrued Income	Unit Cost	Cost Basis	Unrealized Gain (Loss)	Dividend Yield	Estimated Annual Income
US EQUITY								
US STOCKS								
LUFKIN INDS INC CMN (LUFK)	156,750.00	57.9100	9,077,392.50		No Cost		0.8634	78,375.00
TOTAL PORTFOLIO			9,161,001.69		83,609.19	0.00		78,462.89

1-31-13 mkt value
 9,161,001.69 +
 Cash 83,609.19 -
 9,077,392.50 =
 FMV at 1-31-13 of
 investments

⁸ Original Cost is price paid by purchaser adjusted for annual original issue discount inclusions and/or return of capital adjustments, if applicable. Adjusted Cost reflects adjustments to Original Cost for market discount accretion and/or premium amortization. Adjusted cost for GMS Portfolios and Alternative Investments are determined by inception to date contributions minus inception to date distributions.

¹⁴ This represents a bank deposit of an affiliated bank reflected here for your convenience and is not cash held in your brokerage or custody account. Please see the enclosed Bank Statement page(s) for specific information related to your bank deposit.

Not a Deposit Not FDIC Insured. May Lose Value (Excluding Goldman Sachs Bank Deposit Account and Certificates of Deposit).

Brokerage and securities services provided by Goldman, Sachs & Co. Bank Deposit Account and Certificate of Deposit Account offered by Goldman Sachs Bank USA, Member FDIC.

HOLDINGS

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Equities

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Note: Trade price may include any applicable local taxes and fees.

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est annual income (\$)	Comment / Research rating
LUFKIN INDUSTRIES INC (LUFK)	156,750	Not available		\$ 64.780	\$ 10,154,265.00		0.772	78,375.00	In cash account
Total Equities					\$ 10,154,265.00			\$ 78,375.00	

Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 83,609.19
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 83,609.19
	\$ 0.00
	\$ 83,609.19

HOLDINGS

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Note: Trade price may include any applicable local taxes and fees.

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
ABBOTT LABORATORIES (ABT)	119	\$ 29.36	\$ 3,494.13	\$ 33.790	\$ 4,021.01	\$ 526.88	1.657	66.64	In cash account
ABBVIE INC (ABBV)	119	31.84	3,789.09	36.920	4,393.48	604.39	4.334	190.40	In cash account
ALTERA CORP (ALTR)	106	32.50	3,444.87	35.430	3,755.58	310.71	1.129	42.40	In cash account
AMAZON.COM INC (AMZN)	24	177.44	4,258.57	264.270	6,342.48	2,083.91			In cash account
AMERICAN EXPRESS COMPANY (AXP)	132	45.24	5,972.18	62.150	8,203.80	2,231.62	1.287	105.60	In cash account
AMERICAN TOWER CORPORATION (AMT) NEW REIT	98	51.25	5,022.74	77.600	7,604.80	2,582.06	1.237	94.08	In cash account
APPLE INC (AAPL)	21	273.19	5,737.00	441.400	9,269.40	3,532.40	2.401	222.60	In cash account
BOEING CO (BA)	112	66.27	7,422.05	76.900	8,612.80	1,190.75	2.523	217.28	In cash account
COSTCO WHOLESALE CORP-NEW (COST)	75	60.81	4,560.75	101.290	7,596.75	3,036.00	1.086	82.50	In cash account
DEVON ENERGY CORPORATION NEW (DVN)	103	78.63	8,098.86	54.260	5,588.78	- 2,510.08	1.474	82.40	In cash account
EMC CORP-MASS (EMC)	312	24.34	7,593.14	23.010	7,179.12	- 414.02			In cash account
EXXON MOBIL CORP (XOM)	85	81.43	6,921.63	89.550	7,611.75	690.12	2.546	193.80	In cash account
GENERAL ELECTRIC CO (GE)	448	17.10	7,659.50	23.220	10,402.56	2,743.06	3.273	340.48	In cash account
GOOGLE INC (GOOG) CL A	14	510.84	7,151.75	801.200	11,216.80	4,065.05			In cash account
HONEYWELL INTL INC (HON)	101	40.97	4,137.97	70.100	7,080.10	2,942.13	2.340	165.64	In cash account
JPMORGAN CHASE & CO (JPM)	213	40.93	8,719.02	48.920	10,419.96	1,700.94	2.453	255.60	In cash account
JOHNSON & JOHNSON (JNJ)	126	63.86	8,046.56	76.110	9,589.86	1,543.30	3.206	307.44	In cash account
LOWES COMPANIES INC (LOW)	211	20.97	4,423.73	38.150	8,049.65	3,625.92	1.678	135.04	In cash account
MCDONALDS CORP (MCD)	44	63.66	2,801.04	95.900	4,219.60	1,418.56	3.212	135.52	In cash account
MERCK & CO INC (MRK) NEW	194	35.43	6,872.74	42.730	8,289.62	1,416.88	4.025	333.68	In cash account
NIKE INC-CL B (NKE)	156	36.62	5,712.00	54.460	8,495.76	2,783.76	1.542	131.04	In cash account
OCCIDENTAL PETE CORP (OXY)	60	76.69	4,601.39	82.330	4,939.80	338.41	3.109	153.60	In cash account
ORACLE CORP (ORCL)	179	24.56	4,396.24	34.240	6,128.96	1,732.72	0.701	42.96	In cash account

SCHEDULE 1



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
PEPSICO INC (PEP)	90	39.19	3,526.88	75.770	6,819.30	3,292.42	2.838	193.50	In cash account
PRAXAIR INC (PX)	52	81.35	4,230.38	113.050	5,878.60	1,648.22	2.123	124.80	In cash account
PROCTER & GAMBLE CO (PG)	122	47.84	5,835.99	76.180	9,293.96	3,457.97	2.951	274.26	In cash account
PRUDENTIAL FINANCIAL INC (PRU)	138	57.03	7,869.97	55.570	7,668.66	- 201.31	2.879	220.80	In cash account
QUALCOMM INC (QCOM)	124	38.62	4,788.88	65.640	8,139.36	3,350.48	1.523	124.00	In cash account
***SCHLUMBERGER LTD (SLB)	112	67.22	7,528.28	77.850	8,719.20	1,190.92	1.606	140.00	In cash account
THE TRAVELERS COMPANIES INC (TRV)	98	53.27	5,220.46	80.420	7,881.16	2,660.70	2.288	180.32	In cash account
VIACOM INC (VIAB) NEW CLASS B	104	54.23	5,639.42	58.500	6,084.00	444.58	1.880	114.40	In cash account
VISA INC (V)	43	70.45	3,029.22	158.640	6,821.52	3,792.30	0.832	56.76	In cash account
CL A COMMON STOCK									
Total USD Common stocks					\$ 236,318.18	\$ 57,811.75		\$ 4,727.54	

Total Equities

\$ 236,318.18

\$ 57,811.75

\$ 4,727.54

Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 6,136.74
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 6,136.74
	\$ 0.00
	\$ 6,136.74

HOLDINGS

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Note: Trade price may include any applicable local taxes and fees.

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est annual income (\$)	Comment / Research rating
LUFKIN INDUSTRIES INC (LUFK)	156,750	Not available		\$ 66.390	\$ 10,406,632.50		0.753	78,375.00	In cash account
Total Equities					\$ 10,406,632.50			\$ 78,375.00	

Cash, cash equivalents & other

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Gain/Loss information also excludes cash, cash equivalents, and other.

Cash investments	Quantity	Market value	Accrued income	Comment
INSURED NETWORK DEPOSIT	83,204.54		\$ 83,204.54	
FDIC INSURED UP TO APPLICABLE LIMITS/NOT COVERED BY SIPC				
Total Cash, cash equivalents & other		Market value (USD)	Accrued income (USD)	
		\$ 83,204.54	\$ 0.00	
		\$ 83,204.54		



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Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est ann. yield (%)	Est. annual income (\$)	Comment / Research rating
LUFKIN INDUSTRIES INC (LUFK)	156,750	Not available		\$ 88.290	\$ 13,839,457.50		0.566	78,375.00	In cash account

Total Equities

\$ 13,839,457.50

\$ 78,375.00

Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash investments	Quantity	Market value	Accrued income	Comment
INSURED NETWORK DEPOSIT	83,206.59	\$ 83,206.59		
FDIC INSURED UP TO APPLICABLE LIMITS/NOT COVERED BY SIPC				

Total Cash, cash equivalents & other

Market value (USD)
Accrued income (USD)
\$ 83,206.59
\$ 0.00
\$ 83,206.59

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Note: Trade price may include any applicable local taxes and fees.

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
LUFKIN INDUSTRIES INC (LUFK)	156,750	Not available		\$ 88.260	\$ 13,834,755.00		0.567	78,375.00	In cash account
Total Equities					\$ 13,834,755.00			\$ 78,375.00	

Cash, cash equivalents & other

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Gain/Loss information also excludes cash, cash equivalents, and other.

Cash investments	Quantity	Market value	Accrued income	Comment
INSURED NETWORK DEPOSIT	83,208.71		\$ 83,208.71	
FDIC INSURED UP TO APPLICABLE LIMITS/NOT COVERED BY SIPC				
Total Cash, cash equivalents & other		Market value (USD)	Accrued income (USD)	
		\$ 83,208.71	\$ 0.00	
		\$ 83,208.71		

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Note: Trade price may include any applicable local taxes and fees

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
LUFKIN INDUSTRIES INC (LUFK)	156,750	Not available		\$ 88.470	\$ 13,867,672.50		0.565	78,375.00	In cash account

Total Equities

\$ 13,867,672.50

\$ 78,375.00

Cash, cash equivalents & other

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Gain/Loss information also excludes cash, cash equivalents, and other

Cash investments	Quantity	Market value	Accrued income	Comment
INSURED NETWORK DEPOSIT	102,804.83	\$ 102,804.83		
FDIC INSURED UP TO APPLICABLE LIMITS/NOT COVERED BY SIPC				

Total Cash, cash equivalents & other

Market value (USD)

Accrued income (USD)

\$ 102,804.83

\$ 0.00

\$ 102,804.83



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Mutual funds (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
**DIAMOND HILL LONG-SHORT FUND (DHLSX) CLASS I	33,081.285	\$ 21.16	\$ 700,000.00	\$ 21.300	\$ 704,631.37	\$ 4,631.37	0.704	7,084.12	In cash acc
**DRIEHAUS MUT. FDS. (DREGX) EMERGING MKTS GROWTH FD	11,146.497	31.40	350,000.00	31.410	350,111.47	111.47			
**MATTHEWS PACIFIC TIGER FUND (MAPTX)	8,179.959	24.45	200,000.00	24.390	199,509.20	-490.80			
**WELLS FARGO ADVANTAGE FUNDS (EMGNX) EMERGING MKTS EQ FD INSTL CL	9,501.188	\$21.05	200,000.00	21.200	201,425.19	1,425.19			
Total USD Mutual funds					\$ 1,455,677.23	\$ 5,677.2			
Total Equities					\$ 1,455,677.23	\$ 5,677.2			

1,455,677.23 +
802,821.05 +
2,258,498.28 =

Fmv at 7-31-13

Fixed income

Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.

Mutual funds (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment
**DOUBLELINE FDS TR (DBETX) TOTAL RETURN BD FD CL I	27,297.543	\$ 10.99	\$ 300,000.00	\$ 11.010	\$ 300,545.95	\$ 545.95	5.376	16,160.14	In cash account
**HARBOR HIGH YIELD BOND FUND (HYFAX) INSTITUTIONAL CLASS	18,231.541	10.97	200,000.00	11.040	201,276.21	1,276.21	5.778	11,631.72	In cash account
**RIDGEWORTH FDS (SAMBX) SEIX FLTG RATE INCOME FD CL I	33,296.337	9.01	300,000.00	9.040	300,998.89	998.89	4.568	13,751.38	In cash account
Total USD Mutual funds					\$ 802,821.05	\$ 2,821.05		\$ 41,543.24	

SCHEDULE 1

Fixed income

Convertibles	Par	Unit cost Adj. unit cost	Total cost Adj. total cost	Market price	Market value Accrued interest	Unrealized gain/loss	Yield-to- maturity(%)	Comment
CLEARWIRE COMMUNICATIONS LLC/ CLEARWIRE FIN INC NT EXCHANGEABLE 144A DUE 01 DEC 2040 @ 8.250% ISIN: US18538TAG40 DATED DATE 08 DEC 2010	18,000	111.368 111.365	20,046.25 20,045.62	110.130	19,823.40 247.50	-222.22	7.38	In cash account Next call on 12/01/2017 Call price \$100.00 Putable on 12/01/2017 Put price \$100.00
Total USD Convertibles					\$ 125,707.90 \$ 1,096.15	\$ 299.79		

Total Fixed income

Market value (USD)	Unrealized g/l (USD)
\$ 143,867.90	\$ 581.98
\$ 1,151.04	
\$ 145,018.94	

Cash, cash equivalents & other

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Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 340,836.67
	Market value (USD) Accrued income (USD)
Total Cash, cash equivalents & other	\$ 340,836.67 \$ 0.00 \$ 340,836.67



Equities

Common stocks (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
3M COMPANY (MMM)	425	114.61	48,709.25	117.430	49,907.75	1,198.50	2.163	1,079.50	In cash account
TIME WARNER INC (TWX)	390	61.54	24,000.10	62.260	24,281.40	281.30	1.847	448.50	In cash account
WAL-MART STORES INC (WMT)	355	77.29	27,439.40	77.940	27,668.70	229.30	2.412	667.40	In cash account
Total USD Common stocks					\$ 631,559.44	\$ 3,459.38		\$ 13,078.55	

Total Equities

\$ 631,559.44	\$ 3,459.38	\$ 13,078.55
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Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 86,130.80
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 86,130.80
	\$ 0.00
	\$ 86,130.80

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
FREEMONT MCMORAN COPPER & GOLD (FCX) INC	267	28.23	7,537.41	28.280	7,550.76	13.35	4.420	333.75	In cash account
IMMUNOGEN INC (IMGN)	257	19.21	4,935.97	19.050	4,895.85	-40.12			In cash account
ISIS PHARMACEUTICALS INC (ISIS)	160	29.79	4,766.98	28.850	4,616.00	-150.98			In cash account Barclays: 1-O/POS
1-3 COMMUNICATIONS HOLDINGS (LLL) INC	219	91.58	20,055.89	93.150	20,399.85	343.96	2.362	481.80	In cash account
LIBERTY INTERACTIVE (LINTA) CORPORATION, INTERACTIVE SER A	408	24.60	10,035.76	24.460	9,979.68	-56.08			In cash account
LIBERTY MEDIA CORP-DELAWARE (LMCA) CL A	54	139.74	7,545.69	143.730	7,761.42	215.73			In cash account
NATIONAL OILWELL VARGO INC (NOV)	139	72.76	10,113.64	70.170	9,753.63	-360.01	1.482	144.56	In cash account
NUCOR CORP (NUE)	331	46.00	15,225.96	46.780	15,484.18	258.22	3.142	486.57	In cash account
PALL CORP (PALL)	213	70.53	15,022.84	69.960	14,901.48	-121.36	1.429	213.00	In cash account
SANDISK CORP (SNDK)	272	60.49	16,452.29	55.120	14,992.64	-1,459.65			In cash account
STARZ (STRZ) SERIES A COMMON STOCK	106	23.81	2,523.86	22.570	2,392.42	-131.44			In cash account
UNITEDHEALTH GROUP INC (UNH)	453	70.07	31,739.69	72.850	33,001.05	1,261.36	1.537	507.36	In cash account
VERTEX PHARMACEUTICALS INC (VRTX)	117	85.92	10,052.50	79.800	9,336.60	-715.90			In cash account
Total USD Common stocks					\$ 472,556.00	\$ 5,726.50		\$ 5,487.78	
Total Equities					\$ 472,556.00	\$ 5,726.50		\$ 5,487.78	



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
OMEGA HEALTHCARE INVESTORS INC (OHI)	270	33.72	9,104.40	31.830	8,594.10	-510.30	5.906	507.60	In cash account
ONEOK INC (OKE)	160	43.49	6,957.85	52.950	8,472.00	1,514.15	2.871	243.20	In cash account
OWENS ILLINOIS INC NEW (OI)	555	29.03	16,114.16	29.750	16,511.25	397.09			In cash account
REDWOOD TRUST INC (RWT)	535	16.80	8,988.00	16.940	9,062.90	74.90	6.612	599.20	In cash account
SBA COMMUNICATIONS CORP (SBAC) CL A	165	77.74	12,827.10	74.090	12,224.85	-602.25			In cash account
SLM CORPORATION (SLM)	470	23.50	11,045.00	24.710	11,613.70	568.70	2.428	282.00	In cash account
TIDEWATER INC (TDW)	170	59.39	10,096.18	58.990	10,028.30	-67.88	1.695	170.00	In cash account
VERISK ANALYTICS INC (VRSK) CL A	260	61.98	16,115.80	64.360	16,733.60	617.80			In cash account
WILLIAMS COMPANIES INC (WMB)	360	33.41	12,027.57	34.170	12,301.20	273.63	4.126	507.60	In cash account
WPX ENERGY INC (WPX)	655	19.99	13,093.45	19.210	12,582.55	-510.90			In cash account
XYLEM INC (XYL) COM	350	28.76	10,065.79	24.930	8,725.50	-1,340.29	1.869	163.10	In cash account
Total USD Common stocks					\$ 376,265.33	\$ 1,958.04		\$ 5,183.12	

Total Equities
\$ 376,265.33 **\$ 1,958.04** **\$ 5,183.12**
Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance

CASH ACCOUNT	Value
	\$ 27,158.53
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 27,158.53
	\$ 0.00
	\$ 27,158.53

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
TRINITY INDUSTRIES INC (TRN)	110	37.64	4,140.05	39.370	4,330.70	190.65	1.321	57.20	In cash account
VAIL RESORTS INC (MTN)	110	65.77	7,234.80	66.980	7,367.80	133.00	1.239	91.30	In cash account
VECTREN CORP (VVC)	150	36.07	5,410.50	37.020	5,553.00	142.50	3.836	213.00	In cash account
VERINT SYSTEMS INC (VRNT)	170	36.53	6,210.91	35.780	6,082.60	-128.31			In cash account Barclays: 2-E/POS
VIEWPOINT FINANCIAL GROUP INC (VPFG)	280	21.63	6,056.40	21.570	6,039.60	-16.80	1.854	112.00	In cash account
WABTEC CORP (WAB)	150	55.68	8,352.00	58.060	8,709.00	357.00	0.276	24.00	In cash account
WADDELL & REED FINANCIAL INC (WDR) CL:A	130	48.79	6,342.67	51.060	6,637.80	295.13	2.194	145.60	In cash account
WALTER INVESTMENT MANAGEMENT (WAC) CORP	170	37.38	6,354.56	39.790	6,764.30	409.74			In cash account
WEX INC (WEX)	100	83.67	8,367.00	86.940	8,694.00	327.00			In cash account
WINTRUST FINANCIAL CORP (WTFC)	130	41.01	5,331.30	40.910	5,318.30	-13.00	0.440	23.40	In cash account
Total USD Common stocks					\$ 390,912.56	\$ 6,264.24		\$ 5,737.60	

Total Equities

\$ 390,912.56

\$ 6,264.24

\$ 5,737.60

Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents and other.

Cash balance

CASH ACCOUNT	Value
	\$ 14,869.29
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 14,869.29
	\$ 0.00
	\$ 14,869.29



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. Yield (%)	Est. annual income (\$)	Comment / Research rating
***SCHNEIDER ELECTRIC SA (SBGSY) UNSPONSORED ADR	1,099	14.88	16,352.79	15.810	17,375.19	1,022.40	2.366	411.03	In cash account
***SONOVA HOLDING AG (SONVY) UNSPONSORED ADR	330	22.17	7,316.10	22.076	7,283.10	-33.00			In cash account
***SVENSKA HANDELSBANKEN (SVNLY) UNSPONSORED ADR REPRESENTING A SHARES	353	21.99	7,550.67	22.735	8,025.46	474.78	2.837	227.69	In cash account
***SWATCH GROUP AG (THE) (SWGAY) UNSPONSORED ADR	347	28.17	9,774.99	29.670	10,295.49	520.50	0.701	72.18	In cash account
***SYSMEX CORPORATION (SSMXY) UNSPONSORED ADR	473	33.27	15,736.71	32.300	15,277.90	-458.81	0.551	84.19	In cash account
***TAIWAN SEMICONDUCTOR MFG CO (TSM) LTD SPONSORED ADR REPSTG 5 COM	1,309	16.89	22,103.42	16.980	22,226.82	123.40	2.362	524.91	In cash account
***TESCO PLC SPONSORED ADR (TSCDY)	506	16.88	8,541.28	16.820	8,510.92	-30.36	3.823	325.86	In cash account
***TURKIYE GARANTI BANKASI A S (TKGBY) SPONSORED ADR REPSTG 2000 SHS	3,123	4.27	13,331.99	3.970	12,398.31	-933.68	1.489	184.66	In cash account
***UNICHARM CORP. (UNICY) SPONSORED ADR	1,421	11.58	16,450.63	10.695	15,197.60	-1,253.03	56.316	8,558.68	In cash account
***UNILEVER PLC (UL) SPONSORED ADR	204	42.09	8,585.93	40.630	8,288.52	-297.41	3.308	274.18	In cash account
***WPP PLC NEW (WPPGY) ADR	235	91.89	21,594.27	90.090	21,171.15	-423.12	2.401	508.31	In cash account
***XINYI GLASS HOLDINGS LTD (XYIGY) UNSPONSORED ADR	432	17.44	7,534.08	18.270	7,892.64	358.56	1.910	150.77	In cash account
Total USD Common stocks					\$ 687,201.94	\$ 1,031.33		\$ 20,973.04	
Total Equities					\$ 687,201.94	\$ 1,031.33		\$ 20,973.04	



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
LTC PROPERTIES INC. (LTC)	200	41.40	8,280.00	38.670	7,734.00	546.00	4.810	372.00	In cash account
LEXINGTON REALTY TRUST (LXP)	840	12.56	10,547.33	12.540	10,533.60	13.73	4.785	504.00	In cash account
MONMOUTH REAL ESTATE INV. CORP. (MNR)	330	10.23	3,375.74	9.780	3,227.40	148.34	6.135	198.00	In cash account
CL A									
NATIONAL RETAIL PROPERTIES INC. (NNN)	250	37.25	9,312.50	34.990	8,747.50	565.00	4.630	405.00	In cash account
PUBLIC STORAGE (PSA)	160	162.35	28,976.00	159.220	25,475.20	500.80	3.140	800.00	In cash account
RAYONIER INC. (RYN)	240	57.45	13,787.77	58.440	14,025.60	237.83	3.354	470.40	In cash account
REIT									Barclays: 1-O/ROS
REALTY INCOME CORP. (O)	230	45.57	10,481.10	43.410	9,984.30	496.80	5.017	500.94	In cash account
SENIOR HSG. PPTY. TR. (SNH)	310	26.84	8,320.37	25.150	7,796.50	523.87	6.203	483.60	In cash account
SH. BEN INT.									
SIMON PROPERTY GROUP INC. (SPG)	230	162.78	37,440.30	160.060	36,813.80	626.50	2.874	1,058.00	In cash account
TANGER FACTORY OUTLET CENTERS (SKT)	310	35.15	10,895.00	32.430	10,053.30	841.70	2.775	279.00	In cash account
INC									
VENTAS INC. (VTR)	160	71.79	11,486.38	65.740	10,518.40	967.98	4.077	428.80	In cash account
WEINGARTEN REALTY INVESTORS (WRI)	270	32.29	8,717.67	31.320	8,456.40	261.27	3.895	329.40	In cash account
SBI									
Total USD Common stocks					\$ 366,412.90	\$ 14,175.09		\$ 14,047.14	
Total Equities					\$ 366,412.90	\$ 14,175.09		\$ 14,047.14	



Fixed income

Corporate bonds	Par	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Yield-to-maturity(%)	Comment
		Adj. unit cost	Adj. total cost		Accrued interest			
CITIGROUP INC DUE 14 JAN 2022 @ 4.500% ISIN: US172967FT34 DATED DATE 01 NOV 2011	38,000	105.533 105.521	40,102.54 40,097.91	105.436	40,065.94 80.75	-31.97	3.74	In cash account Moody's Baa2 S&P A-
DOW CHEMICAL CO/ THE DUE 15 NOV 2022 @ 3.000% ISIN: US260543CH45 DATED DATE 14 NOV 2012	43,000	94.344 94.363	40,567.92 40,576.30	93.648	40,268.85 272.33	-307.45	3.82	In cash account Int rate eff: 05/15/2013 Next call on 08/15/2022 Call price \$100.00 Moody's Baa2 S&P BBB
ANHEUSER-BUSCH INBEV FIN SR UNSECURED DUE 17 JAN 2023 @ 2.625% ISIN: US035242AA44 DATED DATE 17 JAN 2013	42,000	94.729 94.739	39,786.18 39,790.55	94.376	39,637.92 42.87	-152.63	3.32	In cash account Int rate eff: 07/17/2013 Moody's A3 S&P A
Total USD Corporate bonds					\$ 754,032.83 \$ 6,853.78	- -\$ 3,872.57		
International bonds	Par	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Yield-to-maturity(%)	Comment
		Adj. unit cost	Adj. total cost		Accrued interest			
***RIO TINTO FIN USA PLC SR UNSECURED DUE 21 AUG 2017 @ 1.625% ISIN: US76720AAE64 DATED DATE 21 AUG 2012	41,000	\$ 98.933 98.943	\$ 40,562.53 40,566.47	98.468	\$ 40,371.88 296.11	-\$ 194.59	2.02	In cash account Int rate eff: 02/21/2013 Next call on 07/21/2017 Call price \$100.00 Moody's A3 S&P A-
***TOTAL CAPITAL CANADA LTD SR UNSECURED DUE 15 JAN 2018 @ 1.450% ISIN: US89153UAE10 DATED DATE 17 JAN 2013	41,000	99.166 99.166	40,658.06 40,658.06	98.858	40,532.15 26.42	-125.91	1.72	In cash account Int rate eff: 07/15/2013 Moody's Aa1 S&P AA-
***TORONTO DOMINION BANK DUE 30 APR 2018 @ 1.400% ISIN: US89114QAG38 DATED DATE 30 APR 2013	41,000	97.748 97.748	40,076.68 40,076.68	97.349	39,913.09 145.09	-163.59	1.99	In cash account Int rate eff: 10/30/2013 Moody's Aa1 S&P AA-
***BP CAP MKTS P L C UNSECURED DUE 10 MAY 2018 @ 1.375% ISIN: US05565QCE61 DATED DATE 10 MAY 2013	42,000	97.490 97.490	40,945.80 40,945.80	97.167	40,810.14 129.94	-135.66	2.00	In cash account Int rate eff: 11/10/2013 Moody's A2 S&P A
Total USD International bonds					\$ 161,627.26 \$ 597.56	- -\$ 619.75		

	Market value (USD)	Accrued int. (USD)	Unrealized g/l (USD)
Total Fixed income		\$ 915,660.09	- \$ 4,492.32
		\$ 7,451.34	
		\$ 923,111.43	

Cash, cash equivalents & other

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Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance

	Value
CASH ACCOUNT	\$ 72,541.21
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 72,541.21
	\$ 0.00
	\$ 72,541.21

HOLDINGS

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Equities

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Note: Trade price may include any applicable local taxes and fees.

Mutual funds (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
**DIAMOND HILL LONG SHORT FUND (DHLX) CLASS1	33,081.285	\$ 21.16	\$ 700,000.00	\$ 20.900	\$ 691,398.86	\$ 8,601.14	0.301	2,084.12	In cash account
**DRIEHAUS MUT FDS (DREGX) EMERGING MKTS GROWTH FD	11,146.497	31.40	350,000.00	30.160	336,178.35	13,821.65	0.381	1,281.84	In cash account
**MATTHEWS PACIFIC TIGER FUND (MARTX)	8,179.959	24.45	200,000.00	22.880	187,157.46	12,842.54	0.682	1,276.07	In cash account
**WELLS FARGO ADVANTAGE FUNDS (EMGNX) EMERGING MKTS EQ FID INSTL CL	9,501.188	21.05	200,000.00	20.640	196,104.52	3,895.48	0.751	1,472.68	In cash account
Total USD Mutual funds					\$ 1,410,839.19	\$ 39,160.81		\$ 6,114.71	

Limited partnerships	Total Subscriptions ^D	Total Redemptions	Total Contributions ^M	Estimated Value	Value in Excess of Net Contributions	Pending Cash ^E	Comments
BARCLAYS WEALTH ADVISOR SERIES INTERNATIONAL VALUE EQUITY LTD ADV Product Ref: 91501700/USD	600,000.00		600,000.00 ²	\$ 600,000.00		500,000.00	Pending Subscription: 500,000.00 (01 Sep 2013) Initial Subscription Date: 01 Aug 2013

ACTIVITY	Effective Date	Amount	Value ^F	Pending Cash ^G	Notes
Subscription Payment	30 Jul 2013	600,000		600,000	
Subscription	01 Aug 2013	600,000	600,000	600,000	NAV: 144 Units: 4,172
Subscription Payment	29 Aug 2013	500,000		500,000	
Current Estimated Value	31 Aug 2013		600,000	500,000	

Total Fmv at 8-31-13

1,410,839.19 +
600,000.00 +
797,391.57 +
500,000.00 +
3,308,230.76 =

2. Estimate based on preliminary activity information and may be revised upon the issuance of the next Capital Account Statement.



Total Equities

\$ 2,040,839.19

\$ 39,160.81

\$ 6,114.71

D. Total Subscriptions represent a cumulative amount invested into the fund since Initial Subscription Date less placement fee collected as a part of subscription.

E. Pending Cash balance represents net balance of payments not yet collected from and/or not yet distributed to the investor's funding account or payments collected from the investor's funding account and not yet invested.

F. Value amounts represent activity contribution in calculation of The Estimated Value.

G. Pending Cash amounts represents activity contribution in calculation of Pending Cash balance.

L. Total Redemptions represent a cumulative amount redeemed since Initial Subscription Date.

M. Total Contributions represent a cumulative amount contributed since Initial Subscription Date inclusive of placement fee collected as a part of subscription.

Fixed income

Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.

Mutual funds (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment
**DOUBLELINE FDS TR (DBLTX)	27,297.543	\$ 10.99	\$ 300,000.00	\$ 10.920	\$ 298,089.17	\$ 1,910.83	5.320	15,859.87	In cash account
TOTAL RETURN BD FD CL I									
**HARBOR HIGH YIELD BOND FUND (HYFAX)	18,231.541	10.97	200,000.00	10.950	199,695.37	304.63	5.826	11,631.72	In cash account
INSTITUTIONAL CLASS									
**RIDGEWORTH FDS (SAMBX)	33,296.337	9.01	300,000.00	9.000	299,667.03	332.97	4.511	13,518.31	In cash account
SEIX FLTG RATE INCOME FD CL I									
Total USD Mutual funds					\$ 797,391.57	\$ 2,608.43		\$ 41,009.90	

Total Fixed income

Market value (USD)

Accrued inc (USD)

Unrealized gain (USD)

\$ 797,391.57

\$ 2,608.43

\$ 0.00

\$ 797,391.57

HOLDINGS

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Note: Trade price may include any applicable local taxes and fees.

Preferred stock (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
INTERPUBLIC GROUP COS INC (INPGP)	5	\$ 1,329.00	\$ 6,645.02	\$ 1,278.50	\$ 6,392.50	\$ 252.52	4.106	262.50	In cash account
PERP PFD CONV SER B 5.25%									
LUCENT TECHNOLOGIES CAP TR F (LUTHP)	15	968.42	14,526.25	976.50	14,647.50	121.25	7.937	1,162.50	In cash account
CONV TR PFD SECS 7.75%									
Total USD Preferred stock					\$ 21,040.00	\$ 131.27		\$ 1,425.00	

Total Equities \$ 21,040.00 \$ 131.27 \$ 1,425.00

Fixed Income

Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.

Corporate bonds	Par	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss
NEWMONT MNG CORP CONV	5,000	\$ 111.010	\$ 5,550.51	114.380	\$ 5,719.00	\$ 179.79
DUE 15 JUL 2017 @ 1.625%		110.784	5,539.21		10.38	
ISIN: 05651639AJ57						
DATED DATE 17 JUL 2007						
BROADSOFT INC CONV	2,000	103.400	2,068.00	105.880	2,117.60	50.71
DUE 01 JUL 2018 @ 1.500%		103.345	2,066.89		5.00	
ISIN: US11133BAB80						
DATED DATE 20 JUN 2011						

FMV at 8-31-13

21,040.00 +
24,006.60 +
430,460.90 +
475,507.50 +



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
3M COMPANY (MMM)	310	114.61	35,529.10	113.580	35,209.80	319.30	2.236	787.40	In cash account
TIME WARNER INC (TWX)	280	61.54	17,230.84	60.530	16,948.40	282.44	1.900	322.00	In cash account
WAL-MART STORES INC (WMT)	355	77.29	27,439.40	72.980	25,907.90	1,531.50	2.576	667.40	In cash account
Total USD Common stocks					\$ 598,304.10	\$ 18,162.27		\$ 12,589.15	

Total Equities					\$ 598,304.10	\$ 18,162.27		\$ 12,589.15	
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Cash, cash equivalents & other

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Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 105,103.05
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 105,103.05
	\$ 0.00
	\$ 105,103.05

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
FREEMONT MCMORAN COPPER & GOLD (FCX) INC.	267	28.23	7,537.41	30.220	8,068.74	531.33	4.136	333.75	In cash account
IMMUNOGEN INC (IMGN)	257	19.21	4,935.97	16.000	4,112.00	-823.97			In cash account
ISIS PHARMACEUTICALS INC (ISIS)	188	29.35	5,517.01	25.830	4,856.04	-660.97			In cash account Barclays: 1-O/POS
L-3 COMMUNICATIONS HOLDINGS (LLL) INC	219	91.58	20,055.89	90.330	19,782.27	-273.62	2.436	481.80	In cash account
LIBERTY INTERACTIVE (LINTA) CORPORATION INTERACTIVE SER A	408	24.60	10,035.76	22.580	9,212.64	-823.12			In cash account
LIBERTY MEDIA CORP DELAWARE (LMCA) CL A	54	139.74	7,545.69	136.480	7,369.92	-175.77			In cash account
NATIONAL OILWELL VARCO INC (NOV)	139	72.76	10,113.64	74.300	10,327.70	214.06	1.400	144.56	In cash account
NUCOR CORP (NUE)	331	46.00	15,225.96	45.490	15,057.19	-168.77	3.231	486.57	In cash account
PALL CORP (PLL)	213	70.53	15,022.84	69.140	14,726.82	-296.02	1.446	213.00	In cash account
SANDISK CORP (SNDK)	272	60.49	16,452.29	55.180	15,008.96	-1,443.33	1.631	244.80	In cash account
STARZ (STRZ) SERIES A COMMON STOCK	106	23.81	2,523.86	24.960	2,645.76	121.90			In cash account
UNITEDHEALTH GROUP INC (UNH)	453	70.07	31,739.69	71.740	32,498.22	758.53	1.561	507.36	In cash account
VERTEX PHARMACEUTICALS INC (VRTX)	117	85.92	10,052.50	75.150	8,792.55	-1,259.95			In cash account
Total USD Common stocks					\$ 463,815.93	\$ 19,286.84		\$ 5,876.86	
Total Equities					\$ 463,815.93	\$ 19,286.84		\$ 5,876.86	

HOLDINGS

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Note: Trade price may include any applicable local taxes and fees.

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est ann. yield (%)	Est. annual income (\$)	Comment / Research rating
AMERICAN INTERNATIONAL GROUP (AIG) INC	700	\$ 46.91	\$ 32,837.00	\$ 46.460	\$ 32,522.00	\$ 315.00	0.861	280.00	In cash account
***BP P.L.C. SPONSORED ADR (BP) (FRM BP AMOCO PLC)	500	42.56	21,280.00	41.300	20,650.00	630.00	5.230	1,080.00	In cash account
BANK OF AMERICA CORP (BAC)	2,000	14.24	28,470.00	14.120	28,240.00	230.00	0.283	80.00	In cash account
H. & R. BLOCK INC (HRB)	900	30.41	27,369.00	27.910	25,119.00	2,250.00	2.866	720.00	In cash account
CAREFUSION CORP (CFN)	500	38.70	19,350.00	35.850	17,925.00	1,425.00			In cash account
CHESAPEAKE ENERGY CORP (CHK)	1,100	21.85	24,039.30	25.810	28,391.00	4,351.70	1.356	385.00	In cash account
EBIX INC (EBIX)	1,300	11.09	14,420.35	11.370	14,781.00	360.65			In cash account
EXELIS INC (XLS) COM	1,500	14.44	21,660.99	14.710	22,065.00	404.01	2.808	619.50	In cash account
GENERAL ELECTRIC CO (GE)	1,200	21.11	25,327.74	23.140	27,768.00	2,440.26	3.284	912.00	In cash account
GETTY REALTY CORP NEW (GTY)	900	21.64	19,478.90	18.260	16,434.00	3,044.90	4.381	720.00	In cash account
ITT CORPORATION (ITT)	250	31.01	7,752.38	32.850	8,212.50	460.12	1.218	100.00	In cash account
***MCDERMOTT INTERNATIONAL INC (MDR)	1,400	8.95	12,536.50	7.500	10,500.00	2,036.50			In cash account
MOTOROLA SOLUTIONS INC (MSI)	400	59.57	23,827.99	56.010	22,404.00	1,423.99	2.214	496.00	In cash account
NEWMONT MINING CORP (NEM) HOLDING CO	800	28.21	22,569.82	31.770	25,416.00	2,846.18	3.148	800.00	In cash account
OLD REPUBLIC INTL CORP (ORI)	1,900	13.86	26,332.50	14.200	26,980.00	647.50	5.070	1,368.00	In cash account
***PENGROWTH ENERGY (PGH) CORPORATION	4,200	5.68	23,855.87	5.527	23,215.88	639.99	8.430	1,957.20	In cash account Shares denominated in Canadian Dollar - CAD
SAIC INC (SAI)	1,600	14.25	22,792.45	15.070	24,112.00	1,319.55	3.185	768.00	In cash account
SEALED AIR CORP NEW (SEE)	900	27.56	24,801.50	28.400	25,560.00	758.50	1.831	468.00	In cash account
SEARS HOLDINGS CORP (SHLD)	600	44.63	26,776.31	44.240	26,544.00	232.31			In cash account Barclays 2-E/NEU
SILVER BAY RLPY TR CORP (SBY) COM	1,100	16.50	18,145.00	15.770	17,347.00	798.00	0.254	44.00	In cash account
Total USD Common stocks					\$ 444,186.38	\$ 962.78		\$ 10,797.70	



Equities

Common stocks (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
OMEGA-HEALTHCARE INVESTORS INC (OHI)	270	33.72	9,104.40	28.400	7,668.00	-1,436.40	6.620	507.60	In cash account
ONEOK-INC (OKE)	160	43.49	6,957.85	51.440	8,230.40	1,272.55	2.955	243.20	In cash account
OWENS-ILLINOIS INC NEW (OI)	555	29.03	16,114.16	28.390	15,756.45	-357.71			In cash account
REDWOOD-TRUST-INC (RWT)	535	16.80	8,988.00	17.790	9,517.65	529.65	6.296	599.20	In cash account
SBA COMMUNICATIONS CORP (SBAC) CL A	165	77.74	12,827.10	75.000	12,375.00	-452.10			In cash account
SLM CORPORATION (SLM)	470	23.50	11,045.00	23.990	11,275.30	230.30	2.501	282.00	In cash account
TIDEWATER INC (TDW)	170	59.39	10,096.18	53.960	9,173.20	-922.98	1.853	170.00	In cash account
VERISK ANALYTICS INC (VRSK) CL A	260	61.98	16,115.80	62.180	16,166.80	51.00			In cash account
WILLIAMS COMPANIES INC (WMB)	360	33.41	12,027.57	36.240	13,046.40	1,018.83	4.042	527.40	In cash account
WPX ENERGY INC (WPX)	655	19.99	13,093.45	18.660	12,222.30	-871.15			In cash account
XYLEM INC (XYL) COM	350	28.76	10,065.79	24.780	8,673.00	-1,392.79	1.881	163.40	In cash account
Total USD Common stocks					\$ 362,961.12	-\$ 10,828.05		\$ 5,362.32	

Total Equities

\$ 362,961.12	-\$ 10,828.05	\$ 5,362.32
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Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 27,352.06
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 27,352.06
	\$ 0.00
	\$ 27,352.06

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
TRINITY INDUSTRIES INC (TRN)	110	37.64	4,140.05	42.220	4,644.20	504.15	1.232	57.20	In cash account
VAIL RESORTS INC (MTN)	110	65.77	7,234.80	68.000	7,480.00	245.20	1.221	91.30	In cash account
VECTREN CORP (VVC)	150	36.07	5,410.50	32.600	4,890.00	(520.50)	4.356	213.00	In cash account
VERINT SYSTEMS INC (VRNT)	170	36.53	6,210.91	33.150	5,635.50	(575.41)			In cash account Barclays: 2-E/POS
VIEWPOINT FINANCIAL GROUP INC (VPFG)	280	21.63	6,056.40	19.890	5,569.20	(487.20)	2.014	112.00	In cash account
WABTEC CORP (WAB)	150	55.68	8,352.00	58.520	8,778.00	426.00	0.273	24.00	In cash account
WADDELL & REED FINANCIAL INC (WDR)	130	48.79	6,342.67	47.620	6,190.60	(152.07)	2.352	145.60	In cash account
WALTER INVESTMENT MANAGEMENT (WAC)	170	37.38	6,354.56	36.690	6,237.30	(117.26)			In cash account
WEX INC (WEX)	100	83.67	8,367.00	80.030	8,003.00	(364.00)			In cash account
WINTRUST FINANCIAL CORP (WTEC)	130	41.01	5,331.30	39.640	5,153.20	(178.10)	0.454	23.40	In cash account
Total USD Common stocks					\$ 378,605.22	\$ 7,887.87		\$ 5,820.50	
Total Equities					\$ 378,605.22	\$ 7,887.87		\$ 5,820.50	

Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance

CASH ACCOUNT	Value
	\$ 13,125.03
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 13,125.03
	\$ 0.00
	\$ 13,125.03



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
***SCHLUMBERGER LTD (SLB)	183	78.38	14,343.44	80.940	14,812.02	468.58	1.544	228.75	In cash account
***SCHNEIDER ELECTRIC 5A (SBGSY)	1,099	14.88	16,352.79	15.255	16,765.25	412.45	2.452	411.03	In cash account
UNSPONSORED ADR									
***SONOVA HOLDING AG (SONVY)	330	22.17	7,316.10	22.070	7,283.10	-33.00			In cash account
UNSPONSORED ADR									
***SVENSKA HANDELSBANKEN (SVNLY)	353	21.39	7,550.67	21.429	7,564.44	13.77	3.010	227.69	In cash account
UNSPONSORED ADR REPRESENTING A SHARES									
***SWATCH GROUP AG (THB) (SWGAY)	347	28.17	9,774.99	28.840	10,007.48	232.49	0.721	72.18	In cash account
UNSPONSORED ADR									
***SYSMEX CORPORATION (SSMXY)	473	33.27	15,736.71	28.855	13,648.42	-2,088.29	0.617	84.19	In cash account
UNSPONSORED ADR									
***TAIWAN SEMICONDUCTOR MFG CO (TSM)	1,309	16.89	22,103.42	16.560	21,677.04	-426.38	2.422	524.91	In cash account
LTD SPONSORED ADR REPSTG 5 COM									
***TESCO PLC SPONSORED ADR (TSCDY)	506	16.88	8,541.28	17.300	8,758.80	217.52	3.717	325.36	In cash account
***TURKIYE GARANTI BANKASI A S (TKGBY)	3,123	4.27	13,331.99	3.435	10,727.51	-2,604.48	1.721	184.66	In cash account
SPONSORED ADR REPSTG 2000 SHS									
***UNICHARM CORP (UNICY)	1,421	11.58	16,450.63	10.370	14,735.77	-1,714.86	58.081	8,558.68	In cash account
SPONSORED ADR									
***UNILEVER PLC (UL)	204	42.09	8,585.93	38.180	7,788.72	-797.21	3.520	274.18	In cash account
SPONSORED ADR									
***WPP PLC NEW (WPPGY)	235	91.89	21,594.27	92.740	21,793.90	199.63	2.332	508.31	In cash account
ADR									
***XINYI GLASS HOLDINGS LTD (XYIGY)	432	17.44	7,534.08	18.620	8,043.84	509.76	2.744	220.75	In cash account
UNSPONSORED ADR									
Total USD Common stocks:					\$ 671,842.94	\$ 16,390.32		\$ 20,836.09	
Total Equities					\$ 671,842.94	\$ 16,390.32		\$ 20,836.09	



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
MONMOUTH REAL ESTATE INVT CORP (MNR) ELA	330	10.23	3,375.74	8.980	2,963.40	412.34	6.682	198.00	In cash account
NATIONAL RETAIL PROPERTIES INC (NNN)	250	37.25	9,312.50	30.630	7,657.50	1,655.00	5.289	405.00	In cash account
PUBLIC STORAGE (PSA)	160	162.85	25,976.00	152.670	24,427.20	1,548.80	3.275	800.00	In cash account
RAYONIER INC (RYN) REIT	240	57.45	13,787.77	55.240	13,257.60	530.17	3.548	470.40	In cash account Barclays: 1-O/POS
REALTY INCOME CORP (O)	230	45.57	10,481.10	39.500	9,085.00	1,396.10	5.514	500.94	In cash account
SENIOR HSG PPTYS TR (SNH) SH BEN INT	310	26.84	8,320.37	22.750	7,052.50	1,267.87	6.857	483.60	In cash account
SIMON PROPERTY GROUP INC (SPG)	230	162.78	37,440.30	145.630	33,494.90	3,945.40	3.159	1,058.00	In cash account
TANGER FACTORY OUTLET CENTERS (SKT) INC	310	35.15	10,895.00	30.850	9,563.50	1,331.50	2.917	279.00	In cash account
VENTAS INC (VTR)	160	71.79	11,486.38	62.260	9,961.60	1,524.78	4.305	428.80	In cash account
WEINGARTEN REALTY INVESTORS (WRI) SBI	270	92.29	8,717.67	28.710	7,751.70	965.97	4.249	329.40	In cash account
Total USD Common stocks					\$ 32,912.33	\$ 37,634.36		\$ 13,693.94	

Total Equities

\$ 32,912.33 \$ 37,634.36 \$ 13,693.94

Fixed Income

International bonds	Par	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Yield-to-maturity(%)	Comment
		Adj. unit cost	Adj. total cost		Accrued interest			
***TORONTO DOMINION BANK	41,000	97.748	40,076.68	96.454	39,546.14	-530.54	2.20	In cash account
DUE 30 APR 2018 @ 1.400%		97.748	40,076.68		192.93			Int rate eff: 10/30/2013
ISIN: US89114QAG38								Moody's Aa1
DATED DATE 30 APR 2013								S&P AA-
***BP CAP MKTS P L C	42,000	97.490	40,945.80	96.316	40,452.72	-493.08	2.21	In cash account
UNSECURED		97.490	40,945.80		178.06			Int rate eff: 11/10/2013
DUE 10 MAY 2018 @ 1.375%								Moody's A2
ISIN: US05565QCE61								S&P A
DATED DATE 10 MAY 2013								
Total USD International bonds					\$ 788,822.76	-\$ 2,212.65		
					\$ 850.46			

Total Fixed income	Market value (USD)	Unrealized g/l (USD)
	Accrued Int. (USD)	
	\$ 971,621.24	- \$ 14,515.90
	\$ 8,455.96	
	\$ 980,077.20	

Cash, cash equivalents & other

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Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 7,587.90
	Market value (USD)
	Accrued Income (USD)
Total Cash, cash equivalents & other	\$ 7,587.90
	\$ 0.00
	\$ 7,587.90

HOLDINGS

In instances where prices of securities are not readily available, securities have no values; securities may not have been actively traded or where other factors prevent the pricing of securities, ** appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding. Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.

Equities

Your statement contains research ratings for companies covered by Barclays Equity Research. Clients may access Barclays research at www.barclays.com/wealthamericas/clientaccessdisclaimers or by calling 1-800-253-4626. A complete description of Barclays ratings may be found on Page 2 of your statement.

Note: Trade price may include any applicable local taxes and fees.

Mutual funds (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
**DIAMOND HILL LONG-SHORT FUND (DHLX) CLASS I	33,081.285	\$ 21.16	\$ 700,000.00	\$ 21.260	\$ 703,308.12	\$ 3,308.12	0.296	2,084.12	In cash account
**DRIEHAUS MUT.FDS (DREGX) EMERGING MKTS GROWTH.FD	20,583.48	31.58	650,000.00	32.130	661,347.21	11,347.22	0.358	2,367.09	In cash account
**MATTHEWS PACIFIC TIGER FUND (MARTX)	20,492.996	24.40	500,000.00	24.560	503,307.98	3,307.98	0.635	3,196.90	In cash account
**WELLS FARGO ADVANTAGE FUNDS (EMGNX) EMERGING MKTS.EQ.FD INSTL CL	16,176.755	21.64	350,000.00	22.060	356,859.22	6,859.22	0.703	2,507.39	In cash account
Total USD Mutual funds					\$ 2,224,822.53	\$ 24,822.54			

Limited partnerships	Total Subscriptions	Total Redemptions	Total Contributions	Estimated Value	Value in Excess of Net Contributions	Pen
BARCLAYS WEALTH ADVISOR SERIES INTERNATIONAL VALUE EQUITY LTD. ADV	1,100,000.00 ³		1,100,000.00 ³	\$ 1,096,083.71 ³	3,916.29 ³	
Product Ref: 91501700/USD						
ACTIVITY	Effective Date	Amount	Value	Pending Cash	Notes	
Capital Statement Value	31 Aug 2013		596,084	500,000	NAV: 144	
Subscription	01 Sep 2013	500,000	500,000	500,000	Units: 3,476	
Current Estimated Value	30 Sep 2013		1,096,084			

FMV at 9-30-13
 2,224,822.53 +
 1,096,083.71 +
 798,029.54 +
 478,557.51 +
 4,597,293.35

³ Estimate based on the latest Capital Account Statement adjusted by preliminary activity information since such statement and may be revised upon the issuance of the next Capital Account Statement.



Total Equities \$ 320,906.24 \$ 24,822.54 \$ 10,155.50

D Total Subscriptions represent a cumulative amount invested into the fund since Initial Subscription Date less placement fee collected as a part of subscription.

E Pending Cash balance represents net balance of payments not yet collected from and/or not yet distributed to the investor's funding account or payments collected from the investor's funding account and not yet invested.

F Value amounts represent activity contribution in calculation of the Estimated Value.

G Pending Cash amounts represents activity contribution in calculation of Pending Cash balance.

L Total Redemptions represent a cumulative amount redeemed since Initial Subscription Date.

M Total Contributions represent a cumulative amount contributed since Initial Subscription Date inclusive of placement fee collected as a part of subscription.

Fixed income

Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.

Mutual funds (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield(%)	Est. annual income (\$)	Comment
**DOUBLELINE FDS TR (DBUTX)	27,297.543	\$ 10.99	\$ 300,000.00	\$ 11.000	\$ 300,272.97	\$ 272.97	5.172	15,532.30	In cash account
TOTAL RETURN BD FD CL I									
**HARBOR HIGH-YIELD BOND FUND (HYFAX)	18,231.541	10.97	200,000.00	10.920	199,088.43	-911.57	5.869	11,686.41	In cash account
INSTITUTIONAL CLASS									
**BRIDGEWORTH FDS (SAMBX)	33,296.337	9.01	300,000.00	8.970	298,668.14	-1,331.86	4.425	13,218.64	In cash account
SEIX FLTG RATE INCOME FD CL I									
Total USD Mutual funds					\$ 798,029.54	\$ 1,970.46		\$ 40,437.35	

Total Fixed income

Market value (USD)
Accrued Int. (USD) Unrealized g/l (USD)
\$ 798,029.54
\$ 0.00
\$ 798,029.54

HOLDINGS

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Equities

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Note: Trade price may include any applicable local taxes and fees.

Preferred stock (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
INTERPUBLIC GROUP COS INC (INPGP)	5	\$ 1,329.00	\$ 6,645.02	\$ 1,351.500	\$ 6,757.50	\$ 112.48	3.885	\$ 262.50	In cash account
PERP PFD CONV SER B 5.25%									
LUCENT TECHNOLOGIES CAP TR 1 (LUTHP)	15	968.42	14,526.25	1,006.500	15,097.50	571.25	7.700	1,162.50	In cash account
CONV TR PFD SECS 7.75%									
Total USD Preferred stock					\$ 21,855.00	\$ 683.73		\$ 1,425.00	
Total Equities					\$ 21,855.00	\$ 683.73		\$ 1,425.00	

Fixed income

Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held

Corporate bonds	Par	Unit cost	Total cost	Market price	Market value	Unrealize gain/loss
NEWMONT MNG CORP	5,000	\$ 111.010	\$ 5,550.51	110.630	\$ 5,531.50	\$ 4.3
CONV		110.543	5,527.14		17.15	
DUE 15 JUL 2017 @ 1.625%						
ISIN: US651639AJ57						
DATED DATE 17 JUL 2007						
BROADSOFT INC	2,000	103.400	2,068.00	110.750	2,215.00	149.2
CONV		103.287	2,065.73		7.50	
DUE 01 JUL 2018 @ 1.500%						
ISIN: US11338AB880						
DATED DATE 20 JUN 2011						
HORNBECK OFFSHORE SVCS INC NEW	14,000	115.634	16,188.83	118.000	16,520.00	358.74
DUE 15 NOV 2026 @ 1.625%		115.438	16,161.26		85.94	
ISIN: US440543AE63						
DATED DATE 13 NOV 2006						
VARIABLE RATE						

FMV at 9-30-13

21,855.00 +

30,356.50 +

422,677.50 +

474,889.00 +

unt

unt

In cash account

Next call on 11/15/2013

Call price \$100.00

Putable on 11/15/2013

Put price \$100.00

S&P BB-



Fixed income

Convertibles	Par	Unit cost Adj. unit cost	Total cost Adj. total cost	Market price	Market value Accrued interest	Unrealized gain/loss	Yield-to- maturity(%)	Comment
CHESAPEAKE ENERGY CORP CONTINGENT CVT SR NTS DUE 2038 DUE 15 DEC 2038 @ 2.250% ISIN: US165167CB13 DATED DATE 27 MAY 2008	19,000	91.250	17,337.50	91.250	17,337.50	N/A	0.36	In cash account Next call on 12/15/2018 Call price \$100.00 Putable on 12/15/2018 Put price \$100.00 Moody's Baa S&P BB+
CLEARWIRE COMMUNICATIONS LLC / CLEARWIRE FIN INC NT EXCHANGEABLE 144A DUE 01 DEC 2040 @ 8.250% ISIN: US18538TAG40 DATED DATE 08 DEC 2010	18,000	111.368 111.342	20,046.25 20,041.57	110.130	19,823.40 495.00	-218.17	7.38	In cash account Next call on 12/01/2017 Call price \$100.00 Putable on 12/01/2017 Put price \$100.00
HOLOGIC INC SR NT CONV DUE 01 MAR 2042 @ 2.000% ISIN: US436440AC59 DATED DATE 05 MAR 2012 VARIABLE RATE	12,000	107.375 107.341	12,885.00 12,880.96	101.000	12,120.00 20.00	-760.96	1.95	In cash account Next call on 03/06/2018 Call price \$100.03 Putable on 03/01/2018 Put price \$100.00 S&P B+
HOLOGIC INC SR NT CONV DUE 15 DEC 2043 @ 2.000% ISIN: US436440AG63 DATED DATE 21 FEB 2013 VARIABLE RATE	6,000	106.700 106.680	6,402.00 6,400.78	104.000	6,240.00	-160.78	3.78	In cash account Int rate eff. 06/15/2013 Next call on 12/15/2017 Call price \$121.02 Putable on 12/15/2017 Put price \$121.02
Total USD Convertibles					\$ 428,677.50 \$ 3,441.47	\$ 548.32		
					Market value (USD)			
					Accrued Int. (USD)			
					Unrealized g/l (USD)			
Total Fixed Income					\$ 453,034.00 \$ 3,608.31 \$ 456,642.31	- \$ 58.30		

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
3M COMPANY (MMM)	550	116.83	64,255.35	119.410	65,675.50	1,420.15	2.127	1,397.00	In cash account
TIME WARNER INC. (TWX)	530	62.48	32,955.84	65.810	34,879.30	1,923.46	1.747	609.50	In cash account
UNITEDHEALTH GROUP INC (UNH)	380	71.49	27,165.57	71.610	27,211.80	46.23	1.564	1425.60	In cash account
WAL-MART STORES INC (WMT)	650	76.41	49,665.85	73.960	48,074.00	1,591.85	2.542	1,222.00	In cash account
Total USD Common stocks					\$ 1,178,192.13	\$ 1,652.51		\$ 24,305.65	

Total Equities

\$ 1,178,192.13	\$ 1,652.51	\$ 24,305.65
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Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Upon your request, funds on deposit through the Insured Network Deposit Program and the BBNY Uninsured Deposit Program may be withdrawn, and shares of a MMF may be liquidated, and the proceeds deposited in your securities account or remitted to you. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance
CASH ACCOUNT
Value

\$ 146,135.46

Market value (USD)
Accrued income (USD)

\$ 146,135.46

\$ 0.00

\$ 146,135.46

Total Cash, cash equivalents & other

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
FREEPORT MCMORAN COPPER & GOLD (FCX) INC.	448	30.18	13,521.48	33.080	14,819.84	1,298.36	3.779	560.00	In cash account
IMMUNOGEN INC. (IMGN)	532	18.21	9,690.32	17.020	9,054.64	-635.68			In cash account
ISIS PHARMACEUTICALS INC. (ISIS)	333	31.86	10,608.26	37.540	12,500.82	1,892.56			In cash account Barclays: 1-O/POS
L-3 COMMUNICATIONS HOLDINGS (LL) INC.	408	92.56	37,762.70	94.500	38,556.00	793.30	2.328	897.60	In cash account
LIBERTY INTERACTIVE (LINTA) CORPORATION INTERACTIVE SER A	785	24.35	19,112.22	23.470	18,423.95	-688.27			In cash account
LIBERTY MEDIA CORP DELAWARE (LMCA) CL A	97	142.34	13,807.36	147.150	14,273.55	466.19			In cash account
NATIONAL OILWELL VARCO INC (NOV)	239	75.27	17,990.56	78.110	18,668.29	677.73	1.331	248.56	In cash account
NUCOR CORP (NUE)	598	47.36	28,320.96	49.020	29,313.96	993.00	2.999	879.06	In cash account
PALL CORP (PLL)	390	72.65	28,331.98	77.040	30,045.60	1,713.62	1.428	429.00	In cash account
SANDISK CORP (SNDK)	479	60.22	28,844.66	59.510	28,505.29	-339.37	1.512	431.10	In cash account
STARZ (STRZA) SERIES A COMMON STOCK	180	24.98	4,496.10	28.130	5,063.40	567.30			In cash account
UNITEDHEALTH GROUP INC (UNH)	754	71.32	53,777.43	71.610	53,993.94	216.51	1.564	844.48	In cash account
VERTEX PHARMACEUTICALS INC (VRTX)	236	81.72	19,285.57	75.820	17,893.52	-1,392.05			In cash account
Total USD Common stocks					\$ 907,734.98	\$ 10,772.20		\$ 11,055.78	
Total Equities					\$ 907,734.98	\$ 10,772.20		\$ 11,055.78	

Equities

Common stocks (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
OMEGA HEALTHCARE INVESTORS INC (OHI)	460	31.50	14,490.73	29.870	13,740.20	751.53	6.294	864.80	In cash account
ONEOK INC (OKE)	285	47.02	13,400.35	53.320	15,196.20	1,795.85	2.851	433.20	In cash account
OWENS ILLINOIS INC NEW (OI)	925	29.49	27,280.76	30.020	27,768.50	487.74			In cash account
QUESTAR CORP (STR)	600	22.26	13,354.92	22.490	13,494.00	139.08	3.201	432.00	In cash account
REDWOOD TRUST INC (RWT)	785	17.43	13,685.50	19.690	15,456.65	1,771.15	5.688	879.20	In cash account
SBA COMMUNICATIONS CORP (SBAC) CL A	255	77.34	19,722.00	80.460	20,517.30	795.30			In cash account
SLM CORPORATION (SLM)	740	23.82	17,630.30	24.900	18,426.00	795.70	2.410	444.00	In cash account
TIDEWATER INC (TDW)	285	58.75	16,744.33	59.290	16,897.65	153.32	1.687	285.00	In cash account
VERISK ANALYTICS INC (VRSK) CL A	410	62.59	25,660.50	64.960	26,633.60	973.10			In cash account
WILLIAMS COMPANIES INC (WMB)	600	34.29	20,573.97	36.360	21,816.00	1,242.03	4.029	879.00	In cash account
WPX ENERGY INC (WPX)	1,125	19.52	21,962.35	19.260	21,667.50	294.85			In cash account
XYLEM INC (XYL) COM	555	27.98	15,531.09	27.930	15,501.15	29.94	1.668	258.63	In cash account
Total USD Common stocks					\$ 639,762.16	\$ 12,528.87		\$ 9,125.35	
Total Equities					\$ 639,762.16	\$ 12,528.87		\$ 9,125.35	

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
SANCHEZ ENERGY CORPORATION (SN)	320	23.35	7,471.60	26.410	8,451.20	979.60			In cash account
A.O SMITH CORPORATION (AOS)	230	40.85	9,394.43	45.200	10,396.00	1,001.57	4.062	110.40	In cash account
SPIRIT REALTY CAPITAL INC (SRC)	912	Not available		9.180	8,372.16	N/A	7.146	598.27	In cash account
UMB FINANCIAL CORP (UMBF)	160	53.67	3,220.40	54.340	3,260.40	40.00	1.583	51.60	In cash account
VAIL RESORTS INC (MTN)	180	67.03	12,065.50	69.380	12,488.40	422.90	1.196	149.40	In cash account
VECTREN CORP (VVC)	250	34.54	8,635.50	33.350	8,337.50	298.00	4.258	355.00	In cash account
VERINT SYSTEMS INC (VRNT)	270	36.45	9,841.91	37.060	10,006.20	164.29			In cash account
VIEWPOINT FINANCIAL GROUP INC (VPEG)	460	20.98	9,650.97	20.670	9,508.20	142.77	1.935	184.00	In cash account
WABTEC CORP (WAB)	250	57.82	14,455.00	62.870	15,717.50	1,262.50	0.254	40.00	In cash account
WADDELL & REED FINANCIAL INC (WDR)	220	49.07	10,795.87	51.480	11,325.60	529.73	2.176	246.40	In cash account
WALTER INVESTMENT MANAGEMENT (WAC) CORP	270	38.55	10,408.56	39.540	10,675.80	267.24			In cash account
WEX INC (WEX)	160	83.03	13,284.60	87.750	14,040.00	755.40			In cash account
WINTRUST FINANCIAL CORP (WTEC)	220	40.74	8,962.80	41.070	9,035.40	72.60	0.438	39.60	In cash account
Total USD Common stocks					\$ 647,915.66	\$ 20,519.91		\$ 8,840.57	
Total Equities					\$ 647,915.66	\$ 20,519.91		\$ 8,840.57	



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
***SONOVA HOLDING AG (SONVY) UNSPONSORED ADR	511	22.86	11,680.01	24.880	12,713.68	1,033.67			In cash account
***SVENSKA HANDELSBANKEN (SVNLY) UNSPONSORED ADR REPRESENTING A SHARES	558	21.54	12,017.62	21.390	11,935.62	82.00	3.015	359.91	In cash account
***SWATCH GROUP AG (THE) (SWGAY) UNSPONSORED ADR	537	28.81	15,473.09	32.110	17,243.07	1,769.98	0.648	111.70	In cash account
***SYSMEX CORPORATION (SSMX) UNSPONSORED ADR	768	32.22	24,743.06	32.100	24,652.80	-90.26	0.555	136.70	In cash account
***TAIWAN SEMICONDUCTOR MFG CO (TSM) LTD SPONSORED ADR REPSTG 5 COM	1,885	16.96	31,970.30	16.960	31,969.60	-0.70	2.364	755.89	In cash account
***TESCO PLC SPONSORED ADR (TSCDY)	804	17.08	13,732.44	17.560	14,118.24	385.80	3.662	516.97	In cash account
***TURKIYE GARANTI BANKASI A S (TKGBY) SPONSORED ADR REPSTG 2000 SHS	4,759	4.10	19,499.71	3.963	18,859.92	-639.79	1.492	281.40	In cash account
***UNICHARM CORP (UNICY) SPONSORED ADR	2,347	11.09	26,025.47	11.720	27,506.84	1,481.37	0.512	140.82	In cash account
***UNILEVER PLC (UL) SPONSORED ADR	322	40.75	13,120.03	38.580	12,422.76	-697.27	3.484	432.77	In cash account
***WPP PLC NEW (WPPGY) ADR	378	94.34	35,660.55	102.940	38,911.32	3,250.77	2.224	865.24	In cash account
***XINYI GLASS HOLDINGS LTD (XYIGY) UNSPONSORED ADR	373	18.27	6,816.34	18.270	6,814.71	-1.63	2.797	190.60	In cash account
Total USD Common stocks					\$ 1,104,987.86	\$ 49,086.38		\$ 18,520.04	

Total Equities					\$ 1,104,987.86	\$ 49,086.38		\$ 18,520.04	
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Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
MONMOUTH REAL ESTATE INVT CORP (MNR) CL A	600	9.71	5,825.56	9.070	5,442.00	383.56	6.615	360.00	In cash account
NATIONAL RETAIL PROPERTIES INC (NNN)	460	34.32	15,788.90	31.820	14,637.20	1,151.70	5.091	745.20	In cash account
PUBLIC STORAGE (PSA)	280	162.12	45,393.18	160.550	44,954.00	439.18	3.144	1,400.00	In cash account
RAYONIER INC (RYN) REIT	420	56.88	23,890.17	55.650	23,373.00	517.17	3.522	823.20	In cash account Barclays; 1-O/POS
REALTY INCOME CORP (O)	420	42.96	18,043.10	39.750	16,695.00	1,348.10	5.489	916.44	In cash account
SENIOR HSG PPTYS TR (SNH) SH BEN INT	560	25.22	14,125.37	23.340	13,070.40	1,054.97	6.684	873.60	In cash account
SIMON PROPERTY GROUP INC (SPG)	420	157.42	66,116.78	148.230	62,256.60	3,860.18	3.103	1,932.00	In cash account
TANGER FACTORY OUTLET CENTERS (SKT) INC	560	33.94	19,005.00	32.650	18,284.00	721.00	2.757	504.00	In cash account
VENTAS INC (VTR)	280	67.92	19,017.58	61.500	17,220.00	1,797.58	4.358	750.40	In cash account
WEINGARTEN REALTY INVESTORS (WRI) SBI	490	31.04	15,207.67	29.330	14,371.70	835.97	4.160	597.80	In cash account
Total USD Common stocks					\$584,798.45	\$33,308.28		\$24,303.24	
Total Equities					\$584,798.45	\$33,308.28		\$24,303.24	

Fixed income

International bonds	Par	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Yield-to-maturity(%)	Comment
		Adj. unit cost	Adj. total cost		Accrued interest			
***TORONTO DOMINION BANK	41,000	97.748	40,076.68	97.429	39,945.89	-130.79	1.99	In cash account
DUE 30 APR 2018 @ 1.400%		97.748	40,076.68		240.76			Int rate eff: 10/30/2013
ISIN: US89114QAG38								Moody's Aa1
DATED DATE 30 APR 2013								S&P AA-
***BP CAP MKTS P L C	42,000	97.490	40,945.80	97.008	40,743.36	-202.44	2.06	In cash account
UNSECURED		97.490	40,945.80		226.19			Int rate eff: 11/10/2013
DUE 10 MAY 2018 @ 1.375%								Moody's A2
ISIN: US05565QCE61								S&P A
DATED DATE 10 MAY 2013								
Total USD International bonds					\$ 1,147.74	- \$ 773.45		

Total Fixed Income	Market value (USD)	Unrealized g/l (USD)
	Accrued int. (USD)	
	\$ 979,450.79	- \$ 5,863.18
	\$ 8,289.81	
	\$ 987,740.60	

HOLDINGS

In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, " " appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding. Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.

Equities

Your statement contains research ratings for companies covered by Barclays Equity Research. Clients may access Barclays research at www.barclays.com/wealthamericas/clientaccessdisclaimers or by calling 1-800-253-4626. A complete description of Barclays ratings may be found on Page 2 of your statement.

Note: Trade price may include any applicable local taxes and fees.

Mutual funds (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
**DIAMOND HILL LONG-SHORT FUND (DHLSX) CLASS 1	33,081.285	\$ 21.16	\$ 700,000.00	\$ 21.930	\$ 725,472.58	\$ 25,472.58	0.287	2,084.12	In cash account
**DRIEHAUS MUT FDS (DREGX) EMERGING MKTS GROWTH FD	20,583.48	31.58	650,000.00	33.350	686,459.06	36,459.06	0.345	2,367.09	In cash account
**MATTHEWS PACIFIC TIGER FUND (MAPTX)	20,492.996	24.40	500,000.00	25.690	526,465.07	26,465.07	0.607	3,496.90	In cash account
**WELLS FARGO ADVANTAGE FUNDS (EMGNX) EMERGING MKTS EQ FD INSTL CL	16,176.755	21.64	350,000.00	22.860	369,800.62	19,800.62	0.678	2,507.39	In cash account
Total USD Mutual funds					\$ 2,308,197.33	\$ 108,197.33		\$ 10,155.50	

Limited partnerships	Total Subscriptions ^D	Total Redemptions	Total Contributions ^M	Estimated Value	Value in Excess of Net Contributions
BARCLAYS WEALTH ADVISOR SERIES INTERNATIONAL VALUE EQUITY LTD ADV Product Ref: 91501700/USD	1,100,000.00		1,100,000.00	\$ 1,151,612.45	51,612.45

Fmv at 10-31-13

ACTIVITY	Effective Date	Amount	Value	Pending Cash ^G	Notes
Capital Statement Value	30 Sep 2013		1,151,612		
Current Estimated Value	31 Oct 2013		1,151,612		

2,308,197.33 +
1,151,612.45 +
806,707.66 +
497,871.04 +
4,764,388.48 1

Total Equities				\$ 3,459,809.78	\$ 108,197.33	\$ 10,155.50
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D. Total Subscriptions represent a cumulative amount invested into the fund since Initial Subscription Date less placement fee collected as a part of subscription.

E. Pending cash balance represents net balance of payments not yet collected from and/or not yet distributed to the investor's funding account or payments collected from the investor's funding account and not yet invested.



F Value amounts represent activity contribution in calculation of the Estimated Value.

G Pending Cash amounts represents activity contribution in calculation of Pending Cash balance.

L Total Redemptions represent a cumulative amount redeemed since Initial Subscription Date.

M Total Contributions represent a cumulative amount contributed since Initial Subscription Date inclusive of placement fee collected as a part of subscription.

Fixed income

Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.

Mutual funds (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield(%)	Est. annual income (\$)	Comment
**DOUBLELINE FDS:TR (DBLTX)	27,297.543	\$10.99	\$300,000.00	\$11.040	\$301,364.87	\$1,364.87	5.090	15,341.21	In cash account
TOTAL RETURN BD FD:CL I									
**HARBOR HIGH YIELD BOND FUND (HYFAX)	18,231.541	10.97	200,000.00	11.190	204,010.94	4,010.94	5.728	11,686.41	In cash account
INSTITUTIONAL CLASS									
**RIDGEWORTH FDS (SAMBX)	33,296.337	9.01	300,000.00	9.050	\$301,331.85	1,331.85	4.309	12,985.57	In cash account
SEIX FLT.G.RATE INCOME FD:CL I									
Total USD Mutual funds					\$806,707.66	\$6,707.66		\$40,013.19	

Market value (USD)	Accrued int. (USD)	Unrealized g/l (USD)
\$806,707.66	\$0.00	\$6,707.66
\$806,707.66		

Total Fixed income

HOLDINGS

In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "N/A" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding. Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.

Equities

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Note: Trade price may include any applicable local taxes and fees.

Preferred stock (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
LUCENT TECHNOLOGIES-CAP TR I (LUTHP) CONV TR PFD SECS:7.75%	15	\$ 968.42	\$ 14,526.25	\$ 1,011.50	\$ 15,172.50	\$ 646.25	7.662	1,162.50	In cash account
Total Equities					\$ 15,172.50	\$ 646.25		\$ 1,162.50	

Fixed Income

Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.

Corporate bonds	Par	Unit cost Adj. unit cost	Total cost Adj. total cost	Market price	Market value Accrued interest	Unrealized gain/loss	Yield-to- int
NEWMONT MNG CORP CONV DUE 15 JUL 2017 @ 1.625% ISIN: US651639AJ57 DATED DATE 17 JUL 2007	5,000	\$ 111.010 110.302	\$ 5,550.51 5,515.08	108.250	\$ 5,412.50 23.92	\$ 102.58	int
BROADSOFT INC CONV DUE 01 JUL 2018 @ 1.500% ISIN: US111338AB80 DATED DATE 20 JUN 2011	2,000	103.400 103.229	2,068.00 2,064.58	106.630	2,132.60 10.00	68.02	nt
TIBCO SOFTWARE INC CONV NTS DUE 01 MAY 2032 @ 2.250% ISIN: US88632QAB95 DATED DATE 23 APR 2012	7,000	101.982 101.973	7,138.75 7,138.09	101.880	7,096.60 79.19	41.49	5/05/2017
Total USD Corporate bonds					\$ 12,641.70	\$ 76.05	
					\$ 113.11		

FMV at 10-31-13
 15,172.50 +
 14,641.70 + nt
 453,305.30 +
 483,119.50 +
 Puttable on 05/05/2017
 Put price \$100.00



Fixed Income

Convertibles	Par	Unit cost Adj unit cost	Total cost Adj total cost	Market price	Market value Accrued interest	Unrealized gain/loss	Yield-to- maturity(%)	Comment
OMNICARE INC SR DEB CONV DUE 15 DEC 2035 @ 3.250% ISIN: US681904AL25 DATED DATE 15 DEC 2005	15,000	106.283 106.200	15,935.00 15,930.02	106.000	15,900.00 184.17	-30.02	2.88	In cash account Next call on 12/15/2015 Call price \$100.00 Putable on 12/15/2015 Put price \$100.00 Moody's B2 S&P B+
CHESAPEAKE ENERGY CORP CONTINGENT CVT SR NTS DUE 2038 DUE 15 DEC 2038 @ 2.250% ISIN: US165167CB13 DATED DATE 27 MAY 2008	18,000	91.250 91.310	16,425.00 16,435.79	94.250	16,965.00 153.00	529.21	2.56	In cash account Next call on 12/15/2018 Call price \$100.00 Putable on 12/15/2018 Put price \$100.00 Moody's Ba3 S&P BB-
CLEARWIRE COMMUNICATIONS LLC/ CLEARWIRE FIN INC NT EXCHANGEABLE 144A DUE 01 DEC 2040 @ 8.250% ISIN: US18538TAG40 DATED DATE 08 DEC 2010	11,000	111.364 111.326	12,250.00 12,245.88	111.130	12,224.30 378.13	-21.58	7.30	In cash account Next call on 12/01/2017 Call price \$100.00 Putable on 12/01/2017 Put price \$100.00
HOLOGIC INC SR NT CONV DUE 01 MAR 2042 @ 2.000% ISIN: US436440AG59 DATED DATE 05 MAR 2012 VARIABLE RATE	12,000	107.375 107.324	12,885.00 12,878.90	104.630	12,555.60 40.00	-323.30	1.79	In cash account Next call on 03/06/2018 Call price \$100.03 Putable on 03/01/2018 Put price \$100.00 S&P B+
HOLOGIC INC SR NT CONV DUE 15 DEC 2043 @ 4.000% ISIN: US436440AG63 DATED DATE 21 FEB 2013 VARIABLE RATE	6,000	106.700 106.669	6,402.00 6,400.16	105.500	6,330.00	-70.16	3.70	In cash account Int rate eff: 06/15/2013 Next call on 12/15/2017 Call price \$121.02 Putable on 12/15/2017 Put price \$121.02
Total USD Convertibles					\$ 4,533,305.30 \$ 4,649.76	\$ 1,617.75		
					Market value (USD)	Accrued int. (USD)	Unrealized gain (USD)	
Total Fixed Income					\$ 467,947.00	\$ 1,541.70		
					\$ 4,762.87			
					\$ 472,709.87			

Equities

Common stocks (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
3M COMPANY (MMM)	550	116.83	64,255.35	125.850	69,217.50	4,962.15	2.018	1,397.00	In cash account
TIME WARNER INC (TWX)	530	62.18	32,955.84	68.740	36,432.20	3,476.36	1.673	609.50	In cash account
***UNILEVER PLC (UL)	680	40.63	27,629.55	40.590	27,601.20	-28.35	3.437	948.60	In cash account
SPONSORED ADR									
UNITEDHEALTH GROUP INC (UNH)	470	71.45	33,582.97	68.260	32,082.20	-1,500.77	1.641	526.40	In cash account
WAL-MART STORES INC (WMT)	650	76.41	49,665.85	76.750	49,887.50	221.65	2.450	1,222.00	In cash account
Total USD Common stocks					\$ 1,288,337.51	\$ 44,411.55		\$ 26,355.70	
Total Equities					\$ 1,288,337.51	\$ 44,411.55		\$ 26,355.70	

Cash, cash equivalents & other

Money Market Preferred, SAVRS and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Upon your request, funds on deposit through the Insured Network Deposit Program and the BBNY Uninsured Deposit Program may be withdrawn, and shares of a MMF may be liquidated, and the proceeds deposited in your securities account or remitted to you. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 78,935.42
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 78,935.42
	\$ 0.00
	\$ 78,935.42

Equities

Common stocks (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
FREEPORT-MCMORAN COPPER & GOLD (FCX) INC	448	30.18	13,521.48	36.760	16,468.48	2,947.00	3.400	560.00	In cash account
IMMUNOGEN INC (IMGN)	532	18.21	9,690.32	16.460	8,756.72	-933.60			In cash account
ISIS PHARMACEUTICALS INC (ISIS)	333	31.86	10,608.26	33.270	11,078.91	470.65			In cash account Barclays: 1-O/POS
L-3 COMMUNICATIONS HOLDINGS (LL) INC	408	92.56	37,762.70	100.450	40,983.60	3,220.90	2.190	897.60	In cash account
LIBERTY INTERACTIVE (LINTA) CORPORATION INTERACTIVE SER A	785	24.35	19,112.22	26.960	21,163.60	2,051.38			In cash account
LIBERTY MEDIA CORP DELAWARE (LMCA) CL A	97	142.34	13,807.36	152.910	14,832.27	1,024.91			In cash account
NATIONAL OILWELL VARCO INC (NOV)	239	75.27	17,990.56	81.180	19,402.02	1,411.46	1.281	248.56	In cash account
NUCOR CORP (NUE)	598	47.36	28,320.96	51.770	30,958.46	2,637.50	2.839	879.06	In cash account
PALL CORP (PLL)	390	72.65	28,331.98	80.520	31,402.80	3,070.82	1.366	429.00	In cash account
SANDISK CORP (SNDK)	479	60.22	28,844.66	69.500	33,290.50	4,445.84	1.295	431.10	In cash account
STARZ (STRZA) SERIES A COMMON STOCK	180	24.98	4,496.10	30.150	5,427.00	930.90			In cash account
UNITEDHEALTH GROUP INC (UNH)	754	71.32	53,777.43	68.260	51,468.04	-2,309.39	1.641	844.48	In cash account
VERTEX PHARMACEUTICALS INC (VRTX)	269	80.24	21,583.57	71.340	19,190.46	-2,393.11			In cash account
Total USD Common stocks					\$ 941,395.44	\$ 42,134.66		\$ 11,244.38	

Total Equities					\$ 941,395.44	\$ 42,134.66		\$ 11,244.38	
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Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
SILVER BAY RLTY TR CORP (SBY) COM	1,900	16.35	\$31,069.00	15.460	29,374.00	1,695.00	0.259	76.00	In cash account
Total USD Common stocks					\$380,420.32	\$ 45,193.83		\$ 18,970.90	

Total Equities

\$380,420.32 \$ 45,193.83 \$ 18,970.90

Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid for the mechanism for setting the rate paid on these securities could change. Upon your request, funds on deposit through the Insured Network Deposit Program and the BBNY Uninsured Deposit Program may be withdrawn, and shares of a MMF may be liquidated, and the proceeds deposited in your securities account or remitted to you. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents and other.

Cash balance

CASH ACCOUNT

Value \$ 90,899.68

Market value (USD)

Accrued income (USD)

Total Cash, cash equivalents & other

\$ 90,899.68

\$ 0.00

\$ 90,899.68

Equities

Common stocks (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
OMEGA HEALTHCARE INVESTORS INC (OHI)	460	31.50	14,490.00	33.240	15,290.40	798.67	5.776	883.20	In cash account
ONEOK INC (OKE)	285	47.02	13,400.35	56.500	16,102.50	2,702.15	2.690	433.20	In cash account
OWENS ILLINOIS INC NEW (OI)	925	29.49	27,280.76	31.790	29,405.75	2,124.99			In cash account
QUESTAR CORP (STR)	600	22.26	13,354.92	23.660	14,196.00	841.08	3.043	432.00	In cash account
REDWOOD TRUST INC (RWT)	785	17.43	13,685.50	17.520	13,753.20	67.70	6.393	879.20	In cash account
SBA COMMUNICATIONS CORP (SBAC)	255	77.34	19,722.00	87.470	22,304.85	2,582.85			In cash account
CL A									
SLM CORPORATION (SLM)	740	23.82	17,630.30	25.370	18,773.80	1,143.50	2.365	444.00	In cash account
TIDEWATER INC (TDW)	165	58.29	9,617.61	60.220	9,936.30	318.69	1.661	165.00	In cash account
VERISK ANALYTICS INC (VRSK)	410	62.59	25,660.50	68.520	28,093.20	2,432.70			In cash account
CL A									
WILLIAMS COMPANIES INC (WMB)	600	34.29	20,573.97	35.710	21,426.00	852.03	4.102	879.00	In cash account
WVX ENERGY INC (WVX)	1,125	19.52	21,962.35	22.140	24,907.50	2,945.15			In cash account
XYLEM INC (XYL)	555	27.98	15,531.09	34.500	19,147.50	3,616.41	1.351	258.63	In cash account
COM									
Total USD Common stocks					\$672,490.70	\$39,203.28		\$9,414.50	
Total Equities					\$672,490.70	\$39,203.28		\$9,414.50	

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
SALLY BEAUTY HOLDINGS, INC (SBH)	350	28.81	10,084.38	26.320	9,212.00	-872.38			In cash account
SANCHEZ ENERGY CORPORATION (SN)	320	23.35	7,471.60	28.510	9,123.20	1,651.60			In cash account
A.O SMITH CORPORATION (AOS)	230	40.85	9,394.43	51.650	11,879.50	2,485.07	0.929	110.40	In cash account
SPIRIT REALTY CAPITAL INC (SRC)	912	9.60	8,751.16	10.460	9,539.52	788.36	6.272	598.27	In cash account
TRIANGLE PETROLEUM CORP (TPLM)	110	10.43	1,147.77	10.570	1,162.70	14.93			In cash account
UMB FINANCIAL CORP (UMBF)	130	54.34	7,064.52	58.920	7,659.60	595.08	1.527	117.00	In cash account
VAIL RESORTS, INC (MTN)	180	67.03	12,065.50	70.450	12,681.00	615.50	1.178	149.40	In cash account
VECTREN CORP (VVO)	250	34.54	8,635.50	34.920	8,730.00	94.50	4.066	355.00	In cash account
VERINT SYSTEMS, INC (VRNT)	270	36.45	9,841.91	36.520	9,860.40	18.49			In cash account Barclays: 2-E/POS
VIEWPOINT FINANCIAL GROUP INC (VPFG)	460	20.98	9,650.97	21.810	10,032.60	381.63	2.201	220.80	In cash account
WABTEC CORP (WAB)	250	57.82	14,455.00	65.190	16,297.50	1,842.50	0.245	40.00	In cash account
WADDELL & REED FINANCIAL INC (WDR)	220	49.07	10,795.87	61.750	13,585.00	2,789.13	1.814	246.40	In cash account
WALTER INVESTMENT MANAGEMENT (WAC) CORP	270	38.55	10,408.56	37.770	10,197.90	-210.66			In cash account
WEX INC (WEX)	160	83.03	13,284.60	93.350	14,936.00	1,651.40			In cash account
WINTRUST FINANCIAL CORP (WTFC)	220	40.74	8,962.80	43.510	9,572.20	609.40	0.414	39.60	In cash account
Total USD Common stocks					\$ 686,652.92	\$ 53,170.01		\$ 8,801.17	

Total Equities

\$ 686,652.92

\$ 53,170.01

\$ 8,801.17



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
***SONOVA HOLDING AG (SONVY) UNSPONSORED ADR	511	22.86	11,680.01	26.080	13,326.88	1,646.87			In cash account
***SVENSKA HANDELSBANKEN (SVNLY) UNSPONSORED ADR REPRESENTING A SHARES	558	21.54	12,017.62	22.700	12,666.60	648.98	2.841	359.91	In cash account
***SWATCH GROUP AG (THE) (SWGAY) UNSPONSORED ADR	537	28.81	15,473.09	32.000	17,184.00	1,710.91	0.650	111.70	In cash account
***SYSMEX CORPORATION (SSMXY) UNSPONSORED ADR	768	32.22	24,743.06	33.100	25,420.80	677.74	0.538	136.70	In cash account
***TAIWAN SEMICONDUCTOR MFG CO (TSM) LTD SPONSORED ADR REPSTG 5 COM	1,885	16.96	31,970.30	18.410	34,702.85	2,732.55	2.178	755.89	In cash account
***TESCO PLC SPONSORED ADR (TSCDY)	804	17.08	13,732.44	17.719	14,246.16	513.71	3.629	516.97	In cash account
***TURKIYE GARANTI BANKASI A S (TKGBY) SPONSORED ADR REPSTG 2000 SHS	4,759	4.10	19,499.71	4.050	19,273.95	-225.76	1.460	281.40	In cash account
***UNICHARM CORP (UNICY) SPONSORED ADR	2,347	11.09	26,025.47	12.920	30,323.24	4,297.77	0.464	140.82	In cash account
***UNILEVER PLC (UL) SPONSORED ADR	322	40.75	13,120.03	40.590	13,069.98	-50.05	3.437	449.19	In cash account
***WPP PLC NEW (WPPGY) ADR	378	94.34	35,660.55	106.540	40,272.12	4,611.57	2.148	865.24	In cash account
***XINYI GLASS HOLDINGS LTD (XYIGY) UNSPONSORED ADR	373	18.27	6,816.34	19.890	7,418.97	602.63	2.569	190.60	In cash account
Total USD Common stocks					\$ 1,146,663.72	\$ 85,547.07		\$ 18,632.48	
Total Equities					\$ 1,146,663.72	\$ 85,547.07		\$ 18,632.48	



Equities

Common stocks (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
MONMOUTH REAL ESTATE INVT CORP (MNR) CL:A	600	9.71	5,825.56	9.220	5,532.00	293.56	6.508	360.00	In cash account
NATIONAL RETAIL PROPERTIES INC (NNN)	460	34.32	15,788.90	34.400	15,824.00	35.10	4.709	745.20	In cash account
PUBLIC STORAGE (PSA)	280	162.12	45,393.18	166.970	46,751.60	1,358.42	2.995	1,400.00	In cash account
RAYONIER INC (RYN) REIT	420	56.88	23,890.17	47.020	19,748.40	-4,141.77	4.168	823.20	In cash account Barclays 1-O/POS
REALTY INCOME CORP (O)	420	42.96	18,043.40	41.650	17,493.00	550.10	5.239	916.44	In cash account
SENIOR HSG PRPTS TR (SNH) SH BEN INT	560	25.22	14,125.37	28.640	13,798.40	326.97	6.331	873.60	In cash account
SIMON PROPERTY GROUP INC (SPG)	420	157.42	66,116.78	154.550	64,911.00	1,205.78	3.106	2,016.00	In cash account
TANGER FACTORY OUTLET CENTERS (SKT) INC	560	33.94	19,005.00	34.850	19,516.00	511.00	2.583	504.00	In cash account
VENTAS INC (VTR)	280	67.92	19,017.58	65.240	18,267.20	750.38	4.108	750.40	In cash account
WEINGARTEN REALTY INVESTORS (WRI) SBI	490	31.04	15,207.67	31.730	15,547.70	340.03	3.845	597.80	In cash account
Total USD Common stocks					\$ 603,339.70	\$ 14,767.03		\$ 24,575.04	
Total Equities					\$ 603,339.70	\$ 14,767.03		\$ 24,575.04	

Fixed income

Municipal bonds	Par	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Yield-to-maturity(%)	Comment
		Adj. unit cost	Adj. total cost		Accrued interest			
NY STATE ENERGY RESEARCH AND DEV AUTH RESIDENTIAL ENERGY EFFICIENCY FIN REV BDS 2013A DUE 01 JUL 2017 @ 1.621% ISIN: US64985LAD01 DATED DATE 13 AUG 2013	45,000	100.000	45,000.00	100.563	45,253.35	253.35	1.46	In cash account Int rate eff: 01/01/2014 Moody's Aaa S&P AAA
		100.000	45,000.00		158.05			
Total USD Municipal bonds					\$ 99,986.50	-\$ 13.40		
					\$ 158.05			
International bonds	Par	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Yield-to-maturity(%)	Comment
		Adj. unit cost	Adj. total cost		Accrued interest			
***CREDIT SUISSE SR NTS DUE 01 MAY 2014 @ 5.500% ISIN: US22546QAA58 DATED DATE 04 MAY 2009	41,000	\$ 103.342	\$ 42,370.34	102.517	\$ 42,031.97	-\$ 338.37	0.45	In cash account Moody's A1 S&P A
		103.342	42,370.34		1,133.76			
***RIO TINTO FIN USA PLC SR UNSECURED DUE 21 AUG 2017 @ 1.625% ISIN: US76720AAE64 DATED DATE 21 AUG 2012	56,000	98.873	55,368.88	99.794	55,884.64	481.77	1.68	In cash account Int rate eff: 02/21/2013 Next call on 07/21/2017 Call price \$100.00 Moody's A3 S&P A-
		98.934	55,402.87		176.94			
***TOTAL CAPITAL CANADA LTD SR UNSECURED DUE 15 JAN 2018 @ 1.450% ISIN: US89153UAE10 DATED DATE 17 JAN 2013	41,000	99.166	40,658.06	99.349	40,733.09	75.03	1.61	In cash account Int rate eff: 07/15/2013 Moody's Aa1 S&P AA-
		99.166	40,658.06		175.05			
***TORONTO DOMINION BANK DUE 30 APR 2018 @ 1.400% ISIN: US89114QAG38 DATED DATE 30 APR 2013	61,000	97.725	59,612.28	98.150	59,871.50	259.22	1.83	In cash account Int rate eff: 10/30/2013 Moody's Aa1 S&P AA-
		97.725	59,612.28		2.37			
***BP CAP MKTS P L C UNSECURED DUE 10 MAY 2018 @ 1.375% ISIN: US05565QCE61 DATED DATE 10 MAY 2013	62,000	97.455	60,422.20	98.165	60,862.59	440.39	1.80	In cash account Int rate eff: 11/10/2013 Moody's A2 S&P A
		97.455	60,422.20		404.94			
Total USD International bonds					\$ 259,383.79	\$ 918.04		
					\$ 1,893.06			

Total Fixed income

Market value (USD)	Unrealized g/l (USD)
Accrued Int (USD)	
\$ 1,691,670.13	\$ 8,531.60
\$ 16,197.24	
\$ 1,707,867.37	

HOLDINGS

In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, *** appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding. Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.

Equities

Your statement contains research ratings for companies covered by Barclays Equity Research. Clients may access Barclays research at www.barclays.com/wealth/americas/clientaccessdisclaimers or by calling 1-800-253-4626. A complete description of Barclays ratings may be found on Page 2 of your statement.

Note: Trade price may include any applicable local taxes and fees.

Mutual funds (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
**DIAMOND HILL LONG SHORT FUND (DHLSX) CLASS 1	33,081.285	\$ 21.16	\$ 700,000.00	\$ 22.250	\$ 736,058.59	\$ 36,058.59	0.283	2,084.12	In cash account
**DRIEHAUS MUT. FDS (DREGX) EMERGING MKTS GROWTH FD	20,583.48	31.58	650,000.00	33.330	686,047.39	36,047.39	0.345	2,367.10	In cash account
**MATTHEWS PACIFIC TIGER FUND (MARTX)	20,492.996	24.40	500,000.00	25.370	519,907.31	19,907.30	0.615	3,196.90	In cash account
**WELL'S FARGO ADVANTAGE FUNDS (SMGNX) EMERGING MKTS EQ FD INSTL CL	16,176.755	21.64	350,000.00	22.390	362,197.54	12,197.55	0.692	2,507.39	In cash account
Total USD Mutual funds					\$ 2,304,210.83	\$ 104,210.83		\$ 10,155.51	

Limited partnerships	Total Subscriptions ^D	Total Redemptions	Total Contributions ^M	Estimated Value	Value in Excess of Net Contributions	Penc
BARCLAYS WEALTH ADVISOR SERIES INTERNATIONAL VALUE EQUITY LTD. ADV	1,100,000.00		1,100,000.00	\$ 1,184,369.58	84,369.58	
Product Ref.: 91501700/USD						

ACTIVITY	Effective Date	Amount	Value	Pending Cash ^G	Notes
Capital Statement Value	31 Oct 2013		1,184,370		
Current Estimated Value	30 Nov 2013		1,184,370		

FMV at 11-30-13

2,304,210.83 +
1,184,369.58 +
804,980.10 +
507,991.15 +
4,801,551.72 =

Total Equities					\$ 3,488,580.41	\$ 104,210.83	\$ 10,155.51
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D: Total Subscriptions represent a cumulative amount invested into the fund since Initial Subscription Date less placement fee collected as a part of subscription.

E: Pending Cash balance represents net balance of payments not yet collected from and/or not yet distributed to the investor's funding account or payments collected from the investor's funding account and not yet invested.





F Value amounts represent activity contribution in calculation of the Estimated Value; G Pending Cash amounts represents activity contribution in calculation of Pending Cash balance.

L Total Redemptions represent a cumulative amount redeemed since Initial Subscription; M Total Contributions represent a cumulative amount contributed since Initial Subscription.

Date Date inclusive of placement fee collected as a part of subscription.

Fixed Income

Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.

Mutual funds (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment
**DOUBLELINE FDS TR (DBLTX)	27,297.543	\$ 10.99	\$ 300,000.00	\$ 10.950	\$ 298,908.10	\$ 1,091.90	5.132	15,341.21	In cash account
TOTAL RETURN BD FD-CL									
**HARBOR HIGH YIELD BOND FUND (HYFA)	18,231.541	10.97	\$ 200,000.00	11.230	204,740.21	4,740.21	5.707	11,686.41	In cash account
INSTITUTIONAL CLASS									
**BRIDGEWORTH FDS (SAMBX)	33,296.337	9.01	\$ 300,000.00	9.050	\$ 301,331.85	\$ 1,331.85	4.232	12,752.49	In cash account
SEIX-PLT GRATE INCOME FD CL									
Total USD Mutual Funds					\$ 804,980.16	\$ 4,980.16		\$ 39,780.11	

Market value (USD)	Unrealized gain/loss (USD)
Accrued int. (USD)	
\$ 804,980.16	\$ 4,980.16
\$ 0.00	
\$ 804,980.16	

Total Fixed Income

HOLDINGS

In instances where prices of securities are not readily available, securities have no values; securities may not have been actively traded or where other factors prevent the pricing of securities, "N/A" appears in the market price column; the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding. Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.

Equities

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Note: Trade price may include any applicable local taxes and fees.

Invested stock (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
UCENT TECHNOLOGIES CAP TR I (LUTHP)	15	\$ 968.42	\$ 14,526.25	\$ 1,005.00	\$ 15,075.00	\$ 548.75	7.71%	\$ 1,162.50	In cash account
ONV TR PED SECS 7.75%									
Total Equities					\$ 15,075.00	\$ 548.75		\$ 1,162.50	

Fixed income

Field information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held

Corporate bonds	Par	Unit cost	Total cost	Market price	Market value	Unrealized gain
ROADSOFT INC	2,000	\$ 103.400	\$ 2,068.00	100.630	\$ 2,012.60	\$ 55.40
ONV		103.175	2,063.50		12.50	
UE 01 JUL 2018 @ 1.500%						
SIN: US11133BA880						
DATED DATE 20 JUN 2011						
IBCO SOFTWARE INC	7,000	101.982	7,138.75	100.130	7,009.10	-128.65
ONV NTS		101.966	7,137.61		13.13	
UE 01 MAY 2032 @ 2.250%						
SIN: US886320A895						
DATED DATE 23 APR 2012						
Total USD Corporate bonds					\$ 9,021.70	\$ 179.41

FMV at 11-30-13

15,075.00 +
9,021.70 + count
464,868.60 +
488,965.30 +
count
in 05/05/2017
Call price \$100.00
Puttable on 05/05/2017
Put price \$100.00

Convertibles	Par	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Yield to maturity (%)	Comment
RICHER DANIELS MIDLAND CO	3,000	\$ 104.500	\$ 3,135.00	102.950	\$ 3,088.50	\$ 46.50	12.87	In cash account
RNT CONV		102.484	3,104.51		7.73			S&P A
UE 15 FEB 2014 @ 0.875%								
SIN: US029483AW22								
DATED DATE 22 FEB 2007								

SCHEDULE 1

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Fixed Income Inventories	Par	Unit cost		Total cost		Market price	Market value		Unrealized gain/loss	Yield-to- maturity (%)	Comment
		Adj. unit cost	Adj. total cost	Adj. total cost	Market price		Accrued interest	Market value			
MICRON TECHNOLOGY INC UE 15 NOV 2043 @ 3.000% BIN: US595112AY95 DATED DATE 12 NOV 2013	7,000	86.519	6,056.36	6,056.36	95.250	6,667.50	11.08	610.06	3.25	In cash account Int rate eff: 05/15/2014 Next call on 11/20/2018 Call price \$83.04 Putable on 11/15/2028 Put price \$89.45 S&P BB-	
QLOGIC INC R NT CONV UE 15 DEC 2043 @ 2.000% BIN: US436440AG63 DATED DATE 21 FEB 2013 ARABLE RATE	6,000	106.700	6,402.00	6,399.57	105.630	6,337.80	55.33	-61.77	3.69	In cash account Int rate eff: 06/15/2013 Next call on 12/15/2017 Call price \$121.02 Putable on 12/15/2017 Put price \$121.02	
total USD convertibles						\$ 4,433,688.60		\$ 1,424.16			
						\$ 3,648.31					
total fixed income						Market value (USD) \$ 473,890.30 Accrued int. (USD) \$ 3,673.94		Unrealized gain (USD) \$ 1,244.75			
						\$ 477,564.24					

SCHEDULE 1

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Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
3M COMPANY (MMM)	415	117.55	48,783.00	133.510	55,406.65	6,623.65	1.902	1,054.10	In cash account
TIME WARNER INC (TWX)	395	62.40	24,648.11	65.710	25,955.45	1,307.34	1.750	454.25	In cash account
***UNILEVER PLC (UL) SPONSORED ADR	495	40.63	20,112.69	40.500	20,047.50	65.19	3.444	690.53	In cash account
UNITEDHEALTH GROUP INC (UNH)	350	71.44	25,004.37	74.480	26,068.00	1,063.63	1.504	392.00	In cash account
WAL-MART STORES INC (WMT)	475	76.08	36,139.39	81.010	38,479.75	2,340.36	2.321	893.00	In cash account
Total USD Common stocks					\$ 967,948.61	\$ 52,276.68		\$ 19,491.03	

Total Equities

\$ 967,948.61	\$ 52,276.68	\$ 19,491.03
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Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Upon your request, funds on deposit through the Insured Network Deposit Program and the BBNY Uninsured Deposit Program may be withdrawn, and shares of a MMF may be liquidated, and the proceeds deposited in your securities account or remitted to you. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance
CASH ACCOUNT

Value

\$ 430,398.59

Market value (USD)

Accrued income (USD)

\$ 430,398.59

\$ 0.00

\$ 430,398.59

Total Cash, cash equivalents & other

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
FREEMPORT MCMORAN COPPER & GOLD (FCX) INC	448	30.18	13,521.48	34.690	15,541.12	2,019.64	3.603	560.00	In cash account
IMMUNOGEN INC (IMGN)	663	17.40	11,539.08	14.530	9,633.39	1,905.69			In cash account
ISIS PHARMACEUTICALS INC (ISIS)	333	31.86	10,608.26	38.760	12,907.08	2,298.82			In cash account Barclays: 1-Q/POS
L-3 COMMUNICATIONS HOLDINGS (LLL) INC	408	92.56	37,762.70	103.460	42,211.68	4,448.98	2.126	897.60	In cash account
LIBERTY INTERACTIVE (LINTA) CORPORATION INTERACTIVE SER A	785	24.35	19,112.22	28.080	22,042.80	2,930.58			In cash account
LIBERTY MEDIA CORP DELAWARE (LMCA) CL A	97	142.94	13,807.36	153.460	14,885.62	1,078.26			In cash account
NATIONAL OILWELL VARGO INC (NOV)	239	75.27	17,990.56	81.500	19,478.50	1,487.94	1.276	248.56	In cash account
NUCOR CORP (NUE)	598	47.36	28,320.96	51.060	30,533.88	2,212.92	2.879	879.06	In cash account
PALL CORP (PLL)	390	72.65	28,331.98	83.700	32,643.00	4,311.02	1.314	429.00	In cash account
SANDISK CORP (SNDK)	479	60.22	28,844.66	68.150	32,643.85	3,799.19	1.321	431.10	In cash account
STARZ (STRZA) SERIES A COMMON STOCK	180	24.98	4,496.10	28.280	5,090.40	594.30			In cash account
UNITEDHEALTH GROUP INC (UNH)	754	71.32	53,777.43	74.480	56,157.92	2,380.49	1.504	844.48	In cash account
VERTEX PHARMACEUTICALS INC (VRTX)	311	77.90	24,227.03	69.420	21,589.62	2,637.41			In cash account
Total USD Common stocks					\$ 969,749.11	\$ 65,996.11		\$ 11,244.38	
Total Equities					\$ 969,749.11	\$ 65,996.11		\$ 11,244.38	



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SIMON AND LOUISE HENDERSON
November 1 - November 30, 2013

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Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research ratio
SILVER BAY RLT TR CORP (SBV)	1,900	16.35	31,069.00	16.010	30,419.00	650.00	0.250	76.00	In cash account
COM									
Total USD Common stocks					\$ 395,130.41	\$ 72,383.31		\$ 18,783.30	
Total Equities					\$ 895,130.41	\$ 72,383.31		\$ 18,783.30	

Cash, cash equivalents & other

Money Market Preferred, SAVs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Upon your request, funds on deposit through the Insured Network Deposit Program and the BBNY Uninsured Deposit Program may be withdrawn, and shares of a MMF may be liquidated, and the proceeds deposited in your securities account or remitted to you. Please consult your investment representative with any questions.

Gain/loss information also excludes cash, cash equivalents and other

Cash balance	Value
CASH ACCOUNT	\$ 107,491.26
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 107,491.26
	\$ 0.00
	\$ 107,491.26

SCHEDULE 1

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
OMEGA HEALTHCARE INVESTORS INC (OHI)	460	31.50	14,490.73	32.690	15,037.40	545.67	5.873	883.20	In cash account
ONEOK INC (OKE)	285	47.02	13,400.35	58.070	16,549.95	3,149.60	2.618	433.20	In cash account
OWENS ILLINOIS INC NEW (OI)	925	29.49	27,280.76	33.000	30,525.00	3,244.24			In cash account
QUESTAR CORP (STR)	600	22.26	13,354.92	22.520	13,512.00	157.08	3.197	432.00	In cash account
REDWOOD TRUST INC (RWT)	785	17.43	13,685.50	18.580	14,585.30	899.80	6.028	879.20	In cash account
SBA COMMUNICATIONS CORP (SBAC) CL A	255	77.34	19,722.00	85.170	21,718.35	1,996.35			In cash account
SLM CORPORATION (SLM)	740	23.82	17,630.30	26.650	19,721.00	2,090.70	2.251	444.00	In cash account
TIDEWATER INC (TDW)	165	58.29	9,617.61	57.040	9,411.60	-206.01	1.753	165.00	In cash account
VERISK ANALYTICS INC (VRSK) CL A	410	62.59	25,660.50	65.110	26,695.10	1,034.60			In cash account
WILLIAMS COMPANIES INC (WMB)	600	34.29	20,573.97	35.220	21,132.00	558.03	4.316	912.00	In cash account
WPX ENERGY INC (WPX)	1,125	19.52	21,962.35	18.590	20,913.75	-1,048.60			In cash account
XYLEM INC (XYL) COM	555	27.98	15,531.09	34.560	19,180.80	3,649.71	1.348	258.63	In cash account
Total USD Common stocks					\$ 670,817.91	\$ 42,522.42		\$ 9,447.50	
Total Equities					\$ 670,817.91	\$ 42,522.42		\$ 9,447.50	

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
SALLY BEAUTY HOLDINGS INC (SBH)	350	28.81	10,084.38	28.140	9,849.00	235.38			In cash account
SANCHEZ ENERGY CORPORATION (SN)	320	23.35	7,471.60	25.670	8,214.40	742.80			In cash account
A O SMITH CORPORATION (AOS)	230	40.85	9,394.43	54.150	12,454.50	3,060.07	0.886	110.40	In cash account
SPIRIT REALTY CAPITAL INC (SRC)	912	9.60	8,751.16	9.930	9,056.16	305.00	6.606	598.27	In cash account
TRIANGLE PETROLEUM CORP (TPLM)	710	10.17	7,223.85	10.620	7,540.20	316.35			In cash account
UMB FINANCIAL CORP (UMBF)	130	54.34	7,064.52	64.120	8,335.60	1,271.08	1.404	117.00	In cash account
VAJL RESORTS INC (MTN)	180	67.03	12,065.50	75.790	13,642.20	1,576.70	1.095	149.40	In cash account
VECTREN CORP (VVC)	250	34.54	8,635.50	34.680	8,670.00	34.50	4.152	360.00	In cash account
VERINT SYSTEMS INC (VRNT)	270	36.45	9,841.91	37.920	10,238.40	396.49			In cash account Barclays: 2-E/POS
VIEWPOINT FINANCIAL GROUP INC (VPFG)	460	20.98	9,650.97	25.380	11,674.80	2,023.83	1.891	220.80	In cash account
WABTEC CORP (WAB)	250	57.82	14,455.00	69.000	17,250.00	2,795.00	0.232	40.00	In cash account
WADDELL & REED FINANCIAL INC (WDR)	220	49.07	10,795.87	63.730	14,020.60	3,224.73	1.757	246.40	In cash account
CL A WALTER INVESTMENT MANAGEMENT (WAC)	270	38.55	10,408.56	38.130	10,295.10	113.46			In cash account
CORP WEX INC (WEX)	160	83.03	13,284.60	99.260	15,881.60	2,597.00			In cash account
WINTRUST FINANCIAL CORP (WIFC)	220	40.74	8,962.80	45.360	9,979.20	1,016.40	0.397	39.60	In cash account
Total USD Common stocks					\$ 703,416.56	\$ 67,970.08		\$ 9,092.27	
Total Equities					\$ 703,416.56	\$ 67,970.08		\$ 9,092.27	

SCHEDULE 1

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Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
***SCHNEIDER ELECTRIC SA (SBGSY)	1,726	15.42	26,612.18	16.920	29,203.92	2,591.74	2.210	645.52	In cash account
JNSPONSORED ADR									
***SONOVA HOLDING AG (SONVY)	511	22.86	11,680.01	27.830	14,221.13	2,541.12			In cash account
JNSPONSORED ADR									
***SVENSKA HANDELSBANKEN (SVNLY)	558	21.54	12,017.62	23.300	13,001.40	983.78	2.768	359.91	In cash account
JNSPONSORED ADR REPRESENTING A									
SHARES									
***SWATCH GROUP AG (THE) (SWGAY)	537	28.81	15,473.09	32.770	17,597.49	2,124.40	0.635	111.70	In cash account
JNSPONSORED ADR									
***SYSMEX CORPORATION (SSMXY)	768	32.22	24,743.06	32.680	25,098.24	355.18	0.545	136.70	In cash account
JNSPONSORED ADR									
***TAIWAN SEMICONDUCTOR MFG CO (TSM)	1,885	16.96	31,970.30	17.730	33,421.05	1,450.75	2.262	755.89	In cash account
TD-SPONSORED ADR REPSTG 5 COM									
***TESCO PLC-SPONSORED ADR (TSCDY)	804	17.08	13,732.44	17.170	13,804.68	72.24	3.745	516.97	In cash account
***TURKIYE GARANTI BANKASI A S (TKGBY)	4,759	4.10	19,499.71	3.850	18,322.15	-1,177.56	1.536	281.40	In cash account
SPONSORED ADR REPSTG 2000 SHS									
***UNICHARM CORP (UNICY)	2,347	11.09	26,025.47	12.740	29,900.78	3,875.31	0.471	140.82	In cash account
SPONSORED ADR									
***UNILEVER PLC (UL)	322	40.75	13,120.03	40.500	13,041.00	-79.03	3.444	449.19	In cash account
SPONSORED ADR									
***WPP PLC NEW (WPPGY)	378	94.34	35,660.55	110.760	41,867.28	6,206.73	2.079	870.53	In cash account
ADR									
***XINYI GLASS HOLDINGS LTD (XYIGY)	373	18.27	6,816.34	21.900	8,168.70	1,352.36	2.833	190.60	In cash account
JNSPONSORED ADR									
total USD Common stocks					\$ 1,152,588.96	\$ 85,791.87		\$ 18,817.95	
total Equities					\$ 1,152,588.96	\$ 85,791.87		\$ 18,817.95	



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
GEO. GROUP INC (GEO)	292	33.71	9,843.28	32.800	9,577.60	-265.68	6.707	642.40	In cash account
HCP INC (HCP)	350	44.77	15,669.46	36.770	12,869.50	-2,799.96	5.711	735.00	In cash account
HEALTH CARE REIT INC (HCN)	350	66.20	23,171.50	55.990	19,596.50	-3,575.00	5.465	1,071.00	In cash account
HOSPITALITY PROPERTIES TRUST (HPT) SBI	940	28.40	26,692.12	27.170	25,539.80	-1,152.32	7.067	1,804.80	In cash account
HOST HOTELS & RESORTS INC (HST)	1,420	18.15	25,778.75	18.410	26,142.20	363.45	2.607	681.60	In cash account
LTC PROPERTIES INC (LTC)	350	40.02	14,006.96	38.510	13,478.50	-528.46	5.297	714.00	In cash account
LEXINGTON REALTY TRUST (LXP)	1,540	12.14	18,702.33	10.270	15,815.80	-2,886.53	6.426	1,016.40	In cash account
MONMOUTH REAL ESTATE INVT CORP (MNR) CL A	600	9.71	5,825.56	9.620	5,772.00	-53.56	6.237	360.00	In cash account
NATIONAL RETAIL PROPERTIES INC (NNN)	460	34.92	15,788.90	31.750	14,605.00	-1,183.90	5.102	745.20	In cash account
PUBLIC STORAGE (PSA)	280	162.12	45,393.18	152.700	42,756.00	-2,637.18	3.667	1,568.00	In cash account
REALTY INCOME CORP (O)	420	42.96	18,043.10	38.110	16,006.20	-2,036.90	5.726	916.44	In cash account
SENIOR HSG PPTY TR (SNH)	560	25.22	14,125.37	22.650	12,684.00	-1,441.37	6.887	873.60	In cash account
SH-BEN INT									
SILVER BAY RLTY TR CORP (SBY) COM	206	15.62	3,218.16	16.010	3,298.06	79.90	0.250	8.24	In cash account
SIMON PROPERTY GROUP INC (SPG)	330	155.96	51,466.23	149.850	49,450.50	-2,015.73	3.203	1,584.00	In cash account
TANGER FACTORY OUTLET CENTERS (SKT) INC	560	33.94	19,005.00	33.070	18,519.20	-485.80	2.722	504.00	In cash account
VENTAS INC (VTR)	280	67.92	19,017.58	56.830	15,912.40	-3,105.18	4.716	750.40	In cash account
VORNADO REALTY TRUST (VNO)	110	89.20	9,812.33	87.930	9,672.30	-140.03	3.321	321.20	In cash account
WEINGARTEN REALTY INVESTORS (WRI) SBI	490	31.04	15,207.67	28.540	13,984.60	-1,223.07	4.275	597.80	In cash account
WEYERHAEUSER CO (WY)	630	29.75	18,739.96	30.130	18,981.90	241.94	2.921	554.40	In cash account
Total USD Common stocks						\$ 45,152.57		\$ 26,076.48	Barclays 1-O/PQS
Total Equities						\$ 45,152.57		\$ 26,076.48	

Equities

Common stocks(Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
***EXPERIAN PLC (EXPGY) SPONSORED ADR	1,215	18.63	22,636.09	18.460	22,428.90	- 207.19	1.739	390.02	In cash account
***HSBC HOLDINGS PLC (HSBC) SPONSORED ADR	361	56.00	20,216.00	56.100	20,252.10	36.10	4.278	866.40	In cash account
***HEINEKEN N V (HEINY) SPONSORED ADR LEVEL 1	742	34.10	25,302.20	34.099	25,301.46	- 0.74	1.402	354.68	In cash account
***IMPERIAL TOBACCO GROUP PLC (ITYBY) SPONSORED ADR	221	77.17	17,054.57	76.420	16,888.82	- 165.75	4.815	813.28	In cash account
***KDDI CORPORATION (KDDIY) UNSPONSORED ADR	1,425	15.43	21,987.75	15.680	22,344.00	356.25	2.054	458.85	In cash account
***MICHELIN COMPAGNIE GENERALE (MGDDY) DES ETABLISSEMENTS MICHELIN UNSPONSORED ADR REP NOM SHARES	1,116	21.82	24,355.09	21.670	24,183.72	- 171.37	2.201	532.33	In cash account
***NESTLE SA-SPONSORED ADR (NSRGY) REPSTG REGD ORD (SF 10 PAR)	269	72.96	19,626.24	73.110	19,666.59	40.35	2.484	488.50	In cash account
***NIDEC CORPORATION (NJ) SPONSORED ADR	1,037	23.94	24,821.75	24.280	25,178.36	356.61	0.890	223.99	In cash account
***NOVARTIS AG (NVS) AMERICAN DEPOSITARY SHARES	263	78.56	20,660.04	79.120	20,808.56	148.52	2.600	540.99	In cash account
***ORIX CORPORATION (IX) SPONSORED ADR	245	88.87	21,772.46	91.620	22,446.90	674.44	0.652	146.27	In cash account
***PROVIDENT FINANCIAL PLC (FPLPY) SPONSORED ADR	638	26.61	16,977.18	26.750	17,066.50	89.32	4.520	771.34	In cash account
***RECKITT BENCKISER PLC (RBGLY) SPONSORED ADR	1,650	16.04	26,466.00	16.240	26,796.00	330.00	2.531	678.15	In cash account
***ROYAL DSM NV (RDSMY) SPONSORED ADR	1,037	19.71	20,439.27	19.720	20,449.64	10.37	2.135	436.58	In cash account
***SIEMENS AKTIENGESELLSCHAFT (SI) SPONSORED ADR	175	133.19	23,308.34	132.120	23,121.00	- 187.34	2.227	514.85	In cash account
***SWISS RE LTD (SSREY) SPONSORED ADR	277	88.78	24,592.06	89.000	24,653.00	60.94	4.190	1,032.93	In cash account
***TOTAL S.A. (TOT) 1 ADR REPRESENTING 1 ORD SHS	369	60.68	22,392.27	60.320	22,258.08	- 134.19	4.353	968.99	In cash account
***TOYOTA MOTOR CORPORATION (TM) ADS	179	125.46	22,457.28	125.050	22,383.95	- 73.33	1.474	329.90	In cash account
***UNILEVER N V (UN) YORK SHS ADR	479	39.17	18,762.43	39.260	18,805.54	43.11	3.021	568.09	In cash account
***WESTFIELD GROUP (WFGPY) SPONSORED ADR REPSTG STAPLED SECS	976	19.13	18,670.88	19.090	18,631.84	- 39.04	2.310	430.42	In cash account
Total USD Common stocks					\$ 770,343.46	\$ 1,902.62		\$ 19,168.32	
Total Equities					\$ 770,343.46	\$ 1,902.62		\$ 19,168.32	

HOLDINGS

In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, ** appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding. Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.

Equities

Your statement contains research ratings for companies covered by Barclays Equity Research. Clients may access Barclays research at www.barclays.com/wealth/americas/clientaccessdisclaimers or by calling 1-800-253-4626. A complete description of Barclays ratings may be found on Page 2 of your statement.

Note: Trade price may include any applicable local taxes and fees.

Mutual funds (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
**DIAMOND HILL LONG-SHORT FUND (DHLX) CLASS1	33,081.285	\$ 21.16	\$ 700,000.00	\$ 22.520	\$ 744,990.54	\$ 44,990.54	0.377	2,811.90	In cash account
**DRIEHAUS MUT FDS (DREGX) EMERGING MKTS-GROWTH FD	20,583.48	31.58	650,000.00	32.530	669,580.60	19,580.61	0.354	2,367.09	In cash account
**MATTHEWS PACIFIC TIGER FUND (MAPTX)	20,492.996	24.40	500,000.00	24.990	\$ 512,119.97	12,119.97	0.624	3,196.90	In cash account

Total USD Mutual funds

\$ 1,926,691.11 \$ 76,691.12 \$ 8,375.89

Limited partnerships

	Total Subscriptions	Total Redemptions	Total Contributions	Estimated Value	Value in Excess of Net Contributions	Pending Cash	Comments
BARCLAYS WEALTH ADVISOR SERIES INTERNATIONAL VALUE EQUITY LTD ADV	1,100,000.00 ³		1,100,000.00 ³	\$ 1,233,372.87 ³	133,372.87 ³		
Product Ref.: 91501700/USD							

Fmv at 12-31-13

ACTIVITY	Effective Date	Amount	Value	Pending Cash	Notes
Capital Statement Value	30 Nov 2013		1,207,650		
Preliminary Return	31 Dec 2013		25,723		Return: 2.13% Base: 1,207,650
Current Estimated Value	31 Dec 2013		1,233,373		

1,926,691.11 +
1,233,372.87 +
794,926.11 +
488,437.30 +
4,443,427.41 =

3. Estimate based on the latest Capital Account Statement adjusted by preliminary activity information since such statement and may be revised upon the issuance of the next Capital Account Statement.

Total Equities					\$ 3,160,063.98	\$ 76,691.12	\$ 8,375.89
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D Total Subscriptions represent a cumulative amount invested into the fund since Initial Subscription Date less placement fee collected as a part of subscription.

F Value amounts represent activity contribution in calculation of the Estimated Value

L Total Redemptions represent a cumulative amount redeemed since Initial Subscription Date

E Pending Cash balance represents net balance of payments not yet collected from and/or not yet distributed to the investor's funding account or payments collected from the investor's funding account and not yet invested.

G Pending Cash amounts represents activity contribution in calculation of Pending Cash balance.

M Total Contributions represent a cumulative amount contributed since Initial Subscription Date inclusive of placement fee collected as a part of subscription.

Fixed income

Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.

Mutual funds (Symbol)	Quantity	Unit cost	Total Cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield(%)	Est. annual income (\$)	Comment
**DOUBLELINE FDS (RDBLT)	27,297.543	\$ 10.99	\$ 300,000.00	\$ 10.850	\$ 296,178.34	\$ 3,821.66	5.133	\$ 15,204.73	In cash account
TOTAL RETURN BD FD CL 1									
**HARBOR HIGH YIELD BOND FUND (HYFAX)	18,231.541	10.97	200,000.00	10.810	197,082.96	-2,917.04	5.790	\$ 11,412.94	In cash account
INSTITUTIONAL CLASS									
**RIDGEWORTH FDS (SAMBX)	33,296.337	9.01	300,000.00	9.060	301,664.81	1,664.81	4.183	\$ 12,649.31	In cash account
SEIX FLT G RATE INCOME FD CL 1									
Total USD Mutual funds					\$ 794,926.11	\$ 5,073.89		\$ 39,236.98	

					Market value (USD)	Accrued int. (USD)	Unrealized g/l (USD)
Total Fixed income					\$ 794,926.11	\$ 5,073.89	\$ 0.00
					\$ 794,926.11		

HOLDINGS

In instances where prices of securities are not readily available, securities have no values, securities may not have been actively traded or where other factors prevent the pricing of securities, "*" appears in the market price column, the market value for the security is not computed and the total equity in your account does not reflect the long or short market value (if any) of those securities. Please also note that totals may differ from the sum on individual components due to rounding. Unrealized gain/loss total reflects all positions for which a cost basis is available. Please review the Tax Lot section for details regarding cost basis.

Fixed income

Yield information is provided for informational purposes only. Barclays makes reasonable efforts to ensure its accuracy but should not be held responsible for errors or omissions.

Corporate bonds	Par	Unit cost Adj. unit cost	Total cost Adj. total cost	Market price	Market value Accrued interest	Unrealized gain/loss	Yield-to- maturity(%)	Comment
BROADSOFT INC CONV DUE 01 JUL 2018 @ 1.500% ISIN: US111338AB80 DATED DATE 20 JUN 2011	2,000	\$ 103.400 103.116	\$ 2,068.00 2,062.31	101.750	\$ 2,035.00 15.08	-\$ 27.31	1.10	In cash account
TIBCO SOFTWARE INC CONV NTS DUE 01 MAY 2032 @ 2.250% ISIN: US88632QAB95 DATED DATE 23 APR 2012	7,000	101.982 101.958	7,138.75 7,137.08	100.250	7,017.50 26.25	-119.58	2.23	In cash account Next call on 05/05/2017 Call price \$100.00 Putable on 05/05/2017 Put price \$100.00
Total USD Corporate bonds					\$ 9,052.50 \$ 41.33	-\$ 146.89		

Convertibles	Par	Unit cost Adj. unit cost	Total cost Adj. total cost	Market price	Market value Accrued interest	Unrealized gain/loss		
ARCHER DANIELS MIDLAND CO SR NT CONV DUE 15 FEB 2014 @ 0.875% ISIN: US039483AW22 DATED DATE 22 FEB 2007	7,000	\$ 105.271 104.064	\$ 7,369.00 7,284.45	105.250	\$ 7,367.50 23.14	\$ 83.05		
INTERNATIONAL GAME TECHNOLOGY SR NT CONV DUE 01 MAY 2014 @ 3.250% ISIN: US459902AQ56 DATED DATE 11 MAY 2009	7,000	111.343 104.660	7,793.99 7,326.18	106.630	7,464.10 37.92	137.92		
UNITED STS STL CORP NEW SR NT CONV 4% DUE 14 MAY 2014 @ 4.000% ISIN: US912909AE85 DATED DATE 04 MAY 2009	19,000	102.822 101.656	19,536.25 19,314.55	106.380	20,212.20 97.11	897.65	-12.29	In cash account Moody's B1 S&P BB-
LIFEPOINT HOSPITALS INC CVT NOTES DUE 15 MAY 2014 @ 3.500% ISIN: US53219LAH24 DATED DATE 29 MAY 2007	12,000	109.591 104.616	13,150.87 12,553.92	108.750	13,050.00 53.67	496.08	-18.32	In cash account S&P B

Fmv at 12-31-13

9,052.50 + int
490,435.50 +
499,488.00

SCHEDULE 1



Fixed Income

Convertibles	Par	Unit cost		Total cost	Market price	Market value		Unrealized gain/loss	Yield-to-maturity(%)	Comment
		Adj.	unit cost			Accrued interest				
GROUP 1 AUTOMOTIVE INC SR SUB NT CONV DUE 15 JUN 2036 @ 2.250% ISIN: US398905AE99 DATED DATE 26 JUN 2006 VARIABLE RATE	6,000		124.130	7,447.79	126.500	7,590.00		146.35	0.94	In cash account Next call on 06/15/2016 Call price \$100.00 Putable on 06/15/2016 Put price \$100.00 S&P BB
CHESAPEAKE ENERGY CORP CONTINGENT CVT SR NTS DUE 2038 DUE 15 DEC 2038 @ 2.250% ISIN: US165167CB13 DATED DATE 27 MAY 2008	18,000		91.250	16,425.00	93.000	16,740.00		296.94	2.63	In cash account Next call on 12/15/2018 Call price \$100.00 Putable on 12/15/2018 Put price \$100.00 Moody's Ba3 S&P BB-
CLEARWIRE COMMUNICATIONS LLC / CLEARWIRE FIN INC NT EXCHANGEABLE 144A DUE 01 DEC 2040 @ 8.250% ISIN: US18538TAG40 DATED DATE 08 DEC 2010	11,000		111.364	12,250.00	115.130	12,664.30		420.93	6.99	In cash account Next call on 12/01/2017 Call price \$100.00 Putable on 12/01/2017 Put price \$100.00 Moody's Ba1
HOLOGIC INC SR NT CONV DUE 01 MAR 2042 @ 2.000% ISIN: US436440AC59 DATED DATE 05 MAR 2012 VARIABLE RATE	9,000		107.375	9,663.75	101.880	9,169.20		-486.93	1.91	In cash account Next call on 03/06/2018 Call price \$100.03 Putable on 03/01/2018 Put price \$100.00 S&P B+
MICRON TECHNOLOGY INC DUE 15 NOV 2043 @ 3.000% ISIN: US595112AY95 DATED DATE 12 NOV 2013	10,000		90.414	9,041.36	98.380	9,838.00		794.05	3.08	In cash account Int rate eff: 05/15/2014 Next call on 11/20/2018 Call price \$83.04 Putable on 11/15/2028 Put price \$89.45 S&P BB-
HOLOGIC INC SR NT CONV DUE 15 DEC 2043 ISIN: US436440AG63 DATED DATE 21 FEB 2013 VARIABLE RATE	6,000		106.700	6,402.00	105.000	6,300.00		-96.28	-0.16	In cash account Next call on 12/15/2017 Call price \$121.02 Putable on 12/15/2017 Put price \$121.02
Total USD Convertibles						\$ 490,435.50		\$ 5,941.78		
						\$ 2,752.77				

Equities

Common stocks (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
TIME WARNER INC (TWX)	395	62.40	24,648.11	69.720	27,539.40	2,891.29	1.649	454.25	In cash account
***UNILEVER PLC (UL)	495	40.63	20,112.69	41.200	20,394.00	281.31	3.386	690.53	In cash account
SPONSORED-ADR UNITEDHEALTH GROUP INC (UNH)	350	71.44	25,004.37	75.300	26,355.00	1,350.63	1.487	392.00	In cash account
WAL-MART STORES INC (WMT)	475	76.08	36,139.39	78.690	37,377.75	1,238.36	2.389	893.00	In cash account
Total USD Common stocks					\$ 974,291.39	\$ 78,554.58		\$ 19,114.11	
Total Equities					\$ 974,291.39	\$ 78,554.58		\$ 19,114.11	

Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Upon your request, funds on deposit through the Insured Network Deposit Program and the BBNY Uninsured Deposit Program may be withdrawn, and shares of a MMF may be liquidated, and the proceeds deposited in your securities account or remitted to you. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 105,411.99
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 105,411.99
	\$ 0.00
	\$ 105,411.99

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
FREEPORT-MCMORAN COPPER & GOLD (FCX) INC	448	30.18	13,521.48	37.740	16,907.52	3,386.04	3.312	560.00	In cash account
IMMUNOGEN INC (IMGN)	663	17.40	11,539.08	14.670	9,726.21	-1,812.87			In cash account
ISIS-PHARMACEUTICALS INC (ISIS)	333	31.86	10,608.26	39.840	13,266.72	2,658.46			In cash account Barclays: 1-O/POS
L-3 COMMUNICATIONS HOLDINGS (LLL) INC	408	92.56	37,762.70	106.860	43,598.88	5,836.18	2.059	897.60	In cash account
LIBERTY INTERACTIVE (LINTA) CORPORATION-INTERACTIVE SER A	785	24.35	19,112.22	29.350	23,039.75	3,927.53			In cash account
LIBERTY MEDIA CORP-DELAWARE (LMCA) CL A	97	142.34	13,807.36	146.450	14,205.65	398.29			In cash account
NATIONAL OILWELL VARCO INC (NOV)	239	75.27	17,990.56	79.530	19,007.67	1,017.11	1.308	248.56	In cash account
NUCOR CORP (NUE)	598	47.36	28,320.96	53.380	31,921.24	3,600.28	2.773	885.04	In cash account
PALL CORP (PLL)	390	72.65	28,331.98	85.350	33,286.50	4,954.52	1.289	429.00	In cash account
SANDISK CORP (SNDK)	479	60.22	28,844.66	70.540	33,788.66	4,944.00	1.276	431.10	In cash account
STARZ (STRZA) SERIES A COMMON STOCK	180	24.98	4,496.40	29.240	5,263.20	767.10			In cash account
UNITEDHEALTH GROUP INC (UNH)	754	71.32	53,777.43	75.300	56,776.20	2,998.77	1.487	844.48	In cash account
VERTEX PHARMACEUTICALS INC (VRTX)	311	77.90	24,227.03	74.300	23,107.30	-1,119.73			In cash account
Total USD Common stocks					\$ 1018,047.11	\$ 110,763.71		\$ 11,250.36	

Total Equities

\$ 1,018,047.11

\$ 110,763.71

\$ 11,250.36

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
SILVERBAY RTTY TR CORP (SBY) COM	1,900	16.35	31,069.00	15.990	30,381.00	688.00	0.250	76.00	In cash account
Total USD Common stocks					\$ 30,381.00	\$ 688.00		\$ 76.00	
Total Equities					\$ 30,381.00	\$ 688.00		\$ 76.00	

Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Upon your request, funds on deposit through the Insured Network Deposit Program and the BBNY Uninsured Deposit Program may be withdrawn, and shares of a MMF may be liquidated, and the proceeds deposited in your securities account or remitted to you. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 144,979.10
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 144,979.10
	\$ 0.00
	\$ 144,979.10

Equities

Common stocks (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
OMEGA HEALTHCARE INVESTORS INC (OHI)	460	31.50	14,490.73	29.800	13,708.00	-783.73	6.443	883.20	In cash account
ONEOK INC (OKE)	285	47.02	13,400.35	62.180	17,721.30	4,320.95	2.445	483.20	In cash account
OWENS ILLINOIS INC NEW (OI)	925	29.49	27,280.76	35.780	33,096.50	5,815.74			In cash account
QUESTAR CORP (STR)	600	22.26	13,354.92	22.990	13,794.00	439.08	3.132	432.00	In cash account
REDWOOD TRUST INC (RWT)	785	17.43	13,685.50	19.370	15,205.45	1,519.95	5.782	879.20	In cash account
SBA COMMUNICATIONS CORP (SBAC) CL A	255	77.34	19,722.00	89.840	22,909.20	3,187.20			In cash account
SLM CORPORATION (SLM)	605	23.90	14,457.80	26.280	15,899.40	1,441.60	2.283	1363.00	In cash account
TIDEWATER INC (TDW)	165	58.29	9,617.61	59.270	9,779.55	161.94	1.687	165.00	In cash account
VERISK ANALYTICS INC (VRSK) CL A	410	62.59	25,660.50	65.720	26,945.20	1,284.70			In cash account
WILLIAMS COMPANIES INC (WMB)	505	34.46	17,400.03	38.570	19,477.85	2,077.82	3.941	767.60	In cash account
WPPX ENERGY INC (WPPX)	1,125	19.52	21,962.35	20.380	22,927.50	965.15			In cash account
XYLEM INC (XYL) COM	555	27.98	15,531.09	34.600	19,203.00	3,671.91	1.347	258.63	In cash account
Total USD Common stocks					\$ 675,551.28	\$ 63,872.09		\$ 9,273.30	
Total Equities					\$ 675,551.28	\$ 63,872.09		\$ 9,273.30	

Equities

Common stocks (symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
SALLY BEAUTY HOLDINGS INC (SBH)	350	28.81	10,084.38	30.230	10,580.50	496.12			In cash account
SANCHEZ ENERGY CORPORATION (SN)	320	23.35	7,471.60	24.510	7,843.20	371.60			In cash account
A.O. SMITH CORPORATION (AOS)	230	40.85	9,394.43	53.940	12,406.20	3,011.77	0.890	110.40	In cash account
SPIRIT REALTY CAPITAL INC (SRC)	912	9.60	8,751.16	9.830	8,964.96	213.80	6.765	606.48	In cash account
TRIANGLE PETROLEUM CORP (TPLM)	710	10.17	7,223.85	8.320	5,907.20	-1,316.65			In cash account
UMB FINANCIAL CORP (UMBF)	130	54.34	7,064.52	64.280	8,356.40	1,291.88	1.400	117.00	In cash account
VAIL RESORTS INC (MTN)	180	67.03	12,065.50	75.230	13,541.40	1,475.90	1.103	149.40	In cash account
VECTREN CORP (VVC)	350	34.62	12,118.63	35.500	12,425.00	306.37	4.056	504.00	In cash account
VERINT SYSTEMS INC (VRNT)	270	36.45	9,841.91	42.940	11,593.80	1,751.89			In cash account Barclays: 2-E/ROS
VIEWPOINT FINANCIAL GROUP INC (VPFG)	460	20.98	9,650.97	27.450	12,627.00	2,976.03	1.749	220.80	In cash account
WABTEC CORP (WAB)	250	57.82	14,455.00	74.270	18,567.50	4,112.50	0.215	40.00	In cash account
WADDELL & REED FINANCIAL INC (WDR)	220	49.07	10,795.87	65.120	14,326.40	3,530.53	2.088	299.20	In cash account
CL A WALTER INVESTMENT MANAGEMENT (WAC)	270	38.55	10,408.56	35.360	9,547.20	-861.36			In cash account
CORP WEX INC (WEX)	160	83.03	13,284.60	99.030	15,844.80	2,560.20			In cash account
WINTRUST FINANCIAL CORP (WTFC)	220	40.74	8,962.80	46.120	10,146.40	1,183.60	0.390	39.60	In cash account
Total USD Common stocks					\$ 724,806.39	\$ 84,121.87		\$ 9,614.18	

Total Equities

\$ 724,806.39

\$ 84,121.87

\$ 9,614.18



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
***SCHNEIDER ELECTRIC SA (SBGSY) UNSPONSORED ADR	1,726	15.42	26,612.18	17.550	30,291.30	3,679.12	2.131	645.52	In cash account
***SONOVA HOLDING AG (SONVY) UNSPONSORED ADR	511	22.86	11,680.01	26.900	13,745.90	2,065.89			In cash account
***SVENSKA HANDELSBANKEN (SVNBY) UNSPONSORED ADR REPRESENTING A SHARES	558	21.54	12,017.62	24.680	13,771.44	1,753.82	2.613	359.91	In cash account
***SWATCH GROUP AG (THE) (SWGAY) UNSPONSORED ADR	537	28.81	15,473.09	33.200	17,828.40	2,355.31	0.627	111.70	In cash account
***SYSMEX CORPORATION (SSMXY) UNSPONSORED ADR	768	32.22	24,743.06	29.686	22,798.85	-1,944.21	0.593	135.17	In cash account
***TAIWAN SEMICONDUCTOR MFG CO (TSM) LTD-SPONSORED ADR REPSTG 5 COM	1,885	16.96	31,970.30	17.440	32,874.40	904.10	2.299	755.89	In cash account
***TESCO PLC-SPONSORED ADR (TSCDY)	804	17.08	13,732.44	16.840	13,539.36	-193.08	3.830	518.58	In cash account
***TÜRKİYE GARANTİ BANKASI A.Ş. (TKGBY) SPONSORED ADR REPSTG 2000 SHS	4,759	4.10	19,499.71	3.210	15,276.39	-4,223.32	1.842	281.40	In cash account
***UNICHAIR CORP (UNICY) SPONSORED ADR	2,347	11.09	26,025.47	11.320	26,568.04	542.57	0.486	129.09	In cash account
***UNILEVER PLC (UL) SPONSORED ADR	322	40.75	13,120.03	41.200	13,266.40	146.37	3.986	449.19	In cash account
***WPP PLC NEW (WPPGY) ADR	378	94.34	35,660.55	114.860	43,417.08	7,756.53	2.005	870.53	In cash account
***XINYI GLASS HOLDINGS LTD (XYIGY) UNSPONSORED ADR	373	18.27	6,816.34	20.050	7,478.65	662.31	2.549	190.60	In cash account
Total USD Common stocks					\$ 1,169,659.07	\$ 102,861.97		\$ 18,835.09	
Total Equities					\$ 1,169,659.07	\$ 102,861.97		\$ 18,835.09	



Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
GEO GROUP INC (GEO)	292	33.71	9,843.28	32.220	9,408.24	435.04	6.828	642.40	In cash account
HCP INC (HCP)	350	44.77	15,669.46	36.320	12,712.00	2,957.46	5.782	735.00	In cash account
HEALTH CARE REIT INC (HCN)	350	66.20	23,171.50	53.570	18,749.50	4,422.00	5.712	1,071.00	In cash account
HOSPITALITY PROPERTIES TRUST (HPT)	940	28.40	26,692.12	27.030	25,408.20	1,283.92	7.103	1,804.80	In cash account
SBI									
HOST HOTELS & RESORTS INC (HST)	1,420	18.15	25,778.75	19.440	27,604.80	1,826.05	2.675	738.40	In cash account
LTC PROPERTIES INC (LTC)	350	40.02	14,006.96	35.390	12,386.50	1,620.46	5.764	714.00	In cash account
LEXINGTON REALTY TRUST (LXP)	1,540	12.14	18,702.33	10.210	15,723.40	2,978.93	6.464	1,016.40	In cash account
MONMOUTH REAL ESTATE INVT CORP (MNR)	600	9.71	5,825.56	9.090	5,454.00	371.56	6.601	360.00	In cash account
CLT									
NATIONAL RETAIL PROPERTIES INC (NNN)	460	34.32	15,788.90	30.330	13,951.80	1,837.10	5.341	745.20	In cash account
PUBLIC STORAGE (PSA)	280	162.12	45,393.18	150.520	42,145.60	3,247.58	3.720	1,568.00	In cash account
REALTY INCOME CORP (O)	420	42.96	18,043.10	37.330	15,678.60	2,364.50	5.856	918.12	In cash account
SENIOR HSG PPTYS TR (SNH)	560	25.22	14,125.37	22.230	12,448.80	1,676.57	7.018	873.60	In cash account
SH BEN INT									
SILVER BAY RLTY TR CORP (SBY)	206	15.62	3,218.16	15.990	3,293.94	75.78	0.250	8.24	In cash account
COM									
SIMON PROPERTY GROUP INC (SPG)	330	155.96	51,466.23	152.160	50,212.80	1,253.43	3.155	1,584.00	In cash account
TANGER FACTORY OUTLET CENTERS (SKT)	560	33.94	19,005.00	32.020	17,931.20	1,073.80	2.811	504.00	In cash account
INC									
VENTAS INC (VTR)	280	67.92	19,017.58	57.280	16,038.40	2,979.18	5.063	812.00	In cash account
VORNADO REALTY TRUST (VNO)	110	89.20	9,812.33	88.790	9,766.90	45.43	3.289	321.20	In cash account
WEINGARTEN REALTY INVESTORS (WRI)	490	31.04	15,207.67	27.420	13,435.80	1,771.87	4.449	597.80	In cash account
SBI									
WEYERHAEUSER CO (WY)	630	29.75	18,739.96	31.570	19,889.10	1,149.14	2.787	554.40	In cash account
Barclays 1-O/POS									
Total USD Common stocks					\$ 603,732.38	\$ 48,290.30		\$ 26,274.56	
Total Equities					\$ 603,732.38	\$ 48,290.30		\$ 26,274.56	

Fixed income

International bonds	Par	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Yield-to-maturity(%)	Comment
		Adj. unit cost	Adj. total cost		Accrued interest			
***LYB INTL FIN B V	54,000	100.043	54,023.22	98.706	53,301.24	-721.68	4.17	In cash account
SR UNSECURED NOTES		100.042	54,022.92		990.00			Int rate eff: 01/15/2014
DUE 15 JUL 2023 @ 4.000%								Moody's Baa1
ISIN: US50247VAA70								S&P BBB-
DATED DATE 16 JUL 2013								
Total USD International bonds					\$ 311,033.99	- \$ 1,480.01		
					\$ 2,234.05			

	Market value (USD)	
	Accrued Int. (USD)	
Total Fixed income	\$ 1,776,305.04	Unrealized g/l (USD)
	\$ 17,427.04	- \$ 4,183.80
	\$ 1,793,732.08	

Cash, cash equivalents & other

Money Market Preferred, SAVRs and other Auction Rate Securities are included in the Cash, Cash Equivalents and Other category. The interest rate on these securities generally is reset on a periodic basis in an auction process. Investors should be aware that these securities may have a final legal maturity date that is of a long-term nature and that under certain circumstances the rate paid or the mechanism for setting the rate paid on these securities could change. Upon your request, funds on deposit through the Insured Network Deposit Program and the BBNY Uninsured Deposit Program may be withdrawn, and shares of a MMF may be liquidated, and the proceeds deposited in your securities account or remitted to you. Please consult your investment representative with any questions.

Gain/Loss information also excludes cash, cash equivalents, and other.

Cash balance	Value
CASH ACCOUNT	\$ 16,179.57
	Market value (USD)
	Accrued income (USD)
Total Cash, cash equivalents & other	\$ 16,179.57
	\$ 0.00
	\$ 16,179.57

Equities

Common stocks (Symbol)	Quantity	Unit cost	Total cost	Market price	Market value	Unrealized gain/loss	Est. ann. yield (%)	Est. annual income (\$)	Comment / Research rating
***EXPERIAN PLC (EXPGY) SPONSORED ADR	1,215	18.63	22,636.09	18.430	22,392.45	-243.64	1.742	390.02	In cash account
***HSBC HOLDINGS PLC (HSBC) SPONSORED ADR	361	56.00	20,216.00	55.130	19,901.93	-314.07	4.353	866.40	In cash account
***HEINEKEN N.V. (HEINY) SPONSORED ADR LEVEL 1	742	34.10	25,302.20	33.760	25,049.92	-252.28	1.416	354.68	In cash account
***IMPERIAL TOBACCO GROUP PLC (ITYBY) SPONSORED ADR	221	77.17	17,054.57	77.780	17,189.38	134.81	4.731	813.28	In cash account
***KDDI CORPORATION (KDDIY) UNSPONSORED ADR	1,425	15.43	21,987.75	15.440	22,002.00	14.25	2.085	458.85	In cash account
***MICHELIN COMPAGNIE GENERALE (MGDDY) DES ETABLISSEMENTS MICHELIN UNSPONSORED ADR REP. NOM. SHARES	1,116	21.82	24,355.09	21.350	23,826.60	-528.49	2.234	532.33	In cash account
***NESTLE SA SPONSORED ADR (NSRGY) REPSTG REGD. ORD. (SF 10 PAR)	269	72.96	19,626.24	73.590	19,795.71	169.47	2.468	488.50	In cash account
***NIDEC CORPORATION (NJI) SPONSORED ADR	1,037	23.94	24,821.75	24.710	25,624.27	802.52	0.777	199.10	In cash account
***NOVARTIS AG (NVS) AMERICAN DEPOSITARY SHARES	263	78.56	20,660.04	80.380	21,139.94	479.90	2.559	540.99	In cash account
***ORIX CORPORATION (IX) SPONSORED ADR	245	88.87	21,772.46	89.100	21,829.50	57.04	0.670	146.27	In cash account
***PROVIDENT FINANCIAL PLC (FPLPY) SPONSORED ADR	638	26.61	16,977.18	27.470	17,525.86	548.68	4.419	774.53	In cash account
***RECKITT BENCKISER PLC (RBGLY) SPONSORED ADR	1,485	16.04	23,819.40	16.090	23,893.65	74.25	2.554	610.34	In cash account
***ROYAL DSM NV (RDSMY) SPONSORED ADR	1,037	19.71	20,439.27	19.740	20,470.38	31.11	2.133	436.58	In cash account
***SIEMENS AKTIENGESELLSCHAFT (SI) SPONSORED ADR	175	133.19	23,308.34	138.510	24,239.25	930.91	2.163	524.30	In cash account
***SWISS RE LTD (SSREY) SPONSORED ADR	246	88.78	21,839.88	92.380	22,725.48	885.60	4.037	917.33	In cash account
***TOTAL S.A. (TOT) 1 ADR REPRESENTING 1 ORD. SHS.	369	60.68	22,392.27	61.270	22,608.63	216.36	4.286	968.99	In cash account
***TOYOTA MOTOR CORPORATION (TM) ADS	179	125.46	22,457.28	121.920	21,823.68	-633.60	1.924	419.93	In cash account
***UNILEVER N.V. (UN) YORK SHS ADR	479	39.17	18,762.43	40.230	19,270.17	507.74	2.948	568.09	In cash account
***WESTFIELD GROUP (WFGPY) SPONSORED ADR REPSTG STAPLED SECS	976	19.13	18,670.88	18.080	17,646.08	-1,024.80	2.439	430.42	In cash account
Total USD Common stocks					\$ 772,230.62	\$ 5,320.65		\$ 18,892.20	
Total Equities					\$ 772,230.62	\$ 5,320.65		\$ 18,892.20	

SIMON & LOUISE HENDERSON FOUNDATION
FORM 990-PF, I.D. #75-6022769
PART X, LINE 1b
AVERAGE OF MONTHLY CASH BALANCES
FOR THE YEAR ENDED DECEMBER 31, 2013

CASH BALANCES	BOOK VALUE 12/31/2013	MARKET VALUES December	MARKET VALUES November	MARKET VALUES October	MARKET VALUES September	MARKET VALUES August	MARKET VALUES July	MARKET VALUES June	MARKET VALUES May	MARKET VALUES April	MARKET VALUES March	MARKET VALUES February	MARKET VALUES January
Bancorp South	32,533	28,075	25,939	16,045	3,835	1,342	600	2,357	6,085	1,756	1,207	9,264	10,264
Goldman Sachs/Barclays	994,614	985,257	869,053	1,044,934	2,201,176	3,578,973	2,096,965	100,603	90,391	89,993	89,743	90,246	90,877
TOTALS	1,027,147	1,013,332	894,992	1,060,979	2,205,010	3,580,315	2,097,564	102,960	96,475	91,748	90,950	99,510	101,141
AVERAGE BALANCE	<u>1,038,510</u>												