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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

or Section 4947(a)(1) Trust Treated as Private Foundation

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

Information about Form 990-PF and its instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2013

Open to Public Inspection

For calendar year 2013, or tax year beginning 09-01-2013 , and ending 08-31-2014

| | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| Name of foundation RICHARD MCCONNELL FAMILY FOUNDATION | | A Employer identification number 42-1493274 | |
| Number and street (or P O box number if mail is not delivered to street address) 7295 NW 100TH STREET | | B Telephone number (see instructions) (515) 986-4574 | |
| City or town, state or province, country, and ZIP or foreign postal code GRIMES, IA 50111 | | C If exemption application is pending, check here <input type="checkbox"/> | |
| G Check all that apply <div><input type="checkbox"/> Initial return <input type="checkbox"/> Final return <input type="checkbox"/> Address change</div> <div><input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Amended return <input type="checkbox"/> Name change</div> | | D 1. Foreign organizations, check here <input type="checkbox"/> 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 <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) \$ 1,843,601 | J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.) | F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/> | |

| Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions)) | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|------------------------------------|---------------------------|-------------------------|-------------------------------------------------------------|
| Revenue | 1 Contributions, gifts, grants, etc , received (attach schedule) | 100,000 | | | |
| | 2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 467 | 467 | | |
| | 4 Dividends and interest from securities. | 38,690 | 38,690 | | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) _____ | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 77,774 | | | |
| | b Gross sales price for all assets on line 6a 493,329 | | | | |
| | 7 Capital gain net income (from Part IV, line 2) . . . | | 77,774 | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| Operating and Administrative Expenses | c Gross profit or (loss) (attach schedule) | | | | |
| | 11 Other income (attach schedule) | 1,440 | 1,440 | | |
| | 12 Total. Add lines 1 through 11 | 218,371 | 118,371 | | |
| | 13 Compensation of officers, directors, trustees, etc | | | | |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) | | | | |
| | b Accounting fees (attach schedule) | 3,440 | 1,720 | | 1,720 |
| | c Other professional fees (attach schedule) | 12,277 | 6,139 | | 6,138 |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule) (see instructions) | 814 | 514 | | |
| | 19 Depreciation (attach schedule) and depletion . . . | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) | | | | |
| | 24 Total operating and administrative expenses. Add lines 13 through 23 | 16,531 | 8,373 | | 7,858 |
| | 25 Contributions, gifts, grants paid | 75,500 | | | 75,500 |
| | 26 Total expenses and disbursements. Add lines 24 and 25 | 92,031 | 8,373 | | 83,358 |
| | 27 Subtract line 26 from line 12 | | | | |
| | a Excess of revenue over expenses and disbursements | 126,340 | | | |
| | b Net investment income (if negative, enter -0-) | | 109,998 | | |
| | c Adjusted net income (if negative, enter -0-) | | | | |

| Part II Balance Sheets | | Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions) | Beginning of year | End of year | |
|-----------------------------|-----|------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|----------------|-----------------------|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash—non-interest-bearing | 74,347 | 82,922 | 82,922 |
| | 2 | Savings and temporary cash investments | | | |
| | 3 | Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____ | | | |
| | 4 | Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 | Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____ | | | |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments—U S and state government obligations (attach schedule) | | | |
| | b | Investments—corporate stock (attach schedule) | | | |
| | c | Investments—corporate bonds (attach schedule). | | | |
| | 11 | Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____ | | | |
| | 12 | Investments—mortgage loans | | | |
| | 13 | Investments—other (attach schedule) | 1,387,062 | 1,504,827 | 1,760,679 |
| | 14 | Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____ | | | |
| | 15 | Other assets (describe ▶ _____) | | | |
| | 16 | Total assets (to be completed by all filers—see the instructions Also, see page 1, item I) | 1,461,409 | 1,587,749 | 1,843,601 |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable (attach schedule) | | | |
| | 22 | Other liabilities (describe ▶ _____) | | | |
| | 23 | Total liabilities (add lines 17 through 22) | | 0 | |
| Net Assets or Fund Balances | | Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31. | | | |
| | 24 | Unrestricted | | | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31. | | | |
| | 27 | Capital stock, trust principal, or current funds | | | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | 1,461,409 | 1,587,749 | |
| | 30 | Total net assets or fund balances (see page 17 of the instructions) | 1,461,409 | 1,587,749 | |
| | 31 | Total liabilities and net assets/fund balances (see page 17 of the instructions) | 1,461,409 | 1,587,749 | |

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 | 1,461,409 |
| 2 | Enter amount from Part I, line 27a | 2 | 126,340 |
| 3 | Other increases not included in line 2 (itemize) ▶ _____ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 1,587,749 |
| 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 | 1,587,749 |

Part IV Capital Gains and Losses for Tax on Investment Income

| | | | | |
|-----------------------------------------------------------------------------------------------------------------------------------|---------------------------|----------------------------------------------|--------------------------------------|----------------------------------|
| (a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co) | | (b) How acquired P—Purchase D—Donation | (c) Date acquired (mo , day, yr) | (d) Date sold (mo , day, yr) |
| 1a | See Additional Data Table | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | | | |
|---------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------------------------|----------------------------------------------------------------------------------------------|
| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
| (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | |
| a | See Additional Data Table | | |
| b | | | |
| c | | | |
| d | | | |
| e | | | |

| | | | | |
|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|---|--------|
| 2 | Capital gain net income or (net capital loss) | { If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 } | 2 | 77,774 |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 | | 3 | 4,473 |

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 page 18 of the instructions before making any entries

| | | | |
|----------------------------------------------------------------------|------------------------------------------|----------------------------------------------|-----------------------------------------------------------|
| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col (b) divided by col (c)) |
| 2012 | 144,219 | 1,458,470 | 0 098884 |
| 2011 | 107,839 | 1,195,549 | 0 090200 |
| 2010 | 44,938 | 1,319,393 | 0 034060 |
| 2009 | 18,999 | 1,151,765 | 0 016496 |
| 2008 | 101,537 | 1,025,432 | 0 099019 |

| | | | |
|---|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----------|
| 2 | Total of line 1, column (d). | 2 | 0 338659 |
| 3 | Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0 067732 |
| 4 | Enter the net value of noncharitable-use assets for 2013 from Part X, line 5. | 4 | 1,710,751 |
| 5 | Multiply line 4 by line 3. | 5 | 115,873 |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b). | 6 | 1,100 |
| 7 | Add lines 5 and 6. | 7 | 116,973 |
| 8 | Enter qualifying distributions from Part XII, line 4. 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 | 8 | 83,358 |

Part VI **Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)**

| | | | |
|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-------|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 | | |
| | Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions) | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b | 1 | 2,200 |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b) | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 2 | |
| 3 | Add lines 1 and 2. | 3 | 2,200 |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | 4 | |
| 5 | Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0- | 5 | 2,200 |
| 6 | Credits/Payments | | |
| a | 2013 estimated tax payments and 2012 overpayment credited to 2013 | 6a | 572 |
| b | Exempt foreign organizations—tax withheld at source | 6b | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | |
| d | Backup withholding erroneously withheld | 6d | |
| 7 | Total credits and payments. Add lines 6a through 6d. | 7 | 572 |
| 8 | Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached | 8 | |
| 9 | Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed <input type="checkbox"/> | 9 | 1,628 |
| 10 | Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid . . . <input type="checkbox"/> | 10 | |
| 11 | Enter the amount of line 10 to be Credited to 2014 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/> | 11 | |

Part VII-A **Statements Regarding Activities**

| | | | | |
|-----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-----|----|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | Yes | No |
| b | Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i> | 1b | | No |
| c | Did the foundation file Form 1120-POL for this year? | 1c | | No |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input type="checkbox"/> \$ _____ (2) On foundation managers <input type="checkbox"/> \$ _____ | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ _____ | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i> | 2 | | No |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i> | 3 | | No |
| 4a | Did the foundation have unrelated business gross income of \$1,000 or more during the year? | 4a | | No |
| b | If "Yes," has it filed a tax return on Form 990-T for this year? | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i> | 5 | | No |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | Yes | |
| 7 | Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i> | 7 | Yes | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) <input type="checkbox"/> _____ | | | |
| 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? <i>If "No," attach explanation.</i> | 8b | Yes | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i> | 9 | | No |
| 10 | Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i> | 10 | | No |

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 | | No |
| 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 | | No |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | Yes | |
| Website address N/A | | | | |
| 14 | The books are in care of DEBORAH MCCONNELL Telephone no (515) 986-4574 Located at 7295 NW 100TH STREET GRIMES IA ZIP+4 50111 | | | |
| 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 | | |
| 16 | At any time during calendar year 2013, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | Yes | No |
| See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country | | | | |

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

| | | | | |
|-----------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|-----|----|
| File Form 4720 if any item is checked in the "Yes" column, unless an exception applies. | | | Yes | No |
| 1a | During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? (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)? (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). | | | |
| 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 page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here. | 1b | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013? | 1c | | |
| 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? If "Yes," list the years 20 , 20 , 20 , 20 | | | |
| b | Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions). | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 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? | | | |
| b | If "Yes," did it have excess business holdings in 2013 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2013.). | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | No |
| 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 | | No |

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))? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| (2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| (3) Provide a grant to an individual for travel, study, or other similar purposes? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> 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). | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> 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? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| b If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? | | 5b | | |
| Organizations relying on a current notice regarding disaster assistance check here. | | <input checked="" type="checkbox"/> | | |
| 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? | | <input type="checkbox"/> Yes | <input type="checkbox"/> 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? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | | 6b No | | |
| 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? | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | |
| b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? | | 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 |
| RICHARD L MCCONNELL 7295 NW 100TH ST GRIMES,IA 50111 | TRUSTEE 1 00 | 0 | 0 | 0 |
| DEBORAH K MCCONNELL 7295 NW 100TH ST GRIMES,IA 50111 | TRUSTEE 1 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. | | | | |

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 | |
| 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 N/A | |
| 2 | |
| | |
| | |
| All other program-related investments. See page 24 of the instructions. | |
| 3 | |
| | |
| | |
| Total. Add lines 1 through 3. | |

Part X

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

| | | | |
|---|--------------------------------------------------------------------------------------------------------------------|----|-----------|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes | | |
| a | Average monthly fair market value of securities. | 1a | 1,629,623 |
| b | Average of monthly cash balances. | 1b | 107,180 |
| c | Fair market value of all other assets (see instructions). | 1c | 0 |
| d | Total (add lines 1a, b, and c). | 1d | 1,736,803 |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). | 1e | |
| 2 | Acquisition indebtedness applicable to line 1 assets. | 2 | |
| 3 | Subtract line 2 from line 1d. | 3 | 1,736,803 |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions). | 4 | 26,052 |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 1,710,751 |
| 6 | Minimum investment return. Enter 5% of line 5. | 6 | 85,538 |

Part XI

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

| | | | |
|----|-----------------------------------------------------------------------------------------------------------|----|--------|
| 1 | Minimum investment return from Part X, line 6. | 1 | 85,538 |
| 2a | Tax on investment income for 2013 from Part VI, line 5. | 2a | 2,200 |
| b | Income tax for 2013 (This does not include the tax from Part VI). | 2b | |
| c | Add lines 2a and 2b. | 2c | 2,200 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1. | 3 | 83,338 |
| 4 | Recoveries of amounts treated as qualifying distributions. | 4 | |
| 5 | Add lines 3 and 4. | 5 | 83,338 |
| 6 | Deduction from distributable amount (see instructions). | 6 | |
| 7 | Distributable amount as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1. | 7 | 83,338 |

Part XII

Qualifying Distributions (see instructions)

| | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|----|--------|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes | | |
| a | Expenses, contributions, gifts, etc —total from Part I, column (d), line 26. | 1a | 83,358 |
| b | Program-related investments—total from Part IX-B. | 1b | |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes. | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required). | 3a | |
| b | Cash distribution test (attach the required schedule). | 3b | |
| 4 | Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 83,358 |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions). | 5 | |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4. | 6 | 83,358 |
| Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years | | | |

Part XIII

Undistributed Income (see instructions)

| | (a) Corpus | (b) Years prior to 2012 | (c) 2012 | (d) 2013 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------------------|-------------|-------------|
| 1 Distributable amount for 2013 from Part XI, line 7 | | | | 83,338 |
| 2 Undistributed income, if any, as of the end of 2013 | | | | |
| a Enter amount for 2012 only. | | | | |
| b Total for prior years 20____, 20____, 20____ | | | | |
| 3 Excess distributions carryover, if any, to 2013 | | | | |
| a From 2008. | | | | |
| b From 2009. | | | | |
| c From 2010. | | | | |
| d From 2011. | | | | 39,116 |
| e From 2012. | | | | 72,249 |
| f Total of lines 3a through e. | 111,365 | | | |
| 4 Qualifying distributions for 2013 from Part XII, line 4 ▶ \$ 83,358 | | | | |
| a Applied to 2012, but not more than line 2a | | | | |
| b Applied to undistributed income of prior years (Election required—see instructions). | | | | |
| c Treated as distributions out of corpus (Election required—see instructions). | | | | |
| d Applied to 2013 distributable amount. | | | | 83,338 |
| e Remaining amount distributed out of corpus | 20 | | | |
| 5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a).) | | | | |
| 6 Enter the net total of each column as indicated below: | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 111,385 | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b. | | | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed. | | | | |
| d Subtract line 6c from line 6b Taxable amount—see instructions | | | | |
| e Undistributed income for 2012 Subtract line 4a from line 2a Taxable amount—see instructions | | | | |
| f Undistributed income for 2013 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2014 | | | | 0 |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions). | | | | |
| 8 Excess distributions carryover from 2008 not applied on line 5 or line 7 (see instructions). . . . | | | | |
| 9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a | 111,385 | | | |
| 10 Analysis of line 9 | | | | |
| a Excess from 2009. . . . | | | | |
| b Excess from 2010. . . . | | | | |
| c Excess from 2011. . . . | | | | 39,116 |
| d Excess from 2012. . . . | | | | 72,249 |
| e Excess from 2013. . . . | | | | 20 |

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

Part XVSupplementary Information (Complete this part only if the organization 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))

RICHARD MCCONNELL

b

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

2

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

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

a

The name, address, and telephone number of the person to whom applications should be addressed

b

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

c

Any submission deadlines

d

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

Part XV

Supplementary Information (continued)

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

| Recipient | 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) | | | | |
| a Paid during the year See Additional Data Table | | | | |
| Total | | | 3a | 75,500 |
| b Approved for future payment | | | | |
| Total | | | 3b | |

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2013)

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

[illegible]


Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

| (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|-----------------------|--------------------------------------------|-------------------------------------------------|----------------------------------------------|
| 615 | | 613 | 2 |
| 129,857 | | 116,961 | 12,896 |
| 80,540 | | 76,031 | 4,509 |
| 171,908 | | 121,573 | 50,335 |
| 5,605 | | 5,643 | -38 |
| 94,299 | | 94,734 | -435 |

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

| Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h)) |
|---------------------------------------------------------------------------------------------|-----------------------------------|--------------------------------------------|----------------------------------------------------------------------------------------|
| (i) F M V as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col (i) over col (j), if any | |
| | | | 2 |
| | | | 12,896 |
| | | | 4,509 |
| | | | 50,335 |
| | | | -38 |
| | | | -435 |

Form 990PF Part XV Line 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) | | | | |
| a Paid during the year | | | | |
| BLANK CHILDREN'S HOSPITAL 1440 INGERSOLL AVE DES MOINES,IA 50309 | NONE | CHARITY | OPERATING FUND | 5,000 |
| UNIVERSITY OF NEBRASKA 1010 LINCOLN MALL LINCOLN,NE 68508 | NONE | CHARITY | OPERATING FUND | 50,000 |
| DES MOINES PERFORMING ARTS 221 WALNUT ST DES MOINES,IA 50309 | NONE | CHARITY | OPERATING FUND | 7,500 |
| ST PAUL PRESBYTERIAN CHURCH 6426 MERLE HAY ROAD JOHNSTON,IA 50131 | NONE | CHARITY | OPERATING FUND | 10,000 |
| FARMHOUSE FOUNDATION 7306 NW TIFFANY SPRING KANSAS CITY,MO 64153 | NONE | CHARITY | OPERATING FUND | 1,000 |
| COLORADO STATE UNIVERSITY 1062 CAMPUS DELIVERY FORT COLLINS,CO 80523 | NONE | CHARITY | OPERATING FUND | 2,000 |
| Total  3a | | | | 75,500 |

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

Schedule of Contributors

▶ Attach to Form 990, 990-EZ, or 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at www.irs.gov/form990.

OMB No 1545-0047

2013

| | |
|-----------------------------------------------------------------|----------------------------------------------|
| Name of the organization RICHARD MCCONNELL FAMILY FOUNDATION | Employer identification number 42-1493274 |
|-----------------------------------------------------------------|----------------------------------------------|

Organization type (check one)

| | |
|--------------------|-----------------------------------------------------------------------------------------------------------|
| Filers of: | Section: |
| Form 990 or 990-EZ | <input type="checkbox"/> 501(c)() (enter number) organization |
| | <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust not treated as a private foundation |
| | <input type="checkbox"/> 527 political organization |
| Form 990-PF | <input checked="" type="checkbox"/> 501(c)(3) exempt private foundation |
| | <input type="checkbox"/> 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | <input type="checkbox"/> 501(c)(3) taxable private foundation |

Check 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 33¹/₃% 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 for 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 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 990PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

| | |
|--------------------------------------------------------------------|-----------------------------------------------------|
| Name of organization RICHARD MCCONNELL FAMILY FOUNDATION | Employer identification number 42-1493274 |
|--------------------------------------------------------------------|-----------------------------------------------------|

Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed

| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
|------------|---------------------------------------------------------------------------------|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | RICHARD AND DEBORAH K MCCONNELL 7295 NW 100TH STREET GRIMES, IA 50111 | \$ 100,000 | Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |
| (a) No. | (b) Name, address, and ZIP + 4 | (c) Total contributions | (d) Type of contribution |
| | | \$ | Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions) |

| | |
|--------------------------------------------------------------------|-----------------------------------------------------|
| Name of organization RICHARD MCCONNELL FAMILY FOUNDATION | Employer identification number 42-1493274 |
|--------------------------------------------------------------------|-----------------------------------------------------|

| Part II | Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed | | |
|---------------------|---------------------------------------------------------------------------------------------------|------------------------------------------------|----------------------|
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| _____ | _____ _____ _____ _____ | \$ _____ | _____ |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| _____ | _____ _____ _____ _____ | \$ _____ | _____ |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| _____ | _____ _____ _____ _____ | \$ _____ | _____ |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| _____ | _____ _____ _____ _____ | \$ _____ | _____ |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| _____ | _____ _____ _____ _____ | \$ _____ | _____ |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| _____ | _____ _____ _____ _____ | \$ _____ | _____ |

| | |
|--------------------------------------------------------------------|-----------------------------------------------------|
| Name of organization RICHARD MCCONNELL FAMILY FOUNDATION | Employer identification number 42-1493274 |
|--------------------------------------------------------------------|-----------------------------------------------------|

Part III

Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry

For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc , contributions of **\$1,000 or less** for the year (Enter this information once See instructions) ▶ \$

Use duplicate copies of Part III if additional space is needed

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---------------------------|---------------------------------------|-------------------------------------|------------------------------------------|
| — | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP 4 | | Relationship of transferor to transferee |
| — | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> | |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP 4 | | Relationship of transferor to transferee |
| — | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP 4 | | Relationship of transferor to transferee |
| — | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP 4 | | Relationship of transferor to transferee |
| — | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> | <div></div> <div></div> <div></div> |
| | (e) Transfer of gift | | |
| | Transferee's name, address, and ZIP 4 | | Relationship of transferor to transferee |

TY 2013 Accounting Fees Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|-----------------------------|--------|--------------------------|------------------------|---------------------------------------------|
| INDIRECT ACCOUNTING FEES | 3,440 | 1,720 | | 1,720 |

TY 2013 Compensation Explanation

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

| Person Name | Explanation |
|---------------------|-------------|
| RICHARD L MCCONNELL | |
| DEBORAH K MCCONNELL | |

TY 2013 Investments - Other Schedule**Name:** RICHARD MCCONNELL FAMILY FOUNDATION**EIN:** 42-1493274

| Category / Item | Listed at Cost or FMV | Book Value | End of Year Fair Market Value |
|----------------------------------|-----------------------|------------|-------------------------------|
| COMMON STOCKS 316-12 | AT COST | 55,000 | 62,343 |
| ETFS AND CLOSED END FUNDS 316-12 | AT COST | 285,177 | 271,016 |
| GOVERNMENT AND GSE BONDS | AT COST | 26,660 | 29,812 |
| CERTIFICATES OF DEPOSIT | AT COST | 86,802 | 73,475 |
| MUTUAL FUNDS 316-12 | AT COST | 145,665 | 177,881 |
| COMMON STOCKS 316-13 | AT COST | 490,837 | 649,505 |
| PREFERRED STOCKS | AT COST | | |
| MUTUAL FUNDS 316-13 | AT COST | 8,426 | 8,426 |
| ETFS AND CLOSED END FUNDS 316-14 | AT COST | 29,671 | 62,496 |
| MUTUAL FUNDS 316-14 | AT COST | 325,429 | 362,871 |
| UNIT INVESTMENT TRUSTS | AT COST | 51,160 | 62,854 |

TY 2013 Other Income Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

| Description | Revenue And Expenses Per Books | Net Investment Income | Adjusted Net Income |
|--------------|-----------------------------------|--------------------------|---------------------|
| OTHER INCOME | 1,440 | 1,440 | |

TY 2013 Other Professional Fees Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|-------------------------------------|--------|--------------------------|------------------------|---------------------------------------------|
| INDIRECT OTHER PROFESSIONAL FEES | 12,277 | 6,139 | | 6,138 |

TY 2013 Taxes Schedule

Name: RICHARD MCCONNELL FAMILY FOUNDATION

EIN: 42-1493274

| Category | Amount | Net Investment Income | Adjusted Net Income | Disbursements for Charitable Purposes |
|-------------------------|--------|--------------------------|------------------------|---------------------------------------------|
| INDIRECT TAXES/LICENSES | 814 | 514 | | |

Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
JTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| BOEING CO | 06/07/12 | 09/23/13 | 5.000 | \$582.76 | \$350.55 | \$232.21 | |
| BROADCOM CORP CL A | 08/26/11 | 09/23/13 | 66.000 | 1,794.02 | 2,233.35 | (439.33) R | |
| CREDIT SUISSE GROUP | 07/01/11 | 09/04/13 | 10.000 | 293.03 | 396.81 | (103.78) | |
| DOMINOS PIZZA INC | 12/20/10 | 09/24/13 | 83.000 | 5,570.30 | 1,335.74 | 4,234.56 | |
| DOW CHEMICAL CO | 04/04/12 | 09/17/13 | 14.000 | 554.82 | 467.93 | 86.89 | |
| HALLIBURTON CO | 11/08/10 | 09/09/13 | 13.000 | 652.65 | 432.91 | 219.74 | |
| INTERNATIONAL CONS AIRLS GRP | 06/08/09 | 09/04/13 | 20.000 | 447.51 | 235.99 | 211.52 | |



Account Detail

 Select UMA Basic Securities Account
 316-118113-529

 RICHARD & DEBORAH MC CONNELL
 TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|----------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| SABRA HEALTH CARE REIT INC | 06/23/11 | 09/24/13 | 77 000 | 1,800.94 | 1,228.06 | 572.88 | R |
| TESORO PETROLEUM CP | 06/14/12 | 09/24/13 | 54 000 | 2,443.07 | 1,211.26 | 1,231.81 | |
| TIMKEN CO | 06/14/12 | 09/24/13 | 28 000 | 1,741.26 | 1,276.78 | 464.48 | |
| TOYOTA MOTOR CP ADR NEW | 03/03/08 | 09/09/13 | 2 000 | 251.56 | 217.76 | 33.80 | |
| VODAFONE GP PLC ADS NEW | 06/21/10 | 09/04/13 | 2 000 | 64.73 | 42.74 | 21.99 | |
| | 01/10/11 | 09/04/13 | 11 000 | 356.02 | 305.67 | 50.35 | |
| | 01/10/11 | 09/04/13 | 5 000 | 161.83 | 138.94 | 22.89 | |
| | 01/10/11 | 09/04/13 | 2 000 | 64.72 | 55.58 | 9.14 | |
| Long-Term This Period | | | | \$16,779.22 | \$9,930.07 | \$6,849.15 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| BROADCOM CORP CL A | 03/14/13 | 09/23/13 | 16 000 | 434.91 | 561.60 | (126.69) | |
| MYR GROUP INC DEL COM | 12/18/12 | 09/24/13 | 63 000 | 1,510.85 | 1,367.87 | 142.98 | |
| PERRY ELLIS INTL INC | 12/18/12 | 09/24/13 | 61 000 | 1,176.96 | 1,321.91 | (144.95) | |
| Short-Term This Period | | | | \$3,122.72 | \$3,251.38 | \$(128.66) | |
| Net Realized Gain/(Loss) This Period | | | | \$19,901.94 | \$13,181.45 | \$6,720.49 | |

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

R - The cost basis for this tax lot was adjusted due to a reclassification of income.

MESSAGES

Consolidated Statement of Financial Condition (In Thousands of Dollars)

At June 30, 2013 Morgan Stanley Smith Barney LLC had net capital of \$3,205,445 which exceeded the Securities and Exchange Commission's minimum requirement by \$3,046,441. A copy of the Morgan Stanley Smith Barney LLC Consolidated Statement of Financial Condition at June 30, 2013 can be viewed online at http://www.morganstanley.com/about/ir/shareholder/morganstanley_smithbarney_llc.pdf or may be mailed to you at no cost by calling 1 (866) 825-1675, after September 15, 2013.

Account Detail

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|-------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| AVIVA PLC ADR | 10/22/09 | 08/28/14 | 29.000 | \$499.33 | \$417.08 | \$82.25 | |
| CARNIVAL CP NEW PAIRED COM | 02/17/12 | 08/27/14 | 18.000 | 681.11 | 559.07 | 122.04 | |
| CHEUNG KONG HOLDINGS ADR | 01/02/08 | 08/29/14 | 52.000 | 940.95 | 933.40 | 7.55 | |
| CVS CAREMARK CORP | 11/05/09 | 08/27/14 | 6.000 | 476.40 | 177.27 | 299.13 | |
| | 11/05/09 | 08/27/14 | 1.000 | 79.40 | 29.55 | 49.85 | |
| | 07/01/10 | 08/27/14 | 5.000 | 397.00 | 145.01 | 251.99 | |
| | 07/01/10 | 08/27/14 | 4.000 | 317.61 | 116.01 | 201.60 | |
| | 07/01/10 | 08/27/14 | 2.000 | 158.80 | 58.01 | 100.79 | |
| EMBRAER S A ADR | 01/02/08 | 08/28/14 | 2.000 | 77.92 | 90.99 | (13.07) | |
| EMC CORP MASS | 02/18/09 | 08/13/14 | 35.000 | 1,033.22 | 416.27 | 616.95 | |
| | 02/18/09 | 08/22/14 | 65.000 | 1,926.56 | 773.08 | 1,153.48 | |
| ERICSSON LM TEL ADR CL B NEW | 10/19/09 | 08/28/14 | 18.000 | 222.62 | 187.23 | 35.39 | |
| | 11/20/09 | 08/28/14 | 38.000 | 469.97 | 383.69 | 86.28 | |
| | 05/07/10 | 08/28/14 | 27.000 | 333.92 | 271.25 | 62.67 | |
| | 10/07/10 | 08/28/14 | 15.000 | 185.51 | 161.96 | 23.55 | |
| | 10/20/10 | 08/28/14 | 34.000 | 420.50 | 369.87 | 50.63 | |
| | 06/23/11 | 08/28/14 | 42.000 | 519.43 | 553.56 | (34.13) | |
| ICICI BANK LTD | 10/17/08 | 08/28/14 | 15.000 | 799.01 | 254.01 | 545.00 | |
| ING GROEP NV ADR | 12/17/09 | 08/28/14 | 2.000 | 27.52 | 12.53 | 14.99 | |
| | 01/05/10 | 08/28/14 | 15.000 | 206.38 | 160.66 | 45.72 | |
| | 10/20/10 | 08/28/14 | 3.000 | 41.27 | 33.02 | 8.25 | |
| KB FINANCIAL GRP INC SONS ADR | 01/02/08 | 08/28/14 | 11.000 | 443.23 | 766.48 | (323.25) | |
| MERCK & CO INC NEW COM | 04/24/13 | 08/22/14 | 38.000 | 2,250.07 | 1,851.18 | 398.89 | |
| | 05/01/13 | 08/22/14 | 4.000 | 236.85 | 181.72 | 55.13 | |
| PROCTER & GAMBLE | 06/19/12 | 08/27/14 | 2.000 | 166.58 | 125.13 | 41.45 | |
| STANLEY BLACK & DECKER INC | 12/17/12 | 08/27/14 | 10.000 | 906.63 | 719.18 | 187.45 | |
| STATOIL ASA ADR | 06/04/09 | 08/28/14 | 3.000 | 85.53 | 64.19 | 21.34 | |
| | 12/20/10 | 08/28/14 | 18.000 | 513.20 | 414.54 | 98.66 | |
| | 12/23/10 | 08/28/14 | 10.000 | 285.11 | 233.57 | 51.54 | |
| TAIWAN SMCNDCR MFG CO LTD ADR | 01/02/08 | 08/28/14 | 15.000 | 309.90 | 142.12 | 167.78 | |



Account Detail

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| | 02/04/09 | 08/28/14 | 46.000 | 950.35 | 362.80 | 587.55 | |
| WILLIS GROUP HOLDINGS PLC | 01/30/09 | 08/27/14 | 8.000 | 334.86 | 199.71 | 135.15 | |
| Long-Term This Period | | | | \$16,296.74 | \$11,164.14 | \$5,132.60 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|-------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| BILFINGER SE UNSPON ADR | 11/27/13 | 08/28/14 | 26.000 | 391.38 | 584.04 | (192.66) | |
| MANITOWOC CO | 04/11/14 | 08/07/14 | 81.000 | 2,192.31 | 2,452.16 | (259.85) | |
| | 04/11/14 | 08/08/14 | 35.000 | 941.58 | 1,059.58 | (118.00) | |
| | 05/07/14 | 08/08/14 | 10.000 | 269.02 | 280.49 | (11.47) | |
| MASTERCARD INC CL A | 10/11/13 | 08/26/14 | 40.000 | 3,097.97 | 2,716.33 | 381.64 | |
| WHIRLPOOL CORP | 02/27/14 | 08/07/14 | 24.000 | 3,446.14 | 3,477.58 | (31.44) | |
| Short-Term This Period | | | | \$10,338.40 | \$10,570.18 | \$(231.78) | |

| | | | |
|--------------------------------------|-------------|-------------|------------|
| Net Realized Gain/(Loss) This Period | \$26,635.14 | \$21,734.32 | \$4,900.82 |
|--------------------------------------|-------------|-------------|------------|

Treasury regulations require that we report adjusted cost basis on the sale of covered securities acquired on or after January 1, 2011, and classify the gain or loss as either long-term or short-term. These regulations require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes, is provided for informational purposes, and should not be used for tax preparation. Refer to the Expanded Disclosures.

MESSAGES

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You may be eligible to benefit from a reduction of the amount of foreign taxes you pay on dividends on international securities in your account. These taxes are withheld by foreign tax authorities. Contact your Financial Advisor to determine qualification eligibility and requirements.

Important Information About Advisory Accounts

Please notify your Financial Advisor if there have been any changes in your financial situation or investment objectives, or if you wish to impose any reasonable restrictions on the management of your Investment Advisory accounts, or to reasonably modify existing restrictions.

For a copy of the applicable ADV Brochure for Morgan Stanley Smith Barney LLC, or for any Investment Adviser with whom we contract to manage your investment advisory account, please contact your Financial Advisor. These ADV Brochures contain important information about advisory programs.



Account Detail

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316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

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REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| AETNA INC (NEW)(CT) | 10/17/11 | 07/25/14 | 8.000 | \$664.03 | \$301.38 | \$362.65 | |
| ITOCHU CORP ADR | 06/21/10 | 07/07/14 | 3.000 | 76.61 | 52.59 | 24.02 | |
| | 07/02/10 | 07/07/14 | 10.000 | 255.38 | 159.82 | 95.56 | |
| | 12/03/10 | 07/07/14 | 5.000 | 127.69 | 99.08 | 28.61 | |
| | 01/27/11 | 07/07/14 | 10.000 | 255.38 | 222.16 | 33.22 | |
| | 01/27/11 | 07/08/14 | 5.000 | 127.67 | 111.08 | 16.59 | |
| | 03/16/11 | 07/08/14 | 17.000 | 434.09 | 322.25 | 111.84 | |
| TREND MICRO INC SPON ADR NEW | 09/13/12 | 07/07/14 | 8.000 | 264.72 | 220.32 | 44.40 | |
| | 12/17/12 | 07/07/14 | 8.000 | 264.71 | 230.62 | 34.09 | |
| Long-Term This Period | | | | \$2,470.28 | \$1,719.30 | \$750.98 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| FOSSIL GROUP INC COM | 11/01/13 | 07/25/14 | 26.000 | 2,636.45 | 3,312.32 | (675.87) | |
| | 03/12/14 | 07/25/14 | 4.000 | 405.61 | 458.24 | (52.63) | |
| Short-Term This Period | | | | \$3,042.06 | \$3,770.56 | \$(728.50) | |
| Net Realized Gain/(Loss) This Period | | | | \$5,512.34 | \$5,489.86 | \$22.48 | |

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MESSAGES

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Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|----------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|--------------|
| ABBOTT LABORATORIES | 01/23/13 | 06/02/14 | 21 000 | \$836 10 | \$688 65 | \$147 45 | |
| GOOGLE INC CL C | 12/06/10 | 04/09/14 | 1 000 | 559 03 | 288 90 | 270 13 | |
| | 11/13/12 | 04/09/14 | 3 000 | 1,677 09 | 994 49 | 682.60 | |
| INTESA SANPAOLO S.P.A. ADR | 01/02/08 | 06/19/14 | 21.000 | 416 39 | 987 00 | (570.61) | |
| | 02/03/11 | 06/19/14 | 6 000 | 118 97 | 126 16 | (7.19) | |
| NOW INC | 02/26/13 | 05/30/14 | | 8 40 | 0 00 | 8.40 | Cash in Lieu |
| | 02/26/13 | 05/30/14 | | 8 40 | 0 00 | 8.40 | Cash in Lieu |
| | 02/26/13 | 06/03/14 | 3 000 | 103 63 | 74 32 | 29.31 | |
| | 02/27/13 | 06/03/14 | 12 000 | 417 21 | 330 90 | 86.31 | |

Account Detail

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| PETSMART INC | 10/27/10 | 06/12/14 | 32 000 | 1,854.34 | 1,182.62 | 671.72 | |
| | 03/14/13 | 06/12/14 | 10 000 | 579.48 | 627.78 | (48.30) | |
| REXAM PLC | 01/02/08 | 06/02/14 | 0 333 | 15.06 | 17.57 | (2.51) | |
| SUPERIOR ENERGY SERVICES INC | 02/27/12 | 06/27/14 | 51 000 | 1,832.40 | 1,524.54 | 307.86 | |
| | 02/27/12 | 06/30/14 | 17.000 | 612.46 | 508.18 | 104.28 | |
| | 06/21/12 | 06/30/14 | 42.000 | 1,513.13 | 809.30 | 703.83 | |
| Long-Term This Period | | | | \$8,299.17 | \$6,877.02 | \$1,422.15 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| ABBOTT LABORATORIES | 07/24/13 | 06/02/14 | 32.000 | 1,274.07 | 1,164.15 | 109.92 | |
| | 07/24/13 | 06/02/14 | 1 000 | 39.81 | 36.38 | 3.43 | |
| CONAGRA FOODS INC | 10/03/13 | 06/23/14 | 150 000 | 4,323.95 | 4,591.77 | (267.82) | |
| NOW INC | 03/10/14 | 06/03/14 | 7 000 | 241.81 | 228.26 | 13.55 | |
| | 03/10/14 | 06/03/14 | 4 000 | 139.07 | 130.43 | 8.64 | |
| | 03/10/14 | 06/03/14 | 1 000 | 34.54 | 47.82 | (13.28) | |
| SKYWORKS SOLUTIONS INC | 06/24/13 | 06/12/14 | 28 000 | 1,344.04 | 600.74 | 743.30 | |
| SUPERIOR ENERGY SERVICES INC | 09/09/13 | 06/30/14 | 46 000 | 1,657.23 | 1,220.89 | 436.34 | |
| Short-Term This Period | | | | \$9,054.52 | \$8,020.44 | \$1,034.08 | |
| Net Realized Gain/(Loss) This Period | | | | \$17,353.69 | \$14,897.46 | \$2,456.23 | |

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Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

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REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| CHICOS FAS INC | 01/29/13 | 05/27/14 | 82.000 | \$1,272.19 | \$1,440.09 | \$(167.90) | |
| | 01/29/13 | 05/27/14 | 4.000 | 62.06 | 70.25 | (8.19) | |
| CREDIT SUISSE GROUP | 07/01/11 | 05/13/14 | 8.000 | 236.31 | 317.45 | (81.14) | |
| | 08/31/11 | 05/13/14 | 2.000 | 59.08 | 57.66 | 1.42 | |
| DEUTSCHE POST AG SPONSORED ADR | 04/08/09 | 05/16/14 | 19.000 | 690.73 | 216.76 | 473.97 | |
| DOW CHEMICAL CO | 04/04/12 | 05/29/14 | 17.000 | 892.26 | 568.20 | 324.06 | |
| FIRST AMERICAN FINL CORP | 09/19/12 | 05/27/14 | 64.000 | 1,768.40 | 1,363.69 | 404.71 | |
| INTL BUSINESS MACHINES CORP | 01/02/08 | 05/29/14 | 13.000 | 2,383.76 | 1,362.05 | 1,021.71 | |
| OCWEN FINANCIAL CORP NEW | 09/29/11 | 05/27/14 | 89.000 | 3,019.17 | 1,182.77 | 1,836.40 | |
| SANDISK CORP | 05/14/13 | 05/29/14 | 14.000 | 1,350.42 | 813.04 | 537.38 | |
| STATOIL ASA ADR | 05/13/09 | 05/08/14 | 15.000 | 470.46 | 318.35 | 152.11 | |
| | 06/04/09 | 05/08/14 | 12.000 | 376.36 | 256.78 | 119.58 | |
| TARGET CORPORATION | 04/14/10 | 05/29/14 | 7.000 | 390.98 | 395.50 | (4.52) | |

Account Detail

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|----------|--------------------|--------------------------|-------------------------|----------|
| TELENAV INC COM | 03/17/11 | 05/27/14 | 82 000 | 461.10 | 884.20 | (423.10) | |
| | 03/18/11 | 05/27/14 | 42 000 | 236.18 | 461.38 | (225.20) | |
| TREX COMPANY INC | 03/27/13 | 05/27/14 | 58,000 | 1,907.02 | 1,413.96 | 493.06 | |
| Long-Term This Period | | | | \$15,576.48 | \$11,122.13 | \$4,454.35 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------|------------------|--------------|----------|--------------------|--------------------------|-------------------------|----------|
| ALLERGAN INC | 12/06/13 | 05/07/14 | 6 000 | 996.80 | 588.38 | 408.42 | |
| ANADARKO PETE | 11/18/13 | 05/13/14 | 7,000 | 708.69 | 634.20 | 74.49 | |
| CADENCE DESIGN SYSTEM | 06/28/13 | 05/27/14 | 106 000 | 1,788.38 | 1,538.79 | 249.59 | |
| CIRRUS LOGIC INC | 09/24/13 | 05/27/14 | 66 000 | 1,464.50 | 1,554.07 | (89.57) | |
| HILTON WORLDWIDE HOLDINGS INC | 12/17/13 | 05/20/14 | 86,000 | 1,846.96 | 1,873.31 | (26.35) | |
| | 12/18/13 | 05/20/14 | 28 000 | 601.34 | 610.41 | (9.07) | |
| | 12/18/13 | 05/21/14 | 102 000 | 2,208.13 | 2,223.64 | (15.51) | |
| INTERCONTINENTALEXCHANGE GROUP | 12/16/13 | 05/30/14 | 15,000 | 2,949.59 | 3,314.82 | (365.23) | |
| Short-Term This Period | | | | \$12,564.39 | \$12,337.62 | \$226.77 | |

| | | | | | | | |
|---------------------------------------------|--|--|--|--------------------|--------------------|-------------------|--|
| Net Realized Gain/(Loss) This Period | | | | \$28,140.87 | \$23,459.75 | \$4,681.12 | |
|---------------------------------------------|--|--|--|--------------------|--------------------|-------------------|--|

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316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| CREDIT AGRICOLE SA UNSP ADR | 08/19/10 | 04/09/14 | 30.000 | \$238.00 | \$202.01 | \$35.99 | |
| FIDELITY NATL INFORMATION SE | 02/25/13 | 04/11/14 | 68.000 | 3,499.42 | 2,504.37 | 995.05 | |
| GOOGLE INC CL C | 10/26/12 | 04/07/14 | 1.000 | 530.56 | 338.25 | 192.31 | |
| | 11/13/12 | 04/07/14 | 1.000 | 530.56 | 331.50 | 199.06 | |
| | 11/13/12 | 04/07/14 | 1.000 | 530.56 | 331.50 | 199.06 | |
| HALLIBURTON CO | 11/08/10 | 04/30/14 | 8.000 | 504.74 | 266.40 | 238.34 | |
| KBR INC | 08/23/11 | 04/24/14 | 26.000 | 682.86 | 701.10 | (18.24) | |
| | 05/11/12 | 04/24/14 | 52.000 | 1,365.71 | 1,571.56 | (205.85) | |
| | 07/19/12 | 04/24/14 | 16.000 | 420.22 | 391.81 | 28.41 | |
| | 09/19/12 | 04/24/14 | 36.000 | 945.49 | 1,121.46 | (175.97) | |
| SOCIETE GENERALE SP ADR | 01/30/13 | 04/09/14 | 56.000 | 699.98 | 502.68 | 197.30 | |
| SUPERIOR ENERGY SERVICES INC | 02/27/12 | 04/30/14 | 12.000 | 392.70 | 358.72 | 33.98 | |
| VALERO ENERGY CP DELA NEW | 11/02/12 | 04/30/14 | 9.000 | 514.38 | 235.72 | 278.66 | |
| | 11/09/12 | 04/30/14 | 42.000 | 2,400.43 | 1,141.80 | 1,258.63 | |
| Long-Term This Period | | | | \$13,255.61 | \$9,998.88 | \$3,256.73 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| GOOGLE INC CL C | 04/11/13 | 04/07/14 | 1.000 | 530.56 | 393.42 | 137.14 | |
| VALERO ENERGY CP DELA NEW | 05/03/13 | 04/30/14 | 6.000 | 342.91 | 226.54 | 116.37 | |
| Short-Term This Period | | | | \$873.47 | \$619.96 | \$253.51 | |

Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

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| | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) |
|--------------------------------------|-------------------|--------------------------|-------------------------|
| Net Realized Gain/(Loss) This Period | \$14,129.08 | \$10,618.84 | \$3,510.24 |

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Account Detail

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| ACE LTD | 12/11/08 | 03/26/14 | 1.000 | \$98.10 | \$48.87 | \$49.23 | |
| | 12/11/08 | 03/26/14 | 1.000 | 98.11 | 48.86 | 49.25 | |
| | 12/11/08 | 03/26/14 | 1.000 | 98.11 | 48.86 | 49.25 | |
| | 05/03/10 | 03/26/14 | 1.000 | 98.10 | 53.02 | 45.08 | |
| CISCO SYS INC | 05/19/09 | 03/12/14 | 95.000 | 2,066.55 | 1,823.97 | 242.58 | |
| | 04/08/11 | 03/12/14 | 56.000 | 1,218.18 | 986.16 | 232.02 | |
| IAC INTERACTIVECORP COM | 09/27/10 | 03/14/14 | 44.000 | 3,231.62 | 1,171.86 | 2,059.76 | |
| ING GROEP NV ADR | 12/17/09 | 03/26/14 | 24.000 | 328.93 | 150.39 | 178.54 | |
| LONZA GROUP AG ZUERICH ADR | 10/20/08 | 03/21/14 | 25.000 | 264.48 | 263.82 | 0.66 | |
| POST PROPERTIES INC | 03/27/12 | 03/14/14 | 30.000 | 1,469.99 | 1,380.52 | 89.47 | R |
| SYMANTEC CORP | 04/24/12 | 03/10/14 | 28.000 | 576.06 | 460.31 | 115.75 | |
| | 04/24/12 | 03/10/14 | 26.000 | 534.91 | 427.43 | 107.48 | |
| | 04/24/12 | 03/17/14 | 41.000 | 831.84 | 674.03 | 157.81 | |
| | 04/25/12 | 03/17/14 | 10.000 | 202.89 | 162.60 | 40.29 | |
| | 04/25/12 | 03/17/14 | 5.000 | 101.44 | 81.30 | 20.14 | |
| | 07/19/12 | 03/17/14 | 20.000 | 405.78 | 276.16 | 129.62 | |
| | 07/19/12 | 03/17/14 | 10.000 | 202.89 | 138.08 | 64.81 | |
| TJX COS INC NEW | 06/07/12 | 03/19/14 | 56.000 | 3,403.86 | 2,350.07 | 1,053.79 | |
| TREND MICRO INC SPON ADR NEW | 01/10/11 | 03/27/14 | 9.000 | 282.58 | 301.44 | (18.86) | |
| | 09/13/12 | 03/27/14 | 2.000 | 62.79 | 55.08 | 7.71 | |
| Long-Term This Period | | | | \$15,577.21 | \$10,902.83 | \$4,674.38 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|-----------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| ALLERGAN INC | 12/06/13 | 03/12/14 | 6.000 | 764.52 | 588.38 | 176.14 | |
| BIG 5 SPORTING GOODS CORP | 06/28/13 | 03/14/14 | 69.000 | 1,056.45 | 1,548.68 | (492.23) | |
| BIOGEN IDEC INC | 09/23/13 | 03/12/14 | 2.000 | 666.30 | 486.38 | 179.92 | |
| OASIS PETROLEUM INC | 09/24/13 | 03/14/14 | 36.000 | 1,480.84 | 1,678.39 | (197.55) | |
| REPSOL SA SPON ADR | 06/27/13 | 03/27/14 | 24.000 | 601.51 | 509.38 | 92.13 | |
| SKYWORKS SOLUTIONS INC | 06/24/13 | 03/12/14 | 24.000 | 894.56 | 514.92 | 379.64 | |
| STARWOOD HTLS & RSTS WW INC | 08/06/13 | 03/10/14 | 46.000 | 3,634.62 | 3,156.37 | 478.25 | |
| SYMANTEC CORP | 11/12/13 | 03/17/14 | 29.000 | 588.38 | 658.50 | (70.12) | |
| | 11/12/13 | 03/17/14 | 28.000 | 568.09 | 635.80 | (67.71) | |
| | 11/12/13 | 03/19/14 | 8.000 | 163.00 | 181.66 | (18.66) | |
| | 12/23/13 | 03/19/14 | 91.000 | 1,854.09 | 2,077.17 | (223.08) | |
| | 12/23/13 | 03/19/14 | 4.000 | 81.49 | 91.30 | (9.81) | |

Account Detail

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| VALMONT INDUSTRIES | 09/24/13 | 03/14/14 | 11 000 | 1,630 21 | 1,624 22 | 5 99 | |
| VERIZON COMMUNICATIONS | 02/21/14 | 03/06/14 | 15 000 | 712 48 | 721 73 | (9 25) | |
| WESTERN REFINING, INC | 03/27/13 | 03/14/14 | 42 000 | 1,669 67 | 1,469 06 | 200 61 | |
| Short-Term This Period | | | | \$16,366.21 | \$15,941.94 | \$424.27 | |
| | | | | | | | |
| Net Realized Gain/(Loss) This Period | | | | \$31,943.42 | \$26,844.77 | \$5,098.65 | |

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

R - The cost basis for this tax lot was adjusted due to a reclassification of income

MESSAGES

Consolidated Statement of Financial Condition (In Millions of Dollars)

At December 31, 2013 Morgan Stanley Smith Barney LLC had net capital of \$3,483 which exceeded the Securities and Exchange Commission's minimum requirement by \$3,302. A copy of the Morgan Stanley Smith Barney LLC Consolidated Statement of Financial Condition at December 31, 2013 can be viewed online at http://www.morganstanley.com/about/ir/shareholder/morganstanley_smithbarney_llc.pdf or may be mailed to you at no cost by calling 1 (866) 825-1675, after March 15, 2014.

Make Your Annual IRA Contribution

The deadline to make your 2013 IRA contribution is April 15, 2014, so there is still time to contribute to a Traditional or Roth IRA, if eligible. The maximum contribution is \$5,500 for 2013, or \$6,500 if you are age 50 or older. Your Financial Advisor can help you open a new IRA or fund an existing one. You can even move funds from an existing Morgan Stanley non-retirement account if you have one. Speak with your Financial Advisor or Private Wealth Advisor about making an IRA contribution for 2014 at the same time and take advantage of a year of additional potential growth.

Important tax information related to your international securities holdings

You may be eligible to benefit from a reduction of the amount of foreign taxes you pay on dividends on international securities in your account. These taxes are withheld by foreign tax authorities. Contact your Financial Advisor to determine qualification eligibility and requirements.

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TTEE RICHARD MC CONNELL FAM TR

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REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|-------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| AGILENT TECHNOLOGIES | 01/12/12 | 02/26/14 | 62.000 | \$3,529.81 | \$2,409.17 | \$1,120.64 | |
| ALSTOM ADR | 01/28/11 | 02/19/14 | 87 000 | 227 83 | 493.59 | (265.76) | |
| | 12/01/11 | 02/19/14 | 75 000 | 196.40 | 256.51 | (60.11) | |
| | 03/26/12 | 02/19/14 | 62 000 | 162 36 | 254 82 | (92 46) | |
| CELGENE CORP | 06/27/12 | 02/12/14 | 22 000 | 3,553.95 | 1,398 00 | 2,155 95 | |
| G4S PLC UNSPONS ADR | 01/22/09 | 02/05/14 | 18.000 | 339.65 | 251.72 | 87 93 | |
| | 01/22/09 | 02/05/14 | 2.000 | 37.74 | 27.97 | 9 77 | |
| RANDSTAD HLDG NV UNSPON ADR | 09/06/12 | 02/05/14 | 20 000 | 619.38 | 337 76 | 281 62 | |
| SCRIPPS NETWORKS INTERAC CL A | 08/14/12 | 02/27/14 | 42 000 | 3,395.81 | 2,505 37 | 890 44 | |
| TREND MICRO INC SPON ADR NEW | 01/10/11 | 02/26/14 | 11 000 | 368 61 | 368 42 | 0.19 | |
| VALE S A SP | 06/19/09 | 02/26/14 | 14 000 | 172 07 | 225 19 | (53 12) | |
| | 07/09/09 | 02/26/14 | 10 000 | 122 91 | 140.33 | (17 42) | |
| | 04/08/11 | 02/26/14 | 6 000 | 73 74 | 181 78 | (108 04) | |
| VODAFONE GROUP PLC | 04/01/11 | 02/21/14 | 0 181 | 7 59 | 9 62 | (2 03) | |
| Long-Term This Period | | | | \$12,807.85 | \$8,860.25 | \$3,947.60 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|-----------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| AMDOCS LIMITED ORD | 10/04/13 | 02/12/14 | 10 000 | 436 90 | 371 19 | 65 71 | |
| EXPRESS SCRIPTS HLDG CO COM | 03/18/13 | 02/21/14 | 3 000 | 221 33 | 178 26 | 43 07 | |
| VERIZON COMMUNICATIONS | 02/21/14 | 02/21/14 | 0.517 | 24 51 | 24 88 | (0 37) | |
| Short-Term This Period | | | | \$682.74 | \$574.33 | \$108.41 | |

Account Detail

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| Net Realized Gain/(Loss) This Period | | | | \$13,490.59 | \$9,434.58 | \$4,056.01 | |

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

MESSAGES

Looking to boost your retirement savings?

There's still time before the April 15 deadline to open either a Traditional IRA with contributions that may be tax-deductible on your 2013 tax return, or a Roth IRA with the advantage of tax-free withdrawals (if certain conditions are met). The maximum contribution is \$5,500, or \$6,500 if you are age 50 or older. Please call your Financial Advisor or Private Wealth Advisor for more information about your retirement savings strategy.

Important tax information related to your international securities holdings

You may be eligible to benefit from a reduction of the amount of foreign taxes you pay on dividends on international securities in your account. These taxes are withheld by foreign tax authorities. Contact your Financial Advisor to determine qualification eligibility and requirements.

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316-118113-529

RICHARD & DEBORAH MC CONNELL
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INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| ABBOTT LABORATORIES | 07/02/09 | 01/31/14 | 9.000 | \$330.87 | \$199.15 | \$131.72 | |
| | 10/05/09 | 01/31/14 | 2.000 | 73.53 | 48.33 | 25.20 | |
| | 04/21/10 | 01/31/14 | 13.000 | 477.92 | 322.42 | 155.50 | |
| | 02/02/11 | 01/31/14 | 19.000 | 698.49 | 416.95 | 281.54 | |
| | 01/03/13 | 01/31/14 | 50.000 | 1,838.14 | 1,662.66 | 175.48 | |
| | 01/23/13 | 01/31/14 | 8.000 | 294.10 | 262.34 | 31.76 | |
| GOOGLE INC-CL A | 12/06/10 | 01/08/14 | 1.000 | 1,140.60 | 578.72 | 561.88 | |
| LLOYDS BANKING GROUP PLC | 06/01/12 | 01/31/14 | 95.000 | 518.40 | 149.95 | 368.45 | |
| METLIFE INCORPORATED | 08/25/10 | 01/07/14 | 13.000 | 701.99 | 468.52 | 233.47 | |
| NORFOLK SOUTHERN CORP | 06/03/10 | 01/22/14 | 13.000 | 1,210.56 | 743.54 | 467.02 | |
| | 01/31/11 | 01/22/14 | 13.000 | 1,210.56 | 794.69 | 415.87 | |
| | 03/02/12 | 01/22/14 | 5.000 | 465.60 | 340.00 | 125.60 | |
| | 05/23/12 | 01/22/14 | 17.000 | 1,583.05 | 1,133.25 | 449.80 | |
| | 10/12/12 | 01/22/14 | 6.000 | 558.73 | 398.60 | 160.13 | |
| REPSOL SA SPON ADR | 01/02/08 | 01/17/14 | 13.000 | 336.20 | 474.63 | (138.43) | |
| | 06/06/12 | 01/17/14 | 13.000 | 336.20 | 207.29 | 128.91 | |
| SYMANTEC CORP | 01/31/12 | 01/16/14 | 4.000 | 92.77 | 68.20 | 24.57 | |
| | 03/23/12 | 01/16/14 | 85.000 | 1,971.41 | 1,547.72 | 423.69 | |
| | 03/23/12 | 01/16/14 | 51.000 | 1,182.84 | 928.63 | 254.21 | |
| | 04/24/12 | 01/16/14 | 10.000 | 231.93 | 164.40 | 67.53 | |
| Long-Term This Period | | | | \$15,253.89 | \$10,909.99 | \$4,343.90 | |



Account Detail

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| MERCK & CO INC NEW COM | 04/24/13 | 01/16/14 | 12 000 | 630 02 | 584 58 | 45 44 | |
| Short-Term This Period | | | | \$630.02 | \$584.58 | \$45.44 | |
| Net Realized Gain/(Loss) This Period | | | | \$15,883.91 | \$11,494.57 | \$4,389.34 | |

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MESSAGES

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316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|----------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| CVS CAREMARK CORP | 11/05/09 | 12/13/13 | 4 000 | \$270.42 | \$118.19 | \$152.23 | |
| | 11/05/09 | 12/13/13 | 4.000 | 270.41 | 118.18 | 152.23 | |
| FLEXTRONICS INTL LTD | 10/09/08 | 12/02/13 | 96 000 | 721.79 | 496.72 | 225.07 | |
| | 10/09/08 | 12/02/13 | 21 000 | 157.89 | 108.66 | 49.23 | |
| | 10/28/08 | 12/02/13 | 18 000 | 135.34 | 71.41 | 63.93 | |
| | 10/28/08 | 12/02/13 | 2.000 | 15.04 | 7.93 | 7.11 | |
| | 11/02/09 | 12/02/13 | 20 000 | 150.37 | 133.30 | 17.07 | |
| | 11/02/09 | 12/02/13 | 2 000 | 15.04 | 13.33 | 1.71 | |
| | 02/05/10 | 12/02/13 | 80.000 | 601.49 | 527.74 | 73.75 | |

Account Detail

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| | 02/05/10 | 12/02/13 | 9.000 | 67.67 | 59.37 | 8.30 | |
| | 02/08/10 | 12/02/13 | 44.000 | 330.82 | 293.28 | 37.54 | |
| | 02/08/10 | 12/02/13 | 3.000 | 22.55 | 20.00 | 2.55 | |
| | 07/01/10 | 12/02/13 | 6.000 | 45.11 | 34.09 | 11.02 | |
| | 02/08/10 | 12/03/13 | 43.000 | 319.89 | 286.62 | 33.27 | |
| | 02/08/10 | 12/03/13 | 11.000 | 81.83 | 73.32 | 8.51 | |
| | 07/01/10 | 12/03/13 | 79.000 | 587.69 | 448.82 | 138.87 | |
| | 07/01/10 | 12/03/13 | 10.000 | 74.39 | 56.81 | 17.58 | |
| | 10/21/10 | 12/03/13 | 55.000 | 409.15 | 337.65 | 71.50 | |
| | 10/21/10 | 12/03/13 | 6.000 | 44.64 | 36.84 | 7.80 | |
| | 07/19/12 | 12/03/13 | 18.000 | 133.91 | 113.49 | 20.42 | |
| | 07/19/12 | 12/03/13 | 4.000 | 29.75 | 25.22 | 4.53 | |
| FOOT LOCKER INC | 09/19/12 | 12/17/13 | 22.000 | 862.87 | 799.67 | 63.20 | |
| GOOGLE INC-CL A | 12/06/10 | 12/23/13 | 2.000 | 2,216.29 | 1,157.43 | 1,058.86 | |
| INTERDIGITAL INC | 09/27/10 | 12/17/13 | 40.000 | 1,273.36 | 1,147.67 | 125.69 | |
| LLOYDS BANKING GROUP PLC | 06/01/12 | 12/04/13 | 45.000 | 226.80 | 71.03 | 155.77 | |
| LSI CORP | 09/19/12 | 12/17/13 | 188.000 | 2,055.21 | 1,426.30 | 628.91 | |
| MYLAN INC | 11/12/12 | 12/16/13 | 97.000 | 4,074.82 | 2,523.15 | 1,551.67 | |
| OCCIDENTAL PETROLEUM CORP DE | 08/16/12 | 12/10/13 | 28.000 | 2,592.61 | 2,501.30 | 91.31 | |
| | 10/01/12 | 12/10/13 | 19.000 | 1,759.27 | 1,644.41 | 114.86 | |
| ROSS STORES INC | 07/07/09 | 12/05/13 | 36.000 | 2,609.53 | 699.49 | 1,910.04 | |
| VALERO ENERGY CP DELA NEW | 11/02/12 | 12/10/13 | 14.000 | 649.47 | 366.68 | 282.79 | |
| Long-Term This Period | | | | \$22,805.42 | \$15,718.10 | \$7,087.32 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| FOOT LOCKER INC | 03/14/13 | 12/17/13 | 16.000 | 627.55 | 528.90 | 98.65 | |
| OCCIDENTAL PETROLEUM CORP DE | 06/21/13 | 12/10/13 | 18.000 | 1,666.69 | 1,615.38 | 51.31 | |
| RAYMOND JAMES FINCL INC | 03/21/13 | 12/17/13 | 36.000 | 1,760.62 | 1,693.33 | 67.29 | |
| ROSS STORES INC | 12/18/12 | 12/05/13 | 13.000 | 942.33 | 707.94 | 234.39 | |
| VANTIV INC CL-A | 03/27/13 | 12/17/13 | 64.000 | 1,877.65 | 1,482.33 | 395.32 | |
| | 11/08/13 | 12/17/13 | 6.000 | 176.02 | 164.80 | 11.22 | |
| | 11/08/13 | 12/17/13 | 2.000 | 58.68 | 54.93 | 3.75 | |
| Short-Term This Period | | | | \$7,109.54 | \$6,247.61 | \$861.93 | |



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TTEE RICHARD MC CONNELL FAM TR

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REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| Net Realized Gain/(Loss) This Period | | | | \$29,914.96 | \$21,965.71 | \$7,949.25 | |

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MESSAGES

FINRA BrokerCheck

FINRA has established the public disclosure program, known as BrokerCheck, to provide certain information regarding the disciplinary history of FINRA members and their associated persons. The BrokerCheck Hotline Number is 1-800-289-9999. The FINRA web site address is www.finra.org. An investor brochure that includes information describing FINRA BrokerCheck may be obtained from FINRA.

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REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| CBS CORP NEW CL B SHRS | 10/25/11 | 11/22/13 | 60 000 | \$3,514.87 | \$1,501.23 | \$2,013.64 | |
| | 10/28/11 | 11/22/13 | 2 000 | 117.16 | 51.48 | 65.68 | |
| CENTRAIS ELEC BRAS SP ADR CM | 08/05/11 | 11/01/13 | 19 000 | 58.52 | 209.56 | (151.04) | |
| | 08/15/11 | 11/01/13 | 20 000 | 61.60 | 210.02 | (148.42) | |
| | 10/12/12 | 11/01/13 | 40 000 | 123.21 | 237.19 | (113.98) | |
| ING GROEP NV ADR | 01/02/08 | 11/01/13 | 42 000 | 540.56 | 1,609.86 | (1,069.30) | |
| | 12/17/09 | 11/01/13 | 10 000 | 128.70 | 62.66 | 66.04 | |
| LLOYDS BANKING GROUP PLC | 06/01/12 | 11/01/13 | 75 000 | 375.19 | 118.38 | 256.81 | |
| ON SEMICONDUCTOR CORP | 05/14/10 | 11/08/13 | 39 000 | 273.50 | 301.52 | (28.02) | |
| | 05/17/10 | 11/08/13 | 158 000 | 1,108.03 | 1,231.59 | (123.56) | |
| | 06/25/10 | 11/08/13 | 45 000 | 315.58 | 298.49 | 17.09 | |
| | 07/02/10 | 11/08/13 | 6 000 | 42.08 | 37.72 | 4.36 | |
| | 08/23/11 | 11/08/13 | 67 000 | 469.86 | 489.54 | (19.68) | |
| | 05/21/12 | 11/08/13 | 70 000 | 490.90 | 483.58 | 7.32 | |
| | 09/12/12 | 11/08/13 | 65 000 | 455.84 | 429.92 | 25.92 | |
| | 07/27/11 | 11/20/13 | 2 000 | 60.73 | 44.37 | 16.36 | |
| RANDSTAD HLDG NV UNSPON ADR | 08/12/11 | 11/20/13 | 10 000 | 303.66 | 170.83 | 132.83 | |
| | 09/06/12 | 11/20/13 | 4 000 | 121.47 | 67.55 | 53.92 | |
| | 10/26/12 | 11/04/13 | 28 000 | 3,075.07 | 1,934.03 | 1,141.04 | |
| ROCKWELL AUTOMATION INC | 10/26/12 | 11/04/13 | 5 000 | 549.12 | 345.36 | 203.76 | |
| | 10/26/12 | 11/05/13 | 3 000 | 325.61 | 207.22 | 118.39 | |
| | 10/26/12 | 11/05/13 | 1 000 | 108.53 | 69.07 | 39.46 | |
| TELENOR ASA ADS | 01/02/08 | 11/01/13 | 5 000 | 365.04 | 358.80 | 6.24 | |



Account Detail

Select UMA Basic Securities Account
316-118113-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| Long-Term This Period | | | | \$12,984.83 | \$10,469.97 | \$2,514.86 | |
| | | | | | | | |
| Net Realized Gain/(Loss) This Period | | | | \$12,984.83 | \$10,469.97 | \$2,514.86 | |

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

MESSAGES

Important tax information related to your international securities holdings

You may be eligible to benefit from a reduction of the amount of foreign taxes you pay on dividends on international securities in your account. These taxes are withheld by foreign tax authorities. Contact your Financial Advisor to determine qualification eligibility and requirements.

Important Information About Advisory Accounts

Please notify your Financial Advisor if there have been any changes in your financial situation or investment objectives, or if you wish to impose any reasonable restrictions on the management of your Investment Advisory accounts, or to reasonably modify existing restrictions.

For a copy of the applicable ADV Brochure for Morgan Stanley Smith Barney LLC, or for any Investment Adviser with whom we contract to manage your investment advisory account, please contact your Financial Advisor. These ADV Brochures contain important information about advisory programs.

Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| ACCENTURE PLC IRELAND CL A | 04/18/12 | 10/31/13 | 40 000 | \$2,959.53 | \$2,543.86 | \$415.67 | |
| COACH INC | 06/09/08 | 10/30/13 | 37 000 | 1,879.80 | 1,301.52 | 578.28 | |
| | 06/21/12 | 10/30/13 | 2 000 | 101.61 | 123.66 | (22.05) | |
| DBS GROUP HOLDINGS LTD SP | 01/02/08 | 10/24/13 | 6 000 | 321.74 | 341.40 | (19.66) | |
| DEUTSCHE POST AG SPONSORED ADR | 03/19/09 | 10/02/13 | 10 000 | 328.98 | 107.00 | 221.98 | |
| | 04/08/09 | 10/02/13 | 1 000 | 32.90 | 11.41 | 21.49 | |
| GILEAD SCIENCE | 01/02/08 | 10/30/13 | 9 000 | 652.42 | 204.21 | 448.21 | |
| LLOYDS BANKING GROUP PLC | 06/01/12 | 10/09/13 | 80 000 | 376.79 | 126.27 | 250.52 | |
| MCKESSON CORP | 08/26/11 | 10/30/13 | 9 000 | 1,400.66 | 686.98 | 713.68 | |
| MICHELIN COMPAGNIE GENERALE DE | 10/20/08 | 10/09/13 | 21 000 | 437.59 | 239.99 | 197.60 | |
| MONSANTO CO/NEW | 07/28/11 | 10/10/13 | 34 000 | 3,570.02 | 2,547.25 | 1,022.77 | |
| PRUDENTIAL FINANCIAL INC | 11/09/11 | 10/03/13 | 1 000 | 77.00 | 52.11 | 24.89 | |

Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|----------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| | 06/20/12 | 10/03/13 | 37.000 | 2,849.10 | 1,794.81 | 1,054.29 | |
| SWISS RE LTD SPONSORED ADR | 06/07/11 | 10/18/13 | 5.000 | 430.67 | 297.67 | 133.00 | |
| UNILEVER NV NY SH NEW | 03/24/10 | 10/03/13 | 9.000 | 340.01 | 266.84 | 73.17 | |
| | 03/24/10 | 10/03/13 | 1.000 | 37.78 | 29.65 | 8.13 | |
| | 02/07/11 | 10/03/13 | 4.000 | 151.12 | 118.88 | 32.24 | |
| | 02/07/11 | 10/03/13 | 1.000 | 37.78 | 29.72 | 8.06 | |
| VODAFONE GP PLC ADS NEW | 01/10/11 | 10/11/13 | 16.000 | 565.25 | 444.61 | 120.64 | |
| | 01/10/11 | 10/11/13 | 12.000 | 423.94 | 333.46 | 90.48 | |
| | 01/10/11 | 10/11/13 | 11.000 | 388.61 | 305.67 | 82.94 | |
| | 01/18/11 | 10/11/13 | 39.000 | 1,377.80 | 1,125.58 | 252.22 | |
| | 01/18/11 | 10/11/13 | 15.000 | 529.92 | 432.92 | 97.00 | |
| | 04/01/11 | 10/11/13 | 15.000 | 529.93 | 434.86 | 95.07 | |
| Long-Term This Period | | | | \$19,800.95 | \$13,900.33 | \$5,900.62 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|----------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| AIR PROD & CHEM INC | 05/22/13 | 10/03/13 | 37.000 | 3,932.46 | 3,543.07 | 389.39 | |
| CAPITAL ONE FINANCIAL CORP | 01/31/13 | 10/04/13 | 5.000 | 350.72 | 282.25 | 68.47 | |
| COACH INC | 02/20/13 | 10/30/13 | 17.000 | 863.70 | 817.53 | 46.17 | |
| DARDEN RESTAURANTS | 01/30/13 | 10/15/13 | 16.000 | 816.39 | 736.96 | 79.43 | |
| | 01/31/13 | 10/15/13 | 18.000 | 918.44 | 832.74 | 85.70 | |
| | 02/05/13 | 10/15/13 | 17.000 | 867.41 | 799.64 | 67.77 | |
| | 02/08/13 | 10/15/13 | 9.000 | 459.22 | 424.28 | 34.94 | |
| | 02/11/13 | 10/15/13 | 25.000 | 1,275.60 | 1,177.82 | 97.78 | |
| ELAN PLC ADR | 01/25/13 | 10/31/13 | 50.000 | 828.44 | 508.64 | 319.80 | |
| EQUIFAX INC | 11/12/12 | 10/07/13 | 50.000 | 2,979.10 | 2,514.10 | 465.00 | |
| PRUDENTIAL FINANCIAL INC | 02/07/13 | 10/03/13 | 19.000 | 1,463.06 | 1,075.44 | 387.62 | |
| VALERO ENERGY CP DELA NEW | 11/02/12 | 10/23/13 | 24.000 | 977.00 | 628.60 | 348.40 | |
| VODAFONE GP PLC ADS NEW | 12/19/12 | 10/11/13 | 11.000 | 388.61 | 279.23 | 109.38 | |
| | 06/21/13 | 10/11/13 | 18.000 | 635.91 | 491.74 | 144.17 | |
| Short-Term This Period | | | | \$16,756.06 | \$14,112.04 | \$2,644.02 | |

Account Detail

Select UMA Basic Securities Account
316-118113-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

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| | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) |
|--------------------------------------|-------------------|--------------------------|-------------------------|
| Net Realized Gain/(Loss) This Period | \$36,557.01 | \$28,012.37 | \$8,544.64 |

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

MESSAGES

IMPORTANT INFORMATION ABOUT YOUR Select UMA ACCOUNT(S)

Due to a system error, certain Separately Managed Account sub-manager asset values used to calculate advisory fees in Select UMA accounts were overstated and your account was overcharged. Please note, this discrepancy only affected billing. Statement values and performance reporting were not otherwise affected.

The discrepancy has been corrected and your account has been credited, as displayed on this statement, with an amount that includes the appropriate advisory fee rebate, plus interest, calculated using the U.S. Department of Labor's Voluntary Fiduciary Correction rate methodology.

We sincerely apologize for any inconvenience this may have caused and are taking steps to prevent this from happening in the future. As always, your Financial Advisor is available to discuss this matter with you.

Important tax information related to your international securities holdings

You may be eligible to benefit from a reduction of the amount of foreign taxes you pay on dividends on international securities in your account. These taxes are withheld by foreign tax authorities. Contact your Financial Advisor to determine qualification eligibility and requirements.

Important Information About Advisory Accounts

Please notify your Financial Advisor if there have been any changes in your financial situation or investment objectives, or if you wish to impose any reasonable restrictions on the management of your Investment Advisory accounts, or to reasonably modify existing restrictions.

For a copy of the applicable ADV Brochure for Morgan Stanley Smith Barney LLC, or for any Investment Adviser with whom we contract to manage your investment advisory account, please contact your Financial Advisor. These ADV Brochures contain important information about advisory programs.

Account Detail

Active Assets Account
316-118112-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

MISSING COST

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|---------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| INVESCO MID CAP CORE EQUITY A | | 09/25/13 | 961 030 | \$25,000.00 | 21 997 97 | N/A | |
| Missing Cost This Period | | | | \$25,000.00 | N/A | N/A | |
| Missing Cost Year to Date | | | | \$25,000.00 | N/A | N/A | |
| Net Realized Gain/(Loss) This Period | | | | \$25,000.00 | \$0.00 | \$0.00 | |
| Net Realized Gain/(Loss) Year to Date | | | | \$25,000.00 | \$0.00 | \$0.00 | |

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

MESSAGES

Consolidated Statement of Financial Condition (In Thousands of Dollars)

At June 30, 2013 Morgan Stanley Smith Barney LLC had net capital of \$3,205,445 which exceeded the Securities and Exchange Commission's minimum requirement by \$3,046,441. A copy of the Morgan Stanley Smith Barney LLC Consolidated Statement of Financial Condition at June 30, 2013 can be viewed online at: http://www.morganstanley.com/about/ir/shareholder/morganstanley_smithbarney_llc.pdf or may be mailed to you at no cost by calling 1 (866) 825-1675, after September 15, 2013

Notice Regarding the Order Protection Rule

The following is being provided to you pursuant to FINRA Rule 5320, the Order Protection Rule, a copy of which can be obtained at www.finra.org/.

Consistent with the exceptions permitted under FINRA Rule 5320, we and our trade routing destinations may trade principally at prices that would satisfy your equity trading order through our and their use of internal controls, such as information barriers, that operate to prevent a trading unit that handles principal positions from obtaining knowledge of customer orders handled by a separate trading unit.

With respect to certain "Not Held" large orders (orders for more than 10,000 shares and \$100,000), the same internal controls may not be available. For these orders you may instruct us that you do not wish us or our routing destinations to trade principally along side your order. Such instruction will limit the range of execution alternatives that we are able to offer.

Additional information regarding the handling of your equity orders and our business practices in relation to the Order Protection Rule is available online at

www.morganstanleyindividual.com/customerservice/disclosures/.

Important Information for Holders of Structured Products

Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column of the Holdings section. Structured products may not perform in a manner consistent with the statement product category where they appear and therefore may not satisfy portfolio asset allocation needs for that category. Please see "Special Considerations Regarding Structured Products" in the Disclosure section for an overview of some of the risks associated with structured products. For more information about the risks specific to your structured products, you should contact your Financial Advisor.



Account Detail

Active Assets Account
316-118112-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|-----------|-------------------|--------------------------|-------------------------|----------|
| MS BUFF JUMP IYR .000 1-27-14 | 01/25/12 | 01/27/14 | 2,000 000 | \$26,400.00 | \$20,000.00 | \$6,400 00 | |
| Long-Term This Period | | | | \$26,400.00 | \$20,000.00 | \$6,400.00 | |
| Net Realized Gain/(Loss) This Period | | | | \$26,400.00 | \$20,000.00 | \$6,400.00 | |

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

Account Detail

Active Assets Account
316-118112-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|-----------|-------------------|--------------------------|-------------------------|----------|
| SENTINEL LOW DURATION BOND S | 12/15/09 | 07/21/14 | 3,041 216 | \$27,000.00 | \$28,222.48 | \$(1,222.48) | |
| | 12/15/09 | 07/25/14 | 59 865 | 525.00 | 555.55 | (30.55) | |
| Long-Term This Period | | | | \$27,525.00 | \$28,778.03 | \$(1,253.03) | |
| Net Realized Gain/(Loss) This Period | | | | \$27,525.00 | \$28,778.03 | \$(1,253.03) | |

Treasury regulations require that we report adjusted cost basis on the sale of covered securities acquired on or after January 1, 2011, and classify the gain or loss as either long-term or short-term. These regulations require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes, is provided for informational purposes, and should not be used for tax preparation. Refer to the Expanded Disclosures.

MESSAGES

Important Information for Holders of Structured Products

Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column of the Holdings section. Structured products may not perform in a manner consistent with the statement product category where they appear and therefore may not satisfy portfolio asset allocation needs for that category. Please see "Special Considerations Regarding Structured Products" in the Disclosure section for an overview of some of the risks associated with structured products. For more information about the risks specific to your structured products, you should contact your Financial Advisor.

Account Detail

Active Assets Account
316-118112-529

RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|-----------|-------------------|--------------------------|-------------------------|----------|
| SENTINEL LOW DURATION BOND S | 12/15/09 | 08/26/14 | 1,495.991 | \$13,279.67 | \$13,882.80 | \$(603.13) | |
| | 12/24/09 | 08/26/14 | 9.891 | 87.80 | 91.59 | (3.79) | |
| | 01/25/10 | 08/26/14 | 11.040 | 98.00 | 102.56 | (4.56) | |
| | 02/22/10 | 08/26/14 | 10.503 | 93.23 | 97.36 | (4.13) | |
| | 03/26/10 | 08/26/14 | 9.949 | 88.32 | 92.13 | (3.81) | |
| | 04/26/10 | 08/26/14 | 11.739 | 104.21 | 108.59 | (4.38) | |
| | 05/24/10 | 08/26/14 | 10.520 | 93.38 | 97.94 | (4.56) | |
| | 06/25/10 | 08/26/14 | 9.934 | 88.18 | 92.68 | (4.50) | |
| | 07/26/10 | 08/26/14 | 8.735 | 77.54 | 81.67 | (4.13) | |
| | 08/26/10 | 08/26/14 | 8.740 | 77.58 | 81.81 | (4.23) | |
| | 09/27/10 | 08/26/14 | 9.332 | 82.84 | 87.07 | (4.23) | |
| | 10/25/10 | 08/26/14 | 8.267 | 73.38 | 76.97 | (3.59) | |
| | 11/26/10 | 08/26/14 | 9.374 | 83.21 | 87.37 | (4.16) | |
| | 12/27/10 | 08/26/14 | 8.925 | 79.23 | 82.38 | (3.15) | |
| | 01/26/11 | 08/26/14 | 8.373 | 74.33 | 77.37 | (3.04) | |
| | 02/22/11 | 08/26/14 | 9.004 | 79.93 | 82.66 | (2.73) | |
| | 03/28/11 | 08/26/14 | 7.875 | 69.91 | 72.45 | (2.54) | |
| | 04/25/11 | 08/26/14 | 7.878 | 69.93 | 72.56 | (2.63) | |
| | 05/26/11 | 08/26/14 | 6.678 | 59.28 | 61.84 | (2.56) | |
| | 06/27/11 | 08/26/14 | 7.186 | 63.79 | 66.69 | (2.90) | |

Account Detail

Active Assets Account
316-118112-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|-----------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| | 07/25/11 | 08/26/14 | 6.705 | 59.52 | 62.02 | (2.50) | |
| | 08/26/11 | 08/26/14 | 7.231 | 64.19 | 66.89 | (2.70) | |
| | 09/26/11 | 08/26/14 | 6.739 | 59.82 | 62.20 | (2.38) | |
| | 10/26/11 | 08/26/14 | 6.243 | 55.42 | 57.50 | (2.08) | |
| | 11/25/11 | 08/26/14 | 7.309 | 64.88 | 67.17 | (2.29) | |
| | 12/27/11 | 08/26/14 | 6.302 | 55.94 | 57.66 | (1.72) | |
| | 01/26/12 | 08/26/14 | 6.829 | 60.62 | 62.55 | (1.93) | |
| | 02/24/12 | 08/26/14 | 6.831 | 60.64 | 62.64 | (2.00) | |
| | 03/26/12 | 08/26/14 | 6.314 | 56.05 | 57.90 | (1.85) | |
| | 04/25/12 | 08/26/14 | 6.316 | 56.07 | 57.98 | (1.91) | |
| | 05/24/12 | 08/26/14 | 6.344 | 56.31 | 58.05 | (1.74) | |
| | 06/21/12 | 08/26/14 | 6.374 | 56.58 | 58.13 | (1.55) | |
| | 07/24/12 | 08/26/14 | 5.838 | 51.82 | 53.36 | (1.54) | |
| | 08/23/12 | 08/26/14 | 6.397 | 56.79 | 58.28 | (1.49) | |
| | 09/20/12 | 08/26/14 | 5.344 | 47.44 | 48.63 | (1.19) | |
| | 10/24/12 | 08/26/14 | 5.355 | 47.54 | 48.68 | (1.14) | |
| | 11/20/12 | 08/26/14 | 5.904 | 52.41 | 53.61 | (1.20) | |
| | 12/20/12 | 08/26/14 | 5.397 | 47.91 | 48.79 | (0.88) | |
| | 01/24/13 | 08/26/14 | 4.874 | 43.27 | 43.96 | (0.69) | |
| | 02/21/13 | 08/26/14 | 5.970 | 52.99 | 53.79 | (0.80) | |
| | 03/21/13 | 08/26/14 | 5.434 | 48.24 | 48.96 | (0.72) | |
| | 04/23/13 | 08/26/14 | 5.446 | 48.34 | 49.01 | (0.67) | |
| | 05/23/13 | 08/26/14 | 5.470 | 48.56 | 49.07 | (0.51) | |
| | 06/20/13 | 08/26/14 | 6.057 | 53.77 | 54.03 | (0.26) | |
| | 07/24/13 | 08/26/14 | 6.106 | 54.20 | 54.10 | 0.10 | |
| | 08/22/13 | 08/26/14 | 5.551 | 49.28 | 49.24 | 0.04 | |
| Long-Term This Period | | | | \$16,232.34 | \$16,940.69 | \$(708.35) | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| SENTINEL LOW DURATION BOND S | 09/23/13 | 08/26/14 | 6.114 | 54.27 | 54.23 | 0.04 | |
| | 10/24/13 | 08/26/14 | 5.014 | 44.51 | 44.42 | 0.09 | |
| | 11/20/13 | 08/26/14 | 6.141 | 54.51 | 54.35 | 0.16 | |
| | 12/23/13 | 08/26/14 | 5.615 | 49.84 | 49.47 | 0.37 | |
| | 01/23/14 | 08/26/14 | 5.053 | 44.85 | 44.57 | 0.28 | |
| | 02/20/14 | 08/26/14 | 7.282 | 64.64 | 64.45 | 0.19 | |

Account Detail

Active Assets Account
316-118112-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| | 03/24/14 | 08/26/14 | 7 301 | 64.81 | 64.54 | 0.27 | |
| | 04/23/14 | 08/26/14 | 7 296 | 64.77 | 64.64 | 0.13 | |
| | 05/22/14 | 08/26/14 | 6.729 | 59.73 | 59.75 | (0.02) | |
| | 06/23/14 | 08/26/14 | 7 300 | 64.80 | 64.82 | (0.02) | |
| | 07/24/14 | 08/26/14 | 2 641 | 23.44 | 23.43 | 0.01 | |
| | 08/21/14 | 08/26/14 | 2.778 | 24.65 | 24.64 | 0.01 | |
| Short-Term This Period | | | | \$614.82 | \$613.31 | \$1.51 | |

MISSING COST

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|-----------|-------------------|--------------------------|-------------------------|----------|
| INVESCO MID CAP CORE EQUITY A | | 08/26/14 | 1,251 601 | 34,000.00 | Please Provide | N/A | A |
| | | 08/27/14 | 25 985 | 700.00 | Please Provide | N/A | A |
| Missing Cost This Period | | | | \$34,700.00 | N/A | N/A | |
| Missing Cost Year to Date | | | | \$34,700.00 | N/A | N/A | |
| Net Realized Gain/(Loss) This Period | | | | \$51,547.16 | \$17,554.00 | \$(706.84) | |

Treasury regulations require that we report adjusted cost basis on the sale of covered securities acquired on or after January 1, 2011, and classify the gain or loss as either long-term or short-term. These regulations require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes, is provided for informational purposes, and should not be used for tax preparation. Refer to the Expanded Disclosures.

A - You executed this transaction elsewhere and later transferred the security to this account. Another financial institution has provided the transaction detail for this position

MESSAGES

Important Information for Holders of Structured Products

Structured products appear in various statement product categories and are identified as "Structured Products" in the Security Description column of the Holdings section. Structured products may not perform in a manner consistent with the statement product category where they appear and therefore may not satisfy portfolio asset allocation needs for that category. Please see "Special Considerations Regarding Structured Products" in the Disclosure section for an overview of some of the risks associated with structured products. For more information about the risks specific to your structured products, you should contact your Financial Advisor.



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Account Detail

Consulting Group Advisor Basic Securities Account
316-118114-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------|------------------|--------------|-----------|-------------------|--------------------------|-------------------------|----------|
| UNIT FT INV GRADE SELECT CE 30 | 02/17/12 | 01/25/14 | 5,178.000 | \$131.52 | \$131.52 | \$0.00 | |
| | 03/26/12 | 01/25/14 | 12.830 | 0.33 | 0.33 | 0.00 | |
| | 03/26/12 | 01/25/14 | 0.553 | 0.01 | 0.01 | 0.00 | |
| | 04/25/12 | 01/25/14 | 27.043 | 0.69 | 0.69 | 0.00 | |
| | 04/25/12 | 01/25/14 | 0.574 | 0.01 | 0.01 | 0.00 | |
| | 05/25/12 | 01/25/14 | 27.000 | 0.69 | 0.69 | 0.00 | |
| | 06/25/12 | 01/25/14 | 27.000 | 0.69 | 0.69 | 0.00 | |
| | 07/25/12 | 01/25/14 | 26.000 | 0.66 | 0.66 | 0.00 | |
| | 08/25/12 | 01/25/14 | 26.000 | 0.66 | 0.66 | 0.00 | |
| | 09/25/12 | 01/25/14 | 26.000 | 0.66 | 0.66 | 0.00 | |
| | 10/25/12 | 01/25/14 | 30.000 | 0.76 | 0.76 | 0.00 | |
| | 11/25/12 | 01/25/14 | 27.000 | 0.69 | 0.69 | 0.00 | |
| | 12/25/12 | 01/25/14 | 32.000 | 0.81 | 0.81 | 0.00 | |
| | 01/09/13 | 01/25/14 | 37.000 | 0.94 | 0.94 | 0.00 | |
| Long-Term This Period | | | | \$139.12 | \$139.12 | \$0.00 | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| UNIT FT INV GRADE SELECT CE 30 | 01/25/13 | 01/25/14 | 27.000 | 0.69 | 0.69 | 0.00 | |
| | 02/25/13 | 01/25/14 | 28.000 | 0.71 | 0.71 | 0.00 | |
| | 03/25/13 | 01/25/14 | 28.000 | 0.71 | 0.71 | 0.00 | |
| | 04/25/13 | 01/25/14 | 27.000 | 0.69 | 0.69 | 0.00 | |
| | 05/25/13 | 01/25/14 | 28.000 | 0.71 | 0.71 | 0.00 | |
| | 06/25/13 | 01/25/14 | 31.000 | 0.79 | 0.79 | 0.00 | |
| | 07/25/13 | 01/25/14 | 32.000 | 0.81 | 0.81 | 0.00 | |
| | 08/25/13 | 01/25/14 | 33.000 | 0.84 | 0.84 | 0.00 | |

Consulting Group Advisor Basic Securities Account
316-118114-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

Account Detail

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| | 09/25/13 | 01/25/14 | 33 000 | 0.84 | 0.84 | 0.00 | |
| | 10/25/13 | 01/25/14 | 33 000 | 0.84 | 0.84 | 0.00 | |
| | 11/25/13 | 01/25/14 | 33.000 | 0.84 | 0.84 | 0.00 | |
| | 12/25/13 | 01/25/14 | 34.000 | 0.85 | 0.85 | 0.00 | |
| Short-Term This Period | | | | \$9.32 | \$9.32 | \$0.00 | |
| Net Realized Gain/(Loss) This Period | | | | \$148.44 | \$148.44 | \$0.00 | |

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

MESSAGES

Important Information About Advisory Accounts

Please notify your Financial Advisor if there have been any changes in your financial situation or investment objectives, or if you wish to impose any reasonable restrictions on the management of your Investment Advisory accounts, or to reasonably modify existing restrictions.

For a copy of the applicable ADV Brochure for Morgan Stanley Smith Barney LLC, or for any Investment Adviser with whom we contract to manage your investment advisory account, please contact your Financial Advisor. These ADV Brochures contain important information about advisory programs.



Account Detail

Consulting Group Advisor Basic Securities Account
316-118114-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL

LONG-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------|------------------|--------------|-----------|-------------------|--------------------------|-------------------------|----------|
| UNIT FT INV GRADE SELECT CE 30 | 02/17/12 | 02/21/14 | 5,178 000 | \$43,793.46 | \$49,828.11 | \$(6,034.65) | |
| | 03/26/12 | 02/21/14 | 12 830 | 108.51 | 119 75 | (11 24) | |
| | 03/26/12 | 02/21/14 | 0.553 | 4.68 | 5 17 | (0 49) | |
| | 04/25/12 | 02/21/14 | 27 043 | 228.72 | 255.14 | (26.42) | |

Consulting Group Advisor Basic Securities Account
316-118114-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

Account Detail

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

LONG-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|-----------------------------|------------------|--------------|-----------|-------------------|--------------------------|-------------------------|----------|
| | 04/25/12 | 02/21/14 | 0.574 | 4.85 | 5.41 | (0.56) | |
| | 05/25/12 | 02/21/14 | 27.000 | 228.36 | 251.87 | (23.51) | |
| | 06/25/12 | 02/21/14 | 27.000 | 228.36 | 253.55 | (25.19) | |
| | 07/25/12 | 02/21/14 | 26.000 | 219.90 | 252.95 | (33.05) | |
| | 08/25/12 | 02/21/14 | 26.000 | 219.90 | 252.52 | (32.62) | |
| | 09/25/12 | 02/21/14 | 26.000 | 219.90 | 257.81 | (37.91) | |
| | 10/25/12 | 02/21/14 | 30.000 | 253.73 | 300.05 | (46.32) | |
| | 11/25/12 | 02/21/14 | 27.000 | 228.36 | 262.96 | (34.60) | |
| | 12/25/12 | 02/21/14 | 32.000 | 270.64 | 312.04 | (41.40) | |
| | 01/09/13 | 02/21/14 | 37.000 | 312.93 | 362.97 | (50.04) | |
| | 01/25/13 | 02/21/14 | 27.000 | 228.36 | 265.76 | (37.40) | |
| UNIT FT MLP CEF & ENERGY 16 | 02/17/12 | 02/21/14 | 4,142.000 | 45,731.82 | 39,991.01 | 5,740.81 | |
| | 04/25/12 | 02/21/14 | 6.000 | 66.25 | 57.74 | 8.51 | |
| | 05/25/12 | 02/21/14 | 22.000 | 242.90 | 201.48 | 41.42 | |
| | 06/25/12 | 02/21/14 | 30.000 | 331.23 | 268.63 | 62.60 | |
| | 08/25/12 | 02/21/14 | 24.000 | 264.98 | 232.96 | 32.02 | |
| | 09/25/12 | 02/21/14 | 27.000 | 298.11 | 266.43 | 31.68 | |
| | 11/25/12 | 02/21/14 | 26.000 | 287.07 | 248.16 | 38.91 | |
| | 12/25/12 | 02/21/14 | 29.000 | 320.19 | 281.14 | 39.05 | |
| | 01/25/13 | 02/21/14 | 6.000 | 66.25 | 61.53 | 4.72 | |
| Long-Term This Period | | | | \$94,159.46 | \$94,595.14 | \$(435.68) | |

SHORT-TERM GAIN/(LOSS)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| UNIT FT INV GRADE SELECT CE 30 | 02/25/13 | 02/21/14 | 28.000 | 236.81 | 268.73 | (31.92) | |
| | 03/25/13 | 02/21/14 | 28.000 | 236.81 | 268.50 | (31.69) | |
| | 04/25/13 | 02/21/14 | 27.000 | 228.36 | 261.01 | (32.65) | |
| | 05/25/13 | 02/21/14 | 28.000 | 236.81 | 267.95 | (31.14) | |
| | 06/25/13 | 02/21/14 | 31.000 | 262.19 | 266.23 | (4.04) | |
| | 07/25/13 | 02/21/14 | 32.000 | 270.64 | 275.74 | (5.10) | |
| | 08/25/13 | 02/21/14 | 33.000 | 279.10 | 270.96 | 8.14 | |
| | 09/25/13 | 02/21/14 | 33.000 | 279.10 | 275.70 | 3.40 | |
| | 10/25/13 | 02/21/14 | 33.000 | 279.10 | 280.62 | (1.52) | |
| | 11/25/13 | 02/21/14 | 33.000 | 279.10 | 276.45 | 2.65 | |
| | 12/25/13 | 02/21/14 | 34.000 | 287.56 | 283.26 | 4.30 | |
| | 01/25/14 | 02/21/14 | 49.000 | 414.40 | 419.28 | (4.88) | |

Account Detail

Consulting Group Advisor Basic Securities Account
316-118114-529RICHARD & DEBORAH MC CONNELL
TTEE RICHARD MC CONNELL FAM TR

INTERESTED PARTY COPY

REALIZED GAIN/(LOSS) DETAIL (CONTINUED)

SHORT-TERM GAIN/(LOSS) (CONTINUED)

| Security Description | Date Acquired | Date Sold | Quantity | Sales Proceeds | Orig / Adj Total Cost | Realized Gain/(Loss) | Comments |
|--------------------------------------|------------------|--------------|----------|-------------------|--------------------------|-------------------------|----------|
| UNIT FT MLP CEF & ENERGY 16 | 02/25/13 | 02/21/14 | 18.000 | 198.74 | 187.92 | 10.82 | |
| | 03/25/13 | 02/21/14 | 28.000 | 309.15 | 291.99 | 17.16 | |
| | 05/25/13 | 02/21/14 | 22.000 | 242.90 | 249.37 | (6.47) | |
| | 06/25/13 | 02/21/14 | 28.000 | 309.15 | 294.10 | 15.05 | |
| | 08/25/13 | 02/21/14 | 25.000 | 276.02 | 262.35 | 13.67 | |
| | 09/25/13 | 02/21/14 | 25.000 | 276.02 | 262.67 | 13.35 | |
| | 10/25/13 | 02/21/14 | 5.000 | 55.21 | 53.69 | 1.52 | |
| | 11/25/13 | 02/21/14 | 22.000 | 242.90 | 233.78 | 9.12 | |
| | 12/25/13 | 02/21/14 | 26.000 | 287.07 | 275.69 | 11.38 | |
| | 01/25/14 | 02/21/14 | 9.000 | 99.36 | 98.73 | 0.63 | |
| Short-Term This Period | | | | \$5,586.50 | \$5,624.72 | \$(38.22) | |
| Net Realized Gain/(Loss) This Period | | | | \$99,745.96 | \$100,219.86 | \$(473.90) | |

New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we make basis adjustments on covered securities due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for tax reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns. Please refer to the Expanded Disclosures for additional information.

MESSAGES

Looking to boost your retirement savings?

There's still time before the April 15 deadline to open either a Traditional IRA with contributions that may be tax-deductible on your 2013 tax return, or a Roth IRA with the advantage of tax-free withdrawals (if certain conditions are met). The maximum contribution is \$5,500, or \$6,500 if you are age 50 or older. Please call your Financial Advisor or Private Wealth Advisor for more information about your retirement savings strategy.

Important Information About Advisory Accounts

Please notify your Financial Advisor if there have been any changes in your financial situation or investment objectives, or if you wish to impose any reasonable restrictions on the management of your investment advisory accounts, or to reasonably modify existing restrictions.

For a copy of the applicable ADV Brochure for Morgan Stanley Smith Barney LLC, or for any Investment Adviser with whom we contract to manage your investment advisory account, please contact your Financial Advisor. These ADV Brochures contain important information about advisory programs.

