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

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013 or tax year beginning , and ending

Name of foundation: SHIRLEY C. CARIS FAMILY FOUNDATION

A Employer identification number: 86-0965394

Number and street (or P O box number if mail is not delivered to street address): P. O. BOX 14315

Room/suite:

B Telephone number (see instructions): 480-451-9244

City or town, state or province, country, and ZIP or foreign postal code: SCOTTSDALE AZ 85267-4315

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 ▶ ☐

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ $ 12,723,982

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))

	Line	Description		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)					
	2	Check ▶ ☒ if the foundation is **not** required to attach Sch. B					
	3	Interest on savings and temporary cash investments		191,944	191,944	191,944	
	4	Dividends and interest from securities		118,532	118,532	118,532	
	5a	Gross rents		4,800	4,800	4,800	
	b	Net rental income or (loss)	4,800				
	6a	Net gain or (loss) from sale of assets not on line 10	Stmt 1	219,311			
	b	Gross sales price for all assets on line 6a	6,057,375				
	7	Capital gain net income (from Part IV, line 2)			61,794		
	8	Net short-term capital gain				0	
	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)	Stmt 2	234,844		234,844	
	12	**Total.** Add lines 1 through 11		769,431	377,070	550,120	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc		0			
	14	Other employee salaries and wages					
	15	Pension plans, employee benefits					
	16a	Legal fees (attach schedule)	See Stmt 3	778			
	b	Accounting fees (attach schedule)	Stmt 4	4,165			
	c	Other professional fees (attach schedule)					
	17	Interest					
	18	Taxes (attach schedule) (see instructions)	Stmt 5	41,662	1,125		
	19	Depreciation (attach schedule) and depletion					
	20	Occupancy					
	21	Travel, conferences, and meetings					
	22	Printing and publications					
	23	Other expenses (att sch)	Stmt 6	110,582	85,183		
	24	**Total operating and administrative expenses.** Add lines 13 through 23		157,187	86,308	0	0
	25	Contributions, gifts, grants paid		510,000			510,000
	26	**Total expenses and disbursements.** Add lines 24 and 25		667,187	86,308	0	510,000
	27	Subtract line 26 from line 12					
	a	**Excess of revenue over expenses and disbursements**		102,244			
	b	**Net investment income** (if negative, enter -0-)			290,762		
	c	**Adjusted net income** (if negative, enter -0-)				550,120	

Original Return

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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			
	2	Savings and temporary cash investments	9,162,926	8,993,788	8,993,788
	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 (att schedule) ▶			
		Less allowance for doubtful accounts ▶ 0			
	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)			
	c	Investments – corporate bonds (attach schedule)			
	11	Investments – land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach sch) ▶			
	12	Investments – mortgage loans			
	13	Investments – other (attach schedule) See Statement 7	949,473	958,408	1,295,194
	14	Land, buildings, and equipment basis ▶ 3,040,000			
		Less accumulated depreciation (attach sch) ▶ Stmt 8	3,040,000	3,040,000	2,435,000
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers – see the instructions Also, see page 1, item I)	13,152,399	12,992,196	12,723,982
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	0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ [X] and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted	13,152,399	12,992,196	
	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 instructions)	13,152,399	12,992,196	
	31	**Total liabilities and net assets/fund balances** (see instructions)	13,152,399	12,992,196	

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	13,152,399
2	Enter amount from Part I, line 27a	2	102,244
3	Other increases not included in line 2 (itemize) ▶ See Statement 9	3	8,249
4	Add lines 1, 2, and 3	4	13,262,892
5	Decreases not included in line 2 (itemize) ▶ See Statement 10	5	270,696
6	Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	12,992,196

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	UBS INVESTMENT ACCOUNT			
b	UBS PIMCO ACCOUNT			
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	40,533			40,533
b	21,261			21,261
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				40,533
b				21,261
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	61,794
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 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	513,881	10,189,851	0.050431
2011	488,625	10,416,162	0.046910
2010	552,716	10,141,305	0.054501
2009	137,800	10,829,193	0.012725
2008	184,600	3,669,837	0.050302

2 **Total** of line 1, column (d)	2	0.214869
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	0.042974
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	10,377,121
5 Multiply line 4 by line 3	5	445,946
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	2,908
7 Add lines 5 and 6	7	448,854
8 Enter qualifying distributions from Part XII, line 4	8	510,000

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter: **(attach copy of letter if necessary—see instructions)**				
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b			1	2,908
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col. (b).				
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)			2	0
3	Add lines 1 and 2			3	2,908
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			4	0
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-			5	2,908
6	Credits/Payments.				
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	3,160		
b	Exempt foreign organizations – tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c			
d	Backup withholding erroneously withheld	6d	3		
7	Total credits and payments Add lines 6a through 6d			7	3,163
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	255
11	Enter the amount of line 10 to be **Credited to 2014 estimated tax** ▶ 255 **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		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
	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		X
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		X
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes	3		X
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a	X	
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	X	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ 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	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV	9		X
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

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		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ SHIRLEY CARIS FOUNDATION Telephone no ▶
P. O. BOX 14315
Located at ▶ SCOTTSDALE AZ ZIP+4 ▶ 85267

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		X
	See the 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 instructions)?	N/A	1b		
	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?	N/A	1c		
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)	N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ 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		X
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?		4b		X

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

		Yes	No
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)? N/A	**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? N/A ☐ Yes ☐ No		
	If "Yes," attach the statement required by Regulations section 53 4945–5(d).		
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	**6b**	X
	If "Yes" to 6b, file Form 8870		
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No		
b	If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A	**7b**	

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

1 List all officers, directors, trustees, foundation managers and their compensation (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
CATHERINE ANN HART P. O BOX 14315	SCOTTSDALE AZ 85267	PRESIDENT 3.00	0	0	0
SHERRY LYNN COWAN P. O. Box 639	PAYSON AZ 85547	SECR/TREAS. 3.00	0	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
NONE				

Total number of other employees paid over $50,000 ▶ 0

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 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 N/A	
2	
All other program-related investments See 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	0
b	Average of monthly cash balances	1b	9,239,954
c	Fair market value of all other assets (see instructions)	1c	1,295,194
d	**Total** (add lines 1a, b, and c)	1d	10,535,148
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e 0		
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d	3	10,535,148
4	Cash deemed held for charitable activities Enter 1½% of line 3 (for greater amount, see instructions)	4	158,027
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	10,377,121
6	**Minimum investment return.** Enter 5% of line 5	6	518,856

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	518,856
2a	Tax on investment income for 2013 from Part VI, line 5	2a	2,908		
b	Income tax for 2013. (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	2,908
3	Distributable amount before adjustments Subtract line 2c from line 1			3	515,948
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	515,948
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	515,948

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc – total from Part I, column (d), line 26	1a	510,000
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	510,000
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	2,908
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	507,092

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				515,948
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			506,248	
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 ▶ $ 510,000				
a Applied to 2012, but not more than line 2a			506,248	
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				3,752
e Remaining amount distributed out of corpus				
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))				
6 **Enter the net total of each column as indicated below:**				
a Corpus. Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount – see instructions				
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount – see instructions				
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				512,196
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions)				
8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions)				
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a				
10 Analysis of line 9				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2013, enter the date of the ruling ▶

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

	Tax year	Prior 3 years			
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	(e) Total
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 foundation had $5,000 or more in assets at any time during the year – see instructions.)

1 **Information Regarding Foundation Managers:**

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

N/A

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

N/A

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

N/A

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

N/A

c Any submission deadlines

N/A

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

N/A

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 Statement 11				510,000
Total			▶ **3a**	510,000
b Approved for future payment N/A				
Total			▶ **3b**	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income (See instructions)
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					191,944
4 Dividends and interest from securities					118,532
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					4,800
7 Other investment income	541900	227,592			
8 Gain or (loss) from sales of assets other than inventory					219,311
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b NET FEDERAL TAX REFUNDS					7,252
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)		227,592		0	541,839

13 **Total.** Add line 12, columns (b), (d), and (e) 13 769,431

(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)
N/A	

DAA

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)		X
	(2) Other assets	1a(2)		X
b	Other transactions			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

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

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
N/A			

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

b If "Yes," complete the following schedule

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

Sign Here

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

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

Catherine Ann Crawford — Signature of officer or trustee | 5/6/14 — Date | PRESIDENT — Title

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed
Steven M. Dean, CPA	Steven M. Dean, CPA	04/30/14	
Firm's name ▶ Cosse' & Wallace, CPA's		PTIN	P00963306
Firm's address ▶ P.O. Box 3969 Sedona, AZ 86340		Firm's EIN ▶	86-0694276
		Phone no	928-282-3040

Federal Statements

Statement 1 - Form 990-PF, Part I, Line 6a - Sale of Assets

Description: Whom Sold	Date Acquired	Date Sold	How Received	Sale Price	Cost	Expense	Depreciation	Net Gain / Loss
SEE ATTACHED STATEMENTS	Various	Various	Purchase	$	$	$	$	$
UBS INVESTMENT ACCOUNT SUMMARY	Various	Various	Purchase	44,613	36,941			7,672
UBS INVESTMENT ACCOUNT SUMMARY	Various	Various	Purchase	850,093	711,963			138,130
UBS MAC ACCOUNT SUMMARY	Various	Various	Purchase	1,514,677	1,540,827			-26,150
UBS MAC ACCOUNT SUMMARY	Various	Various	Purchase	543,111	528,591			14,520
UBS MAC ACCOUNT SUMMARY RTN OF PRINC	Various	Various	Purchase	248,017	248,017			
UBS PIMCO ACCOUNT SUMMARY	Various	Various	Purchase	1,135,481	1,163,529			-28,048
UBS PIMCO ACCOUNT SUMMARY	Various	Various	Purchase	1,495,806	1,444,413			51,393
UBS PIMCO ACCOUNT SUMMARY RTN OF PRI	Various	Various	Purchase	163,783	163,783			
Total				$ 5,995,581	$ 5,838,064	$ 0	$ 0	$ 157,517

Statement 2 - Form 990-PF, Part I, Line 11 - Other Income

Description	Revenue per Books	Net Investment Income	Adjusted Net Income
CRYOCELL	$ 227,592	$	$ 227,592
NET FEDERAL TAX REFUNDS	7,252		7,252
Total	$ 234,844	$ 0	$ 234,844

Federal Statements

Statement 3 - Form 990-PF, Part I, Line 16a - Legal Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
Indirect Legal Fees	$ 778	$	$	$
Total	$ 778	$ 0	$ 0	$ 0

Statement 4 - Form 990-PF, Part I, Line 16b - Accounting Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
Indirect Accounting Fees	$ 4,165	$	$	$
Total	$ 4,165	$ 0	$ 0	$ 0

Statement 5 - Form 990-PF, Part I, Line 18 - Taxes

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
FEDERAL INCOME TAX	$	$	$	$
AZ TAXES	310			
PROPERTY TAXES	40,227			
FOREIGN TAXES PAID INVESTMENT AC	1,125	1,125		
Total	$ 41,662	$ 1,125	$ 0	$ 0

Federal Statements

Statement 6 - Form 990-PF, Part I, Line 23 - Other Expenses

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
	$	$	$	$
Expenses				
UBS MANAGEMENT FEES	61,995	61,995		
DEL RIO 246, LLC	16,065	16,065		
INSURANCE	22,009			
STORAGE	2,352			
UTILITIES	287			
LICENSE/FEES	600			
POSTAGE	151			
UBS INVESTMENT EXPENSES	7,123	7,123		
Total	$ 110,582	$ 85,183	$ 0	$ 0

Statement 7 - Form 990-PF, Part II, Line 13 - Other Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
DEL RIO 246, LLC	$ 932,828	$ 941,763	Cost	$ 941,763
TEXAS REVENUE SHARING AGREEMENT	16,645	16,645	Cost	353,431
Total	$ 949,473	$ 958,408		$ 1,295,194

Statement 8 - Form 990-PF, Part II, Line 14 - Land, Building, and Equipment

Description	Beginning Net Book	End Cost / Basis	End Accumulated Depreciation	Net FMV
LAND/BUILDING/FURN/FIXT(SCLC)	$ 3,040,000	$ 3,040,000	$	$ 2,435,000
Total	$ 3,040,000	$ 3,040,000	$ 0	$ 2,435,000

Statement 9 - Form 990-PF, Part III, Line 3 - Other Increases

Description	Amount
INVESTMENT EXPENSES NOT ON BOOKS	$ 7,123
FOREIGN TAXES NOT ON BOOKS	1,125
ROUNDING	1
Total	$ 8,249

Statement 10 - Form 990-PF, Part III, Line 5 - Other Decreases

Description	Amount
BOOK INCOME LESS THAN 1099/RETURN INCOME	$ 229,090
CRYOCELL 1099 > BOOK INCOME	41,606
Total	$ 270,696

Federal Statements

Statement 11 - Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year

Name / Address	Address / Relationship	Status	Purpose	Amount
AGRICULTURE EDUCATION FOUNDATION PAYSON AZ 85541	1007 N HILLCREST DRIVE	501 C (3)	CHARITABLE PROGRAM	
AMERICAN HEART ASSOC. TEMPE AZ 85282	2929 S 48TH STREET	501 C (3)	CHARITABLE PROGRAM	1,000
ARIZOBA 4-H YOUTH FOUNDATION TUCSON AZ 85721	PO BOX 210036	501 C (3)	CHARITABLE PROGRAM	25,000
ARIZONA ECUMENCIAL COUNCIL BLESSING PHOENIX AZ 85018	4340 E. INDIAN SCHOOL RD.	501 C (3)	CHARITABLE PROGRAM	
ARIZONA STORM VBALL SCHOL PHOENIX AZ 85085	515 E CAREFREE HWY #981	501 C (3)	CHARITABLE PROGRAM	
ARIZONA WOMENS BOARD KDNY PARADISE VALLEY AZ 85253	5921 E INDIAN BEND ROAD	501 C (3)	CHARITABLE PROGRAM	5,000
BANNER HEALTH FOUNDATION PHOENIX AZ 85004	2025 N 3RD STREET	501 C (3)	CHARITABLE PROGRAM	
BARROW NEUROLOGICAL FOUND PHOENIX AZ 85013	350 W THOMAS	501 C (3)	CHARITABLE PROGRAM	
BOARD OF VISITORS SCOTTSDALE AZ 85267	PO BOX 14315	501 C (3)	CHARITABLE PROGRAM	10,000
BROPHY COLLEGE PREPARATORY PHOENIX AZ 85012	4701 N CENTRAL	501 C (3)	CHARITABLE PROGRAM	
BROWN UNIVERSITY PROVIDENCE RI 02912	BOX 1822	501 C (3)	CHARITABLE PROGRAM	10,000
CARING BRIDGE EAGAN MN 55121	1715 YANKEE DOODLE ROAD	501 C (3)	CHARITABLE PROGRAM	
CARNEGIE MELLON UNIVERSITY PITTSBURGH PA 15213	500 FORBES AVENUE	501 C (3)	CHARITABLE PROGRAM	10,000
CHILDRENS HOSPITAL BOSTON BOSTON MA 02115	300 LONGWOOD AVENUE	501 C (3)	CHARITABLE PROGRAM	20,000
CRISIS NURSERY PHOENIX AZ 85006	2334 E POLK STREET	501 C (3)	CHARITABLE PROGRAM	5,000
FACES OF AUTISM SCOTTSDALE AZ 85254	7655 E GELDING DR ST A-3	501 C (3)	CHARITABLE PROGRAM	
GARDENS FOR HUMANITY SEDONA AZ 86351	2990 VALLEY VISTA DRIVE	501 C (3)	CHARITABLE PROGRAM	3,000
GRACIE LEE MEMORIAL FUND PAYSON AZ 85547	308 E AERO DRIVE	501 C (3)	CHARITABLE PROGRAM	30,000
HOSPICE OF THE VALLEY PHOENIX AZ 85014	1510 E FLOWER STREET	501 C (3)	CHARITABLE PROGRAM	

Federal Statements

Statement 11 - Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year (continued)

Name / Address	Address / Relationship	Status	Purpose	Amount
KITCHEN ON THE STREET PHOENIX AZ 85024	21006 N 22ND STREET #C1	501 C (3)	CHARITABLE PROGRAM	20,000
LOYOLLA ACADEMY PHOENIX AZ 85012	4701 N CENTRAL AVENUE	501 C (3)	CHARITABLE PROGRAM	
MCDOWELL SONORAN CONSERV. SCOTTSDALE AZ 85254	16435 N SCOTTSDALE ROAD	501 C (3)	CHARITABLE PROGRAM	
MEDICINE HORSE CENTER MANCOS CO 81328	PO BOX 1074	501 C (3)	CHARITABLE PROGRAM	30,000
NORTHWESTERN UNIVERSITY EVANSTON IL 60208	1201 DAVIS STREET	501 C (3)	CHARITABLE PROGRAM	10,000
NYC DANCE ALLIANCE FOUND. NEW YORK NY 10024	PO BOX 952	501 C (3)	CHARITABLE PROGRAM	
PAYSON AGRICULTURAL EDUCATIONAL PAYSON AZ 85541	419 UPPER ROUND VALLEY RD	501 C (3)	CHARITABLE PROGRAM	
PAYSON SUPPLY LINE PAYSON AZ 85541	514 E TIMBER DRIVE	501 C (3)	CHARITABLE PROGRAM	12,000
PRINCETON UNIVERSITY PRINCETON NJ 08544	PRINCETON	501 C (3)	CHARITABLE PROGRAM	10,000
RYAN HOUSE PHOENIX AZ 85013	110 W MERRELL STREET	501 C (3)	CHARITABLE PROGRAM	
SEDONA CREATIVE LIFE CTR SCOTTSDALE AZ 85267	PO BOX 14315	501 C (3)	CHARITABLE PROGRAM	75,000
SPECTRUM COLLEGE TRANS. SCOTTSDALE AZ 85254	7655 E GELDING DR STE A-3	501 C (3)	CHARITABLE PROGRAM	
ST VINCENT DE PAUL FOOD BANK PAYSON AZ 85547	PO BOX 1317	501 C (3)	CHARITABLE PROGRAM	15,000
THE BOARD OF VISITORS PHOENIX AZ 85016	6245 N 24TH PARKWAY	501 C (3)	CHARITABLE PROGRAM	
THE UNIVERSITY OF ARIZONA FOUND. TUCSON AZ 85721-0109	PO BOX 210109	501 C (3)	CHARITABLE PROGRAM	5,000
TIME OUT, INC. PAYSON AZ 85547	PO BOX 306	501 C (3)	CHARITABLE PROGRAM	42,000
TONTO RIM SEARCH & RESCUE STRAWBERRY AZ 85544	PO BOX 357	501 C (3)	CHARITABLE PROGRAM	32,000
UMOM NEW DAY CENTERS PHOENIX AZ 85008	3333 E VAN BUREN	501 C (3)	CHARITABLE PROGRAM	

Federal Statements

Statement 11 - Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year (continued)

Name Address	Address Relationship	Status	Purpose	Amount
UNIVERSITY OF ARIZONA TUCSON AZ 85721	933 N CHERRY AVENUE	501 C (3)	CHARITABLE PROGRAM	
VERDE VALLEY SANCTUARY SEDONA AZ 86339	PO BOX 595	501 C (3)	CHARITABLE PROGRAM	5,000
WEST COAST EQUINE FOUNDATION LOCKEFORD CA 95237	PO BOX 108	501 C (3)	CHARITABLE PROGRAM	10,000
XAVIER COLLEGE PREPAR. PHOENIX AZ 85012	4710 N 5TH STREET	501 C (3)	CHARITABLE PROGRAM	100,000
XAVIER FOUNDATION, INC PHOENIX AZ 85012	4710 N 5TH STREET	501 C (3)	CHARITABLE PROGRAM	25,000
Total				510,000

UBS Financial Services Inc.
1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:
BILTMORE FINANCIAL GROUP
602-957-5100/800-247-1754

Payer:
SHIRLEY C CARIS
FAMILY FOUNDATION
PO BOX 14315
SCOTTSDALE AZ 85267-4315

2013 Informational Statement

Account Number: UX 40846 M6
Tax Identification Number: 86-0965394

Proceeds from Broker Transactions

Short-term transactions for covered securities, included in Box 2a.

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) ASTON/MONTAG & CALDWELL GROWTH FUND CLASS N					*CUSIP* 00078H299		*Symbol (Box 1d)* MCGFX			
Sell	73 5910		12/28/12	12/02/13	2,185 65	1,727 92				457 73
Sell	21 2980		12/28/12	12/02/13	632 55	500 08				132 47
Sell	549 2710		12/28/12	12/02/13	16,313 35	12,896 89				3,416 46
Sub Total	**644.1600**				**19,131.55**	**15,124.89**				**4,006.66**
Description (Box 8) PERKINS MID CAP VALUE FUND A					*CUSIP* 47103C266		*Symbol (Box 1d)* JDPAX			
Sell	26 4680		12/20/12	12/02/13	693 99	569 06				124 93
Sell	160 8800		12/20/12	12/02/13	4,218 27	3,458 93				759 34
Sub Total	**187.3480**				**4,912.26**	**4,027.99**				**884.27**
Description (Box 8) PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A					*CUSIP* 722005584		*Symbol (Box 1d)* PCRAX			
Sell	71 7800		12/12/12	12/02/13	392 64	476 62				(83 98)
Sell	29 1400		12/12/12	12/02/13	159 40	193 49				(34 09)
Sell	0 0150		12/27/12	12/02/13	0 08	0 10				(0 02)
Sell	4 9780		03/21/13	12/02/13	27 23	32 31				(5 08)
Sell	58 3140		06/20/13	12/02/13	318 97	328 89				(9 92)
Sell	9 3940		09/19/13	12/02/13	51 39	53 83				(2 44)
Sub Total	**173.6210**				**949.71**	**1,085.24**				**(135.53)**

continued next page

Proceeds from Broker Transactions (continued)

Short-term transactions for covered securities, included in Box 2a (continued)

Activity type	*Quantity / face value (Box 1e)*	*Original cost basis ($)*	*Date acquired (Box 1b)*	*Date of sale / exchange (Box 1a)*	*Sale amount (Box 2a) ($)*	*Cost or other basis (Box 3) ($)*	*Wash sale loss disallowed (Box 5) ($)*	*Federal income tax withheld (Box 4) ($)*	*Loss not allowed (Box 2b)*	*Gain/Loss ($)*
Description (Box 8) PRUDENTIAL JENNISON 20/20 FOCUS FUND A					*CUSIP* 74440G107		*Symbol (Box 1d)* PTWAX			
Sell	519 8390		12/13/12	12/02/13	10,168 05	8,213 45				1,954 60
Sell	16 5150		05/24/13	12/02/13	323 04	289 34				33 70
Sell	360 2230		05/24/13	12/02/13	7,045 96	6,311 11				734 85
Sub Total	**896.5770**				**17,537.05**	**14,813.90**				**2,723.15**
Description (Box 8) THORNBURG INTERNATIONAL VALUE FUND CLASS A					*CUSIP* 885215657		*Symbol (Box 1d)* TGVAX			
Sell	2 6230		03/22/13	12/02/13	81 15	73 60				7 55
Sell	20 7510		06/24/13	12/02/13	642 04	552 39				89 65
Sell	8 5440		09/24/13	12/02/13	264 35	259 22				5 13
Sub Total	**31.9180**				**987.54**	**885.21**				**102.33**
Description (Box 8) VAN ECK GLOBAL HARD ASSETS FUND CLASS A					*CUSIP* 921075750		*Symbol (Box 1d)* GHAAX			
Sell	7 3200		12/21/12	12/02/13	347 12	318 20				28 92
Sell	15 7700		12/21/12	12/02/13	747 81	685 54				62 27
Sub Total	**23.0900**				**1,094.93**	**1,003.74**				**91.19**
Total	**1,956.7140**				**$44,613.04**	**$36,940.97**				**$7,672.07**

continued next page

UBS Financial Services Inc.
1000 Harbor Boulevard
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Payer:
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FAMILY FOUNDATION
PO BOX 14315
SCOTTSDALE AZ 85267-4315

2013 Informational Statement

Account Number: UX 40846 M6
Tax Identification Number: 86-0965394

Proceeds from Broker Transactions (continued)

Long-term transactions for covered securities, included in Box 2a

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) ASTON/MONTAG & CALDWELL GROWTH FUND CLASS N					*CUSIP* 00078H299		*Symbol (Box 1d)* MCGFX			
Sell	**2,326.9900**		02/09/12	12/02/13	**69,111.61**	**55,754.67**				**13,356.94**
Description (Box 8) PERKINS MID CAP VALUE FUND A					*CUSIP* 47103C266		*Symbol (Box 1d)* JDPAX			
Sell	**1,077.3690**		02/09/12	12/02/13	**28,248.62**	**23,508.20**				**4,740.42**
Description (Box 8) PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A					*CUSIP* 722005584		*Symbol (Box 1d)* PCRAX			
Sell	686 3990		02/09/12	12/02/13	3,754 60	4,667 51				(912 91)
Sell	82 1850		03/22/12	12/02/13	449 55	540 78				(91 23)
Sell	55 6550		06/21/12	12/02/13	304 44	331 15				(26 71)
Sell	57 1020		09/20/12	12/02/13	312 34	393 43				(81 09)
Sub Total	**881.3410**				**4,820.93**	**5,932.87**				**(1,111.94)**
Description (Box 8) PRUDENTIAL JENNISON 20/20 FOCUS FUND A					*CUSIP* 74440G107		*Symbol (Box 1d)* PTWAX			
Sell	3,266 2250		02/09/12	12/02/13	63,887 36	53,762 06				10,125 30
Sell	100 3350		06/01/12	12/02/13	1,962 55	1,459 87				502 68
Sub Total	**3,366.5600**				**65,849.91**	**55,221.93**				**10,627.98**
Description (Box 8) THORNBURG INTERNATIONAL VALUE FUND CLASS A					*CUSIP* 885215657		*Symbol (Box 1d)* TGVAX			
Sell	1,250 4320		02/09/12	12/02/13	38,688 36	33,086 43				5,601 93
Sell	6 9060		03/26/12	12/02/13	213 68	186 19				27 49

continued next page

UBS Financial Services Inc.

1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:
BILTMORE FINANCIAL GROUP
602-957-5100/800-247-1754

Payer:
SHIRLEY C CARIS
FAMILY FOUNDATION
PO BOX 14315
SCOTTSDALE AZ 85267-4315

2013 Informational Statement

Account Number: UX 40846 M6
Tax Identification Number: 86-0965394

Proceeds from Broker Transactions (continued)

Long-term transactions for covered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) THORNBURG INTERNATIONAL VALUE FUND CLASS A					*CUSIP* 885215657	*Symbol (Box 1d)* TGVAX				
Sell	23 6820		06/25/12	12/02/13	732 72	565 29				167 43
Sell	10 4050		09/24/12	12/02/13	321 93	275 21				46 72
Sub Total	**1,291.4250**				**39,956.69**	**34,113.12**				**5,843.57**
Description (Box 8) VAN ECK GLOBAL HARD ASSETS FUND CLASS A					*CUSIP* 921075750	*Symbol (Box 1d)* GHAAX				
Sell	**208.5040**		02/09/12	12/02/13	**9,887.26**	**10,233.37**				**(346.11)**
Total	**9,152.1890**				**$217,875.02**	**$184,764.16**				**$33,110.86**

Long-term transactions for noncovered securities, included in Box 2a

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) ASTON/MONTAG & CALDWELL GROWTH FUND CLASS N					*CUSIP* 00078H299	*Symbol (Box 1d)* MCGFX				
Sell	1,908 0860		03/11/10	12/02/13	56,670 16	43,752 41				12,917 75
Sell	1,445 0360		03/24/10	12/02/13	42,917 56	33,322 53				9,595 03
Sell	949 9140		03/31/10	12/02/13	28,212 45	22,000 00				6,212 45
Sell	188 5180		04/29/10	12/02/13	5,598 99	4,400 01				1,198 98
Sell	461 9740		12/02/10	12/02/13	13,720 62	10,990 36				2,730 26
Sell	14 5960		12/29/10	12/02/13	433 51	353 37				80 14
Sell	45 9030		12/29/10	12/02/13	1,363 31	1,111 31				252 00

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Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities, included in Box 2a (continued)

Activity type	*Quantity / face value (Box 1e)*	*Original cost basis ($)*	*Date acquired (Box 1b)*	*Date of sale / exchange (Box 1a)*	*Sale amount (Box 2a) ($)*	*Cost or other basis (Box 3) ($)*	*Wash sale loss disallowed (Box 5) ($)*	*Federal income tax withheld (Box 4) ($)*	*Loss not allowed (Box 2b)*	*Gain/Loss ($)*
Description (Box 8) ASTON/MONTAG & CALDWELL GROWTH FUND CLASS N					*CUSIP* 00078H299		*Symbol (Box 1d)* MCGFX			
Sell	476 5520		12/29/11	12/02/13	14,153 60	10,941 64				3,211 96
Sell	32 9840		12/29/11	12/02/13	979 62	757 31				222 31
Sub Total	**5,523.5630**				**164,049.82**	**127,628.94**				**36,420.88**
Description (Box 8) GABELLI EQUITY INCOME FUND CLASS A					*CUSIP* 36239T707		*Symbol (Box 1d)* GCAEX			
Sell	113 0840		03/11/10	01/24/13	2,708 35	2,077 60				630 75
Sell	115 4510		03/11/10	04/23/13	2,938 24	2,121 10				817 14
Sell	110 1370		03/11/10	07/24/13	2,958 29	2,023 46				934 83
Sell	114 4770		03/11/10	10/24/13	3,166 44	2,103 19				1,063 25
Sub Total	**453.1490**				**11,771.32**	**8,325.35**				**3,445.97**
Description (Box 8) PERKINS MID CAP VALUE FUND A					*CUSIP* 47103C266		*Symbol (Box 1d)* JDPAX			
Sell	1,011 2010		03/11/10	12/02/13	26,513 69	20,992 53				5,521 16
Sell	1,144 2180		03/24/10	12/02/13	30,001 40	23,868 39				6,133 01
Sell	574 1630		03/31/10	12/02/13	15,054 55	12,000 00				3,054 55
Sell	110 1420		04/29/10	12/02/13	2,887 92	2,400 00				487 92
Sell	174 1800		12/02/10	12/02/13	4,567 00	3,842 42				724 58
Sell	32 0270		12/20/10	12/02/13	839 75	712 92				126 83
Sell	249 4670		12/22/11	12/02/13	6,541 02	5,039 24				1,501 78
Sell	21 1130		12/22/11	12/02/13	553 59	426 48				127 11
Sell	23 7080		12/22/11	12/02/13	621 62	478 91				142 71
Sub Total	**3,340.2190**				**87,580.54**	**69,760.89**				**17,819.65**

continued next page

Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) PIMCO COMMODITY REAL RETURN STRATEGY FUND CLASS A					*CUSIP* 722005584		*Symbol (Box 1d)* PCRAX			
Sell	535 8160		03/11/10	12/02/13	2,930 91	4,254 38				(1,323 47)
Sell	128 7390		03/18/10	12/02/13	704 21	1,006 74				(302 53)
Sell	3,274 9670		03/24/10	12/02/13	17,914 07	24,857 00				(6,942 93)
Sell	1,165 8030		03/31/10	12/02/13	6,376 94	9,000 00				(2,623 06)
Sell	227 5600		04/29/10	12/02/13	1,244 75	1,800 00				(555 25)
Sell	268 3110		06/17/10	12/02/13	1,467 66	1,990 87				(523 21)
Sell	293 0800		09/16/10	12/02/13	1,603 15	2,297 75				(694 60)
Sell	8 4500		12/02/10	12/02/13	46 22	74 02				(27 80)
Sell	220 5660		12/31/10	12/02/13	1,206 50	2,020 38				(813 88)
Sell	263 6320		03/17/11	12/02/13	1,442 07	2,425 41				(983 34)
Sell	538 2560		06/16/11	12/02/13	2,944 26	4,693 59				(1,749 33)
Sell	532 4090		09/15/11	12/02/13	2,912 27	4,424 32				(1,512 05)
Sell	44 6460		12/07/11	12/02/13	244 22	332 61				(88 39)
Sell	187 6360		12/07/11	12/02/13	1,026 37	1,397 89				(371 52)
Sell	1,088 1390		12/28/11	12/02/13	5,952 12	6,974 97				(1,022 85)
Sub Total	**8,778.0100**				**48,015.72**	**67,549.93**				**(19,534.21)**
Description (Box 8) PRUDENTIAL JENNISON 20/20 FOCUS FUND A					*CUSIP* 74440G107		*Symbol (Box 1d)* PTWAX			
Sell	2,406 6040		03/11/10	12/02/13	47,073 17	35,858 40				11,214 77
Sell	3,256 1800		03/24/10	12/02/13	63,690 89	48,484 52				15,206 37
Sell	1,607 5020		03/31/10	12/02/13	31,442 74	24,000 00				7,442 74
Sell	322 3640		04/29/10	12/02/13	6,305 44	4,800 00				1,505 44

continued next page

Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities, included in Box 2a (continued)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) PRUDENTIAL JENNISON 20/20 FOCUS FUND A					*CUSIP* 74440G107		*Symbol (Box 1d)* PTWAX			
Sell	591 4690		12/02/10	12/02/13	11,569 13	9,238 75				2,330 38
Sell	294 5030		12/01/11	12/02/13	5,760 48	4,494 12				1,266 36
Sub Total	**8,478.6220**				**165,841.85**	**126,875.79**				**38,966.06**
Description (Box 8) ROYCE SPECIAL EQUITY FD					*CUSIP* 780905782		*Symbol (Box 1d)* RYSEX			
Sell	**1,113.1150**		03/11/10	12/02/13	**29,608.85**	**21,015.62**				**8,593.23**
Description (Box 8) THORNBURG INTERNATIONAL VALUE FUND CLASS A					*CUSIP* 885215657		*Symbol (Box 1d)* TGVAX			
Sell	86 5790		03/11/10	12/02/13	2,678 75	2,154 09				524 66
Sell	1,566 1470		03/24/10	12/02/13	48,456 59	38,981 40				9,475 19
Sell	0 8320		03/26/10	12/02/13	25 75	20 87				4 88
Sell	554 2360		03/31/10	12/02/13	17,148 06	14,000 00				3,148 06
Sell	111 3760		04/29/10	12/02/13	3,445 97	2,800 00				645 97
Sell	18 4890		06/25/10	12/02/13	572 05	435 60				136 45
Sell	11 1520		09/24/10	12/02/13	345 04	291 51				53 53
Sell	0 3070		12/27/10	12/02/13	9 50	8 55				0 95
Sell	3 2490		03/25/11	12/02/13	100 53	93 70				6 83
Sell	21 2190		06/24/11	12/02/13	656 51	600 29				56 22
Sell	13 0610		09/26/11	12/02/13	404 11	301 84				102 27
Sell	1 8790		12/23/11	12/02/13	58 14	45 08				13 06
Sub Total	**2,388.5260**				**73,901.00**	**59,732.93**				**14,168.07**

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Proceeds from Broker Transactions (continued)

Long-term transactions for noncovered securities, included in Box 2a (continued)

Activity type	*Quantity / face value (Box 1e)*	*Original cost basis ($)*	*Date acquired (Box 1b)*	*Date of sale / exchange (Box 1a)*	*Sale amount (Box 2a) ($)*	*Cost or other basis (Box 3) ($)*	*Wash sale loss disallowed (Box 5) ($)*	*Federal income tax withheld (Box 4) ($)*	*Loss not allowed (Box 2b)*	*Gain/Loss ($)*
Description (Box 8) VAN ECK GLOBAL HARD ASSETS FUND CLASS A					*CUSIP* 921075750	*Symbol (Box 1d)* GHAAX				
Sell	195 7790		03/11/10	12/02/13	9,283 84	8,420 45				863 39
Sell	584 3810		03/24/10	12/02/13	27,711 35	24,491 42				3,219 93
Sell	211 7150		03/31/10	12/02/13	10,039 52	9,000 00				1,039 52
Sell	40 5590		04/29/10	12/02/13	1,923 31	1,800 00				123 31
Sell	36 5080		12/02/10	12/02/13	1,731 21	1,837 08				(105 87)
Sell	8 0340		12/21/10	12/02/13	380 97	413 99				(33 02)
Sell	6 6930		12/21/11	12/02/13	317 38	289 87				27 51
Sell	1 2950		12/21/11	12/02/13	61 41	56 09				5 32
Sub Total	**1,084.9640**				**51,448.99**	**46,308.90**				**5,140.09**
Total	**31,160.1680**				**$632,218.09**	**$527,198.35**				**$105,019.74**
Total					**$894,706.15**					

UBS Financial Services Inc.
1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:
BILTMORE FINANCIAL GROUP
602-957-5100/800-247-1754

Payer:
CARIS FAMILY FOUNDATION
PO BOX 14315
SCOTTSDALE AZ 85267-4315

2013 Consolidated Form 1099

Copy B, For Recipient
Account Number: UX 13138 M6
Tax Identification Number: 86-0965394

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715)

Consistent with IRS guidance, transactions are grouped into section(s) based upon whether the security is covered or noncovered, and whether the term is short or long Transactions for which the term cannot be determined are grouped in a separate section As a result, the substitute Form 1099-B could have up to five separate sections each with a heading identifying which securities are included and how to report the transactions on Form 8949 When available, basis information will be displayed in sections where basis is not required to be reported to the IRS A security is a "covered security" and subject to basis reporting requirements if it is acquired on or after its corresponding effective date For stock in a corporation, the effective date is January 1, 2011 For stock in a mutual fund the effective date is January 1, 2012 UBS is not required to report basis to the IRS for any securities acquired before 2011 IRS regulations now require that brokers report short sales for the year in which the short sale is closed The possible application of the "Constructive Sale" provisions (Sec 1259) for short-against-the box transactions is not required and thus not reflected here Clients may wish to discuss the potential application of this provision with their tax advisors

The cost basis of the oldest security lot (first in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order 2013 Gain/Loss for transactions with trade dates through 12/31/13 has been incorporated into this statement The net gain or loss for each transaction is calculated based on the sales amount less cost basis with any wash sale loss disallowed Although we apply wash sale rules to covered lots of identical securities, there are other circumstances to be considered that may result in or negate wash sales Gain or loss is not calculated on the sale or redemption of certain Structured Products and certain grantor trusts with collectible or foreign currency as it may be ordinary, and not capital, gain or loss These gains or losses will not be included on the gain or loss subtotal and total amounts Where applicable, symbol (2) will be printed to the right of the gain or loss subtotal and total amounts Net gain or loss is not reported to the IRS

In Box 2a gross proceeds are reported less commissions and option premiums Sale amounts with "±" symbol indicate where an option premium adjustment has been made If Box 2b is checked, a loss based on the amount reported in Box 2a is not allowed

Beginning in 2012, basis for both covered and noncovered securities have been adjusted for all capital changes Prior to 2012, basis may not have been adjusted for noncovered tax lots The Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium The OID amount reported on your Form 1099-OID is not adjusted for market discount, amortized acquisition premium, or bond premium Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amounts reported to the IRS because the reporting requirements are different

Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products

Type of Gain/Loss: Short Term (Box 1c)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked

In this sub section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) ALLEGHENY TECHNOLOGIES 05 875% 081523 DTD071213 FC021514 CALL@MW+50BP CUSIP 01741RAF9										
Sell	**18,000 0000**		07/09/13	10/28/13	**18,480.24**	**17,998.38**				**481.86**
Description (Box 8) APPLE INC B/E 03 850% 050443 DTD050313 FC110413 CALL@MW+15BP CUSIP 037833AL4										
Sell	**19,000.0000**		05/10/13	09/04/13	**15,870.70**	**18,302.13**				**(2,431.43)**
Description (Box 8) BURLINGTON NTHN SANTA FE 04 375% 090142 DTD082312 FC030113 CALL@MW+25BP CUSIP 12189LAK7										
Sell	**26,000.0000**		08/16/12	07/24/13	**24,153.22**	**25,640.16**				**(1,486.94)**

continued next page

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked. (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	*Quantity / face value (Box 1e)*	*Original cost basis ($)*	*Date acquired (Box 1b)*	*Date of sale / exchange (Box 1a)*	*Sale amount (Box 2a) ($)*	*Cost or other basis (Box 3) ($)*	*Wash sale loss disallowed (Box 5) ($)*	*Federal income tax withheld (Box 4) ($)*	*Loss not allowed (Box 2b)*	*Gain/Loss ($)*
Description (Box 8) CHURCH & DWIGHT CO INC 02 875% 100122 DTD092612 FC040113 CALL@MW+20BP						*CUSIP* 171340AH5				
Sell	16,000 0000		09/19/12	07/09/13	14,959 52	15,984 80				(1,025 28)
Sell	21,000 0000		10/03/12	07/09/13	19,634 37	21,367 29				(1,732 92)
Sub Total	**37,000.0000**				**34,593.89**	**37,352.09**				**(2,758.20)**
Description (Box 8) FHR K-014 A-2 03 8710 DUE 04/25/21 FACTOR 1 000000000000						*CUSIP* 3137ADTJ6				
Sell	**30,000.0000**		09/20/12	04/26/13	**33,993.75**	**34,293.75**				**(300.00)**
Description (Box 8) FHR K-016 A-2 02 9676 DUE 10/25/21 FACTOR 1 000000000000						*CUSIP* 3137AJMF8				
Sell	29,000 0000		10/26/12	04/26/13	31,011 88	31,193 13				(181 25)
Sell	5,000 0000		10/26/12	06/13/13	5,056 25	5,378 13				(321 88)
Sell	31,000 0000		10/26/12	10/07/13	30,958 83	33,344 38				(2,385 55)
Sub Total	**65,000.0000**				**67,026.96**	**69,915.64**				**(2,888.68)**
Description (Box 8) FNMA PL AB3274 04 5000 DUE 07/01/41 FACTOR 0 536759450000						*CUSIP* 31416YT81				
Sell	**170,000.0000**		12/17/12	05/22/13	**116,578.15**	**118,175.34**				**(1,597.19)**
Description (Box 8) FNMA PL AK5946 03 5000 DUE 02/01/42 FACTOR 0 836830400000						*CUSIP* 3138EATC1				
Sell	**45,000.0000**		03/21/13	08/26/13	**39,935.18**	**42,444.43**				**(2,509.25)**
Description (Box 8) FNMA PL AU1238 03 5000 DUE 07/01/43 FACTOR 0 966824990000						*CUSIP* 3138X0LU0				
Sell	**45,000.0000**		06/28/13	08/26/13	**44,742.57**	**45,457.67**				**(715.10)**
Description (Box 8) HERTZ CORP NTS B/E 06 750% 041519 DTD041511 FC101511						*CUSIP* 428040CJ6				
Sell	**22,000.0000**		06/21/13	12/03/13	**23,732.50**	**23,385.17**				**347.33**
Description (Box 8) PETROBRAS INTL FIN NTS 05 375% 012721 DTD012711 FC072711 CALL@MW+30BP						*CUSIP* 71645WAR2				
Sell	**33,000.0000**		01/28/13	12/09/13	**32,816.85**	**36,517.80**				**(3,700.95)**

continued next page

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) ROYAL BANK OF CANADA B/E 02 200% 072718 DTD072913 FC012714					*CUSIP* 78008S7D2					
Sell	**27,000.0000**		07/24/13	09/25/13	**27,072.36**	**27,000.00**				**72.36**
Description (Box 8) US TSY NOTE 00 750 % DUE 03/31/18 DTD 03/31/13 FC 09/30/13					*CUSIP* 912828UU2					
Sell	225,000 0000		04/04/13	08/20/13	217,907 23	225,448 24				(7,541 01)
Sell	40,000 0000		04/26/13	08/20/13	38,739 06	40,168 75				(1,429 69)
Sub Total	**265,000.0000**				**256,646.29**	**265,616.99**				**(8,970.70)**
Description (Box 8) US TSY NOTE 01 000 % DUE 08/31/16 DTD 08/31/11 FC 02/29/12					*CUSIP* 912828RF9					
Sell	1,000 0000		04/26/12	02/12/13	1,016 17	1,013 48				2 69
Sell	19,000 0000		05/31/12	02/12/13	19,307 27	19,345 86				(38 59)
Sell	30,000 0000		05/31/12	02/20/13	30,491 02	30,546 09				(55 07)
Sell	51,000 0000		05/31/12	02/25/13	51,948 28	51,928 36				19 92
Sell	60,000 0000		06/29/12	02/25/13	61,115 63	60,944 53				171 10
Sell	42,000 0000		06/29/12	04/02/13	42,785 86	42,661 17				124 69
Sell	34,000 0000		07/27/12	04/02/13	34,636 17	34,668 05				(31 88)
Sell	107,000 0000		09/28/12	04/02/13	109,002 07	109,282 11				(280 04)
Sub Total	**344,000.0000**				**350,302.47**	**350,389.65**				**(87.18)**
Description (Box 8) US TSY NOTE 01 125 % DUE 03/31/20 DTD 03/31/13 FC 09/30/13					*CUSIP* 912828UV0					
Sell	120,000 0000		04/04/13	04/18/13	120,051 56	119,620 31				431 25
Sell	29,000 0000		04/04/13	04/25/13	28,970 55	28,908 24				62 31
Sub Total	**149,000.0000**				**149,022.11**	**148,528.55**				**493.56**
Description (Box 8) US TSY NOTE 01 375 % DUE 07/31/18 DTD 07/31/13 FC 01/31/14					*CUSIP* 912828VQ0					
Sell	43,000 0000		08/26/13	09/11/13	42,355 00	42,554 88				(199 88)
Sell	15,000 0000		08/26/13	09/27/13	15,024 61	14,844 73				179 88
Sub Total	**58,000.0000**				**57,379.61**	**57,399.61**				**(20.00)**

continued next page

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked (continued)

In this sub-section Date acquired, Cost or Other Basis and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) US TSY NOTE 03 500 % DUE 05/15/20 DTD 05/15/10 FC 11/15/10					*CUSIP* 912828ND8					
Sell	90,000 0000		04/27/12	04/03/13	104,217 19	103,201 17				1,016 02
Sell	102,000 0000		06/06/12	04/03/13	118,112 81	119,208 52				(1,095 71)
Sub Total	**192,000.0000**				**222,330.00**	**222,409.69**				**(79.69)**
Short-term total Box B, Part I	**1,545,000.0000**				**$1,514,676.85**	**$1,540,827 05**				**$(26,150.20)**

Type of Gain/Loss: Long Term (Box 1c)

Long-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part II, with **Box E** checked

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) AVIS BUDGET NTS B/E 9 625% 031518 DTD031010 CALL@MW+50BP					*CUSIP* 053773AL1					
Sell	**25,000.0000**		01/27/12	03/19/13	**28,222.50**	**27,468.75**				**753.75**
Description (Box 8) BILL BARRETT CORP NTS 09 875% 071516 DTD070809 CALL@MW+50BP B/E					*CUSIP* 06846NAB0					
Sell	**15,000.0000**		03/12/10	01/23/13	**16,237.50**	**16,275.00**				**(37.50)**
Description (Box 8) CHESAPEAKE ENERGY CORP 06 125% 021521 DTD021111 CALL@ MAKE-WHOLE + 50 BP					*CUSIP* 165167CG0					
Sell	**18,000.0000**	**18,000.00**	02/08/11	10/18/13	**19,575.00**	**18,000.00**				**1,575.00**
Description (Box 8) EBAY INC CALL@MW+25BP 04 000% 071542 DTD072412 FC011513 B/E					*CUSIP* 278642AF0					
Sell	**18,000.0000**		07/20/12	09/04/13	**14,789.70**	**18,144.72**				**(3,355.02)**

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Long-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part II, with **Box E** checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) EQUINIX INC B/E 08 125% 030118 DTD030310 FC090110 CALL@MW+50BP						*CUSIP* 29444UAJ5				
Sell	**18,000.0000**		03/03/10	03/14/13	**19,980.00**	**18,540.00**				**1,440.00**
Description (Box 8) FHR K-014 A-2 03 8710 DUE 04/25/21 FACTOR 1 000000000000						*CUSIP* 3137ADTJ6				
Sell	**35,000.0000**		09/20/12	10/07/13	**37,275 00**	**40,009.38**				**(2,734.38)**
Description (Box 8) FNMA PL AB3938 03 5000 DUE 11/01/41 FACTOR 0 583219540000						*CUSIP* 31417ALU1				
Sell	70,000 0000		11/23/11	08/26/13	43,060 40	44,025 24				(964 84)
Sell	73,000 0000		12/02/11	08/26/13	44,905 84	46,031 66				(1,125 82)
Sub Total	**143,000.0000**				**87,966.24**	**90,056.90**				**(2,090.66)**
Description (Box 8) HORNBECK OFFSHORE SVCS 08 000% 090117 DTD081709 CALL@MW+50BP						*CUSIP* 440543AH9				
Sell	**19,000.0000**		10/14/10	03/14/13	**20,379.40**	**19,142.50**				**1,236.90**
Description (Box 8) MACYS RETAIL HLDGS INC 05 125% 011542 DTD011312 FC071512 CALL@MW+40BP						*CUSIP* 55616XAG2				
Sell	**17,000.0000**		01/10/12	07/09/13	**16,292 80**	**16,973.99**				**(681.19)**
Description (Box 8) NII CAPITAL CORP B/E 07 625% 040121 DTD032911 FC100111						*CUSIP* 67021BAE9				
Sell	**17,000.0000**		04/06/11	02/06/13	**11,560.00**	**17,616.25**				**(6,056.25)**
Description (Box 8) REGIONS FINANCIAL NTS 07 750% 111014 DTD111009 FC051010 B/E						*CUSIP* 7591EPAF7				
Tender	**13,000.0000**		03/09/10	05/13/13	**14,413.75**	**13,641.68**				**772.07**
Description (Box 8) REVLON CONSUMER PRODUCTS 09 750% 111515 DTD051510 FC111510 CORP NTS						*CUSIP* 761519BB2				
Sell	**17,000.0000**		08/12/11	01/30/13	**17,938.40**	**18,215.50**				**(277 10)**

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Long-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part II, with **Box E** checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) SLM CORP NTS 08 450% 061518 DTD061808 FC121508 CALL@MW+50BP					*CUSIP* 78442FEH7					
Sell	11,000 0000		01/20/12	05/29/13	12,388 75	11,907 50				481 25
Sell	11,000 0000	11,907 50	01/20/12	12/18/13	12,828 75	11,676 09				1,152 66
Sub Total	**22,000.0000**	**11,907.50**			**25,217.50**	**23,583.59**				**1,633.91**
Description (Box 8) TIME WARNER INC B/E 05 375% 101541 DTD101711 FC041512 CALL@MW +35BP					*CUSIP* 887317AM7					
Sell	**17,000.0000**		10/13/11	09/06/13	**16,345.16**	**17,177.65**				**(832.49)**
Description (Box 8) TRANSOCEAN SEDCO FOREX 06 375% 121521 DTD120511 FC061512 INC CALL@MW					*CUSIP* 893830BB4					
Sell	**18,000.0000**		11/30/11	05/07/13	**21,595.89**	**17,990.28**				**3,605.61**
Description (Box 8) US TSY NOTE 03 500 % DUE 05/15/20 DTD 05/15/10 FC 11/15/10					*CUSIP* 912828ND8					
Sell	**42,000.0000**		09/07/11	04/03/13	**48,634.69**	**47,960.39**				**674.30**
Description (Box 8) WACHO 2007-C34 A-3 DUE 05/15/46 05 6780 FACTOR 1 000000000000					*CUSIP* 92979FAD2					
Sell	**45,000.0000**		03/16/10	01/24/13	**52,439.06**	**43,650.00**				**8,789.06**
Description (Box 8) WYNDHAM WORLDWIDE CORP 07 375% 030120 DTD022510 CALL @ MW +50BP					*CUSIP* 98310WAE8					
Tender	**34,000.0000**		02/22/10	03/04/13	**42,667.28**	**33,999.32**				**8,667.96**
Description (Box 8) ZIONS BANCORP NTS B/E 07 750% 092314 DTD092309 FC032310					*CUSIP* 989701AX5					
Tender	**29,000.0000**		04/22/10	06/18/13	**31,581.00**	**30,145.50**				**1,435.50**
Long-term total Box E, Part II	**562,000.0000**	**$29,907.50**			**$543,110.87**	**$528,591.40**				**$14,519.47**

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Type of Gain/Loss: Undetermined.

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate

In this sub section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AB3274 04 5000 DUE 07/01/41 FACTOR 0 536759450000						*CUSIP* 31416YT81				
Return of Principal				02/25/13	5,632 30					*Not Calculated*
Return of Principal				03/25/13	4,769 87					*Not Calculated*
Return of Principal				04/25/13	4,825 66					*Not Calculated*
Return of Principal				05/25/13	2,381 56					*Not Calculated* **
Return of Principal				06/25/13	1,600 93					*Not Calculated*
Return of Principal				07/25/13	1,045 35					*Not Calculated*
Return of Principal				08/25/13	1,735 32					*Not Calculated* **
Return of Principal				09/25/13	323 79					*Not Calculated*
Return of Principal				10/25/13	449 67					*Not Calculated*
Return of Principal				11/25/13	466 75					*Not Calculated*
Return of Principal				12/25/13	559 40					*Not Calculated* **
Return of Principal				01/25/14	210 17					*Not Calculated* **
Sub Total					**24,000.77**					
Description (Box 8) FNMA PL AB3938 03 5000 DUE 11/01/41 FACTOR 0 583219540000						*CUSIP* 31417ALU1				
Return of Principal				02/25/13	4,081 66					*Not Calculated*
Return of Principal				03/25/13	2,425 33					*Not Calculated*
Return of Principal				04/25/13	1,936 75					*Not Calculated*
Return of Principal				05/25/13	2,142 57					*Not Calculated* **
Return of Principal				06/25/13	1,896 44					*Not Calculated*
Return of Principal				07/25/13	2,184 57					*Not Calculated*
Return of Principal				08/25/13	1,957 76					*Not Calculated* **
Sub Total					**16,625.08**					
Description (Box 8) FNMA PL AB4524 04 0000 DUE 02/01/42 FACTOR 0 545210120000						*CUSIP* 31417BA23				
Return of Principal				02/25/13	1,139 27					*Not Calculated*
Return of Principal				03/25/13	2,655 49					*Not Calculated*

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AB4524 04 0000 DUE 02/01/42 FACTOR 0 545210120000					*CUSIP* 31417BA23					
Return of Principal				04/25/13	2,153 77					Not Calculated
Return of Principal				05/25/13	1,411 32					Not Calculated **
Return of Principal				06/25/13	1,681 00					Not Calculated
Return of Principal				07/25/13	1,995 72					Not Calculated
Return of Principal				08/25/13	724 39					Not Calculated **
Return of Principal				09/25/13	182 60					Not Calculated
Return of Principal				10/25/13	446 50					Not Calculated
Return of Principal				11/25/13	143 09					Not Calculated
Return of Principal				12/25/13	188 75					Not Calculated **
Return of Principal				01/25/14	279 31					Not Calculated **
Sub Total					**13,001.21**					
Description (Box 8) FNMA PL AI1190 04 5000 DUE 04/01/41 FACTOR 0 621463100000					*CUSIP* 3138AEKC6					
Return of Principal				02/25/13	962 29					Not Calculated
Return of Principal				03/25/13	874 14					Not Calculated
Return of Principal				04/25/13	697 00					Not Calculated
Return of Principal				05/25/13	1,026 71					Not Calculated **
Return of Principal				06/25/13	897 97					Not Calculated
Return of Principal				07/25/13	697 73					Not Calculated
Return of Principal				08/25/13	784 99					Not Calculated **
Return of Principal				09/25/13	640 28					Not Calculated
Return of Principal				10/25/13	249 34					Not Calculated
Return of Principal				11/25/13	298 08					Not Calculated
Return of Principal				12/25/13	301 73					Not Calculated **
Return of Principal				01/25/14	339 68					Not Calculated **
Sub Total					**7,769.94**					

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AI1191 04 5000 DUE 04/01/41 FACTOR 0 594723190000					*CUSIP* 3138AEKD4					
Return of Principal				02/25/13	3,239 52					Not Calculated
Return of Principal				03/25/13	2,937 04					Not Calculated
Return of Principal				04/25/13	3,364 23					Not Calculated
Return of Principal				05/25/13	2,905 29					Not Calculated **
Return of Principal				06/25/13	2,303 53					Not Calculated
Return of Principal				07/25/13	2,910 62					Not Calculated
Return of Principal				08/25/13	2,288 15					Not Calculated **
Return of Principal				09/25/13	1,606 50					Not Calculated
Return of Principal				10/25/13	842 21					Not Calculated
Return of Principal				11/25/13	399 84					Not Calculated
Return of Principal				12/25/13	1,421 74					Not Calculated **
Return of Principal				01/25/14	1,245 38					Not Calculated **
Sub Total					**25,464.05**					
Description (Box 8) FNMA PL AK5946 03 5000 DUE 02/01/42 FACTOR 0 836830400000					*CUSIP* 3138EATC1					
Return of Principal				05/25/13	77 40					Not Calculated **
Return of Principal				06/25/13	583 20					Not Calculated
Return of Principal				07/25/13	75 60					Not Calculated
Return of Principal				08/25/13	75 54					Not Calculated **
Sub Total					**811.74**					
Description (Box 8) FNMA PL AL0393 04 5000 DUE 06/01/41 FACTOR 0 525150130000					*CUSIP* 3138EGNK6					
Return of Principal				02/25/13	5,712 75					Not Calculated
Return of Principal				03/25/13	3,835 64					Not Calculated
Return of Principal				04/25/13	3,711 44					Not Calculated
Return of Principal				05/25/13	5,330 75					Not Calculated **
Return of Principal				06/25/13	5,343 64					Not Calculated
Return of Principal				07/25/13	2,539 87					Not Calculated

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UBS Financial Services Inc.
1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:
BILTMORE FINANCIAL GROUP
602-957-5100/800-247-1754

Payer:
CARIS FAMILY FOUNDATION
PO BOX 14315
SCOTTSDALE AZ 85267-4315

2013 Consolidated Form 1099

Copy B, For Recipient
Account Number: UX 13138 M6
Tax Identification Number: 86-0965394

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AL0393 04 5000 DUE 06/01/41 FACTOR 0 525150130000						*CUSIP* 3138EGNK6				
Return of Principal				08/25/13	3,191 01					*Not Calculated* **
Return of Principal				09/25/13	1,953 92					*Not Calculated*
Return of Principal				10/25/13	1,984 82					*Not Calculated*
Return of Principal				11/25/13	798 96					*Not Calculated*
Return of Principal				12/25/13	1,985 14					*Not Calculated* **
Return of Principal				01/25/14	1,996 05					*Not Calculated* **
Sub Total					**38,383.99**					
Description (Box 8) FNMA PL AL0933 05 0000 DUE 10/01/41 FACTOR 0 479696740000						*CUSIP* 3138EHBB7				
Return of Principal				05/25/13	3,127 19					*Not Calculated* **
Return of Principal				06/25/13	2,925 05					*Not Calculated*
Return of Principal				07/25/13	2,843 43					*Not Calculated*
Return of Principal				08/25/13	2,623 09					*Not Calculated* **
Return of Principal				09/25/13	2,066 12					*Not Calculated*
Return of Principal				10/25/13	967 39					*Not Calculated*
Return of Principal				11/25/13	1,023 76					*Not Calculated*
Return of Principal				12/25/13	1,259 82					*Not Calculated* **
Return of Principal				01/25/14	1,526 06					*Not Calculated* **
Sub Total					**18,361.91**					
Description (Box 8) FNMA PL AO0763 04 0000 DUE 04/01/42 FACTOR 0 772896700000						*CUSIP* 3138LQZ56				
Return of Principal				03/25/13	808 41					*Not Calculated*
Return of Principal				04/25/13	102 74					*Not Calculated*
Return of Principal				05/25/13	2,143 56					*Not Calculated* **
Return of Principal				06/25/13	743 85					*Not Calculated*
Return of Principal				07/25/13	1,060 77					*Not Calculated*
Return of Principal				08/25/13	93 27					*Not Calculated* **
Return of Principal				09/25/13	804 96					*Not Calculated*

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AO0763 04 0000 DUE 04/01/42 FACTOR 0 772896700000						*CUSIP* 3138LQZ56				
Return of Principal				10/25/13	1,402 26					*Not Calculated*
Return of Principal				11/25/13	1,439 55					*Not Calculated*
Return of Principal				12/25/13	90 80					*Not Calculated* **
Return of Principal				01/25/14	91 76					*Not Calculated* **
Sub Total					**8,781.93**					
Description (Box 8) FNMA PL AU1238 03 5000 DUE 07/01/43 FACTOR 0 966824990000						*CUSIP* 3138X0LU0				
Return of Principal				08/25/13	**131.24**					*Not Calculated* **
Description (Box 8) FNMA PL MA0907 04 0000 DUE 11/01/41 FACTOR 0 596386890000						*CUSIP* 31418AAH1				
Return of Principal				02/25/13	8,470 65					*Not Calculated*
Return of Principal				03/25/13	6,600 87					*Not Calculated*
Return of Principal				04/25/13	5,147 81					*Not Calculated*
Return of Principal				05/25/13	5,788 99					*Not Calculated* **
Return of Principal				06/25/13	4,843 47					*Not Calculated*
Return of Principal				07/25/13	4,412 38					*Not Calculated*
Return of Principal				08/25/13	6,246 04					*Not Calculated* **
Return of Principal				09/25/13	1,902 91					*Not Calculated*
Return of Principal				10/25/13	2,114 58					*Not Calculated*
Return of Principal				11/25/13	881 89					*Not Calculated*
Return of Principal				12/25/13	1,319 86					*Not Calculated* **
Return of Principal				01/25/14	1,325 27					*Not Calculated* **
Sub Total					**49,054.72**					
Description (Box 8) FNMA PL MA1028 04 0000 DUE 04/01/42 FACTOR 0 730776970000						*CUSIP* 31418AEA2				
Return of Principal				02/25/13	935 66					*Not Calculated*
Return of Principal				03/25/13	382 30					*Not Calculated*
Return of Principal				04/25/13	565 91					*Not Calculated*

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL MA1028 04 0000 DUE 04/01/42 FACTOR 0 730776970000					*CUSIP* 31418AEA2					
Return of Principal				05/25/13	458 02					*Not Calculated* **
Return of Principal				06/25/13	707 99					*Not Calculated*
Return of Principal				07/25/13	566 30					*Not Calculated*
Return of Principal				08/25/13	553 33					*Not Calculated* **
Return of Principal				09/25/13	357 91					*Not Calculated*
Return of Principal				10/25/13	250 94					*Not Calculated*
Return of Principal				11/25/13	120 10					*Not Calculated*
Return of Principal				12/25/13	161 88					*Not Calculated* **
Return of Principal				01/25/14	474 42					*Not Calculated* **
Sub Total					**5,534.76**					
Description (Box 8) FNMA PL 745275 B/E 5 000% 020136 DTD010106 FACTOR 0 124555590000					*CUSIP* 31403C6L0					
Return of Principal				02/25/13	5,059 91					*Not Calculated*
Return of Principal				03/25/13	4,191 89					*Not Calculated*
Return of Principal				04/25/13	4,482 78					*Not Calculated*
Return of Principal				05/25/13	4,311 50					*Not Calculated* **
Return of Principal				06/25/13	4,224 85					*Not Calculated*
Return of Principal				07/25/13	3,802 95					*Not Calculated*
Return of Principal				08/25/13	3,502 83					*Not Calculated* **
Return of Principal				09/25/13	3,146 74					*Not Calculated*
Return of Principal				10/25/13	2,316 25					*Not Calculated*
Return of Principal				11/25/13	1,904 14					*Not Calculated*
Return of Principal				12/25/13	1,567 34					*Not Calculated* **
Return of Principal				01/25/14	1,584 59					*Not Calculated* **
Sub Total					**40,095.77**					
Term Unknown total Box B or Box E					**$248,017.11**					
Total					**$2,305,804.83**					

**Indicates corrected item

UBS Financial Services Inc.
1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:
BILTMORE FINANCIAL GROUP
602-957-5100/800-247-1754

Payer:
CARIS FAMILY FOUNDATION
PO BOX 14315
SCOTTSDALE AZ 85267-4315

2013 Consolidated Form 1099

Copy B, For Recipient
Account Number: UX 13139 M6
Tax Identification Number: 86-0965394

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715)

Consistent with IRS guidance, transactions are grouped into section(s) based upon whether the security is covered or noncovered, and whether the term is short or long Transactions for which the term cannot be determined are grouped in a separate section As a result, the substitute Form 1099-B could have up to five separate sections, each with a heading identifying which securities are included and how to report the transactions on Form 8949 When available, basis information will be displayed in sections where basis is not required to be reported to the IRS A security is a "covered security" and subject to basis reporting requirements if it is acquired on or after its corresponding effective date For stock in a corporation, the effective date is January 1, 2011 For stock in a mutual fund the effective date is January 1, 2012 UBS is not required to report basis to the IRS for any securities acquired before 2011 IRS regulations now require that brokers report short sales for the year in which the short sale is closed The possible application of the "Constructive Sale" provisions (Sec 1259) for short-against-the box transactions is not required and thus not reflected here Clients may wish to discuss the potential application of this provision with their tax advisors

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order 2013 Gain/Loss for transactions with trade dates through 12/31/13 has been incorporated into this statement The net gain or loss for each transaction is calculated based on the sales amount less cost basis with any wash sale loss disallowed Although we apply wash sale rules to covered lots of identical securities, there are other circumstances to be considered that may result in or negate wash sales Gain or loss is not calculated on the sale or redemption of certain Structured Products and certain grantor trusts with collectible or foreign currency as it may be ordinary, and not capital, gain or loss These gains or losses will not be included on the gain or loss subtotal and total amounts Where applicable, symbol (2) will be printed to the right of the gain or loss subtotal and total amounts Net gain or loss is not reported to the IRS

In Box 2a gross proceeds are reported less commissions and option premiums Sale amounts with "±" symbol indicate where an option premium adjustment has been made If Box 2b is checked, a loss based on the amount reported in Box 2a is not allowed

Beginning in 2012, basis for both covered and noncovered securities have been adjusted for all capital changes Prior to 2012, basis may not have been adjusted for noncovered tax lots The Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium The OID amount reported on your Form 1099-OID is not adjusted for market discount, amortized acquisition premium, or bond premium Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amounts reported to the IRS because the reporting requirements are different

Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products

Type of Gain/Loss: Short Term (Box 1c)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FHLMC PL G08323 05 0000 DUE 02/01/39 FACTOR 0 158628300000					*CUSIP* 3128MJLD0					
Sell	**12,000.0000**		09/18/13	11/26/13	**2,276.61**	**2,279.25**				**(2.64)**
Description (Box 8) FHLMC PL Q16644 03 5000 DUE 03/01/43 FACTOR 0 957954400000					*CUSIP* 3132J7ZJ4					
Sell	**3,000.0000**		09/19/13	11/26/13	**2,920.60**	**2,874.60**				**46.00**
Description (Box 8) FHLMC PL Q17639 03 0000 DUE 04/01/43 FACTOR 0 951058800000					*CUSIP* 3132J84Z0					
Sell	**2,000.0000**		09/16/13	11/26/13	**1,864.73**	**1,832.23**				**32.50**
Description (Box 8) FHLMC PL Q17665 03 0000 DUE 04/01/43 FACTOR 0 954911600000					*CUSIP* 3132J86B1					
Sell	**1,000.0000**		07/11/13	11/26/13	**940.39**	**930.47**				**9.92**

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AB4297 03 5000 DUE 01/01/42 FACTOR 0 679420250000					*CUSIP* 31417AX38					
Sell	**100,000.0000**		01/10/12	01/09/13	**86,028 17**	**83,509.84**				**2,518.33**
Description (Box 8) FNMA PL AB5468 03 5000 DUE 06/01/42 FACTOR 0 722890780000					*CUSIP* 31417CCE3					
Sell	**101,000.0000**		06/07/12	01/09/13	**94,263.65**	**93,154.34**				**1,109.31**
Description (Box 8) FNMA PL AB6609 03 5000 DUE 10/01/42 FACTOR 0 875092030000					*CUSIP* 31417DKX0					
Sell	**1,000.0000**		01/18/13	11/26/13	**904.05**	**947.96**				**(43.91)**
Description (Box 8) FNMA PL AE0949 04 0000 DUE 02/01/41 FACTOR 0 523769200000					*CUSIP* 31419BBT1					
Sell	**9,000.0000**		02/13/13	11/26/13	**5,107.62**	**5,202.29**				**(94.67)**
Description (Box 8) FNMA PL AJ4050 04 0000 DUE 10/01/41 FACTOR 0 559799690000					*CUSIP* 3138AVQC2					
Sell	**11,000.0000**		04/18/13	11/26/13	**6,646.73**	**6,809.17**				**(162.44)**
Description (Box 8) FNMA PL AK9445 04 0000 DUE 03/01/42 FACTOR 0 640166710000					*CUSIP* 3138EEP78					
Sell	**3,000.0000**		03/13/13	11/26/13	**2,064.42**	**2,100.84**				**(36.42)**
Description (Box 8) FNMA PL AL0069 05 0000 DUE 11/01/40 FACTOR 0 275317740000					*CUSIP* 3138EGCF9					
Sell	**63,000.0000**		04/12/13	08/20/13	**22,148.02**	**22,403.04**				**(255.02)**
Description (Box 8) FNMA PL AL1700 04 0000 DUE 09/01/41 FACTOR 0 609177230000					*CUSIP* 3138EH3J9					
Sell	**8,000.0000**		04/26/13	11/26/13	**5,293.79**	**5,421.59**				**(127.80)**
Description (Box 8) FNMA PL AL2629 05 0000 DUE 06/01/39 FACTOR 0 502600720000					*CUSIP* 3138EJ4P0					
Sell	25,000 0000		03/18/13	08/23/13	16,634 47	16,805 32				(170 85)
Sell	17,000 0000		03/18/13	11/26/13	10,287 60	10,249 91				37 69
Sub Total	**42,000.0000**				**26,922.07**	**27,055.23**				**(133.16)**

continued next page

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked (continued)

In this sub-section Date acquired Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AL3006 05 0000 DUE 07/01/37 FACTOR 0 555334640000					CUSIP 3138EKKU8					
Sell	13,000 0000		03/26/13	08/20/13	9,415 09	9,527 62				(112 53)
Sell	22,000 0000		03/26/13	08/23/13	15,940 20	16,123 66				(183 46)
Sub Total	**35,000.0000**				**25,355.29**	**25,651.28**				**(295.99)**
Description (Box 8) FNMA PL AL3423 05 0000 DUE 05/01/40 FACTOR 0 683850740000					CUSIP 3138EKYV1					
Sell	**8,000.0000**		06/14/13	08/20/13	**6,771.50**	**6,824.80**				**(53.30)**
Description (Box 8) FNMA PL AL3424 04 0000 DUE 01/01/43 FACTOR 0 865957140000					CUSIP 3138EKYW9					
Sell	**7,000.0000**		07/10/13	11/26/13	**6,522 82**	**6,448.72**				**74.10**
Description (Box 8) FNMA PL AL3519 04 5000 DUE 11/01/41 FACTOR 0 803340290000					CUSIP 3138EK4D4					
Sell	**6,000.0000**		07/22/13	11/26/13	**5,434.49**	**5,421.17**				**13.32**
Description (Box 8) FNMA PL AP7488 03 5000 DUE 09/01/42 FACTOR 0 852169580000					CUSIP 3138MBKA3					
Sell	**2,000.0000**		10/05/12	01/09/13	**2,056.18**	**2,073.10**				**(16.92)**
Description (Box 8) FNMA PL AQ7081 03 5000 DUE 12/01/42 FACTOR 0 901286730000					CUSIP 3138MN2P4					
Sell	**4,000.0000**		07/10/13	11/26/13	**3,818.33**	**3,771.78**				**46.55**
Description (Box 8) FNMA PL AR2583 03 5000 DUE 02/01/43 FACTOR 0 924302530000					CUSIP 3138NY2R5					
Sell	**3,000.0000**		02/13/13	11/26/13	**2,874.13**	**2,992.56**				**(118.43)**
Description (Box 8) FNMA PL AR3315 03 5000 DUE 02/01/43 FACTOR 0 943920730000					CUSIP 3138W0VH9					
Sell	**8,000.0000**		11/08/13	11/26/13	**7,745.15**	**7,739.18**				**5.97**
Description (Box 8) FNMA PL AR5265 03 0000 DUE 02/01/43 FACTOR 0 958224930000					CUSIP 3138W2Z73					
Sell	**1,000.0000**		02/15/13	11/26/13	**941.41**	**1,001.80**				**(60.39)**

continued next page

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AR5858 03 0000 DUE 02/01/43 FACTOR 0 943887790000					*CUSIP* 3138W3QL0					
Sell	**2,000.0000**		09/23/13	11/26/13	**1,851.92**	**1,856.11**				**(4.19)**
Description (Box 8) FNMA PL AR9902 03 5000 DUE 04/01/43 FACTOR 0 945753120000					*CUSIP* 3138W8AC6					
Sell	**6,000.0000**		08/12/13	11/26/13	**5,994.81**	**5,993.89**				**0.92**
Description (Box 8) FNMA PL AS0203 03 0000 DUE 08/01/43 FACTOR 0 973862000000					*CUSIP* 3138W9GM6					
Sell	**4,000.0000**		08/12/13	11/26/13	**3,816.96**	**3,833.60**				**(16.64)**
Description (Box 8) FNMA PL AS0415 04 0000 DUE 09/01/43 FACTOR 0 968964840000					*CUSIP* 3138W9N97					
Sell	**19,000.0000**		09/18/13	11/26/13	**19,482.29**	**19,370.17**				**112.12**
Description (Box 8) FNMA PL AU2933 03 5000 DUE 09/01/43 FACTOR 0 978645100000					*CUSIP* 3138X2HK3					
Sell	**3,000.0000**		09/16/13	11/26/13	**3,014.86**	**2,962.63**				**52.23**
Description (Box 8) FNMA PL AU3751 04 0000 DUE 08/01/43 FACTOR 0 966363500000					*CUSIP* 3138X3EZ1					
Sell	**9,000.0000**		10/11/13	11/26/13	**9,228.81**	**9,258.47**				**(29.66)**
Description (Box 8) FNMA PL AU6902 04 5000 DUE 09/01/43 FACTOR 0 864578990000					*CUSIP* 3138X6U45					
Sell	**4,000.0000**		09/18/13	11/26/13	**4,259.35**	**4,254.99**				**4.36**
Description (Box 8) FNMA PL 190404 04 5000 DUE 05/01/40 FACTOR 0 345256100000					*CUSIP* 31368HNV1					
Sell	**14,000.0000**		06/19/13	11/26/13	**5,422.00**	**5,417.23**				**4.77**
Description (Box 8) FNMA PL 735402 05 0000 DUE 04/01/35 FACTOR 0 125043740000					*CUSIP* 31402RAB5					
Sell	**68,000.0000**		07/17/13	08/20/13	**10,966.18**	**11,021.32**				**(55.14)**

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL 745275 B/E 5 000% 020136 DTD010106 FACTOR 0 124555590000					*CUSIP* 31403C6L0					
Sell	**25,000 0000**		02/20/13	08/20/13	**4,089.87**	**4,123.85**				**(33.98)**
Description (Box 8) FNMA PL 745580 05 0000 DUE 06/01/36 FACTOR 0 120348510000					*CUSIP* 31403DJZ3					
Sell	**23,000.0000**		09/27/13	11/26/13	**3,277.36**	**3,263.23**				**14.13**
Description (Box 8) FNMA PL 835158 05 0000 DUE 08/01/35 FACTOR 0 143838960000					*CUSIP* 31407MZX6					
Sell	**2,000.0000**		01/09/13	08/20/13	**375.18**	**379.01**				**(3.83)**
Description (Box 8) US TSY INFL PROT BOND 02 375 % DUE 01/15/25 FACTOR 1 237690000000					*CUSIP* 912810FR4					
Sell	16,000 0000		10/23/13	11/26/13	23,453 62	23,969 64				(516 02)
Sell	11,000 0000		10/23/13	11/26/13	16,124 36	16,487 66				(363 30)
Sell	9,000 0000		11/12/13	11/26/13	13,192 66	13,131 89				60 77
Sub Total	**36,000.0000**				**52,770.64**	**53,589.19**				**(818.55)**
Description (Box 8) US TSY NOTE 00 750 % DUE 10/31/17 DTD 10/31/12 FC 04/30/13					*CUSIP* 912828TW0					
Sell	99,000 0000		11/21/12	03/01/13	99,309 38	99,328 71				(19 33)
Sell	103,000 0000		11/21/12	03/05/13	103,193 13	103,341 99				(148 86)
Sell	128,000 0000		12/13/12	11/26/13	127,085 00	128,431 43				(1,346 43)
Sub Total	**330,000 0000**				**329,587.51**	**331,102.13**				**(1,514.62)**
Description (Box 8) US TSY NOTE 01 125 % DUE 12/31/19 DTD 12/31/12 FC 06/30/13					*CUSIP* 912828UF5					
Sell	**94,000.0000**		01/09/13	11/26/13	**90,585.16**	**93,155.47**				**(2,570.31)**
Description (Box 8) US TSY NOTE 02 000 % DUE 02/15/23 DTD 02/15/13 FC 08/15/13					*CUSIP* 912828UN8					
Sell	54,000 0000		03/01/13	08/27/13	50,842 27	54,700 31				(3,858 04)
Sell	30,000 0000		03/05/13	08/27/13	28,245 70	30,283 59				(2,037 89)
Sell	24,000 0000		03/05/13	11/26/13	22,829 06	24,215 63				(1,386 57)
Sell	41,000 0000		04/02/13	11/26/13	38,999 65	41,475 78				(2,476 13)
Sub Total	**149,000 0000**				**140,916.68**	**150,675.31**				**(9,758.63)**

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Short-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part I, with **Box B** checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) US TSY NOTE 02 000 % DUE 11/15/21 DTD 11/15/11 FC 05/15/12					*CUSIP* 912828RR3					
Sell	**72,000.0000**		05/07/13	11/26/13	**70,436.25**	**74,500.95**				**(4,064.70)**
Description (Box 8) US TSY NOTE 02 500 % DUE 01/15/29 FACTOR 1 086640000000					*CUSIP* 912810PZ5					
Sell	**46,000.0000**		12/27/12	11/26/13	**60,504.68**	**72,326.07**				**(11,821.39)**
Short-term total Box B, Part I	**1,336,000.0000**				**$1,135,480.66**	**$1,163,528.86**				**$(28,048.20)**

Type of Gain/Loss: Long Term (Box 1c)

Long-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part II, with **Box E** checked

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) ALLIANZ FIXED INCOME SHARES SERIES C					*CUSIP* 01882B205		*Symbol (Box 1d)* FXICX			
Sell	2,695 0000		02/17/10	08/02/13	35,088 90	33,741 40				1,347 50
Sell	4,575 0000		02/17/10	11/22/13	60,024 00	57,279 00				2,745 00
Sell	29,500 0000		02/17/10	11/26/13	386,745 00	369,340 00				17,405 00
Sub Total	**36,770.0000**				**481,857.90**	**460,360.40**				**21,497.50**
Description (Box 8) ALLIANZ FIXED INCOME SHARES SERIES M					*CUSIP* 01882B304		*Symbol (Box 1d)* FXIMX			
Sell	8,920 0000		02/17/10	06/13/13	97,941 60	87,326 80				10,614 80
Sell	5,110 0000		02/17/10	11/22/13	55,596 80	50,026 90				5,569 90
Sell	32,690 0000		02/17/10	11/26/13	355,340 30	320,035 10				35,305 20
Sub Total	**46,720.0000**				**508,878.70**	**457,388.80**				**51,489.90**

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Long-term transactions reported on Form 1099-B - basis **Not** reported to the IRS, Report on Form 8949, Part II, with **Box E** checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FHLMC PL A97046 04 5000 DUE 02/01/41 FACTOR 0 412297400000					*CUSIP* 312945ZK7					
Sell	1,000 0000		02/09/11	06/12/13	513 81	489 80				24 01
Sell	7,000 0000		02/09/11	11/26/13	3,200 94	3,023 14				177 80
Sub Total	**8,000.0000**				**3,714.75**	**3,512.94**				**201.81**
Description (Box 8) FHLMC PL A97047 04 5000 DUE 02/01/41 FACTOR 0 441589800000					*CUSIP* 312945ZL5					
Sell	28,000 0000		02/11/11	06/12/13	15,402 21	14,697 81				704 40
Sell	73,000 0000		02/11/11	11/26/13	36,015 48	34,050 59				1,964 89
Sub Total	**101,000.0000**				**51,417.69**	**48,748.40**				**2,669.29**
Description (Box 8) FNMA PL AB1389 04 5000 DUE 08/01/40 FACTOR 0 293147250000					*CUSIP* 31416WRK0					
Sell	**55,000.0000**		02/02/11	06/12/13	**19,890.57**	**19,378.34**				**512.23**
Description (Box 8) FNMA PL AB7079 03 0000 DUE 11/01/42 FACTOR 0 937993340000					*CUSIP* 31417D2M4					
Sell	**48,000.0000**		11/07/12	11/26/13	**44,294.19**	**48,253.63**				**(3,959.44)**
Description (Box 8) FNMA PL AD8033 04 0000 DUE 08/01/40 FACTOR 0 390456700000					*CUSIP* 31418V4T6					
Sell	**138,000.0000**		08/07/12	11/26/13	**59,486.07**	**60,917.65**				**(1,431.58)**
Description (Box 8) FNMA PL AL0789 04 0000 DUE 09/01/41 FACTOR 0 679382870000					*CUSIP* 3138EG2X1					
Sell	**4,000.0000**		10/12/12	11/26/13	**2,917.29**	**3,032.85**				**(115.56)**
Description (Box 8) FNMA PL AP7488 03 5000 DUE 09/01/42 FACTOR 0 852169580000					*CUSIP* 3138MBKA3					
Sell	**70,000.0000**		10/05/12	11/26/13	**61,453.85**	**65,076.59**				**(3,622.74)**
Description (Box 8) FNMA PL 735676 05 0000 DUE 07/01/35 FACTOR 0 121330650000					*CUSIP* 31402RJV2					
Sell	**175,000.0000**		07/10/12	08/23/13	**27,648.17**	**28,179.87**				**(531.70)**

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Long-term transactions reported on Form 1099-B - basis **Not** reported to the IRS; Report on Form 8949, Part II, with **Box E** checked (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) US TSY INFL PROT NOTE 00 125 % DUE 07/15/22 FACTOR 1 014510000000					*CUSIP* 912828TE0					
Sell	40,000 0000		07/24/12	11/26/13	39,888 08	44,168 91				(4,280 83)
Sell	49,000 0000		07/24/12	11/26/13	48,862 90	54,114 71				(5,251 81)
Sub Total	**89,000.0000**				**88,750.98**	**98,283.62**				**(9,532.64)**
Description (Box 8) US TSY NOTE 00 750 % DUE 10/31/17 DTD 10/31/12 FC 04/30/13					*CUSIP* 912828TW0					
Sell	**14,000.0000**		11/21/12	11/26/13	**13,899.92**	**14,038.41**				**(138.49)**
Description (Box 8) US TSY NOTE 01 375 % DUE 02/28/19 DTD 02/29/12 FC 08/31/12					*CUSIP* 912828SH4					
Sell	**105,000.0000**		03/01/12	08/09/13	**103,974.61**	**104,507.81**				**(533.20)**
Description (Box 8) US TSY NOTE 02 500 % DUE 01/15/29 FACTOR 1 086640000000					*CUSIP* 912810PZ5					
Sell	**21,000.0000**		07/13/12	11/26/13	**27,621.70**	**32,733.38**				**(5,111.68)**
Long-term total Box E, Part II	**911,490 0000**				**$1,495,806.39**	**$1,444,412.69**				**$51,393.70**

Type of Gain/Loss: Undetermined.

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FHLMC PL A97046 04 5000 DUE 02/01/41 FACTOR 0 412297400000					*CUSIP* 312945ZK7					
Return of Principal				02/15/13	2,778 87					*Not Calculated*
Return of Principal				03/15/13	1,500 55					*Not Calculated*

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FHLMC PL A97046 04 5000 DUE 02/01/41 FACTOR 0 412297400000					*CUSIP* 312945ZK7					
Return of Principal				04/15/13	2,648 98					*Not Calculated*
Return of Principal				05/15/13	3,438 98					*Not Calculated*
Return of Principal				06/15/13	2,677 96					*Not Calculated* **
Return of Principal				07/15/13	2,289 28					*Not Calculated*
Return of Principal				08/15/13	2,843 00					*Not Calculated*
Return of Principal				09/15/13	583 29					*Not Calculated* **
Return of Principal				10/15/13	395 12					*Not Calculated*
Return of Principal				11/15/13	628 78					*Not Calculated*
Return of Principal				12/15/13	370 03					*Not Calculated* **
Return of Principal				01/15/14	476 58					*Not Calculated* **
Sub Total					**20,631.42**					
Description (Box 8) FHLMC PL A97047 04 5000 DUE 02/01/41 FACTOR 0 441589800000					*CUSIP* 312945ZL5					
Return of Principal				02/15/13	1,782 07					*Not Calculated*
Return of Principal				03/15/13	2,145 28					*Not Calculated*
Return of Principal				04/15/13	2,208 02					*Not Calculated*
Return of Principal				05/15/13	1,876 22					*Not Calculated*
Return of Principal				06/15/13	2,064 38					*Not Calculated* **
Return of Principal				07/15/13	1,360 41					*Not Calculated*
Return of Principal				08/15/13	1,270 16					*Not Calculated*
Return of Principal				09/15/13	701 18					*Not Calculated* **
Return of Principal				10/15/13	552 06					*Not Calculated*
Return of Principal				11/15/13	356 90					*Not Calculated*
Sub Total					**14,316.68**					

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate. (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	*Quantity / face value (Box 1e)*	*Original cost basis ($)*	*Date acquired (Box 1b)*	*Date of sale / exchange (Box 1a)*	*Sale amount (Box 2a) ($)*	*Cost or other basis (Box 3) ($)*	*Wash sale loss disallowed (Box 5) ($)*	*Federal income tax withheld (Box 4) ($)*	*Loss not allowed (Box 2b)*	*Gain/Loss ($)*
Description (Box 8) FHLMC PL G08323 05 0000 DUE 02/01/39 FACTOR 0 158628300000						*CUSIP* 3128MJLD0				
Return of Principal				10/15/13	41.15					*Not Calculated*
Return of Principal				11/15/13	49.67					*Not Calculated*
Sub Total					**90.82**					
Description (Box 8) FHLMC PL Q16644 03 5000 DUE 03/01/43 FACTOR 0 957954400000						*CUSIP* 3132J7ZJ4				
Return of Principal				10/15/13	41.28					*Not Calculated*
Return of Principal				11/15/13	35.49					*Not Calculated*
Sub Total					**76.77**					
Description (Box 8) FHLMC PL Q17639 03 0000 DUE 04/01/43 FACTOR 0 951058800000						*CUSIP* 3132J84Z0				
Return of Principal				10/15/13	8.31					*Not Calculated*
Return of Principal				11/15/13	10.35					*Not Calculated*
Sub Total					**18.66**					
Description (Box 8) FHLMC PL Q17665 03 0000 DUE 04/01/43 FACTOR 0 954911600000						*CUSIP* 3132J86B1				
Return of Principal				08/15/13	1.87					*Not Calculated*
Return of Principal				09/15/13	7.61					*Not Calculated* **
Return of Principal				10/15/13	3.76					*Not Calculated*
Return of Principal				11/15/13	3.13					*Not Calculated*
Sub Total					**16.37**					
Description (Box 8) FNMA PL AB1389 04 5000 DUE 08/01/40 FACTOR 0 293147250000						*CUSIP* 31416WRK0				
Return of Principal				02/25/13	1,158.68					*Not Calculated*
Return of Principal				03/25/13	1,030.93					*Not Calculated*
Return of Principal				04/25/13	1,015.26					*Not Calculated*
Return of Principal				05/25/13	725.28					*Not Calculated* **
Return of Principal				06/25/13	790.04					*Not Calculated*
Sub Total					**4,720.19**					

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**Indicates corrected item

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AB6609 03 5000 DUE 10/01/42 FACTOR 0 875092030000					*CUSIP* 31417DKX0					
Return of Principal				02/25/13	10 73					*Not Calculated*
Return of Principal				03/25/13	11 11					*Not Calculated*
Return of Principal				04/25/13	10 37					*Not Calculated*
Return of Principal				05/25/13	9 36					*Not Calculated* **
Return of Principal				06/25/13	13 76					*Not Calculated*
Return of Principal				07/25/13	7 64					*Not Calculated*
Return of Principal				08/25/13	10 09					*Not Calculated* **
Return of Principal				09/25/13	4 42					*Not Calculated*
Return of Principal				10/25/13	4 79					*Not Calculated*
Return of Principal				11/25/13	6 40					*Not Calculated*
Sub Total					**88.67**					
Description (Box 8) FNMA PL AB7079 03 0000 DUE 11/01/42 FACTOR 0 937993340000					*CUSIP* 31417D2M4					
Return of Principal				02/25/13	186 01					*Not Calculated*
Return of Principal				03/25/13	278 24					*Not Calculated*
Return of Principal				04/25/13	243 13					*Not Calculated*
Return of Principal				05/25/13	180 69					*Not Calculated* **
Return of Principal				06/25/13	693 01					*Not Calculated*
Return of Principal				07/25/13	600 24					*Not Calculated*
Return of Principal				08/25/13	834 54					*Not Calculated* **
Return of Principal				09/25/13	493 71					*Not Calculated*
Return of Principal				10/25/13	261 29					*Not Calculated*
Return of Principal				11/25/13	655 24					*Not Calculated*
Return of Principal				12/25/13	275 39					*Not Calculated* **
Return of Principal				01/25/14	131 23					*Not Calculated* **
Sub Total					**4,832.72**					

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	*Quantity / face value (Box 1e)*	*Original cost basis ($)*	*Date acquired (Box 1b)*	*Date of sale / exchange (Box 1a)*	*Sale amount (Box 2a) ($)*	*Cost or other basis (Box 3) ($)*	*Wash sale loss disallowed (Box 5) ($)*	*Federal income tax withheld (Box 4) ($)*	*Loss not allowed (Box 2b)*	*Gain/Loss ($)*
Description (Box 8) FNMA PL AD8033 04 0000 DUE 08/01/40 FACTOR 0 390456700000					*CUSIP* 31418V4T6					
Return of Principal				02/25/13	2,942 85					*Not Calculated*
Return of Principal				03/25/13	4,668 10					*Not Calculated*
Return of Principal				04/25/13	3,662 37					*Not Calculated*
Return of Principal				05/25/13	3,101 03					*Not Calculated* **
Return of Principal				06/25/13	4,007 77					*Not Calculated*
Return of Principal				07/25/13	3,159 16					*Not Calculated*
Return of Principal				08/25/13	2,118 80					*Not Calculated* **
Return of Principal				09/25/13	1,761 77					*Not Calculated*
Return of Principal				10/25/13	1,117 48					*Not Calculated*
Return of Principal				11/25/13	1,474 58					*Not Calculated*
Return of Principal				12/25/13	243 75					*Not Calculated* **
Return of Principal				01/25/14	286 48					*Not Calculated* **
Sub Total					**28,544.14**					
Description (Box 8) FNMA PL AE0949 04 0000 DUE 02/01/41 FACTOR 0 523769200000					*CUSIP* 31419BBT1					
Return of Principal				03/25/13	188 75					*Not Calculated*
Return of Principal				04/25/13	179 05					*Not Calculated*
Return of Principal				05/25/13	145 81					*Not Calculated* **
Return of Principal				06/25/13	156 35					*Not Calculated*
Return of Principal				07/25/13	150 42					*Not Calculated*
Return of Principal				08/25/13	116 85					*Not Calculated* **
Return of Principal				09/25/13	88 93					*Not Calculated*
Return of Principal				10/25/13	55 49					*Not Calculated*
Return of Principal				11/25/13	50 43					*Not Calculated*
Sub Total					**1,132.08**					

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AH3645 04 0000 DUE 02/01/41 FACTOR 0 474762730000					*CUSIP* 3138A5BP6					
Return of Principal				02/25/13	7,104 48					*Not Calculated*
Return of Principal				03/25/13	3,378 55					*Not Calculated*
Return of Principal				04/25/13	2,714 66					*Not Calculated*
Return of Principal				05/25/13	2,646 27					*Not Calculated* **
Return of Principal				06/25/13	3,294 74					*Not Calculated*
Return of Principal				07/25/13	3,562 22					*Not Calculated*
Return of Principal				08/25/13	1,420 01					*Not Calculated* **
Return of Principal				09/25/13	1,169 38					*Not Calculated*
Return of Principal				10/25/13	354 70					*Not Calculated*
Return of Principal				11/25/13	772 84					*Not Calculated*
Return of Principal				12/25/13	767 89					*Not Calculated* **
Return of Principal				01/25/14	652 40					*Not Calculated* **
Sub Total					**27,838.14**					
Description (Box 8) FNMA PL AJ4050 04 0000 DUE 10/01/41 FACTOR 0 559799690000					*CUSIP* 3138AVQC2					
Return of Principal				05/25/13	293 59					*Not Calculated* **
Return of Principal				06/25/13	223 77					*Not Calculated*
Return of Principal				07/25/13	183 57					*Not Calculated*
Return of Principal				08/25/13	154 02					*Not Calculated* **
Return of Principal				09/25/13	73 29					*Not Calculated*
Return of Principal				10/25/13	50 89					*Not Calculated*
Return of Principal				11/25/13	31 81					*Not Calculated*
Sub Total					**1,010.94**					
Description (Box 8) FNMA PL AK9445 04 0000 DUE 03/01/42 FACTOR 0 640166710000					*CUSIP* 3138EEP78					
Return of Principal				04/25/13	67 75					*Not Calculated*
Return of Principal				05/25/13	70 89					*Not Calculated* **
Return of Principal				06/25/13	65 44					*Not Calculated*

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AK9445 04 0000 DUE 03/01/42 FACTOR 0 640166710000					*CUSIP* 3138EEP78					
Return of Principal				07/25/13	58 97					*Not Calculated*
Return of Principal				08/25/13	28 75					*Not Calculated* **
Return of Principal				09/25/13	21 02					*Not Calculated*
Return of Principal				10/25/13	19 64					*Not Calculated*
Return of Principal				11/25/13	24 63					*Not Calculated*
Sub Total					**357.09**					
Description (Box 8) FNMA PL AL0069 05 0000 DUE 11/01/40 FACTOR 0 275317740000					*CUSIP* 3138EGCF9					
Return of Principal				05/25/13	1,440 33					*Not Calculated* **
Return of Principal				06/25/13	1,057 64					*Not Calculated*
Return of Principal				07/25/13	942 45					*Not Calculated*
Return of Principal				08/25/13	1,201 34					*Not Calculated* **
Sub Total					**4,641.76**					
Description (Box 8) FNMA PL AL0789 04 0000 DUE 09/01/41 FACTOR 0 679382870000					*CUSIP* 3138EG2X1					
Return of Principal				02/25/13	77 73					*Not Calculated*
Return of Principal				03/25/13	71 34					*Not Calculated*
Return of Principal				04/25/13	60 60					*Not Calculated*
Return of Principal				05/25/13	48 90					*Not Calculated* **
Return of Principal				06/25/13	56 53					*Not Calculated*
Return of Principal				07/25/13	49 50					*Not Calculated*
Return of Principal				08/25/13	57 49					*Not Calculated* **
Return of Principal				09/25/13	42 49					*Not Calculated*
Return of Principal				10/25/13	28 04					*Not Calculated*
Return of Principal				11/25/13	31 22					*Not Calculated*
Sub Total					**523 84**					

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AL1700 04 0000 DUE 09/01/41 FACTOR 0 609177230000					*CUSIP* 3138EH3J9					
Return of Principal				05/25/13	150 47					*Not Calculated* **
Return of Principal				06/25/13	182 55					*Not Calculated*
Return of Principal				07/25/13	224 70					*Not Calculated*
Return of Principal				08/25/13	111 13					*Not Calculated* **
Return of Principal				09/25/13	112 59					*Not Calculated*
Return of Principal				10/25/13	61 48					*Not Calculated*
Return of Principal				11/25/13	53 84					*Not Calculated*
Sub Total					**896.76**					
Description (Box 8) FNMA PL AL2629 05 0000 DUE 06/01/39 FACTOR 0 502600720000					*CUSIP* 3138EJ4P0					
Return of Principal				04/25/13	3,291 79					*Not Calculated*
Return of Principal				05/25/13	2,853 70					*Not Calculated* **
Return of Principal				06/25/13	3,065 72					*Not Calculated*
Return of Principal				07/25/13	2,548 98					*Not Calculated*
Return of Principal				08/25/13	2,385 18					*Not Calculated* **
Return of Principal				09/25/13	1,380 48					*Not Calculated*
Return of Principal				10/25/13	833 91					*Not Calculated*
Return of Principal				11/25/13	726 72					*Not Calculated*
Return of Principal				12/25/13	537 95					*Not Calculated* **
Return of Principal				01/25/14	408 27					*Not Calculated* **
Sub Total					**18,032.70**					
Description (Box 8) FNMA PL AL3006 05 0000 DUE 07/01/37 FACTOR 0 555334640000					*CUSIP* 3138EKKU8					
Return of Principal				05/25/13	1,378 95					*Not Calculated* **
Return of Principal				06/25/13	1,350 06					*Not Calculated*
Return of Principal				07/25/13	1,284 38					*Not Calculated*
Return of Principal				08/25/13	1,099 45					*Not Calculated* **
Sub Total					**5,112.84**					

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AL3423 05 0000 DUE 05/01/40 FACTOR 0 683850740000					*CUSIP* 3138EKYV1					
Return of Principal				07/25/13	227 36					*Not Calculated*
Return of Principal				08/25/13	277 94					*Not Calculated* **
Sub Total					**505.30**					
Description (Box 8) FNMA PL AL3424 04 0000 DUE 01/01/43 FACTOR 0 865957140000					*CUSIP* 3138EKYW9					
Return of Principal				08/25/13	81 14					*Not Calculated* **
Return of Principal				09/25/13	71 95					*Not Calculated*
Return of Principal				10/25/13	53 60					*Not Calculated*
Return of Principal				11/25/13	49 95					*Not Calculated*
Sub Total					**256.64**					
Description (Box 8) FNMA PL AL3519 04 5000 DUE 11/01/41 FACTOR 0 803340290000					*CUSIP* 3138EK4D4					
Return of Principal				08/25/13	152 67					*Not Calculated* **
Return of Principal				09/25/13	103 19					*Not Calculated*
Return of Principal				10/25/13	51 44					*Not Calculated*
Return of Principal				11/25/13	79 30					*Not Calculated*
Sub Total					**386.60**					
Description (Box 8) FNMA PL AP7488 03 5000 DUE 09/01/42 FACTOR 0 852169580000					*CUSIP* 3138MBKA3					
Return of Principal				02/25/13	827 18					*Not Calculated*
Return of Principal				03/25/13	1,779 18					*Not Calculated*
Return of Principal				04/25/13	1,794 31					*Not Calculated*
Return of Principal				05/25/13	2,632 61					*Not Calculated* **
Return of Principal				06/25/13	3,194 48					*Not Calculated*
Return of Principal				07/25/13	1,577 39					*Not Calculated*
Return of Principal				08/25/13	1,675 21					*Not Calculated* **
Return of Principal				09/25/13	426 84					*Not Calculated*
Return of Principal				10/25/13	1,233 76					*Not Calculated*

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UBS Financial Services Inc.
1000 Harbor Boulevard
Weehawken, NJ 07086-6790
Federal ID 13-2638166

Your Financial Advisor:
BILTMORE FINANCIAL GROUP
602-957-5100/800-247-1754

Payer:
CARIS FAMILY FOUNDATION
PO BOX 14315
SCOTTSDALE AZ 85267-4315

2013 Consolidated Form 1099

Copy B, For Recipient
Account Number: UX 13139 M6
Tax Identification Number: 86-0965394

Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AP7488 03 5000 DUE 09/01/42 FACTOR 0 852169580000					*CUSIP* 3138MBKA3					
Return of Principal				11/25/13	908 55					*Not Calculated*
Return of Principal				12/25/13	147 69					*Not Calculated* **
Return of Principal				01/25/14	150 46					*Not Calculated* **
Sub Total					**16,347.66**					
Description (Box 8) FNMA PL AQ7081 03 5000 DUE 12/01/42 FACTOR 0 901286730000					*CUSIP* 3138MN2P4					
Return of Principal				08/25/13	7 29					*Not Calculated* **
Return of Principal				09/25/13	102 59					*Not Calculated*
Return of Principal				10/25/13	7 13					*Not Calculated*
Return of Principal				11/25/13	7 16					*Not Calculated*
Sub Total					**124.17**					
Description (Box 8) FNMA PL AR2583 03 5000 DUE 02/01/43 FACTOR 0 924302530000					*CUSIP* 3138NY2R5					
Return of Principal				03/25/13	5 09					*Not Calculated*
Return of Principal				04/25/13	15 10					*Not Calculated*
Return of Principal				05/25/13	10 99					*Not Calculated* **
Return of Principal				06/25/13	8 51					*Not Calculated*
Return of Principal				07/25/13	31 89					*Not Calculated*
Return of Principal				08/25/13	30 34					*Not Calculated* **
Return of Principal				09/25/13	20 22					*Not Calculated*
Return of Principal				10/25/13	20 33					*Not Calculated*
Return of Principal				11/25/13	18 89					*Not Calculated*
Sub Total					**161.36**					
Description (Box 8) FNMA PL AR5265 03 0000 DUE 02/01/43 FACTOR 0 958224930000					*CUSIP* 3138W2Z73					
Return of Principal				03/25/13	1 77					*Not Calculated*
Return of Principal				04/25/13	1 66					*Not Calculated*
Return of Principal				05/25/13	1 87					*Not Calculated* **

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AR5265 03 0000 DUE 02/01/43 FACTOR 0 958224930000					*CUSIP* 3138W2Z73					
Return of Principal				06/25/13	1 77					*Not Calculated*
Return of Principal				07/25/13	1 69					*Not Calculated*
Return of Principal				08/25/13	9 27					*Not Calculated* **
Return of Principal				09/25/13	1 71					*Not Calculated*
Return of Principal				10/25/13	1 69					*Not Calculated*
Return of Principal				11/25/13	5 55					*Not Calculated*
Sub Total					**26.98**					
Description (Box 8) FNMA PL AR5858 03 0000 DUE 02/01/43 FACTOR 0 943887790000					*CUSIP* 3138W3QL0					
Return of Principal				10/25/13	16 23					*Not Calculated*
Return of Principal				11/25/13	3 41					*Not Calculated*
Sub Total					**19.64**					
Description (Box 8) FNMA PL AR9902 03 5000 DUE 04/01/43 FACTOR 0 945753120000					*CUSIP* 3138W8AC6					
Return of Principal				09/25/13	9 93					*Not Calculated*
Return of Principal				10/25/13	11 06					*Not Calculated*
Return of Principal				11/25/13	10 54					*Not Calculated*
Sub Total					**31.53**					
Description (Box 8) FNMA PL AS0203 03 0000 DUE 08/01/43 FACTOR 0 973862000000					*CUSIP* 3138W9GM6					
Return of Principal				09/25/13	15 61					*Not Calculated*
Return of Principal				10/25/13	14 53					*Not Calculated*
Return of Principal				11/25/13	18 08					*Not Calculated*
Sub Total					**48.22**					

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL AS0415 04 0000 DUE 09/01/43 FACTOR 0 968964840000					*CUSIP* 3138W9N97					
Return of Principal				10/25/13	197 19					Not Calculated
Return of Principal				11/25/13	140 65					Not Calculated
Sub Total					**337.84**					
Description (Box 8) FNMA PL AU2933 03 5000 DUE 09/01/43 FACTOR 0 978645100000					*CUSIP* 3138X2HK3					
Return of Principal				10/25/13	6 83					Not Calculated
Return of Principal				11/25/13	5 40					Not Calculated
Sub Total					**12.23**					
Description (Box 8) FNMA PL AU3751 04 0000 DUE 08/01/43 FACTOR 0 966363500000					*CUSIP* 3138X3EZ1					
Return of Principal				11/25/13	**56.42**					Not Calculated
Description (Box 8) FNMA PL AU6902 04 5000 DUE 09/01/43 FACTOR 0 864578990000					*CUSIP* 3138X6U45					
Return of Principal				10/25/13	5 04					Not Calculated
Return of Principal				11/25/13	4 93					Not Calculated
Sub Total					**9.97**					
Description (Box 8) FNMA PL 190404 04 5000 DUE 05/01/40 FACTOR 0 345256100000					*CUSIP* 31368HNV1					
Return of Principal				07/25/13	202 01					Not Calculated
Return of Principal				08/25/13	197 68					Not Calculated **
Return of Principal				09/25/13	132 43					Not Calculated
Return of Principal				10/25/13	80 48					Not Calculated
Return of Principal				11/25/13	73 49					Not Calculated
Sub Total					**686.09**					
Description (Box 8) FNMA PL 735402 05 0000 DUE 04/01/35 FACTOR 0 125043740000					*CUSIP* 31402RAB5					
Return of Principal				08/25/13	**475.91**					Not Calculated **

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL 735676 05 0000 DUE 07/01/35 FACTOR 0 121330650000						*CUSIP* 31402RJV2				
Return of Principal				02/25/13	1,516 87					*Not Calculated*
Return of Principal				03/25/13	1,378 89					*Not Calculated*
Return of Principal				04/25/13	1,443 21					*Not Calculated*
Return of Principal				05/25/13	1,449 55					*Not Calculated* **
Return of Principal				06/25/13	1,407 26					*Not Calculated*
Return of Principal				07/25/13	1,331 71					*Not Calculated*
Return of Principal				08/25/13	1,186 17					*Not Calculated* **
Sub Total					**9,713.66**					
Description (Box 8) FNMA PL 745275 B/E 5 000% 020136 DTD010106 FACTOR 0 124555590000						*CUSIP* 31403C6L0				
Return of Principal				03/25/13	228 32					*Not Calculated*
Return of Principal				04/25/13	244 16					*Not Calculated*
Return of Principal				05/25/13	234 83					*Not Calculated* **
Return of Principal				06/25/13	230 11					*Not Calculated*
Return of Principal				07/25/13	207 13					*Not Calculated*
Return of Principal				08/25/13	190 79					*Not Calculated* **
Sub Total					**1,335.34**					
Description (Box 8) FNMA PL 745580 05 0000 DUE 06/01/36 FACTOR 0 120348510000						*CUSIP* 31403DJZ3				
Return of Principal				10/25/13	111 31					*Not Calculated*
Return of Principal				11/25/13	86 74					*Not Calculated*
Sub Total					**198.05**					
Description (Box 8) FNMA PL 835158 05 0000 DUE 08/01/35 FACTOR 0 143838960000						*CUSIP* 31407MZX6				
Return of Principal				02/25/13	27 30					*Not Calculated*
Return of Principal				03/25/13	18 40					*Not Calculated*
Return of Principal				04/25/13	27 00					*Not Calculated*
Return of Principal				05/25/13	26 97					*Not Calculated* **

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Proceeds from Broker Transactions Details Reported on Form 1099-B (OMB No. 1545-0715) (continued)

Transactions reported on Form 1099-B - basis **Not** reported to the IRS and Short- or Long-Term Determination is Unknown (to Broker), Report on Form 8949, in either Part I with **Box B** checked or Part II with **Box E** checked, as appropriate (continued)

In this sub-section Date acquired, Cost or Other Basis, and Wash Sale Loss disallowed are not reported to the IRS (Box 6a checked)

Activity type	Quantity / face value (Box 1e)	Original cost basis ($)	Date acquired (Box 1b)	Date of sale / exchange (Box 1a)	Sale amount (Box 2a) ($)	Cost or other basis (Box 3) ($)	Wash sale loss disallowed (Box 5) ($)	Federal income tax withheld (Box 4) ($)	Loss not allowed (Box 2b)	Gain/Loss ($)
Description (Box 8) FNMA PL 835158 05 0000 DUE 08/01/35 FACTOR 0 143838960000					*CUSIP* 31407MZX6					
Return of Principal				06/25/13	21 95					*Not Calculated*
Return of Principal				07/25/13	23 88					*Not Calculated*
Return of Principal				08/25/13	21 13					*Not Calculated* **
Sub Total					**166.63**					
Term Unknown total Box B or Box E					**$163,782.83**					
Total					**$2,795,069.88**					