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Form **990-PF****Return of Private Foundation**  
or Section 4947(a)(1) Trust Treated as Private Foundation

OMB No 1545-0052

**2013**Department of the Treasury  
Internal Revenue Service▶ Do not enter Social Security numbers on this form as it may be made public.  
▶ Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

Open to Public Inspection

For calendar year 2013 or tax year beginning 07/01/13, and ending 06/30/14

|                                                                                                                                                                                                                                                                                                     |                                                                                                                                           |                                                                                                                                                                              |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Name of foundation<br><b>YAO YUAN SZE FOUNDATION</b>                                                                                                                                                                                                                                                |                                                                                                                                           | A Employer identification number<br><b>91-2161365</b>                                                                                                                        |
| Number and street (or P O box number if mail is not delivered to street address)<br><b>14409 NE 10TH SE</b>                                                                                                                                                                                         | Room/suite                                                                                                                                | B Telephone number (see instructions)<br><b>425-324-5333</b>                                                                                                                 |
| City or town, state or province, country, and ZIP or foreign postal code<br><b>BELLEVUE WA 98007-4123</b>                                                                                                                                                                                           |                                                                                                                                           | C If exemption application is pending, check here <input type="checkbox"/>                                                                                                   |
| G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity<br><input type="checkbox"/> Final return <input type="checkbox"/> Amended return<br><input type="checkbox"/> Address change <input type="checkbox"/> Name change |                                                                                                                                           | D 1. Foreign organizations, check here <input type="checkbox"/><br>2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/> |
| H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation<br><input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation                                                    |                                                                                                                                           | E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>                                                                |
| I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ \$ <b>5,866,672</b>                                                                                                                                                                                             | J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual<br><input type="checkbox"/> Other (specify) | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>                                                             |
| (Part I, column (d) must be on cash basis)                                                                                                                                                                                                                                                          |                                                                                                                                           |                                                                                                                                                                              |

| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions)) |                                                                                    | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------|---------------------------|-------------------------|-------------------------------------------------------------|
| <b>Revenue</b>                                                                                                                                                     | 1 Contributions, gifts, grants, etc., received (attach schedule)                   | <b>4,789,891</b>                   |                           |                         |                                                             |
|                                                                                                                                                                    | 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B |                                    |                           |                         |                                                             |
|                                                                                                                                                                    | 3 Interest on savings and temporary cash investments                               | <b>755</b>                         | <b>755</b>                | <b>0</b>                |                                                             |
|                                                                                                                                                                    | 4 Dividends and interest from securities                                           | <b>19,966</b>                      | <b>13,727</b>             | <b>0</b>                |                                                             |
|                                                                                                                                                                    | 5a Gross rents                                                                     |                                    |                           |                         |                                                             |
|                                                                                                                                                                    | b Net rental income or (loss)                                                      |                                    |                           |                         |                                                             |
|                                                                                                                                                                    | 6a Net gain or (loss) from sale of assets not on line 10 <b>Stmt 1</b>             | <b>70,918</b>                      |                           |                         |                                                             |
|                                                                                                                                                                    | b Gross sales price for all assets on line 6a <b>835,008</b>                       |                                    |                           |                         |                                                             |
|                                                                                                                                                                    | 7 Capital gain net income (from Part IV, line 2)                                   |                                    | <b>1,903</b>              |                         |                                                             |
|                                                                                                                                                                    | 8 Net short-term capital gain                                                      |                                    |                           | <b>0</b>                |                                                             |
|                                                                                                                                                                    | 9 Income modifications                                                             |                                    |                           |                         |                                                             |
|                                                                                                                                                                    | 10a Gross sales less returns and allowances                                        |                                    |                           |                         |                                                             |
| b Less Cost of goods sold                                                                                                                                          |                                                                                    |                                    |                           |                         |                                                             |
| c Gross profit or (loss) (attach schedule)                                                                                                                         |                                                                                    |                                    |                           |                         |                                                             |
| 11 Other income (attach schedule)                                                                                                                                  |                                                                                    |                                    |                           |                         |                                                             |
| 12 Total. Add lines 1 through 11                                                                                                                                   | <b>4,881,530</b>                                                                   | <b>16,385</b>                      |                           |                         |                                                             |
| <b>Operating and Administrative Expenses</b>                                                                                                                       | 13 Compensation of officers, directors, trustees, etc                              | <b>0</b>                           |                           |                         |                                                             |
|                                                                                                                                                                    | 14 Other employee salaries and wages                                               | <b>12,000</b>                      | <b>12,000</b>             |                         |                                                             |
|                                                                                                                                                                    | 15 Pension plans, employee benefits                                                | <b>1,338</b>                       | <b>1,338</b>              |                         |                                                             |
|                                                                                                                                                                    | 16a Legal fees (attach schedule) <b>See Stmt 2</b>                                 | <b>80</b>                          | <b>80</b>                 |                         |                                                             |
|                                                                                                                                                                    | b Accounting fees (attach schedule) <b>Stmt 3</b>                                  | <b>1,327</b>                       | <b>1,327</b>              |                         |                                                             |
|                                                                                                                                                                    | c Other professional fees (attach schedule) <b>Stmt 4</b>                          | <b>15,005</b>                      | <b>15,005</b>             |                         |                                                             |
|                                                                                                                                                                    | 17 Interest                                                                        |                                    |                           |                         |                                                             |
|                                                                                                                                                                    | 18 Taxes (attach schedule) (see instructions) <b>Stmt 5</b>                        | <b>236</b>                         | <b>236</b>                |                         |                                                             |
|                                                                                                                                                                    | 19 Depreciation (attach schedule) and depletion <b>Stmt 6</b>                      |                                    |                           |                         |                                                             |
|                                                                                                                                                                    | 20 Occupancy                                                                       |                                    |                           |                         |                                                             |
|                                                                                                                                                                    | 21 Travel, conferences, and meetings                                               | <b>113</b>                         | <b>113</b>                |                         |                                                             |
|                                                                                                                                                                    | 22 Printing and publications                                                       |                                    |                           |                         |                                                             |
|                                                                                                                                                                    | 23 Other expenses (att sch) <b>Stmt 7</b>                                          | <b>277</b>                         | <b>277</b>                |                         |                                                             |
|                                                                                                                                                                    | 24 Total operating and administrative expenses. Add lines 13 through 23            | <b>30,376</b>                      | <b>30,376</b>             | <b>0</b>                | <b>0</b>                                                    |
|                                                                                                                                                                    | 25 Contributions, gifts, grants paid <b>See Statement 8</b>                        | <b>22,000</b>                      |                           |                         | <b>22,000</b>                                               |
| 26 Total expenses and disbursements. Add lines 24 and 25                                                                                                           | <b>52,376</b>                                                                      | <b>30,376</b>                      | <b>0</b>                  | <b>22,000</b>           |                                                             |
| 27 Subtract line 26 from line 12                                                                                                                                   |                                                                                    |                                    |                           |                         |                                                             |
| a Excess of revenue over expenses and disbursements                                                                                                                | <b>4,829,154</b>                                                                   |                                    |                           |                         |                                                             |
| b Net investment income (if negative, enter -0-)                                                                                                                   |                                                                                    | <b>0</b>                           |                           |                         |                                                             |
| c Adjusted net income (if negative, enter -0-)                                                                                                                     |                                                                                    |                                    | <b>0</b>                  |                         |                                                             |

For Paperwork Reduction Act Notice, see instructions.

Form **990-PF** (2013)

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**Part II Balance Sheets**

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

|                                                                                                        |                                                                                                                                                 | Beginning of year | End of year    |                       |
|--------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|----------------|-----------------------|
|                                                                                                        |                                                                                                                                                 | (a) Book Value    | (b) Book Value | (c) Fair Market Value |
| <b>Assets</b>                                                                                          | 1 Cash – non-interest-bearing                                                                                                                   | 30,895            | 90,955         | 90,955                |
|                                                                                                        | 2 Savings and temporary cash investments                                                                                                        |                   |                |                       |
|                                                                                                        | 3 Accounts receivable ▶<br>Less allowance for doubtful accounts ▶                                                                               |                   |                |                       |
|                                                                                                        | 4 Pledges receivable ▶<br>Less allowance for doubtful accounts ▶                                                                                |                   |                |                       |
|                                                                                                        | 5 Grants receivable                                                                                                                             |                   |                |                       |
|                                                                                                        | 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)                       |                   |                |                       |
|                                                                                                        | 7 Other notes and loans receivable (att schedule) ▶<br>Less allowance for doubtful accounts ▶                                                   | 0                 |                |                       |
|                                                                                                        | 8 Inventories for sale or use                                                                                                                   |                   |                |                       |
|                                                                                                        | 9 Prepaid expenses and deferred charges                                                                                                         |                   |                |                       |
|                                                                                                        | 10a Investments – U S and state government obligations (attach schedule)                                                                        |                   |                |                       |
|                                                                                                        | b Investments – corporate stock (attach schedule) <b>See Stmt 9</b>                                                                             | 684,615           | 5,453,709      | 5,775,717             |
|                                                                                                        | c Investments – corporate bonds (attach schedule)                                                                                               |                   |                |                       |
|                                                                                                        | 11 Investments – land, buildings, and equipment basis ▶<br>Less accumulated depreciation (attach sch) ▶                                         |                   |                |                       |
|                                                                                                        | 12 Investments – mortgage loans                                                                                                                 |                   |                |                       |
|                                                                                                        | 13 Investments – other (attach schedule)                                                                                                        |                   |                |                       |
|                                                                                                        | 14 Land, buildings, and equipment basis ▶ <b>1,416</b><br>Less accumulated depreciation (attach sch) ▶ <b>Stmt 10 1,416</b>                     |                   |                |                       |
| 15 Other assets (describe ▶ )                                                                          |                                                                                                                                                 |                   |                |                       |
| 16 <b>Total assets</b> (to be completed by all filers – see the instructions Also, see page 1, item i) | 715,510                                                                                                                                         | 5,544,664         | 5,866,672      |                       |
| <b>Liabilities</b>                                                                                     | 17 Accounts payable and accrued expenses                                                                                                        |                   |                |                       |
|                                                                                                        | 18 Grants payable                                                                                                                               |                   |                |                       |
|                                                                                                        | 19 Deferred revenue                                                                                                                             |                   |                |                       |
|                                                                                                        | 20 Loans from officers, directors, trustees, and other disqualified persons                                                                     |                   |                |                       |
|                                                                                                        | 21 Mortgages and other notes payable (attach schedule)                                                                                          |                   |                |                       |
|                                                                                                        | 22 Other liabilities (describe ▶ )                                                                                                              |                   |                |                       |
|                                                                                                        | 23 <b>Total liabilities</b> (add lines 17 through 22)                                                                                           | 0                 | 0              |                       |
| <b>Net Assets or Fund Balances</b>                                                                     | <b>Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.</b> ▶ <input checked="" type="checkbox"/> |                   |                |                       |
|                                                                                                        | 24 Unrestricted                                                                                                                                 | 715,510           | 5,544,664      |                       |
|                                                                                                        | 25 Temporarily restricted                                                                                                                       |                   |                |                       |
|                                                                                                        | 26 Permanently restricted                                                                                                                       |                   |                |                       |
|                                                                                                        | <b>Foundations that do not follow SFAS 117, check here and complete lines 27 through 31.</b> ▶ <input type="checkbox"/>                         |                   |                |                       |
|                                                                                                        | 27 Capital stock, trust principal, or current funds                                                                                             |                   |                |                       |
|                                                                                                        | 28 Paid-in or capital surplus, or land, bldg, and equipment fund                                                                                |                   |                |                       |
|                                                                                                        | 29 Retained earnings, accumulated income, endowment, or other funds                                                                             |                   |                |                       |
|                                                                                                        | 30 <b>Total net assets or fund balances</b> (see instructions)                                                                                  | 715,510           | 5,544,664      |                       |
|                                                                                                        | 31 <b>Total liabilities and net assets/fund balances</b> (see instructions)                                                                     | 715,510           | 5,544,664      |                       |

**Part III Analysis of Changes in Net Assets or Fund Balances**

|                                                                                                                                                              |   |           |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----------|
| 1 Total net assets or fund balances at beginning of year – Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 715,510   |
| 2 Enter amount from Part I, line 27a                                                                                                                         | 2 | 4,829,154 |
| 3 Other increases not included in line 2 (itemize) ▶                                                                                                         | 3 |           |
| 4 Add lines 1, 2, and 3                                                                                                                                      | 4 | 5,544,664 |
| 5 Decreases not included in line 2 (itemize) ▶                                                                                                               | 5 |           |
| 6 Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30                                                      | 6 | 5,544,664 |

**Part IV Capital Gains and Losses for Tax on Investment Income**

| (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)                                                                    |                                            | (b) How acquired<br>P – Purchase<br>D – Donation | (c) Date acquired<br>(mo., day, yr.)                                                            | (d) Date sold<br>(mo., day, yr.) |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|--------------------------------------------------|-------------------------------------------------------------------------------------------------|----------------------------------|
| <b>1a CAPITAL GAIN DISTRIBUTION</b>                                                                                                                                                                  |                                            |                                                  |                                                                                                 |                                  |
| <b>b</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| <b>c</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| <b>d</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| <b>e</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| (e) Gross sales price                                                                                                                                                                                | (f) Depreciation allowed<br>(or allowable) | (g) Cost or other basis<br>plus expense of sale  | (h) Gain or (loss)<br>(e) plus (f) minus (g)                                                    |                                  |
| <b>a</b> <b>1,903</b>                                                                                                                                                                                |                                            |                                                  | <b>1,903</b>                                                                                    |                                  |
| <b>b</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| <b>c</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| <b>d</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| <b>e</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69                                                                                                          |                                            |                                                  |                                                                                                 |                                  |
| (i) F M V as of 12/31/69                                                                                                                                                                             | (j) Adjusted basis<br>as of 12/31/69       | (k) Excess of col. (i)<br>over col. (j), if any  | (l) Gains (Col. (h) gain minus<br>col. (k), but not less than -0-) or<br>Losses (from col. (h)) |                                  |
| <b>a</b>                                                                                                                                                                                             |                                            |                                                  | <b>1,903</b>                                                                                    |                                  |
| <b>b</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| <b>c</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| <b>d</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| <b>e</b>                                                                                                                                                                                             |                                            |                                                  |                                                                                                 |                                  |
| <b>2 Capital gain net income or (net capital loss)</b> <span style="float: right;">If gain, also enter in Part I, line 7<br/>If (loss), enter -0- in Part I, line 7</span>                           |                                            |                                                  | <b>2</b>                                                                                        | <b>1,903</b>                     |
| <b>3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)</b><br>If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 |                                            |                                                  | <b>3</b>                                                                                        |                                  |

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

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

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

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

☐ Yes ☒ No

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

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

| (a)<br>Base period years<br>Calendar year (or tax year beginning in)                                                                                                                                                       | (b)<br>Adjusted qualifying distributions | (c)<br>Net value of noncharitable-use assets | (d)<br>Distribution ratio<br>(col. (b) divided by col. (c)) |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|----------------------------------------------|-------------------------------------------------------------|
| 2012                                                                                                                                                                                                                       | <b>31,000</b>                            | <b>668,012</b>                               | <b>0.046406</b>                                             |
| 2011                                                                                                                                                                                                                       | <b>13,000</b>                            | <b>578,991</b>                               | <b>0.022453</b>                                             |
| 2010                                                                                                                                                                                                                       | <b>23,000</b>                            | <b>442,244</b>                               | <b>0.052007</b>                                             |
| 2009                                                                                                                                                                                                                       | <b>20,000</b>                            | <b>292,144</b>                               | <b>0.068459</b>                                             |
| 2008                                                                                                                                                                                                                       | <b>8,500</b>                             | <b>262,382</b>                               | <b>0.032396</b>                                             |
| <b>2 Total of line 1, column (d)</b>                                                                                                                                                                                       |                                          |                                              | <b>2</b> <b>0.221721</b>                                    |
| <b>3 Average distribution ratio for the 5-year base period – divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years</b>                                      |                                          |                                              | <b>3</b> <b>0.044344</b>                                    |
| <b>4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5</b>                                                                                                                                      |                                          |                                              | <b>4</b> <b>1,200,592</b>                                   |
| <b>5 Multiply line 4 by line 3</b>                                                                                                                                                                                         |                                          |                                              | <b>5</b> <b>53,239</b>                                      |
| <b>6 Enter 1% of net investment income (1% of Part I, line 27b)</b>                                                                                                                                                        |                                          |                                              | <b>6</b>                                                    |
| <b>7 Add lines 5 and 6</b>                                                                                                                                                                                                 |                                          |                                              | <b>7</b> <b>53,239</b>                                      |
| <b>8 Enter qualifying distributions from Part XII, line 4</b><br>If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions |                                          |                                              | <b>8</b> <b>22,000</b>                                      |

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

|           |                                                                                                                                                                                                                             |           |          |
|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|----------|
| <b>1a</b> | Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1<br>Date of ruling or determination letter (attach copy of letter if necessary—see instructions) |           |          |
| <b>b</b>  | Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b                                                                             | <b>1</b>  |          |
| <b>c</b>  | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col (b)                                                                                                      |           |          |
| <b>2</b>  | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                   | <b>2</b>  | <b>0</b> |
| <b>3</b>  | Add lines 1 and 2                                                                                                                                                                                                           | <b>3</b>  |          |
| <b>4</b>  | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)                                                                                                                 | <b>4</b>  | <b>0</b> |
| <b>5</b>  | <b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-                                                                                                                              | <b>5</b>  | <b>0</b> |
| <b>6</b>  | <b>Credits/Payments</b>                                                                                                                                                                                                     |           |          |
| <b>a</b>  | 2013 estimated tax payments and 2012 overpayment credited to 2013                                                                                                                                                           | <b>6a</b> |          |
| <b>b</b>  | Exempt foreign organizations – tax withheld at source                                                                                                                                                                       | <b>6b</b> |          |
| <b>c</b>  | Tax paid with application for extension of time to file (Form 8868)                                                                                                                                                         | <b>6c</b> |          |
| <b>d</b>  | Backup withholding erroneously withheld                                                                                                                                                                                     | <b>6d</b> |          |
| <b>7</b>  | Total credits and payments. Add lines 6a through 6d                                                                                                                                                                         | <b>7</b>  |          |
| <b>8</b>  | Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached                                                                                                    | <b>8</b>  |          |
| <b>9</b>  | <b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>                                                                                                                                 | <b>9</b>  |          |
| <b>10</b> | <b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>                                                                                                                     | <b>10</b> |          |
| <b>11</b> | Enter the amount of line 10 to be <b>Credited to 2014 estimated tax</b> <input type="checkbox"/> <b>Refunded</b> <input type="checkbox"/>                                                                                   | <b>11</b> |          |

**Part VII-A Statements Regarding Activities**

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

Stmt 11

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

|    |                                                                                                                                                                                                                                                                                                                                  |                                                            |                            |                |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|----------------------------|----------------|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)                                                                                                                                          | 11                                                         |                            | <b>X</b>       |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)                                                                                                                                         | 12                                                         |                            | <b>X</b>       |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application?<br>Website address ► <b>N/A</b>                                                                                                                                                                              | 13                                                         | <b>X</b>                   |                |
| 14 | The books are in care of ► <b>JOAN SUN</b><br><b>14409 NE 10TH ST</b><br>Located at ► <b>BELLEVUE</b>                                                                                                                                                                                                                            | Telephone no ► <b>425-865-9999</b><br>ZIP+4 ► <b>98007</b> |                            |                |
| 15 | Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 – Check here and enter the amount of tax-exempt interest received or accrued during the year                                                                                                                                              | 15                                                         | ► <input type="checkbox"/> |                |
| 16 | At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?<br>See the instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes," enter the name of the foreign country ► | 16                                                         | Yes                        | No<br><b>X</b> |

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

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

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

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

**5a** During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see instructions) ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

**b** If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? **N/A** ☐ **5b**

Organizations relying on a current notice regarding disaster assistance check here ☐

**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? **N/A** ☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945–5(d)

**6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** ☐ Yes ☒ No **X**

If "Yes" to 6b, file Form 8870

**7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? **N/A** **7b**

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).**

| (a) Name and address                                | (b) Title, and average hours per week devoted to position | (c) Compensation (if not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|-----------------------------------------------------|-----------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|---------------------------------------|
| PAUL F SUN<br>14409 NE 10TH ST<br>BELLEVUE WA 98007 | TREASURER/DI<br>2.00                                      | 0                                         | 0                                                                     | 0                                     |
| JOAN SUN<br>14409 NE 10TH ST<br>BELLEVUE WA 98007   | PRESIDENT/DI<br>4.00                                      | 0                                         | 0                                                                     | 0                                     |
|                                                     |                                                           |                                           |                                                                       |                                       |
|                                                     |                                                           |                                           |                                                                       |                                       |

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

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

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

**0**

Form 990-PF (2013) **YAO YUAN SZE FOUNDATION****91-2161365**Page **7****Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)****3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."**

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

**Total number of others receiving over \$50,000 for professional services** ▶**Part IX-A Summary of Direct Charitable Activities**

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

|              | Expenses |
|--------------|----------|
| 1 <b>N/A</b> |          |
| 2            |          |
| 3            |          |
| 4            |          |

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

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

|                                                             | Amount |
|-------------------------------------------------------------|--------|
| 1 <b>N/A</b>                                                |        |
| 2                                                           |        |
| All other program-related investments See instructions<br>3 |        |

**Total.** Add lines 1 through 3 ▶Form **990-PF** (2013)

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

|          |                                                                                                             |           |                  |
|----------|-------------------------------------------------------------------------------------------------------------|-----------|------------------|
| <b>1</b> | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes  |           |                  |
| <b>a</b> | Average monthly fair market value of securities                                                             | <b>1a</b> | <b>1,157,527</b> |
| <b>b</b> | Average of monthly cash balances                                                                            | <b>1b</b> | <b>61,348</b>    |
| <b>c</b> | Fair market value of all other assets (see instructions)                                                    | <b>1c</b> | <b>0</b>         |
| <b>d</b> | <b>Total</b> (add lines 1a, b, and c)                                                                       | <b>1d</b> | <b>1,218,875</b> |
| <b>e</b> | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)   | <b>1e</b> | <b>0</b>         |
| <b>2</b> | Acquisition indebtedness applicable to line 1 assets                                                        | <b>2</b>  | <b>0</b>         |
| <b>3</b> | Subtract line 2 from line 1d                                                                                | <b>3</b>  | <b>1,218,875</b> |
| <b>4</b> | Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)      | <b>4</b>  | <b>18,283</b>    |
| <b>5</b> | <b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4 | <b>5</b>  | <b>1,200,592</b> |
| <b>6</b> | <b>Minimum investment return.</b> Enter 5% of line 5                                                        | <b>6</b>  | <b>60,030</b>    |

**Part XI Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

|           |                                                                                                           |           |               |
|-----------|-----------------------------------------------------------------------------------------------------------|-----------|---------------|
| <b>1</b>  | Minimum investment return from Part X, line 6                                                             | <b>1</b>  | <b>60,030</b> |
| <b>2a</b> | Tax on investment income for 2013 from Part VI, line 5                                                    | <b>2a</b> |               |
| <b>b</b>  | Income tax for 2013 (This does not include the tax from Part VI)                                          | <b>2b</b> |               |
| <b>c</b>  | Add lines 2a and 2b                                                                                       | <b>2c</b> |               |
| <b>3</b>  | Distributable amount before adjustments. Subtract line 2c from line 1                                     | <b>3</b>  | <b>60,030</b> |
| <b>4</b>  | Recoveries of amounts treated as qualifying distributions                                                 | <b>4</b>  |               |
| <b>5</b>  | Add lines 3 and 4                                                                                         | <b>5</b>  | <b>60,030</b> |
| <b>6</b>  | Deduction from distributable amount (see instructions)                                                    | <b>6</b>  |               |
| <b>7</b>  | <b>Distributable amount as adjusted.</b> Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | <b>7</b>  | <b>60,030</b> |

**Part XII Qualifying Distributions** (see instructions)

|          |                                                                                                                                                      |           |               |
|----------|------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------------|
| <b>1</b> | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes                                                            |           |               |
| <b>a</b> | Expenses, contributions, gifts, etc. – total from Part I, column (d), line 26                                                                        | <b>1a</b> | <b>22,000</b> |
| <b>b</b> | Program-related investments – total from Part IX-B                                                                                                   | <b>1b</b> |               |
| <b>2</b> | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes                                            | <b>2</b>  |               |
| <b>3</b> | Amounts set aside for specific charitable projects that satisfy the                                                                                  |           |               |
| <b>a</b> | Suitability test (prior IRS approval required)                                                                                                       | <b>3a</b> |               |
| <b>b</b> | Cash distribution test (attach the required schedule)                                                                                                | <b>3b</b> |               |
| <b>4</b> | <b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4                                    | <b>4</b>  | <b>22,000</b> |
| <b>5</b> | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions) | <b>5</b>  | <b>0</b>      |
| <b>6</b> | <b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4                                                                                | <b>6</b>  | <b>22,000</b> |

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

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

|                                                                                                                                                                                            | (a)<br>Corpus | (b)<br>Years prior to 2012 | (c)<br>2012   | (d)<br>2013   |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|---------------|---------------|
| <b>1</b> Distributable amount for 2013 from Part XI,<br>line 7                                                                                                                             |               |                            |               | <b>60,030</b> |
| <b>2</b> Undistributed income, if any, as of the end of 2013                                                                                                                               |               |                            |               |               |
| <b>a</b> Enter amount for 2012 only                                                                                                                                                        |               |                            | <b>22,653</b> |               |
| <b>b</b> Total for prior years 20____, 20____, 20____                                                                                                                                      |               |                            |               |               |
| <b>3</b> Excess distributions carryover, if any, to 2013                                                                                                                                   |               |                            |               |               |
| <b>a</b> From 2008                                                                                                                                                                         |               |                            |               |               |
| <b>b</b> From 2009                                                                                                                                                                         |               |                            |               |               |
| <b>c</b> From 2010                                                                                                                                                                         |               |                            |               |               |
| <b>d</b> From 2011                                                                                                                                                                         |               |                            |               |               |
| <b>e</b> From 2012                                                                                                                                                                         |               |                            |               |               |
| <b>f</b> Total of lines 3a through e                                                                                                                                                       |               |                            |               |               |
| <b>4</b> Qualifying distributions for 2013 from Part XII,<br>line 4 ▶ \$ <b>22,000</b>                                                                                                     |               |                            |               |               |
| <b>a</b> Applied to 2012, but not more than line 2a                                                                                                                                        |               |                            | <b>22,000</b> |               |
| <b>b</b> Applied to undistributed income of prior years<br>(Election required – see instructions)                                                                                          |               |                            |               |               |
| <b>c</b> Treated as distributions out of corpus (Election<br>required – see instructions)                                                                                                  |               |                            |               |               |
| <b>d</b> Applied to 2013 distributable amount                                                                                                                                              |               |                            |               |               |
| <b>e</b> Remaining amount distributed out of corpus                                                                                                                                        |               |                            |               |               |
| <b>5</b> Excess distributions carryover applied to 2013<br>(If an amount appears in column (d), the same<br>amount must be shown in column (a) )                                           |               |                            |               |               |
| <b>6</b> Enter the net total of each column as<br>indicated below:                                                                                                                         |               |                            |               |               |
| <b>a</b> Corpus Add lines 3f, 4c, and 4e Subtract line 5                                                                                                                                   |               |                            |               |               |
| <b>b</b> Prior years' undistributed income Subtract<br>line 4b from line 2b                                                                                                                |               |                            |               |               |
| <b>c</b> Enter the amount of prior years' undistributed<br>income for which a notice of deficiency has<br>been issued, or on which the section 4942(a)<br>tax has been previously assessed |               |                            |               |               |
| <b>d</b> Subtract line 6c from line 6b Taxable<br>amount – see instructions                                                                                                                |               |                            |               |               |
| <b>e</b> Undistributed income for 2012 Subtract line<br>4a from line 2a Taxable amount – see<br>instructions                                                                               |               |                            | <b>653</b>    |               |
| <b>f</b> Undistributed income for 2013 Subtract lines<br>4d and 5 from line 1 This amount must be<br>distributed in 2014                                                                   |               |                            |               | <b>60,030</b> |
| <b>7</b> Amounts treated as distributions out of corpus<br>to satisfy requirements imposed by section<br>170(b)(1)(F) or 4942(g)(3) (see instructions)                                     |               |                            |               |               |
| <b>8</b> Excess distributions carryover from 2008 not<br>applied on line 5 or line 7 (see instructions)                                                                                    |               |                            |               |               |
| <b>9</b> Excess distributions carryover to 2014.<br>Subtract lines 7 and 8 from line 6a                                                                                                    |               |                            |               |               |
| <b>10</b> Analysis of line 9                                                                                                                                                               |               |                            |               |               |
| <b>a</b> Excess from 2009                                                                                                                                                                  |               |                            |               |               |
| <b>b</b> Excess from 2010                                                                                                                                                                  |               |                            |               |               |
| <b>c</b> Excess from 2011                                                                                                                                                                  |               |                            |               |               |
| <b>d</b> Excess from 2012                                                                                                                                                                  |               |                            |               |               |
| <b>e</b> Excess from 2013                                                                                                                                                                  |               |                            |               |               |

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

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

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

**2a** Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed

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

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

**1 Information Regarding Foundation Managers:**

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

**YAI YUAN SZE**

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

**N/A**

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

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

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

**JOAN SUN 425-865-9999**  
**14409 NE 10TH ST BELLEVUE WA 98007**

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

**NO PARTICULAR FORMAT**

**c** Any submission deadlines

**NO DEADLINES**

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

**IRC 501 (C) 3 ORGANIZATIONS MEDICAL AND EDUCATION ONLY**

## Part XV      Supplementary Information (continued)

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

| Recipient                                                                                                             |  | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount        |
|-----------------------------------------------------------------------------------------------------------------------|--|-----------------------------------------------------------------------------------------------------------|--------------------------------|----------------------------------|---------------|
| Name and address (home or business)                                                                                   |  |                                                                                                           |                                |                                  |               |
| <b>a</b> Paid during the year<br><b>WHITTIER COLLEGE</b><br><b>13406 E PHILDELPHIA ST</b><br><b>WHITTIER CA 90608</b> |  |                                                                                                           | 501 (C) 3                      | EDUCATION                        | 5,000         |
| <b>WHITTIER COLLEGE</b><br><b>13406 E PHILDELPHIA ST</b><br><b>WHITTIER CA 90608</b>                                  |  |                                                                                                           | 501 (C) 3                      | EDUCATION                        | 10,000        |
| <b>ARK INSTITUTE OF LEARNING</b><br><b>1916 S WASHINGTON ST</b><br><b>TACOMA WA 98405</b>                             |  |                                                                                                           |                                | EDUCATION                        | 2,000         |
| <b>ARK INSTITUTE OF LEARNING</b><br><b>1916 S WASHINGTON ST</b><br><b>TACOMA WA 98405</b>                             |  |                                                                                                           |                                | EDUCATION                        | 5,000         |
| <b>Total</b>                                                                                                          |  |                                                                                                           |                                |                                  | <b>22,000</b> |
| <b>b</b> Approved for future payment<br><b>N/A</b>                                                                    |  |                                                                                                           |                                |                                  |               |
| <b>Total</b>                                                                                                          |  |                                                                                                           |                                |                                  |               |

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

Enter gross amounts unless otherwise indicated

| Enter gross amounts unless otherwise indicated                    |  | Unrelated business income |               | Excluded by section 512, 513, or 514 |               | (e)<br>Related or exempt<br>function income<br>(See instructions ) |
|-------------------------------------------------------------------|--|---------------------------|---------------|--------------------------------------|---------------|--------------------------------------------------------------------|
|                                                                   |  | (a)<br>Business code      | (b)<br>Amount | (c)<br>Exclusion<br>code             | (d)<br>Amount |                                                                    |
| <b>1</b> Program service revenue                                  |  |                           |               |                                      |               |                                                                    |
| a _____                                                           |  |                           |               |                                      |               |                                                                    |
| b _____                                                           |  |                           |               |                                      |               |                                                                    |
| c _____                                                           |  |                           |               |                                      |               |                                                                    |
| d _____                                                           |  |                           |               |                                      |               |                                                                    |
| e _____                                                           |  |                           |               |                                      |               |                                                                    |
| f _____                                                           |  |                           |               |                                      |               |                                                                    |
| g Fees and contracts from government agencies                     |  |                           |               |                                      |               |                                                                    |
| <b>2</b> Membership dues and assessments                          |  |                           |               |                                      |               |                                                                    |
| <b>3</b> Interest on savings and temporary cash investments       |  |                           |               | <b>14</b>                            | <b>755</b>    |                                                                    |
| <b>4</b> Dividends and interest from securities                   |  |                           |               | <b>14</b>                            | <b>19,966</b> |                                                                    |
| <b>5</b> Net rental income or (loss) from real estate.            |  |                           |               |                                      |               |                                                                    |
| a Debt-financed property                                          |  |                           |               |                                      |               |                                                                    |
| b Not debt-financed property                                      |  |                           |               |                                      |               |                                                                    |
| <b>6</b> Net rental income or (loss) from personal property       |  |                           |               |                                      |               |                                                                    |
| <b>7</b> Other investment income                                  |  | <b>523000</b>             |               |                                      |               |                                                                    |
| <b>8</b> Gain or (loss) from sales of assets other than inventory |  |                           |               | <b>18</b>                            | <b>1,903</b>  | <b>69,015</b>                                                      |
| <b>9</b> Net income or (loss) from special events                 |  |                           |               |                                      |               |                                                                    |
| <b>10</b> Gross profit or (loss) from sales of inventory          |  |                           |               |                                      |               |                                                                    |
| <b>11</b> Other revenue a _____                                   |  |                           |               |                                      |               |                                                                    |
| b _____                                                           |  |                           |               |                                      |               |                                                                    |
| c _____                                                           |  |                           |               |                                      |               |                                                                    |
| d _____                                                           |  |                           |               |                                      |               |                                                                    |
| e _____                                                           |  |                           |               |                                      |               |                                                                    |
| <b>12</b> Subtotal Add columns (b), (d), and (e)                  |  |                           | <b>0</b>      |                                      | <b>22,624</b> | <b>69,015</b>                                                      |
| <b>13</b> Total. Add line 12, columns (b), (d), and (e)           |  |                           |               |                                      | <b>13</b>     | <b>91,639</b>                                                      |

(See worksheet in line 13 instructions to verify calculations )

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

[illegible]

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

- 1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?

**a Transfers from the reporting foundation to a noncharitable exempt organization of**

- (1) Cash
- (2) Other assets

|       |   |
|-------|---|
| 1a(1) | X |
|-------|---|

|       |  |          |
|-------|--|----------|
| 1a(2) |  | <b>X</b> |
|-------|--|----------|

**b Other transactions**

- (1) Sales of assets to a noncharitable exempt organization
- (2) Purchases of assets from a noncharitable exempt organization
- (3) Rental of facilities, equipment, or other assets
- (4) Reimbursement arrangements
- (5) Loans or loan guarantees
- (6) Performance of services or membership or fundraising solicitations

|       |   |
|-------|---|
| 1b(1) | X |
|-------|---|

|       |  |          |
|-------|--|----------|
| 1b(2) |  | <b>X</b> |
|-------|--|----------|

|       |  |          |
|-------|--|----------|
| 1b(3) |  | <b>X</b> |
|-------|--|----------|

|       |  |          |
|-------|--|----------|
| 1b(4) |  | <b>X</b> |
|-------|--|----------|

|       |  |          |
|-------|--|----------|
| 1b(5) |  | <b>X</b> |
|-------|--|----------|

|       |  |          |
|-------|--|----------|
| 1b(6) |  | <b>X</b> |
|-------|--|----------|

|    |  |          |
|----|--|----------|
| 1c |  | <b>X</b> |
|----|--|----------|

**c Sharing of facilities, equipment, mailing lists, other assets, or paid employees**

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

[illegible]

**2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527?

☐ Yes ☒ No

**b If "Yes," complete the following schedule**

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

**Sign  
Here**

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

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

Signature of officer or trustee

Date \_\_\_\_\_

**DIRECTOR**  
Title

**Paid**  
**Preparer**  
**Use Only**

**Print/Type preparer's name**

Preparer's signature

Date \_\_\_\_\_

Check ☐ if self-employed

**Richard A. Cash, CPA**

Richard A. Cash, CPA

10/17/14

Firm's name ▶ **NORDBERG HAMMACK KOLP & CASH, PS**

|      |           |
|------|-----------|
| PTIN | P01044579 |
|------|-----------|

Firm's address ▶ **915 118TH AVE SE, SUITE 280**

Firm's EIN ► **91-1857114**

**BELLEVUE, WA 98005**

Phone no **425-450-9995**

**Schedule B**  
**(Form 990, 990-EZ,**  
**or 990-PF)**Department of the Treasury  
Internal Revenue Service**Schedule of Contributors**

OMB No 1545-0047

**2013**

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.

▶ Information about Schedule B (Form 990, 990-EZ, 990-PF) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

Name of the organization

Employer identification number

**YAO YUAN SZE FOUNDATION****91-2161365**

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

☐ 501(c)( ) (enter number) organization☐ 4947(a)(1) nonexempt charitable trust not treated as a private foundation☐ 527 political organization

Form 990-PF

☒ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☒
- For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

**Special Rules**

- ☐
- For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33
- <sup>1</sup>
- /
- <sub>3</sub>
- % support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of (1) \$5,000 or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

- ☐
- For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use exclusively for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.

- ☐
- For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use exclusively for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an exclusively religious, charitable, etc., purpose. Do not complete any of the parts unless the
- General Rule**
- applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990, or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.

Schedule B (Form 990, 990-EZ, or 990-PF) (2013)

Name of organization

**YAO YUAN SZE FOUNDATION**

Employer identification number

**91-2161365****Part I Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                         | (c)<br>Total contributions | (d)<br>Type of contribution                                                                                                                                         |
|------------|-----------------------------------------------------------|----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1          | YAO YUAN SZE<br>P O BOX 452<br><br>MERCER ISLAND WA 98040 | \$ 4,789,891               | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input checked="" type="checkbox"/><br>(Complete Part II for noncash contributions ) |
| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                         | (c)<br>Total contributions | (d)<br>Type of contribution                                                                                                                                         |
|            |                                                           | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions )            |
| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                         | (c)<br>Total contributions | (d)<br>Type of contribution                                                                                                                                         |
|            |                                                           | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions )            |
| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                         | (c)<br>Total contributions | (d)<br>Type of contribution                                                                                                                                         |
|            |                                                           | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions )            |
| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                         | (c)<br>Total contributions | (d)<br>Type of contribution                                                                                                                                         |
|            |                                                           | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions )            |
| (a)<br>No. | (b)<br>Name, address, and ZIP + 4                         | (c)<br>Total contributions | (d)<br>Type of contribution                                                                                                                                         |
|            |                                                           | \$                         | Person <input type="checkbox"/><br>Payroll <input type="checkbox"/><br>Noncash <input type="checkbox"/><br>(Complete Part II for noncash contributions )            |

Name of organization

**YAO YUAN SZE FOUNDATION**

Employer identification number

**91-2161365****Part II Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed.

| (a) No.<br>from<br>Part I | (b)<br>Description of noncash property given | (c)<br>FMV (or estimate)<br>(see instructions) | (d)<br>Date received |
|---------------------------|----------------------------------------------|------------------------------------------------|----------------------|
| 1                         | 737 SH ISHARES SHOART TREASUEY               | \$ 81,251                                      | 06/09/14             |
| 1                         | 3000 SH LUNDIN MINING                        | \$ 12,330                                      | 06/09/14             |
| 1                         | 1000 SH NOKIA                                | \$ 8,070                                       | 06/09/14             |
| 1                         | 1000 SH SPRINT                               | \$ 7,910                                       | 06/09/14             |
| 1                         | 503 SH AGRIUM                                | \$ 44,696                                      | 06/11/14             |
| 1                         | 32 H & R BLOCK                               | \$ 921                                         | 06/11/14             |

Name of organization

**YAO YUAN SZE FOUNDATION**

Employer identification number

**91-2161365****Part II Noncash Property** (see instructions) Use duplicate copies of Part II if additional space is needed.

| (a) No.<br>from<br>Part I | (b)<br>Description of noncash property given | (c)<br>FMV (or estimate)<br>(see instructions) | (d)<br>Date received |
|---------------------------|----------------------------------------------|------------------------------------------------|----------------------|
| 1                         | 504 CISCO                                    | \$ 11,061                                      | 06/11/14             |
| 1                         | 1415 SH FRONTIER COMMUNICATIONS              | \$ 6,742                                       | 06/11/14             |
| 1                         | 2016 SH INTEL                                | \$ 56,172                                      | 06/11/14             |
| 1                         | JP MORGAN ACCT# 962-38717                    | \$ 4,560,738                                   | 06/06/14             |
|                           |                                              | \$                                             |                      |
|                           |                                              | \$                                             |                      |

## Federal Statements

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Statement 1 - Form 990-PF, Part I, Line 6a - Sale of Assets

| Whom Sold         | Description | Date Acquired | Date Sold | How Received |                     | Cost    | Expense | Depreciation | Net Gain / Loss |
|-------------------|-------------|---------------|-----------|--------------|---------------------|---------|---------|--------------|-----------------|
|                   |             |               |           |              | Sale Price          |         |         |              |                 |
| SCHEDULE ATTACHED |             | 7/01/13       | 6/30/14   | \$           | Purchase<br>416,553 | 370,331 | \$      | \$           | 46,222          |
| SCHEDULE ATTACHED |             | 7/01/12       | 6/30/14   | \$           | Purchase<br>416,552 | 393,759 |         |              | 22,793          |
| Total             |             |               |           | \$           | 833,105             | 764,090 | 0       | 0            | 69,015          |

Statement 2 - Form 990-PF, Part I, Line 16a - Legal Fees

| Description | Total | Net Investment | Adjusted Net | Charitable Purpose |
|-------------|-------|----------------|--------------|--------------------|
| LEGAL       | \$ 80 | \$ 80          | \$           | \$                 |
| Total       | \$ 80 | \$ 80          | 0            | 0                  |

Statement 3 - Form 990-PF, Part I, Line 16b - Accounting Fees

| Description | Total    | Net Investment | Adjusted Net | Charitable Purpose |
|-------------|----------|----------------|--------------|--------------------|
| ACCOUNTANT  | \$ 1,327 | \$ 1,327       | \$           | \$                 |
| Total       | \$ 1,327 | \$ 1,327       | 0            | 0                  |

## Federal Statements

**Statement 4 - Form 990-PF, Part I, Line 16c - Other Professional Fees**

| Description               | Total     | Net Investment | Adjusted Net | Charitable Purpose |
|---------------------------|-----------|----------------|--------------|--------------------|
| BROKERAGE MANAGEMENT FEES | \$ 15,005 | \$ 15,005      | \$           | \$                 |
| Total                     | \$ 15,005 | \$ 15,005      | \$ 0         | \$ 0               |

**Statement 5 - Form 990-PF, Part I, Line 18 - Taxes**

| Description   | Total        | Net Investment | Adjusted Net | Charitable Purpose |
|---------------|--------------|----------------|--------------|--------------------|
| LICENSE TAXES | \$ 10<br>226 | 10<br>226      | \$           | \$                 |
| Total         | \$ 236       | \$ 236         | \$ 0         | \$ 0               |

**Statement 6 - Form 990-PF, Part I, Line 19 - Depreciation**

| Date Acquired | Description | Cost Basis | Prior Year Depreciation | Method | Life | Current Year Depreciation | Net Investment Income | Adjusted Net Income |
|---------------|-------------|------------|-------------------------|--------|------|---------------------------|-----------------------|---------------------|
| 3/02/08       | COMPUTER    | \$ 1,416   | \$ 1,416                | S/L    | 5    | \$                        | \$                    | \$                  |
| Total         |             | \$ 1,416   | \$ 1,416                |        |      | \$ 0                      | \$ 0                  | \$ 0                |

## Federal Statements

Statement 7 - Form 990-PF, Part I, Line 23 - Other Expenses

| Description     | Total | Net Investment | Adjusted Net | Charitable Purpose |
|-----------------|-------|----------------|--------------|--------------------|
| Expenses        |       |                |              |                    |
| OFFICE SUPPLIES | 277   | 277            |              |                    |
| Total           | 277   | 277            | 0            | 0                  |

Statement 8 - Form 990-PF, Part I, Line 25 - Noncash Contributions, Gifts, Grants

| Amount | Noncash Description | FMV Explanation | Book Value Amount | Book Value Explanation | Date     |
|--------|---------------------|-----------------|-------------------|------------------------|----------|
| 5,000  |                     |                 |                   |                        | 10/15/13 |
| 10,000 |                     |                 |                   |                        | 1/26/14  |
| 2,000  |                     |                 |                   |                        | 7/24/13  |
| 5,000  |                     |                 |                   |                        | 5/29/14  |

Statement 9 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

| Description                    | Beginning of Year | End of Year  | Basis of Valuation | Fair Market Value |
|--------------------------------|-------------------|--------------|--------------------|-------------------|
| STOCKS SCHEDULE ATTACHED       | \$ 144,636        | \$ 4,527,114 | Cost               | \$ 4,800,080      |
| MUTUAL FUNDS SCHEDULE ATTACHED | 539,979           | 926,595      | Cost               | 975,637           |
| Total                          | \$ 684,615        | \$ 5,453,709 |                    | \$ 5,775,717      |

Statement 10 - Form 990-PF, Part II, Line 14 - Land, Building, and Equipment

| Description | Beginning Net Book | End Cost / Basis | End Accumulated Depreciation | Net FMV |
|-------------|--------------------|------------------|------------------------------|---------|
| COMPUTER    | \$                 | \$ 1,416         | \$ 1,416                     | \$      |
| Total       | \$ 0               | \$ 1,416         | \$ 1,416                     | \$ 0    |

28900 YAO YUAN SZE FOUNDATION

91-2161365

FYE: 6/30/2014

## Federal Statements

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### Statement 11 - Form 990-PF, Part VII-A, Line 10 - Substantial Contributors

Name

YAO YUAN SZE

Address

PO BOX 452

City, State, Zip

MERCER ISLAND WA 98040

**Federal Statements****Form 990-PF, Part XV, Line 1a - Managers Who Contributed Over 2% or \$5,000**

| <u>Name of Manager</u> | <u>Amount</u> |
|------------------------|---------------|
| YAI YUAN SZE           | \$            |
| Total                  | \$ 0          |

**Form 990-PF, Part XV, Line 2b - Application Format and Required Contents**

| <u>Description</u>   |
|----------------------|
| NO PARTICULAR FORMAT |

**Form 990-PF, Part XV, Line 2c - Submission Deadlines**

| <u>Description</u> |
|--------------------|
| NO DEADLINES       |

**Form 990-PF, Part XV, Line 2d - Award Restrictions or Limitations**

| <u>Description</u>                                     |
|--------------------------------------------------------|
| IRC 501 (C) 3 ORGANIZATIONS MEDICAL AND EDUCATION ONLY |

## YAO YUAN SZE FOUNDATION

## Capital Gains and Losses 7/1/13 - 6/30/14

91-2161365

## Statement 1 - Form 990-PF, Part 1, Line 6a - Sale of Assets

| Description                               | Ticker | Quantity | Acquire Date | Sale Date | Proceeds | Cost Basis | Short Term | Long Term | Total  |
|-------------------------------------------|--------|----------|--------------|-----------|----------|------------|------------|-----------|--------|
| AMAZON.COM INC                            | AMZN   | 1        | 2/1/2011     | 7/19/2013 | 305.11   | 171.65     | 0.00       | 133.46    | 133.46 |
| AMERICAN CENTURY INTER-TERM TAX FI AXBIX  |        | 87.766   | 7/13/2011    | 8/14/2013 | 981.22   | 991.43     | 0.00       | -10.21    | -10.21 |
| APPLE INC                                 | AAPL   | 1        | 9/21/2010    | 8/12/2013 | 463.11   | 284.68     | 0.00       | 178.43    | 178.43 |
| APPLE INC                                 | AAPL   | 1        | 2/1/2011     | 8/12/2013 | 463.10   | 345.10     | 0.00       | 118.00    | 118.00 |
| ASML HOLDING N V N Y REGISTRY SHS 2( ASML |        | 3        | 10/31/2012   | 8/19/2013 | 272.69   | 158.77     | 113.92     | 0.00      | 113.92 |
| CAREFUSION CORP                           | CFN    | 11       | 9/24/2012    | 8/5/2013  | 408.43   | 313.14     | 95.29      | 0.00      | 95.29  |
| CAREFUSION CORP                           | CFN    | 5        | 5/2/2012     | 8/5/2013  | 185.65   | 130.67     | 0.00       | 54.98     | 54.98  |
| CAREFUSION CORP                           | CFN    | 1        | 5/25/2012    | 8/5/2013  | 37.13    | 24.92      | 0.00       | 12.21     | 12.21  |
| CAUSEWAY CAP MGMT TR INTL VALUE F CIVIX   |        | 60.047   | 4/23/2013    | 8/14/2013 | 892.30   | 833.04     | 59.26      | 0.00      | 59.26  |
| CERNER CORP                               | CERN   | 9        | 11/9/2012    | 8/20/2013 | 431.23   | 354.70     | 76.53      | 0.00      | 76.53  |
| DELAWARE GROUP EMERGING MARKET: DEMIX     |        | 19.705   | 3/24/2011    | 8/14/2013 | 293.80   | 306.92     | 0.00       | -13.12    | -13.12 |
| EXXON MOBIL CORP                          | XOM    | 1        | 3/24/2011    | 7/3/2013  | 90.26    | 82.75      | 0.00       | 7.51      | 7.51   |
| GOLDMAN SACHS SMALL CAP VALUE FUI GSSIX   |        | 4.706    | 10/25/2010   | 8/14/2013 | 259.08   | 187.45     | 0.00       | 71.63     | 71.63  |
| GOOGLE INC CL A                           | GOOGL  | 1        | 7/13/2012    | 7/18/2013 | 916.88   | 576.83     | 0.00       | 340.05    | 340.05 |
| HARBOR INTERNATIONAL FUND INSTITU HAINX   |        | 8.38     | 4/23/2013    | 8/14/2013 | 570.15   | 544.94     | 25.21      | 0.00      | 25.21  |
| INVESCO LTD                               | IVZ    | 1        | 2/1/2011     | 7/15/2013 | 31.94    | 25.17      | 0.00       | 6.77      | 6.77   |
| INVESCO LTD                               | IVZ    | 1        | 8/22/2011    | 7/15/2013 | 31.93    | 16.03      | 0.00       | 15.90     | 15.90  |
| INVESCO LTD                               | IVZ    | 1        | 8/22/2011    | 7/16/2013 | 31.86    | 16.02      | 0.00       | 15.84     | 15.84  |
| INVESCO LTD                               | IVZ    | 2        | 9/21/2011    | 7/17/2013 | 63.76    | 35.69      | 0.00       | 28.07     | 28.07  |
| INVESCO LTD                               | IVZ    | 1        | 9/21/2011    | 7/18/2013 | 32.47    | 17.85      | 0.00       | 14.62     | 14.62  |
| INVESCO LTD                               | IVZ    | 6        | 9/21/2011    | 7/25/2013 | 195.63   | 107.08     | 0.00       | 88.55     | 88.55  |
| INVESCO LTD                               | IVZ    | 2        | 2/1/2011     | 7/12/2013 | 63.38    | 50.34      | 0.00       | 13.04     | 13.04  |
| ISHARES RUSSELL 2000 ETF                  | IWM    | 1        | 2/6/2013     | 8/14/2013 | 104.13   | 90.08      | 14.05      | 0.00      | 14.05  |
| JOHNSON CONTROLS INC                      | JCI    | 3        | 8/22/2011    | 8/7/2013  | 119.87   | 87.17      | 0.00       | 32.70     | 32.70  |
| JOHNSON CONTROLS INC                      | JCI    | 2        | 2/1/2011     | 8/7/2013  | 79.91    | 76.94      | 0.00       | 2.97      | 2.97   |
| JP MORGAN VALUE ADVANTAGE FD INST JVAIX   |        | 17.407   | 4/23/2013    | 8/14/2013 | 450.31   | 416.97     | 33.34      | 0.00      | 33.34  |
| JPMORGAN TR I INTL VALUE FD SELECT CJESX  |        | 43.546   | 2/1/2011     | 8/14/2013 | 621.40   | 540.57     | 0.00       | 80.83     | 80.83  |
| JPMORGAN TR I MID CAP EQUITY FD SEL VSNXG |        | 7.466    | 5/25/2012    | 8/14/2013 | 304.25   | 208.69     | 0.00       | 95.56     | 95.56  |
| JPMORGAN TR I SMALL CAP EQUITY FD SVSEIX  |        | 1.732    | 8/19/2010    | 8/14/2013 | 81.32    | 58.27      | 0.00       | 23.05     | 23.05  |
| LINKEDIN CORPORATION COM CL A             | LNKD   | 2        | 3/21/2013    | 7/30/2013 | 405.59   | 349.85     | 55.74      | 0.00      | 55.74  |
| MALLINCKRODT PLC                          | MNK    | 1        | 7/30/2012    | 8/15/2013 | 43.17    | 71.59      | 0.00       | -28.42    | -28.42 |

## YAO YUAN SZE FOUNDATION

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| Description                            | Ticker | Quantity | Acquire Date | Sale Date | Proceeds  | Cost Basis | Short Term | Long Term | Total     |
|----------------------------------------|--------|----------|--------------|-----------|-----------|------------|------------|-----------|-----------|
| OAKMARK FUND                           | OAKMX  | 145.5    | 9/24/2012    | 8/14/2013 | 8,635.43  | 6,467.32   | 2,168.11   | 0.00      | 2,168.11  |
| OAKMARK FUND                           | OAKMX  | 713.268  | 7/13/2011    | 8/14/2013 | 42,332.46 | 31,704.01  | 0.00       | 10,628.45 | 10,628.45 |
| OAKMARK FUND                           | OAKMX  | 61.841   | 8/22/2011    | 8/14/2013 | 3,670.26  | 2,748.77   | 0.00       | 921.49    | 921.49    |
| ONYX PHARMACEUTICALS INC               |        | 3        | 4/5/2013     | 7/18/2013 | 397.10    | 267.13     | 129.97     | 0.00      | 129.97    |
| ONYX PHARMACEUTICALS INC               |        | 2        | 4/5/2013     | 8/16/2013 | 230.44    | 178.08     | 52.36      | 0.00      | 52.36     |
| ONYX PHARMACEUTICALS INC               |        | 1        | 6/19/2013    | 8/16/2013 | 115.22    | 87.04      | 28.18      | 0.00      | 28.18     |
| PHILIP MORRIS INTERNATIONAL INC        | PM     | 4        | 2/23/2012    | 7/16/2013 | 360.51    | 327.74     | 0.00       | 32.77     | 32.77     |
| PHILLIPS 66 COM                        | PSX    | 3        | 10/18/2012   | 7/3/2013  | 168.71    | 137.88     | 30.83      | 0.00      | 30.83     |
| TARGET CORP                            | TGT    | 6        | 9/24/2012    | 8/16/2013 | 411.48    | 391.54     | 19.94      | 0.00      | 19.94     |
| THORNBURG INTL VALUE FUND CL I         | TGVIX  | 21.905   | 8/19/2010    | 8/14/2013 | 661.32    | 560.21     | 0.00       | 101.11    | 101.11    |
| TIME WARNER INC                        | TWX    | 4        | 9/21/2010    | 7/18/2013 | 248.09    | 127.20     | 0.00       | 120.89    | 120.89    |
| TIME WARNER INC                        | TWX    | 4        | 10/21/2010   | 7/18/2013 | 248.09    | 127.13     | 0.00       | 120.96    | 120.96    |
| TIME WARNER INC                        | TWX    | 3        | 12/17/2010   | 7/18/2013 | 186.07    | 94.51      | 0.00       | 91.56     | 91.56     |
| TYCO INTERNATIONAL LTD                 | TYC    | 5        | 6/18/2012    | 8/19/2013 | 169.14    | 132.77     | 0.00       | 36.37     | 36.37     |
| TYCO INTERNATIONAL LTD                 | TYC    | 5        | 9/24/2012    | 8/19/2013 | 169.14    | 139.19     | 29.95      | 0.00      | 29.95     |
| TYCO INTERNATIONAL LTD                 | TYC    | 1        | 6/19/2013    | 8/19/2013 | 33.83     | 33.68      | 0.15       | 0.00      | 0.15      |
| TYCO INTERNATIONAL LTD                 | TYC    | 8        | 8/14/2013    | 8/19/2013 | 270.63    | 277.77     | -7.14      | 0.00      | -7.14     |
| TYCO INTERNATIONAL LTD                 | TYC    | 3        | 11/10/2010   | 8/19/2013 | 101.48    | 58.21      | 0.00       | 43.27     | 43.27     |
| TYCO INTERNATIONAL LTD                 | TYC    | 5        | 1/13/2011    | 8/19/2013 | 169.14    | 111.26     | 0.00       | 57.88     | 57.88     |
| TYCO INTERNATIONAL LTD                 | TYC    | 6        | 2/1/2011     | 8/19/2013 | 202.97    | 135.70     | 0.00       | 67.27     | 67.27     |
| TYCO INTERNATIONAL LTD                 | TYC    | 2        | 8/22/2011    | 8/19/2013 | 67.66     | 37.71      | 0.00       | 29.95     | 29.95     |
| TYCO INTERNATIONAL LTD                 | TYC    | 1        | 5/25/2012    | 8/19/2013 | 33.83     | 27.35      | 0.00       | 6.48      | 6.48      |
| VANGUARD SECTOR INDEX FDS VANGUA VNQ   |        | 44       | 9/12/2012    | 8/14/2013 | 2,958.74  | 2,999.64   | -40.90     | 0.00      | -40.90    |
| VERIZON COMMUNICATIONS                 | VZ     | 3        | 8/19/2010    | 8/9/2013  | 147.57    | 88.75      | 0.00       | 58.82     | 58.82     |
| VERIZON COMMUNICATIONS                 | VZ     | 3        | 9/21/2010    | 8/9/2013  | 147.56    | 96.75      | 0.00       | 50.81     | 50.81     |
| WALTER ENERGY INC NEW                  | WLT    | 1        | 2/3/2012     | 8/8/2013  | 10.62     | 76.00      | 0.00       | -65.38    | -65.38    |
| WALTER ENERGY INC NEW                  | WLT    | 5        | 2/15/2012    | 8/8/2013  | 53.10     | 333.52     | 0.00       | -280.42   | -280.42   |
| WALTER ENERGY INC NEW                  | WLT    | 9        | 9/10/2012    | 8/8/2013  | 95.59     | 311.72     | -216.13    | 0.00      | -216.13   |
| WALTER ENERGY INC NEW                  | WLT    | 2        | 9/24/2012    | 8/8/2013  | 21.24     | 68.48      | -47.24     | 0.00      | -47.24    |
| WELLS FARGO ADVANTAGE FDS EMERGI EMGYX |        | 9.726    | 4/23/2013    | 8/14/2013 | 210.17    | 212.93     | -2.76      | 0.00      | -2.76     |
| WELLS FARGO ADVANTAGE GROWTH FU SGRKX  |        | 15.978   | 8/19/2010    | 8/14/2013 | 795.38    | 612.09     | 0.00       | 183.29    | 183.29    |
| WELLS FARGO ADVANTAGE GROWTH FU SGRKX  |        | 12.857   | 2/1/2011     | 8/14/2013 | 640.01    | 492.53     | 0.00       | 147.48    | 147.48    |

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| Description                              | Ticker | Quantity | Acquire Date | Sale Date  | Proceeds  | Cost Basis | Short Term | Long Term | Total   |
|------------------------------------------|--------|----------|--------------|------------|-----------|------------|------------|-----------|---------|
| XILINX INC                               | XLNX   | 15       | 5/9/2013     | 8/15/2013  | 660.33    | 579.46     | 80.87      | 0.00      | 80.87   |
| XILINX INC                               | XLNX   | 1        | 6/19/2013    | 8/15/2013  | 44.02     | 40.19      | 3.83       | 0.00      | 3.83    |
| ACE LIMITED                              | ACE    | 2        | 5/23/2011    | 9/5/2013   | 176.71    | 135.82     | 0.00       | 40.89     | 40.89   |
| ADOBE SYSTEMS INC                        | ADBE   | 1        | 8/6/2012     | 9/5/2013   | 46.81     | 32.20      | 0.00       | 14.61     | 14.61   |
| AMAZON.COM INC                           | AMZN   | 1        | 6/30/2011    | 10/18/2013 | 324.13    | 204.04     | 0.00       | 120.09    | 120.09  |
| AMAZON.COM INC                           | AMZN   | 1        | 8/9/2011     | 10/18/2013 | 324.13    | 204.44     | 0.00       | 119.69    | 119.69  |
| AMERICAN CENTURY INTER-TERM TAX FLXBX    | AXBX   | 3,307.40 | 7/13/2011    | 9/5/2013   | 36,480.66 | 37,361.21  | 0.00       | -880.55   | -880.55 |
| ANADARKO PETROLEUM CORP                  | APC    | 1        | 9/21/2011    | 9/5/2013   | 92.74     | 75.59      | 0.00       | 17.15     | 17.15   |
| ANADARKO PETROLEUM CORP                  | APC    | 1        | 9/22/2011    | 9/5/2013   | 92.73     | 68.64      | 0.00       | 24.09     | 24.09   |
| APACHE CORP                              | APA    | 2        | 4/4/2013     | 9/5/2013   | 172.49    | 149.28     | 23.21      | 0.00      | 23.21   |
| APPLE INC                                | AAPL   | 2        | 2/1/2011     | 9/19/2013  | 945.62    | 690.20     | 0.00       | 255.42    | 255.42  |
| APPLIED MATERIALS INC                    | AMAT   | 4        | 5/3/2013     | 9/5/2013   | 62.57     | 59.79      | 2.78       | 0.00      | 2.78    |
| ARCHER-DANIELS-MIDLAND CO                | ADM    | 2        | 2/21/2013    | 9/5/2013   | 72.15     | 64.29      | 7.86       | 0.00      | 7.86    |
| ASML HOLDING N V N Y REGISTRY SHS 2(ASML | ASML   | 1        | 10/31/2012   | 9/11/2013  | 89.24     | 52.92      | 36.32      | 0.00      | 36.32   |
| ASML HOLDING N V N Y REGISTRY SHS 2(ASML | ASML   | 3        | 11/16/2012   | 9/11/2013  | 267.70    | 189.75     | 77.95      | 0.00      | 77.95   |
| ASML HOLDING N V N Y REGISTRY SHS 2(ASML | ASML   | 1        | 11/16/2012   | 9/18/2013  | 93.06     | 63.25      | 29.81      | 0.00      | 29.81   |
| ASML HOLDING N V N Y REGISTRY SHS 2(ASML | ASML   | 3        | 12/17/2012   | 9/18/2013  | 279.16    | 190.51     | 88.65      | 0.00      | 88.65   |
| ASML HOLDING N V N Y REGISTRY SHS 2(ASML | ASML   | 1        | 10/31/2012   | 9/5/2013   | 89.65     | 52.93      | 36.72      | 0.00      | 36.72   |
| AVAGO TECHNOLOGIES LTD US LISTED         | AVGO   | 4        | 5/2/2013     | 9/5/2013   | 155.32    | 128.21     | 27.11      | 0.00      | 27.11   |
| AVAGO TECHNOLOGIES LTD US LISTED         | AVGO   | 15       | 5/2/2013     | 10/30/2013 | 674.60    | 480.77     | 193.83     | 0.00      | 193.83  |
| AXIAL CORPORATION                        | AXLL   | 1        | 4/15/2013    | 10/8/2013  | 36.68     | 52.28      | -15.60     | 0.00      | -15.60  |
| AXIAL CORPORATION                        | AXLL   | 5        | 8/14/2013    | 10/8/2013  | 183.43    | 221.48     | -38.05     | 0.00      | -38.05  |
| AXIAL CORPORATION                        | AXLL   | 1        | 1/22/2013    | 9/5/2013   | 39.99     | 44.96      | -4.97      | 0.00      | -4.97   |
| AXIAL CORPORATION                        | AXLL   | 17       | 1/22/2013    | 10/8/2013  | 623.63    | 764.31     | -140.68    | 0.00      | -140.68 |
| BANK OF AMERICA CORP                     | BAC    | 16       | 2/1/2011     | 9/5/2013   | 230.71    | 228.60     | 0.00       | 2.11      | 2.11    |
| BAXTER INTERNATIONAL INC                 | BAX    | 1        | 8/14/2013    | 9/5/2013   | 69.88     | 73.51      | -3.63      | 0.00      | -3.63   |
| BAXTER INTERNATIONAL INC                 | BAX    | 16       | 8/14/2013    | 10/22/2013 | 1,045.31  | 1,176.14   | -130.83    | 0.00      | -130.83 |
| BLACKROCK FDS HIGH YIELD BD PORTFO BHYX  | BHYX   | 93.022   | 4/23/2013    | 9/5/2013   | 751.62    | 769.79     | -18.17     | 0.00      | -18.17  |
| BRISTOL MYERS SQUIBB CO                  | BMJ    | 3        | 3/28/2013    | 9/5/2013   | 125.04    | 123.18     | 1.86       | 0.00      | 1.86    |
| BROADCOM CORP CL A                       | BRCM   | 3        | 8/13/2012    | 9/5/2013   | 80.47     | 104.03     | -23.56     | 0.00      | -23.56  |
| CAMERON INTERNATIONAL CORPORATIO         | CAM    | 1        | 10/19/2012   | 9/5/2013   | 58.83     | 55.65      | 3.18       | 0.00      | 3.18    |
| CAPITAL ONE FINANCIAL CORP               | COF    | 1        | 3/8/2013     | 9/5/2013   | 65.70     | 54.16      | 11.54      | 0.00      | 11.54   |

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| Description                                | Ticker | Quantity | Acquire Date | Sale Date  | Proceeds | Cost Basis | Short Term | Long Term | Total  |
|--------------------------------------------|--------|----------|--------------|------------|----------|------------|------------|-----------|--------|
| CARDINAL HEALTH INC                        | CAH    | 1        | 6/19/2013    | 9/5/2013   | 50.44    | 48.59      | 1.85       | 0.00      | 1.85   |
| CARDINAL HEALTH INC                        | CAH    | 5        | 8/14/2013    | 9/5/2013   | 252.19   | 261.87     | -9.68      | 0.00      | -9.68  |
| CARDINAL HEALTH INC                        | CAH    | 2        | 10/21/2010   | 9/5/2013   | 100.88   | 63.93      | 0.00       | 36.95     | 36.95  |
| CARDINAL HEALTH INC                        | CAH    | 6        | 2/1/2011     | 9/5/2013   | 302.63   | 251.27     | 0.00       | 51.36     | 51.36  |
| CARDINAL HEALTH INC                        | CAH    | 2        | 8/22/2011    | 9/5/2013   | 100.88   | 80.17      | 0.00       | 20.71     | 20.71  |
| CARDINAL HEALTH INC                        | CAH    | 5        | 9/16/2011    | 9/5/2013   | 252.19   | 215.15     | 0.00       | 37.04     | 37.04  |
| CARDINAL HEALTH INC                        | CAH    | 4        | 9/24/2012    | 9/5/2013   | 201.76   | 155.64     | 46.12      | 0.00      | 46.12  |
| CAUSEWAY CAP MGMT TR INTL VALUE F CIVIX    |        | 104.853  | 4/23/2013    | 9/5/2013   | 1,537.15 | 1,454.65   | 82.50      | 0.00      | 82.50  |
| CBS CORP CLASS B                           | CBS    | 1        | 7/22/2013    | 9/5/2013   | 54.11    | 52.38      | 1.73       | 0.00      | 1.73   |
| CELGENE CORP                               | CELG   | 1        | 9/21/2010    | 9/5/2013   | 145.81   | 56.81      | 0.00       | 89.00     | 89.00  |
| CELGENE CORP                               | CELG   | 2        | 10/21/2010   | 9/12/2013  | 300.89   | 116.97     | 0.00       | 183.92    | 183.92 |
| CHENIERE ENERGY INC COM                    | LNG    | 2        | 12/17/2012   | 9/5/2013   | 59.39    | 35.85      | 23.54      | 0.00      | 23.54  |
| CHENIERE ENERGY INC COM                    | LNG    | 4        | 12/17/2012   | 10/23/2013 | 151.84   | 71.70      | 80.14      | 0.00      | 80.14  |
| CISCO SYSTEMS INC                          | CSCO   | 15       | 12/6/2012    | 9/5/2013   | 355.24   | 290.73     | 64.51      | 0.00      | 64.51  |
| CITIGROUP INC COM                          | C      | 2        | 6/13/2011    | 9/5/2013   | 99.70    | 77.90      | 0.00       | 21.80     | 21.80  |
| CITIGROUP INC COM                          | C      | 2        | 8/9/2011     | 9/5/2013   | 99.69    | 60.75      | 0.00       | 38.94     | 38.94  |
| CITRIX SYSTEMS INC                         | CTXS   | 1        | 9/28/2011    | 9/5/2013   | 71.20    | 57.93      | 0.00       | 13.27     | 13.27  |
| COHEN & STEERS REAL ESTATE SECURITII CSDIX |        | 25.438   | 3/14/2012    | 9/5/2013   | 349.52   | 352.61     | 0.00       | -3.09     | -3.09  |
| COMCAST CORP CL A                          | CMCSA  | 3        | 2/1/2011     | 9/5/2013   | 127.34   | 70.04      | 0.00       | 57.30     | 57.30  |
| COSTCO WHOLESALE CORP-NEW                  | COST   | 5        | 6/18/2012    | 9/17/2013  | 590.14   | 458.47     | 0.00       | 131.67    | 131.67 |
| COSTCO WHOLESALE CORP-NEW                  | COST   | 1        | 9/24/2012    | 9/17/2013  | 118.03   | 102.88     | 15.15      | 0.00      | 15.15  |
| COSTCO WHOLESALE CORP-NEW                  | COST   | 1        | 8/14/2013    | 9/17/2013  | 118.03   | 114.33     | 3.70       | 0.00      | 3.70   |
| COVIDIEN PLC                               | COV    | 1        | 7/25/2011    | 9/5/2013   | 60.80    | 46.09      | 0.00       | 14.71     | 14.71  |
| COVIDIEN PLC                               | COV    | 3        | 8/16/2011    | 9/5/2013   | 182.40   | 134.33     | 0.00       | 48.07     | 48.07  |
| COVIDIEN PLC                               | COV    | 2        | 8/22/2011    | 9/5/2013   | 121.60   | 88.69      | 0.00       | 32.91     | 32.91  |
| COVIDIEN PLC                               | COV    | 1        | 5/25/2012    | 9/5/2013   | 60.80    | 48.90      | 0.00       | 11.90     | 11.90  |
| COVIDIEN PLC                               | COV    | 4        | 7/30/2012    | 9/5/2013   | 243.20   | 204.23     | 0.00       | 38.97     | 38.97  |
| COVIDIEN PLC                               | COV    | 3        | 9/24/2012    | 9/5/2013   | 182.40   | 165.44     | 16.96      | 0.00      | 16.96  |
| COVIDIEN PLC                               | COV    | 1        | 6/19/2013    | 9/5/2013   | 60.80    | 59.61      | 1.19       | 0.00      | 1.19   |
| CSX CORP                                   | CSX    | 4        | 5/30/2012    | 9/5/2013   | 101.84   | 83.87      | 0.00       | 17.97     | 17.97  |
| CVS HEALTH CORPORATION                     | CVS    | 17       | 5/1/2013     | 9/23/2013  | 987.86   | 999.09     | -11.23     | 0.00      | -11.23 |
| CVS HEALTH CORPORATION                     | CVS    | 1        | 5/1/2013     | 9/5/2013   | 58.57    | 58.77      | -0.20      | 0.00      | -0.20  |

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|-----------------------------------------|--------|----------|--------------|------------|----------|------------|------------|-----------|---------|
| DAVITA HEALTHCARE PARTNERS INC          | DVA    | 1        | 11/6/2012    | 9/5/2013   | 111.82   | 115.13     | -3.31      | 0.00      | -3.31   |
| DISH NETWORK CORP CL A                  | DISH   | 2        | 12/27/2012   | 9/5/2013   | 91.97    | 70.79      | 21.18      | 0.00      | 21.18   |
| DOW CHEMICAL CO.                        | DOW    | 1        | 12/13/2012   | 9/13/2013  | 39.90    | 31.21      | 8.69       | 0.00      | 8.69    |
| DOW CHEMICAL CO.                        | DOW    | 5        | 10/19/2012   | 9/5/2013   | 192.31   | 150.35     | 41.96      | 0.00      | 41.96   |
| DOW CHEMICAL CO.                        | DOW    | 9        | 10/19/2012   | 9/13/2013  | 359.15   | 270.64     | 88.51      | 0.00      | 88.51   |
| DREYFUS EMERGING MARKETS DEBT LOI DDBIX |        | 76.079   | 6/19/2013    | 10/21/2013 | 1,101.62 | 1,157.98   | -56.36     | 0.00      | -56.36  |
| DREYFUS EMERGING MARKETS DEBT LOI DDBIX |        | 20.747   | 8/14/2013    | 10/21/2013 | 300.42   | 315.79     | -15.37     | 0.00      | -15.37  |
| DREYFUS EMERGING MARKETS DEBT LOI DDBIX |        | 287.796  | 4/23/2013    | 10/7/2013  | 4,089.58 | 4,380.48   | -290.90    | 0.00      | -290.90 |
| DREYFUS EMERGING MARKETS DEBT LOI DDBIX |        | 163.078  | 4/23/2013    | 10/21/2013 | 2,361.37 | 2,482.18   | -120.81    | 0.00      | -120.81 |
| DTE ENERGY CO                           | DTE    | 8        | 8/30/2013    | 10/23/2013 | 545.19   | 534.77     | 10.42      | 0.00      | 10.42   |
| DTE ENERGY CO                           | DTE    | 4        | 9/12/2013    | 10/23/2013 | 272.59   | 263.77     | 8.82       | 0.00      | 8.82    |
| EATON CORPORATION PLC                   | ETN    | 1        | 8/5/2013     | 9/5/2013   | 65.47    | 66.35      | -0.88      | 0.00      | -0.88   |
| EATON CORPORATION PLC                   | ETN    | 9        | 8/5/2013     | 10/28/2013 | 635.78   | 597.17     | 38.61      | 0.00      | 38.61   |
| EATON CORPORATION PLC                   | ETN    | 3        | 8/14/2013    | 10/28/2013 | 211.93   | 200.44     | 11.49      | 0.00      | 11.49   |
| EATON CORPORATION PLC                   | ETN    | 9        | 8/16/2013    | 10/28/2013 | 635.77   | 588.66     | 47.11      | 0.00      | 47.11   |
| EBAY INC                                | EBAY   | 2        | 7/22/2013    | 9/5/2013   | 104.33   | 104.41     | -0.08      | 0.00      | -0.08   |
| EDISON INTERNATIONAL                    | EIX    | 10       | 6/19/2013    | 9/16/2013  | 450.52   | 475.20     | -24.68     | 0.00      | -24.68  |
| EDISON INTERNATIONAL                    | EIX    | 3        | 8/14/2013    | 9/16/2013  | 135.15   | 144.20     | -9.05      | 0.00      | -9.05   |
| EMERSON ELECTRIC CO                     | EMR    | 1        | 2/29/2012    | 9/5/2013   | 61.81    | 50.64      | 0.00       | 11.17     | 11.17   |
| ENSCO PLC NEW CLASS A ORD               | ESV    | 2        | 7/5/2012     | 9/5/2013   | 112.04   | 96.25      | 0.00       | 15.79     | 15.79   |
| ENSCO PLC NEW CLASS A ORD               | ESV    | 5        | 7/5/2012     | 9/19/2013  | 278.52   | 240.61     | 0.00       | 37.91     | 37.91   |
| EXXON MOBIL CORP                        | XOM    | 2        | 8/22/2011    | 9/5/2013   | 175.23   | 140.53     | 0.00       | 34.70     | 34.70   |
| FLUOR CORP NEW                          | FLR    | 2        | 7/20/2012    | 9/5/2013   | 130.00   | 97.31      | 0.00       | 32.69     | 32.69   |
| FREEMPORT MCMORAN INC                   | FCX    | 1        | 8/15/2013    | 9/5/2013   | 30.86    | 31.86      | -1.00      | 0.00      | -1.00   |
| GENERAL MILLS INC                       | GIS    | 1        | 4/13/2012    | 9/5/2013   | 49.04    | 38.84      | 0.00       | 10.20     | 10.20   |
| GENERAL MOTORS COMPANY                  | GM     | 3        | 5/18/2011    | 9/5/2013   | 109.33   | 94.45      | 0.00       | 14.88     | 14.88   |
| GENERAL MOTORS COMPANY                  | GM     | 2        | 2/1/2011     | 9/5/2013   | 72.88    | 73.21      | 0.00       | -0.33     | -0.33   |
| GOLDMAN SACHS EMERGING MKTS DEB GSDIX   |        | 171.795  | 3/14/2012    | 10/21/2013 | 2,152.59 | 2,239.84   | 0.00       | -87.25    | -87.25  |
| HARBOR INTERNATIONAL FUND INSTITU HAINX |        | 15.042   | 4/23/2013    | 9/5/2013   | 992.04   | 978.15     | 13.89      | 0.00      | 13.89   |
| HARTFORD FINANCIAL SERVICES GROUP       | HIG    | 2        | 5/8/2013     | 9/5/2013   | 61.39    | 59.00      | 2.39       | 0.00      | 2.39    |
| HEWLETT PACKARD CO                      | HPQ    | 13       | 8/14/2013    | 9/23/2013  | 274.26   | 351.95     | -77.69     | 0.00      | -77.69  |
| HEWLETT PACKARD CO                      | HPQ    | 28       | 8/6/2013     | 9/23/2013  | 590.70   | 745.26     | -154.56    | 0.00      | -154.56 |

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| Description                                | Ticker | Quantity | Acquire Date | Sale Date  | Proceeds  | Cost Basis | Short Term | Long Term | Total   |
|--------------------------------------------|--------|----------|--------------|------------|-----------|------------|------------|-----------|---------|
| HOME DEPOT INC                             | HD     | 1        | 9/29/2011    | 9/5/2013   | 73.23     | 33.45      | 0.00       | 39.78     | 39.78   |
| HONEYWELL INTL INC                         | HON    | 1        | 9/21/2010    | 9/5/2013   | 81.52     | 44.08      | 0.00       | 37.44     | 37.44   |
| HONEYWELL INTL INC                         | HON    | 1        | 10/21/2010   | 9/5/2013   | 81.52     | 46.65      | 0.00       | 34.87     | 34.87   |
| HONEYWELL INTL INC                         | HON    | 1        | 10/22/2010   | 9/5/2013   | 81.52     | 47.24      | 0.00       | 34.28     | 34.28   |
| HUMANA INC                                 | HUM    | 1        | 5/23/2011    | 9/5/2013   | 96.41     | 79.43      | 0.00       | 16.98     | 16.98   |
| INTERCONTINENTALEXCHANGE INC               |        | 1        | 2/15/2013    | 9/5/2013   | 181.06    | 157.34     | 23.72      | 0.00      | 23.72   |
| INTUITIVE SURGICAL INC COM                 | ISRG   | 1        | 8/14/2013    | 9/26/2013  | 369.21    | 385.96     | -16.75     | 0.00      | -16.75  |
| INTUITIVE SURGICAL INC COM                 | ISRG   | 1        | 3/4/2013     | 9/26/2013  | 369.21    | 541.24     | -172.03    | 0.00      | -172.03 |
| INVENCO LTD                                | IVZ    | 2        | 9/21/2011    | 9/5/2013   | 61.64     | 35.69      | 0.00       | 25.95     | 25.95   |
| INVENCO LTD                                | IVZ    | 2        | 9/21/2011    | 10/18/2013 | 65.46     | 35.69      | 0.00       | 29.77     | 29.77   |
| INVENCO LTD                                | IVZ    | 12       | 10/27/2011   | 10/18/2013 | 392.79    | 249.00     | 0.00       | 143.79    | 143.79  |
| JOHNSON & JOHNSON                          | JNJ    | 4        | 10/18/2012   | 9/5/2013   | 347.76    | 288.57     | 59.19      | 0.00      | 59.19   |
| JOHNSON CONTROLS INC                       | JCI    | 2        | 8/22/2011    | 9/5/2013   | 83.00     | 58.12      | 0.00       | 24.88     | 24.88   |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 496.856  | 5/21/2010    | 9/5/2013   | 5,321.33  | 5,474.91   | 0.00       | -153.58   | -153.58 |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 82.29    | 5/27/2010    | 9/5/2013   | 881.33    | 906.76     | 0.00       | -25.43    | -25.43  |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 1,365.20 | 8/19/2010    | 9/5/2013   | 14,621.29 | 15,043.29  | 0.00       | -422.00   | -422.00 |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 38.808   | 9/21/2010    | 9/5/2013   | 415.63    | 427.63     | 0.00       | -12.00    | -12.00  |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 1,440.01 | 2/1/2011     | 9/5/2013   | 15,422.51 | 15,867.62  | 0.00       | -445.11   | -445.11 |
| JPMORGAN TR I INTL VALUE FD SELECT CJIESX  |        | 18.827   | 3/24/2011    | 9/5/2013   | 263.95    | 233.71     | 0.00       | 30.24     | 30.24   |
| JPMORGAN TR I INTL VALUE FD SELECT CJIESX  |        | 66.45    | 2/1/2011     | 9/5/2013   | 931.63    | 824.89     | 0.00       | 106.74    | 106.74  |
| JPMORGAN TR II HIGH YIELD FD SELECT (OHYFX |        | 144.742  | 4/23/2013    | 9/5/2013   | 1,162.28  | 1,207.82   | -45.54     | 0.00      | -45.54  |
| LENNAR CORP CL A                           | LEN    | 4        | 8/14/2013    | 9/20/2013  | 140.79    | 126.50     | 14.29      | 0.00      | 14.29   |
| LENNAR CORP CL A                           | LEN    | 1        | 10/20/2011   | 9/5/2013   | 31.69     | 15.98      | 0.00       | 15.71     | 15.71   |
| LENNAR CORP CL A                           | LEN    | 9        | 10/20/2011   | 9/20/2013  | 316.75    | 143.77     | 0.00       | 172.98    | 172.98  |
| LENNAR CORP CL A                           | LEN    | 1        | 5/25/2012    | 9/20/2013  | 35.19     | 28.31      | 0.00       | 6.88      | 6.88    |
| LENNAR CORP CL A                           | LEN    | 4        | 9/24/2012    | 9/20/2013  | 140.78    | 147.64     | -6.86      | 0.00      | -6.86   |
| LENNAR CORP CL A                           | LEN    | 1        | 6/19/2013    | 9/20/2013  | 35.19     | 39.00      | -3.81      | 0.00      | -3.81   |
| LOWES COMPANIES INC                        | LOW    | 2        | 9/22/2011    | 9/5/2013   | 91.67     | 38.04      | 0.00       | 53.63     | 53.63   |
| LOWES COMPANIES INC                        | LOW    | 1        | 8/4/2011     | 9/5/2013   | 45.84     | 20.24      | 0.00       | 25.60     | 25.60   |
| MAINSTAY HIGH YIELD CORPORATE BON MHYIX    |        | 244.639  | 4/23/2013    | 9/5/2013   | 1,462.94  | 1,522.12   | -59.18     | 0.00      | -59.18  |
| MASCO CORP                                 | MAS    | 4        | 7/31/2012    | 9/5/2013   | 76.96     | 49.62      | 0.00       | 27.34     | 27.34   |
| MERCK & CO INC                             | MRK    | 1        | 1/6/2012     | 9/5/2013   | 47.47     | 38.54      | 0.00       | 8.93      | 8.93    |

## YAO YUAN SZE FOUNDATION

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| Description                               | Ticker | Quantity | Acquire Date | Sale Date  | Proceeds  | Cost Basis | Short Term | Long Term | Total   |
|-------------------------------------------|--------|----------|--------------|------------|-----------|------------|------------|-----------|---------|
| METLIFE INC                               | MET    | 3        | 7/26/2011    | 9/5/2013   | 145.26    | 124.35     | 0.00       | 20.91     | 20.91   |
| METLIFE INC                               | MET    | 1        | 3/3/2011     | 9/5/2013   | 48.42     | 44.60      | 0.00       | 3.82      | 3.82    |
| METTLER-TOLEDO INTERNATIONAL INC          | MTD    | 1        | 3/11/2013    | 9/5/2013   | 224.50    | 218.88     | 5.62       | 0.00      | 5.62    |
| MFS SER TR X EMERGING MARKET DEBT         | MEDIX  | 141.612  | 5/25/2012    | 10/21/2013 | 2,111.43  | 2,122.75   | 0.00       | -11.32    | -11.32  |
| MICROSOFT CORP                            | MSFT   | 3        | 10/21/2010   | 9/5/2013   | 94.16     | 75.74      | 0.00       | 18.42     | 18.42   |
| MONDELEZ INTERNATIONAL INC COM            | MDLZ   | 4        | 8/16/2011    | 9/5/2013   | 123.25    | 88.59      | 0.00       | 34.66     | 34.66   |
| MORGAN STANLEY                            | MS     | 4        | 1/17/2013    | 9/5/2013   | 106.64    | 82.13      | 24.51      | 0.00      | 24.51   |
| NEXTERA ENERGY INC                        | NEE    | 1        | 6/13/2013    | 9/5/2013   | 80.04     | 78.42      | 1.62       | 0.00      | 1.62    |
| NISOURCE INC COM                          | NI     | 1        | 3/8/2013     | 9/5/2013   | 29.06     | 28.13      | 0.93       | 0.00      | 0.93    |
| NISOURCE INC COM                          | NI     | 10       | 3/8/2013     | 9/3/2013   | 291.20    | 281.29     | 9.91       | 0.00      | 9.91    |
| OCCIDENTAL PETE CORP                      | OXY    | 2        | 2/1/2011     | 9/5/2013   | 179.41    | 197.67     | 0.00       | -18.26    | -18.26  |
| ORACLE CORPORATION                        | ORCL   | 4        | 12/7/2010    | 9/5/2013   | 129.49    | 116.38     | 0.00       | 13.11     | 13.11   |
| PACCAR INC                                | PCAR   | 3        | 8/19/2010    | 9/5/2013   | 163.95    | 127.70     | 0.00       | 36.25     | 36.25   |
| PENTAIR LTD SHS                           |        | 1        | 2/1/2011     | 9/5/2013   | 62.13     | 48.54      | 0.00       | 13.59     | 13.59   |
| PEPSICO INC                               | PEP    | 1        | 8/10/2012    | 9/5/2013   | 78.95     | 72.05      | 0.00       | 6.90      | 6.90    |
| PHILIP MORRIS INTERNATIONAL INC           | PM     | 2        | 2/23/2012    | 9/5/2013   | 168.29    | 163.87     | 0.00       | 4.42      | 4.42    |
| PHILLIPS 66 COM                           | PSX    | 1        | 10/18/2012   | 9/5/2013   | 58.31     | 45.96      | 12.35      | 0.00      | 12.35   |
| PROCTER & GAMBLE CO                       | PG     | 1        | 2/1/2011     | 9/5/2013   | 77.06     | 62.85      | 0.00       | 14.21     | 14.21   |
| QUALCOMM INC                              | QCOM   | 2        | 9/29/2011    | 9/5/2013   | 135.82    | 101.71     | 0.00       | 34.11     | 34.11   |
| ROWE PRICE TAX FREE INCOME FUND A I PATAX |        | 240.565  | 8/14/2013    | 9/5/2013   | 2,319.06  | 2,422.71   | -103.65    | 0.00      | -103.65 |
| ROWE PRICE TAX FREE INCOME FUND A I PATAX |        | 1,917.68 | 2/1/2011     | 9/5/2013   | 18,486.47 | 19,312.87  | 0.00       | -826.40   | -826.40 |
| ROWE PRICE TAX FREE INCOME FUND A I PATAX |        | 531.141  | 3/14/2012    | 9/5/2013   | 5,120.20  | 5,349.09   | 0.00       | -228.89   | -228.89 |
| ROWE PRICE TAX FREE INCOME FUND A I PATAX |        | 430.046  | 9/11/2012    | 9/5/2013   | 4,145.64  | 4,330.96   | -185.32    | 0.00      | -185.32 |
| ROWE PRICE TAX FREE INCOME FUND A I PATAX |        | 533.251  | 9/24/2012    | 9/5/2013   | 5,140.54  | 5,370.34   | -229.80    | 0.00      | -229.80 |
| ROWE PRICE TAX FREE INCOME FUND A I PATAX |        | 160.547  | 2/6/2013     | 9/5/2013   | 1,547.67  | 1,616.86   | -69.19     | 0.00      | -69.19  |
| ROWE PRICE TAX FREE INCOME FUND A I PATAX |        | 36.689   | 4/23/2013    | 9/5/2013   | 353.68    | 369.49     | -15.81     | 0.00      | -15.81  |
| ROWE PRICE TAX FREE INCOME FUND A I PATAX |        | 460.251  | 6/19/2013    | 9/5/2013   | 4,436.82  | 4,635.16   | -198.34    | 0.00      | -198.34 |
| SCHLUMBERGER LTD                          | SLB    | 3        | 5/13/2011    | 9/5/2013   | 253.06    | 251.33     | 0.00       | 1.73      | 1.73    |
| STATE STREET CORP                         | STT    | 2        | 3/27/2013    | 9/5/2013   | 136.83    | 118.19     | 18.64      | 0.00      | 18.64   |
| TARGET CORP                               | TGT    | 1        | 9/24/2012    | 9/5/2013   | 63.60     | 65.26      | -1.66      | 0.00      | -1.66   |
| TARGET CORP                               | TGT    | 4        | 9/24/2012    | 10/3/2013  | 252.90    | 261.03     | 0.00       | -8.13     | -8.13   |
| TARGET CORP                               | TGT    | 5        | 10/31/2012   | 10/3/2013  | 316.13    | 318.17     | -2.04      | 0.00      | -2.04   |

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| Description                              | Ticker | Quantity | Acquire Date | Sale Date  | Proceeds | Cost Basis | Short Term | Long Term | Total   |
|------------------------------------------|--------|----------|--------------|------------|----------|------------|------------|-----------|---------|
| TD AMERITRADE HLDG CORP                  | AMTD   | 5        | 8/12/2011    | 10/3/2013  | 130.47   | 72.83      | 0.00       | 57.64     | 57.64   |
| TD AMERITRADE HLDG CORP                  | AMTD   | 2        | 8/22/2011    | 10/3/2013  | 52.19    | 28.25      | 0.00       | 23.94     | 23.94   |
| TD AMERITRADE HLDG CORP                  | AMTD   | 4        | 9/24/2012    | 10/3/2013  | 104.37   | 64.54      | 0.00       | 39.83     | 39.83   |
| TD AMERITRADE HLDG CORP                  | AMTD   | 1        | 6/19/2013    | 10/3/2013  | 26.09    | 23.97      | 2.12       | 0.00      | 2.12    |
| TD AMERITRADE HLDG CORP                  | AMTD   | 8        | 8/14/2013    | 10/3/2013  | 208.74   | 215.92     | -7.18      | 0.00      | -7.18   |
| TD AMERITRADE HLDG CORP                  | AMTD   | 2        | 9/21/2010    | 9/5/2013   | 53.66    | 32.60      | 0.00       | 21.06     | 21.06   |
| TD AMERITRADE HLDG CORP                  | AMTD   | 2        | 9/21/2010    | 9/19/2013  | 53.03    | 32.60      | 0.00       | 20.43     | 20.43   |
| TD AMERITRADE HLDG CORP                  | AMTD   | 2        | 10/21/2010   | 9/19/2013  | 53.03    | 33.43      | 0.00       | 19.60     | 19.60   |
| TD AMERITRADE HLDG CORP                  | AMTD   | 5        | 2/1/2011     | 9/19/2013  | 132.57   | 104.24     | 0.00       | 28.33     | 28.33   |
| TD AMERITRADE HLDG CORP                  | AMTD   | 5        | 8/12/2011    | 9/19/2013  | 132.58   | 72.83      | 0.00       | 59.75     | 59.75   |
| THORNBURG INTL VALUE FUND CL I           | TGVIX  | 45.11    | 8/19/2010    | 9/5/2013   | 1,336.17 | 1,153.66   | 0.00       | 182.51    | 182.51  |
| TIME WARNER INC                          | TWX    | 4        | 12/17/2010   | 9/5/2013   | 246.40   | 126.02     | 0.00       | 120.38    | 120.38  |
| UNITED TECHNOLOGIES CORP                 | UTX    | 1        | 8/19/2010    | 9/5/2013   | 103.67   | 68.34      | 0.00       | 35.33     | 35.33   |
| UNITED TECHNOLOGIES CORP                 | UTX    | 1        | 9/21/2010    | 9/5/2013   | 103.67   | 70.76      | 0.00       | 32.91     | 32.91   |
| VANGUARD SECTOR INDEX FDS VANGUA VNQ     | VNQ    | 30       | 9/13/2012    | 9/5/2013   | 1,916.14 | 2,045.21   | -129.07    | 0.00      | -129.07 |
| VANGUARD SECTOR INDEX FDS VANGUA VNQ     | VNQ    | 29       | 9/12/2012    | 9/5/2013   | 1,852.26 | 1,977.03   | -124.77    | 0.00      | -124.77 |
| VERIZON COMMUNICATIONS                   | VZ     | 3        | 9/21/2010    | 9/3/2013   | 136.85   | 96.75      | 0.00       | 40.10     | 40.10   |
| VERIZON COMMUNICATIONS                   | VZ     | 2        | 10/21/2010   | 9/3/2013   | 91.23    | 64.66      | 0.00       | 26.57     | 26.57   |
| VERIZON COMMUNICATIONS                   | VZ     | 2        | 10/21/2010   | 9/5/2013   | 93.10    | 64.65      | 0.00       | 28.45     | 28.45   |
| VERIZON COMMUNICATIONS                   | VZ     | 3        | 2/1/2011     | 9/5/2013   | 139.65   | 108.66     | 0.00       | 30.99     | 30.99   |
| WELLS FARGO & CO                         | WFC    | 3        | 2/1/2011     | 9/5/2013   | 125.70   | 99.90      | 0.00       | 25.80     | 25.80   |
| WELLS FARGO & CO                         | WFC    | 4        | 3/7/2011     | 9/5/2013   | 167.61   | 127.41     | 0.00       | 40.20     | 40.20   |
| WELLS FARGO ADVANTAGE GROWTH FU SGRKX    | SGRKX  | 29.162   | 2/1/2011     | 9/5/2013   | 1,458.69 | 1,117.15   | 0.00       | 341.54    | 341.54  |
| WILLIAMS COMPANIES INC                   | WMB    | 2        | 12/27/2012   | 9/5/2013   | 70.42    | 63.84      | 6.58       | 0.00      | 6.58    |
| YUM BRANDS INC                           | YUM    | 2        | 8/19/2010    | 9/5/2013   | 140.19   | 83.64      | 0.00       | 56.55     | 56.55   |
| APPLIED MATERIALS INC                    | AMAT   | 56       | 5/3/2013     | 12/17/2013 | 942.84   | 837.01     | 105.83     | 0.00      | 105.83  |
| APPLIED MATERIALS INC                    | AMAT   | 3        | 6/19/2013    | 12/17/2013 | 50.51    | 47.82      | 2.69       | 0.00      | 2.69    |
| APPLIED MATERIALS INC                    | AMAT   | 18       | 8/14/2013    | 12/17/2013 | 303.06   | 281.45     | 21.61      | 0.00      | 21.61   |
| ARCHER-DANIELS-MIDLAND CO                | ADM    | 17       | 2/21/2013    | 12/3/2013  | 694.66   | 546.48     | 148.18     | 0.00      | 148.18  |
| ASML HOLDING N V N Y REGISTRY SHS 2(ASML | ASML   | 2        | 12/17/2012   | 11/15/2013 | 177.81   | 127.01     | 50.80      | 0.00      | 50.80   |
| ASML HOLDING N V N Y REGISTRY SHS 2(ASML | ASML   | 4        | 8/14/2013    | 11/15/2013 | 355.63   | 373.18     | -17.55     | 0.00      | -17.55  |
| BIOPEN IDEC INC                          | BIIB   | 2        | 2/1/2011     | 11/8/2013  | 472.36   | 131.59     | 0.00       | 340.77    | 340.77  |

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|------------------------------------|--------|----------|--------------|------------|----------|------------|------------|-----------|--------|
| BIOGEN IDEC INC                    | BIIB   | 1        | 10/21/2010   | 11/8/2013  | 236.18   | 58.01      | 0.00       | 178.17    | 178.17 |
| BROADCOM CORP CL A                 | BRCM   | 14       | 11/20/2012   | 11/4/2013  | 373.59   | 430.26     | -56.67     | 0.00      | -56.67 |
| BROADCOM CORP CL A                 | BRCM   | 1        | 6/19/2013    | 11/4/2013  | 26.69    | 34.34      | -7.65      | 0.00      | -7.65  |
| BROADCOM CORP CL A                 | BRCM   | 8        | 8/14/2013    | 11/4/2013  | 213.47   | 210.56     | 2.91       | 0.00      | 2.91   |
| BROADCOM CORP CL A                 | BRCM   | 9        | 8/13/2012    | 11/4/2013  | 240.17   | 312.07     | 0.00       | -71.90    | -71.90 |
| BROADCOM CORP CL A                 | BRCM   | 3        | 9/24/2012    | 11/4/2013  | 80.06    | 106.11     | 0.00       | -26.05    | -26.05 |
| CAMERON INTERNATIONAL CORPORATICAM |        | 3        | 10/19/2012   | 11/8/2013  | 163.17   | 166.94     | 0.00       | -3.77     | -3.77  |
| CAMERON INTERNATIONAL CORPORATICAM |        | 4        | 11/6/2012    | 11/8/2013  | 217.56   | 210.36     | 0.00       | 7.20      | 7.20   |
| CAMERON INTERNATIONAL CORPORATICAM |        | 6        | 2/14/2013    | 11/8/2013  | 326.34   | 390.54     | -64.20     | 0.00      | -64.20 |
| CAMERON INTERNATIONAL CORPORATICAM |        | 4        | 8/14/2013    | 11/8/2013  | 217.56   | 227.01     | -9.45      | 0.00      | -9.45  |
| CITRIX SYSTEMS INC                 | CTXS   | 3        | 8/14/2013    | 11/14/2013 | 165.83   | 219.90     | -54.07     | 0.00      | -54.07 |
| CITRIX SYSTEMS INC                 | CTXS   | 2        | 9/28/2011    | 11/14/2013 | 110.56   | 115.87     | 0.00       | -5.31     | -5.31  |
| CITRIX SYSTEMS INC                 | CTXS   | 3        | 9/29/2011    | 11/14/2013 | 165.83   | 170.93     | 0.00       | -5.10     | -5.10  |
| CITRIX SYSTEMS INC                 | CTXS   | 1        | 9/24/2012    | 11/14/2013 | 55.28    | 76.65      | 0.00       | -21.37    | -21.37 |
| CITRIX SYSTEMS INC                 | CTXS   | 4        | 12/13/2012   | 11/14/2013 | 221.11   | 256.04     | -34.93     | 0.00      | -34.93 |
| DAVITA HEALTHCARE PARTNERS INC     | DVA    | 10       | 11/6/2012    | 11/27/2013 | 599.95   | 575.63     | 0.00       | 24.32     | 24.32  |
| DAVITA HEALTHCARE PARTNERS INC     | DVA    | 4        | 11/7/2012    | 11/27/2013 | 239.98   | 226.76     | 0.00       | 13.22     | 13.22  |
| DAVITA HEALTHCARE PARTNERS INC     | DVA    | 4        | 8/14/2013    | 11/27/2013 | 239.98   | 230.27     | 9.71       | 0.00      | 9.71   |
| DAVITA HEALTHCARE PARTNERS INC     | DVA    | 7        | 9/23/2013    | 11/27/2013 | 419.96   | 405.59     | 14.37      | 0.00      | 14.37  |
| DOW CHEMICAL CO.                   | DOW    | 6        | 12/13/2012   | 12/3/2013  | 232.73   | 187.29     | 45.44      | 0.00      | 45.44  |
| DOW CHEMICAL CO.                   | DOW    | 8        | 3/1/2013     | 12/3/2013  | 310.31   | 254.14     | 56.17      | 0.00      | 56.17  |
| EMERSON ELECTRIC CO                | EMR    | 1        | 5/25/2012    | 12/20/2013 | 69.39    | 47.43      | 0.00       | 21.96     | 21.96  |
| EMERSON ELECTRIC CO                | EMR    | 4        | 6/22/2012    | 12/20/2013 | 277.56   | 182.43     | 0.00       | 95.13     | 95.13  |
| EMERSON ELECTRIC CO                | EMR    | 5        | 2/29/2012    | 12/20/2013 | 346.96   | 253.20     | 0.00       | 93.76     | 93.76  |
| ENSCO PLC NEW CLASS A ORD          | ESV    | 8        | 7/19/2012    | 12/2/2013  | 476.49   | 409.12     | 0.00       | 67.37     | 67.37  |
| ENSCO PLC NEW CLASS A ORD          | ESV    | 3        | 9/24/2012    | 12/2/2013  | 178.68   | 170.31     | 0.00       | 8.37      | 8.37   |
| ENSCO PLC NEW CLASS A ORD          | ESV    | 1        | 6/19/2013    | 12/2/2013  | 59.56    | 59.45      | 0.11       | 0.00      | 0.11   |
| ENSCO PLC NEW CLASS A ORD          | ESV    | 5        | 8/14/2013    | 12/2/2013  | 297.81   | 287.12     | 10.69      | 0.00      | 10.69  |
| EOG RES INC                        | EOG    | 1        | 9/11/2012    | 12/3/2013  | 165.34   | 112.43     | 0.00       | 52.91     | 52.91  |
| EOG RES INC                        | EOG    | 3        | 4/25/2012    | 12/3/2013  | 496.03   | 316.28     | 0.00       | 179.75    | 179.75 |
| INTERCONTINENTALEXCHANGE INC       |        | 2        | 8/14/2013    | 11/13/2013 | 364.10   | 364.10     | 0.00       | 0.00      | 0.00   |
| INTERCONTINENTALEXCHANGE INC       |        | 2        | 10/18/2013   | 11/13/2013 | 395.66   | 395.66     | 0.00       | 0.00      | 0.00   |

## YAO YUAN SZE FOUNDATION

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| Description                                | Ticker | Quantity | Acquire Date | Sale Date  | Proceeds  | Cost Basis | Short Term | Long Term | Total  |
|--------------------------------------------|--------|----------|--------------|------------|-----------|------------|------------|-----------|--------|
| INTERCONTINENTAL EXCHANGE INC              |        | 3        | 2/15/2013    | 11/13/2013 | 472.01    | 472.01     | 0.00       | 0.00      | 0.00   |
| INTERCONTINENTAL EXCHANGE INC              |        | 2        | 6/24/2013    | 11/13/2013 | 342.11    | 342.11     | 0.00       | 0.00      | 0.00   |
| INVESCO LTD                                | IVZ    | 5        | 12/17/2012   | 12/2/2013  | 176.01    | 127.97     | 48.04      | 0.00      | 48.04  |
| INVESCO LTD                                | IVZ    | 6        | 9/24/2012    | 12/2/2013  | 211.21    | 153.00     | 0.00       | 58.21     | 58.21  |
| JOHNSON & JOHNSON                          | JNJ    | 6        | 10/18/2012   | 12/23/2013 | 551.54    | 432.86     | 0.00       | 118.68    | 118.68 |
| JPMORGAN SHORT-INTERMEDIATE MUN PGUIX      |        | 2,379.59 | 9/5/2013     | 11/22/2013 | 24,866.72 | 24,866.72  | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I EMERGING MKTS EQUIT JEM5X    |        | 125.484  | 2/6/2013     | 11/22/2013 | 2,746.09  | 2,746.09   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I EMERGING MKTS EQUIT JEM5X    |        | 33.763   | 4/23/2013    | 11/22/2013 | 738.87    | 738.87     | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I EMERGING MKTS EQUIT JEM5X    |        | 131.034  | 6/19/2013    | 11/22/2013 | 2,867.54  | 2,867.54   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I EMERGING MKTS EQUIT JEM5X    |        | 15.637   | 8/14/2013    | 11/22/2013 | 342.20    | 342.20     | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I EMERGING MKTS EQUIT JEM5X    |        | 232.195  | 8/26/2010    | 11/22/2013 | 5,081.35  | 5,081.35   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I EMERGING MKTS EQUIT JEM5X    |        | 372.638  | 2/1/2011     | 11/22/2013 | 8,154.80  | 8,154.80   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I EMERGING MKTS EQUIT JEM5X    |        | 41.908   | 8/22/2011    | 11/22/2013 | 917.11    | 917.11     | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I EMERGING MKTS EQUIT JEM5X    |        | 90.91    | 9/24/2012    | 11/22/2013 | 1,989.47  | 1,989.47   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 1,115.50 | 2/1/2011     | 11/22/2013 | 12,291.86 | 12,291.86  | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 301.794  | 9/11/2012    | 11/22/2013 | 3,325.50  | 3,325.50   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 890.557  | 9/24/2012    | 11/22/2013 | 9,813.14  | 9,813.14   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 334.308  | 2/6/2013     | 11/22/2013 | 3,683.78  | 3,683.78   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 60.528   | 4/23/2013    | 11/22/2013 | 666.96    | 666.96     | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 720.938  | 6/19/2013    | 11/22/2013 | 7,944.10  | 7,944.10   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTER TAX FREE BD FD S VSITX |        | 234.444  | 8/14/2013    | 11/22/2013 | 2,583.36  | 2,583.36   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTL VALUE FD SELECT CJIESX  |        | 220.48   | 3/24/2011    | 11/22/2013 | 2,736.98  | 2,736.98   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTL VALUE FD SELECT CJIESX  |        | 86.947   | 7/13/2011    | 11/22/2013 | 1,079.34  | 1,079.34   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTL VALUE FD SELECT CJIESX  |        | 174.744  | 8/22/2011    | 11/22/2013 | 2,169.22  | 2,169.22   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTL VALUE FD SELECT CJIESX  |        | 319.135  | 9/24/2012    | 11/22/2013 | 3,961.65  | 3,961.65   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTL VALUE FD SELECT CJIESX  |        | 639.236  | 2/6/2013     | 11/22/2013 | 7,935.30  | 7,935.30   | 0.00       | 0.00      | 0.00   |
| JPMORGAN TR I INTL VALUE FD SELECT CJIESX  |        | 83.833   | 6/19/2013    | 11/22/2013 | 1,040.68  | 1,040.68   | 0.00       | 0.00      | 0.00   |
| LINKEDIN CORPORATION COM CL A              | LNKD   | 1        | 3/26/2013    | 12/16/2013 | 227.35    | 176.84     | 50.51      | 0.00      | 50.51  |
| LINKEDIN CORPORATION COM CL A              | LNKD   | 1        | 4/4/2013     | 12/16/2013 | 227.35    | 170.67     | 56.68      | 0.00      | 56.68  |
| LINKEDIN CORPORATION COM CL A              | LNKD   | 2        | 5/6/2013     | 12/16/2013 | 454.70    | 351.82     | 102.88     | 0.00      | 102.88 |
| MICROSOFT CORP                             | MSFT   | 16       | 2/1/2011     | 12/20/2013 | 588.22    | 446.69     | 0.00       | 141.53    | 141.53 |
| MICROSOFT CORP                             | MSFT   | 3        | 10/21/2010   | 11/19/2013 | 110.63    | 75.73      | 0.00       | 34.90     | 34.90  |

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| Description                      | Ticker | Quantity | Acquire Date | Sale Date  | Proceeds | Cost Basis | Short Term | Long Term | Total  |
|----------------------------------|--------|----------|--------------|------------|----------|------------|------------|-----------|--------|
| MICROSOFT CORP                   | MSFT   | 2        | 10/21/2010   | 12/20/2013 | 73.53    | 50.49      | 0.00       | 23.04     | 23.04  |
| MONDELEZ INTERNATIONAL INC COM   | MDLZ   | 7        | 8/19/2011    | 12/20/2013 | 243.30   | 153.09     | 0.00       | 90.21     | 90.21  |
| MONDELEZ INTERNATIONAL INC COM   | MDLZ   | 1        | 8/22/2011    | 12/20/2013 | 34.76    | 21.84      | 0.00       | 12.92     | 12.92  |
| MONDELEZ INTERNATIONAL INC COM   | MDLZ   | 7        | 9/12/2011    | 12/20/2013 | 243.31   | 155.28     | 0.00       | 88.03     | 88.03  |
| MONDELEZ INTERNATIONAL INC COM   | MDLZ   | 3        | 8/16/2011    | 12/20/2013 | 104.27   | 66.45      | 0.00       | 37.82     | 37.82  |
| OCCIDENTAL PETE CORP             | OXY    | 2        | 2/1/2011     | 12/10/2013 | 185.46   | 197.66     | 0.00       | -12.20    | -12.20 |
| OCCIDENTAL PETE CORP             | OXY    | 3        | 8/8/2011     | 12/10/2013 | 278.19   | 248.55     | 0.00       | 29.64     | 29.64  |
| OCCIDENTAL PETE CORP             | OXY    | 1        | 8/22/2011    | 12/10/2013 | 92.73    | 80.51      | 0.00       | 12.22     | 12.22  |
| OCCIDENTAL PETE CORP             | OXY    | 1        | 10/6/2011    | 12/10/2013 | 92.73    | 79.13      | 0.00       | 13.60     | 13.60  |
| PENTAIR LTD SHS                  |        | 1        | 8/22/2011    | 12/13/2013 | 70.12    | 13.49      | 0.00       | 56.63     | 56.63  |
| PENTAIR LTD SHS                  |        | 1        | 5/25/2012    | 12/13/2013 | 70.12    | 16.31      | 0.00       | 53.81     | 53.81  |
| PENTAIR LTD SHS                  |        | 1        | 6/18/2012    | 12/13/2013 | 70.12    | 47.49      | 0.00       | 22.63     | 22.63  |
| PENTAIR LTD SHS                  |        | 1        | 9/24/2012    | 12/13/2013 | 70.12    | 49.78      | 0.00       | 20.34     | 20.34  |
| PENTAIR LTD SHS                  |        | 1        | 2/11/2013    | 12/13/2013 | 70.11    | 51.34      | 18.77      | 0.00      | 18.77  |
| PERRIGO CO                       |        | 11       | 12/2/2013    | 12/19/2013 | 1,708.85 | 1,728.63   | -19.78     | 0.00      | -19.78 |
| STRYKER CORP                     | SYK    | 13       | 10/31/2013   | 12/2/2013  | 967.37   | 960.84     | 6.53       | 0.00      | 6.53   |
| TARGET CORP                      | TGT    | 5        | 10/31/2012   | 11/18/2013 | 332.98   | 318.17     | 0.00       | 14.81     | 14.81  |
| TARGET CORP                      | TGT    | 2        | 4/25/2013    | 11/18/2013 | 133.19   | 140.99     | -7.80      | 0.00      | -7.80  |
| TARGET CORP                      | TGT    | 1        | 6/19/2013    | 11/18/2013 | 66.60    | 69.62      | -3.02      | 0.00      | -3.02  |
| TARGET CORP                      | TGT    | 7        | 8/14/2013    | 11/18/2013 | 466.18   | 494.29     | -28.11     | 0.00      | -28.11 |
| UNITEDHEALTH GROUP INC           | UNH    | 1        | 8/22/2011    | 11/20/2013 | 72.22    | 43.75      | 0.00       | 28.47     | 28.47  |
| UNITEDHEALTH GROUP INC           | UNH    | 2        | 9/15/2011    | 11/20/2013 | 144.45   | 100.55     | 0.00       | 43.90     | 43.90  |
| UNITEDHEALTH GROUP INC           | UNH    | 2        | 2/1/2011     | 11/20/2013 | 144.44   | 84.02      | 0.00       | 60.42     | 60.42  |
| ALEXION PHARMACEUTICALS INC      | ALXN   | 3        | 5/6/2013     | 1/31/2014  | 476.95   | 292.01     | 184.94     | 0.00      | 184.94 |
| APACHE CORP                      | APA    | 5        | 4/4/2013     | 1/17/2014  | 423.81   | 373.19     | 50.62      | 0.00      | 50.62  |
| APACHE CORP                      | APA    | 3        | 5/23/2013    | 1/17/2014  | 254.29   | 243.21     | 11.08      | 0.00      | 11.08  |
| APACHE CORP                      | APA    | 2        | 8/14/2013    | 1/17/2014  | 169.53   | 161.87     | 7.66       | 0.00      | 7.66   |
| APACHE CORP                      | APA    | 5        | 9/3/2013     | 1/17/2014  | 423.81   | 429.02     | -5.21      | 0.00      | -5.21  |
| AVAGO TECHNOLOGIES LTD US LISTED | AVGO   | 2        | 5/2/2013     | 1/31/2014  | 109.35   | 64.10      | 45.25      | 0.00      | 45.25  |
| AVAGO TECHNOLOGIES LTD US LISTED | AVGO   | 4        | 6/18/2013    | 1/31/2014  | 218.69   | 154.21     | 64.48      | 0.00      | 64.48  |
| CISCO SYSTEMS INC                | CSCO   | 6        | 12/6/2012    | 1/16/2014  | 136.90   | 116.29     | 0.00       | 20.61     | 20.61  |
| CISCO SYSTEMS INC                | CSCO   | 22       | 1/17/2013    | 1/16/2014  | 501.95   | 461.63     | 40.32      | 0.00      | 40.32  |

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| Description                           | Ticker | Quantity | Acquire Date | Sale Date | Proceeds | Cost Basis | Short Term | Long Term | Total    |
|---------------------------------------|--------|----------|--------------|-----------|----------|------------|------------|-----------|----------|
| COCA COLA COMPANY (THE)               | KO     | 41       | 12/20/2013   | 2/12/2014 | 1,580.77 | 1,640.26   | -59.49     | 0.00      | -59.49   |
| COHEN & STEERS REAL ESTATE SECURITICS | CDX    | 271.252  | 3/14/2012    | 2/10/2014 | 3,925.02 | 3,757.80   | 0.00       | 167.22    | 167.22   |
| INTERCONTINENTAL EXCHANGE INC         | ICE    | 3        | 2/15/2013    | 1/23/2014 | 621.66   | 472.01     | 149.65     | 0.00      | 149.65   |
| JPMORGAN TR I EMERGING MKTS EQUIT     | JMIEX  | 271.121  | 2/1/2011     | 2/10/2014 | 5,688.12 | 6,001.43   | 0.00       | -313.31   | -313.31  |
| JPMORGAN TR I EMERGING MKTS EQUIT     | JMIEX  | 229.555  | 8/26/2010    | 2/10/2014 | 4,816.07 | 5,081.35   | 0.00       | -265.28   | -265.28  |
| MARATHON PETE CORP COM                | MPC    | 7        | 12/5/2013    | 2/11/2014 | 587.48   | 587.91     | -0.43      | 0.00      | -0.43    |
| MICROSOFT CORP                        | MSFT   | 17       | 8/11/2011    | 1/16/2014 | 620.80   | 423.92     | 0.00       | 196.88    | 196.88   |
| MICROSOFT CORP                        | MSFT   | 5        | 8/22/2011    | 1/16/2014 | 182.59   | 120.00     | 0.00       | 62.59     | 62.59    |
| MICROSOFT CORP                        | MSFT   | 18       | 2/1/2011     | 1/14/2014 | 643.74   | 502.52     | 0.00       | 141.22    | 141.22   |
| MICROSOFT CORP                        | MSFT   | 1        | 8/11/2011    | 1/14/2014 | 35.76    | 24.94      | 0.00       | 10.82     | 10.82    |
| PENTAIR LTD SHS                       |        | 1        | 6/19/2013    | 2/5/2014  | 74.63    | 59.69      | 14.94      | 0.00      | 14.94    |
| PENTAIR LTD SHS                       |        | 4        | 8/14/2013    | 2/5/2014  | 298.53   | 255.29     | 43.24      | 0.00      | 43.24    |
| PENTAIR LTD SHS                       |        | 5        | 10/23/2013   | 2/5/2014  | 373.15   | 323.37     | 49.78      | 0.00      | 49.78    |
| PENTAIR LTD SHS                       |        | 5        | 2/11/2013    | 2/5/2014  | 373.16   | 256.71     | 116.45     | 0.00      | 116.45   |
| PEPSICO INC                           | PEP    | 8        | 8/10/2012    | 2/25/2014 | 636.60   | 576.41     | 0.00       | 60.19     | 60.19    |
| PHILLIPS 66 COM                       | PSX    | 8        | 10/18/2012   | 2/6/2014  | 576.11   | 367.69     | 0.00       | 208.42    | 208.42   |
| PHILLIPS 66 COM                       | PSX    | 1        | 12/13/2012   | 2/6/2014  | 72.01    | 51.62      | 0.00       | 20.39     | 20.39    |
| THORNBURG INTL VALUE FUND CL I        | TGVIX  | 13.497   | 8/22/2011    | 2/10/2014 | 409.77   | 345.18     | 0.00       | 64.59     | 64.59    |
| THORNBURG INTL VALUE FUND CL I        | TGVIX  | 52.068   | 8/19/2010    | 2/10/2014 | 1,580.78 | 1,331.61   | 0.00       | 249.17    | 249.17   |
| THORNBURG INTL VALUE FUND CL I        | TGVIX  | 314.053  | 2/1/2011     | 2/10/2014 | 9,534.65 | 8,031.73   | 0.00       | 1,502.92  | 1,502.92 |
| THORNBURG INTL VALUE FUND CL I        | TGVIX  | 25.778   | 7/13/2011    | 2/10/2014 | 782.62   | 659.26     | 0.00       | 123.36    | 123.36   |
| ACCENTURE PLC IRELAND SHS CL A        | ACN    | 1        | 1/22/2014    | 3/21/2014 | 82.69    | 85.45      | -2.76      | 0.00      | -2.76    |
| ACE LIMITED                           | ACE    | 4        | 5/24/2011    | 3/21/2014 | 395.31   | 271.92     | 0.00       | 123.39    | 123.39   |
| ADOBE SYSTEMS INC                     | ADBE   | 3        | 8/6/2012     | 3/21/2014 | 201.68   | 96.61      | 0.00       | 105.07    | 105.07   |
| ALEXION PHARMACEUTICALS INC           | ALXN   | 1        | 5/6/2013     | 3/21/2014 | 158.68   | 97.34      | 61.34      | 0.00      | 61.34    |
| ALEXION PHARMACEUTICALS INC           | ALXN   | 2        | 8/15/2013    | 4/1/2014  | 313.44   | 212.78     | 100.66     | 0.00      | 100.66   |
| ALLERGAN INC                          | AGN    | 2        | 1/19/2012    | 3/21/2014 | 251.77   | 174.12     | 0.00       | 77.65     | 77.65    |
| ALLERGAN INC                          | AGN    | 2        | 1/19/2012    | 4/30/2014 | 329.15   | 174.11     | 0.00       | 155.04    | 155.04   |
| AMAZON.COM INC                        | AMZN   | 1        | 9/24/2012    | 3/21/2014 | 359.91   | 255.25     | 0.00       | 104.66    | 104.66   |
| AMAZON.COM INC                        | AMZN   | 1        | 8/22/2011    | 3/21/2014 | 359.91   | 180.28     | 0.00       | 179.63    | 179.63   |
| ANADARKO PETROLEUM CORP               | APC    | 2        | 9/22/2011    | 3/21/2014 | 166.25   | 137.29     | 0.00       | 28.96     | 28.96    |
| APPLE INC                             | AAPL   | 1        | 2/1/2011     | 3/21/2014 | 526.59   | 345.10     | 0.00       | 181.49    | 181.49   |

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| Description                        | Ticker | Quantity | Acquire Date | Sale Date | Proceeds | Cost Basis | Short Term | Long Term | Total  |
|------------------------------------|--------|----------|--------------|-----------|----------|------------|------------|-----------|--------|
| ARCHER-DANIELS-MIDLAND CO          | ADM    | 2        | 2/21/2013    | 3/21/2014 | 85.06    | 64.29      | 0.00       | 20.77     | 20.77  |
| ASTON/FAIRPOINTE MID CAP FUND CL I | ABMIX  | 29.551   | 4/23/2013    | 3/21/2014 | 1,381.20 | 1,223.86   | 157.34     | 0.00      | 157.34 |
| AUTOZONE INC                       | AZO    | 1        | 8/19/2011    | 4/11/2014 | 513.53   | 291.33     | 0.00       | 222.20    | 222.20 |
| AVAGO TECHNOLOGIES LTD US LISTED   | AVGO   | 7        | 6/18/2013    | 3/21/2014 | 446.31   | 269.86     | 176.45     | 0.00      | 176.45 |
| BANK OF AMERICA CORP               | BAC    | 4        | 2/1/2011     | 3/21/2014 | 70.40    | 57.15      | 0.00       | 13.25     | 13.25  |
| BANK OF AMERICA CORP               | BAC    | 24       | 2/11/2011    | 3/21/2014 | 422.42   | 354.65     | 0.00       | 67.77     | 67.77  |
| BIOGEN IDEC INC                    | BIIB   | 1        | 2/1/2011     | 4/1/2014  | 310.19   | 65.80      | 0.00       | 244.39    | 244.39 |
| BIOGEN IDEC INC                    | BIIB   | 1        | 8/16/2011    | 4/1/2014  | 310.19   | 90.84      | 0.00       | 219.35    | 219.35 |
| BLACKROCK FDS HIGH YIELD BD PORTFO | BHXY   | 110.444  | 4/23/2013    | 3/21/2014 | 920.00   | 911.74     | 8.26       | 0.00      | 8.26   |
| BRISTOL MYERS SQUIBB CO            | BMJ    | 7        | 3/28/2013    | 3/21/2014 | 367.49   | 287.41     | 80.08      | 0.00      | 80.08  |
| CAPITAL ONE FINANCIAL CORP         | COF    | 3        | 3/8/2013     | 3/21/2014 | 226.85   | 162.48     | 0.00       | 64.37     | 64.37  |
| CAUSEWAY CAP MGMT TR INTL VALUE F  | CIVIX  | 102.992  | 4/23/2013    | 3/21/2014 | 1,634.48 | 1,428.83   | 205.65     | 0.00      | 205.65 |
| CBS CORP CLASS B                   | CBS    | 4        | 7/22/2013    | 3/21/2014 | 263.87   | 209.53     | 54.34      | 0.00      | 54.34  |
| CBS CORP CLASS B                   | CBS    | 16       | 7/22/2013    | 4/30/2014 | 923.80   | 838.10     | 85.70      | 0.00      | 85.70  |
| CBS CORP CLASS B                   | CBS    | 6        | 8/14/2013    | 4/30/2014 | 346.43   | 316.49     | 29.94      | 0.00      | 29.94  |
| CELGENE CORP                       | CELG   | 1        | 4/1/2011     | 3/17/2014 | 152.79   | 57.60      | 0.00       | 95.19     | 95.19  |
| CELGENE CORP                       | CELG   | 1        | 4/1/2011     | 3/21/2014 | 145.55   | 57.60      | 0.00       | 87.95     | 87.95  |
| CELGENE CORP                       | CELG   | 2        | 4/1/2011     | 4/1/2014  | 291.09   | 115.21     | 0.00       | 175.88    | 175.88 |
| CERNER CORP                        | CERN   | 1        | 11/9/2012    | 3/21/2014 | 58.39    | 39.41      | 0.00       | 18.98     | 18.98  |
| CERNER CORP                        | CERN   | 1        | 1/16/2013    | 3/21/2014 | 58.38    | 39.47      | 0.00       | 18.91     | 18.91  |
| CHENIERE ENERGY INC COM            | LNG    | 3        | 12/17/2012   | 3/21/2014 | 161.84   | 53.78      | 0.00       | 108.06    | 108.06 |
| CHENIERE ENERGY INC COM            | LNG    | 1        | 12/17/2012   | 4/3/2014  | 56.22    | 17.92      | 0.00       | 38.30     | 38.30  |
| CHENIERE ENERGY INC COM            | LNG    | 4        | 2/14/2013    | 4/3/2014  | 224.87   | 87.32      | 0.00       | 137.55    | 137.55 |
| CISCO SYSTEMS INC                  | CSCO   | 5        | 1/17/2013    | 3/21/2014 | 108.30   | 104.92     | 0.00       | 3.38      | 3.38   |
| CISCO SYSTEMS INC                  | CSCO   | 6        | 2/11/2013    | 3/21/2014 | 129.96   | 127.32     | 0.00       | 2.64      | 2.64   |
| CITIGROUP INC COM                  | C      | 7        | 8/9/2011     | 3/21/2014 | 349.92   | 212.63     | 0.00       | 137.29    | 137.29 |
| CITIGROUP INC COM                  | C      | 1        | 8/22/2011    | 3/21/2014 | 49.99    | 27.02      | 0.00       | 22.97     | 22.97  |
| COHEN & STEERS REAL ESTATE SECURIT | ICSDIX | 56.905   | 3/14/2012    | 3/21/2014 | 846.17   | 788.34     | 0.00       | 57.83     | 57.83  |
| COLGATE PALMOLIVE COMPANY          | CL     | 3        | 2/13/2014    | 3/21/2014 | 190.55   | 186.65     | 3.90       | 0.00      | 3.90   |
| COMCAST CORP CL A                  | CMCSA  | 3        | 8/22/2011    | 3/21/2014 | 150.33   | 60.04      | 0.00       | 90.29     | 90.29  |
| COMCAST CORP CL A                  | CMCSA  | 6        | 9/29/2011    | 3/21/2014 | 300.67   | 131.53     | 0.00       | 169.14    | 169.14 |
| COMCAST CORP CL A                  | CMCSA  | 1        | 2/1/2011     | 3/21/2014 | 50.11    | 23.35      | 0.00       | 26.76     | 26.76  |

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| Description                             | Ticker | Quantity | Acquire Date | Sale Date | Proceeds | Cost Basis | Short Term | Long Term | Total  |
|-----------------------------------------|--------|----------|--------------|-----------|----------|------------|------------|-----------|--------|
| COMCAST CORP CL A                       | CMCSA  | 1        | 3/24/2011    | 3/21/2014 | 50.11    | 24.73      | 0.00       | 25.38     | 25.38  |
| COSTCO WHOLESALE CORP-NEW               | COST   | 1        | 11/15/2013   | 3/21/2014 | 114.16   | 124.41     | -10.25     | 0.00      | -10.25 |
| CSX CORP                                | CSX    | 8        | 5/30/2012    | 3/21/2014 | 230.07   | 167.74     | 0.00       | 62.33     | 62.33  |
| CVS HEALTH CORPORATION                  | CVS    | 2        | 5/1/2013     | 3/21/2014 | 148.41   | 117.54     | 30.87      | 0.00      | 30.87  |
| DELAWARE GROUP EMERGING MARKET: DEMIX   |        | 71.609   | 3/24/2011    | 3/21/2014 | 1,108.51 | 1,115.35   | 0.00       | -6.84     | -6.84  |
| DISH NETWORK CORP CL A                  | DISH   | 3        | 12/27/2012   | 3/21/2014 | 183.44   | 106.19     | 0.00       | 77.25     | 77.25  |
| DOW CHEMICAL CO.                        | DOW    | 3        | 3/14/2013    | 3/21/2014 | 150.56   | 100.88     | 0.00       | 49.68     | 49.68  |
| DOW CHEMICAL CO.                        | DOW    | 2        | 3/1/2013     | 3/21/2014 | 100.38   | 63.54      | 0.00       | 36.84     | 36.84  |
| EATON CORPORATION PLC                   | ETN    | 3        | 1/27/2014    | 3/21/2014 | 218.18   | 218.93     | -0.75      | 0.00      | -0.75  |
| EBAY INC                                | EBAY   | 4        | 7/22/2013    | 3/21/2014 | 227.61   | 208.81     | 18.80      | 0.00      | 18.80  |
| EMC CORP-MASS                           | EMC    | 28       | 1/21/2014    | 4/22/2014 | 757.09   | 732.27     | 24.82      | 0.00      | 24.82  |
| EMC CORP-MASS                           | EMC    | 4        | 1/21/2014    | 3/21/2014 | 111.37   | 104.61     | 6.76       | 0.00      | 6.76   |
| EMERSON ELECTRIC CO                     | EMR    | 3        | 6/22/2012    | 3/21/2014 | 195.56   | 136.82     | 0.00       | 58.74     | 58.74  |
| EXXON MOBIL CORP                        | XOM    | 7        | 1/24/2012    | 3/21/2014 | 662.60   | 609.01     | 0.00       | 53.59     | 53.59  |
| FLUOR CORP NEW                          | FLR    | 4        | 7/20/2012    | 3/21/2014 | 305.43   | 194.61     | 0.00       | 110.82    | 110.82 |
| FREEMPORT MCMORAN INC                   | FCX    | 9        | 8/15/2013    | 3/21/2014 | 288.24   | 286.79     | 1.45       | 0.00      | 1.45   |
| GENERAL MILLS INC                       | GIS    | 4        | 4/13/2012    | 3/21/2014 | 205.19   | 155.35     | 0.00       | 49.84     | 49.84  |
| GENERAL MOTORS COMPANY                  | GM     | 8        | 5/18/2011    | 3/21/2014 | 278.79   | 251.88     | 0.00       | 26.91     | 26.91  |
| GOLDMAN SACHS SMALL CAP VALUE FUI GSSIX |        | 4.589    | 2/1/2011     | 3/21/2014 | 265.93   | 187.71     | 0.00       | 78.22     | 78.22  |
| GOLDMAN SACHS SMALL CAP VALUE FUI GSSIX |        | 20.359   | 10/25/2010   | 3/21/2014 | 1,179.78 | 832.76     | 0.00       | 347.02    | 347.02 |
| HARBOR INTERNATIONAL FUND INSTITU HAINX |        | 9.447    | 4/23/2013    | 3/21/2014 | 655.14   | 614.32     | 40.82      | 0.00      | 40.82  |
| HARTFORD FINANCIAL SERVICES GROUP       | HIG    | 4        | 5/8/2013     | 3/21/2014 | 141.91   | 118.01     | 23.90      | 0.00      | 23.90  |
| HOME DEPOT INC                          | HD     | 5        | 9/29/2011    | 3/21/2014 | 402.09   | 167.24     | 0.00       | 234.85    | 234.85 |
| HONEYWELL INTL INC                      | HON    | 6        | 10/22/2010   | 3/21/2014 | 558.88   | 283.44     | 0.00       | 275.44    | 275.44 |
| HUMANA INC                              | HUM    | 1        | 11/1/2011    | 3/21/2014 | 117.53   | 83.96      | 0.00       | 33.57     | 33.57  |
| HUMANA INC                              | HUM    | 1        | 8/22/2011    | 3/21/2014 | 117.54   | 70.00      | 0.00       | 47.54     | 47.54  |
| INVECO LTD                              | IVZ    | 2        | 12/17/2012   | 3/21/2014 | 72.25    | 51.19      | 0.00       | 21.06     | 21.06  |
| ISHARES MSCI EAFE ETF                   | EFA    | 23       | 8/14/2013    | 3/21/2014 | 1,499.33 | 1,496.18   | 3.15       | 0.00      | 3.15   |
| ISHARES RUSSELL 2000 ETF                | IWM    | 7        | 2/6/2013     | 3/21/2014 | 831.39   | 630.58     | 0.00       | 200.81    | 200.81 |
| ISHARES RUSSELL MID CAP ETF             | IWR    | 3        | 2/10/2014    | 3/21/2014 | 466.60   | 444.81     | 21.79      | 0.00      | 21.79  |
| JOHNSON & JOHNSON                       | JNJ    | 8        | 10/18/2012   | 3/21/2014 | 751.79   | 577.15     | 0.00       | 174.64    | 174.64 |
| JOHNSON & JOHNSON                       | JNJ    | 1        | 2/15/2013    | 3/21/2014 | 93.97    | 75.92      | 0.00       | 18.05     | 18.05  |

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|-------------------------------------------|--------|----------|--------------|-----------|----------|------------|------------|-----------|--------|
| JOHNSON CONTROLS INC                      | JCI    | 5        | 10/27/2011   | 3/21/2014 | 234.64   | 165.91     | 0.00       | 68.73     | 68.73  |
| JP MORGAN VALUE ADVANTAGE FD INST JVAIX   |        | 134.65   | 4/23/2013    | 3/21/2014 | 3,762.11 | 3,237.89   | 524.22     | 0.00      | 524.22 |
| JPMORGAN TR I EMERGING MKTS EQUIT JMIEX   |        | 36.529   | 2/1/2011     | 3/21/2014 | 801.08   | 808.59     | 0.00       | -7.51     | -7.51  |
| JPMORGAN TR I MID CAP EQUITY FD SEL VSNGX |        | 32.166   | 5/25/2012    | 3/21/2014 | 1,401.16 | 922.97     | 0.00       | 478.19    | 478.19 |
| JPMORGAN TR I SMALL CAP EQUITY FD S VSEIX |        | 41.931   | 8/19/2010    | 3/21/2014 | 2,142.23 | 1,436.41   | 0.00       | 705.82    | 705.82 |
| KLATENCOR CORP                            | KLAC   | 1        | 12/17/2013   | 3/21/2014 | 69.86    | 61.90      | 7.96       | 0.00      | 7.96   |
| LOWES COMPANIES INC                       | LOW    | 8        | 9/22/2011    | 3/21/2014 | 395.35   | 152.18     | 0.00       | 243.17    | 243.17 |
| MARATHON OIL CORP                         | MRO    | 4        | 9/12/2013    | 3/21/2014 | 137.19   | 145.71     | -8.52      | 0.00      | -8.52  |
| MARSH & MCLENNAN COMPANIES INC            | MMC    | 5        | 9/23/2013    | 3/21/2014 | 249.99   | 222.28     | 27.71      | 0.00      | 27.71  |
| MASCO CORP                                | MAS    | 10       | 7/31/2012    | 3/21/2014 | 219.22   | 124.06     | 0.00       | 95.16     | 95.16  |
| MASTERCARD INCORPORATED                   | MA     | 6        | 8/19/2010    | 3/21/2014 | 456.52   | 125.53     | 0.00       | 330.99    | 330.99 |
| MCKESSON CORP                             | MCK    | 1        | 11/26/2013   | 3/21/2014 | 181.99   | 164.72     | 17.27      | 0.00      | 17.27  |
| MCKESSON CORP                             | MCK    | 3        | 11/26/2013   | 3/26/2014 | 526.86   | 494.16     | 32.70      | 0.00      | 32.70  |
| MCKESSON CORP                             | MCK    | 5        | 11/26/2013   | 4/3/2014  | 868.97   | 823.61     | 45.36      | 0.00      | 45.36  |
| MERCK & CO INC                            | MRK    | 5        | 1/6/2012     | 3/21/2014 | 274.42   | 192.67     | 0.00       | 81.75     | 81.75  |
| MERCK & CO INC                            | MRK    | 8        | 9/24/2012    | 4/30/2014 | 467.26   | 361.76     | 0.00       | 105.50    | 105.50 |
| MERCK & CO INC                            | MRK    | 7        | 3/14/2013    | 4/30/2014 | 408.85   | 309.28     | 0.00       | 99.57     | 99.57  |
| METLIFE INC                               | MET    | 4        | 9/21/2011    | 3/21/2014 | 213.85   | 122.97     | 0.00       | 90.88     | 90.88  |
| METLIFE INC                               | MET    | 4        | 7/26/2011    | 3/21/2014 | 213.84   | 165.81     | 0.00       | 48.03     | 48.03  |
| METLIFE INC                               | MET    | 1        | 8/22/2011    | 3/21/2014 | 53.46    | 31.18      | 0.00       | 22.28     | 22.28  |
| MICROSOFT CORP                            | MSFT   | 2        | 8/22/2011    | 3/21/2014 | 80.46    | 48.00      | 0.00       | 32.46     | 32.46  |
| MICROSOFT CORP                            | MSFT   | 1        | 5/25/2012    | 3/21/2014 | 40.23    | 29.18      | 0.00       | 11.05     | 11.05  |
| MICROSOFT CORP                            | MSFT   | 10       | 7/9/2012     | 3/21/2014 | 402.28   | 299.65     | 0.00       | 102.63    | 102.63 |
| MONDELEZ INTERNATIONAL INC COM            | MDLZ   | 3        | 9/19/2011    | 3/21/2014 | 102.33   | 67.69      | 0.00       | 34.64     | 34.64  |
| MONDELEZ INTERNATIONAL INC COM            | MDLZ   | 2        | 9/12/2011    | 3/21/2014 | 68.22    | 44.36      | 0.00       | 23.86     | 23.86  |
| MONSANTO CO                               | MON    | 2        | 10/2/2013    | 3/21/2014 | 226.05   | 206.84     | 19.21      | 0.00      | 19.21  |
| MORGAN STANLEY                            | MS     | 12       | 1/17/2013    | 3/21/2014 | 389.06   | 246.39     | 0.00       | 142.67    | 142.67 |
| NEXTERA ENERGY INC                        | NEE    | 5        | 6/13/2013    | 3/17/2014 | 474.02   | 392.08     | 81.94      | 0.00      | 81.94  |
| NEXTERA ENERGY INC                        | NEE    | 1        | 6/13/2013    | 3/21/2014 | 94.80    | 78.42      | 16.38      | 0.00      | 16.38  |
| NISOURCE INC COM                          | NI     | 13       | 3/8/2013     | 3/21/2014 | 457.23   | 365.67     | 0.00       | 91.56     | 91.56  |
| NISOURCE INC COM                          | NI     | 3        | 4/4/2013     | 3/21/2014 | 105.51   | 88.45      | 17.06      | 0.00      | 17.06  |
| OCCIDENTAL PETE CORP                      | OXY    | 1        | 10/18/2011   | 3/21/2014 | 94.10    | 85.02      | 0.00       | 9.08      | 9.08   |

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|---------------------------------|--------|----------|--------------|-----------|----------|------------|------------|-----------|--------|
| OCCIDENTAL PETE CORP            | OXY    | 2        | 10/6/2011    | 3/21/2014 | 188.19   | 158.27     | 0.00       | 29.92     | 29.92  |
| ORACLE CORPORATION              | ORCL   | 7        | 12/7/2010    | 3/5/2014  | 277.21   | 203.67     | 0.00       | 73.54     | 73.54  |
| ORACLE CORPORATION              | ORCL   | 5        | 2/1/2011     | 3/5/2014  | 198.01   | 165.90     | 0.00       | 32.11     | 32.11  |
| ORACLE CORPORATION              | ORCL   | 7        | 2/1/2011     | 3/21/2014 | 263.33   | 232.25     | 0.00       | 31.08     | 31.08  |
| PACCAR INC                      | PCAR   | 2        | 8/19/2010    | 3/21/2014 | 134.60   | 85.14      | 0.00       | 49.46     | 49.46  |
| PACCAR INC                      | PCAR   | 4        | 9/21/2010    | 3/21/2014 | 269.19   | 187.77     | 0.00       | 81.42     | 81.42  |
| PEPSICO INC                     | PEP    | 4        | 8/10/2012    | 3/20/2014 | 326.88   | 288.21     | 0.00       | 38.67     | 38.67  |
| PEPSICO INC                     | PEP    | 2        | 9/24/2012    | 3/20/2014 | 163.44   | 141.60     | 0.00       | 21.84     | 21.84  |
| PEPSICO INC                     | PEP    | 1        | 6/19/2013    | 3/20/2014 | 81.72    | 82.45      | -0.73      | 0.00      | -0.73  |
| PEPSICO INC                     | PEP    | 3        | 7/2/2013     | 3/20/2014 | 245.16   | 246.20     | -1.04      | 0.00      | -1.04  |
| PEPSICO INC                     | PEP    | 4        | 8/14/2013    | 3/20/2014 | 326.88   | 332.86     | -5.98      | 0.00      | -5.98  |
| PERRIGO COMPANY PLC             | PRGO   | 1        | 12/19/2013   | 3/21/2014 | 161.12   | 155.34     | 5.78       | 0.00      | 5.78   |
| PHILIP MORRIS INTERNATIONAL INC | PM     | 2        | 2/23/2012    | 3/21/2014 | 161.45   | 163.87     | 0.00       | -2.42     | -2.42  |
| PHILLIPS 66 COM                 | PSX    | 3        | 12/13/2012   | 3/21/2014 | 234.29   | 154.85     | 0.00       | 79.44     | 79.44  |
| PHILLIPS 66 COM                 | PSX    | 5        | 12/17/2012   | 4/3/2014  | 402.73   | 267.88     | 0.00       | 134.85    | 134.85 |
| PROCTER & GAMBLE CO             | PG     | 5        | 2/1/2011     | 3/21/2014 | 396.59   | 314.24     | 0.00       | 82.35     | 82.35  |
| QEP RESOURCES INC               | QEP    | 4        | 11/7/2013    | 3/21/2014 | 115.63   | 127.18     | -11.55     | 0.00      | -11.55 |
| QEP RESOURCES INC               | QEP    | 29       | 11/7/2013    | 4/29/2014 | 909.82   | 922.08     | -12.26     | 0.00      | -12.26 |
| QUALCOMM INC                    | QCOM   | 1        | 9/29/2011    | 3/21/2014 | 77.71    | 50.85      | 0.00       | 26.86     | 26.86  |
| QUALCOMM INC                    | QCOM   | 4        | 5/8/2012     | 3/21/2014 | 310.83   | 244.82     | 0.00       | 66.01     | 66.01  |
| SCHLUMBERGER LTD                | SLB    | 7        | 5/13/2011    | 3/21/2014 | 649.02   | 586.42     | 0.00       | 62.60     | 62.60  |
| SPDR S&P 500 ETF TRUST          | SPY    | 13       | 8/14/2013    | 3/21/2014 | 2,421.97 | 2,198.98   | 222.99     | 0.00      | 222.99 |
| STATE STREET CORP               | STT    | 3        | 3/27/2013    | 3/21/2014 | 206.00   | 177.28     | 28.72      | 0.00      | 28.72  |
| THORNBURG INTL VALUE FUND CL I  | TGVIX  | 79.514   | 5/25/2012    | 3/7/2014  | 2,468.11 | 2,033.53   | 0.00       | 434.58    | 434.58 |
| THORNBURG INTL VALUE FUND CL I  | TGVIX  | 173.302  | 9/24/2012    | 3/7/2014  | 5,379.29 | 4,432.10   | 0.00       | 947.19    | 947.19 |
| THORNBURG INTL VALUE FUND CL I  | TGVIX  | 18.197   | 2/6/2013     | 3/7/2014  | 564.83   | 465.38     | 0.00       | 99.45     | 99.45  |
| THORNBURG INTL VALUE FUND CL I  | TGVIX  | 56.61    | 6/19/2013    | 3/7/2014  | 1,757.18 | 1,447.77   | 309.41     | 0.00      | 309.41 |
| THORNBURG INTL VALUE FUND CL I  | TGVIX  | 52.208   | 8/22/2011    | 3/7/2014  | 1,620.54 | 1,335.19   | 0.00       | 285.35    | 285.35 |
| THORNBURG INTL VALUE FUND CL I  | TGVIX  | 59.866   | 3/14/2012    | 3/7/2014  | 1,858.24 | 1,531.04   | 0.00       | 327.20    | 327.20 |
| TIME WARNER INC                 | TWX    | 4        | 12/17/2010   | 3/21/2014 | 265.11   | 126.01     | 0.00       | 139.10    | 139.10 |
| TIME WARNER INC                 | TWX    | 8        | 2/1/2011     | 3/21/2014 | 530.23   | 257.28     | 0.00       | 272.95    | 272.95 |
| UNITED CONTINENTAL HLDGS INC    | UAL    | 4        | 11/27/2013   | 3/21/2014 | 176.39   | 157.32     | 19.07      | 0.00      | 19.07  |

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|-----------------------------------------|--------|----------|--------------|-----------|-----------|------------|------------|-----------|----------|
| UNITED TECHNOLOGIES CORP                | UTX    | 2        | 9/21/2010    | 3/21/2014 | 229.37    | 141.53     | 0.00       | 87.84     | 87.84    |
| UNITED TECHNOLOGIES CORP                | UTX    | 2        | 10/21/2010   | 3/21/2014 | 229.37    | 151.02     | 0.00       | 78.35     | 78.35    |
| UNITED TECHNOLOGIES CORP                | UTX    | 2        | 2/1/2011     | 3/21/2014 | 229.38    | 163.76     | 0.00       | 65.62     | 65.62    |
| UNITEDHEALTH GROUP INC                  | UNH    | 6        | 9/15/2011    | 3/21/2014 | 488.62    | 301.65     | 0.00       | 186.97    | 186.97   |
| VANGUARD SECTOR INDEX FDS VANGUA VNQ    |        | 9        | 9/13/2012    | 3/21/2014 | 629.89    | 613.56     | 0.00       | 16.33     | 16.33    |
| VERIZON COMMUNICATIONS                  | VZ     | 9        | 2/1/2011     | 3/21/2014 | 420.88    | 325.97     | 0.00       | 94.91     | 94.91    |
| VERTEX PHARMACEUTICALS INC              | VRTX   | 1        | 12/16/2011   | 3/21/2014 | 73.73     | 33.81      | 0.00       | 39.92     | 39.92    |
| WALT DISNEY CO                          | DIS    | 3        | 9/17/2013    | 3/21/2014 | 240.32    | 200.94     | 39.38      | 0.00      | 39.38    |
| WELLS FARGO & CO                        | WFC    | 12       | 3/7/2011     | 3/21/2014 | 589.70    | 382.21     | 0.00       | 207.49    | 207.49   |
| WELLS FARGO & CO                        | WFC    | 4        | 6/13/2011    | 3/21/2014 | 196.56    | 107.42     | 0.00       | 89.14     | 89.14    |
| WELLS FARGO ADVANTAGE GROWTH FU SGRKX   |        | 46.759   | 2/1/2011     | 3/21/2014 | 2,551.16  | 1,806.73   | 0.00       | 744.43    | 744.43   |
| WILLIAMS COMPANIES INC                  | WMB    | 12       | 1/14/2013    | 3/3/2014  | 496.49    | 400.86     | 0.00       | 95.63     | 95.63    |
| WILLIAMS COMPANIES INC                  | WMB    | 9        | 1/14/2013    | 3/21/2014 | 366.43    | 300.65     | 0.00       | 65.78     | 65.78    |
| WILLIAMS COMPANIES INC                  | WMB    | 3        | 1/14/2013    | 3/26/2014 | 121.07    | 100.21     | 0.00       | 20.86     | 20.86    |
| WILLIAMS COMPANIES INC                  | WMB    | 1        | 6/19/2013    | 3/26/2014 | 40.36     | 33.23      | 7.13       | 0.00      | 7.13     |
| WILLIAMS COMPANIES INC                  | WMB    | 9        | 8/14/2013    | 3/26/2014 | 363.21    | 317.62     | 45.59      | 0.00      | 45.59    |
| WILLIAMS COMPANIES INC                  | WMB    | 6        | 9/19/2013    | 3/26/2014 | 242.13    | 220.67     | 21.46      | 0.00      | 21.46    |
| WILLIAMS COMPANIES INC                  | WMB    | 2        | 12/27/2012   | 3/3/2014  | 82.75     | 63.84      | 0.00       | 18.91     | 18.91    |
| YUM BRANDS INC                          | YUM    | 1        | 9/21/2010    | 3/21/2014 | 75.32     | 46.43      | 0.00       | 28.89     | 28.89    |
| YUM BRANDS INC                          | YUM    | 3        | 8/19/2010    | 3/21/2014 | 225.95    | 125.46     | 0.00       | 100.49    | 100.49   |
| AGRIUM INC                              | AGU    | 500      | 11/22/2013   | 6/12/2014 | 45,279.84 | 44,415.00  | 864.84     | 0.00      | 864.84   |
| AGRIUM INC                              | AGU    | 3        | 4/17/2014    | 6/12/2014 | 271.68    | 281.40     | -9.72      | 0.00      | -9.72    |
| ALLERGAN INC                            | AGN    | 1        | 9/24/2012    | 5/13/2014 | 161.49    | 91.82      | 0.00       | 69.67     | 69.67    |
| ALLERGAN INC                            | AGN    | 1        | 5/6/2013     | 5/13/2014 | 161.49    | 104.78     | 0.00       | 56.71     | 56.71    |
| ALLERGAN INC                            | AGN    | 1        | 5/23/2013    | 5/13/2014 | 161.49    | 97.46      | 64.03      | 0.00      | 64.03    |
| ASTRAZENECA PLC SPONSORED ADR           | AZN    | 6        | 6/16/2014    | 6/18/2014 | 447.16    | 444.36     | 2.80       | 0.00      | 2.80     |
| AUTOZONE INC                            | AZO    | 1        | 6/19/2013    | 5/22/2014 | 542.56    | 424.50     | 118.06     | 0.00      | 118.06   |
| AUTOZONE INC                            | AZO    | 1        | 9/24/2012    | 5/22/2014 | 542.57    | 370.52     | 0.00       | 172.05    | 172.05   |
| BASF SE ADR                             | BASFY  | 3        | 6/16/2014    | 6/18/2014 | 350.63    | 347.82     | 2.81       | 0.00      | 2.81     |
| CAUSEWAY CAP MGMT TR INTL VALUE F CIVIX |        | 766.097  | 4/23/2013    | 6/12/2014 | 12,648.26 | 10,628.21  | 0.00       | 2,020.05  | 2,020.05 |
| CAUSEWAY CAP MGMT TR INTL VALUE F CIVIX |        | 782.222  | 5/20/2013    | 6/12/2014 | 12,914.49 | 10,851.92  | 0.00       | 2,062.57  | 2,062.57 |
| CAUSEWAY CAP MGMT TR INTL VALUE F CIVIX |        | 55.625   | 6/19/2013    | 6/12/2014 | 918.37    | 771.70     | 146.67     | 0.00      | 146.67   |

## YAO YUAN SZE FOUNDATION

7/1/13 - 6/30/14

91-2161365

| Description                           | Ticker | Quantity | Acquire Date | Sale Date | Proceeds  | Cost Basis | Short Term | Long Term | Total    |
|---------------------------------------|--------|----------|--------------|-----------|-----------|------------|------------|-----------|----------|
| CISCO SYSTEMS INC                     | CSCO   | 19       | 5/30/2013    | 6/12/2014 | 469.24    | 459.95     | 0.00       | 9.29      | 9.29     |
| CISCO SYSTEMS INC                     | CSCO   | 4        | 6/19/2013    | 6/12/2014 | 98.79     | 99.20      | -0.41      | 0.00      | -0.41    |
| CISCO SYSTEMS INC                     | CSCO   | 24       | 8/14/2013    | 6/12/2014 | 592.73    | 624.12     | -31.39     | 0.00      | -31.39   |
| CISCO SYSTEMS INC                     | CSCO   | 24       | 8/16/2013    | 6/12/2014 | 592.73    | 585.08     | 7.65       | 0.00      | 7.65     |
| CISCO SYSTEMS INC                     | CSCO   | 8        | 9/20/2013    | 6/12/2014 | 197.58    | 197.16     | 0.42       | 0.00      | 0.42     |
| CISCO SYSTEMS INC                     | CSCO   | 416      | 11/22/2013   | 6/12/2014 | 10,273.89 | 8,904.48   | 1,369.41   | 0.00      | 1,369.41 |
| CISCO SYSTEMS INC                     | CSCO   | 9        | 2/11/2013    | 6/12/2014 | 222.27    | 190.99     | 0.00       | 31.28     | 31.28    |
| CONSTELLATION BRANDS INC CL A         | STZ    | 12       | 4/4/2014     | 5/12/2014 | 962.05    | 1,011.30   | -49.25     | 0.00      | -49.25   |
| DEUTSCHE TELEKOM AG SPONSORED AD TEGY |        | 20       | 6/16/2014    | 6/26/2014 | 346.17    | 340.60     | 5.57       | 0.00      | 5.57     |
| FLUOR CORP NEW                        | FLR    | 2        | 7/20/2012    | 6/19/2014 | 154.88    | 97.31      | 0.00       | 57.57     | 57.57    |
| FLUOR CORP NEW                        | FLR    | 2        | 9/24/2012    | 6/19/2014 | 154.88    | 117.76     | 0.00       | 37.12     | 37.12    |
| FLUOR CORP NEW                        | FLR    | 12       | 11/15/2012   | 6/19/2014 | 929.29    | 621.44     | 0.00       | 307.85    | 307.85   |
| FLUOR CORP NEW                        | FLR    | 1        | 12/27/2012   | 6/19/2014 | 77.44     | 57.75      | 0.00       | 19.69     | 19.69    |
| FREEPORT MCMORAN INC                  | FCX    | 9        | 8/15/2013    | 5/21/2014 | 308.47    | 286.78     | 21.69      | 0.00      | 21.69    |
| FREEPORT MCMORAN INC                  | FCX    | 20       | 9/23/2013    | 5/21/2014 | 685.48    | 678.07     | 7.41       | 0.00      | 7.41     |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 21.5064  | 11/22/2013   | 6/12/2014 | 119.46    | 102.16     | 17.30      | 0.00      | 17.30    |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 20.5686  | 11/22/2013   | 6/12/2014 | 114.25    | 97.70      | 16.55      | 0.00      | 16.55    |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 20.2502  | 11/22/2013   | 6/12/2014 | 112.48    | 96.18      | 16.30      | 0.00      | 16.30    |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 18.3431  | 11/22/2013   | 6/12/2014 | 101.89    | 87.13      | 14.76      | 0.00      | 14.76    |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 239.918  | 11/22/2013   | 6/12/2014 | 1,332.61  | 1,139.61   | 193.00     | 0.00      | 193.00   |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 26.411   | 11/22/2013   | 6/12/2014 | 146.70    | 125.45     | 21.25      | 0.00      | 21.25    |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 30.589   | 11/22/2013   | 6/12/2014 | 169.90    | 145.30     | 24.60      | 0.00      | 24.60    |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 441.107  | 11/22/2013   | 6/12/2014 | 2,450.10  | 2,095.26   | 354.84     | 0.00      | 354.84   |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 87.8099  | 11/22/2013   | 6/12/2014 | 487.73    | 417.10     | 70.63      | 0.00      | 70.63    |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 221.067  | 11/22/2013   | 6/12/2014 | 1,227.90  | 1,050.07   | 177.83     | 0.00      | 177.83   |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 24       | 3/31/2014    | 6/12/2014 | 133.29    | 134.63     | -1.34      | 0.00      | -1.34    |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 58.5399  | 11/22/2013   | 6/12/2014 | 325.16    | 278.06     | 47.10      | 0.00      | 47.10    |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 117.08   | 11/22/2013   | 6/12/2014 | 650.31    | 556.13     | 94.18      | 0.00      | 94.18    |
| FRONTIER COMMUNICATIONS CORP          | FTR    | 87.8099  | 11/22/2013   | 6/12/2014 | 487.73    | 417.10     | 70.63      | 0.00      | 70.63    |
| H & R BLOCK INC                       | HRB    | 27.858   | 11/22/2013   | 6/12/2014 | 907.87    | 802.03     | 105.84     | 0.00      | 105.84   |
| H & R BLOCK INC                       | HRB    | 4.142    | 11/22/2013   | 6/12/2014 | 134.98    | 119.25     | 15.73      | 0.00      | 15.73    |
| HARBOR INTERNATIONAL FUND INSTITU     | HAINX  | 185.847  | 4/23/2013    | 6/12/2014 | 13,819.58 | 12,085.27  | 0.00       | 1,734.31  | 1,734.31 |

## YAO YUAN SZE FOUNDATION

7/1/13 - 6/30/14

91-2161365

| Description                                | Ticker | Quantity | Acquire Date | Sale Date | Proceeds  | Cost Basis | Short Term | Long Term | Total    |
|--------------------------------------------|--------|----------|--------------|-----------|-----------|------------|------------|-----------|----------|
| HARBOR INTERNATIONAL FUND INSTITU          | HAINX  | 112.399  | 5/20/2013    | 6/12/2014 | 8,357.99  | 7,309.10   | 0.00       | 1,048.89  | 1,048.89 |
| HARBOR INTERNATIONAL FUND INSTITU          | HAINX  | 15.802   | 6/19/2013    | 6/12/2014 | 1,175.04  | 1,027.57   | 147.47     | 0.00      | 147.47   |
| INTEL CORP                                 | INTC   | 1,000.00 | 11/22/2013   | 6/12/2014 | 27,862.89 | 24,175.00  | 3,687.89   | 0.00      | 3,687.89 |
| INTEL CORP                                 | INTC   | 1,000.00 | 11/22/2013   | 6/12/2014 | 27,862.89 | 24,175.00  | 3,687.89   | 0.00      | 3,687.89 |
| INTEL CORP                                 | INTC   | 16       | 6/2/2014     | 6/12/2014 | 445.81    | 436.80     | 9.01       | 0.00      | 9.01     |
| ISHARES MSCI EAFE ETF                      | EFA    | 55       | 9/5/2013     | 6/12/2014 | 3,840.29  | 3,577.83   | 262.46     | 0.00      | 262.46   |
| ISHARES MSCI EAFE ETF                      | EFA    | 202      | 2/10/2014    | 6/12/2014 | 14,104.34 | 13,140.41  | 963.93     | 0.00      | 963.93   |
| ISHARES MSCI EAFE ETF                      | EFA    | 59       | 3/7/2014     | 6/12/2014 | 4,119.58  | 3,838.04   | 281.54     | 0.00      | 281.54   |
| ISHARES MSCI EAFE ETF                      | EFA    | 40       | 8/14/2013    | 6/12/2014 | 2,792.94  | 2,602.06   | 190.88     | 0.00      | 190.88   |
| ISHARES SHORT TREASURY BOND ETF            | SHV    | 737      | 11/22/2013   | 6/11/2014 | 81,259.82 | 81,250.57  | 9.25       | 0.00      | 9.25     |
| JOHNSON & JOHNSON                          | JNJ    | 4        | 2/15/2013    | 5/30/2014 | 403.32    | 303.66     | 0.00       | 99.66     | 99.66    |
| JPMORGAN TR I INTL VALUE FD INSTL CL JNUSX |        | 219.041  | 3/24/2011    | 6/12/2014 | 3,399.51  | 2,736.98   | 0.00       | 662.53    | 662.53   |
| JPMORGAN TR I INTL VALUE FD INSTL CL JNUSX |        | 86.3795  | 7/13/2011    | 6/12/2014 | 1,340.61  | 1,079.34   | 0.00       | 261.27    | 261.27   |
| JPMORGAN TR I INTL VALUE FD INSTL CL JNUSX |        | 173.603  | 8/22/2011    | 6/12/2014 | 2,694.33  | 2,169.22   | 0.00       | 525.11    | 525.11   |
| JPMORGAN TR I INTL VALUE FD INSTL CL JNUSX |        | 317.052  | 9/24/2012    | 6/12/2014 | 4,920.65  | 3,961.65   | 0.00       | 959.00    | 959.00   |
| JPMORGAN TR I INTL VALUE FD INSTL CL JNUSX |        | 635.064  | 2/6/2013     | 6/12/2014 | 9,856.19  | 7,935.29   | 0.00       | 1,920.90  | 1,920.90 |
| JPMORGAN TR I INTL VALUE FD INSTL CL JNUSX |        | 83.2858  | 6/19/2013    | 6/12/2014 | 1,292.59  | 1,040.68   | 251.91     | 0.00      | 251.91   |
| JPMORGAN TR I INTL VALUE SMA FD SM.JTIVX   |        | 118.497  | 6/16/2014    | 6/19/2014 | 1,682.66  | 1,664.88   | 17.78      | 0.00      | 17.78    |
| LAM RESEARCH CORP                          | LRCX   | 8        | 2/7/2013     | 5/1/2014  | 459.13    | 337.97     | 0.00       | 121.16    | 121.16   |
| LUNDIN MINING CORPORATION                  | LUNMF  | 1,100.00 | 11/22/2013   | 6/11/2014 | 5,719.87  | 4,521.00   | 1,198.87   | 0.00      | 1,198.87 |
| LUNDIN MINING CORPORATION                  | LUNMF  | 1,000.00 | 11/22/2013   | 6/11/2014 | 5,199.88  | 4,110.00   | 1,089.88   | 0.00      | 1,089.88 |
| LUNDIN MINING CORPORATION                  | LUNMF  | 900      | 11/22/2013   | 6/11/2014 | 4,679.90  | 3,699.00   | 980.90     | 0.00      | 980.90   |
| METTLER-TOLEDO INTERNATIONAL INC           | MTD    | 2        | 3/11/2013    | 6/11/2014 | 493.85    | 437.76     | 0.00       | 56.09     | 56.09    |
| METTLER-TOLEDO INTERNATIONAL INC           | MTD    | 1        | 6/19/2013    | 6/11/2014 | 246.93    | 216.04     | 30.89      | 0.00      | 30.89    |
| METTLER-TOLEDO INTERNATIONAL INC           | MTD    | 1        | 8/14/2013    | 6/11/2014 | 246.92    | 229.43     | 17.49      | 0.00      | 17.49    |
| NOKIA CORPORATION SPONSORED ADR            | NOK    | 1,000.00 | 11/22/2013   | 6/11/2014 | 8,094.32  | 8,070.00   | 24.32      | 0.00      | 24.32    |
| NOVARTIS AG AMERICAN DEPOSITARY SINVS      |        | 6        | 6/16/2014    | 6/18/2014 | 539.94    | 540.72     | -0.78      | 0.00      | -0.78    |
| ORACLE CORPORATION                         | ORCL   | 1        | 4/16/2012    | 6/11/2014 | 42.59     | 28.46      | 0.00       | 14.13     | 14.13    |
| ORACLE CORPORATION                         | ORCL   | 1        | 3/24/2011    | 6/11/2014 | 42.58     | 31.82      | 0.00       | 10.76     | 10.76    |
| ORACLE CORPORATION                         | ORCL   | 3        | 8/22/2011    | 6/11/2014 | 127.75    | 75.13      | 0.00       | 52.62     | 52.62    |
| ORACLE CORPORATION                         | ORCL   | 10       | 1/5/2012     | 6/11/2014 | 425.83    | 265.74     | 0.00       | 160.09    | 160.09   |
| SPRINT CORPORATION COM SER 1               | S      | 1,000.00 | 11/22/2013   | 6/11/2014 | 8,754.80  | 7,910.00   | 844.80     | 0.00      | 844.80   |

## YAO YUAN SZE FOUNDATION

7/1/13 - 6/30/14

91-2161365

| Description                  | Ticker | Quantity | Acquire Date | Sale Date | Proceeds | Cost Basis | Short Term | Long Term | Total  |
|------------------------------|--------|----------|--------------|-----------|----------|------------|------------|-----------|--------|
| TIME INC COM                 | TIME   | 1        | 9/24/2012    | 6/19/2014 | 22.96    | 16.76      | 0.00       | 6.20      | 6.20   |
| TIME INC COM                 | TIME   | 1        | 10/1/2012    | 6/19/2014 | 22.96    | 22.21      | 0.00       | 0.75      | 0.75   |
| TIME INC COM                 | TIME   | 5        | 8/14/2013    | 6/19/2014 | 114.82   | 65.21      | 49.61      | 0.00      | 49.61  |
| TIME INC COM                 | TIME   | 3        | 6/16/2014    | 6/19/2014 | 68.91    | 70.38      | -1.47      | 0.00      | -1.47  |
| TIME INC COM                 | TIME   | 1        | 2/1/2011     | 6/19/2014 | 22.96    | 13.02      | 0.00       | 9.94      | 9.94   |
| TIME INC COM                 | TIME   | 1        | 5/4/2011     | 6/19/2014 | 22.96    | 19.15      | 0.00       | 3.81      | 3.81   |
| AGRIUM INC                   | AGU    | 0.39818  | 6/11/2014    | 6/12/2014 | 36.26    | 37.35      | -1.09      | 0.00      | -1.09  |
| H & R BLOCK INC              | HRB    |          | 6/11/2014    | 6/12/2014 | 6.77     | 6.40       | 0.37       | 0.00      | 0.37   |
| CISCO SYSTEMS INC            | CSCO   |          | 6/11/2014    | 6/12/2014 | 1.28     | 1.20       | 0.08       | 0.00      | 0.08   |
| FRONTIER COMMUNICATIONS CORP | FTR    |          | 6/11/2014    | 6/12/2014 | 4.38     | 4.47       | -0.09      | 0.00      | -0.09  |
| INTEL CORP                   | INTC   |          | 6/11/2014    | 6/12/2014 | 13.50    | 13.20      | 0.30       | 0.00      | 0.30   |
| UNITED TECHNOLOGIES CORP     | UTX    | 3        | 2/1/2011     | 5/29/2014 | 348.18   | 245.63     | 0.00       | 102.55    | 102.55 |

833,104.55 764,090.08 22,792.76 46,221.71 69,014.47



J.P. Morgan Investments  
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J.P. Morgan Clearing Corp.  
Three Chase Merittech Center  
Brooklyn, New York 11245-0001

THE YAO YUAN SZE FOUNDATION

STATEMENT PERIOD  
May 31 - June 30, 2014

ACCOUNT NUMBER  
962-38717  
LAST STATEMENT

Your Portfolio Holdings

The total cost basis for each security position and the unrealized gain/loss are provided solely for your convenience and may not be used for tax purposes or otherwise relied upon. If you have questions related to tax consequences, please consult your tax advisor. Unrealized gain/loss total reflects only those positions for which a cost basis is available or has been provided to J.P. Morgan Clearing Corp. ("JPMCC"). Unless the tax basis provided relates to a position purchased on the books of JPMCC, JPMCC has not and cannot validate the basis provided. Information on this statement related to cost and gain/loss calculations does not include adjustments for wash sales that may have occurred on the last business day of this statement period. These wash sale adjustments, if any, will be reflected on your next statement.

CASH & MONEY MARKET FUNDS

| DESCRIPTION                     | TYPE | QUANTITY | PRICE | MARKET VALUE | COST  | UNREALIZED GAIN/LOSS |
|---------------------------------|------|----------|-------|--------------|-------|----------------------|
| J P MORGAN DEPOSIT SWEEP        | CASH | 469.76   | 1.00  | 470          | 470   |                      |
| JPMORGAN CHASE BANK NA          |      |          |       |              |       |                      |
| CURRENT YIELD 0.03%             |      |          |       |              |       |                      |
| FDIC-INSURED                    |      |          |       |              |       |                      |
| SUBJECT TO APPLICABLE LIMITS    |      |          |       |              |       |                      |
| NOT COVERED BY SIPC             |      |          |       |              |       |                      |
| TOTAL CASH & MONEY MARKET FUNDS |      |          |       | \$470        | \$470 | \$0                  |

EQUITIES

Equities & Options

| DESCRIPTION         | ACCT TYPE | ACQUISITION DATE | QUANTITY    | PRICE | MARKET VALUE | UNIT COST | COST    | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|---------------------|-----------|------------------|-------------|-------|--------------|-----------|---------|----------------------|-------------------------|---------------------|
| BHP BILLITON LTD    | CASH      | 11/22/13         | 1,017.52822 | 68.45 | 69,650       | 68.91     | 70,120  | -470                 | 2,401                   | 3.45                |
| SPONSORED ADR       |           | 11/22/13         | 500         |       | 34,225       | 68.94     | 34,470  | -245 ST              |                         |                     |
| DIVIDEND REINVESTED |           | 11/22/13         | 500         |       | 34,225       | 68.94     | 34,470  | -245 ST              |                         |                     |
| SYMBOL: BHP         |           | 03/26/14         | 17.52822    |       | 1,200        | 67.32     | 1,180   | 20 ST                |                         |                     |
| CONOCOPHILLIPS      | CASH      | 11/22/13         | 3,175.63213 | 85.73 | 272,247      | 74.00     | 234,985 | 37,262               | 8,765                   | 3.22                |
| DIVIDEND REINVESTED |           | 03/03/14         | 3,116.214   |       | 267,153      | 74.02     | 230,662 | 36,491 ST            |                         |                     |
| SYMBOL: COP         |           | 06/02/14         | 32.33368    |       | 2,772        | 66.50     | 2,150   | 622 ST               |                         |                     |
|                     |           |                  | 27.08445    |       | 2,322        | 80.21     | 2,173   | 149 ST               |                         |                     |

## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
962-38717  
LAST STATEMENT

### Equities & Options (Continued)

| DESCRIPTION                                                        | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY     | PRICE  | MARKET<br>VALUE | UNIT COST | COST      | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|--------------------------------------------------------------------|--------------|---------------------|--------------|--------|-----------------|-----------|-----------|-------------------------|----------------------------|------------------------|
| DOW CHEMICAL CO.<br>DIVIDEND REINVESTED<br>SYMBOL DOW              | CASH         | 11/22/13            | 3,022,76456  | 51.46  | 155,551         | 39.67     | 119,925   | 35,626                  | 4,474                      | 2.88                   |
|                                                                    |              | 11/22/13            | 805          |        | 41,425          | 39.61     | 31,882    | 9,543 ST                |                            |                        |
|                                                                    |              | 11/22/13            | 1,000        |        | 51,460          | 39.61     | 39,605    | 11,855 ST               |                            |                        |
|                                                                    |              | 11/22/13            | 1,195        |        | 61,495          | 39.61     | 47,328    | 14,167 ST               |                            |                        |
|                                                                    |              | 04/30/14            | 22,76456     |        | 1,171           | 48.76     | 1,110     | 61 ST                   |                            |                        |
| EXXON MOBIL CORP<br>DIVIDEND REINVESTED<br>SYMBOL XOM              | CASH         | 11/22/13            | 16,067,37036 | 100.68 | 1,617,663       | 94.99     | 1,526,240 | 91,423                  | 44,346                     | 2.74                   |
|                                                                    |              | 11/22/13            | 14,968,212   |        | 1,507,000       | 95.01     | 1,422,130 | 84,870 ST               |                            |                        |
|                                                                    |              | 11/22/13            | 500          |        | 50,340          | 94.68     | 47,340    | 3,000 ST                |                            |                        |
|                                                                    |              | 11/22/13            | 330          |        | 33,224          | 94.68     | 31,244    | 1,980 ST                |                            |                        |
|                                                                    |              | 11/22/13            | 70           |        | 7,048           | 94.68     | 6,628     | 420 ST                  |                            |                        |
|                                                                    |              | 11/22/13            | 100          |        | 10,068          | 94.68     | 9,468     | 600 ST                  |                            |                        |
|                                                                    |              | 03/10/14            | 99,15836     |        | 9,983           | 95.10     | 9,430     | 553 ST                  |                            |                        |
| ENTERGY CORP NEW<br>DIVIDEND REINVESTED<br>SYMBOL ETR              | CASH         | 11/22/13            | 1,152,58402  | 82.09  | 94,616          | 62.69     | 72,250    | 22,366                  | 3,827                      | 4.04                   |
|                                                                    |              | 03/03/14            | 1,125,374    |        | 92,382          | 62.53     | 70,370    | 22,013 ST               |                            |                        |
|                                                                    |              | 06/02/14            | 14,68676     |        | 1,206           | 63.60     | 934       | 272 ST                  |                            |                        |
|                                                                    |              |                     | 12,52326     |        | 1,028           | 75.56     | 946       | 82 ST                   |                            |                        |
| FRONTIER COMMUNICATIONS CORP<br>SYMBOL FTR                         | CASH         | 06/30/14            | 24,4525      | 5.84   | 143             | 5.79      | 142       | 1 ST                    | 10                         | 6.99                   |
| GENERAL ELECTRIC CO<br>DIVIDEND REINVESTED<br>SYMBOL GE            | CASH         | 11/22/13            | 14,470,16368 | 26.28  | 380,276         | 27.08     | 391,795   | -11,519                 | 12,734                     | 3.35                   |
|                                                                    |              | 04/25/14            | 14,351,466   |        | 377,157         | 27.08     | 388,638   | -11,481 ST              |                            |                        |
|                                                                    |              |                     | 118,69768    |        | 3,119           | 26.60     | 3,157     | -38 ST                  |                            |                        |
| HALLIBURTON COMPANY<br>DIVIDEND REINVESTED<br>SYMBOL HAL           | CASH         | 11/22/13            | 2,040,6426   | 71.01  | 144,906         | 54.51     | 111,240   | 33,666                  | 1,224                      | 0.84                   |
|                                                                    |              | 03/26/14            | 2,035,493    |        | 144,540         | 54.50     | 110,934   | 33,606 ST               |                            |                        |
|                                                                    |              |                     | 5,1496       |        | 366             | 59.29     | 305       | 60 ST                   |                            |                        |
| KRAFT FOODS GROUP INC<br>COM<br>DIVIDEND REINVESTED<br>SYMBOL KRFT | CASH         | 11/22/13            | 499,56891    | 59.95  | 29,949          | 52.55     | 26,252    | 3,697                   | 1,049                      | 3.50                   |
|                                                                    |              | 11/22/13            | 5,2197       |        | 313             | 52.51     | 274       | 39 ST                   |                            |                        |
|                                                                    |              | 11/22/13            | 4,78         |        | 287             | 52.51     | 251       | 36 ST                   |                            |                        |
|                                                                    |              | 11/22/13            | 4,5886       |        | 275             | 52.51     | 241       | 34 ST                   |                            |                        |

THE YAO YUAN SZE FOUNDATION

STATEMENT PERIOD  
May 31 - June 30, 2014

## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
962-38717  
LAST STATEMENT

### Equities & Options (Continued)

| DESCRIPTION                            | ACCT TYPE | ACQUISITION DATE | QUANTITY    | PRICE | MARKET VALUE | UNIT COST | COST    | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|----------------------------------------|-----------|------------------|-------------|-------|--------------|-----------|---------|----------------------|-------------------------|---------------------|
| <b>KRAFT FOODS GROUP INC</b>           |           |                  |             |       |              |           |         |                      |                         |                     |
|                                        |           | 11/22/13         | 4,5514      |       | 273          | 52.51     | 239     | 34 ST                |                         |                     |
|                                        |           | 11/22/13         | 4,4703      |       | 268          | 52.51     | 235     | 33 ST                |                         |                     |
|                                        |           | 11/22/13         | 4,832       |       | 290          | 52.51     | 254     | 36 ST                |                         |                     |
|                                        |           | 11/22/13         | 230,6666    |       | 13,828       | 52.51     | 12,112  | 1,716 ST             |                         |                     |
|                                        |           | 11/22/13         | 5,2247      |       | 313          | 52.51     | 274     | 39 ST                |                         |                     |
|                                        |           | 11/22/13         | 230,6667    |       | 13,828       | 52.51     | 12,112  | 1,716 ST             |                         |                     |
|                                        |           | 04/25/14         | 4,56891     |       | 274          | 56.88     | 260     | 14 ST                |                         |                     |
| <b>MARATHON OIL CORP</b>               |           |                  |             |       |              |           |         |                      |                         |                     |
| DIVIDEND REINVESTED                    | CASH      | 11/22/13         | 2,280,76733 | 39.92 | 91,048       | 37.59     | 85,736  | 5,312                | 1,733                   | 1.90                |
| SYMBOL: MRO                            |           | 03/10/14         | 2,268,148   |       | 90,544       | 37.61     | 85,305  | 5,239 ST             |                         |                     |
|                                        |           |                  | 12,61933    |       | 504          | 34.15     | 431     | 73 ST                |                         |                     |
| <b>MARATHON PETE CORP</b>              |           |                  |             |       |              |           |         |                      |                         |                     |
| COM                                    | CASH      | 11/22/13         | 1,205,55117 | 78.07 | 94,117       | 80.32     | 96,836  | -2,719               | 2,025                   | 2.15                |
| DIVIDEND REINVESTED                    |           | 12/10/13         | 1,194,14607 |       | 93,227       | 80.25     | 95,830  | -2,604 ST            |                         |                     |
| SYMBOL: MPC                            |           | 03/10/14         | 5,80533     |       | 453          | 86.39     | 502     | -48 ST               |                         |                     |
|                                        |           |                  | 5,59977     |       | 437          | 90.00     | 504     | -67 ST               |                         |                     |
| <b>MICROSOFT CORP</b>                  |           |                  |             |       |              |           |         |                      |                         |                     |
| DIVIDEND REINVESTED                    | CASH      | 11/22/13         | 3,000       | 41.70 | 125,100      | 37.51     | 112,515 | 12,585 ST            | 3,360                   | 2.69                |
| SYMBOL: MSFT                           |           |                  |             |       |              |           |         |                      |                         |                     |
| <b>PHILIP MORRIS INTERNATIONAL INC</b> |           |                  |             |       |              |           |         |                      |                         |                     |
| INC                                    | CASH      | 11/22/13         | 4,044,84097 | 84.31 | 341,021      | 86.75     | 350,900 | -9,879               | 15,209                  | 4.46                |
| DIVIDEND REINVESTED                    |           | 11/22/13         | 1,000       |       | 84,310       | 86.79     | 86,785  | -2,475 ST            |                         |                     |
| SYMBOL: PM                             |           | 11/22/13         | 964         |       | 81,275       | 86.79     | 83,661  | -2,386 ST            |                         |                     |
|                                        |           | 11/22/13         | 1,000       |       | 84,310       | 86.79     | 86,785  | -2,475 ST            |                         |                     |
|                                        |           | 11/22/13         | 1,036       |       | 87,345       | 86.79     | 89,909  | -2,564 ST            |                         |                     |
|                                        |           | 04/11/14         | 44,84097    |       | 3,781        | 83.85     | 3,760   | 21 ST                |                         |                     |
| <b>PFIZER INC</b>                      |           |                  |             |       |              |           |         |                      |                         |                     |
| DIVIDEND REINVESTED                    | CASH      | 11/22/13         | 4,034,94584 | 29.68 | 119,757      | 31.96     | 128,960 | -9,203               | 4,196                   | 3.50                |
| SYMBOL: PFE                            |           | 11/22/13         | 2,000       |       | 59,360       | 31.98     | 63,960  | -4,600 ST            |                         |                     |
|                                        |           | 11/22/13         | 1,576       |       | 46,776       | 31.98     | 50,400  | -3,625 ST            |                         |                     |
|                                        |           | 11/22/13         | 424         |       | 12,584       | 31.98     | 13,560  | -975 ST              |                         |                     |
|                                        |           | 06/03/14         | 34,94584    |       | 1,037        | 29.76     | 1,040   | -3 ST                |                         |                     |



**CLEARED THROUGH ITS  
WHOLLY OWNED SUBSIDIARY**

**J P Morgan Clearing Corp.**  
Three Chase Metrotech Center  
Brooklyn, New York 11245-0001

**THE YAO YUAN SZE FOUNDATION**

7 of 20

**STATEMENT PERIOD**  
**May 31 - June 30, 2014**

ACCOUNT NUMBER  
962-38717  
LAST STATEMENT

## Your Portfolio Holdings (continued)

## Equities &amp; Options (Continued)

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STATEMENT PERIOD  
May 31 - June 30, 2014

# Your Portfolio Holdings (continued)

## MUTUAL FUNDS (Continued)

ACCOUNT NUMBER  
962-38717  
LAST STATEMENT

| DESCRIPTION                                              | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY  | PRICE | MARKET<br>VALUE | UNIT COST | COST   | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|----------------------------------------------------------|--------------|---------------------|-----------|-------|-----------------|-----------|--------|-------------------------|----------------------------|------------------------|
| T ROWE PRICE TAX FREE INCOME<br>FUND INC<br>SYMBOL: PRFX | CASH         |                     | 9,555.816 | 10.28 | 98,234          | 9.85A     | 94,125 | 4,109                   | 3,784                      | 3.85                   |

|                    |  |  |  |  |           |  |           |          |          |  |
|--------------------|--|--|--|--|-----------|--|-----------|----------|----------|--|
| TOTAL MUTUAL FUNDS |  |  |  |  | \$423,247 |  | \$402,252 | \$20,995 | \$17,867 |  |
|--------------------|--|--|--|--|-----------|--|-----------|----------|----------|--|

|                                                 |             |
|-------------------------------------------------|-------------|
| YOUR PORTFOLIO HOLDINGS ESTIMATED ANNUAL INCOME | \$144,182   |
| YOUR PRICED PORTFOLIO HOLDINGS                  | \$4,807,936 |

## Transaction Detail



J.P. Morgan Securities LLC  
Member FINRA, NYSE, and SIPC  
400 West Van Buren Street, Floor 11  
Chicago, IL 60606-3834  
(800) 899-4957

CLEARED THROUGH ITS  
WHOLLY OWNED SUBSIDIARY  
J.P. Morgan Clearing Corp  
Three Chase Metrotech Center  
Brooklyn, New York 11245-0001

YAO YUAN SZE FOUNDATION

STATEMENT PERIOD  
May 31 - June 30, 2014

Your Portfolio Holdings

The total cost basis for each security position and the unrealized gain/loss are provided solely for your convenience and may not be used for tax purposes or otherwise relied upon. If you have questions related to tax consequences, please consult your tax advisor. Unrealized gain/loss total reflects only those positions for which a cost basis is available or has been provided to J.P. Morgan Clearing Corp. ("JPMCC"). Unless the tax basis provided relates to a position purchased on the books of JPMCC, JPMCC has not and cannot validate the basis provided. Information on this statement related to cost and gain/loss calculations does not include adjustments for wash sales that may have occurred on the last business day of this statement period. These wash sale adjustments, if any, will be reflected on your next statement

ACCOUNT NUMBER  
840-25929  
LAST STATEMENT  
May 30, 2014

CASH & MONEY MARKET FUNDS

| DESCRIPTION                                                                             | TYPE | QUANTITY  | PRICE | MARKET<br>VALUE | COST     | UNREALIZED<br>GAIN/LOSS |
|-----------------------------------------------------------------------------------------|------|-----------|-------|-----------------|----------|-------------------------|
| JPMORGAN TR II<br>LIQUID ASSETS MMKT INSTL<br>SECURITY SYMBOL IS LJI XX<br>SYMBOL QWERQ | CASH | 21,070.54 | 1.00  | 21,071          | 21,071   |                         |
| TOTAL CASH & MONEY MARKET FUNDS                                                         |      |           |       | \$21,071        | \$21,071 | \$0                     |

EQUITIES

Equities & Options

| DESCRIPTION                                | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY | PRICE  | MARKET<br>VALUE | UNIT COST | COST  | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|--------------------------------------------|--------------|---------------------|----------|--------|-----------------|-----------|-------|-------------------------|----------------------------|------------------------|
| ALEXION PHARMACEUTICALS INC<br>SYMBOL ALXN | CASH         | 08/15/13            | 8        | 156.25 | 1,250           | 122.38    | 979   | 271                     |                            |                        |
|                                            |              |                     | 4        |        | 625             | 106.39    | 426   | 199                     | ST                         |                        |
|                                            |              | 09/12/13            | 2        |        | 313             | 113.99    | 228   | 85                      | ST                         |                        |
|                                            |              | 06/16/14            | 2        |        | 313             | 162.74    | 325   | -13                     | ST                         |                        |
| AXA<br>UNSPONSORED ADR<br>SYMBOL AXAHY     | CASH         | 06/16/14            | 70       | 23.98  | 1,679           | 24.35     | 1,704 | -25                     | ST                         | 65 3.87                |
| AMAZON COM INC<br>SYMBOL AMZN              | CASH         | 09/24/12            | 7        | 324.78 | 2,273           | 327.53    | 2,293 | -20                     | LT                         |                        |
|                                            |              | 08/14/13            | 1        |        | 325             | 255.25    | 255   | 69                      | ST                         |                        |
|                                            |              |                     | 1        |        | 325             | 292.76    | 293   | 32                      | ST                         |                        |

## Your Portfolio Holdings (continued)

### Equities & Options (Continued)

| DESCRIPTION                                         | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY | PRICE  | MARKET<br>VALUE | UNIT COST | COST  | UNREALIZED<br>GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|-----------------------------------------------------|--------------|---------------------|----------|--------|-----------------|-----------|-------|-------------------------|-------------------------|---------------------|
| AMAZON.COM INC                                      |              |                     |          |        |                 |           |       |                         |                         |                     |
|                                                     |              | 01/31/14            | 1        |        | 325             | 367.24    | 367   | -43 ST                  |                         |                     |
|                                                     |              | 01/31/14            | 2        |        | 649             | 364.74    | 729   | -80 ST                  |                         |                     |
|                                                     |              | 06/16/14            | 2        |        | 649             | 324.00    | 648   | 1 ST                    |                         |                     |
| ASTRAZENECA PLC<br>SPONSORED ADR<br>SYMBOL: AZN     | CASH         | 06/16/14            | 23       | 74.31  | 1,709           | 74.06     | 1,703 | 6 ST                    | 64                      | 3.74                |
| ALLIANCE DATA SYSTEM CORP<br>SYMBOL: ADS            | CASH         |                     | 5        | 281.25 | 1,406           | 202.44    | 1,012 | 394                     |                         |                     |
|                                                     |              | 05/14/13            | 3        |        | 844             | 177.43    | 532   | 311 LT                  |                         |                     |
|                                                     |              | 08/14/13            | 1        |        | 281             | 206.62    | 207   | 75 ST                   |                         |                     |
|                                                     |              | 06/16/14            | 1        |        | 281             | 273.28    | 273   | 8 ST                    |                         |                     |
| ACCENTURE PLC IRELAND<br>SHS CL A<br>SYMBOL: ACN    | CASH         |                     | 23       | 80.84  | 1,859           | 82.20     | 1,891 | -32                     | 43                      | 2.31                |
|                                                     |              | 01/22/14            | 8        |        | 647             | 85.45     | 684   | -37 ST                  |                         |                     |
|                                                     |              | 04/07/14            | 5        |        | 404             | 78.53     | 393   | 11 ST                   |                         |                     |
|                                                     |              | 04/23/14            | 4        |        | 323             | 79.43     | 318   | 6 ST                    |                         |                     |
|                                                     |              | 06/16/14            | 6        |        | 485             | 82.79     | 497   | -12 ST                  |                         |                     |
| ACE LIMITED<br>SYMBOL: ACE                          | CASH         |                     | 32       | 103.70 | 3,318           | 83.31     | 2,666 | 652                     | 83                      | 2.50                |
|                                                     |              | 08/22/11            | 1        |        | 104             | 60.74     | 61    | 43 LT                   |                         |                     |
|                                                     |              | 01/06/12            | 7        |        | 726             | 70.20     | 491   | 234 LT                  |                         |                     |
|                                                     |              | 05/25/12            | 1        |        | 104             | 73.58     | 74    | 30 LT                   |                         |                     |
|                                                     |              | 06/04/12            | 5        |        | 518             | 69.99     | 350   | 169 LT                  |                         |                     |
|                                                     |              | 09/24/12            | 3        |        | 311             | 76.22     | 229   | 82 LT                   |                         |                     |
|                                                     |              | 08/14/13            | 7        |        | 726             | 90.46     | 633   | 93 ST                   |                         |                     |
|                                                     |              | 06/16/14            | 8        |        | 830             | 103.56    | 828   | 1 ST                    |                         |                     |
| AVAGO TECHNOLOGIES LTD<br>US LISTED<br>SYMBOL: AVGO | CASH         |                     | 68       | 72.07  | 4,901           | 46.18     | 3,140 | 1,761                   | 79                      | 1.61                |
|                                                     |              | 06/18/13            | 44       |        | 3,171           | 38.55     | 1,696 | 1,475 LT                |                         |                     |
|                                                     |              | 06/19/13            | 7        |        | 505             | 38.64     | 270   | 234 LT                  |                         |                     |
|                                                     |              | 08/14/13            | 1        |        | 72              | 37.65     | 38    | 34 ST                   |                         |                     |
|                                                     |              | 06/16/14            | 16       |        | 1,153           | 70.97     | 1,136 | 18 ST                   |                         |                     |

STATEMENT PERIOD  
May 31 - June 30, 2014

## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
840-25929

LAST STATEMENT May 30, 2014

### Equities & Options (Continued)

| DESCRIPTION                           | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE  | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|---------------------------------------|-----------|------------------|----------|--------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| ADOBE SYSTEMS INC<br>SYMBOL ADBE      | CASH      | 08/05/12         | 28       | 72.36  | 2,026        | 45.77     | 1,282 | 744                  |                         |                     |
|                                       |           |                  | 2        |        | 145          | 32.20     | 64    | 80 LT                |                         |                     |
|                                       |           | 09/24/12         | 2        |        | 145          | 33.42     | 67    | 78 LT                |                         |                     |
|                                       |           | 11/06/12         | 7        |        | 507          | 34.54     | 242   | 265 LT               |                         |                     |
|                                       |           | 05/08/13         | 5        |        | 362          | 45.26     | 226   | 135 LT               |                         |                     |
|                                       |           | 08/14/13         | 6        |        | 434          | 46.88     | 281   | 153 ST               |                         |                     |
| ALLERGAN INC<br>SYMBOL AGN            | CASH      | 06/16/14         | 6        |        | 434          | 66.84     | 401   | 33 ST                |                         |                     |
|                                       |           |                  | 6        | 169.22 | 1,015        | 116.85    | 701   | 314                  | 1                       | 0.10                |
|                                       |           | 05/23/13         | 1        |        | 169          | 97.46     | 97    | 72 LT                |                         |                     |
|                                       |           | 06/19/13         | 1        |        | 169          | 100.92    | 101   | 68 LT                |                         |                     |
|                                       |           | 08/14/13         | 2        |        | 338          | 91.38     | 183   | 156 ST               |                         |                     |
|                                       |           | 06/16/14         | 2        |        | 338          | 159.97    | 320   | 18 ST                |                         |                     |
| ANADARKO PETROLEUM CORP<br>SYMBOL APC | CASH      |                  | 29       | 109.47 | 3,175        | 85.37     | 2,476 | 699                  | 31                      | 0.98                |
|                                       |           | 09/22/11         | 1        |        | 109          | 68.64     | 69    | 41 LT                |                         |                     |
|                                       |           | 10/06/11         | 5        |        | 547          | 66.75     | 334   | 214 LT               |                         |                     |
|                                       |           | 10/27/11         | 3        |        | 328          | 82.44     | 247   | 81 LT                |                         |                     |
|                                       |           | 05/25/12         | 1        |        | 109          | 63.26     | 63    | 46 LT                |                         |                     |
|                                       |           | 09/14/12         | 2        |        | 219          | 76.00     | 152   | 67 LT                |                         |                     |
|                                       |           | 08/14/13         | 5        |        | 547          | 88.55     | 443   | 105 ST               |                         |                     |
|                                       |           | 01/15/14         | 5        |        | 547          | 81.63     | 408   | 139 ST               |                         |                     |
|                                       |           | 06/16/14         | 7        |        | 766          | 108.56    | 760   | 6 ST                 |                         |                     |
|                                       |           |                  | 102      | 92.93  | 9,479        | 75.51     | 7,702 | 1,777                | 192                     | 2.03                |
| APPLE INC<br>SYMBOL AAPL              | CASH      | 05/04/11         | 14       |        | 1,301        | 49.98     | 700   | 601 LT               |                         |                     |
|                                       |           | 08/09/11         | 7        |        | 651          | 53.22     | 373   | 278 LT               |                         |                     |
|                                       |           | 08/22/11         | 7        |        | 651          | 51.34     | 359   | 291 LT               |                         |                     |
|                                       |           | 05/25/12         | 7        |        | 651          | 79.97     | 560   | 91 LT                |                         |                     |
|                                       |           | 09/24/12         | 14       |        | 1,301        | 98.69     | 1,382 | -81 LT               |                         |                     |
|                                       |           | 06/19/13         | 7        |        | 651          | 61.14     | 428   | 223 LT               |                         |                     |
|                                       |           | 08/14/13         | 14       |        | 1,301        | 71.23     | 997   | 304 ST               |                         |                     |

## Your Portfolio Holdings (continued)

### Equities & Options (Continued)

| DESCRIPTION                                                            | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY | PRICE  | MARKET<br>VALUE | UNIT COST | COST  | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|------------------------------------------------------------------------|--------------|---------------------|----------|--------|-----------------|-----------|-------|-------------------------|----------------------------|------------------------|
| APPLE INC                                                              |              | 04/30/14            | 7        |        | 651             | 85.33     | 597   | 53 ST                   |                            |                        |
|                                                                        |              | 06/16/14            | 25       |        | 2,323           | 92.26     | 2,307 | 17 ST                   |                            |                        |
| ARCHER-DANIELS-MIDLAND CO<br>SYMBOL ADM                                | CASH         | 02/21/13            | 33       | 44.11  | 1,456           | 40.59     | 1,339 | 117                     | 32                         | 2.20                   |
|                                                                        |              | 05/22/13            | 1        |        | 44              | 32.15     | 32    | 12 LT                   |                            |                        |
|                                                                        |              | 06/19/13            | 6        |        | 265             | 34.92     | 210   | 55 LT                   |                            |                        |
|                                                                        |              | 08/14/13            | 1        |        | 44              | 34.02     | 34    | 10 LT                   |                            |                        |
|                                                                        |              | 06/16/14            | 9        |        | 397             | 38.66     | 348   | 49 ST                   |                            |                        |
|                                                                        |              | 06/19/14            | 5        |        | 221             | 44.12     | 221   | ST                      |                            |                        |
|                                                                        |              |                     | 11       |        | 485             | 45.01     | 495   | -10 ST                  |                            |                        |
| AUSTRALIA & NEW ZEALAND BKG<br>GROUP LTD-SPONSORED ADR<br>SYMBOL ANZBY | CASH         | 06/16/14            | 58       | 31.45  | 1,824           | 32.13     | 1,863 | -39                     | 90                         | 4.93                   |
|                                                                        |              | 06/19/14            | 51       |        | 1,604           | 32.11     | 1,638 | -34 ST                  |                            |                        |
|                                                                        |              |                     | 7        |        | 220             | 32.23     | 226   | -6 ST                   |                            |                        |
| BRITISH AMERICAN TOBACCO<br>PLC SPONSORED ADR<br>SYMBOL BTI            | CASH         | 06/16/14            | 9        | 119.08 | 1,072           | 119.62    | 1,077 | -5 ST                   | 43                         | 4.01                   |
| BNP PARIBAS<br>SPONSORED ADR REPSTG 1/2 SH<br>SYMBOL BNPOY             | CASH         | 06/16/14            | 74       | 34.03  | 2,518           | 35.11     | 2,598 | -80 ST                  | 53                         | 2.10                   |
| BP P LC SPONSORED ADR<br>(FRM BP AMOCO PLC)<br>SYMBOL BP               | CASH         | 06/16/14            | 39       | 52.75  | 2,057           | 51.63     | 2,014 | 43 ST                   | 91                         | 4.42                   |
| BANK OF AMERICA CORP<br>SYMBOL BAC                                     | CASH         | 02/11/11            | 314      | 15.37  | 4,826           | 12.36     | 3,881 | 945                     | 13                         | 0.27                   |
|                                                                        |              | 08/22/11            | 5        |        | 77              | 14.78     | 74    | 3 LT                    |                            |                        |
|                                                                        |              | 05/25/12            | 12       |        | 184             | 6.64      | 80    | 105 LT                  |                            |                        |
|                                                                        |              | 09/24/12            | 6        |        | 92              | 7.18      | 43    | 49 LT                   |                            |                        |
|                                                                        |              | 10/24/12            | 13       |        | 200             | 9.16      | 119   | 81 LT                   |                            |                        |
|                                                                        |              | 11/09/12            | 29       |        | 446             | 9.42      | 273   | 172 LT                  |                            |                        |
|                                                                        |              |                     | 48       |        | 738             | 9.50      | 456   | 282 LT                  |                            |                        |

## YAO YUAN SZEFOUNDATION

STATEMENT PERIOD  
May 31 - June 30, 2014

## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
840-25929

LAST STATEMENT May 30, 2014

### Equities & Options (Continued)

| DESCRIPTION              | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE  | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|--------------------------|-----------|------------------|----------|--------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| BANK OF AMERICA CORP     |           |                  |          |        |              |           |       |                      |                         |                     |
|                          |           | 04/18/13         | 22       |        | 338          | 11.31     | 249   | 89 LT                |                         |                     |
|                          |           | 04/19/13         | 22       |        | 338          | 11.54     | 254   | 84 LT                |                         |                     |
|                          |           | 06/19/13         | 11       |        | 169          | 13.25     | 146   | 23 LT                |                         |                     |
|                          |           | 08/14/13         | 58       |        | 891          | 14.65     | 850   | 42 ST                |                         |                     |
|                          |           | 09/19/13         | 10       |        | 154          | 14.73     | 147   | 6 ST                 |                         |                     |
|                          |           | 06/16/14         | 78       |        | 1,199        | 15.26     | 1,190 | 9 ST                 |                         |                     |
| BASF SE                  | CASH      | 06/16/14         | 19       | 116.50 | 2,214        | 115.94    | 2,203 | 11 ST                | 52                      | 2.35                |
| ADR                      |           |                  |          |        |              |           |       |                      |                         |                     |
| SYMBOL BASFY             |           |                  |          |        |              |           |       |                      |                         |                     |
| BG GROUP PLC ADR FINAL   | CASH      | 06/16/14         | 107      | 21.35  | 2,284        | 21.54     | 2,305 | -21 ST               | 31                      | 1.36                |
| INSTALLMENT              |           |                  |          |        |              |           |       |                      |                         |                     |
| SYMBOL BRGY              |           |                  |          |        |              |           |       |                      |                         |                     |
| BIOMEN IDEC INC          | CASH      |                  | 10       | 315.31 | 3,153        | 215.63    | 2,156 | 997                  |                         |                     |
| SYMBOL BIIB              |           | 08/16/11         | 2        |        | 631          | 90.84     | 182   | 449 LT               |                         |                     |
|                          |           | 09/24/12         | 1        |        | 315          | 153.97    | 154   | 161 LT               |                         |                     |
|                          |           | 06/19/13         | 1        |        | 315          | 208.63    | 209   | 107 LT               |                         |                     |
|                          |           | 08/14/13         | 2        |        | 631          | 214.01    | 428   | 203 ST               |                         |                     |
|                          |           | 05/09/14         | 2        |        | 631          | 284.37    | 569   | 62 ST                |                         |                     |
|                          |           | 06/16/14         | 2        |        | 631          | 307.63    | 615   | 15 ST                |                         |                     |
| BARCLAYS PLC             | CASH      | 06/16/14         | 112      | 14.61  | 1,636        | 16.08     | 1,801 | -165 ST              | 47                      | 2.87                |
| ADR                      |           |                  |          |        |              |           |       |                      |                         |                     |
| SYMBOL BCS               |           |                  |          |        |              |           |       |                      |                         |                     |
| BAYER AKTIENGESELLSCHAFT | CASH      | 06/16/14         | 21       | 141.27 | 2,967        | 139.98    | 2,940 | 27 ST                | 44                      | 1.48                |
| ADR                      |           |                  |          |        |              |           |       |                      |                         |                     |
| SYMBOL BAYRY             |           |                  |          |        |              |           |       |                      |                         |                     |
| BOSTON SCIENTIFIC CORP   | CASH      |                  | 158      | 12.77  | 2,018        | 13.34     | 2,107 | -89                  |                         |                     |
| SYMBOL BSX               |           | 04/22/14         | 62       |        | 792          | 13.76     | 853   | -61 ST               |                         |                     |
|                          |           | 06/16/14         | 96       |        | 1,226        | 13.06     | 1,254 | -28 ST               |                         |                     |

## Your Portfolio Holdings (continued)

### Equities & Options (Continued)

| DESCRIPTION                               | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY | PRICE  | MARKET<br>VALUE | UNIT COST | COST  | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|-------------------------------------------|--------------|---------------------|----------|--------|-----------------|-----------|-------|-------------------------|----------------------------|------------------------|
| BRISTOL MYERS SQUIBB CO<br>SYMBOL: BMY    | CASH         | 03/28/13            | 86       | 48.51  | 4,172           | 43.48     | 3,739 | 433                     | 124                        | 2.97                   |
|                                           |              | 04/17/13            | 18       |        | 873             | 41.06     | 739   | 134 LT                  |                            |                        |
|                                           |              | 05/08/13            | 8        |        | 388             | 40.64     | 325   | 63 LT                   |                            |                        |
|                                           |              | 05/14/13            | 10       |        | 485             | 39.92     | 399   | 86 LT                   |                            |                        |
|                                           |              | 06/19/13            | 4        |        | 194             | 41.71     | 167   | 27 LT                   |                            |                        |
|                                           |              | 08/14/13            | 2        |        | 97              | 46.89     | 94    | 3 LT                    |                            |                        |
|                                           |              | 10/08/13            | 14       |        | 679             | 43.38     | 607   | 72 ST                   |                            |                        |
|                                           |              | 06/16/14            | 10       |        | 485             | 46.79     | 468   | 17 ST                   |                            |                        |
|                                           |              |                     | 20       |        | 970             | 47.00     | 940   | 30 ST                   |                            |                        |
| CVS CAREMARK CORPORATION<br>SYMBOL: CVS   | CASH         | 05/01/13            | 28       | 75.37  | 2,110           | 67.76     | 1,897 | 213                     | 31                         | 1.47                   |
|                                           |              | 06/19/13            | 6        |        | 452             | 58.77     | 353   | 100 LT                  |                            |                        |
|                                           |              | 08/14/13            | 1        |        | 75              | 60.18     | 60    | 15 LT                   |                            |                        |
|                                           |              | 03/26/14            | 7        |        | 528             | 60.05     | 420   | 107 ST                  |                            |                        |
|                                           |              | 06/16/14            | 8        |        | 603             | 75.96     | 608   | -5 ST                   |                            |                        |
|                                           |              |                     | 6        |        | 452             | 76.06     | 456   | -4 ST                   |                            |                        |
| COSTCO WHOLESALE CORP-NEW<br>SYMBOL: COST | CASH         | 11/15/13            | 10       | 115.16 | 1,152           | 121.59    | 1,216 | -64                     | 14                         | 1.22                   |
|                                           |              | 06/16/14            | 7        |        | 806             | 124.41    | 871   | -64 ST                  |                            |                        |
|                                           |              |                     | 3        |        | 346             | 115.00    | 345   | 1 ST                    |                            |                        |
| CSX CORP<br>SYMBOL: CSX                   | CASH         | 05/30/12            | 72       | 30.81  | 2,218           | 24.53     | 1,766 | 452                     | 46                         | 2.07                   |
|                                           |              | 09/24/12            | 22       |        | 678             | 20.97     | 461   | 216 LT                  |                            |                        |
|                                           |              | 06/19/13            | 7        |        | 216             | 21.46     | 150   | 65 LT                   |                            |                        |
|                                           |              | 07/02/13            | 1        |        | 31              | 24.92     | 25    | 6 LT                    |                            |                        |
|                                           |              | 08/14/13            | 11       |        | 339             | 23.32     | 257   | 82 ST                   |                            |                        |
|                                           |              | 06/16/14            | 13       |        | 400             | 25.32     | 329   | 71 ST                   |                            |                        |
|                                           |              |                     | 18       |        | 555             | 30.21     | 544   | 11 ST                   |                            |                        |
| CHENIERE ENERGY INC<br>COM<br>SYMBOL: LNG | CASH         | 02/14/13            | 17       | 71.70  | 1,219           | 34.93     | 594   | 625                     |                            |                        |
|                                           |              | 06/19/13            | 6        |        | 430             | 21.83     | 131   | 299 LT                  |                            |                        |
|                                           |              |                     | 1        |        | 72              | 27.81     | 28    | 44 LT                   |                            |                        |

STATEMENT PERIOD  
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## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
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### Equities & Options (Continued)

| DESCRIPTION                | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE | MARKET VALUE | UNIT COST | CDST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|----------------------------|-----------|------------------|----------|-------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| CHENIERE ENERGY INC        |           | 08/14/13         | 6        |       | 430          | 27.59     | 166   | 265 ST               |                         |                     |
|                            |           | 06/15/14         | 4        |       | 287          | 67.38     | 270   | 17 ST                |                         |                     |
| COMCAST CORP               | CASH      | 09/29/11         | 91       | 53.68 | 4,885        | 38.86     | 3,536 | 1,349                | 82                      | 1.68                |
| CL A                       |           | 05/25/12         | 7        |       | 376          | 21.92     | 153   | 222 LT               |                         |                     |
| SYMBOL CMCSA               |           | 06/04/12         | 12       |       | 644          | 28.95     | 347   | 297 LT               |                         |                     |
|                            |           | 09/24/12         | 13       |       | 698          | 28.89     | 376   | 322 LT               |                         |                     |
|                            |           | 02/07/13         | 8        |       | 429          | 36.53     | 292   | 137 LT               |                         |                     |
|                            |           | 06/19/13         | 10       |       | 537          | 38.56     | 386   | 151 LT               |                         |                     |
|                            |           | 08/14/13         | 1        |       | 54           | 40.54     | 41    | 13 LT                |                         |                     |
|                            |           | 06/16/14         | 18       |       | 966          | 43.98     | 792   | 175 ST               |                         |                     |
|                            |           |                  | 22       |       | 1,181        | 52.26     | 1,150 | 31 ST                |                         |                     |
| CITIGROUP INC              | CASH      | 08/22/11         | 85       | 47.10 | 4,004        | 40.79     | 3,467 | 537                  | 3                       | 0.07                |
| COM                        |           | 10/14/11         | 6        |       | 283          | 27.03     | 162   | 120 LT               |                         |                     |
| SYMBOL C                   |           | 01/24/12         | 8        |       | 377          | 27.74     | 222   | 155 LT               |                         |                     |
|                            |           | 09/24/12         | 11       |       | 518          | 29.50     | 325   | 194 LT               |                         |                     |
|                            |           | 10/24/12         | 7        |       | 330          | 33.67     | 236   | 94 LT                |                         |                     |
|                            |           | 04/16/13         | 8        |       | 377          | 37.37     | 299   | 78 LT                |                         |                     |
|                            |           | 06/19/13         | 3        |       | 141          | 46.30     | 139   | 2 LT                 |                         |                     |
|                            |           | 08/14/13         | 3        |       | 141          | 49.77     | 149   | -8 LT                |                         |                     |
|                            |           | 09/19/13         | 16       |       | 754          | 51.96     | 831   | -78 ST               |                         |                     |
|                            |           | 06/16/14         | 2        |       | 94           | 52.39     | 105   | -11 ST               |                         |                     |
|                            |           |                  | 21       |       | 989          | 47.59     | 999   | -10 ST               |                         |                     |
| COMMERZBANK JUNGE SHS      | CASH      | 06/16/14         | 38       | 15.76 | 599          | 16.89     | 642   | -43 ST               |                         |                     |
| AMERICAN DEPOSITORY SHARES |           |                  |          |       |              |           |       |                      |                         |                     |
| SYMBOL CRZBY               |           |                  |          |       |              |           |       |                      |                         |                     |
| CAPITAL ONE FINANCIAL CORP | CASH      | 03/08/13         | 27       | 82.60 | 2,230        | 63.23     | 1,707 | 523                  | 32                      | 1.43                |
| SYMBOL COF                 |           | 03/14/13         | 8        |       | 661          | 54.16     | 433   | 227 LT               |                         |                     |
|                            |           | 06/19/13         | 7        |       | 578          | 54.49     | 381   | 197 LT               |                         |                     |
|                            |           |                  | 1        |       | 83           | 61.94     | 62    | 21 LT                |                         |                     |

## Your Portfolio Holdings (continued)

### Equities & Options (Continued)

| DESCRIPTION                   | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|-------------------------------|-----------|------------------|----------|-------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| CAPITAL ONE FINANCIAL CORP    |           | 08/14/13         | 5        |       | 413          | 68.50     | 342   | 70 ST                |                         |                     |
|                               |           | 06/16/14         | 6        |       | 496          | 81.35     | 488   | 7 ST                 |                         |                     |
| CELGENE CORP                  | CASH      | 08/22/11         | 15       | 85.88 | 1,288        | 116.85    | 1,753 | -465                 |                         |                     |
| SYMBOL: CELG                  |           |                  | 2        |       | 172          | 55.48     | 111   | 61 LT                |                         |                     |
|                               |           | 05/25/12         | 1        |       | 86           | 69.30     | 69    | 17 LT                |                         |                     |
|                               |           | 09/24/12         | 3        |       | 258          | 76.91     | 231   | 27 LT                |                         |                     |
|                               |           | 08/14/13         | 4        |       | 343          | 138.77    | 555   | -212 ST              |                         |                     |
|                               |           | 05/30/14         | 2        |       | 172          | 152.69    | 305   | -134 ST              |                         |                     |
|                               |           | 06/16/14         | 3        |       | 258          | 160.43    | 481   | -224 ST              |                         |                     |
| CERNER CORP                   | CASH      | 01/16/13         | 24       | 51.58 | 1,238        | 48.46     | 1,163 | 75                   |                         |                     |
| SYMBOL: CERN                  |           |                  | 7        |       | 361          | 39.47     | 276   | 85 LT                |                         |                     |
|                               |           | 06/19/13         | 2        |       | 103          | 49.17     | 98    | 5 LT                 |                         |                     |
|                               |           | 08/14/13         | 5        |       | 258          | 49.01     | 245   | 13 ST                |                         |                     |
|                               |           | 10/30/13         | 4        |       | 206          | 56.18     | 225   | -18 ST               |                         |                     |
|                               |           | 06/16/14         | 6        |       | 310          | 53.10     | 319   | -9 ST                |                         |                     |
| CISCO SYSTEMS INC             | CASH      | 11/22/13         | 117      | 24.85 | 2,907        | 22.26     | 2,605 | 303                  | 89                      | 3.06                |
| SYMBOL: CSCO                  |           |                  | 84       |       | 2,087        | 21.41     | 1,798 | 289 ST               |                         |                     |
|                               |           | 04/23/14         | 4        |       | 99           | 23.45     | 94    | 6 ST                 |                         |                     |
|                               |           | 06/16/14         | 29       |       | 721          | 24.58     | 713   | 8 ST                 |                         |                     |
| COLGATE PALMOLIVE COMPANY     | CASH      | 02/13/14         | 30       | 68.18 | 2,045        | 63.53     | 1,906 | 139                  | 43                      | 2.10                |
| SYMBOL: CL                    |           |                  | 23       |       | 1,568        | 62.22     | 1,431 | 137 ST               |                         |                     |
|                               |           | 06/16/14         | 7        |       | 477          | 67.85     | 475   | 2 ST                 |                         |                     |
| DEUTSCHE TELEKOM AG           | CASH      | 06/16/14         | 95       | 17.52 | 1,664        | 17.03     | 1,618 | 46 ST                | 61                      | 3.67                |
| SPONSORED ADR                 |           |                  |          |       |              |           |       |                      |                         |                     |
| SYMBOL: DTEGY                 |           |                  |          |       |              |           |       |                      |                         |                     |
| DOMINION RESOURCES INC VA NEW | CASH      | 03/24/14         | 19       | 71.52 | 1,359        | 69.61     | 1,323 | 36                   | 46                      | 3.38                |
| SYMBOL: D                     |           |                  | 15       |       | 1,073        | 69.74     | 1,046 | 27 ST                |                         |                     |

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STATEMENT PERIOD  
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## Your Portfolio Holdings (continued)

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### Equities & Options (Continued)

| DESCRIPTION                                               | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE  | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|-----------------------------------------------------------|-----------|------------------|----------|--------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| DOMINION RESOURCES INC VA NEW                             |           | 06/16/14         | 4        |        | 286          | 69.12     | 276   | 10 ST                |                         |                     |
| DISH NETWORK CORP<br>CL A                                 | CASH      | 12/27/12         | 33       | 65.08  | 2,148        | 43.47     | 1,435 | 713                  |                         |                     |
| SYMBOL DISH                                               |           | 02/07/13         | 5        |        | 325          | 35.40     | 177   | 148 LT               |                         |                     |
|                                                           |           | 05/20/13         | 8        |        | 521          | 37.02     | 296   | 225 LT               |                         |                     |
|                                                           |           | 06/19/13         | 5        |        | 325          | 38.61     | 193   | 132 LT               |                         |                     |
|                                                           |           | 08/14/13         | 1        |        | 65           | 40.11     | 40    | 25 LT                |                         |                     |
|                                                           |           | 06/16/14         | 7        |        | 456          | 44.67     | 313   | 143 ST               |                         |                     |
|                                                           |           |                  | 7        |        | 456          | 59.37     | 416   | 40 ST                |                         |                     |
| WALT DISNEY CO<br>SYMBOL DIS                              | CASH      | 09/17/13         | 30       | 85.74  | 2,572        | 70.53     | 2,116 | 456                  | 26                      | 1.01                |
|                                                           |           | 10/02/13         | 10       |        | 357          | 66.98     | 670   | 188 ST               |                         |                     |
|                                                           |           | 10/22/13         | 8        |        | 586          | 65.09     | 521   | 165 ST               |                         |                     |
|                                                           |           | 06/16/14         | 5        |        | 429          | 68.92     | 345   | 84 ST                |                         |                     |
|                                                           |           |                  | 7        |        | 600          | 82.96     | 581   | 19 ST                |                         |                     |
| DOW CHEMICAL CO.<br>SYMBOL DOW                            | CASH      | 03/14/13         | 52       | 51.46  | 2,676        | 40.42     | 2,102 | 574                  | 77                      | 2.88                |
|                                                           |           | 04/22/13         | 6        |        | 309          | 33.63     | 202   | 107 LT               |                         |                     |
|                                                           |           | 06/19/13         | 8        |        | 412          | 30.98     | 248   | 164 LT               |                         |                     |
|                                                           |           | 08/14/13         | 2        |        | 103          | 34.53     | 69    | 34 LT                |                         |                     |
|                                                           |           | 10/22/13         | 14       |        | 720          | 37.84     | 530   | 191 ST               |                         |                     |
|                                                           |           | 06/16/14         | 9        |        | 463          | 41.55     | 374   | 89 ST                |                         |                     |
|                                                           |           |                  | 13       |        | 669          | 52.29     | 680   | -11 ST               |                         |                     |
| ENI S P A SPONSORED ADR<br>REPRESENTING S ORD<br>SYMBOL E | CASH      | 06/16/14         | 30       | 54.90  | 1,647        | 53.20     | 1,596 | 51 ST                | 72                      | 4.37                |
| EOG RES INC<br>SYMBOL EOG                                 | CASH      | 09/11/12         | 15       | 116.86 | 1,753        | 81.27     | 1,219 | 534                  | 8                       | 0.46                |
|                                                           |           | 08/14/13         | 4        |        | 467          | 56.21     | 225   | 243 LT               |                         |                     |
|                                                           |           | 01/16/14         | 4        |        | 467          | 78.80     | 315   | 152 ST               |                         |                     |
|                                                           |           | 06/16/14         | 4        |        | 467          | 84.77     | 339   | 128 ST               |                         |                     |
|                                                           |           |                  | 3        |        | 351          | 113.33    | 340   | 11 ST                |                         |                     |

## Your Portfolio Holdings (continued)

### Equities & Options (Continued)

| DESCRIPTION                                                 | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE  | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|-------------------------------------------------------------|-----------|------------------|----------|--------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| EBAY INC<br>SYMBOL EBAY                                     | CASH      | 07/22/13         | 52       | 50.06  | 2,603        | 51.51     | 2,678 | -75                  |                         |                     |
|                                                             |           | 08/14/13         | 17       |        | 851          | 52.20     | 887   | -36 ST               |                         |                     |
|                                                             |           | 10/18/13         | 7        |        | 350          | 54.48     | 381   | -31 ST               |                         |                     |
|                                                             |           | 12/13/13         | 8        |        | 400          | 50.94     | 408   | -7 ST                |                         |                     |
|                                                             |           | 06/16/14         | 8        |        | 400          | 51.77     | 414   | -14 ST               |                         |                     |
|                                                             |           |                  | 12       |        | 601          | 49.00     | 588   | 13 ST                |                         |                     |
| EXXON MOBIL CORP<br>SYMBOL XOM                              | CASH      | 01/24/12         | 56       | 100.68 | 5,638        | 92.87     | 5,201 | 437                  | 155                     | 2.75                |
|                                                             |           | 09/24/12         | 13       |        | 1,309        | 87.00     | 1,131 | 178 LT               |                         |                     |
|                                                             |           | 08/14/13         | 4        |        | 403          | 92.16     | 369   | 34 LT                |                         |                     |
|                                                             |           | 11/26/13         | 7        |        | 705          | 89.17     | 624   | 81 ST                |                         |                     |
|                                                             |           | 02/07/14         | 4        |        | 403          | 94.61     | 378   | 24 ST                |                         |                     |
|                                                             |           | 02/10/14         | 6        |        | 604          | 90.12     | 541   | 63 ST                |                         |                     |
|                                                             |           | 06/16/14         | 8        |        | 805          | 89.67     | 717   | 88 ST                |                         |                     |
|                                                             |           |                  | 14       |        | 1,410        | 102.89    | 1,440 | -31 ST               |                         |                     |
| ELECTRICITE DE FRANCE SA<br>UNSPONSORED ADR<br>SYMBOL: ECFY | CASH      | 06/16/14         | 91       | 6.26   | 569          | 7.21      | 656   | -87 ST               | 22                      | 3.87                |
| ENEL SOCIETA PER AZIONI<br>UNSPONSORED ADR<br>SYMBOL: ENLAY | CASH      | 06/16/14         | 311      | 5.78   | 1,798        | 5.89      | 1,831 | -33 ST               | 35                      | 1.95                |
| EATON CORPORATION PLC<br>SYMBOL ETN                         | CASH      | 01/27/14         | 31       | 77.18  | 2,393        | 72.80     | 2,257 | 136                  | 61                      | 2.55                |
|                                                             |           | 02/05/14         | 11       |        | 849          | 72.97     | 803   | 46 ST                |                         |                     |
|                                                             |           | 04/01/14         | 8        |        | 618          | 68.56     | 548   | 69 ST                |                         |                     |
|                                                             |           | 06/16/14         | 5        |        | 386          | 75.32     | 377   | 9 ST                 |                         |                     |
|                                                             |           |                  | 7        |        | 540          | 75.58     | 529   | 11 ST                |                         |                     |
| EMERSON ELECTRIC CO<br>SYMBOL EMR                           | CASH      | 09/24/12         | 28       | 66.36  | 1,858        | 60.56     | 1,696 | 162                  | 48                      | 2.58                |
|                                                             |           | 01/16/13         | 4        |        | 265          | 50.14     | 201   | 65 LT                |                         |                     |
|                                                             |           |                  | 5        |        | 332          | 54.51     | 273   | 59 LT                |                         |                     |

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### Equities & Options (Continued)

| DESCRIPTION                        | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE  | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|------------------------------------|-----------|------------------|----------|--------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| EMERSON ELECTRIC CO                |           | 06/19/13         | 1        |        | 66           | 57.17     | 57    | 9 LT                 |                         |                     |
|                                    |           | 08/14/13         | 6        |        | 398          | 62.13     | 373   | 25 ST                |                         |                     |
|                                    |           | 09/20/13         | 5        |        | 332          | 65.68     | 328   | 3 ST                 |                         |                     |
|                                    |           | 06/16/14         | 7        |        | 465          | 66.33     | 464   | ST                   |                         |                     |
| FLOWERVE CORP                      | CASH      | 06/19/14         | 17       | 74.35  | 1,264        | 77.52     | 1,318 | -54 ST               | 11                      | 0.87                |
| SYMBOL FLS                         |           |                  |          |        |              |           |       |                      |                         |                     |
| FLUOR CORP NEW                     | CASH      |                  | 35       | 76.90  | 2,692        | 69.77     | 2,442 | 250                  | 29                      | 1.08                |
| SYMBOL FLR                         |           | 12/27/12         | 1        |        | 77           | 57.74     | 58    | 19 LT                |                         |                     |
|                                    |           | 07/03/13         | 4        |        | 308          | 58.54     | 234   | 74 ST                |                         |                     |
|                                    |           | 08/14/13         | 8        |        | 615          | 66.05     | 528   | 87 ST                |                         |                     |
|                                    |           | 08/16/13         | 5        |        | 385          | 66.16     | 331   | 54 ST                |                         |                     |
|                                    |           | 09/20/13         | 4        |        | 308          | 72.75     | 291   | 17 ST                |                         |                     |
|                                    |           | 06/16/14         | 13       |        | 1,000        | 76.92     | 1,000 | ST                   |                         |                     |
| FREEPORT MCMORAN COPPER & GOLD INC | CASH      |                  | 45       | 36.50  | 1,643        | 34.23     | 1,540 | 103                  | 56                      | 3.41                |
| SYMBOL FCX                         |           | 09/23/13         | 16       |        | 584          | 33.90     | 542   | 42 ST                |                         |                     |
|                                    |           | 10/29/13         | 8        |        | 292          | 37.67     | 301   | -9 ST                |                         |                     |
|                                    |           | 03/26/14         | 9        |        | 329          | 32.05     | 288   | 40 ST                |                         |                     |
|                                    |           | 06/16/14         | 12       |        | 438          | 34.00     | 408   | 30 ST                |                         |                     |
| GOOGLE INC                         | CASH      |                  | 8        | 575.28 | 4,602        | 458.51    | 3,668 | 934                  |                         |                     |
| CLC                                |           | 10/01/12         | 1        |        | 575          | 379.39    | 379   | 196 LT               |                         |                     |
| SYMBOL GOOG                        |           | 02/08/13         | 1        |        | 575          | 391.84    | 392   | 183 LT               |                         |                     |
|                                    |           | 04/16/13         | 1        |        | 575          | 393.79    | 394   | 181 LT               |                         |                     |
|                                    |           | 05/22/13         | 1        |        | 575          | 451.46    | 451   | 124 LT               |                         |                     |
|                                    |           | 08/14/13         | 1        |        | 575          | 435.56    | 436   | 140 ST               |                         |                     |
|                                    |           | 04/21/14         | 1        |        | 575          | 530.38    | 530   | 45 ST                |                         |                     |
|                                    |           | 06/16/14         | 2        |        | 1,151        | 542.81    | 1,086 | 65 ST                |                         |                     |

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| DESCRIPTION                   | ACCT TYPE   | ACQUISITION DATE | QUANTITY  | PRICE         | MARKET VALUE | UNIT COST     | COST         | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|-------------------------------|-------------|------------------|-----------|---------------|--------------|---------------|--------------|----------------------|-------------------------|---------------------|
| <b>GOOGLE INC</b>             | <b>CASH</b> |                  | <b>6</b>  | <b>584.67</b> | <b>3,508</b> | <b>434.97</b> | <b>2,610</b> | <b>898</b>           |                         |                     |
| CL A                          |             | 10/01/12         | 1         |               | 585          | 380.61        | 381          | 204 LT               |                         |                     |
| SYMBOL GOOGL                  |             | 02/08/13         | 1         |               | 585          | 393.09        | 393          | 192 LT               |                         |                     |
|                               |             | 04/16/13         | 1         |               | 585          | 395.05        | 395          | 190 LT               |                         |                     |
|                               |             | 05/22/13         | 1         |               | 585          | 452.91        | 453          | 132 LT               |                         |                     |
|                               |             | 08/14/13         | 1         |               | 585          | 436.95        | 437          | 148 ST               |                         |                     |
|                               |             | 06/16/14         | 1         |               | 585          | 551.20        | 551          | 33 ST                |                         |                     |
| <b>GDF SUEZ</b>               | <b>CASH</b> | <b>06/16/14</b>  | <b>84</b> | <b>27.68</b>  | <b>2,325</b> | <b>28.11</b>  | <b>2,361</b> | <b>-36 ST</b>        | <b>117</b>              | <b>5.03</b>         |
| SPONSORED ADR                 |             |                  |           |               |              |               |              |                      |                         |                     |
| SYMBOL GDFZY                  |             |                  |           |               |              |               |              |                      |                         |                     |
| <b>GENERAL MOTORS COMPANY</b> | <b>CASH</b> |                  | <b>90</b> | <b>36.30</b>  | <b>3,267</b> | <b>30.22</b>  | <b>2,720</b> | <b>547</b>           | <b>108</b>              | <b>3.31</b>         |
| SYMBOL GM                     |             | 08/22/11         | 4         |               | 145          | 21.68         | 87           | 58 LT                |                         |                     |
|                               |             | 05/25/12         | 1         |               | 36           | 22.34         | 22           | 14 LT                |                         |                     |
|                               |             | 09/21/12         | 22        |               | 799          | 24.66         | 543          | 256 LT               |                         |                     |
|                               |             | 12/07/12         | 13        |               | 472          | 24.99         | 325          | 147 LT               |                         |                     |
|                               |             | 12/27/12         | 6         |               | 218          | 27.65         | 166          | 52 LT                |                         |                     |
|                               |             | 06/19/13         | 2         |               | 73           | 34.02         | 68           | 5 LT                 |                         |                     |
|                               |             | 08/14/13         | 17        |               | 617          | 35.55         | 604          | 13 ST                |                         |                     |
|                               |             | 09/19/13         | 4         |               | 145          | 37.35         | 149          | -4 ST                |                         |                     |
|                               |             | 06/16/14         | 21        |               | 762          | 36.00         | 756          | 6 ST                 |                         |                     |
| <b>GENERAL MILLS INC</b>      | <b>CASH</b> |                  | <b>32</b> | <b>52.54</b>  | <b>1,681</b> | <b>45.82</b>  | <b>1,466</b> | <b>215</b>           | <b>52</b>               | <b>3.09</b>         |
| SYMBOL GIS                    |             | 04/13/12         | 11        |               | 578          | 38.84         | 427          | 151 LT               |                         |                     |
|                               |             | 05/25/12         | 1         |               | 53           | 39.00         | 39           | 14 LT                |                         |                     |
|                               |             | 09/24/12         | 5         |               | 263          | 40.31         | 202          | 61 LT                |                         |                     |
|                               |             | 06/19/13         | 1         |               | 53           | 50.00         | 50           | 3 LT                 |                         |                     |
|                               |             | 08/14/13         | 6         |               | 315          | 52.49         | 315          | ST                   |                         |                     |
|                               |             | 06/16/14         | 8         |               | 420          | 54.21         | 434          | -13 ST               |                         |                     |

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### Equities & Options (Continued)

| DESCRIPTION                                            | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE  | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|--------------------------------------------------------|-----------|------------------|----------|--------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| ING GROEP NV-SPONSORED ADR<br>SYMBOL ING               | CASH      | 06/16/14         | 120      | 14.02  | 1,682        | 14.16     | 1,699 | -17 ST               |                         |                     |
| HARTFORD FINANCIAL SERVICES<br>GROUP INC<br>SYMBOL HIG | CASH      | 05/08/13         | 43       | 35.81  | 1,540        | 32.05     | 1,378 | 162 LT               | 26                      | 1.69                |
|                                                        |           | 06/19/13         | 13       |        | 466          | 29.50     | 384   | 82 LT                |                         |                     |
|                                                        |           | 08/14/13         | 2        |        | 72           | 29.72     | 59    | 12 LT                |                         |                     |
|                                                        |           | 09/18/13         | 5        |        | 179          | 31.36     | 157   | 22 ST                |                         |                     |
|                                                        |           | 06/16/14         | 12       |        | 430          | 32.27     | 387   | 43 ST                |                         |                     |
|                                                        |           |                  | 11       |        | 394          | 35.55     | 391   | 3 ST                 |                         |                     |
| HSBC HOLDINGS PLC<br>SPONSORED ADR<br>SYMBOL HSBC      | CASH      | 06/16/14         | 70       | 50.80  | 3,556        | 52.05     | 3,644 | -88 ST               | 172                     | 4.84                |
| HONEYWELL INTL INC<br>SYMBOL HON                       | CASH      | 02/01/11         | 57       | 92.95  | 5,298        | 76.23     | 4,345 | 953                  | 103                     | 1.94                |
|                                                        |           | 08/22/11         | 6        |        | 558          | 56.68     | 340   | 218 LT               |                         |                     |
|                                                        |           | 05/25/12         | 1        |        | 93           | 42.29     | 42    | 51 LT                |                         |                     |
|                                                        |           | 06/18/12         | 1        |        | 93           | 56.95     | 57    | 36 LT                |                         |                     |
|                                                        |           | 09/24/12         | 8        |        | 744          | 55.78     | 446   | 297 LT               |                         |                     |
|                                                        |           | 04/17/13         | 4        |        | 372          | 60.26     | 241   | 131 LT               |                         |                     |
|                                                        |           | 08/14/13         | 4        |        | 372          | 71.88     | 288   | 84 LT                |                         |                     |
|                                                        |           | 10/25/13         | 10       |        | 929          | 83.52     | 835   | 94 ST                |                         |                     |
|                                                        |           | 06/16/14         | 9        |        | 837          | 87.07     | 784   | 53 ST                |                         |                     |
|                                                        |           |                  | 14       |        | 1,301        | 93.75     | 1,313 | -11 ST               |                         |                     |
| ISHARES RUSSELL 2000 ETF<br>SYMBOL IWM                 | CASH      | 02/06/13         | 43       | 118.81 | 5,109        | 97.85A    | 4,208 | 902                  | 62                      | 1.21                |
|                                                        |           | 06/16/14         | 30       |        | 3,564        | 97.85A    | 2,935 | 629 LT               |                         |                     |
|                                                        |           |                  | 13       |        | 1,545        | 97.85A    | 1,272 | 273 ST               |                         |                     |
| ISHARES RUSSELL MID CAP ETF<br>SYMBOL IWR              | CASH      | 02/10/14         | 31       | 162.56 | 5,039        | 151.10A   | 4,684 | 355                  | 65                      | 1.29                |
|                                                        |           | 06/16/14         | 23       |        | 3,739        | 151.10A   | 3,475 | 263 ST               |                         |                     |
|                                                        |           |                  | 8        |        | 1,300        | 151.10A   | 1,209 | 92 ST                |                         |                     |

## Your Portfolio Holdings (continued)

### Equities & Options (Continued)

| DESCRIPTION                                                       | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY | PRICE  | MARKET<br>VALUE | UNIT COST | COST  | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|-------------------------------------------------------------------|--------------|---------------------|----------|--------|-----------------|-----------|-------|-------------------------|----------------------------|------------------------|
| ISHARES MSCI EAFE ETF<br>SYMBOL: EFA                              | CASH         | 03/07/14            | 141      | 68.37  | 9,640           | 65.66A    | 9,257 | 383                     | 314                        | 3.26                   |
|                                                                   |              | 03/10/14            | 50       |        | 3,418           | 65.66A    | 3,283 | 136 ST                  |                            |                        |
|                                                                   |              |                     | 91       |        | 6,222           | 65.66A    | 5,975 | 247 ST                  |                            |                        |
| INVECO LTD<br>SYMBOL: IVZ                                         | CASH         | 12/17/12            | 20       | 37.75  | 755             | 33.14     | 663   | 92                      | 20                         | 2.65                   |
|                                                                   |              | 06/19/13            | 3        |        | 113             | 25.59     | 77    | 36 LT                   |                            |                        |
|                                                                   |              | 08/14/13            | 3        |        | 113             | 34.46     | 103   | 10 LT                   |                            |                        |
|                                                                   |              | 06/16/14            | 9        |        | 340             | 33.06     | 298   | 42 ST                   |                            |                        |
|                                                                   |              |                     | 5        |        | 189             | 37.01     | 185   | 4 ST                    |                            |                        |
| INTERCONTINENTAL HOTELS<br>GROUP PLC SPONSORED ADR<br>SYMBOL: IHG | CASH         | 06/16/14            | 38       | 41.51  | 1,577           | 38.77     | 1,473 | 104 ST                  | 26                         | 1.65                   |
| INTERCONTINENTAL EXCHANGE<br>INC<br>SYMBOL: ICE                   | CASH         | 06/24/13            | 7        | 188.90 | 1,322           | 184.95    | 1,295 | 27                      | 18                         | 1.36                   |
|                                                                   |              | 08/14/13            | 2        |        | 378             | 171.06    | 342   | 36 LT                   |                            |                        |
|                                                                   |              | 10/18/13            | 2        |        | 378             | 182.05    | 364   | 14 ST                   |                            |                        |
|                                                                   |              | 06/16/14            | 1        |        | 189             | 197.83    | 396   | -18 ST                  |                            |                        |
|                                                                   |              |                     | 34       | 73.39  | 2,495           | 70.72     | 193   | -4 ST                   | 30                         | 1.20                   |
| HITACHI LTD<br>ADR<br>SYMBOL: HTHY                                | CASH         | 06/16/14            | 34       |        |                 |           | 2,404 | 91 ST                   |                            |                        |
| HOME DEPOT INC<br>SYMBOL: HD                                      | CASH         | 09/29/11            | 44       | 80.96  | 3,562           | 65.03     | 2,861 | 701                     | 83                         | 2.33                   |
|                                                                   |              | 03/21/12            | 3        |        | 243             | 33.45     | 100   | 143 LT                  |                            |                        |
|                                                                   |              | 09/24/12            | 14       |        | 1,133           | 49.82     | 698   | 436 LT                  |                            |                        |
|                                                                   |              | 08/14/13            | 3        |        | 243             | 59.42     | 178   | 65 LT                   |                            |                        |
|                                                                   |              | 09/19/13            | 7        |        | 567             | 78.34     | 548   | 18 ST                   |                            |                        |
|                                                                   |              | 09/20/13            | 1        |        | 81              | 78.24     | 78    | 3 ST                    |                            |                        |
|                                                                   |              | 06/16/14            | 5        |        | 405             | 78.29     | 391   | 13 ST                   |                            |                        |
|                                                                   |              |                     | 11       |        | 891             | 78.82     | 867   | 23 ST                   |                            |                        |

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### Equities & Options (Continued)

| DESCRIPTION                                             | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE  | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|---------------------------------------------------------|-----------|------------------|----------|--------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| HUMANA INC<br>SYMBOL HUM                                | CASH      | 11/01/11         | 16       | 127.72 | 2,044        | 94.45     | 1,511 | 533                  | 18                      | 0.88                |
|                                                         |           | 05/25/12         | 6        |        | 767          | 83.96     | 504   | 263 LT               |                         |                     |
|                                                         |           | 09/24/12         | 1        |        | 128          | 77.55     | 78    | 50 LT                |                         |                     |
|                                                         |           | 06/19/13         | 1        |        | 128          | 70.10     | 70    | 58 LT                |                         |                     |
|                                                         |           | 08/14/13         | 3        |        | 128          | 84.83     | 85    | 43 LT                |                         |                     |
|                                                         |           | 06/16/14         | 4        |        | 383          | 93.23     | 290   | 104 ST               |                         |                     |
|                                                         |           |                  |          |        | 511          | 123.84    | 495   | 16 ST                |                         |                     |
| HUTCHISON WHAMPOA LTD-ADR<br>SYMBOL HUWHY               | CASH      | 06/16/14         | 51       | 27.40  | 1,397        | 27.17     | 1,386 | 11 ST                | 26                      | 1.86                |
| JSC MMC NORILSK NICKEL<br>SPONSORED ADR<br>SYMBOL NILSY | CASH      | 06/18/14         | 32       | 19.91  | 637          | 19.91     | 637   |                      | 36                      | 5.65                |
|                                                         |           | 06/19/14         | 3        |        | 60           | 19.69     | 59    | 1 ST                 |                         |                     |
|                                                         |           |                  | 29       |        | 577          | 19.93     | 578   | -1 ST                |                         |                     |
| JOHNSON & JOHNSON<br>SYMBOL JNJ                         | CASH      | 02/15/13         | 82       | 104.62 | 8,579        | 89.29     | 7,321 | 1,258                | 230                     | 2.68                |
|                                                         |           | 03/18/13         | 11       |        | 1,151        | 75.91     | 835   | 316 LT               |                         |                     |
|                                                         |           | 05/08/13         | 9        |        | 942          | 79.08     | 712   | 230 LT               |                         |                     |
|                                                         |           | 05/14/13         | 4        |        | 418          | 85.12     | 340   | 78 LT                |                         |                     |
|                                                         |           | 06/19/13         | 4        |        | 418          | 86.83     | 347   | 71 LT                |                         |                     |
|                                                         |           | 06/24/13         | 2        |        | 209          | 86.21     | 172   | 37 LT                |                         |                     |
|                                                         |           | 08/14/13         | 15       |        | 1,569        | 91.50     | 334   | 85 LT                |                         |                     |
|                                                         |           | 09/04/13         | 8        |        | 837          | 86.82     | 1,372 | 197 ST               |                         |                     |
|                                                         |           | 10/31/13         | 5        |        | 523          | 93.00     | 695   | 142 ST               |                         |                     |
|                                                         |           | 06/16/14         | 20       |        | 2,092        | 102.44    | 465   | 58 ST                |                         |                     |
|                                                         |           |                  |          |        |              |           | 2,049 | 44 ST                |                         |                     |
| JOHNSON CONTROLS INC<br>SYMBOL JCI                      | CASH      | 10/27/11         | 42       | 49.93  | 2,097        | 38.61     | 1,622 | 475                  | 37                      | 1.76                |
|                                                         |           | 10/28/11         | 5        |        | 250          | 33.18     | 166   | 84 LT                |                         |                     |
|                                                         |           | 05/25/12         | 1        |        | 50           | 33.44     | 33    | 16 LT                |                         |                     |
|                                                         |           | 09/24/12         | 1        |        | 50           | 30.71     | 31    | 19 LT                |                         |                     |
|                                                         |           |                  | 9        |        | 449          | 28.49     | 256   | 193 LT               |                         |                     |

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STATEMENT PERIOD  
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## Your Portfolio Holdings (continued)

### Equities & Options (Continued)

| DESCRIPTION                                        | ACCT<br>TYPE | ACQUISITION<br>DATE                                                              | QUANTITY                                  | PRICE | MARKET<br>VALUE                                      | UNIT COST                                                            | COST                                                 | UNREALIZED<br>GAIN/LOSS                                                 | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|----------------------------------------------------|--------------|----------------------------------------------------------------------------------|-------------------------------------------|-------|------------------------------------------------------|----------------------------------------------------------------------|------------------------------------------------------|-------------------------------------------------------------------------|----------------------------|------------------------|
| JOHNSON CONTROLS INC                               |              |                                                                                  |                                           |       |                                                      |                                                                      |                                                      |                                                                         |                            |                        |
|                                                    |              | 05/22/13                                                                         | 7                                         |       | 350                                                  | 37.84                                                                | 265                                                  | 85 LT                                                                   |                            |                        |
|                                                    |              | 06/19/13                                                                         | 1                                         |       | 50                                                   | 37.23                                                                | 37                                                   | 13 LT                                                                   |                            |                        |
|                                                    |              | 08/14/13                                                                         | 8                                         |       | 399                                                  | 41.83                                                                | 335                                                  | 65 ST                                                                   |                            |                        |
|                                                    |              | 06/16/14                                                                         | 10                                        |       | 499                                                  | 49.83                                                                | 498                                                  | 1 ST                                                                    |                            |                        |
| KT CORP<br>SPONSORED ADR<br>SYMBOL KT              | CASH         | 06/16/14                                                                         | 40                                        | 15.14 | 606                                                  | 14.66                                                                | 586                                                  | 20 ST                                                                   | 12                         | 1.98                   |
| KDDI CORPORATION<br>UNSPONSORED ADR<br>SYMBOL KDDY | CASH         | 06/16/14                                                                         | 114                                       | 15.25 | 1,739                                                | 14.74                                                                | 1,680                                                | 59 ST                                                                   | 29                         | 1.67                   |
| KLA-TENCOR CORP<br>SYMBOL KLAC                     | CASH         | 12/17/13<br>04/07/14                                                             | 13<br>9<br>4                              | 72.64 | 944<br>654<br>290                                    | 64.01<br>61.90<br>68.78                                              | 832<br>557<br>275                                    | 112<br>96 ST<br>15 ST                                                   | 23                         | 2.44                   |
| LAM RESEARCH CORP<br>SYMBOL LRXC                   | CASH         | 02/07/13<br>03/19/13<br>06/16/14                                                 | 19<br>6<br>8<br>5                         | 67.58 | 1,284<br>405<br>541<br>338                           | 47.97<br>42.25<br>40.72<br>66.44                                     | 911<br>253<br>326<br>332                             | 373<br>152 LT<br>215 LT<br>6 ST                                         | 14                         | 1.09                   |
| LOWES COMPANIES INC<br>SYMBOL LOW                  | CASH         | 09/22/11<br>09/28/11<br>05/25/12<br>09/24/12<br>06/19/13<br>08/14/13<br>06/16/14 | 69<br>6<br>18<br>2<br>11<br>2<br>14<br>16 | 47.99 | 3,311<br>288<br>864<br>96<br>528<br>96<br>672<br>768 | 33.44<br>19.02<br>20.07<br>27.23<br>29.84<br>41.40<br>45.70<br>45.42 | 2,307<br>114<br>361<br>54<br>328<br>83<br>640<br>727 | 1,004<br>174 LT<br>503 LT<br>42 LT<br>200 LT<br>13 LT<br>32 ST<br>41 ST | 63                         | 1.90                   |
| MORGAN STANLEY<br>SYMBOL MS                        | CASH         | 01/17/13<br>04/22/13                                                             | 100<br>6<br>35                            | 32.33 | 3,233<br>194<br>1,132                                | 25.88<br>20.53<br>20.72                                              | 2,588<br>123<br>725                                  | 645<br>71 LT<br>406 LT                                                  | 40                         | 1.24                   |

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## Your Portfolio Holdings (continued)

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### Equities & Options (Continued)

| DESCRIPTION                          | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE  | MARKET VALUE | UNIT COST | CDST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|--------------------------------------|-----------|------------------|----------|--------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| MORGAN STANLEY                       |           |                  |          |        |              |           |       |                      |                         |                     |
|                                      |           | 06/19/13         | 3        |        | 97           | 26.28     | 79    | 18 LT                |                         |                     |
|                                      |           | 08/14/13         | 17       |        | 550          | 26.85     | 457   | 93 ST                |                         |                     |
|                                      |           | 11/12/13         | 15       |        | 485          | 29.71     | 446   | 39 ST                |                         |                     |
|                                      |           | 06/16/14         | 24       |        | 776          | 31.59     | 758   | 18 ST                |                         |                     |
| MONSANTO CO<br>SYMBOL MON            | CASH      |                  | 21       | 124.74 | 2,620        | 111.71    | 2,346 | 274                  | 36                      | 1.37                |
|                                      |           | 10/02/13         | 5        |        | 624          | 103.42    | 517   | 107 ST               |                         |                     |
|                                      |           | 12/04/13         | 11       |        | 1,372        | 112.01    | 1,232 | 140 ST               |                         |                     |
|                                      |           | 06/16/14         | 5        |        | 624          | 119.34    | 507   | 27 ST                |                         |                     |
| MARATHON OIL CORP<br>SYMBOL MRO      | CASH      |                  | 58       | 39.92  | 2,315        | 37.72     | 2,188 | 127                  | 44                      | 1.90                |
|                                      |           | 09/12/13         | 24       |        | 958          | 36.43     | 874   | 84 ST                |                         |                     |
|                                      |           | 11/26/13         | 8        |        | 319          | 37.04     | 296   | 23 ST                |                         |                     |
|                                      |           | 06/16/14         | 26       |        | 1,038        | 39.13     | 1,017 | 20 ST                |                         |                     |
| METLIFE INC<br>SYMBOL MET            | CASH      |                  | 77       | 55.56  | 4,278        | 41.60     | 3,203 | 1,075                | 108                     | 2.52                |
|                                      |           | 09/21/11         | 4        |        | 222          | 30.74     | 123   | 99 LT                |                         |                     |
|                                      |           | 09/29/11         | 7        |        | 389          | 29.35     | 205   | 183 LT               |                         |                     |
|                                      |           | 06/05/12         | 11       |        | 611          | 28.39     | 312   | 299 LT               |                         |                     |
|                                      |           | 09/24/12         | 6        |        | 333          | 35.56     | 213   | 120 LT               |                         |                     |
|                                      |           | 04/09/13         | 12       |        | 667          | 36.91     | 443   | 224 LT               |                         |                     |
|                                      |           | 06/19/13         | 3        |        | 167          | 44.78     | 134   | 32 LT                |                         |                     |
|                                      |           | 08/14/13         | 15       |        | 833          | 49.31     | 740   | 94 ST                |                         |                     |
|                                      |           | 06/16/14         | 19       |        | 1,056        | 54.33     | 1,032 | 23 ST                |                         |                     |
| MASTERCARD INCORPORATED<br>SYMBOL MA | CASH      |                  | 46       | 73.47  | 3,380        | 50.63     | 2,329 | 1,051                | 20                      | 0.59                |
|                                      |           | 08/19/10         | 4        |        | 294          | 20.92     | 84    | 210 LT               |                         |                     |
|                                      |           | 02/01/11         | 10       |        | 735          | 23.72     | 237   | 498 LT               |                         |                     |
|                                      |           | 10/15/12         | 10       |        | 735          | 47.47     | 475   | 260 LT               |                         |                     |
|                                      |           | 08/14/13         | 10       |        | 735          | 63.12     | 631   | 104 ST               |                         |                     |
|                                      |           | 06/16/14         | 12       |        | 882          | 75.19     | 902   | -21 ST               |                         |                     |

## Your Portfolio Holdings (continued)

### Equities & Options (Continued)

| DESCRIPTION                                       | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY | PRICE | MARKET<br>VALUE | UNIT COST | COST  | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|---------------------------------------------------|--------------|---------------------|----------|-------|-----------------|-----------|-------|-------------------------|----------------------------|------------------------|
| <b>MITSUBISHI UFJ FINANCIAL<br/>GROUP INC ADS</b> | CASH         | 06/16/14            | 567      | 6.15  | 3,487           | 6.05      | 3,428 | 59                      | 72                         | 2.06                   |
| <b>SYMBOL: MTU</b>                                |              | 06/19/14            | 550      |       | 3,382           | 6.04      | 3,322 | 60                      | ST                         |                        |
|                                                   |              |                     | 17       |       | 105             | 6.22      | 106   | -1                      | ST                         |                        |
| <b>MERCK &amp; CO INC</b>                         | CASH         | 03/14/13            | 43       | 57.85 | 2,488           | 53.69     | 2,309 | 179                     | 76                         | 3.05                   |
| <b>SYMBOL: MRK</b>                                |              | 06/19/13            | 2        |       | 116             | 44.18     | 88    | 27                      | LT                         |                        |
|                                                   |              | 08/14/13            | 1        |       | 58              | 48.10     | 48    | 10                      | LT                         |                        |
|                                                   |              | 01/14/14            | 6        |       | 347             | 48.65     | 292   | 55                      | ST                         |                        |
|                                                   |              | 02/05/14            | 8        |       | 463             | 52.64     | 421   | 42                      | ST                         |                        |
|                                                   |              | 03/27/14            | 5        |       | 289             | 53.53     | 268   | 22                      | ST                         |                        |
|                                                   |              | 06/16/14            | 10       |       | 579             | 55.51     | 555   | 23                      | ST                         |                        |
|                                                   |              |                     | 11       |       | 636             | 57.87     | 637   | ST                      |                            |                        |
| <b>MOSAIC COMPANY</b>                             | CASH         | 05/21/14            | 25       | 49.45 | 1,236           | 49.66     | 1,242 | -6                      | 25                         | 2.02                   |
| <b>SYMBOL: MOS</b>                                |              | 06/16/14            | 19       |       | 939             | 49.82     | 947   | -7                      | ST                         |                        |
|                                                   |              |                     | 6        |       | 297             | 49.15     | 295   | 2                       | ST                         |                        |
| <b>MONDELEZ INTERNATIONAL INC</b>                 | CASH         | 09/19/11            | 54       | 37.61 | 2,031           | 30.59     | 1,652 | 379                     | 30                         | 1.48                   |
| <b>COM</b>                                        |              | 05/25/12            | 5        |       | 188             | 22.56     | 113   | 75                      | LT                         |                        |
| <b>SYMBOL: MDLZ</b>                               |              | 09/24/12            | 1        |       | 38              | 25.11     | 25    | 13                      | LT                         |                        |
|                                                   |              | 10/17/12            | 5        |       | 188             | 27.01     | 135   | 53                      | LT                         |                        |
|                                                   |              | 06/19/13            | 13       |       | 489             | 27.40     | 356   | 133                     | LT                         |                        |
|                                                   |              | 08/14/13            | 2        |       | 75              | 30.34     | 61    | 15                      | LT                         |                        |
|                                                   |              | 06/16/14            | 15       |       | 564             | 31.92     | 479   | 85                      | ST                         |                        |
|                                                   |              |                     | 13       |       | 489             | 37.19     | 483   | 5                       | ST                         |                        |
| <b>MARSH &amp; MCLENNAN COMPANIES INC</b>         | CASH         | 09/23/13            | 51       | 51.82 | 2,643           | 48.39     | 2,468 | 175                     | 57                         | 2.16                   |
| <b>SYMBOL: MMC</b>                                |              | 10/25/13            | 8        |       | 415             | 44.46     | 356   | 59                      | ST                         |                        |
|                                                   |              | 01/15/14            | 11       |       | 570             | 46.63     | 513   | 57                      | ST                         |                        |
|                                                   |              | 06/16/14            | 10       |       | 518             | 48.22     | 482   | 36                      | ST                         |                        |
|                                                   |              |                     | 22       |       | 1,140           | 50.77     | 1,117 | 23                      | ST                         |                        |

## Your Portfolio Holdings (continued)

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### Equities & Options (Continued)

| DESCRIPTION                                             | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|---------------------------------------------------------|-----------|------------------|----------|-------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| MASCO CORP<br>SYMBOL MAS                                | CASH      | 07/31/12         | 109      | 22.20 | 2,420        | 18.08     | 1,971 | 449                  | 39                      | 1.61                |
|                                                         |           |                  | 5        |       | 111          | 12.41     | 62    | 49 LT                |                         |                     |
|                                                         |           | 08/06/12         | 21       |       | 466          | 12.58     | 264   | 202 LT               |                         |                     |
|                                                         |           | 09/24/12         | 8        |       | 178          | 16.07     | 129   | 49 LT                |                         |                     |
|                                                         |           | 12/20/12         | 13       |       | 289          | 16.58     | 216   | 73 LT                |                         |                     |
|                                                         |           | 06/19/13         | 3        |       | 67           | 21.29     | 64    | 3 LT                 |                         |                     |
|                                                         |           | 08/14/13         | 17       |       | 377          | 19.14     | 325   | 52 ST                |                         |                     |
|                                                         |           | 09/20/13         | 14       |       | 311          | 22.02     | 308   | 2 ST                 |                         |                     |
|                                                         |           | 06/16/14         | 28       |       | 622          | 21.54     | 603   | 19 ST                |                         |                     |
| MICROSOFT CORP<br>SYMBOL MSFT                           | CASH      | 07/09/12         | 131      | 41.70 | 5,463        | 34.40     | 4,507 | 956                  | 147                     | 2.69                |
|                                                         |           |                  | 5        |       | 209          | 29.97     | 150   | 59 LT                |                         |                     |
|                                                         |           | 09/24/12         | 24       |       | 1,001        | 30.86     | 741   | 260 LT               |                         |                     |
|                                                         |           | 06/19/13         | 5        |       | 209          | 34.99     | 175   | 34 LT                |                         |                     |
|                                                         |           | 08/12/13         | 18       |       | 751          | 32.83     | 591   | 160 ST               |                         |                     |
|                                                         |           | 08/14/13         | 31       |       | 1,293        | 31.99     | 992   | 301 ST               |                         |                     |
|                                                         |           | 08/23/13         | 7        |       | 292          | 34.72     | 243   | 49 ST                |                         |                     |
|                                                         |           | 09/16/13         | 10       |       | 417          | 33.27     | 333   | 84 ST                |                         |                     |
|                                                         |           | 06/16/14         | 31       |       | 1,293        | 41.39     | 1,283 | 10 ST                |                         |                     |
| MITSUBISHI ESTATE CO LTD<br>ADR<br>SYMBOL MITEY         | CASH      | 06/16/14         | 48       | 24.74 | 1,188        | 24.25     | 1,164 | 24 ST                | 4                       | 0.34                |
| NOVARTIS AG<br>AMERICAN DEPOSITARY SHARES<br>SYMBOL NVS | CASH      | 06/16/14         | 28       | 90.53 | 2,535        | 90.12     | 2,523 | 12 ST                | 65                      | 2.56                |
| NISOURCE INC<br>COM<br>SYMBOL NI                        | CASH      | 04/04/13         | 38       | 39.34 | 1,495        | 33.28     | 1,265 | 230                  | 40                      | 2.68                |
|                                                         |           | 06/19/13         | 7        |       | 275          | 29.48     | 206   | 69 LT                |                         |                     |
|                                                         |           | 10/18/13         | 1        |       | 39           | 29.40     | 29    | 10 LT                |                         |                     |
|                                                         |           | 01/17/14         | 11       |       | 433          | 31.76     | 349   | 83 ST                |                         |                     |
|                                                         |           |                  | 10       |       | 393          | 33.97     | 340   | 54 ST                |                         |                     |

Your Portfolio Holdings (continued)

Equities & Options (Continued)

| DESCRIPTION          | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY | PRICE  | MARKET<br>VALUE | UNIT COST | COST  | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|----------------------|--------------|---------------------|----------|--------|-----------------|-----------|-------|-------------------------|----------------------------|------------------------|
| NISOURCE INC         |              | 06/16/14            | 9        |        | 354             | 37.77     | 340   | 14 ST                   |                            |                        |
| NOMURA HOLDINGS INC  | CASH         |                     | 191      | 7.03   | 1,343           | 6.99      | 1,335 | 8                       | 31                         | 2.31                   |
| SPONSORED ADR        |              | 06/16/14            | 163      |        | 1,146           | 6.94      | 1,131 | 15 ST                   |                            |                        |
| SYMBOL NMR           |              | 06/19/14            | 28       |        | 197             | 7.28      | 204   | -7 ST                   |                            |                        |
| NEXTERA ENERGY INC   | CASH         |                     | 19       | 102.48 | 1,947           | 85.24     | 1,619 | 328                     | 55                         | 2.82                   |
| SYMBOL NEE           |              | 06/13/13            | 3        |        | 307             | 78.42     | 235   | 72 LT                   |                            |                        |
|                      |              | 06/19/13            | 1        |        | 102             | 81.14     | 81    | 21 LT                   |                            |                        |
|                      |              | 08/14/13            | 3        |        | 307             | 84.68     | 254   | 53 ST                   |                            |                        |
|                      |              | 09/16/13            | 3        |        | 307             | 79.95     | 240   | 68 ST                   |                            |                        |
|                      |              | 10/18/13            | 5        |        | 512             | 83.50     | 418   | 95 ST                   |                            |                        |
|                      |              | 06/16/14            | 4        |        | 410             | 97.92     | 392   | 18 ST                   |                            |                        |
| NORDEA BK AB SWED    | CASH         | 06/16/14            | 45       | 14.02  | 631             | 14.57     | 656   | -25 ST                  | 18                         | 2.85                   |
| SPONSORED ADR        |              |                     |          |        |                 |           |       |                         |                            |                        |
| SYMBOL NRBAY         |              |                     |          |        |                 |           |       |                         |                            |                        |
| NORSK HYDRO A/S      | CASH         | 06/16/14            | 168      | 5.43   | 912             | 5.65      | 949   | -37 ST                  | 17                         | 1.86                   |
| SPONSORED ADR        |              |                     |          |        |                 |           |       |                         |                            |                        |
| SYMBOL NHYDY         |              |                     |          |        |                 |           |       |                         |                            |                        |
| OCCIDENTAL PETE CORP | CASH         |                     | 37       | 102.63 | 3,797           | 92.17     | 3,410 | 387                     | 107                        | 2.82                   |
| SYMBOL OXY           |              | 10/18/11            | 3        |        | 308             | 85.02     | 255   | 53 LT                   |                            |                        |
|                      |              | 04/25/12            | 3        |        | 308             | 88.97     | 267   | 41 LT                   |                            |                        |
|                      |              | 05/25/12            | 1        |        | 103             | 81.20     | 81    | 21 LT                   |                            |                        |
|                      |              | 09/13/12            | 2        |        | 205             | 90.15     | 180   | 25 LT                   |                            |                        |
|                      |              | 09/24/12            | 4        |        | 410             | 87.12     | 348   | 62 LT                   |                            |                        |
|                      |              | 06/07/13            | 2        |        | 205             | 93.37     | 187   | 19 LT                   |                            |                        |
|                      |              | 06/19/13            | 1        |        | 103             | 92.80     | 93    | 10 LT                   |                            |                        |
|                      |              | 08/14/13            | 8        |        | 821             | 87.64     | 701   | 120 ST                  |                            |                        |
|                      |              | 01/17/14            | 4        |        | 410             | 91.63     | 367   | 44 ST                   |                            |                        |
|                      |              | 06/16/14            | 9        |        | 924             | 103.46    | 931   | -8 ST                   |                            |                        |

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### Equities & Options (Continued)

| DESCRIPTION                                                      | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE    | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|------------------------------------------------------------------|-----------|------------------|----------|----------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| ORIX CORPORATION<br>SPONSORED ADR<br>SYMBOL IX                   | CASH      | 06/16/14         | 16       | 83.04    | 1,329        | 80.26     | 1,284 | 45 ST                | 16                      | 1.20                |
| PUBLICIS S A NEW<br>SPONSORED ADR<br>SYMBOL PUBGY                | CASH      | 06/16/14         | 44       | 21.16    | 931          | 21.12     | 929   | 2 ST                 | 11                      | 1.18                |
| PRICELINE GROUP INC (THE)<br>SYMBOL PCLN                         | CASH      | 04/09/13         | 2        | 1,203.00 | 2,406        | 947.22    | 1,894 | 512                  |                         |                     |
|                                                                  |           | 06/16/14         | 1        |          | 1,203        | 696.12    | 696   | 507 LT               |                         |                     |
|                                                                  |           |                  | 1        |          | 1,203        | 1,198.32  | 1,198 | 5 ST                 |                         |                     |
| PHILIP MORRIS INTERNATIONAL<br>INC.<br>SYMBOL PM                 | CASH      | 06/22/12         | 24       | 84.31    | 2,023        | 88.67     | 2,128 | -105                 | 90                      | 4.45                |
|                                                                  |           | 09/24/12         | 6        |          | 506          | 86.43     | 519   | -13 LT               |                         |                     |
|                                                                  |           | 01/18/13         | 2        |          | 169          | 92.15     | 184   | -16 LT               |                         |                     |
|                                                                  |           | 06/19/13         | 5        |          | 421          | 89.22     | 446   | -25 LT               |                         |                     |
|                                                                  |           | 08/14/13         | 1        |          | 84           | 92.48     | 92    | -8 LT                |                         |                     |
|                                                                  |           | 06/16/14         | 5        |          | 421          | 86.34     | 442   | -20 ST               |                         |                     |
|                                                                  |           |                  | 5        |          | 421          | 88.98     | 445   | -23 ST               |                         |                     |
| PORSCHE AUTOMOBILE HOLDING<br>SE UNSPONSORED ADR<br>SYMBOL POAHY | CASH      | 06/16/14         | 113      | 10.39    | 1,174        | 10.45     | 1,181 | -7 ST                | 20                      | 1.70                |
| PHILLIPS 66<br>COM<br>SYMBOL PSX                                 | CASH      | 06/19/13         | 23       | 80.43    | 1,850        | 69.13     | 1,590 | 260                  | 46                      | 2.49                |
|                                                                  |           | 08/14/13         | 1        |          | 80           | 64.38     | 64    | 16 LT                |                         |                     |
|                                                                  |           | 10/18/13         | 4        |          | 322          | 58.56     | 234   | 88 ST                |                         |                     |
|                                                                  |           | 10/23/13         | 4        |          | 322          | 62.80     | 251   | 71 ST                |                         |                     |
|                                                                  |           | 12/04/13         | 4        |          | 322          | 64.87     | 259   | 62 ST                |                         |                     |
|                                                                  |           | 06/16/14         | 6        |          | 483          | 70.09     | 280   | 41 ST                |                         |                     |
|                                                                  |           |                  |          |          |              | 83.39     | 500   | -18 ST               |                         |                     |
| PERRIGO COMPANY PLC<br>SYMBOL PRGO                               | CASH      | 12/19/13         | 13       | 145.76   | 1,895        | 152.05    | 1,977 | -82                  | 5                       | 0.26                |
|                                                                  |           |                  | 10       |          | 1,458        | 155.34    | 1,553 | -90 ST               |                         |                     |

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### Equities & Options (Continued)

| DESCRIPTION                             | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|-----------------------------------------|-----------|------------------|----------|-------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| PERRIGO COMPANY PLC                     |           | 06/16/14         | 3        |       | 437          | 141.09    | 423   | 14 ST                |                         |                     |
| ORACLE CORPORATION<br>SYMBOL: ORCL      | CASH      |                  | 62       | 40.53 | 2,513        | 34.09     | 2,113 | 400                  | 30                      | 1.19                |
|                                         |           | 04/16/12         | 14       |       | 567          | 28.46     | 398   | 169 LT               |                         |                     |
|                                         |           | 05/25/12         | 1        |       | 41           | 26.16     | 26    | 14 LT                |                         |                     |
|                                         |           | 09/24/12         | 12       |       | 486          | 32.27     | 387   | 99 LT                |                         |                     |
|                                         |           | 06/19/13         | 1        |       | 41           | 34.35     | 34    | 6 LT                 |                         |                     |
|                                         |           | 08/14/13         | 19       |       | 770          | 33.46     | 636   | 134 ST               |                         |                     |
|                                         |           | 06/16/14         | 15       |       | 608          | 42.11     | 632   | -24 ST               |                         |                     |
| PACCAR INC<br>SYMBOL: PCAR              | CASH      |                  | 51       | 62.83 | 3,204        | 52.08     | 2,656 | 548                  | 45                      | 1.40                |
|                                         |           | 10/21/10         | 2        |       | 126          | 50.85     | 102   | 24 LT                |                         |                     |
|                                         |           | 02/01/11         | 10       |       | 628          | 51.29     | 513   | 115 LT               |                         |                     |
|                                         |           | 08/22/11         | 3        |       | 188          | 34.04     | 102   | 86 LT                |                         |                     |
|                                         |           | 05/25/12         | 1        |       | 63           | 38.59     | 39    | 24 LT                |                         |                     |
|                                         |           | 09/24/12         | 5        |       | 314          | 41.54     | 208   | 106 LT               |                         |                     |
|                                         |           | 10/31/12         | 6        |       | 377          | 43.23     | 259   | 118 LT               |                         |                     |
|                                         |           | 08/14/13         | 11       |       | 691          | 55.73     | 613   | 78 ST                |                         |                     |
|                                         |           | 06/16/14         | 13       |       | 817          | 63.11     | 820   | -4 ST                |                         |                     |
| PROCTER & GAMBLE CO<br>SYMBOL: PG       | CASH      |                  | 47       | 78.59 | 3,694        | 73.38     | 3,449 | 245                  | 121                     | 3.28                |
|                                         |           | 02/01/11         | 4        |       | 314          | 62.85     | 251   | 63 LT                |                         |                     |
|                                         |           | 08/22/11         | 3        |       | 236          | 61.66     | 185   | 51 LT                |                         |                     |
|                                         |           | 02/02/12         | 8        |       | 629          | 63.43     | 507   | 121 LT               |                         |                     |
|                                         |           | 09/24/12         | 5        |       | 393          | 69.83     | 349   | 44 LT                |                         |                     |
|                                         |           | 06/19/13         | 1        |       | 79           | 79.26     | 79    | -1 LT                |                         |                     |
|                                         |           | 08/14/13         | 7        |       | 550          | 81.61     | 571   | -21 ST               |                         |                     |
|                                         |           | 02/21/14         | 7        |       | 550          | 78.70     | 551   | -1 ST                |                         |                     |
|                                         |           | 06/16/14         | 12       |       | 943          | 79.54     | 954   | -11 ST               |                         |                     |
| PRUDENTIAL PLC SPONS ADR<br>SYMBOL: PUK | CASH      | 06/16/14         | 48       | 45.88 | 2,202        | 45.75     | 2,196 | 6 ST                 | 54                      | 2.45                |

## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
840-25929  
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### Equities & Options (Continued)

| DESCRIPTION                                                        | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY | PRICE | MARKET<br>VALUE | UNIT COST | COST  | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|--------------------------------------------------------------------|--------------|---------------------|----------|-------|-----------------|-----------|-------|-------------------------|----------------------------|------------------------|
| QUALCOMM INC<br>SYMBOL QCOM                                        | CASH         | 05/08/12            | 56       | 79.20 | 4,435           | 70.31     | 3,938 | 497                     | 94                         | 2.12                   |
|                                                                    |              | 05/25/12            | 5        |       | 396             | 61.20     | 306   | 90 LT                   |                            |                        |
|                                                                    |              | 09/24/12            | 1        |       | 79              | 57.35     | 57    | 22 LT                   |                            |                        |
|                                                                    |              | 12/19/12            | 6        |       | 475             | 63.89     | 383   | 92 LT                   |                            |                        |
|                                                                    |              | 06/19/13            | 5        |       | 396             | 62.89     | 314   | 82 LT                   |                            |                        |
|                                                                    |              | 08/14/13            | 1        |       | 79              | 62.30     | 62    | 17 LT                   |                            |                        |
|                                                                    |              | 09/25/13            | 7        |       | 554             | 66.88     | 468   | 86 ST                   |                            |                        |
|                                                                    |              | 11/18/13            | 5        |       | 396             | 68.59     | 343   | 53 ST                   |                            |                        |
|                                                                    |              | 04/04/14            | 8        |       | 634             | 72.12     | 577   | 57 ST                   |                            |                        |
|                                                                    |              | 06/16/14            | 4        |       | 317             | 80.40     | 322   | -5 ST                   |                            |                        |
|                                                                    |              |                     | 14       |       | 1,109           | 78.89     | 1,104 | 4 ST                    |                            |                        |
| RIO TINTO PLC<br>SPONSORED ADR<br>SYMBOL RIO                       | CASH         | 06/16/14            | 42       | 54.28 | 2,280           | 51.57     | 2,166 | 114 ST                  | 81                         | 3.55                   |
| RYANAIR HOLDINGS PLC<br>SPONSORED ADR<br>SYMBOL RYAAV              | CASH         | 06/16/14            | 15       | 55.80 | 837             | 55.42     | 831   | 6 ST                    |                            |                        |
| ROYAL DUTCH SHELL PLC<br>SPONSORED ADR REPSTG 4 SHS<br>SYMBOL RDSA | CASH         | 06/16/14            | 50       | 82.37 | 4,119           | 81.71     | 4,085 | 34                      | 160                        | 3.88                   |
|                                                                    |              | 06/19/14            | 22       |       | 1,812           | 80.78     | 1,777 | 35 ST                   |                            |                        |
|                                                                    |              |                     | 28       |       | 2,307           | 82.44     | 2,308 | -2 ST                   |                            |                        |
| REPSOL SA<br>SPONSORED ADR<br>SYMBOL REPLY                         | CASH         | 06/16/14            | 68       | 26.50 | 1,802           | 26.21     | 1,782 | 20 ST                   | 70                         | 3.88                   |
| ROCHE HOLDING LTD<br>SPONSORED ADR REPSTG ORD<br>SYMBOL RHHBY      | CASH         | 06/16/14            | 55       | 37.30 | 2,052           | 37.10     | 2,041 | 12 ST                   | 50                         | 2.44                   |

## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
840-25929  
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May 30, 2014

### Equities & Options (Continued)

| DESCRIPTION                                                     | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY | PRICE  | MARKET<br>VALUE | UNIT COST | COST  | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|-----------------------------------------------------------------|--------------|---------------------|----------|--------|-----------------|-----------|-------|-------------------------|----------------------------|------------------------|
| ROYAL KPN NV<br>SPONSORED ADR<br>SYMBOL: KPNV                   | CASH         | 06/16/14            | 458      | 3.68   | 1,685           | 3.73      | 1,708 | -23 ST                  |                            |                        |
| STATE STREET CORP<br>SYMBOL: STT                                | CASH         | 03/27/13            | 27       | 67.26  | 1,816           | 62.91     | 1,699 | 117                     | 32                         | 1.76                   |
|                                                                 |              | 04/19/13            | 6        |        | 404             | 59.09     | 355   | 49 LT                   |                            |                        |
|                                                                 |              | 05/08/13            | 4        |        | 269             | 56.39     | 226   | 44 LT                   |                            |                        |
|                                                                 |              | 08/14/13            | 4        |        | 269             | 60.13     | 241   | 29 LT                   |                            |                        |
|                                                                 |              | 06/16/14            | 6        |        | 404             | 69.41     | 416   | -13 ST                  |                            |                        |
|                                                                 |              |                     | 7        |        | 471             | 65.94     | 462   | 9 ST                    |                            |                        |
| STATOIL ASA<br>SPONSORED ADR<br>SYMBOL: STO                     | CASH         | 06/16/14            | 46       | 30.83  | 1,418           | 31.75     | 1,461 | -43                     | 41                         | 2.89                   |
|                                                                 |              | 06/19/14            | 20       |        | 617             | 31.86     | 637   | -21 ST                  |                            |                        |
|                                                                 |              |                     | 26       |        | 801             | 31.67     | 823   | -22 ST                  |                            |                        |
| SEVEN & I HOLDINGS CO LTD<br>UNSPONSORED ADR<br>SYMBOL: SVNDY   | CASH         | 06/16/14            | 19       | 84.36  | 1,603           | 80.63     | 1,532 | 71 ST                   | 21                         | 1.31                   |
| SCHNEIDER ELECTRIC SA<br>UNSPONSORED ADR<br>SYMBOL: SEGSY       | CASH         | 06/16/14            | 106      | 18.80  | 1,993           | 18.61     | 1,973 | 20 ST                   | 32                         | 1.61                   |
| SUMITOMO MITSUI FINL GROUP<br>INC SPONSORED ADR<br>SYMBOL: SMFG | CASH         | 06/16/14            | 159      | 8.47   | 1,347           | 8.46      | 1,345 | 2 ST                    | 36                         | 2.67                   |
| SCHLUMBERGER LTD<br>SYMBOL: SLB                                 | CASH         | 05/13/11            | 64       | 117.95 | 7,549           | 88.43     | 5,659 | 1,890                   | 102                        | 1.35                   |
|                                                                 |              | 08/08/11            | 10       |        | 1,180           | 83.78     | 838   | 342 LT                  |                            |                        |
|                                                                 |              | 08/22/11            | 3        |        | 354             | 76.86     | 231   | 123 LT                  |                            |                        |
|                                                                 |              | 05/25/12            | 1        |        | 118             | 73.67     | 74    | 44 LT                   |                            |                        |
|                                                                 |              | 09/24/12            | 1        |        | 118             | 65.51     | 66    | 52 LT                   |                            |                        |
|                                                                 |              | 11/07/12            | 4        |        | 472             | 74.43     | 298   | 174 LT                  |                            |                        |
|                                                                 |              |                     | 3        |        | 354             | 70.05     | 210   | 144 LT                  |                            |                        |

YAO YUAN SZE FOUNDATION

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STATEMENT PERIOD  
May 31 - June 30, 2014

## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
840-25929  
LAST STATEMENT May 30, 2014

### Equities & Options (Continued)

| DESCRIPTION                                                                  | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE  | MARKET VALUE | UNIT COST | COST   | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|------------------------------------------------------------------------------|-----------|------------------|----------|--------|--------------|-----------|--------|----------------------|-------------------------|---------------------|
| SCHLUMBERGER LTD                                                             |           | 06/19/13         | 1        |        | 118          | 74.05     | 74     | 44 LT                |                         |                     |
|                                                                              |           | 08/14/13         | 9        |        | 1,062        | 82.30     | 741    | 321 ST               |                         |                     |
|                                                                              |           | 12/09/13         | 7        |        | 826          | 88.27     | 618    | 208 ST               |                         |                     |
|                                                                              |           | 12/16/13         | 8        |        | 944          | 86.56     | 692    | 251 ST               |                         |                     |
|                                                                              |           | 06/16/14         | 17       |        | 2,005        | 106.99    | 1,819  | 180 ST               |                         |                     |
| STRYKER CORP<br>SYMBOL SYK                                                   | CASH      | 04/03/14         | 15       | 84.32  | 1,265        | 83.82     | 1,257  | 8                    | 18                      | 1.42                |
|                                                                              |           | 06/16/14         | 11       |        | 928          | 83.59     | 920    | 8 ST                 |                         |                     |
|                                                                              |           |                  | 4        |        | 337          | 84.44     | 338    | ST                   |                         |                     |
| SPDR S&P 500 ETF TRUST<br>SYMBOL SPY                                         | CASH      | 08/14/13         | 202      | 195.72 | 39,535       | 177.91    | 35,937 | 3,598                | 723                     | 1.83                |
|                                                                              |           | 09/05/13         | 77       |        | 15,070       | 169.15    | 13,025 | 2,046 ST             |                         |                     |
|                                                                              |           | 02/10/14         | 17       |        | 3,327        | 166.08    | 2,823  | 504 ST               |                         |                     |
|                                                                              |           | 06/16/14         | 61       |        | 11,939       | 179.75    | 10,965 | 974 ST               |                         |                     |
|                                                                              |           |                  | 47       |        | 9,199        | 194.13    | 9,124  | 75 ST                |                         |                     |
| TURKIYE GARANTI BANKASI A S<br>SPONSORED ADR REPSTG 2000 SHS<br>SYMBOL TKGBY | CASH      | 06/16/14         | 181      | 3.95   | 715          | 3.92      | 709    | 6 ST                 | 17                      | 2.38                |
| TJX COMPANIES INC NEW<br>SYMBOL TJX                                          | CASH      | 05/22/14         | 22       | 53.15  | 1,169        | 55.59     | 1,223  | -54                  | 15                      | 1.28                |
|                                                                              |           | 06/16/14         | 16       |        | 850          | 55.91     | 895    | -44 ST               |                         |                     |
|                                                                              |           |                  | 6        |        | 319          | 54.73     | 328    | -10 ST               |                         |                     |
| TIME WARNER INC<br>SYMBOL TWX                                                | CASH      | 02/01/11         | 96       | 70.25  | 6,744        | 50.72     | 4,869  | 1,875                | 122                     | 1.81                |
|                                                                              |           | 05/04/11         | 10       |        | 703          | 30.86     | 309    | 394 LT               |                         |                     |
|                                                                              |           | 08/22/11         | 13       |        | 913          | 34.90     | 454    | 460 LT               |                         |                     |
|                                                                              |           | 09/24/12         | 3        |        | 211          | 27.30     | 82     | 129 LT               |                         |                     |
|                                                                              |           | 10/01/12         | 9        |        | 632          | 44.11     | 397    | 235 LT               |                         |                     |
|                                                                              |           | 03/27/13         | 12       |        | 843          | 43.86     | 526    | 317 LT               |                         |                     |
|                                                                              |           | 06/19/13         | 5        |        | 351          | 54.12     | 271    | 81 LT                |                         |                     |
|                                                                              |           | 08/14/13         | 2        |        | 141          | 56.22     | 112    | 28 LT                |                         |                     |
|                                                                              |           |                  | 18       |        | 1,265        | 60.00     | 1,080  | 185 ST               |                         |                     |

## Your Portfolio Holdings (continued)

### Equities & Options (Continued)

| DESCRIPTION                                                    | ACCT TYPE | ACQUISITION DATE                                                                                                                 | QUANTITY                                                    | PRICE  | MARKET VALUE                                                                       | UNIT COST                                                                                                | COST                                                                               | UNREALIZED GAIN/LOSS                                                                                     | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|----------------------------------------------------------------|-----------|----------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|--------|------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|-------------------------|---------------------|
| TIME WARNER INC                                                |           | 06/16/14                                                                                                                         | 24                                                          |        | 1,686                                                                              | 68.29                                                                                                    | 1,639                                                                              | 47 ST                                                                                                    |                         |                     |
| TULLOW OIL PLC<br>UNSPONSORED ADR<br>SYMBOL: TUWOY             | CASH      | 06/16/14                                                                                                                         | 80                                                          | 7.29   | 583                                                                                | 7.24                                                                                                     | 579                                                                                | 4 ST                                                                                                     | 7                       | 1.20                |
| ---<br>TWENTY FIRST CENTURY FOX INC<br>CLASS A<br>SYMBOL: FOXA | CASH      | 05/01/14<br>06/16/14<br>06/18/14                                                                                                 | 60<br>39<br>13                                              | 35.15  | 2,109<br>1,371<br>457                                                              | 33.50<br>32.42<br>35.57                                                                                  | 2,010<br>1,264<br>462                                                              | 99<br>106 ST<br>-5 ST                                                                                    | 15                      | 0.71                |
| ---<br>TIME WARNER CABLE INC<br>SYMBOL: TWC                    | CASH      | 07/08/13<br>08/09/13<br>06/16/14                                                                                                 | 9<br>4<br>3<br>2                                            | 147.30 | 1,326<br>589<br>442<br>295                                                         | 120.02<br>112.72<br>115.26<br>141.78                                                                     | 1,080<br>451<br>346<br>284                                                         | 246<br>138 ST<br>96 ST<br>11 ST                                                                          | 27                      | 2.04                |
| ---<br>TOYOTA MOTOR CORPORATION<br>ADS<br>SYMBOL: TM           | CASH      | 06/16/14<br>06/18/14                                                                                                             | 25<br>20<br>5                                               | 119.66 | 2,992<br>2,394<br>598                                                              | 114.48<br>114.24<br>115.42                                                                               | 2,862<br>2,285<br>577                                                              | 130<br>109 ST<br>21 ST                                                                                   | 73                      | 2.44                |
| ---<br>UNITEDHEALTH GROUP INC<br>SYMBOL: UNH                   | CASH      | 09/15/11<br>01/19/12<br>05/25/12<br>09/24/12<br>06/14/13<br>06/19/13<br>06/24/13<br>08/14/13<br>09/06/13<br>05/13/14<br>06/16/14 | 63<br>1<br>9<br>1<br>4<br>3<br>2<br>4<br>10<br>5<br>8<br>16 | 81.75  | 5,150<br>82<br>736<br>82<br>327<br>245<br>163<br>327<br>817<br>409<br>654<br>1,308 | 69.22<br>50.27<br>52.07<br>56.19<br>56.23<br>63.95<br>65.78<br>64.34<br>73.04<br>74.04<br>78.03<br>78.46 | 4,361<br>50<br>469<br>56<br>225<br>192<br>132<br>257<br>730<br>370<br>624<br>1,255 | 789<br>31 LT<br>267 LT<br>26 LT<br>102 LT<br>53 LT<br>32 LT<br>70 LT<br>87 ST<br>39 ST<br>30 ST<br>53 ST | 95                      | 1.84                |

**CLEARED THROUGH ITS  
'WHOLLY OWNED SUBSIDIARY'**

YAO YUAN SZE FOUNDATION

**STATEMENT PERIOD**  
**May 31 - June 30, 2014**

## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
840-25929  
LAST STATEMENT

## Equities &amp; Options (Continued)

| DESCRIPTION                                              | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE  | MARKET VALUE | UNIT COST | COST  | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|----------------------------------------------------------|-----------|------------------|----------|--------|--------------|-----------|-------|----------------------|-------------------------|---------------------|
| UNITED CONTINENTAL HLDGS INC<br>SYMBOL UAL               | CASH      | 11/27/13         | 53       | 41.07  | 2,177        | 42.30     | 2,242 | -65                  |                         |                     |
|                                                          |           |                  | 14       |        | 575          | 39.33     | 551   | 24 ST                |                         |                     |
|                                                          |           | 12/12/13         | 7        |        | 288          | 37.67     | 264   | 24 ST                |                         |                     |
|                                                          |           | 03/07/14         | 10       |        | 411          | 47.59     | 476   | -65 ST               |                         |                     |
|                                                          |           | 04/22/14         | 7        |        | 288          | 45.68     | 320   | 32 ST                |                         |                     |
|                                                          |           | 06/16/14         | 15       |        | 616          | 42.11     | 632   | -16 ST               |                         |                     |
| UNION PACIFIC CORP<br>SYMBOL UNP                         | CASH      | 06/11/14         | 13       | 99.75  | 1,297        | 101.45    | 1,319 | -22                  | 24                      | 1.85                |
|                                                          |           |                  | 10       |        | 998          | 101.97    | 1,020 | -22 ST               |                         |                     |
|                                                          |           | 06/16/14         | 3        |        | 299          | 99.74     | 299   | ST                   |                         |                     |
| UNITED TECHNOLOGIES CORP<br>SYMBOL UTX                   | CASH      | 02/01/11         | 54       | 115.45 | 6,234        | 93.70     | 5,060 | 1,174                | 127                     | 2.04                |
|                                                          |           |                  | 3        |        | 346          | 81.88     | 246   | 101 LT               |                         |                     |
|                                                          |           | 08/22/11         | 3        |        | 346          | 67.65     | 203   | 143 LT               |                         |                     |
|                                                          |           | 12/02/11         | 6        |        | 693          | 76.72     | 460   | 232 LT               |                         |                     |
|                                                          |           | 05/25/12         | 1        |        | 115          | 73.11     | 73    | 42 LT                |                         |                     |
|                                                          |           | 06/18/12         | 6        |        | 693          | 74.76     | 449   | 244 LT               |                         |                     |
|                                                          |           | 09/24/12         | 6        |        | 693          | 80.25     | 482   | 211 LT               |                         |                     |
|                                                          |           | 01/10/13         | 3        |        | 346          | 84.49     | 253   | 93 LT                |                         |                     |
|                                                          |           | 08/14/13         | 11       |        | 1,270        | 105.56    | 1,161 | 109 ST               |                         |                     |
|                                                          |           | 10/25/13         | 2        |        | 231          | 107.12    | 214   | 17 ST                |                         |                     |
|                                                          |           | 06/16/14         | 13       |        | 1,501        | 116.85    | 1,519 | -18 ST               |                         |                     |
| VALERO ENERGY CORP NEW<br>SYMBOL VLO                     | CASH      | 04/29/14         | 23       | 50.10  | 1,152        | 56.29     | 1,295 | -143                 | 23                      | 2.00                |
|                                                          |           |                  | 16       |        | 801          | 57.51     | 920   | -119 ST              |                         |                     |
|                                                          |           | 06/16/14         | 7        |        | 351          | 53.49     | 374   | -24 ST               |                         |                     |
| VODAFONE GROUP PLC<br>SPONSORED ADR NO PAR<br>SYMBOL VOD | CASH      | 06/16/14         | 72       | 33.39  | 2,404        | 32.86     | 2,366 | 38 ST                | 164                     | 6.82                |

## Your Portfolio Holdings (continued)

### Equities & Options (Continued)

| DESCRIPTION                       | ACCT TYPE   | ACQUISITION DATE | QUANTITY   | PRICE        | MARKET VALUE | UNIT COST     | COST         | UNREALIZED GAIN/LOSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|-----------------------------------|-------------|------------------|------------|--------------|--------------|---------------|--------------|----------------------|-------------------------|---------------------|
| <b>VANGUARD SECTOR INDEX FDS</b>  | <b>CASH</b> |                  | <b>132</b> | <b>74.84</b> | <b>9,879</b> | <b>69.60A</b> | <b>9,187</b> | <b>692</b>           | <b>366</b>              | <b>3.70</b>         |
| VANGUARD REIT ETF                 |             | 09/13/12         | 13         |              | 973          | 69.60A        | 905          | 68 LT                |                         |                     |
| SYMBOL: VNQ                       |             | 09/24/12         | 25         |              | 1,871        | 69.60A        | 1,740        | 131 LT               |                         |                     |
|                                   |             | 02/06/13         | 1          |              | 75           | 69.60A        | 70           | 5 LT                 |                         |                     |
|                                   |             | 04/23/13         | 37         |              | 2,769        | 69.60A        | 2,575        | 194 LT               |                         |                     |
|                                   |             | 06/19/13         | 27         |              | 2,021        | 69.60A        | 1,879        | 141 LT               |                         |                     |
|                                   |             | 06/16/14         | 29         |              | 2,170        | 69.60A        | 2,018        | 152 ST               |                         |                     |
| <b>VERIZON COMMUNICATIONS</b>     | <b>CASH</b> |                  | <b>81</b>  | <b>48.93</b> | <b>3,963</b> | <b>46.81</b>  | <b>3,792</b> | <b>171</b>           | <b>172</b>              | <b>4.34</b>         |
| SYMBOL: VZ                        |             | 02/01/11         | 1          |              | 49           | 36.22         | 36           | 13 LT                |                         |                     |
|                                   |             | 08/22/11         | 5          |              | 245          | 35.05         | 175          | 69 LT                |                         |                     |
|                                   |             | 05/25/12         | 2          |              | 98           | 41.60         | 83           | 15 LT                |                         |                     |
|                                   |             | 09/24/12         | 5          |              | 245          | 45.69         | 228          | 16 LT                |                         |                     |
|                                   |             | 06/19/13         | 1          |              | 49           | 50.98         | 51           | -2 LT                |                         |                     |
|                                   |             | 08/14/13         | 8          |              | 391          | 48.93         | 391          | ST                   |                         |                     |
|                                   |             | 02/05/14         | 16         |              | 783          | 46.58         | 745          | 38 ST                |                         |                     |
|                                   |             | 03/04/14         | 24         |              | 1,174        | 47.78         | 1,147        | 27 ST                |                         |                     |
|                                   |             | 06/16/14         | 19         |              | 930          | 49.16         | 934          | -4 ST                |                         |                     |
| <b>VERTEX PHARMACEUTICALS INC</b> | <b>CASH</b> |                  | <b>15</b>  | <b>94.68</b> | <b>1,420</b> | <b>56.38</b>  | <b>846</b>   | <b>574</b>           | <b>190</b>              | <b>2.66</b>         |
| SYMBOL: VRTX                      |             | 12/16/11         | 6          |              | 568          | 33.81         | 203          | 365 LT               |                         |                     |
|                                   |             | 09/24/12         | 1          |              | 95           | 58.56         | 59           | 36 LT                |                         |                     |
|                                   |             | 08/14/13         | 2          |              | 189          | 78.47         | 157          | 32 ST                |                         |                     |
|                                   |             | 03/17/14         | 2          |              | 189          | 78.50         | 157          | 32 ST                |                         |                     |
|                                   |             | 06/16/14         | 4          |              | 379          | 67.59         | 270          | 108 ST               |                         |                     |
| <b>WELLS FARGO &amp; CO</b>       | <b>CASH</b> |                  | <b>136</b> | <b>52.56</b> | <b>7,148</b> | <b>38.15</b>  | <b>5,188</b> | <b>1,960</b>         | <b>190</b>              | <b>2.66</b>         |
| SYMBOL: WFC                       |             | 06/13/11         | 1          |              | 53           | 26.86         | 27           | 26 LT                |                         |                     |
|                                   |             | 08/09/11         | 14         |              | 736          | 24.08         | 337          | 399 LT               |                         |                     |
|                                   |             | 08/12/11         | 9          |              | 473          | 24.37         | 219          | 254 LT               |                         |                     |
|                                   |             | 08/22/11         | 7          |              | 368          | 23.52         | 165          | 203 LT               |                         |                     |
|                                   |             | 03/19/12         | 12         |              | 631          | 34.27         | 411          | 219 LT               |                         |                     |

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## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
840-25929  
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### Equities & Options (Continued)

| DESCRIPTION                                                     | ACCT TYPE | ACQUISITION DATE | QUANTITY | PRICE | MARKET VALUE     | UNIT COST | COST             | UNREALIZED GAIN/LDSS | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|-----------------------------------------------------------------|-----------|------------------|----------|-------|------------------|-----------|------------------|----------------------|-------------------------|---------------------|
| WELLS FARGO & CO                                                |           |                  |          |       |                  |           |                  |                      |                         |                     |
|                                                                 |           | 05/25/12         | 2        |       | 105              | 32.04     | 64               | 41 LT                |                         |                     |
|                                                                 |           | 06/06/12         | 11       |       | 578              | 30.77     | 338              | 240 LT               |                         |                     |
|                                                                 |           | 09/24/12         | 15       |       | 788              | 35.09     | 526              | 262 LT               |                         |                     |
|                                                                 |           | 06/19/13         | 2        |       | 105              | 40.73     | 81               | 24 LT                |                         |                     |
|                                                                 |           | 08/14/13         | 27       |       | 1,419            | 43.29     | 1,169            | 250 ST               |                         |                     |
|                                                                 |           | 06/16/14         | 36       |       | 1,892            | 51.39     | 1,850            | 42 ST                |                         |                     |
| WOLSELEY PLC<br>SPONSORED ADR<br>SYMBOL WOSYY                   | CASH      | 06/16/14         | 197      | 5.47  | 1,078            | 5.48      | 1,080            | -2 ST                | 21                      | 1.95                |
| YUM BRANDS INC<br>SYMBOL YUM                                    | CASH      |                  | 36       | 81.20 | 2,923            | 63.43     | 2,283            | 640                  | 53                      | 1.81                |
|                                                                 |           | 09/21/10         | 3        |       | 244              | 46.43     | 139              | 104 LT               |                         |                     |
|                                                                 |           | 10/21/10         | 2        |       | 162              | 48.81     | 98               | 65 LT                |                         |                     |
|                                                                 |           | 02/01/11         | 8        |       | 650              | 47.65     | 381              | 268 LT               |                         |                     |
|                                                                 |           | 08/22/11         | 2        |       | 162              | 50.79     | 102              | 61 LT                |                         |                     |
|                                                                 |           | 05/25/12         | 1        |       | 81               | 70.72     | 71               | 10 LT                |                         |                     |
|                                                                 |           | 09/24/12         | 4        |       | 325              | 68.37     | 273              | 51 LT                |                         |                     |
|                                                                 |           | 08/14/13         | 7        |       | 568              | 72.78     | 509              | 59 ST                |                         |                     |
|                                                                 |           | 06/16/14         | 9        |       | 731              | 78.89     | 710              | 21 ST                |                         |                     |
| ZURICH INSURANCE GROUP<br>LIMITED SPONSORED ADR<br>SYMBOL ZURVY | CASH      | 06/16/14         | 55       | 30.10 | 1,656            | 29.60     | 1,628            | 28 ST                |                         |                     |
| <b>Total Equities &amp; Options</b>                             |           |                  |          |       | <b>\$414,573</b> |           | <b>\$366,323</b> | <b>\$48,253</b>      |                         | <b>\$8,349</b>      |
| <b>TOTAL EQUITIES</b>                                           |           |                  |          |       | <b>\$414,573</b> |           | <b>\$366,323</b> | <b>\$48,253</b>      |                         | <b>\$8,349</b>      |

## Your Portfolio Holdings (continued)

### MUTUAL FUNDS

A maximum of two tax lots per position will be reported in the mutual funds section. These will be the aggregate totals of the long-term holdings and the short-term holdings respectively. Funds tracked with the Average Cost methodology are denoted with an 'A' next to the Unit Cost number.

| DESCRIPTION                                                              | ACCT TYPE | ACQUISITION DATE | QUANTITY                            | PRICE | MARKET VALUE               | UNIT COST                  | COST                       | UNREALIZED GAIN/LOSS        | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|--------------------------------------------------------------------------|-----------|------------------|-------------------------------------|-------|----------------------------|----------------------------|----------------------------|-----------------------------|-------------------------|---------------------|
| ALLIANCEBERNSTEIN INTER<br>DIVERSIFIED MUNICIPAL FUND A<br>SYMBOL: AIDAX | CASH      |                  | 2,712.079                           | 14.50 | 39,325                     | 14.24A                     | 38,618                     | 707                         | 824                     | 2.10                |
| ASTON/FAIRPOINTE MID CAP<br>FUND CL I<br>SYMBOL: ABMIX                   | CASH      |                  | 201.851<br>62,008<br>139,843        | 49.35 | 9,961<br>3,060<br>6,901    | 43.12A<br>43.12A<br>43.12A | 8,703<br>2,674<br>6,029    | 1,258<br>386 LT<br>872 ST   | 12                      | 0.12                |
| AMERICAN CENTURY INTER-TERM<br>TAX FREE BD FD INSTL CL<br>SYMBOL: AXBIX  | CASH      |                  | 4,737.269<br>3,545.941<br>1,191.328 | 11.39 | 53,957<br>40,388<br>13,569 | 11.32A<br>11.32A<br>11.32A | 53,625<br>40,139<br>13,486 | 332<br>248 LT<br>83 ST      | 1,502                   | 2.78                |
| BLACKROCK FDS<br>HIGH YIELD BD PORTFOLIO INSTL<br>SYMBOL: BHYX           | CASH      |                  | 3,489.357<br>1,193.181<br>2,296.176 | 8.44  | 29,450<br>10,070<br>19,380 | 8.30A<br>8.30A<br>8.30A    | 28,958<br>9,902<br>19,056  | 492<br>168 LT<br>323 ST     | 1,696                   | 5.76                |
| COHEN & STEERS REAL ESTATE<br>SECURITIES FUND CL I<br>SYMBOL: CSDIX      | CASH      |                  | 934.044<br>651.999<br>282.045       | 15.73 | 14,693<br>10,256<br>4,437  | 14.24A<br>14.24A<br>14.24A | 13,298<br>9,282<br>4,015   | 1,395<br>974 LT<br>421 ST   | 315                     | 2.14                |
| DELAWARE GROUP EMERGING<br>MARKETS FUND-INSTL CL<br>SYMBOL: DEMIX        | CASH      |                  | 852.544<br>702.284<br>150.26        | 17.31 | 14,758<br>12,157<br>2,601  | 15.85A<br>15.85A<br>15.85A | 13,517<br>11,135<br>2,382  | 1,241<br>1,022 LT<br>219 ST | 131                     | 0.89                |
| GOLDMAN SACHS SMALL CAP<br>VALUE FUND-INSTL CL<br>SYMBOL: GSSIX          | CASH      |                  | 168.563<br>113.465<br>55.098        | 59.63 | 10,051<br>6,766<br>3,285   | 45.44A<br>45.44A<br>45.44A | 7,659<br>5,155<br>2,503    | 2,392<br>1,610 LT<br>782 ST | 63                      | 0.63                |
| GOLDMAN SACHS EMERGING MKTS<br>DEBT FD INSTL CL<br>SYMBOL: GSDIX         | CASH      |                  | 573.023<br>427.236<br>145.787       | 12.84 | 7,358<br>5,486<br>1,872    | 12.98A<br>12.98A<br>12.98A | 7,438<br>5,546<br>1,892    | -80<br>-60 LT<br>-20 ST     | 342                     | 4.65                |

STATEMENT PERIOD  
May 31 - June 30, 2014

## Your Portfolio Holdings (continued)

ACCOUNT NUMBER  
840-25929  
LAST STATEMENT May 30, 2014

### MUTUAL FUNDS (Continued)

| DESCRIPTION                                                       | ACCT TYPE | ACQUISITION DATE | QUANTITY                                | PRICE | MARKET VALUE               | UNIT COST                  | COST                       | UNREALIZED GAIN/LOSS          | ESTIMATED ANNUAL INCOME | ESTIMATED YIELD (%) |
|-------------------------------------------------------------------|-----------|------------------|-----------------------------------------|-------|----------------------------|----------------------------|----------------------------|-------------------------------|-------------------------|---------------------|
| JPMORGAN TR I<br>INTER TAX FREE BD FD INSTL CL<br>SYMBOL JIIX     | CASH      |                  | 4,874.211<br>3,426.76711<br>1,447.44389 | 11.09 | 54,055<br>38,003<br>16,052 | 11.02A<br>11.02A<br>11.02A | 53,734<br>37,777<br>15,957 | 321<br>226 LT<br>95 ST        | 1,608                   | 2.97                |
| JPMORGAN TR I<br>MID CAP EQUITY FD SELECT CL<br>SYMBOL VSNX       | CASH      |                  | 222.41<br>154.726<br>67.684             | 45.14 | 10,040<br>6,985<br>3,055   | 33.71A<br>33.71A<br>33.71A | 7,497<br>5,215<br>2,281    | 2,543<br>1,769 LT<br>774 ST   | 31                      | 0.31                |
| JPMORGAN TR I<br>SMALL CAP EQUITY FD SELECT CL<br>SYMBOL VSEIX    | CASH      |                  | 291.049<br>202.433<br>88.616            | 51.78 | 15,071<br>10,482<br>4,589  | 38.66A<br>38.66A<br>38.66A | 11,251<br>7,825<br>3,425   | 3,820<br>2,657 LT<br>1,163 ST | 52                      | 0.35                |
| JPMORGAN TR II<br>HIGH YIELD FD SELECT CL<br>SYMBOL OHYFX         | CASH      |                  | 2,995.211<br>2,173.206<br>822.005       | 8.17  | 24,471<br>17,755<br>6,716  | 8.30A<br>8.30A<br>8.30A    | 24,874<br>18,048<br>6,827  | -403<br>-293 LT<br>-111 ST    | 1,414                   | 5.78                |
| JP MORGAN VALUE ADVANTAGE FD<br>INSTL CL<br>SYMBOL JVAIX          | CASH      |                  | 1,016.391<br>750.76<br>265.631          | 29.31 | 29,790<br>22,004<br>7,786  | 25.18A<br>25.18A<br>25.18A | 25,595<br>18,906<br>6,689  | 4,195<br>3,099 LT<br>1,096 ST | 255                     | 0.86                |
| JPMORGAN TR I<br>INTL VALUE SMA FD SMA SH CL<br>SYMBOL JIYX       | CASH      |                  | 2,844.038                               | 14.06 | 39,987                     | 14.05A                     | 39,959                     | 28                            | 757                     | 1.89                |
| JPMORGAN TR I<br>EMERGING MKTS EQUITY FD INSTL<br>SYMBOL JMEX     | CASH      |                  | 600.052<br>479.04078<br>121.01122       | 24.61 | 14,767<br>11,789<br>2,978  | 22.54A<br>22.54A<br>22.54A | 13,528<br>10,800<br>2,728  | 1,239<br>989 LT<br>250 ST     | 106                     | 0.72                |
| JPMORGAN TR II<br>SHORT-INTER MUN BD FD INSTL<br>SYMBOL JIIXX     | CASH      |                  | 3,226.845                               | 10.65 | 34,366                     | 10.52A                     | 33,945                     | 421                           | 355                     | 1.03                |
| MFS SER TR X EMERGING MARKET<br>DEBT FUND CLASS I<br>SYMBOL MEDIX | CASH      |                  | 481.382<br>357.101<br>124.281           | 15.33 | 7,380<br>5,475<br>1,905    | 15.05A<br>15.05A<br>15.05A | 7,244<br>5,374<br>1,870    | 136<br>101 LT<br>35 ST        | 342                     | 4.63                |

## Your Portfolio Holdings (continued)

### MUTUAL FUNDS (Continued)

| DESCRIPTION                                                                        | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY                            | PRICE | MARKET<br>VALUE           | UNIT COST                  | COST                      | UNREALIZED<br>GAIN/LOSS       | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|------------------------------------------------------------------------------------|--------------|---------------------|-------------------------------------|-------|---------------------------|----------------------------|---------------------------|-------------------------------|----------------------------|------------------------|
| <b>MAINSTAY HIGH YIELD</b><br>CORPORATE BOND FUND CL I<br>SYMBOL: MHYIX            | CASH         |                     | 4,780.997<br>3,470.443<br>1,310.554 | 6.14  | 29,355<br>21,308<br>8,047 | 6.21A<br>6.21A<br>6.21A    | 29,672<br>21,538<br>8,134 | -317<br>-230 LT<br>-87 ST     | 2,018                      | 6.87                   |
| <b>PIMCO LOW DURATION FUND</b><br>INSTL CL<br>SYMBOL: PTLDX                        | CASH         |                     | 3,782.854                           | 10.38 | 39,266                    | 10.21A                     | 38,629                    | 637                           | 571                        | 1.45                   |
| <b>T ROWE PRICE SUMMIT</b><br>MUNICIPAL INTERMEDIATE FUND<br>SYMBOL: PRSMX         | CASH         |                     | 2,071.766                           | 11.86 | 24,571                    | 11.43A                     | 23,673                    | 898                           | 675                        | 2.75                   |
| <b>WELLS FARGO ADVANTAGE</b><br>GROWTH FUND ADMIN CL<br>SYMBOL: SGRXX              | CASH         |                     | 558.032<br>382.20<br>175.832        | 53.92 | 30,089<br>20,608<br>9,481 | 43.04A<br>43.04A<br>43.04A | 24,018<br>16,450<br>7,568 | 6,071<br>4,158 LT<br>1,913 ST |                            |                        |
| <b>WELLS FARGO ADVANTAGE FDS</b><br>EMERGING MKT EQTY FD ADMIN CL<br>SYMBOL: EMGYX | CASH         |                     | 857.175<br>710.648<br>146.527       | 22.90 | 19,629<br>16,274<br>3,355 | 22.06A<br>22.06A<br>22.06A | 18,908<br>15,676<br>3,232 | 721<br>598 LT<br>123 ST       | 33                         | 0.17                   |
| <b>TOTAL MUTUAL FUNDS</b>                                                          |              |                     |                                     |       | \$552,390                 |                            | \$524,343                 | \$28,047                      | \$13,102                   |                        |

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STATEMENT PERIOD  
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## Your Portfolio Holdings (continued)

ACCOUNT NUMBER

840-25929

LAST STATEMENT

May 30, 2014

### OTHER HOLDINGS

### Pending Stock Distributions

| DESCRIPTION                                                                                                                                       | ACCT<br>TYPE | ACQUISITION<br>DATE | QUANTITY | PRICE | MARKET<br>VALUE | UNIT COST | COST | UNREALIZED<br>GAIN/LOSS | ESTIMATED<br>ANNUAL INCOME | ESTIMATED<br>YIELD (%) |
|---------------------------------------------------------------------------------------------------------------------------------------------------|--------------|---------------------|----------|-------|-----------------|-----------|------|-------------------------|----------------------------|------------------------|
| CELGENE CORP<br>J P MORGAN SECURITIES LLC<br>MAKES A MARKET IN THIS<br>SECURITY<br>STK SPUT ON 15 SHS<br>REC 06/18/14 PAY 06/25/14<br>SYMBOL CELG | CASH         |                     | 15       | 85.88 | 1.288           |           |      |                         |                            |                        |
| Total Pending Stock Distributions                                                                                                                 |              |                     |          |       | \$1.288         |           | \$0  | \$0                     | \$0                        | \$0                    |
| TOTAL OTHER HOLDINGS                                                                                                                              |              |                     |          |       | \$1.288         |           | \$0  | \$0                     | \$0                        | \$0                    |

YOUR PORTFOLIO HOLDINGS ESTIMATED ANNUAL INCOME

\$21,451

YOUR PRICED PORTFOLIO HOLDINGS

\$989,322

8 AM

2/14

ual Basis

Transactions by Account  
As of September 30, 2014

| Type               | Date       | Num | Adj | Name | Memo       | Clr | Split         | Debit | Credit | Balance |
|--------------------|------------|-----|-----|------|------------|-----|---------------|-------|--------|---------|
| ales Deposit       |            |     |     |      |            |     |               |       |        | 2,06    |
| General Journal    | 09/13/2014 | CPA | *   |      | 091314     |     | Clearing Acco |       | 100 00 | 2,16    |
| General Journal    | 09/17/2014 | CPA | *   |      | 091714     |     | Clearing Acco |       | 100 00 | 2,26    |
| General Journal    | 09/29/2014 | CPA | *   |      | -MULTIPLE- |     | Clearing Acco |       | 600 00 | 2,86    |
| otal Sales Deposit |            |     |     |      |            |     |               | 0 00  | 800 00 | 2,86    |
| AL                 |            |     |     |      |            |     |               | 0.00  | 800.00 | 2,86    |