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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
ROTH FAMILY FOUNDATION

A Employer identification number
86-0594042

Number and street (or P O box number if mail is not delivered to street address)
7181 E VENTANA CANYON DRIVE

Room/suite

B Telephone number (see instructions)
(520) 529-1213

City or town, state or province, country, and ZIP or foreign postal code
TUCSON, AZ 85750

C If exemption application is pending, check here ▶ ☐

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

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 ▶ ☐

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)*▶$ 305,964

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

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

Part I **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))*

			(a) Revenue and expenses per books	**(b)** Net investment income	**(c)** Adjusted net income	**(d)** Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	3,091			
	2	Check ▶ ☑ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	49	49		
	4	Dividends and interest from securities.	8,533	8,533		
	5a	Gross rents				
	b	Net rental income or (loss) ________				
	6a	Net gain or (loss) from sale of assets not on line 10	4,436			
	b	Gross sales price for all assets on line 6a 34,312				
	7	Capital gain net income (from Part IV, line 2) . . .		4,436		
	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)	2			
	12	**Total.** Add lines 1 through 11	16,111	13,018		
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)	3,950	1,975		1,975
	c	Other professional fees (attach schedule)	1,659	1,659		
	17	Interest				
	18	Taxes (attach schedule) (see instructions)	170			
	19	Depreciation (attach schedule) and depletion . . .				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)	54			54
	24	**Total operating and administrative expenses.** Add lines 13 through 23	5,833	3,634		2,029
	25	Contributions, gifts, grants paid	13,710			13,710
	26	**Total expenses and disbursements.** Add lines 24 and 25	19,543	3,634		15,739
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-3,432			
	b	**Net investment income** (if negative, enter -0-)		9,384		
	c	**Adjusted net income** (if negative, enter -0-) . . .				

For Paperwork Reduction Act Notice, see instructions. Cat No 11289X Form **990-PF** (2013)

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

			Beginning of year	End of year	
			(a) Book Value	**(b)** Book Value	**(c)** Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	21,817	15,073	15,073
	3	Accounts receivable ▶ ________ Less allowance for doubtful accounts ▶ ________			
	4	Pledges receivable ▶ ________ Less allowance for doubtful accounts ▶ ________			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (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)	79,574	193,703	239,127
	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)	51,726	51,764	51,764
	14	Land, buildings, and equipment basis ▶ ________ Less accumulated depreciation (attach schedule) ▶ ________			
	15	Other assets (describe ▶ ________)	108,488		
	16	**Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	261,605	260,540	305,964
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			
	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	261,605	260,540	
	30	**Total net assets or fund balances** (see page 17 of the instructions)	261,605	260,540	
	31	**Total liabilities and net assets/fund balances** (see page 17 of the instructions)	261,605	260,540	

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	261,605
2	Enter amount from Part I, line 27a	2	-3,432
3	Other increases not included in line 2 (itemize) ▶ ________	3	2,375
4	Add lines 1, 2, and 3	4	260,548
5	Decreases not included in line 2 (itemize) ▶ ________	5	8
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	260,540

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	**(b)** How acquired P—Purchase D—Donation	**(c)** Date acquired (mo , day, yr)	**(d)** Date sold (mo , day, yr)
1 a	Capital Gain Dividends			
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				
b				46
c				
d				
e				

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

	(i) F M V as of 12/31/69	**(j)** Adjusted basis as of 12/31/69	**(k)** Excess of col (i) over col (j), if any	**(l)** Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
a				
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**	4,436
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	11,695	264,197	0 04427
2011	6,300	269,328	0 02339
2010	9,550	262,368	0 03640
2009	7,597	228,754	0 03321
2008	8,180	250,046	0 03271

2	**Total** of line 1, column (d).	**2**	0 16998
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 03400
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5.	**4**	285,482
5	Multiply line 4 by line 3.	**5**	9,705
6	Enter 1% of net investment income (1% of Part I, line 27b).	**6**	94
7	Add lines 5 and 6.	**7**	9,799
8	Enter qualifying distributions from Part XII, line 4.	**8**	15,739

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

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter ____________ **(attach copy of letter if necessary–see instructions)**				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b			**1**	94
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**	94
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**	94
6	Credits/Payments				
a	2013 estimated tax payments and 2012 overpayment credited to 2013	**6a**			
b	Exempt foreign organizations—tax withheld at source	**6b**			
c	Tax paid with application for extension of time to file (Form 8868)	**6c**	200		
d	Backup withholding erroneously withheld	**6d**			
7	Total credits and payments Add lines 6a through 6d			**7**	200
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**	106
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 106 **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 **(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? *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**		No
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *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 ● By language in the governing instrument, or ● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	**6**	Yes	
7	Did the foundation have at least $5,000 in assets at any time during the year? *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) ▶AZ			
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 ▶N/A

14 The books are in care of ▶JOAN ROTH Telephone no ▶(520) 529-1213

Located at ▶7181 E VENTANA CANYON DR Tucson AZ ZIP+4 ▶85750

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

			Yes	No
	File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			
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		No
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 20____ , 20____ , 20____ , 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. . . . . ☐ **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		No
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b		No

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required *(continued)*

5a During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ **Yes** ☑ **No**

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ **Yes** ☑ **No**

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ **Yes** ☑ **No**

(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ **Yes** ☑ **No**

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ **Yes** ☑ **No**

b If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? **5b** **No**

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

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

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

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

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

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

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

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

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

Part IX-A Summary of Direct Charitable Activities

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

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

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

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc, purposes				
a	Average monthly fair market value of securities			1a	219,639
b	Average of monthly cash balances			1b	18,445
c	Fair market value of all other assets (see instructions)			1c	51,745
d	**Total** (add lines 1a, b, and c)			1d	289,829
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0		
2	Acquisition indebtedness applicable to line 1 assets			2	
3	Subtract line 2 from line 1d			3	289,829
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions)			4	4,347
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4			5	285,482
6	**Minimum investment return.** Enter 5% of line 5			6	14,274

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	14,274
2a	Tax on investment income for 2013 from Part VI, line 5	2a	94		
b	Income tax for 2013 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	94
3	Distributable amount before adjustments Subtract line 2c from line 1			3	14,180
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	14,180
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	14,180

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	15,739
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc, purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	15,739
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	94
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	15,645

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					14,180
2 Undistributed income, if any, as of the end of 2013					
a Enter amount for 2012 only.				1,175	
b Total for prior years 20___ , 20___ , 20___					
3 Excess distributions carryover, if any, to 2013					
a From 2008.					
b From 2009.					
c From 2010.					
d From 2011.					
e From 2012.					
f **Total** of lines 3a through e.					
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ $ 15,739					
a Applied to 2012, but not more than line 2a				1,175	
b Applied to undistributed income of prior years (Election required—see instructions).					
c Treated as distributions out of corpus (Election required—see instructions).		0			
d Applied to 2013 distributable amount.					14,180
e Remaining amount distributed out of corpus		384			
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		384			
b Prior years' undistributed income Subtract line 4b from line 2b					
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.					
d Subtract line 6c from line 6b Taxable amount —see instructions					
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions					
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014					0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)					
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) . . .					
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a		384			
10 Analysis of line 9					
a Excess from 2009. . . .					
b Excess from 2010. . . .					
c Excess from 2011. . . .					
d Excess from 2012. . . .					
e Excess from 2013. . . .	384				

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 **a** "Assets" alternative test—enter **(1)** Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . . .					
c "Support" alternative test—enter **(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). . . .					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 Information Regarding Foundation Managers:

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

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

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

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

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

ROTH FAMILY FOUNDATION
7181 E VENTANA CANYON DRIVE
TUCSON,AZ 85750
(520) 529-1213
N/A

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

WRITTEN REQUEST STATING PURPOSE, PERSON'S ADDRESS & TELEPHONE NUMBER

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 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 Additional Data Table				
Total . . . . ▶ **3a**				13,710
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	49	
4 Dividends and interest from securities. . . .			14	8,533	
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	4,436	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory. .					
11 Other revenue **a** PASS-THROUGH INCOME	713910	2			
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e). .		2		13,018	

13 **Total.** Add line 12, columns (b), (d), and (e). **13** 13,020

(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

Signature of officer or trustee	Date	Title
******	2014-07-03	******

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
JOHN P LAUER			☐	P00410655

Firm's name ▸ HBL CPAs PC

Firm's EIN ▸

Firm's address ▸ 5656 E Grant Rd Ste 200 Tucson, AZ 85712

Phone no (520) 886-3181

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
JOAN ROTH 7181 E VENTANA CANYON DR TUCSON,AZ 85750	President & CEO 1 00	0		
EDWIN ROTH 7181 E VENTANA CANYON DR TUCSON,AZ 85750	Treasurer 1 00	0		
BARRY ROTH 7251 E DESERT MOON LOOP TUCSON,AZ 85750	DIRECTOR 1 00	0		
LORI ROTH TOMPKINS 29 SLUMBER CORNERS WESTON,CT 06883	Vice President 1 00	0		
JEFFREY ROTH 1138 W NORTHVIEW AVENUE PHOENIX,AZ 85021	DIRECTOR 1 00	0		
DEBBIE ROTH ROSEN 444 12TH STREET APT 4B BROOKLYN,NY 11215	Secretary 1 00	0		

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
AZ CENTER FOR DISABILITY LAW 5025 W Washington St STE 202 PHOENIX,AZ 85034	NONE	PUBLIC	SUPPORT	200
CASA DE LOS NINOS 1101 W 4TH AVE TUCSON,AZ 85705	NONE	PUBLIC	SUPPORT	250
COMMUNITY FOOD BANK 3003 S COUNTRY CLUB RD TUCSON,AZ 85726	NONE	PUBLIC	SUPPORT	500
HABITAT FOR HUMANITY 621 W LESTER TUCSON,AZ 85705	NONE	PUBLIC	SUPPORT	250
MAKE WAY FOR BOOKS 4713 E CAMP LOWELL DR TUCSON,AZ 85712	NONE	PUBLIC	SUPPORT	100
PRIMAVERA FOUNDATION 702 S 6TH AVE TUCSON,AZ 85701	NONE	PUBLIC	SUPPORT	150
TEMPLE EMANU-EL 325 N COUNTRY CLUB TUCSON,AZ 85715	NONE	PUBLIC	SUPPORT	3,175
TEMPLE ISRAEL CONTINUITY 14 COLEYTOWN RD WESTPORT,CT 06880	NONE	PUBLIC	SUPPORT	2,600
US HOLOCAUST MEMORIAL MUSEUM 100 RAOUL WALLENBERG PL WASHINGTON,DC 20024	NONE	PUBLIC	SUPPORT	100
ARIZONA CAPITAL REPRESENTATION PROJ 131 E BROADWAY TUCSON,AZ 85701	NONE	PUBLIC	SUPPORT	200
AZ CENTER FOR LAW IN THE PUBLIC INT 202 E MCDOWELL RD STE 153 PHOENIX,AZ 85004	NONE	PUBLIC	SUPPORT	200
RYAN HOUSE 110 W MERRILL ST 1ST FLOOR PHOENIX,AZ 85013	NONE	PUBLIC	SUPPORT	100
UNION OF CONCERNED SCIENTISTS 2 BRATTLE SQUARE CAMBRIDGE,MA 02238	NONE	PUBLIC	SUPPORT	100
PLANNED PARENTHOOD OF SO ARIZONA 5651 N 7TH ST PHOENIX,AZ 85014	NONE	PUBLIC	SUPPORT	500
RESCUE 4747 E ELLIOT RD 29-415 PHOENIX,AZ 85044	NONE	PUBLIC	SUPPORT	100
Total . . . . ▶ **3a**				13,710

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a *Paid during the year*				
WORLD WILDLIFE FEDERATION 1250 24TH ST NW PO BOX 97180 WASHINGTON, DC 20090	NONE	PUBLIC	SUPPORT	150
AZ SONORA DESERT MUSEUM 2021 N KINNEY RD TUCSON, AZ 85743	NONE	PUBLIC	SUPPORT	175
CARONDELET FOUNDATION 120 N TUCSON BLVD TUCSON, AZ 85716	NONE	PUBLIC	SUPPORT	600
CONGREGATION MERKAZ HA-LYR 7901 N CENTRAL PHOENIX, AZ 85020	NONE	PUBLIC	SUPPORT	500
HAMILTON COLLEGE 198 COLLEGE HILL RD CLINTON, NY 13323	NONE	PUBLIC	SUPPORT	1,000
AZ BAR FOUNDATION 4201 N 24TH ST STE 210 PHOENIX, AZ 85016	NONE	PUBLIC	SUPPORT	200
B'NAI B'RITH COVENANR HOUSE 4414 E 2ND ST TUCSON, AZ 85711	NONE	PUBLIC	SUPPORT	250
EARTH JUSTICE 50 CALIFORNIA ST TE 500 SAN FRANCISCO, CA 94111	NONE	PUBLIC	SUPPORT	100
EL RIO FOUNDATION 839 W CONGRESS ST TUCSON, AZ 85745	NONE	PUBLIC	SUPPORT	100
INOUYE FAMILY FOUNDATION 6030 N DESERT SUN COURT TUCSON, AZ 85750	NONE	PUBLIC	SUPPORT	1,000
JEWISH HISTORY MUSEUM PO BOX 889 TUCSON, AZ 85702	NONE	PUBLIC	SUPPORT	100
METROPOLITAN MUSEUM OF ART 1000 FIFTH AVENUE NEW YORK, NY 10028	NONE	PUBLIC	SUPPORT	120
MUSEUM OF MODERN ART 11 W 53RD ST NEW YORK, NY 10019	NONE	PUBLIC	SUPPORT	140
TUCSON CHILDRENS MUSEUM 200 S 6TH AVE TUCSON, AZ 85701	NONE	PUBLIC	SUPPORT	250
TEMPLE EMANU-EL MITZVAH CORP 225 N COUNTRY CLUB TUCSON, AZ 85716	NONE	PUBLIC	SUPPORT	500
Total . . . . ▶ **3a**				13,710

TY 2013 Accounting Fees Schedule

Name: ROTH FAMILY FOUNDATION
EIN: 86-0594042
Software ID: 13000170
Software Version: 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
HBL	3,950	1,975	0	1,975

TY 2013 Investments Corporate Stock Schedule

Name: ROTH FAMILY FOUNDATION

EIN: 86-0594042

Software ID: 13000170

Software Version: 2013v3.1

Name of Stock	End of Year Book Value	End of Year Fair Market Value
CORPORATE STOCK (X86) -SEE ATTACHED	82,665	111,713
UNTS FT TGT GLB DVD (X84)	111,038	127,414

TY 2013 Investments - Other Schedule

Name: ROTH FAMILY FOUNDATION
EIN: 86-0594042
Software ID: 13000170
Software Version: 2013v3.1

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
VENTANA CANYON ALLIANCE, LLC	AT COST	51,764	51,764

TY 2013 Other Decreases Schedule

Name: ROTH FAMILY FOUNDATION

EIN: 86-0594042

Software ID: 13000170

Software Version: 2013v3.1

Description	Amount
NONDEDUCTIBLE EXPENSES	8

TY 2013 Other Expenses Schedule

Name: ROTH FAMILY FOUNDATION
EIN: 86-0594042
Software ID: 13000170
Software Version: 2013v3.1

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FILING FEES	10			10
POSTAGE	44			44

TY 2013 Other Income Schedule

Name: ROTH FAMILY FOUNDATION

EIN: 86-0594042

Software ID: 13000170

Software Version: 2013v3.1

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
PASS-THROUGH INCOME	2		

TY 2013 Other Increases Schedule

Name: ROTH FAMILY FOUNDATION

EIN: 86-0594042

Software ID: 13000170

Software Version: 2013v3.1

Description	Amount
BOOK/TAX DIFFERENCE	1,605
NON TAXABLE INCOME	770

TY 2013 Other Professional Fees Schedule

Name: ROTH FAMILY FOUNDATION
EIN: 86-0594042
Software ID: 13000170
Software Version: 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MANAGEMENT FEES	1,659	1,659	0	0

TY 2013 Taxes Schedule

Name: ROTH FAMILY FOUNDATION
EIN: 86-0594042
Software ID: 13000170
Software Version: 2013v3.1

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAXES	170			

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
ALCOA INC Symbol AA Exchange NYSE EAI $30 Current yield 1 13%	Sep 17, 13	120 000	8 253	990 40	10 630	1,275 60	285 20	ST
	Sep 18, 13	20 000	8 277	165 55	10 630	212 60	47 05	ST
	Oct 31, 13	50 000	9 410	470 50	10 630	531 50	61 00	ST
	Nov 25, 13	60 000	9 567	574 02	10 630	637 80	63 78	ST
Security total		250 000	8 802	2,200 47		2,657 50	457 03	

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
AMDOCS LTD GBP								
Symbol DOX Exchange OTC								
EAI $13 Current yield 1 26%								
GBP Exchange rate 0 60377	Dec 17, 13	5 000	40 588	202 94	41 240	206 20	3 26	ST
	Dec 18, 13	5 000	40 656	203 28	41 240	206 20	2 92	ST
	Dec 20, 13	5 000	40 964	204 82	41 240	206 20	1 38	ST
	Dec 26, 13	10 000	41 234	412 34	41 240	412 40	0 06	ST
Security total		25 000	40 935	1,023 38		1,031 00	7 62	
AMERICAN CAPITAL AGENCY CORP								
Symbol AGNC Exchange OTC								
EAI $172 Current yield 13 51%	Jun 8, 11	1 000	30 610	30 61	19 290	19 29	-11 32	LT
	Jun 23, 11	40 000	28 521	1,140 87	19 290	771 60	-369 27	LT
	Apr 4, 12	15 000	30 040	450 61	19 290	289 35	-161 26	LT
	Jul 6, 12	5 000	34 200	171 00	19 290	96 45	-74 55	LT
	Mar 11, 13	5 000	32 680	163 40	19 290	96 45	-66 95	ST
Security total		66 000	29 644	1,956 49		1,273 14	-683 35	
ANALOG DEVICES INC								
Symbol ADI Exchange OTC								
EAI $46 Current yield 2 66%	Dec 2, 09	5 000	30 440	152 20	50 930	254 65	102 45	LT
	Dec 15, 09	19 000	30 395	577 51	50 930	967 67	390 16	LT
	Nov 11, 10	10 000	33 690	336 90	50 930	509 30	172 40	LT
Security total		34 000	31 371	1,066 61		1,731 62	665 01	
APPLIED MATERIALS INC								
Symbol AMAT Exchange OTC								
EAI $28 Current yield 2 26%	Jun 10, 13	70 000	15 465	1,082 56	17 680	1,237 60	155 04	ST
AVERY DENNISON CORP								
Symbol AVY Exchange NYSE								
EAI $29 Current yield 2 31%	Jan 20, 11	11 000	41 401	455 42	50 190	552 09	96 67	LT
	Mar 7, 11	14 000	41 415	579 82	50 190	702 66	122 84	LT
Security total		25 000	41 410	1,035 24		1,254 75	219 51	
BABCOCK & WILCOX CO NEW COM								
Symbol BWC Exchange NYSE								
EAI $24 Current yield 1 19%	Oct 16, 08	8 000	16 431	131 45	34 190	273 52	142 07	LT
	Sep 8, 10	13 000	22 000	286 00	34 190	444 47	158 47	LT

continued next page

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	Sep 10, 10	20 000	21 985	439 71	34 190	683 80	244 09	LT
	Nov 11, 10	5 000	23 220	116 10	34 190	170 95	54 85	LT
	Jun 6, 11	13 000	27 640	359 32	34 190	444 47	85 15	LT
Security total		59 000	22 586	1,332 58		2,017 21	684 63	
BOSTON SCIENTIFIC CORP								
Symbol BSX Exchange NYSE	Mar 4, 11	109 000	7 499	817 49	12 020	1,310 18	492 69	LT
	Mar 11, 11	72 000	7 420	534 27	12 020	865 44	331 17	LT
	Mar 27, 12	30 000	6 157	184 72	12 020	360 60	175 88	LT
Security total		211 000	7 282	1,536 48		2,536 22	999 74	
BRANDYWINE RLTY TRUST NEW								
Symbol BDN Exchange NYSE								
EAI $44 Current yield 4 22%	May 21, 08	16 000	18 479	295 67	14 090	225 44	-70 23	LT
	Dec 9, 08	48 000	5 464	262 28	14 090	676 32	414 04	LT
	Nov 11, 10	10 000	11 382	113 82	14 090	140 90	27 08	LT
Security total		74 000	9 078	671 77		1,042 66	370 89	
BROADRIDGE FINANCIAL SOLUTIONS INC								
Symbol BR Exchange NYSE								
EAI $74 Current yield 2 13%	Nov 7, 07	44 000	19 860	873 85	39 520	1,738 88	865 03	LT
	Dec 7, 07	11 000	23 624	259 87	39 520	434 72	174 85	LT
	Sep 25, 09	18 000	20 253	364 57	39 520	711 36	346 79	LT
	Nov 11, 10	10 000	21 560	215 60	39 520	395 20	179 60	LT
	Mar 11, 13	5 000	23 590	117 95	39 520	197 60	79 65	ST
Security total		88 000	20 816	1,831 84		3,477 76	1,645 92	
CHUBB CORP								
Symbol CB Exchange NYSE								
EAI $42 Current yield 1 81%	Jun 10, 09	7 000	41 207	288 45	96 630	676 41	387 96	LT
	Aug 5, 09	17 000	48 154	818 62	96 630	1,642 71	824 09	LT
Security total		24 000	46 128	1,107 07		2,319 12	1,212 05	
CINEMARK HOLDINGS INC								
Symbol CNK Exchange NYSE								
EAI $55 Current yield 3 00%	Jan 3, 13	20 000	27 081	541 63	33 330	666 60	124 97	ST

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	Jan 30, 13	20 000	28 307	566 15	33 330	666 60	100 45	ST
	Aug 27, 13	15 000	30 190	452 86	33 330	499 95	47 09	ST
Security total		55 000	28 375	1,560 64		1,833 15	272 51	
CLOROX CO Symbol CLX Exchange NYSE EAI $51 Current yield 3 05%	Nov 9, 09	3 000	61 326	183 98	92 760	278 28	94 30	LT
	Nov 17, 09	10 000	60 134	601 34	92 760	927 60	326 26	LT
	Nov 11, 10	5 000	62 960	314 80	92 760	463 80	149 00	LT
Security total		18 000	61 118	1,100 12		1,669 68	569 56	
COACH INC Symbol COH Exchange NYSE EAI $27 Current yield 2 41%	Dec 4, 13	20 000	56 171	1,123 43	56 130	1,122 60	-0 83	ST
DIEBOLD INC Symbol DBD Exchange NYSE EAI $40 Current yield 3 46%	May 9, 13	15 000	30 721	460 82	33 010	495 15	34 33	ST
	May 10, 13	15 000	30 544	458 17	33 010	495 15	36 98	ST
	May 13, 13	5 000	30 724	153 62	33 010	165 05	11 43	ST
Security total		35 000	30 646	1,072 61		1,155 35	82 74	
DUKE ENERGY CORP NEW Symbol DUK Exchange NYSE EAI $72 Current yield 4 54%	Jun 12, 06	9 067	49 480	448 63	69 010	625 70	177 07	LT
	Oct 22, 08	9 579	42 336	405 55	69 010	661 05	255 50	LT
	Nov 11, 10	4 354	50 894	221 60	69 010	300 48	78 88	LT
Security total		23 000	46 773	1,075 78		1,587 23	511 45	
ENDURANCE SPECIALTY HOLDINGS LTD ORD Symbol ENH Exchange NYSE EAI $58 Current yield 2 20%	Jan 24, 06	14 000	32 480	454 72	58 670	821 38	366 66	LT
	Mar 13, 06	19 000	31 150	591 85	58 670	1,114 73	522 88	LT
	Aug 19, 09	7 000	33 918	237 43	58 670	410 69	173 26	LT
	Nov 11, 10	5 000	43 960	219 80	58 670	293 35	73 55	LT
Security total		45 000	33 418	1,503 80		2,640 15	1,136 35	

continued next page

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
ENTERGY CORP NEW								
Symbol ETR Exchange NYSE								
EAI $86 Current yield 5 23%	Sep 15, 08	6 000	95 051	570 31	63 270	379 62	-190 69	LT
	Dec 2, 09	10 000	81 370	813 70	63 270	632 70	-181 00	LT
	Nov 11, 10	5 000	73 400	367 00	63 270	316 35	-50 65	LT
	Mar 11, 13	5 000	63 280	316 40	63 270	316 35	-0 05	ST
Security total		26 000	79 516	2,067 41		1,645 02	-422 39	
EXPEDITORS INTL WASH INC								
Symbol EXPD Exchange OTC								
EAI $18 Current yield 1 36%	Dec 11, 13	30 000	42 499	1,274 98	44 250	1,327 50	52 52	ST
FIRST AMERN FINL CORP COM								
Symbol FAF Exchange NYSE								
EAI $47 Current yield 1 70%	Dec 15, 10	36 000	14 940	537 84	28 200	1,015 20	477 36	LT
	Mar 23, 11	27 000	16 422	443 41	28 200	761 40	317 99	LT
	Mar 11, 13	20 000	24 520	490 40	28 200	564 00	73 60	ST
	Jul 22, 13	15 000	22 478	337 17	28 200	423 00	85 83	ST
Security total		98 000	18 457	1,808 82		2,763 60	954 78	
GENUINE PARTS CO								
Symbol GPC Exchange NYSE								
EAI $58 Current yield 2 58%	Jan 24, 06	12 000	43 000	516 00	83 190	998 28	482 28	LT
	Oct 15, 10	5 000	48 236	241 18	83 190	415 95	174 77	LT
	Nov 11, 10	5 000	47 250	236 25	83 190	415 95	179 70	LT
	Dec 18, 12	5 000	63 498	317 49	83 190	415 95	98 46	LT
Security total		27 000	48 553	1,310 92		2,246 13	935 21	
GRACE (W R) & CO NEW								
Symbol GRA Exchange NYSE	Dec 14, 11	5 000	40 936	204 68	98 870	494 35	289 67	LT
	Dec 28, 11	15 000	44 308	664 62	98 870	1,483 05	818 43	LT
Security total		20 000	43 465	869 30		1,977 40	1,108 10	
HAEMONETICS CORP MASS								
Symbol HAE Exchange NYSE	Mar 17, 11	24 000	31 869	764 87	42 130	1,011 12	246 25	LT
	May 24, 11	4 000	33 075	132 30	42 130	168 52	36 22	LT
	Jun 2, 11	10 000	33 075	330 75	42 130	421 30	90 55	LT

continued next page

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	May 16, 13	5 000	39 974	199 87	42 130	210 65	10 78	ST
Security total		43 000	33 204	1,427 79		1,811 59	383 80	
HASBRO INC								
Symbol HAS Exchange OTC								
EAI $83 Current yield 2 90%	Apr 26, 07	11 000	31 250	343 75	55 010	605 11	261 36	LT
	Dec 2, 09	5 000	30 380	151 90	55 010	275 05	123 15	LT
	Mar 18, 10	21 000	38 112	800 36	55 010	1,155 21	354 85	LT
	Mar 27, 12	15 000	37 062	555 94	55 010	825 15	269 21	LT
Security total		52 000	35 614	1,851 95		2,860 52	1,008 57	
HCP INC								
Symbol HCP Exchange NYSE								
EAI $92 Current yield 5 76%	Jan 24, 06	6 000	26 825	160 95	36 320	217 92	56 97	LT
	Jun 13, 06	23 000	25 673	590 48	36 320	835 36	244 88	LT
	Nov 11, 10	5 000	33 484	167 42	36 320	181 60	14 18	LT
	Oct 21, 11	10 000	36 984	369 84	36 320	363 20	-6 64	LT
Security total		44 000	29 288	1,288 69		1,598 08	309 39	
HEALTH CARE REIT INC SBI								
Symbol HCN Exchange NYSE								
EAI $98 Current yield 5 72%	Jan 24, 06	17 000	35 322	600 49	53 570	910 69	310 20	LT
	Nov 11, 10	5 000	46 246	231 23	53 570	267 85	36 62	LT
	Feb 29, 12	5 000	53 228	266 14	53 570	267 85	1 71	LT
	Mar 6, 12	5 000	53 248	266 24	53 570	267 85	1 61	LT
Security total		32 000	42 628	1,364 10		1,714 24	350 14	
INVESCO LTD								
Symbol IVZ Exchange NYSE								
EAI $77 Current yield 2 49%	Jan 19, 11	38 000	25 002	950 09	36 400	1,383 20	433 11	LT
	Feb 17, 11	17 000	27 374	465 37	36 400	618 80	153 43	LT
	Mar 11, 13	20 000	28 080	561 60	36 400	728 00	166 40	ST
	Aug 2, 13	10 000	32 994	329 94	36 400	364 00	34 06	ST
Security total		85 000	27 141	2,307 00		3,094 00	787 00	
ITC HOLDINGS CORP								
Symbol ITC Exchange NYSE								
EAI $17 Current yield 1 77%	Dec 17, 12	10 000	78 015	780 15	95 820	958 20	178 05	LT

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
JANUS CAPITAL GROUP INC								
Symbol JNS Exchange NYSE								
EAI $35 Current yield 2 26%	Jul 11, 13	125 000	9 234	1,154 33	12 370	1,546 25	391 92	ST
KOHLS CORP								
Symbol KSS Exchange NYSE								
EAI $63 Current yield 2 47%	Feb 6, 13	25 000	45 651	1,141 28	56 750	1,418 75	277 47	ST
	Feb 13, 13	10 000	46 259	462 59	56 750	567 50	104 91	ST
	Mar 11, 13	10 000	46 230	462 30	56 750	567 50	105 20	ST
Security total		45 000	45 915	2,066 17		2,553 75	487 58	
LEIDOS HLDGS INC								
Symbol LDOS Exchange NYSE								
EAI $41 Current yield 2 76%	Jan 29, 13	19 500	33 845	659 99	46 490	906 56	246 57	ST
	Feb 14, 13	11 250	33 751	379 70	46 490	523 01	143 31	ST
	Feb 15, 13	1 250	33 952	42 44	46 490	58 11	15 67	ST
Security total		32 000	33 817	1,082 13		1,487 68	405 55	
M & T BANK CORP								
Symbol MTB Exchange NYSE								
EAI $53 Current yield 2 40%	Oct 13, 11	5 000	74 324	371 62	116 420	582 10	210 48	LT
	Oct 17, 11	5 000	74 744	373 72	116 420	582 10	208 38	LT
	Oct 19, 11	9 000	72 350	651 15	116 420	1,047 78	396 63	LT
Security total		19 000	73 499	1,396 49		2,211 98	815 49	
MATTEL INC								
Symbol MAT Exchange OTC								
EAI $69 Current yield 3 02%	Mar 10, 10	17 000	22 855	388 55	47 580	808 86	420 31	LT
	Apr 22, 10	21 000	23 525	494 03	47 580	999 18	505 15	LT
	Nov 11, 10	10 000	23 610	236 10	47 580	475 80	239 70	LT
Security total		48 000	23 306	1,118 68		2,283 84	1,165 16	
MCKESSON CORP								
Symbol MCK Exchange NYSE								
EAI $20 Current yield 0 59%	Apr 7, 10	5 000	65 980	329 90	161 400	807 00	477 10	LT
	May 17, 10	6 000	68 020	408 12	161 400	968 40	560 28	LT
	Nov 1, 10	10 000	67 122	671 22	161 400	1,614 00	942 78	LT
Security total		21 000	67 107	1,409 24		3,389 40	1,980 16	

continued next page

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
NATL FUEL GAS CO								
Symbol NFG Exchange NYSE								
EAI $53 Current yield 2 12%	Dec 10, 12	10 000	53 248	532 48	71 400	714 00	181 52	LT
	Dec 13, 12	10 000	53 229	532 29	71 400	714 00	181 71	LT
	Feb 13, 13	10 000	58 202	582 02	71 400	714 00	131 98	ST
	Mar 11, 13	5 000	59 090	295 45	71 400	357 00	61 55	ST
Security total		35 000	55 493	1,942 24		2,499 00	556 76	
NEW YORK CMNTY BANCORP								
Symbol NYCB Exchange NYSE								
EAI $148 Current yield 5 93%	Dec 4, 09	37 000	12 320	455 84	16 850	623 45	167 61	LT
	Dec 8, 09	30 000	12 730	381 90	16 850	505 50	123 60	LT
	Dec 22, 09	21 000	14 240	299 04	16 850	353 85	54 81	LT
	Nov 11, 10	15 000	17 050	255 75	16 850	252 75	-3 00	LT
	Oct 25, 11	45 000	12 693	571 22	16 850	758 25	187 03	LT
Security total		148 000	13 269	1,963 75		2,493 80	530 05	
NISOURCE INC								
Symbol NI Exchange NYSE								
EAI $72 Current yield 3 04%	Jan 24, 06	22 000	21 060	463 32	32 880	723 36	260 04	LT
	Nov 19, 07	30 000	17 942	538 26	32 880	986 40	448 14	LT
	Nov 11, 10	10 000	17 340	173 40	32 880	328 80	155 40	LT
	Mar 11, 13	10 000	28 250	282 50	32 880	328 80	46 30	ST
Security total		72 000	20 243	1,457 48		2,367 36	909 88	
OLD REPUBLIC INTL CORP								
Symbol ORI Exchange NYSE								
EAI $113 Current yield 4 17%	Jan 24, 06	62 000	21 040	1,304 48	17 270	1,070 74	-233 74	LT
	Nov 11, 10	10 000	12 820	128 20	17 270	172 70	44 50	LT
	Mar 27, 12	15 000	10 780	161 70	17 270	259 05	97 35	LT
	Nov 16, 12	5 000	9 864	49 32	17 270	86 35	37 03	LT
	Dec 13, 12	30 000	10 619	318 58	17 270	518 10	199 52	LT
	Dec 14, 12	10 000	10 620	106 20	17 270	172 70	66 50	LT
	May 6, 13	20 000	13 720	274 41	17 270	345 40	70 99	ST
	May 8, 13	5 000	13 968	69 84	17 270	86 35	16 51	ST
Security total		157 000	15 368	2,412 73		2,711 39	298 66	

continued next page

Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
OMNICOM GROUP INC								
Symbol OMC Exchange NYSE								
EAI $43 Current yield 2 14%	May 18, 10	5 000	41 108	205 54	74 370	371 85	166 31	LT
	Nov 11, 10	5 000	46 260	231 30	74 370	371 85	140 55	LT
	Aug 30, 11	17 000	39 951	679 17	74 370	1,264 29	585 12	LT
Security total		27 000	41 334	1,116 01		2,007 99	891 98	
PEABODY ENERGY CORP								
Symbol BTU Exchange NYSE								
EAI $20 Current yield 1 71%	Sep 12, 13	40 000	18 541	741 64	19 530	781 20	39 56	ST
	Sep 13, 13	20 000	18 168	363 37	19 530	390 60	27 23	ST
Security total		60 000	18 417	1,105 01		1,171 80	66 79	
QUEST DIAGNOSTICS INC								
Symbol DGX Exchange NYSE								
EAI $24 Current yield 2 24%	Oct 8, 13	5 000	62 050	310 25	53 540	267 70	-42 55	ST
	Oct 9, 13	15 000	61 803	927 05	53 540	803 10	-123 95	ST
Security total		20 000	61 865	1,237 30		1,070 80	-166 50	
REGAL ENTERTAINMENT GROUP CL A								
Symbol RGC Exchange NYSE								
EAI $113 Current yield 4 30%	Dec 26, 12	20 000	13 951	279 03	19 450	389 00	109 97	LT
	Dec 27, 12	40 000	13 823	552 94	19 450	778 00	225 06	LT
	Dec 28, 12	10 000	13 928	139 28	19 450	194 50	55 22	LT
	Jan 17, 13	35 000	14 915	522 03	19 450	680 75	158 72	ST
	Mar 11, 13	30 000	15 360	460 80	19 450	583 50	122 70	ST
Security total		135 000	14 475	1,954 08		2,625 75	671 67	
ROCKWELL COLLINS INC								
Symbol COL Exchange NYSE								
EAI $36 Current yield 1 62%	Jul 15, 08	4 000	46 170	184 68	73 920	295 68	111 00	LT
	Nov 11, 10	5 000	57 750	288 75	73 920	369 60	80 85	LT
	Feb 2, 11	6 000	65 500	393 00	73 920	443 52	50 52	LT
	Mar 11, 13	10 000	60 830	608 30	73 920	739 20	130 90	ST
	Mar 11, 13	5 000	61 018	305 09	73 920	369 60	64 51	ST
Security total		30 000	59 327	1,779 82		2,217 60	437 78	

continued next page

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
SCIENCE APPLICATIONS INTE								
Symbol SAIC Exchange NYSE								
EAI $20 Current yield 3 36%	Jan 29, 13	10 857	25 054	272 02	33 070	359 05	87 03	ST
	Feb 14, 13	6 429	24 985	160 62	33 070	212 59	51 97	ST
	Feb 15, 13	0 714	25 115	17 94	33 070	23 62	5 68	ST
Security total		18 000	25 032	450 58		595 26	144 68	
SEMPRA ENERGY								
Symbol SRE Exchange NYSE								
EAI $55 Current yield 2 79%	Jan 24, 06	5 000	48 100	240 50	89 760	448 80	208 30	LT
	Dec 2, 09	5 000	53 920	269 60	89 760	448 80	179 20	LT
	May 4, 10	7 000	49 482	346 38	89 760	628 32	281 94	LT
	Nov 11, 10	5 000	51 530	257 65	89 760	448 80	191 15	LT
Security total		22 000	50 642	1,114 13		1,974 72	860 59	
SONOCO PRODUCTS CO								
Symbol SON Exchange NYSE								
EAI $56 Current yield 2 98%	Oct 5, 11	30 000	27 650	829 50	41 720	1,251 60	422 10	LT
	Mar 27, 12	10 000	33 902	339 02	41 720	417 20	78 18	LT
	Jun 5, 12	5 000	29 570	147 85	41 720	208 60	60 75	LT
Security total		45 000	29 253	1,316 37		1,877 40	561 03	
ST JUDE MEDICAL INC								
Symbol STJ Exchange NYSE								
EAI $37 Current yield 1 61%	Feb 5, 08	13 000	40 445	525 79	61 950	805 35	279 56	LT
	Dec 2, 09	10 000	37 300	373 00	61 950	619 50	246 50	LT
	Nov 11, 10	5 000	39 290	196 45	61 950	309 75	113 30	LT
	Feb 8, 11	9 000	44 438	399 95	61.950	557 55	157 60	LT
Security total		37 000	40 411	1,495 19		2,292 15	796 96	
STAPLES INC								
Symbol SPLS Exchange OTC								
EAI $55 Current yield 3 01%	May 7, 13	80 000	13 921	1,113 74	15 890	1,271 20	157 46	ST
	Jun 12, 13	25 000	15 600	390 00	15 890	397 25	7 25	ST
	Sep 6, 13	10 000	14 172	141 72	15 890	158 90	17 18	ST
Security total		115 000	14 308	1,645 46		1,827 35	181 89	

continued next page

Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
SUN COMMUNITIES INC								
Symbol SUI Exchange NYSE								
EAI $126 Current yield 5 91%	Jan 11, 12	20 000	35 545	710 91	42 640	852 80	141 89	LT
	Jan 12, 12	5 000	35 328	176 64	42 640	213 20	36 56	LT
	Mar 22, 12	10 000	42 011	420 11	42 640	426 40	6 29	LT
	Sep 20, 12	10 000	43 891	438 91	42 640	426 40	-12 51	LT
	Dec 5, 13	5 000	40 746	203 73	42 640	213 20	9 47	ST
Security total		50 000	39 006	1,950 30		2,132 00	181 70	
SUNTRUST BANKS INC								
Symbol STI Exchange NYSE								
EAI $28 Current yield 1 09%	Oct 19, 11	35 000	18 915	662 04	36 810	1,288 35	626 31	LT
	Oct 25, 11	30 000	18 831	564 95	36 810	1,104 30	539 35	LT
	Mar 11, 13	5 000	29 380	146 90	36 810	184 05	37 15	ST
Security total		70 000	19 627	1,373 89		2,576 70	1,202 81	
SYSCO CORP								
Symbol SYY Exchange NYSE								
EAI $75 Current yield 3 20%	Sep 27, 12	35 000	31 060	1,087 12	36 100	1,263 50	176 38	LT
	Oct 26, 12	15 000	30 826	462 40	36 100	541 50	79 10	LT
	Nov 15, 12	15 000	29 820	447 31	36 100	541 50	94 19	LT
Security total		65 000	30 720	1,996 83		2,346 50	349 67	
TECO ENERGY INC								
Symbol TE Exchange NYSE								
EAI $79 Current yield 5 09%	Sep 20, 12	10 000	17 350	173 50	17 240	172 40	-1 10	LT
	Sep 27, 12	40 000	17 628	705 15	17 240	689 60	-15 55	LT
	Nov 7, 12	30 000	17 529	525 89	17 240	517 20	-8 69	LT
	Feb 5, 13	10 000	16 926	169 26	17 240	172 40	3 14	ST
Security total		90 000	17 487	1,573 80		1,551 60	-22 20	
TELEPHONE & DATA SYS INC								
Symbol TDS Exchange NYSE								
EAI $23 Current yield 1 94%	Jan 24, 06	16 000	34 140	546 24	25 780	412 48	-133 76	LT
	Dec 2, 09	10 000	28 830	288 30	25 780	257 80	-30 50	LT
	Nov 11, 10	5 000	30 500	152 50	25 780	128 90	-23 60	LT

continued next page

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	Mar 27, 12	15 000	23 547	353 21	25 780	386 70	33 49	LT
Security total		46 000	29 136	1,340 25		1,185 88	-154 37	
ULTRA PETROLEUM CORP (CANADA) ORD CAD Symbol UPL Exchange NYSE CAD Exchange rate 1 06250	May 17, 13	50 000	22 476	1,123 83	21 650	1,082 50	-41 33	ST
VERIFONE SYSTEMS INC Symbol PAY Exchange NYSE	Apr 9, 13	20 000	20 500	410 01	26 820	536 40	126 39	ST
	Apr 10, 13	30 000	21 144	634 34	26 820	804 60	170 26	ST
Security total		50 000	20 887	1,044 35		1,341 00	296 65	
XCEL ENERGY INC Symbol XEL Exchange NYSE EAI $39 Current yield 3 99%	Sep 11, 07	30 000	20 958	628 75	27 940	838 20	209 45	LT
	Nov 11, 10	5 000	24 050	120 25	27 940	139 70	19 45	LT
Security total		35 000	21 400	749 00		977 90	228 90	
XEROX CORP Symbol XRX Exchange NYSE EAI $42 Current yield 1 90%	Nov 29, 07	3 000	8 473	25 42	12 170	36 51	11 09	LT
	Mar 4, 10	44 000	9 493	417 72	12 170	535 48	117 76	LT
	Mar 18, 10	50 000	9 795	489 77	12 170	608 50	118 73	LT
	Nov 11, 10	25 000	11 370	284 25	12 170	304 25	20 00	LT
	Dec 13, 10	40 000	12 000	480 00	12 170	486 80	6 80	LT
	Mar 27, 12	20 000	8 399	167 99	12 170	243 40	75 41	LT
Security total		182 000	10 248	1,865 15		2,214 94	349 79	
ZIMMER HOLDINGS INC Symbol ZMH Exchange NYSE EAI $22 Current yield 0 87%	Mar 14, 08	10 000	76 247	762 47	93 190	931 90	169 43	LT
	Sep 21, 10	5 000	51 520	257 60	93 190	465 95	208 35	LT
	Feb 3, 11	7 000	60 447	423 13	93 190	652 33	229 20	LT
	Jan 11, 13	5 000	71 114	355 57	93 190	465 95	110 38	ST
Security total		27 000	66 621	1,798 77		2,516 13	717 36	
Total				**$82,665.34**		**$111,713.44**	**$29,048.10**	

BOOK VALUE = COST

FAIR MARKET VALUE