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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**

▶ **Do not enter Social Security numbers on this form as it may be made public. By law, the IRS cannot redact the information on the form.**

▶ **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
HILDEBRAND FOUNDATION

% JOHN LARSEN

Number and street (or P O box number if mail is not delivered to street address) PO BOX 1308 Suite

Room/suite

City or town, state or province, country, and ZIP or foreign postal code
HOUSTON, TX 772511308

**A Employer identification number**
76-0699250

**B** Telephone number (see instructions)
(713) 209-2400

**C** If exemption application is pending, check here ▶ ☐

**D 1.** Foreign organizations, check here ▶ ☐

**2.** Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

**G** Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change

**H** Check type of organization ☑ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

**I** Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 156,484,487

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

**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) | 42,403 | | | |
| | 2 | Check ▶ ☐ if the foundation is **not** required to attach Sch B | | | | |
| | 3 | Interest on savings and temporary cash investments | 95,471 | 95,471 | | |
| | 4 | Dividends and interest from securities. . . . . . | 2,728,054 | 2,720,319 | | |
| | 5a | Gross rents . . . . . . . . . . . . . . . | | | | |
| | b | Net rental income or (loss) ________ | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 3,977,487 | | | |
| | b | Gross sales price for all assets on line 6a 55,080,600 | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) . . . | | 3,977,487 | | |
| | 8 | Net short-term capital gain . . . . . . . . | | | | |
| | 9 | Income modifications . . . . . . . . . . . | | | | |
| | 10a | Gross sales less returns and allowances | | | | |
| | b | Less Cost of goods sold . . . . | | | | |
| | c | Gross profit or (loss) (attach schedule) . . . . . | | | | |
| | 11 | Other income (attach schedule) . . . . . . . | | | | |
| | 12 | **Total.** Add lines 1 through 11 . . . . . . . . | 6,843,415 | 6,793,277 | | |
| 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) . . . . . . . | 12,707 | 6,353 | 0 | 6,354 |
| | c | Other professional fees (attach schedule) . . . . | 296,309 | 296,033 | | |
| | 17 | Interest . . . . . . . . . . . . . . . | | | | |
| | 18 | Taxes (attach schedule) (see instructions) | 171,294 | 21,294 | | |
| | 19 | Depreciation (attach schedule) and depletion . . . | | | | |
| | 20 | Occupancy . . . . . . . . . . . . . . | | | | |
| | 21 | Travel, conferences, and meetings . . . . . . . | | | | |
| | 22 | Printing and publications . . . . . . . . . | | | | |
| | 23 | Other expenses (attach schedule) . . . . . . . | | | | |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 . . . . . . . . | 480,310 | 323,680 | 0 | 6,354 |
| | 25 | Contributions, gifts, grants paid . . . . . . . . | 28,296,250 | | | 28,296,250 |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 28,776,560 | 323,680 | 0 | 28,302,604 |
| | 27 | Subtract line 26 from line 12 | | | | |
| | a | **Excess of revenue over expenses and disbursements** | -21,933,145 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 6,469,597 | | |
| | c | **Adjusted net income** (if negative, enter -0-) . . . | | | | |

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

| | | | Beginning of year (a) Book Value | End of year (b) Book Value | (c) Fair Market Value |
|---|---|---|---|---|---|
| Assets | 1 | Cash—non-interest-bearing | 106,290,338 | 27,580,107 | 27,580,107 |
| | 2 | Savings and temporary cash investments | | | |
| | 3 | Accounts receivable ▶ 86,365 | | | |
| | | Less allowance for doubtful accounts ▶ | 2,356,211 | 86,365 | |
| | 4 | Pledges receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments—U S and state government obligations (attach schedule) | | | |
| | b | Investments—corporate stock (attach schedule) | 56,088,578 | 115,135,510 | 128,904,380 |
| | 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) | 164,735,127 | 142,801,982 | 156,484,487 |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ ) | | | |
| | 23 | **Total liabilities** (add lines 17 through 22) | | 0 | |
| 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 | 164,735,127 | 142,801,982 | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | **Foundations that do not follow SFAS 117, check here** ▶ ☐ **and complete lines 27 through 31.** | | | |
| | 27 | Capital stock, trust principal, or current funds | | | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 | **Total net assets or fund balances** (see page 17 of the instructions) | 164,735,127 | 142,801,982 | |
| | 31 | **Total liabilities and net assets/fund balances** (see page 17 of the instructions) | 164,735,127 | 142,801,982 | |

**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 | 164,735,127 |
| 2 | Enter amount from Part I, line 27a | 2 | -21,933,145 |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 142,801,982 |
| 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 | 142,801,982 |

## Part IV Capital Gains and Losses for Tax on Investment Income

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

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

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) 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 | See Additional Data Table | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | | | | |
|---|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) | If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 | 2 | 3,977,487 |
| 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 | |

## 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 | 9,204,832 | 78,334,986 | 0 117506 |
| 2011 | 2,940,718 | 26,883,524 | 0 109387 |
| 2010 | 1,711,214 | 18,561,595 | 0 092191 |
| 2009 | 1,514,345 | 13,327,971 | 0 113622 |
| 2008 | 1,793,236 | 15,242,389 | 0 117648 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0 550354 |
| 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 110071 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | 4 | 154,713,697 |
| 5 | Multiply line 4 by line 3 | 5 | 17,029,491 |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 64,696 |
| 7 | Add lines 5 and 6 | 7 | 17,094,187 |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 28,302,604 |

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<br>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 | 64,696 |
| 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 | 64,696 |
| 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 | 64,696 |
| 6 | Credits/Payments | | | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 | 6a | 73,762 | | |
| b | Exempt foreign organizations—tax withheld at source | 6b | | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | 50,000 | | |
| d | Backup withholding erroneously withheld | 6d | | | |
| 7 | Total credits and payments Add lines 6a through 6d | | | 7 | 123,762 |
| 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 | 59,066 |
| 11 | Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 59,066 **Refunded** ▶ | | | 11 | |

**Part VII-A** **Statements Regarding Activities**

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | 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)? | 1b | | No |
| | *If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.* | | | |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | No |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year<br>**(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?<br>*If "Yes," attach a detailed description of the activities.* | 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? *If "Yes," attach a conformed copy of the changes* | 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 | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>*If "Yes," attach the statement required by General Instruction T.* | 5 | | No |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• 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? *If "Yes," complete Part II, col. (c), and Part XV.* | 7 | Yes | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions)<br>▶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? *If "No," attach explanation* | 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)? *If "Yes," complete Part XIV* | 9 | | No |
| 10 | Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses.* | 10 | | No |

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

| | | | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | 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 ▶

14 The books are in care of ▶JOHN LARSEN Telephone no ▶(713) 209-2400

Located at ▶1201 LOUISIANA SUITE 1400 HOUSTON TX ZIP+4 ▶770025600

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 |

| | | | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | 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? ☐ Yes ☑ No | | | |
| | **(2)** Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☑ No | | | |
| | **(3)** Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☑ No | | | |
| | **(4)** Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☑ Yes ☐ No | | | |
| | **(5)** Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☑ No | | | |
| | **(6)** Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ) ☐ Yes ☑ No | | | |
| b | If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? | 1b | | No |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013? | 1c | | 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? ☐ Yes ☑ No | | | |
| | 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 | | |
| 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? ☐ Yes ☑ No | | | |
| b | If "Yes," did it have excess business holdings in 2013 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.)* | 3b | | |
| 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** | | |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| **c** | If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No | | | |
| | *If "Yes," attach the statement required by Regulations section 53.4945–5(d).* | | | |
| **6a** | Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No | | | |
| **b** | Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | **6b** | | 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? ☐ Yes ☑ No | | | |
| **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 |
|---|---|---|---|---|
| JEFFERY D HILDEBRAND<br>1201 LOUISIANA SUITE 1400<br>HOUSTON,TX 77002 | PRESIDENT<br>2 0 | 0 | | |
| MELINDA B HILDEBRAND<br>1201 LOUISIANA SUITE 1400<br>HOUSTON,TX 77002 | VICE PRESIDENT<br>1 0 | 0 | | |
| JEAN-PAUL BUDINGER<br>1201 LOUISIANA SUITE 1400<br>HOUSTON,TX 77002 | DIRECTOR<br>1 0 | 0 | | |

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

| **(a)** Name and address of each employee paid more than $50,000 | **(b)** Title, and average hours per week devoted to position | **(c)** Compensation | **(d)** Contributions to employee benefit plans and deferred compensation | **(e)** Expense account, other allowances |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

**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 |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| **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** N/A | |
| **2** | |
| **3** | |
| **4** | |

**Part IX-B** **Summary of Program-Related Investments** (see instructions)

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| **1** | |
| **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 | 95,182,008 |
| b | Average of monthly cash balances | 1b | 61,887,735 |
| c | Fair market value of all other assets (see instructions) | 1c | 0 |
| d | **Total** (add lines 1a, b, and c) | 1d | 157,069,743 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0 |
| 3 | Subtract line 2 from line 1d | 3 | 157,069,743 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 2,356,046 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 154,713,697 |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 7,735,685 |

**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 | 7,735,685 |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a | 64,696 | | |
| b | Income tax for 2013 (This does not include the tax from Part VI ) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 64,696 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 7,670,989 |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 7,670,989 |
| 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 | 7,670,989 |

**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 | 28,302,604 |
| b | Program-related investments—total from Part IX-B | 1b | 0 |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes | 2 | 0 |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required) | 3a | 0 |
| b | Cash distribution test (attach the required schedule) | 3b | 0 |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 28,302,604 |
| 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 | 64,696 |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 28,237,908 |

**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 | | | | | 7,670,989 |
| **2** Undistributed income, if any, as of the end of 2013 | | | | | |
| **a** Enter amount for 2012 only. . . . . . . | | | | 0 | |
| **b** Total for prior years 2011 , 2010 , 2009 | | | 0 | | |
| **3** Excess distributions carryover, if any, to 2013 | | | | | |
| **a** From 2008. . . . . . . | 685,674 | | | | |
| **b** From 2009. . . . . . . | 852,612 | | | | |
| **c** From 2010. . . . . . . | 853,696 | | | | |
| **d** From 2011. . . . . . . | 2,994,537 | | | | |
| **e** From 2012. . . . . . . | 5,549,031 | | | | |
| **f** **Total** of lines 3a through e. . . . . . . . . | | 10,935,550 | | | |
| **4** Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 28,302,604 | | | | | |
| **a** Applied to 2012, but not more than line 2a | | | | 0 | |
| **b** Applied to undistributed income of prior years (Election required—see instructions). . . . . . | | | | | |
| **c** Treated as distributions out of corpus (Election required—see instructions). . . . . . . . . | | | | | |
| **d** Applied to 2013 distributable amount. . . . . | | | | | 7,670,989 |
| **e** Remaining amount distributed out of corpus | | 20,631,615 | | | |
| **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 | | 31,567,165 | | | |
| **b** Prior years' undistributed income Subtract line 4b from line 2b . . . . . . . . . . . | | | 0 | | |
| **c** Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. . . . . . | | | | | |
| **d** Subtract line 6c from line 6b Taxable amount —see instructions . . . . . . . . . . . | | | 0 | | |
| **e** Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions . . . . . . . . . . . . . . | | | | 0 | |
| **f** Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014 . . . . . . . . . . | | | | | 0 |
| **7** Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) . . . . . . . . . . . . . | | | | | |
| **8** Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . . | | 685,674 | | | |
| **9** **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a . . . . . . | | 30,881,491 | | | |
| **10** Analysis of line 9 | | | | | |
| **a** Excess from 2009. . . . | 852,612 | | | | |
| **b** Excess from 2010. . . . | 853,696 | | | | |
| **c** Excess from 2011. . . . | 2,994,537 | | | | |
| **d** Excess from 2012. . . . | 5,549,031 | | | | |
| **e** Excess from 2013. . . . | 20,631,615 | | | | |

## 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)

| | Tax year | Prior 3 years | | | (e) Total |
|---|---|---|---|---|---|
| | **(a)** 2013 | **(b)** 2012 | **(c)** 2011 | **(d)** 2010 | |
| **2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| **b** 85% of line 2a | | | | | |
| **c** Qualifying distributions from Part XII, line 4 for each year listed | | | | | |
| **d** Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| **e** Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c | | | | | |
| **3** Complete 3a, b, or c for the alternative test relied upon<br>**a** "Assets" alternative test—enter<br>**(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<br>**(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) )

JEFFERY MELINDA HILDEBRAND

**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

JOHN LARSEN
1201 LOUISIANA SUITE 1400
HOUSTON,TX 77002
(713) 209-2400

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

CHARITIES SHOULD SUBMIT A REQUEST IN WRITING, ON THE CHARITY'S LETTERHEAD, REQUESTING THE DONATION THEY ARE SEEKING AS WELL AS THE PURPOSE THE DONATION WILL SERVE

**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

NONE

**Part XV Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| SEE ATTACHMENT 10<br>SEE ATTACHMENT 10<br>SEE ATTACHMENT, TX 77002 | | | SEE ATTACHMENT 10 | 28,296,250 |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3a** | | | | 28,296,250 |
| **b** *Approved for future payment* | | | | |
| **Total** . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . ▶ **3b** | | | | |

**Part XVI-A Analysis of Income-Producing Activities**

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions ) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments. . . . | | | | | |
| 3 Interest on savings and temporary cash investments . . . . . . . . . . . . . | | | 14 | 95,471 | |
| 4 Dividends and interest from securities. . . . | | | 14 | 2,728,054 | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property. . . . . . | | | | | |
| b Not debt-financed property. . . . . | | | | | |
| 6 Net rental income or (loss) from personal property . . . . . . . . . . . . . . | | | | | |
| 7 Other investment income. . . . . | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory . . . . . . . . . . . . . . | | | 18 | 3,977,487 | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory. . | | | | | |
| 11 Other revenue a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e). . | | | | 6,801,012 | |

**13 Total.** Add line 12, columns (b), (d), and (e). . . . . . . . . . . . . . . . . . . . . . **13** 6,801,012

(See worksheet in line 13 instructions to verify calculations )

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

| Line No. | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes) (See instructions ) |
|---|---|
| | |

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

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

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

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

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

**b** If "Yes," complete the following schedule

| **(a)** Name of organization | **(b)** Type of organization | **(c)** Description of relationship |
|---|---|---|
| | | |

**Sign Here**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge

****** | 2014-08-15 | ******

Signature of officer or trustee | Date | Title

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's Signature | Date | Check if self-employed ☐ | PTIN |
|---|---|---|---|---|
| JONATHAN D ADINOLFI | | | | |

| | | |
|---|---|---|
| Firm's name | MCGLADREY LLP | Firm's EIN |
| Firm's address | 1400 POST OAK BLVD STE 900 HOUSTON, TX 770563009 | Phone no (713) 625-3500 |

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

# Schedule of Contributors

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

OMB No 1545-0047

**2013**

| Name of the organization | Employer identification number |
|---|---|
| HILDEBRAND FOUNDATION | 76-0699250 |

**Organization type** (check one)

| Filers of: | Section: |
|---|---|
| Form 990 or 990-EZ | ☐ 501(c)( ) (enter number) organization |
| | ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation |
| | ☐ 527 political organization |
| Form 990-PF | ☑ 501(c)(3) exempt private foundation |
| | ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | ☐ 501(c)(3) taxable private foundation |

Check if your organization is covered by the **General Rule** or a **Special Rule.**
**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions

**General Rule**

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

**Special Rules**

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1 Complete Parts I and II

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals Complete Parts I, II, and III

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc , purposes, but these contributions did not total more than $1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc , contributions of $5,000 or more during the year . . . . . . . . . . . . . . . . . . . . . . . . ▶ $ ____________

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

**Name of organization**
HILDEBRAND FOUNDATION

**Employer identification number**
76-0699250

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

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|---|---|---|---|
| 1 | JEFF AND MINDY HILDEBRAND<br>1201 LOUISIANA SUITE 1400<br>HOUSTON, TX77002 | $ 42,403 | Person ☑<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |
| | | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II for noncash contributions ) |

**Name of organization**
HILDEBRAND FOUNDATION

**Employer identification number**
76-0699250

**Part II** Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed

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

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

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

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

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

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

**Name of organization**
HILDEBRAND FOUNDATION

**Employer identification number**
76-0699250

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

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP 4 | Relationship of transferor to transferee |
|---|---|
| | |

## Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

| **(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 ) |
|---|---|---|---|
| BNY MELLON #88000-SEE ATTACHED STATEMENT | | | |
| BNY MELLON #88000-SEE ATTACHED STATEMENT | | | |
| BNY MELLON #88010-SEE ATTACHED STATEMENT | | | |
| BNY MELLON #88010-SEE ATTACHED STATEMENT | | | |
| BNY MELLON #88020-SEE ATTACHED STATEMENT | | | |
| BNY MELLON #88030-SEE ATTACHED STATEMENT | | | |
| BNY MELLON #88030 WASH SALES-SEE ATTACHED STATEMENT | | | |
| CAPITAL GAIN DIVIDENDS | P | | |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h**

| **(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) |
|---|---|---|---|
| 13,377,528 | | 11,616,256 | 1,761,272 |
| 7,698,236 | | 5,059,654 | 2,638,582 |
| 17,880,464 | | 17,838,486 | 41,978 |
| 1,722,340 | | 1,685,626 | 36,714 |
| 4,058,713 | | 4,238,557 | -179,844 |
| 10,035,373 | | 10,368,449 | -333,076 |
| 292,211 | | 303,892 | -3,874 |
| | | | 15,735 |

**Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l**

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | **(l)** 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 | |
| | | | 1,761,272 |
| | | | 2,638,582 |
| | | | 41,978 |
| | | | 36,714 |
| | | | -179,844 |
| | | | -333,076 |
| | | | -11,681 |
| | | | |

# TY 2013 Accounting Fees Schedule

**Name:** HILDEBRAND FOUNDATION

**EIN:** 76-0699250

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| TAX PREP FEES | 12,707 | 6,353 | | 6,354 |

# TY 2013 Compensation Explanation

**Name:** HILDEBRAND FOUNDATION

**EIN:** 76-0699250

| Person Name | Explanation |
|---|---|
| JEFFERY D HILDEBRAND | A CORPORATION OWNED BY MR & MRS HILDEBRAND IS PAID A FEE TO PROVIDE BOOKKEEPING AND ADMINISTRATIVE SERVICES FOR THE FOUNDATION |
| MELINDA B HILDEBRAND | A CORPORATION OWNED BY MR & MRS HILDEBRAND IS PAID A FEE TO PROVIDE BOOKKEEPING AND ADMINISTRATIVE SERVICES FOR THE FOUNDATION |

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

# TY 2013 Depreciation Schedule

**Name:** HILDEBRAND FOUNDATION

**EIN:** 76-0699250

| Description of Property | Date Acquired | Cost or Other Basis | Prior Years' Depreciation | Computation Method | Rate / Life (# of years) | Current Year's Depreciation Expense | Net Investment Income | Adjusted Net Income | Cost of Goods Sold Not Included |
|---|---|---|---|---|---|---|---|---|---|

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93491224005014

# TY 2013 Investments Corporate Stock Schedule

**Name:** HILDEBRAND FOUNDATION

**EIN:** 76-0699250

| Name of Stock | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| BNY MELLON #8000 ATCH 6A | 19,992,729 | 30,507,001 |
| BNY MELLON #8010 ATCH 6B | 28,066,558 | 27,989,108 |
| BNY MELLON #8020 ATCH 6C | 22,468,242 | 24,403,956 |
| BNY MELLON #8030 ATCH 6D | 21,634,972 | 20,942,896 |
| BNY MELLON #8040 ATCH 6E | 22,973,009 | 25,061,419 |

# TY 2013 Investments - Land Schedule

**Name:** HILDEBRAND FOUNDATION

**EIN:** 76-0699250

# TY 2013 Land, Etc. Schedule

**Name:** HILDEBRAND FOUNDATION

**EIN:** 76-0699250

# TY 2013 Other Professional Fees Schedule

**Name:** HILDEBRAND FOUNDATION

**EIN:** 76-0699250

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| INVESTMENT FEES | 253,606 | 253,330 | | |
| MANAGEMENT FEES(SEE FOOTNOTE) | 42,403 | 42,403 | | |
| BANK FEES | 300 | 300 | | |

# TY 2013 Taxes Schedule

**Name:** HILDEBRAND FOUNDATION

**EIN:** 76-0699250

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|
| FOREIGN TAXES | 21,294 | 21,294 | | |
| EXCISE TAX | 150,000 | | | |

# Asset detail

## Equities

### U.S. large cap

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 2,183 | Actavis PLC ( ACT ) | $ 168.0000 | $ 366,744.00 | $ 314,373.83 | $ 52,370.17 | $ 144.010 | $ 0.00 | 0.0% | 1.1% |
| 3,810 | Lyondellbasell Industries NV ( LYB ) | 80.2800 | 305,866.80 | 206,398.76 | 99,468.04 | 54.173 | 9,144.00 | 3.0 | 1.0 |
| 6,399 | AT&T Inc ( T ) | 35.1600 | 224,988.84 | 221,499.46 | 3,489.38 | 34.615 | 11,774.16 | 5.2 | 0.7 |
| 5,574 | Abbott Laboratories ( ABT ) | 38.3300 | 213,651.42 | 141,212.89 | 72,438.53 | 25.334 | 4,905.12 | 2.3 | 0.7 |
| 5,574 | Abbvie Inc. ( ABBV ) | 52.8100 | 294,362.94 | 153,133.35 | 141,229.59 | 27.473 | 8,918.40 | 3.0 | 0.9 |
| 914 | Amazon.Com Inc ( AMZN ) | 398.7900 | 364,494.06 | 289,229.36 | 75,264.70 | 316.443 | 0.00 | 0.0 | 1.1 |
| 7,292 | American International Group Inc ( AIG ) | 51.0500 | 372,256.60 | 239,305.42 | 132,951.18 | 32.817 | 2,916.80 | 0.8 | 1.2 |
| 2,914 | Amgen Inc ( AMGN ) | 114.0800 | 332,429.12 | 244,874.48 | 87,554.64 | 84.034 | 7,110.16 | 2.1 | 1.0 |
| 2,355 | Apple Inc ( AAPL ) | 561.0200 | 1,321,202.10 | 626,356.94 | 694,845.16 | 265.969 | 28,731.00 | 2.2 | 4.1 |
| 16,476 | Applied Materials Inc ( AMAT ) | 17.6800 | 291,295.68 | 297,727.91 | -6,432.23 | 18.070 | 6,590.40 | 2.3 | 0.9 |
| 36,743 | Bank Of America Corporation ( BAC ) | 15.5700 | 572,088.51 | 323,952.00 | 248,136.51 | 8.817 | 1,469.72 | 0.3 | 1.8 |
| 3,550 | Berkshire Hathaway Inc Del Cl B ( BRK.B ) | 118.5600 | 420,888.00 | 275,413.25 | 145,474.75 | 77.581 | 0.00 | 0.0 | 1.3 |
| 3,602 | CIGNA Corp ( CI ) | 87.4800 | 315,102.96 | 188,551.74 | 126,551.22 | 52.346 | 144.08 | 0.1 | 1.0 |
| 6,292 | CVS Caremark Corporation ( CVS ) | 71.5700 | 450,318.44 | 276,235.16 | 174,083.28 | 43.903 | 6,921.20 | 1.5 | 1.4 |
| 4,076 | Capital One Financial Corporation ( COF ) | 76.6100 | 312,262.36 | 235,647.42 | 76,614.94 | 57.813 | 4,891.20 | 1.6 | 1.0 |

# Equities

## U.S. large cap
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 2,282 | Celgene Corp ( CELG ) | 168.9680 | 385,584.98 | 143,332.81 | 242,252.17 | 62.810 | 0.00 | 0.0 | 1.2 |
| 3,754 | Chevron Corporation ( CVX ) | 124.9100 | 468,912.14 | 235,874.89 | 233,037.25 | 62.833 | 15,016.00 | 3.2 | 1.5 |
| 14,486 | Cisco Systems Inc ( CSCO ) | 22.4300 | 324,920.98 | 250,627.42 | 74,293.56 | 17.301 | 9,850.48 | 3.0 | 1.0 |
| 10,132 | Citigroup Inc ( C ) | 52.1100 | 527,978.52 | 379,473.79 | 148,504.73 | 37.453 | 405.28 | 0.1 | 1.6 |
| 7,926 | Coca - Cola Co ( KO ) | 41.3100 | 327,423.06 | 214,375.45 | 113,047.61 | 27.047 | 8,877.12 | 2.7 | 1.0 |
| 9,959 | Comcast Corp Cl A ( CMCSA ) | 51.9650 | 517,519.44 | 287,233.48 | 230,285.96 | 28.842 | 7,768.02 | 1.5 | 1.6 |
| 4,092 | Conocophillips ( COP ) | 70.6500 | 289,099.80 | 261,245.58 | 27,854.22 | 63.843 | 11,293.92 | 3.9 | 0.9 |
| 2,251 | Continental Resources Inc ( CLR ) | 112.5200 | 253,282.52 | 173,811.63 | 79,470.89 | 77.215 | 0.00 | 0.0 | 0.8 |
| 4,507 | The Walt Disney Company ( DIS ) | 76.4000 | 344,334.80 | 289,201.57 | 55,133.23 | 64.167 | 3,876.02 | 1.1 | 1.1 |
| 1,529 | E O G Res Inc ( EOG ) | 167.8400 | 256,627.36 | 159,132.50 | 97,494.86 | 104.076 | 1,146.75 | 0.5 | 0.8 |
| 3,022 | Eastman Chem Co ( EMN ) | 80.7000 | 243,875.40 | 181,728.88 | 62,146.52 | 60.135 | 4,230.80 | 1.7 | 0.8 |
| 3,966 | Express Scripts Holdings, Inc. ( ESRX ) | 70.2400 | 278,571.84 | 240,916.26 | 37,655.58 | 60.745 | 0.00 | 0.0 | 0.9 |
| 8,189 | Exxon Mobil Corp ( XOM ) | 101.2000 | 828,726.80 | 477,246.52 | 351,480.28 | 58.279 | 20,636.28 | 2.5 | 2.6 |
| 12,544 | Fifth Third Bancorp ( FITB ) | 21.0300 | 263,800.32 | 203,589.12 | 60,211.20 | 16.230 | 6,021.12 | 2.3 | 0.8 |
| 16,157 | General Electric Company ( GE ) | 28.0300 | 452,880.71 | 304,102.21 | 148,778.50 | 18.822 | 14,218.16 | 3.1 | 1.4 |
| 6,109 | General Mills Inc ( GIS ) | 49.9100 | 304,900.19 | 242,420.39 | 62,479.80 | 39.682 | 9,285.68 | 3.0 | 0.9 |
| 6,463 | Gilead Sciences Inc ( GILD ) | 75.1000 | 485,371.30 | 187,262.22 | 298,109.08 | 28.974 | 0.00 | 0.0 | 1.5 |
| 2,487 | Goldman Sachs Group Inc ( GS ) | 177.2600 | 440,845.62 | 299,034.15 | 141,811.47 | 120.239 | 5,471.40 | 1.2 | 1.4 |
| 676 | Google Inc ( GOOG ) | 1,120.7100 | 757,599.96 | 309,332.03 | 448,267.93 | 457.592 | 0.00 | 0.0 | 2.4 |
| 6,276 | H C A Holdings Inc ( HCA ) | 47.7100 | 299,427.96 | 217,789.21 | 81,638.75 | 34.702 | 0.00 | 0.0 | 0.9 |
| 2,732 | Hollyfrontier Corporation ( HFC ) | 49.6900 | 135,753.08 | 114,594.29 | 21,158.79 | 41.945 | 3,278.40 | 2.4 | 0.4 |
| 2,964 | Home Depot Inc ( HD ) | 82.3400 | 244,055.76 | 60,847.12 | 183,208.64 | 20.529 | 4,623.84 | 1.9 | 0.8 |
| 4,055 | Honeywell Intl Inc ( HON ) | 91.3700 | 370,505.35 | 232,026.29 | 138,479.06 | 57.220 | 7,299.00 | 2.0 | 1.2 |
| 4,064 | Illinois Tool Wks Inc ( ITW ) | 84.0800 | 341,701.12 | 240,040.68 | 101,660.44 | 59.065 | 6,827.52 | 2.0 | 1.1 |
| 12,799 | Intel Corp ( INTC ) | 25.9550 | 332,198.05 | 232,130.09 | 100,067.96 | 18.137 | 11,519.10 | 3.5 | 1.0 |

ATTACHMENT 6A

# Equities

## U.S. large cap

continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 1,122 | International Business Machines ( IBM ) Corporation | 187.5700 | 210,453.54 | 93,819.77 | 116,633.77 | 83.618 | 4,263.60 | 2.0 | 0.7 |
| 4,950 | International Paper Co ( IP ) | 49.0300 | 242,698.50 | 196,173.45 | 46,525.05 | 39.631 | 6,930.00 | 2.9 | 0.8 |
| 7,605 | JP Morgan Chase & Co ( JPM ) | 58.4800 | 444,740.40 | 156,149.32 | 288,591.08 | 20.532 | 11,559.60 | 2.6 | 1.4 |
| 6,460 | Johnson & Johnson ( JNJ ) | 91.5900 | 591,671.40 | 377,706.11 | 213,965.29 | 58.468 | 17,054.40 | 2.9 | 1.8 |
| 7,643 | Kroger Co ( KR ) | 39.5300 | 302,127.79 | 188,581.85 | 113,545.94 | 24.674 | 5,044.38 | 1.7 | 0.9 |
| 559 | Mastercard Inc ( MA ) | 835.4600 | 467,022.14 | 260,030.77 | 206,991.37 | 465.171 | 2,459.60 | 0.5 | 1.5 |
| 5,577 | Merck & Co Inc ( MRK ) | 50.0500 | 279,128.85 | 187,968.87 | 91,159.98 | 33.704 | 9,815.52 | 3.5 | 0.9 |
| 21,001 | Microsoft Corporation ( MSFT ) | 37.4100 | 785,647.41 | 594,914.25 | 190,733.16 | 28.328 | 23,521.12 | 3.0 | 2.4 |
| 9,412 | Mondelez International ( MDLZ ) | 35.3000 | 332,243.60 | 244,994.36 | 87,249.24 | 26.030 | 5,270.72 | 1.6 | 1.0 |
| 7,381 | Mylan Laboratories Inc ( MYL ) | 43.4000 | 320,335.40 | 188,723.32 | 131,612.08 | 25.569 | 0.00 | 0.0 | 1.0 |
| 3,592 | National Oilwell Varco Inc. ( NOV ) | 79.5300 | 285,671.76 | 294,965.47 | -9,293.71 | 82.117 | 3,735.68 | 1.3 | 0.9 |
| 7,268 | Oracle Corp ( ORCL ) | 38.2600 | 278,073.68 | 214,006.99 | 64,066.69 | 29.445 | 3,488.64 | 1.3 | 0.9 |
| 3,141 | Pepsico Inc ( PEP ) | 82.9400 | 260,514.54 | 156,293.99 | 104,220.55 | 49.759 | 7,130.07 | 2.7 | 0.8 |
| 16,173 | Pfizer Inc ( PFE ) | 30.6300 | 495,378.99 | 300,130.87 | 195,248.12 | 18.557 | 16,819.92 | 3.4 | 1.5 |
| 4,371 | Philip Morris International Inc ( PM ) | 87.1300 | 380,845.23 | 247,071.23 | 133,774.00 | 56.525 | 16,434.96 | 4.3 | 1.2 |
| 4,597 | Phillips 66 ( PSX ) | 77.1300 | 354,566.61 | 228,017.64 | 126,548.97 | 49.601 | 7,171.32 | 2.0 | 1.1 |
| 5,146 | The Procter & Gamble Company ( PG ) | 81.4100 | 418,935.86 | 358,459.95 | 60,475.91 | 69.658 | 12,381.28 | 3.0 | 1.3 |
| 6,884 | Qualcomm Inc ( QCOM ) | 74.2500 | 511,137.00 | 386,846.07 | 124,290.93 | 56.195 | 9,637.60 | 1.9 | 1.6 |
| 3,231 | Schlumberger Ltd ( SLB ) | 90.1100 | 291,145.41 | 289,584.19 | 1,561.22 | 89.627 | 4,038.75 | 1.4 | 0.9 |
| 19,537 | Southwest Airls Co ( LUV ) | 18.8400 | 368,077.08 | 297,118.70 | 70,958.38 | 15.208 | 3,125.92 | 0.9 | 1.1 |
| 4,728 | Starbucks Corp ( SBUX ) | 78.3900 | 370,627.92 | 229,912.24 | 140,715.68 | 48.628 | 4,917.12 | 1.3 | 1.2 |
| 7,210 | Suntrust Banks Inc ( STI ) | 36.8100 | 265,400.10 | 181,711.37 | 83,688.73 | 25.203 | 2,884.00 | 1.1 | 0.8 |
| 5,006 | T J X Companies Inc ( TJX ) | 63.7300 | 319,032.38 | 210,166.39 | 108,865.99 | 41.983 | 2,903.48 | 0.9 | 1.0 |
| 3,452 | Thermo Fisher Scientific Inc. ( TMO ) | 111.3500 | 384,380.20 | 214,834.18 | 169,546.02 | 62.235 | 2,071.20 | 0.5 | 1.2 |
| 4,347 | Time Warner Inc ( TWX ) | 69.7200 | 303,072.84 | 295,859.43 | 7,213.41 | 68.061 | 4,999.05 | 1.7 | 0.9 |
| 10,531 | Twenty-First Century Fox, Inc. ( FOXA ) | 35.1700 | 370,375.27 | 228,955.15 | 141,420.12 | 21.741 | 2,632.75 | 0.7 | 1.2 |

ATTACHMENT 6A

# Equities

## U.S. large cap
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 8,799 | US Bancorp ( USB ) | 40.4000 | 355,479.60 | 222,020.64 | 133,458.96 | 25.232 | 8,095.08 | 2.3 | 1.1 |
| 2,340 | Union Pac Corp ( UNP ) | 168.0000 | 393,120.00 | 255,655.06 | 137,464.94 | 109.254 | 7,394.40 | 1.9 | 1.2 |
| 3,907 | United Technologies Corp ( UTX ) | 113.8000 | 444,616.60 | 320,314.04 | 124,302.56 | 81.985 | 9,220.52 | 2.1 | 1.4 |
| 6,338 | Valero Energy Corp New ( VLO ) | 50.4000 | 319,435.20 | 170,771.42 | 148,663.78 | 26.944 | 5,704.20 | 1.8 | 1.0 |
| 6,154 | Verizon Communications Inc ( VZ ) | 49.1400 | 302,407.56 | 289,358.62 | 13,048.94 | 47.020 | 13,046.48 | 4.3 | 0.9 |
| 1,140 | Visa Inc-Class A Shrs ( V ) | 222.6800 | 253,855.20 | 97,457.45 | 156,397.75 | 85.489 | 1,824.00 | 0.7 | 0.8 |
| 2,124 | Wal Mart Stores Inc ( WMT ) | 78.6900 | 167,137.56 | 103,572.27 | 63,565.29 | 48.763 | 3,993.12 | 2.4 | 0.5 |
| 6,488 | Walgreen Co ( WAG ) | 57.4400 | 372,670.72 | 244,571.65 | 128,099.07 | 37.696 | 8,174.88 | 2.2 | 1.2 |
| 11,908 | Wells Fargo & Company ( WFC ) | 45.4000 | 540,623.20 | 346,261.30 | 194,361.90 | 29.078 | 14,289.60 | 2.6 | 1.7 |
| 2,211 | Westlake Chemical Corp ( WLK ) | 122.0700 | 269,896.77 | 170,584.40 | 99,312.37 | 77.153 | 1,989.90 | 0.7 | 0.8 |
| 11,627 | Yahoo Inc ( YHOO ) | 40.4400 | 470,195.88 | 203,057.42 | 267,138.46 | 17.464 | 0.00 | 0.0 | 1.5 |
| Total U.S. large cap | | | $ 29,156,591.08 | $ 19,017,900.75 | $ 10,138,690.33 | | $ 509,183.99 | | 90.3% |

## U.S. mid cap

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 18,926 | Weatherford International Ltd ( WFT ) | $ 15.4900 | $ 293,163.74 | $ 278,654.07 | $ 14,509.67 | $ 14.723 | $ 0.00 | 0.0% | 0.9% |
| 2,209 | Ashland Inc ( ASH ) | 97.0400 | 214,361.36 | 168,388.10 | 45,973.26 | 76.228 | 3,004.24 | 1.4 | 0.7 |
| 5,247 | Oasis Petroleum Inc ( OAS ) | 46.9700 | 246,451.59 | 173,638.97 | 72,812.62 | 33.093 | 0.00 | 0.0 | 0.8 |
| 33,814 | Regions Finl Corp New ( RF ) | 9.8900 | 334,420.46 | 232,579.45 | 101,841.01 | 6.878 | 4,057.68 | 1.2 | 1.0 |
| Total U.S. mid cap | | | $ 1,088,397.15 | $ 853,260.59 | $ 235,136.56 | | $ 7,061.92 | | 3.4% |

ATTACHMENT 6A

## Developed international

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 6,444 | Alkermes PLC ( ALKS ) | $ 40.6600 | $ 262,013.04 | $ 121,567.96 | $ 140,445.08 | $ 18.865 | $ 0.00 | 0.0% | 0.8% |
| Total developed international | | | $ 262,013.04 | $ 121,567.96 | $ 140,445.08 | | $ 0.00 | | 0.8% |
| Total equities | | | $ 30,507,001.27 | $ 19,992,729.30 | $ 10,514,271.97 | | $ 516,245.91 | | 94.5% |

# Asset detail

## Fixed income

### Taxable

Individual securities Treasury

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 100,000 | United States Treasury Note<br>DTD 4/30/2010 3.125% 4/30/2017<br>Cusip: 912828NA4 Moody's: AAA S&P: AA+ | $ 107.0550 | $ 107,055.00 | $ 110,828.12 | $ -3,773.12 | $ 110.830 | $ 3,125.00 | 2.9% | 0.4% |
| 100,000 | United States Treasury Note<br>DTD 8/31/2010 1.875% 8/31/2017<br>Cusip: 912828NW6 Moody's: AAA S&P: AA+ | 102.6560 | 102,656.00 | 104,238.30 | -1,582.30 | 104.240 | 1,875.00 | 1.8 | 0.4 |
| 450,000 | United States Treasury Note<br>DTD 10/31/2010 1.875% 10/31/2017<br>Cusip: 912828PF1 Moody's: AAA S&P: AA+ | 102.5000 | 461,250.00 | 468,316.41 | -7,066.41 | 104.070 | 8,437.50 | 1.8 | 1.6 |

# Fixed income

## Taxable

Individual securities Treasury continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 450,000 | United States Treasury Note<br>DTD 4/30/2011 2.625% 4/30/2018<br>Cusip: 912828QG8 Moody's: AAA S&P: AA+ | 104.9610 | 472,324.50 | 487,335.94 | -15,011.44 | 108.300 | 11,812.50 | 2.5 | 1.6 |
| 500,000 | United States Treasury Note<br>DTD 10/31/2011 1.75% 10/31/2018<br>Cusip: 912828RP7 Moody's: AAA S&P: AA+ | 100.4380 | 502,190.00 | 510,585.94 | -8,395.94 | 102.120 | 8,750.00 | 1.7 | 1.7 |
| 450,000 | United States Treasury Note<br>DTD 8/15/2010 2.625% 8/15/2020<br>Cusip: 912828NT3 Moody's: AAA S&P: AA+ | 102.0310 | 459,139.50 | 479,865.24 | -20,725.74 | 106.640 | 11,812.50 | 2.6 | 1.6 |

Individual securities Corporate

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 100,000 | Andrew W Mellon Foundation<br>DTD 6/23/2009 3.95% 8/1/2014<br>Cusip: 03444RAA6 Moody's: AAA S&P: AAA | $ 102.0380 | $ 102,038.00 | $ 102,710.00 | $ -672.00 | $ 102.710 | $ 3,950.00 | 3.9% | 0.4% |
| 454,000 | University Of Chicago<br>DTD 2/2/2012 3.065% 10/1/2024<br>Cusip: 91412NAG5 Moody's: AA1 S&P: AA | 100.6550 | 456,973.70 | 453,977.30 | 2,996.40 | 100.000 | 13,915.10 | 3.0 | 1.6 |
| 500,000 | General Elec Cap Corp<br>DTD 8/17/2012 4% 8/17/2032<br>Cusip: 36966TGE6 Moody's: A1 S&P: AA+ | 93.7650 | 468,825.00 | 493,125.00 | -24,300.00 | 98.630 | 20,000.00 | 4.3 | 1.6 |

Individual securities Mortgage backed securities

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 22,428.68 | Federal Home Loan Mortgage Corp<br>REMIC Passthru CTF DTD 12/1/2001<br>6% 12/15/2016 Series 2394 Class Mc<br>Cusip: 31339LFD7 Moody's: N/A S&P: N/A | $ 105.2560 | $ 23,607.53 | $ 24,117.83 | $ -510.30 | $ 107.530 | $ 1,345.72 | 5.7% | 0.1% |

ATTACHMENT 6B

Individual securities Mortgage backed securities
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 6,597.88 | Federal Home Loan Mortgage Corp REMIC Passthru CTF DTD 11/1/2002 5% 11/15/2017 Series 2530 Class Bh Cusip: 31393F6K7 Moody's: N/A S&P: N/A | 105.8570 | 6,984.32 | 7,102.76 | -118.44 | 107.650 | 329.89 | 4.7 | 0.0 |
| 272,101.94 | Federal Home Loan Mortgage Corp REMIC Passthru CTF DTD 12/1/2010 3.5% 12/15/2020 Series 3774 Class Ab Cusip: 3137A3V30 Moody's: N/A S&P: N/A | 106.4340 | 289,608.98 | 286,217.24 | 3,391.74 | 105.190 | 9,523.57 | 3.3 | 1.0 |
| 11,793.18 | Federal Home Loan Mortgage Corp REMIC Passthru CTF DTD 3/1/2010 4% 5/15/2024 Series 3642 Class Da Cusip: 31398V6L5 Moody's: N/A S&P: N/A | 103.4800 | 12,203.58 | 12,183.83 | 19.75 | 103.310 | 471.73 | 3.9 | 0.0 |
| 693,023.04 | Federal National Mortgage Assn Passthru CTF Pool Number Ah4841 DTD 1/1/2011 4% 2/1/2026 Cusip: 3138A6LX6 Moody's: N/A S&P: N/A | 106.5530 | 738,436.84 | 738,665.11 | -228.27 | 106.590 | 27,720.92 | 3.8 | 2.5 |
| 500,000 | Federal National Mortgage Assn REMIC Passthru CTF DTD 1/1/2011 3.50% 2/25/2026 Series 2011-7 Class CB Cusip: 31398S6V0 Moody's: N/A S&P: N/A | 101.1360 | 505,680.00 | 521,250.00 | -15,570.00 | 104.250 | 17,500.00 | 3.5 | 1.7 |
| 569,880.62 | Federal National Mortgage Assn Passthru CTF Pool Number Ab2446 DTD 2/1/2011 3.5% 3/1/2026 Cusip: 31416XWG1 Moody's: N/A S&P: N/A | 104.6820 | 596,562.43 | 609,594.17 | -13,031.74 | 106.970 | 19,945.82 | 3.3 | 2.0 |
| 83,451.83 | Federal Home Loan Mortgage Corp REMIC Passthru CTF DTD 5/1/2011 3.5% 5/15/2026 Series 3864 Class Pg Cusip: 3137ABEC1 Moody's: N/A S&P: N/A | 105.5090 | 88,049.19 | 87,605.46 | 443.73 | 104.980 | 2,920.81 | 3.3 | 0.3 |
| 379,619.66 | Federal Home Loan Mortgage Corp Gold Passthru CTF Pool Number J16981 DTD 10/1/2011 3% 10/1/2026 Cusip: 3128PWXJ2 Moody's: N/A S&P: N/A | 102.0620 | 387,447.42 | 403,820.41 | -16,372.99 | 106.380 | 11,388.59 | 2.9 | 1.3 |

Individual securities Mortgage backed securities
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 13,548.07 | Federal Home Loan Mortgage Corp REMIC Passthru CTF DTD 2/1/2010 4.5% 8/15/2027 Series 3634 Class Ba Cusip. 31398WE34 Moody's. N/A S&P: N/A | 103.2720 | 13,991.36 | 14,073.05 | -81.69 | 103.870 | 609.66 | 4.4 | 0.1 |
| 53,826.18 | Federal Home Loan Mortgage Corp REMIC Passthru CTF DTD 7/1/2003 3.25% 4/15/2032 Series 2647 Class A Cusip: 31394GBQ5 Moody's: N/A S&P: N/A | 102.3830 | 55,108.86 | 53,339.66 | 1,769.20 | 99.100 | 1,749.35 | 3.2 | 0.2 |
| 372,362.24 | Federal National Mortgage Assn Passthru CTF Pool Number MA1059 DTD 4/1/2012 3.5% 5/1/2032 Cusip: 31418AE95 Moody's: N/A S&P: N/A | 101.8290 | 379,172.75 | 392,958.56 | -13,785.81 | 105.530 | 13,032.68 | 3.4 | 1.3 |
| 12,796.66 | Government National Mortgage Assn REMIC Passthru CTF DTD 4/1/2005 Fltg Rate 9/16/2034 Series 2005-29 Class Ab Cusip: 38373MPU8 Moody's: N/A S&P: N/A | 105.2040 | 13,462.60 | 12,501.63 | 960.97 | 97.690 | 629.47 | 4.7 | 0.1 |
| 14,653.96 | Federal National Mortgage Assn Passthru CTF Pool Number 814101 DTD 2/1/2005 Fltg Rate 1/1/2035 Cusip: 31406MNS1 Moody's: N/A S&P: N/A | 106.5460 | 15,613.21 | 14,515.26 | 1,097.95 | 99.050 | 366.35 | 2.4 | 0.1 |
| 120,816.44 | Federal National Mortgage Assn REMIC Passthru CTF DTD 5/25/2007 Fltg Rate 6/25/2037 Series 2007-51 Class Ft Cusip: 31396WGZ3 Moody's: N/A S&P: N/A | 99.5630 | 120,288.47 | 120,986.34 | -697.87 | 100.140 | 440.50 | 0.4 | 0.4 |
| 197,504.80 | Federal Home Loan Mortgage Corp REMIC Passthru CTF DTD 3/1/2013 2.5% 7/15/2042 Series 4173 Class KY Cusip: 3137B0HM9 Moody's: N/A S&P: N/A | 85.6650 | 169,192.49 | 197,998.56 | -28,806.07 | 100.250 | 4,937.62 | 2.9 | 0.6 |
| 294,772.98 | Federal National Mortgage Assn REMIC Passthru CTF DTD 2/1/2013 1.75% 3/25/2043 Series 2013-14 Class Qe Cusip: 3136AC4R9 Moody's: N/A S&P: N/A | 97.4860 | 287,362.39 | 297,398.32 | -10,035.93 | 100.890 | 5,158.53 | 1.8 | 1.0 |

Individual securities Other

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 875,000 | San Bernardino City CA Unif SC<br>DTD 6/12/2013 0.992% 8/1/2014<br>Txbl-Election Of 2012-Ser B<br>Cusip: 796711VJ5 Moody's: A2 S&P: A | $ 100.0840 | $ 875,735.00 | $ 875,000.00 | $ 735.00 | $ 100.000 | $ 8,680.00 | 1.0% | 3.0% |
| 750,000 | Indiana ST Bond Bank Revenue<br>DTD 6/19/2013 0.661% 1/15/2015<br>Txbl-Sch Severance Funding<br>Cusip: 4546246W2 Moody's: N/R S&P: AA+ | 100.3160 | 752,370.00 | 750,000.00 | 2,370.00 | 100.000 | 4,957.50 | 0.7 | 2.6 |
| 375,000 | McLennan Cnty TX Jnr Clg Dist<br>DTD 3/15/2013 3% 8/15/2015<br>Ref-Txbl<br>Cusip: 582188JW9 Moody's: N/R S&P: AA | 102.8990 | 385,871.25 | 394,785.00 | -8,913.75 | 105.280 | 11,250.00 | 2.9 | 1.3 |
| 275,000 | Madison Wis<br>DTD 10/19/2010 2% 10/1/2015<br>Build America Bonds-Taxable-Prom<br>Nts-Ser B<br>Cusip: 55844RDC5 Moody's: AAA S&P: N/R | 101.1020 | 278,030.50 | 277,329.25 | 701.25 | 100.850 | 5,500.00 | 2.0 | 0.9 |
| 300,000 | Colorado Springs Co Utilities<br>Revenue DTD 12/23/2010 3.574%<br>11/15/2015 Taxable-Ser D3<br>Cusip: 196632MG5 Moody's: AA2 S&P: AA | 104.5140 | 313,542.00 | 321,972.00 | -8,430.00 | 107.320 | 10,722.00 | 3.4 | 1.1 |
| 455,000 | Connecticut ST<br>DTD 8/29/2013 1.122% 8/15/2016<br>Txbl-Ser A<br>Cusip: 20772JQH8 Moody's: AA3 S&P: AA | 100.5740 | 457,611.70 | 455,000.00 | 2,611.70 | 100.000 | 5,105.10 | 1.1 | 1.6 |
| 200,000 | Richland Cnty S C<br>DTD 10/13/2010 2.5% 3/1/2017<br>Build America Bonds<br>Cusip: 763631B72 Moody's: AA1 S&P: AAA | 100.6680 | 201,336.00 | 201,174.00 | 162.00 | 100.590 | 5,000.00 | 2.5 | 0.7 |
| 300,000 | Virginia ST Hsg Dev Auth<br>DTD 12/22/2011 2.298% 3/1/2017<br>Txbl-Ser E<br>Cusip: 92812QV87 Moody's: AA1 S&P: AA+ | 99.4060 | 298,218.00 | 300,000.00 | -1,782.00 | 100.000 | 6,894.00 | 2.3 | 1.0 |

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Individual securities Other
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 200,000 | King Cnty Wash Sch Dist No 001<br>Seattle DTD 11/2/2010 2.55% 6/1/2017<br>Qualified Sch Constr Bds<br>Cusip. 494836HT9 Moody's. AA1 S&P. AA | 101.6540 | 203,308.00 | 200,600.00 | 2,708.00 | 100.300 | 5,100.00 | 2.5 | 0.7 |
| 300,000 | Maine Mun Bd BK<br>DTD 10/28/2010 2.925% 11/1/2017<br>Build America Bonds-Taxable-E-<br>Cusip: 5604596X2 Moody's: N/R S&P: AA+ | 101.3520 | 304,056.00 | 300,000.00 | 4,056.00 | 100.000 | 8,775.00 | 2.9 | 1.0 |
| 275,000 | Salt Lake City Utah Redev Agy<br>DTD 10/30/2013 3% 4/1/2018<br>Txbl-Performing Arts Ctr Proj<br>Cusip: 79560CAC3 Moody's: AA3 S&P: N/R | 101.4360 | 278,949.00 | 277,095.50 | 1,853.50 | 100.760 | 8,250.00 | 3.0 | 0.9 |
| 410,000 | Monmouth Cnty NJ Impt Auth Rev<br>DTD 6/5/2013 1.45% 7/15/2018<br>Txbl-Ref-Govtl LN-Ser A<br>Cusip: 60956PHY1 Moody's: AAA S&P: AAA | 96.1270 | 394,120.70 | 410,000.00 | -15,879.30 | 100.000 | 5,945.00 | 1.5 | 1.3 |
| 300,000 | Georgia ST<br>DTD 10/27/2010 2.97% 10/1/2018<br>Build America Bonds<br>Cusip: 373384RQ1 Moody's: AAA S&P: AAA | 104.7300 | 314,190.00 | 300,000.00 | 14,190.00 | 100.000 | 8,910.00 | 2.8 | 1.1 |
| 100,000 | Johnson Cnty Kans Uni Sch Dist No<br>233 DTD 7/1/2010 4.25% 9/1/2019<br>Build America Bonds-Ser A<br>Cusip: 478718D55 Moody's: AA2 S&P: AA | 98.3310 | 98,331.00 | 100,000.00 | -1,669.00 | 100.000 | 4,250.00 | 4.3 | 0.3 |
| 200,000 | Greensboro N C<br>DTD 11/2/2010 3.263% 10/1/2019<br>Build America Bonds-Direct Subsidy-<br>Greensboro-B<br>Cusip: 395460V21 Moody's: AAA S&P: AAA | 98.4890 | 196,978.00 | 200,000.00 | -3,022.00 | 100.000 | 6,526.00 | 3.3 | 0.7 |
| 285,000 | Texas ST<br>DTD 8/10/2011 3.194% 10/1/2019<br>Ref-Taxable-Pub Fin Auth<br>Cusip: 882722J69 Moody's: AAA S&P: AAA | 102.7460 | 292,826.10 | 285,000.00 | 7,826.10 | 100.000 | 9,102.90 | 3.1 | 1.0 |

ATTACHMENT 6B

Individual securities Other
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 1,105,000 | Oregon ST Dept Of Admin Svcs L<br>DTD 4/16/2013 1.89% 4/1/2020<br>Txbl-Ser B<br>Cusip: 68607VA47 Moody's: AA2 S&P: AAA | 93.2150 | 1,030,025.75 | 1,105,000.00 | -74,974.25 | 100.000 | 20,884.50 | 2.0 | 3.5 |
| 500,000 | Massachusetts Bay MA Transprtn Auth<br>Sales Tax Revenue<br>DTD 10/29/2009 4.823% 7/1/2021<br>Build America Bonds<br>Cusip: 575579VK0 Moody's: AA2 S&P: AAA | 106.4880 | 532,440.00 | 584,920.00 | -52,480.00 | 116.980 | 24,115.00 | 4.5 | 1.8 |
| 500,000 | Virginia ST Hsg Dev Auth<br>DTD 12/22/2011 4.504% 3/1/2023<br>Txbl-Ser E<br>Cusip: 92812QW60 Moody's: AA1 S&P: AA+ | 104.6310 | 523,155.00 | 500,000.00 | 23,155.00 | 100.000 | 22,520.00 | 4.3 | 1.8 |
| 445,000 | Salt Lake City Utah Redev Agy<br>DTD 10/30/2013 5.111% 4/1/2026<br>Txbl-Performing Arts Ctr Proj<br>Cusip: 79560CAJ8 Moody's: AA3 S&P: N/R | 99.4110 | 442,378.95 | 445,000.00 | -2,621.05 | 100.000 | 22,743.95 | 5.1 | 1.5 |
| 99,052.41 | Wells Fargo Mortgage Backed<br>Securities Trust Passthru CTF<br>DTD 2/1/2003 Fltg Rate 2/25/2033<br>Series 2003-B Class A2<br>Cusip: 94980UAB6 Moody's: N/A S&P: N/A | 98.5360 | 97,602.28 | 92,614.01 | 4,988.27 | 93.500 | 2,478.32 | 2.5 | 0.3 |
| 380,244.93 | Cs First Boston Mortgage Securities<br>Passthru CTF DTD 3/1/2003 Fltg Rate<br>3/25/2033 Series 2003-AR9 Class 2A2<br>Cusip: 22541NQ77 Moody's: N/A S&P: BBB+ | 100.0280 | 380,351.40 | 346,021.51 | 34,329.89 | 91.000 | 8,656.92 | 2.3 | 1.3 |
| 213,611.64 | Structured Asset Securities<br>Corporation Passthru CTF DTD<br>7/1/2003 Fltg Rate 7/25/2033<br>Series 2003-24A Class 3A2<br>Cusip: 86359AG98 Moody's: BAA2 S&P: A+ | 99.6120 | 212,782.83 | 204,599.90 | 8,182.93 | 95.780 | 5,077.59 | 2.4 | 0.7 |
| 53,771.84 | Structured Asset Securities<br>Corporation Passthru CTF DTD<br>11/1/2003 Fltg Rate 12/25/2033<br>Series 2003-37A Class 2A<br>Cusip: 86359BBS9 Moody's: BAA3 S&P: A+ | 99.3920 | 53,444.91 | 51,620.54 | 1,824.37 | 96.000 | 1,901.43 | 3.6 | 0.2 |

Individual securities Other
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 114,010.92 | Structured Adjustable Rate Mortgage Lo Passthru CTF DTD 1/1/2004 Fltg Rate 2/25/2034 Series 2004-1 Class 4A3 Cusip: 86359BGH8 Moody's: BAA3 S&P: A+ | 100.0440 | 114,061.08 | 110,875.63 | 3,185.45 | 97.250 | 3,312.69 | 2.9 | 0.4 |
| 548,000 | Structured Adjustable Rate Mortgage Loan Passthru CTF DTD 5/1/2004 Fltg Rate 6/25/2034 Series 2004-6 Class 5A6 Cusip: 86359BTL5 Moody's: N/R S&P: A+ | 90.7150 | 497,118.20 | 523,340.00 | -26,221.80 | 95.500 | 26,377.10 | 5.3 | 1.7 |
| 574,873.73 | Structured Asset Mortgage Investments Passthru CTF DTD 5/28/2004 Fltg Rate 7/19/2034 Series 2004-AR3 Class 1A1 Cusip: 86359LBX6 Moody's: BAA1 S&P: AA+ | 93.9100 | 539,863.92 | 526,368.75 | 13,495.17 | 91.560 | 4,405.26 | 0.8 | 1.8 |
| 325,644.81 | Bear Stearns Alt-A Trust Passthru CTF DTD 07/30/2004 Fltg Rate 09/25/2034 Series 2004-8 Class 1A Cusip: 07386HKS9 Moody's: A3 S&P: A+ | 96.6830 | 314,843.17 | 307,734.34 | 7,108.83 | 94.500 | 2,815.53 | 0.9 | 1.1 |
| 447,795 | Citigroup Mortgage Loan Trust Inc Passthru CTF DTD 9/1/2004 Fltg Rate 9/25/2034 Series 2004-Hyb3 Class 1A Cusip: 17307GJX7 Moody's: BAA3 S&P: BBB+ | 100.2120 | 448,744.33 | 423,166.28 | 25,578.05 | 94.500 | 12,035.34 | 2.7 | 1.5 |
| 69,306.22 | Nomura Asset Acceptance Corporation Passthru CTF DTD 9/29/2004 Fltg Rate 10/25/2034 Series 2004-AR2 Class 3A1 Cusip: 65535VET1 Moody's: AAA S&P: AAA | 99.0650 | 68,658.21 | 69,132.94 | -474.73 | 99.750 | 654.67 | 1.0 | 0.2 |
| 924,091.34 | Mortgageit Trust Passthru CTF DTD 9/30/2004 1.0841% 11/25/2034 Series 2004-1 Class A2 Cusip: 61913PAF9 Moody's: BAA3 S&P: BBB+ | 92.6820 | 856,466.34 | 807,424.82 | 49,041.52 | 87.380 | 9,837.88 | 1.2 | 2.9 |

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Individual securities Other
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 104,909.89 | Citigroup Mortgage Loan Trust Inc<br>Passthru CTF DTD 12/29/2004 Fltg<br>Rate 12/25/2034 Series 2004-Hyb4<br>Class Aa<br>Cusip: 17307GMC9 Moody's: BA1 S&P: A+ | 89.3490 | 93,735.94 | 86,026.10 | 7,709.84 | 82.000 | 518.88 | 0.6 | 0.3 |
| 642,009.14 | Gsr Mortgage Loan Trust<br>Passthru CTF DTD 11/25/2004<br>Fltg Rate 12/25/2034 Series 2004-14<br>Class 1A1<br>Cusip: 36242DPB3 Moody's: BAA3 S&P: AA+ | 92.4400 | 593,473.25 | 512,202.92 | 81,270.33 | 79.780 | 3,175.38 | 0.5 | 2.0 |
| 187,418.65 | Residential Asset Securitization<br>Trust Passthru CTF DTD 12/1/2004<br>Fltg Rate 12/25/2034 Series 2004-Ip2<br>Class 3A1<br>Cusip: 45660LAR0 Moody's: BA3 S&P: A+ | 99.2920 | 186,091.73 | 178,282.00 | 7,809.73 | 95.130 | 4,629.26 | 2.5 | 0.6 |
| 51,703.78 | JP Morgan Mortgage Trust<br>Passthru CTF DTD 1/1/2005<br>Fltg Rate 2/25/2035 Series 2005-A1<br>Class 4A1<br>Cusip: 466247LU5 Moody's: BAA3 S&P: A+ | 100.3790 | 51,899.74 | 50,669.72 | 1,230.02 | 98.000 | 1,693.29 | 3.3 | 0.2 |
| 164,715.69 | Banc Of America Funding Corporation<br>Passthru CTF DTD 6/1/2005 Fltg Rate<br>3/20/2035<br>Series 2005-E Class 4A1<br>Cusip: 05946XXQ1 Moody's: BAA1 S&P: AAA | 100.4670 | 165,484.91 | 159,980.11 | 5,504.80 | 97.120 | 4,397.05 | 2.7 | 0.6 |
| 327,106.65 | CSM Series 2010-15R<br>Passthru CTF DTD 8/25/2010 Fltg Rate<br>11/26/2035 Series 2010-15Rclass 5A6<br>Cusip: 12639MCF0 Moody's: N/A S&P: A+ | 99.8970 | 326,769.73 | 342,922.35 | -16,152.62 | 104.840 | 1,716.00 | 0.5 | 1.1 |
| 275,662.92 | Rbssp Resecuritization Trust<br>Passthru CTF DTD 4/25/2009 Fltg<br>Rate 10/26/2036 Series 2009-5<br>Class 4A4<br>Cusip: 74928WAP8 Moody's: N/A S&P: N/A | 93.7860 | 258,533.23 | 253,094.54 | 5,438.69 | 91.810 | 1,832.06 | 0.7 | 0.9 |

Individual securities Other continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 1,000,000 | Alaska ST Hsg Fin Corp<br>DTD 5/2/2013 Var 6/1/2043<br>Txbl-Floating-Ser B<br>Cusip. 011839BA4 Moody's: N/A S&P. AA+ | 99.9790 | 999,790.00 | 1,000,000.00 | -210.00 | 100.000 | 9,680.00 | 1.0 | 3.4 |
| 280,547.09 | Wamu Mortgage Pass-Through Certificates<br>Passthru CTF DTD10/25/2005 Fltg<br>Rate 10/25/2045 Series 2005-AR13<br>Class A1A1<br>Cusip: 92922F4M7 Moody's: BAA2 S&P: AA+ | 92.5850 | 259,744.52 | 241,296.35 | 18,448.17 | 86.010 | 1,275.37 | 0.5 | 0.9 |
| Total taxable individual securities | | | $ 21,528,156.79 | $ 21,575,559.00 | $ -47,402.21 | | $ 513,449.78 | | 72.9% |
| Total taxable fixed income | | | $ 21,528,156.79 | $ 21,575,559.00 | $ -47,402.21 | | $ 513,449.78 | | 72.9% |

## Tax exempt

Individual securities Pre-refunded escrow to maturity

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 540,000 | Viroqua WI Area Sch Dist<br>DTD 5/1/2004 5.45% 4/1/2024<br>Ref-Taxable<br>Prerefunded 4/1/2014 @ 100<br>Cusip: 92824CCQ5 Moody's: BAA1 S&P: A | $ 101.2600 | $ 546,804.00 | $ 554,736.60 | $ -7,932.60 | $ 102.730 | $ 29,430.00 | 5.4% | 1.9% |
| Total tax exempt individual securities | | | $ 546,804.00 | $ 554,736.60 | $ -7,932.60 | | $ 29,430.00 | | 1.9% |
| Total tax exempt fixed income | | | $ 546,804.00 | $ 554,736.60 | $ -7,932.60 | | $ 29,430.00 | | 1.9% |

## Other

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 192,706 | SPDR Barclays Capital Short Term Corporate Bond ETF Cusip: 78464A474 | $ 30.6900 | $ 5,914,147.14 | $ 5,936,262.36 | $ -22,115.22 | $ 30.805 | $ 72,072.04 | 1.2% | 20.0% |
| Total other fixed income | | | $ 5,914,147.14 | $ 5,936,262.36 | $ -22,115.22 | | $ 72,072.04 | | 20.0% |
| Total fixed income | | | $ 27,989,107.93 | $ 28,066,557.96 | $ -77,450.03 | | $ 614,951.82 | | 94.8% |

# Asset detail

## Fixed income

### Taxable

Pooled vehicle

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 5,076 | ISHARES Iboxx $ Investment Grade Corporate Bond Fund Cusip: 464287242 | $ 114.1880 | $ 579,618.29 | $ 605,005.86 | $ -25,387.57 | $ 119.189 | $ 22,212.58 | 3.8% | 2.3% |
| 6,509 | ISHARES Iboxx $ High Yield Corporate Bond Fund Cusip: 464288513 | 92.8800 | 604,555.92 | 614,363.68 | -9,807.76 | 94.387 | 36,879.99 | 6.1 | 2.4 |
| Total taxable pooled vehicle | | | $ 1,184,174.21 | $ 1,219,369.54 | $ -35,195.33 | | $ 59,092.57 | | 4.8% |
| Total taxable fixed income | | | $ 1,184,174.21 | $ 1,219,369.54 | $ -35,195.33 | | $ 59,092.57 | | 4.8% |
| Total fixed income | | | $ 1,184,174.21 | $ 1,219,369.54 | $ -35,195.33 | | $ 59,092.57 | | 4.8% |

# Equities

## U.S. large cap

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 23,011 | AT&T Inc ( T ) | $ 35.1600 | $ 809,066.76 | $ 838,785.47 | $ -29,718.71 | $ 36.451 | $ 42,340.24 | 5.2% | 3.3% |
| 5,827 | Abbvie Inc. ( ABBV ) | 52.8100 | 307,723.87 | 225,936.10 | 81,787.77 | 38.774 | 9,323.20 | 3.0 | 1.2 |
| 33,517 | Altria Group Inc ( MO ) | 38.3900 | 1,286,717.63 | 1,138,502.10 | 148,215.53 | 33.968 | 64,352.64 | 5.0 | 5.2 |
| 8,605 | Bristol-Myers Squibb Company ( BMY ) | 53.1500 | 457,355.75 | 346,961.34 | 110,394.41 | 40.321 | 12,391.20 | 2.7 | 1.8 |
| 7,140 | Campbell Soup Co ( CPB ) | 43.2800 | 309,019.20 | 292,362.09 | 16,657.11 | 40.947 | 8,910.72 | 2.9 | 1.2 |
| 22,951 | Centerpoint Energy Inc ( CNP ) | 23.1800 | 532,004.18 | 540,622.28 | -8,618.10 | 23.555 | 19,049.33 | 3.6 | 2.1 |
| 6,003 | Chevron Corporation ( CVX ) | 124.9100 | 749,834.73 | 726,849.40 | 22,985.33 | 121.081 | 24,012.00 | 3.2 | 3.0 |
| 10,847 | Cisco Systems Inc ( CSCO ) | 22.4300 | 243,298.21 | 226,471.26 | 16,826.95 | 20.879 | 7,375.96 | 3.0 | 1.0 |
| 6,967 | Coca - Cola Co ( KO ) | 41.3100 | 287,806.77 | 279,573.87 | 8,232.90 | 40.128 | 7,803.04 | 2.7 | 1.2 |
| 7,340 | Conagra Inc ( CAG ) | 33.7000 | 247,358.00 | 257,996.60 | -10,638.60 | 35.149 | 7,340.00 | 3.0 | 1.0 |
| 10,353 | Conocophillips ( COP ) | 70.6500 | 731,439.45 | 637,948.16 | 93,491.29 | 61.620 | 28,574.28 | 3.9 | 2.9 |
| 6,174 | Dominion Res Inc VA New ( D ) | 64.6900 | 399,396.06 | 351,072.17 | 48,323.89 | 56.863 | 13,891.50 | 3.5 | 1.6 |
| 9,414 | Dow Chemical Co ( DOW ) | 44.4000 | 417,981.60 | 307,952.65 | 110,028.95 | 32.712 | 12,049.92 | 2.9 | 1.7 |
| 4,819 | Dr Pepper Snapple Group Inc ( DPS ) | 48.7200 | 234,781.68 | 223,375.11 | 11,406.57 | 46.353 | 7,324.88 | 3.1 | 0.9 |
| 4,575 | DU Pont (E I) De Nemours And ( DD ) Company | 64.9700 | 297,237.75 | 226,202.18 | 71,035.57 | 49.443 | 8,235.00 | 2.8 | 1.2 |
| 9,551.3977 | Duke Energy Corporation ( DUK ) | 69.0100 | 659,141.96 | 673,346.55 | -14,204.59 | 70.497 | 29,800.36 | 4.5 | 2.7 |
| 3,036 | Exxon Mobil Corp ( XOM ) | 101.2000 | 307,243.20 | 270,556.18 | 36,687.02 | 89.116 | 7,650.72 | 2.5 | 1.2 |
| 26,771 | General Electric Company ( GE ) | 28.0300 | 750,391.13 | 633,582.83 | 116,808.30 | 23.667 | 23,558.48 | 3.1 | 3.0 |
| 3,369 | Genuine Parts Co ( GPC ) | 83.1900 | 280,267.11 | 259,710.82 | 20,556.29 | 77.088 | 7,243.35 | 2.6 | 1.1 |
| 6,462 | Glaxo Smithkline PLC Spons ADR ( GSK ) | 53.3900 | 345,006.18 | 300,943.74 | 44,062.44 | 46.571 | 15,566.96 | 4.5 | 1.4 |
| 16,384 | Intel Corp ( INTC ) | 25.9550 | 425,246.72 | 348,595.81 | 76,650.91 | 21.277 | 14,745.60 | 3.5 | 1.7 |
| 5,281 | International Paper Co ( IP ) | 49.0300 | 258,927.43 | 238,923.00 | 20,004.43 | 45.242 | 7,393.40 | 2.9 | 1.0 |
| 6,719 | JP Morgan Chase & Co ( JPM ) | 58.4800 | 392,927.12 | 327,842.18 | 65,084.94 | 48.793 | 10,212.88 | 2.6 | 1.6 |
| 2,853 | Johnson & Johnson ( JNJ ) | 91.5900 | 261,306.27 | 227,268.55 | 34,037.72 | 79.659 | 7,531.92 | 2.9 | 1.1 |
| 3,554 | Kimberly Clark Corp ( KMB ) | 104.4600 | 371,250.84 | 339,794.03 | 31,456.81 | 95.609 | 11,514.96 | 3.1 | 1.5 |

ATTACHMENT 6C

# Equities

## U.S. large cap

continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 5,877.6666 | Kraft Foods Group, Inc. ( KRFT ) | 53.9100 | 316,865.01 | 304,115.96 | 12,749.05 | 51.741 | 12,343.10 | 3.9 | 1.3 |
| 8,165 | Lilly Eli & Co ( LLY ) | 51.0000 | 416,415.00 | 454,002.58 | -37,587.58 | 55.603 | 16,003.40 | 3.8 | 1.7 |
| 1,954 | Lockheed Martin Corp ( LMT ) | 148.6600 | 290,481.64 | 180,327.24 | 110,154.40 | 92.286 | 10,395.28 | 3.6 | 1.2 |
| 5,039 | Lorillard Inc ( LO ) | 50.6800 | 255,376.52 | 239,334.86 | 16,041.66 | 47.496 | 11,085.80 | 4.3 | 1.0 |
| 3,771 | Mc Donald's Corporation ( MCD ) | 97.0300 | 365,900.13 | 369,212.45 | -3,312.32 | 97.908 | 12,218.04 | 3.3 | 1.5 |
| 7,314 | Merck & Co Inc ( MRK ) | 50.0500 | 366,065.70 | 325,043.17 | 41,022.53 | 44.441 | 12,872.64 | 3.5 | 1.5 |
| 10,106 | Microsoft Corporation ( MSFT ) | 37.4100 | 378,065.46 | 285,225.68 | 92,839.78 | 28.223 | 11,318.72 | 3.0 | 1.5 |
| 19,642 | Pfizer Inc ( PFE ) | 30.6300 | 601,634.46 | 557,331.93 | 44,302.53 | 28.374 | 20,427.68 | 3.4 | 2.4 |
| 8,622 | Philip Morris International Inc ( PM ) | 87.1300 | 751,234.86 | 790,293.38 | -39,058.52 | 91.660 | 32,418.72 | 4.3 | 3.0 |
| 6,015 | The Procter & Gamble Company ( PG ) | 81.4100 | 489,681.15 | 470,116.77 | 19,564.38 | 78.157 | 14,472.09 | 3.0 | 2.0 |
| 7,145 | Republic Svcs Inc Cl A ( RSG ) | 33.2000 | 237,214.00 | 244,476.18 | -7,262.18 | 34.216 | 7,430.80 | 3.1 | 1.0 |
| 20,441 | Reynolds American Inc ( RAI ) | 49.9900 | 1,021,845.59 | 891,427.92 | 130,417.67 | 43.610 | 51,511.32 | 5.0 | 4.1 |
| 6,922 | Sysco Corp ( SYY ) | 36.1000 | 249,884.20 | 241,617.95 | 8,266.25 | 34.906 | 8,029.52 | 3.2 | 1.0 |
| 6,337 | Texas Instruments Inc ( TXN ) | 43.9100 | 278,257.67 | 218,722.82 | 59,534.85 | 34.515 | 7,604.40 | 2.7 | 1.1 |
| 2,187 | Time Warner Cable Inc ( TWC ) | 135.5000 | 296,338.50 | 209,282.56 | 87,055.94 | 95.694 | 5,686.20 | 1.9 | 1.2 |
| 2,696 | United Parcel Service Cl B ( UPS ) | 105.0800 | 283,295.68 | 236,668.36 | 46,627.32 | 87.785 | 6,686.08 | 2.4 | 1.1 |
| 18,774 | Verizon Communications Inc ( VZ ) | 49.1400 | 922,554.36 | 920,947.31 | 1,607.05 | 49.054 | 39,800.88 | 4.3 | 3.7 |
| 4,780 | Wal Mart Stores Inc ( WMT ) | 78.6900 | 376,138.20 | 352,746.56 | 23,391.64 | 73.796 | 8,986.40 | 2.4 | 1.5 |
| 5,775 | Waste Management Inc ( WM ) | 44.8700 | 259,124.25 | 234,173.94 | 24,950.31 | 40.550 | 8,431.50 | 3.3 | 1.0 |
| 8,018 | Wells Fargo & Company ( WFC ) | 45.4000 | 364,017.20 | 307,118.26 | 56,898.94 | 38.304 | 9,621.60 | 2.6 | 1.5 |
| 6,979 | Williams Cos Inc ( WMB ) | 38.5700 | 269,180.03 | 234,079.15 | 35,100.88 | 33.540 | 10,608.08 | 3.9 | 1.1 |
| Total U.S. large cap | | | $ 20,152,299.21 | $ 18,307,439.50 | $ 1,844,859.71 | | $ 726,144.79 | | 81.0% |

ATTACHMENT 6C

## U.S. mid cap

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 7,686 | Agl Resources Inc ( GAS ) | $ 47.2300 | $ 363,009.78 | $ 360,137.61 | $ 2,872.17 | $ 46.856 | $ 14,449.68 | 4.0% | 1.5% |
| 5,554 | Hasbro Inc ( HAS ) | 55.0100 | 305,525.54 | 241,310.75 | 64,214.79 | 43.448 | 8,886.40 | 2.9 | 1.2 |
| 7,122 | Meadwestvaco Corp ( MWV ) | 36.9300 | 263,015.46 | 261,836.06 | 1,179.40 | 36.764 | 7,122.00 | 2.7 | 1.1 |
| 16,615 | People's United Financial In ( PBCT ) | 15.1200 | 251,218.80 | 246,942.10 | 4,276.70 | 14.863 | 10,799.75 | 4.3 | 1.0 |
| 6,588 | Sonoco Products Co ( SON ) | 41.7200 | 274,851.36 | 226,417.70 | 48,433.66 | 34.368 | 8,169.12 | 3.0 | 1.1 |
| Total U.S. mid cap | | | $ 1,457,620.94 | $ 1,336,644.22 | $ 120,976.72 | | $ 49,426.95 | | 5.9% |

## Developed international

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 5,025 | Seadrill Ltd ( SDRL ) | $ 41.0800 | $ 206,427.00 | $ 230,736.44 | $ -24,309.44 | $ 45.918 | $ 19,095.00 | 9.3% | 0.8% |
| 2,914 | Canadian Imperial Bank Of Commerce ( CM ) | 85.4100 | 248,884.74 | 231,485.65 | 17,399.09 | 79.439 | 10,481.66 | 4.2 | 1.0 |
| 8,486 | Royal Dutch Shell PLC-ADR B ( RDS.B ) Sponsored ADR | 75.1100 | 637,383.46 | 573,749.49 | 63,633.97 | 67.611 | 30,549.60 | 4.8 | 2.6 |
| Total developed international | | | $ 1,092,695.20 | $ 1,035,971.58 | $ 56,723.62 | | $ 60,126.26 | | 4.4% |

## Other equity

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 14,042 | ISHARES S&P U.S. Preferred Stock ( PFF ) Index Fund | $ 36.8300 | $ 517,166.86 | $ 568,817.23 | $ -51,650.37 | $ 40.508 | $ 34,150.14 | 6.6% | 2.1% |
| Total other equity | | | $ 517,166.86 | $ 568,817.23 | $ -51,650.37 | | $ 34,150.14 | | 2.1% |
| Total equities | | | $ 23,219,782.21 | $ 21,248,872.53 | $ 1,970,909.68 | | $ 869,848.14 | | 93.3% |
| Total assets | | | 24,403,956 | 22,468,242 | | | | | |

ATTACHMENT 6C

# Asset detail

## Fixed income

### Taxable

Individual securities Treasury

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 249,000 | United States Treasury Note<br>DTD 5/15/2013 2.875% 5/15/2043<br>Cusip: 912810RB6 Moody's: AAA S&P: AA+ | $ 81.0470 | $ 201,807.03 | $ 205,259.51 | $ -3,452.48 | $ 82.430 | $ 7,158.75 | 3.6% | 1.0% |

Individual securities Corporate

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 125,000 | Goldman Sachs Group Inc<br>DTD 1/18/2008 5.95% 1/18/2018<br>Cusip: 38141GFG4 Moody's: BAA1 S&P: A- | $ 113.6940 | $ 142,117.50 | $ 146,356.25 | $ -4,238.75 | $ 117.090 | $ 7,437.50 | 5.2% | 0.7% |
| 150,000 | Morgan Stanley<br>DTD 4/1/2008 6.625% 4/1/2018<br>Cusip: 6174466Q7 Moody's: BAA2 S&P: A- | 117.0090 | 175,513.50 | 179,692.50 | -4,179.00 | 119.800 | 9,937.50 | 5.7 | 0.8 |
| 140,000 | Ameren Illinois Co<br>DTD 10/23/2008 9.75% 11/15/2018<br>Cusip: 02361DAG5 Moody's: A3 S&P: A | 132.1260 | 184,976.40 | 197,625.40 | -12,649.00 | 141.160 | 13,650.00 | 7.4 | 0.9 |

Individual securities Corporate
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 78,000 | Valero Energy Corp<br>DTD 3/17/2009 9.375% 3/15/2019<br>Cusip: 91913YAN0 Moody's: BAA2 S&P: BBB | 128.8780 | 100,524.84 | 106,417.02 | -5,892.18 | 136.430 | 7,312.50 | 7.3 | 0.5 |
| 62,000 | Simon Property Group LP<br>DTD 3/25/2009 10.35% 4/1/2019<br>Cusip. 828807CA3 Moody's: A2 S&P. A | 135.3170 | 83,896.54 | 89,806.54 | -5,910.00 | 144.850 | 6,417.00 | 7.7 | 0.4 |
| 165,000 | Aflac Inc<br>DTD 5/21/2009 8.50% 5/15/2019<br>Cusip: 001055AC6 Moody's: A3 S&P: A- | 127.7200 | 210,738.00 | 223,850.55 | -13,112.55 | 135.670 | 14,025.00 | 6.7 | 1.0 |
| 175,000 | Duke Energy Corp<br>DTD 8/28/2009 5.05% 9/15/2019<br>Cusip: 26441CAD7 Moody's: BAA1 S&P: BBB | 111.0160 | 194,278.00 | 205,189.25 | -10,911.25 | 117.250 | 8,837.50 | 4.6 | 0.9 |
| 180,000 | H C P Inc<br>DTD 11/19/2012 2.625% 2/1/2020<br>Cusip: 40414LAH2 Moody's: BAA1 S&P: BBB+ | 95.3190 | 171,574.20 | 171,633.60 | -59.40 | 95.350 | 4,725.00 | 2.8 | 0.8 |
| 150,000 | Pride International Inc<br>DTD 8/6/2010 6.875% 8/15/2020<br>Cusip: 74153QAH5 Moody's: BAA1 S&P: BBB+ | 119.7380 | 179,607.00 | 189,610.50 | -10,003.50 | 126.410 | 10,312.50 | 5.7 | 0.9 |
| 200,000 | Exelon Generation Co LLC<br>DTD 9/30/2010 4% 10/1/2020<br>Cusip: 30161MAH6 Moody's: BAA2 S&P: BBB | 99.9610 | 199,922.00 | 211,132.00 | -11,210.00 | 105.570 | 8,000.00 | 4.0 | 1.0 |
| 240,000 | Celgene Corp<br>DTD 10/7/2010 3.95% 10/15/2020<br>Cusip: 151020AE4 Moody's: BAA2 S&P: BBB+ | 103.5740 | 248,577.60 | 261,446.40 | -12,868.80 | 108.940 | 9,480.00 | 3.8 | 1.2 |
| 111,000 | Statoil Asa<br>DTD 11/08/2013 2.9% 11/08/2020<br>Cusip: 85771PAP7 Moody's: AA2 S&P: AA- | 99.3460 | 110,274.06 | 110,972.25 | -698.19 | 99.980 | 3,219.00 | 2.9 | 0.5 |
| 175,000 | HSBC Holdings PLC<br>DTD 4/5/2011 5.1% 4/5/2021<br>Cusip: 404280AK5 Moody's: AA3 S&P: A+ | 111.1450 | 194,503.75 | 202,875.75 | -8,372.00 | 115.930 | 8,925.00 | 4.6 | 0.9 |
| 245,000 | Boston Properties LP<br>DTD 11/18/2010 4.125% 5/15/2021<br>Cusip: 10112RAS3 Moody's: BAA2 S&P: A- | 102.1590 | 250,289.55 | 271,028.56 | -20,739.01 | 110.620 | 10,106.25 | 4.0 | 1.2 |

ATTACHMENT 6D

Individual securities Corporate
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 105,000 | Rabobank Nederland Utrec<br>DTD 2/8/2012 3.875% 2/8/2022<br>Cusip. 21685WDD6 Moody's: AA2 S&P. AA- | 100.5450 | 105,572.25 | 111,232.80 | -5,660.55 | 105.940 | 4,068.75 | 3.9 | 0.5 |
| 100,000 | Enterprise Products Oper<br>DTD 8/24/2011 4.05% 2/15/2022<br>Cusip: 29379VAU7 Moody's: BAA1 S&P: BBB+ | 101.3390 | 101,339.00 | 109,166.00 | -7,827.00 | 109.170 | 4,050.00 | 4.0 | 0.5 |
| 175,000 | Freeport-McMoran C & G<br>DTD 2/13/2012 3.55% 3/1/2022<br>Cusip: 35671DAU9 Moody's: BAA3 S&P: BBB | 95.0400 | 166,320.00 | 174,216.00 | -7,896.00 | 99.550 | 6,212.50 | 3.7 | 0.8 |
| 98,000 | Host Hotels & Resorts<br>DTD 9/15/2012 5.25% 3/15/2022<br>Cusip: 44107TAS5 Moody's: BAA3 S&P: BBB- | 104.2460 | 102,161.08 | 106,866.44 | -4,705.36 | 109.050 | 5,145.00 | 5.0 | 0.5 |
| 212,000 | Ericsson LM<br>DTD 5/9/2012 4.125% 5/15/2022<br>Cusip: 294829AA4 Moody's: A3 S&P: BBB+ | 97.1970 | 206,057.64 | 219,818.56 | -13,760.92 | 103.690 | 8,745.00 | 4.2 | 1.0 |
| 200,000 | Kinder Morgan Ener Part<br>DTD 3/14/2012 3.95% 9/1/2022<br>Cusip: 494550BL9 Moody's: BAA2 S&P: BBB | 97.4460 | 194,892.00 | 197,442.00 | -2,550.00 | 98.720 | 7,900.00 | 4.1 | 0.9 |
| 100,000 | Province Of Quebec<br>DTD 1/30/1996 6.35% 1/30/2026<br>Cusip: 74815HBZ4 Moody's: N/A S&P: A+ | 120.5650 | 120,565.00 | 125,340.00 | -4,775.00 | 125.340 | 6,350.00 | 5.3 | 0.6 |
| 100,000 | First Union Corp Sub NT<br>DTD 8/1/1996 Step Cpn 8/1/2026<br>Cpn Rt=6.824% To 8/2006 Thereafter<br>7.574%<br>Cusip: 337358BH7 Moody's: A3 S&P: A | 123.1160 | 123,116.00 | 139,705.00 | -16,589.00 | 139.710 | 7,574.00 | 6.2 | 0.6 |
| 106,000 | Ford Holdings Inc<br>DTD 3/1/1998 9.3% 3/1/2030<br>Cusip: 345277AE7 Moody's: BAA3 S&P: BBB- | 135.8000 | 143,948.00 | 150,067.78 | -6,119.78 | 141.570 | 9,858.00 | 6.9 | 0.7 |
| 100,000 | Deutsche Telekom INT Fin<br>DTD 5/29/2002 9.25% 6/1/2032<br>Cusip: 25156PAD5 Moody's: BAA1 S&P: BBB+ | 148.1530 | 148,153.00 | 155,756.00 | -7,603.00 | 155.760 | 9,250.00 | 6.2 | 0.7 |
| 125,000 | Comcast Corp<br>DTD 1/14/2013 4.25% 1/15/2033<br>Cusip: 20030NBH3 Moody's: A3 S&P: A- | 92.8920 | 116,115.00 | 125,460.00 | -9,345.00 | 100.370 | 5,312.50 | 4.6 | 0.6 |

ATTACHMENT 6D

Individual securities Corporate
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 225,000 | Dominion Resources Inc<br>DTD 7/24/03 5.25% 8/1/2033<br>Cusip: 257469AJ5 Moody's: BAA2 S&P: BBB+ | 105.4730 | 237,314.25 | 256,211.50 | -18,897.25 | 113.870 | 11,812.50 | 5.0 | 1.1 |
| 255,000 | Verizon Communications<br>DTD 9/18/2013 6.4% 9/15/2033<br>Cusip. 92343VBS2 Moody's: BAA1 S&P: BBB+ | 115.0120 | 293,280.60 | 255,724.88 | 37,555.72 | 100.280 | 16,320.00 | 5.6 | 1.4 |
| 95,000 | Midamerican Energy Hldgs<br>DTD 10/1/2006 6.125% 4/1/2036<br>Cusip: 59562VAM9 Moody's: BAA1 S&P: BBB+ | 113.6060 | 107,925.70 | 106,381.50 | 1,544.20 | 111.980 | 5,818.75 | 5.4 | 0.5 |
| 446,000 | Anadarko Petroleum Corp<br>DTD 8/19/2009 Mat 10/10/2036<br>Cusip: 032511BB2 Moody's: BAA3 S&P: N/R | 35.9660 | 160,408.36 | 157,215.00 | 3,193.36 | 35.250 | 7,359.73 | 4.6 | 0.8 |
| 200,000 | Lowe's Companies Inc<br>DTD 5/15/1997 7.11% 5/15/2037<br>Cusip: 54866NBJ7 Moody's: A3 S&P: A- | 123.3890 | 246,778.00 | 266,726.00 | -19,948.00 | 133.360 | 14,220.00 | 5.8 | 1.2 |
| 166,000 | Wal-Mart Stroes Inc<br>DTD 8/24/2007 6.5% 8/15/2037<br>Cusip: 931142CK7 Moody's: AA2 S&P: AA | 125.0930 | 207,654.38 | 220,881.26 | -13,226.88 | 133.060 | 10,790.00 | 5.2 | 1.0 |
| 240,000 | General Elec Cap Corp<br>DTD 1/14/2008 5.875% 1/14/2038<br>Cusip: 36962G3P7 Moody's: A1 S&P: AA+ | 113.9110 | 273,386.40 | 267,541.20 | 5,845.20 | 111.480 | 14,100.00 | 5.2 | 1.3 |
| 115,000 | Oracle Corp<br>DTD 4/9/2008 6.5% 4/15/2038<br>Cusip: 68389XAE5 Moody's: A1 S&P: A+ | 121.8350 | 140,110.25 | 153,562.95 | -13,452.70 | 133.530 | 7,475.00 | 5.3 | 0.7 |
| 125,000 | Comcast Corp<br>DTD 5/7/2008 6.4% 5/15/2038<br>Cusip: 20030NAX9 Moody's: A3 S&P: A- | 115.4750 | 144,343.75 | 156,541.25 | -12,197.50 | 125.230 | 8,000.00 | 5.5 | 0.7 |
| 65,000 | Simon Property Group LP<br>DTD 1/25/2010 6.75% 2/1/2040<br>Cusip: 828807CE5 Moody's: A2 S&P: A | 125.4270 | 81,527.55 | 87,855.30 | -6,327.75 | 135.160 | 4,387.50 | 5.4 | 0.4 |
| 45,000 | News America Inc<br>DTD 8/15/2011 6.15% 2/15/2041<br>Cusip: 652482CE8 Moody's: BAA1 S&P: BBB+ | 111.4520 | 50,153.40 | 54,396.45 | -4,243.05 | 120.880 | 2,767.50 | 5.5 | 0.2 |

ATTACHMENT 6D

Individual securities Corporate
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 170,000 | Phillips 66<br>DTD 11/1/2012 5.875% 5/1/2042<br>Cusip. 718546AH7 Moody's: BAA1 S&P. BBB | 108.4550 | 184,373.50 | 191,673.80 | -7,300.30 | 112.750 | 9,987.50 | 5.4 | 0.9 |

Individual securities Mortgage backed securities

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 452,627.49 | Federal National Mortgage Assn<br>Passthru CTF Pool Number Ad0825<br>DTD 3/1/2010 4.589% 2/1/2020<br>Cusip: 31418M4K5 Moody's: N/A S&P: N/A | $ 111.8260 | $ 506,155.22 | $ 526,745.25 | $ -20,590.03 | $ 116.380 | $ 20,707.71 | 4.1% | 2.4% |
| 102,050.43 | Federal National Mortgage Assn<br>Passthru CTF Pool Number Al3289<br>DTD 3/1/2013 5% 3/1/2025<br>Cusip: 3138EKUP8 Moody's: N/A S&P: N/A | 107.0740 | 109,269.48 | 109,863.66 | -594.18 | 107.660 | 5,102.52 | 4.7 | 0.5 |
| 248,535.11 | Federal National Mortgage Assn<br>Passthru CTF Pool Number Aj9355<br>DTD 1/1/2012 3% 1/1/2027<br>Cusip: 3138E2MD4 Moody's: N/A S&P: N/A | 102.1610 | 253,905.95 | 259,292.02 | -5,386.07 | 104.330 | 7,456.05 | 2.9 | 1.2 |
| 353,803.15 | Federal National Mortgage Assn<br>Passthru CTF Pool Number Ab4078<br>DTD 11/1/2011 4% 12/1/2031<br>Cusip: 31417AQ85 Moody's: N/A S&P: N/A | 104.0770 | 368,227.70 | 379,564.43 | -11,336.73 | 107.280 | 14,152.13 | 3.8 | 1.8 |
| 506,629.10 | Federal National Mortgage Assn<br>Passthru CTF Pool Number MA1527<br>DTD 7/1/2013 3% 8/1/2033<br>Cusip: 31418AVV7 Moody's: N/A S&P: N/A | 98.5270 | 499,166.45 | 507,189.50 | -8,023.05 | 100.110 | 15,198.87 | 3.0 | 2.4 |
| 167,459.79 | Federal National Mortgage Assn<br>Passthru CTF Pool Number MA1561<br>DTD 8/1/2013 3% 9/1/2033<br>Cusip: 31418AWX2 Moody's: N/A S&P: N/A | 98.5260 | 164,991.43 | 165,000.22 | -8.79 | 98.530 | 5,023.79 | 3.0 | 0.8 |
| 307,832.67 | Federal National Mortgage Assn<br>Passthru CTF Pool Number 254903<br>DTD 9/1/2003 5% 10/1/2033<br>Cusip: 31371LDG1 Moody's: N/A S&P: N/A | 108.8740 | 335,149.74 | 334,864.23 | 285.51 | 108.780 | 15,391.63 | 4.6 | 1.6 |

Individual securities Mortgage backed securities
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 223,960.46 | Federal National Mortgage Assn REMIC Passthru CTF DTD 9/1/2005 5% 3/25/2034 Series 2005-86 Class Wd Cusip. 31394UCZ3 Moody's: N/A S&P: N/A | 102.5660 | 229,707.29 | 230,679.28 | -971.99 | 103.000 | 11,198.02 | 4.9 | 1.1 |
| 448,467.50 | Federal National Mortgage Assn Passthru CTF Pool Number 725964 DTD 10/1/2004 Fltg Rate 10/1/2034 Cusip: 31402DQR4 Moody's: N/A S&P: N/A | 106.1270 | 475,945.10 | 479,579.93 | -3,634.83 | 106.940 | 10,440.32 | 2.2 | 2.3 |
| 240,718.50 | Federal National Mortgage Assn Passthru CTF Pool Number 815979 DTD 3/1/2005 5.5% 3/1/2035 Cusip: 31406PQ85 Moody's: N/A S&P: N/A | 109.8650 | 264,465.38 | 262,834.51 | 1,630.87 | 109.190 | 13,239.52 | 5.0 | 1.3 |
| 460,734.12 | Federal National Mortgage Assn Passthru CTF Pool Number 995203 DTD 12/1/2008 5% 7/1/2035 Cusip: 31416BRY6 Moody's: N/A S&P: N/A | 108.6870 | 500,758.09 | 501,336.31 | -578.22 | 108.810 | 23,036.71 | 4.6 | 2.4 |
| 158,000.65 | Federal Home Loan Mortgage Corp Passthru CTF Pool Number 848768 DTD 4/1/2012 Fltg Rate 12/1/2035 Cusip: 31300LW50 Moody's: N/A S&P: N/A | 107.3190 | 169,564.72 | 168,246.02 | 1,318.70 | 106.480 | 3,752.52 | 2.2 | 0.8 |
| 221,326.47 | Federal National Mortgage Assn Passthru CTF Pool Number Ab4438 DTD 01/01/2012 3.5% 02/01/2042 Cusip: 31417A4Y2 Moody's: N/A S&P: N/A | 99.4720 | 220,157.87 | 224,923.03 | -4,765.16 | 101.630 | 7,746.43 | 3.5 | 1.1 |
| 205,084.84 | Federal National Mortgage Assn REMIC Passthru CTF DTD 5/1/2013 1.25% 6/25/2043 Series 2013-52 Class MD Cusip: 3136AEJ24 Moody's: N/A S&P: N/A | 95.4210 | 195,694.01 | 205,214.51 | -9,520.50 | 100.060 | 2,563.56 | 1.3 | 0.9 |
| 263,793.55 | Federal National Mortgage Assn Passthru CTF Pool Number AU3751 DTD 08/01/2013 4% 08/01/2043 Cusip: 3138X3EZ1 Moody's: N/A S&P: N/A | 103.0700 | 271,892.01 | 277,045.06 | -5,153.05 | 105.020 | 10,551.74 | 3.9 | 1.3 |

Individual securities Mortgage backed securities
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 324,213.74 | Federal National Mortgage Assn Passthru CTF Pool Number As0657 DTD 9/1/2013 4% 10/1/2043 Cusip: 3138W9WT3 Moody's: N/A S&P: N/A | 103.0370 | 334,060.11 | 338,927.69 | -4,867.58 | 104.540 | 12,968.55 | 3.9 | 1.6 |

Individual securities Asset backed securities

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 225,000 | Ccg Receivables Trust Passthru DTD 4/24/2013 1.05% 4/14/2020 Series 2013-1 Class A2 Cusip: 14985MAB7 Moody's: N/A S&P: AAA | $ 100.0300 | $ 225,067.50 | $ 224,993.18 | $ 74.32 | $ 100.000 | $ 2,362.50 | 1.1% | 1.1% |
| 440,151.63 | Small Business Administration Participation Passthru CTF DTD 10/17/2007 5.57% 10/1/2027 Series 2007-20J Class 1 Cusip: 83162CRH8 Moody's: N/A S&P: N/A | 109.8790 | 483,634.21 | 508,048.45 | -24,414.24 | 115.430 | 24,516.45 | 5.1 | 2.3 |
| 412,397.43 | Small Business Administration Participant Passthru CTF DTD 11/14/2007 5.51% 11/1/2027 Series 2007-20K Class 1 Cusip: 83162CRK1 Moody's: N/A S&P: N/A | 109.5938 | 451,962.01 | 475,300.31 | -23,338.30 | 115.250 | 22,723.10 | 5.0 | 2.2 |
| 432,754.11 | Small Business Administration Particip Passthru CTF DTD 5/14/2008 5.49% 5/1/2028 Series 2008-20E Class 1 Cusip: 83162CRU9 Moody's: N/R S&P: N/R | 109.5625 | 474,136.22 | 497,495.35 | -23,359.13 | 114.960 | 23,758.20 | 5.0 | 2.3 |
| 283,019.47 | CVS Pass-Through Trust DTD 6/10/2009 6.036% 12/10/2028 Cusip: 126650BP4 Moody's: BAA1 S&P: BBB+ | 110.0110 | 311,352.55 | 339,278.08 | -27,925.53 | 119.880 | 17,083.06 | 5.5 | 1.5 |
| 425,548.43 | Small Business Administration Particip Passthru CTF DTD 2/11/2009 4.76% 2/1/2029 Series 2009-20B Class 1 Cusip: 83162CSH7 Moody's: N/A S&P: N/A | 107.6563 | 458,129.69 | 482,465.53 | -24,335.84 | 113.380 | 20,256.11 | 4.4 | 2.2 |

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Individual securities Asset backed securities continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 254,614.66 | Small Business Administration Participation Passthru CTF DTD 3/13/2013 2.22% 3/1/2033 Series 2013-20C Class 1 Cusip: 83162CVK6 Moody's: N/R S&P: N/R | 93.3750 | 237,746.44 | 235,359.42 | 2,387.02 | 92.440 | 5,652.45 | 2.4 | 1.1 |
| 125,000 | Small Business Administration Particip Passthru CTF DTD 12/11/2013 1.52% 12/1/2033 Series 2013-20L Class 1 Cusip: 83162CVY6 Moody's: N/R S&P: N/R | 99.1328 | 123,916.00 | 125,000.00 | -1,084.00 | 100.000 | 4,225.00 | 3.4 | 0.6 |

Individual securities Other

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 97,000 | FHLMC Multifamily Structured Pass Through Certificates Passthru CTF DTD 3/1/2011 3.882% 11/25/2017 Series K701 Class A2 Cusip: 3137A7JU5 Moody's: AAA S&P: AA+ | $ 107.6290 | $ 104,400.13 | $ 104,691.80 | $ -291.67 | $ 107.930 | $ 3,765.54 | 3.6% | 0.5% |
| 100,000 | New Jersey ST Econ Dev Auth Lease Revenue DTD 6/30/1997 0% 2/15/2018 Ser B Cusip: 645913AW4 Moody's: A1 S&P: AA- | 87.4410 | 87,441.00 | 87,870.98 | -429.98 | 87.870 | 2,779.30 | 3.2 | 0.4 |
| 172,000 | New Jersey ST Econ Dev Auth Lease Revenue DTD 6/30/1997 0% 2/15/2019 Ser B Cusip: 645913AX2 Moody's: A1 S&P: AA- | 83.3500 | 143,362.00 | 149,347.93 | -5,985.93 | 86.830 | 4,118.78 | 2.9 | 0.7 |
| 110,000 | Federal National Mortgage Assn Passthru CTF DTD 4/1/2010 4.332% 3/25/2020 Series 2010-M3 Class A3 Cusip: 31398M6U5 Moody's: N/A S&P: N/A | 109.0430 | 119,947.30 | 119,831.25 | 116.05 | 108.940 | 4,765.20 | 4.0 | 0.6 |
| 265,029.94 | Delta Air Lines 2012-1A DTD 7/3/2012 4.75% 5/7/2020 Cusip: 247358AA2 Moody's: BAA1 S&P: A+ | 107.0000 | 283,582.04 | 289,213.92 | -5,631.88 | 109.130 | 12,588.92 | 4.4 | 1.4 |

Individual securities Other
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 225,000 | Federal National Mortgage Assn Passthru CTF DTD 11/01/2011 2.922% 08/25/2021 Series 2011-M8 Class A2 Cusip: 3136A16X8 Moody's: N/A S&P: N/A | 98.6310 | 221,919.75 | 225,237.30 | -3,317.55 | 100.110 | 6,574.50 | 3.0 | 1.1 |
| 211,659.04 | SW Airlines 07-1 Trust Passthru CTF DTD 10/3/2007 6.15% 8/1/2022 Series 07-1 Cusip: 84474YAA4 Moody's: A3 S&P: A- | 114.5000 | 242,349.60 | 250,784.21 | -8,434.61 | 118.480 | 13,017.03 | 5.4 | 1.2 |
| 253,601.57 | Contl Airlines 2012-1 DTD 3/22/2012 4.15% 4/11/2024 Cusip: 210795PZ7 Moody's: BAA2 S&P: A- | 100.5000 | 254,869.58 | 266,281.65 | -11,412.07 | 105.000 | 10,524.47 | 4.1 | 1.2 |
| 150,000 | US Airways 2013-1A Ptt DTD 4/24/2013 3.95% 11/15/2025 Cusip: 90346WAA1 Moody's: BAA1 S&P: A- | 97.2500 | 145,875.00 | 150,000.00 | -4,125.00 | 100.000 | 5,925.00 | 4.1 | 0.7 |
| 163,000 | Invitation Homes Trust Passthru CTF DTD 11/19/2013 Fltg Rate 12/17/2030 Series 2013-Sfr1 Class A Cusip: 46186NAA6 Moody's: AAA S&P: N/A | 100.1310 | 163,213.53 | 163,000.00 | 213.53 | 100.000 | 2,141.82 | 1.3 | 0.8 |
| 200,000 | Greenwich Capital Commercial Funding Corp Passthru CTF DTD 11/1/2005 5.224% 4/10/2037 Series 2005-Gg5 Class A5 Cusip: 396789LL1 Moody's: AA2 S&P: AAA | 105.4580 | 210,916.00 | 218,437.50 | -7,521.50 | 109.220 | 10,448.00 | 5.0 | 1.0 |
| 485,000 | Merrill Lynch Mortgage Trust Passthru CTF DTD 8/1/2005 Fltg Rate 7/12/2038 Series 2005-Cip1 Class A4 Cusip: 59022HJL7 Moody's: AAA S&P: N/A | 105.5180 | 511,762.30 | 527,740.63 | -15,978.33 | 108.810 | 24,477.95 | 4.8 | 2.4 |
| 55,000 | Chicago Ill Met Wtr Reclamation Dist Gtr Chicago DTD 8/26/2009 5.72% 12/1/2038 Build America Bonds-Txbl-Direct Payment Cusip: 167560PL9 Moody's: AA1 S&P: AAA | 108.5370 | 59,695.35 | 68,750.00 | -9,054.65 | 125.000 | 3,146.00 | 5.3 | 0.3 |

Individual securities Other
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 300,000 | Greenwich Capital Commercial Funding Corp Passthru CTF DTD 3/1/2007 5.444% 3/10/2039 Series 2007-Gg9 Class A4 Cusip: 20173QAE1 Moody's: AA3 S&P: A | 109.8440 | 329,532.00 | 342,000.00 | -12,468.00 | 114.000 | 16,332.00 | 5.0 | 1.6 |
| 383,985.59 | Credit Suisse Mortgage Capital Certf Passthru CTF DTD 9/1/2006 5.467% 9/15/2039 Series 2006-C4 Class A3 Cusip: 22545MAD9 Moody's: AAA S&P: AAA | 108.7830 | 417,711.04 | 431,128.82 | -13,417.78 | 112.280 | 20,992.49 | 5.0 | 2.0 |
| 420,000 | Banc Of America Commercial Mortgage TR Passthru CTF DTD 9/1/2005 4.933% 7/10/2045 Series 2005-4 Class A5A Cusip: 05947UX37 Moody's: N/A S&P: AAA | 105.0240 | 441,100.80 | 454,010.16 | -12,909.36 | 108.100 | 20,718.60 | 4.7 | 2.1 |
| 210,000 | Citigroup Commercial Mortgage Trust Passthru CTF DTD 9/1/2012 3.024% 9/10/2045 Series 2012-GC8 Class A4 Cusip: 17318UAD6 Moody's: AAA S&P: N/A | 95.3990 | 200,337.90 | 200,583.60 | -245.70 | 95.520 | 6,350.40 | 3.2 | 1.0 |
| 240,000 | JP Morgan Chase Commercial Mortgage Passthru CTF DTD 5/1/2013 2.9599% 4/15/2046 Series 2013-LC11 Class A5 Cusip: 46639YAQ0 Moody's: AAA S&P: AAA | 93.5510 | 224,522.40 | 225,639.84 | -1,117.44 | 94.020 | 7,103.76 | 3.2 | 1.1 |
| 230,000 | Wachovia Bank Commercial Mortgage Trust Passthru CTF DTD 5/1/2007 5.509% 4/15/2047 Series 2007-C31 Class A4 Cusip: 92978TAE1 Moody's: AA2 S&P: BBB- | 109.1440 | 251,031.20 | 260,726.56 | -9,695.36 | 113.360 | 12,670.70 | 5.1 | 1.2 |
| 200,000 | Commercial Mortgage Pass-Through Certification Passthru CTF DTD 8/1/2007 5.816% 7/10/2017 Series 2007-C9 Class A4 Cusip: 20047RAE3 Moody's: AAA S&P: AA | 112.7630 | 225,526.00 | 234,562.50 | -9,036.50 | 117.280 | 11,599.44 | 5.1 | 1.1 |

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Individual securities Other
continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 300,000 | Greenwich Capital Commercial Funding<br>Cor Passthru CTF DTD 10/1/2007<br>5.736% 8/10/2017 Series 2007-Gg11<br>Class A4<br>Cusip: 20173VAE0 Moody's: N/A S&P: AA- | 111.6760 | 335,028.00 | 346,605.47 | -11,577.47 | 115.540 | 17,208.00 | 5.1 | 1.6 |
| Total taxable individual securities | | | $ 18,943,273.17 | $ 19,538,367.84 | $ -595,094.67 | | $ 833,402.57 | | 90.4% |
| Total taxable fixed income | | | $ 18,943,273.17 | $ 19,538,367.84 | $ -595,094.67 | | $ 833,402.57 | | 90.4% |
| Total fixed income | | | $ 18,943,273.17 | $ 19,538,367.84 | $ -595,094.67 | | $ 833,402.57 | | 90.4% |

# Alternative investments

## Other direct/private investment

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 170,000 | B A E Systems Holdings Inc<br>DTD 6/4/2009 6.375% 6/1/2019<br>Moody's: BAA2 S&P: BBB+ | $ 115.7320 | $ 196,744.40 | $ 205,735.70 | $ -8,991.30 | $ 121.020 | $ 10,837.50 | 5.5% | 0.9% |
| 245,000 | Blackstoneholdings Financial<br>DTD 8/20/09 6.625% 8/15/19<br>Moody's: N/A S&P: A+ | 116.7700 | 286,086.50 | 298,022.90 | -11,936.40 | 121.640 | 16,231.25 | 5.7 | 1.4 |
| 250,000 | C D P Financial<br>DTD 11/25/2009 5.6% 11/25/2039<br>Moody's: AAA S&P: AAA | 111.8630 | 279,657.50 | 304,597.50 | -24,940.00 | 121.840 | 14,000.00 | 5.0 | 1.3 |
| 125,000 | Carlyle Holdings II Fin<br>DTD 3/28/2013 5.625% 3/30/2043<br>Moody's: N/A S&P: A- | 98.3020 | 122,877.50 | 115,472.50 | 7,405.00 | 92.380 | 7,031.25 | 5.7 | 0.6 |
| 170,000 | Eads Finance B.V.<br>DTD 4/17/2013 2.7% 4/17/2023<br>Moody's: A2 S&P: A | 91.7080 | 155,903.60 | 169,571.60 | -13,668.00 | 99.750 | 4,590.00 | 2.9 | 0.7 |
| 400,000 | K K R Group Fin Co II<br>DTD 2/1/2013 5.5% 2/1/2043<br>Moody's: N/A S&P: A | 95.1990 | 380,796.00 | 374,347.50 | 6,448.50 | 93.590 | 22,000.00 | 5.8 | 1.8 |

# Alternative investments

## Other direct/private investment

continued

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 125,000 | Newcrest Finance Pty Ltd<br>DTD 11/15/2011 5.75% 11/15/2041<br>Moody's: BAA3 S&P: BBB- | 72.7450 | 90,931.25 | 137,211.25 | -46,280.00 | 109.770 | 7,187.50 | 7.9 | 0.4 |
| 222,057.1435 | Prudential Holdings LLC<br>DTD 12/18/2001 8.695% 12/18/2023<br>Moody's: A3 S&P: A+ | 126.8850 | 281,757.21 | 284,994.80 | -3,237.59 | 128.340 | 19,307.87 | 6.9 | 1.3 |
| 81,000 | Union Pacific Corp<br>DTD 8/21/2013 4.821% 2/1/2044<br>Moody's: BAA1 S&P: A | 96.8520 | 78,450.12 | 79,935.66 | -1,485.54 | 98.690 | 3,905.01 | 5.0 | 0.4 |
| 125,000 | Xstrata Finance Canada 144A<br>Sr Secured 144A<br>DTD 10/25/2012 2.45% 10/25/2017<br>Moody's: BAA2 S&P: BBB | 101.1350 | 126,418.75 | 126,715.00 | -296.25 | 101.370 | 3,375.00 | 2.7 | 0.6 |
| Total other direct/private investment | | | $ 1,999,622.83 | $ 2,096,604.41 | $ -96,981.58 | | $ 108,465.38 | | 9.5% |
| Total alternative investments | | | $ 1,999,622.83 | $ 2,096,604.41 | $ -96,981.58 | | $ 108,465.38 | | 9.5% |
| Total assets | | | 20,942,896 | 21,634,972 | | | | | |

ATTACHMENT 6D

# Asset detail

## Equities

### Developed international

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 257,133 | ISHARES Dow Jones Epac Select ( IDV ) Dividend Index Fund | $ 37.9400 | $ 9,755,626.02 | $ 9,048,340.66 | $ 707,285.36 | $ 35.189 | $ 436,868.97 | 4.5% | 38.0% |
| Total developed international | | | $ 9,755,626.02 | $ 9,048,340.66 | $ 707,285.36 | | $ 436,868.97 | | 38.0% |

### Other equity

| Shares/par value | Description | Market price | Market value | Tax cost | Unrealized gain (or loss) | Average tax cost | Estimated annual income | Current yield | Pct of holdings |
|---|---|---|---|---|---|---|---|---|---|
| 245,600 | Vanguard High Dividend Yield ETF ( VYM ) | $ 62.3200 | $ 15,305,792.00 | $ 13,924,667.76 | $ 1,381,124.24 | $ 56.696 | $ 429,554.40 | 2.8% | 59.6% |
| Total other equity | | | $ 15,305,792.00 | $ 13,924,667.76 | $ 1,381,124.24 | | $ 429,554.40 | | 59.6% |
| Total equities | | | $ 25,061,418.02 | $ 22,973,008.42 | $ 2,088,409.60 | | $ 866,423.37 | | 97.6% |

| Recipient Name and Address | Relationship to Substantial Contributor and Foundation Status of Recipient | Purpose of Grant or Contribution | Amount |
|---|---|---|---|
| Amazing Place<br>3735 Drexel, Houston, TX 77027 | Public Charity | Fundraising Sponsorship | 3,000 00 |
| Amigos de Las Americas<br>5618 Star Lane, Houston, TX 77057 | Public Charity | Support of Alex Riley | 250 00 |
| Boys and Girls Country<br>18806 Roberts Road, Hockley, TX 77447 | Public Charity | Spring Festival Underwriting | 10,000 00 |
| Bread of Life<br>1703 Gray St, Houston, TX 77003 | Public Charity | After Dark Program | 25,000 00 |
| Camp Aranzazu<br>5420 FM 1781, Rockport, TX 78382-7622 | Public Charity | Support of Houston Area Campers | 25,000 00 |
| Carolina Creek Christian Camp<br>84 Wimberly Ln, Huntsville, TX 77320 | Public Charity | The Wild Camp Capital Campaign | 150,000 00 |
| Catholic Charities<br>2900 Louisiana Street, Houston, TX 77006 | Public Charity | Unrestricted Operating Expenses | 200,000 00 |
| Catholic Charities<br>2900 Louisiana Street, Houston, TX 77006 | Public Charity | A Cardinal's Christmas Fundraiser Sponsor | 5,000 00 |
| Catholic Relief Services<br>770 N Halsted St, Chicago, IL 60642 | Public Charity | Emergency Relief in Africa's West Sahel | 10,000 00 |
| Chaucer Drive Study Center<br>5505 Chaucer Drive, Houston, TX 77005 | Public Charity | Expansion Project | 50,000 00 |
| Christian Community Service Center<br>PO Box 27924, Houston, TX 77227 | Public Charity | Fundraising Sponsorship | 5,000 00 |
| Cristo Rey Jesuit<br>6700 Mount Carmel Street, Houston, TX 77087 | Public Charity | Fundraising Sponsorship | 100,000 00 |
| East West Ministries International<br>2001 West Plano Parkway, Suite 3000, Plano, TX 75075 | Public Charity | Fundraising Sponsorship | 10,000 00 |

| Recipient Name and Address | Relationship to Substantial Contributor and Foundation Status of Recipient | Purpose of Grant or Contribution | Amount |
|---|---|---|---|
| Edify<br>10590 West Ocean Air Dr, #300, San Diego, CA 92130 | Public Charity | Support Schools in Dominican Republic | 50,000 00 |
| Episcopal High School<br>4650 Bissonnet St, Bellaire, TX 77401 | Public Charity | 25th Anniversary Campaign | 500,000 00 |
| Family Legacy Missions International<br>5005 W Royal Lane, Suite 252, Irving, TX 75063 | Public Charity | Support of Holly Scurry | 5,000 00 |
| Gracewood<br>1617 Elmview, Houston, TX 77080 | Public Charity | Unrestricted Operating Expenses | 50,000 00 |
| Greater Houston Community Foundation<br>5120 Woodway Drive, Suite 6000, Houston, TX 77056 | Public Charity | Unrestricted Operating Expenses | 24,500,000 00 |
| Holly Hall<br>2000 Holly Hall Street, Houston, TX 77054 | Public Charity | Fundraising Sponsorship | 1,000 00 |
| Houston Coalition for Life<br>P O Box 301094, Houston, TX 77230 | Public Charity | Unrestricted Operating Expenses | 25,000 00 |
| Incarnate Word Academy<br>609 Crawford St, Houston, TX 77002 | Public Charity | Fundraising Sponsorship | 5,000 00 |
| Krist Samaritan Center<br>17555 El Camino Real, Houston, TX 77058 | Public Charity | Fundraising Sponsorship | 5,000 00 |
| Lifehouse of Houston<br>P O Box 27127, Houston, TX 77227 | Public Charity | Fundraising Sponsorship | 25,000 00 |
| Lord of the Streets Episcopal Church<br>3401 Fannin St, Houston, TX 77004 | Public Charity | Unrestricted Operating Expenses | 25,000 00 |
| Nehemiah Center<br>5015 Fannin, Houston, TX 77004 | Public Charity | Fundraising Sponsorship | 5,000 00 |
| Opportunity International<br>2122 York Road, Suite 150, Oakbrook, IL 60523 | Public Charity | Support for work in Columbia & Rwanda | 50,000 00 |
| Pathways for Little Feet<br>8 Greenway Plaza, Suite 1000, Houston, TX 77046 | Public Charity | Fundraising Sponsorship | 5,000 00 |

| Recipient Name and Address | Relationship to Substantial Contributor and Foundation Status of Recipient | Purpose of Grant or Contribution | Amount |
|---|---|---|---|
| Pinecove Christian Camp<br>17162 Pop McKenzie Rd, Tyler, TX 75703 | Public Charity | Unrestricted Operating Expenses | 100,000 00 |
| Priority Associates<br>3000 Richmond Ave, Houston, TX 77098 | Public Charity | Unrestricted Operating Expenses | 1,000 00 |
| River Oaks Baptist School<br>2300 Willowick, Houston, TX 77027 | Public Charity | Unrestricted Operating Expenses | 200,000 00 |
| San Jose Clinic<br>2615 Fannin Street, Houston, TX 77002 | Public Charity | Art with a Heart Fundraiser Sponsor | 15,000 00 |
| SEAM Ministries<br>P O Box 267, South Houston, TX 77587 | Public Charity | Unrestricted Operating Expenses | 5,000 00 |
| Search Homeless Services<br>2505 Fannin St, Houston, TX 77002 | Public Charity | Fundraising Sponsorship | 5,000 00 |
| Southmore Foundation<br>2011 Sheridan Street, Houston, TX 77030 | Public Charity | Expansion Project | 50,000 00 |
| St Anne Catholic Church<br>2140 Westheimer Rd, Houston, TX 77098 | Public Charity | Unrestricted Operating Expenses | 10,000 00 |
| St Anne Catholic Church<br>2141 Westheimer Rd, Houston, TX 77098 | Public Charity | Fundraising Sponsorship | 5,000 00 |
| St James House<br>5800 West Baker Road, Baytown, TX 77520 | Public Charity | Unrestricted Operating Expenses | 5,000 00 |
| Star of Hope<br>PO Box 1308, Houston, TX 77251 | Public Charity | Unrestricted Operating Expenses | 200,000 00 |
| St Mary's Catholic Center<br>603 Church Avenue, College Station, TX 77840 | Public Charity | Unrestricted Operating Expenses | 5,000 00 |
| St Mary's Seminary<br>9845 Memorial Drive, Houston, TX 77024 | Public Charity | Vocations Support/St Mary Seminary | 500,000 00 |
| St Mary Catholic Church<br>533 E Main Street, Aspen, CO 81611 | Public Charity | Unrestricted Operating Expenses | 10,000 00 |

| Recipient Name and Address | Relationship to Substantial Contributor and Foundation Status of Recipient | Purpose of Grant or Contribution | Amount |
|---|---|---|---|
| St Michael Catholic Church<br>1801 Sage Road, Houston, TX 77056 | Public Charity | Building Faith & Formation Campaign | 500,000 00 |
| St Michael Catholic Church<br>1801 Sage Road, Houston, TX 77056 | Public Charity | Unrestricted Operating Expenses | 710,000 00 |
| Texas Right to Life<br>9800 Centre Parkway, Suite 200, Houston, TX 77036 | Public Charity | Educational Fund | 2,500 00 |
| The Brookwood Community<br>1752 FM 1489 Rd, Brookshire, TX 77423 | Public Charity | Fundraising Sponsorship | 23,500 00 |
| The Cardinals Circle<br>P O Box 4343, Houston, TX 77210 | Public Charity | Unrestricted Operating Expenses | 5,000 00 |
| The Forge<br>3150 Yellowstone Blvd, Houston, TX 77054 | Public Charity | Unrestricted Operating Expenses | 25,000 00 |
| The Mission of Yahweh<br>10247 Algiers, Houston, TX 77004 | Public Charity | Fundraising Sponsorship | 15,000 00 |
| Trees of Hope<br>4804 NE 10th Ave, Fort Lauderdale, FL 33334 | Public Charity | Unrestricted Operating Expenses | 10,000 00 |
| Volunteer Interfaith Caregivers - Southwest<br>5001 Bellaire Blvd, Bellaire, TX 77401 | Public Charity | Unrestricted Operating Expenses | 2,500 00 |
| Wellsprings Village, Inc<br>PO Box 311017, Houston, TX 77231 | Public Charity | Unrestricted Operating Expenses | 20,000 00 |
| Young Life Houston Southwest<br>1931 Lexington Street, Houston, TX 77098-4219 | Public Charity | Fundraising Sponsorship | 1,000 00 |
| Young Life Metropolitan Houston<br>1931 Lexington Street, Houston, TX 77098-4219 | Public Charity | Fundraising Sponsorship | 1,500 00 |
| Young Life Southcoast Region (Beach Cities)<br>10981 San Diego Mission Road Suite 220, San Diego, CA 92108 | Public Charity | Support of Mike Curran | 5,000 00 |
| Young Life West Houston<br>2055 S Gessner Suite 220, Houston, TX 77063 | Public Charity | Support of Low Income Ministries | 10,000 00 |

| Recipient Name and Address | Relationship to Substantial Contributor and Foundation Status of Recipient | Purpose of Grant or Contribution | Amount |
|---|---|---|---|
| Youth With a Mission El Paso - Juarez<br>4444 Edgar Park Avenue, El Paso, TX 79904 | Public Charity | Support for Brett & Karen Curtis Family | 5,000 00 |
| Youth With a Mission El Paso - Juarez<br>4444 Edgar Park Avenue, El Paso, TX 79904 | Public Charity | Support for Giacomo & Marjolein Coghi | 5,000 00 |
| **Total Contributions Paid** | | | 28,296,250 00 |

BNY MELLON
WEALTH MANAGEMENT

FOUNDATION AVALON EQUITY-CUST

# Income for 2013

This section reports your proceeds from sales during the year. We are not required nor do we report your net gains and losses to the Internal Revenue Service. An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for the current year's return of capital. A schedule of your net gains and losses is shown below. Please note that if you have sold an asset for which we do not have cost basis information, it is either shown separately in the section entitled Cost Not Available or it may appear with a zero tax cost. Please review these carefully before preparing your tax return.

Additionally, to provide you with complete information for your tax returns, we have shown IRC Section 988 translation gains and losses separately within the sales sections. Please note these gains or losses are not entitled to capital gains treatment Rather, under IRC Section 988, they are either ordinary income or loss.

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| KOHLS CORP | KSS | 500255104 | 5389 | 08/30/12 | 01/03/13 | $227,746.42 | $286,111 17 | $-58,364.75 |
| FAMILY DLR STORES INC | FDO | 307000109 | 3800 | 12/04/12 | 01/03/13 | $214,511.27 | $268,591 60 | $-54,080.33 |
| WHOLE FOODS MKT INC | WFM | 966837106 | 2951 | 02/10/12 | 01/08/13 | $258,057.69 | $241,292.64 | $16,765.05 |
| VERIZON COMMUNICATIONS INC | VZ | 92343V104 | 5883 | 07/24/12 | 01/17/13 | $248,271 15 | $257,707 17 | $-9,436 02 |
| CHICOS FAS INC | CHS | 168615102 | 5202 | 11/07/12 | 01/30/13 | $91,391 89 | $100,951.05 | $-9,559 16 |
| CHICOS FAS INC | CHS | 168615102 | 442 | 10/18/12 | 01/30/13 | $7,765.32 | $8,525.61 | $-760 29 |
| CHICOS FAS INC | CHS | 168615102 | 7304 | 09/12/12 | 01/30/13 | $128,321 10 | $139,623.26 | $-11,302.16 |
| YUM BRANDS INC | YUM | 988498101 | 4967 | 11/08/12 | 01/30/13 | $314,946 44 | $355,237.85 | $-40,291.41 |
| TARGET CORP | TGT | 87612E106 | 342 | 10/18/12 | 03/20/13 | $23,501 71 | $21,622.51 | $1,879.20 |
| TARGET CORP | TGT | 87612E106 | 745 | 07/13/12 | 03/20/13 | $51,195 25 | $45,688.76 | $5,506 49 |
| PERKINELMER INC | PKI | 714046109 | 1104 | 11/12/12 | 03/20/13 | $38,594.97 | $33,604 99 | $4,989.98 |
| PHILLIPS 66 | PSX | 718546104 | 1321 | 11/07/12 | 03/20/13 | $89,469.32 | $65,523 45 | $23,945.87 |
| QUALCOMM INC | QCOM | 747525103 | 386 | 10/18/12 | 03/20/13 | $25,394.37 | $23,367 78 | $2,026.59 |
| QUALCOMM INC | QCOM | 747525103 | 330 | 11/15/12 | 03/20/13 | $21,710.21 | $20,175 71 | $1,534.50 |

FOUNDATION AVALON EQUITY-CUST

## Short term transactions

This category includes sales of assets held 12 months or less

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| QUALCOMM INC | QCOM | 747525103 | 353 | 11/28/12 | 03/20/13 | $23,223 35 | $21,946.72 | $1,276 63 |
| STARBUCKS CORP COM | SBUX | 855244109 | 1349 | 11/15/12 | 03/20/13 | $77,444 35 | $65,598.90 | $11,845.45 |
| TJX COS INC NEW | TJX | 872540109 | 1428 | 11/14/12 | 03/20/13 | $64,906.14 | $59,951.58 | $4,954.56 |
| PROCTER & GAMBLE CO COM | PG | 742718109 | 1466 | 10/25/12 | 03/20/13 | $113,685 75 | $102,982.98 | $10,702.77 |
| MAXIM INTERGRATED PRODS INC | MXIM | 57772K101 | 1627 | 12/14/12 | 03/20/13 | $52,486 33 | $48,414.96 | $4,071.37 |
| PIER 1 IMPORTS INC | PIR | 720279108 | 1724 | 12/20/12 | 03/20/13 | $40,288.97 | $35,149 95 | $5,139.02 |
| VALERO ENERGY CORP NEW | VLO | 91913Y100 | 1798 | 08/28/12 | 03/20/13 | $80,602.89 | $55,907 20 | $24,695.69 |
| AT&T INC | T | 00206R102 | 1827 | 07/24/12 | 03/20/13 | $66,081.10 | $63,241.06 | $2,840.04 |
| WALGREEN COMPANY COMMON | WAG | 931422109 | 1925 | 12/19/12 | 03/20/13 | $88,586.51 | $72,564 80 | $16,021.71 |
| SUNTRUST BANKS INC | STI | 867914103 | 2042 | 09/05/12 | 03/20/13 | $58,420.30 | $51,951.55 | $6,468.75 |
| WEYERHAEUSER CO COM | WY | 962166104 | 2086 | 08/30/12 | 03/20/13 | $65,269.47 | $51,800 80 | $13,468 67 |
| MYLAN LABS INC | MYL | 628530107 | 2113 | 11/07/12 | 03/20/13 | $64,804.25 | $54,026.87 | $10,777.38 |
| D R HORTON INC | DHI | 23331A109 | 893 | 07/17/12 | 03/20/13 | $22,708.48 | $16,617 39 | $6,091 09 |
| OASIS PETROLEUM INC | OAS | 674215108 | 1498 | 01/04/13 | 03/20/13 | $55,747.42 | $49,573 31 | $6,174.11 |
| CITIGROUP INC | C | 172967424 | 2914 | 11/06/12 | 03/20/13 | $134,536.36 | $111,847 19 | $22,689 17 |
| NEWS CORP | NWSA | 65248E104 | 2993 | 11/08/12 | 03/20/13 | $89,886.75 | $73,843.30 | $16,043.45 |
| YAHOO INC | YHOO | 984332106 | 3350 | 11/07/12 | 03/20/13 | $73,901.02 | $58,505 40 | $15,395 62 |
| WELLS FARGO & CO NEW | WFC | 949746101 | 3502 | 12/19/12 | 03/20/13 | $131,146.95 | $122,276.89 | $8,870.06 |
| ORACLE CORPORATION | ORCL | 68389X105 | 3759 | 12/19/12 | 03/20/13 | $134,301.54 | $127,736 83 | $6,564 71 |
| ORACLE CORPORATION | ORCL | 68389X105 | 571 | 12/31/12 | 03/20/13 | $20,400.69 | $19,002 82 | $1,397 87 |
| PFIZER INC COM | PFE | 717081103 | 2835 | 09/10/12 | 03/20/13 | $80,200.35 | $68,791.56 | $11,408.79 |
| PFIZER INC COM | PFE | 717081103 | 1459 | 10/18/12 | 03/20/13 | $41,274 18 | $37,868 35 | $3,405 83 |
| REGIONS FINL CORP NEW | RF | 7591EP100 | 3055 | 10/18/12 | 03/20/13 | $25,569.77 | $22,316 78 | $3,252 99 |
| REGIONS FINL CORP NEW | RF | 7591EP100 | 6652 | 07/25/12 | 03/20/13 | $55,675.99 | $45,753.79 | $9,922.20 |
| TRIMBLE NAV LTD | TRMB | 896239100 | 865 | 11/28/12 | 03/20/13 | $52,205.72 | $53,027 08 | $-821 36 |
| AMERICAN INTERNATIONAL GROUP | AIG | 026874784 | 459 | 10/18/12 | 03/20/13 | $17,583.89 | $17,112 39 | $471 50 |
| AMERICAN INTERNATIONAL GROUP | AIG | 026874784 | 1630 | 11/02/12 | 03/20/13 | $62,443.90 | $54,325.78 | $8,118.12 |
| ALKERMES PLC | ALKS | G01767105 | 833 | 12/17/12 | 03/20/13 | $18,883.68 | $16,001 34 | $2,882.34 |

BNY MELLON
WEALTH MANAGEMENT

FOUNDATION AVALON EQUITY-CUST

## Short term transactions

This category includes sales of assets held 12 months or less

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| ALKERMES PLC | ALKS | G01767105 | 692 | 12/18/12 | 03/20/13 | $15,687 29 | $13,315 95 | $2,371.34 |
| ALKERMES PLC | ALKS | G01767105 | 411 | 12/14/12 | 03/20/13 | $9,317.16 | $7,782.00 | $1,535 16 |
| AMGEN INC | AMGN | 031162100 | 259 | 10/18/12 | 03/20/13 | $24,332 09 | $23,088.66 | $1,243.43 |
| AMGEN INC | AMGN | 031162100 | 578 | 09/10/12 | 03/20/13 | $54,300 95 | $48,571.54 | $5,729 41 |
| ASHLAND INC NEW | ASH | 044209104 | 632 | 12/07/12 | 03/20/13 | $50,543 31 | $48,176.22 | $2,367.09 |
| BANK AMER CORP | BAC | 060505104 | 10691 | 11/06/12 | 03/20/13 | $136,521.00 | $106,208.67 | $30,312 33 |
| BALL CORP | BLL | 058498106 | 1214 | 07/25/12 | 03/20/13 | $56,158.38 | $49,238.38 | $6,920.00 |
| BERKSHIRE HATHAWAY INC DEL CL | BRK B | 084670702 | 533 | 09/11/12 | 03/20/13 | $54,444.73 | $46,265 79 | $8,178.94 |
| CATERPILLAR INC | CAT | 149123101 | 115 | 10/18/12 | 03/20/13 | $9,980.63 | $9,993.50 | $-12.87 |
| CHUBB CORPORATION COM | CB | 171232101 | 207 | 10/18/12 | 03/20/13 | $17,835.80 | $16,884 49 | $951.31 |
| CIGNA CORP COM | CI | 125509109 | 1027 | 11/08/12 | 03/20/13 | $63,806 08 | $53,759.75 | $10,046.33 |
| CONTINENTAL RES INC OKLA | CLR | 212015101 | 639 | 01/04/13 | 03/20/13 | $57,134.13 | $49,340.58 | $7,793 55 |
| COMCAST CORP NEW CL A | CMCSA | 20030N101 | 897 | 10/18/12 | 03/20/13 | $36,758.23 | $33,401.32 | $3,356.91 |
| COMCAST CORP NEW CL A | CMCSA | 20030N101 | 1961 | 09/10/12 | 03/20/13 | $80,359.98 | $67,598 22 | $12,761.76 |
| CAPITAL ONE FINL CORP COM | COF | 14040H105 | 1145 | 11/13/12 | 03/20/13 | $61,611.06 | $66,196.34 | $-4,585.28 |
| CONOCOPHILLIPS | COP | 20825C104 | 701 | 12/19/12 | 03/20/13 | $42,332 44 | $41,681 88 | $650.56 |
| CANADIAN PAC RY LTD | CP | 13645T100 | 495 | 08/30/12 | 03/20/13 | $63,453 71 | $40,842.70 | $22,611.01 |
| CISCO SYS INC | CSCO | 17275R102 | 4112 | 12/14/12 | 03/20/13 | $89,105 04 | $81,952.57 | $7,152 47 |
| CVS CORP | CVS | 126650100 | 1204 | 07/02/12 | 03/20/13 | $66,315 19 | $56,726.94 | $9,588.25 |
| CVS CORP | CVS | 126650100 | 575 | 10/18/12 | 03/20/13 | $31,670.46 | $26,833 30 | $4,837.16 |
| KROGER COMPANY COMMON | KR | 501044101 | 2186 | 11/08/12 | 03/20/13 | $69,819.27 | $53,936.93 | $15,882.34 |
| EBAY INC | EBAY | 278642103 | 1535 | 06/14/12 | 03/20/13 | $80,462.89 | $61,539 99 | $18,922.90 |
| EASTMAN CHEMICAL CO | EMN | 277432100 | 862 | 11/07/12 | 03/20/13 | $63,059 91 | $51,836 63 | $11,223.28 |
| EOG RES INC | EOG | 26875P101 | 138 | 10/18/12 | 03/20/13 | $17,445 36 | $15,764.20 | $1,681 16 |
| EXPRESS SCRIPTS HLDG CO | ESRX | 30219G108 | 358 | 10/18/12 | 03/20/13 | $21,157 47 | $22,928.97 | $-1,771 50 |
| EXPRESS SCRIPTS HLDG CO | ESRX | 30219G108 | 780 | 08/22/12 | 03/20/13 | $46,097 28 | $47,381.41 | $-1,284.13 |
| FORD MOTOR CO DEL | F | 345370860 | 3870 | 01/10/13 | 03/20/13 | $51,585 94 | $53,361.49 | $-1,775 55 |
| FIFTH THIRD BANCORP | FITB | 316773100 | 3661 | 01/17/13 | 03/20/13 | $60,405.14 | $59,418.03 | $987 11 |

FOUNDATION AVALON EQUITY-CUST

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FOOT LOCKER INC | FL | 344849104 | 1351 | 12/05/12 | 03/20/13 | $43,514 73 | $47,420.64 | $-3,905 91 |
| GILEAD SCIENCES INC | GILD | 375558103 | 744 | 10/18/12 | 03/20/13 | $33,096 17 | $25,521 43 | $7,574.74 |
| GILEAD SCIENCES INC | GILD | 375558103 | 1608 | 09/05/12 | 03/20/13 | $71,530 44 | $47,361.55 | $24,168 89 |
| GENERAL MILLS INC COM | GIS | 370334104 | 552 | 10/18/12 | 03/20/13 | $26,316 01 | $22,132.16 | $4,183.85 |
| GENERAL MILLS INC COM | GIS | 370334104 | 1202 | 08/29/12 | 03/20/13 | $57,304.06 | $47,698.37 | $9,605 69 |
| GOOGLE INC | GOOG | 38259P508 | 82 | 08/21/12 | 03/20/13 | $66,767 82 | $54,581.51 | $12,186 31 |
| GAP INC | GPS | 364760108 | 383 | 10/18/12 | 03/20/13 | $13,791 52 | $14,184.33 | $-392 81 |
| GAP INC | GPS | 364760108 | 822 | 09/12/12 | 03/20/13 | $29,599 55 | $29,237.14 | $362.41 |
| GOLDMAN SACHS GROUP INC | GS | 38141G104 | 355 | 12/19/12 | 03/20/13 | $53,444.55 | $45,384.62 | $8,059.93 |
| GOLDMAN SACHS GROUP INC | GS | 38141G104 | 379 | 11/07/12 | 03/20/13 | $57,057 70 | $45,570.54 | $11,487.16 |
| HCA HOLDINGS INC | HCA | 40412C101 | 1382 | 09/17/12 | 03/20/13 | $53,237.86 | $43,824.33 | $9,413.53 |
| HOME DEPOT INC USD 0 05 | HD | 437076102 | 470 | 10/18/12 | 03/20/13 | $32,448.07 | $29,001 02 | $3,447 05 |
| HOLLYFRONTIER CORP | HFC | 436106108 | 768 | 11/15/12 | 03/20/13 | $40,593.42 | $32,213.91 | $8,379.51 |
| HONEYWELL INTL INC | HON | 438516106 | 366 | 10/18/12 | 03/20/13 | $27,332.27 | $22,444.11 | $4,888 16 |
| HONEYWELL INTL INC | HON | 438516106 | 798 | 07/25/12 | 03/20/13 | $59,593.30 | $45,661 40 | $13,931 90 |
| HERTZ GLOBAL HLDGS INC | HTZ | 42805T105 | 2973 | 12/06/12 | 03/20/13 | $63,216.45 | $47,612 60 | $15,603.85 |
| INTERNATIONAL PAPER COMPANY C | IP | 460146103 | 1409 | 12/20/12 | 03/20/13 | $64,220.78 | $55,840 08 | $8,380 70 |
| ILLINOIS TOOL WORKS INC COM | ITW | 452308109 | 303 | 10/18/12 | 03/20/13 | $19,143 11 | $18,186 09 | $957 02 |
| ILLINOIS TOOL WORKS INC COM | ITW | 452308109 | 864 | 08/28/12 | 03/20/13 | $54,586.29 | $51,340.87 | $3,245.42 |
| JOHNSON & JOHNSON COM | JNJ | 478160104 | 1841 | 11/06/12 | 03/20/13 | $146,112.10 | $131,693 54 | $14,418 56 |
| CARMAX INC | KMX | 143130102 | 1521 | 11/28/12 | 03/20/13 | $62,358.38 | $53,955 95 | $8,402.43 |
| LYONDELLBASELL INDU-CL A-W/I | LYB | N53745100 | 1070 | 12/11/12 | 03/20/13 | $69,751.73 | $57,965.00 | $11,786.73 |
| MASTERCARD INC | MA | 57636Q104 | 22 | 10/18/12 | 03/20/13 | $11,396.54 | $10,592 78 | $803 76 |
| MASTERCARD INC | MA | 57636Q104 | 138 | 10/04/12 | 03/20/13 | $71,487 41 | $65,286 78 | $6,200 63 |
| MONDELEZ INTERNATIONAL INC | MDLZ | 609207105 | 2675 | 12/20/12 | 03/20/13 | $76,503 28 | $69,630 25 | $6,873 03 |
| MONSANTO CO NEW | MON | 61166W101 | 249 | 10/18/12 | 03/20/13 | $25,657.65 | $22,356.19 | $3,301.46 |
| WESTLAKE CHEM CORP | WLK | 960413102 | 633 | 12/12/12 | 03/20/13 | $61,301.69 | $48,837 59 | $12,464 10 |
| UNION PACIFIC CORP | UNP | 907818108 | 605 | 06/27/12 | 03/20/13 | $84,087.06 | $69,464.35 | $14,622.71 |

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| VALEANT PHARMACEUTICALS | VRX | 91911K102 | 818 | 12/13/12 | 03/20/13 | $59,966 23 | $48,065.35 | $11,900.88 |
| PEPSICO INC | PEP | 713448108 | 702 | 11/06/12 | 03/20/13 | $53,610 54 | $48,791.32 | $4,819.22 |
| MOTOROLA INC | MSI | 620076307 | 971 | 11/12/12 | 03/20/13 | $60,604 77 | $51,948.79 | $8,655 98 |
| THERMO ELECTRON CORP | TMO | 883556102 | 983 | 11/28/12 | 03/20/13 | $76,198.19 | $61,176.71 | $15,021.48 |
| NATIONAL-OILWELL INC | NOV | 637071101 | 1031 | 09/11/12 | 03/20/13 | $70,758.31 | $84,777.68 | $-14,019 37 |
| EBAY INC | EBAY | 278642103 | 6537 | 06/14/12 | 05/06/13 | $354,168.68 | $262,076 18 | $92,092 50 |
| TRIMBLE NAV LTD | TRMB | 896239100 | 5602 | 11/28/12 | 05/07/13 | $155,919.77 | $171,709.66 | $-15,789 89 |
| TRIMBLE NAV LTD | TRMB | 896239100 | 1730 | 11/28/12 | 05/07/13 | $48,150.87 | $23,715 66 | $24,435.21 |
| PERKINELMER INC | PKI | 714046109 | 4698 | 11/12/12 | 05/07/13 | $145,363.20 | $143,003 83 | $2,359.37 |
| AMERICAN INTERNATIONAL GROUP | AIG | 026874784 | 853 | 11/02/12 | 05/09/13 | $37,743 21 | $28,429.38 | $9,313.83 |
| ALKERMES PLC | ALKS | G01767105 | 754 | 12/14/12 | 05/09/13 | $22,526 45 | $14,276.46 | $8,249.99 |
| AMGEN INC | AMGN | 031162100 | 341 | 09/10/12 | 05/09/13 | $35,796.69 | $28,655.53 | $7,141 16 |
| ASHLAND INC NEW | ASH | 044209104 | 259 | 12/07/12 | 05/09/13 | $22,892.10 | $19,743 10 | $3,149 00 |
| BANK AMER CORP | BAC | 060505104 | 2696 | 11/06/12 | 05/09/13 | $34,791.10 | $26,783 14 | $8,007.96 |
| BANK AMER CORP | BAC | 060505104 | 1604 | 10/18/12 | 05/09/13 | $20,699.15 | $15,246 02 | $5,453.13 |
| BALL CORP | BLL | 058498106 | 498 | 07/25/12 | 05/09/13 | $22,636 58 | $20,198 29 | $2,438.29 |
| CITIGROUP INC | C | 172967424 | 1186 | 11/06/12 | 05/09/13 | $57,507 85 | $45,521.88 | $11,985.97 |
| CIGNA CORP COM | CI | 125509109 | 421 | 11/08/12 | 05/09/13 | $28,652 53 | $22,037.83 | $6,614 70 |
| CONTINENTAL RES INC OKLA | CLR | 212015101 | 264 | 01/04/13 | 05/09/13 | $22,050.92 | $20,384.84 | $1,666 08 |
| COMCAST CORP NEW CL A | CMCSA | 20030N101 | 768 | 09/10/12 | 05/09/13 | $32,967.80 | $26,473 96 | $6,493.84 |
| CAPITAL ONE FINL CORP COM | COF | 14040H105 | 477 | 11/13/12 | 05/09/13 | $28,083.13 | $27,576.99 | $506.14 |
| CONOCOPHILLIPS | COP | 20825C104 | 289 | 12/19/12 | 05/09/13 | $18,052.41 | $17,184 11 | $868.30 |
| CANADIAN PAC RY LTD | CP | 13645T100 | 203 | 08/30/12 | 05/09/13 | $26,613.76 | $16,749.63 | $9,864.13 |
| CISCO SYS INC | CSCO | 17275R102 | 1695 | 12/14/12 | 05/09/13 | $35,145.04 | $33,781 52 | $1,363.52 |
| C S T BRANDS INC | CST | 12646R105 | 83 | 08/28/12 | 05/09/13 | $2,528 95 | $2,010.69 | $518 26 |
| CVS CORP | CVS | 126650100 | 97 | 10/18/12 | 05/09/13 | $5,599 63 | $4,526.66 | $1,072 97 |
| EASTMAN CHEMICAL CO | EMN | 277432100 | 354 | 11/07/12 | 05/09/13 | $23,892.02 | $21,287.90 | $2,604 12 |
| EXPRESS SCRIPTS HLDG CO | ESRX | 30219G108 | 464 | 08/22/12 | 05/09/13 | $28,405.44 | $28,185.87 | $219 57 |

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FORD MOTOR CO DEL | F | 345370860 | 1594 | 01/10/13 | 05/09/13 | $22,578.50 | $21,978.87 | $599 63 |
| FIFTH THIRD BANCORP | FITB | 316773100 | 1468 | 01/17/13 | 05/09/13 | $25,976 99 | $23,825.64 | $2,151.35 |
| FOOT LOCKER INC | FL | 344849104 | 559 | 12/05/12 | 05/09/13 | $20,148.42 | $19,621.12 | $527.30 |
| GILEAD SCIENCES INC | GILD | 375558103 | 959 | 09/05/12 | 05/09/13 | $50,404 29 | $28,246.10 | $22,158.19 |
| GENERAL MILLS INC COM | GIS | 370334104 | 715 | 08/29/12 | 05/09/13 | $35,652.03 | $28,372.99 | $7,279.04 |
| GAP INC | GPS | 364760108 | 491 | 09/12/12 | 05/09/13 | $19,067 41 | $17,464 04 | $1,603.37 |
| GOLDMAN SACHS GROUP INC | GS | 38141G104 | 291 | 11/07/12 | 05/09/13 | $43,267.82 | $34,989 52 | $8,278.30 |
| HCA HOLDINGS INC | HCA | 40412C101 | 574 | 09/17/12 | 05/09/13 | $23,018.60 | $18,202 00 | $4,816.60 |
| HOLLYFRONTIER CORP | HFC | 436106108 | 319 | 11/15/12 | 05/09/13 | $15,545.70 | $13,380.52 | $2,165 18 |
| HONEYWELL INTL INC | HON | 438516106 | 475 | 07/25/12 | 05/09/13 | $36,850.91 | $27,179 40 | $9,671 51 |
| HERTZ GLOBAL HLDGS INC | HTZ | 42805T105 | 1229 | 12/06/12 | 05/09/13 | $29,772.22 | $19,682 43 | $10,089.79 |
| INTERNATIONAL PAPER COMPANY C | IP | 460146103 | 579 | 12/20/12 | 05/09/13 | $27,100 87 | $22,946 35 | $4,154 52 |
| ILLINOIS TOOL WORKS INC COM | ITW | 452308109 | 475 | 08/28/12 | 05/09/13 | $32,212.25 | $28,225.59 | $3,986.66 |
| JOHNSON & JOHNSON COM | JNJ | 478160104 | 70 | 11/06/12 | 05/09/13 | $5,987 62 | $5,007.36 | $980 26 |
| JOHNSON & JOHNSON COM | JNJ | 478160104 | 686 | 10/25/12 | 05/09/13 | $58,678.72 | $48,838 40 | $9,840 32 |
| CARMAX INC | KMX | 143130102 | 633 | 11/28/12 | 05/09/13 | $29,627.40 | $22,455.04 | $7,172.36 |
| KROGER COMPANY COMMON | KR | 501044101 | 894 | 11/08/12 | 05/09/13 | $30,893 35 | $22,058 38 | $8,834 97 |
| LYONDELLBASELL INDU-CL A-W/I | LYB | N53745100 | 445 | 12/11/12 | 05/09/13 | $27,658 13 | $24,106 94 | $3,551 19 |
| MASTERCARD INC | MA | 57636Q104 | 65 | 10/04/12 | 05/09/13 | $35,923 39 | $30,751.02 | $5,172.37 |
| MONDELEZ INTERNATIONAL INC | MDLZ | 609207105 | 1102 | 12/20/12 | 05/09/13 | $33,937.85 | $28,685.06 | $5,252 79 |
| MOTOROLA INC. | MSI | 620076307 | 413 | 11/12/12 | 05/09/13 | $23,344 21 | $22,095.62 | $1,248 59 |
| MAXIM INTERGRATED PRODS INC | MXIM | 57772K101 | 666 | 12/14/12 | 05/09/13 | $21,044 19 | $19,818.30 | $1,225 89 |
| MYLAN LABS INC | MYL | 628530107 | 864 | 11/07/12 | 05/09/13 | $25,121.61 | $22,091.44 | $3,030 17 |
| NATIONAL-OILWELL INC | NOV | 637071101 | 59 | 09/11/12 | 05/09/13 | $4,006 22 | $4,851.49 | $-845 27 |
| NEWS CORP | NWSA | 65248E104 | 1233 | 11/08/12 | 05/09/13 | $40,843 07 | $30,420.58 | $10,422 49 |
| OASIS PETROLEUM INC | OAS | 674215108 | 614 | 01/04/13 | 05/09/13 | $22,315 20 | $20,319.10 | $1,996.10 |
| PROCTER & GAMBLE CO COM | PG | 742718109 | 602 | 10/25/12 | 05/09/13 | $47,301 33 | $42,289 06 | $5,012 27 |
| ORACLE CORPORATION | ORCL | 68389X105 | 1777 | 12/31/12 | 05/09/13 | $59,609.19 | $59,138.38 | $470 81 |

BNY MELLON
WEALTH MANAGEMENT

FOUNDATION AVALON EQUITY-CUST

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| PIER 1 IMPORTS INC | PIR | 720279108 | 703 | 12/20/12 | 05/09/13 | $16,772.36 | $14,333 19 | $2,439.17 |
| PHILLIPS 66 | PSX | 718546104 | 538 | 11/07/12 | 05/09/13 | $33,667.28 | $26,685 55 | $6,981.73 |
| REGIONS FINL CORP NEW | RF | 7591EP100 | 3958 | 07/25/12 | 05/09/13 | $35,019.99 | $27,223 92 | $7,796.07 |
| STARBUCKS CORP COM | SBUX | 855244109 | 553 | 11/15/12 | 05/09/13 | $34,405.39 | $26,891 17 | $7,514.22 |
| SUNTRUST BANKS INC | STI | 867914103 | 843 | 09/05/12 | 05/09/13 | $25,923.09 | $21,447 18 | $4,475.91 |
| AT&T INC | T | 00206R102 | 749 | 07/24/12 | 05/09/13 | $27,888 16 | $25,926.41 | $1,961.75 |
| TARGET CORP | TGT | 87612E106 | 444 | 07/13/12 | 05/09/13 | $31,011 68 | $27,229.28 | $3,782.40 |
| TJX COS INC NEW | TJX | 872540109 | 585 | 11/14/12 | 05/09/13 | $29,685 56 | $24,560.00 | $5,125.56 |
| THERMO ELECTRON CORP | TMO | 883556102 | 404 | 11/28/12 | 05/09/13 | $33,832 22 | $25,142.82 | $8,689.40 |
| VALERO ENERGY CORP NEW | VLO | 91913Y100 | 741 | 08/28/12 | 05/09/13 | $28,235 31 | $21,046.19 | $7,189 12 |
| VALEANT PHARMACEUTICALS | VRX | 91911K102 | 339 | 12/13/12 | 05/09/13 | $24,719.32 | $19,919.51 | $4,799.81 |
| WALGREEN COMPANY COMMON | WAG | 931422109 | 759 | 12/19/12 | 05/09/13 | $36,892.72 | $28,611 26 | $8,281.46 |
| WELLS FARGO & CO NEW | WFC | 949746101 | 334 | 12/19/12 | 05/09/13 | $12,783.86 | $11,662 04 | $1,121.82 |
| WESTLAKE CHEM CORP | WLK | 960413102 | 258 | 12/12/12 | 05/09/13 | $23,210.80 | $19,905 37 | $3,305.43 |
| WEYERHAEUSER CO COM | WY | 962166104 | 855 | 08/30/12 | 05/09/13 | $27,105 97 | $21,231 87 | $5,874.10 |
| YAHOO INC | YHOO | 984332106 | 1361 | 11/07/12 | 05/09/13 | $35,692.91 | $23,768.91 | $11,924 00 |
| C S T BRANDS INC | CST | 12646R105 | 0.33 | 08/28/12 | 05/22/13 | $11 06 | $8.07 | $2.99 |
| NEWS CORP/NEW | NWSA | 65249B109 | 0 25 | 11/08/12 | 07/15/13 | $3 65 | $2.93 | $0 72 |
| ALKERMES PLC | ALKS | G01767105 | 637 | 12/14/12 | 07/24/13 | $18,671 99 | $12,061.15 | $6,610 84 |
| MASTERCARD INC | MA | 57636Q104 | 55 | 10/04/12 | 07/24/13 | $32,603 91 | $26,020.09 | $6,583.82 |
| ASHLAND INC NEW | ASH | 044209104 | 218 | 12/07/12 | 07/24/13 | $18,870.32 | $16,617 75 | $2,252.57 |
| BANK AMER CORP | BAC | 060505104 | 977 | 10/18/12 | 07/24/13 | $14,381.19 | $9,286 39 | $5,094.80 |
| BANK AMER CORP | BAC | 060505104 | 2659 | 09/11/12 | 07/24/13 | $39,139.79 | $23,443.61 | $15,696.18 |
| BALL CORP | BLL | 058498106 | 81 | 07/25/12 | 07/24/13 | $3,672.81 | $3,285 26 | $387.55 |
| CITIGROUP INC | C | 172967424 | 513 | 11/06/12 | 07/24/13 | $26,926.90 | $19,690.33 | $7,236.57 |
| CITIGROUP INC | C | 172967424 | 489 | 10/25/12 | 07/24/13 | $25,667 16 | $18,314 52 | $7,352.64 |
| C S T BRANDS INC | CST | 12646R105 | 46.22 | 08/28/12 | 07/24/13 | $1,478 16 | $1,119.75 | $358 41 |
| C S T BRANDS INC | CST | 12646R105 | 23.78 | 10/18/12 | 07/24/13 | $760 40 | $555 68 | $204.72 |

BNY MELLON
WEALTH MANAGEMENT

FOUNDATION AVALON EQUITY-CUST

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| NEWS CORP/NEW | NWSA | 65249B109 | 261 | 11/08/12 | 07/24/13 | $4,104.15 | $3,059 90 | $1,044 25 |
| HOLLYFRONTIER CORP | HFC | 436106108 | 271 | 11/15/12 | 07/24/13 | $11,583.47 | $11,367 15 | $216.32 |
| PIER 1 IMPORTS INC | PIR | 720279108 | 594 | 12/20/12 | 07/24/13 | $13,757.93 | $12,110.83 | $1,647 10 |
| MAXIM INTERGRATED PRODS INC | MXIM | 57772K101 | 562 | 12/14/12 | 07/24/13 | $15,231 84 | $16,723 55 | $-1,491 71 |
| CONOCOPHILLIPS | COP | 20825C104 | 246 | 12/19/12 | 07/24/13 | $16,133 52 | $14,627 31 | $1,506.21 |
| FOOT LOCKER INC | FL | 344849104 | 473 | 12/05/12 | 07/24/13 | $16,946.96 | $16,602 49 | $344 47 |
| GAP INC | GPS | 364760108 | 415 | 09/12/12 | 07/24/13 | $18,488 29 | $14,760 84 | $3,727 45 |
| HCA HOLDINGS INC | HCA | 40412C101 | 486 | 09/17/12 | 07/24/13 | $18,817.59 | $15,411.45 | $3,406 14 |
| MOTOROLA INC. | MSI | 620076307 | 350 | 11/12/12 | 07/24/13 | $19,150 65 | $18,725.11 | $425 54 |
| CONTINENTAL RES INC OKLA | CLR | 212015101 | 222 | 01/04/13 | 07/24/13 | $20,502.83 | $17,141.80 | $3,361.03 |
| WEYERHAEUSER CO COM | WY | 962166104 | 722 | 08/30/12 | 07/24/13 | $20,821 46 | $17,929.14 | $2,892.32 |
| CANADIAN PAC RY LTD | CP | 13645T100 | 171 | 08/30/12 | 07/24/13 | $21,035.20 | $14,109.30 | $6,925.90 |
| OASIS PETROLEUM INC | OAS | 674215108 | 519 | 01/04/13 | 07/24/13 | $21,220 14 | $17,175 27 | $4,044.87 |
| VALERO ENERGY CORP NEW | VLO | 91913Y100 | 425 | 08/28/12 | 07/24/13 | $14,686.08 | $12,071 02 | $2,615.06 |
| VALERO ENERGY CORP NEW | VLO | 91913Y100 | 203 | 10/18/12 | 07/24/13 | $7,014.77 | $5,562.15 | $1,452.62 |
| WESTLAKE CHEM CORP | WLK | 960413102 | 219 | 12/12/12 | 07/24/13 | $21,766.69 | $16,896.42 | $4,870.27 |
| AT&T INC | T | 00206R102 | 633 | 07/24/12 | 07/24/13 | $22,214 56 | $21,911.10 | $303.46 |
| EASTMAN CHEMICAL CO | EMN | 277432100 | 299 | 11/07/12 | 07/24/13 | $22,237 41 | $17,980.45 | $4,256.96 |
| INTERNATIONAL PAPER COMPANY C | IP | 460146103 | 490 | 12/20/12 | 07/24/13 | $23,227.94 | $19,419 19 | $3,808.75 |
| MYLAN LABS INC | MYL | 628530107 | 730 | 11/07/12 | 07/24/13 | $23,522.38 | $18,665.22 | $4,857.16 |
| FORD MOTOR CO DEL | F | 345370860 | 1348 | 01/10/13 | 07/24/13 | $23,589.58 | $18,586.90 | $5,002.68 |
| FIFTH THIRD BANCORP | FITB | 316773100 | 1241 | 01/17/13 | 07/24/13 | $24,233.82 | $20,141 43 | $4,092.39 |
| SUNTRUST BANKS INC | STI | 867914103 | 714 | 09/05/12 | 07/24/13 | $25,075.88 | $18,165 23 | $6,910.65 |
| CARMAX INC | KMX | 143130102 | 534 | 11/28/12 | 07/24/13 | $25,253.11 | $18,943 12 | $6,309.99 |
| LYONDELLBASELL INDU-CL A-W/I | LYB | N53745100 | 377 | 12/11/12 | 07/24/13 | $25,463.34 | $20,423 18 | $5,040.16 |
| TJX COS INC NEW | TJX | 872540109 | 496 | 11/14/12 | 07/24/13 | $25,518.06 | $20,823 52 | $4,694.54 |
| VALEANT PHARMACEUTICALS | VRX | 91911K102 | 286 | 12/13/12 | 07/24/13 | $26,116 09 | $16,805.25 | $9,310.84 |
| EXPRESS SCRIPTS HLDG CO | ESRX | 30219G108 | 393 | 08/22/12 | 07/24/13 | $26,313 92 | $23,872.94 | $2,440.98 |

BNY MELLON
WEALTH MANAGEMENT

FOUNDATION AVALON EQUITY-CUST

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| PHILLIPS 66 | PSX | 718546104 | 455 | 11/07/12 | 07/24/13 | $26,369.98 | $22,568.64 | $3,801 34 |
| CIGNA CORP COM | CI | 125509109 | 356 | 11/08/12 | 07/24/13 | $27,738 50 | $18,635.32 | $9,103 18 |
| CAPITAL ONE FINL CORP COM | COF | 14040H105 | 403 | 11/13/12 | 07/24/13 | $27,740.50 | $23,298.80 | $4,441.70 |
| HERTZ GLOBAL HLDGS INC | HTZ | 42805T105 | 1040 | 12/06/12 | 07/24/13 | $28,245.90 | $16,655.60 | $11,590.30 |
| MONDELEZ INTERNATIONAL INC | MDLZ | 609207105 | 931 | 12/20/12 | 07/24/13 | $28,514.07 | $24,233.93 | $4,280 14 |
| ILLINOIS TOOL WORKS INC COM | ITW | 452308109 | 403 | 08/28/12 | 07/24/13 | $28,799.68 | $23,947 19 | $4,852 49 |
| KROGER COMPANY COMMON | KR | 501044101 | 756 | 11/08/12 | 07/24/13 | $29,474.41 | $18,653 39 | $10,821.02 |
| AMGEN INC | AMGN | 031162100 | 289 | 09/10/12 | 07/24/13 | $30,768 02 | $24,285 77 | $6,482.25 |
| GENERAL MILLS INC COM | GIS | 370334104 | 605 | 08/29/12 | 07/24/13 | $30,895 60 | $24,007.91 | $6,887 69 |
| THERMO ELECTRON CORP | TMO | 883556102 | 342 | 11/28/12 | 07/24/13 | $31,147 78 | $21,284.27 | $9,863.51 |
| STARBUCKS CORP COM | SBUX | 855244109 | 468 | 11/15/12 | 07/24/13 | $31,352.17 | $22,757 81 | $8,594.36 |
| YAHOO INC | YHOO | 984332106 | 1151 | 11/07/12 | 07/24/13 | $31,545.48 | $20,101.41 | $11,444.07 |
| TWENTY FIRST CENTURY FOX INC | FOXA | 90130A101 | 1042 | 11/08/12 | 07/24/13 | $31,723.86 | $22,654 19 | $9,069.67 |
| WALGREEN COMPANY COMMON | WAG | 931422109 | 642 | 12/19/12 | 07/24/13 | $32,780 52 | $24,200.83 | $8,579 69 |
| HONEYWELL INTL INC | HON | 438516106 | 401 | 07/25/12 | 07/24/13 | $33,291.92 | $22,945.14 | $10,346.78 |
| REGIONS FINL CORP NEW | RF | 7591EP100 | 3346 | 07/25/12 | 07/24/13 | $34,463.19 | $23,014.46 | $11,448 73 |
| CISCO SYS INC | CSCO | 17275R102 | 1433 | 12/14/12 | 07/24/13 | $36,634.01 | $28,559 83 | $8,074.18 |
| GOLDMAN SACHS GROUP INC | GS | 38141G104 | 246 | 11/07/12 | 07/24/13 | $40,509.78 | $29,578.77 | $10,931.01 |
| PROCTER & GAMBLE CO COM | PG | 742718109 | 510 | 10/25/12 | 07/24/13 | $40,965 69 | $35,826 28 | $5,139.41 |
| GILEAD SCIENCES INC | GILD | 375558103 | 811 | 09/05/12 | 07/24/13 | $48,433 53 | $23,886.95 | $24,546 58 |
| ORACLE CORPORATION | ORCL | 68389X105 | 1502 | 12/31/12 | 07/24/13 | $48,659 74 | $49,986.41 | $-1,326 67 |
| JOHNSON & JOHNSON COM | JNJ | 478160104 | 639 | 10/25/12 | 07/24/13 | $58,804.93 | $45,492.33 | $13,312.60 |
| AMERICAN INTERNATIONAL GROUP | AIG | 026874784 | 722 | 11/02/12 | 07/24/13 | $33,135.61 | $24,063 32 | $9,072.29 |
| ORACLE CORPORATION | ORCL | 68389X105 | 570 | 10/18/12 | 07/25/13 | $18,254.73 | $17,683.91 | $570.82 |
| ORACLE CORPORATION | ORCL | 68389X105 | 5139 | 12/14/12 | 07/25/13 | $164,580.80 | $164,554 38 | $26.42 |
| ORACLE CORPORATION | ORCL | 68389X105 | 537 | 12/31/12 | 07/25/13 | $17,197.88 | $17,871 31 | $-673.43 |
| MOTOROLA INC | MSI | 620076307 | 3534 | 11/12/12 | 07/25/13 | $192,905 33 | $189,070 06 | $3,835 27 |
| MAXIM INTERGRATED PRODS INC | MXIM | 57772K101 | 5684 | 12/14/12 | 07/25/13 | $155,054 54 | $169,139 92 | $-14,085 38 |

BNY MELLON
WEALTH MANAGEMENT

FOUNDATION AVALON EQUITY-CUST

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| WEYERHAEUSER CO COM | WY | 962166104 | 7304 | 08/30/12 | 08/01/13 | $206,573 24 | $181,377.31 | $25,195 93 |
| FOOT LOCKER INC | FL | 344849104 | 4777 | 12/05/12 | 08/08/13 | $170,805 82 | $167,674.61 | $3,131.21 |
| PIER 1 IMPORTS INC | PIR | 720279108 | 2417 | 12/20/12 | 08/08/13 | $56,253 24 | $49,279.24 | $6,974.00 |
| PIER 1 IMPORTS INC | PIR | 720279108 | 3587 | 12/21/12 | 08/08/13 | $83,483.82 | $72,812.87 | $10,670.95 |
| GILEAD SCIENCES INC | GILD | 375558103 | 1731 | 09/05/12 | 08/12/13 | $101,157.35 | $50,984 36 | $50,172.99 |
| CANADIAN PAC RY LTD | CP | 13645T100 | 1732 | 08/30/12 | 08/16/13 | $210,169.34 | $142,908.18 | $67,261.16 |
| VALEANT PHARMACEUTICALS | VRX | 91911K102 | 2891 | 12/13/12 | 10/31/13 | $300,974.17 | $169,874 00 | $131,100.17 |
| HERTZ GLOBAL HLDGS INC | HTZ | 42805T105 | 10508 | 12/06/12 | 11/07/13 | $223,622.10 | $168,285.62 | $55,336 48 |
| NEWS CORP/NEW | NWSA | 65249B109 | 2632 | 11/08/12 | 11/08/13 | $45,966.81 | $30,856 88 | $15,109 93 |
| FORD MOTOR CO DEL | F | 345370860 | 3383 | 10/11/13 | 11/08/13 | $56,692.68 | $57,572.91 | $-880.23 |
| CARMAX INC | KMX | 143130102 | 5404 | 11/28/12 | 11/08/13 | $256,542 32 | $191,701.50 | $64,840 82 |
| FORD MOTOR CO DEL | F | 345370860 | 13621 | 01/10/13 | 11/08/13 | $228,262 18 | $187,813.16 | $40,449.02 |
| FORD MOTOR CO DEL | F | 345370860 | 3847 | 10/08/13 | 11/08/13 | $64,468 44 | $63,609.76 | $858.68 |
| **Total short term gain/loss from sales:** | | | | | | $13,377,528.16 | $11,616,256.41 | $1,761,271.75 |

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| APPLE COMPUTER INC COM | AAPL | 037833100 | 268 | 03/03/10 | 01/10/13 | $139,030.78 | $55,929 51 | $83,101.27 |
| COCA-COLA CO USD | KO | 191216100 | 2933 | 01/21/09 | 01/10/13 | $108,116.76 | $63,176 97 | $44,939.79 |
| APPLE COMPUTER INC COM | AAPL | 037833100 | 20 | 10/21/09 | 01/10/13 | $10,375.43 | $4,171.40 | $6,204.03 |
| APPLE COMPUTER INC COM | AAPL | 037833100 | 78 | 10/21/09 | 03/20/13 | $35,247.41 | $16,268 46 | $18,978.95 |
| PFIZER INC COM | PFE | 717081103 | 349 | 01/11/12 | 03/20/13 | $9,872.99 | $7,623 03 | $2,249.96 |
| ABBVIE INC | ABBV | 00287Y109 | 1593 | 01/11/12 | 03/20/13 | $61,918.52 | $58,868.28 | $3,050.24 |
| ABBOTT LABORATORIES | ABT | 002824100 | 1593 | 01/11/12 | 03/20/13 | $53,698.82 | $54,285 79 | $-586.97 |
| ACTAVIS INC | | 00507K103 | 285 | 09/29/11 | 03/20/13 | $25,559.93 | $20,209 15 | $5,350.78 |
| ACTAVIS INC | | 00507K103 | 339 | 11/17/11 | 03/20/13 | $30,402.87 | $22,017 78 | $8,385.09 |

FOUNDATION AVALON EQUITY-CUST

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| BIOGEN IDEC INC | BIIB | 09062X103 | 469 | 02/08/12 | 03/20/13 | $83,041 15 | $56,045 97 | $26,995.18 |
| BERKSHIRE HATHAWAY INC DEL CL | BRK B | 084670702 | 540 | 01/11/12 | 03/20/13 | $55,159 76 | $41,893.85 | $13,265.91 |
| CATERPILLAR INC | CAT | 149123101 | 756 | 11/16/10 | 03/20/13 | $65,611.76 | $61,009 95 | $4,601.81 |
| CHUBB CORPORATION COM | CB | 171232101 | 450 | 08/03/10 | 03/20/13 | $38,773.47 | $23,868 99 | $14,904.48 |
| CELGENE CORP | CELG | 151020104 | 887 | 11/17/11 | 03/20/13 | $99,574 07 | $57,734.83 | $41,839.24 |
| CHEVRONTEXACO CORP | CVX | 166764100 | 529 | 12/19/11 | 03/20/13 | $63,732 49 | $52,991 94 | $10,740.55 |
| CHEVRONTEXACO CORP | CVX | 166764100 | 541 | 01/21/09 | 03/20/13 | $65,178 22 | $37,921.61 | $27,256.61 |
| EOG RES INC | EOG | 26875P101 | 300 | 01/11/12 | 03/20/13 | $37,924 69 | $31,222.86 | $6,701.83 |
| GENERAL ELECTRIC CO | GE | 369604103 | 4615 | 01/30/12 | 03/20/13 | $107,850 13 | $86,862.14 | $20,987 99 |
| GOOGLE INC | GOOG | 38259P508 | 60 | 01/07/09 | 03/20/13 | $48,854 50 | $19,356.37 | $29,498 13 |
| HOME DEPOT INC USD 0 05 | HD | 437076102 | 1020 | 01/22/09 | 03/20/13 | $70,419.22 | $22,266.70 | $48,152.52 |
| INTERNATIONAL BUSINESS MACHINE | IBM | 459200101 | 314 | 03/05/09 | 03/20/13 | $67,566.54 | $27,656.62 | $39,909 92 |
| INTERNATIONAL BUSINESS MACHINE | IBM | 459200101 | 7 | 03/05/09 | 03/20/13 | $1,506.26 | $616.55 | $889 71 |
| INTEL CORPORATION | INTC | 458140100 | 1671 | 01/21/09 | 03/20/13 | $35,342.86 | $21,411 53 | $13,931.33 |
| J P MORGAN CHASE & CO | JPM | 46625H100 | 1901 | 12/19/11 | 03/20/13 | $93,584.13 | $58,443 21 | $35,140.92 |
| J P MORGAN CHASE & CO | JPM | 46625H100 | 232 | 10/04/11 | 03/20/13 | $11,421.10 | $6,699 97 | $4,721.13 |
| COCA-COLA CO USD | KO | 191216100 | 1461 | 01/21/09 | 03/20/13 | $58,175.71 | $31,470 01 | $26,705.70 |
| MONSANTO CO NEW | MON | 61166W101 | 542 | 01/12/12 | 03/20/13 | $55,849.19 | $43,783 52 | $12,065.67 |
| MERCK & CO INC | MRK | 58933Y105 | 1578 | 12/19/11 | 03/20/13 | $69,698 69 | $57,802 14 | $11,896.55 |
| UNITED TECHNOLOGIES CORP | UTX | 913017109 | 428 | 01/21/09 | 03/20/13 | $39,995.70 | $20,829.05 | $19,166 65 |
| WAL MART STORES INC | WMT | 931142103 | 606 | 01/22/09 | 03/20/13 | $44,315.78 | $29,587.71 | $14,728.07 |
| VISA INC | V | 92826C839 | 608 | 12/19/11 | 03/20/13 | $96,925.18 | $59,970.26 | $36,954 92 |
| PHILIP MORRIS INTERNATIONAL | PM | 718172109 | 180 | 06/21/05 | 03/20/13 | $16,480 43 | $6,263.61 | $10,216 82 |
| PHILIP MORRIS INTERNATIONAL | PM | 718172109 | 335 | 02/23/09 | 03/20/13 | $30,671 91 | $11,779.00 | $18,892.91 |
| PHILIP MORRIS INTERNATIONAL | PM | 718172109 | 141 | 06/24/05 | 03/20/13 | $12,909 67 | $4,900.60 | $8,009 07 |
| UNION PACIFIC CORP | UNP | 907818108 | 63 | 01/09/12 | 03/20/13 | $8,756 17 | $6,883.02 | $1,873 15 |
| PEPSICO INC | PEP | 713448108 | 190 | 01/21/09 | 03/20/13 | $14,509.97 | $9,455.29 | $5,054 68 |
| QUALCOMM INC | QCOM | 747525103 | 280 | 11/17/11 | 03/20/13 | $18,420.79 | $15,876.00 | $2,544.79 |

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| MICROSOFT CORP COM | MSFT | 594918104 | 2286 | 01/21/09 | 03/20/13 | $64,623.77 | $43,500 07 | $21,123.70 |
| EXXON MOBIL CORP | XOM | 30231G102 | 2335 | 12/19/11 | 03/20/13 | $207,086.50 | $186,425 94 | $20,660.56 |
| US BANCORP DEL | USB | 902973304 | 384 | 02/10/12 | 03/20/13 | $13,051.87 | $11,161.69 | $1,890.18 |
| US BANCORP DEL | USB | 902973304 | 2126 | 07/29/11 | 03/20/13 | $72,261.11 | $55,808 36 | $16,452.75 |
| D R HORTON INC | DHI | 23331A109 | 1923 | 02/16/12 | 03/20/13 | $48,900.79 | $27,844.08 | $21,056.71 |
| APPLE COMPUTER INC COM | AAPL | 037833100 | 336 | 01/21/10 | 03/20/13 | $151,834.99 | $70,046 82 | $81,788.17 |
| APPLE COMPUTER INC COM | AAPL | 037833100 | 62 | 01/21/10 | 05/09/13 | $28,454.40 | $12,925.31 | $15,529.09 |
| EXXON MOBIL CORP | XOM | 30231G102 | 958 | 12/19/11 | 05/09/13 | $86,991.44 | $76,486 53 | $10,504 91 |
| ABBOTT LABORATORIES | ABT | 002824100 | 652 | 01/11/12 | 05/09/13 | $23,612.89 | $22,218.66 | $1,394.23 |
| ABBVIE INC | ABBV | 00287Y109 | 652 | 01/11/12 | 05/09/13 | $28,732.99 | $24,094 23 | $4,638 76 |
| ACTAVIS INC | | 00507K103 | 255 | 11/17/11 | 05/09/13 | $27,293.02 | $16,562.04 | $10,730.98 |
| BIOGEN IDEC INC | BIIB | 09062X103 | 190 | 02/08/12 | 05/09/13 | $39,958.89 | $22,705 19 | $17,253 70 |
| BERKSHIRE HATHAWAY INC DEL CL | BRK.B | 084670702 | 416 | 01/11/12 | 05/09/13 | $46,115.31 | $32,273.78 | $13,841.53 |
| CATERPILLAR INC | CAT | 149123101 | 357 | 11/16/10 | 05/09/13 | $32,117 57 | $28,810.26 | $3,307 31 |
| CHUBB CORPORATION COM | CB | 171232101 | 267 | 08/03/10 | 05/09/13 | $23,911.31 | $14,162 27 | $9,749 04 |
| CELGENE CORP | CELG | 151020104 | 110 | 11/17/11 | 05/09/13 | $13,512.48 | $7,159 90 | $6,352 58 |
| CELGENE CORP | CELG | 151020104 | 253 | 12/19/11 | 05/09/13 | $31,078.71 | $16,315.01 | $14,763.70 |
| COMCAST CORP NEW CL A | CMCSA | 20030N101 | 398 | 02/15/12 | 05/09/13 | $17,084.88 | $11,478 96 | $5,605 92 |
| CVS CORP | CVS | 126650100 | 640 | 02/08/12 | 05/09/13 | $36,946.05 | $28,097 66 | $8,848 39 |
| CHEVRONTEXACO CORP | CVX | 166764100 | 439 | 01/21/09 | 05/09/13 | $54,073.31 | $30,771.88 | $23,301.43 |
| D R HORTON INC | DHI | 23331A109 | 1149 | 02/16/12 | 05/09/13 | $31,183.85 | $16,636.94 | $14,546.91 |
| EOG RES INC | EOG | 26875P101 | 179 | 01/11/12 | 05/09/13 | $24,429.08 | $18,629 64 | $5,799 44 |
| GENERAL ELECTRIC CO | GE | 369604103 | 1890 | 01/30/12 | 05/09/13 | $43,082.53 | $35,573 01 | $7,509 52 |
| GOOGLE INC | GOOG | 38259P508 | 58 | 01/07/09 | 05/09/13 | $50,396 81 | $18,711.16 | $31,685.65 |
| HOME DEPOT INC USD 0.05 | HD | 437076102 | 607 | 01/22/09 | 05/09/13 | $45,822.01 | $13,250 87 | $32,571 14 |
| INTERNATIONAL BUSINESS MACHINE | IBM | 459200101 | 131 | 03/05/09 | 05/09/13 | $26,622.84 | $11,538.27 | $15,084.57 |
| INTEL CORPORATION | INTC | 458140100 | 678 | 01/21/09 | 05/09/13 | $16,512.31 | $8,687 62 | $7,824.69 |
| J P MORGAN CHASE & CO | JPM | 46625H100 | 890 | 10/04/11 | 05/09/13 | $43,837.38 | $25,702.49 | $18,134.89 |

BNY MELLON
WEALTH MANAGEMENT

FOUNDATION AVALON EQUITY-CUST

## Long term transactions

This category includes sales of assets held more than 12 months

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| COCA-COLA CO USD | KO | 191216100 | 592 | 01/21/09 | 05/09/13 | $25,031 68 | $12,751.71 | $12,279 97 |
| MONSANTO CO NEW | MON | 61166W101 | 323 | 01/12/12 | 05/09/13 | $34,708.83 | $26,092 39 | $8,616.44 |
| MERCK & CO INC | MRK | 58933Y105 | 653 | 12/19/11 | 05/09/13 | $29,375.79 | $23,919 39 | $5,456 40 |
| MICROSOFT CORP COM | MSFT | 594918104 | 939 | 01/21/09 | 05/09/13 | $30,756.26 | $17,868 14 | $12,888 12 |
| NATIONAL-OILWELL INC | NOV | 637071101 | 361 | 02/08/12 | 05/09/13 | $24,512.65 | $29,664.89 | $-5,152 24 |
| PFIZER INC COM | PFE | 717081103 | 1892 | 01/11/12 | 05/09/13 | $53,835.27 | $41,326 01 | $12,509 26 |
| PEPSICO INC | PEP | 713448108 | 368 | 01/21/09 | 05/09/13 | $30,600.50 | $18,313.41 | $12,287.09 |
| PHILIP MORRIS INTERNATIONAL | PM | 718172109 | 196 | 06/24/05 | 05/09/13 | $18,377.99 | $6,812 18 | $11,565.81 |
| PHILIP MORRIS INTERNATIONAL | PM | 718172109 | 73 | 05/18/05 | 05/09/13 | $6,844.87 | $2,536.05 | $4,308.82 |
| QUALCOMM INC | QCOM | 747525103 | 105 | 11/17/11 | 05/09/13 | $6,754.41 | $5,944 05 | $810.36 |
| QUALCOMM INC | QCOM | 747525103 | 231 | 11/17/11 | 05/09/13 | $14,859 71 | $13,097.70 | $1,762.01 |
| QUALCOMM INC | QCOM | 747525103 | 217 | 12/19/11 | 05/09/13 | $13,959.12 | $11,407.52 | $2,551.60 |
| UNION PACIFIC CORP | UNP | 907818108 | 274 | 01/09/12 | 05/09/13 | $42,377 89 | $29,935.68 | $12,442 21 |
| US BANCORP DEL | USB | 902973304 | 1030 | 07/29/11 | 05/09/13 | $34,479.09 | $27,037.91 | $7,441.18 |
| UNITED TECHNOLOGIES CORP | UTX | 913017109 | 174 | 01/21/09 | 05/09/13 | $16,542.55 | $8,467.88 | $8,074 67 |
| VISA INC | V | 92826C839 | 250 | 12/19/11 | 05/09/13 | $44,758.49 | $24,658 82 | $20,099.67 |
| WELLS FARGO & CO NEW | WFC | 949746101 | 1060 | 01/09/12 | 05/09/13 | $40,571.54 | $30,996 84 | $9,574.70 |
| WAL MART STORES INC | WMT | 931142103 | 248 | 01/22/09 | 05/09/13 | $19,444.25 | $12,108 50 | $7,335.75 |
| APPLE COMPUTER INC COM | AAPL | 037833100 | 107 | 11/23/09 | 05/09/13 | $49,106.78 | $21,935 54 | $27,171.24 |
| APPLE COMPUTER INC COM | AAPL | 037833100 | 1 | 11/23/09 | 07/24/13 | $442.02 | $205 00 | $237.02 |
| APPLE COMPUTER INC COM | AAPL | 037833100 | 141 | 01/22/10 | 07/24/13 | $62,324 86 | $28,291.83 | $34,033 03 |
| ABBVIE INC | ABBV | 00287Y109 | 92 | 01/11/12 | 07/24/13 | $3,999 89 | $3,399.80 | $600 09 |
| ABBVIE INC | ABBV | 00287Y109 | 460 | 12/19/11 | 07/24/13 | $19,999 44 | $13,045.04 | $6,954 40 |
| ABBOTT LABORATORIES | ABT | 002824100 | 92 | 01/11/12 | 07/24/13 | $3,342.17 | $3,135.15 | $207.02 |
| ABBOTT LABORATORIES | ABT | 002824100 | 460 | 12/19/11 | 07/24/13 | $16,710 87 | $12,029.56 | $4,681 31 |
| ACTAVIS INC | | 00507K103 | 216 | 11/17/11 | 07/24/13 | $27,174 67 | $14,029.03 | $13,145 64 |
| BIOGEN IDEC INC | BIIB | 09062X103 | 161 | 02/08/12 | 07/24/13 | $36,171.69 | $19,239.66 | $16,932.03 |
| BALL CORP | BLL | 058498106 | 341 | 12/19/11 | 07/24/13 | $15,462 10 | $11,772.07 | $3,690.03 |

FOUNDATION AVALON EQUITY-CUST

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| BERKSHIRE HATHAWAY INC DEL CL | BRK B | 084670702 | 351 | 01/11/12 | 07/24/13 | $40,940.13 | $27,231.00 | $13,709.13 |
| CATERPILLAR INC | CAT | 149123101 | 302 | 11/16/10 | 07/24/13 | $25,326.39 | $24,371 70 | $954.69 |
| CHUBB CORPORATION COM | CB | 171232101 | 226 | 08/03/10 | 07/24/13 | $19,489.45 | $11,987.54 | $7,501.91 |
| INTEL CORPORATION | INTC | 458140100 | 573 | 01/21/09 | 07/24/13 | $13,101.42 | $7,342 19 | $5,759 23 |
| UNITED TECHNOLOGIES CORP | UTX | 913017109 | 147 | 01/21/09 | 07/24/13 | $15,324.60 | $7,153.90 | $8,170.70 |
| WAL MART STORES INC | WMT | 931142103 | 211 | 01/22/09 | 07/24/13 | $16,431 19 | $10,301 99 | $6,129 20 |
| PHILIP MORRIS INTERNATIONAL | PM | 718172109 | 104 | 05/18/05 | 07/24/13 | $9,169 45 | $3,613 00 | $5,556.45 |
| PHILIP MORRIS INTERNATIONAL | PM | 718172109 | 124 | 02/28/05 | 07/24/13 | $10,932.80 | $4,265.02 | $6,667 78 |
| COCA-COLA CO USD | KO | 191216100 | 366 | 01/21/09 | 07/24/13 | $14,949 01 | $7,883.66 | $7,065.35 |
| COCA-COLA CO USD | KO | 191216100 | 134 | 01/22/09 | 07/24/13 | $5,473.13 | $2,876.98 | $2,596.15 |
| D R HORTON INC | DHI | 23331A109 | 972 | 02/16/12 | 07/24/13 | $20,849 03 | $14,074.07 | $6,774.96 |
| INTERNATIONAL BUSINESS MACHINI | IBM | 459200101 | 111 | 03/05/09 | 07/24/13 | $21,843.10 | $9,776.70 | $12,066.40 |
| EOG RES INC | EOG | 26875P101 | 151 | 01/11/12 | 07/24/13 | $22,077 17 | $15,715 51 | $6,361.66 |
| MICROSOFT CORP COM | MSFT | 594918104 | 794 | 01/21/09 | 07/24/13 | $25,366.10 | $15,108.95 | $10,257.15 |
| NATIONAL-OILWELL INC | NOV | 637071101 | 356 | 02/08/12 | 07/24/13 | $25,659 57 | $29,254 02 | $-3,594.45 |
| MERCK & CO INC | MRK | 58933Y105 | 433 | 12/19/11 | 07/24/13 | $20,594.81 | $15,860.79 | $4,734.02 |
| MERCK & CO INC | MRK | 58933Y105 | 118 | 11/17/11 | 07/24/13 | $5,612.44 | $4,151 24 | $1,461.20 |
| PEPSICO INC | PEP | 713448108 | 311 | 01/21/09 | 07/24/13 | $26,754.05 | $15,476 82 | $11,277.23 |
| TARGET CORP | TGT | 87612E106 | 374 | 07/13/12 | 07/24/13 | $27,344.49 | $22,936.37 | $4,408.12 |
| MONSANTO CO NEW | MON | 61166W101 | 272 | 01/12/12 | 07/24/13 | $27,697.32 | $21,972 54 | $5,724.78 |
| QUALCOMM INC | QCOM | 747525103 | 468 | 12/19/11 | 07/24/13 | $28,949.92 | $24,602.39 | $4,347.53 |
| US BANCORP DEL | USB | 902973304 | 163 | 07/29/11 | 07/24/13 | $6,103.48 | $4,278 82 | $1,824.66 |
| US BANCORP DEL | USB | 902973304 | 708 | 12/19/11 | 07/24/13 | $26,510.81 | $18,189 80 | $8,321 01 |
| UNION PACIFIC CORP | UNP | 907818108 | 231 | 01/09/12 | 07/24/13 | $36,914.95 | $25,237 74 | $11,677.21 |
| CVS CORP | CVS | 126650100 | 622 | 02/08/12 | 07/24/13 | $38,188.70 | $27,307.42 | $10,881.28 |
| VISA INC | V | 92826C839 | 73 | 12/19/11 | 07/24/13 | $13,658.79 | $7,200 38 | $6,458.41 |
| VISA INC | V | 92826C839 | 137 | 11/17/11 | 07/24/13 | $25,633.62 | $12,823.20 | $12,810.42 |
| GENERAL ELECTRIC CO | GE | 369604103 | 1599 | 01/30/12 | 07/24/13 | $39,334.71 | $30,095 90 | $9,238.81 |

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| HOME DEPOT INC USD 0 05 | HD | 437076102 | 514 | 01/22/09 | 07/24/13 | $41,047 78 | $11,220.67 | $29,827.11 |
| CELGENE CORP | CELG | 151020104 | 307 | 12/19/11 | 07/24/13 | $41,492 07 | $19,797.26 | $21,694 81 |
| J P MORGAN CHASE & CO | JPM | 46625H100 | 251 | 10/04/11 | 07/24/13 | $14,159.69 | $7,248.68 | $6,911.01 |
| J P MORGAN CHASE & CO | JPM | 46625H100 | 502 | 01/21/09 | 07/24/13 | $28,319 39 | $10,363.99 | $17,955 40 |
| COMCAST CORP NEW CL A | CMCSA | 20030N101 | 985 | 02/15/12 | 07/24/13 | $44,348.65 | $28,408.98 | $15,939.67 |
| GOOGLE INC | GOOG | 38259P508 | 49 | 01/07/09 | 07/24/13 | $44,374.88 | $15,807.70 | $28,567 18 |
| CHEVRONTEXACO CORP | CVX | 166764100 | 123 | 03/23/09 | 07/24/13 | $15,506 86 | $8,312 34 | $7,194.52 |
| CHEVRONTEXACO CORP | CVX | 166764100 | 88 | 08/21/09 | 07/24/13 | $11,094.34 | $6,137.12 | $4,957.22 |
| CHEVRONTEXACO CORP | CVX | 166764100 | 4 | 01/21/09 | 07/24/13 | $504 29 | $280.38 | $223 91 |
| CHEVRONTEXACO CORP | CVX | 166764100 | 156 | 10/18/06 | 07/24/13 | $19,667.23 | $10,203.83 | $9,463 40 |
| PFIZER INC COM | PFE | 717081103 | 419 | 01/11/12 | 07/24/13 | $12,247.16 | $9,152 01 | $3,095.15 |
| PFIZER INC COM | PFE | 717081103 | 1182 | 12/19/11 | 07/24/13 | $34,549 25 | $25,211 35 | $9,337.90 |
| WELLS FARGO & CO NEW | WFC | 949746101 | 1178 | 01/09/12 | 07/24/13 | $52,149.15 | $34,447.43 | $17,701 72 |
| EXXON MOBIL CORP | XOM | 30231G102 | 325 | 12/19/11 | 07/24/13 | $30,753 04 | $25,947.93 | $4,805 11 |
| EXXON MOBIL CORP | XOM | 30231G102 | 486 | 10/18/10 | 07/24/13 | $45,987.63 | $32,138 35 | $13,849.28 |
| CATERPILLAR INC | CAT | 149123101 | 50 | 04/09/10 | 07/25/13 | $4,072.21 | $3,246.50 | $825.71 |
| CATERPILLAR INC | CAT | 149123101 | 260 | 12/30/09 | 07/25/13 | $21,175 51 | $15,095 60 | $6,079.91 |
| CATERPILLAR INC | CAT | 149123101 | 10 | 09/10/09 | 07/25/13 | $814 44 | $487.30 | $327.14 |
| CATERPILLAR INC | CAT | 149123101 | 2310 | 11/16/10 | 07/25/13 | $188,136 29 | $186,419.31 | $1,716 98 |
| CATERPILLAR INC | CAT | 149123101 | 353 | 10/04/11 | 07/25/13 | $28,749.83 | $24,519 35 | $4,230.48 |
| CATERPILLAR INC | CAT | 149123101 | 67 | 11/10/10 | 07/25/13 | $5,456.77 | $4,795 76 | $661.01 |
| ORACLE CORPORATION | ORCL | 68389X105 | 1671 | 07/13/12 | 07/25/13 | $53,515.18 | $49,202 76 | $4,312.42 |
| MONSANTO CO NEW | MON | 61166W101 | 2756 | 01/12/12 | 08/01/13 | $270,372 95 | $222,633.54 | $47,739 41 |
| TARGET CORP | TGT | 87612E106 | 3789 | 07/13/12 | 08/05/13 | $270,639.76 | $232,368.76 | $38,271.00 |
| CHUBB CORPORATION COM | CB | 171232101 | 2286 | 08/03/10 | 08/05/13 | $196,666.64 | $121,254.46 | $75,412.18 |
| BALL CORP | BLL | 058498106 | 1413 | 12/19/11 | 08/08/13 | $63,240 26 | $48,779.87 | $14,460 39 |
| BALL CORP | BLL | 058498106 | 1292 | 11/17/11 | 08/08/13 | $57,824.78 | $44,358.11 | $13,466.67 |
| BALL CORP | BLL | 058498106 | 265 | 10/04/11 | 08/08/13 | $11,860.35 | $8,089.92 | $3,770.43 |

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| BALL CORP | BLL | 058498106 | 1288 | 09/30/11 | 08/08/13 | $57,645.75 | $40,585 53 | $17,060.22 |
| HOME DEPOT INC USD 0.05 | HD | 437076102 | 2227 | 01/22/09 | 08/09/13 | $175,861.12 | $48,615 63 | $127,245.49 |
| VISA INC | V | 92826C839 | 703 | 11/17/11 | 08/09/13 | $126,559.87 | $65,800 80 | $60,759.07 |
| VISA INC | V | 92826C839 | 63 | 11/17/11 | 08/09/13 | $11,341.78 | $5,850 48 | $5,491 30 |
| VISA INC | V | 92826C839 | 226 | 07/28/11 | 08/09/13 | $40,686.39 | $19,995 53 | $20,690 86 |
| CELGENE CORP | CELG | 151020104 | 819 | 12/19/11 | 08/12/13 | $114,757 67 | $52,814.20 | $61,943 47 |
| BIOGEN IDEC INC | BIIB | 09062X103 | 1624 | 02/08/12 | 08/12/13 | $332,253.24 | $194,069 62 | $138,183 62 |
| D R HORTON INC | DHI | 23331A109 | 9818 | 02/16/12 | 08/16/13 | $191,201 23 | $142,159.73 | $49,041.50 |
| ACTAVIS INC | | 00507K103 | 2183 | 12/19/11 | 10/01/13 | $314,373 83 | $132,516.90 | $181,856.93 |
| GAP INC | GPS | 364760108 | 4198 | 09/12/12 | 10/11/13 | $153,544 21 | $149,315.73 | $4,228.48 |
| C S T BRANDS INC | CST | 12646R105 | 54.11 | 10/18/12 | 11/08/13 | $1,733.90 | $1,264 58 | $469.32 |
| C S T BRANDS INC | CST | 12646R105 | 648 89 | 08/22/12 | 11/08/13 | $20,792.49 | $14,890.85 | $5,901.64 |
| **Total long term gain/loss from sales:** | | | | | | $7,698,236.01 | $5,059,652 54 | $2,638,583.47 |

BNY MELLON
WEALTH MANAGEMENT

FOUNDATION AVALON FIXED-CUST-SUB

## Income for 2013

This section reports your proceeds from sales during the year We are not required nor do we report your net gains and losses to the Internal Revenue Service. An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for the current year's return of capital. A schedule of your net gains and losses is shown below. Please note that if you have sold an asset for which we do not have cost basis information, it is either shown separately in the section entitled Cost Not Available or it may appear with a zero tax cost. Please review these carefully before preparing your tax return.

Additionally, to provide you with complete information for your tax returns, we have shown IRC Section 988 translation gains and losses separately within the sales sections. Please note these gains or losses are not entitled to capital gains treatment. Rather, under IRC Section 988, they are either ordinary income or loss.

### Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| CONNECTICUT ST HEALTH & EDL FA | CSH0036 | 20774LRU1 | 100000 | 11/07/12 | 01/16/13 | $100,000.00 | $100,000 00 | $0.00 |
| CONNECTICUT ST HEALTH & EDL FA | CSH0036 | 20774LRU1 | 115000 | 11/06/12 | 01/16/13 | $115,000 00 | $115,000.00 | $0.00 |
| SAMI 2004-AR3 1A1 0.837% 7 | S210834 | 86359LBX6 | 464 75 | 08/24/12 | 01/19/13 | $464 75 | $425.54 | $39 21 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 5351 12 | 08/29/12 | 01/20/13 | $5,351.12 | $5,197.28 | $153.84 |
| WFMBS 2003-B A2 2.48964% 2 | | 94980UAB6 | 420 69 | 07/25/12 | 01/25/13 | $420.69 | $393 35 | $27.34 |
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 1297.13 | 07/16/12 | 01/25/13 | $1,297.13 | $1,180 38 | $116.75 |
| RAST 2004-IP2 3A1 2 6938% 12 | | 45660LAR0 | 456.44 | 09/18/12 | 01/25/13 | $456.44 | $434.19 | $22.25 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 3626.52 | 07/19/12 | 01/25/13 | $3,626.52 | $3,553 99 | $72.53 |
| SASC 2003-37A 2A | | 86359BBS9 | 1223.59 | 07/18/12 | 01/25/13 | $1,223 59 | $1,174.64 | $48.95 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 1635.05 | 07/18/12 | 01/25/13 | $1,635 05 | $1,545.12 | $89.93 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 2388.17 | 08/27/12 | 01/25/13 | $2,388 17 | $2,053.83 | $334.34 |
| SASC 2003-24A 3A2 2 74949% 7 | | 86359AG98 | 4408.87 | 08/02/12 | 01/25/13 | $4,408 87 | $4,222.87 | $186.00 |
| SARM 2004-1 4A3 2 778% 2 | S242934A | 86359BGH8 | 1502 36 | 08/15/12 | 01/25/13 | $1,502.36 | $1,461.05 | $41 31 |
| GSR 2004-14 1A1 0.5762% 12 | | 36242DPB3 | 297 3 | 07/18/12 | 01/25/13 | $297 30 | $237.19 | $60.11 |

FOUNDATION AVALON FIXED-CUST-SUB

## Short term transactions

This category includes sales of assets held 12 months or less

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FNMA REMIC2007-51 0.4107% 6 | FR00437 | 31396WGZ3 | 11980 | 10/16/12 | 01/25/13 | $11,980.00 | $11,996.85 | $-16.85 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 70.49 | 08/16/12 | 01/25/13 | $70.49 | $57 80 | $12.69 |
| RBSSP 2009-5 4A4 0 7355% 10/26 | | 74928WAP8 | 5150.42 | 08/03/12 | 01/28/13 | $5,150.42 | $4,686 88 | $463.54 |
| CONNECTICUT ST HEALTH & EDL FA | CSH0036 | 20774LRU1 | 100000 | 11/08/12 | 02/15/13 | $100,000 00 | $100,000 00 | $0 00 |
| CONNECTICUT ST HEALTH & EDL FA | CSH0036 | 20774LRU1 | 565000 | 11/07/12 | 02/15/13 | $565,000.00 | $565,000 00 | $0.00 |
| FHLMC GOLD J16981 3.0% 10 | J16981F | 3128PWXJ2 | 6345 68 | 01/03/13 | 02/15/13 | $6,345 68 | $6,750.22 | $-404 54 |
| SAMI 2004-AR3 1A1 0 837% 7 | S210834 | 86359LBX6 | 2112.11 | 08/24/12 | 02/19/13 | $2,112.11 | $1,933.90 | $178.21 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 6426 22 | 08/29/12 | 02/20/13 | $6,426 22 | $6,241.47 | $184.75 |
| WFMBS 2003-B A2 2 48964% 2 | | 94980UAB6 | 6262.11 | 07/25/12 | 02/25/13 | $6,262.11 | $5,855.07 | $407.04 |
| GSR 2004-14 1A1 0.5762% 12 | | 36242DPB3 | 399 8 | 07/18/12 | 02/25/13 | $399.80 | $318 97 | $80.83 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 18515.32 | 07/18/12 | 02/25/13 | $18,515.32 | $17,496 98 | $1,018.34 |
| FNMA POOL MA1059 3 5% 5 | MA1059A | 31418AE95 | 7140.34 | 05/08/12 | 02/25/13 | $7,140.34 | $7,535 29 | $-394.95 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 2678.63 | 07/19/12 | 02/25/13 | $2,678.63 | $2,625.06 | $53 57 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 1381.55 | 08/16/12 | 02/25/13 | $1,381.55 | $1,132 87 | $248.68 |
| SASC 2003-37A 2A | | 86359BBS9 | 1633.45 | 07/18/12 | 02/25/13 | $1,633.45 | $1,568 10 | $65.35 |
| FNMA REMIC2007-51 0 4107% 6 | FR00437 | 31396WGZ3 | 152.16 | 10/16/12 | 02/25/13 | $152.16 | $152.37 | $-0 21 |
| RAST 2004-IP2 3A1 2.6938% 12 | | 45660LAR0 | 9294.29 | 09/18/12 | 02/25/13 | $9,294.29 | $8,841 19 | $453 10 |
| SASC 2003-24A 3A2 2 74949% 7 | | 86359AG98 | 531.09 | 08/02/12 | 02/25/13 | $531 09 | $508.68 | $22.41 |
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 1301.42 | 07/16/12 | 02/25/13 | $1,301 42 | $1,184.29 | $117 13 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 2393.65 | 08/27/12 | 02/25/13 | $2,393 65 | $2,058.54 | $335.11 |
| SARM 2004-1 4A3 2 778% 2 | S242934A | 86359BGH8 | 354 79 | 08/15/12 | 02/25/13 | $354.79 | $345.03 | $9 76 |
| RBSSP 2009-5 4A4 0.7355% 10/26 | | 74928WAP8 | 1678 73 | 08/03/12 | 02/26/13 | $1,678.73 | $1,527.64 | $151 09 |
| FNR 2011-129 VM 4 0% 5 | | 3136A2NE9 | 600000 | 03/14/12 | 03/12/13 | $619,875 00 | $633,000.00 | $-13,125.00 |
| FHLMC GOLD J16981 3 0% 10 | J16981F | 3128PWXJ2 | 2939 02 | 01/03/13 | 03/15/13 | $2,939 02 | $3,126.38 | $-187.36 |
| SAMI 2004-AR3 1A1 0 837% 7 | S210834 | 86359LBX6 | 3921.81 | 08/24/12 | 03/19/13 | $3,921 81 | $3,590.91 | $330.90 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 566 96 | 08/29/12 | 03/20/13 | $566.96 | $550.66 | $16 30 |
| GNMA REMIC 2012-56 GC 3 5% 6 | GR23540 | 38375CMZ0 | 235902 3 | 02/12/13 | 03/20/13 | $235,902 30 | $236,492.05 | $-589.75 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 65.08 | 08/16/12 | 03/25/13 | $65 08 | $53.37 | $11 71 |

BNY MELLON
WEALTH MANAGEMENT

FOUNDATION AVALON FIXED-CUST-SUB

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| SASC 2003-24A 3A2 2.74949% 7 | | 86359AG98 | 479.56 | 08/02/12 | 03/25/13 | $479.56 | $459 33 | $20.23 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 895.36 | 07/19/12 | 03/25/13 | $895 36 | $877.45 | $17.91 |
| FNMA POOL MA1059 3.5% 5 | MA1059A | 31418AE95 | 7011 15 | 05/08/12 | 03/25/13 | $7,011 15 | $7,398.95 | $-387 80 |
| SASC 2003-37A 2A | | 86359BBS9 | 1645 85 | 07/18/12 | 03/25/13 | $1,645 85 | $1,580.00 | $65.85 |
| SARM 2004-1 4A3 2.778% 2 | S242934A | 86359BGH8 | 279 26 | 08/15/12 | 03/25/13 | $279 26 | $271.58 | $7.68 |
| GSR 2004-14 1A1 0 5762% 12 | | 36242DPB3 | 287.2 | 07/18/12 | 03/25/13 | $287.20 | $229.13 | $58 07 |
| WFMBS 2003-B A2 2.48964% 2 | | 94980UAB6 | 3527.94 | 07/25/12 | 03/25/13 | $3,527.94 | $3,298.62 | $229.32 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 9667.08 | 07/18/12 | 03/25/13 | $9,667.08 | $9,135.39 | $531 69 |
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 1329.42 | 07/16/12 | 03/25/13 | $1,329.42 | $1,209 77 | $119.65 |
| RAST 2004-IP2 3A1 2 6938% 12 | | 45660LAR0 | 420 83 | 09/18/12 | 03/25/13 | $420 83 | $400.31 | $20.52 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 3286.11 | 08/27/12 | 03/25/13 | $3,286.11 | $2,826.05 | $460.06 |
| FNMA REMIC2007-51 0 4107% 6 | FR00437 | 31396WGZ3 | 4899 92 | 10/16/12 | 03/25/13 | $4,899 92 | $4,906.81 | $-6.89 |
| RBSSP 2009-5 4A4 0.7355% 10/26 | | 74928WAP8 | 2753 68 | 08/03/12 | 03/26/13 | $2,753.68 | $2,505.85 | $247.83 |
| CONNECTICUT ST HSG FI 0.07% 5 | CSH0039 | 20775BLX2 | 365000 | 03/27/13 | 04/03/13 | $365,000.00 | $365,000 00 | $0.00 |
| COLORADO ST DEPT OF 0.963% 12 | | 196454GD8 | 300000 | 03/08/13 | 04/11/13 | $302,193.00 | $300,000 00 | $2,193.00 |
| FHR 04173 2.5% 7 | FRS2542 | 3137B0HM9 | 3520.15 | 03/20/13 | 04/15/13 | $3,520 15 | $3,528.95 | $-8.80 |
| FHLMC GOLD J16981 3.0% 10 | J16981F | 3128PWXJ2 | 10765.12 | 01/03/13 | 04/15/13 | $10,765.12 | $11,451.40 | $-686 28 |
| PHILADELPHIA PA HOSPS & HIGHER | PPH0121 | 717903ZG6 | 500000 | 03/27/13 | 04/16/13 | $500,000 00 | $500,000.00 | $0.00 |
| NEW YORK ST DORM AUT 0 26% 7/0 | NYS0031 | 64983M2X5 | 500000 | 03/27/13 | 04/16/13 | $500,000.00 | $500,000.00 | $0.00 |
| MISSOURI ST HEALTH & EDL FACS | MSH0234 | 60635HXW4 | 585000 | 03/27/13 | 04/16/13 | $585,000.00 | $585,000.00 | $0.00 |
| NEW HAMPSHIRE HLTH 3 79% 6 | NHH0231 | 644614RY7 | 500000 | 03/27/13 | 04/16/13 | $500,000.00 | $500,000 00 | $0.00 |
| MASSACHUSETTS ST DEV 9.0% 10 | MSD0042 | 57583RWB7 | 325000 | 03/27/13 | 04/18/13 | $325,000.00 | $325,000.00 | $0.00 |
| NEW HAMPSHIRE HLTH 3.79% 6 | NHH0231 | 644614RY7 | 500000 | 03/27/13 | 04/18/13 | $500,000 00 | $500,000.00 | $0 00 |
| PHILADELPHIA PA HOSPS & HIGHER | PPH0121 | 717903ZG6 | 500000 | 03/27/13 | 04/18/13 | $500,000 00 | $500,000.00 | $0.00 |
| SAMI 2004-AR3 1A1 0 837% 7 | S210834 | 86359LBX6 | 3872.11 | 08/24/12 | 04/19/13 | $3,872.11 | $3,545.40 | $326 71 |
| GNMA REMIC 2012-56 GC 3 5% 6 | GR23540 | 38375CMZ0 | 271481.2 | 02/12/13 | 04/20/13 | $271,481 20 | $272,159.90 | $-678.70 |
| SEMT 2004--9 A1 0 5392% 10 | S2A0534 | 81744FDV6 | 15467.3 | 04/15/13 | 04/20/13 | $15,467.30 | $14,732.60 | $734 70 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 3558.43 | 08/29/12 | 04/20/13 | $3,558.43 | $3,456.13 | $102 30 |

FOUNDATION AVALON FIXED-CUST-SUB

## Short term transactions

This category includes sales of assets held 12 months or less

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 24195.57 | 07/16/12 | 04/25/13 | $24,195.57 | $22,017 88 | $2,177.69 |
| SASC 2003-24A 3A2 2.74949% 7 | | 86359AG98 | 442.97 | 08/02/12 | 04/25/13 | $442.97 | $424 28 | $18.69 |
| FNMA REMIC 2013-14 QE 1 75% 3 | FR21743 | 3136AC4R9 | 3375.33 | 03/20/13 | 04/25/13 | $3,375.33 | $3,405 39 | $-30.06 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 65.02 | 08/16/12 | 04/25/13 | $65.02 | $53.32 | $11.70 |
| FNMA POOL # AB2446 3.5% 3 | AB2446A | 31416XWG1 | 16226.05 | 03/26/13 | 04/25/13 | $16,226 05 | $17,356.80 | $-1,130.75 |
| FNMA POOL MA1059 3 5% 5 | MA1059A | 31418AE95 | 5941 31 | 05/08/12 | 04/25/13 | $5,941.31 | $6,269 94 | $-328 63 |
| SARM 2004-1 4A3 2.778% 2 | S242934A | 86359BGH8 | 4908 83 | 08/15/12 | 04/25/13 | $4,908 83 | $4,773.84 | $134.99 |
| WFMBS 2003-B A2 2.48964% 2 | | 94980UAB6 | 7622.4 | 07/25/12 | 04/25/13 | $7,622 40 | $7,126.94 | $495.46 |
| SASC 2003-37A 2A | | 86359BBS9 | 2070 25 | 07/18/12 | 04/25/13 | $2,070.25 | $1,987.42 | $82 83 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 3383 48 | 08/27/12 | 04/25/13 | $3,383 48 | $2,909.79 | $473 69 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 10546.27 | 07/18/12 | 04/25/13 | $10,546 27 | $9,966.23 | $580.04 |
| NAA 2004-AR2 3A1 0 9733% 10/25 | | 65535VET1 | 2029 2 | 03/28/13 | 04/25/13 | $2,029.20 | $2,024.13 | $5.07 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 1110.41 | 07/19/12 | 04/25/13 | $1,110.41 | $1,088.20 | $22.21 |
| RAST 2004-IP2 3A1 2.6938% 12 | | 45660LAR0 | 714 67 | 09/18/12 | 04/25/13 | $714.67 | $679 83 | $34.84 |
| FNMA REMIC2007-51 0 4107% 6 | FR00437 | 31396WGZ3 | 14806 68 | 10/16/12 | 04/25/13 | $14,806 68 | $14,827.50 | $-20.82 |
| RBSSP 2009-5 4A4 0.7355% 10/26 | | 74928WAP8 | 11458.22 | 08/03/12 | 04/26/13 | $11,458.22 | $10,426 98 | $1,031.24 |
| HOUSTON TEX HIGHER ED FIN CORF | HTH0148 | 442378DV4 | 1000000 | 03/27/13 | 05/01/13 | $1,000,000.00 | $1,000,000 00 | $0.00 |
| SEMT 2004--9 A1 0.5392% 10 | S2A0534 | 81744FDV6 | 1379247.7 | 04/15/13 | 05/07/13 | $1,334,422.15 | $1,313,733.44 | $20,688.71 |
| HARRIS CNTY TX HLTH 0.19% 12/ | HCT0041 | 41315RGU2 | 1350000 | 05/08/13 | 05/09/13 | $1,350,000.00 | $1,350,000.00 | $0.00 |
| FHLMC GOLD J16981 3.0% 10 | J16981F | 3128PWXJ2 | 5566.16 | 01/03/13 | 05/15/13 | $5,566.16 | $5,921 00 | $-354.84 |
| FHR 04173 2 5% 7 | FRS2542 | 3137B0HM9 | 39629.63 | 03/20/13 | 05/15/13 | $39,629.63 | $39,728 70 | $-99.07 |
| SEMT 2004--9 A1 0.5392% 10 | S2A0534 | 81744FDV6 | 742720.71 | 05/17/13 | 05/17/13 | $718,582.29 | $713,011.88 | $5,570.41 |
| SAMI 2004-AR3 1A1 0.837% 7 | S210834 | 86359LBX6 | 603.46 | 08/24/12 | 05/19/13 | $603.46 | $552.54 | $50.92 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 567.23 | 08/29/12 | 05/20/13 | $567.23 | $550 92 | $16.31 |
| UNITED STATES TREASURY BILL 5 | | 912796BE8 | 1000000 | 05/21/13 | 05/24/13 | $999,019.15 | $999,019 15 | $0.00 |
| WFMBS 2003-B A2 2 48964% 2 | | 94980UAB6 | 2792.67 | 07/25/12 | 05/25/13 | $2,792.67 | $2,611 15 | $181.52 |
| SARM 2004-1 4A3 2 778% 2 | S242934A | 86359BGH8 | 754.72 | 08/15/12 | 05/25/13 | $754.72 | $733 97 | $20.75 |
| FNMA POOL # AB2446 3.5% 3 | AB2446A | 31416XWG1 | 14412.1 | 03/26/13 | 05/25/13 | $14,412.10 | $15,416.44 | $-1,004.34 |

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FOUNDATION AVALON FIXED-CUST-SUB

## Short term transactions

This category includes sales of assets held 12 months or less

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 57.87 | 08/16/12 | 05/25/13 | $57.87 | $47.45 | $10.42 |
| GSR 2004-14 1A1 0 5762% 12 | | 36242DPB3 | 372.32 | 07/18/12 | 05/25/13 | $372.32 | $297 04 | $75.28 |
| FNMA REMIC 2013-14 QE 1.75% 3 | FR21743 | 3136AC4R9 | 3485 27 | 03/20/13 | 05/25/13 | $3,485 27 | $3,516.31 | $-31.04 |
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 1438.66 | 07/16/12 | 05/25/13 | $1,438.66 | $1,309.18 | $129 48 |
| RAST 2004-IP2 3A1 2 6938% 12 | | 45660LAR0 | 2627.34 | 09/18/12 | 05/25/13 | $2,627 34 | $2,499.26 | $128 08 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 197.63 | 07/19/12 | 05/25/13 | $197.63 | $193.68 | $3.95 |
| SASC 2003-24A 3A2 2 74949% 7 | | 86359AG98 | 5368.61 | 08/02/12 | 05/25/13 | $5,368.61 | $5,142 12 | $226.49 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 1547.04 | 07/18/12 | 05/25/13 | $1,547.04 | $1,461.95 | $85.09 |
| SASC 2003-37A 2A | | 86359BBS9 | 4771.2 | 07/18/12 | 05/25/13 | $4,771.20 | $4,580.31 | $190.89 |
| FNMA REMIC2007-51 0 4107% 6 | FR00437 | 31396WGZ3 | 8354 05 | 10/16/12 | 05/25/13 | $8,354 05 | $8,365.80 | $-11 75 |
| NAA 2004-AR2 3A1 0.9733% 10/25 | | 65535VET1 | 1453.95 | 03/28/13 | 05/25/13 | $1,453.95 | $1,450.32 | $3.63 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 2587.27 | 08/27/12 | 05/25/13 | $2,587.27 | $2,225 05 | $362.22 |
| RBSSP 2009-5 4A4 0.7355% 10/26 | | 74928WAP8 | 4966.22 | 08/03/12 | 05/26/13 | $4,966.22 | $4,519 26 | $446.96 |
| CSMC 2010-15R 5A6 0.553% 11/26 | C250535 | 12639MCF0 | 88311.19 | 05/22/13 | 05/29/13 | $88,311.19 | $88,145 61 | $165.58 |
| CONNECTICUT ST HSG FI 0 07% 5 | CSH0039 | 20775BLX2 | 150000 | 03/27/13 | 06/05/13 | $150,000 00 | $150,000.00 | $0 00 |
| MASSACHUSETTS ST DEV 9.0% 10 | MSD0042 | 57583RWB7 | 675000 | 03/27/13 | 06/11/13 | $675,000.00 | $675,000.00 | $0.00 |
| MISSOURI ST HEALTH & EDL FACS | MSH0234 | 60635HXW4 | 420000 | 03/27/13 | 06/12/13 | $420,000.00 | $420,000.00 | $0 00 |
| CONNECTICUT ST HSG FI 0 07% 5 | CSH0039 | 20775BLX2 | 485000 | 03/27/13 | 06/12/13 | $485,000.00 | $485,000 00 | $0.00 |
| FHLMC GOLD J16981 3.0% 10 | J16981F | 3128PWXJ2 | 2542.49 | 01/03/13 | 06/15/13 | $2,542.49 | $2,704.57 | $-162.08 |
| FHR 04173 2.5% 7 | FRS2542 | 3137B0HM9 | 29851.22 | 03/20/13 | 06/15/13 | $29,851.22 | $29,925 85 | $-74.63 |
| SAMI 2004-AR3 1A1 0 837% 7 | S210834 | 86359LBX6 | 18808.46 | 08/24/12 | 06/19/13 | $18,808 46 | $17,221.50 | $1,586 96 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 8665 38 | 08/29/12 | 06/20/13 | $8,665 38 | $8,416.25 | $249 13 |
| WFMBS 2003-B A2 2.48964% 2 | | 94980UAB6 | 2663 49 | 07/25/12 | 06/25/13 | $2,663 49 | $2,490.36 | $173.13 |
| GSR 2004-14 1A1 0 5762% 12 | | 36242DPB3 | 476.9 | 07/18/12 | 06/25/13 | $476 90 | $380.48 | $96 42 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 55 3 | 08/16/12 | 06/25/13 | $55.30 | $45 35 | $9.95 |
| FNMA POOL # AB2446 3.5% 3 | AB2446A | 31416XWG1 | 21654 46 | 03/26/13 | 06/25/13 | $21,654.46 | $23,163.51 | $-1,509.05 |
| SARM 2004-1 4A3 2 778% 2 | S242934A | 86359BGH8 | 108.1 | 08/15/12 | 06/25/13 | $108.10 | $105 13 | $2.97 |
| SASC 2003-37A 2A | | 86359BBS9 | 2739.77 | 07/18/12 | 06/25/13 | $2,739.77 | $2,630 16 | $109.61 |

FOUNDATION AVALON FIXED-CUST-SUB

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 1265.16 | 07/16/12 | 06/25/13 | $1,265 16 | $1,151.29 | $113 87 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 2211 92 | 07/19/12 | 06/25/13 | $2,211 92 | $2,167.68 | $44.24 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 3428 01 | 08/27/12 | 06/25/13 | $3,428 01 | $2,948.09 | $479.92 |
| FNMA REMIC 2013-14 QE 1.75% 3 | FR21743 | 3136AC4R9 | 3592.95 | 03/20/13 | 06/25/13 | $3,592 95 | $3,624.95 | $-32 00 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 1585 85 | 07/18/12 | 06/25/13 | $1,585.85 | $1,498.63 | $87 22 |
| NAA 2004-AR2 3A1 0.9733% 10/25 | | 65535VET1 | 1581.05 | 03/28/13 | 06/25/13 | $1,581.05 | $1,577.10 | $3.95 |
| RAST 2004-IP2 3A1 2 6938% 12 | | 45660LAR0 | 434.31 | 09/18/12 | 06/25/13 | $434.31 | $413 14 | $21.17 |
| SASC 2003-24A 3A2 2.74949% 7 | | 86359AG98 | 38750 | 08/02/12 | 06/25/13 | $38,750.00 | $37,115.24 | $1,634.76 |
| FNMA REMIC2007-51 0 4107% 6 | FR00437 | 31396WGZ3 | 2832.78 | 10/16/12 | 06/25/13 | $2,832.78 | $2,836 76 | $-3.98 |
| RBSSP 2009-5 4A4 0.7355% 10/26 | | 74928WAP8 | 9097.42 | 08/03/12 | 06/26/13 | $9,097.42 | $8,278 65 | $818 77 |
| CSMC 2010-15R 5A6 0.553% 11/26 | C250535 | 12639MCF0 | 57898.37 | 05/22/13 | 06/26/13 | $57,898 37 | $57,789.81 | $108 56 |
| FHR 04173 2 5% 7 | FRS2542 | 3137B0HM9 | 41589.87 | 03/20/13 | 07/15/13 | $41,589.87 | $41,693.85 | $-103.98 |
| FHLMC GOLD J16981 3 0% 10 | J16981F | 3128PWXJ2 | 8495 07 | 01/03/13 | 07/15/13 | $8,495 07 | $9,036.63 | $-541 56 |
| SAMI 2004-AR3 1A1 0 837% 7 | S210834 | 86359LBX6 | 1247.73 | 08/24/12 | 07/19/13 | $1,247.73 | $1,142.45 | $105.28 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 2385.01 | 08/29/12 | 07/20/13 | $2,385.01 | $2,316.44 | $68 57 |
| FNMA REMIC 2013-14 QE 1.75% 3 | FR21743 | 3136AC4R9 | 3698 29 | 03/20/13 | 07/25/13 | $3,698 29 | $3,731.23 | $-32.94 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 47 66 | 08/16/12 | 07/25/13 | $47 66 | $39.08 | $8.58 |
| FNMA POOL # AB2446 3.5% 3 | AB2446A | 31416XWG1 | 12121.28 | 03/26/13 | 07/25/13 | $12,121 28 | $12,965.98 | $-844.70 |
| WFMBS 2003-B A2 2 48964% 2 | | 94980UAB6 | 355.23 | 07/25/12 | 07/25/13 | $355.23 | $332 14 | $23.09 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 4601.68 | 08/27/12 | 07/25/13 | $4,601.68 | $3,957 44 | $644.24 |
| RAST 2004-IP2 3A1 2.6938% 12 | | 45660LAR0 | 2335.38 | 09/18/12 | 07/25/13 | $2,335.38 | $2,221 53 | $113.85 |
| SASC 2003-24A 3A2 2 74949% 7 | | 86359AG98 | 20159.36 | 08/02/12 | 07/25/13 | $20,159.36 | $19,308 89 | $850.47 |
| NAA 2004-AR2 3A1 0 9733% 10/25 | | 65535VET1 | 10447.45 | 03/28/13 | 07/25/13 | $10,447.45 | $10,421.33 | $26.12 |
| FNMA REMIC2007-51 0 4107% 6 | FR00437 | 31396WGZ3 | 16411.8 | 10/16/12 | 07/25/13 | $16,411.80 | $16,434 88 | $-23.08 |
| RBSSP 2009-5 4A4 0.7355% 10/26 | | 74928WAP8 | 8658.14 | 08/03/12 | 07/25/13 | $8,658.14 | $7,878.91 | $779.23 |
| SARM 2004-1 4A3 2 778% 2 | S242934A | 86359BGH8 | 2918.33 | 08/15/12 | 07/25/13 | $2,918.33 | $2,838 08 | $80.25 |
| CSMC 2010-15R 5A6 0.553% 11/26 | C250535 | 12639MCF0 | 127296.99 | 05/22/13 | 07/26/13 | $127,296.99 | $127,058 31 | $238.68 |
| FHLMC GOLD J16981 3.0% 10 | J16981F | 3128PWXJ2 | 8392.14 | 01/03/13 | 08/15/13 | $8,392.14 | $8,927 14 | $-535.00 |

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# 2013 Tax Information

FOUNDATION AVALON FIXED-CUST-SUB

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FHR 04173 2.5% 7 | FRS2542 | 3137B0HM9 | 11182.99 | 03/20/13 | 08/15/13 | $11,182.99 | $11,210.95 | $-27.96 |
| SAMI 2004-AR3 1A1 0.837% 7 | S210834 | 86359LBX6 | 2189 55 | 08/24/12 | 08/16/13 | $2,189.55 | $2,004.81 | $184.74 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 1753 34 | 08/29/12 | 08/20/13 | $1,753 34 | $1,702.93 | $50 41 |
| FNMA POOL # AB2446 3.5% 3 | AB2446A | 31416XWG1 | 13745.7 | 03/26/13 | 08/25/13 | $13,745 70 | $14,703.60 | $-957 90 |
| FNMA REMIC 2013-14 QE 1 75% 3 | FR21743 | 3136AC4R9 | 3801.22 | 03/20/13 | 08/25/13 | $3,801.22 | $3,835.07 | $-33 85 |
| RAST 2004-IP2 3A1 2.6938% 12 | | 45660LAR0 | 4705.92 | 09/18/12 | 08/25/13 | $4,705.92 | $4,476 51 | $229 41 |
| FNMA REMIC2007-51 0.4107% 6 | FR00437 | 31396WGZ3 | 217.86 | 10/16/12 | 08/25/13 | $217.86 | $218.17 | $-0.31 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 3819 42 | 08/27/12 | 08/25/13 | $3,819.42 | $3,285 05 | $534.37 |
| NAA 2004-AR2 3A1 0.9733% 10/25 | | 65535VET1 | 740 75 | 03/28/13 | 08/25/13 | $740 75 | $738.90 | $1.85 |
| CSMC 2010-15R 5A6 0.553% 11/26 | C250535 | 12639MCF0 | 99707 42 | 05/22/13 | 08/27/13 | $99,707.42 | $87,539.19 | $12,168.23 |
| FHLMC GOLD J16981 3.0% 10 | J16981F | 3128PWXJ2 | 4087.28 | 01/03/13 | 09/15/13 | $4,087.28 | $4,347.84 | $-260 56 |
| FHR 04173 2.5% 7 | FRS2542 | 3137B0HM9 | 4568.2 | 03/20/13 | 09/15/13 | $4,568.20 | $4,579.62 | $-11.42 |
| FNMA POOL # AB2446 3.5% 3 | AB2446A | 31416XWG1 | 9095.27 | 03/26/13 | 09/25/13 | $9,095 27 | $9,729 10 | $-633.83 |
| FNMA POOL AH4841 4.0% 2 | AH4841A | 3138A6LX6 | 26180.92 | 08/07/13 | 09/25/13 | $26,180.92 | $27,905.18 | $-1,724.26 |
| NAA 2004-AR2 3A1 0.9733% 10/25 | | 65535VET1 | 9081 15 | 03/28/13 | 09/25/13 | $9,081 15 | $9,058.45 | $22 70 |
| FNMA REMIC 2013-14 QE 1.75% 3 | FR21743 | 3136AC4R9 | 3901.67 | 03/20/13 | 09/25/13 | $3,901.67 | $3,936 42 | $-34.75 |
| FNMA REMIC2007-51 0 4107% 6 | FR00437 | 31396WGZ3 | 6002.41 | 10/16/12 | 09/25/13 | $6,002.41 | $6,010.85 | $-8.44 |
| MHL 2004-1 A2 1 08406% 11 | M2A1034 | 61913PAF9 | 7490.47 | 09/16/13 | 09/25/13 | $7,490.47 | $6,544 80 | $945.67 |
| CSMC 2010-15R 5A6 0.553% 11/26 | C250535 | 12639MCF0 | 40764.55 | 05/22/13 | 09/27/13 | $40,764 55 | $36,388.70 | $4,375.85 |
| UNIV. OF CHICAGO 3 065% 10 | | 91412NAG5 | 19000 | 12/14/12 | 10/01/13 | $19,000 00 | $20,259.51 | $-1,259 51 |
| FHR 04173 2 5% 7 | FRS2542 | 3137B0HM9 | 8664 41 | 03/20/13 | 10/15/13 | $8,664 41 | $8,686.07 | $-21.66 |
| FHLMC GOLD J16981 3.0% 10 | J16981F | 3128PWXJ2 | 5417.69 | 01/03/13 | 10/15/13 | $5,417.69 | $5,763.07 | $-345.38 |
| NAA 2004-AR2 3A1 0.9733% 10/25 | | 65535VET1 | 1333.8 | 03/28/13 | 10/25/13 | $1,333.80 | $1,330 47 | $3.33 |
| FNMA REMIC 2013-14 QE 1.75% 3 | FR21743 | 3136AC4R9 | 3999.55 | 03/20/13 | 10/25/13 | $3,999.55 | $4,035.17 | $-35.62 |
| BALTA 2004-8 1A 0.87885% 9 | | 07386HKS9 | 6931.09 | 09/26/13 | 10/25/13 | $6,931 09 | $6,549 88 | $381.21 |
| FNMA POOL # AB2446 3.5% 3 | AB2446A | 31416XWG1 | 7177.34 | 03/26/13 | 10/25/13 | $7,177 34 | $7,677.51 | $-500.17 |
| FNMA POOL AH4841 4.0% 2 | AH4841A | 3138A6LX6 | 8000 49 | 08/07/13 | 10/25/13 | $8,000 49 | $8,527.40 | $-526 91 |
| MHL 2004-1 A2 1.08406% 11 | M2A1034 | 61913PAF9 | 9252.25 | 09/16/13 | 10/25/13 | $9,252 25 | $8,084.15 | $1,168 10 |

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FOUNDATION AVALON FIXED-CUST-SUB

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| CSMC 2010-15R 5A6 0 553% 11/26 | C250535 | 12639MCF0 | 86749 37 | 05/22/13 | 10/27/13 | $86,749 37 | $77,437.31 | $9,312 06 |
| UNITED STATES TREASURY BILL 5 | | 912796BE8 | 3000000 | 05/21/13 | 11/05/13 | $2,997,385 24 | $2,997,385.24 | $0 00 |
| FHLMC GOLD J16981 3.0% 10 | J16981F | 3128PWXJ2 | 5196.35 | 01/03/13 | 11/15/13 | $5,196.35 | $5,527.62 | $-331.27 |
| FHR 04173 2.5% 7 | FRS2542 | 3137B0HM9 | 2523 57 | 03/20/13 | 11/15/13 | $2,523 57 | $2,529.88 | $-6.31 |
| NAA 2004-AR2 3A1 0 9733% 10/25 | | 65535VET1 | 3714 7 | 03/28/13 | 11/25/13 | $3,714 70 | $3,705.41 | $9 29 |
| FNMA REMIC 2013-14 QE 1.75% 3 | FR21743 | 3136AC4R9 | 2652.59 | 03/20/13 | 11/25/13 | $2,652.59 | $2,676.21 | $-23 62 |
| BALTA 2004-8 1A 0.87885% 9 | | 07386HKS9 | 762 41 | 09/26/13 | 11/25/13 | $762.41 | $720.48 | $41.93 |
| MHL 2004-1 A2 1.08406% 11 | M2A1034 | 61913PAF9 | 7062.22 | 09/16/13 | 11/25/13 | $7,062.22 | $6,170.61 | $891.61 |
| FNMA POOL AH4841 4 0% 2 | AH4841A | 3138A6LX6 | 8829.61 | 08/07/13 | 11/25/13 | $8,829.61 | $9,411 12 | $-581.51 |
| FNMA POOL # AB2446 3.5% 3 | AB2446A | 31416XWG1 | 10538.84 | 03/26/13 | 11/25/13 | $10,538.84 | $11,273.27 | $-734.43 |
| CSMC 2010-15R 5A6 0 553% 11/26 | C250535 | 12639MCF0 | 79866.71 | 05/22/13 | 11/27/13 | $79,866.71 | $83,728 29 | $-3,861 58 |
| FHR 04173 2 5% 7 | FRS2542 | 3137B0HM9 | 1965.16 | 03/20/13 | 12/15/13 | $1,965.16 | $1,970 07 | $-4.91 |
| FHLMC GOLD J16981 3 0% 10 | J16981F | 3128PWXJ2 | 3833.51 | 01/03/13 | 12/15/13 | $3,833.51 | $4,077.90 | $-244 39 |
| FNMA POOL AH4841 4 0% 2 | AH4841A | 3138A6LX6 | 18085.99 | 08/07/13 | 12/25/13 | $18,085 99 | $19,277.12 | $-1,191.13 |
| FNMA POOL # AB2446 3 5% 3 | AB2446A | 31416XWG1 | 7211.32 | 03/26/13 | 12/25/13 | $7,211.32 | $7,713 86 | $-502 54 |
| FNMA REMIC 2013-14 QE 1 75% 3 | FR21743 | 3136AC4R9 | 2911.6 | 03/20/13 | 12/25/13 | $2,911 60 | $2,937.53 | $-25.93 |
| NAA 2004-AR2 3A1 0.9733% 10/25 | | 65535VET1 | 1317.68 | 03/28/13 | 12/26/13 | $1,317 68 | $1,314.39 | $3.29 |
| BALTA 2004-8 1A 0.87885% 9 | | 07386HKS9 | 5836.85 | 09/26/13 | 12/26/13 | $5,836 85 | $5,515.82 | $321 03 |
| MHL 2004-1 A2 1.08406% 11 | M2A1034 | 61913PAF9 | 13893 72 | 09/16/13 | 12/26/13 | $13,893 72 | $12,139.64 | $1,754 08 |
| CSMC 2010-15R 5A6 0.553% 11/26 | C250535 | 12639MCF0 | 99347 31 | 05/22/13 | 12/27/13 | $99,347 31 | $104,150.78 | $-4,803.47 |
| FNMA POOL # AB2446 3 5% 3 | AB2446A | 31416XWG1 | 3909 58 | 03/26/13 | 01/25/14 | $3,909 58 | $4,182.03 | $-272 45 |
| FNMA POOL AH4841 4.0% 2 | AH4841A | 3138A6LX6 | 7382 7 | 08/07/13 | 01/25/14 | $7,382.70 | $7,868.92 | $-486 22 |
| **Total short term gain/loss from sales:** | | | | | | $17,880,464 46 | $17,838,486.30 | $41,978.16 |

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FHLMC REMIC 3642 DA 4.0% 5 | | 31398V6L5 | 1770 64 | 04/27/10 | 01/15/13 | $1,770.64 | $1,829.29 | $-58.65 |
| FHLMC REMIC 2647 A 3.25% 4 | | 31394GBQ5 | 1539.22 | 04/20/10 | 01/15/13 | $1,539.22 | $1,520.81 | $18.41 |
| FHLMC REMIC 3774 AB 3.5% 12 | CM7000000 | 3137A3V30 | 12041.15 | 12/21/11 | 01/15/13 | $12,041.15 | $12,665 78 | $-624 63 |
| FHLMC REMIC 2530BH 5 0% 11 | | 31393F6K7 | 479.05 | 06/22/09 | 01/15/13 | $479.05 | $510.47 | $-31 42 |
| FHLMC REMIC 3634 BA 4 5% 8 | | 31398WE34 | 2520.92 | 04/27/10 | 01/15/13 | $2,520.92 | $2,618.61 | $-97 69 |
| FHLMC REMIC 3864 PG 3.5% 5 | | 3137ABEC1 | 6373 4 | 06/21/11 | 01/15/13 | $6,373.40 | $6,647 78 | $-274.38 |
| FHLMC REMIC 2394 MC 6.0% 12 | | 31339LFD7 | 1261.23 | 01/15/10 | 01/15/13 | $1,261 23 | $1,356.22 | $-94.99 |
| GNMA REMIC 2005-29 A 4 919% 9 | | 38373MPU8 | 979 79 | 11/02/06 | 01/16/13 | $979.79 | $957.20 | $22.59 |
| FHLMC REMIC 3864 PG 3 5% 5 | | 3137ABEC1 | 6277 22 | 06/21/11 | 02/15/13 | $6,277.22 | $6,547.46 | $-270.24 |
| FHLMC REMIC 3642 DA 4 0% 5 | | 31398V6L5 | 1342.98 | 04/27/10 | 02/15/13 | $1,342 98 | $1,387.47 | $-44 49 |
| FHLMC REMIC 3634 BA 4.5% 8 | | 31398WE34 | 2090.51 | 04/27/10 | 02/15/13 | $2,090.51 | $2,171.52 | $-81 01 |
| FHLMC REMIC 2647 A 3.25% 4 | | 31394GBQ5 | 1875.78 | 04/20/10 | 02/15/13 | $1,875.78 | $1,853 34 | $22.44 |
| FHLMC REMIC 2530BH 5.0% 11 | | 31393F6K7 | 365.7 | 06/22/09 | 02/15/13 | $365.70 | $389.68 | $-23.98 |
| FHLMC REMIC 3774 AB 3.5% 12 | CM7000000 | 3137A3V30 | 10866.79 | 12/21/11 | 02/15/13 | $10,866.79 | $11,430 51 | $-563.72 |
| FHLMC REMIC 2394 MC 6.0% 12 | | 31339LFD7 | 1340.24 | 01/15/10 | 02/15/13 | $1,340 24 | $1,441.18 | $-100.94 |
| GNMA REMIC 2005-29 A 4.919% 9 | | 38373MPU8 | 4094 14 | 11/02/06 | 02/16/13 | $4,094.14 | $3,999.74 | $94 40 |
| FNMA POOL 814101 4.555% 1/ | 814101A | 31406MNS1 | 47.47 | 11/07/06 | 02/25/13 | $47 47 | $47.02 | $0 45 |
| FHLMC REMIC 3642 DA 4.0% 5 | | 31398V6L5 | 1538 45 | 04/27/10 | 03/15/13 | $1,538.45 | $1,589.41 | $-50 96 |
| FHLMC REMIC 2647 A 3.25% 4 | | 31394GBQ5 | 2115.43 | 04/20/10 | 03/15/13 | $2,115.43 | $2,090.12 | $25.31 |
| FHLMC REMIC 3864 PG 3.5% 5 | | 3137ABEC1 | 5727.59 | 06/21/11 | 03/15/13 | $5,727.59 | $5,974.17 | $-246.58 |
| FHLMC REMIC 3634 BA 4.5% 8 | | 31398WE34 | 1894.6 | 04/27/10 | 03/15/13 | $1,894.60 | $1,968.01 | $-73.41 |
| FHLMC REMIC 2530BH 5.0% 11 | | 31393F6K7 | 364.71 | 06/22/09 | 03/15/13 | $364.71 | $388 63 | $-23.92 |
| FHLMC REMIC 3774 AB 3 5% 12 | CM7000000 | 3137A3V30 | 14145.94 | 12/21/11 | 03/15/13 | $14,145.94 | $14,879.76 | $-733.82 |
| FHLMC REMIC 2394 MC 6.0% 12 | | 31339LFD7 | 1780.09 | 01/15/10 | 03/15/13 | $1,780 09 | $1,914 15 | $-134.06 |
| GNMA REMIC 2005-29 A 4.919% 9 | | 38373MPU8 | 98.81 | 11/02/06 | 03/16/13 | $98 81 | $96.53 | $2.28 |
| FNMA POOL 814101 4.555% 1/ | 814101A | 31406MNS1 | 1002.12 | 11/07/06 | 03/25/13 | $1,002.12 | $992.64 | $9.48 |
| HOUSTON TEX HEALTH 7.125% 2 | | 442376AH2 | 250000 | 12/20/10 | 04/11/13 | $266,352 50 | $263,382 52 | $2,969 98 |
| BALTIMORE CNTY MD 3.875% 11 | | 05914FFB1 | 400000 | 12/20/10 | 04/11/13 | $441,696 00 | $421,732.00 | $19,964 00 |

## Long term transactions

This category includes sales of assets held more than 12 months

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| METROPOLITAN COUNCIL 2 0% 12 | | 591852QL5 | 350000 | 12/03/10 | 04/11/13 | $358,046 50 | $350,000.00 | $8,046.50 |
| BALTIMORE CNTY MD 2.4% 11 | BCM2413 | 05914FFW5 | 100000 | 01/07/10 | 04/11/13 | $100,825 00 | $100,906.00 | $-81 00 |
| FHLMC REMIC 3864 PG 3 5% 5 | | 3137ABEC1 | 5249 87 | 06/21/11 | 04/15/13 | $5,249.87 | $5,475.88 | $-226.01 |
| FHLMC REMIC 2394 MC 6.0% 12 | | 31339LFD7 | 1754.25 | 01/15/10 | 04/15/13 | $1,754.25 | $1,886.37 | $-132.12 |
| FHLMC REMIC 3634 BA 4 5% 8 | | 31398WE34 | 2003 02 | 04/27/10 | 04/15/13 | $2,003.02 | $2,080.64 | $-77.62 |
| FHLMC REMIC 3774 AB 3 5% 12 | CM7000000 | 3137A3V30 | 11665.51 | 12/21/11 | 04/15/13 | $11,665.51 | $12,270.66 | $-605.15 |
| FHLMC REMIC 2647 A 3 25% 4 | | 31394GBQ5 | 1485.98 | 04/20/10 | 04/15/13 | $1,485.98 | $1,468 20 | $17.78 |
| FHLMC REMIC 3642 DA 4.0% 5 | | 31398V6L5 | 1407.44 | 04/27/10 | 04/15/13 | $1,407.44 | $1,454 06 | $-46.62 |
| FHLMC REMIC 2530BH 5 0% 11 | | 31393F6K7 | 535.69 | 06/22/09 | 04/15/13 | $535.69 | $570.82 | $-35.13 |
| GNMA REMIC 2005-29 A 4.919% 9 | | 38373MPU8 | 99.22 | 11/02/06 | 04/16/13 | $99.22 | $96 93 | $2 29 |
| FNMA POOL 814101 4.555% 1/ | 814101A | 31406MNS1 | 47.88 | 11/07/06 | 04/25/13 | $47.88 | $47 43 | $0 45 |
| FHLMC REMIC 3864 PG 3.5% 5 | | 3137ABEC1 | 3443.61 | 06/21/11 | 05/15/13 | $3,443.61 | $3,591 86 | $-148.25 |
| FHLMC REMIC 3642 DA 4.0% 5 | | 31398V6L5 | 1758.83 | 04/27/10 | 05/15/13 | $1,758.83 | $1,817 09 | $-58 26 |
| FHLMC REMIC 2394 MC 6 0% 12 | | 31339LFD7 | 2054.75 | 01/15/10 | 05/15/13 | $2,054 75 | $2,209.50 | $-154.75 |
| FHLMC REMIC 2530BH 5 0% 11 | | 31393F6K7 | 499.86 | 06/22/09 | 05/15/13 | $499 86 | $532.64 | $-32 78 |
| FHLMC REMIC 3774 AB 3.5% 12 | CM7000000 | 3137A3V30 | 11752.91 | 12/21/11 | 05/15/13 | $11,752 91 | $12,362.59 | $-609.68 |
| FHLMC REMIC 2647 A 3.25% 4 | | 31394GBQ5 | 1676.73 | 04/20/10 | 05/15/13 | $1,676.73 | $1,656.67 | $20 06 |
| FHLMC REMIC 3634 BA 4.5% 8 | | 31398WE34 | 2052.86 | 04/27/10 | 05/15/13 | $2,052 86 | $2,132.41 | $-79 55 |
| GNMA REMIC 2005-29 A 4.919% 9 | | 38373MPU8 | 99.63 | 11/02/06 | 05/16/13 | $99 63 | $97.33 | $2 30 |
| FNMA POOL MA1059 3.5% 5 | MA1059A | 31418AE95 | 5698 02 | 05/08/12 | 05/25/13 | $5,698 02 | $6,013.19 | $-315.17 |
| FNMA POOL 814101 4.555% 1/ | 814101A | 31406MNS1 | 46 61 | 11/07/06 | 05/25/13 | $46.61 | $46.17 | $0 44 |
| FHLMC REMIC 3642 DA 4 0% 5 | | 31398V6L5 | 1227.65 | 04/27/10 | 06/15/13 | $1,227 65 | $1,268.32 | $-40.67 |
| FHLMC REMIC 3774 AB 3.5% 12 | CM7000000 | 3137A3V30 | 8512 3 | 12/21/11 | 06/15/13 | $8,512.30 | $8,953.88 | $-441 58 |
| FHLMC REMIC 2530BH 5.0% 11 | | 31393F6K7 | 420.8 | 06/22/09 | 06/15/13 | $420 80 | $448.40 | $-27 60 |
| FHLMC REMIC 2394 MC 6.0% 12 | | 31339LFD7 | 1547 15 | 01/15/10 | 06/15/13 | $1,547 15 | $1,663.67 | $-116 52 |
| FHLMC REMIC 2647 A 3.25% 4 | | 31394GBQ5 | 2010.83 | 04/20/10 | 06/15/13 | $2,010 83 | $1,986 77 | $24 06 |
| FHLMC REMIC 3634 BA 4.5% 8 | | 31398WE34 | 2176 93 | 04/27/10 | 06/15/13 | $2,176.93 | $2,261 28 | $-84 35 |
| FHLMC REMIC 3864 PG 3 5% 5 | | 3137ABEC1 | 4181 99 | 06/21/11 | 06/15/13 | $4,181 99 | $4,362.03 | $-180 04 |

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WEALTH MANAGEMENT

FOUNDATION AVALON FIXED-CUST-SUB

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| GNMA REMIC 2005-29 A 4.919% 9 | | 38373MPU8 | 100.04 | 11/02/06 | 06/16/13 | $100.04 | $97 73 | $2.31 |
| FNMA POOL MA1059 3.5% 5 | MA1059A | 31418AE95 | 6481.34 | 05/08/12 | 06/25/13 | $6,481 34 | $6,839.84 | $-358.50 |
| FNMA POOL 814101 4.555% 1/ | 814101A | 31406MNS1 | 47.11 | 11/07/06 | 06/25/13 | $47.11 | $46.66 | $0.45 |
| FHLMC REMIC 2394 MC 6 0% 12 | | 31339LFD7 | 1152 07 | 01/15/10 | 07/15/13 | $1,152 07 | $1,238.83 | $-86.76 |
| FHLMC REMIC 3864 PG 3 5% 5 | | 3137ABEC1 | 3775 63 | 06/21/11 | 07/15/13 | $3,775.63 | $3,938.17 | $-162.54 |
| FHLMC REMIC 2647 A 3.25% 4 | | 31394GBQ5 | 1347.89 | 04/20/10 | 07/15/13 | $1,347 89 | $1,331.76 | $16 13 |
| FHLMC REMIC 3642 DA 4.0% 5 | | 31398V6L5 | 1064.76 | 04/27/10 | 07/15/13 | $1,064.76 | $1,100.03 | $-35 27 |
| FHLMC REMIC 3634 BA 4.5% 8 | | 31398WE34 | 1529.19 | 04/27/10 | 07/15/13 | $1,529.19 | $1,588 45 | $-59.26 |
| FHLMC REMIC 2530BH 5 0% 11 | | 31393F6K7 | 294.11 | 06/22/09 | 07/15/13 | $294.11 | $313.40 | $-19.29 |
| FHLMC REMIC 3774 AB 3.5% 12 | CM7000000 | 3137A3V30 | 8216.72 | 12/21/11 | 07/15/13 | $8,216.72 | $8,642.96 | $-426.24 |
| GNMA REMIC 2005-29 A 4 919% 9 | | 38373MPU8 | 100 46 | 11/02/06 | 07/16/13 | $100.46 | $98 14 | $2.32 |
| FNMA POOL 814101 4 555% 1/ | 814101A | 31406MNS1 | 47.05 | 11/07/06 | 07/25/13 | $47 05 | $46.60 | $0 45 |
| FNMA POOL MA1059 3.5% 5 | MA1059A | 31418AE95 | 5624 47 | 05/08/12 | 07/25/13 | $5,624.47 | $5,935.57 | $-311 10 |
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 1275.87 | 07/16/12 | 07/25/13 | $1,275.87 | $1,161.04 | $114 83 |
| GSR 2004-14 1A1 0.5762% 12 | | 36242DPB3 | 524.2 | 07/18/12 | 07/25/13 | $524.20 | $418.21 | $105.99 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 8546.38 | 07/18/12 | 07/25/13 | $8,546.38 | $8,076 33 | $470.05 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 1221.77 | 07/19/12 | 07/25/13 | $1,221.77 | $1,197.33 | $24.44 |
| SASC 2003-37A 2A | | 86359BBS9 | 111 1 | 07/18/12 | 07/25/13 | $111.10 | $106.66 | $4 44 |
| FHLMC REMIC 2530BH 5 0% 11 | | 31393F6K7 | 537.03 | 06/22/09 | 08/15/13 | $537 03 | $578.12 | $-41 09 |
| FHLMC REMIC 2394 MC 6.0% 12 | | 31339LFD7 | 1285 54 | 01/15/10 | 08/15/13 | $1,285 54 | $1,382.36 | $-96.82 |
| FHLMC REMIC 3634 BA 4.5% 8 | | 31398WE34 | 1777 02 | 04/27/10 | 08/15/13 | $1,777.02 | $1,845.88 | $-68 86 |
| FHLMC REMIC 3864 PG 3.5% 5 | | 3137ABEC1 | 2670 89 | 06/21/11 | 08/15/13 | $2,670.89 | $2,803 83 | $-132 94 |
| FHLMC REMIC 3774 AB 3.5% 12 | CM7000000 | 3137A3V30 | 9616.94 | 12/21/11 | 08/15/13 | $9,616.94 | $10,115 82 | $-498.88 |
| FHLMC REMIC 2647 A 3 25% 4 | | 31394GBQ5 | 1684.92 | 04/20/10 | 08/15/13 | $1,684.92 | $1,669 69 | $15.23 |
| FHLMC REMIC 3642 DA 4.0% 5 | | 31398V6L5 | 1105.17 | 04/27/10 | 08/15/13 | $1,105.17 | $1,141 78 | $-36.61 |
| GNMA REMIC 2005-29 A 4.919% 9 | | 38373MPU8 | 1768.84 | 11/02/06 | 08/16/13 | $1,768.84 | $1,728.06 | $40.78 |
| FNMA POOL 814101 4 555% 1/ | 814101A | 31406MNS1 | 45.67 | 11/07/06 | 08/25/13 | $45.67 | $45 24 | $0.43 |
| FNMA POOL MA1059 3.5% 5 | MA1059A | 31418AE95 | 4679.92 | 05/08/12 | 08/25/13 | $4,679.92 | $4,938 78 | $-258.86 |

## Long term transactions

This category includes sales of assets held more than 12 months

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 2352.53 | 07/16/12 | 08/25/13 | $2,352 53 | $2,140.79 | $211 74 |
| SASC 2003-24A 3A2 2.74949% 7 | | 86359AG98 | 17154.6 | 08/02/12 | 08/25/13 | $17,154.60 | $16,430 89 | $723.71 |
| WFMBS 2003-B A2 2.48964% 2 | | 94980UAB6 | 2563.44 | 07/25/12 | 08/25/13 | $2,563 44 | $2,396.82 | $166 62 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 1122 71 | 07/19/12 | 08/25/13 | $1,122.71 | $1,100.26 | $22 45 |
| SASC 2003-37A 2A | | 86359BBS9 | 121 55 | 07/18/12 | 08/25/13 | $121 55 | $116.69 | $4.86 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 51.56 | 08/16/12 | 08/25/13 | $51 56 | $42.28 | $9 28 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 8938 76 | 07/18/12 | 08/25/13 | $8,938.76 | $8,447.13 | $491 63 |
| SARM 2004-1 4A3 2.778% 2 | S242934A | 86359BGH8 | 520.34 | 08/15/12 | 08/25/13 | $520 34 | $506.03 | $14 31 |
| GSR 2004-14 1A1 0.5762% 12 | | 36242DPB3 | 530 1 | 07/18/12 | 08/25/13 | $530.10 | $422.92 | $107.18 |
| RBSSP 2009-5 4A4 0.7355% 10/26 | | 74928WAP8 | 12031.7 | 08/03/12 | 08/27/13 | $12,031.70 | $11,046 67 | $985.03 |
| FHLMC REMIC 3774 AB 3 5% 12 | CM7000000 | 3137A3V30 | 4699.88 | 12/21/11 | 09/15/13 | $4,699.88 | $4,943 69 | $-243.81 |
| FHLMC REMIC 2647 A 3 25% 4 | | 31394GBQ5 | 1537 67 | 04/20/10 | 09/15/13 | $1,537.67 | $1,523.77 | $13.90 |
| FHLMC REMIC 3634 BA 4.5% 8 | | 31398WE34 | 1282.43 | 04/27/10 | 09/15/13 | $1,282.43 | $1,332 12 | $-49 69 |
| FHLMC REMIC 2394 MC 6 0% 12 | | 31339LFD7 | 1132.28 | 01/15/10 | 09/15/13 | $1,132.28 | $1,217.55 | $-85 27 |
| FHLMC REMIC 3864 PG 3.5% 5 | | 3137ABEC1 | 1929.93 | 06/21/11 | 09/15/13 | $1,929.93 | $2,025 99 | $-96.06 |
| FHLMC REMIC 3642 DA 4.0% 5 | | 31398V6L5 | 1037.8 | 04/27/10 | 09/15/13 | $1,037.80 | $1,072.18 | $-34 38 |
| FHLMC REMIC 2530BH 5 0% 11 | | 31393F6K7 | 354.75 | 06/22/09 | 09/15/13 | $354.75 | $381 90 | $-27.15 |
| GNMA REMIC 2005-29 A 4 919% 9 | | 38373MPU8 | 99.42 | 11/02/06 | 09/16/13 | $99.42 | $97.13 | $2 29 |
| SAMI 2004-AR3 1A1 0.837% 7 | S210834 | 86359LBX6 | 19237.52 | 08/24/12 | 09/19/13 | $19,237.52 | $17,614 35 | $1,623.17 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 2306.87 | 08/29/12 | 09/20/13 | $2,306.87 | $2,240 55 | $66.32 |
| FNMA POOL 814101 4.555% 1/ | 814101A | 31406MNS1 | 45.88 | 11/07/06 | 09/25/13 | $45.88 | $45.45 | $0 43 |
| FNMA POOL MA1059 3.5% 5 | MA1059A | 31418AE95 | 3338.57 | 05/08/12 | 09/25/13 | $3,338.57 | $3,523 23 | $-184 66 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 52.69 | 08/16/12 | 09/25/13 | $52.69 | $43 21 | $9 48 |
| WFMBS 2003-B A2 2.48964% 2 | | 94980UAB6 | 353.88 | 07/25/12 | 09/25/13 | $353.88 | $330 88 | $23 00 |
| SASC 2003-37A 2A | | 86359BBS9 | 1493.46 | 07/18/12 | 09/25/13 | $1,493.46 | $1,433 71 | $59.75 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 22654.89 | 07/18/12 | 09/25/13 | $22,654.89 | $21,408.87 | $1,246 02 |
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 1274.03 | 07/16/12 | 09/25/13 | $1,274.03 | $1,159 36 | $114 67 |
| RAST 2004-IP2 3A1 2 6938% 12 | | 45660LAR0 | 2263.49 | 09/18/12 | 09/25/13 | $2,263.49 | $2,153.14 | $110 35 |

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## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| SASC 2003-24A 3A2 2.74949% 7 | | 86359AG98 | 708 64 | 08/02/12 | 09/25/13 | $708 64 | $678.74 | $29 90 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 2512.78 | 08/27/12 | 09/25/13 | $2,512 78 | $2,161.22 | $351 56 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 1281 92 | 07/19/12 | 09/25/13 | $1,281.92 | $1,256.28 | $25.64 |
| SARM 2004-1 4A3 2.778% 2 | S242934A | 86359BGH8 | 134.46 | 08/15/12 | 09/25/13 | $134 46 | $130.76 | $3.70 |
| RBSSP 2009-5 4A4 0 7355% 10/26 | | 74928WAP8 | 4486.15 | 08/03/12 | 09/26/13 | $4,486.15 | $4,118.87 | $367.28 |
| UNIV. OF CHICAGO 3.065% 10 | | 91412NAG5 | 16000 | 01/24/12 | 10/01/13 | $16,000.00 | $15,999.20 | $0 80 |
| FHLMC REMIC 3774 AB 3 5% 12 | CM7000000 | 3137A3V30 | 6504 77 | 12/21/11 | 10/15/13 | $6,504.77 | $6,842 20 | $-337.43 |
| FHLMC REMIC 3642 DA 4.0% 5 | | 31398V6L5 | 450.02 | 04/27/10 | 10/15/13 | $450 02 | $464.93 | $-14.91 |
| FHLMC REMIC 2394 MC 6 0% 12 | | 31339LFD7 | 1151 6 | 01/15/10 | 10/15/13 | $1,151.60 | $1,238.33 | $-86.73 |
| FHLMC REMIC 2647 A 3.25% 4 | | 31394GBQ5 | 1259.16 | 04/20/10 | 10/15/13 | $1,259 16 | $1,247.78 | $11 38 |
| FHLMC REMIC 2530BH 5.0% 11 | | 31393F6K7 | 284.71 | 06/22/09 | 10/15/13 | $284.71 | $306.50 | $-21 79 |
| FHLMC REMIC 3634 BA 4.5% 8 | | 31398WE34 | 928.14 | 04/27/10 | 10/15/13 | $928.14 | $964.11 | $-35.97 |
| FHLMC REMIC 3864 PG 3.5% 5 | | 3137ABEC1 | 1312 95 | 06/21/11 | 10/15/13 | $1,312 95 | $1,378.30 | $-65 35 |
| GNMA REMIC 2005-29 A 4.919% 9 | | 38373MPU8 | 99.83 | 11/02/06 | 10/16/13 | $99 83 | $97.53 | $2 30 |
| SAMI 2004-AR3 1A1 0 837% 7 | S210834 | 86359LBX6 | 3964 62 | 08/24/12 | 10/19/13 | $3,964.62 | $3,630.11 | $334 51 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 4732 25 | 08/29/12 | 10/20/13 | $4,732.25 | $4,596 20 | $136.05 |
| SASC 2003-37A 2A | | 86359BBS9 | 167.09 | 07/18/12 | 10/25/13 | $167.09 | $160.41 | $6.68 |
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 1175 5 | 07/16/12 | 10/25/13 | $1,175 50 | $1,069.70 | $105.80 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 970 92 | 07/19/12 | 10/25/13 | $970.92 | $951.50 | $19 42 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 2949 98 | 08/27/12 | 10/25/13 | $2,949 98 | $2,537.25 | $412 73 |
| SARM 2004-1 4A3 2.778% 2 | S242934A | 86359BGH8 | 675.88 | 08/15/12 | 10/25/13 | $675.88 | $657 29 | $18.59 |
| SASC 2003-24A 3A2 2 74949% 7 | | 86359AG98 | 720.64 | 08/02/12 | 10/25/13 | $720.64 | $690.24 | $30.40 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 1463.54 | 07/18/12 | 10/25/13 | $1,463.54 | $1,383 05 | $80.49 |
| WFMBS 2003-B A2 2.48964% 2 | | 94980UAB6 | 4642.89 | 07/25/12 | 10/25/13 | $4,642 89 | $4,341.10 | $301 79 |
| FNMA REMIC2007-51 0.4107% 6 | FR00437 | 31396WGZ3 | 33 74 | 10/16/12 | 10/25/13 | $33 74 | $33.79 | $-0 05 |
| RAST 2004-IP2 3A1 2.6938% 12 | | 45660LAR0 | 432.42 | 09/18/12 | 10/25/13 | $432 42 | $411.34 | $21 08 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 54 74 | 08/16/12 | 10/25/13 | $54 74 | $44.89 | $9 85 |
| FNMA POOL 814101 4 555% 1/ | 814101A | 31406MNS1 | 46.33 | 11/07/06 | 10/25/13 | $46 33 | $45.89 | $0 44 |

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FNMA POOL MA1059 3 5% 5 | MA1059A | 31418AE95 | 3830 99 | 05/08/12 | 10/25/13 | $3,830 99 | $4,042.89 | $-211 90 |
| RBSSP 2009-5 4A4 0.7355% 10/26 | | 74928WAP8 | 8917.02 | 08/03/12 | 10/26/13 | $8,917.02 | $8,186.99 | $730.03 |
| FHLMC REMIC 2394 MC 6 0% 12 | | 31339LFD7 | 964 76 | 01/15/10 | 11/15/13 | $964 76 | $1,037.42 | $-72.66 |
| FHLMC REMIC 3642 DA 4.0% 5 | | 31398V6L5 | 374 06 | 04/27/10 | 11/15/13 | $374.06 | $386.45 | $-12.39 |
| FHLMC REMIC 2647 A 3 25% 4 | | 31394GBQ5 | 1052.61 | 04/20/10 | 11/15/13 | $1,052.61 | $1,043.10 | $9.51 |
| FHLMC REMIC 3774 AB 3.5% 12 | CM7000000 | 3137A3V30 | 6395.07 | 12/21/11 | 11/15/13 | $6,395.07 | $6,726.81 | $-331.74 |
| FHLMC REMIC 3864 PG 3.5% 5 | | 3137ABEC1 | 1355.54 | 06/21/11 | 11/15/13 | $1,355.54 | $1,423 01 | $-67.47 |
| FHLMC REMIC 2530BH 5.0% 11 | | 31393F6K7 | 270.84 | 06/22/09 | 11/15/13 | $270.84 | $291 56 | $-20.72 |
| FHLMC REMIC 3634 BA 4.5% 8 | | 31398WE34 | 841.29 | 04/27/10 | 11/15/13 | $841.29 | $873 89 | $-32.60 |
| GNMA REMIC 2005-29 A 4 919% 9 | | 38373MPU8 | 1627.16 | 11/02/06 | 11/16/13 | $1,627.16 | $1,589 64 | $37 52 |
| SAMI 2004-AR3 1A1 0.837% 7 | S210834 | 86359LBX6 | 1036.57 | 08/24/12 | 11/19/13 | $1,036 57 | $949.11 | $87 46 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 2837.79 | 08/29/12 | 11/20/13 | $2,837.79 | $2,756.20 | $81 59 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 11533.73 | 07/18/12 | 11/25/13 | $11,533 73 | $10,899.37 | $634.36 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 1994.28 | 07/19/12 | 11/25/13 | $1,994.28 | $1,954.40 | $39.88 |
| SARM 2004-1 4A3 2 778% 2 | S242934A | 86359BGH8 | 1633 35 | 08/15/12 | 11/25/13 | $1,633.35 | $1,588.43 | $44 92 |
| FNMA REMIC2007-51 0.4107% 6 | FR00437 | 31396WGZ3 | 6188 74 | 10/16/12 | 11/25/13 | $6,188 74 | $6,197.44 | $-8.70 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 89 37 | 08/16/12 | 11/25/13 | $89 37 | $73.28 | $16 09 |
| SASC 2003-37A 2A | | 86359BBS9 | 1197 45 | 07/18/12 | 11/25/13 | $1,197.45 | $1,149.54 | $47.91 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 3092 6 | 08/27/12 | 11/25/13 | $3,092.60 | $2,659.92 | $432.68 |
| GSR 2004-14 1A1 0.5762% 12 | | 36242DPB3 | 9604.8 | 07/18/12 | 11/25/13 | $9,604 80 | $7,662.83 | $1,941.97 |
| FNMA POOL 814101 4 555% 1/ | 814101A | 31406MNS1 | 1409.73 | 11/07/06 | 11/25/13 | $1,409 73 | $1,396.39 | $13.34 |
| FNMA POOL MA1059 3 5% 5 | MA1059A | 31418AE95 | 2753 88 | 05/08/12 | 11/25/13 | $2,753.88 | $2,906.20 | $-152.32 |
| SASC 2003-24A 3A2 2.74949% 7 | | 86359AG98 | 714 68 | 08/02/12 | 11/25/13 | $714.68 | $684.53 | $30.15 |
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 1332.94 | 07/16/12 | 11/25/13 | $1,332 94 | $1,212.97 | $119.97 |
| WFMBS 2003-B A2 2 48964% 2 | | 94980UAB6 | 341.94 | 07/25/12 | 11/25/13 | $341 94 | $319.71 | $22.23 |
| RAST 2004-IP2 3A1 2 6938% 12 | | 45660LAR0 | 3958.3 | 09/18/12 | 11/25/13 | $3,958.30 | $3,765.33 | $192.97 |
| RBSSP 2009-5 4A4 0.7355% 10/26 | | 74928WAP8 | 2026 69 | 08/03/12 | 11/26/13 | $2,026 69 | $1,860.77 | $165 92 |
| FHLMC REMIC 2530BH 5.0% 11 | | 31393F6K7 | 256 94 | 06/22/09 | 12/15/13 | $256 94 | $276.60 | $-19 66 |

## Long term transactions

This category includes sales of assets held more than 12 months.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FHLMC REMIC 2647 A 3.25% 4 | | 31394GBQ5 | 1234 43 | 04/20/10 | 12/15/13 | $1,234 43 | $1,223.27 | $11 16 |
| FHLMC REMIC 3634 BA 4.5% 8 | | 31398WE34 | 932.24 | 04/27/10 | 12/15/13 | $932.24 | $968.36 | $-36 12 |
| FHLMC REMIC 3864 PG 3.5% 5 | | 3137ABEC1 | 1185.49 | 06/21/11 | 12/15/13 | $1,185.49 | $1,244.50 | $-59.01 |
| FHLMC REMIC 2394 MC 6 0% 12 | | 31339LFD7 | 1036 2 | 01/15/10 | 12/15/13 | $1,036.20 | $1,114 24 | $-78.04 |
| FHLMC REMIC 3642 DA 4.0% 5 | | 31398V6L5 | 557 53 | 04/27/10 | 12/15/13 | $557.53 | $576.00 | $-18.47 |
| FHLMC REMIC 3774 AB 3.5% 12 | CM7000000 | 3137A3V30 | 7609 1 | 12/21/11 | 12/15/13 | $7,609 10 | $8,003.82 | $-394.72 |
| GNMA REMIC 2005-29 A 4.919% 9 | | 38373MPU8 | 98 48 | 11/02/06 | 12/16/13 | $98.48 | $96.21 | $2.27 |
| SAMI 2004-AR3 1A1 0.837% 7 | S210834 | 86359LBX6 | 6316.31 | 08/24/12 | 12/19/13 | $6,316.31 | $5,783.37 | $532 94 |
| BANC AMER FDG 2005-E CL 4A1 | | 05946XXQ1 | 511.35 | 08/29/12 | 12/20/13 | $511.35 | $496.65 | $14.70 |
| SARM 2004-1 4A3 2.778% 2 | S242934A | 86359BGH8 | 3505.41 | 08/15/12 | 12/25/13 | $3,505.41 | $3,409 01 | $96.40 |
| RAST 2004-IP2 3A1 2 6938% 12 | | 45660LAR0 | 280.81 | 09/18/12 | 12/25/13 | $280 81 | $267.12 | $13.69 |
| CREDIT SUISSE FIRST BOSTON MTG | | 22541NQ77 | 1311 67 | 07/16/12 | 12/25/13 | $1,311.67 | $1,193.61 | $118.06 |
| SASC 2003-37A 2A | | 86359BBS9 | 4230.78 | 07/18/12 | 12/25/13 | $4,230.78 | $4,061.51 | $169 27 |
| CMLTI 2004-HYB4 AA 0.5655% 12 | | 17307GMC9 | 73.1 | 08/16/12 | 12/25/13 | $73.10 | $59.94 | $13.16 |
| FNMA REMIC2007-51 0.4107% 6 | FR00437 | 31396WGZ3 | 2544 8 | 10/16/12 | 12/25/13 | $2,544 80 | $2,548 38 | $-3.58 |
| SASC 2003-24A 3A2 2.74949% 7 | | 86359AG98 | 730.96 | 08/02/12 | 12/25/13 | $730 96 | $700.12 | $30 84 |
| WFMBS 2003-B A2 2 48964% 2 | | 94980UAB6 | 340 65 | 07/25/12 | 12/25/13 | $340.65 | $318.51 | $22.14 |
| FNMA POOL 814101 4.555% 1/ | 814101A | 31406MNS1 | 43 03 | 11/07/06 | 12/25/13 | $43.03 | $42.62 | $0 41 |
| FNMA POOL MA1059 3.5% 5 | MA1059A | 31418AE95 | 2569.58 | 05/08/12 | 12/25/13 | $2,569.58 | $2,711 71 | $-142.13 |
| JP MORGAN MTG TR 05-A1 CL 4A1 | | 466247LU5 | 179.32 | 07/19/12 | 12/25/13 | $179.32 | $175.73 | $3.59 |
| GSR 2004-14 1A1 0.5762% 12 | | 36242DPB3 | 7244 8 | 07/18/12 | 12/25/13 | $7,244 80 | $5,779.99 | $1,464.81 |
| CITIGROUP MTG LN TR | | 17307GJX7 | 21004.38 | 07/18/12 | 12/25/13 | $21,004.38 | $19,849.14 | $1,155.24 |
| WAMU MTG PASS-THROUGH CTFS | | 92922F4M7 | 3448.48 | 08/27/12 | 12/26/13 | $3,448 48 | $2,966.01 | $482 47 |
| RBSSP 2009-5 4A4 0 7355% 10/26 | | 74928WAP8 | 8514 6 | 08/03/12 | 12/26/13 | $8,514.60 | $7,817 51 | $697.09 |
| FHLMC GOLD J16981 3 0% 10 | J16981F | 3128PWXJ2 | 5332.98 | 01/03/13 | 01/15/14 | $5,332.98 | $5,672.96 | $-339.98 |
| FNMA POOL MA1059 3.5% 5 | MA1059A | 31418AE95 | 3303.18 | 05/08/12 | 01/25/14 | $3,303.18 | $3,485 89 | $-182.71 |
| FNMA POOL 814101 4 555% 1/ | 814101A | 31406MNS1 | 42.19 | 11/07/06 | 01/25/14 | $42.19 | $41.79 | $0.40 |
| **Total long term gain/loss from sales:** | | | | | | $1,722,339 76 | $1,685,627 90 | $36,711 86 |

# Income for 2013

This section reports your proceeds from sales during the year We are not required nor do we report your net gains and losses to the Internal Revenue Service An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for the current year's return of capital A schedule of your net gains and losses is shown below Please note that if you have sold an asset for which we do not have cost basis information, it is either shown separately in the section entitled Cost Not Available or it may appear with a zero tax cost. Please review these carefully before preparing your tax return

Additionally, to provide you with complete information for your tax returns, we have shown IRC Section 988 translation gains and losses separately within the sales sections Please note these gains or losses are not entitled to capital gains treatment Rather, under IRC Section 988, they are either ordinary income or loss

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | | Net gain or loss |
|---|---|---|---|---|---|---|---|---|---|
| WALGREEN COMPANY COMMON | WAG | 931422109 | 5840 | 03/22/13 | 03/28/13 | $276,026 08 | $270,356 96 | | $5,669 12 |
| MARSH & MCLENNAN COS INC | MMC | 571748102 | 6338 | 03/22/13 | 05/09/13 | $249,574 07 | $237,148 95 | | $12,425 12 |
| MAXIM INTERGRATED PRODS INC | MXIM | 57772K101 | 7099 | 03/22/13 | 06/17/13 | $200,884 00 | $226,618 54 | | $-25,734 54 |
| INTERNATIONAL PAPER COMPANY C | IP | 460146103 | 5728 | 03/22/13 | 06/17/13 | $264,233 76 | $259,570 62 | | $4,663 14 |
| GENERAL ELECTRIC CO | GE | 369604103 | 2797 | 03/22/13 | 07/09/13 | $66,050 00 | $65,356 38 | | $693 62 |
| EXXON MOBIL CORP | XOM | 30231G102 | 1685 | 03/22/13 | 07/09/13 | $155,596 26 | $150,160 46 | | $5,435 80 |
| VENTAS INC | VTR | 92276F100 | 725 | 03/22/13 | 08/12/13 | $46,719 20 | $51,402 65 | | $-4,683 45 |
| LOCKHEED MARTIN CORP | LMT | 539830109 | 597 | 03/22/13 | 08/12/13 | $73,786 90 | $55,094 86 | | $18,692 04 |
| HCP INC | HCP | 40414L109 | 2352 | 03/22/13 | 08/12/13 | $98,778 75 | $114,835 46 | * | $-16,056 71 |
| VENTAS INC | VTR | 92276F100 | 3672 | 03/22/13 | 08/16/13 | $219,662 19 | $260,345 53 | | $-40,683 34 |
| HCP INC | HCP | 40414L109 | 1405 | 03/22/13 | 08/29/13 | $57,122 93 | $68,550 93 | * | $-11,428 00 |
| PINNACLE WEST CAP CORP COM | PNW | 723484101 | 3769 | 03/22/13 | 08/29/13 | $203,493 81 | $214,118 02 | | $-10,624 21 |
| VODAFONE GROUP PLC NEW | VOD | 92857W209 | 8583 | 03/22/13 | 09/18/13 | $289,001 74 | $240,904 21 | | $48,097 53 |
| HCP INC | HCP | 40414L109 | 6749 | 03/22/13 | 10/03/13 | $271,645 22 | $329,288 44 | * | $-57,643 22 |

## FOUNDATION AVALON EQUITY-CUST-INCOME

### Short term transactions

This category includes sales of assets held 12 months or less

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | | Net gain or loss |
|---|---|---|---|---|---|---|---|---|---|
| HCP INC | HCP | 40414L109 | 1665 | 06/06/13 | 10/03/13 | $67,015 75 | $77,993 60 | * | $-10,977 85 |
| SOUTHERN COMPANY | SO | 842587107 | 8051 | 03/22/13 | 10/17/13 | $332,189 74 | $367,521 71 | | $-35,331 97 |
| COVANTA HLDG CORP | CVA | 22282E102 | 6378 | 06/17/13 | 10/30/13 | $108,943 91 | $130,041 04 | * | $-21,097 13 |
| COVANTA HLDG CORP | CVA | 22282E102 | 2709 | 08/12/13 | 10/30/13 | $46,272 98 | $56,549 29 | * | $-10,276 31 |
| COVANTA HLDG CORP | CVA | 22282E102 | 1837 | 09/18/13 | 10/30/13 | $31,378 17 | $39,488 52 | * | $-8,110 35 |
| CINEMARK HLDGS INC | CNK | 17243V102 | 3347 | 03/22/13 | 11/07/13 | $109,575 86 | $97,434 18 | | $12,141 68 |
| CINEMARK HLDGS INC | CNK | 17243V102 | 4886 | 03/22/13 | 11/08/13 | $157,157 89 | $142,235 86 | | $14,922 03 |
| CINEMARK HLDGS INC | CNK | 17243V102 | 467 | 03/22/13 | 11/11/13 | $15,046 00 | $13,594 79 | | $1,451 21 |
| LOCKHEED MARTIN CORP | LMT | 539830109 | 916 | 03/22/13 | 11/21/13 | $126,959 97 | $84,534 16 | | $42,425 81 |
| WEINGARTEN RLTY INVS SBI | WRI | 948741103 | 7252 | 03/22/13 | 12/12/13 | $200,612 20 | $228,795 52 | | $-28,183 32 |
| NATIONAL RETAIL PPTYS INC | NNN | 637417106 | 2472 | 06/17/13 | 12/12/13 | $74,590 31 | $88,976 17 | * | $-14,385 86 |
| NATIONAL RETAIL PPTYS INC | NNN | 637417106 | 9351 | 03/22/13 | 12/12/13 | $282,157 77 | $327,846 99 | * | $-45,689 22 |
| NATIONAL RETAIL PPTYS INC | NNN | 637417106 | 1135 | 03/22/13 | 12/13/13 | $34,237 92 | $39,793 21 | * | $-5,555 29 |
| **Total short term gain/loss from sales:** | | | | | | $4,058,713 38 | $4,238,557 05 | | $-179,843 67 |

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# Income for 2013

This section reports your proceeds from sales during the year We are not required nor do we report your net gains and losses to the Internal Revenue Service. An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for the current year's return of capital. A schedule of your net gains and losses is shown below. Please note that if you have sold an asset for which we do not have cost basis information, it is either shown separately in the section entitled Cost Not Available or it may appear with a zero tax cost. Please review these carefully before preparing your tax return.

Additionally, to provide you with complete information for your tax returns, we have shown IRC Section 988 translation gains and losses separately within the sales sections. Please note these gains or losses are not entitled to capital gains treatment. Rather, under IRC Section 988, they are either ordinary income or loss

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| GENERAL ELEC CAP CORP MEDIUM | GE 18 | 36962G3U6 | 120000 | 03/25/13 | 04/05/13 | $142,606 80 | $141,855.60 | $751 20 |
| ABBVIE INC 2.9% 11 | | 00287YAC3 | 175000 | 03/25/13 | 04/12/13 | $177,572.50 | $174,938.75 | $2,633.75 |
| ERICSSON LM | TELE22 | 294829AA4 | 39000 | 03/25/13 | 04/12/13 | $41,182.05 | $40,438 32 | $743.73 |
| ERICSSON LM | TELE22 | 294829AA4 | 24000 | 03/25/13 | 04/15/13 | $25,340.64 | $24,885.12 | $455 52 |
| SMALL BUS ADMIN GTD 08-20E | | 83162CRU9 | 30030.27 | 04/01/13 | 05/01/13 | $30,030 27 | $34,619.27 | $-4,589 00 |
| SMALL BUSINESS ADMIN 5 51% 11 | SBAG27 | 83162CRK1 | 14519 84 | 04/04/13 | 05/01/13 | $14,519 84 | $16,760.21 | $-2,240 37 |
| SMALL BUSINESS ADMIN 5 51% 11 | SBAG27 | 83162CRK1 | 21352.7 | 04/04/13 | 05/01/13 | $21,352.70 | $24,583.96 | $-3,231.26 |
| CVS PASS-THROUGH TRUST | | 126650BP4 | 943.81 | 04/05/13 | 05/10/13 | $943.81 | $1,131.42 | $-187.61 |
| DUKE ENERGY CORP SR NT | DUK 14 | 264399EQ5 | 26000 | 04/01/13 | 05/10/13 | $27,038.44 | $27,211 34 | $-172.90 |
| DUKE ENERGY CORP SR NT | DUK 14 | 264399EQ5 | 174000 | 04/01/13 | 05/10/13 | $180,949.56 | $182,106.66 | $-1,157.10 |
| HDMOT 2012-1 A3 0.68% 4 | | 41283TAC2 | 225000 | 03/27/13 | 05/14/13 | $225,536 13 | $225,465.82 | $70 31 |
| FHLMC REMIC 3920 KE 2 1% 9 | FR32126 | 3137AF3M2 | 9075.09 | 03/27/13 | 05/15/13 | $9,075.09 | $9,260.85 | $-185.76 |
| WAL-MART STORES INC | WMT 18 | 931142CJ0 | 150000 | 03/26/13 | 05/15/13 | $181,680 00 | $182,533.50 | $-853 50 |
| VENTAS REALTY LP/CAP CRP | VTR 15 | 92276MAV7 | 45000 | 04/05/13 | 05/16/13 | $47,518 20 | $47,578.05 | $-59 85 |

## Short term transactions

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| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| VENTAS REALTY LP/CAP CRP | VTR 15 | 92276MAV7 | 125000 | 04/02/13 | 05/16/13 | $131,995.00 | $132,208 75 | $-213.75 |
| CSMC 2006-C4 A3 5 467% 9 | CM7000000 | 22545MAD9 | 3238.82 | 04/02/13 | 05/17/13 | $3,238.82 | $3,636.46 | $-397.64 |
| RABOBANK NEDERLAND | | 21685WCJ4 | 51000 | 04/01/13 | 05/21/13 | $59,072.79 | $57,811 05 | $1,261.74 |
| RABOBANK NEDERLAND | | 21685WCJ4 | 54000 | 04/01/13 | 05/22/13 | $61,754.94 | $61,211.70 | $543.24 |
| FNMA POOL # AB4078 4.0% 12 | AB4078A | 31417AQ85 | 2678.23 | 04/08/13 | 05/25/13 | $2,678.23 | $2,873 24 | $-195 01 |
| FNMA POOL # 735402 5 0% 4 | 735402A | 31402RAB5 | 26588 11 | 03/22/13 | 05/25/13 | $26,588 11 | $28,873.03 | $-2,284 92 |
| FNMA POOL # 254903 5.0% 10 | 254903A | 31371LDG1 | 15930 69 | 03/22/13 | 05/25/13 | $15,930.69 | $17,329.60 | $-1,398.91 |
| FNMA POOL 0735676 | 735676A | 31402RJV2 | 27748 62 | 03/22/13 | 05/25/13 | $27,748 62 | $30,172.29 | $-2,423 67 |
| FNMA POOL # 725964 2.366% 10 | 725964A | 31402DQR4 | 1671.33 | 04/01/13 | 05/25/13 | $1,671 33 | $1,787.28 | $-115 95 |
| FNMA REMIC 2011-98NH 2.5% 4 | FR22536 | 3136A1GZ2 | 21541 83 | 03/27/13 | 05/25/13 | $21,541.83 | $21,898.62 | $-356.79 |
| FNMA POOL # AD0825 4.589% 2/1/ | AD0825A | 31418M4K5 | 34067 02 | 03/28/13 | 05/25/13 | $34,067.02 | $39,645.49 | $-5,578.47 |
| FNMA GTD REMIC P/T 2005-86 WD | FR25034 | 31394UCZ3 | 36441.05 | 04/08/13 | 05/25/13 | $36,441.05 | $37,534.28 | $-1,093.23 |
| FNMA POOL 0735676 | 735676A | 31402RJV2 | 568625.42 | 03/22/13 | 05/30/13 | $614,470.84 | $618,291 29 | $-3,820.45 |
| U S TREASURY BOND | UST2742 | 912810QY7 | 30000 | 05/16/13 | 06/04/13 | $27,006.91 | $28,000 90 | $-993.99 |
| APPLE INC 0.5231% 5 | AI00518 | 037833AG5 | 174000 | 04/30/13 | 06/04/13 | $174,440.22 | $174,000 00 | $440.22 |
| COMCAST CABLE COMMUNICATIONS | | 20029PAG4 | 100000 | 04/01/13 | 06/06/13 | $127,174.00 | $129,363.25 | $-2,189.25 |
| CVS PASS-THROUGH TRUST | | 126650BP4 | 948.56 | 04/05/13 | 06/10/13 | $948.56 | $1,137 11 | $-188.55 |
| U S TREASURY BOND | UST2742 | 912810QY7 | 45000 | 04/17/13 | 06/14/13 | $40,331.07 | $44,499 93 | $-4,168.86 |
| FHLMC REMIC 3920 KE 2 1% 9 | FR32126 | 3137AF3M2 | 4043.54 | 03/27/13 | 06/15/13 | $4,043.54 | $4,126 31 | $-82.77 |
| CSMC 2006-C4 A3 5.467% 9 | CM7000000 | 22545MAD9 | 2155.94 | 04/02/13 | 06/17/13 | $2,155.94 | $2,420.63 | $-264 69 |
| HARDT 2012-2 A4 0 91% 5 | | 43813EAD8 | 225000 | 03/25/13 | 06/17/13 | $225,887.69 | $226,538 09 | $-650 40 |
| APPLE INC 0 5231% 5 | AI00518 | 037833AG5 | 56000 | 04/30/13 | 06/20/13 | $55,840.57 | $56,000 00 | $-159.43 |
| JOHN DEERE CAPITAL CO 2.25% 4 | DE 19 | 24422ERR2 | 125000 | 04/01/13 | 06/24/13 | $123,618 75 | $129,473 75 | $-5,855 00 |
| FNMA POOL # 735402 5 0% 4 | 735402A | 31402RAB5 | 25011 79 | 03/22/13 | 06/25/13 | $25,011 79 | $27,161 24 | $-2,149 45 |
| FNMA POOL # 725964 2.366% 10 | 725964A | 31402DQR4 | 3175.27 | 04/01/13 | 06/25/13 | $3,175 27 | $3,395 55 | $-220 28 |
| FNMA POOL # AB4078 4.0% 12 | AB4078A | 31417AQ85 | 12073.1 | 04/08/13 | 06/25/13 | $12,073.10 | $12,952.17 | $-879.07 |
| FNMA POOL # AL3289 5.0% 3 | AL3289A | 3138EKUP8 | 4617.13 | 05/06/13 | 06/25/13 | $4,617 13 | $4,970 63 | $-353 50 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 6112 11 | 05/08/13 | 06/25/13 | $6,112 11 | $6,119 75 | $-7 64 |

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## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FNMA POOL # 254903 5 0% 10 | 254903A | 31371LDG1 | 18223.36 | 03/22/13 | 06/25/13 | $18,223.36 | $19,823.60 | $-1,600.24 |
| FNMA REMIC 2011-98NH 2 5% 4 | FR22536 | 3136A1GZ2 | 22714 99 | 03/27/13 | 06/25/13 | $22,714 99 | $23,091.21 | $-376 22 |
| FNMA GTD REMIC P/T 2005-86 WD | FR25034 | 31394UCZ3 | 36233.08 | 04/08/13 | 06/25/13 | $36,233.08 | $37,320.07 | $-1,086.99 |
| FNMA POOL # AD0825 4.589% 2/1/ | AD0825A | 31418M4K5 | 502.51 | 03/28/13 | 06/25/13 | $502.51 | $584 80 | $-82.29 |
| GENERAL ELEC CAP CORP 6.0% 8 | GE 19 | 36962G4D3 | 120000 | 04/05/13 | 06/25/13 | $138,561.60 | $146,862.00 | $-8,300.40 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 4703 15 | 05/13/13 | 06/25/13 | $4,703 15 | $4,706 09 | $-2.94 |
| U S TREASURY BOND | UST2742 | 912810QY7 | 41000 | 05/16/13 | 07/09/13 | $34,335.73 | $38,267.90 | $-3,932.17 |
| U S TREASURY BOND | UST2742 | 912810QY7 | 50000 | 04/18/13 | 07/09/13 | $41,872.85 | $48,709.99 | $-6,837 14 |
| U S TREASURY BOND | UST2742 | 912810QY7 | 4000 | 04/17/13 | 07/09/13 | $3,349.83 | $3,955 55 | $-605.72 |
| CVS PASS-THROUGH TRUST | | 126650BP4 | 953.32 | 04/05/13 | 07/10/13 | $953 32 | $1,142 82 | $-189.50 |
| KINDER MORGAN ENERGY PARTNEF | | 494550BQ8 | 200000 | 04/01/13 | 07/10/13 | $189,030.00 | $203,290.00 | $-14,260 00 |
| FHLMC POOL #848768 2 384% 12 | 848768F | 31300LW50 | 2749.14 | 04/30/13 | 07/15/13 | $2,749.14 | $2,927 40 | $-178 26 |
| FHLMC REMIC 3920 KE 2.1% 9 | FR32126 | 3137AF3M2 | 8133.99 | 03/27/13 | 07/15/13 | $8,133.99 | $8,300 48 | $-166.49 |
| SBAP 2013-20D 1 2 08% 4 | | 83162CVL4 | 338000 | 04/11/13 | 07/17/13 | $317,033 44 | $338,000.00 | $-20,966 56 |
| FNMA POOL # 735402 5.0% 4 | 735402A | 31402RAB5 | 495905 04 | 03/22/13 | 07/17/13 | $533,950.25 | $538,521.87 | $-4,571.62 |
| CSMC 2006-C4 A3 5 467% 9 | CM7000000 | 22545MAD9 | 2082.26 | 04/02/13 | 07/17/13 | $2,082.26 | $2,337.91 | $-255.65 |
| SBAP 2013-20D 1 2.08% 4 | | 83162CVL4 | 337000 | 04/11/13 | 07/17/13 | $316,095.47 | $337,000 00 | $-20,904.53 |
| KKR GROUP FINANCE CO 6 375% 9 | KKRG20 | 48248NAA8 | 200000 | 03/27/13 | 07/18/13 | $226,666 00 | $237,546.00 | $-10,880 00 |
| PHILLIPS 66 | | 718546AJ3 | 150000 | 03/26/13 | 07/19/13 | $156,615 00 | $158,968.50 | $-2,353 50 |
| FNA 2013-M5 ASQ2 0 5948% 8/25/ | | 3136ADZT9 | 4110.13 | 04/15/13 | 07/25/13 | $4,110.13 | $4,110 13 | $0.00 |
| FNMA POOL # 735402 5.0% 4 | 735402A | 31402RAB5 | 22173.41 | 03/22/13 | 07/25/13 | $22,173.41 | $24,078.94 | $-1,905.53 |
| FNMA GTD REMIC P/T 2005-86 WD | FR25034 | 31394UCZ3 | 29629.73 | 04/08/13 | 07/25/13 | $29,629.73 | $30,518.62 | $-888.89 |
| FNMA POOL # AD0825 4 589% 2/1/ | AD0825A | 31418M4K5 | 580 48 | 03/28/13 | 07/25/13 | $580 48 | $675.53 | $-95 05 |
| FNMA POOL AJ9355 3.0% 1 | AJ9355A | 3138E2MD4 | 6251.76 | 06/14/13 | 07/25/13 | $6,251.76 | $6,522.34 | $-270 58 |
| FNMA POOL # 254903 5.0% 10 | 254903A | 31371LDG1 | 15776.97 | 03/22/13 | 07/25/13 | $15,776.97 | $17,162 39 | $-1,385.42 |
| FNMA POOL # 725964 2.366% 10 | 725964A | 31402DQR4 | 11565.19 | 04/01/13 | 07/25/13 | $11,565.19 | $12,367 53 | $-802.34 |
| FNMA POOL # AB4078 4 0% 12 | AB4078A | 31417AQ85 | 6320.63 | 04/08/13 | 07/25/13 | $6,320 63 | $6,780.85 | $-460.22 |
| FNMA POOL # AL3289 5.0% 3 | AL3289A | 3138EKUP8 | 4673 56 | 05/06/13 | 07/25/13 | $4,673.56 | $5,031.38 | $-357 82 |

## Short term transactions

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|---|---|---|---|---|---|---|---|---|
| FNMA REMIC 2011-98NH 2.5% 4 | FR22536 | 3136A1GZ2 | 22447.61 | 03/27/13 | 07/25/13 | $22,447.61 | $22,819 40 | $-371.79 |
| FNMA REMIC 2013-52 MD 1 25% 6 | FR21243 | 3136AEJ24 | 5478.16 | 05/08/13 | 07/25/13 | $5,478.16 | $5,485.01 | $-6.85 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 4215.33 | 05/13/13 | 07/25/13 | $4,215.33 | $4,217 96 | $-2 63 |
| VALERO ENERGY CORP 9 375% 3 | VLO 19 | 91913YAN0 | 97000 | 03/25/13 | 07/29/13 | $126,959 42 | $132,366 20 | $-5,406 78 |
| UNITED STATES TREAS 0.75% 12 | UST0717 | 912828UE8 | 93000 | 07/29/13 | 07/30/13 | $91,194 49 | $91,205.70 | $-11.21 |
| HCP INC 6.7% 1 | HCP 18 | 40414LAA7 | 145000 | 04/01/13 | 07/31/13 | $170,583.80 | $176,450.50 | $-5,866.70 |
| SBA GTD PARTN CTFS 2009-20B 1 | | 83162CSH7 | 22956 26 | 04/10/13 | 08/01/13 | $22,956 26 | $26,026.66 | $-3,070 40 |
| SOUTHWEST AIRLS 07 1 P/T CL A | SA06122 | 84474YAA4 | 5171 | 03/28/13 | 08/01/13 | $5,171.00 | $6,126.86 | $-955.86 |
| E M C CORP 2 65% 6/ | | 268648AQ5 | 22000 | 06/03/13 | 08/05/13 | $21,781.32 | $21,947 20 | $-165.88 |
| E M C CORP 2.65% 6/ | | 268648AQ5 | 22000 | 06/03/13 | 08/06/13 | $21,750.30 | $21,947.20 | $-196.90 |
| E M C CORP 2.65% 6/ | | 268648AQ5 | 10000 | 06/03/13 | 08/06/13 | $9,900.60 | $9,976.00 | $-75 40 |
| E M C CORP 2 65% 6/ | | 268648AQ5 | 20000 | 06/03/13 | 08/07/13 | $19,821.00 | $19,952 00 | $-131.00 |
| E M C CORP 2.65% 6/ | | 268648AQ5 | 20000 | 06/03/13 | 08/08/13 | $19,844 40 | $19,952.00 | $-107 60 |
| CVS PASS-THROUGH TRUST | | 126650BP4 | 958 12 | 04/05/13 | 08/10/13 | $958.12 | $1,148.58 | $-190.46 |
| UNITED STATES TREAS 0.75% 12 | UST0717 | 912828UE8 | 46000 | 07/29/13 | 08/13/13 | $44,945 08 | $45,112.50 | $-167 42 |
| U S TREASURY BOND | UST2742 | 912810QY7 | 90000 | 05/16/13 | 08/14/13 | $73,637.92 | $84,002.70 | $-10,364.78 |
| FHLMC POOL #848768 2 384% 12 | 848768F | 31300LW50 | 5390 83 | 04/30/13 | 08/15/13 | $5,390 83 | $5,740.39 | $-349.56 |
| FHLMC REMIC 3920 KE 2.1% 9 | FR32126 | 3137AF3M2 | 13029 9 | 03/27/13 | 08/15/13 | $13,029 90 | $13,296.61 | $-266.71 |
| SIMON PPTY GROUP L P SR NT | SPG 19 | 828807CA3 | 7000 | 04/04/13 | 08/16/13 | $9,518 95 | $10,172.75 | $-653.80 |
| CSMC 2006-C4 A3 5.467% 9 | CM7000000 | 22545MAD9 | 411.88 | 04/02/13 | 08/16/13 | $411.88 | $462.45 | $-50.57 |
| SIMON PROPERTY GROUP LP | SPG 40 | 828807CE5 | 35000 | 03/25/13 | 08/16/13 | $42,210.35 | $47,306 70 | $-5,096.35 |
| SIMON PPTY GROUP L P SR NT | SPG 19 | 828807CA3 | 8000 | 04/04/13 | 08/19/13 | $10,846.16 | $11,626 00 | $-779.84 |
| FNMA POOL AJ9355 3.0% 1 | AJ9355A | 3138E2MD4 | 4740.37 | 06/14/13 | 08/25/13 | $4,740.37 | $4,945 54 | $-205.17 |
| FNMA POOL # 254903 5 0% 10 | 254903A | 31371LDG1 | 18244.26 | 03/22/13 | 08/25/13 | $18,244.26 | $19,846 33 | $-1,602.07 |
| FNMA GTD REMIC P/T 2005-86 WD | FR25034 | 31394UCZ3 | 27738.59 | 04/08/13 | 08/25/13 | $27,738.59 | $28,570.75 | $-832.16 |
| FNA 2013-M5 ASQ2 0.5948% 8/25/ | | 3136ADZT9 | 2250.16 | 04/15/13 | 08/25/13 | $2,250.16 | $2,250 16 | $0.00 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 4167.35 | 05/13/13 | 08/25/13 | $4,167.35 | $4,169.95 | $-2.60 |
| FNMA POOL # 725964 2 366% 10 | 725964A | 31402DQR4 | 8853.37 | 04/01/13 | 08/25/13 | $8,853.37 | $9,467 57 | $-614 20 |

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FNMA POOL # AB4078 4.0% 12 | AB4078A | 31417AQ85 | 11602.5 | 04/08/13 | 08/25/13 | $11,602.50 | $12,447.31 | $-844.81 |
| FNMA POOL # AL3289 5.0% 3 | AL3289A | 3138EKUP8 | 4680.39 | 05/06/13 | 08/25/13 | $4,680.39 | $5,038 73 | $-358.34 |
| FNMA POOL # AD0825 4.589% 2/1/ | AD0825A | 31418M4K5 | 508.06 | 03/28/13 | 08/25/13 | $508.06 | $591 25 | $-83.19 |
| FNMA REMIC 2011-98NH 2 5% 4 | FR22536 | 3136A1GZ2 | 23642.42 | 03/27/13 | 08/25/13 | $23,642.42 | $24,034 00 | $-391.58 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 5415.79 | 05/08/13 | 08/25/13 | $5,415 79 | $5,422 56 | $-6.77 |
| PHILLIPS 66 | | 718546AH7 | 90000 | 05/30/13 | 08/26/13 | $94,151.70 | $106,572 60 | $-12,420.90 |
| SIMON PPTY GROUP L P SR NT | SPG 19 | 828807CA3 | 10000 | 04/04/13 | 08/29/13 | $13,519 30 | $14,532.50 | $-1,013 20 |
| SIMON PPTY GROUP L P SR NT | SPG 19 | 828807CA3 | 52000 | 04/01/13 | 08/29/13 | $70,300.36 | $75,431.72 | $-5,131.36 |
| SIMON PPTY GROUP L P SR NT | SPG 19 | 828807CA3 | 1000 | 04/02/13 | 08/29/13 | $1,351.93 | $1,449 23 | $-97 30 |
| UNION PAC CORP DEB | UNP 28 | 907818BY3 | 81000 | 06/03/13 | 09/09/13 | $106,221.78 | $107,367.93 | $-1,146.15 |
| CVS PASS-THROUGH TRUST | | 126650BP4 | 962.94 | 04/05/13 | 09/10/13 | $962.94 | $1,154 35 | $-191.41 |
| UNITED STATES TREAS 0.75% 12 | UST0717 | 912828UE8 | 103000 | 08/29/13 | 09/11/13 | $99,672.27 | $100,264.41 | $-592 14 |
| FHLMC POOL #848768 2.384% 12 | 848768F | 31300LW50 | 4499 27 | 04/30/13 | 09/15/13 | $4,499 27 | $4,791.02 | $-291 75 |
| FHLMC REMIC 3920 KE 2.1% 9 | FR32126 | 3137AF3M2 | 12905 28 | 03/27/13 | 09/15/13 | $12,905 28 | S13,169.43 | $-264.15 |
| UNITED TECHNOLOGIES CORP NT | UTX 19 | 913017BQ1 | 140000 | 04/04/13 | 09/16/13 | $165,772.60 | $175,546 00 | $-9,773.40 |
| CSMC 2006-C4 A3 5.467% 9 | CM7000000 | 22545MAD9 | 551.96 | 04/02/13 | 09/17/13 | $551.96 | $619.73 | $-67.77 |
| U S TREASURY BOND | UST2742 | 912810QY7 | 60000 | 05/16/13 | 09/19/13 | $48,892.73 | $56,001 80 | $-7,109 07 |
| FNMA POOL AJ9355 3 0% 1 | AJ9355A | 3138E2MD4 | 4168.01 | 06/14/13 | 09/25/13 | $4,168 01 | $4,348.41 | $-180.40 |
| FNMA POOL # 254903 5 0% 10 | 254903A | 31371LDG1 | 12211 | 03/22/13 | 09/25/13 | $12,211 00 | $13,283.28 | $-1,072 28 |
| FNMA POOL # 725964 2 366% 10 | 725964A | 31402DQR4 | 10640 53 | 04/01/13 | 09/25/13 | $10,640.53 | $11,378.72 | $-738 19 |
| FNMA POOL # AB4078 4.0% 12 | AB4078A | 31417AQ85 | 1232 15 | 04/08/13 | 09/25/13 | $1,232.15 | $1,321 87 | $-89.72 |
| FNMA POOL # AL3289 5.0% 3 | AL3289A | 3138EKUP8 | 4082.8 | 05/06/13 | 09/25/13 | $4,082.80 | $4,395 39 | $-312.59 |
| FNMA POOL # AD0825 4.589% 2/1/ | AD0825A | 31418M4K5 | 510.66 | 03/28/13 | 09/25/13 | $510.66 | $594 28 | $-83.62 |
| FNMA GTD REMIC P/T 2005-86 WD | FR25034 | 31394UCZ3 | 22623.24 | 04/08/13 | 09/25/13 | $22,623.24 | $23,301 94 | $-678 70 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 5354.12 | 05/08/13 | 09/25/13 | $5,354.12 | $5,360.81 | $-6 69 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 4119.89 | 05/13/13 | 09/25/13 | $4,119 89 | $4,122.47 | $-2.58 |
| FNMA REMIC 2011-98NH 2.5% 4 | FR22536 | 3136A1GZ2 | 14659.82 | 03/27/13 | 09/25/13 | $14,659.82 | $14,902.62 | $-242 80 |
| FNA 2013-M5 ASQ2 0.5948% 8/25/ | | 3136ADZT9 | 242 7 | 04/15/13 | 09/25/13 | $242.70 | $242.70 | $0.00 |

FOUNDATION-I R _M-CUST-SUB

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| ANHEUSER-BUSCH INBEV WOR | BUD 20 | 03523TAN8 | 150000 | 03/25/13 | 09/25/13 | $172,497 00 | $180,466 50 | $-7,969.50 |
| E M C CORP 2 65% 6/ | | 268648AQ5 | 105000 | 06/03/13 | 09/25/13 | $104,185 20 | $104,748.00 | $-562 80 |
| CHEVRON CORP 3.191% 6 | | 166764AH3 | 185000 | 06/17/13 | 09/25/13 | $181,375 85 | $185,000.00 | $-3,624 15 |
| DAIMLER CHRYSLER NORTH AMER | DCNA31 | 233835AQ0 | 90000 | 06/26/13 | 09/30/13 | $129,070 80 | $126,683.10 | $2,387 70 |
| SBAP 2007-20J 1 5.57% 10 | | 83162CRH8 | 47545 59 | 04/12/13 | 10/01/13 | $47,545.59 | $54,879.87 | $-7,334 28 |
| U S TREASURY NOTE 1.75% 5 | | 912828VB3 | 141000 | 09/30/13 | 10/02/13 | $130,600 69 | $130,585.29 | $15 40 |
| FNA 2013-M5 ASQ2 0 5948% 8/25/ | | 3136ADZT9 | 215980 51 | 04/15/13 | 10/03/13 | $214,765 61 | $215,980.51 | $-1,214.90 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 283077 36 | 05/08/13 | 10/08/13 | $270,338 88 | $283,431.21 | $-13,092.33 |
| CVS PASS-THROUGH TRUST | | 126650BP4 | 967 79 | 04/05/13 | 10/10/13 | $967.79 | $1,160.17 | $-192.38 |
| CONTL AIRLINES 2012-1 | | 210795PZ7 | 6398.43 | 03/27/13 | 10/11/13 | $6,398 43 | $6,718.35 | $-319.92 |
| FHLMC REMIC 3920 KE 2.1% 9 | FR32126 | 3137AF3M2 | 10329 91 | 03/27/13 | 10/15/13 | $10,329 91 | $10,541.35 | $-211.44 |
| FHLMC POOL #848768 2 384% 12 | 848768F | 31300LW50 | 1176.12 | 04/30/13 | 10/15/13 | $1,176.12 | $1,252 38 | $-76.26 |
| FNMA REMIC 2011-98NH 2.5% 4 | FR22536 | 3136A1GZ2 | 524120 49 | 03/27/13 | 10/16/13 | $535,995.09 | $532,801.23 | $3,193.86 |
| FHLMC REMIC 3920 KE 2.1% 9 | FR32126 | 3137AF3M2 | 587815 42 | 03/27/13 | 10/16/13 | $583,636.43 | $599,847 26 | $-16,210.83 |
| CSMC 2006-C4 A3 5 467% 9 | CM7000000 | 22545MAD9 | 6185.69 | 04/02/13 | 10/18/13 | $6,185.69 | $6,945.13 | $-759.44 |
| FNMA REMIC 2011-98NH 2.5% 4 | FR22536 | 3136A1GZ2 | 8800.24 | 03/27/13 | 10/25/13 | $8,800.24 | $8,945.99 | $-145.75 |
| FNMA POOL # 725964 2 366% 10 | 725964A | 31402DQR4 | 3234.17 | 04/01/13 | 10/25/13 | $3,234.17 | $3,458 54 | $-224.37 |
| FNMA GTD REMIC P/T 2005-86 WD | FR25034 | 31394UCZ3 | 14764.79 | 04/08/13 | 10/25/13 | $14,764.79 | $15,207 73 | $-442.94 |
| FNMA REMIC 2013-52 MD 1 25% 6 | FR21243 | 3136AEJ24 | 107.94 | 05/08/13 | 10/25/13 | $107.94 | $108 07 | $-0.13 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 9140.95 | 05/13/13 | 10/25/13 | $9,140.95 | $9,146 66 | $-5.71 |
| FNMA REMIC 2013-52 MD 1 25% 6 | FR21243 | 3136AEJ24 | 117.19 | 05/13/13 | 10/25/13 | $117.19 | $117.26 | $-0.07 |
| FNMA POOL # MA1527 3.0% 8 | MA1527A | 31418AVV7 | 1696.52 | 09/25/13 | 10/25/13 | $1,696.52 | $1,700 50 | $-3.98 |
| FNMA POOL # MA1527 3.0% 8 | MA1527A | 31418AVV7 | 496.23 | 09/25/13 | 10/25/13 | $496.23 | $494 68 | $1.55 |
| FNA 2013-M5 ASQ2 0.5948% 8/25/ | | 3136ADZT9 | 3416.5 | 04/15/13 | 10/25/13 | $3,416.50 | $3,416.50 | $0.00 |
| FNMA POOL # AL3289 5.0% 3 | AL3289A | 3138EKUP8 | 3988.11 | 05/06/13 | 10/25/13 | $3,988.11 | $4,293.45 | $-305.34 |
| FNMA POOL # AB4078 4.0% 12 | AB4078A | 31417AQ85 | 9168.44 | 04/08/13 | 10/25/13 | $9,168.44 | $9,836.02 | $-667.58 |
| FNMA POOL # 254903 5.0% 10 | 254903A | 31371LDG1 | 8156.47 | 03/22/13 | 10/25/13 | $8,156.47 | $8,872.71 | $-716.24 |
| FNMA POOL AJ9355 3.0% 1 | AJ9355A | 3138E2MD4 | 2715.56 | 06/14/13 | 10/25/13 | $2,715.56 | $2,833.09 | $-117.53 |

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FNMA POOL # AD0825 4 589% 2/1/ | AD0825A | 31418M4K5 | 588.39 | 03/28/13 | 10/25/13 | $588 39 | $684 74 | $-96.35 |
| FNMA POOL # MA1561 3.0% 9 | MA1561A | 31418AWX2 | 686 51 | 08/13/13 | 10/25/13 | $686 51 | $676.43 | $10.08 |
| SMALL BUS ADMIN GTD 08-20E | | 83162CRU9 | 2520 92 | 09/03/13 | 11/01/13 | $2,520 92 | $2,771.83 | $-250.91 |
| SMALL BUSINESS ADMIN 5.51% 11 | SBAG27 | 83162CRK1 | 14533 82 | 04/04/13 | 11/01/13 | $14,533 82 | $16,776.34 | $-2,242 52 |
| SMALL BUSINESS ADMIN 5.51% 11 | SBAG27 | 83162CRK1 | 21373.27 | 04/04/13 | 11/01/13 | $21,373.27 | $24,607.65 | $-3,234 38 |
| SMALL BUS ADMIN GTD 08-20E | | 83162CRU9 | 39326.32 | 04/01/13 | 11/01/13 | $39,326.32 | $45,335.87 | $-6,009.55 |
| FORD HLDGS INC GTD DEB 9.3% 3 | F 30 | 345277AE7 | 69000 | 04/02/13 | 11/06/13 | $94,187.76 | $97,864 77 | $-3,677.01 |
| DELTA AIR LINES 2012 4 75% 5 | CM7000000 | 247358AA2 | 9793 31 | 04/02/13 | 11/07/13 | $9,793 31 | $10,686 95 | $-893.64 |
| CVS PASS-THROUGH TRUST | | 126650BP4 | 972.65 | 04/05/13 | 11/10/13 | $972.65 | $1,165.99 | $-193.34 |
| FHLMC POOL #848768 2.384% 12 | 848768F | 31300LW50 | 1546 25 | 04/30/13 | 11/15/13 | $1,546 25 | $1,646.51 | $-100 26 |
| CSMC 2006-C4 A3 5.467% 9 | CM7000000 | 22545MAD9 | 405 65 | 04/02/13 | 11/18/13 | $405.65 | $455.45 | $-49.80 |
| BERKSHIRE HATHAWAY INC 4.5% 2 | | 084670BK3 | 68000 | 03/25/13 | 11/19/13 | $63,833.64 | $68,916 64 | $-5,083.00 |
| BERKSHIRE HATHAWAY INC 4.5% 2 | | 084670BK3 | 82000 | 03/25/13 | 11/19/13 | $77,096.40 | $83,105 36 | $-6,008.96 |
| FNMA POOL # AB4078 4 0% 12 | AB4078A | 31417AQ85 | 3063.19 | 04/08/13 | 11/25/13 | $3,063 19 | $3,286.23 | $-223.04 |
| FNMA GTD REMIC P/T 2005-86 WD | FR25034 | 31394UCZ3 | 18261.35 | 04/08/13 | 11/25/13 | $18,261 35 | $18,809.19 | $-547 84 |
| FNMA POOL AJ9355 3 0% 1 | AJ9355A | 3138E2MD4 | 2944 12 | 06/14/13 | 11/25/13 | $2,944 12 | $3,071.55 | $-127.43 |
| FNMA POOL # AB4438 3.5% 2 | AB4438A | 31417A4Y2 | 427.16 | 10/01/13 | 11/25/13 | $427.16 | $434.10 | $-6 94 |
| FNMA POOL # 254903 5.0% 10 | 254903A | 31371LDG1 | 7167 32 | 03/22/13 | 11/25/13 | $7,167.32 | $7,796 70 | $-629.38 |
| FNMA POOL # 725964 2.366% 10 | 725964A | 31402DQR4 | 8189.77 | 04/01/13 | 11/25/13 | $8,189.77 | $8,757.94 | $-568.17 |
| FNMA POOL # AL3289 5.0% 3 | AL3289A | 3138EKUP8 | 3483.39 | 05/06/13 | 11/25/13 | $3,483.39 | $3,750.09 | $-266.70 |
| FNMA POOL # MA1561 3.0% 9 | MA1561A | 31418AWX2 | 619.7 | 08/13/13 | 11/25/13 | $619 70 | $610.60 | $9 10 |
| FNMA POOL # MA1527 3.0% 8 | MA1527A | 31418AVV7 | 489.31 | 09/25/13 | 11/25/13 | $489 31 | $487.78 | $1.53 |
| FNMA POOL # MA1527 3.0% 8 | MA1527A | 31418AVV7 | 1672 85 | 09/25/13 | 11/25/13 | $1,672 85 | $1,676.77 | $-3 92 |
| FNMA POOL # AU3751 4.0% 8 | AU3751A | 3138X3EZ1 | 1692.68 | 10/08/13 | 11/25/13 | $1,692.68 | $1,777 71 | $-85.03 |
| FNMA POOL # AD0825 4.589% 2/1/ | AD0825A | 31418M4K5 | 516 29 | 03/28/13 | 11/25/13 | $516.29 | $600.83 | $-84.54 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 40.15 | 05/08/13 | 11/25/13 | $40.15 | $40 20 | $-0.05 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 3400.43 | 05/13/13 | 11/25/13 | $3,400.43 | $3,402.56 | $-2.13 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 43.6 | 05/13/13 | 11/25/13 | $43 60 | $43 63 | $-0 03 |

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| U S TREASURY NOTE 1.75% 5 | | 912828VB3 | 22000 | 11/06/13 | 12/05/13 | $20,041.40 | $20,369.85 | $-328.45 |
| U S TREASURY NOTE 1 75% 5 | | 912828VB3 | 90000 | 11/06/13 | 12/05/13 | $82,064.87 | $83,331.22 | $-1,266.35 |
| CVS PASS-THROUGH TRUST | | 126650BP4 | 977.54 | 04/05/13 | 12/10/13 | $977.54 | $1,171 86 | $-194.32 |
| DEUTSCHE TELEKOM INTL FIN B V | DT 32 | 25156PAD5 | 50000 | 05/30/13 | 12/10/13 | $75,432.50 | $77,878 00 | $-2,445.50 |
| NEWS AMERICA INC | NSAI41 | 652482CE8 | 140000 | 04/01/13 | 12/10/13 | $156,237.20 | $169,233 40 | $-12,996.20 |
| FHLMC POOL #848768 2.384% 12 | 848768F | 31300LW50 | 4393.71 | 04/30/13 | 12/15/13 | $4,393.71 | $4,678.61 | $-284.90 |
| CSMC 2006-C4 A3 5.467% 9 | CM7000000 | 22545MAD9 | 486.69 | 04/02/13 | 12/17/13 | $486.69 | $546 44 | $-59.75 |
| IHSFR 2013-SFR1 A 1 4% 12 | | 46186NAA6 | 233.52 | 11/05/13 | 12/17/13 | $233.52 | $233 52 | $0.00 |
| FNMA POOL # 254903 5.0% 10 | 254903A | 31371LDG1 | 7741.72 | 03/22/13 | 12/25/13 | $7,741.72 | $8,421.54 | $-679 82 |
| FNMA POOL # 725964 2 366% 10 | 725964A | 31402DQR4 | 19313.59 | 04/01/13 | 12/25/13 | $19,313.59 | $20,653 47 | $-1,339 88 |
| FNMA POOL # AB4078 4.0% 12 | AB4078A | 31417AQ85 | 13053.67 | 04/08/13 | 12/25/13 | $13,053.67 | $14,004.14 | $-950.47 |
| FNMA POOL # AL3289 5 0% 3 | AL3289A | 3138EKUP8 | 3012.92 | 05/06/13 | 12/25/13 | $3,012 92 | $3,243 60 | $-230 68 |
| FNMA POOL # MA1561 3.0% 9 | MA1561A | 31418AWX2 | 581.25 | 08/13/13 | 12/25/13 | $581 25 | $572.71 | $8.54 |
| FNMA POOL # MA1527 3.0% 8 | MA1527A | 31418AVV7 | 464.09 | 09/25/13 | 12/25/13 | $464 09 | $462.64 | $1 45 |
| FNMA POOL # MA1527 3.0% 8 | MA1527A | 31418AVV7 | 1586.64 | 09/25/13 | 12/25/13 | $1,586.64 | $1,590 36 | $-3 72 |
| FNMA POOL # AU3751 4.0% 8 | AU3751A | 3138X3EZ1 | 1069.05 | 10/08/13 | 12/25/13 | $1,069.05 | $1,122.75 | $-53.70 |
| FNMA POOL # AS0657 4 0% 10 | AS0657A | 3138W9WT3 | 1988.42 | 10/16/13 | 12/25/13 | $1,988.42 | $2,080.70 | $-92.28 |
| FNMA POOL 0815979 | 815979A | 31406PQ85 | 10848.31 | 10/25/13 | 12/25/13 | $10,848.31 | $11,845.00 | $-996 69 |
| FNMA GTD REMIC P/T 2005-86 WD | FR25034 | 31394UCZ3 | 17480.68 | 04/08/13 | 12/25/13 | $17,480 68 | $18,005 10 | $-524 42 |
| FNMA REMIC 2013-52 MD 1.25% 6 | FR21243 | 3136AEJ24 | 50 96 | 05/08/13 | 12/25/13 | $50 96 | $51 02 | $-0 06 |
| FNMA REMIC 2013-52 MD 1 25% 6 | FR21243 | 3136AEJ24 | 4315.36 | 05/13/13 | 12/25/13 | $4,315.36 | $4,318 06 | $-2.70 |
| FNMA REMIC 2013-52 MD 1 25% 6 | FR21243 | 3136AEJ24 | 55 32 | 05/13/13 | 12/25/13 | $55.32 | $55.35 | $-0.03 |
| FNMA POOL # AD0825 4 589% 2/1/ | AD0825A | 31418M4K5 | 593 87 | 03/28/13 | 12/25/13 | $593 87 | $691.12 | $-97 25 |
| FNMA POOL 0995203 | 995203A | 31416BRY6 | 11027 83 | 10/30/13 | 12/25/13 | $11,027 83 | $11,999 66 | $-971 83 |
| FNMA POOL AJ9355 3 0% 1 | AJ9355A | 3138E2MD4 | 2669.96 | 06/14/13 | 12/25/13 | $2,669.96 | $2,785.52 | $-115.56 |
| FNMA POOL # AB4438 3 5% 2 | AB4438A | 31417A4Y2 | 415.72 | 10/01/13 | 12/25/13 | $415.72 | $422 48 | $-6.76 |
| FNMA POOL 0995203 | 995203A | 31416BRY6 | 10478.78 | 10/30/13 | 01/25/14 | $10,478.78 | $11,402.22 | $-923.44 |
| FNMA POOL AJ9355 3.0% 1 | AJ9355A | 3138E2MD4 | 3048.94 | 06/14/13 | 01/25/14 | $3,048.94 | $3,180 90 | $-131.96 |

## Short term transactions

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| FNMA POOL # AB4438 3.5% 2 | AB4438A | 31417A4Y2 | 418.09 | 10/01/13 | 01/25/14 | $418.09 | $424.88 | $-6 79 |
| FNMA POOL # 254903 5 0% 10 | 254903A | 31371LDG1 | 7854.9 | 03/22/13 | 01/25/14 | $7,854.90 | $8,544.66 | $-689.76 |
| FNMA POOL # 725964 2 366% 10 | 725964A | 31402DQR4 | 7153.78 | 04/01/13 | 01/25/14 | $7,153 78 | $7,650 07 | $-496.29 |
| FNMA POOL # AB4078 4.0% 12 | AB4078A | 31417AQ85 | 4819 38 | 04/08/13 | 01/25/14 | $4,819 38 | $5,170.29 | $-350 91 |
| FNMA POOL 0815979 | 815979A | 31406PQ85 | 14230 66 | 10/25/13 | 01/25/14 | $14,230.66 | $15,538.10 | $-1,307.44 |
| FNMA POOL # MA1561 3.0% 9 | MA1561A | 31418AWX2 | 814.88 | 08/13/13 | 01/25/14 | $814.88 | $802.91 | $11.97 |
| FNMA POOL # AU3751 4.0% 8 | AU3751A | 3138X3EZ1 | 1036.85 | 10/08/13 | 01/25/14 | $1,036.85 | $1,088.94 | $-52 09 |
| FNMA POOL # AS0657 4.0% 10 | AS0657A | 3138W9WT3 | 471.23 | 10/16/13 | 01/25/14 | $471.23 | $493 10 | $-21.87 |
| FNMA POOL # AS0657 4.0% 10 | AS0657A | 3138W9WT3 | 47 12 | 12/05/13 | 01/25/14 | $47.12 | $48.78 | $-1.66 |
| FNMA POOL # MA1527 3.0% 8 | MA1527A | 31418AVV7 | 2468.71 | 09/25/13 | 01/25/14 | $2,468 71 | $2,461.00 | $7.71 |
| FNMA POOL 0815979 | 815979A | 31406PQ85 | 0.01 | 10/25/13 | 01/25/14 | $0.01 | $0 01 | $0 00 |
| FNMA POOL # AL3289 5.0% 3 | AL3289A | 3138EKUP8 | 3231.78 | 05/06/13 | 01/25/14 | $3,231.78 | $3,479 21 | $-247.43 |
| **Total short term gain/loss from sales:** | | | | | | $10,035,373 25 | $10,368,449.04 | $-333,075 79 |

## Short term transactions with loss disallowed due to wash sale

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Net gain or loss |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | Portion subject to 988 | Wash sale loss disallowed |
| U S TREASURY BOND | UST2742 | 912810QY7 | 225000 | 05/16/13 | 05/31/13 | $203,087.97 | $210,006.76 | $-6,918.79 |
| | | | | | | | $0.00 | $3,044.27 |
| U S TREASURY BOND | UST2742 | 912810QY7 | 50000 | 05/07/13 | 06/04/13 | $45,011.52 | $47,053.34 | $-2,041 82 |
| | | | | | | | $0.00 | $2,041.82 |

## Short term transactions with loss disallowed due to wash sale

This category includes sales of assets held 12 months or less.

| Description | Symbol | Cusip | Quantity sold | Date of acquisition | Sale date | Sales price less commissions | Cost or other basis | Portion subject to 988 | Net gain or loss / Wash sale loss disallowed |
|---|---|---|---|---|---|---|---|---|---|
| U S TREASURY BOND | UST2742 | 912810QY7 | 49000 | 05/06/13 | 06/04/13 | $44,111 29 | $46,831 96 | | $-2,720 67 |
| | | | | | | | | $0.00 | $2,720.67 |
| **Total short term gain/loss from sales:** | | | | | | $292,210.78 | $303,892.06 | | $-11,681 28 |
| **Total short term loss disallowed from wash sales:** | | | | | | | | | $7,806.76 |
| **Total short term Section 988 translation gain/loss from securities subject to wash sale:** | | | | | | | | $0 00 | |