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**

**For calendar year 2013, or tax year beginning** Jul 1 **, 2013, and ending** Jun 30 , 2014

Name of foundation: Audrey G Giegerich Charitable Trust

**A** Employer identification number: 74-6533973

Number and street (or P O box number if mail is not delivered to street address): 20336 W 98th St — Room/suite:

**B** Telephone number (see the instructions): (913) 498-8188

City or town, state or province, country, and ZIP or foreign postal code: Lenexa KS 66220

**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: [X] 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, column (c), line 16)* ► $ 2,931,804.

**J** Accounting method [X] Cash [ ] Accrual [ ] Other (specify) *(Part I, column (d) must be on cash basis )*

**F** If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ► [ ]

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

| | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| REVENUE | 1 Contributions, gifts, grants, etc, received (att sch) | | | | |
| | 2 Ck ► [X] if the foundn is not req to att Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 210. | 210. | 210. | |
| | 4 Dividends and interest from securities | 63,381. | 63,381. | 63,381. | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain/(loss) from sale of assets not on line 10 | 10,555. | L-6a Stmt | | |
| | b Gross sales price for all assets on line 6a 765,271. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 14,669. | | |
| | 8 Net short-term capital gain | | | 308. | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit/(loss) (att sch) | | | | |
| | 11 Other income (attach schedule) | | | | |
| | 12 **Total.** Add lines 1 through 11 | 74,146. | 78,260. | 63,899. | |
| OPERATING AND ADMINISTRATIVE EXPENSES | 13 Compensation of officers, directors, trustees, etc | 10,000. | 10,000. | 10,000. | |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) L-16a Stmt | 1,917. | 1,917. | 1,917. | |
| | b Accounting fees (attach sch) | | | | |
| | c Other prof fees (attach sch) L-16c Stmt | 18,812. | | | |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule)(see instrs) See Line 18 Stmt | 1,188. | 1,188. | 1,188. | |
| | 19 Depreciation (attach sch) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) | | | | |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 31,917. | 13,105. | 13,105. | |
| | 25 Contributions, gifts, grants paid | 138,124. | | | 138,124. |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 170,041. | 13,105. | 13,105. | 138,124. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a **Excess of revenue over expenses and disbursements** | -95,895. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 65,155. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | 50,794. | |

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

| | | Beginning of year | End of year | |
|---|---|---|---|---|
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| ASSETS | 1 Cash — non-interest-bearing | | | |
| | 2 Savings and temporary cash investments | 374,783. | 371,138. | 371,138. |
| | 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 sch) ► | | | |
| | Less allowance for doubtful accounts ► | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments — U S and state government obligations (attach schedule) | 52,351. | | |
| | b Investments — corporate stock (attach schedule) L-10b. Stmt | 1,054,850. | 945,193. | 1,509,452. |
| | c Investments — corporate bonds (attach schedule) L-10c. Stmt | 980,497. | 1,050,255. | 1,051,214. |
| | 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) | 2,462,481. | 2,366,586. | 2,931,804. |
| LIABILITIES | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, & other disqualified persons | | | |
| | 21 Mortgages and other notes payable (attach schedule) | | | |
| | 22 Other liabilities (describe ► ) | | | |
| | 23 **Total liabilities** (add lines 17 through 22) | | | |
| 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 | 2,462,481. | 2,366,586. | |
| | 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, building, and equipment fund | | | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 **Total net assets or fund balances** (see instructions) | 2,462,481. | 2,366,586. | |
| | 31 **Total liabilities and net assets/fund balances** (see instructions) | 2,462,481. | 2,366,586. | |

**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 | 2,462,481. |
| 2 | Enter amount from Part I, line 27a | 2 | -95,895. |
| 3 | Other increases not included in line 2 (itemize) ► | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 2,366,586. |
| 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 | 2,366,586. |

## 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 shares MLC Company) | (b) How acquired P — Purchase D — Donation | (c) Date acquired (month, day, year) | (d) Date sold (month, day, year) |
|---|---|---|---|---|
| 1a | Sales from Midwest trust custody account | P | various | various |
| b | Capital Gain distributions | P | various | various |
| 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 | 765,271. | | 754,716. | 10,555. |
| b | 4,114. | | 0. | 4,114. |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | (i) Fair Market Value as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of column (i) over column (j), if any | (l) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h)) |
|---|---|---|---|---|
| a | 0. | 0. | 0. | 10,555. |
| b | 0. | 0. | 0. | 4,114. |
| 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** 14,669.

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** 308.

## 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 (column (b) divided by column (c)) |
|---|---|---|---|
| 2012 | 133,280. | 2,336,510. | 0.057042 |
| 2011 | 146,370. | 2,052,347. | 0.071318 |
| 2010 | 136,287. | 2,146,621. | 0.063489 |
| 2009 | 130,513. | 2,011,742. | 0.064876 |
| 2008 | 137,346. | 1,981,195. | 0.069325 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0.326050 |
| 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 | 0.065210 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5 | 4 | 0. |
| 5 | Multiply line 4 by line 3 | 5 | 0. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 652. |
| 7 | Add lines 5 and 6 | 7 | 652. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 138,124. |

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)

| | | | |
|---|---|---|---|
| **1 a** 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 instrs)** | | | |
| **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 | 652. |
| **c** All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (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 | 652. |
| **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 | 652. |
| **6** Credits/Payments | | | |
| **a** 2013 estimated tax pmts and 2012 overpayment credited to 2013 | 6a: 0. | | |
| **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 | 0. |
| **8** Enter any **penalty** for underpayment of estimated tax Check here [X] if Form 2220 is attached | | 8 | 9. |
| **9** **Tax due** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ► | | 9 | 661. |
| **10** **Overpayment** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ► | | 10 | 0. |
| **11** Enter the amount of line 10 to be **Credited to 2014 estimated tax** ► | **Refunded** ► | 11 | |

## Part VII-A — Statements Regarding Activities

| | | Yes | No |
|---|---|---|---|
| **1 a** 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 the instructions for 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 |
| **4 a** 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<br>• By language in the governing instrument, or<br>• 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, column (c), and Part XV* | 7 | X | |
| **8 a** Enter the states to which the foundation reports or with which it is registered (see instructions) ►<br>KS - Kansas | | | |
| **b** If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If 'No,' attach explanation* | 8b | X | |
| **9** Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? *If 'Yes,' complete Part XIV* | 9 | | X |
| **10** Did any persons become substantial contributors during the tax year? *If 'Yes,' attach a schedule listing their names and addresses* | 10 | | X |

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

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

Website address ► N/A

14 The books are in care of ► George Thompson, Trustee Telephone no ► (913) 498-8188

Located at ► 20336 W. 98th St. Leawood KS ZIP + 4 ► 66220

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 |
|---|---|---|---|---|
| 1 a | 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)? | 1 b | | |
| | 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? | 1 c | | 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<br>If 'Yes,' list the years ► 20__ , 20__ , 20__ , 20__ | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer 'No' and attach statement — see instructions ) | 2 b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here<br>► 20__ , 20__ , 20__ , 20__ | | | |
| 3 a | 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 )* | 3 b | | |
| 4 a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4 a | | 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? | 4 b | | X |

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

**5 a** 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)? **5 b**

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)*

**6 a** 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? **6 b** No: X

*If 'Yes' to 6b, file Form 8870*

**7 a** 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? **7 b**

**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 |
|---|---|---|---|---|
| George Thompson<br>20336 W. 98th St.<br>Lenexa KS 66220 | Trustee<br>2.00 | 5,000. | 0. | 0. |
| Donald Thompson<br>4502 E. Barwick Dr.<br>Cave Creek AZ 85331 | Trustee<br>2.00 | 5,000. | 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 ► None

**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 ► | | None |

**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 Support of Shriners Hospitals for Children<br>0 | 0. |
| 2 | |
| 3 | |
| 4 | |

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

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 | |
| 2 | |
| All other program-related investments See instructions<br>3 | |
| **Total.** Add lines 1 through 3 ► | |

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

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

**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 | 0. |
| 2 a Tax on investment income for 2013 from Part VI, line 5 | 2 a | 652. | | |
| b Income tax for 2013 (This does not include the tax from Part VI ) | 2 b | | | |
| c Add lines 2a and 2b | | | 2 c | 652. |
| 3 Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 0. |
| 4 Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 Add lines 3 and 4 | | | 5 | 0. |
| 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 | 0. |

**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 | 1 a | 138,124. |
| b Program-related investments – total from Part IX-B | 1 b | |
| 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) | 3 a | |
| b Cash distribution test (attach the required schedule) | 3 b | |
| 4 **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 138,124. |
| 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 | 652. |
| 6 **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 137,472. |

**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 | | | | 0. |
| 2 Undistributed income, if any, as of the end of 2013 | | | | |
| a Enter amount for 2012 only | | | | |
| b Total for prior years 20 ___, 20 ___, 20 ___ | | | | |
| 3 Excess distributions carryover, if any, to 2013 | | | | |
| a From 2008 ... 128,007. | | | | |
| b From 2009 ... 100,141. | | | | |
| c From 2010 ... 29,718. | | | | |
| d From 2011 ... 44,152. | | | | |
| e From 2012 ... 17,594. | | | | |
| f Total of lines 3a through e | 319,612. | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4 ► $ 138,124. | | | | |
| 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 | | | | |
| e Remaining amount distributed out of corpus | 138,124. | | | |
| 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 | 457,736. | | | |
| 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 | | | | |
| 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 instructions | | | 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) (see instructions) | | | | |
| 8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions) | 128,007. | | | |
| **9 Excess distributions carryover to 2014.** Subtract lines 7 and 8 from line 6a | 329,729. | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2009 ... 100,141. | | | | |
| b Excess from 2010 ... 29,718. | | | | |
| c Excess from 2011 ... 44,152. | | | | |
| d Excess from 2012 ... 17,594. | | | | |
| e Excess from 2013 ... 138,124. | | | | |

**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) )

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

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

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

**a** The name, address, and telephone number or e-mail 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* | | | | |
| Shriners Hospital for Children<br>P.O. Box 31311<br>Tampa FL 33631 | | Pub. Char. | general use | 138,124. |
| **Total** . . . ► 3a | | | | 138,124. |
| *b Approved for future payment* | | | | |
| **Total** . . . ► 3b | | | | |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions ) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 210. | |
| 4 Dividends and interest from securities | | | 14 | 63,381. | |
| 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 | | | 14 | 10,555. | |
| 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) | | | | 74,146. | |

**13 Total.** Add line 12, columns (b), (d), and (e) . . . 13 — 74,146.

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

2 a 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 7/14/14 — Title: Trustee

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 |
|---|---|---|---|---|
| Christopher J. Anderson | | 07/14/14 | | P01230806 |
| Firm's name ► ARMSTRONG TEASDALE LLP | | | Firm's EIN ► | |
| Firm's address ► 7700 FORSYTH BLVD SAINT LOUIS MO 63105 | | | Phone no (316) 221-3420 | |

**Form 990-PF Part I, Line 6a**

# Net Gain or Loss From Sale of Assets

**2013**

Name: Audrey G Giegerich Charitable Trust

Employer Identification Number: 74-6533973

## Asset Information:

Description of Property: Midwest Trust Company custody account
Date Acquired: various
How Acquired: Purchased
Date Sold: various
Name of Buyer:
Sales Price: 765,271.
Cost or other basis (do not reduce by depreciation): 754,716.
Sales Expense:
Valuation Method:
Total Gain (Loss): 10,555.
Accumulation Depreciation:

Description of Property:
Date Acquired:
How Acquired:
Date Sold:
Name of Buyer:
Sales Price:
Cost or other basis (do not reduce by depreciation):
Sales Expense:
Valuation Method:
Total Gain (Loss):
Accumulation Depreciation:

Description of Property:
Date Acquired:
How Acquired:
Date Sold:
Name of Buyer:
Sales Price:
Cost or other basis (do not reduce by depreciation):
Sales Expense:
Valuation Method:
Total Gain (Loss):
Accumulation Depreciation:

Description of Property:
Date Acquired:
How Acquired:
Date Sold:
Name of Buyer:
Sales Price:
Cost or other basis (do not reduce by depreciation):
Sales Expense:
Valuation Method:
Total Gain (Loss):
Accumulation Depreciation:

Description of Property:
Date Acquired:
How Acquired:
Date Sold:
Name of Buyer:
Sales Price:
Cost or other basis (do not reduce by depreciation):
Sales Expense:
Valuation Method:
Total Gain (Loss):
Accumulation Depreciation:

Description of Property:
Date Acquired:
How Acquired:
Date Sold:
Name of Buyer:
Sales Price:
Cost or other basis (do not reduce by depreciation):
Sales Expense:
Valuation Method:
Total Gain (Loss):
Accumulation Depreciation:

Description of Property:
Date Acquired:
How Acquired:
Date Sold:
Name of Buyer:
Sales Price:
Cost or other basis (do not reduce by depreciation):
Sales Expense:
Valuation Method:
Total Gain (Loss):
Accumulation Depreciation:

Description of Property:
Date Acquired:
How Acquired:
Date Sold:
Name of Buyer:
Sales Price:
Cost or other basis (do not reduce by depreciation):
Sales Expense:
Valuation Method:
Total Gain (Loss):
Accumulation Depreciation:

Form 990-PF, Page 1, Part I, Line 18
**Line 18 Stmt**

| Taxes | Rev/Exp Book | Net Inv Inc | Adj Net Inc | Charity Disb |
|---|---|---|---|---|
| Real Estate | 48. | 48. | 48. | |
| Income | 1,140. | 1,140. | 1,140. | |
| Total | 1,188. | 1,188. | 1,188. | |

Form 990-PF, Page 1, Part I
**Line 16a - Legal Fees**

| Name of Provider | Type of Service Provided | Amount Paid Per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|---|
| ArmstrongTeas. | Tax | 1,917. | 1,917. | 1,917. | |
| Total | | 1,917. | 1,917. | 1,917. | |

Form 990-PF, Page 1, Part I
**Line 16c - Other Professional Fees**

| Name of Provider | Type of Service Provided | Amount Paid Per Books | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|---|---|---|---|---|---|
| Midwest Trust | custody fees | 18,812. | | | |
| Total | | 18,812. | | | |

Form 990-PF, Page 2, Part II, Line 10b
**L-10b Stmt**

| Line 10b - Investments - Corporate Stock: | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| Midwest Trust custody | 945,193. | 1,509,452. |
| Total | 945,193. | 1,509,452. |

Form 990-PF, Page 2, Part II, Line 10c
**L- 10c Stmt**

| Line 10c - Investments - Corporate Bonds: | End of Year Book Value | End of Year Fair Market Value |
|---|---|---|
| Midwest Trust custody | 1,050,255. | 1,051,214. |
| Total | 1,050,255. | 1,051,214. |

**Supporting Statement of:**

Form 990-PF, p1/Line 13(a)

| Description | Amount |
|---|---|
| Trustees fees | 10,000. |
| Total | 10,000. |

**Supporting Statement of:**

Form 990-PF, p2/Line 2(b)

| Description | Amount |
|---|---|
| Bank Account | 12,252. |
| Midwest Trust custody | 358,886. |
| Total | 371,138. |

**Supporting Statement of:**

Form 990-PF,p12/Line 4 Column (d)

| Description | Amount |
|---|---|
| Midwest Trust Custody Interest | 11,129. |
| Midwest Trust Custody Dividends | 51,841. |
| Midwest Trust Custody Cap Gain Distribs | 411. |
| Total | 63,381. |

MIDWEST TRUST

THE SOURCE



JUNE 01, 2014 TO JUNE 30, 2014

ACCOUNT NAME· GIEGERICH A CUST

ACCOUNT NUMBER: 10840010715

## PORTFOLIO DETAIL

| DESCRIPTION | MARKET VALUE/ PRICE | TAX COST/ UNREALIZED GAIN/LOSS | EST ANNUAL INCOME/ ACCRUED INC | CURRENT YIELD |
|---|---|---|---|---|
| **CASH AND EQUIVALENTS** | | | | |
| NORTHERN INSTL GOVERNMENT SELECT MONEY MARKET 010% | 358,886 32<br>1 00 | 358,886 32<br>0 00 | 35 89<br>2 99 | 0 01 |
| CASH | 0 00 | <br>0 00 | | |
| **TOTAL CASH AND EQUIVALENTS** | **358,886.32** | **358,886.32**<br>**0.00** | **35.89**<br>**2.99** | **0.01** |

| DESCRIPTION | TICKER | SHARES | MARKET VALUE/ PRICE | TAX COST/ UNREALIZED GAIN/LOSS | EST ANNUAL INCOME/ ACCRUED INC | CURRENT YIELD |
|---|---|---|---|---|---|---|
| **EQUITIES** | | | | | | |
| AMERIPRISE FINANCIAL INC | AMP | 300 000 | 36,000 00<br>120 00 | 12,755 28<br>23,244 72 | 696 00 | 1 93 |
| APPLE INC | AAPL | 525 000 | 48,788 25<br>92 93 | 31,244 75<br>17,543 50 | 987 00 | 2 02 |
| BARRICK GOLD CORP | ABX | 450 000 | 8,235 00<br>18 30 | 16,327 42<br>8,092 42- | 90 00 | 1 09 |
| BED BATH BEYOND INC | BBBY | 200 000 | 11,476 00<br>57 38 | 13,493 84<br>2,017 84- | | |
| BHP BILLITON LTD ADR | BHP | 190 000 | 13,005 50<br>68 45 | 8,656 02<br>4,349 48 | 448 40 | 3 45 |
| CME GROUP INC | CME | 240 000 | 17,028 00<br>70 95 | 12,264 00<br>4,764 00 | 451 20 | 2 65 |
| CERNER CORP | CERN | 560 000 | 28,884 80<br>51 58 | 4,937 11<br>23,947 69 | | |
| CHEVRON CORP | CVX | 100 000 | 13,055 00<br>130 55 | 5,842 00<br>7,213 00 | 428 00 | 3 28 |
| CHUBB CORP | CB | 165 000 | 15,208 05<br>92 17 | 13,653 34<br>1,554 71 | 330 00<br>82 50 | 2 17 |
| DFA US SMALL CAP | DFSTX | 3,255 186 | 103,710 23<br>31 86 | 58,344 31<br>45,365 92 | 820 31 | 0 79 |
| DANAHER CORP | DHR | 400 000 | 31,492 00<br>78 73 | 14,765 92<br>16,726 08 | 160 00<br>40 00 | 0 51 |
| DIRECTV | DTV | 350 000 | 29,753 50<br>85 01 | 17,076 81<br>12,676 69 | | |
| DOMINION RESOURCES INC | D | 300 000 | 21,456 00<br>71 52 | 13,879 08<br>7,576 92 | 720 00 | 3 36 |
| DU PONT E I DE NEMOURS & CO | DD | 350 000 | 22,904 00<br>65 44 | 15,911 91<br>6,992 09 | 630 00 | 2 75 |

## PORTFOLIO DETAIL ( CONTINUED )

| DESCRIPTION | TICKER | SHARES | MARKET VALUE/ PRICE | TAX COST/ UNREALIZED GAIN/LOSS | EST ANNUAL INCOME/ ACCRUED INC | CURRENT YIELD |
|---|---|---|---|---|---|---|
| **EQUITIES** | | | | | | |
| EMC CORP MASS | EMC | 650 000 | 17,121 00<br>26 34 | 12 234 58<br>4,886 42 | 299 00<br>74 75 | 1 75 |
| EBAY INC | EBAY | 275 000 | 13,766 50<br>50 06 | 14,319 99<br>553 49- | | |
| ECOLAB INC | ECL | 200 000 | 22,268 00<br>111 34 | 9,539 17<br>12,728 83 | 220 00<br>55 00 | 0 99 |
| EMERSON ELECTRIC CO | EMR | 335 000 | 22,230 60<br>66 36 | 13,952 33<br>8,278 27 | 576 20 | 2 59 |
| EXPRESS SCRIPTS HOLDING COMPANY | ESRX | 300 000 | 20,799 00<br>69 33 | 20,747 01<br>51 99 | | |
| EXXON MOBIL CORP | XOM | 200 000 | 20,136 00<br>100 68 | 9,758 28<br>10,377 72 | 552 00 | 2 74 |
| FORD MOTOR CO | F | 1,000 000 | 17,240 00<br>17 24 | 13,955 50<br>3,284 50 | 500 00 | 2 90 |
| GENERAL ELECTRIC CO | GE | 750 000 | 19,710 00<br>26 28 | 15,332 41<br>4,377 59 | 660 00<br>165 00 | 3 35 |
| GOOGLE INC | GOOGL | 20 000 | 11,693 40<br>584 67 | 4,980 88<br>6,712 52 | | |
| GOOGLE INC CL C | GOOG | 20 000 | 11,505 60<br>575 28 | 4,964 96<br>6,540 64 | | |
| INTEL CORP | INTC | 650 000 | 20,085 00<br>30 90 | 12,917 50<br>7,167 50 | 585 00 | 2 91 |
| ISHARES DOW JONES US TECHNOLOGY | IYW | 350 000 | 33,908 00<br>96 88 | 17,717 02<br>16,190 98 | 365 40 | 1 08 |
| IVY INTERNATIONAL CORE EQUITY I | ICEIX | 7,251 544 | 148,511 62<br>20 48 | 96,575 24<br>51,936 38 | 3,016 64 | 2 03 |
| JPMORGAN CHASE & CO | JPM | 400 000 | 23,048 00<br>57 62 | 18,650 40<br>4,397 60 | 640 00 | 2 78 |
| JOHNSON & JOHNSON | JNJ | 185 000 | 19,354 70<br>104 62 | 11,749 97<br>7,604 73 | 518 00 | 2 68 |
| JOHNSON CONTROLS INC | JCI | 500 000 | 24,965 00<br>49 93 | 13,744 27<br>11,220 73 | 440 00<br>110 00 | 1 76 |
| KOHLS CORP | KSS | 350 000 | 18,438 00<br>52 68 | 15,581 85<br>2,856 15 | 546 00 | 2 96 |
| KRAFT FOODS GROUP INC | KRFT | 250 000 | 14,987 50<br>59 95 | 13,442 40<br>1,545 10 | 525 00 | 3 50 |
| METLIFE INC | MET | 285 000 | 15,834 60<br>55 56 | 7,954 35<br>7,880 25 | 399 00 | 2 52 |

## PORTFOLIO DETAIL ( CONTINUED )

| DESCRIPTION | TICKER | SHARES | MARKET VALUE/ PRICE | TAX COST/ UNREALIZED GAIN/LOSS | EST ANNUAL INCOME/ ACCRUED INC | CURRENT YIELD |
|---|---|---|---|---|---|---|
| **EQUITIES** | | | | | | |
| MICROSOFT CORP | MSFT | 750 000 | 31,275 00<br>41 70 | 20,507 96<br>10,767 04 | 840 00 | 2 69 |
| NATIONAL OIL WELL VARCO INC | NOV | 225 000 | 18,528 75<br>82 35 | 7,269 55<br>11,259 20 | 414 00 | 2 23 |
| NOW INC | DNOW | 56 000 | 2,027 76<br>36 21 | 809 93<br>1,217 83 | 58 24 | 2 87 |
| OCCIDENTAL PETROLEUM CORP | OXY | 200 000 | 20,526 00<br>102 63 | 15,743 00<br>4,783 00 | 576 00<br>144 00 | 2 81 |
| ORACLE CORP | ORCL | 700 000 | 28,371 00<br>40 53 | 15,499 73<br>12,871 27 | 336 00 | 1 18 |
| OPPENHEIMER DEVELOPING MARKETS Y | ODVYX | 719 589 | 28,654 03<br>39 82 | 25,128 34<br>3,525 69 | 117 29 | 0 41 |
| PNC FINANCIAL SERVICES GROUP INC | PNC | 275 000 | 24,488 75<br>89 05 | 16,473 52<br>8,015 23 | 528 00 | 2 16 |
| PEPSICO INC | PEP | 250 000 | 22,335 00<br>89 34 | 17,499 65<br>4,835 35 | 655 00 | 2 93 |
| T ROWE PRICE GROUP INC | TROW | 200 000 | 16,882 00<br>84 41 | 15,452 60<br>1,429 40 | 352 00 | 2 09 |
| PROCTER & GAMBLE CO | PG | 250 000 | 19,647 50<br>78 59 | 15,480 00<br>4,167 50 | 643 50 | 3 28 |
| QUALCOMM INC | QCOM | 350 000 | 27,720 00<br>79 20 | 16,569 86<br>11,150 14 | 588 00 | 2 12 |
| SPDR S&P MIDCAP 400 | MDY | 600 000 | 156,336 00<br>260 56 | 78,354 20<br>77,981 80 | 1,701 60<br>467 26 | 1 09 |
| HEALTH CARE SELECT SECTOR SPDR FUND | XLV | 500 000 | 30,415 00<br>60 83 | 16,665 00<br>13,750 00 | 434 50 | 1 43 |
| INDUSTRIAL SELECT SECTOR SPDR FUND | XLI | 350 000 | 18,921 00<br>54 06 | 9,022 00<br>9,899 00 | 333 20 | 1 76 |
| TESORO CORP | TSO | 250 000 | 14,667 50<br>58 67 | 12,638 35<br>2,029 15 | 250 00 | 1 70 |
| THERMO FISHER SCIENTIFIC INC | TMO | 225 000 | 26,550 00<br>118 00 | 11,106 01<br>15,443 99 | 135 00<br>33 75 | 0 51 |
| TORTOISE MLP FD INC | NTG | 750 000 | 22,440 00<br>29 92 | 15,100 64<br>7,339 36 | 1,263 75 | 5 63 |
| UNITED TECHNOLOGIES CORP | UTX | 200 000 | 23,090 00<br>115 45 | 12,700 75<br>10,389 25 | 472 00 | 2 04 |
| UNITEDHEALTH GROUP INC | UNH | 200 000 | 16,350 00<br>81 75 | 10,395 50<br>5,954 50 | 300 00 | 1 83 |

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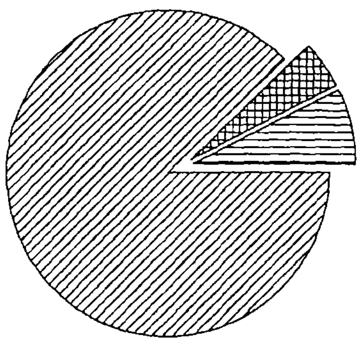
THE SOURCE

JUNE 01, 2014 TO JUNE 30, 2014
ACCOUNT NAME: GIEGERICH A CUST
ACCOUNT NUMBER: 10840010715

## PORTFOLIO DETAIL ( CONTINUED )

| DESCRIPTION | TICKER | SHARES | MARKET VALUE/ PRICE | TAX COST/ UNREALIZED GAIN/LOSS | EST ANNUAL INCOME/ ACCRUED INC | CURRENT YIELD |
|---|---|---|---|---|---|---|
| **EQUITIES** | | | | | | |
| VANGUARD MSCI EMERGING MARKETS ETF | VWO | 550 000 | 23,721 50<br>43 13 | 21,021 11<br>2,700 39 | 596 20 | 2 51 |
| VERIZON COMMUNICATIONS INC | VZ | 250 000 | 12,232 50<br>48 93 | 9,024 55<br>3,207 95 | 530 00 | 4 33 |
| ACCENTURE PLC | ACN | 175 000 | 14,147 00<br>80 84 | 9,211 69<br>4,935 31 | 325 50 | 2 30 |
| COVIDIEN PLC (NEW) | COV | 150 000 | 13,527 00<br>90 18 | 6,249 62<br>7,277 38 | 192 00 | 1 42 |
| TOTAL EQUITIES | | | 1,509,452 14 | 945,193 46<br>564,258.68 | 27,244 93<br>1,172.26 | 1 80 |

## BOND QUALITY SUMMARY



| S & P QUALITY RATING | MARKET VALUE | PERCENT |
|---|---|---|
| AA+ | 78, 821 00 | 7 5% |
| A- | 50, 089 00 | 4 8% |
| NOT RATED | 922, 303 80 | 87 7% |
| Total | 1, 051, 213 80 | 100 0% |

| DESCRIPTION | RATING | PAR VALUE | MARKET VALUE/ PRICE | TAX COST/ UNREALIZED GAIN/LOSS | EST ANNUAL INCOME/ ACCRUED INC | CURRENT YIELD |
|---|---|---|---|---|---|---|
| **FIXED INCOME** | | | | | | |
| DFA ONE-YEAR FIXED INCOME I | | 6,372 595 | 65,765 18<br>10 32 | 65,812 95<br>47 77- | 235 79 | 0 36 |
| DODGE & COX INCOME FUND | | 7,206 456 | 100,097 67<br>13 89 | 100,308 91<br>211 24- | 3,062 74 | 3 06 |
| EATON VANCE FLOATING RATE I | | 21,876 161 | 200,166 87<br>9 15 | 200,000 00<br>166 87 | 7,525 40<br>627 12 | 3 76 |
| GENERAL ELECTRIC CAPITAL CORP VR 1 2776% 04/15/2023 | AA+ | 50,000 000 | 49,959 50<br>99 92 | 49,700 00<br>259 50 | 638 80<br>136 63 | 1 28 |

JUNE 01, 2014 TO JUNE 30, 2014
ACCOUNT NAME: GIEGERICH A CUST
ACCOUNT NUMBER: 10840010715

## PORTFOLIO DETAIL ( CONTINUED )

| DESCRIPTION | RATING | PAR VALUE | MARKET VALUE/ PRICE | TAX COST/ UNREALIZED GAIN/LOSS | EST ANNUAL INCOME/ ACCRUED INC | CURRENT YIELD |
|---|---|---|---|---|---|---|
| **FIXED INCOME** | | | | | | |
| GOLDMAN SACHS STRATEGIC INCOME INSTL | | 7,149 990 | 75,646 89<br>10 58 | 75,000 00<br>646 89 | 2,016 30<br>168 03 | 2 67 |
| ING GROEP NV ING GROEP NV PFD 6 375% 06/15/2012 | | 2,000 000 | 50,880 00<br>25 44 | 49,838 90<br>1,041 10 | 3,188 00 | 6 27 |
| LAKE CENTRAL IN MULTI DIST SCH MTG BDS 2012B 5% 07/15/2024-2023 | AA+ | 25,000 000 | 28,861 50<br>115 45 | 27,187 50<br>1,674 00 | 1,250 00<br>576 39 | 4 33 |
| LARIMER CNTY CO SCH DIST #R-1 BABS 4 053% 12/15/2018 | | 25,000 000 | 27 036 00<br>108 14 | 25,089 50<br>1,946 50 | 1,013 25<br>45 03 | 3 75 |
| LORD ABBETT SHORT DURATION INCOME I | | 21,582 833 | 98 201 89<br>4 55 | 100,142 04<br>1,940 15- | 3,798 58<br>316 55 | 3 87 |
| MESA COUNTY CO SCH DIST GO BDS 2004A 5% 12/01/2020-2014 | | 50,000 000 | 50,996 00<br>101 99 | 53,747 50<br>2,751 50- | 2,500 00<br>208 33 | 4 90 |
| MORGAN STANLEY SENIOR NOTE 2 875% 07/28/2014 | A- | 50,000 000 | 50,089 00<br>100 18 | 51,250 00<br>1,161 00- | 1,437 50<br>610 94 | 2 87 |
| TULSA COUNTY OK INDEPENDENT SCHOOL DISTRICT GENERAL PURPOSE 1% 07/01/2014 | | 50,000 000 | 50,000 00<br>100 00 | 50,432 00<br>432 00- | 500 00<br>1,000 00 | 1 00 |
| VANGUARD SHORT-TERM INVESTMENT-GRADE FUND 39 | | 18,896 314 | 203,513 30<br>10 77 | 201,745 43<br>1,767 87 | 3,835 95<br>319 66 | 1 88 |
| **TOTAL FIXED INCOME** | | | 1,051,213 80 | 1,050,254 73<br>959.07 | 31,002.31<br>4,008.68 | 2 95 |
| **TOTAL ASSETS** | | | 2,919,552.26 | 2,354,334.51<br>565,217.75 | 58,283 13<br>5,183 93 | 2 00 |
| **TOTAL ACCRUED INC** | | | 5,183 93 | 5,183 93 | | |
| **GRAND TOTAL ASSETS** | | | 2,924,736.19 | 2,359,518.44<br>565,217.75 | 58,283 13<br>5,183 93 | 2 00 |

Audrey G. Giegerich Charitable Trust--2014 Gain and Loss Summary

| Date | Sales Price | Cost | Gain/Loss | Gain Distribs | Total |
|---|---|---|---|---|---|
| July, 2013 | 68,810.86 | 65,432.74 | 3,378.12 | | 3,378.12 |
| August, 2013 | 126,381.03 | 126,217.64 | 163.39 | | 163.39 |
| Sept , 2013 | 94,749.65 | 97,690.45 | -2,940.80 | | -2,940.80 |
| Oct., 2013 | 209,808.56 | 197,205.51 | 12,603.05 | | 12,603.05 |
| Nov., 2013 | | | | | |
| Dec., 2013 | 5,222.51 | 13,058.71 | -7,836.20 | 3748.82 | -4,087.38 |
| Jan., 2014 | | | | | |
| Feb., 2014 | 51,966.96 | 52,028.23 | -61.27 | | -61.27 |
| March, 2014 | 57,153.87 | 61,578.94 | -4,425.07 | 308.91 | -4,116.16 |
| April, 2014 | 62,843.77 | 63,592.44 | -748.67 | 56.67 | -692.00 |
| May, 2014 | 50,380.84 | 42,709.77 | 7,671.07 | | 7,671.07 |
| June, 2014 | 37,953.23 | 37,645.52 | 307.71 | | 307.71 |
| Total | 765,271.28 | 757,159.95 | 8,111.33 | 4,114.40 | 12,225.73 |

MIDWEST TRUST

THE SOURCE



JUNE 01, 2014 TO JUNE 30, 2014

ACCOUNT NAME: GIEGERICH A CUST

ACCOUNT NUMBER: 10840010715

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| **FEES** | | | | |
| | NET MONTHLY FEE TO FOR THE PERIOD | 1,616 66- | | |
| **TOTAL FEES** | | 1,616.66- | 0.00 | 0 00 |
| **OTHER DISBURSEMENTS** | | | | |
| 06/18/14 | 067901108<br>FOREIGN TAX WITHHELD AND PAID TO ON BARRICK GOLD CORP EFFECTIVE 06/16/2014 | 3 38- | | |
| **TOTAL OTHER DISBURSEMENTS** | | 3.38- | 0 00 | 0 00 |
| **SALES AND MATURITIES** | | | | |
| 06/02/14 | 731197UL1<br>REDEEMED 06/02/2014 25,000 UNITS POLK COUNTY IA GO BDS 2006C 4% 06/01/2020-2014 | 25,000 00 | 25,638 00- | 638 00- |
| 06/12/14 | 67011P100<br>SOLD .25 SHS NOW INC ON 06/02/2014 AT 33 6534 CASH IN LIEU OF FRACTIONAL SHARE | 8 41 | 7 52- | 0 89 |
| 06/30/14 | 370334104<br>SOLD 250 SHS GENERAL MILLS INC ON 06/25/2014 AT 51 8304 THRU FOX RIVER EXECUTION TECHNOLOGY LLC COMMISSIONS PAID 12 50 EXPENSES PAID 0 28 | 12,944 82 | 12,000 00- | 944 82 |
| **TOTAL SALES AND MATURITIES** | | 37,953.23 | 37,645.52- | 307 71 |
| **NON CASH ACTIVITY** | | | | |
| 06/02/14 | 89148B101<br>TAX COST REDUCTION OF $ 315 94 ON TORTOISE MLP FD INC TRADE DATE 05/30/2014 AS RETURN OF CAPITAL<br>MARKET VALUE 0 00 | 0 00 | | |
| 06/02/14 | 637071101<br>SPINOFF NATIONAL OIL WELL VARCO INC AT THE RATE OF 25% FOR 56 25 SHS NOW INC | 0 00 | | |
| 06/02/14 | 67011P100<br>SPINOFF NATIONAL OIL WELL VARCO INC AT THE RATE OF 25% FOR 56 25 SHS NOW INC | 0 00 | | |
| 06/09/14 | 037833100<br>RECEIVED 7-FOR-1 STK SPLIT 450 SHS APPLE INC | 0 00 | | |

**MAY 01, 2014 TO MAY 31, 2014**
**ACCOUNT NAME:** GIEGERICH A CUST
**ACCOUNT NUMBER:** 10840010715

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| **FEES** | | | | |
| | NET MONTHLY FEE TO FOR THE PERIOD | 1,603 03- | | |
| **TOTAL FEES** | | **1,603.03-** | **0.00** | **0.00** |
| **SALES AND MATURITIES** | | | | |
| 05/01/14 | 485428Y83<br>MATURED 25,000 UNITS KANSAS STATE KANSAS ST DEV FIN AUTH 4% 05/01/2014 | 25,000 00 | 25,951.25- | 951 25- |
| 05/23/14 | 580135101<br>SOLD 250 SHS MCDONALDS CORP ON 05/20/2014 AT 101 5756 THRU INSTINET COMMISSIONS PAID 12 50 EXPENSES PAID 0 56 | 25,380 84 | 16,758 52- | 8,622 32 |
| **TOTAL SALES AND MATURITIES** | | **50,380.84** | **42,709.77-** | **7,671.07** |
| **ENDING BALANCE** | | **0.00** | **2,347,214.71** | **7,671.07** |

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APRIL 01, 2014 TO APRIL 30, 2014
ACCOUNT NAME: GIEGERICH A CUST
ACCOUNT NUMBER: 10840010715

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| **INTEREST** | | | | |
| 04/16/14 | 36966TJA1<br>INTEREST ON 50,000 UNITS GENERAL ELECTRIC CAPITAL CORP VR 1 2776% 04/15/2023 PAYABLE 04/15/2014 EFFECTIVE 04/15/2014 | 154 86 | | |
| 04/30/14 | 3134G4HR2<br>INTEREST ON 50,000 UNITS FHLMC CALL STEP 1 25% 10/30/2018-2014 PAYABLE 04/30/2014 | 312 50 | | |
| **TOTAL INTEREST** | | 467.36 | 0 00 | 0.00 |
| **PURCHASES** | | | | |
| 04/02/14 | 922031406<br>PURCHASED 5.281 SHS VANGUARD SHORT-TERM INVESTMENT-GRADE FUND 39 ON 04/01/2014 AT 10 73 FOR REINVESTMENT | 56 67- | 56 67 | |
| 04/14/14 | 075896100<br>PURCHASED 200 SHS BED BATH BEYOND INC ON 04/09/2014 AT 67 4192 THRU FOX RIVER EXECUTION TECHNOLOGY LLC COMMISSIONS PAID 10.00 | 13,493 84- | 13,493 84 | |
| | 665278701<br>NET DEPOSIT NORTHERN INSTL GOVERNMENT SELECT MONEY MARKET 010% | 51,129 27- | 51,129 27 | |
| **TOTAL PURCHASES** | | 64,679.78- | 64,679.78 | 0.00 |
| **FEES** | | | | |
| | NET MONTHLY FEE TO FOR THE PERIOD | 1,603 59- | | |
| **TOTAL FEES** | | 1,603.59- | 0.00 | 0 00 |
| **SALES AND MATURITIES** | | | | |
| 04/14/14 | 871503108<br>SOLD 625 SHS SYMANTEC CORP ON 04/09/2014 AT 20 6005 THRU FOX RIVER EXECUTION TECHNOLOGY LLC COMMISSIONS PAID 31 25 EXPENSES PAID 0 29 | 12,843 77 | 13,592 44- | 748 67- |
| 04/30/14 | 3134G4HR2<br>REDEEMED 04/30/2014 50,000 UNITS FHLMC CALL STEP 1 25% 10/30/2018-2014 | 50,000 00 | 50,000 00- | |
| **TOTAL SALES AND MATURITIES** | | 62,843.77 | 63,592 44- | 748.67- |

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| **PURCHASES** | | | | |
| 03/27/14 | 256210105<br>PURCHASED 22.548 SHS DODGE & COX INCOME FUND ON 03/27/2014 AT 13 70 FOR REINVESTMENT | 308 91- | 308 91 | |
| | 665278701<br>NET DEPOSIT NORTHERN INSTL GOVERNMENT SELECT MONEY MARKET 010% | 61,691 28- | 61,691 28 | |
| **TOTAL PURCHASES** | | 62,000.19- | 62,000.19 | 0.00 |
| **FEES** | | | | |
| | NET MONTHLY FEE TO FOR THE PERIOD | 1,599 45- | | |
| **TOTAL FEES** | | 1,599 45- | 0.00 | 0.00 |
| **OTHER DISBURSEMENTS** | | | | |
| 03/19/14 | 067901108<br>FOREIGN TAX WITHHELD AND PAID TO ON BARRICK GOLD CORP EFFECTIVE 03/17/2014 | 3 38- | | |
| **TOTAL OTHER DISBURSEMENTS** | | 3.38- | 0.00 | 0.00 |
| **SALES AND MATURITIES** | | | | |
| 03/11/14 | 149123101<br>SOLD 225 SHS CATERPILLAR INC ON 03/06/2014 AT 98 0026 THRU FOX RIVER EXECUTION TECHNOLOGY LLC COMMISSIONS PAID 11 25 EXPENSES PAID 0 38 | 22,038 96 | 19,708 32- | 2,330 64 |
| 03/12/14 | 97717W315<br>SOLD 750 SHS WISDOMTREE EMERGING MARKETS EQUITY INCOME FUND ON 03/07/2014 AT 46 8707 THRU INSTINET COMMISSIONS PAID 37 50 EXPENSES PAID 0 62 | 35,114 91 | 41,870 62- | 6,755 71- |
| **TOTAL SALES AND MATURITIES** | | 57,153.87 | 61,578.94- | 4,425.07- |
| **NON CASH ACTIVITY** | | | | |
| 03/03/14 | 89148B101<br>TAX COST REDUCTION OF $ 315 94 ON TORTOISE MLP FD INC TRADE DATE 02/28/2014 AS RETURN OF CAPITAL<br>MARKET VALUE 0 00 | 0 00 | | |
| | NET TAX LOT ADJUSTMENTS | 0 00 | 315 94- | |
| **TOTAL NON CASH ACTIVITY** | | 0.00 | 315 94- | 0 00 |
| **ENDING BALANCE** | | 0.00 | 2,336,997 42 | 4,116 16- |

MIDWEST TRUST

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FEBRUARY 01, 2014 TO FEBRUARY 28, 2014

ACCOUNT NAME: GIEGERICH A CUST
ACCOUNT NUMBER: 10840010715

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| **FEES** | | | | |
| | NET MONTHLY FEE TO FOR THE PERIOD | 1,571 80- | | |
| **TOTAL FEES** | | 1,571.80- | 0.00 | 0.00 |
| **SALES AND MATURITIES** | | | | |
| 02/07/14 | 97717X867<br>SOLD 125 SHS WISDOMTREE EMERGING MARKETS LOCAL DEBT FUND ON 02/04/2014 AT 44 1096 THRU INSTINET COMMISSIONS PAID 6 25 EXPENSES PAID 0 10 | 5,507 35 | 6,602 14- | 1,094 79- |
| 02/10/14 | 97717X867<br>SOLD 475 SHS WISDOMTREE EMERGING MARKETS LOCAL DEBT FUND ON 02/05/2014 AT 44 2498 THRU INSTINET COMMISSIONS PAID 23 75 EXPENSES PAID 0 37 | 20,994 54 | 25,088 12- | 4,093 58- |
| 02/11/14 | 931142103<br>SOLD 350 SHS WAL-MART STORES INC ON 02/06/2014 AT 72 8086 THRU BNY BROKERAGE COMMISSIONS PAID 17 50 EXPENSES PAID 0 44 | 25,465 07 | 20,337 97- | 5,127 10 |
| **TOTAL SALES AND MATURITIES** | | 51,966.96 | 52,028 23- | 61.27- |
| **ENDING BALANCE** | | 0.00 | 2,336,892 11 | 61.27- |

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DECEMBER 01, 2013 TO DECEMBER 31, 2013
ACCOUNT NAME: GIEGERICH A CUST
ACCOUNT NUMBER: 10840010715

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| **SALES AND MATURITIES** | | | | |
| 12/30/13 | 57060U100<br>SOLD 250 SHS MARKET VECTORS GOLD MINER ETF ON 12/24/2013 AT 20 9404 THRU BNY BROKERAGE COMMISSIONS PAID 12 50 EXPENSES PAID 0 09 | 5,222.51 | 13,058.71- | 7,836 20- |
| **TOTAL SALES AND MATURITIES** | | 5,222.51 | 13,058.71- | 7,836.20- |
| **NON CASH ACTIVITY** | | | | |
| 12/02/13 | 89148B101<br>TAX COST REDUCTION OF $ 315 00 ON TORTOISE MLP FD INC TRADE DATE 11/29/2013 AS RETURN OF CAPITAL<br>MARKET VALUE 0 00 | 0 00 | | |
| | NET TAX LOT ADJUSTMENTS | 0 00 | 315 00- | |
| **TOTAL NON CASH ACTIVITY** | | 0.00 | 315.00- | 0.00 |
| **ENDING BALANCE** | | 0.00 | 2,331,804.74 | 4,087.38- |

OCTOBER 01, 2013 TO OCTOBER 31, 2013

ACCOUNT NAME: GIEGERICH A CUST
ACCOUNT NUMBER: 10840010715

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| **SALES AND MATURITIES** | | | | |
| 10/08/13 | 500255104 SOLD 150 SHS KOHLS CORP ON 10/03/2013 AT 52 3801 THRU BNY BROKERAGE COMMISSIONS PAID 10 50 EXPENSES PAID 0 14 | 7,846 38 | 6,980 21- | 866 17 |
| 10/08/13 | 81369Y605 SOLD 1,000 SHS SELECT SECTORS FINANCIAL SPDR FUND ON 10/03/2013 AT 19 891 THRU BNY BROKERAGE COMMISSIONS PAID 50 00 EXPENSES PAID 0 35 | 19,840 65 | 29,072 44- | 9,231 79- |
| 10/08/13 | 458140100 SOLD 100 SHS INTEL CORP ON 10/03/2013 AT 22 6301 THRU BNY BROKERAGE COMMISSIONS PAID 5 00 EXPENSES PAID 0 04 | 2,257 97 | 2,316.00- | 58 03- |
| 10/08/13 | 594918104 SOLD 100 SHS MICROSOFT CORP ON 10/03/2013 AT 33 751 THRU BNY BROKERAGE COMMISSIONS PAID 10 00 EXPENSES PAID 0 06 | 3,365 04 | 2,895 00- | 470 04 |
| 10/08/13 | 92204A884 SOLD 100 SHS VANGUARD TELECOM SERVICES ETF ON 10/03/2013 AT 80 7635 THRU BNY BROKERAGE COMMISSIONS PAID 10 00 EXPENSES PAID 0.14 | 8,066 21 | 7,364 75- | 701.46 |
| 10/10/13 | 68389X105 SOLD 100 SHS ORACLE CORP ON 10/07/2013 AT 33 031 THRU BNY BROKERAGE COMMISSIONS PAID 10 00 EXPENSES PAID 0 06 | 3,293 04 | 3,233 31- | 59 73 |
| 10/11/13 | 548661107 SOLD 415 SHS LOWES COS INC ON 10/08/2013 AT 46 49 THRU INSTINET COMMISSIONS PAID 29 05 EXPENSES PAID 0 34 | 19,263 96 | 8,320 75- | 10,943 21 |
| 10/15/13 | 09247X101 SOLD 75 SHS BLACKROCK INC CL A ON 10/09/2013 AT 268 1348 THRU INSTINET COMMISSIONS PAID 3 75 EXPENSES PAID 0 35 | 20,106 01 | 11,253 75- | 8,852 26 |
| | 665278701 NET WITHDRAWAL NORTHERN INSTL GOVERNMENT SELECT MONEY MARKET 010% | 125,769 30 | 125,769 30- | |
| **TOTAL SALES AND MATURITIES** | | 209,808 56 | 197,205.51- | 12,603.05 |
| **ENDING BALANCE** | | 0.00 | 2,324,223.22 | 12,603.05 |

SEPTEMBER 01, 2013 TO SEPTEMBER 30, 2013

ACCOUNT NAME: GIEGERICH A CUST
ACCOUNT NUMBER: 10840010715

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| 09/30/13 | 464287721<br>DIVIDEND ON 350 SHS ISHARES DOW JONES US TECHNOLOGY AT 245614 PER SHARE PAYABLE 09/30/2013 EX DATE 09/24/2013 | 85 97 | | |
| **TOTAL DIVIDENDS** | | 7,190.74 | 0.00 | 0.00 |
| **INTEREST** | | | | |
| 09/12/13 | 3133XS3P1<br>INTEREST ON 50,000 UNITS FHLB 5 1% 09/12/2017-2013 PAYABLE 09/12/2013 | 1,275 00 | | |
| 09/23/13 | 61745EE31<br>INTEREST ON 25,000 UNITS MORGAN STANLEY D W STEP 5% 09/22/2020-2013 PAYABLE 09/22/2013 EFFECTIVE 09/22/2013 | 500 00 | | |
| **TOTAL INTEREST** | | 1,775.00 | 0.00 | 0.00 |
| **PURCHASES** | | | | |
| | 665278701<br>NET DEPOSIT NORTHERN INSTL GOVERNMENT SELECT MONEY MARKET 010% | 102,200 20- | 102,200 20 | |
| **TOTAL PURCHASES** | | 102,200.20- | 102,200 20 | 0.00 |
| **FEES** | | | | |
| | NET MONTHLY FEE TO FOR THE PERIOD | 1,511 81- | | |
| **TOTAL FEES** | | 1,511.81- | 0.00 | 0.00 |
| **OTHER DISBURSEMENTS** | | | | |
| 09/17/13 | 067901108<br>FOREIGN TAX WITHHELD AND PAID TO ON BARRICK GOLD CORP EFFECTIVE 09/16/2013 | 3 38- | | |
| **TOTAL OTHER DISBURSEMENTS** | | 3.38- | 0.00 | 0.00 |
| **SALES AND MATURITIES** | | | | |
| 09/12/13 | 3133XS3P1<br>REDEEMED 09/12/2013 50,000 UNITS FHLB 5 1% 09/12/2017-2013 | 50,000 00 | 52,835 50- | 2,835 50- |

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SEPTEMBER 01, 2013 TO SEPTEMBER 30, 2013
ACCOUNT NAME: GIEGERICH A CUST
ACCOUNT NUMBER: 10840010715

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| 09/16/13 | 78464A417<br>SOLD 500 SHS SPDR BARCLAYS CAPITAL HIGH YIELD BOND ETF ON 09/11/2013 AT 39 55 THRU BNY<br>BROKERAGE COMMISSIONS PAID 25 00<br>EXPENSES PAID 0 35 | 19,749 65 | 20,229 95- | 480 30- |
| 09/24/13 | 61745EE31<br>REDEEMED 09/24/2013 25,000 UNITS MORGAN STANLEY D W STEP 5% 09/22/2020-2013 | 25,000 00 | 24,625 00- | 375 00 |
| **TOTAL SALES AND MATURITIES** | | 94,749 65 | 97,690.45- | 2,940.80- |
| **NON CASH ACTIVITY** | | | | |
| 09/04/13 | 89148B101<br>TAX COST REDUCTION OF $ 314 06 ON TORTOISE MLP FD INC TRADE DATE 09/03/2013 AS RETURN OF CAPITAL<br>MARKET VALUE 0 00 | 0 00 | | |
| | NET TAX LOT ADJUSTMENTS | 0.00 | 314 06- | |
| **TOTAL NON CASH ACTIVITY** | | 0.00 | 314.06- | 0.00 |
| **ENDING BALANCE** | | 0.00 | 2,310,567.69 | 2,940.80- |

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Founded 1993



AUGUST 01, 2013 TO AUGUST 31, 2013

ACCOUNT NAME: GIEGERICH A CUST
ACCOUNT NUMBER: 10840010715

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| **PURCHASES** | | | | |
| 08/22/13 | 38145C646<br>PURCHASED 4,789 272 SHS GOLDMAN SACHS STRATEGIC INCOME INSTL ON 08/21/2013 AT 10 44 | 50,000.00- | 50,000 00 | |
| 08/26/13 | 507686PK3<br>PURCHASED 25,000 UNITS LAKE CENTRAL IN MULTI DIST SCH MTG BDS 2012B 5% 07/15/2024-2023 ON 08/21/2013 AT 108 75 THRU FIRST CLEARING CORP | 27,187 50- | 27,187 50 | |
| 08/29/13 | 36966TJA1<br>PURCHASED 50,000 UNITS GENERAL ELECTRIC CAPITAL CORP VR 1.2776% 04/15/2023 ON 08/26/2013 AT 99 40 THRU FIRST CLEARING CORP | 49,700 00- | 49,700 00 | |
| **TOTAL PURCHASES** | | 126,887.50- | 126,887.50 | 0.00 |
| **FEES** | | | | |
| | NET FEE TO FOR THE PERIOD | 1,530 06- | | |
| **TOTAL FEES** | | 1,530.06- | 0.00 | 0.00 |
| **SALES AND MATURITIES** | | | | |
| 08/28/13 | 037411105<br>SOLD 175 SHS APACHE CORP ON 08/23/2013 AT 79 80 THRU INSTINET COMMISSIONS PAID 8 75 EXPENSES PAID 0 24 | 13,956 01 | 13,792 62- | 163 39 |
| | 665278701<br>NET WITHDRAWAL NORTHERN INSTL GOVERNMENT SELECT MONEY MARKET 010% | 112,425 02 | 112,425 02- | |
| **TOTAL SALES AND MATURITIES** | | 126,381.03 | 126,217.64- | 163.39 |
| **ENDING BALANCE** | | 0.00 | 2,306,372.00 | 163.39 |

THE SOURCE | MIDWEST TRUST
Founded 1993

ACCOUNT NUMBER **10840010715**
STATEMENT PERIOD JULY 01, 2013 THROUGH JULY 31, 2013

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| 07/31/13 | 46625H100 DIVIDEND ON 400 SHS JPMORGAN CHASE & CO AT 0 38 PER SHARE PAYABLE 07/31/2013 EX DATE 07/02/2013 | 152 00 | | |
| **TOTAL DIVIDENDS** | | 2,682.37 | 0.00 | 0.00 |
| **INTEREST** | | | | |
| 07/15/13 | 441812KD5 INTEREST ON 51,000 UNITS HOUSEHOLD FINANCIAL CORP 4 75% 07/15/2013 PAYABLE 07/15/2013 | 1,211 25 | | |
| 07/29/13 | 61747WAK5 INTEREST ON 50,000 UNITS MORGAN STANLEY SENIOR NOTE 2 875% 07/28/2014 PAYABLE 07/28/2013 EFFECTIVE 07/28/2013 | 718 75 | | |
| **TOTAL INTEREST** | | 1,930.00 | 0.00 | 0.00 |
| **PURCHASES** | | | | |
| 07/29/13 | 278642103 PURCHASED 275 SHS EBAY INC ON 07/24/2013 AT 52 0227 THRU INSTINET COMMISSIONS PAID 13 75 | 14,319 99- | 14,319 99 | |
| | 665278701 NET DEPOSIT NORTHERN INSTL GOVERNMENT SELECT MONEY MARKET 010% | 57,693 59- | 57,693 59 | |
| **TOTAL PURCHASES** | | 72,013.58- | 72,013.58 | 0.00 |
| **FEES** | | | | |
| | NET FEE TO FOR THE PERIOD | 1,499 65- | | |
| **TOTAL FEES** | | 1,499.65- | 0.00 | 0.00 |
| **SALES AND MATURITIES** | | | | |
| 07/09/13 | 494368103 SOLD 175 SHS KIMBERLY-CLARK CORP ON 07/03/2013 AT 97 3209 THRU INSTINET COMMISSIONS PAID 8 75 EXPENSES PAID 0 30 | 17,022 10 | 10,404 47- | 6,617 63 |
| 07/12/13 | G5785G107 SOLD 75 SHS MALLINKRODT PLC ON 07/02/2013 AT 43 2692 CASH IN LIEU OF FRACTIONAL SHARE | 32 45 | 25 05- | 7 40 |
| 07/15/13 | 441812KD5 MATURED 51,000 UNITS HOUSEHOLD FINANCIAL CORP 4 75% 07/15/2013 | 51,000 00 | 54,417 00- | 3,417 00- |

MIDWEST TRUST

THE SOURCE

Founded 1993



ACCOUNT NUMBER. **10840010715**

STATEMENT PERIOD JULY 01, 2013 THROUGH JULY 31, 2013

## TRANSACTION DETAIL ( CONTINUED )

| DATE | DESCRIPTION | CASH | COST | GAIN / LOSS |
|---|---|---|---|---|
| 07/17/13 | G5785G107 SOLD 18 SHS MALLINKRODT PLC ON 07/12/2013 AT 42 0676 THRU GOLDMAN SACHS EXCUTION AND CLEARING LP COMMISSIONS PAID 0 90 EXPENSES PAID 0 01 | 756 31 | 586 22- | 170 09 |
| **TOTAL SALES AND MATURITIES** | | 68,810.86 | 65,432 74- | 3,378.12 |
| **NON CASH ACTIVITY** | | | | |
| 07/01/13 | 156782104 RECEIVED 2-FOR-1 STK SPLIT 280 SHS CERNER CORP | 0 00 | | |
| 07/02/13 | G2554F113 SPINOFF COVIDIEN PLC (NEW) AT THE RATE OF 12 5% FOR 18 75 SHS MALLINKRODT PLC STOCK DISTRIBUTION @ 1 SH FOR EVERY 8 SHS & COST @ 8 9095% | 0.00 | 611 27- | |
| 07/02/13 | G5785G107 SPINOFF COVIDIEN PLC (NEW) AT THE RATE OF 12 5% FOR 18.75 SHS MALLINKRODT PLC STOCK DISTRIBUTION @ 1 SH FOR EVERY 8 SHS & COST @ 8.9095% | 0 00 | 611 27 | |
| **TOTAL NON CASH ACTIVITY** | | 0.00 | 0.00 | 0.00 |
| **ENDING BALANCE** | | 0.00 | 2,305,702.14 | 3,378.12 |