ENVELOPE POSTMARK DATE NOV 13 2014

SCANNED NOV 17 2014

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 JUL 1, 2013 , and ending JUN 30, 2014

Name of foundation: DON AND MARILYN ALLAN FAMILY FOUNDATION

A Employer identification number: 46-1505684

Number and street (or P O box number if mail is not delivered to street address): C/O CUMMINGS & LOCKWOOD, POB 271820

Room/suite:

B Telephone number: 860-313-4927

City or town, state or province, country, and ZIP or foreign postal code: WEST HARTFORD, CT 06127

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) ▶$ 441,572.

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))

			(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	0.		N/A	
	2	Check ▶ ☒ if the foundation is not required to attach Sch B				
	3	Interest on savings and temporary cash investments	4,258.	4,258.		STATEMENT 1
	4	Dividends and interest from securities	9,766.	9,766.		STATEMENT 2
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	3,345.			
	b	Gross sales price for all assets on line 6a 36,092.				
	7	Capital gain net income (from Part IV, line 2)		3,345.		
	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				
	12	Total. Add lines 1 through 11	17,369.	17,369.		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0.	0.		0.
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees				
	b	Accounting fees				
	c	Other professional fees				
	17	Interest				
	18	Taxes STMT 3	271.	0.		0.
	19	Depreciation and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses STMT 4	6,511.	6,511.		0.
	24	Total operating and administrative expenses. Add lines 13 through 23	6,782.	6,511.		0.
	25	Contributions, gifts, grants paid	46,720.			46,720.
	26	Total expenses and disbursements. Add lines 24 and 25	53,502.	6,511.		46,720.
	27	Subtract line 26 from line 12:				
	a	Excess of revenue over expenses and disbursements	<36,133.>			
	b	Net investment income (if negative, enter -0-)		10,858.		
	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

G14

Form **990-PF** (2013)

3

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	38,086.	19,808.	19,808.
	2	Savings and temporary cash investments			
	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			
	b	Investments - corporate stock STMT 5	163,599.	152,947.	196,429.
	c	Investments - corporate bonds STMT 6	114,909.	103,304.	99,350.
	11	Investments - land, buildings, and equipment basis ▶ Less accumulated depreciation ▶			
	12	Investments - mortgage loans			
	13	Investments - other STMT 7	106,669.	111,071.	125,985.
	14	Land, buildings, and equipment: basis ▶ Less accumulated depreciation ▶			
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	423,263.	387,130.	441,572.
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable			
	22	Other liabilities (describe ▶)			
	23	**Total liabilities** (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.**			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
	27	Capital stock, trust principal, or current funds	0.	0.	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29	Retained earnings, accumulated income, endowment, or other funds	423,263.	387,130.	
	30	**Total net assets or fund balances**	423,263.	387,130.	
	31	**Total liabilities and net assets/fund balances**	423,263.	387,130.	

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	423,263.
2	Enter amount from Part I, line 27a	2	<36,133.>
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	387,130.
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	387,130.

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	PER SCHEDULE ATTACHED	P		
b	PER SCHEDULE ATTACHED	P		
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	29,946.		29,003.	943.
b	4,603.		3,744.	859.
c	1,543.			1,543.
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				943.
b				859.
c				1,543.
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	3,345.
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	6,300.	394,778.	.015958
2011			
2010			
2009			
2008			

2	Total of line 1, column (d)	2	.015958
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	.015958
4	Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	428,721.
5	Multiply line 4 by line 3	5	6,842.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	109.
7	Add lines 5 and 6	7	6,951.
8	Enter qualifying distributions from Part XII, line 4	8	46,720.

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	109.
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	109.
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	109.
6	Credits/Payments:				
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	116.		
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	116.
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	7.
11	Enter the amount of line 10 to be: **Credited to 2014 estimated tax** ▶ 7. **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?	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. ▶ $ 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.*	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? N/A	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) ▶ CT			
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

Form **990-PF** (2013)

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

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

Website address ▶ N/A

14 The books are in care of ▶ PAUL L. BOURDEAU, ESQ. Telephone no. ▶ 860-313-4930

Located at ▶ P.O. BOX 271820, WEST HARTFORD, CT ZIP+4 ▶ 06127

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

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

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

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

			Yes	No
1a	During the year did the foundation (either directly or indirectly):			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No			
b	If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	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.) N/A	2b		
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ______, ______, ______, ______			
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	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)*

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 *If "Yes," attach the statement required by Regulations section 53.4945-5(d)*	☐ Yes ☐ No		
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? *If "Yes" to 6b, file Form 8870.*		6b	X
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
DONALD ALLAN, JR. CUMMINGS & LOCKWOOD, POB 271820 WEST HARTFORD, CT 06127	TRUSTEE 0.00	0.	0.	0.
MARILYN N. ALLAN CUMMINGS & LOCKWOOD, POB 271820 WEST HARTFORD, CT 06127	TRUSTEE 0.00	0.	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

Form **990-PF** (2013)

323551
10-10-13

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.

Form **990-PF** (2013)

323561
10-10-13

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	412,817.
b	Average of monthly cash balances		1b	22,433.
c	Fair market value of all other assets		1c	
d	**Total** (add lines 1a, b, and c)		1d	435,250.
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	435,250.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)		4	6,529.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4		5	428,721.
6	**Minimum investment return.** Enter 5% of line 5		6	21,436.

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	21,436.
2a	Tax on investment income for 2013 from Part VI, line 5	2a 109.		
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b		
c	Add lines 2a and 2b		2c	109.
3	Distributable amount before adjustments. Subtract line 2c from line 1		3	21,327.
4	Recoveries of amounts treated as qualifying distributions		4	0.
5	Add lines 3 and 4		5	21,327.
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	21,327.

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	46,720.
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	46,720.
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	109.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	46,611.

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.

Form **990-PF** (2013)

323571
10-10-13

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				21,327.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			4,886.	
b Total for prior years: ______ , ______ , ______		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008 ______				
b From 2009 ______				
c From 2010 ______				
d From 2011 ______				
e From 2012 ______				
f **Total** of lines 3a through e	0.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ $ 46,720.				
a Applied to 2012, but not more than line 2a			4,886.	
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				21,327.
e Remaining amount distributed out of corpus	20,507.			
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:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	20,507.			
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	0.			
9 **Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a	20,507.			
10 Analysis of line 9:				
a Excess from 2009 ______				
b Excess from 2010 ______				
c Excess from 2011 ______				
d Excess from 2012 ______				
e Excess from 2013 20,507.				

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

1 a 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
2 a 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:

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

c Any submission deadlines:

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

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*				
BOY SCOUTS OF AMERICA / CT RIVERS COUNCIL 60 DARLIN STREET EAST HARTFORD, CT 06108	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	10,000.
CONNECTICUT PUBLIC BROADCASTING, INC. / CPTV/WNPR 1049 ASYLUM AVENUE HARTFORD, CT 060105	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	2,000.
FRONT RANGE EQUINE RESCUE 2200 TWYLBY ROAD LARKSPUR, CO 80118	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000.
JUNIOR ACHIEVEMENT OF SOUTHWEST NEW ENGLAND 70 FARMINGTON AVENUE HARTFORD, CT 06105	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	10,000.
NATIONAL WILDLIFE FEDERATION 11100 WILDLIFE CENTER DRIVE RESTON, VA 20190	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	500.
Total SEE CONTINUATION SHEET(S)			▶ 3a	46,720.
b *Approved for future payment* NONE				
Total			▶ 3b	0.

Form **990-PF** (2013)

323611
10-10-13

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
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments			14	4,258.	
4 Dividends and interest from securities			14	9,766.	
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory			18	3,345.	
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)		0.		17,369.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) 13 17,369.

(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).

323621
10-10-13

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

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

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

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

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

b If "Yes," complete the following schedule.

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

Sign Here

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

▶ Signature of officer or trustee

Date 11/9/14

▶ Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self- employed	PTIN
ALISON A. SANKNER	Alison Sankner	11/12/14		P01608435

Firm's name ▶ CUMMINGS & LOCKWOOD LLC

Firm's EIN ▶ 06-0312590

Firm's address ▶ PO BOX 271820
WEST HARTFORD, CT 06127

Phone no. (860) 313-4900

Form **990-PF** (2013)

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
PEOPLE FOR THE ETHICAL TREATMENT OF ANIMALS 501 FRONT STREET NORFOLK, VA 23510	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000.
PETS ON WHEELS OF CONNECTICUT INC. P.O. BOX 654 GLASTONBURY, CT 06033	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	800.
SALVATION ARMY 1424 NE EXPRESS WAY ATLANTA, GA 30329	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	1,000.
UNITED WAY INC. 30 LAUREL STREET HARTFORD, CT 06106	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	10,000.
UNIVERSITY OF HARTFORD 200 BLOOMFIELD AVENUE WEST HARTFORD, CT 06117	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	10,000.
WOMEN FOR WOMEN INTERNATIONAL 2000 M STREET, NW, SUITE 200 WASHINGTON, DC 20036	NONE	PUBLIC	CURRENT USE FOR CHARITABLE PURPOSES	420.
Total from continuation sheets				23,220.

323631
05-01-13

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
FEDERAL FARM CREDIT BANK @ 3.0% DUE 6/2/17	450.	450.	
FEDERAL FARM CREDIT BANK @ 4.125% DUE 3/4/19	619.	619.	
FEDERAL FARM CREDIT BANK @ 4.15% DUE 1/7/19	830.	830.	
FEDERAL HOME LOAN BANK @ 3.25% DUE 3/9/18	488.	488.	
GENERAL ELEC CAP CORP @ 4.75% DUE 2/15/18	713.	713.	
JOHN DEERE CAPITAL CORP @ 5.75% DUE 9/10/18	1,150.	1,150.	
MERRILL LYNCH #814-04083	2.	2.	
MERRILL LYNCH #814-04117	6.	6.	
TOTAL TO PART I, LINE 3	4,258.	4,258.	

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
ACE LIMITED	117.	0.	117.	117.	
AMERICAN EXPRESS COMPANY	89.	0.	89.	89.	
AMERICAN WATER WORKS CO INC	122.	0.	122.	122.	
CALAMOS MARKET NEUTRAL INC FUND	243.	150.	93.	93.	
CARDINAL HEALTH INC OHIO	176.	0.	176.	176.	
CATERPILLAR INC	115.	0.	115.	115.	
COMCAST CORP NEW CL A	87.	0.	87.	87.	
COSTCO WHOLESALE CORP	68.	0.	68.	68.	
COVIDIEN PLC	117.	0.	117.	117.	
CVS CAREMARK CORP	105.	0.	105.	105.	
DIAGEO PLC SPONSORED ADR	130.	0.	130.	130.	
FEDEX CORP DELAWARE	36.	0.	36.	36.	

GENERAL ELECTRIC CO	233.	0.	233.	233.
HENERSON INTERNATIONAL OPPORTUNITIES	60.	0.	60.	60.
HOME DEPOT INC	108.	0.	108.	108.
HONEYWELL INTERNATIONAL INC	117.	0.	117.	117.
INTERNATIONAL BUSINESS MACHINES	106.	0.	106.	106.
ISHARES MSCI EAFE INDEX FUND	128.	0.	128.	128.
ISHARES TR RUSSELL 2000	72.	0.	72.	72.
JANUS HIGH YIELD FUND CL I	1,333.	367.	966.	966.
JANUS TRITON FUND CL I	725.	691.	34.	34.
LOOMIS SAYLES STRATEGIC INC FUND	444.	25.	419.	419.
LORD ABBETT BOND DEBENTURE FUND	539.	125.	414.	414.
LORD ABBETT SHORT DURATION INC FUND	167.	5.	162.	162.
MARATHON OIL CORP	125.	0.	125.	125.
MCDONALD'S CORP	149.	0.	149.	149.
MCKESSON CORPORATION	10.	0.	10.	10.
MFS INTERNATIONAL VALUE FUND CL I	259.	33.	226.	226.
MICROSOFT CORP	249.	0.	249.	249.
MONSANTO CO NEW	50.	0.	50.	50.
NIKE INC CL B	61.	0.	61.	61.
OCCIDENTAL PETE CORP	153.	0.	153.	153.
PRICE T ROWE GROUP INC	162.	0.	162.	162.
PRINCIPAL MIDCAP FUND CL P	189.	145.	44.	44.
SAP AG	146.	0.	146.	146.
SCHLUMBERGER LTD	100.	0.	100.	100.
SPDR S&P MIDCAP 400 ETF TRUST	97.	0.	97.	97.
TEMPLETON GLOBAL BOND FUND ADV CL	393.	2.	391.	391.
THERMO FISHER SCIENTIFIC INC	24.	0.	24.	24.
UNITED PARCEL SERVICE CL B	177.	0.	177.	177.
UNITED TECHS CORP	153.	0.	153.	153.
VERIZON COMMUNICATIONS	1,983.	0.	1,983.	1,983.
VISA INC CL A	39.	0.	39.	39.
VODAFONE GROUP PLC SP ADR	1,038.	0.	1,038.	1,038.

WELLS FARGO & CO NEW	154.	0.	154.	154.	
WISCONSIN ENERGY CORP	161.	0.	161.	161.	
TO PART I, LINE 4	11,309.	1,543.	9,766.	9,766.	

FORM 990-PF TAXES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAX WITHHELD FROM DIVIDEND	39.	0.		0.
US TREASURY - EXCISE TAX FYE 6/30/13	116.	0.		0.
US TREASURY - ESTIMATED EXCISE TAX FYE 6/30/14	116.	0.		0.
TO FORM 990-PF, PG 1, LN 18	271.	0.		0.

FORM 990-PF OTHER EXPENSES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MERRILL LYNCH WEALTH MANAGEMENT, ADVISORY FEES	6,503.	6,503.		0.
DEPOSITORY BANK SERVICE FEE	8.	8.		0.
TO FORM 990-PF, PG 1, LN 23	6,511.	6,511.		0.

FORM 990-PF CORPORATE STOCK STATEMENT 5

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
53 SH ACE LIMITED	4,568.	5,496.
95 SH AMRICAN EXPRESS COMPANY	5,598.	9,013.
105 SH AMERICAN WATER WORKS CO INC	3,978.	5,192.
144 SH CARDINAL HEALTH INC OHIO	6,305.	9,873.
106 SH COMCAST CORP NEW CL A	4,127.	5,690.
52 SH COSTCO WHOLESALE CORP	5,295.	5,988.

95 SH COVIDIEN PLC	5,327.	8,567.
104 SH CVS CAREMARK CORP	5,305.	7,838.
40 DIAGEO PLC SPONSORED ADR	4,762.	5,091.
63 SH FEDEX CORP DELAWARE	6,356.	9,537.
280 SH GENERAL ELECTRIC CO	6,229.	7,358.
62 SH HOME DEPOT INC	4,137.	5,020.
66 SH HONEYWELL INTERNATIONAL INC	4,462.	6,135.
27 SH INTERNATIONAL BUSINESS MACHINES	5,447.	4,894.
163 SH MARATHON OIL CORP	5,404.	6,507.
46 SH MCDONALD'S CORP	4,317.	4,634.
231 SH MICROSOFT CORP	6,416.	9,633.
29 SH MONSANTO CO NEW	2,908.	3,617.
66 SH NIKE INC CL B	3,538.	5,118.
56 SH OCCIDENTAL PETE CORP	4,678.	5,747.
98 SH PRICE T ROWE GROUP INC	7,144.	8,272.
107 SH SAP AG	8,705.	8,239.
73 SH SCHLUMBERGER LTD	5,596.	8,610.
38 SH THERMO FISHER SCIENTIFIC INC	2,907.	4,484.
68 SH UNITED PARCEL SERVICE CL B	5,406.	6,981.
66 SH UNITED TECHS CORP	5,762.	7,620.
40 SH VERIZON COMMUNICATIONS	1,925.	1,957.
25 SH VISA INC CL A	3,953.	5,268.
84 SH VODAFONE GROUP PLC SP ADR	4,141.	2,805.
122 SH WELLS FARGO & CO NEW	4,266.	6,412.
103 SH WISCONSIN ENERGY CORP	3,985.	4,833.
TOTAL TO FORM 990-PF, PART II, LINE 10B	152,947.	196,429.

FORM 990-PF CORPORATE BONDS STATEMENT 6

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
$15,000 FEDERAL FARM CREDIT BANK BOND @ 4.125% DUE 3/4/19	17,450.	16,628.
$15,000 FEDERAL FARM CREDIT BANK BOND @ 3.0% DUE 6/2/17	16,433.	15,897.
$15,000 FEDERAL HOME LOAN BANK BOND @ 3.25% DUE 3/9/18	16,747.	16,060.
$15,000 GENERAL ELEC CAP CORP BOND @ 4.75% DUE 2/15/18	16,691.	16,477.
$20,000 JOHN DEERE CAPITAL CORP BOND @ 5.75% DUE 9/10/18	24,378.	23,209.
$10,000 FEDERAL FARM CREDIT BANK BOND @ 4.15% DUE 1/7/19	11,605.	11,079.
TOTAL TO FORM 990-PF, PART II, LINE 10C	103,304.	99,350.

FORM 990-PF OTHER INVESTMENTS STATEMENT 7

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
572.628 SH CALAMOS MARKET NEUTRAL INCOME FUND CL I	COST	7,241.	7,433.
388.919 SH HENDERSON INTERNATIONAL OPPORTUNITIES FUND CL I	COST	8,438.	10,575.
73 SH ISHARES MSCI EAFE INDEX FUND	COST	4,239.	4,991.
49 SH ISHARES TR RUSSELL 2000	COST	4,309.	5,822.
1,633.905 SH JANUS HIGH YIELD FUND CL I	COST	15,371.	15,391.
832.115 SH JANUS TRITON FUND CL I	COST	16,156.	20,361.
590.962 SH LOOMIS SAYLES STRATEGIC INCOME FUND CL Y	COST	9,318.	10,194.
878 SH LORD ABBETT BOND DEBENTURE FUND CL F	COST	7,239.	7,358.
922.354 SH LORD ABBETT SHORT DURATION INCOME FUND CL F	COST	4,289.	4,197.
336.428 SH MFS INTERNATIONAL VALUE FUND CL I	COST	9,974.	12,498.
397.839 SH PRINCIPAL MIDCAP FUND CL P	COST	8,073.	8,641.
33 SH SPDR S&P MIDCAP 400 ETF TRUST	COST	6,440.	8,598.
745.739 SH TEMPLETON GLOBAL BOND FUND ADV CL	COST	9,984.	9,926.
TOTAL TO FORM 990-PF, PART II, LINE 13		111,071.	125,985.

The Don and Marilyn Allan Family Foundation - Form 990 PF
EIN: 46-1505684

	Date Acquired	Date Sold	Par Value/Shares	Proceeds	Tax Cost Basis	Gain or Loss
Gains and Losses Short Term						
Caterpillar Inc						
	12/20/2012	12/3/2013	18	$1,526 00	$1,608.12	($82 12)
	1/31/2013	12/3/2013	27	$2,289.00	$2,646.00	($357 00)
	2/6/2013	12/3/2013	17	$1,441.23	$1,683.00	($241 77)
	2/12/2013	12/3/2013	4	$339.11	$383.72	($44 61)
	4/10/2013	12/3/2013	12	$1,017.33	$1,018.80	($1 47)
	6/27/2013	12/3/2013	15	$1,271.67	$1,222.95	$48.72
	9/17/2013	12/3/2013	6	$508.67	$522.90	($14 23)
			Total	**$8,393.01**	**$9,085.49**	**($692.48)**
FedEx Corp Delaware						
	2/12/2013	1/21/2014	1	$142.61	$106.39	$36.22
			Total	**$142.61**	**$106.39**	**$36.22**
Federal Farm Credit Bank bond @ 4.15% due 01/07/2019						
	2/4/2013	1/16/2014	10000	$10,974.78	$11,605.20	($630.42)
			Total	**$10,974.78**	**$11,605.20**	**($630.42)**
General Electric Co.						
	1/30/2013	1/21/2014	5	$136.69	$111.23	$25.46
			Total	**$136.69**	**$111.23**	**$25.46**
Janus Triton Fund Cl I						
	1/28/2013	11/27/2013	230 608	$5,500.00	$4,446 12	$1,053.88
	1/28/2013	1/16/2014	13.917	$334.43	$268.32	$66.11
			Total	**$5,834.43**	**$4,714.44**	**$1,119.99**
Mallinckrodt PLC						
	12/20/2012	7/9/2013	2.875	$121.50	$115.58	$5 92
	1/31/2013	7/9/2013	5.25	$221.87	$229.35	($7.48)
	2/6/2013	7/9/2013	3.25	$137.35	$142.64	($5 29)
	2/12/2013	7/9/2013	0.625	$26.41	$27.38	($0 97)
	2/12/2013	7/15/2013	0.125	$5.17	$5.48	($0 31)
			Total	**$512.30**	**$520.43**	**($8.13)**
McKesson Corporation						
	12/20/2012	10/31/2013	5	$763.85	$491.30	$272.55
	1/31/2013	10/31/2013	10	$1,527.69	$1,068.00	$459.69
	2/6/2013	10/31/2013	6	$916.62	$618.00	$298.62
			Total	**$3,208.16**	**$2,177.30**	**$1,030.86**
Price T Rowe Group Inc						

	Date Acquired	Date Sold	Par Value/Shares	Proceeds	Tax Cost Basis	Gain or Loss
	2/11/2013	1/21/2014	2	$167.13	$145.79	$21.34
			Total	**$167.13**	**$145.79**	**$21.34**
Principal Midcap Fund Cl P						
	10/29/2013	1/16/2014	6.654	$135.94	$133.88	$2.06
			Total	**$135.94**	**$133.88**	**$2.06**
SAP AG						
	1/30/2013	1/21/2014	2	$165.79	$162.14	$3.65
			Total	**$165.79**	**$162.14**	**$3.65**
Templeton Global Bond Fund Adv Cl						
	1/28/2013	1/16/2014	12.257	$159.71	$164 12	($4 41)
			Total	**$159.71**	**$164.12**	**($4.41)**
Thermo Fisher Scientific Inc						
	3/11/2013	1/21/2014	1	$115.08	$76.65	$38.43
			Total	**$115.08**	**$76.65**	**$38.43**
			Total Covered Securities	**$29,945.63**	**$29,003.06**	**$942.57**
			Total Short Term	**$29,945.63**	**$29,003.06**	**$942.57**
Long Term						
Ace Limited						
	12/20/2012	1/21/2014	1	$97.79	$80.99	$16.80
			Total	**$97.79**	**$80.99**	**$16.80**
American Express Company						
	12/20/2012	1/21/2014	2	$174.65	$114.20	$60.45
			Total	**$174.65**	**$114.20**	**$60.45**
American Water Works Co Inc						
	12/20/2012	1/21/2014	2	$82.61	$76.06	$6 55
			Total	**$82.61**	**$76.06**	**$6.55**
CVS Caremark Corp						
	12/20/2012	1/21/2014	2	$136.43	$98.32	$38.11
			Total	**$136.43**	**$98.32**	**$38.11**
Calamos Market Neutral Income Fund Cl I						
	12/18/2012	1/16/2014	9.577	$123.06	$120.67	$2.39
			Total	**$123.06**	**$120.67**	**$2.39**
Cardinal Health Inc Ohio						
	12/20/2012	1/21/2014	2	$135.99	$84.44	$51.55
			Total	**$135.99**	**$84.44**	**$51.55**
Comcast Corp New Cl A						
	12/20/2012	1/21/2014	2	$108.37	$74.82	$33.55
			Total	**$108.37**	**$74.82**	**$33.55**

	Date Acquired	Date Sold	Par Value/Shares	Proceeds	Tax Cost Basis	Gain or Loss
Costco Wholesale Corp						
	12/20/2012	1/21/2014	1	$116.25	$98.09	$18.16
			Total	**$116.25**	**$98.09**	**$18.16**
Covidien PLC						
	12/20/2012	1/21/2014	2	$139.37	$104.91	$34.46
			Total	**$139.37**	**$104.91**	**$34.46**
Diageo PLC Sponsored ADR						
	12/20/2012	1/21/2014	1	$130.10	$118.74	$11.36
			Total	**$130.10**	**$118.74**	**$11.36**
Henderson International Opportunities Fund Cl I						
	12/18/2012	1/16/2014	6.505	$177.65	$137.65	$40.00
			Total	**$177.65**	**$137.65**	**$40.00**
Home Depot Inc.						
	12/20/2012	1/21/2014	1	$81.29	$62.89	$18.40
			Total	**$81.29**	**$62.89**	**$18.40**
Honeywell International Inc						
	12/20/2012	1/21/2014	1	$89.87	$62.31	$27.56
			Total	**$89.87**	**$62.31**	**$27.56**
International Business Machines						
	12/20/2012	1/21/2014	1	$188.25	$193.57	($5 32)
			Total	**$188.25**	**$193.57**	**($5.32)**
Ishares MSCI EAFE Index Fund						
	12/20/2012	1/21/2014	2	$133.77	$112.48	$21.29
			Total	**$133.77**	**$112.48**	**$21.29**
Ishares Tr Russell 2000						
	12/20/2012	1/21/2014	1	$116.08	$83.23	$32.85
			Total	**$116.08**	**$83.23**	**$32.85**
Janus High Yield Fund Cl I						
	12/18/2012	1/16/2014	27.328	$252.51	$255.24	($2.73)
			Total	**$252.51**	**$255.24**	**($2.73)**
Loomis Sayles Strategic Income Fund Cl Y						
	12/18/2012	1/16/2014	11.125	$183.90	$172.99	$10.91
			Total	**$183.90**	**$172.99**	**$10.91**
Lord Abbett Bond Debenture Fund Cl F						
	12/18/2012	1/16/2014	14.685	$120.27	$119.24	$1.03
			Total	**$120.27**	**$119.24**	**$1.03**
Lord Abbett Short Duration Income Fund Cl F						
	12/18/2012	1/16/2014	15.428	$70.20	$71.74	($1 54)
			Total	**$70.20**	**$71.74**	**($1.54)**

	Date Acquired	**Date Sold**	**Par Value/Shares**	**Proceeds**	**Tax Cost Basis**	**Gain or Loss**
MFS International Value Fund Cl I						
	12/18/2012	1/16/2014	5.627	$197.00	$157.33	$39.67
			Total	**$197.00**	**$157.33**	**$39.67**
Marathon Oil Corp						
	12/20/2012	1/21/2014	3	$103.37	$92.37	$11.00
			Total	**$103.37**	**$92.37**	**$11.00**
McDonald's Corp						
	12/20/2012	1/21/2014	1	$95.38	$89.72	$5.66
			Total	**$95.38**	**$89.72**	**$5.66**
Microsoft Corp						
	12/20/2012	1/21/2014	4	$146.41	$108.60	$37.81
			Total	**$146.41**	**$108.60**	**$37.81**
Monsanto Co New						
	12/20/2012	1/21/2014	1	$113.40	$90.36	$23 04
			Total	**$113.40**	**$90.36**	**$23.04**
Nike Inc Cl B						
	12/20/2012	1/21/2014	1	$75.14	$48.82	$26.32
			Total	**$75.14**	**$48.82**	**$26.32**
Occidental Pete Corp						
	12/20/2012	1/21/2014	1	$92.10	$76 30	$15.80
			Total	**$92.10**	**$76.30**	**$15.80**
SPDR S&P Midcap 400 ETF Trust						
	12/20/2012	1/21/2014	1	$246.02	$184.21	$61 81
			Total	**$246.02**	**$184.21**	**$61.81**
Schlumberger Ltd						
	12/20/2012	1/21/2014	1	$88.27	$69.40	$18.87
			Total	**$88.27**	**$69.40**	**$18.87**
United Parcel Service Cl B						
	12/20/2012	1/21/2014	1	$101.05	$73.28	$27.77
			Total	**$101.05**	**$73.28**	**$27.77**
United Techs Corp						
	12/20/2012	1/21/2014	1	$113.86	$80.15	$33.71
			Total	**$113.86**	**$80.15**	**$33.71**
VISA Inc Cl A						
	12/20/2012	1/21/2014	1	$224 03	$149.00	$75.03
			Total	**$224.03**	**$149.00**	**$75.03**
Verizon Communications						
	12/20/2012	2/28/2014	0.765155	$36.48	$35.20	$1.25
			Total	**$36.48**	**$0.00**	**$36.48**

	Date Acquired	**Date Sold**	**Par Value/Shares**	**Proceeds**	**Tax Cost Basis**	**Gain or Loss**
Vodafone Group PLC						
	12/20/2012	3/19/2014	0.545525	$20.69	$26.87	($6 18)
			Total	**$20.69**	**$26.87**	**($6.18)**
Vodafone Group PLC SP ADR						
	12/20/2012	1/21/2014	3	$116.81	$76.80	$40.01
			Total	**$116.81**	**$76.80**	**$40.01**
Wells Fargo & Co New						
	12/20/2012	1/21/2014	2	$92.87	$68.42	$24.45
			Total	**$92.87**	**$68.42**	**$24.45**
Wisconsin Energy Corp						
	12/20/2012	1/21/2014	2	$81.79	$75.06	$6.73
			Total	**$81.79**	**$75.06**	**$6.73**
			Total Long Term	**$4,603.08**	**$3,744.47**	**$858.61**
			Total Short Term	**$29,945.63**	**$29,003.06**	**$942.57**
			Total Gains and Losses	**$34,548.71**	**$32,747.53**	**$1,801.18**

	Date Acquired	Date Sold	Par Value/Shares	Proceeds	Tax Cost Basis	Gain or Loss
Capital Gain Distributions						
Long Term						
Calamos Market Neutral Income Fund Cl I						
	1/29/2013	12/20/2013	0	$149.92	$0.00	$149.92
			Total	**$149.92**	**$0.00**	**$149.92**
Janus High Yield Fund Cl I						
	2/5/2013	1/3/2014	0	$366.75	$0.00	$366.75
			Total	**$366.75**	**$0.00**	**$366.75**
Janus Triton Fund Cl I						
	4/8/2013	12/18/2013	0	$691 10	$0.00	$691.10
			Total	**$691.10**	**$0.00**	**$691.10**
Loomis Sayles Strategic Income Fund Cl Y						
	1/29/2013	12/18/2013	0	$25.17	$0.00	$25.17
			Total	**$25.17**	**$0.00**	**$25.17**
Lord Abbett Bond Debenture Fund Cl F						
	1/29/2013	8/1/2013	0	$15.98	$0.00	$15.98
	1/29/2013	12/19/2013	0	$109.35	$0.00	$109.35
			Total	**$125.33**	**$0.00**	**$125.33**
Lord Abbett Short Duration Income Fund Cl F						
	1/29/2013	12/19/2013	0	$5.25	$0.00	$5.25
			Total	**$5.25**	**$0.00**	**$5.25**
MFS International Value Fund Cl I						
	9/13/2013	12/13/2013	0	$32.78	$0.00	$32 78
			Total	**$32.78**	**$0.00**	**$32.78**
Principal Midcap Fund Cl P						
	11/27/2013	12/19/2013	0	$144.61	$0.00	$144.61
			Total	**$144.61**	**$0.00**	**$144.61**
Templeton Global Bond Fund Adv Cl						
	11/20/2013	12/19/2013	0	$2.29	$0.00	$2.29
			Total	**$2.29**	**$0.00**	**$2.29**
			Total Long Term	**$1,543.20**	**$0.00**	**$1,543.20**
			Total Capital Gains Distributions	**$1,543.20**	**$0.00**	**$1,543.20**