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Form 990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

Do not enter Social Security numbers on this form as it may be made public.

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 DR. ROBERT C. & TINA SOHN FOUNDATION C/O NORMAN LEBEN, GEN II		A Employer identification number 99-0306576
Number and street (or P.O. box number if mail is not delivered to street address) 825 3RD AVENUE	Room/suite 20 FL.	B Telephone number 212-408-0596
City or town, state or province, country, and ZIP or foreign postal code NEW YORK, NY 10022		C If exemption application is pending, check here ☐
G Check all that apply ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ 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) \$ 7,166,002.	J Accounting method ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check ☒ if the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		76.	76.		STATEMENT 1
4 Dividends and interest from securities		146,966.	146,966.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		119,405.			
b Gross sales price for all assets on line 6a		2,133,332.			
7 Capital gain net income (from Part IV, line 2)			119,405.		
8 Net short-term capital gain					
9 Income modifications					
10a Gross sales less returns and allowances					
b Less: Cost of goods sold					
c Gross profit or (loss)					
11 Other income		106.	106.		STATEMENT 3
12 Total. Add lines 1 through 11		266,553.	266,553.		
13 Compensation of officers, directors, trustees, etc.		180,000.	45,000.		135,000.
14 Other employee salaries and wages					
15 Pension plans, employee benefits		47,131.	11,783.		35,348.
16a Legal fees					
b Accounting fees STMT 4		5,991.	0.		5,991.
c Other professional fees STMT 5		46,981.	42,984.		3,997.
17 Interest					
18 Taxes STMT 6		754.	754.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings		3,414.	0.		3,414.
22 Printing and publications					
23 Other expenses STMT 7		3,310.	0.		3,310.
24 Total operating and administrative expenses. Add lines 13 through 23		287,581.	100,521.		187,060.
25 Contributions, gifts, grants paid		531,000.			531,000.
26 Total expenses and disbursements. Add lines 24 and 25		818,581.	100,521.		718,060.
27 Subtract line 26 from line 12		<552,028.>			
a Excess of revenue over expenses and disbursements					
b Net investment income (if negative, enter -0-)			166,032.		
c Adjusted net income (if negative, enter -0-)				N/A	

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10-10-13

LHA For Paperwork Reduction Act Notice, see instructions.

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Part II Balance Sheets

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

			Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing	316,011.	185,348.	185,348.
	2	Savings and temporary cash investments	978,787.	692,396.	692,396.
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons			
	7	Other notes and loans receivable ▶			
		Less: allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U.S. and state government obligations STMT 8	313,118.	308,686.	324,459.
	b	Investments - corporate stock STMT 9	722,570.	798,681.	1,185,550.
	c	Investments - corporate bonds STMT 10	2,548,950.	3,139,273.	3,192,870.
Liabilities	11	Investments - land, buildings, and equipment basis ▶			
		Less: accumulated depreciation ▶			
	12	Investments - mortgage loans			
	13	Investments - other STMT 11	2,211,720.	1,414,744.	1,550,929.
	14	Land, buildings, and equipment basis ▶			
		Less: accumulated depreciation ▶			
	15	Other assets (describe ▶ STATEMENT 12)	34,450.	34,450.	34,450.
	16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)	7,125,606.	6,573,578.	7,166,002.
	17	Accounts payable and accrued expenses			
	18	Grants payable			
Net Assets or Fund Balances	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable			
	22	Other liabilities (describe ▶)			
Net Assets or Fund Balances	23	Total liabilities (add lines 17 through 22)	0.	0.	
		Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26 and lines 30 and 31.			
	24	Unrestricted	7,125,606.	6,573,578.	
	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	7,125,606.	6,573,578.	
Net Assets or Fund Balances	31	Total liabilities and net assets/fund balances	7,125,606.	6,573,578.	

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	7,125,606.
2	Enter amount from Part I, line 27a	2	<552,028.>
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	6,573,578.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	6,573,578.

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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 UNRECAPTURED SECTION 1250 GAINS	P	VARIOUS	VARIOUS
b PUBLICLY TRADED MARKETABLE SECURITIES	P	VARIOUS	VARIOUS
c CAPITAL GAINS DIVIDENDS			
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			33.
b 2,119,243.		2,013,960.	105,283.
c 14,089.			14,089.
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(j) FMV as of 12/31/69	(k) Adjusted basis as of 12/31/69	(l) Excess of col. (i) over col. (j), if any	
a			33.
b			105,283.
c			14,089.
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	119,405.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)	If gain, also enter in Part I, line 8, column (c) If (loss), enter -0- in Part I, line 8	3	N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	642,175.	7,425,421.	.086483
2011	637,911.	8,179,931.	.077985
2010	622,032.	8,408,584.	.073976
2009	579,476.	7,338,247.	.078967
2008	321,619.	5,414,729.	.059397

2 Total of line 1, column (d)	2	.376808
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	.075362
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	7,100,931.
5 Multiply line 4 by line 3	5	535,140.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	1,660.
7 Add lines 5 and 6	7	536,800.
8 Enter qualifying distributions from Part XII, line 4	8	718,060.

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

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

1a	Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter _____ (attach copy of letter if necessary-see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b	1	1,660.
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2	0.
3	Add lines 1 and 2	3	1,660.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5	1,660.
6	Credits/Payments		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	7,436.
b	Exempt foreign organizations - tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments. Add lines 6a through 6d	7	7,436.
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	5,776.
11	Enter the amount of line 10 to be Credited to 2014 estimated tax ☒ 5,776. Refunded ☒	11	0.

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ☒ \$ 0. (2) On foundation managers ☒ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ☒ \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities.		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☒ HI		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>WWW.SOHNFOUNDATION.ORG</u>	13	X	
14	The books are in care of ► <u>C/O NORMAN LEBEN/GEN II</u> Telephone no ► <u>212-408-0596</u> Located at ► <u>825 3RD AVENUE, 20TH FLOOR, NEW YORK, NY</u> ZIP+4 ► <u>10022</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year	15	N/A	
16	At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ►	16	Yes	No
				X

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

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

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Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?

N/A

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

6b

X

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

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.

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
SEE STATEMENT 13		180,000.	0.	0.

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

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

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

0

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Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

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

0

Part IX-A Summary of Direct Charitable Activities

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

	Expenses
1 N/A	
2	
3	
4	

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

	Amount
1 N/A	
2	
All other program-related investments See instructions	
3	

Total. Add lines 1 through 3

0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes.		
a	Average monthly fair market value of securities	1a	6,174,370.
b	Average of monthly cash balances	1b	1,034,697.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	7,209,067.
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	7,209,067.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	108,136.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	7,100,931.
6	Minimum investment return. Enter 5% of line 5	6	355,047.

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	355,047.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	1,660.
b	Income tax for 2013 (This does not include the tax from Part VI)	2b	
c	Add lines 2a and 2b	2c	1,660.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	353,387.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	353,387.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	353,387.

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	718,060.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	718,060.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	1,660.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	716,400.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

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Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				353,387.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			0.	
b Total for prior years		0.		
3 Excess distributions carryover, if any, to 2013				
a From 2008	52,308.			
b From 2009	213,618.			
c From 2010	211,935.			
d From 2011	233,218.			
e From 2012	271,728.			
f Total of lines 3a through e	982,807.			
4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$	718,060.			
a Applied to 2012, but not more than line 2a			0.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				353,387.
e Remaining amount distributed out of corpus	364,673.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:	1,347,480.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
b Prior years' undistributed income Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b Taxable amount - see instructions		0.		
e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount - see instr			0.	
f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	52,308.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	1,295,172.			
10 Analysis of line 9				
a Excess from 2009	213,618.			
b Excess from 2010	211,935.			
c Excess from 2011	233,218.			
d Excess from 2012	271,728.			
e Excess from 2013	364,673.			

N/A

▶

☐ 4942(j)(3) or ☐ 4942(j)(5)

(e) Total:

(4) Gross investment income

Form **990-PF** (2013)

DR. ROBERT C. & TINA SOHN FOUNDATION

Form 990-PF (2013)

C/O NORMAN LEBEN, GEN II

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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				
ABRAMSON CANCER CENTER 3400 SPRUCE ST PHILADELPHIA, PA 19104	N/A	PC	GENERAL	25,000.
AMERICAN BALLET 890 BROADWAY NEW YORK, NY 10003-1278	N/A	PC	GENERAL	500.
AMERICAN ENVIRONMENTAL 16 LAMOILLE STREET ESSEX JUNCTION, VT 05452	N/A	PC	GENERAL	10,000.
APPALACHAIN MOUNTAIN 5 JOY STREET BOSTON, MA 02108-0636	N/A	PC	GENERAL	5,000.
ARTIST SPACE 38 GREENE STREET, 3RD FLOOR NEW YORK, NY 10013	N/A	PC	GENERAL	2,500.
Total	SEE CONTINUATION SHEET(S)			531,000.
b Approved for future payment				
NONE				
Total				0.

Part XVII.

- | | Yes | No |
|-------|-----|----|
| 1a(1) | | X |
| 1a(2) | | X |
| | | |
| 1b(1) | | X |
| 1b(2) | | X |
| 1b(3) | | X |
| 1b(4) | | X |
| 1b(5) | | X |
| 1b(6) | | X |
| 1c | | X |

[illegible]

☐ Yes ☒ No

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

**Sign
Here**


Signature of officer or trustee

Date _____

Title

☐ Yes ☐ No

Phone no 212-286-2600

Part XV **Supplementary Information**

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
ASSOCIATION OF SMALL FOUNDATIONS 1720 N STREET NW WASHINGTON, DC 20036	N/A	PC	GENERAL	500.
BALLET TECH 890 BROADWAY NEW YORK, NY 10003-1278	N/A	PC	GENERAL	5,000.
BERKSHIRE GROWN PO BOX 983 GREAT BARRINGTON, MA 01230	N/A	PC	GENERAL	5,000.
BLUE RIDER 66 BOICE ROAD GREAT BARRINGTON, MA 01230	N/A	PC	GENERAL	1,500.
BRNC 20 BANK ROW PITTSFIELD, MA 01201	N/A	PC	GENERAL	2,000.
BWCF 575 LEXINGTON AVE, 33RD FLOOR NEW YORK, NY 10022	N/A	PC	GENERAL	10,000.
BWCF 575 LEXINGTON AVE, 33RD FLOOR NEW YORK, NY 10022	N/A	PC	GENERAL	20,000.
CARRY INSTITUTE PO BOX AB, 2801 SHARON TNP MILLBROOK, NY 12545	N/A	PC	GENERAL	10,000.
CATA 40 RAILROAD STREET, SUITE 6 GREAT BARRINGTON, MA 01230	N/A	PC	GENERAL	5,000.
C-CAP 250 WEST 57TH STREET, SUITE 2015 NEW YORK, NY 10107	N/A	PC	GENERAL	10,000.
Total from continuation sheets				488,000.

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
CELL MOTION(BIO BUS) PO BOX 250288 NEW YORK, NY 10025-0288	N/A	PC	GENERAL	10,000.
CET 112 ELM STREET PITTSFIELD, MA 01201	N/A	PC	GENERAL	12,500.
CHESS-IN -SCHOOL 520 EIGHTH AVENUE, FLOOR 2 NEW YORK, NY 10018	N/A	PC	GENERAL	5,000.
CHILDRENS HEALTH FUND 215 WEST 125TH STREET, SUITE 301 NEW YORK, NY 10027	N/A	PC	GENERAL	5,000.
CONSTRUCT 41 MAHAIWE STREET GREAT BARRINGTON, MA 01230	N/A	PC	GENERAL	5,000.
EAST END HOSPICE 481 WESTHAMPTON-RIVERHEAD ROAD, PO BOX 1048 WESTHAMPTON BEACH, NY 11978-7048	N/A	PC	GENERAL	5,000.
EDUCATION THROUGH MUSIC 122 EAST 42ND STREET, SUITE 1501 NEW YORK, NY 10168	N/A	PC	GENERAL	10,000.
FAMILY LIFE 14 WEST 170TH STREET BRONX, NY 10452	N/A	PC	GENERAL	5,000.
FIGURE SKATING OF HARLEM 361 WEST 125TH STREET, 2ND FLOOR NEW YORK, NY 10027	N/A	PC	GENERAL	15,000.
FLYING CLOUD 731 SOUTH SANDISFIELD RAOD GREAT BARRINGTON, MA 01230	N/A	PC	GENERAL	5,000.
Total from continuation sheets				

DR. ROBERT C. & TINA SOHN FOUNDATION
C/O NORMAN LEBEN, GEN II

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Part XV **Supplementary Information**

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
FRIENDS OF HUDSON RIVER 311 WEST 43RD STREET, SUITE 300 NEW YORK, NY 10036	N/A	PC	GENERAL	10,000.
FRIENDS OF VAN CORTLANDT 124 GALE PLACE #GRA BRONX, NY 10463	N/A	PC	GENERAL	6,000.
FUND FOR THE CITY OF NY 121 AVENUE OF THE AMERICAS NEW YORK, NY 10013	N/A	PC	GENERAL	1,000.
GROW NYC 51 CAMBERS STREET, ROOM 228 NEW YORK, NY 10007	N/A	PC	GENERAL	10,000.
HEALTHCORP 505 8TH AVENUE, SUITE 1101 NEW YORK, NY 10018	N/A	PC	GENERAL	5,000.
HEALTHY SCHOOLS 773 MADISON AVENUE, 1ST FLOOR ALBANY, NY 12208	N/A	PC	GENERAL	15,000.
HEART PO BOX 738 MAMARONECK, NY 10543	N/A	PC	GENERAL	7,500.
HUMANE FARMING PO BOX 3577 SAN RAFAEL, CA 94912	N/A	PC	GENERAL	1,000.
ICE PO BOX 363 GRACIE STATION NEW YORK, NY 10028	N/A	PC	GENERAL	10,000.
JACOBS PILLOW 358 GEORGE CARTER ROAD BECKET, MA 01223	N/A	PC	GENERAL	7,500.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
JBPCS 135 WEST 50TH STREET, 6TH FLOOR NEW YORK, NY 10020	N/A	PC	GENERAL	50,000.
JEWISH MUSEUM 1109 FIFTH AVENUE NEW YORK, NY 10128	N/A	PC	GENERAL	2,500.
LINCOLN CENTER 70 LINCOLN CENTER PLAZA NEW YORK, NY 10023-6583	N/A	PC	GENERAL	1,000.
MAIHAIWE PERFORMING PO BOX 690, 244 MAIN STREET GREAT BARRINGTON, MA 01230	N/A	PC	GENERAL	10,000.
MIXED COMPANY 37 ROSSETER STREET GREAT BARRINGTON, MA 01230	N/A	PC	GENERAL	1,000.
MOFFITT CANCER CENTER 12902 MAGNOLIA DRIVE TAMPA, FL 33612-9416	N/A	PC	GENERAL	25,000.
NY BOTANICAL 2900 SOUTHERN BOULEVARD BRONX, NY 10458-5126	N/A	PC	GENERAL	12,000.
NYC BALLET 20 LINCOLN CENTER NEW YORK, NY 10023	N/A	PC	GENERAL	7,500.
OPEN SPACE INSTITUTE 1350 BROADWAY, SUITE 201 NEW YORK, NY 10018	N/A	PC	GENERAL	10,000.
ORCHESTRA 450 WEST 37TH STREET, SUITE 502 NEW YORK, NY 10018	N/A	PC	GENERAL	10,000.
Total from continuation sheets				

DR. ROBERT C. & TINA SOHN FOUNDATION
C/O NORMAN LEBEN, GEN II

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Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
ORION 187 MAIN STREET GREAT BARRINGTON, MA 01230	N/A	PC	GENERAL	1,000.
PROJECT NATIVE 342 NORTH PLAIN ROAD HOUSATONIC, MA 01236	N/A	PC	GENERAL	8,500.
PROJECT UNDERSTANDING 100 CROSSWAYS PARK WEST, SUITE 107 WOODBURY, NY 11797	N/A	PC	GENERAL	1,000.
QUEENS BOTANICAL 43-50 MAIN STREET FLUSHING, NY 11355	N/A	PC	GENERAL	12,500.
REED ACADEMY 25 POTASH ROAD OAKLAND, NJ 07436	N/A	PC	GENERAL	500.
RIVERDALE NEIGHBORHOOD 5521 MOSHOLU AVE BRONX, NY 10471	N/A	PC	GENERAL	5,000.
SAY YES ONE STATE STREET, 20TH FLOOR HARTFORD, CT 06103	N/A	PC	GENERAL	10,000.
SHAKESPEARE 70 KEMBLE STREET LENOX, MA 01240-2813	N/A	PC	GENERAL	25,000.
SHEFFIELD LAND TRUST PO BOX 940 SHEFFIELD, MA 01257-0940	N/A	PC	GENERAL	1,000.
SHEFFIELD LAND TRUST PO BOX 940 SHEFFIELD, MA 01257-0940	N/A	PC	GENERAL	2,500.
Total from continuation sheets				

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
SOLAR ONE 37 WEST 26TH STREET, SUITE 209 NEW YORK, NY 10010	N/A	PC	GENERAL	10,000.
ST JUDES RESEARCH 501 ST. JUDE PLACE MEMPHIS, TN 38105-1942	N/A	PC	GENERAL	12,500.
THE DOME PROJECT 486 AMSTERDAM AVE NEW YORK, NY 10024	N/A	PC	GENERAL	2,500.
THE SHIELD INSTITUTE 144-61 ROOSEVELT AVENUE FLUSHING, NY 11354	N/A	PC	GENERAL	1,000.
USC NORRIS CANCER 1441 EASTLAKE AVENUE, ROOM 8302 LOS ANGELES, CA 90033	N/A	PC	GENERAL	1,000.
VIM 777 MAIN STREET, SUITE 4 GREAT BARRINGTON, MA 01230-2224	N/A	PC	GENERAL	10,000.
WAIVE HILL 675 WEST 252ND STREET BRONX, NY 10471-2899	N/A	PC	GENERAL	8,000.
WNET 825 EIGHTH AVENUE NEW YORK, NY 10019-7435	N/A	PC	GENERAL	25,000.
YOUTH PROJECT PO BOX 698 GREAT BARRINGTON, MA 01230	N/A	PC	GENERAL	2,500.
Total from continuation sheets				

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

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
DEUTSCHE BANK	17.	17.	
MERRILL LYNCH	7.	7.	
MORGAN STANLEY	45.	45.	
RBC CAPITAL MARKETS	7.	7.	
TOTAL TO PART I, LINE 3	76.	76.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
MERRILL LYNCH	107,436.	14,089.	93,347.	93,347.	
MORGAN STANLEY	45,535.	0.	45,535.	45,535.	
RBC CAPITAL MARKETS	8,084.	0.	8,084.	8,084.	
TO PART I, LINE 4	161,055.	14,089.	146,966.	146,966.	

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
ROYALTIES	106.	106.	
TOTAL TO FORM 990-PF, PART I, LINE 11	106.	106.	

FORM 990-PF	ACCOUNTING FEES			STATEMENT	4
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
O'CONNOR DAVIES, LLP	5,991.	0.		5,991.	
TO FORM 990-PF, PG 1, LN 16B	5,991.	0.		5,991.	

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT FEES	42,984.	42,984.		0.	
ADP PAYROLL PROCESSING FEES	1,006.	0.		1,006.	
PRM CONSULTING	2,991.	0.		2,991.	
TO FORM 990-PF, PG 1, LN 16C	46,981.	42,984.		3,997.	

FORM 990-PF	TAXES			STATEMENT	6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
FOREIGN TAXES	754.	754.		0.	
TO FORM 990-PF, PG 1, LN 18	754.	754.		0.	

FORM 990-PF	OTHER EXPENSES			STATEMENT	7
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
OFFICE EXPENSES	2,616.	0.		2,616.	
INSURANCE	694.	0.		694.	
TO FORM 990-PF, PG 1, LN 23	3,310.	0.		3,310.	

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS			STATEMENT	8
DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE	
SEE ATTACHMENT A		X	308,686.	324,459.	
TOTAL U.S. GOVERNMENT OBLIGATIONS					
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS			308,686.	324,459.	
TOTAL TO FORM 990-PF, PART II, LINE 10A			308,686.	324,459.	

FORM 990-PF	CORPORATE STOCK			STATEMENT	9
DESCRIPTION			BOOK VALUE	FAIR MARKET VALUE	
SEE ATTACHMENT A			798,681.	1,185,550.	
TOTAL TO FORM 990-PF, PART II, LINE 10B			798,681.	1,185,550.	

FORM 990-PF	CORPORATE BONDS			STATEMENT	10
DESCRIPTION			BOOK VALUE	FAIR MARKET VALUE	
SEE ATTACHMENT A			3,139,273.	3,192,870.	
TOTAL TO FORM 990-PF, PART II, LINE 10C			3,139,273.	3,192,870.	

FORM 990-PF	OTHER INVESTMENTS	STATEMENT	11
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MUTUAL FUNDS - SEE ATTACHMENT A	COST	1,414,744.	1,550,929.
TOTAL TO FORM 990-PF, PART II, LINE 13		1,414,744.	1,550,929.

FORM 990-PF	OTHER ASSETS	STATEMENT	12
DESCRIPTION	BEGINNING OF YR BOOK VALUE	END OF YEAR BOOK VALUE	FAIR MARKET VALUE
2 PIECES OF ART	33,300.	33,300.	33,300.
COPYRIGHTS TO BOOK ROYALTIES	1,150.	1,150.	1,150.
TO FORM 990-PF, PART II, LINE 15	34,450.	34,450.	34,450.

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS STATEMENT 13
 TRUSTEES AND FOUNDATION MANAGERS

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
BARRY R. SHAPIRO C/O NORMAN LEBEN, GEN II, 825 3RD AVE., 20TH FL. NEW YORK, NY 10022	CEO/PRESIDENT/TRUSTEE 30.00	96,000.	0.	0.
NORMAN LEBEN C/O NORMAN LEBEN, GEN II, 825 3RD AVE., 20TH FL. NEW YORK, NY 10022	CFO/EVP/TRUSTEE 30.00	84,000.	0.	0.
STELLA LELLOS C/O NORMAN LEBEN, GEN II, 825 3RD AVE., 20TH FL. NEW YORK, NY 10022	TRUSTEE 0.10	0.	0.	0.
RAYMOND S. KASEVICH C/O NORMAN LEBEN, GEN II, 825 3RD AVE., 20TH FL. NEW YORK, NY 10022	TRUSTEE 0.10	0.	0.	0.
WILLIAM LEONE C/O NORMAN LEBEN, GEN II, 825 3RD AVE., 20TH FL. NEW YORK, NY 10022	TRUSTEE 0.10	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		180,000.	0.	0.

Schedule of Investments Held

<u>Description</u>	<u>Attachment</u>	<u>Book Value</u>	<u>Fair Market Value</u>
<u>U.S. and State/City Government Obligations</u>			
Municipal Obligations			
Account -1216	Attachment A, Page 3 of 39	\$ 308,686	\$ 324,459
Total U.S. Government Obligations (Form 990-PF, Page 2, Part II, Line 10a)		<u>308,686</u>	<u>324,459</u>
<u>Corporate Stock</u>			
Common Stock			
Account -7462	Attachment A, Page 21 of 39	544,966	778,087
Account -7464	Attachment A, Page 30 of 39	253,714	407,464
Total Corporate Stock (Form 990-PF, Page 2, Part II, Line 10b)		<u>798,681</u>	<u>1,185,550</u>
<u>Corporate Bonds and Notes</u>			
Account -1216	Attachment A, Page 3 of 39	737,498	780,086
Account -2641	Attachment A, Page 7 of 39	1,953,275	1,923,971
Account -4C72	Attachment A, Page 10 of 39	448,500	488,814
Total Corporate Bonds and Notes (Form 990-PF, Page 2, Part II, Line 10c)		<u>3,139,273</u>	<u>3,192,870</u>
<u>Other Investments - Mutual Funds</u>			
Account -4019	Attachment A, Page 9 of 39	298,958	289,160
Account -2002	Attachment A, Page 33 of 39	372,843	405,196
Account -2003	Attachment A, Page 36 of 39	240,969	216,774
Account -2004	Attachment A, Page 39 of 39	501,975	639,798
Total Mutual Funds (Form 990-PF, Page 2, Part II, Line 13)		<u>1,414,744</u>	<u>1,550,929</u>
Total Investments		<u>\$ 5,661,384</u>	<u>\$ 6,253,808</u>

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCRUED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
JP MORGAN CHASE BANK NA CD IDX C/D FDIC INS TO LIMITS MOODY N/A S&P N/A	48121C6N1 DUE 10/28/2015 DTD: 10/28/2009 BOOK ENTRY ONLY	100,000.000	(B) \$138.710	\$138,710.00	(B) \$100,000.00	\$38,710.00	
HSBC BK USA N A MC LEAN VA C/D FDIC 12YR STEP UP CD 2.375 -15.4.25-19.6-MAT CALLABLE PAR CALL 06/14/2015 NEXT STEP 06/14/2015 4.250% MOODY N/A S&P N/A	40431CSX8 CPN: 2.375% DUE 06/14/2023 DTD: 06/14/2011 BOOK ENTRY ONLY	100,000.000	(B) \$102.150	\$102,150.00 \$110.62	(B) \$100,000.00	\$2,150.00	\$2,375.00
WELLS FARGO BK N A CA CD CLL S C/D FDIC INS TO LIMITS STEP UP PAR CALL 01/25/2017 NEXT STEP 01/25/2016 2.500% MOODY N/A S&P N/A	94986TJR9 CPN: 2.000% DUE 01/25/2024 DTD: 01/25/2012 BOOK ENTRY ONLY	80,000.000	(B) \$98.331	\$78,664.80 \$293.70	(B) \$80,000.00	-\$1,335.20	\$1,600.00

(continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCRUED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
JP MORGAN CHASE & CO GLOBAL SR FXD RATE STEP UP 4%-7/15, 4.25%-7/20, 6.25%- MAT SER E PAR CALL 07/29/2015 NEXT STEP 07/29/2015 4.250% MOODY A3 S&P A	48124AWH6 CPN: 4.000% DUE 07/29/2025 DTD: 07/29/2010 BOOK ENTRY ONLY	100,000.000	(B) \$100.610	\$100,610.00 \$1,688.89	(B) \$100,000.00	\$610.00	\$4,000.00
JP MORGAN CHASE BANK NA CALL NT STEP 27 PAR CALL 03/02/2014 NEXT STEP 03/02/2017 4.000% MOODY A3 S&P A	48125VLF5 CPN: 3.750% DUE 03/02/2027 DTD: 03/02/2012 BOOK ENTRY ONLY	100,000.000	(B) \$93.501	\$93,501.00 \$1,239.58	(B) \$100,000.00	-\$6,499.00	\$3,750.00
GOLDMAN SACHS GROUP INC SR UNSECURED PAR CALL 01/30/2014 NEXT STEP 07/30/2018 5.000% MOODY BAA1 S&P A-	38143U4Z1 CPN: 4.000% DUE 07/30/2027 DTD: 07/30/2012 BOOK ENTRY ONLY	25,000.000	(B) \$97.260	\$24,315.00 \$416.67	(B) \$25,006.50	-\$691.50	\$1,000.00
MIAMI-DADE CNTY FLA TRAN SYS MASS/RAPID TRANSIT REV 2009B BUILD AMERICA BONDS DIRECT PAY PAR CALL 07/01/2019 MOODY A1 S&P AA	59334PCN5 CPN: 6.710% DUE 07/01/2029 DTD: 09/24/2009 BOOK ENTRY ONLY	100,000.000	(A) \$110.192	\$110,192.00 \$3,355.00	(A) \$103,173.12	\$7,018.88	\$6,710.00
NASSAU CNTY N Y GO IMPT BDS GENERAL PURPOSE G/O 2010B BUILD AMERICA BONDS DIRECT PAY PAR CALL 04/01/2020 MOODY A2 S&P A+	63165TCR4 CPN: 6.500% DUE 04/01/2030 DTD: 06/24/2010 BOOK ENTRY ONLY	100,000.000	(A) \$106.832	\$106,832.00 \$1,650.00	(A) \$102,710.35	\$4,121.65	\$6,600.00
JP MORGAN CHASE BANK NA SR STEP 32 PAR CALL 08/30/2017 NEXT STEP 08/30/2017 3.500% MOODY A3 S&P A	48125VJ68 CPN: 3.000% DUE 08/30/2032 DTD: 08/30/2012 BOOK ENTRY ONLY	25,000.000	(B) \$84.334	\$21,083.50 \$250.00	(B) \$24,756.50	-\$3,673.00	\$750.00
HILLSBOROUGH CNTY FLA TAXABLE LAND PRESERVATION G/O 2009 B BUILD AMERICA BONDS DIRECT PAY ORIGINAL ISSUE DISCOUNT PAR CALL 07/01/2019 MOODY AAA S&P AAA	432290LM4 CPN: 6.250% DUE 07/01/2034 DTD: 12/29/2009 BOOK ENTRY ONLY	100,000.000	(A) \$107.435	\$107,435.00 \$3,125.00	(A) \$102,802.93	\$4,632.07	\$6,250.00

(continued)		SYMBOL/CUSIP		QUANTITY	MARKET PRICE	MARKET VALUE/ ACCRUED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
DESCRIPTION									
GOLDMAN SACHS GROUP INC		38143YAC7		110,000.000	(B) \$107.092	\$117,801.20	(B) \$103,785.00	\$14,016.20	\$7,095.00
MOODY BAA2 S&P BBB+						\$1,182.50			
		CPN: 6.450%							
		DUE 05/01/2036							
		DTD: 04/18/2006							
		BOOK ENTRY ONLY							
GENERAL ELEC CAP CORP		GEAPP		100,000.000	(B) \$103.250	\$103,250.00	(B) \$103,950.00	-\$700.00	\$6,250.00
JR SUBORDINATED						\$277.78			
PAR CALL 12/15/2022		CPN: 6.250%							
MOODY BAA1 S&P AA-		DUE 12/12/2049							
		DTD: 07/27/2012							
		BOOK ENTRY ONLY							

Σ (A) Municipal Bonds for Acct-1216: Book Value = \$308,686.40; Market Value = \$324,459.00

Σ (B) Corporate Bonds for Acct-1216: Book Value = \$737,498.00; Market Value = \$780,085.50

CORPORATE BONDS													
Description	Acquired	Quantity	Adjusted/Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Accrued Interest	Estimated Annual Income	Estimated Current Yield%				
Δ HEWLETT-PACKARD CO GLB 02 350% MAR 15 2015 MOODY'S: BAA1 S&P: BBB+ CUSIP: 428236BN2 ORIGINAL UNIT/TOTAL COST: 101.8020/113,000.24	04/05/12	111,000	112,161.30	101.5650	112,737.15	575.85	768.06	2,609	2.31				
Δ CVS CAREMARK CORP 03.250% MAY 18 2015 MOODY'S: BAA1 S&P: BBB+ CUSIP: 126650BT6 ORIGINAL UNIT/TOTAL COST: 104.9451/115,439.67	04/05/12	110,000	113,331.28	103.3660	113,702.60	371.32	427.01	3,575	3.14				
Δ JPMORGAN CHASE & CO GLB 03.450% MAR 01 2016 MOODY'S: A3 S&P: A CUSIP: 46625HHX1 ORIGINAL UNIT/TOTAL COST: 104.1836/115,643.84	04/05/12	111,000	114,327.11	104.8850	116,422.35	2,095.24	1,276.50	3,830	3.28				

CORPORATE BONDS (continued)	Description	Acquired	Quantity	Adjusted/Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Current Annual Income	Current Yield%
Δ HJ HEINZ CO	02 000% SEP 12 2016	04/05/12	111,000	113,150.87	100.3781	111,419.69	(1,731.18)	672.17	2,220	1.99
MOODY'S: B2 S&P: BB-	CUSIP: 423074AL7									
ORIGINAL UNIT/TOTAL COST:	102.5585/113,840.03									
Δ BERKSHIRE HATHAWAY INC	04/05/12	111,000	112,523.81	102.3020	113,555.22	1,031.41	878.75	2,109	1.85	
GLB 01.900% JAN 31 2017										
MOODY'S: AA2 S&P: AA	CUSIP: 084670BD9									
ORIGINAL UNIT/TOTAL COST:	101.7567/112,949.96									
Δ POTASH CORP SASKATCHEWAN	04/05/12	101,000	106,768.11	104.3480	105,391.48	(1,376.63)	273.54	3,283	3.11	
03.250% DEC 01 2017										
MOODY'S: A3 S&P: A-	CUSIP: 73755LAJ6									
ORIGINAL UNIT/TOTAL COST:	106.9476/108,017.16									
Δ COCA-COLA CO/THE	04/05/12	111,000	111,817.62	99.2100	110,123.10	(1,694.52)	544.36	1,832	1.66	
GLB 01.650% MAR 14 2018										
MOODY'S: AA3 S&P: AA-	CUSIP: 191216AY6									
ORIGINAL UNIT/TOTAL COST:	100.8858/111,983.30									
Δ AVON PRODUCTS	04/05/12	101,000	106,292.66	100.8780	101,886.78	(4,405.88)	1,956.03	4,242	4.16	
04.200% JUL 15 2018										
MOODY'S: BAA2 S&P: BBB-	CUSIP: 054303AR3									
ORIGINAL UNIT/TOTAL COST:	106.1822/107,244.03									
Δ DR PEPPER SNAPPLE GROUP	04/05/12	98,000	98,815.51	100.5350	98,524.30	(291.21)	1,174.91	2,548	2.58	
COMPANY GUARNT GLB 02 600% JAN 15 2019										
MOODY'S: BAA1 S&P: BBB+	CUSIP: 26138EANG									
ORIGINAL UNIT/TOTAL COST:	100.9680/98,948.64									
Δ SAFEWAY INC	04/05/12	100,000	106,535.32	106.3460	106,346.00	(189.32)	1,888.89	5,000	4.70	
05.000% AUG 15 2019										
MOODY'S: BAA3 S&P: BBB	CUSIP: 786514BR9									
ORIGINAL UNIT/TOTAL COST:	107.4461/107,446.11									

CORPORATE BONDS (continued)									
Description	Acquired	Quantity	Adjusted/Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Current Annual Income	Yield%
Δ BURLINGTON NORTH SANTA FE 03.600% SEP 01 2020 MOODY'S: A3 S&P: BBB+ CUSIP: 12189LAB7 PAR CALL DATE: 06/01/20 PAR CALL PRICE: 100.00 ORIGINAL UNIT/TOTAL COST: 105.8724/105.872.46	04/05/12	100,000	105,245.21	101.4440	101,444.00	(3,801.21)	1,200.00	3,600	3.54
Δ AMGEN INC 03.450% OCT 01 2020 MOODY'S: BAA1 S&P: A CUSIP: 031162BD1 ORIGINAL UNIT/TOTAL COST: 101.7949/101,794.99	04/05/12	100,000	101,608.37	101.4670	101,467.00	(141.37)	862.50	3,450	3.40
Δ GILEAD SCIENCES INC 04.500% APR 01 2021 MOODY'S: BAA1 S&P: A CUSIP: 375558AQ6 PAR CALL DATE: 01/01/21 PAR CALL PRICE: 100.00 ORIGINAL UNIT/TOTAL COST: 107.0565/107,056.51	04/05/12	100,000	106,381.40	106.5050	106,505.00	123.60	1,125.00	4,500	4.22
Δ WELLPOINT INC GLB 03.700% AUG 15 2021 MOODY'S: BAA2 S&P: A CUSIP: 94973VAW7 PAR CALL DATE: 05/15/21 PAR CALL PRICE: 100.00 ORIGINAL UNIT/TOTAL COST: 105.4410/115,985.17	04/05/12	110,000	115,430.66	99.6300	109,593.00	(5,837.66)	1,537.55	4,070	3.71
Δ NORFOLK SOUTHERN CORP GLB 03.250% DEC 01 2021 MOODY'S: BAA1 S&P: BBB+ CUSIP: 655844BG2 PAR CALL DATE: 09/01/21 PAR CALL PRICE: 100.00 ORIGINAL UNIT/TOTAL COST: 102.1386/102,138.63	04/05/12	100,000	101,947.87	96.8970	96,897.00	(5,050.87)	270.83	3,250	3.35
Δ AFLAC INC GLB 04.000% FEB 15 2022 MOODY'S: A3 S&P: A CUSIP: 001055AJ1 ORIGINAL UNIT/TOTAL COST: 102.9483/113,243.16	04/05/12	110,000	112,969.02	100.6470	110,711.70	(2,257.32)	1,662.22	4,400	3.97

CORPORATE BONDS (continued)									
Description	Acquired	Quantity	Adjusted/Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Estimated Accrued Interest	Estimated Current Annual Income	Yield%
Δ PHILIPS ELECTRONICS NV GLB 03.750% MAR 15 2022 MOODY'S: A3 S&P: A- CUSIP: 500472AF2 ORIGINAL UNIT/TOTAL COST: 103,3966/103,396.65	04/05/12	100,000	103,108.74	100.0540	100,054.00	(3,054.74)	1,104.17	3,750	3.74
Δ KINDER MORGAN ENER PART GLB 03.950% SEP 01 2022 MOODY'S: BAA2 S&P: BBB CUSIP: 494550BL9 PAR CALL DATE: 06/01/22 PAR CALL PRICE: 100.00 ORIGINAL UNIT/TOTAL COST: 100.8479/110.932.79	04/05/12	110,000	110,859.91	97.4460	107,190.60	(3,669.31)	1,448.33	4,345	4.05
Total Corporate Bonds for Acct-2641		1,895,000	1,953,274.77		1,923,970.97	(29,303.80)	19,070.82	62,613	3.25

MUTUAL FUNDS/CLOSED END FUNDS/UIT Description	Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income Yield%
DELAWARE NATIONAL HIGH YIELD MUNI BOND CL INSTL SYMBOL: DVHIX Initial Purchase:07/03/13 Fixed Income 100%	4,988	51,477.87	9.8500	49,131.80	(2,346.07)	50,379	(1,247)	2,370 4.82
.7040 Fractional Share		6.98	9.8500	6.93	(0.05)			1 4.82
DOUBLELINE TOTAL RETURN BOND FUND CL I SYMBOL: DBLTX Initial Purchase:12/13/12 Fixed Income 100%	6,632	75,403.02	10.7800	71,492.96	(3,910.06)	68,814	2,678	3,674 5.13
.1850 Fractional Share		2.02	10.7800	1.99	(0.03)			1 5.13

MUTUAL FUNDS/CLOSED END FUNDS/UIT Description	(continued) Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income	Yield%
INVESTCO FLOATING RATE FUND CL Y	11,123	87,732.67	7.9800	88,761.54	1,028.87	85,613	3,147	4,027	4.53
SYMBOL: AFRYX Initial Purchase:12/13/12 Fixed Income 100%									
.1740 Fractional Share		1.38	7.9800	1.39	.01			1	4.53
NUVEEN HIGH YIELD MUNI BOND FD CL I	3,227	53,502.39	15.3600	49,566.72	(3,935.67)	51,393	(1,826)	3,247	6.54
SYMBOL: NHMRX Initial Purchase:12/13/12 Fixed Income 100%									
.7620 Fractional Share		11.70	15.3600	11.70				1	6.54
PRINCIPAL HIGH YIELD FUND CL P	3,889	30,813.59	7.7600	30,178.64	(634.95)	28,359	1,818	2,011	6.66
SYMBOL: PYHPX Initial Purchase:12/13/12 Fixed Income 100%									
.7760 Fractional Share		6.03	7.7600	6.02	(0.01)			1	6.66
Subtotal (Fixed Income)				289,159.69					
Total Mutual Funds for Acct-4019		298,957.65		289,159.69	(9,797.96)		4,570	15,334	5.30

EQUITIES	Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)/Annual Income	Current Yield%
	MSCI EAFE ARN ISSUER SEK CAP 17.4% SV 1,633.07 DUE 02/28/14	MLGVS 01/07/13		5,200	10.0000	52,000.00	11.6150	60,398.00	8,398.00	
	MSCIEAFE ARN ISSUER BARC CAP 15.03% SV 1,723.19 DUE 07/25/14	MLGYJ 05/30/13		13,000	10.0000	130,000.00	10.8400	140,920.00	10,920.00	
	SP500 ARN ISSUER BAC CAP 11.85% SV 1,654.41 DUE 07/25/14	MLGYO 05/30/13		19,000	10.0000	190,000.00	10.6400	202,160.00	12,160.00	
	SP500 ARN ISSUER CS CAP 12.53% SV 1,466.47 DUE 02/28/14	MLGVN 01/04/13		7,650	10.0000	76,500.00	11.1550	85,335.75	8,835.75	
TOTAL	Total Corporate Bonds for Acct-4C72					448,500.00		488,813.75	40,313.75	

EQUITIES Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Estimated Current Yield%
ABBOTT LABS	ABT	05/20/09	7	20.8728	146.11	38.3300	268.31	122.20		7 2.29
		07/29/09	46	21.9210	1,008.37	38.3300	1,763.18	754.81		41 2.29
		09/02/09	53	21.6218	1,145.96	38.3300	2,031.49	885.53		47 2.29
		03/11/10	46	26.4819	1,218.17	38.3300	1,763.18	545.01		41 2.29
		06/18/13	91	37.4703	3,409.80	38.3300	3,488.03	78.23		81 2.29
		09/11/13	101	34.7814	3,512.93	38.3300	3,871.33	358.40		89 2.29
		09/25/13	117	33.5258	3,922.53	38.3300	4,484.61	562.08		103 2.29
Subtotal			461		14,363.87		17,670.13	3,306.26		409 2.29
ACCENTURE PLC SHS	ACN	01/02/09	20	32.9800	659.60	82.2200	1,644.40	984.80		38 2.26
		02/18/09	68	31.0839	2,113.71	82.2200	5,590.96	3,477.25		127 2.26
		09/15/10	60	39.4706	2,368.24	82.2200	4,933.20	2,564.96		112 2.26
		11/10/10	52	45.3655	2,359.01	82.2200	4,275.44	1,916.43		97 2.26
		05/09/12	55	58.9743	3,243.59	82.2200	4,522.10	1,278.51		103 2.26
Subtotal			255		10,744.15		20,966.10	10,221.95		477 2.26

EQUITIES (continued) <i>Description</i>	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Estimated Current Yield%
ACE LIMITED	ACE	09/09/10	6	55.4816	332.89	103.5300	621.18	288.29	16	2.43
		02/02/11	32	62.4790	1,999.33	103.5300	3,312.96	1,313.63	81	2.43
		02/03/11	10	62.3660	623.66	103.5300	1,035.30	411.64	26	2.43
		05/17/11	29	68.1451	1,976.21	103.5300	3,002.37	1,026.16	74	2.43
		03/21/12	43	73.7337	3,170.55	103.5300	4,451.79	1,281.24	109	2.43
Subtotal			120		8,102.64		12,423.60	4,320.96	306	2.43
CHEVRON CORP	CVX	01/02/09	55	74.9000	4,119.50	124.9100	6,870.05	2,750.55	220	3.20
		10/28/09	33	75.9184	2,505.31	124.9100	4,122.03	1,616.72	132	3.20
		01/06/10	31	79.3690	2,460.44	124.9100	3,872.21	1,411.77	124	3.20
Subtotal			119		9,085.25		14,864.29	5,779.04	476	3.20
COCA COLA ENTERPRISES INC NEW	CCE	10/31/12	34	31.4661	1,069.85	44.1300	1,500.42	430.57	28	1.81
		11/01/12	57	31.8345	1,814.57	44.1300	2,515.41	700.84	46	1.81
		11/09/12	75	30.4844	2,286.33	44.1300	3,309.75	1,023.42	60	1.81
		11/12/12	25	30.6432	766.08	44.1300	1,103.25	337.17	20	1.81
Subtotal			191		5,936.83		8,428.83	2,492.00	154	1.81
COMCAST CRP NEW CL A SPL	CMCSK	07/14/11	116	23.9369	2,776.69	49.8800	5,786.08	3,009.39	91	1.56
		07/27/11	124	24.0191	2,978.38	49.8800	6,185.12	3,206.74	97	1.56
		08/10/11	126	19.9914	2,518.92	49.8800	6,284.88	3,765.96	99	1.56
Subtotal			366		8,273.99		18,256.08	9,982.09	287	1.56
COVIDIEN PLC SHS NEW	COV	09/04/13	56	61.0276	3,417.55	68.1000	3,813.60	396.05	72	1.87
		09/18/13	60	62.3631	3,741.79	68.1000	4,086.00	344.21	77	1.87
		11/06/13	56	65.1257	3,647.04	68.1000	3,813.60	166.56	72	1.87
Subtotal			172		10,806.38		11,713.20	906.82	221	1.87

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Estimated Current Yield%
CVS CAREMARK CORP	CVS	01/11/12	42	41.8169	1,756.31	71.5700	3,005.94	1,249.63	47	1.53
		02/01/12	67	42.8852	2,873.31	71.5700	4,795.19	1,921.88	74	1.53
		02/02/12	28	42.6996	1,195.59	71.5700	2,003.96	808.37	31	1.53
		02/03/12	36	43.2161	1,555.78	71.5700	2,576.52	1,020.74	40	1.53
		03/21/12	67	44.8905	3,007.67	71.5700	4,795.19	1,787.52	74	1.53
		11/14/12	68	45.5595	3,098.05	71.5700	4,866.76	1,768.71	75	1.53
		02/13/13	47	50.9934	2,396.69	71.5700	3,363.79	967.10	52	1.53
Subtotal			355		15,883.40		25,407.35	9,523.95	393	1.53
DANAHER CORP DEL COM	DHR	03/02/11	24	50.1345	1,203.23	77.2000	1,852.80	649.57	3	1.12
		07/27/11	61	49.4711	3,017.74	77.2000	4,709.20	1,691.46	7	1.12
		08/24/11	54	43.1244	2,328.72	77.2000	4,168.80	1,840.08	6	1.12
Subtotal			139		6,549.69		10,730.80	4,181.11	16	1.12
DELPHI AUTOMOTIVE PLC	DLP	06/06/12	58	29.2082	1,694.08	60.1300	3,487.54	1,793.46	40	1.13
		09/18/12	80	31.5657	2,525.26	60.1300	4,810.40	2,285.14	55	1.13
		09/19/12	17	31.8541	541.52	60.1300	1,022.21	480.69	12	1.13
Subtotal			155		4,760.86		9,320.15	4,559.29	107	1.13
DIAGEO PLC SPSD ADR NEW	DEO	01/02/09	72	56.5337	4,070.43	132.4200	9,534.24	5,463.81	216	2.26
DISNEY (WALT) CO COM STK	DIS	08/08/12	11	50.4227	554.65	76.4000	840.40	285.75	10	1.12
		08/09/12	15	50.3293	754.94	76.4000	1,146.00	391.06	13	1.12
		08/22/12	58	49.8379	2,890.60	76.4000	4,431.20	1,540.60	50	1.12
		09/05/12	57	50.8728	2,899.75	76.4000	4,354.80	1,455.05	50	1.12
Subtotal			141		7,099.94		10,772.40	3,672.46	123	1.12
EXPRESS SCRIPTS HLDG CO	ESR	08/08/13	86	66.3540	5,706.45	70.2400	6,040.64	334.19		
		08/14/13	45	65.6388	2,953.75	70.2400	3,160.80	207.05		
		10/09/13	47	61.6344	2,896.82	70.2400	3,301.28	404.46		
Subtotal			178		11,557.02		12,502.72	945.70		

EQUITIES (continued)		Symbol	Acquired	Quantity	Unit		Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Current Yield%
Description					Cost Basis							
EXXON MOBIL CORP	COM	XOM	01/02/09	118	79.9000		9,428.20	101.2000	11,941.60	2,513.40	298	2.49
			12/08/10	31	71.9122		2,229.28	101.2000	3,137.20	907.92	79	2.49
			03/10/11	31	82.1596		2,546.95	101.2000	3,137.20	590.25	79	2.49
			09/26/12	28	91.4278		2,559.98	101.2000	2,833.60	273.62	71	2.49
			05/08/13	27	91.3118		2,465.42	101.2000	2,732.40	266.98	69	2.49
			11/06/13	41	93.1985		3,821.14	101.2000	4,149.20	328.06	104	2.49
Subtotal				276			23,050.97		27,931.20	4,880.23	700	2.49
FIDELITY NATL INFO SVCS INC		FIS	05/08/13	78	43.4719		3,390.81	53.6800	4,187.04	796.23	69	1.63
			07/10/13	51	44.7527		2,282.39	53.6800	2,737.68	455.29	45	1.63
			07/11/13	3	45.3666		136.10	53.6800	161.04	24.94	3	1.63
Subtotal				132			5,809.30		7,085.76	1,276.46	117	1.63
FRANKLIN RES INC		BEN	06/05/13	99	50.2114		4,970.93	57.7300	5,715.27	744.34	48	.83
			06/12/13	72	48.7865		3,512.63	57.7300	4,156.56	643.93	35	.83
			07/10/13	45	46.0433		2,071.95	57.7300	2,597.85	525.90	22	.83
Subtotal				216			10,555.51		12,469.68	1,914.17	105	.83
GENERAL MILLS		GIS	10/15/09	70	32.5754		2,280.28	49.9100	3,493.70	1,213.42	107	3.04
			10/16/09	40	32.7485		1,309.94	49.9100	1,996.40	686.46	61	3.04
			04/14/10	76	35.3289		2,685.00	49.9100	3,793.16	1,108.16	116	3.04
			11/10/10	34	35.9900		1,223.66	49.9100	1,696.94	473.28	52	3.04
			12/16/10	71	36.5622		2,595.92	49.9100	3,543.61	947.69	108	3.04
			02/22/12	66	38.6486		2,550.81	49.9100	3,294.06	743.25	101	3.04
			02/23/12	1	38.7100		38.71	49.9100	49.91	11.20	2	3.04
Subtotal				358			12,684.32		17,867.78	5,183.46	547	3.04
GOLDMAN SACHS GROUP INC		GS	03/11/09	5	90.3420		451.71	177.2600	886.30	434.59	11	1.24
			03/31/10	11	170.7400		1,878.14	177.2600	1,949.86	71.72	25	1.24
			04/07/10	15	177.2660		2,658.99	177.2600	2,658.90	(0.09)	33	1.24
			03/02/11	19	162.3263		3,084.20	177.2600	3,367.94	283.74	42	1.24
			05/04/11	19	151.6326		2,881.02	177.2600	3,367.94	486.92	42	1.24

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Estimated Current Yield%
GOLDMAN SACHS GROUP INC	GS	05/17/11	20	139.3955	2,787.91	177.2600	3,545.20	757.29		44 1.24
		01/11/12	16	100.0518	1,600.83	177.2600	2,836.16	1,235.33		36 1.24
		05/02/12	27	113.4162	3,062.24	177.2600	4,786.02	1,723.78		60 1.24
Subtotal			132		18,405.04		23,398.32	4,993.28		293 1.24
HONEYWELL INTL INC DEL	HON	05/26/10	107	42.5826	4,554.20	91.3700	9,776.59	5,222.39		193 1.97
		08/11/10	54	42.2446	2,281.21	91.3700	4,933.98	2,652.77		98 1.97
		12/04/13	46	86.9165	3,998.16	91.3700	4,203.02	204.86		83 1.97
Subtotal			207		10,833.57		18,913.59	8,080.02		374 1.97
INTL BUSINESS MACHINES CORP IBM	IBM	06/23/10	12	129.9183	1,559.02	187.5700	2,250.84	691.82		46 2.02
		07/28/10	17	128.9905	2,192.84	187.5700	3,188.69	995.85		65 2.02
		11/03/10	19	143.6178	2,728.74	187.5700	3,563.83	835.09		73 2.02
		01/17/13	24	194.1412	4,659.39	187.5700	4,501.68	(157.71)		92 2.02
Subtotal			72		11,139.99		13,505.04	2,365.05		276 2.02
JOHNSON AND JOHNSON COM	JNJ	01/02/09	11	59.8400	658.24	91.5900	1,007.49	349.25		30 2.88
		04/22/09	38	51.7507	1,966.53	91.5900	3,480.42	1,513.89		101 2.88
		10/28/09	39	59.7689	2,330.99	91.5900	3,572.01	1,241.02		103 2.88
		02/10/10	46	62.8810	2,892.53	91.5900	4,213.14	1,320.61		122 2.88
		10/06/10	34	62.7211	2,132.52	91.5900	3,114.06	981.54		90 2.88
		12/06/12	43	70.0732	3,013.15	91.5900	3,938.37	925.22		114 2.88
		12/19/12	41	71.1356	2,916.56	91.5900	3,755.19	838.63		109 2.88
Subtotal			252		15,910.52		23,080.68	7,170.16		669 2.88
JOHNSON CONTROLS INC	JCI	05/26/10	82	28.1740	2,310.27	51.3000	4,206.60	1,896.33		73 1.71
		12/02/10	64	39.0171	2,497.10	51.3000	3,283.20	786.10		57 1.71
		03/23/11	73	40.2346	2,937.13	51.3000	3,744.90	807.77		65 1.71
Subtotal			219		7,744.50		11,234.70	3,490.20		195 1.71

EQUITIES (continued) <i>Description</i>	<i>Symbol</i>	<i>Acquired</i>	<i>Quantity</i>	<i>Unit</i> <i>Cost Basis</i>	<i>Total</i> <i>Cost Basis</i>	<i>Estimated</i> <i>Market Price</i>	<i>Estimated</i> <i>Market Value</i>	<i>Unrealized</i> <i>Gain/(Loss)</i>	<i>Annual Income</i>	<i>Current</i> <i>Yield%</i>
JPMORGAN CHASE & CO	JPM	01/02/09	152	31.0300	4,716.56	58.4800	8,888.96	4,172.40	232	2.59
		01/07/09	30	28.9696	869.09	58.4800	1,754.40	885.31	46	2.59
		02/11/09	48	25.8060	1,238.69	58.4800	2,807.04	1,568.35	73	2.59
		06/03/09	62	34.4091	2,133.37	58.4800	3,625.76	1,492.39	95	2.59
		02/02/11	53	45.7754	2,426.10	58.4800	3,099.44	673.34	81	2.59
		02/25/11	66	46.5125	3,069.83	58.4800	3,859.68	789.85	101	2.59
		08/03/11	86	39.4284	3,390.85	58.4800	5,029.28	1,638.43	131	2.59
		05/16/12	72	36.4155	2,621.92	58.4800	4,210.56	1,588.64	110	2.59
		04/17/13	38	47.7910	1,816.06	58.4800	2,222.24	406.18	58	2.59
		10/30/13	64	52.8714	3,383.77	58.4800	3,742.72	358.95	98	2.59
Subtotal			671		25,666.24		39,240.08	13,573.84	1,025	2.59
LOCKHEED MARTIN CORP	LMT	01/02/09	36	83.5902	3,009.25	148.6600	5,351.76	2,342.51	192	3.57
		03/04/09	26	60.8942	1,583.25	148.6600	3,865.16	2,281.91	139	3.57
		07/22/09	19	77.2273	1,467.32	148.6600	2,824.54	1,357.22	102	3.57
		08/26/09	32	74.6146	2,387.67	148.6600	4,757.12	2,369.45	171	3.57
		11/04/09	23	70.8682	1,629.97	148.6600	3,419.18	1,789.21	123	3.57
		07/06/11	38	81.5005	3,097.02	148.6600	5,649.08	2,552.06	203	3.57
		01/30/13	34	88.7494	3,017.48	148.6600	5,054.44	2,036.96	181	3.57
Subtotal			208		16,191.96		30,921.28	14,729.32	1,111	3.57
LORILLARD INC	LO	02/29/12	76	43.8888	3,335.55	50.6800	3,851.68	516.13	168	4.34
		04/04/12	75	45.1514	3,386.36	50.6800	3,801.00	414.64	165	4.34
		04/11/12	66	45.3090	2,990.40	50.6800	3,344.88	354.48	146	4.34
		05/30/12	63	41.0895	2,588.64	50.6800	3,192.84	604.20	139	4.34
		09/12/12	69	39.5172	2,726.69	50.6800	3,496.92	770.23	152	4.34
		07/24/13	80	44.6230	3,569.84	50.6800	4,054.40	484.56	176	4.34
Subtotal			429		18,597.48		21,741.72	3,144.24	946	4.34
MCDONALDS CORP COM	MCD	01/03/13	50	90.4882	4,524.41	97.0300	4,851.50	327.09	162	3.33

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit		Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)/Annual Income	Estimated Current Yield%
				Cost Basis	Yield					
METLIFE INC COM	MET	01/02/09	269	34.6295		9,315.34	53.9200	14,504.48	5,189.14	296 2.04
		09/01/10	46	39.4165		1,813.16	53.9200	2,480.32	667.16	51 2.04
		01/19/11	66	45.8884		3,028.64	53.9200	3,558.72	530.08	73 2.04
Subtotal			381			14,157.14		20,543.52	6,386.38	420 2.04
NASDAQ OMX GRP INC	NDAQ	11/14/13	32	36.8803		1,180.17	39.8000	1,273.60	93.43	17 1.30
		11/15/13	21	36.9623		776.21	39.8000	835.80	59.59	11 1.30
		11/18/13	19	37.4415		711.39	39.8000	756.20	44.81	10 1.30
		11/19/13	33	38.2784		1,263.19	39.8000	1,313.40	50.21	18 1.30
		12/11/13	28	38.7978		1,086.34	39.8000	1,114.40	28.06	15 1.30
		12/12/13	49	38.7328		1,897.91	39.8000	1,950.20	52.29	26 1.30
		12/13/13	22	38.7677		852.89	39.8000	875.60	22.71	12 1.30
Subtotal			204			7,768.10		8,119.20	351.10	109 1.30
NESTLE S A REP RG SH ADR	NSRGY	01/02/09	68	39.4001		2,679.21	73.5900	5,004.12	2,324.91	124 2.46
		08/19/09	52	39.9046		2,075.04	73.5900	3,826.68	1,751.64	95 2.46
		02/22/13	46	69.1802		3,182.29	73.5900	3,385.14	202.85	84 2.46
		07/31/13	52	67.8340		3,527.37	73.5900	3,826.68	299.31	95 2.46
		08/14/13	42	67.2161		2,823.08	73.5900	3,090.78	267.70	77 2.46
Subtotal			260			14,286.99		19,133.40	4,846.41	475 2.46
OCCIDENTAL PETE CORP CAL	OXY	06/08/11	27	102.7344		2,773.83	95.1000	2,567.70	(206.13)	70 2.69
		06/15/11	34	103.0138		3,502.47	95.1000	3,233.40	(269.07)	88 2.69
		08/31/11	32	88.0581		2,817.86	95.1000	3,043.20	225.34	82 2.69
		02/14/12	29	104.3527		3,026.23	95.1000	2,757.90	(268.33)	75 2.69
Subtotal			122			12,120.39		11,602.20	(518.19)	315 2.69

EQUITIES (continued)		Symbol	Acquired	Quantity	Unit		Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Current Yield%
Description					Cost Basis							
ORACLE CORP \$0.01 DEL		ORCL	01/02/09	13	18.0000		234.00	38.2600	497.38	263.38		7 1.25
			12/02/09	62	22.6893		1,406.74	38.2600	2,372.12	965.38		30 1.25
			04/07/10	93	25.9507		2,413.42	38.2600	3,558.18	1,144.76		45 1.25
			04/13/11	89	33.6951		2,998.87	38.2600	3,405.14	406.27		43 1.25
			06/29/11	92	32.5247		2,992.28	38.2600	3,519.92	527.64		45 1.25
			10/16/13	96	33.1023		3,177.83	38.2600	3,672.96	495.13		47 1.25
Subtotal				445			13,223.14		17,025.70	3,802.56		217 1.25
PFIZER INC		PFE	04/09/09	80	13.6687		1,093.50	30.6300	2,450.40	1,356.90		84 3.39
			08/05/09	140	15.7829		2,209.61	30.6300	4,288.20	2,078.59		146 3.39
			10/07/09	138	16.7013		2,304.79	30.6300	4,226.94	1,922.15		144 3.39
			11/11/09	151	17.7460		2,679.66	30.6300	4,625.13	1,945.47		158 3.39
			09/29/10	96	17.4446		1,674.69	30.6300	2,940.48	1,265.79		100 3.39
			01/05/11	147	17.9529		2,639.08	30.6300	4,502.61	1,863.53		153 3.39
			02/08/12	153	20.9809		3,210.09	30.6300	4,686.39	1,476.30		160 3.39
			01/09/13	110	26.4299		2,907.29	30.6300	3,369.30	462.01		115 3.39
Subtotal				1,015			18,718.71		31,089.45	12,370.74		1,060 3.39
PHILIP MORRIS INTL INC		PM	05/22/08	199	52.1891		10,385.64	87.1300	17,338.87	6,953.23		749 4.31
			10/22/08	26	41.0338		1,066.88	87.1300	2,265.38	1,198.50		98 4.31
			09/29/10	44	56.5002		2,486.01	87.1300	3,833.72	1,347.71		166 4.31
			01/25/12	24	74.9750		1,799.40	87.1300	2,091.12	291.72		91 4.31
			10/23/13	38	88.4142		3,359.74	87.1300	3,310.94	(48.80)		143 4.31
Subtotal				331			19,097.67		28,840.03	9,742.36		1,247 4.31
PPG INDUSTRIES INC SHS		PPG	04/01/13	9	133.7977		1,204.18	189.6600	1,706.94	502.76		22 1.28
			04/10/13	15	134.5633		2,018.45	189.6600	2,844.90	826.45		37 1.28
			04/11/13	6	135.9766		815.86	189.6600	1,137.96	322.10		15 1.28
Subtotal				30			4,038.49		5,689.80	1,651.31		74 1.28

EQUITIES (continued) <i>Description</i>	<i>Symbol</i>	<i>Acquired</i>	<i>Quantity</i>	<i>Unit Cost Basis</i>	<i>Total Cost Basis</i>	<i>Estimated Market Price</i>	<i>Estimated Market Value</i>	<i>Unrealized Gain/(Loss)/Annual Income</i>	<i>Estimated Current Yield%</i>
PRUDENTIAL FINANCIAL INC	PRU	12/16/09	35	51.6262	1,806.92	92.2200	3,227.70	1,420.78	75 2.29
		01/27/10	51	50.0486	2,552.48	92.2200	4,703.22	2,150.74	109 2.29
		02/24/10	52	51.2938	2,667.28	92.2200	4,795.44	2,128.16	111 2.29
<i>Subtotal</i>			138		7,026.68		12,726.36	5,699.68	295 2.29
ST JUDE MEDICAL INC	STJ	03/07/12	54	40.9111	2,209.20	61.9500	3,345.30	1,136.10	54 1.61
		04/11/12	72	39.3906	2,836.13	61.9500	4,460.40	1,624.27	72 1.61
<i>Subtotal</i>			126		5,045.33		7,805.70	2,760.37	126 1.61
STATE STREET CORP	SIT	03/06/13	33	58.8906	1,943.39	73.3900	2,421.87	478.48	35 1.41
		03/20/13	91	60.4281	5,498.96	73.3900	6,678.49	1,179.53	95 1.41
<i>Subtotal</i>			124		7,442.35		9,100.36	1,658.01	130 1.41
TARGET CORP COM	TGT	01/12/11	6	55.5350	333.21	63.2700	379.62	46.41	11 2.71
		02/02/11	51	53.4378	2,725.33	63.2700	3,226.77	501.44	88 2.71
		03/02/11	56	52.3832	2,933.46	63.2700	3,543.12	609.66	97 2.71
		11/02/11	77	53.8089	4,143.29	63.2700	4,871.79	728.50	133 2.71
<i>Subtotal</i>			190		10,135.29		12,021.30	1,886.01	329 2.71
THERMO FISHER SCIENTIFIC INC	TMO	08/10/11	59	50.7794	2,995.99	111.3500	6,569.65	3,573.66	36 .53
		08/17/11	37	54.2867	2,008.61	111.3500	4,119.95	2,111.34	23 .53
		09/07/11	36	53.4188	1,923.08	111.3500	4,008.60	2,085.52	22 .53
		05/15/13	33	85.2151	2,812.10	111.3500	3,674.55	862.45	20 .53
<i>Subtotal</i>			165		9,739.78		18,372.75	8,632.97	101 .53
TRAVELERS COS INC	TRV	11/04/09	50	51.3040	2,565.20	90.5400	4,527.00	1,961.80	100 2.20
		02/10/10	47	49.6036	2,331.37	90.5400	4,255.38	1,924.01	94 2.20
		02/09/11	44	58.6227	2,579.40	90.5400	3,983.76	1,404.36	88 2.20
		05/29/13	24	83.1562	1,995.75	90.5400	2,172.96	177.21	48 2.20
		08/28/13	37	79.9716	2,958.95	90.5400	3,349.98	391.03	74 2.20
		08/29/13	11	80.3790	884.17	90.5400	995.94	111.77	22 2.20
<i>Subtotal</i>			213		13,314.84		19,285.02	5,970.18	426 2.20

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)/Annual	Estimated Current Income Yield%
TYCO INTL LTD NAMEN-AKT	TYC	11/16/11	64	23.7704	1,521.31	41.0400	2,626.56	1,105.25	41 1.55
		03/07/12	57	25.6729	1,463.36	41.0400	2,339.28	875.92	37 1.55
		11/29/12	105	28.5656	2,999.39	41.0400	4,309.20	1,309.81	68 1.55
		12/06/12	95	28.6030	2,717.29	41.0400	3,898.80	1,181.51	61 1.55
Subtotal			321		8,701.35		13,173.84	4,472.49	207 1.55
UNITED PARCEL SVC CL B	UPS	07/05/12	34	79.9914	2,719.71	105.0800	3,572.72	853.01	85 2.36
		07/11/12	31	78.7106	2,440.03	105.0800	3,257.48	817.45	77 2.36
		07/12/12	6	78.5816	471.49	105.0800	630.48	158.99	15 2.36
		07/25/12	38	74.2876	2,822.93	105.0800	3,993.04	1,170.11	95 2.36
		03/06/13	37	84.5789	3,129.42	105.0800	3,887.96	758.54	92 2.36
Subtotal			146		11,583.58		15,341.68	3,758.10	364 2.36
UNITED TECHS CORP COM	UTX	01/02/09	101	53.8500	5,438.85	113.8000	11,493.80	6,054.95	239 2.07
		12/15/10	35	79.1994	2,771.98	113.8000	3,983.00	1,211.02	83 2.07
		04/03/13	24	93.3325	2,239.98	113.8000	2,731.20	491.22	57 2.07
Subtotal			160		10,450.81		18,208.00	7,757.19	379 2.07
VERIZON COMMUNICATNS COM	VZ	09/25/13	75	47.2504	3,543.78	49.1400	3,685.50	141.72	159 4.31
		10/02/13	77	46.8110	3,604.45	49.1400	3,783.78	179.33	164 4.31
		10/30/13	74	50.6564	3,748.58	49.1400	3,636.36	(112.22)	157 4.31
		11/20/13	117	51.0706	5,975.27	49.1400	5,749.38	(225.89)	249 4.31
Subtotal			343		16,872.08		16,855.02	(17.06)	729 4.31
VODAFONE GROU PLC SP ADR	VOD	01/19/12	93	27.1741	2,527.20	39.3100	3,655.83	1,128.63	148 4.04
		09/12/12	105	27.9483	2,934.58	39.3100	4,127.55	1,192.97	167 4.04
Subtotal			198		5,461.78		7,783.38	2,321.60	315 4.04
WELLS FARGO & CO NEW DEL	WFC	12/12/12	184	33.6967	6,200.21	45.4000	8,353.60	2,153.39	221 2.64
		01/23/13	92	35.0041	3,220.38	45.4000	4,176.80	956.42	111 2.64
		02/13/13	73	35.1354	2,564.89	45.4000	3,314.20	749.31	88 2.64
		02/21/13	79	35.5202	2,806.10	45.4000	3,586.60	780.50	95 2.64
		04/24/13	117	37.2677	4,360.33	45.4000	5,311.80	951.47	141 2.64

EQUITIES (continued) <i>Description</i>	<i>Symbol</i>	<i>Acquired</i>	<i>Quantity</i>	<i>Unit</i> <i>Cost Basis</i>	<i>Total</i> <i>Cost Basis</i>	<i>Estimated</i> <i>Market Price</i>	<i>Estimated</i> <i>Market Value</i>	<i>Unrealized</i> <i>Gain/(Loss)/Annual</i>	<i>Estimated Current</i> <i>Income</i>	<i>Yield%</i>
WELLS FARGO & CO NEW DEL	WFC	07/24/13	80	44.5302	3,562.42	45.4000	3,632.00	69.58	96	2.64
		09/18/13	77	42.9650	3,308.31	45.4000	3,495.80	187.49	93	2.64
		11/20/13	93	43.8234	4,075.58	45.4000	4,222.20	146.62	112	2.64
<i>Subtotal</i>			795		30,098.22		36,093.00	5,994.78	957	2.64
3M COMPANY	MMM	01/02/09	34	58.0902	1,975.07	140.2500	4,768.50	2,793.43	117	2.43
		07/01/09	23	60.8360	1,399.23	140.2500	3,225.75	1,826.52	79	2.43
		06/09/10	17	75.8611	1,289.64	140.2500	2,384.25	1,094.61	59	2.43
		03/23/11	29	92.1189	2,671.45	140.2500	4,067.25	1,395.80	100	2.43
<i>Subtotal</i>			103		7,335.39		14,445.75	7,110.36	355	2.43
TOTAL	Total Common Stock for Acct-7462				544,966.37		778,086.68	233,120.31	18,335	2.36

EQUITIES Description	Symbol	Acquired	Quantity	Unit		Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Estimated Current Yield%
				Cost Basis	Yield						
A N S Y S INC COM	ANSS	07/09/08	67	43.0346		2,883.32	87.2000	5,842.40	2,959.08		
		09/11/09	10	37.4200		374.20	87.2000	872.00	497.80		
		04/16/10	24	43.6254		1,047.01	87.2000	2,092.80	1,045.79		
		04/19/10	9	43.8855		394.97	87.2000	784.80	389.83		
Subtotal			110			4,699.50		9,592.00	4,892.50		
AARON'S INC SHS A	AAN	01/29/13	38	29.6218		1,125.63	29.4000	1,117.20	(8.43)		4 .28
		02/07/13	54	29.5738		1,596.99	29.4000	1,587.60	(9.39)		5 .28
		02/13/13	44	29.6518		1,304.68	29.4000	1,293.60	(11.08)		4 .28
		02/14/13	25	29.6616		741.54	29.4000	735.00	(6.54)		3 .28
Subtotal			161			4,768.84		4,733.40	(35.44)		16 .28
AKAMAI TECHNOLOGIES INC	AKAM	03/13/08	114	33.0500		3,767.70	47.1800	5,378.52	1,610.82		
		06/11/08	50	36.0322		1,801.61	47.1800	2,359.00	557.39		
Subtotal			164			5,569.31		7,737.52	2,168.21		

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Estimated Current Yield%
ALLEGHENY TECH INC	ATI	11/07/12	161	27.4714	4,422.90	35.6300	5,736.43	1,313.53	116	2.02
AMERICAN TOWER REIT INC (HLDG CO) SHS	AMT	03/13/08	49	37.5502	1,839.96	79.8200	3,911.18	2,071.22	57	1.45
ASTORIA FINANCIAL CORP	AF	03/13/08	91	27.0201	2,458.83	13.8300	1,258.53	(1,200.30)	15	1.15
		10/13/08	25	17.8276	445.69	13.8300	345.75	(99.94)	4	1.15
		08/10/11	14	9.8257	137.56	13.8300	193.62	56.06	3	1.15
		08/15/11	67	10.1283	678.60	13.8300	926.61	248.01	11	1.15
		08/16/11	79	10.0445	793.52	13.8300	1,092.57	299.05	13	1.15
		08/17/11	32	10.0362	321.16	13.8300	442.56	121.40	6	1.15
Subtotal			308		4,835.36		4,259.64	(575.72)	52	1.15
AUTODESK INC DEL PV\$0.01	ADSK	12/26/08	64	18.9095	1,210.21	50.3190	3,220.42	2,010.21		
		12/29/08	77	18.3553	1,413.36	50.3190	3,874.56	2,461.20		
		08/10/11	6	29.1416	174.85	50.3190	301.91	127.06		
Subtotal			147		2,798.42		7,396.89	4,598.47		
BARD C R INC	BCR	03/13/08	49	96.3402	4,720.67	133.9400	6,563.06	1,842.39	42	.62
BIO RAD LABS CL A	BIO	12/22/08	15	67.6066	1,014.10	123.6100	1,854.15	840.05		
		12/23/08	14	69.4850	972.79	123.6100	1,730.54	757.75		
		12/26/08	5	69.9660	349.83	123.6100	618.05	268.22		
		09/11/09	4	93.7500	375.00	123.6100	494.44	119.44		
		08/10/11	1	96.4400	96.44	123.6100	123.61	27.17		
Subtotal			39		2,808.16		4,820.79	2,012.63		
BORG WARNER INC COM	BWA	03/13/08	186	21.2600	3,954.36	55.9100	10,399.26	6,444.90	93	.89
		10/13/08	20	12.5010	250.02	55.9100	1,118.20	868.18	10	.89
		09/11/09	4	17.1350	68.54	55.9100	223.64	155.10	2	.89
		08/10/11	8	33.0725	264.58	55.9100	447.28	182.70	4	.89
Subtotal			218		4,537.50		12,188.38	7,650.88	109	.89

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Estimated Current Yield%
BOSTON PPTYS INC <i>REIT</i>	BXP	03/13/08	65	90.6900	5,894.85	100.3700	6,524.05	629.20	169	2.59
CABOT CORP	CBT	10/09/13	88	42.5994	3,748.75	51.4000	4,523.20	774.45	71	1.55
CASH AMERICAN INTL INC	CSH	01/09/13	120	41.3026	4,956.32	38.3000	4,596.00	(360.32)	17	.36
		09/13/13	11	44.5200	489.72	38.3000	421.30	(68.42)	2	.36
		09/30/13	6	45.0383	270.23	38.3000	229.80	(40.43)	1	.36
		10/07/13	11	45.0390	495.43	38.3000	421.30	(74.13)	2	.36
Subtotal			148		6,211.70		5,668.40	(543.30)	22	.36
CBRE GROUP INC <i>CL A</i>	CBG	03/08/12	108	18.5870	2,007.40	26.3000	2,840.40	833.00		
		03/09/12	129	19.0764	2,460.86	26.3000	3,392.70	931.84		
Subtotal			237		4,468.26		6,233.10	1,764.84		
CENTENE CORP	CNC	01/13/10	106	21.7053	2,300.77	58.9500	6,248.70	3,947.93		
		01/14/10	12	22.0425	264.51	58.9500	707.40	442.89		
		01/15/10	34	22.0567	749.93	58.9500	2,004.30	1,254.37		
Subtotal			152		3,315.21		8,960.40	5,645.19		
COVANCE INC	CVD	03/13/08	74	81.3659	6,021.08	88.0600	6,516.44	495.36		
CSX CORP	CSX	03/13/08	364	16.5700	6,031.49	28.7700	10,472.28	4,440.79	219	2.08
D R HORTON INC	DHI	03/13/08	102	14.5000	1,479.00	22.3200	2,276.64	797.64	16	.67
		09/09/09	86	13.0037	1,118.32	22.3200	1,919.52	801.20	13	.67
		09/11/09	16	13.0600	208.96	22.3200	357.12	148.16	3	.67
		12/20/10	124	11.8830	1,473.50	22.3200	2,767.68	1,294.18	19	.67
		08/10/11	8	9.3625	74.90	22.3200	178.56	103.66	2	.67
Subtotal			336		4,354.68		7,499.52	3,144.84	53	.67
DARDEN RESTAURANTS INC	DRI	03/13/08	103	29.4100	3,029.23	54.3700	5,600.11	2,570.88	227	4.04
EASTMAN CHEMICAL CO COM	EMN	03/13/08	90	33.1500	2,983.50	80.7000	7,263.00	4,279.50	126	1.73

EQUITIES (continued) <i>Description</i>	<i>Symbol</i>	<i>Acquired</i>	<i>Quantity</i>	<i>Unit</i> <i>Cost Basis</i>	<i>Total</i> <i>Cost Basis</i>	<i>Estimated</i> <i>Market Price</i>	<i>Estimated</i> <i>Market Value</i>	<i>Unrealized</i> <i>Gain/(Loss)</i>	<i>Annual Income</i>	<i>Current</i> <i>Yield%</i>
EATON VANCE CORP NVT	EV	03/13/08	124	30.8500	3,825.40	42.7900	5,305.96	1,480.56	110	2.05
		10/14/08	20	26.6065	532.13	42.7900	855.80	323.67	18	2.05
		09/11/09	2	28.6800	57.36	42.7900	85.58	28.22	2	2.05
		08/10/11	4	23.1600	92.64	42.7900	171.16	78.52	4	2.05
Subtotal			150		4,507.53		6,418.50	1,910.97	134	2.05
FIRST POTOMAC RLTY TR REIT	FPO	07/18/11	16	15.1475	242.36	11.6300	186.08	(56.28)	10	5.15
		07/20/11	44	15.6200	687.28	11.6300	511.72	(175.56)	27	5.15
		07/21/11	50	15.7418	787.09	11.6300	581.50	(205.59)	30	5.15
		07/22/11	45	15.8208	711.94	11.6300	523.35	(188.59)	27	5.15
		07/25/11	63	15.5514	979.74	11.6300	732.69	(247.05)	38	5.15
		07/26/11	5	15.3580	76.79	11.6300	58.15	(18.64)	3	5.15
		09/29/11	65	12.2330	795.15	11.6300	755.95	(39.20)	39	5.15
Subtotal			288		4,280.35		3,349.44	(930.91)	174	5.15
GATX CORPORATION	GMT	03/13/08	86	36.9900	3,181.14	52.1700	4,486.62	1,305.48	107	2.37
		04/16/10	16	33.3775	534.04	52.1700	834.72	300.68	20	2.37
		06/30/10	23	26.9330	619.46	52.1700	1,199.91	580.45	29	2.37
		07/01/10	33	26.7621	883.15	52.1700	1,721.61	838.46	41	2.37
Subtotal			158		5,217.79		8,242.86	3,025.07	197	2.37
GLOBAL PMTS INC GEORGIA	GPN	01/28/09	28	35.2310	986.47	64.9900	1,819.72	833.25	3	12
		01/29/09	40	34.7545	1,390.18	64.9900	2,599.60	1,209.42	4	12
Subtotal			68		2,376.65		4,419.32	2,042.67	7	12
HEXCEL CORP NEW COM	HXL	07/25/11	24	24.0833	578.00	44.6900	1,072.56	494.56		
		07/26/11	154	25.0546	3,858.42	44.6900	6,882.26	3,023.84		
Subtotal			178		4,436.42		7,954.82	3,518.40		

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Current Yield%
HORACE MANN EDUCTRS NEW	HMN	09/13/13	18	27.4994	494.99	31.5400	567.72	72.73	15	2.47
		09/17/13	11	27.5390	302.93	31.5400	346.94	44.01	9	2.47
		09/19/13	10	27.5250	275.25	31.5400	315.40	40.15	8	2.47
		10/02/13	55	28.2100	1,551.55	31.5400	1,734.70	183.15	43	2.47
		10/08/13	26	28.5461	742.20	31.5400	820.04	77.84	21	2.47
		10/09/13	21	28.4295	597.02	31.5400	662.34	65.32	17	2.47
		10/23/13	37	28.9564	1,071.39	31.5400	1,166.98	95.59	29	2.47
		10/24/13	27	28.5866	771.84	31.5400	851.58	79.74	22	2.47
Subtotal			205		5,807.17		6,465.70	658.53	164	2.47
HUNTINGTON INGALLS INDS INC	HII	10/14/13	27	70.9240	1,914.95	90.0100	2,430.27	515.32	22	.88
		11/06/13	37	72.6729	2,688.90	90.0100	3,330.37	641.47	30	.88
		11/07/13	9	72.9088	656.18	90.0100	810.09	153.91	8	.88
		11/08/13	8	74.4225	595.38	90.0100	720.08	124.70	7	.88
Subtotal			81		5,855.41		7,290.81	1,435.40	67	.88
INTEGRYS ENERGY GROUP INC	TEG	03/13/08	90	45.8800	4,129.20	54.4100	4,896.90	767.70	245	4.99
INTERCONTINENTAL EXCHANGE GROUP INC SHS W	ICE	02/19/09	32	57.2546	1,832.15	224.9200	7,197.44	5,365.29	84	1.15
		09/11/09	12	88.5925	1,063.11	224.9200	2,699.04	1,635.93	32	1.15
		08/10/11	1	113.2300	113.23	224.9200	224.92	111.69	3	1.15
Subtotal			45		3,008.49		10,121.40	7,112.91	119	1.15
INTL GAME TECHNOLOGY	IGT	03/13/08	154	45.0400	6,936.17	18.1600	2,796.64	(4,139.53)	68	2.42
		06/09/11	103	16.0958	1,657.87	18.1600	1,870.48	212.61	46	2.42
Subtotal			257		8,594.04		4,667.12	(3,926.92)	114	2.42
INTUIT INC COM	INTU	03/13/08	149	26.6799	3,975.31	76.3200	11,371.68	7,396.37	114	.99
		08/10/11	5	41.2280	206.14	76.3200	381.60	175.46	4	.99
Subtotal			154		4,181.45		11,753.28	7,571.83	118	.99

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Estimated Current Yield%
ITRON INC	ITRI	04/28/09	48	47.1010	2,260.85	41.4300	1,988.64	(272.21)		
		07/30/10	14	65.2557	913.58	41.4300	580.02	(333.56)		
		06/28/12	14	39.4935	552.91	41.4300	580.02	27.11		
		06/29/12	30	41.4363	1,243.09	41.4300	1,242.90	(0.19)		
Subtotal			106		4,970.43		4,391.58	(578.85)		
JOY GLOBAL INC DEL COM	JOY	04/29/08	17	75.1517	1,277.58	58.4900	994.33	(283.25)		12 1.19
		10/14/08	25	32.4768	811.92	58.4900	1,462.25	650.33		18 1.19
		03/27/09	40	23.5847	943.39	58.4900	2,339.60	1,396.21		28 1.19
		08/10/11	4	77.2500	309.00	58.4900	233.96	(75.04)		3 1.19
Subtotal			86		3,341.89		5,030.14	1,688.25		61 1.19
KEYCORP NEW COM	KEY	12/06/12	391	7.9786	3,119.66	13.4200	5,247.22	2,127.56		87 1.63
		12/07/12	186	8.0510	1,497.49	13.4200	2,496.12	998.63		41 1.63
Subtotal			577		4,617.15		7,743.34	3,126.19		128 1.63
MEDICAL PPTYS TR INC	MPW	09/09/13	67	12.1340	812.98	12.2200	818.74	5.76		57 6.87
		09/10/13	232	12.0241	2,789.61	12.2200	2,835.04	45.43		195 6.87
		09/11/13	156	12.0776	1,884.11	12.2200	1,906.32	22.21		132 6.87
		09/12/13	5	12.0920	60.46	12.2200	61.10	.64		5 6.87
Subtotal			460		5,547.16		5,621.20	74.04		389 6.87
MONOLITHIC PWR SYSTEMS INC	MPWR	07/26/11	315	13.2895	4,186.22	34.6600	10,917.90	6,731.68		
		08/10/11	7	11.1685	78.18	34.6600	242.62	164.44		
		09/30/11	6	9.4333	56.60	34.6600	207.96	151.36		
		10/03/11	24	8.9966	215.92	34.6600	831.84	615.92		
Subtotal			352		4,536.92		12,200.32	7,663.40		
MOOG INC CL A	MOGA	01/10/12	92	42.8930	3,946.16	67.9400	6,250.48	2,304.32		

EQUITIES (continued) <i>Description</i>	<i>Symbol</i>	<i>Acquired</i>	<i>Quantity</i>	<i>Unit</i> <i>Cost Basis</i>	<i>Total</i> <i>Cost Basis</i>	<i>Estimated</i> <i>Market Price</i>	<i>Estimated</i> <i>Market Value</i>	<i>Unrealized</i> <i>Gain/(Loss)/Annual</i>	<i>Estimated Current</i> <i>Income</i>	<i>Yield%</i>
NABORS INDUSTRIES LTD	NBR	01/15/13	116	14.6681	1,701.51	16.9900	1,970.84	269.33	19	.94
		01/16/13	213	14.7899	3,150.25	16.9900	3,618.87	468.62	35	.94
		09/16/13	74	16.4731	1,219.01	16.9900	1,257.26	38.25	12	.94
Subtotal			403		6,070.77		6,846.97	776.20	66	.94
NEWFIELD EXPL CO COM	NFX	03/13/08	85	56.8001	4,828.01	24.6300	2,093.55	(2,734.46)		
		04/25/08	20	64.4325	1,288.65	24.6300	492.60	(796.05)		
		06/11/08	25	63.7008	1,592.52	24.6300	615.75	(976.77)		
		09/04/13	15	23.7573	356.36	24.6300	369.45	13.09		
		09/05/13	44	24.0675	1,058.97	24.6300	1,083.72	24.75		
Subtotal			189		9,124.51		4,655.07	(4,469.44)		
PROTECTIVE LIFE CORP COM	PL	01/04/13	39	30.0864	1,173.37	50.6600	1,975.74	802.37	32	1.57
		01/07/13	61	30.0757	1,834.62	50.6600	3,090.26	1,255.64	49	1.57
		01/08/13	63	30.2215	1,903.96	50.6600	3,191.58	1,287.62	51	1.57
Subtotal			163		4,911.95		8,257.58	3,345.63	132	1.57
RAYMOND JAMES FINL INC	RJF	03/13/08	113	23.2700	2,629.52	52.1900	5,897.47	3,267.95	73	1.22
		10/14/08	25	25.6100	640.25	52.1900	1,304.75	664.50	16	1.22
		08/10/11	10	26.3920	263.92	52.1900	521.90	257.98	7	1.22
Subtotal			148		3,533.69		7,724.12	4,190.43	96	1.22
REINSURANCE GROUP AMERICA	RGA	04/04/13	36	58.8902	2,120.05	77.4100	2,786.76	666.71	44	1.55
		04/05/13	45	58.7766	2,644.95	77.4100	3,483.45	838.50	54	1.55
		04/08/13	5	58.7740	293.87	77.4100	387.05	93.18	6	1.55
Subtotal			86		5,058.87		6,657.26	1,598.39	104	1.55
REPUBLIC SERVICES INC	RSG	03/13/08	130	30.2000	3,926.01	33.2000	4,316.00	389.99	136	3.13
		04/16/10	25	30.8000	770.00	33.2000	830.00	60.00	26	3.13
Subtotal			155		4,696.01		5,146.00	449.99	162	3.13

EQUITIES (continued) Description	Symbol	Acquired	Quantity	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Annual Income	Current Yield%
RYDER SYSTEM INC	R	10/30/13	23	66.1069	1,520.46	73.7800	1,696.94	176.48	32	1.84
		10/31/13	24	65.9987	1,583.97	73.7800	1,770.72	186.75	33	1.84
		11/01/13	43	66.1174	2,843.05	73.7800	3,172.54	329.49	59	1.84
Subtotal			90		5,947.48		6,640.20	692.72	124	1.84
SBA COMMUNICATIONS CRP A	SBAC	01/14/09	58	17.5093	1,015.54	89.8400	5,210.72	4,195.18		
		01/15/09	69	16.8018	1,159.33	89.8400	6,198.96	5,039.63		
		09/11/09	28	26.7267	748.35	89.8400	2,515.52	1,767.17		
Subtotal			155		2,923.22		13,925.20	11,001.98		
SNAP ON INC COM	SNA	03/13/08	72	48.3901	3,484.09	109.5200	7,885.44	4,401.35	127	1.60
		06/29/10	34	41.2952	1,404.04	109.5200	3,723.68	2,319.64	60	1.60
		08/10/11	3	47.9533	143.86	109.5200	328.56	184.70	6	1.60
Subtotal			109		5,031.99		11,937.68	6,905.69	193	1.60
SONOCO PRODUCTS CO	SON	03/15/13	36	33.9966	1,223.88	41.7200	1,501.92	278.04	45	2.97
		03/18/13	35	34.0382	1,191.34	41.7200	1,460.20	268.86	44	2.97
		03/19/13	73	34.1068	2,489.80	41.7200	3,045.56	555.76	91	2.97
		03/20/13	9	34.2877	308.59	41.7200	375.48	66.89	12	2.97
Subtotal			153		5,213.61		6,383.16	1,169.55	192	2.97
TAL INTL GROUP INC	TAL	11/11/13	52	52.4534	2,727.58	57.3500	2,982.20	254.62	146	4.88
		11/12/13	72	52.4419	3,775.82	57.3500	4,129.20	353.38	202	4.88
Subtotal			124		6,503.40		7,111.40	608.00	348	4.88
TELEDYNE TECH INC	TDY	01/22/13	17	69.5811	1,182.88	91.8600	1,561.62	378.74		
		01/23/13	21	69.8885	1,467.66	91.8600	1,929.06	461.40		
		01/24/13	12	70.4266	845.12	91.8600	1,102.32	257.20		
		01/28/13	20	70.2115	1,404.23	91.8600	1,837.20	432.97		
		01/29/13	1	70.2800	70.28	91.8600	91.86	21.58		
Subtotal			71		4,970.17		6,522.06	1,551.89		

EQUITIES (continued) <i>Description</i>	<i>Symbol</i>	<i>Acquired</i>	<i>Quantity</i>	<i>Unit Cost Basis</i>	<i>Total Cost Basis</i>	<i>Estimated Market Price</i>	<i>Estimated Market Value</i>	<i>Unrealized Gain/(Loss)/Annual</i>	<i>Estimated Current Income Yield%</i>
THE SCOTTS MIRACLE GRO CO	SMG	03/13/08 08/12/11	71 9	34.7800 44.5166	2,469.38 400.65	62.2200 62.2200	4,417.62 559.98	1,948.24 159.33	125 2.81 16 2.81
<i>Subtotal</i>			80		2,870.03		4,977.60	2,107.57	141 2.81
TJX COS INC NEW	TJX	03/13/08 08/10/11	190 4	16.2150 25.8475	3,080.85 103.39	63.7300 63.7300	12,108.70 254.92	9,027.85 151.53	111 .91 3 .91
<i>Subtotal</i>			194		3,184.24		12,363.62	9,179.38	114 .91
UNITED NAT FOODS INC	UNFI	03/13/08 06/16/08 08/10/11	7 210 8	16.4200 21.0810 36.4037	114.94 4,427.03 291.23	75.3900 75.3900 75.3900	527.73 15,831.90 603.12	412.79 11,404.87 311.89	
<i>Subtotal</i>			225		4,833.20		16,962.75	12,129.55	
VALSPAR CORP COM	VAL	03/13/08 10/14/08 04/16/10 08/10/11	96 15 44 4	20.5501 19.6720 30.4031 28.4100	1,972.81 295.08 1,337.74 113.64	71.2900 71.2900 71.2900 71.2900	6,843.84 1,069.35 3,136.76 285.16	4,871.03 774.27 1,799.02 171.52	100 1.45 16 1.45 46 1.45 5 1.45
<i>Subtotal</i>			159		3,719.27		11,335.11	7,615.84	167 1.45
WHITING PETROLEUM CORP	WLL	03/13/08	159	32.0750	5,099.93	61.8700	9,837.33	4,737.40	
XILINX INC	XLNX	03/13/08 10/14/08 10/27/08	126 15 15	23.9500 21.4386 17.9340	3,017.70 321.58 269.01	45.9200 45.9200 45.9200	5,785.92 688.80 688.80	2,768.22 367.22 419.79	126 2.17 15 2.17 15 2.17
<i>Subtotal</i>			156		3,608.29		7,163.52	3,555.23	156 2.17
TOTAL	Total Common Stock for Acct-7464				253,714.21		407,463.63	153,749.42	5,191 1.27

MUTUAL FUNDS/CLOSED END FUNDS/UIT Description	Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income Yield%
FIRST EAGLE OVERSEAS CL I SYMBOL: SGOIX Initial Purchase:07/16/13 Equity 100%	3,203	75,484.69	23.5000	75,270.50	(214.19)	75,484	(21.4)	
.4240 Fractional Share		9.93	23.5000	9.96	.03			
ISHARES TR MSCI EAFE GROWTH SYMBOL: EFG Initial Purchase:05/06/10 Equity 100%	701	42,475.37	71.4800	50,107.48	7,632.11	42,475	7,632	932 185
ISHARES MSCI ALL COUNTRY ASIA EX JAPAN ETF SYMBOL: AAXJ Initial Purchase:05/06/10 Equity 100%	610	36,887.47	60.3100	36,789.10	(98.37)	36,887	(98)	650 1.76

MUTUAL FUNDS/CLOSED END FUNDS/UIT Description	(continued) Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income Yield%
OPPENHEIMER DEVELOPING MARKETS FD CL Y SYMBOL: ODVYX Initial Purchase: 05/06/10 Equity 100% .1290 Fractional Share	1,974	64,049.61	37.5600	74,143.44	10,093.83	63,699	10,443	322 .43
OPPENHEIMER INTERNATL GROWTH FD CL Y SYMBOL: OIGYX Initial Purchase: 06/10/13 Equity 100% .9980 Fractional Share	1,414	47,579.61	38.1600	53,958.24	6,378.63	47,579	6,378	500 .92
SPDR S P EMRGNG LATIN AM SYMBOL: GML Initial Purchase: 07/16/13 Equity 100%	555	33,526.78	62.2400	34,543.20	1,016.42	33,526	1,016	889 2.57
THE OAKMARK INTL FUND SYMBOL: OAKIX Initial Purchase: 06/10/13 Equity 100% .1120 Fractional Share	3,052	72,788.82	26.3200	80,328.64	7,539.82	72,788	7,539	1,331 1.65

MUTUAL FUNDS/CLOSED END FUNDS/UIT Description	(continued) Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income	Yield%
Total Mutual Funds for Acct-2002		372,842.78		405,196.44	32,353.66		32,696	4,627	1.14

MUTUAL FUNDS/CLOSED END FUNDS/JIT Description	Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income Yield%
CREDIT SUISSE COMMODITY RETURN STRTGY FD CL I SYMBOL: CRSOX Initial Purchase:06/10/13 Alternative Investments 100% .4440 Fractional Share	4,596	34,561.58	7.2300	33,229.08	(1,332.50)	34,561	(1,332)	
DWS ENHANCED COMMODITY STRATEGY FUND CL S SYMBOL: SKSRX Initial Purchase:01/07/11 Alternative Investments 100% .4370 Fractional Share	2,212	46,757.02	15.2100	33,644.52	(13,112.50)	46,757	(13,112)	.13
FIRST TRUST GLOBAL WIND SYMBOL: FAN Initial Purchase:10/28/11 Equity 100%	510	4,747.33	11.3500	5,788.50	1,041.17	4,747	1,041	.41
					(1.33)			.13

MUTUAL FUNDS/CLOSED END FUNDS/UIT Description	(continued) Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income Yield%
ICON ENERGY FD CL S SYMBOL: ICENX Initial Purchase: 07/16/13 Equity 100% .5040 Fractional Share	806	17,787.30	23.2400	18,731.44	944.14	17,787	944	
ISHARES SILVER TR SYMBOL: SLV Initial Purchase: 01/07/11 Alternative Investments 100%	407	10,752.24	18.7100	7,614.97	(3,137.27)	10,752	(3,137)	
MARKET VECTORS AGRBUSNSS SYMBOL: MOO Initial Purchase: 01/07/11 Equity 100%	81	4,410.18	54.4900	4,413.69	3.51	4,410	3	76 170
MARKET VECTOR ETF TR COAL ETF SYMBOL: KOL Initial Purchase: 10/28/11 Equity 100%	327	10,623.53	19.4400	6,356.88	(4,266.65)	10,623	(4,266)	144 226
POWERSHARES GLOBAL WATER PORTFOLIO SYMBOL: PIO Initial Purchase: 01/07/11 Equity 100%	220	4,296.84	23.1000	5,082.00	785.16	4,296	785	76 149
PRUDENTIAL JENNISON NATURAL RESOURCES INC Z SYMBOL: PNRZX Initial Purchase: 01/07/11 Equity 100% .8290 Fractional Share	549	31,581.45	51.2000	28,108.80	(3,472.65)	31,581	(3,472)	
		47.47	51.2000	42.44	(5.03)			

MUTUAL FUNDS/CLOSED END FUNDS/UIT (continued)				Estimated		Cumulative		Estimated	
Description	Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Investment Return (\$)	Annual Current Income	Yield%
SPDR GOLD TRUST SYMBOL: GLD Initial Purchase: 01/07/11 Alternative Investments 100%	129	17,309.32	116.1200	14,979.48	(2,329.84)	17,309	(2,329)		
SPDR S&P GLOBAL NATURAL RESOURCES ETF SYMBOL: GNR Initial Purchase: 07/16/13 Equity 100%	698	32,733.76	50.2400	35,067.52	2,333.76	32,733	2,333	864	2.46
VANGUARD REIT ETF SYMBOL: VNQ Initial Purchase: 01/07/11 Equity 100%	367	25,338.56	64.5600	23,693.52	(1,645.04)	25,338	(1,645)	1,025	4.32
Subtotal (Equities)				127,296.50					
Subtotal (Alternative Investments)				89,477.91					
Total Mutual Funds for Acct-2003		240,969.02		216,774.41	(24,194.61)		(24,187)	2,274	1.05

MUTUAL FUNDS/CLOSED END FUNDS/UIT Description	Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income Yield%
ALGER SPECTRA FUND CLASS Z SYMBOL: ASPZX Initial Purchase:01/07/11 Equity 100% 2010 Fractional Share	8,048	100,456.32	17.6200	141,805.76	41,349.44	100,456	41,349	
EAGLE SMALL CAP GROWTH FUND CL I SYMBOL: HSIIX Initial Purchase:01/07/11 Equity 100% 1440 Fractional Share	385	14,992.05	58.1500	22,387.75	7,395.70	14,992	7,395	
ISHARES CORE S&P MID-CAP ETF SYMBOL: IJH Initial Purchase:01/07/11	480	43,530.67	133.8100	64,228.80	20,698.13	43,530	20,698	829 1.29

MUTUAL FUNDS/CLOSED END FUNDS/UIT (continued)									
Description	Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income	Yield%
Equity 100%									
ISHARES CORE S&P SMALL CAP ETF	179	12,210.79	109.1300	19,534.27	7,323.48	12,210	7,323	196	1.00
SYMBOL: IJR Initial Purchase: 01/07/11									
Equity 100%									
ISHARES CORE S&P 500 ETF	702	90,290.46	185.6500	130,326.30	40,035.84	90,290	40,035	2,349	1.80
SYMBOL: IVV Initial Purchase: 01/07/11									
Equity 100%									
JP MORGAN UNDSVCRD MNGRS BEHAVRL VAL FD SELECT CL	425	19,719.34	53.6900	22,818.25	3,098.91	19,719	3,098	146	.63
SYMBOL: UBVX Initial Purchase: 06/10/13									
Equity 100%									
.6830 Fractional Share		31.69	53.6900	36.67	4.98			1	.63
MFS VALUE FD CL I	4,316	136,903.52	33.3600	143,981.76	7,078.24	136,903	7,078	2,399	1.66
SYMBOL: MEIX Initial Purchase: 10/17/13									
Equity 100%									
.9420 Fractional Share		29.88	33.3600	31.43	1.55			1	1.66
PRINCIPAL MIDCAP FUND CL P	4,629	83,785.06	20.4400	94,616.76	10,831.70	83,785	10,831	194	.20
SYMBOL: PMCPX Initial Purchase: 06/10/13									
Equity 100%									
.9100 Fractional Share		16.47	20.4400	18.60	2.13			1	.20

MUTUAL FUNDS/CLOSED END FUNDS/UIT Description	(continued) Quantity	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain/(Loss)	Total Client Investment	Cumulative Investment Return (\$)	Estimated Annual Current Income	Yield%
Total Mutual Funds for Acct-2004		501,974.98		639,798.26	137,823.28		137,807	6,116	.96