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 04/01 , 2013, and ending 03/31, 2014

Name of foundation THE MASIMO FOUNDATION FOR ETHICS, INNOVATION AND COMPETITION IN HEALTHCARE

A Employer identification number 01-0956020

Number and street (or P O box number if mail is not delivered to street address) 40 PARKER

Room/suite

B Telephone number (see instructions) (949) 297-7000

City or town, state or province, country, and ZIP or foreign postal code IRVINE, CA 92618

C If exemption application is pending, check here ▶ ☐

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

D 1 Foreign organizations, check here ▶ ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶ $ 4,215,402.

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

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

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

| | Line | Description | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|---|
| Revenue | 1 | Contributions, gifts, grants, etc , received (attach schedule) | 300 | | | |
| | 2 | Check ▶ ☒ if the foundation is not required to attach Sch B | | | | |
| | 3 | Interest on savings and temporary cash investments | | | | |
| | 4 | Dividends and interest from securities | 139,395 | 139,395 | | ATCH 1 |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 280,108. | | | |
| | b | Gross sales price for all assets on line 6a 3,237,650. | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 280,108. | | |
| | 8 | Net short-term capital gain | | | | |
| | 9 | Income modifications | | | | |
| | 10a | Gross sales less returns and allowances | | | | |
| | b | Less Cost of goods sold | | | | |
| | c | Gross profit or (loss) (attach schedule) | | | | |
| | 11 | Other income (attach schedule) | | | | |
| | 12 | **Total.** Add lines 1 through 11 | 419,803. | 419,503 | | |
| Operating and Administrative Expenses | 13 | Compensation of officers, directors, trustees, etc | 0 | | | |
| | 14 | Other employee salaries and wages | | | | |
| | 15 | Pension plans, employee benefits | | | | |
| | 16a | Legal fees (attach schedule) | | | | |
| | b | Accounting fees (attach schedule) ATCH 2 | 5,400 | | | 5,400 |
| | c | Other professional fees (attach schedule) * | 49,571. | 30,821. | | 49,571 |
| | 17 | Interest | | | | |
| | 18 | Taxes (attach schedule) (see instructions) ATCH 4 | 6,158. | | | |
| | 19 | Depreciation (attach schedule) and depletion | | | | |
| | 20 | Occupancy | | | | |
| | 21 | Travel, conferences, and meetings | 20,000. | | | |
| | 22 | Printing and publications | 121 | | | 12 |
| | 23 | Other expenses (attach schedule) ATCH 5 | 23,698. | 11,161 | | 23,6 |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 104,948 | 41,982 | | 78,7 |
| | 25 | Contributions, gifts, grants paid | 2,447,626 | | | 2,676,7 |
| | 26 | **Total expenses and disbursements** Add lines 24 and 25 | 2,552,574 | 41,982. | 0 | 2,755,4 |
| | 27 | Subtract line 26 from line 12 | | | | |
| | a | Excess of revenue over expenses and disbursements | -2,132,771 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 377,521 | | |
| | c | **Adjusted net income** (if negative, enter -0-) | | | | |

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

| | | Description | Beginning of year (a) Book Value | End of year (b) Book Value | End of year (c) Fair Market Value |
|---|---|---|---|---|---|
| Assets | 1 | Cash - non-interest-bearing | 786,585. | 610,334. | 610,334 |
| | 2 | Savings and temporary cash investments | 235,715. | 79,093 | 79,093. |
| | 3 | Accounts receivable ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ | | | |
| | | Less: allowance for doubtful accounts ▶ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | 1,519. | | |
| | 10 a | Investments - U S and state government obligations (attach schedule) | | | |
| | b | Investments - corporate stock (attach schedule) ATCH 6 | 3,325,024. | 2,465,913. | 2,465,913. |
| | c | Investments - corporate bonds (attach schedule) ATCH 7 | 2,239,845. | 1,060,062. | 1,060,062. |
| | 11 | Investments - land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other (attach schedule) | | | |
| | 14 | Land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation (attach schedule) ▶ | | | |
| | 15 | Other assets (describe ▶ ) | | | |
| | 16 | **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I) | 6,588,688. | 4,215,402. | 4,215,402 |
| Liabilities | 17 | Accounts payable and accrued expenses | 102,722. | 2,750. | |
| | 18 | Grants payable | 1,105,108. | 875,000. | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ ) | 500. | | |
| | 23 | **Total liabilities** (add lines 17 through 22) | 1,208,330. | 877,750. | |
| Net Assets or Fund Balances | | **Foundations that follow SFAS 117, check here** ▶ [X] **and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 | Unrestricted | 5,380,358. | 3,337,652. | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | **Foundations that do not follow SFAS 117,** ▶ [ ] **check here and complete lines 27 through 31.** | | | |
| | 27 | Capital stock, trust principal, or current funds | | | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 | **Total net assets or fund balances** (see instructions) | 5,380,358. | 3,337,652. | |
| | 31 | **Total liabilities and net assets/fund balances** (see instructions) | 6,588,688. | 4,215,402. | |

**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 | 5,380,358. |
| 2 | Enter amount from Part I, line 27a | 2 | -2,132,771 |
| 3 | Other increases not included in line 2 (itemize) ▶ ATCH 8 | 3 | 90,065. |
| 4 | Add lines 1, 2, and 3 | 4 | 3,337,652. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 3,337,652. |

## 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 | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

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

| | (i) F M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } **2**

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):
If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 . . . . . **3**

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No
If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

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

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
|---|---|---|---|
| 2012 | 1,378,452. | 7,744,061. | 0.178001 |
| 2011 | 2,424,252. | 9,118,553. | 0.265859 |
| 2010 | 968,698. | 9,681,072 | 0.100061 |
| 2009 | | | |
| 2008 | | | |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0.543921 |
| 3 | Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0.108784 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | 4 | 5,231,013. |
| 5 | Multiply line 4 by line 3 | 5 | 569,051. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 3,775 |
| 7 | Add lines 5 and 6 | 7 | 572,826. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 2,755,497. |

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 ▶ [X] and enter 1% of Part I, line 27b | | 1 | 3,775. |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b). | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | 2 | |
| 3 | Add lines 1 and 2 | | 3 | 3,775. |
| 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 | 3,775. |
| 6 | Credits/Payments: | | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 | 6a 1,308 | | |
| 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 | 1,308. |
| 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 | 2,467. |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | 10 | |
| 11 | Enter the amount of line 10 to be: **Credited to 2014 estimated tax** ▶ Refunded ▶ | | 11 | |

## Part VII-A Statements Regarding Activities

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

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

| | | | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ WWW.MASIMOFOUNDATION.ORG

14 The books are in care of ▶ ANN VAN DORMOLEN Telephone no. ▶ 310-670-7411

Located at ▶ 6167 BRISTOL PKWY, SUITE 140 CULVER CITY, CA ZIP+4 ▶ 90230

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15

| | | | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | X |
| | See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶ | | | |

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

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

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

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

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

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

**1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| ATCH 9 | | 0 | 0 | 0 |
| | | | | |
| | | | | |
| | | | | |

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

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

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

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

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

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

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

## Part IX-A Summary of Direct Charitable Activities

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

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 NONE | |
| 2 | |
| All other program-related investments See instructions | |
| 3 NONE | |
| **Total.** Add lines 1 through 3 ▶ | |

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

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | |
| a | Average monthly fair market value of securities | 1a | 4,340,694. |
| b | Average of monthly cash balances | 1b | 969,979. |
| c | Fair market value of all other assets (see instructions) | 1c | |
| d | **Total** (add lines 1a, b, and c) | 1d | 5,310,673. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) — 1e | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | |
| 3 | Subtract line 2 from line 1d | 3 | 5,310,673. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2 % of line 3 (for greater amount, see instructions) | 4 | 79,660. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 5,231,013. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 261,551. |

## 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 | 261,551. |
| 2a | Tax on investment income for 2013 from Part VI, line 5 | 2a | 3,775. | | |
| b | Income tax for 2013. (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 3,775. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 257,776. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 257,776. |
| 6 | Deduction from distributable amount (see instructions) | | | 6 | |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | | | 7 | 257,776. |

## 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 | 2,755,497. |
| b | Program-related investments - total from Part IX-B | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 2,755,497. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) | 5 | 3,775. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 2,751,722. |

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

**Part XIII Undistributed Income** (see instructions)

| | | (a) Corpus | (b) Years prior to 2012 | (c) 2012 | (d) 2013 |
|---|---|---|---|---|---|
| 1 Distributable amount for 2013 from Part XI, line 7 | | | | | 257,776. |
| 2 Undistributed income, if any, as of the end of 2013 | | | | | |
| a Enter amount for 2012 only | | | | | |
| b Total for prior years 20 11 ,20 10 ,20 09 | | | | | |
| 3 Excess distributions carryover, if any, to 2013: | | | | | |
| a From 2008 | | | | | |
| b From 2009 | | | | | |
| c From 2010 | 485,374. | | | | |
| d From 2011 | 1,968,812. | | | | |
| e From 2012 | 999,685. | | | | |
| f **Total** of lines 3a through e | | 3,453,871. | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4: ▶ $ 2,755,497. | | | | | |
| a Applied to 2012, but not more than line 2a | | | | | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | | | | |
| c Treated as distributions out of corpus (Election required - see instructions) | | | | | |
| d Applied to 2013 distributable amount | | | | | 257,776. |
| e Remaining amount distributed out of corpus | | 2,497,721 | | | |
| 5 Excess distributions carryover applied to 2013 (*If an amount appears in column (d), the same amount must be shown in column (a)*.) | | | | | |
| 6 **Enter the net total of each column as indicated below:** | | | | | |
| a Corpus. Add lines 3f, 4c, and 4e Subtract line 5 | | 5,951,592. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | | | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | | | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | | | | |
| e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount - see instructions | | | | | |
| f Undistributed income for 2013 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014 | | | | | |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) | | | | | |
| 8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) | | | | | |
| 9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a | | 5,951,592. | | | |
| 10 Analysis of line 9 | | | | | |
| a Excess from 2009 | | | | | |
| b Excess from 2010 | 485,374. | | | | |
| c Excess from 2011 | 1,968,812. | | | | |
| d Excess from 2012 | 999,685. | | | | |
| e Excess from 2013 | 2,497,721. | | | | |

**Part XIV Private Operating Foundations** (see instructions and Part VII-A, question 9) NOT APPLICABLE

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

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

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

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

**1 Information Regarding Foundation Managers:**

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

NONE

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

NONE

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

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

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

ATCH 10

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

ATCH 11

c Any submission deadlines.

NONE

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

NONE

**Part XV Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| ATCH 12 | | | | |
| **Total** . . . . . . . . . . ▶ **3a** | | | | 2,676,707 |
| **b** *Approved for future payment* | | | | |
| ATCH 13 | | | | |
| **Total** . . . . . . . . . . ▶ **3b** | | | | 875,000 |

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

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions.) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | | | |
| 4 Dividends and interest from securities | | | 14 | 139,395. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 280,108 | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | | | 419,503. | |

13 **Total.** Add line 12, columns (b), (d), and (e) . . . . . 13 419,503.

(See worksheet in line 13 instructions to verify calculations.)

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

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

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

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

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

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

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

b If "Yes," complete the following schedule.

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

**Sign Here**

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

Signature of officer or trustee | Date 8/14/14 | Title Director

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| ROSEMARIE BROWN | Digitally signed by Brown, Rosemarie P Date 2014 08 08 11 25 36 07 00 | | | P01278077 |

Firm's name ▶ GRANT THORNTON LLP — Firm's EIN ▶ 36-6055558

Firm's address ▶ 18400 VON KARMAN AVE., SUITE 900 IRVINE, CA 92612 — Phone no 949-553-1600

ATTACHMENT 1

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME |
|---|---|---|
| DIVIDEND INCOME | 139,395. | 139,395. |
| TOTAL | 139,395. | 139,395. |

ATTACHMENT 2

FORM 990PF, PART I - ACCOUNTING FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | ADJUSTED NET INCOME | CHARITABLE PURPOSES |
|---|---|---|---|---|
| ACCOUNTING FEES | 5,400. | | | 5,400. |
| TOTALS | 5,400. | | | 5,400. |

## FORM 990PF, PART I - OTHER PROFESSIONAL FEES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | CHARITABLE PURPOSES |
|---|---|---|---|
| ADMINISTRATION EXPENSE | 18,750. | | 18,750. |
| INVESTMENT MANAGEMENT | 30,821. | 30,821. | 30,821. |
| TOTALS | 49,571. | 30,821. | 49,571. |

ATTACHMENT 4

FORM 990PF, PART I - TAXES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS |
|---|---|
| EXCISE TAX | 5,000. |
| FOREIGN DIVIDEND TAX | 1,158. |
| TOTALS | 6,158. |

## FORM 990PF, PART I - OTHER EXPENSES

| DESCRIPTION | REVENUE AND EXPENSES PER BOOKS | NET INVESTMENT INCOME | CHARITABLE PURPOSES |
|---|---|---|---|
| BANK CHARGES | 14,129. | 11,161. | 14,129. |
| FILING FEES | 270. | | 270. |
| SUPPLIES | 203. | | 203. |
| POSTAGE DELIVERY | 629. | | 629. |
| INSURANCE | 5,717. | | 5,717. |
| PUBLIC RELATIONS | 2,750. | | 2,750. |
| TOTALS | 23,698. | 11,161. | 23,698. |

ATTACHMENT 6

FORM 990PF, PART II - CORPORATE STOCK

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| EQUITY INVESTMENTS | 2,465,913. | 2,465,913. |
| TOTALS | 2,465,913. | 2,465,913. |

ATTACHMENT 7

FORM 990PF, PART II - CORPORATE BONDS

| DESCRIPTION | ENDING BOOK VALUE | ENDING FMV |
|---|---|---|
| FIXED INCOME MUTUAL FUNDS | 1,060,062. | 1,060,062. |
| TOTALS | 1,060,062. | 1,060,062. |

ATTACHMENT 8

FORM 990PF, PART III - OTHER INCREASES IN NET WORTH OR FUND BALANCES

| DESCRIPTION | | AMOUNT |
|---|---|---|
| UNREALIZED CAPITAL GAINS | | 90,065. |
| | TOTAL | 90,065. |

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 9

| NAME AND ADDRESS | TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION |
|---|---|
| JOE E. KIANI<br>40 PARKER<br>IRVINE, CA 92618 | DIRECTOR, CHAIRMAN<br>1.00 |
| MARK P. DE RAAD<br>40 PARKER<br>IRVINE, CA 92618 | DIRECTOR,TREASURER & SECRETARY<br>1.00 |
| FREDERICK J. HARRIS<br>5500 CAMPANILE DR, SUITE 403B<br>SAN DIEGO, CA 92182 | DIRECTOR<br>1.00 |
| JIM BERGMAN<br>40 PARKER<br>IRVINE, CA 92618 | DIRECTOR<br>1.00 |
| MICHAEL O'REILLY (4/1/13-6/30/13)<br>40 PARKER<br>IRVINE, CA 92618 | DIRECTOR<br>1.00 |
| SARAH KIANI<br>40 PARKER<br>IRVINE, CA 92618 | DIRECTOR<br>1.00 |

ATTACHMENT 10

FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

ANN VAN DORMOLEN
P.O. BOX 9429
MARINA DEL REY, CA 90295
310-670-7411

ATTACHMENT 11

990PF, PART XV - FORM AND CONTENTS OF SUBMITTED APPLICATIONS

AGENCIES ARE TO SUBMIT A HARD-COPY LETTER, ON LETTERHEAD, OF THEIR INQUIRY OR INTENT TO THE FOUNDATION ADMINISTRATOR. ONCE THE LETTER OF INQUIRY OR INTENT IS DEEMED TO BE WITHIN THE INTEREST AREA OF THE PRIVATE FOUNDATION, THE FOUNDATION ADMINISTRATOR WILL INVITE THE AGENCY TO COMPLETE THE "MASIMO FOUNDATION GRANT APPLICATION FORM" AND A LIST OF REQUIRED DOCUMENTS IN ACCORDANCE WITH THE "ADDENDUM TO FORM 1023 FOR THE MASIMO FOUNDATION".

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 12

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| ANESTHESIA PATIENT SAFETY FOUNDATION<br>8007 S MERIDIAN ST , BLD ONE, STE TWO<br>INDIANAPOLIS, IN 46217 | NONE<br>PC | GENERAL OPERATING EXPENSES | 25,000 |
| BE THE MATCH FOUNDATION<br>1231 E DYER ROAD, SUITE 236<br>SANTA ANA, CA 92705 | NONE<br>PC | TO RECRUIT MINORITY COLLEGE STUDENTS TO THE BONE MARROW REGISTRY | 8,000 |
| BRYANT KITE MEMORIAL FOUNDATION<br>6959 NICHOLSON DR<br>MOLINO, FL 32577 | NONE<br>PC | GENERAL OPERATION FUNDS | 5,000 |
| CHAPMAN UNIVERSITY<br>ONE UNIVERSITY DRIVE<br>ORANGE, CA 92866 | NONE<br>PC | BIOMEDICAL LAB AS PART OF THE SCIENCE CENTER | 100,000 |
| CHILDREN'S HOSPITAL BOSTON<br>300 LONGWOOD AVENUE<br>BOSTON, MA 02115 | NONE<br>PC | TO IMPROVE SAFETY AND QUALITY OF CARE TO PEDIATRIC PATIENTS | 50,000 |
| INTERNATIONAL DOCUMENTARY ASSOCIATION<br>3470 WILSHIRE BLVD , SUITE 980<br>LOS ANGELES, CA 90010 | NONE<br>PC | DOCUMENTARY #3850 | 5,000 |

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 12 (CONT'D)

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| LEAHSLEGACY<br>68 OAKLEAF AVENUE<br>OAK PARK, CA 91377 | NONE<br>PC | START UP COSTS | 100,000 |
| MASSACHUSETTS GENERAL HOSPITAL<br>165 CAMBRIDGE STREET, SUITE 600<br>BOSTON, MA 02114 | NONE<br>PC | ALASDAIR CONN CHAIR FOR EMERGENCY MEDICINE | 20,000 |
| MATTHEW'S HEARTS OF HOPE<br>1 FARM ROAD<br>SHERMAN, CT 06784 | NONE<br>PC | GENERAL OPERATING EXPENSES | 4,000 |
| NATIONAL FALLEN FIREFIGHTERS FOUNDATION<br>16825 SOUTH SETON AVENUE<br>EMMITSBURG, MD 21727 | NONE<br>PC | TO DOCUMENT BENEFITS AVAILABLE TO SURVIVING FAMILIES | 25,000 |
| NEWBORN FOUNDATION<br>750 9TH STREET NW SUITE 750<br>WASHINGTON, DC 20001 | NONE<br>PC | CHINA SUMMIT ON NEWBORN SCREENING | 60,000 |
| PATIENT SAFETY MOVEMENT FOUNDATION<br>40 PARKER<br>IRVINE, CA 92618 | NONE<br>PC | DEFRAY THE COST OF THE SUMMIT, PATIENT SAFETY, SEED MONEY | 2,000,000 |

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 12 (CONT'D)

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| REGENTS OF THE UNIVERSITY OF CALIFORNIA FOR UCSF<br>1600 DIVISADERO STREET<br>SAN FRANCISCO, CA 94143 | NONE<br>PC | GLOBAL PARTNERS IN ANETHESIOLOGY AND SURGERY | 10,000 |
| STEVEN'S HOPE FOR CHILDREN<br>1014 W FOOTHILL BLVD , SUITE B<br>UPLAND, CA 91786 | NONE<br>PC | GENERAL OPERATING EXPENSES | 10,000 |
| THE CARTER CENTER, INC<br>ONE COPENHILL, 453 FREEDOM PARKWAY<br>ATLANTA, GA 30307 | NONE<br>PC | 2013 PROGRAMS, GENERAL OPERATING EXPENSES | 209,599 |
| THE GEANCO FOUNDATION<br>350 S GRAND AVENUE, 25TH FLOOR<br>LOS ANGELES, CA 90071 | NONE<br>PC | TO SCREEN AND TREAT WOMEN AND CHILDREN IN NIGERIA FOR ANEMIA | 25,000 |
| TIYATIEN HEALTH<br>P O BOX 426133<br>CAMBRIDGE, MA 02142 | NONE<br>PC | SCREENING FOR ANEMIA IN PREGNANT WOMEN | 20,108 |
| | | TOTAL CONTRIBUTIONS PAID | 2,676,707 |

FORM 990PF, PART XV - CONTRIBUTIONS APPROVED FOR FUTURE PAYMENT

ATTACHMENT 13

| RECIPIENT NAME AND ADDRESS | RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR AND FOUNDATION STATUS OF RECIPIENT | PURPOSE OF GRANT OR CONTRIBUTION | AMOUNT |
|---|---|---|---|
| JOINT COMMISSION<br>1 RENAISSANCE BLVD<br>OAKBROOK TERRACE, IL 60108 | NONE<br>PC | RETOOLING BLOOD MANAGEMENT MEASURES | 125,000 |
| CHILDREN'S HOSPITAL BOSTON<br>300 LONGWOOD AVENUE<br>BOSTON, MA 02115 | NONE<br>PC | TO IMPROVE SAFETY AND QUALITY OF CARE TO PEDIATRIC PATIENTS | 50,000 |
| CHAPMAN UNIVERSITY<br>ONE UNIVERSITY DRIVE<br>ORANGE, CA 92866 | NONE<br>PC | TOWARD A BIOMEDICAL LAB AS PART OF THE SCIENCE CENTER | 700,000 |
| | | TOTAL CONTRIBUTIONS APPROVED | 875,000 |

**Masimo Foundation for Ethics, Innovation & Competition**
**Securities Held**
**3/31/2014**

| | | Shares | Market Price | Market Value |
|---|---|---|---|---|
| A-Cash | | | | |
| | CoAmerica - Checking | 610,334.48 | $1.00 | $610,334.48 |
| | Merrill Lynch | 79,093.19 | $1.00 | $79,093.19 |
| | | | | $689,427.67 |
| B-Fixed Income Mutual Funds | | | | |
| | Blackrock HiYield Bond | 0 | | $0.00 |
| | Blackrock US Mortgage | 34844 | 10.15 | $353,666.60 |
| | Blackrock Global | 16382 | 21.56 | $353,195.92 |
| | Blackrock Total Return | 30422 | 11.61 | $353,199.42 |
| | | | | $1,060,061.94 |
| C-Equity Mutual Funds | | | | |
| | Blackrock Multi Asset | 30939 | 11.40 | $352,704.60 |
| D-Corporate Stocks | | | | |
| | Abbott Labs | 262 | $38.51 | $10,089.62 |
| | Abbvie | 269 | $51.40 | $13,826.60 |
| | ACE Ltd | 172 | $99.06 | $17,038.32 |
| | American Express Company | 248 | $90.03 | $22,327.44 |
| | American Tower REIT Inc. | 90 | $81.87 | $7,368.30 |
| | BHP Billiton Ltd. ADR | 371 | $67.77 | $25,142.67 |
| | Bristol-Meyers Squibb Co. | 956 | $51.95 | $49,664.20 |
| | Chevron Corp. | 416 | $118.91 | $49,466.56 |
| | Chubb Corp. | 330 | $89.30 | $29,469.00 |
| | Citigroup, Inc. | 460 | $47.60 | $21,896.00 |
| | CME Group | 210 | $74.02 | $15,544.20 |
| | Coca Cola | 416 | $38.66 | $16,082.56 |
| | Comcast Corp. New CL A SPL | 957 | $48.77 | $46,672.89 |
| | Conoco Phillips | 279 | $70.35 | $19,627.65 |
| | Diageo PLC Sponsored ADR New | 317 | $124.59 | $39,495.03 |
| | Dominion Res Inc. New VA | 547 | $70.99 | $38,831.53 |
| | Dow Chemical Co. | 325 | $48.59 | $15,791.75 |
| | Du Pont E I De Nemours | 697 | $67.10 | $46,768.70 |
| | Duke Energy Corp. | 200 | $71.22 | $14,244.00 |
| | Enbridge Inc. | 581 | $45.51 | $26,441.31 |
| | Exxon Mobil Corp. | 558 | $97.68 | $54,505.44 |
| | Fifth Third Bancorp. | 1,094 | $22.96 | $25,112.77 |
| | General Electric | 2,344 | $25.89 | $60,686.16 |
| | General Mills | 315 | $51.82 | $16,323.30 |
| | Home Depot | 558 | $79.13 | $44,154.54 |
| | Honeywell Int'l Inc. | 268 | $92.76 | $24,859.68 |
| | Intel Corp. | 1,074 | $25.814 | $27,724.24 |
| | Int'l Business Machine | 169 | $192.49 | $32,530.81 |
| | International Paper Company | 310 | $45 88 | $14,222 80 |

| | | | |
|---|---|---|---|
| Johnson & Johnson | 330 | $98.23 | $32,415.90 |
| Johnson Controls Inc. | 309 | $47.32 | $14,621.88 |
| JP Morgan Chase & Co | 1,207 | $60.71 | $73,276.97 |
| Kimberly Clark | 204 | $110.25 | $22,491.00 |
| Kinder Morgan, Inc. | 370 | $32.49 | $12,021.30 |
| Lockheed Martin | 100 | $163.24 | $16,324.00 |
| Marathon Oil Corp. | 442 | $35.52 | $15,699.84 |
| Marathon Petroleum Corp | 218 | $87.04 | $18,974.72 |
| McDonalds Corp | 389 | $98.03 | $38,133.67 |
| Meadwestvaco Corp | 512 | $37.64 | $19,271.68 |
| Merck and Co. Inc. | 858 | $56.77 | $48,708.66 |
| Metlife | 200 | $52.80 | $10,560.00 |
| Microsoft Corp | 811 | $40.99 | $33,242.89 |
| Mondelez International | 600 | $34.55 | $20,730.00 |
| Morgan Stanley | 490 | $31.17 | $15,273.30 |
| Motorola Solutions, Inc. | 250 | $64.29 | $16,072.50 |
| Nextera Energy Inc. | 387 | $95.62 | $37,004.94 |
| Northeast Utilities Com | 376 | $45.50 | $17,108.00 |
| Northrop Gumman Corp | 222 | $123.38 | $27,390.36 |
| Occidental Pete Corp | 305 | $95.29 | $29,063.45 |
| Pfizer Inc. | 1,322 | $32.12 | $42,462.64 |
| Philip Morris Int'l Inc. | 244 | $81.87 | $19,976.28 |
| Phillips 66 shs | 143 | $77.06 | $11,019.58 |
| Praxair Inc. | 198 | $130.97 | $25,932.06 |
| Procter & Gamble Co | 417 | $80.60 | $33,610.20 |
| Prudential Financial Inc. | 445 | $84.65 | $37,669.25 |
| Qualcomm Inc. | 210 | $78.86 | $16,560.60 |
| Raytheon Co Delaware New | 492 | $98.79 | $48,604.68 |
| Schlumberger Ltd | 219 | $97.50 | $21,352.50 |
| Sempra Energy | 198 | $96.76 | $19,158.48 |
| Suntrust Banks,Inc. | 850 | $39.79 | $33,821.50 |
| Toronto Dominion Bank | 418 | $46.95 | $19,625.10 |
| Total S.A. AP ADR | 458 | $65.60 | $30,044.80 |
| Travelers Cos Inc. | 555 | $85.10 | $47,230.50 |
| Unilever NV NY Reg Shs | 306 | $41.12 | $12,582.72 |
| Union Pacific Corp. | 130 | $187.66 | $24,395.80 |
| United Parcel Service | 220 | $97.38 | $21,423.60 |
| United Techs Corp | 421 | $116.84 | $49,189.64 |
| US Bancorp (New) | 728 | $42 86 | $31,202.08 |
| VF Corporation | 604 | $61.88 | $37,375.52 |
| Verizon Communications Com | 1,046 | $47 57 | $49,758.22 |
| Wal-Mart Stores Inc. | 299 | $76.43 | $22,852.57 |
| Wells Fargo & Co New Del | 1,254 | $49.74 | $62,373.96 |
| Weyerhaeuser Co | 812 | $29.35 | $23,832.20 |
| 3M Company | 198 | $135.66 | $26,860.68 |
| | | | $2,113,208.29 |
| **Total** | | | **$4,215,402.50** |

| Settle Date | Security Name | Shares | Lot No. | Purchase Price | Basis | Sales Price | Sale | G/L |
|---|---|---|---|---|---|---|---|---|
| 04/04/2013 | Caterpillar | 148 | 5 | 94 3940 | (13,970 31) | 84 0927 | (12,445 72) | 1,524 59 |
| 04/04/2013 | Caterpillar | 150 | 6 | 96 5867 | (14,488 01) | 84 0927 | (12,613 91) | 1,874.10 |
| 04/04/2013 | Peabody Energy Corp | 204 | 4 | 26 6355 | (5,433 64) | 19 8349 | (4,046 31) | 1,387 33 |
| 04/04/2013 | Peabody Energy Corp | 182 | 5 | 24 6600 | (4,488 12) | 19 8349 | (3,609 94) | 878.18 |
| 04/04/2013 | Peabody Energy Corp | 100 | 6 | 23 4299 | (2,342 99) | 19 8349 | (1,983 49) | 359 50 |
| 04/04/2013 | Rio Tinto PLC | 215 | 4 | 56 3450 | (12,114.18) | 45 8227 | (9,851 88) | 2,262.30 |
| 04/04/2013 | Rio Tinto PLC | 211 | 5 | 55 8599 | (11,786 44) | 45 8227 | (9,668.59) | 2,117 85 |
| 04/04/2013 | Rio Tinto PLC | 100 | 6 | 57 1438 | (5,714 38) | 45 8227 | (4,582 27) | 1,132 11 |
| 05/02/2013 | Canadian National Railway Co | 133 | 4 | 91 3599 | (12,150 87) | 97 7215 | (12,996 96) | (846 09) |
| 05/06/2013 | Canadian National Railway Co | 62 | 4 | 91.3599 | (5,664 31) | 99 9658 | (6,197 88) | (533 56) |
| 05/06/2013 | Canadian National Railway Co | 162 | 5 | 94 5800 | (15,321 96) | 99 9658 | (16,194.45) | (872.49) |
| 05/07/2013 | Canadian National Railway Co | 23 | 5 | 94 5800 | (2,175 34) | 100.7908 | (2,318.19) | (142 85) |
| 05/07/2013 | Canadian National Railway Co | 100 | 6 | 98 1218 | (9,812 18) | 100.7908 | (10,079 08) | (266 90) |
| 05/30/2013 | Blackrock US Mortgage | 7030 | 1 | 10 3000 | (72,409 00) | 10 2200 | (71,846 60) | 562.40 |
| 05/30/2013 | Abbott Labs | 90 | 4 | 31 2201 | (2,809 81) | 37.7693 | (3,399 24) | (589 43) |
| 05/30/2013 | Abbvie Inc | 90 | 1 | 34 1250 | (3,071 25) | 45 0418 | (4,053.76) | (982.51) |
| 05/30/2013 | ACE Ltd | 40 | 4 | 80 4800 | (3,219 20) | 90 2985 | (3,611.94) | (392 74) |
| 05/30/2013 | American Express | 90 | 4 | 57.0900 | (5,138.10) | 76.5092 | (6,885.83) | (1,747.73) |
| 05/30/2013 | American Tower REIT | 20 | 1 | 79 8100 | (1,596 20) | 78 9885 | (1,579 77) | 16 43 |
| 05/30/2013 | AT&T | 260 | 4 | 34 0055 | (8,841 43) | 35.7037 | (9,282.96) | (441 53) |
| 05/30/2013 | Bank of Nova Scotia | 130 | 4 | 57 6850 | (7,499 05) | 57 3888 | (7,460 54) | 38 51 |
| 05/30/2013 | BHP Billiton Ltd | 180 | 4 | 77.0720 | (13,872 96) | 67.6976 | (12,185 57) | 1,687 39 |
| 05/30/2013 | Blackrock Global | 4690 | 1 | 18 3900 | (86,249 10) | 21.3700 | (100,225 30) | (13,976.20) |
| 05/30/2013 | Blackrock High Yield | 10360 | 1 | 7 6100 | (78,839 60) | 8 2700 | (85,677.20) | (6,837.60) |
| 05/30/2013 | Blackrock Total Return | 6370 | 1 | 11 4400 | (72,872 80) | 11 7700 | (74,974 90) | (2,102 10) |
| 05/30/2013 | Bristol-Myers Squibb | 310 | 4 | 32 7555 | (10,154 21) | 47.1093 | (14,603 88) | (4,449 67) |
| 05/30/2013 | Chevron | 130 | 4 | 108 3145 | (14,080 89) | 125 8918 | (16,365 94) | (2,285 05) |
| 05/30/2013 | Citigroup | 120 | 1 | 47.2869 | (5,674 43) | 53.4434 | (6,413 21) | (738.78) |
| 05/30/2013 | Coca Cola | 220 | 4 | 37 4157 | (8,231.45) | 41.0932 | (9,040 50) | (809.05) |
| 05/30/2013 | Comcast CRO | 330 | 4 | 36 0271 | (11,888 95) | 39 5040 | (13,036 32) | (1,147.37) |
| 05/30/2013 | Conoco Phillips | 90 | 4 | 58 0850 | (5,227 65) | 62 5389 | (5,628 50) | (400 85) |
| 05/30/2013 | Consol Energy Inc | 90 | 4 | 33.4500 | (3,010 50) | 35 5793 | (3,202 14) | (191 64) |
| 05/30/2013 | Deere Co | 130 | 4 | 85 8418 | (11,159 44) | 87 7982 | (11,413.77) | (254 33) |
| 05/30/2013 | Diageo PLC | 90 | 4 | 118 5726 | (10,671 53) | 119.9879 | (10,798 91) | (127.38) |
| 05/30/2013 | Dominion Res Inc | 170 | 4 | 51 9057 | (8,823.97) | 57 5567 | (9,784.64) | (960 67) |
| 05/30/2013 | Dow Chemical | 130 | 4 | 31 6827 | (4,118 75) | 35 0195 | (4,552 53) | (433.78) |
| 05/30/2013 | Du Pont E I De Nemours | 220 | 4 | 44 4337 | (9,775 41) | 56 5633 | (12,443.93) | (2,668 52) |
| 05/30/2013 | Duke Energy | 50 | 1 | 69 0462 | (3,452 31) | 67 9294 | (3,396 47) | 55 84 |
| 05/30/2013 | Enbridge Inc | 220 | 4 | 42 8560 | (9,428 32) | 43 8993 | (9,657 85) | (229 53) |
| 05/30/2013 | Exxon Mobil | 180 | 4 | 88 4750 | (15,925 50) | 92.6333 | (16,673 99) | (748.49) |
| 05/30/2013 | Fifth Third Bancorp | 310 | 1 | 15 5399 | (4,817 37) | 18 6798 | (5,790 73) | (973 36) |
| 05/30/2013 | General Electric | 690 | 4 | 21 7764 | (15,025 72) | 23 6936 | (16,348.58) | (1,322.86) |
| 05/30/2013 | General Mills | 130 | 4 | 41 5999 | (5,407 99) | 48 1292 | (6,256 80) | (848 81) |
| 05/30/2013 | Home Depot | 130 | 4 | 63 0150 | (8,191 95) | 79 6735 | (10,357 56) | (2,165 61) |
| 05/30/2013 | Honeywell International, Inc | 110 | 4 | 62 1400 | (6,835 40) | 79 8029 | (8,778 32) | (1,942 92) |
| 05/30/2013 | Intel Corp | 230 | 4 | 20 3700 | (4,685 10) | 24 3945 | (5,610.73) | (925 63) |
| 05/30/2013 | International Business Machines | 40 | 4 | 193.0685 | (7,722.74) | 210 5063 | (8,420 25) | (697.51) |
| 05/30/2013 | Johnson & Johnson | 130 | 5 | 70 9500 | (9,223 50) | 86 1535 | (11,199.95) | (1,976.45) |
| 05/30/2013 | Johnson Controls | 90 | 1 | 28 5050 | (2,565.45) | 37 8919 | (3,410 27) | (844 82) |
| 05/30/2013 | JP Morgan Chase | 410 | 4 | 43 0262 | (17,640 74) | 55 8533 | (22,899 86) | (5,259 12) |
| 05/30/2013 | Kimberly Clark | 90 | 4 | 85 1650 | (7,664 85) | 100 9182 | (9,082 64) | (1,417 79) |
| 05/30/2013 | Kinder Morgan Inc | 140 | 1 | 37.6373 | (5,269 22) | 39.1842 | (5,485 79) | (216 57) |
| 05/30/2013 | Lorillard Inc | 180 | 4 | 39 5787 | (7,124 16) | 42 9994 | (7,739 89) | (615.73) |
| 05/30/2013 | Marathon Oil | 130 | 4 | 30 6041 | (3,978 53) | 35 2934 | (4,588 14) | (609 61) |
| 05/30/2013 | Marathon Petroleum | 90 | 4 | 62 5699 | (5,631 29) | 83 9986 | (7,559 87) | (1,928 58) |
| 05/30/2013 | McDonalds | 130 | 4 | 89.7714 | (11,670 28) | 97 5684 | (12,683 89) | (1,013 61) |
| 05/30/2013 | Meadwestvaco Corp | 180 | 4 | 30 5199 | (5,493 58) | 35 6995 | (6,425 91) | (932 33) |
| 05/30/2013 | Merck & Co | 210 | 4 | 43 6550 | (9,167 55) | 47 3641 | (9,946 46) | (778 91) |
| 05/30/2013 | Microsoft Corp | 220 | 4 | 26 8400 | (5,904.80) | 35 1622 | (7,735 69) | (1,830 89) |
| 05/30/2013 | Mondelez International | 200 | 1 | 31 5692 | (6,313 84) | 29 8538 | (5,970 76) | 343.08 |
| 05/30/2013 | Newmont Mining Corp | 90 | 1 | 41 1081 | (3,699 73) | 34 3394 | (3,090 55) | 609 18 |
| 05/30/2013 | Nextera Energy Inc | 130 | 4 | 70 4914 | (9,163 88) | 76 3130 | (9,920 69) | (756 81) |
| 05/30/2013 | Northeast Utilities | 140 | 4 | 39 1206 | (5,476 89) | 42 2793 | (5,919 10) | (442 21) |
| 05/30/2013 | Northrop Grumman | 90 | 4 | 67.0099 | (6,030 89) | 83 6486 | (7,528.37) | (1,497.48) |
| 05/30/2013 | Occidental Pete Communications | 90 | 4 | 76 1750 | (6,855 75) | 95 3990 | (8,585 91) | (1,730 16) |
| 05/30/2013 | Pfizer | 360 | 4 | 25 2856 | (9,102 82) | 28 3144 | (10,193 18) | (1,090 36) |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 05/30/2013 | Philip Morris | 180 | 4 | 87 1822 | (15,692 80) | 92 6585 | (16,678 53) | (985 73) |
| 05/30/2013 | Phillips 66 | 40 | 4 | 53 5000 | (2,140 00) | 67 0388 | (2,681 55) | (541.55) |
| 05/30/2013 | Praxair Inc | 90 | 4 | 107 3670 | (9,663.03) | 115 8080 | (10,422.72) | (759 69) |
| 05/30/2013 | Procter & Gamble | 130 | 4 | 69 6950 | (9,060 35) | 79 4735 | (10,331 56) | (1,271 21) |
| 05/30/2013 | Prudential Financial | 90 | 5 | 51.7850 | (4,660 65) | 70 6088 | (6,354 79) | (1,694 14) |
| 05/30/2013 | Pub Service Enterprise | 140 | 4 | 30 5650 | (4,279.10) | 33 5550 | (4,697 70) | (418 60) |
| 05/30/2013 | Raytheon Co | 180 | 4 | 57.7999 | (10,403.98) | 67 7716 | (12,198 89) | (1,794 91) |
| 05/30/2013 | Schlumberger Ltd | 90 | 4 | 69 1700 | (6,225 30) | 75 0387 | (6,753 48) | (528.18) |
| 05/30/2013 | Sempra Energy | 90 | 4 | 72 7599 | (6,548 39) | 82 0986 | (7,388 87) | (840 48) |
| 05/30/2013 | Suntrust Bank | 240 | 1 | 27 8886 | (6,693 26) | 32 7495 | (7,859 88) | (1,166 62) |
| 05/30/2013 | Toronto Dominion Bank | 90 | 5 | 82 6299 | (7,436 69) | 81.7786 | (7,360 07) | 76 62 |
| 05/30/2013 | Total S A | 180 | 4 | 51 2874 | (9,231.73) | 51 2679 | (9,228 22) | 3 51 |
| 05/30/2013 | Unilever NV | 320 | 4 | 38 3955 | (12,286 56) | 41 7436 | (13,357 95) | (1,071.39) |
| 05/30/2013 | United Parcel Service | 70 | 1 | 85 1199 | (5,958 39) | 86 5784 | (6,060.49) | (102 10) |
| 05/30/2013 | United Techs Corp | 130 | 4 | 79 7425 | (10,366 53) | 96 3952 | (12,531.38) | (2,164 85) |
| 05/30/2013 | US Bancorp | 270 | 4 | 31 8457 | (8,598 34) | 35 7437 | (9,650 79) | (1,052 45) |
| 05/30/2013 | VF Corp | 80 | 4 | 150 5899 | (12,047.19) | 185 5493 | (14,843 94) | (2,796.75) |
| 05/30/2013 | Verizon Communications | 380 | 4 | 43 9332 | (16,694 61) | 49 2240 | (18,705 13) | (2,010 52) |
| 05/30/2013 | Wal-Mart | 90 | 4 | 69.2000 | (6,228 00) | 76 0892 | (6,848 03) | (620 03) |
| 05/30/2013 | Wells Fargo & Co | 420 | 4 | 34 1999 | (14,363 96) | 41 3936 | (17,385 31) | (3,021 35) |
| 05/30/2013 | Weyerhaeuser Co | 270 | 4 | 27 6062 | (7,453.67) | 29.8438 | (8,057.82) | (604.15) |
| 05/30/2013 | 3M Company | 90 | 4 | 92 6153 | (8,335 38) | 111 8490 | (10,066 41) | (1,731 03) |
| 06/05/2013 | Blackrock High Yield | 58045 | 1 | 7 6100 | (441,722.45) | 8 1300 | (471,905 85) | (30,183.40) |
| 07/12/2013 | Bank of Nova Scotia | 151 | 4 | 57 6850 | (8,710 44) | 54 8739 | (8,285 95) | 424.49 |
| 07/12/2013 | Bank of Nova Scotia | 249 | 5 | 58.3799 | (14,536 59) | 54 8739 | (13,663 59) | 873 00 |
| 07/15/2013 | Bank of Nova Scotia | 19 | 5 | 58 3799 | (1,109.22) | 55.1079 | (1,047 05) | 62 17 |
| 07/15/2013 | Bank of Nova Scotia | 150 | 6 | 58 5977 | (8,789 66) | 55.1079 | (8,266 19) | 523.47 |
| 09/24/2013 | Consol Energy Inc | 46 | 4 | 33 4500 | (1,538 70) | 34 1702 | (1,571 83) | (33 13) |
| 09/25/2013 | Consol Energy Inc | 60 | 4 | 33 4500 | (2,007 00) | 33 8802 | (2,032 81) | (25 81) |
| 09/25/2013 | Consol Energy Inc | 78 | 5 | 30.0050 | (2,340 39) | 33 8802 | (2,642 66) | (302 27) |
| 10/01/2013 | Consol Energy Inc | 106 | 5 | 30 0050 | (3,180 53) | 33 7727 | (3,579 91) | (399 38) |
| 10/01/2013 | Consol Energy Inc | 64 | 6 | 32.4199 | (2,074 87) | 33.7727 | (2,161 45) | (86 58) |
| 10/02/2013 | Consol Energy Inc | 36 | 6 | 32 4199 | (1,167.12) | 33 7322 | (1,214 36) | (47 24) |
| 10/07/2013 | VF Corp | 69 | 4 | 150.5900 | (10,390 71) | 194 4265 | (13,415 43) | (3,024 72) |
| 10/07/2013 | VF Corp | 11 | 5 | 153 2372 | (1,685 61) | 194 4265 | (2,138 69) | (453 08) |
| 10/11/2013 | Abbott Labs | 80 | 4 | 31 2201 | (2,497.61) | 33.6894 | (2,695 15) | (197 54) |
| 10/11/2013 | American Tower REIT | 30 | 1 | 79 8099 | (2,394 30) | 74 2913 | (2,228.74) | 165 56 |
| 10/11/2013 | Abbvie Inc | 80 | 1 | 34 1251 | (2,730 00) | 45 6593 | (3,652 74) | (922 74) |
| 10/11/2013 | AT&T | 220 | 4 | 34.0055 | (7,481.21) | 34.1536 | (7,513.79) | (32.58) |
| 10/11/2013 | American Express | 80 | 4 | 57 09 | (4,567 20) | 75.1588 | (6,012 70) | (1,445 50) |
| 10/11/2013 | BHP Billiton Ltd | 150 | 4 | 77.0720 | (11,560 80) | 67 0427 | (10,056 40) | 1,504 40 |
| 10/11/2013 | Bristol-Myers Squibb | 290 | 4 | 32 7555 | (9,499 10) | 47.4738 | (13,767 39) | (4,268.30) |
| 10/11/2013 | Comcast CRO | 47 | 4 | 36.0270 | (1,693.27) | 44 7506 | (2,103 28) | (410 01) |
| 10/11/2013 | Comcast CRO | 253 | 5 | 37 4073 | (9,464 05) | 44.7506 | (11,321 91) | (1,857.86) |
| 10/11/2013 | Chevron | 140 | 4 | 108 3145 | (15,164 03) | 117.2494 | (16,414 92) | (1,250 89) |
| 10/11/2013 | Conoco Phillips | 90 | 4 | 58 0850 | (5,227 65) | 71 6488 | (6,448.39) | (1,220.74) |
| 10/11/2013 | Citigroup | 150 | 1 | 47 2869 | (7,093 04) | 49 1325 | (7,369 88) | (276 84) |
| 10/11/2013 | Coca Cola | 190 | 4 | 37 4157 | (7,108 98) | 37 6219 | (7,148 16) | (39.18) |
| 10/11/2013 | Diageo PLC | 110 | 4 | 118.5725 | (13,042.98) | 126 2617 | (13,888 79) | (845.81) |
| 10/11/2013 | Dominion Res Inc | 180 | 4 | 51 9057 | (9,343 03) | 62 8027 | (11,304.48) | (1,961.45) |
| 10/11/2013 | Duke Energy | 70 | 1 | 69 0461 | (4,833 23) | 68 6989 | (4,808 92) | 24 31 |
| 10/11/2013 | Deere Co | 120 | 4 | 85 8419 | (10,301 03) | 82 1303 | (9,855 63) | 445 40 |
| 10/11/2013 | Dow Chemical | 110 | 4 | 31 6827 | (3,485 10) | 40.8826 | (4,497 09) | (1,011 99) |
| 10/11/2013 | Du Pont E I De Nemours | 210 | 4 | 44 4337 | (9,331 08) | 57 7828 | (12,134 39) | (2,803 31) |
| 10/11/2013 | Enbridge Inc | 200 | 4 | 42.8560 | (8,571.20) | 41.5032 | (8,300 64) | 270 56 |
| 10/11/2013 | Exxon Mobil | 180 | 4 | 88.4750 | (15,925 50) | 86 8221 | (15,627.98) | 297 52 |
| 10/11/2013 | Fifth Third Bancorp | 340 | 1 | 15 5399 | (5,283 57) | 18 2118 | (6,192 01) | (908 44) |
| 10/11/2013 | Fifth Third Bancorp | 20 | 2 | 15 3500 | (307 00) | 18 2118 | (364 24) | (57 24) |
| 10/11/2013 | General Electric | 397 | 4 | 21.7764 | (8,645 23) | 24 3224 | (9,655 98) | (1,010 75) |
| 10/11/2013 | General Electric | 253 | 5 | 21 1700 | (5,356 01) | 24 3224 | (6,153 56) | (797 55) |
| 10/11/2013 | General Mills | 100 | 4 | 41 5999 | (4,159 99) | 48.2117 | (4,821 17) | (661 18) |
| 10/11/2013 | Honeywell International, Inc | 47 | 4 | 62 1400 | (2,920 58) | 86 0286 | (4,043 34) | (1,122.76) |
| 10/11/2013 | Honeywell International, Inc | 43 | 5 | 66 6000 | (2,863 80) | 86 0286 | (3,699 23) | (835 43) |
| 10/11/2013 | Home Depot | 150 | 4 | 63 0150 | (9,452 25) | 76 3312 | (11,449 68) | (1,997 43) |
| 10/11/2013 | Intel Corp | 210 | 4 | 20 3700 | (4,277.70) | 23 1926 | (4,870 45) | (592.75) |
| 10/11/2013 | International Business Machines | 60 | 4 | 193 0686 | (11,584 12) | 185 7268 | (11,143 61) | 440 51 |
| 10/11/2013 | International Paper Co | 90 | 1 | 47 4462 | (4,270 16) | 44 8296 | (4,034 66) | 235 50 |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 10/11/2013 | JP Morgan Chase | 380 | 4 | 43 02621118 | (16,349 96) | 52 3891 | (19,907 85) | (3,557 89) |
| 10/11/2013 | Johnson & Johnson | 110 | 5 | 70 95 | (7,804 50) | 89 1015 | (9,801 17) | (1,996 67) |
| 10/11/2013 | Johnson Controls | 100 | 4 | 28 51 | (2,850.50) | 42 0235 | (4,202 35) | (1,351 85) |
| 10/11/2013 | Kinder Morgan Inc | 120 | 1 | 37.63730357 | (4,516 48) | 35 4319 | (4,251 83) | 264 65 |
| 10/11/2013 | Kimberly Clark | 62 | 4 | 85.1650 | (5,280 23) | 96 4993 | (5,982 96) | (702 73) |
| 10/11/2013 | Kimberly Clark | 8 | 5 | 85 7557 | (686 05) | 96 4993 | (771 99) | (85 95) |
| 10/11/2013 | Lorillard Inc | 160 | 4 | 39 5787 | (6,332 59) | 46 0317 | (7,365 07) | (1,032 48) |
| 10/11/2013 | Metlife Inc | 60 | 1 | 49 1875 | (2,951 25) | 48 5392 | (2,912 35) | 38 90 |
| 10/11/2013 | Marathon Oil | 140 | 4 | 30.6041 | (4,284.58) | 34 8144 | (4,874 01) | (589 43) |
| 10/11/2013 | Meadwestvaco Corp | 170 | 4 | 30 5199 | (5,188 38) | 37 6842 | (6,406 32) | (1,217 94) |
| 10/11/2013 | Merck & Co | 192 | 4 | 43 6550 | (8,381.76) | 47 2197 | (9,066 18) | (684.42) |
| 10/11/2013 | Merck & Co | 28 | 5 | 43 4453 | (1,216 47) | 47 2197 | (1,322 15) | (105 68) |
| 10/11/2013 | US Bancorp | 240 | 4 | 31 8457 | (7,642 97) | 36 9719 | (8,873 25) | (1,230 28) |
| 10/11/2013 | United Techs Corp | 140 | 4 | 79.7425 | (11,163.95) | 106 7657 | (14,947.20) | (3,783 25) |
| 10/11/2013 | VF Corp | 50 | 5 | 153 2372 | (7,661.86) | 194 8266 | (9,741.33) | (2,079.47) |
| 10/11/2013 | Verizon Communications | 330 | 4 | 43 9332 | (14,497 96) | 46 9330 | (15,487 88) | (989 92) |
| 10/11/2013 | ACE Ltd | 60 | 4 | 80 4800 | (4,828 80) | 93 8208 | (5,629 25) | (800 45) |
| 10/11/2013 | Wal-Mart | 90 | 4 | 69 2000 | (6,228 00) | 74.7092 | (6,723.83) | (495 83) |
| 10/11/2013 | Weyerhaeuser Co | 260 | 4 | 27 6062 | (7,177 61) | 29 1932 | (7,590 23) | (412 62) |
| 10/11/2013 | Wells Fargo & Co | 390 | 4 | 34.1999 | (13,337 96) | 41 2737 | (16,096.74) | (2,758.78) |
| 10/11/2013 | Motorola Solutions | 70 | 1 | 60 9558 | (4,266 91) | 60.3991 | (4,227 94) | 38.97 |
| 10/11/2013 | Marathon Petroleum | 75 | 4 | 62 5699 | (4,692 74) | 66 9589 | (5,021 92) | (329.18) |
| 10/11/2013 | Marathon Petroleum | 5 | 5 | 62 5350 | (312 68) | 66 9589 | (334 79) | (22.12) |
| 10/11/2013 | Mondelez International | 190 | 1 | 31 5692 | (5,998 15) | 30 9333 | (5,877 32) | 120 83 |
| 10/11/2013 | McDonalds | 130 | 4 | 89.7714 | (11,670 29) | 94 5009 | (12,285 12) | (614 83) |
| 10/11/2013 | Microsoft Corp | 200 | 4 | 26 840000 | (5,368 00) | 34 0424 | (6,808 48) | (1,440.48) |
| 10/11/2013 | Nextera Energy Inc | 130 | 4 | 70.49138158 | (9,163.88) | 81 8611 | (10,641 94) | (1,478.06) |
| 10/11/2013 | Newmont Mining Corp | 90 | 1 | 41.1081087 | (3,699 73) | 25 6546 | (2,308 91) | 1,390 82 |
| 10/11/2013 | Northeast Utilities | 120 | 4 | 39 12058394 | (4,694 47) | 42 1118 | (5,053 41) | (358 94) |
| 10/11/2013 | Northrop Grumman | 80 | 4 | 67.0098750 | (5,360 79) | 98 1533 | (7,852 26) | (2,491 47) |
| 10/11/2013 | Occidental Pete Communications | 100 | 4 | 76.1750 | (7,617.50) | 95 3383 | (9,533.83) | (1,916.33) |
| 10/11/2013 | Prudential Financial | 100 | 5 | 51 7850 | (5,178 50) | 79 6824 | (7,968 24) | (2,789.74) |
| 10/11/2013 | Philip Morris | 140 | 4 | 87 1822 | (12,205 51) | 84.8789 | (11,883 05) | 322.46 |
| 10/11/2013 | Phillips 66 | 50 | 4 | 53 5000 | (2,675 00) | 59 6590 | (2,982.95) | (307 95) |
| 10/11/2013 | Pfizer | 350 | 4 | 25 2856 | (8,849 96) | 28 6737 | (10,035 80) | (1,185 84) |
| 10/11/2013 | Praxair Inc | 58 | 4 | 107.3671 | (6,227 29) | 121 2878 | (7,034 69) | (807.40) |
| 10/11/2013 | Praxair Inc | 2 | 5 | 114.1100 | (228 22) | 121 2878 | (242 58) | (14.36) |
| 10/11/2013 | Procter & Gamble | 130 | 4 | 69.6950 | (9,060 35) | 78 2435 | (10,171 66) | (1,111 31) |
| 10/11/2013 | Pub Service Enterprise | 120 | 4 | 30 5650 | (3,667 80) | 33.8044 | (4,056 53) | (388 73) |
| 10/11/2013 | Raytheon Co | 160 | 4 | 57 7999 | (9,247 98) | 76 1012 | (12,176 19) | (2,928 21) |
| 10/11/2013 | Sempra Energy | 52 | 4 | 72 7600 | (3,783 52) | 87 3787 | (4,543 69) | (760 17) |
| 10/11/2013 | Sempra Energy | 8 | 5 | 72 3375 | (578.70) | 87 3787 | (699 03) | (120 33) |
| 10/11/2013 | Schlumberger Ltd | 77 | 4 | 69.1700 | (5,326 09) | 89 9284 | (6,924 48) | (1,598 39) |
| 10/11/2013 | Schlumberger Ltd | 3 | 5 | 72.8200 | (218.46) | 89.9284 | (269 79) | (51.33) |
| 10/11/2013 | Suntrust Bank | 240 | 1 | 27 8886 | (6,693 27) | 33.4143 | (8,019.44) | (1,326.17) |
| 10/11/2013 | Total S A | 150 | 4 | 51 2873 | (7,693 10) | 59 0891 | (8,863 37) | (1,170.27) |
| 10/11/2013 | 3M Company | 59 | 4 | 92 6153 | (5,464 30) | 120 4478 | (7,106.42) | (1,642 12) |
| 10/11/2013 | 3M Company | 1 | 5 | 97 2300 | (97.23) | 120 4478 | (120 45) | (23 22) |
| 10/11/2013 | Travelers Cos | 190 | 2 | 74 1153 | (14,081 91) | 84 5735 | (16,068 97) | (1,987.06) |
| 10/11/2013 | Toronto Dominion Bank | 68 | 5 | 82.6299 | (5,618 83) | 89 2286 | (6,067.54) | (448.71) |
| 10/11/2013 | Toronto Dominion Bank | 2 | 6 | 82 9750 | (165 95) | 89 2286 | (178.46) | (12 51) |
| 10/11/2013 | Unilever NV | 270 | 4 | 38 3955 | (10,366 78) | 37 6630 | (10,169 02) | 197.76 |
| 10/11/2013 | United Parcel Service | 70 | 1 | 85 1199 | (5,958 39) | 90 5884 | (6,341.19) | (382 80) |
| 10/14/2013 | Blackrock US Mortgage | 9110 | 1 | 10 3000 | (93,833 00) | 10 0200 | (91,282 20) | 2,550 80 |
| 10/14/2013 | Blackrock Multi Asset | 7930 | 1 | 11 1100 | (88,102 30) | 11 0900 | (87,943.70) | 158 60 |
| 10/14/2013 | Blackrock Global | 4860 | 1 | 18.3900 | (89,375 40) | 21 6500 | (105,219.00) | (15,843 60) |
| 10/14/2013 | Blackrock Total Return | 7490 | 1 | 11.4400 | (85,685 60) | 11 4100 | (85,460 90) | 224.70 |
| 12/13/2013 | Unilever NV | 52 | 4 | 38 3956 | (1,996 57) | 38 3194 | (1,992 61) | 3 96 |
| 12/13/2013 | Unilever NV | 258 | 5 | 38 2861 | (9,877 81) | 38 3194 | (9,886 41) | (8 60) |
| 12/24/2013 | Blackrock US Mortgage | 3120 | 1 | 10 3000 | (32,136 00) | 9 9400 | (31,012 80) | 1,123.20 |
| 12/24/2013 | Abbott Labs | 28 | 4 | 31 2200 | (874.16) | 38 2794 | (1,071.82) | (197 66) |
| 12/24/2013 | Abbott Labs | 22 | 5 | 33 3814 | (734 39) | 38 2794 | (842 15) | (107.76) |
| 12/24/2013 | American Tower REIT | 20 | 1 | 79 8100 | (1,596 20) | 78 4995 | (1,569 99) | 26 21 |
| 12/24/2013 | Abbvie Inc | 11 | 1 | 34 1255 | (375 38) | 52 5490 | (578 04) | (202 66) |
| 12/24/2013 | Abbvie Inc | 29 | 2 | 33 8555 | (981 81) | 52 5490 | (1,523.92) | (542 11) |
| 12/24/2013 | AT&T | 120 | 4 | 34 0055 | (4,080 66) | 34 8139 | (4,177 67) | (97.01) |
| 12/24/2013 | American Express | 12 | 4 | 57 0900 | (685 08) | 88 5585 | (1,062.70) | (377 62) |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 12/24/2013 | American Express | 28 | 5 | 61.2925 | (1,716 19) | 88 5585 | (2,479 64) | (763 45) |
| 12/24/2013 | BHP Billiton Ltd | 3 | 4 | 77 0733 | (231 22) | 66 6789 | (200 04) | 31 18 |
| 12/24/2013 | BHP Billiton Ltd | 67 | 5 | 76 8700 | (5,150 29) | 66.6789 | (4,467 48) | 682 81 |
| 12/24/2013 | Bristol-Myers Squibb | 110 | 4 | 32 7555 | (3,603 10) | 52.9836 | (5,828 19) | (2,225 09) |
| 12/24/2013 | Bristol-Myers Squibb | 60 | 5 | 34 2255 | (2,053 53) | 52.9836 | (3,179 02) | (1,125 49) |
| 12/24/2013 | Comcast CRO | 107 | 5 | 37 4073 | (4,002 58) | 49 0692 | (5,250 40) | (1,247 82) |
| 12/24/2013 | Comcast CRO | 23 | 6 | 37 1926 | (855.43) | 49 0692 | (1,128 59) | (273.16) |
| 12/24/2013 | Chevron | 43 | 4 | 108.3144 | (4,657.52) | 123 0683 | (5,291.94) | (634 42) |
| 12/24/2013 | Chevron | 27 | 5 | 112 4200 | (3,035.34) | 123 0683 | (3,322.84) | (287 50) |
| 12/24/2013 | Conoco Phillips | 29 | 4 | 58 0852 | (1,684 47) | 69 6694 | (2,020 41) | (335 94) |
| 12/24/2013 | Conoco Phillips | 21 | 5 | 58 5052 | (1,228 61) | 69 6694 | (1,463 06) | (234.45) |
| 12/24/2013 | Citigroup | 70 | 1 | 47 2869 | (3,310 08) | 52 2791 | (3,659.54) | (349 46) |
| 12/24/2013 | Chubb Corp | 50 | 1 | 93 0554 | (4,652.77) | 95.1184 | (4,755 92) | (103.15) |
| 12/24/2013 | Coca Cola | 50 | 4 | 37.4158 | (1,870 79) | 40.1994 | (2,009 97) | (139 18) |
| 12/24/2013 | Coca Cola | 60 | 5 | 36 9848 | (2,219 09) | 40.1994 | (2,411 96) | (192 87) |
| 12/24/2013 | Diageo PLC | 38 | 4 | 118 5724 | (4,505 75) | 128 5190 | (4,883 72) | (377 97) |
| 12/24/2013 | Diageo PLC | 12 | 5 | 115 5300 | (1,386 36) | 128 5190 | (1,542 23) | (155 87) |
| 12/24/2013 | Dominion Res Inc | 55 | 4 | 51 9056 | (2,854 81) | 64 8389 | (3,566 14) | (711 33) |
| 12/24/2013 | Dominion Res Inc | 45 | 5 | 52 5200 | (2,363.40) | 64 8389 | (2,917.75) | (554.35) |
| 12/24/2013 | Duke Energy | 30 | 1 | 69.0460 | (2,071.38) | 69 3190 | (2,079 57) | (8 19) |
| 12/24/2013 | Deere Co | 26 | 4 | 85 8419 | (2,231 89) | 91 1084 | (2,368 82) | (136 93) |
| 12/24/2013 | Deere Co | 44 | 5 | 89 7434 | (3,948 71) | 91.1084 | (4,008 77) | (60 06) |
| 12/24/2013 | Dow Chemical | 50 | 5 | 34 1700 | (1,708.50) | 44 3792 | (2,218 96) | (510 46) |
| 12/24/2013 | Du Pont E I De Nemours | 87 | 4 | 44 4337 | (3,865 73) | 63 3415 | (5,510.71) | (1,644 98) |
| 12/24/2013 | Du Pont E I De Nemours | 43 | 5 | 46 3453 | (1,992 85) | 63 3415 | (2,723 68) | (730 83) |
| 12/24/2013 | Enbridge Inc | 16 | 4 | 42.8563 | (685 70) | 43.1641 | (690 63) | (4.93) |
| 12/24/2013 | Enbridge Inc | 84 | 5 | 44 6919 | (3,754.12) | 43.1641 | (3,625 78) | 128 34 |
| 12/24/2013 | Exxon Mobil | 60 | 4 | 88 4750 | (5,308 50) | 99 3128 | (5,958 77) | (650 27) |
| 12/24/2013 | Exxon Mobil | 40 | 5 | 89.4950 | (3,579 80) | 99 3128 | (3,972 51) | (392 71) |
| 12/24/2013 | Fifth Third Bancorp | 180 | 2 | 15 3500 | (2,763 00) | 21 0496 | (3,788 93) | (1,025 93) |
| 12/24/2013 | General Electric | 370 | 5 | 21.1700 | (7,832 90) | 27 5036 | (10,176 34) | (2,343.44) |
| 12/24/2013 | General Mills | 6 | 4 | 41 6000 | (249 60) | 49.3692 | (296 21) | (46 61) |
| 12/24/2013 | General Mills | 54 | 5 | 40 9757 | (2,212 69) | 49 3692 | (2,665 93) | (453 24) |
| 12/24/2013 | Honeywell International, Inc | 40 | 5 | 66 6000 | (2,664 00) | 90 4985 | (3,619 94) | (955 94) |
| 12/24/2013 | Home Depot | 43 | 4 | 63 0151 | (2,709 65) | 80 6786 | (3,469 18) | (759 53) |
| 12/24/2013 | Home Depot | 27 | 5 | 63 6141 | (1,717 58) | 80 6786 | (2,178 32) | (460 74) |
| 12/24/2013 | Intel Corp | 68 | 4 | 20.3700 | (1,385 16) | 25 5429 | (1,736 92) | (351.76) |
| 12/24/2013 | Intel Corp | 52 | 5 | 21.8760 | (1,137.55) | 25 5429 | (1,328.23) | (190 68) |
| 12/24/2013 | International Business Machines | 26 | 4 | 193 0685 | (5,019.78) | 182 6967 | (4,750 11) | 269.67 |
| 12/24/2013 | International Business Machines | 4 | 5 | 192 4800 | (769.92) | 182 6967 | (730 79) | 39 13 |
| 12/24/2013 | International Paper Co | 50 | 1 | 47 4462 | (2,372 31) | 49 3496 | (2,467.48) | (95.17) |
| 12/24/2013 | JP Morgan Chase | 103 | 4 | 43 0262 | (4,431 70) | 58 2291 | (5,997 60) | (1,565 90) |
| 12/24/2013 | JP Morgan Chase | 107 | 5 | 45.9199 | (4,913 43) | 58 2291 | (6,230 51) | (1,317.08) |
| 12/24/2013 | Johnson & Johnson | 2 | 5 | 70 9500 | (141 90) | 91 9788 | (183 96) | (42 06) |
| 12/24/2013 | Johnson & Johnson | 48 | 6 | 72 6950 | (3,489 36) | 91.9788 | (4,414 98) | (925 62) |
| 12/24/2013 | Johnson Controls | 38 | 4 | 28 5050 | (1,083 19) | 50 8892 | (1,933 79) | (850 60) |
| 12/24/2013 | Johnson Controls | 12 | 5 | 31.5958 | (379 15) | 50 8892 | (610 67) | (231 52) |
| 12/24/2013 | Kinder Morgan Inc | 70 | 1 | 37 6373 | (2,634 61) | 35.5094 | (2,485 66) | 148 95 |
| 12/24/2013 | Kimberly Clark | 30 | 5 | 85.7557 | (2,572 67) | 105 0883 | (3,152 65) | (579 98) |
| 12/24/2013 | Lorillard Inc | 44 | 4 | 39.5786 | (1,741 46) | 50.4294 | (2,218 90) | (477.44) |
| 12/24/2013 | Lorillard Inc | 46 | 5 | 39.0250 | (1,795 15) | 50 4294 | (2,319.75) | (524.60) |
| 12/24/2013 | Metlife Inc | 40 | 1 | 49 1875 | (1,967 50) | 53 2890 | (2,131 56) | (164 06) |
| 12/24/2013 | Marathon Oil | 62 | 4 | 30 6040 | (1,897.45) | 35 1994 | (2,182 36) | (284 91) |
| 12/24/2013 | Marathon Oil | 18 | 5 | 32 0700 | (577 26) | 35 1994 | (633 59) | (56 33) |
| 12/24/2013 | Meadwestvaco Corp | 31 | 4 | 30 5200 | (946 12) | 36 5993 | (1,134 58) | (188 46) |
| 12/24/2013 | Meadwestvaco Corp | 59 | 5 | 32 6931 | (1,928 89) | 36 5993 | (2,159 36) | (230 47) |
| 12/24/2013 | Merck & Co | 130 | 5 | 43 4453 | (5,647.89) | 49 3937 | (6,421 18) | (773 29) |
| 12/24/2013 | Motorola Solutions | 40 | 1 | 60 9558 | (2,438 23) | 66 9788 | (2,679 15) | (240 92) |
| 12/24/2013 | Marathon Petroleum | 30 | 5 | 62 5350 | (1,876 05) | 88 7683 | (2,663 05) | (787.00) |
| 12/24/2013 | Mondelez International | 110 | 1 | 31 5692 | (3,472 61) | 34 6765 | (3,814 41) | (341 80) |
| 12/24/2013 | McDonalds | 31 | 4 | 89.7716 | (2,782 92) | 96 5683 | (2,993 62) | (210 70) |
| 12/24/2013 | McDonalds | 39 | 5 | 91.6872 | (3,575 80) | 96 5683 | (3,766 16) | (190 36) |
| 12/24/2013 | Microsoft Corp | 46 | 4 | 26 8400 | (1,234 64) | 37 0695 | (1,705 19) | (470.55) |
| 12/24/2013 | Microsoft Corp | 64 | 5 | 26 9450 | (1,724 48) | 37 0695 | (2,372 45) | (647 96) |
| 12/24/2013 | Nextera Energy Inc | 22 | 4 | 70 4914 | (1,550 81) | 84 7885 | (1,865 35) | (314 54) |
| 12/24/2013 | Nextera Energy Inc | 38 | 5 | 71 8756 | (2,731 27) | 84.7885 | (3,221 96) | (490 69) |
| 12/24/2013 | Newmont Mining Corp | 60 | 1 | 41 1082 | (2,466 49) | 22 8298 | (1,369 79) | 1,096 70 |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 12/24/2013 | Northeast Utilities | 17 | 4 | 39 1206 | (665 05) | 42 2993 | (719 09) | (54 04) |
| 12/24/2013 | Northeast Utilities | 43 | 5 | 39 0950 | (1,681 09) | 42 2993 | (1,818 87) | (137 79) |
| 12/24/2013 | Northrop Grumman | 40 | 5 | 67 0850 | (2,683 40) | 113 4980 | (4,539 92) | (1,856 52) |
| 12/24/2013 | Occidental Pete Communications | 38 | 4 | 76 1750 | (2,894 65) | 93 1184 | (3,538 50) | (643 85) |
| 12/24/2013 | Occidental Pete Communications | 12 | 5 | 82 3171 | (987 81) | 93 1184 | (1,117 42) | (129 62) |
| 12/24/2013 | Prudential Financial | 43 | 5 | 51 7851 | (2,226 76) | 91 5490 | (3,936 61) | (1,709 85) |
| 12/24/2013 | Prudential Financial | 27 | 6 | 57.1350 | (1,542 65) | 91 5490 | (2,471 82) | (929.18) |
| 12/24/2013 | Philip Morris | 39 | 4 | 87.1821 | (3,400.10) | 85 8975 | (3,350 00) | 50 10 |
| 12/24/2013 | Philip Morris | 61 | 5 | 89 0750 | (5,433 58) | 85 8975 | (5,239 75) | 193 83 |
| 12/24/2013 | Phillips 66 | 15 | 4 | 53 5000 | (802 50) | 74 6585 | (1,119 88) | (317 38) |
| 12/24/2013 | Phillips 67 | 5 | 5 | 51 0189 | (255 09) | 74 6585 | (373 29) | (118 20) |
| 12/24/2013 | Pfizer | 190 | 5 | 26 7355 | (5,079 74) | 30 2896 | (5,755 02) | (675 28) |
| 12/24/2013 | Praxair Inc | 40 | 5 | 114 1099 | (4,564.40) | 128 8578 | (5,154 31) | (589 91) |
| 12/24/2013 | Procter & Gamble | 51 | 4 | 69 6951 | (3,554.45) | 81 5286 | (4,157 96) | (603 51) |
| 12/24/2013 | Procter & Gamble | 19 | 5 | 69 7500 | (1,325 25) | 81 5286 | (1,549 04) | (223 79) |
| 12/24/2013 | Pub Service Enterprise | 14 | 4 | 30 5650 | (427 91) | 31 8495 | (445 89) | (17 98) |
| 12/24/2013 | Pub Service Enterprise | 46 | 5 | 30 0500 | (1,382 30) | 31 8495 | (1,465 08) | (82 78) |
| 12/24/2013 | Raytheon Co | 29 | 4 | 57.8000 | (1,676 20) | 89 6684 | (2,600 38) | (924 18) |
| 12/24/2013 | Raytheon Co | 61 | 5 | 57.7512 | (3,522 82) | 89 6684 | (5,469 78) | (1,946 95) |
| 12/24/2013 | Sempra Energy | 30 | 5 | 72.3374 | (2,170 12) | 89.3383 | (2,680 15) | (510 03) |
| 12/24/2013 | Schlumberger Ltd | 40 | 5 | 72 8200 | (2,912 80) | 88 1990 | (3,527 96) | (615.16) |
| 12/24/2013 | Suntrust Bank | 130 | 1 | 27 8886 | (3,625 52) | 36 8547 | (4,791.11) | (1,165 59) |
| 12/24/2013 | Total S A. | 12 | 4 | 51 2875 | (615 45) | 60 0393 | (720 47) | (105 02) |
| 12/24/2013 | Total S A | 68 | 5 | 53 0969 | (3,610.59) | 60 0393 | (4,082 67) | (472 08) |
| 12/24/2013 | 3M Company | 40 | 5 | 97 2325 | (3,889 30) | 136.7975 | (5,471 90) | (1,582 60) |
| 12/24/2013 | Travelers Cos | 90 | 2 | 74.1153 | (6,670 38) | 89 2886 | (8,035 97) | (1,365 59) |
| 12/24/2013 | Toronto Dominion Bank | 40 | 6 | 82 9725 | (3,318 90) | 93 3385 | (3,733 54) | (414 64) |
| 12/24/2013 | Unilever NV | 100 | 5 | 38 2861 | (3,828 61) | 39 3293 | (3,932 93) | (104 32) |
| 12/24/2013 | United Parcel Service | 40 | 1 | 85 1199 | (3,404 80) | 104 3583 | (4,174 33) | (769 53) |
| 12/24/2013 | US Bancorp | 30 | 4 | 31.8457 | (955 37) | 40 7618 | (1,222 86) | (267 49) |
| 12/24/2013 | US Bancorp | 100 | 5 | 33.4457 | (3,344 57) | 40 7618 | (4,076 18) | (731 61) |
| 12/24/2013 | United Techs Corp | 48 | 4 | 79.7425 | (3,827 64) | 111 3180 | (5,343 26) | (1,515 62) |
| 12/24/2013 | United Techs Corp | 22 | 5 | 85.9088 | (1,889.99) | 111.3180 | (2,449 00) | (559 00) |
| 12/24/2013 | Verizon Communications | 79 | 4 | 43 9332 | (3,470 72) | 48 8217 | (3,856 91) | (386 19) |
| 12/24/2013 | Verizon Communications | 111 | 5 | 42 5999 | (4,728 59) | 48 8217 | (5,419 21) | (690 62) |
| 12/24/2013 | ACE Ltd | 20 | 4 | 80 4800 | (1,609.60) | 101 6080 | (2,032.16) | (422 56) |
| 12/24/2013 | Wal-Mart | 39 | 4 | 69.2000 | (2,698 80) | 78 1186 | (3,046 63) | (347 83) |
| 12/24/2013 | Wal-Mart | 11 | 5 | 68.4848 | (753 33) | 78 1186 | (859 30) | (105 97) |
| 12/24/2013 | Weyerhaeuser Co | 72 | 4 | 27.6063 | (1,987.65) | 31.4539 | (2,264.68) | (277.03) |
| 12/24/2013 | Weyerhaeuser Co | 68 | 5 | 30.7955 | (2,094 09) | 31 4539 | (2,138 87) | (44 77) |
| 12/24/2013 | Wells Fargo & Co | 102 | 4 | 34 1999 | (3,488 39) | 45 3805 | (4,628 81) | (1,140 42) |
| 12/24/2013 | Wells Fargo & Co | 128 | 5 | 34 7555 | (4,448 70) | 45 3805 | (5,808 71) | (1,360 00) |
| 12/24/2013 | Blackrock Multi Asset | 3550 | 1 | 11 1100 | (39,440.50) | 11.2500 | (39,937.50) | (497 00) |
| 12/24/2013 | Blackrock Global | 1300 | 1 | 18 3900 | (23,907 00) | 21.2500 | (27,625 00) | (3,718 00) |
| 12/24/2013 | Blackrock Total Return | 2920 | 1 | 11 4400 | (33,404 80) | 11 4000 | (33,288 00) | 116 80 |
| 12/31/2013 | Blackrock Global | 0 | | | | | | |
| 12/31/2013 | Blackrock Global | 0 | | | | | | |
| 12/31/2013 | Blackrock Multi Asset | 0 | | | | | | |
| 12/31/2013 | Blackrock Multi Asset | 0 | | | | | | |
| 01/03/2014 | Lorillard Inc | 121 | 5 | 39 0251 | (4,722 03) | 49 9028 | (6,038 24) | (1,316 21) |
| 01/03/2014 | Pub Service Enterprise | 89 | 5 | 30 0500 | (2,674 45) | 31 4760 | (2,801 36) | (126 91) |
| 01/06/2014 | Lorillard Inc | 190 | 5 | 39 0251 | (7,414 77) | 49 6405 | (9,431 70) | (2,016 93) |
| 01/06/2014 | Lorillard Inc | 66 | 6 | 40.1254 | (2,648 28) | 49 6405 | (3,276 28) | (628 00) |
| 01/06/2014 | Pub Service Enterprise | 137 | 5 | 30 0500 | (4,116 85) | 31.5656 | (4,324 49) | (207 64) |
| 01/06/2014 | Pub Service Enterprise | 150 | 6 | 31.4859 | (4,722.89) | 31 5656 | (4,734 85) | (11 96) |
| 01/07/2014 | Lorillard Inc | 134 | 6 | 40.1254 | (5,376.80) | 50 4752 | (6,763 68) | (1,386 88) |
| 01/14/2014 | Philip Morris | 230 | 5 | 89 0750 | (20,487 25) | 82 5108 | (18,977 48) | 1,509 77 |
| 01/15/2014 | Newmont Mining Corp | 310 | 1 | 41 1081 | (12,743 51) | 23 6080 | (7,318 47) | 5,425 04 |
| 02/03/2014 | AT&T | 63 | 4 | 34 0056 | (2,142 35) | 32 1603 | (2,026 10) | 116 25 |
| 02/03/2014 | AT&T | 327 | 5 | 34 0550 | (11,135 99) | 32 1603 | (10,516 43) | 619 56 |
| 02/03/2014 | AT&T | 300 | 6 | 35 1899 | (10,556 97) | 32 1603 | (9,648.10) | 908 87 |
| 02/03/2014 | Deere Co | 67 | 6 | 93.2066 | (6,244 84) | 84 9925 | (5,694 50) | 550 34 |
| 02/05/2014 | Deere Co | 215 | 5 | 89 7434 | (19,294.83) | 86 3053 | (18,555 64) | 739 19 |
| 02/05/2014 | Deere Co | 83 | 6 | 93 2066 | (7,736.15) | 86 3053 | (7,163 34) | 572 81 |
| 02/18/2014 | BHP Billiton Ltd | 80 | 5 | 76 8700 | (6,149 60) | 70 1940 | (5,615 52) | 534 08 |
| 02/18/2014 | Unilever NV | 246 | 5 | 38 2861 | (9,418 38) | 38 6594 | (9,510 22) | (91 84) |
| 02/18/2014 | Unilever NV | 44 | 6 | 38 9385 | (1,713.29) | 38.6594 | (1,701 01) | 12 28 |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 02/18/2014 | VF Corp | 100 | 5 | 38 3093 | (3,830 93) | 56 6478 | (5,664 78) | (1,833 85) |
| 03/26/2014 | Coca Cola | 200 | 5 | 36 9849 | (7,396 98) | 38 8925 | (7,778 49) | (381 51) |
| | | | | | | | | (262,383 87) |
| | | | | | | Long-term Capital Gains Per statement | | (17,723 70) |
| | | | | | | **Total (Gain)/Loss** | | **(280,107 57)** |