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Form **990**

Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter Social Security numbers on this form as it may be made public By law, the IRS generally cannot redact the information on the form

▶ Information about Form 990 and its instructions is at *www.IRS.gov/form990*

OMB No 1545-0047

2013

Open to Public Inspection

A For the 2013 calendar year, or tax year beginning 07-01-2013 , 2013, and ending 06-30-2014

B Check if applicable
- Address change
- Name change
- Initial return
- Terminated
- Amended return
- Application pending

C Name of organization
SUSQUEHANNA UNIVERSITY AND
ORTENZIO CHARITABLE TRUST

Doing Business As

Number and street (or P O box if mail is not delivered to street address) Room/suite
4718 GETTYSBURG ROAD
ROOM/SUITE 405

City or town, state or province, country, and ZIP or foreign postal code
MECHANICSBURG, PA 17055

D Employer identification number
80-6155309

E Telephone number
(717) 972-1305

G Gross receipts $ 2,064,523

F Name and address of principal officer

H(a) Is this a group return for subordinates? ☐ Yes ☑ No

H(b) Are all subordinates included? ☐ Yes ☐ No
If "No," attach a list (see instructions)

H(c) Group exemption number ▶

I Tax-exempt status ☑ 501(c)(3) ☐ 501(c) ( ) ◄ (insert no) ☐ 4947(a)(1) or ☐ 527

J **Website:** ▶

K Form of organization ☐ Corporation ☑ Trust ☐ Association ☐ Other ▶

L Year of formation 2010

M State of legal domicile PA

Part I Summary

Activities & Governance

1 Briefly describe the organization's mission or most significant activities
SUSQUEHANNA UNIVERSITY AND ORTENZIO CHARITABLE TRUST SUPPORTS THE CHARITABLE AND EDUCATIONAL PURPOSES OF SUSQUEHANNA UNIVERSITY, SPECIFICALLY FOR THE SIGMUND WEIS SCHOOL OF BUSINESS AT SUSQUEHANNA UNIVERSITY

2 Check this box ▶☐ if the organization discontinued its operations or disposed of more than 25% of its net assets

3	Number of voting members of the governing body (Part VI, line 1a)	3	3
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	1
5	Total number of individuals employed in calendar year 2013 (Part V, line 2a)	5	0
6	Total number of volunteers (estimate if necessary)	6	
7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0
b	Net unrelated business taxable income from Form 990-T, line 34	7b	

			Prior Year	Current Year
Revenue	8	Contributions and grants (Part VIII, line 1h)	221,550	221,600
	9	Program service revenue (Part VIII, line 2g)		0
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	38,155	44,339
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)		0
	12	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	259,705	265,939
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	20,000	49,500
	14	Benefits paid to or for members (Part IX, column (A), line 4)		0
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)		0
	16a	Professional fundraising fees (Part IX, column (A), line 11e)		0
	b	Total fundraising expenses (Part IX, column (D), line 25) ▶0		
	17	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	2,127	2,193
	18	Total expenses Add lines 13–17 (must equal Part IX, column (A), line 25)	22,127	51,693
	19	Revenue less expenses Subtract line 18 from line 12	237,578	214,246
			Beginning of Current Year	**End of Year**
Net Assets or Fund Balances	20	Total assets (Part X, line 16)	858,961	1,073,207
	21	Total liabilities (Part X, line 26)		0
	22	Net assets or fund balances Subtract line 21 from line 20	858,961	1,073,207

Part II Signature Block

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 officer) is based on all information of which preparer has any knowledge

Sign Here

****** | 2014-10-28
Signature of officer | Date

RONALD A COHEN TRUSTEE
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
RICHARD A BLUIS CPA		2014-11-13		P00486887

Firm's name ▶ MARTIN M SACKS & ASSOCIATES | Firm's EIN ▶ 23-1979781

Firm's address ▶ 4775 LINGLESTOWN RD STE 100
HARRISBURG, PA 17112 | Phone no (717) 657-1300

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

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III . . . . ☐

1 Briefly describe the organization's mission

SUSQUEHANNA UNIVERSITY AND ORTENZIO CHARITABLE TRUST SUPPORTS THE CHARITABLE AND EDUCATIONAL PURPOSES OF SUSQUEHANNA UNIVERSITY, SPECIFICALLY FOR THE SIGMUND WEIS SCHOOL OF BUSINESS AT SUSQUEHANNA UNIVERSITY

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? . . . . ☐ **Yes** ☑ **No**

If "Yes," describe these new services on Schedule O

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? . . . . ☐ **Yes** ☑ **No**

If "Yes," describe these changes on Schedule O

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported

4a (Code) (Expenses $ 49,500 including grants of $ 49,500) (Revenue $)

SUSQUEHANNA UNIVERSITY AND ORTENZIO CHARITABLE TRUST SUPPORTS THE CHARITABLE AND EDUCATIONAL PURPOSES OF SUSQUEHANNA UNIVERSITY, SPECIFICALLY FOR THE SIGMUND WEIS SCHOOL OF BUSINESS AT SUSQUEHANNA UNIVERSITY

4b (Code) (Expenses $ including grants of $) (Revenue $)

4c (Code) (Expenses $ including grants of $) (Revenue $)

4d Other program services (Describe in Schedule O)

(Expenses $ including grants of $) (Revenue $)

4e **Total program service expenses** ▶ 49,500

Part IV Checklist of Required Schedules

			Yes	No
1	Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? *If "Yes," complete Schedule A*	1	Yes	
2	Is the organization required to complete *Schedule B, Schedule of Contributors* (see instructions)?	2	Yes	
3	Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? *If "Yes," complete Schedule C, Part I*	3		No
4	**Section 501(c)(3) organizations.** Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? *If "Yes," complete Schedule C, Part II*	4		No
5	Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? *If "Yes," complete Schedule C, Part III*	5		No
6	Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? *If "Yes," complete Schedule D, Part I*	6		No
7	Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? *If "Yes," complete Schedule D, Part II*	7		No
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D, Part III*	8		No
9	Did the organization report an amount in Part X, line 21 for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? *If "Yes," complete Schedule D, Part IV*	9		No
10	Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? *If "Yes," complete Schedule D, Part V*	10		No
11	If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable			
a	Did the organization report an amount for land, buildings, and equipment in Part X, line 10? *If "Yes," complete Schedule D, Part VI.*	11a		No
b	Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VII*	11b		No
c	Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part VIII*	11c		No
d	Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? *If "Yes," complete Schedule D, Part IX*	11d		No
e	Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X*	11e		No
f	Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? *If "Yes," complete Schedule D, Part X*	11f		No
12a	Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI and XII*	12a		No
b	Was the organization included in consolidated, independent audited financial statements for the tax year? *If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional*	12b		No
13	Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E*	13		No
14a	Did the organization maintain an office, employees, or agents outside of the United States?	14a		No
b	Did the organization have aggregate revenues or expenses of more than $10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at $100,000 or more? *If "Yes," complete Schedule F, Parts I and IV*	14b		No
15	Did the organization report on Part IX, column (A), line 3, more than $5,000 of grants or other assistance to or for any foreign organization? *If "Yes," complete Schedule F, Parts II and IV*	15		No
16	Did the organization report on Part IX, column (A), line 3, more than $5,000 of aggregate grants or other assistance to or for foreign individuals? *If "Yes," complete Schedule F, Parts III and IV*	16		No
17	Did the organization report a total of more than $15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? *If "Yes," complete Schedule G, Part I (see instructions)*	17		No
18	Did the organization report more than $15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? *If "Yes," complete Schedule G, Part II*	18		No
19	Did the organization report more than $15,000 of gross income from gaming activities on Part VIII, line 9a? *If "Yes," complete Schedule G, Part III*	19		No
20a	Did the organization operate one or more hospital facilities? *If "Yes," complete Schedule H*	20a		No
b	If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20b		

Part IV Checklist of Required Schedules *(continued)*

			Yes	No
21	Did the organization report more than $5,000 of grants or other assistance to any domestic organization or government on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II*	21	Yes	
22	Did the organization report more than $5,000 of grants or other assistance to individuals in the United States on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III*	22		No
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? *If "Yes," complete Schedule J*	23	Yes	
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than $100,000 as of the last day of the year, that was issued after December 31, 2002? *If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a*	24a		No
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b		
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c		
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d		
25a	**Section 501(c)(3) and 501(c)(4) organizations.** Did the organization engage in an excess benefit transaction with a disqualified person during the year? *If "Yes," complete Schedule L, Part I*	25a		No
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? *If "Yes," complete Schedule L, Part I*	25b		No
26	Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? *If so, complete Schedule L, Part II*	26		No
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? *If "Yes," complete Schedule L, Part III*	27		No
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)			
a	A current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	28a		No
b	A family member of a current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	28b		No
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? *If "Yes," complete Schedule L, Part IV*	28c		No
29	Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M*	29		No
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	30		No
31	Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I*	31		No
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? *If "Yes," complete Schedule N, Part II*	32		No
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301 7701-2 and 301 7701-3? *If "Yes," complete Schedule R, Part I*	33		No
34	Was the organization related to any tax-exempt or taxable entity? *If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1*	34	Yes	
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a		No
b	If 'Yes' to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? *If "Yes," complete Schedule R, Part V, line 2*	35b		
36	**Section 501(c)(3) organizations.** Did the organization make any transfers to an exempt non-charitable related organization? *If "Yes," complete Schedule R, Part V, line 2*	36		No
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? *If "Yes," complete Schedule R, Part VI*	37		No
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? **Note.** All Form 990 filers are required to complete Schedule O	38	Yes	

Part V **Statements Regarding Other IRS Filings and Tax Compliance**

Check if Schedule O contains a response or note to any line in this Part V . . . . ☐

					Yes	No
1a	Enter the number reported in Box 3 of Form 1096 Enter -0- if not applicable . .	**1a**	0			
b	Enter the number of Forms W-2G included in line 1a Enter -0- if not applicable	**1b**	0			
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?			**1c**		
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	**2a**	0			
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? **Note.** If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)			**2b**		
3a	Did the organization have unrelated business gross income of $1,000 or more during the year? . . .			**3a**		No
b	If "Yes," has it filed a Form 990-T for this year? *If "No" to line 3b, provide an explanation in Schedule O* . . .			**3b**		
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?			**4a**		No
b	If "Yes," enter the name of the foreign country ▶ ______ See instructions for filing requirements for Form TD F 90-22 1, Report of Foreign Bank and Financial Accounts					
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . .			**5a**		No
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?			**5b**		No
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?			**5c**		
6a	Does the organization have annual gross receipts that are normally greater than $100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? . . .			**6a**		No
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?			**6b**		
7	**Organizations that may receive deductible contributions under section 170(c).**					
a	Did the organization receive a payment in excess of $75 made partly as a contribution and partly for goods and services provided to the payor?			**7a**		No
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?			**7b**		
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?			**7c**		No
d	If "Yes," indicate the number of Forms 8282 filed during the year	**7d**				
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?			**7e**		No
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . .			**7f**		No
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?			**7g**		No
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?			**7h**		No
8	**Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.** Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?			**8**		No
9	**Sponsoring organizations maintaining donor advised funds.**					
a	Did the organization make any taxable distributions under section 4966?			**9a**		
b	Did the organization make a distribution to a donor, donor advisor, or related person?			**9b**		
10	**Section 501(c)(7) organizations.** Enter					
a	Initiation fees and capital contributions included on Part VIII, line 12 . . .	**10a**				
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	**10b**				
11	**Section 501(c)(12) organizations.** Enter					
a	Gross income from members or shareholders	**11a**				
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them)	**11b**				
12a	**Section 4947(a)(1) non-exempt charitable trusts.** Is the organization filing Form 990 in lieu of Form 1041?			**12a**		
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year	**12b**				
13	**Section 501(c)(29) qualified nonprofit health insurance issuers.**					
a	Is the organization licensed to issue qualified health plans in more than one state? **Note.** See the instructions for additional information the organization must report on Schedule O			**13a**		
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	**13b**				
c	Enter the amount of reserves on hand	**13c**				
14a	Did the organization receive any payments for indoor tanning services during the tax year?			**14a**		No
b	If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O* . .			**14b**		

Part VI **Governance, Management, and Disclosure** *For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.*

Check if Schedule O contains a response or note to any line in this Part VI . . . ☑

Section A. Governing Body and Management

				Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year . . .	1a 3			
	If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O				
b	Enter the number of voting members included in line 1a, above, who are independent . . .	1b 1			
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? . . .		2		No
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person? .		3		No
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? . . .		4		No
5	Did the organization become aware during the year of a significant diversion of the organization's assets? .		5		No
6	Did the organization have members or stockholders? . . .		6		No
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? . . .		7a		No
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? . . .		7b		No
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following				
a	The governing body? . . .		8a	Yes	
b	Each committee with authority to act on behalf of the governing body? . . .		8b		No
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? *If "Yes," provide the names and addresses in Schedule O* . . .		9		No

Section B. Policies (*This Section B requests information about policies not required by the Internal Revenue Code.*)

			Yes	No
10a	Did the organization have local chapters, branches, or affiliates? . . .	10a		No
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?	10b		
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? . . .	11a	Yes	
b	Describe in Schedule O the process, if any, used by the organization to review this Form 990 . . .			
12a	Did the organization have a written conflict of interest policy? *If "No," go to line 13* . . .	12a		No
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? . . .	12b		
c	Did the organization regularly and consistently monitor and enforce compliance with the policy? *If "Yes," describe in Schedule O how this was done* . . .	12c		
13	Did the organization have a written whistleblower policy? . . .	13		No
14	Did the organization have a written document retention and destruction policy? . . .	14		No
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?			
a	The organization's CEO, Executive Director, or top management official . . .	15a		No
b	Other officers or key employees of the organization . . .	15b		No
	If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions)			
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? . . .	16a		No
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? . . .	16b		

Section C. Disclosure

17 List the States with which a copy of this Form 990 is required to be filed ▶

18 Section 6104 requires an organization to make its Form 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection Indicate how you made these available Check all that apply

☐ Own website ☐ Another's website ☑ Upon request ☐ Other (explain in Schedule O)

19 Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year

20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization
▶ROBERT L NAUSE 4718 GETTYSBURG ROAD
SUITE 405
MECHANICSBURG, PA 17055 SUITE 405 (717) 972-1305

Part VII **Compensation of Officers, Directors,Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

Check if Schedule O contains a response or note to any line in this Part VII . . . . ☐

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed Report compensation for the calendar year ending with or within the organization's tax year

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation Enter -0- in columns (D), (E), and (F) if no compensation was paid
- List all of the organization's **current** key employees, if any See instructions for definition of "key employee "
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than $100,000 from the organization and any related organizations
- List all of the organization's **former** officers, key employees, or highest compensated employees who received more than $100,000 of reportable compensation from the organization and any related organizations
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than $10,000 of reportable compensation from the organization and any related organizations

List persons in the following order individual trustees or directors, institutional trustees, officers, key employees, highest compensated employees, and former such persons

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee): Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former	(D) Reportable compensation from the organization (W- 2/1099-MISC)	(E) Reportable compensation from related organizations (W- 2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
(1) MICHAEL COYNE TRUSTEE	10 55 00	X						0	264,255	29,774
(2) RONALD A COHEN TRUSTEE	10 55 00	X						0	164,874	26,507
(3) MARTIN J ORTENZIO TRUSTEE	10 1 00	X						0	0	0

Part VII **Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees** *(continued)*

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position: Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former	(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations

		(D)	(E)	(F)
1b	**Sub-Total** . . . . ▶			
c	**Total from continuation sheets to Part VII, Section A** . . . . ▶			
d	**Total (add lines 1b and 1c)** . . . . ▶		429,129	56,281

2 Total number of individuals (including but not limited to those listed above) who received more than $100,000 of reportable compensation from the organization ▶

			Yes	No
3	Did the organization list any **former** officer, director or trustee, key employee, or highest compensated employee on line 1a? *If "Yes," complete Schedule J for such individual*	**3**		No
4	For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than $150,000? *If "Yes," complete Schedule J for such individual*	**4**	Yes	
5	Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? *If "Yes," complete Schedule J for such person*	**5**		No

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than $100,000 of compensation from the organization Report compensation for the calendar year ending with or within the organization's tax year

(A) Name and business address	(B) Description of services	(C) Compensation

2 Total number of independent contractors (including but not limited to those listed above) who received more than $100,000 of compensation from the organization ▶

Part VIII Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII . . . .

Section	Line	Description	Sub-line	Amount	(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
Contributions, Gifts, Grants and Other Similar Amounts	1a	Federated campaigns . .	1a					
	b	Membership dues	1b					
	c	Fundraising events	1c					
	d	Related organizations . . .	1d	200,000				
	e	Government grants (contributions)	1e					
	f	All other contributions, gifts, grants, and similar amounts not included above	1f	21,600				
	g	Noncash contributions included in lines 1a-1f $						
	h	**Total.** Add lines 1a-1f . . . . ▶			221,600			
Program Service Revenue			Business Code					
	2a							
	b							
	c							
	d							
	e							
	f	All other program service revenue						
	g	**Total.** Add lines 2a–2f . . . . ▶						
Other Revenue	3	Investment income (including dividends, interest, and other similar amounts) . . . . ▶			37,403	501		36,902
	4	Income from investment of tax-exempt bond proceeds . . ▶						
	5	Royalties . . . . ▶						
			(i) Real	(ii) Personal				
	6a	Gross rents						
	b	Less rental expenses						
	c	Rental income or (loss)						
	d	Net rental income or (loss) . . . . ▶						
			(i) Securities	(ii) Other				
	7a	Gross amount from sales of assets other than inventory	1,803,539	1,981				
	b	Less cost or other basis and sales expenses	1,798,584					
	c	Gain or (loss)	4,955	1,981				
	d	Net gain or (loss) . . . . ▶			6,936	6,936		
	8a	Gross income from fundraising events (not including $ ____ of contributions reported on line 1c) See Part IV, line 18 . .	a					
	b	Less direct expenses . . .	b					
	c	Net income or (loss) from fundraising events . . ▶						
	9a	Gross income from gaming activities See Part IV, line 19 . . .	a					
	b	Less direct expenses . . .	b					
	c	Net income or (loss) from gaming activities . . ▶						
	10a	Gross sales of inventory, less returns and allowances .	a					
	b	Less cost of goods sold . .	b					
	c	Net income or (loss) from sales of inventory . . ▶						
		Miscellaneous Revenue	Business Code					
	11a							
	b							
	c							
	d	All other revenue						
	e	**Total.** Add lines 11a–11d . . . . ▶						
	12	**Total revenue.** See Instructions . . . . . ▶			265,939	7,437		36,902

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns All other organizations must complete column (A)

Check if Schedule O contains a response or note to any line in this Part IX . . . . ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	**(A)** Total expenses	**(B)** Program service expenses	**(C)** Management and general expenses	**(D)** Fundraising expenses
1 Grants and other assistance to governments and organizations in the United States See Part IV, line 21	49,500	49,500		
2 Grants and other assistance to individuals in the United States See Part IV, line 22				
3 Grants and other assistance to governments, organizations, and individuals outside the United States See Part IV, lines 15 and 16				
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees				
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages				
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)				
9 Other employee benefits				
10 Payroll taxes				
11 Fees for services (non-employees)				
a Management				
b Legal				
c Accounting				
d Lobbying				
e Professional fundraising services See Part IV, line 17				
f Investment management fees				
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)				
12 Advertising and promotion				
13 Office expenses				
14 Information technology				
15 Royalties . .				
16 Occupancy				
17 Travel				
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings				
20 Interest				
21 Payments to affiliates				
22 Depreciation, depletion, and amortization				
23 Insurance				
24 Other expenses Itemize expenses not covered above (List miscellaneous expenses in line 24e If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O)				
a PREPARATION OF FORM 990	1,600		1,600	
b MANAGEMENT FEES	593		593	
c				
d				
e All other expenses				
25 **Total functional expenses.** Add lines 1 through 24e	51,693	49,500	2,193	0
26 **Joint costs.** Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation Check here ▶ ☐ if following SOP 98-2 (ASC 958-720)				

Part X Balance Sheet

Check if Schedule O contains a response or note to any line in this Part X . . . .

			(A) Beginning of year		(B) End of year
Assets	1	Cash—non-interest-bearing	29,646	1	48,448
	2	Savings and temporary cash investments		2	
	3	Pledges and grants receivable, net		3	
	4	Accounts receivable, net		4	
	5	Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L		5	
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part II of Schedule L		6	
	7	Notes and loans receivable, net		7	
	8	Inventories for sale or use		8	
	9	Prepaid expenses and deferred charges		9	
	10a	Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D — 10a			
	b	Less accumulated depreciation — 10b		10c	
	11	Investments—publicly traded securities	829,315	11	1,024,759
	12	Investments—other securities See Part IV, line 11		12	
	13	Investments—program-related See Part IV, line 11		13	
	14	Intangible assets		14	
	15	Other assets See Part IV, line 11		15	
	16	**Total assets.** Add lines 1 through 15 (must equal line 34)	858,961	16	1,073,207
Liabilities	17	Accounts payable and accrued expenses		17	
	18	Grants payable		18	
	19	Deferred revenue		19	
	20	Tax-exempt bond liabilities		20	
	21	Escrow or custodial account liability Complete Part IV of Schedule D		21	
	22	Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons Complete Part II of Schedule L		22	
	23	Secured mortgages and notes payable to unrelated third parties		23	
	24	Unsecured notes and loans payable to unrelated third parties		24	
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24) Complete Part X of Schedule D		25	
	26	**Total liabilities.** Add lines 17 through 25	0	26	0
Net Assets or Fund Balances		**Organizations that follow SFAS 117 (ASC 958), check here ▶ ☑ and complete lines 27 through 29, and lines 33 and 34.**			
	27	Unrestricted net assets	858,961	27	1,073,207
	28	Temporarily restricted net assets		28	
	29	Permanently restricted net assets		29	
		Organizations that do not follow SFAS 117 (ASC 958), check here ▶ ☐ and complete lines 30 through 34.			
	30	Capital stock or trust principal, or current funds		30	
	31	Paid-in or capital surplus, or land, building or equipment fund		31	
	32	Retained earnings, endowment, accumulated income, or other funds		32	
	33	Total net assets or fund balances	858,961	33	1,073,207
	34	Total liabilities and net assets/fund balances	858,961	34	1,073,207

Part XI Reconcilliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI . . . . ☐

1	Total revenue (must equal Part VIII, column (A), line 12)	1	265,939
2	Total expenses (must equal Part IX, column (A), line 25)	2	51,693
3	Revenue less expenses Subtract line 2 from line 1	3	214,246
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	858,961
5	Net unrealized gains (losses) on investments	5	
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	
10	Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	1,073,207

Part XII Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII . . . . ☐

			Yes	No
1	Accounting method used to prepare the Form 990 ☑ Cash ☐ Accrual ☐ Other ____________ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O			
2a	Were the organization's financial statements compiled or reviewed by an independent accountant?	2a		No
	If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis			
b	Were the organization's financial statements audited by an independent accountant?	2b		No
	If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis			
c	If "Yes," to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?	2c		
	If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O			
3a	As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?	3a		No
b	If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits	3b		

SCHEDULE A
(Form 990 or 990EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ **Attach to Form 990 or Form 990-EZ.** ▶ **See separate instructions.**
▶ **Information about Schedule A (Form 990 or 990-EZ) and its instructions is at** ***www.irs.gov/form990.***

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
SUSQUEHANNA UNIVERSITY AND
ORTENZIO CHARITABLE TRUST

Employer identification number
80-6155309

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is (For lines 1 through 11, check only one box)

1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E)
3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state
5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II)
6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
7 ☐ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II)
8 ☐ A community trust described in **section 170(b)(1)(A)(vi)** (Complete Part II)
9 ☐ An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975 See **section 509(a)(2).** (Complete Part III)
10 ☐ An organization organized and operated exclusively to test for public safety See **section 509(a)(4).**
11 ☑ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2) See **section 509(a)(3).** Check the box that describes the type of supporting organization and complete lines 11e through 11h

a ☑ Type I **b** ☐ Type II **c** ☐ Type III - Functionally integrated **d** ☐ Type III - Non-functionally integrated

e ☑ By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2)

f If the organization received a written determination from the IRS that it is a Type I, Type II, or Type III supporting organization, check this box ☑

g Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?

		Yes	No
(i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization?	**11g(i)**		No
(ii) A family member of a person described in (i) above?	**11g(ii)**		No
(iii) A 35% controlled entity of a person described in (i) or (ii) above?	**11g(iii)**		No

h Provide the following information about the supported organization(s)

(i) Name of supported organization	**(ii)** EIN	**(iii)** Type of organization (described on lines 1- 9 above or IRC section **(see instructions))**	**(iv)** Is the organization in col **(i)** listed in your governing document?		**(v)** Did you notify the organization in col **(i)** of your support?		**(vi)** Is the organization in col **(i)** organized in the U S ?		**(vii)** Amount of monetary support
			Yes	**No**	**Yes**	**No**	**Yes**	**No**	
(A) SUSQUEHANNA UNIVERSITY	231353385	2	Yes		Yes		Yes		200,000
Total									200,000

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)
(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants ")						
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 **Total.** Add lines 1 through 3						
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						
6 **Public support.** Subtract line 5 from line 4						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
7 Amounts from line 4						
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV)						
11 **Total support** (Add lines 7 through 10)						

12 Gross receipts from related activities, etc (see instructions) | 12 |

13 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and **stop here** . . . . . ▶☐

Section C. Computation of Public Support Percentage

14 Public support percentage for 2013 (line 6, column (f) divided by line 11, column (f)) | 14 |

15 Public support percentage for 2012 Schedule A, Part II, line 14 | 15 |

16a **33 1/3% support test—2013.** If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶☐

b **33 1/3% support test—2012.** If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶☐

17a **10%-facts-and-circumstances test—2013.** If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part IV how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization ▶☐

b **10%-facts-and-circumstances test—2012.** If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part IV how the organization meets the "facts-and-circumstances" test The organization qualifies as a publicly supported organization ▶☐

18 **Private foundation.** If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions ▶☐

Part III **Support Schedule for Organizations Described in Section 509(a)(2)**
(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants ")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 **Total.** Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of $5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 **Public support** (Subtract line 7c from line 6)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income Do not include gain or loss from the sale of capital assets (Explain in Part IV)						
13 **Total support.** (Add lines 9, 10c, 11, and 12)						

14 **First five years.** If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a 501(c)(3) organization, check this box and **stop here** ▶☐

Section C. Computation of Public Support Percentage

15 Public support percentage for 2013 (line 8, column (f) divided by line 13, column (f))	15	
16 Public support percentage from 2012 Schedule A, Part III, line 15	16	

Section D. Computation of Investment Income Percentage

17 Investment income percentage for **2013** (line 10c, column (f) divided by line 13, column (f))	17	
18 Investment income percentage from **2012** Schedule A, Part III, line 17	18	

19a **33 1/3% support tests—2013.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶☐

b **33 1/3% support tests—2012.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and **stop here.** The organization qualifies as a publicly supported organization ▶☐

20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions ▶☐

Part IV **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; and Part III, line 12. Also complete this part for any additional information. (See instructions).

Facts And Circumstances Test

Return Reference	Explanation

Schedule I (Form 990)

Department of the Treasury
Internal Revenue Service

Grants and Other Assistance to Organizations, Governments and Individuals in the United States

Complete if the organization answered "Yes," to Form 990, Part IV, line 21 or 22.
▶ Attach to Form 990
▶ Information about Schedule I (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
SUSQUEHANNA UNIVERSITY AND
ORTENZIO CHARITABLE TRUST

Employer identification number
80-6155309

Part I General Information on Grants and Assistance

1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? . . . . ☑ **Yes** ☐ **No**

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States

Part II Grants and Other Assistance to Governments and Organizations in the United States.

Complete if the organization answered "Yes" to Form 990, Part IV, line 21, for any recipient that received more than $5,000. Part II can be duplicated if additional space is needed.

(a) Name and address of organization or government	**(b)** EIN	**(c)** IRC Code section if applicable	**(d)** Amount of cash grant	**(e)** Amount of non-cash assistance	**(f)** Method of valuation (book, FMV, appraisal, other)	**(g)** Description of non-cash assistance	**(h)** Purpose of grant or assistance
(1) SUSQUEHANNA UNIVERSITY 514 UNIVERSITY AVENUE SELINSGROVE, PA 17870	23-1353385	501C3	49,500				SCHOOL OF BUSINESS

2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table . . . ▶ 1

3 Enter total number of other organizations listed in the line 1 table . . . ▶

Part III **Grants and Other Assistance to Individuals in the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 22. Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance

Part IV **Supplemental Information.** Provide the information required in Part I, line 2, Part III, column (b), and any other additional information.

Return Reference	Explanation

Schedule J (Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees
▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 23.
▶ Attach to Form 990. ▶ See separate instructions.
▶ Information about Schedule J (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
SUSQUEHANNA UNIVERSITY AND
ORTENZIO CHARITABLE TRUST

Employer identification number
80-6155309

Part I Questions Regarding Compensation

			Yes	No
1a	Check the appropiate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a Complete Part III to provide any relevant information regarding these items ☐ First-class or charter travel ☐ Housing allowance or residence for personal use ☐ Travel for companions ☐ Payments for business use of personal residence ☐ Tax idemnification and gross-up payments ☐ Health or social club dues or initiation fees ☐ Discretionary spending account ☐ Personal services (e g , maid, chauffeur, chef)			
b	If any of the boxes in line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain	**1b**		
2	Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked in line 1a?	**2**		
3	Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director Check all that apply Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III ☐ Compensation committee ☐ Written employment contract ☐ Independent compensation consultant ☐ Compensation survey or study ☐ Form 990 of other organizations ☐ Approval by the board or compensation committee			
4	During the year, did any person listed in Form 990, Part VII, Section A, line 1a with respect to the filing organization or a related organization			
a	Receive a severance payment or change-of-control payment?	**4a**		No
b	Participate in, or receive payment from, a supplemental nonqualified retirement plan?	**4b**		No
c	Participate in, or receive payment from, an equity-based compensation arrangement? If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III	**4c**		No
	Only 501(c)(3) and 501(c)(4) organizations only must complete lines 5-9.			
5	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of			
a	The organization?	**5a**		No
b	Any related organization? If "Yes," to line 5a or 5b, describe in Part III	**5b**		No
6	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of			
a	The organization?	**6a**		No
b	Any related organization? If "Yes," to line 6a or 6b, describe in Part III	**6b**		No
7	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III	**7**		No
8	Were any amounts reported in Form 990, Part VII, paid or accured pursuant to a contract that was subject to the initial contract exception described in Regulations section 53 4958-4(a)(3)? If "Yes," describe in Part III	**8**		No
9	If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53 4958-6(c)?	**9**		

Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees. Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported in Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii) Do not list any individuals that are not listed on Form 990, Part VII

Note. The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported as deferred in prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
(1) MICHAEL COYNE	(i)							
TRUSTEE	(ii)	176,023	10,000	78,232	19,928	9,846	294,029	
(2) RONALD A COHEN	(i)							
TRUSTEE	(ii)	155,939		8,935	16,755	9,752	191,381	

Part III Supplemental Information

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II
Also complete this part for any additional information

Return Reference	Explanation

efile GRAPHIC print - DO NOT PROCESS | As Filed Data - | DLN: 93493317038054

SCHEDULE O (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or to provide any additional information.
▶ Attach to Form 990 or 990-EZ.
▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
SUSQUEHANNA UNIVERSITY AND
ORTENZIO CHARITABLE TRUST

Employer identification number
80-6155309

990 Schedule O, Supplemental Information

Return Reference	Explanation
FORM 990, PAGE 6, PART VI, LINE 8B	THE ORGANIZATION DOES NOT HAVE ANY COMMITTEES SEPARATE FROM THE GOVERNING BODY
FORM 990, PAGE 6, PART VI, LINE 11B	THE TRUSTEES REVIEW THE FORM 990 WITH THE CPA FIRM THE TRUSTEES BRING UP ANY QUESTIONS OR DISCREPANCIES TO THE CPA FIRM ONCE ALL OUTSTANDING ISSUES HAVE BEEN ADDRESSED THE TRUSTE ES GIVE APPROVAL TO FILE THE RETURN
FORM 990, PAGE 6, PART VI, LINE 19	GOVERNING DOCUMENTS ARE MADE AVAILABLE TO THE PUBLIC UPON REQUEST

SCHEDULE R (Form 990)

Department of the Treasury
Internal Revenue Service

Related Organizations and Unrelated Partnerships

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.
▶ Attach to Form 990. ▶ See separate instructions.
▶ Information about Schedule R (Form 990) and its instructions is at *www.irs.gov/form990*.

OMB No 1545-0047

2013

Open to Public Inspection

Name of the organization
SUSQUEHANNA UNIVERSITY AND
ORTENZIO CHARITABLE TRUST

Employer identification number
80-6155309

Part I **Identification of Disregarded Entities** Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity

Part II **Identification of Related Tax-Exempt Organizations** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity? Yes	No
(1) SUSQUEHANNA UNIVERSITY 514 UNIVERSITY AVENUE SELINSGROVE, PA 17870	EDUCATION	PA	509A	2	N/A		No

Part III **Identification of Related Organizations Taxable as a Partnership** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a partnership during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income(related, unrelated, excluded from tax under sections 512-514)	(f) Share of total income	(g) Share of end-of-year assets	(h) Disproprtionate allocations? Yes	(h) No	(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner? Yes	(j) No	(k) Percentage ownership

Part IV **Identification of Related Organizations Taxable as a Corporation or Trust** Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	(i) Section 512 (b)(13) controlled entity? Yes	(i) No

Part V **Transactions With Related Organizations** Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

		Yes	No
Note. Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule			
1 During the tax year, did the orgranization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?			
a Receipt of **(i)** interest **(ii)** annuities **(iii)** royalties or **(iv)** rent from a controlled entity	1a		No
b Gift, grant, or capital contribution to related organization(s)	1b	Yes	
c Gift, grant, or capital contribution from related organization(s)	1c	Yes	
d Loans or loan guarantees to or for related organization(s)	1d		No
e Loans or loan guarantees by related organization(s)	1e		No
f Dividends from related organization(s)	1f		No
g Sale of assets to related organization(s)	1g		No
h Purchase of assets from related organization(s)	1h		No
i Exchange of assets with related organization(s)	1i		No
j Lease of facilities, equipment, or other assets to related organization(s)	1j		No
k Lease of facilities, equipment, or other assets from related organization(s)	1k		No
l Performance of services or membership or fundraising solicitations for related organization(s)	1l		No
m Performance of services or membership or fundraising solicitations by related organization(s)	1m		No
n Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)	1n		No
o Sharing of paid employees with related organization(s)	1o		No
p Reimbursement paid to related organization(s) for expenses	1p		No
q Reimbursement paid by related organization(s) for expenses	1q		No
r Other transfer of cash or property to related organization(s)	1r		No
s Other transfer of cash or property from related organization(s)	1s		No

2 If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds

(a) Name of related organization	**(b)** Transaction type (a-s)	**(c)** Amount involved	**(d)** Method of determining amount involved

Part VI **Unrelated Organizations Taxable as a Partnership** Complete if the organization answered "Yes" on Form 990, Part IV, line 37.

Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization See instructions regarding exclusion for certain investment partnerships

(a) Name, address, and EIN of entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Predominant income (related, unrelated, excluded from tax under sections 512-514)	(e) Are all partners section 501(c)(3) organizations?		(f) Share of total income	(g) Share of end-of-year assets	(h) Disproprtionate allocations?		(i) Code V?UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
				Yes	No			Yes	No		Yes	No	

Part VII Supplemental Information

Provide additional information for responses to questions on Schedule R (see instructions)

Return Reference	Explanation

SUSQUEHANNA UNIVERSITY AND ORTENZIO CHARITABLE TRUST
FORM 990; PG 9; PART VIII; LINES 7(a), 7(b), 7(c)

Description	Quantity	Acquired Date	Sale Date	Proceeds	Cost Basis	Gain/ Loss
ISHARES RUSSELL 2000 INDEX FUND	(100.000)	7/9/2013	7/29/2013	10,321.84	10,087.50	234.34
ISHARES MSCI EMERGING MARKET INDEX	(300.000)	7/23/2013	8/6/2013	11,692.29	12,033.00	(340.71)
SPDR S&P 500 ETF TRUST	(55.000)	7/11/2013	8/15/2013	9,139.65	9,194.63	(54.98)
SPDR S&P 500 ETF TRUST	(45.000)	5/23/2013	8/15/2013	7,477.89	7,574.70	(96.81)
PROSHARES TR SHRT 20+YR TRE	(260.000)	8/19/2013	8/23/2013	8,584.50	8,727.73	(143.23)
SPDR GOLD TRUST	(75.000)	8/23/2013	9/5/2013	9,954.66	10,050.85	(96.19)
JPM INC BUILDER FD - SEL FUND 3040 4.98%	(1,633.466)	2/27/2013	9/6/2013	16,105.97	16,400.00	(294.03)
PROSHARES SHORT S&P 500	(20.000)	1/8/2013	9/6/2013	566.5	693.46	(126.96)
PROSHARES SHORT S&P 500	(100.000)	6/5/2013	9/6/2013	2,832.48	3,042.29	(209.81)
PROSHARES SHORT S&P 500	(30.000)	9/13/2012	9/6/2013	849.74	1,108.06	(258.32)
ISHARES MSCI EMERGING MARKET INDEX	(200.000)	9/18/2013	9/19/2013	8,557.71	8,389.94	167.77
ISHARES TR MSCI EURO FINL	(300.000)	8/8/2013	9/19/2013	6,996.02	6,784.68	211.34
PROSHARES ULTRA S&P 500	(200.000)	9/18/2013	9/19/2013	17,773.97	17,500.72	273.25
VANGUARD GROWTH VIPERS	(200.000)	9/6/2013	9/19/2013	17,251.25	16,587.38	663.87
PROSHARES ULTRASHORT S&P500 NEW	(250.000)	9/19/2013	9/23/2013	8,983.59	8,749.70	233.89
PROSHARES ULTRA S&P 500	(25.000)	9/24/2013	9/30/2013	2,104.72	2,209.07	(104.35)
PROSHARES ULTRA S&P 500	(25.000)	9/24/2013	10/4/2013	2,129.92	2,175.40	(45.48)
PROSHARES ULTRA S&P 500	(25.000)	9/24/2013	10/4/2013	2,129.92	2,207.22	(77.30)
POWERSHARES QQQ	(175.000)	8/8/2013	10/8/2013	13,644.86	13,470.55	174.31
ISHARES MSCI BRAZIL CAPPED INDEX FUND	(80.000)	9/30/2013	10/16/2013	4,063.52	3,827.60	235.92
ISHARES MSCI EMERGING MARKET INDEX	(200.000)	10/10/2013	10/16/2013	8,597.93	8,456.54	141.39
ISHARES MSCI GERMANY INDEX FUND	(150.000)	10/3/2013	10/16/2013	4,283.11	4,205.42	77.69
ISHARES TR MSCI EURO FINL	(300.000)	8/8/2013	10/16/2013	7,210.88	6,784.68	426.20
SPDR S&P 500 ETF TRUST	(75.000)	10/1/2013	10/16/2013	12,866.10	12,842.46	23.64
SPDR S&P 500 ETF TRUST	(75.000)	10/14/2013	10/16/2013	12,866.09	12,710.62	155.47
VANGUARD FTSE EUROPE ETF	(135.000)	8/8/2013	10/16/2013	7,457.81	7,135.43	322.38
VANGUARD FTSE EUROPE ETF	(165.000)	8/14/2013	10/16/2013	9,115.10	8,800.28	314.82
GOLDMAN SACHS GROUP INC 6 1/4% SEP 01 2017 DTD 08/30/2007	(10,000.000)	6/28/2013	10/18/2013	11,506.50	11,360.53	145.97
ISHARES MSCI EMERGING MARKET INDEX	(200.000)	10/3/2013	10/18/2013	8,666.37	8,385.00	281.37
ISHARES MSCI EMERGING MARKET INDEX	(100.000)	9/23/2013	10/18/2013	4,333.18	4,208.56	124.62
ISHARES MSCI EMERGING MARKET INDEX	(100.000)	10/9/2013	10/18/2013	4,333.18	4,173.08	160.10
ISHARES MSCI EAFE INDEX FUND	(225.000)	10/1/2013	10/21/2013	14,871.12	14,407.22	463.90
VANGUARD DIVIDEND APPRECIATION INDEX FUND	(125.000)	8/29/2013	10/21/2013	8,951.95	8,461.80	490.15
VANGUARD DIVIDEND APPRECIATION INDEX FUND	(125.000)	9/9/2013	10/21/2013	8,951.96	8,599.37	352.59
VANGUARD FTSE EUROPE ETF	(60.000)	10/17/2013	10/21/2013	3,398.65	3,357.33	41.32
ISHARES MSCI EAFE INDEX FUND	(100.000)	9/6/2013	10/29/2013	6,636.38	6,096.50	539.88
ISHARES MSCI EAFE INDEX FUND	(200.000)	8/8/2013	10/29/2013	13,272.77	12,516.33	756.44
ISHARES MSCI GERMANY INDEX FUND	(175.000)	10/3/2013	10/29/2013	5,175.00	4,906.32	268.68
VANGUARD FTSE EUROPE ETF	(90.000)	10/17/2013	10/30/2013	5,113.79	5,036.00	77.79
ISHARES MSCI GERMANY INDEX FUND	(175.000)	10/3/2013	11/1/2013	5,095.67	4,906.31	189.36
ISHARES MSCI EMERGING MARKET INDEX	(50.000)	9/9/2013	11/5/2013	2,100.72	2,022.25	78.47

SUSQUEHANNA UNIVERSITY AND ORTENZIO CHARITABLE TRUST
FORM 990; PG 9; PART VIII; LINES 7(a), 7(b), 7(c)

Description	Quantity	Acquired Date	Sale Date	Proceeds	Cost Basis	Gain/ Loss
ISHARES MSCI EMERGING MARKET INDEX	(100.000)	9/23/2013	11/5/2013	4,201.42	4,162.56	38.86
ISHARES MSCI EMERGING MARKET INDEX	(100.000)	10/9/2013	11/5/2013	4,201.42	4,173.08	28.34
PROSHARES ULTRASHORT EURO	(500.000)	11/5/2013	11/7/2013	9,036.94	8,937.50	99.44
PROSHARES SHORT S&P 500	(50.000)	6/12/2013	11/15/2013	1,302.73	1,484.30	(181.57)
PROSHARES SHORT S&P 500	(50.000)	6/5/2013	11/15/2013	1,302.73	1,484.48	(181.75)
POWERSHARES QQQ	(150.000)	10/17/2013	11/19/2013	12,430.04	12,155.25	274.79
MARKET VECTORS ETF	(300.000)	11/21/2013	12/4/2013	12,268.28	12,250.65	17.63
VANGUARD FTSE EUROPE ETF	(165.000)	8/8/2013	12/5/2013	9,193.27	8,721.07	472.20
VANGUARD FTSE EUROPE ETF	(300.000)	11/6/2013	12/5/2013	16,715.04	16,822.75	(107.71)
SPDR S&P 500 ETF TRUST	(20.000)	7/11/2013	12/12/2013	3,559.04	3,343.50	215.54
SPDR S&P 500 ETF TRUST	(5.000)	7/11/2013	12/12/2013	889.76	832.40	57.36
SPDR S&P 500 ETF TRUST	(25.000)	10/1/2013	12/12/2013	4,448.80	4,197.86	250.94
ISHARES MSCI EMERGING MARKET INDEX	(225.000)	12/18/2013	12/18/2013	9,279.20	9,166.43	112.77
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	12/18/2013	310.39	310.39	-
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	12/18/2013	310.39	310.39	-
PROSHARES ULTRASHORT S&P500 NEW	(25.000)	9/27/2013	12/18/2013	775.99	775.99	-
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	12/18/2013	1,086.39	1,086.38	0.01
PROSHARES ULTRASHORT S&P500 NEW	(20.000)	9/27/2013	12/18/2013	620.79	620.79	-
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	12/18/2013	1,086.38	1,086.38	-
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	12/18/2013	1,086.38	1,086.38	-
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	12/18/2013	310.39	310.39	-
PROSHARES ULTRASHORT S&P500 NEW	(90.000)	9/27/2013	12/18/2013	2,793.55	2,793.55	-
PROSHARES ULTRASHORT S&P500 NEW	(5.000)	9/27/2013	12/18/2013	155.2	155.20	-
PROSHARES ULTRASHORT S&P500 NEW	(75.000)	9/27/2013	12/18/2013	2,378.99	2,378.99	-
PROSHARES ULTRASHORT S&P500 NEW	(155.000)	12/4/2013	12/18/2013	4,916.57	4,984.41	(67.84)
PROSHARES ULTRASHORT S&P500 NEW	(45.000)	9/27/2013	12/18/2013	1,427.39	1,427.39	-
PROSHARES ULTRASHORT S&P500 NEW	(75.000)	10/21/2013	12/18/2013	2,378.99	2,378.99	-
PROSHARES ULTRASHORT S&P500 NEW	(135.000)	10/21/2013	12/18/2013	4,282.18	4,382.73	(100.55)
PROSHARES ULTRASHORT S&P500 NEW	(65.000)	9/27/2013	12/18/2013	2,061.79	2,061.79	-
ISHARES FTSE/XINHUA CHINA 25 INDEX FUND	(250.000)	12/31/2013	1/9/2014	8,956.12	9,560.23	(604.11)
ISHARES FTSE/XINHUA CHINA 25 INDEX FUND	(250.000)	12/31/2013	1/23/2014	8,830.49	9,560.22	(729.73)
BARCLAYS BANK PLC IPATH S&P 500 VIX SHT TM FUT	(125.000)	1/8/2014	1/24/2014	5,476.37	5,235.62	240.75
BARCLAYS BANK PLC IPATH S&P 500 VIX SHT TM FUT	(25.000)	1/13/2014	1/24/2014	1,095.27	1,054.64	40.63
BARCLAYS BANK PLC IPATH S&P 500 VIX SHT TM FUT	(75.000)	1/13/2014	1/24/2014	3,285.82	3,255.81	30.01
ISHARES MSCI EAFE INDEX FUND	(175.000)	12/30/2013	1/24/2014	11,428.20	11,711.87	(283.67)

SUSQUEHANNA UNIVERSITY AND ORTENZIO CHARITABLE TRUST
FORM 990; PG 9; PART VIII; LINES 7(a), 7(b), 7(c)

Description	Quantity	Acquired Date	Sale Date	Proceeds	Cost Basis	Gain/ Loss
PROSHARES ULTRA S&P 500	(50.000)	1/3/2014	1/24/2014	4,922.68	4,868.92	53.76
PROSHARES ULTRA S&P 500	(50.000)	1/2/2014	1/24/2014	4,922.68	5,042.44	(119.76)
PROSHARES ULTRA S&P 500	(50.000)	1/2/2014	1/24/2014	4,922.69	4,844.27	78.42
VANGUARD DIVIDEND APPRECIATION INDEX FUND	(125.000)	12/18/2013	1/24/2014	8,977.96	9,223.13	(245.17)
WISDOMTREE JAPAN HEDGED EQUITY FUND	(125.000)	11/14/2013	1/24/2014	5,965.60	6,144.37	(178.77)
WISDOMTREE JAPAN HEDGED EQUITY FUND	(175.000)	11/15/2013	1/24/2014	8,351.83	8,775.31	(423.48)
DOUBLELINE INCOME SOLUTIONS	(625.000)	10/17/2013	1/27/2014	13,082.83	13,135.93	(53.10)
DOUBLELINE INCOME SOLUTIONS	(265.000)	10/22/2013	1/27/2014	5,547.12	5,688.38	(141.26)
VANGUARD DIVIDEND APPRECIATION INDEX FUND	(125.000)	12/18/2013	1/27/2014	8,937.21	9,223.12	(285.91)
VANGUARD DIVIDEND APPRECIATION INDEX FUND	(150.000)	10/29/2013	1/27/2014	10,724.66	10,925.76	(201.10)
PIMCO CORPORATE & INCOME OPPORTUNITY FUND	(725.000)	10/17/2013	1/31/2014	13,068.54	13,069.07	(0.53)
PROSHARES TR SHRT 20+YR TRE	(100.000)	12/4/2013	2/3/2014	3,047.52	3,293.50	(245.98)
SECTOR SPDR TR SBI INT-FINL SEDOL 2364038	(900.000)	1/3/2014	2/3/2014	18,674.67	19,696.50	(1,021.83)
SPDR S&P 500 ETF TRUST	(20.000)	7/11/2013	2/3/2014	3,513.44	3,329.62	183.82
SPDR S&P 500 ETF TRUST	(55.000)	7/10/2013	2/3/2014	9,661.95	9,108.21	553.74
VANGUARD INDEX TRUST VALUE VIPERS	(200.000)	12/20/2013	2/3/2014	14,491.28	15,145.00	(653.72)
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	2/4/2014	325.69	325.69	-
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	2/4/2014	325.69	325.69	-
PROSHARES ULTRASHORT S&P500 NEW	(25.000)	9/27/2013	2/4/2014	814.23	814.23	-
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	2/4/2014	1,139.90	1,139.90	-
PROSHARES ULTRASHORT S&P500 NEW	(20.000)	9/27/2013	2/4/2014	651.38	651.38	-
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	2/4/2014	1,139.92	1,139.92	-
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	2/4/2014	1,139.92	1,139.92	-
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	2/4/2014	325.69	325.69	-
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	2/4/2014	325.69	325.69	-
PROSHARES ULTRASHORT S&P500 NEW	(70.000)	9/27/2013	2/4/2014	2,279.83	2,279.81	0.02
PROSHARES ULTRASHORT S&P500 NEW	(45.000)	9/27/2013	2/4/2014	1,465.61	1,465.61	-
PROSHARES ULTRASHORT S&P500 NEW	(90.000)	9/27/2013	2/4/2014	2,931.21	2,931.21	-
PROSHARES ULTRASHORT S&P500 NEW	(5.000)	9/27/2013	2/4/2014	162.85	162.85	-
APOLLO INVESTMENT CORP CV 5 3/4% JAN 15 2016 DTD 01/25/2011	(5,000.000)	2/14/2013	2/5/2014	5,305.00	5,237.50	67.50
APOLLO INVESTMENT CORP CV 5 3/4% JAN 15 2016 DTD 01/25/2011	(5,000.000)	2/15/2013	2/5/2014	5,305.00	5,237.50	67.50
APOLLO INVESTMENT CORP CV 5 3/4% JAN 15 2016 DTD 01/25/2011	(10,000.000)	6/28/2013	2/5/2014	10,610.00	10,625.00	(15.00)
HCA INC 6 1/2% FEB 15 2016 DTD 2/8/2006	(10,000.000)	6/27/2013	2/5/2014	10,875.00	10,812.50	62.50

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Description	Quantity	Acquired Date	Sale Date	Proceeds	Cost Basis	Gain/ Loss
MORGAN STANLEY MEDIUM TERM NOTES 5.55% APR 27 2017 DTD 04/27/2007	(10,000.000)	6/28/2013	2/5/2014	11,186.20	10,851.40	334.80
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	2/7/2014	1,099.86	1,099.85	0.01
PROSHARES ULTRASHORT S&P500 NEW	(20.000)	9/27/2013	2/7/2014	628.49	628.49	-
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	2/7/2014	1,099.86	1,099.86	-
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	2/7/2014	314.25	314.25	-
PROSHARES ULTRASHORT S&P500 NEW	(15.000)	9/27/2013	2/7/2014	471.37	471.37	-
PROSHARES ULTRASHORT S&P500 NEW	(90.000)	9/27/2013	2/7/2014	2,828.21	2,828.21	-
PROSHARES ULTRASHORT S&P500 NEW	(5.000)	9/27/2013	2/7/2014	157.12	157.12	-
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	2/7/2014	314.25	314.25	-
PROSHARES ULTRASHORT S&P500 NEW	(5.000)	9/27/2013	2/7/2014	157.12	157.12	-
PROSHARES ULTRASHORT S&P500 NEW	(75.000)	10/21/2013	2/7/2014	2,356.84	2,356.84	-
PROSHARES ULTRASHORT S&P500 NEW	(20.000)	9/27/2013	2/7/2014	628.49	628.49	-
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	2/7/2014	314.25	314.25	-
PROSHARES ULTRASHORT S&P500 NEW	(25.000)	9/27/2013	2/7/2014	785.61	785.61	-
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	2/7/2014	1,099.85	1,099.85	-
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	2/7/2014	314.25	314.25	-
MARKET VECTORS GOLD MINERS	(400.000)	1/23/2014	2/19/2014	10,289.86	9,542.00	747.86
PROSHARES TR SHRT HGH YIELD	(300.000)	10/29/2013	2/24/2014	8,581.35	8,929.74	(348.39)
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	2/24/2014	290.73	332.65	(41.92)
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	2/24/2014	1,017.57	1,017.57	-
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	2/24/2014	290.73	290.73	-
PROSHARES ULTRASHORT S&P500 NEW	(15.000)	9/27/2013	2/24/2014	436.1	436.10	-
PROSHARES ULTRASHORT S&P500 NEW	(30.000)	9/27/2013	2/24/2014	872.2	872.20	-
PROSHARES ULTRASHORT S&P500 NEW	(20.000)	9/27/2013	2/24/2014	581.47	581.47	-
PROSHARES ULTRASHORT S&P500 NEW	(5.000)	9/27/2013	2/24/2014	145.37	145.37	-
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	2/24/2014	1,017.57	1,017.57	-
PROSHARES ULTRASHORT S&P500 NEW	(30.000)	9/27/2013	2/24/2014	872.2	958.52	(86.32)
PROSHARES TR SHRT 20+YR TRE	(85.000)	12/4/2013	2/26/2014	2,623.99	2,799.48	(175.49)
ISHARES BARCLAYS 20+ YEAR TREASURY BOND FUND	(100.000)	2/3/2014	3/4/2014	10,745.58	10,857.80	(112.22)
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	3/4/2014	994.51	1,401.43	(406.92)

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Description	Quantity	Acquired Date	Sale Date	Proceeds	Cost Basis	Gain/ Loss
PROSHARES ULTRASHORT S&P500 NEW	(20.000)	9/27/2013	3/4/2014	568.29	811.01	(242.72)
PROSHARES ULTRASHORT S&P500 NEW	(30.000)	9/27/2013	3/4/2014	852.43	1,145.92	(293.49)
PROSHARES ULTRASHORT S&P500 NEW	(15.000)	9/27/2013	3/4/2014	426.22	583.52	(157.30)
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	3/4/2014	284.14	399.39	(115.25)
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	3/4/2014	994.51	1,404.71	(410.20)
PROSHARES ULTRASHORT S&P500 NEW	(5.000)	9/27/2013	3/4/2014	142.07	195.77	(53.70)
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	3/6/2014	281.75	346.39	(64.64)
PROSHARES ULTRASHORT S&P500 NEW	(20.000)	9/27/2013	3/6/2014	563.49	696.10	(132.61)
PROSHARES ULTRASHORT S&P500 NEW	(30.000)	9/27/2013	3/6/2014	845.22	1,048.00	(202.78)
PROSHARES ULTRASHORT S&P500 NEW	(30.000)	9/27/2013	3/6/2014	845.24	1,048.00	(202.76)
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	3/6/2014	281.75	348.27	(66.52)
ISHARES MSCI EMERGING MARKET INDEX	(550.000)	2/27/2014	3/10/2014	21,476.63	21,865.25	(388.62)
ISHARES RUSSELL MIDCAP GROWTH INDEX FUND	(200.000)	2/24/2014	3/11/2014	17,487.41	17,392.92	94.49
ISHARES RUSSELL MIDCAP GROWTH INDEX FUND	(200.000)	2/21/2014	3/12/2014	17,382.05	17,337.00	45.05
VANGUARD FTSE EUROPE ETF	(200.000)	11/6/2013	3/12/2014	11,769.51	11,921.82	(152.31)
ISHARES TR MSCI EURO FINL	(650.000)	1/7/2014	3/13/2014	16,125.43	16,344.25	(218.82)
POWERSHARES QQQ	(200.000)	2/20/2014	3/13/2014	17,845.90	18,035.00	(189.10)
VANGUARD FTSE EUROPE ETF	(200.000)	2/6/2014	3/13/2014	11,689.12	11,296.32	392.80
POWERSHARES DB US DOLLAR INDEX BULLISH FUND	(750.000)	1/7/2014	3/19/2014	15,940.97	16,316.25	(375.28)
SPDR GOLD TRUST	(100.000)	2/11/2014	3/19/2014	12,836.77	12,383.25	453.52
VANGUARD REIT ETF	(300.000)	2/14/2014	3/19/2014	20,911.60	20,828.49	83.11
HEALTH CARE SELECT SECTOR SPDR FUND	(300.000)	3/21/2014	3/21/2014	17,478.27	17,484.36	(6.09)
PROSHARES ULTRASHORT S&P500 NEW	(70.000)	9/27/2013	3/21/2014	1,975.41	2,286.53	(311.12)
PROSHARES ULTRASHORT S&P500 NEW	(15.000)	9/27/2013	3/21/2014	423.3	524.00	(100.70)
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	9/27/2013	3/21/2014	987.7	1,163.02	(175.32)
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	3/21/2014	282.2	346.32	(64.12)
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	3/21/2014	282.2	325.09	(42.89)
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	10/21/2013	3/21/2014	282.21	323.56	(41.35)
CONSUMER STAPLES SPDR FUND	(250.000)	11/5/2013	3/25/2014	10,663.51	10,638.75	24.76
VANGUARD GROWTH VIPERS	(40.000)	9/4/2013	3/25/2014	3,742.15	3,281.52	460.63
VANGUARD GROWTH VIPERS	(125.000)	9/6/2013	3/25/2014	11,694.22	10,367.12	1,327.10
VANGUARD GROWTH VIPERS	(60.000)	10/29/2013	3/25/2014	5,613.23	5,314.79	298.44
PROSHARES TR SHRT 20+YR TRE	(90.000)	12/4/2013	3/27/2014	2,710.29	2,964.15	(253.86)
PROSHARES ULTRASHORT S&P500 NEW	(5.000)	10/21/2013	4/4/2014	142.17	161.69	(19.52)
PROSHARES ULTRASHORT S&P500 NEW	(40.000)	10/21/2013	4/4/2014	1,137.37	1,294.25	(156.88)

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Description	Quantity	Acquired Date	Sale Date	Proceeds	Cost Basis	Gain/ Loss
PROSHARES ULTRASHORT S&P500 NEW	(25.000)	10/21/2013	4/7/2014	727.86	808.91	(81.05)
PROSHARES ULTRASHORT S&P500 NEW	(10.000)	9/27/2013	4/7/2014	291.14	305.29	(14.15)
PROSHARES ULTRASHORT S&P500 NEW	(75.000)	10/21/2013	4/7/2014	2,183.58	2,396.29	(212.71)
PROSHARES ULTRASHORT S&P500 NEW	(35.000)	10/21/2013	4/7/2014	1,019.00	1,102.11	(83.11)
PROSHARES ULTRASHORT S&P500 NEW	(5.000)	10/21/2013	4/7/2014	145.57	159.75	(14.18)
VANGUARD GROWTH VIPERS	(235.000)	9/4/2013	4/9/2014	21,709.99	19,278.94	2,431.05
HEALTH CARE SELECT SECTOR SPDR FUND	(100.000)	11/1/2013	4/10/2014	5,642.00	5,298.50	343.50
HEALTH CARE SELECT SECTOR SPDR FUND	(200.000)	1/15/2014	4/10/2014	11,284.01	11,405.14	(121.13)
SPDR S&P 500 ETF TRUST	(25.000)	3/11/2014	4/11/2014	4,539.59	4,786.10	(246.51)
SPDR S&P 500 ETF TRUST	(50.000)	3/11/2014	4/11/2014	9,079.18	9,079.18	-
VANGUARD GROWTH VIPERS	(50.000)	9/4/2013	4/11/2014	4,508.28	4,101.90	406.38
SPDR S&P 500 ETF TRUST	(50.000)	3/11/2014	4/15/2014	9,178.50	9,682.64	(504.14)
SPDR S&P 500 ETF TRUST	(25.000)	3/11/2014	4/15/2014	4,589.25	4,748.71	(159.46)
MARKET VECTORS ETF	(100.000)	4/17/2014	4/17/2014	4,509.40	4,505.50	3.90
MARKET VECTORS ETF TRUST	(300.000)	4/15/2014	4/17/2014	25,901.96	24,853.50	1,048.46
SECTOR SPDR TR SBI INT-FINL SEDOL 2364038	(500.000)	3/21/2014	4/22/2014	11,002.25	11,319.50	(317.25)
SPDR S&P 500 ETF TRUST	(25.000)	3/12/2014	4/22/2014	4,706.88	4,646.75	60.13
SPDR S&P 500 ETF TRUST	(75.000)	2/6/2014	4/22/2014	14,120.63	13,202.38	918.25
ISHARES MSCI EAFE INDEX FUND	(75.000)	4/29/2014	5/15/2014	5,113.73	5,106.62	7.11
ISHARES MSCI EAFE INDEX FUND	(325.000)	5/12/2014	5/15/2014	22,159.50	22,159.50	-
POWERSHARES QQQ	(275.000)	5/9/2014	5/15/2014	23,917.70	23,863.13	54.57
SPDR BARCLAYS SHORT TERM HIGH YIELD BOND ETF	(825.000)	6/28/2013	5/15/2014	25,447.05	24,968.63	478.42
SPDR BARCLAYS SHORT TERM HIGH YIELD BOND ETF	(50.000)	7/11/2013	5/15/2014	1,542.25	1,518.37	23.88
SPDR BARCLAYS SHORT TERM HIGH YIELD BOND ETF	(450.000)	7/12/2013	5/15/2014	13,880.21	13,689.90	190.31
SPDR BARCLAYS SHORT TERM HIGH YIELD BOND ETF	(575.000)	10/29/2013	5/15/2014	17,735.83	17,735.71	0.12
SPDR BARCLAYS SHORT TERM HIGH YIELD BOND ETF	(350.000)	2/12/2014	5/15/2014	10,795.72	10,813.25	(17.53)
ISHARES S&P PREF STK INDEX FUND	(575.000)	2/12/2014	6/4/2014	22,393.39	21,881.63	511.76
JP MORGAN CHASE NA 6% OCT 01 2017 DTD 09/24/2007	(15,000.000)	6/28/2013	6/4/2014	17,047.50	17,112.15	(64.65)
ISHARES MSCI SOUTH KOREA CAPPED INDEX FUND	(250.000)	5/19/2014	6/6/2014	16,378.56	16,309.03	69.53
SPDR DOW JONES INDUSTRIAL AVERAGE ETF TRUST	(65.000)	6/2/2014	6/12/2014	10,884.44	10,876.69	7.75
ISHARES MSCI EAFE INDEX FUND	(160.000)	5/27/2014	6/24/2014	11,171.78	11,063.43	108.35
JPM STRAT INC OPP FD - SEL FUND 3844 1.18%	(1,474.305)	8/12/2013	6/25/2014	17,588.46	17,500.00	88.46
JPM STRAT INC OPP FD - SEL FUND 3844 1.18%	(734.797)	9/6/2013	6/25/2014	8,766.13	8,700.00	66.13
PROSHARES ULTRA S&P 500	(75.000)	6/25/2014	6/25/2014	8,633.09	8,591.10	41.99
NUVEEN HIGH YLD MUNI BND-I	(248.125)	2/27/2013	7/16/2013	3,937.74	4,300.00	(362.26)
NUVEEN HIGH YLD MUNI BND-I	(511.628)	5/30/2013	7/16/2013	8,119.54	8,800.00	(680.46)
NUVEEN HIGH YLD MUNI BND-I	(491.614)	2/22/2013	7/16/2013	7,801.91	8,500.00	(698.09)
PIMCO FDS INCOME FD CL D	(693.894)	4/23/2013	7/24/2013	8,493.26	8,750.00	(256.74)
PIMCO FDS INCOME FD CL D	(531.596)	1/16/2013	7/24/2013	6,506.74	6,676.85	(170.11)
METROPOLITAN WEST FDS TOTAL RET BD	(26.287)	2/27/2013	8/9/2013	279.17	286.79	(7.62)

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Description	Quantity	Acquired Date	Sale Date	Proceeds	Cost Basis	Gain/ Loss
METROPOLITAN WEST FDS TOTAL RET BD	(797.630)	4/23/2013	8/9/2013	8,470.83	8,750.00	(279.17)
TCW GALILEO TOTAL RETURN BOND FUND CL I	(1,315.130)	1/16/2013	8/9/2013	13,125.00	13,478.26	(353.26)
DODGE & COX INCOME FUND	(236.628)	1/16/2013	8/12/2013	3,203.95	3,286.76	(82.81)
DODGE & COX INCOME FUND	(409.605)	2/27/2013	8/12/2013	5,546.05	5,693.51	(147.46)
PIMCO FDS INCOME FD CL D	(307.713)	9/17/2012	8/12/2013	3,763.32	3,738.71	24.61
PIMCO FDS INCOME FD CL D	(970.874)	12/31/2012	8/12/2013	11,873.79	12,000.00	(126.21)
PIMCO FDS INCOME FD CL D	(152.321)	1/16/2013	8/12/2013	1,862.89	1,913.15	(50.26)
PIMCO HIGH YIELD FUND CL D	(1,695.967)	2/27/2013	8/12/2013	16,128.65	16,400.00	(271.35)
TCW GALILEO TOTAL RETURN BOND FUND CL I	(344.773)	1/16/2013	8/12/2013	3,440.83	3,533.44	(92.61)
TCW GALILEO TOTAL RETURN BOND FUND CL I	(265.926)	2/22/2013	8/12/2013	2,653.94	2,721.60	(67.66)
TCW GALILEO TOTAL RETURN BOND FUND CL I	(842.207)	2/27/2013	8/12/2013	8,405.23	8,627.93	(222.70)
DODGE & COX INCOME FUND	(692.098)	1/16/2013	8/14/2013	9,343.32	9,613.24	(269.92)
PIMCO FDS INCOME FD CL D	(754.015)	9/17/2012	8/14/2013	9,176.36	9,161.29	15.07
TCW GALILEO TOTAL RETURN BOND FUND CL I	(1,381.361)	2/22/2013	8/14/2013	13,744.54	14,137.43	(392.89)
DOUBLELINE FDS TR TTL RTN BD N	(615.136)	2/27/2013	8/16/2013	6,698.83	7,000.25	(301.42)
DOUBLELINE FDS TR TTL RTN BD N	(262.009)	9/26/2012	8/16/2013	2,853.28	3,000.00	(146.72)
DOUBLELINE FDS TR TTL RTN BD N	(1,131.579)	1/16/2013	8/16/2013	12,322.89	12,900.00	(577.11)
METROPOLITAN WEST FDS TOTAL RET BD	(780.533)	2/22/2013	8/16/2013	8,195.60	8,500.00	(304.40)
METROPOLITAN WEST FDS TOTAL RET BD	(771.147)	2/27/2013	8/16/2013	8,097.04	8,413.21	(316.17)
DOUBLELINE FDS TR TTL RTN BD N	(149.363)	2/27/2013	9/6/2013	1,614.61	1,699.75	(85.14)
PIMCO TOTAL RETURN FUND SER D	(444.840)	12/31/2012	9/6/2013	4,706.41	5,000.00	(293.59)
PIMCO TOTAL RETURN FUND SER D	(774.711)	3/26/2013	9/6/2013	8,196.44	8,700.00	(503.56)
FIDELITY FLOATING RATE HIGH INCOME FUND	(200.401)	8/14/2013	2/28/2014	2,000.00	1,998.00	2.00
FIDELITY FLOATING RATE HIGH INCOME FUND	(677.232)	8/14/2013	3/3/2014	6,758.78	6,752.00	6.78
DOUBLELINE FDS TR DBLLNE FLTRT I	(1,183.432)	8/14/2013	5/12/2014	12,000.00	12,011.86	(11.86)
DOUBLELINE FDS TR DBLLNE FLTRT I	(2,266.010)	8/12/2013	5/13/2014	23,000.00	23,000.04	(0.04)
DOUBLELINE FDS TR DBLLNE FLTRT I	(1,004.926)	8/12/2013	5/14/2014	10,200.00	10,200.02	(0.02)
		TOTAL SHORT TERM		1,574,378.56	1,574,841.43	(462.87)
FORD MOTOR CREDIT CO LLC 8.7% OCT 01 2014 DTD 09/23/2009	(5,000.000)	8/15/2011	8/9/2013	5,405.45	5,547.50	(142.05)
BANK OF AMERICA CORP SR NOTES 5 3/8% JUN 15 2014 DTD 6/8/2004	(5,000.000)	4/16/2012	8/13/2013	5,176.50	5,262.70	(86.20)
CITIGROUP INC 5 1/2% OCT 15 2014 DTD 09/24/2009	(5,000.000)	8/24/2011	8/13/2013	5,250.30	5,260.75	(10.45)
GOLDMAN SACHS GROUP INC NOTES 5% OCT 1 2014 DTD 9/29/2004	(5,000.000)	8/11/2011	8/13/2013	5,218.45	5,217.50	0.95
FORD MOTOR CREDIT CO LLC SR NOTES 7% APR 15 2015 DTD 04/09/2010	(5,000.000)	5/10/2012	9/12/2013	5,424.25	5,600.00	(175.75)
GOLDMAN SACHS GROUP INC NOTES 5 1/8% JAN 15 2015 DTD 1/12/2005	(5,000.000)	8/23/2011	9/12/2013	5,250.30	5,175.00	75.30
HCA INC SR NOTES 5 3/4% MAR 15 2014 DTD 3/8/2004	(5,000.000)	7/5/2011	9/12/2013	5,087.50	5,143.75	(56.25)

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Description	Quantity	Acquired Date	Sale Date	Proceeds	Cost Basis	Gain/ Loss
HCA INC SR NOTES 5 3/4% MAR 15 2014 DTD 3/8/2004	(5,000.000)	3/15/2012	9/12/2013	5,087.50	5,225.00	(137.50)
EXELON CORP NOTES 4.9% JUN 15 2015 DTD 6/9/2005	(5,000.000)	1/30/2012	9/19/2013	5,307.30	5,487.50	(180.20)
FORD MOTOR CREDIT CO LLC NOTES 8% JUN 01 2014 DTD 06/02/2009	(5,000.000)	7/1/2011	9/19/2013	5,240.00	5,540.00	(300.00)
FORD MOTOR CREDIT CO LLC NOTES 8% JUN 01 2014 DTD 06/02/2009	(5,000.000)	1/25/2012	9/19/2013	5,240.00	5,559.50	(319.50)
GOLDMAN SACHS GROUP INC SR NOTES 3.3% MAY 03 2015 DTD 05/03/2012	(5,000.000)	4/30/2012	9/19/2013	5,169.05	5,015.00	154.05
CHS/COMMUNITY HEALTH SYS 8% NOV 15 2019 DTD 05/15/2012	(10,000.000)	7/10/2012	10/23/2013	10,876.25	10,662.50	213.75
CHS/COMMUNITY HEALTH SYS 8% NOV 15 2019 DTD 05/15/2012	(5,000.000)	9/4/2012	10/23/2013	5,438.12	5,435.00	3.12
HEALTH MANAGEMENT ASSOCIATION 6 1/8% APR 15 2016 DTD 04/21/2006	(5,000.000)	6/12/2012	10/23/2013	5,493.75	5,282.50	211.25
PENN NATIONAL GAMING INC 8 3/4% AUG 15 2019 DTD 2/15/2010	(5,000.000)	6/19/2012	11/29/2013	5,504.85	5,575.00	(70.15)
APOLLO INVESTMENT CORP CV 5 3/4% JAN 15 2016 DTD 01/25/2011	(5,000.000)	8/2/2012	2/5/2014	5,305.00	5,125.00	180.00
APOLLO INVESTMENT CORP CV 5 3/4% JAN 15 2016 DTD 01/25/2011	(5,000.000)	8/23/2012	2/5/2014	5,305.00	5,162.50	142.50
HCA INC 6 1/2% FEB 15 2016 DTD 2/8/2006	(5,000.000)	6/28/2012	2/5/2014	5,437.50	5,365.00	72.50
PIMCO TOTAL RETURN ETF	(120.000)	8/30/2012	4/7/2014	12,835.33	12,918.66	(83.33)
PIMCO TOTAL RETURN ETF	(60.000)	9/26/2012	4/7/2014	6,417.67	6,545.00	(127.33)
PIMCO TOTAL RETURN ETF	(80 000)	1/16/2013	4/7/2014	8,556.89	8,761.20	(204.31)
DOUBLELINE FDS TR TTL RTN BD N	(333.443)	1/9/2012	9/6/2013	3,604.53	3,674.54	(70.01)
DOUBLELINE FDS TR TTL RTN BD N	(322.004)	2/16/2012	9/6/2013	3,480.86	3,600.00	(119.14)
PIMCO TOTAL RETURN FUND SER D	(13.908)	1/31/2012	9/6/2013	147.15	154.66	(7.51)
VANGUARD GROWTH VIPERS	(85.000)	5/21/2012	4/11/2014	7,664.08	5,570.59	2,093.49
VANGUARD GROWTH VIPERS	(110.000)	12/21/2012	4/11/2014	9,918.23	7,853.45	2,064.78
VANGUARD GROWTH VIPERS	(45.000)	1/31/2012	4/11/2014	4,057.46	2,950.95	1,106.51
HEALTH CARE SELECT SECTOR SPDR FUND	(90.000)	3/29/2012	4/16/2014	5,108.73	3,355.65	1,753.08
PPL ENERGY SUPPLY LLC 5.7% OCT 15 2015 DTD 10/26/2005	(5,000.000)	2/2/2012	6/4/2014	5,225.00	5,540.00	(315.00)
PPL ENERGY SUPPLY LLC 5.7% OCT 15 2015 DTD 10/26/2005	(5,000.000)	2/7/2012	6/4/2014	5,225.00	5,546.05	(321.05)
ISHARES BARCLAYS 7-10 YEAR TREASURY BOND FUND	(20.000)	1/16/2013	6/3/2014	2,059.92	2,144.50	(84.58)
ISHARES BARCLAYS 7-10 YEAR TREASURY BOND FUND	(30.000)	1/30/2013	6/3/2014	3,089.89	3,178.41	(88.52)
NUVEEN HIGH YLD MUNI BND-I	(420.974)	6/28/2011	7/16/2013	6,680.85	6,230.41	450.44
NUVEEN HIGH YLD MUNI BND-I	(4.052)	8/2/2011	7/16/2013	64.31	60.45	3.86
NUVEEN HIGH YLD MUNI BND-I	(4.083)	9/2/2011	7/16/2013	64.80	60.80	4.00
NUVEEN HIGH YLD MUNI BND-I	(4.042)	10/4/2011	7/16/2013	64.15	61.20	2.95
NUVEEN HIGH YLD MUNI BND-I	(4.112)	11/2/2011	7/16/2013	65.26	61.64	3.62
NUVEEN HIGH YLD MUNI BND-I	(4.176)	12/2/2011	7/16/2013	66.27	61.85	4.42
NUVEEN HIGH YLD MUNI BND-I	(0.961)	12/7/2011	7/16/2013	15.25	14.27	0.98
NUVEEN HIGH YLD MUNI BND-I	(196.592)	1/9/2012	7/16/2013	3,119.92	3,000.00	119.92
NUVEEN HIGH YLD MUNI BND-I	(254.702)	6/28/2011	7/24/2013	3,958.07	3,769.59	188.48
NUVEEN HIGH YLD MUNI BND-I	(0.137)	7/5/2011	7/24/2013	2.13	2.02	0.11
PIMCO TOTAL RETURN FUND SER D	(173.857)	1/31/2012	9/12/2013	1,846.36	1,933.29	(86.93)
PIMCO TOTAL RETURN FUND SER D	(578.430)	5/10/2010	9/12/2013	6,142.92	6,420.57	(277.65)

SUSQUEHANNA UNIVERSITY AND ORTENZIO CHARITABLE TRUST
FORM 990; PG 9; PART VIII; LINES 7(a), 7(b), 7(c)

Description	Quantity	Acquired Date	Sale Date	Proceeds	Cost Basis	Gain/ Loss
PIMCO TOTAL RETURN FUND SER D	(1.009)	6/2/2010	9/12/2013	10.72	11.20	(0.48)
PIMCO TOTAL RETURN FUND SER D	(142.291)	5/10/2010	9/17/2013	1,519.67	1,579.43	(59.76)
PIMCO TOTAL RETURN FUND SER D	(272.480)	6/22/2011	9/17/2013	2,910.08	3,000.00	(89.92)
WELLS FARGO ADVANTAGE SHORT TERM HIGH YIELD BOND FUND	(3.700)	6/4/2012	9/17/2013	30.45	30.23	0.22
WELLS FARGO ADVANTAGE SHORT TERM HIGH YIELD BOND FUND	(186.893)	6/28/2012	9/17/2013	1,538.13	1,530.65	7.48
DOUBLELINE FDS TR TTL RTN BD N	(211.022)	1/9/2012	10/15/2013	2,306.47	2,325.46	(18.99)
DOUBLELINE FDS TR TTL RTN BD N	(337.926)	12/30/2011	10/15/2013	3,693.53	3,723.94	(30.41)
FIDELITY FLOATING RATE HIGH INCOME FUND	(575.273)	2/27/2013	3/3/2014	5,741.22	5,723.96	17.26
FIDELITY FLOATING RATE HIGH INCOME FUND	(573.468)	2/27/2013	4/9/2014	5,711.74	5,706.01	5.73
		TOTAL LONG TERM		229,160.11	223,742.33	5,417.78