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Return of Private Foundation

OMB No 1545-0052

2013

Department of the Treasury
Internal Revenue Service

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

Do not enter Social Security numbers on this form as it may be made public.

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

Open to Public Inspection

For calendar year 2013 or tax year beginning OCT 1, 2013, and ending SEP 30, 2014

Name of foundation

A Employer identification number

DAVID AND EULA WINTERMANN FOUNDATION

76-0082100

Number and street (or P.O. box number if mail is not delivered to street address)

Room/suite

B Telephone number

P.O. BOX 337

9792345551

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

C If exemption application is pending, check here ☐

EAGLE LAKE, TX 77434

D 1. Foreign organizations, check here ☐

G Check all that apply:

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name change2. Foreign organizations meeting the 85% test, check here and attach computation ☐H Check type of organization: ☒ Section 501(c)(3) exempt private foundationE If private foundation status was terminated under section 507(b)(1)(A), check here ☐☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationF If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

I Fair market value of all assets at end of year

J Accounting method: ☒ Cash ☐ Accrual

(from Part II, col (c), line 16)

☐ Other (specify)

\$ 19,392,675. (Part I, column (d) must be on cash basis)

Part I Analysis of Revenue and Expenses

(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))

(a) Revenue and expenses per books

(b) Net investment income

(c) Adjusted net income

(d) Disbursements for charitable purposes (cash basis only)

1 Contributions, gifts, grants, etc., received

N/A

2 Check ☒ if the foundation is not required to attach Sch. B

3 Interest on savings and temporary cash investments

123,950.

123,950.

STATEMENT 1

4 Dividends and interest from securities

294,347.

294,347.

STATEMENT 2

5a Gross rents

b Net rental income or (loss)

6a Net gain or (loss) from sale of assets not on line 10

2,239,998.

b Gross sales price for all assets on line 6a

7,064,888.

7 Capital gain net income (from Part IV, line 2)

2,239,998.

8 Net short-term capital gain

9 Income modifications

10a Gross sales less returns and allowances

b Less Cost of goods sold

c Gross profit or (loss)

-3,891.

-3,891.

STATEMENT 3

11 Other income

12 Total. Add lines 1 through 11

2,654,404.

2,654,404.

13 Compensation of officers, directors, trustees, etc.

80,000.

0.

40,000.

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees

b Accounting fees

STMT 4

9,798.

0.

9,798.

c Other professional fees

STMT 5

152,261.

27,685.

124,576.

17 Interest

18 Taxes

STMT 6

52,705.

52,705.

0.

19 Depreciation and depletion

20 Occupancy

21 Travel, conferences, and meetings

2,200.

2,200.

0.

22 Printing and publications

23 Other expenses

STMT 7

7,214.

2,064.

5,150.

24 Total operating and administrative expenses. Add lines 13 through 23

304,178.

84,654.

179,524.

25 Contributions, gifts, grants paid

656,924.

656,924.

26 Total expenses and disbursements. Add lines 24 and 25

961,102.

84,654.

836,448.

27 Subtract line 26 from line 12:

a Excess of revenue over expenses and disbursements

1,693,302.

b Net investment income (if negative, enter -0-)

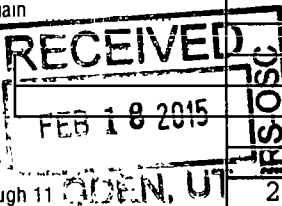
2,569,750.

c Adjusted net income (if negative, enter -0-)

N/A

SCANNED FEB 27 2014

Operating and Administrative Expenses



914

17

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value		
Assets	1	Cash - non-interest-bearing		60,659.	15,403.	15,403.
	2	Savings and temporary cash investments		131,294.	800,209.	800,209.
	3	Accounts receivable ▶				
		Less: allowance for doubtful accounts ▶				
	4	Pledges receivable ▶				
		Less: allowance for doubtful accounts ▶				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons				
	7	Other notes and loans receivable ▶				
		Less: allowance for doubtful accounts ▶				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments - U.S. and state government obligations STMT 9	2,376,922.	1,928,584.	1,946,367.	
	b	Investments - corporate stock STMT 10	9,126,356.	10,653,294.	13,710,780.	
	c	Investments - corporate bonds STMT 11	1,715,549.	1,885,273.	1,938,390.	
	11	Investments - land, buildings, and equipment basis ▶				
	Less: accumulated depreciation ▶					
12	Investments - mortgage loans					
13	Investments - other STMT 12	997,821.	838,519.	981,526.		
14	Land, buildings, and equipment basis ▶					
	Less: accumulated depreciation ▶					
15	Other assets (describe ▶)					
16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item 1)	14,408,601.	16,121,282.	19,392,675.		
Liabilities	17	Accounts payable and accrued expenses	7,976.	27,355.		
	18	Grants payable				
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, and other disqualified persons				
	21	Mortgages and other notes payable				
	22	Other liabilities (describe ▶)				
	23	Total liabilities (add lines 17 through 22)	7,976.	27,355.		
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☐					
	and complete lines 24 through 26 and lines 30 and 31.					
	24	Unrestricted				
	25	Temporarily restricted				
	26	Permanently restricted				
	Foundations that do not follow SFAS 117, check here ▶ ☒					
	and complete lines 27 through 31.					
	27	Capital stock, trust principal, or current funds	0.	0.		
	28	Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
	29	Retained earnings, accumulated income, endowment, or other funds	14,400,625.	16,093,927.	STATEMENT 8	
30	Total net assets or fund balances	14,400,625.	16,093,927.			
31	Total liabilities and net assets/fund balances	14,408,601.	16,121,282.			

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	14,400,625.
2	Enter amount from Part I, line 27a	2	1,693,302.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	16,093,927.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	16,093,927.

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			
b SEE ATTACHED STATEMENT			
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			
b			
c			
d			
e 7,064,888.		4,824,890.	2,239,998.

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			
b			
c			
d			
e			2,239,998.

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	2,239,998.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6):	If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8	3	N/A

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

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

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

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

☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2012	751,564.	17,145,510.	.043834
2011	728,326.	15,428,547.	.047206
2010	718,734.	14,775,785.	.048643
2009	780,539.	14,900,179.	.052385
2008	650,682.	14,930,778.	.043580

2 Total of line 1, column (d)	2	.235648
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	.047130
4 Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	18,479,585.
5 Multiply line 4 by line 3	5	870,943.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	25,698.
7 Add lines 5 and 6	7	896,641.
8 Enter qualifying distributions from Part XII, line 4	8	836,448.

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate.
See the Part VI instructions.

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

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)		1	51,395.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☐ and enter 1% of Part I, line 27b		2	0.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).		3	51,395.
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
3 Add lines 1 and 2		5	51,395.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)			
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-			
6 Credits/Payments:			
a 2013 estimated tax payments and 2012 overpayment credited to 2013	6a 24,040.	7	24,040.
b Exempt foreign organizations - tax withheld at source	6b	8	
c Tax paid with application for extension of time to file (Form 8868)	6c	9	27,355.
d Backup withholding erroneously withheld	6d	10	
7 Total credits and payments. Add lines 6a through 6d		11	
8 Enter any penalty for underpayment of estimated tax. Check here ☒ if Form 2220 is attached			
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed			
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid			
11 Enter the amount of line 10 to be: Credited to 2014 estimated tax ☐ Refunded ☐			

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)? 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		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. \$ 0. (2) On foundation managers. \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. \$ 0.		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities	2	X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes	3	X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a	X
b If "Yes," has it filed a tax return on Form 990-T for this year?	4b	
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T	5	X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	7 X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) TX		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	8b X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2013 or the taxable year beginning in 2013 (see instructions for Part XIV)? If "Yes," complete Part XIV	9	X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10	X

N/A

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		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► N/A	13	X	
14	The books are in care of ► WINTERMANN OFFICES Located at ► 127 N. MCCARTY AVE, EAGLE LAKE, TX Telephone no. ► 979-234-5551 ZIP+4 ► 77434			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A			
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? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	16	Yes	No X

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

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

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

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?

☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?

☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes?

☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?

☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?

N/A

☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?

☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?

6b

X

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?

☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?

N/A

7b

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation.

(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
JACK JOHNSON P.O. BOX 337 EAGLE LAKE, TX 77434	PRESIDENT 10.00	50,000.	0.	0.
DONALD N. BENDY P.O. BOX 858 EAGLE LAKE, TX 77434	VICE PRESIDENT 10.00	10,000.	0.	0.
STEVE BALAS 702 S. MCCARTY EAGLE LAKE, TX 77434	SECRETARY 10.00	10,000.	0.	0.
JUDITH JOHNSON P.O. BOX 337 EAGLE LAKE, TX 77434	DIRECTOR 10.00	10,000.	0.	0.

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

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

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

0

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3** Five highest-paid independent contractors for professional services. If none, enter "NONE."

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

Total number of others receiving over \$50,000 for professional services

0

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 AWARDED 5 SCHOLARSHIPS TO ELIGIBLE STUDENTS BASED ON THE FINANCIAL NEED, FIELD OF STUDY AND CHARACTER REFERENCE.	36,000.
2 CONTRIBUTION TO VARIOUS QUALIFIED CHARITABLE ORGANIZATIONS	620,924.
3	
4	

Part IX-B Summary of Program-Related Investments

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1 N/A	
2	
3	
4	
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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	18,265,705.
b	Average of monthly cash balances	1b	474,846.
c	Fair market value of all other assets	1c	20,449.
d	Total (add lines 1a, b, and c)	1d	18,761,000.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	18,761,000.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	281,415.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	18,479,585.
6	Minimum investment return. Enter 5% of line 5	6	923,979.

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	923,979.
2a	Tax on investment income for 2013 from Part VI, line 5	2a	51,395.
b	Income tax for 2013. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	51,395.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	872,584.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	872,584.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	872,584.

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	836,448.
b	Program-related investments - total from Part IX-B	1b	0.
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	836,448.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	836,448.

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				872,584.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			806,904.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ 836,448.				
a Applied to 2012, but not more than line 2a			806,904.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2013 distributable amount				29,544.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2013 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:	0.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				843,040.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013				

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				
AMERICAN CANCER SOCIETY FBO VICTORY PO BOX 572915 HOUSTON, TX 77257-2915	NONE	PUBLIC	FUND RESEARCH IN THE NAME OF DAVID & EULA WINTERMANN FOUNDATION	50,000.
AUBREY PAVLU 7809 HWY 71 GARWOOD, TX 77442	NONE	PUBLIC	EDUCATIONAL SCHOLARSHIP	8,000.
BAYLOR COLLEGE OF MEDICINE ONE BAYLOR PLAZA, MS:BCM 160 HOUSTON, TX 77030-3411	NONE	PUBLIC	CONTINUATION OF FUNDING OF THE DAVID & EULA WINTERMANN FOUNDATION BRASS ENDOWED SCHOLARS FUND,	100,000.
MINISTERIAL ALLIANCE OF EAGLE LAKE TEXAS FOUNDATION INC PO BOX 339 EAGLE LAKE, TX 77437	NONE	PUBLIC	TO FUND THE COMMUNITY FOOD PANTRY	12,500.
COLORADO RIVER FOUNDATION PO BOX 12275 AUSTIN, TX 78711	NONE	PUBLIC	TO HELP PROMOTE AND SUPPORT THE NATURAL SCIENCE EDUCATION AND OUTDOOR RECREATION PROGRAMS, PARTICULAR	10,000.
Total SEE CONTINUATION SHEET(S) ▶ 3a				656,924.
b Approved for future payment				
MALLORY THOMAS 223 WEST WAVERLY EAGLE LAKE, TX 77434	NONE	PUBLIC	EDUCATIONAL SCHOLARSHIP	28,000.
Total ▶ 3b				28,000.

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 COMPASS BANK - CAPITAL GAIN DISTRIBUTIONS		P		
b WOODRUFF FAIR FUND SETTLEMENT		P	VARIOUS	VARIOUS
c COMPASS BANK - #4207-1, SEE ATTACHED SCHEDULES		P	VARIOUS	VARIOUS
d COMPASS BANK - #4207-1, SEE ATTACHED SCHEDULES		P	VARIOUS	VARIOUS
e CLASS ACTION PROCEEDS #4207-1		P	VARIOUS	VARIOUS
f COMPASS BANK - #4207, SEE ATTACHED SCHEDULES		P	VARIOUS	VARIOUS
g COMPASS BANK - #4207, SEE ATTACHED SCHEDULES		P	VARIOUS	VARIOUS
h CLASS ACTION PROCEEDS - MOTOROLA INC		P	VARIOUS	VARIOUS
i CLASS ACTION PROCEEDS - WASHINGTON MUTUAL INC		P	VARIOUS	VARIOUS
j				
k				
l				
m				
n				
o				

(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 17,735.			17,735.
b 117.			117.
c 44,497.		41,199.	3,298.
d 787,886.		538,351.	249,535.
e 31.			31.
f 356,607.		318,717.	37,890.
g 5,856,893.		3,926,623.	1,930,270.
h 1,064.			1,064.
i 58.			58.
j			
k			
l			
m			
n			
o			

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

(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			17,735.
b			117.
c			3,298.
d			249,535.
e			31.
f			37,890.
g			1,930,270.
h			1,064.
i			58.
j			
k			
l			
m			
n			
o			

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	2,239,998.
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 }		3	N/A

Part XV Supplementary Information

3 Grants and Contributions Paid During the Year (Continuation)				
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)				
FIRST BOOK - EAGLE LAKE 306 CLARK STREET EAGLE LAKE, TX 77434	NONE	PUBLIC	TO FUND THE "MY OWN BOOKS" PROGRAM	6,000.
EAGLE LAKE VOLUNTEER FIRE DEPARTMENT PO BOX 801 EAGLE LAKE, TX 77434	NONE	PUBLIC	ACQUISITION OF UPDATED EQUIPMENT FOR THE VOLUNTEERS FIREFIGHTERS TO BETTER SERVE THE COMMUNITY.	500.
EULA & DAVID WINTERMANN LIBRARY 101 N. WALNUT EAGLE LAKE, TX 77434	NONE	PUBLIC	GENERAL FUND	49,606.
KAYLI KALLINA 1029 CR 185 GARWOOD, TX 77442	NONE	PUBLIC	EDUCATIONAL SCHOLARSHIP	8,000.
NATIONAL MULTIPLE SCLEROSIS SOCIETY 8111 N STADIUM DRIVE, SUITE 100 HOUSTON, TX 77054	NONE	PUBLIC	TO FUND THE DR. MATTHEW RASBANK RESEARCH GRANT AND THE DR BENJAMIN DENEEN RESEARCH GRANT FOR	242,318.
RYAN MOORE PO BOX 379 SHERIDAN, TX 77475	NONE	PUBLIC	EDUCATIONAL SCHOLARSHIP	8,000.
SANDRA VEGA 407 6TH STREET EAGLE LAKE, TX 77434	NONE	PUBLIC	EDUCATIONAL SCHOLARSHIP	8,000.
THE UNIVERSITY OF TEXAS M.D. ANDERSON CANCER CENTER 1515 HOLCOMBE BOULEVARD, UNIT 0428 HOUSTON, TX 77030	NONE	PUBLIC	TO CONTINUE FUNDING THE WINTERMANN-JORDAN LEUKEMIA RESEARCH FUND UNDER THE DIRECTION OF ELIAS J. JABBOUR, M.D.	150,000.
MALLORY THOMAS 223 WEST WAVERLY EAGLE LAKE, TX 77434	NONE	PUBLIC	EDUCATIONAL SCHOLARSHIP	4,000.
Total from continuation sheets				476,424.

Part XV Supplementary Information

3a Grants and Contributions Paid During the Year Continuation of Purpose of Grant or Contribution

NAME OF RECIPIENT - BAYLOR COLLEGE OF MEDICINE

CONTINUATION OF FUNDING OF THE DAVID & EULA WINTERMANN FOUNDATION BRASS
ENDOWED SCHOLARS FUND, ENDOWED FUND INITIALLY FUNDED IN 2007

NAME OF RECIPIENT - COLORADO RIVER FOUNDATION

TO HELP PROMOTE AND SUPPORT THE NATURAL SCIENCE EDUCATION AND OUTDOOR
RECREATION PROGRAMS, PARTICULARLY FOR AT-RISK AND UNDERSERVED YOUTH,
ANNUAL RIVER CLEANUPS AND ADDITIONAL COMMUNITY PROJECTS THAT ENCOURAGE
THE SETWARDSHIP, AWARENESS AND PROTECTION OF THE COLORADO RIVER IN
TEXAS

NAME OF RECIPIENT - NATIONAL MULTIPLE SCLEROSIS SOCIETY

TO FUND THE DR. MATTHEW RASBANK RESEARCH GRANT AND THE DR BENJAMIN
DENEEN RESEARCH GRANT FOR MULTIPLE SCLEROSIS RESEARCH IN HOUSTON, TEXAS

NAME OF RECIPIENT - THE UNIVERSITY OF TEXAS M.D. ANDERSON CANCER CENTER

TO CONTINUE FUNDING THE WINTERMANN-JORDAN LEUKEMIA RESEARCH FUND UNDER
THE DIRECTION OF ELIAS J. JABBOUR, M.D. IT IS FURTHER REQUESTED AND
AGREED THAT IF DR. JABBOUR'S CURRENT STATUS WITH M.D. ANDERSON EVER
CHANGES, THE WINTERMANN FOUNDATION WILL BE NOTIFIED OF SUCH CHANGE.
ALSO FUNDED IS THE IMMUNOTHERAPY RESEARCH OF DR JIM ALLISON AND DR
PATRICK HWU.

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
AMORTIZATION OF BOND PREMIUM/DISCOUNT	-2,274.	-2,274.	
COMPASS BANK	126,194.	126,194.	
THE FIRST NATIONAL BANK	30.	30.	
TOTAL TO PART I, LINE 3	123,950.	123,950.	

FORM 990-PF

DIVIDENDS AND INTEREST FROM SECURITIES

STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
COMPASS BANK	294,347.	0.	294,347.	294,347.	
TO PART I, LINE 4	294,347.	0.	294,347.	294,347.	

FORM 990-PF

OTHER INCOME

STATEMENT

3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
K-1 FROM 2200 & ASSOCIATES	3,138.	3,138.	
K-1 FROM RICE INDUSTRIES	-7,029.	-7,029.	
TOTAL TO FORM 990-PF, PART I, LINE 11	-3,891.	-3,891.	

FORM 990-PF

ACCOUNTING FEES

STATEMENT

4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX RETURN PREPARATION	9,798.	0.		9,798.
TO FORM 990-PF, PG 1, LN 16B	9,798.	0.		9,798.

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT	5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES	
INVESTMENT FEES - COMPASS					
BANK	128,261.	22,885.		105,376.	
ACCOUNTING FEES	24,000.	4,800.		19,200.	
TO FORM 990-PF, PG 1, LN 16C	152,261.	27,685.		124,576.	

FORM 990-PF

TAXES

STATEMENT

6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES WITHHELD	1,310.	1,310.		0.
FEDERAL TAXES	51,395.	51,395.		0.
TO FORM 990-PF, PG 1, LN 18	52,705.	52,705.		0.

FORM 990-PF

OTHER EXPENSES

STATEMENT

7

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
MEMBERSHIP DUES & ASSESSMENTS	2,900.	0.		2,900.
BANK FEES	185.	0.		185.
INSURANCE	4,129.	2,064.		2,065.
TO FORM 990-PF, PG 1, LN 23	7,214.	2,064.		5,150.

FORM 990-PF

OTHER FUNDS

STATEMENT

8

DESCRIPTION	(A) BEGINNING OF YEAR	(B) END OF YEAR
RE OR ACCUMULATED INCOME	14,400,625.	16,093,927.
TOTAL TO FORM 990-PF, PART II, LINE 29	14,400,625.	16,093,927.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS	STATEMENT	9
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DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
US OBLIGATIONS	X		1,928,584.	1,946,367.
TOTAL U.S. GOVERNMENT OBLIGATIONS			1,928,584.	1,946,367.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			1,928,584.	1,946,367.

FORM 990-PF	CORPORATE STOCK	STATEMENT 10
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK	10,653,294.	13,710,780.
TOTAL TO FORM 990-PF, PART II, LINE 10B	10,653,294.	13,710,780.

FORM 990-PF

CORPORATE BONDS

STATEMENT 11

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS	1,885,273.	1,938,390.
TOTAL TO FORM 990-PF, PART II, LINE 10C	1,885,273.	1,938,390.

FORM 990-PF	OTHER INVESTMENTS	STATEMENT 12
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DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
MUTUAL FUNDS	FMV	834,259.	961,077.
PARTNERSHIPS	FMV	4,260.	20,449.
TOTAL TO FORM 990-PF, PART II, LINE 13		838,519.	981,526.

FORM 990-PF

GRANT APPLICATION SUBMISSION INFORMATION
PART XV, LINES 2A THROUGH 2D

STATEMENT 13

NAME AND ADDRESS OF PERSON TO WHOM APPLICATIONS SHOULD BE SUBMITTED

MR. JACK JOHNSON
P.O. BOX 337
EAGLE LAKE, TX 77434

TELEPHONE NUMBERNAME OF GRANT PROGRAM

979-234-5551

SCHOLARSHIP PROGRAM

FORM AND CONTENT OF APPLICATIONS

- (1) HIGH SCHOOL TRANSCRIPT
- (2) INFORMATION OF FINANCIAL NEED
- (3) FIELD OF STUDY
- (4) CHARACTER REFERENCE

ANY SUBMISSION DEADLINES

APRIL 1ST OF EACH YEAR

RESTRICTIONS AND LIMITATIONS ON AWARDS

MUST BE ENTERING THE MEDICAL FIELD OF STUDY.

SHARES/ PAR VALUE	SECURITY DESCRIPTION	INVESTMENTS AT COST	MARKET VALUE AT FISCAL YEAR-END
GOVERNMENT OBLIGATIONS			
100000	US TREASURY NOTES	100,661 77	98,734.00
150000	US TREASURY NOTES	148,171.88	143,484 00
100000	US TREASURY NOTES	99,406 25	98,320 00
125000	US TREASURY NOTES	126,069.34	121,298.75
125000	US TREASURY NOTES	124,594 73	123,056 25
50000	US TREASURY NOTES	50,593 75	50,250 00
50000	US TREASURY NOTES	51,181 64	50,793 00
200000	US TREASURY NOTES	201,812 50	206,984 00
125000	US TREASURY NOTES	125,234 88	136,045 00
25000	US TREASURY NOTES	25,038 08	25,057.50
25000	US TREASURY NOTES	25,164 07	25,047 00
25000	US TREASURY NOTES	24,756.84	24,679 75
25000	US TREASURY NOTES	24,951 17	25,086 00
25000	US TREASURY NOTES	25,381 83	25,588.00
125000	FHLB NOTES	125,881 60	125,191 25
125000	FHLMC NOTES	123,684.13	132,267 50
125000	FNMA NOTES	125,607.80	126,156 25
125000	FNMA NOTES	125,420 41	126,866.25
250000	FNMA NOTES	250,197 68	256,575 00
25000	FNMA NOTES	24,773 75	24,887 25
TOTAL GOVERNMENT OBLIGATIONS		1,928,584 10	1,946,366 75
CORPORATE OBLIGATIONS			
75000	AMERICAN EXPRESS CRE NOTES	75,321 05	75,405 75
25000	AT&T INC NOTES	25,115 98	26,204 25
100000	BANK NEW YORK MELLON NOTES	99,954 00	98,805 00
50000	BERKSHIRE HATHWAY NOTES	50,486 98	50,957.50
125000	CHEVRON CORPORATION NOTES	124,961 25	139,681.25
25000	CHEVRON CORPORATION NOTES	25,048 36	25,008 75
100000	COCA COLA CO NOTES	99,694 00	104,175 00
125000	GENERAL ELECTRIC CAP COR NOTES	127,018 92	136,648 75
100000	GOLDMAN SACHS GROUP NOTES	100,568 93	101,038 00
25000	HOME DEPOT INC NOTES	25,439 94	25,396 75
250000	HSBC FIN CORP NOTES	250,473.72	256,437 50
50000	JP MORGAN CHASE & CO NOTES	50,315.60	49,759 00
25000	JP MORGAN CHASE & CO NOTES	23,265 18	24,606 25
50000	MCDONALDS CORP MED NOTES	50,606.80	49,271 00
100000	MICROSOFT CORP NOTES	99,427.00	95,425.00
15000	PEPSICO INC	153,671 80	155,026 50
25000	SIMON PPTY GROUP LP NOTES	25,195 93	25,526 25
75000	UPS NOTES	76,880.15	77,673 75
50000	US BANCORP NOTES	50,665 00	50,038 50
25000	VERIZON COMM INC NOTES	25,355.52	25,392 25
125000	WAL-MART STORES NOTES	125,070 96	126,451 25
25000	WAL-MART STORES NOTES	25,693.28	26,037 00
25000	WELLS FARGO & CO NOTES	25,251 28	25,497 00
150000	WELLS FARGO & CO NOTES	149,791 50	167,928 00

DAVID AND EULA WINTERMANN FOUNDATION

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TOTAL CORPORATE OBLIGATIONS

1,885,273.13

1,938,390.25

EQUITIES

309 A O. SMITH CORPORATION	14,960.21	14,609.52
2584 ABBOTT LABORATORIES	97,849.84	107,468.56
525 ABBVIE INC	22,696.56	30,324.00
1871 ACCOR SA	15,306.31	16,418.03
141 ACE LIMITED	14,875.08	14,786.67
507 ACTAVIS PLC	67,951.10	122,328.96
1281 ACTIVISION BLIZZARD, INC	15,044.80	26,631.99
297 AFLAC INCORPORATED	13,761.47	17,300.25
1552 AGILENT TECHNOLOGIES, INC	63,747.58	88,432.96
489 AKAMAI TECHNOLOGIES INC	12,976.68	29,242.20
614 ALIBABA GROUP HLDG LTD	54,556.91	54,553.90
465 ALLEGHENY TECHNOLOGIES INC	15,049.68	17,251.50
155 ALLERGAN INC	9,633.92	27,619.45
304 ALLIANT ENERGY CORP	16,889.68	16,844.64
1390 ALLSTATE CORPORATION	41,495.20	85,304.30
567 AMAZON COM INC	165,639.65	182,823.48
38 AMERICAN ELECTRIC POWER INC	2,011.15	1,983.98
1752 AMERICAN EXPRESS	95,774.29	153,370.08
728 AMERICAN MOVIL S A B DE CV	14,905.73	18,345.60
573 AMERICAN TOWER CORP	25,357.08	53,649.99
2974 AMERISOURCEBERGEN	80,979.28	229,890.20
748 AMGEN INCORPORATED	104,575.80	105,064.08
562 ANALOG DEVICES INC	26,156.46	27,813.38
383 ANSYS INC	16,260.83	28,981.61
565 APACHE CORP	60,353.03	53,036.55
4795 APPLE INC	142,818.66	483,096.25
246 APTARGROUP INC	14,987.53	14,932.20
637 AQUA AMERICA INC	14,985.37	14,988.61
523 ARCHER DANIELS MIDLAND COMPANY	15,232.33	26,725.30
2026 ARM HOLDINGS PLC	86,644.73	88,515.94
761 AT&T INC	27,645.36	26,817.64
315 ATMOS ENERGY CORPORATION	14,916.80	15,025.50
2356 AUTODESK INC	117,598.07	129,815.60
431 AUTOMATIC DATA PROCESSING	34,150.42	35,807.48
42 AVERY DENNISON CORPORATION	2,026.29	1,875.30
830 BADGER METER INC	34,014.29	41,873.50
417 BALCHEM CORPORATION	6,269.81	23,589.69
2418 BANCO SANTANDER SA	24,314.17	22,971.00
742 BANK OF HAWAII	41,325.19	42,153.02
2639 BANK OF NEW YORK MELLON CORP	80,766.43	102,208.47
992 BARCLAYS PLC	14,795.49	14,691.52
149 BARD (C.R.) INC	15,119.78	21,263.79
1426 BAXTER INTERNATIONAL INC	80,405.37	102,344.02
504 BEMIS COMPANY, INC	15,669.27	19,162.08
191 BIO-RAD LABORATORIES, INC	12,551.48	21,659.40
303 BLACK HILLS CORP	14,830.31	14,507.64
1930 BORGWARNER INC	62,414.15	101,537.30
153 BOSTON PROPERTIES INC	15,065.34	17,711.28
283 CABOT CORPORATION	14,706.07	14,367.91
1046 CABOT MICROELECTRONICS CORP	39,137.99	43,356.70
350 CAMPBELL SOUP COMPANY	14,848.47	14,955.50

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332 CARBO CERAMICS INC.	26,544.83	19,664.36
861 CBRE GROUP INC	15,054.50	25,606.14
1712 CBS CORP - B	62,248.41	91,592.00
419 CENTURYLINK INC	15,945.01	17,132.91
554 CHEESECAKE FACTORY	25,141.02	25,207.00
1294 CHEVRON CORP	100,612.31	154,400.08
204 CHUBB CORPORATION	18,530.32	18,580.32
372 CINCINNATI FINANCIAL CORP	10,282.60	17,502.60
1231 CINEMARK HOLDINGS INC	37,114.05	41,903.24
10437 CISCO SYSTEMS INCORPORATED	256,860.97	262,699.29
778 CLARCOR INC	24,327.72	49,076.24
254 CLOROX COMPANY	17,305.64	24,394.16
3639 COCA-COLA COMPANY	149,401.39	155,239.74
834 COGNEX CORPORATION	17,382.04	33,585.18
227 COLGATE PALMOLIVE COMPANY	14,896.86	14,804.94
418 COMMERCE BANCSHARES INC	15,106.39	18,661.61
1918 CONOCOPHILLIPS	127,030.55	146,765.36
245 CONSOLIDATED EDISON, INC	13,948.95	13,881.70
786 CORPORATE EXECUTIVE BOARD CO	34,575.92	47,215.02
213 COVANCE INC	13,065.05	16,763.10
977 CSX CORPORATION	12,078.78	31,322.62
193 CUMMINS ENGINE COMPANY INC	13,171.19	25,472.14
1708 D R HORTON INC	16,594.81	35,048.16
291 DAIMLER AG - ADR	15,220.76	22,203.30
9632 DANONE ADR(EURO)	128,884.65	129,068.80
428 DARDEN RESTAURANTS INC	16,861.89	22,024.88
784 DEERE & COMPANY	71,735.87	64,280.16
35 DELUXE CORP	2,041.38	1,930.60
17 DIAGEO PLC	1,405.13	1,961.80
540 DIEBOLD INC	16,158.77	19,072.80
1374 DIRECTV	118,963.84	118,878.48
2783 DISCOVER FINANCIAL SERVICES	158,288.40	179,197.37
300 DOVER CORPORATION	48,668.66	104,429.00
335 EASTMAN CHEMICAL COMPANY	18,711.40	27,098.15
1702 EATON VANCE CORP - NOT VOTING SHS	56,150.65	64,216.46
1080 EBAY INC	54,334.54	61,160.40
393 ECHOSTAR CORPORATION	15,119.68	19,162.68
35 EDISON INTERNATIONAL	2,019.33	1,957.20
2286 EMC CORPORATION	50,352.90	66,888.36
267 EMERSON ELECTRIC COMPANY	12,982.08	16,708.86
226 ENERGEN CORPORATION	14,919.37	16,326.24
354 ENSCO PLC (GBP)	14,859.11	14,623.74
886 EQUIFAX INC	26,991.20	66,219.64
2812 EXPEDITORS INTL OF WASHINGTON INC	114,985.35	114,110.96
1491 EXPRESS SCRIPTS HOLDING INC	81,549.77	105,309.33
2196 EXXON MOBIL CORP	98,851.09	206,533.80
2635 FACEBOOK INC	204,723.84	208,270.40
535 FACTSET RESEARCH SYSTEMS INC	65,057.75	65,018.55
216 FAMILY DOLLAR STORES INC	16,792.90	16,683.84
128 FEDERAL REALTY INVS TRUST REIT	14,997.12	15,162.88
922 FIRST CASH FINANCIAL SERVICES INC	31,441.43	51,613.56
2951 FREEPORT-MCMORAN COPPER & GOLD INC	90,699.37	96,350.15
293 GATX CORP	12,995.84	17,102.41
393 GENERAL DYNAMICS CORPORATION	29,914.94	49,946.37

DAVID AND EULA WINTERMANN FOUNDATION

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6847 GENERAL ELECTRIC COMPANY	107,219.11	175,420.14
273 GENUINE PARTS COMPANY	16,590.47	23,944.83
323 GLOBAL PAYMENTS INC	15,130.91	22,571.24
420 GOLDMAN SACHS GROUP INC	64,751.48	77,099.40
177 GOOGLE INC CL-A	66,335.56	104,148.57
185 GOOGLE INC CL-C	50,134.84	106,811.60
744 GRACO INC	37,683.17	54,297.12
839 GREENHILL & CO INC	38,990.19	39,005.11
1427 HALLIBURTON COMPANY	53,822.26	92,055.77
629 HCP, INC	23,073.66	24,977.59
495 HEARTLAND PAYMENT SYSTEMS INC	23,687.38	23,621.40
1743 HESS CORP	124,531.19	164,399.76
375 HOLLYFRONTIER CORP	18,631.84	16,380.00
1488 HONEYWELL INTERNATIONAL INC	57,891.48	138,562.56
513 HORMEL FOODS CORP	15,125.76	26,363.07
36 IDACORP INC	2,021.22	1,929.96
649 INTEGRYS ENERGY GROUP INC	37,154.22	42,068.18
143 INTERCONTINENTAL EXCHANGE INC	9,412.81	27,892.15
432 INTEL CORPORATION	8,249.28	15,042.24
1469 INTERVAL LEISURE GROUP INC	29,673.28	27,984.45
940 INTL GAME TECHNOLOGY	15,373.61	15,857.80
391 INTUIT INC	10,851.61	34,271.15
9992 ISHARES INTERNATIONAL SELECT DIV ETF	361,501.48	357,613.68
583 ISHARES MSCI EAFE ETF	35,340.62	37,381.96
4906 ISHARES MSCI EMERGING MARKETS	231,717.60	203,893.36
990 ISHARES RUSSELL MIDCAP INDX ETF	55,492.38	156,756.60
751 JACKHENRY & ASSOC INC	24,411.54	41,800.66
240 JOHNSON & JOHNSON	15,440.34	25,581.60
267 JOY GLOBAL INC	14,875.88	14,562.18
3664 JPMORGAN CHASE & CO	156,945.46	220,719.36
1865 KEYCORP	15,581.89	24,860.45
253 KIMBERLY-CLARK CORPORATION	18,133.72	27,215.21
845 LANDSTAR SYSTEM INC	28,298.84	61,000.55
794 LEGGETT & PLATT INC	17,041.21	27,726.48
384 LINEAR TECHNOLOGY CORPORATION	15,100.76	17,045.76
97 LOOKHEED MARTIN CORPORATION	15,893.84	17,729.66
2206 LOWE'S COMPANIES, INC	99,593.99	116,741.52
407 LVHM MOET HENNESSY LOUIS VUITTON	16,041.33	13,182.73
933 MASCO CORPORATION	19,456.13	22,317.36
301 MCCORMICK & COMPANY	15,147.23	20,136.90
349 MCDONALD'S CORPORATION	28,266.20	33,088.69
1578 MEDNAX INC	79,995.17	86,505.96
371 MEDTRONIC INCORPORATED	15,038.30	22,983.45
1143 MERCK & CO IND	68,508.82	67,757.04
3691 MICROSOFT CORPORATION	117,872.27	171,114.76
682 MONOTYPE IMAGING HOLDINGS INC	18,049.81	19,314.24
1528 MONSTER BEVERAGE CORP	136,543.43	140,071.76
262 MURPHY OIL CO	14,778.08	14,910.42
822 NABORS INDUSTRIES LTD	15,005.20	18,708.72
496 NATIONSL RETAIL PROPERTIES INC	13,067.12	17,146.72
472 NEWFIELD EXPLORATION COMPANY	15,054.39	17,497.04
1129 NEXTERA ENERGY, INC	66,407.80	105,990.52
841 NIPPON TELEPHONE & TELEGRAPH ADR	23,997.86	26,163.51
226 NORDSON CORPORATION	15,201.55	17,191.82

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132 NORTHROP GRUMMAN SYSTEMS CORP	17,050 68	17,392.32
1464 NOVARTIS AG	132,428 46	137,806 32
1833 NOVO NORDISKA/SADR	87,133.02	87,287 46
438 NUCOR CORPORATION	16,834.49	23,774 64
1158 OCCIDENTAL PETROLEUM CORPORATION	100,195.11	111,341 70
1209 OLD REPUBLIC INTERNATIONAL CORP	15,166.79	17,264 52
226 ONEOK INC	8,831.56	14,814.30
5838 ORACLE CORPORATION	204,584 08	223,478.64
1308 OWENS & MINOR INC	40,767 29	42,823.92
690 PATTERSON COS INC	28,226.25	28,586 70
253 PENTAIR INC	8,494 45	16,568 97
1017 PEOPLE'S UNITED FINANCIAL INC	14,882 92	14,715 99
257 PEPSICO INC	16,284 62	23,924 13
495 PFIZER INCORPORATED	14,877 18	14,637 15
957 PHILIP MORRIS INTERNATIONAL, INC	44,546 52	79,813 80
442 PIEDMONT NATURAL GAS COMPANY INC	14,985.97	14,820 26
43 PINNACLE WEST CAPITAL CORPORATION	2,418.54	2,349 52
75 PPG INDUSTRIES INC	14,839 88	14,755.50
395 PRIMERICA INC	19,245 23	19,046 90
2668 PROCTER & GAMBLE COMPANY	200,946.32	223,418 32
783 PROGRESSIVE CORPORATION	15,278 76	19,794.24
2661 PUBLIC SERVICE ENTERPRISE GROUP INC	86,435 32	99,095.64
1980 QUALCOMM INC	138,042 72	148,044.60
2096 QUESTAR CORPORATION	49,469 45	46,719 84
450 RAYMOND JAMES FINANCIAL INC	15,621 62	24,111.00
249 REINSURANCE GROUP OF AMERICA	14,834.13	19,952.37
172 RENAISSANCE HOLDINGS LTD	17,316 08	17,198 28
858 REPUBLIC SERVICES, INC.	23,883 28	33,479.16
1204 RLI CORP	33,457.55	52,121 16
426 ROCHE HOLDINGS LTD	16,092 15	15 757 74
670 RPM, INC	16,257 03	30,672 60
1265 SABMILLER PLC ADR	70,605 01	70,283 40
944 SANDISK CORP	40,138 52	92,464 80
1034 SCHLUMBERGER LIMITED	95,010 81	105,147 46
644 SEALED AIR CORPORATION	15,446.28	22,462 72
998 SECOM LTD ADR	14,905 13	14,820 30
2925 SEI INVESTMENTS COMPANY	102,537.52	105,768 00
173 SEMPRA ENERG	16,970 39	18,230 74
275 SEVEN & I HOLDINGS CO LTD	21,025 13	21,351.00
68 SHERWIN WILLIAMS COMPANY	14,880 74	14,891.32
111 SIGMA-ALDRICH CORPORATION	15,058.81	15,097 11
252 SNAP-ON INC	17,574 25	30,512.16
578 SONOCO PRODUCTS CO	17,455 40	22,709 62
1208 SONY CORP	19,780 88	21,792 32
439 STIFEL FINANCIAL CORP	19,669 97	20,584 71
2591 SUMITOMO MITSUI FINANCIAL	20,403 68	21,246 20
457 SUN HYDRAULICS CORP	16,852 25	17,178 63
449 SYNOPSIS INC	16,623 78	17,823.06
561 SYNTTEL, INC	13,685 40	49,334 34
583 SYSCO CORPORATION	17,657 12	22,124 85
460 TANGER FACTORY OUTLET CENTER	15,002.85	15,051 20
235 TARGET CORP	14,785 01	14,729.80
277 THE SCOTTS MIRACLE-GRO COMPANY	8,284 41	15,235 00
146 TIME WARNER CABLE INC	28,014 01	63,996 54

DAVID AND EULA WINTERMANN FOUNDATION

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629 TIME WARNER INC	47,611.87	47,307 09
752 TJX COMPANIES INC	11,875.39	44,495 84
719 TRIDENT MICROSYSTEMS INC	3,687 75	0 00
238 TUPPERWARE CORPORATION	16,852 06	16,431 52
2110 U S. BANCORP	70,036 41	88,261 30
442 UGI CORPORATION	14,961 89	15,067 78
534 UNITED BANKSHARES INC	16,839 26	16,516 62
1176 UNITED PARCEL SERVICE INC	113,968.61	115,589 04
903 UNITED TECHNOLOGIES COROPRATION	73,083 35	95,356 80
357 URS CORPORATION	14,960 06	20,566.77
225 V F CORPORATION	9,281 98	14,856.75
616 VALSPAR CORPORATION	29,146 55	48,657 84
1238 VARIAN MEDICAL SYSTEMS INC	101,287 27	99,188 56
801 VISA INC	160,900.86	170,909 37
449 VODAFONE GROUP	14,931.44	14,767 61
73 W W GRAINGER INC	15,158.09	18,370 45
1834 WAL-MART STORES	102,291 45	140,245 98
244 WALGREEN COMPANY	8,745 93	14,461 88
43 WASTE MANAGEMENT INC	2,036.27	2,043 79
682 WD-40 COMPANY	28,653.15	46,348 72
4627 WELLS FARGO COMPANY	144,459.71	240,002.49
714 WESTAMERICA BANCORPORATION	33,465.98	33,215 28
390 WGL HOLDINGS INC	15,543.45	16,426.80
209 WHITING PETE CORPORATION	14,831.67	16,207 95
630 WILLIAM HILL PLC	15,400.35	15,116 85
2178 WOLVERINE WORLD WIDE INC	49,816.76	54,580.68
734 XILINX INC	16,848 17	31,084 90
1039 YUM! BRANDS INC	74,458.59	74,787.22
733	74,768 62	73,703.15
200 3M CO	15,514.80	28,336 00
TOTAL EQUITIES	10,653,293 92	13,710,780 36

MUTUAL FUNDS

9282 KAYNE ANDERSON MLP INVT CO	271,940.30	379,076 88
8741 74 VANGUARD BD INDEX FD SIGNAL #1351	89,165.77	94,235 98
47 4 VANGUARD GROWTH INDEX FD SG CL #1347	1,423 58	2,252 21
417 71 VANGUARD MID CAP INDEX-SIGN #1344	12,163 74	19,147 87
1210 42 VANGUARD SMALL CAP INDEX FD #860	17,838 48	28,904.73
448 83 VANGUARD VALUE INDEX FD - SIGN #1346	11,974.85	14,784 56
57900 7 WELLS FARGO ADV HI INC - INS	429,752 45	422,675 08
TOTAL MUTUAL FUNDS	834,259 17	961,077 31

PARTNERSHIPS

125 RICE INDUSTRIES, INC	16,595 00	16,595 00
4 1670% 2200 & ASSOCIATES	3,854 00	3,854 00
TOTAL PARTNERSHIPS	20,449 00	20,449 00

TOTAL SECURITIES

15,321,859 32 18,577,063 67

nt

SECURITIES SOLD

<u>DATE</u>	<u>SECURITY DESCRIPTION</u>	<u>PROCEEDS</u>	<u>INVESTMENTS AT COST</u>
10/16/13	0.44 ACTAVIS PLC @ 140.4545 / SHARE ON TRADE DATE 10/16/13 LONG TERM CAPITAL GAIN	61.80	10.03-
	51.77		
12/27/13	0.95 COMMERCE BANCSHARES INC @ 44.4632 / SHARE ON TRADE DATE 12/17/13 LONG TERM CAPITAL GAIN	42.24	34.33-
	7.91		
01/24/14 USO	125000 FHLMC NOTES 2.000% 1/24/19 @ 1.00 / \$1 PV ON TRADE DATE 1/24/14	125,000.00	125,000.00-
02/03/14 CO	33000 CONOCOPHILLIPS CORP 4.750% 2/01/14 @ 1.00 / \$1 PV ON TRADE DATE 2/01/14	33,000.00	33,000.00-
02/18/14 CO	125000 UNILEVER CAP CORP 3.650% 2/15/14 @ 1.00 / \$1 PV ON TRADE DATE 2/15/14	125,000.00	125,000.00-
05/01/14	1060 BEAM INC @ 83.50 / SHARE ON TRADE DATE 5/01/14 LONG TERM CAPITAL GAIN	88,510.00	69,201.25-
	19,308.75		

ACCOUNT NO: 4207
ACCOUNT OF: COMPASS BANK, AGENT FOR
DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
05/21/14	531 AARONS INC @ 32.0644/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 29.21 BROKERAGE LONG TERM CAPITAL GAIN	17,026.18 1,826.35	15,199.83-
	192 ACCENTURE PLC @ 79.0833/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 10.56 BROKERAGE LONG TERM CAPITAL GAIN	15,184.00 10,334.38	4,849.62-
	659 ACTAVIS PLC @206.0605/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 36.25 BROKERAGE LONG TERM CAPITAL GAIN	135,793.89 119,014.28	16,779.61-
	591 ADTRAN INC @ 21.253 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 32.51 BROKERAGE LONG TERM CAPITAL GAIN	12,560.53 264.83	12,295.70-
	95 ALLERGAN INC @158.9614/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 5.23 BROKERAGE LONG TERM CAPITAL GAIN	15,101.33 9,196.67	5,904.66-
	172 AMERICAN EXPRESS @ 87.0064/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 9.46 BROKERAGE LONG TERM CAPITAL GAIN	14,965.10 6,188.89	8,776.21-
	333 BORGHARNER INC @ 59.1874/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 18.32 BROKERAGE LONG TERM CAPITAL GAIN	19,709.40 10,938.02	8,771.38-
	526 CAP GEMINI ADR @ 33.2593/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 28.93 BROKERAGE SHORT TERM CAPITAL GAIN	17,494.40 ST 2,476.11	15,018.29-
	302 COACH INC @ 41.7241/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 16.61 BROKERAGE LONG TERM CAPITAL LOSS	12,600.67 2,503.88-	15,104.55-
	302 DBS GROUP HOLDINGS @ 53.6838/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 16.61 BROKERAGE LONG TERM CAPITAL GAIN	16,212.51 1,080.80	15,131.71-
	442 DEERE & COMPANY @ 91.4877/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 24.31 BROKERAGE LONG TERM CAPITAL LOSS	40,437.57 307.61-	40,745.18-

ACCOUNT NO: 4207
 ACCOUNT OF: COMPASS BANK, AGENT FOR
 DAVID AND EULA WINTERMANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	165 DEERE & COMPANY @ 91.483 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 9.08 BROKERAGE LONG TERM CAPITAL GAIN	15,094.70 2,141.54	12,953.16-
	3062 EBAY INC @ 51.8956 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 168.41 BROKERAGE LONG TERM CAPITAL GAIN	158,904.18 74,108.42	84,795.76-
	1513 EMC CORPORATION @ 26.1254 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 83.22 BROKERAGE LONG TERM CAPITAL GAIN	39,527.75 4,388.56	35,139.19-
	211 EQUINIX INC @ 194.8808 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 11.61 BROKERAGE LONG TERM CAPITAL GAIN	41,119.84 12,843.12	28,276.72-
	220 EXPRESS SCRIPTS HOLDING INC @ 68.5635 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 12.10 BROKERAGE LONG TERM CAPITAL GAIN	15,083.98 8,154.22	6,929.76-
	298 FIRST CASH FINANCIAL SERVICES INC @ 50.044 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 16.39 BROKERAGE LONG TERM CAPITAL GAIN	14,913.11 5,542.28	9,370.83-
	244 FLOWSERVE CORP @ 73.6934 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 13.42 BROKERAGE LONG TERM CAPITAL GAIN	17,981.20 9,668.81	8,312.39-
	696 FLOWSERVE CORP @ 73.6944 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 38.28 BROKERAGE LONG TERM CAPITAL GAIN	51,291.28 39,970.84	11,320.44-
	233 GOLDMAN SACHS GROUP INC @ 155.9716 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 12.82 BROKERAGE LONG TERM CAPITAL GAIN	36,341.38 4,724.01	31,617.37-
	33 GOOGLE INC-CL A @ 525.683 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 1.82 BROKERAGE LONG TERM CAPITAL GAIN	17,347.54 8,459.12	8,888.42-
	29 GOOGLE INC-CL A @ 525.6731 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 1.60 BROKERAGE LONG TERM CAPITAL GAIN	15,244.52 8,571.91	6,672.61-

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	132 HENRY SCHEIN INC @ 114.0825 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 7.26 BROKERAGE LONG TERM CAPITAL GAIN	15,053.89 9,449.15	5,609.74-
	1088 HILLENBRAND, INC. @ 29.057 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 59.84 BROKERAGE LONG TERM CAPITAL GAIN	31,614.04 7,442.78	24,171.26-
	202 INTERNATIONAL BUSINESS MACHINES CORP @ 186.4959 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 11.11 BROKERAGE LONG TERM CAPITAL GAIN	37,672.18 18,434.71	19,237.47-
	420 JOY GLOBAL INC @ 58.5638 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 23.10 BROKERAGE LONG TERM CAPITAL GAIN	24,596.79 5,061.37	19,535.42-
	638 KOMATSU LTD @ 22.3345 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 35.09 BROKERAGE LONG TERM CAPITAL LOSS	14,249.41 600.04-	14,849.45-
	151 LABORATORY CORP OF AMERICA HLDGS @ 98.9052 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 8.31 BROKERAGE LONG TERM CAPITAL GAIN	14,934.69 7,465.47	7,469.22-
	589 LINCOLN ELECTRIC HLDGS @ 65.6391 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 32.40 BROKERAGE SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	38,661.42 922.69 ST 922.69 16,043.86	21,694.87- Lt
	452 LULULEMON ATHLETICA, INC. @ 44.8841 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 24.86 BROKERAGE LONG TERM CAPITAL LOSS	20,287.62 9,406.47-	29,694.09-
	1248 OCHEN FINANCIAL CORP @ 3.0451 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 68.64 BROKERAGE SHORT TERM CAPITAL LOSS LONG TERM CAPITAL LOSS	41,240.24 Lt 7,875.43- 7,875.43- 6,426.43-	55,542.10- 7875.43 ST
	172 ONE GAS INC @ 36.0527 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 9.46 BROKERAGE LONG TERM CAPITAL GAIN	6,201.06 2,448.84	3,752.22-
	203 PENTAIR LTD @ 72.8234 / SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 11.17 BROKERAGE LONG TERM CAPITAL GAIN	14,783.16 7,967.46	6,815.70-

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	207 PIONEER NATURAL RESOURCES COMPANY @201.9105/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 11.39 BROKERAGE LONG TERM CAPITAL GAIN	41,795.47 28,114.57	13,680.90-
	565 QUALCOMM INC @ 78.9849/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 31.08 BROKERAGE LONG TERM CAPITAL GAIN	44,626.49 7,056.82	37,569.67-
	189 QUALCOMM INC @ 78.9849/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 10.40 BROKERAGE LONG TERM CAPITAL GAIN	14,928.14 3,199.76	11,728.38-
	36 QUALCOMM INC @ 78.9831/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 1.98 BROKERAGE SHORT TERM CAPITAL GAIN	2,843.39 ST 431.02	2,412.37-
	301 SAP AG - SPONS ADR @ 75.5634/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 16.56 BROKERAGE LONG TERM CAPITAL GAIN	22,744.59 7,192.28	15,552.31-
	206 SYNTEL, INC. @ 77.6133/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 11.33 BROKERAGE LONG TERM CAPITAL GAIN	15,988.33 10,963.03	5,025.30-
	974 THE MOSAIC COMPANY @ 48.994 /SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 53.57 BROKERAGE LONG TERM CAPITAL LOSS	47,720.17 12,847.92-	60,568.09-
	17 THE PRICELINE GROUP INC @81130.43/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 0.94 BROKERAGE LONG TERM CAPITAL GAIN	19,217.47 17,877.83	1,339.64-
	1429 TOKYO ELECTRON LTD ADR (JPY) @ 15.0247/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 78.60 BROKERAGE SHORT TERM CAPITAL GAIN	21,470.24 ST 6,401.43	15,068.81-
	582 URBAN OUTFITTERS INC @ 35.8343/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 32.01 BROKERAGE LONG TERM CAPITAL LOSS	20,855.56 3,128.46-	23,981.02-
	22) WALGREEN COMPANY @ 17.7435/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 12.16 BROKERAGE LONG TERM CAPITAL GAIN	14,971.32 7,195.45	7,775.87-

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	544 WILLIAMS SONOMA INC @ 63.7036/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 29.92 BROKERAGE LONG TERM CAPITAL GAIN	34,654.75 11,967.50	22,687.25-
	860 WORLD FUEL SERVICES CORP @ 44.8174/SHARE ON TRADE DATE 5/16/14 SOLD THROUGH CONVERGEX PAID 47.30 BROKERAGE LONG TERM CAPITAL GAIN	38,542.93 24,697.18	13,845.75-
07/15/14 USD	225000 FHLHC NOTES 5.000% 7/15/14 @ 1.00 /\$1 PV ON TRADE DATE 7/15/14	225,000.00	225,000.00-
08/15/14 GO	125000 US TREASURY NOTES 4.250% 8/15/14 @ 1.00 /\$1 PV ON TRADE DATE 8/15/14 LONG TERM CAPITAL LOSS	125,000.00 156.37-	125,156.37-
08/19/14	0.37 BANCO SANTANDER SA @ 9.6651/SHARE ON TRADE DATE 8/14/14 SHORT TERM CAPITAL GAIN	3.55 ST 0.03	3.52-
08/28/14 USD	150000 FHLHC NOTES 2.100% 6/28/19 @ 1.00 /\$1 PV ON TRADE DATE 8/28/14	150,000.00	150,000.00-
09/26/14 MF	1897.56 VANGUARD GROWTH INDEX FD SG CLH 1347 @ 47.18 /UNIT ON TRADE DATE 9/25/14 LONG TERM CAPITAL GAIN	89,526.69 36,357.16	53,169.53-
MF	1904.98 VANGUARD TAX MOD INTL-IV @ 9.96 /UNIT ON TRADE DATE 9/25/14 LONG TERM CAPITAL GAIN	18,973.61 3,973.62	14,999.99-
MF	756.34 VANGUARD VALUE INDEX FD-SIGN H1346 @ 32.93 /UNIT ON TRADE DATE 9/25/14 LONG TERM CAPITAL GAIN	24,906.12 9,266.32	15,639.80-
09/30/14	761 ACCENTURE PLC @ 78.9234/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 41.86 BROKERAGE LONG TERM CAPITAL GAIN	60,060.67 31,139.84	28,920.83-
	301 ACTAVIS PLC @245.2496/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 16.56 BROKERAGE LONG TERM CAPITAL GAIN	73,820.14 57,646.96	16,173.18-
	922 ADOBE SYSTEMS INC @ 67.4936/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 50.71 BROKERAGE SHORT TERM CAPITAL GAIN	62,229.06 ST 6,010.20	56,218.86-
	403 AGILENT TECHNOLOGIES INC @ 57.0638/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 22.17 BROKERAGE LONG TERM CAPITAL GAIN	22,996.72 10,313.02	12,683.70-
	177 AIR PRODUCTS & CHEMICALS INC @132.8621/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 9.74 BROKERAGE LONG TERM CAPITAL GAIN	23,516.60 8,300.83	15,215.77-

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	621 ALLSTATE CORPORATION @ 61.0037 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 34.16 BROKERAGE LONG TERM CAPITAL GAIN	37,883.32 6,362.28	31,521.04-
	684 AMERIPRISE FINANCIAL INC @ 122.8169 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 37.62 BROKERAGE LONG TERM CAPITAL GAIN	84,006.77 42,885.22	41,721.55-
	615 ANADARKO PETROLEUM CORPORATION @ 102.8228 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 33.83 BROKERAGE LONG TERM CAPITAL GAIN	63,236.03 16,778.89	46,457.44-
	650 ANALOG DEVICES, INC. @ 49.5542 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 35.75 BROKERAGE LONG TERM CAPITAL GAIN	32,210.23 1,910.67	30,299.56-
	157 ANHEUSER BUSCH INBEV NV ADR @ 112.3326 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 8.64 BROKERAGE LONG TERM CAPITAL GAIN	17,636.22 2,514.78	15,121.44-
	573 APACHE CORP @ 93.533 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 31.52 BROKERAGE LONG TERM CAPITAL GAIN	53,594.42 14,636.22	38,958.20-
	460 ASHL HOLDING N.V. (EUR) @ 99.0429 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 25.30 BROKERAGE LONG TERM CAPITAL GAIN	45,559.74 3,622.31	41,937.43-
	2210 AT&T INC @ 34.9992 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 121.55 BROKERAGE LONG TERM CAPITAL GAIN	77,348.28 13,361.47	63,986.81-
	298 AUTOLIV INC @ 95.183 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 16.39 BROKERAGE LONG TERM CAPITAL GAIN	28,364.53 3,706.55	24,657.98-
	811 AXA - SPONS ADR @ 24.8444 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 44.61 BROKERAGE LONG TERM CAPITAL GAIN	20,148.84 4,745.67	15,403.17-
	396 BAXTER INTERNATIONAL INC @ 71.231 / SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 21.78 BROKERAGE LONG TERM CAPITAL GAIN	28,207.47 6,354.64	21,852.83-



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	180 BLACKROCK INC @ 320.538 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 9.90 BROKERAGE LONG TERM CAPITAL GAIN	57,696.84 10,944.22	46,752.62-
	3200 BOMBARDIER INC @ 3.0949 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 176.00 BROKERAGE LONG TERM CAPITAL LOSS	9,903.77 5,408.83-	15,312.00-
	1988 BORGHARNER INC @ 56.3754 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 109.34 BROKERAGE LONG TERM CAPITAL GAIN	112,074.31 72,960.09	39,114.22-
	820 CAMERON INTERNATIONAL CORP @ 67.6289 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 45.10 BROKERAGE LONG TERM CAPITAL GAIN	55,455.69 22,862.04	32,593.65-
	367 CARDINAL HEALTH INC. @ 76.2234 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 20.19 BROKERAGE LONG TERM CAPITAL GAIN	27,973.99 12,914.18	15,059.81-
	1140 CELGENE CORP @ 93.073 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 62.70 BROKERAGE LONG TERM CAPITAL GAIN	106,103.26 70,928.80	35,174.46-
	928 CERNER CORPORATION @ 58.4438 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 51.04 BROKERAGE LONG TERM CAPITAL GAIN	54,235.85 43,619.53	10,616.32-
	660 CHEVRON CORP @ 120.7824 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 36.30 BROKERAGE LONG TERM CAPITAL GAIN	79,716.40 51,996.40	27,720.00-
	1111 DANAHER CORP @ 75.9034 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 61.11 BROKERAGE LONG TERM CAPITAL GAIN	84,328.69 49,455.59	34,873.10-
	424 DEERE & COMPANY @ 83.2132 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 23.32 BROKERAGE LONG TERM CAPITAL GAIN	35,282.41 697.14	34,585.27-
	395 DIAGEO PLC @ 115.8525 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 21.73 BROKERAGE LONG TERM CAPITAL GAIN	45,761.74 7,485.04	38,276.70-



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	813 DOLLAR GENERAL CORP @ 61.4337/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 44.72 BROKERAGE LONG TERM CAPITAL GAIN	49,945.62	39,684.37-
	513 DOVER CORPORATION @ 80.7333/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 28.22 BROKERAGE LONG TERM CAPITAL GAIN	41,416.18	17,617.03-
	236 DTE ENERGY COMPANY @ 75.5734/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 12.98 BROKERAGE SHORT TERM CAPITAL LOSS	17,780.12 ST	17,962.74-
	2345 EMC CORPORATION @ 28.8045/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 128.98 BROKERAGE LONG TERM CAPITAL GAIN	67,546.45	51,343.78-
	325 ENTERGY CORPORATION @ 75.9634/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 17.88 BROKERAGE SHORT TERM CAPITAL GAIN	24,688.10 ST	24,164.83-
	339 EPR PROPERTIES @ 51.2338/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 18.65 BROKERAGE SHORT TERM CAPITAL LOSS	17,368.27 ST	18,143.97-
	575 ESTEE LAUDER COMPANIES - CLASS A @ 74.0395/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 31.63 BROKERAGE LONG TERM CAPITAL GAIN	42,572.69	30,437.30-
	819 EXPRESS SCRIPTS HOLDING INC @ 71.7135/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 45.05 BROKERAGE LONG TERM CAPITAL GAIN	58,733.36	25,747.39-
	209 FLOWSERVE CORP @ 70.9935/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 11.50 BROKERAGE LONG TERM CAPITAL GAIN	14,837.64	7,013.23-
	654 FLUOR CORPORATION @ 66.8536/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 35.97 BROKERAGE LONG TERM CAPITAL GAIN	43,722.27	37,688.13-
	1252 GENERAL ELECTRIC COMPANY @ 25.5445/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 68.86 BROKERAGE LONG TERM CAPITAL LOSS	31,981.76	42,449.06-



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	278 GOLDMAN SACHS GROUP INC 3183.521 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 15.29 BROKERAGE LONG TERM CAPITAL GAIN	51,018.85	38,365.18-
		12,653.67	
	461 HAIN CELESTIAL GROUP INC 3100.6832 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 25.36 BROKERAGE LONG TERM CAPITAL GAIN	46,414.95	33,480.08-
		12,934.87	
	800 HALLIBURTON COMPANY 3 63.6737 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 44.00 BROKERAGE LONG TERM CAPITAL GAIN	50,938.95	44,499.90-
		6,439.05	
	415 HARSCO CORPORATION 3 22.1461 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 22.83 BROKERAGE LONG TERM CAPITAL LOSS	9,190.63	25,447.81-
		16,257.18-	
	1258 HELIX ENERGY SOLUTIONS GROUP 3 22.9781 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 69.19 BROKERAGE LONG TERM CAPITAL GAIN	28,906.48	19,693.99-
		9,212.49	
	870 HENRY SCHEIN INC 3116.2836 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 47.85 BROKERAGE LONG TERM CAPITAL GAIN	101,166.72	43,061.39-
		58,105.33	
	1275 ICAP PLC ADR (GBP) 3 12.7347 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 70.13 BROKERAGE LONG TERM CAPITAL GAIN	16,236.75	15,102.38-
		1,134.37	
	294 INTUIT INC 3 84.9532 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 16.17 BROKERAGE LONG TERM CAPITAL GAIN	24,976.24	8,159.53-
		16,816.71	
	265 JACK HENRY & ASSOC INC 3 55.5738 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 14.58 BROKERAGE LONG TERM CAPITAL GAIN	14,727.07	4,142.88-
		10,584.19	
	330 JACK HENRY & ASSOC INC 3 55.5778 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 18.15 BROKERAGE LONG TERM CAPITAL GAIN	18,340.66	8,214.36-
		10,126.30	
	838 KNOWLES CORP 3 26.4745 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 46.09 BROKERAGE LONG TERM CAPITAL GAIN	22,185.63	11,795.65-
		10,389.98	

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	1012 KOHLS CORPORATION @ 61.4366/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 55.66 BROKERAGE LONG TERM CAPITAL GAIN	62,173.84 5,820.82	56,353.02-
	554 LABORATORY CORP OF AMERICA HLDGS @102.2563/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 30.47 BROKERAGE LONG TERM CAPITAL GAIN	56,650.01 29,246.41	27,403.60-
	294 LAS VEGAS SANDS CORP @ 60.0837/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 16.17 BROKERAGE SHORT TERM CAPITAL LOSS	17,664.62 <i>ST</i> 3,819.40-	21,484.02-
	145 LOCKHEED MARTIN CORPORATION @177.3911/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 7.98 BROKERAGE SHORT TERM CAPITAL GAIN	25,721.71 <i>ST</i> 2,105.81	23,535.90-
	692 HASTEC INC @ 31.0193/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 38.06 BROKERAGE SHORT TERM CAPITAL LOSS	21,465.36 <i>ST</i> 5,664.43-	27,129.79-
	917 MICHAEL KORS HOLDINGS LIMITED (EUR) @ 72.9535/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 50.44 BROKERAGE LONG TERM CAPITAL GAIN	66,898.34 16,165.73	50,732.61-
	678 MONSANTO CO @113.4425/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 37.29 BROKERAGE LONG TERM CAPITAL GAIN	76,914.01 11,941.99	64,972.02-
	379 NEXTERA ENERGY, INC. @ 93.363 /SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 20.85 BROKERAGE LONG TERM CAPITAL GAIN	35,384.58 13,480.94	21,903.64-
	462 ONEOK INC @ 65.6336/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 25.41 BROKERAGE LONG TERM CAPITAL GAIN	30,322.74 12,673.99	17,648.75-
	230 PIONEER NATURAL RESOURCES COMPANY @195.4507/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 12.65 BROKERAGE LONG TERM CAPITAL GAIN	44,953.67 29,752.67	15,201.00-
	206 PRECISION CASTPARTS CORP @237.5098/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 11.33 BROKERAGE LONG TERM CAPITAL GAIN	48,927.02 7,499.67	39,427.35-

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	284 RALPH LAUREN CORP @165.0614/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 15.62 BROKERAGE LONG TERM CAPITAL GAIN	46,877.45	37,810.93-
	388 RESTORATION HARDWARE HOLDINGS INC @ 79.9933/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 21.34 BROKERAGE SHORT TERM CAPITAL GAIN	31,037.41 ST	25,089.98-
	330 ROCKWELL AUTOMATION, INC. COMMON STK @111.4326/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 18.15 BROKERAGE LONG TERM CAPITAL GAIN	36,772.76	23,827.57-
	278 SHIRE PLC ADR (GBP) @254.0678/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 15.29 BROKERAGE SHORT TERM CAPITAL GAIN	70,630.86 ST	45,924.21-
	476 STARBUCKS CORP @ 74.0735/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 26.18 BROKERAGE LONG TERM CAPITAL GAIN	35,258.97	33,695.64-
	427 STARWOOD HOTELS & RESORTS @ 82.4733/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 23.49 BROKERAGE LONG TERM CAPITAL GAIN	35,216.08	27,735.75-
	212 STRATASYS LTD @119.2425/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 11.66 BROKERAGE SHORT TERM CAPITAL GAIN	25,279.40 ST	18,684.60-
	522 TECHNIP SA ADR @ 20.5945/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 28.71 BROKERAGE LONG TERM CAPITAL LOSS	10,750.35	15,196.99-
	53 THE PRICELINE GROUP INC @91159.94/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 2.92 BROKERAGE LONG TERM CAPITAL GAIN	61,477.31	4,176.53-
	772 THE WALT DISNEY COMPANY @ 88.2331/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 42.46 BROKERAGE LONG TERM CAPITAL GAIN	68,115.99	35,407.75-
	573 THERMO FISCHER SCIENTIFIC INC @121.3324/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 31.52 BROKERAGE LONG TERM CAPITAL GAIN	69,523.47	32,635.22-

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	389 THOR INDUSTRIES INC @ 53.0713/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 21.40 BROKERAGE LONG TERM CAPITAL GAIN	20,644.72 5,491.37	15,153.35-
	524 TIME WARNER CABLE INC. @144.1934/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 28.82 BROKERAGE LONG TERM CAPITAL GAIN	75,557.34 45,555.72	30,001.62-
	2177 TRIMBLE NAVIGATION LTD @ 30.1744/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 119.74 BROKERAGE LONG TERM CAPITAL GAIN	65,689.73 2,943.72	62,746.01-
	910 UNION PACIFIC CORPORATION @107.3027/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 50.05 BROKERAGE LONG TERM CAPITAL GAIN	97,645.48 69,348.00	28,297.48-
	612 UNITED RENTALS INC @110.9326/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 33.66 BROKERAGE LONG TERM CAPITAL GAIN	67,890.77 34,876.49	33,014.28-
	20 UNITED TECHNOLOGIES CORPORATION @104.6225/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 1.10 BROKERAGE LONG TERM CAPITAL GAIN	2,092.45 223.95	1,868.50-
	1011 UNITED TECHNOLOGIES CORPORATION @104.6228/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 55.61 BROKERAGE LONG TERM CAPITAL GAIN	105,773.63 45,351.97	60,421.66-
	905 URBAN OUTFITTERS INC @ 37.4143/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 49.78 BROKERAGE LONG TERM CAPITAL LOSS	33,859.91 2,469.95-	36,329.86-
	483 V F CORPORATION @ 65.5936/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 26.57 BROKERAGE LONG TERM CAPITAL GAIN	31,681.72 11,756.40	19,925.32-
	494 VALEANT PHARMACEUTICALS INTL @127.5093/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 27.17 BROKERAGE LONG TERM CAPITAL GAIN	62,989.61 28,338.03	34,651.58-
	301 WAL-MART STORES @ 76.1734/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 16.55 BROKERAGE LONG TERM CAPITAL GAIN	22,928.20 7,756.29	15,171.91-



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<u>DATE</u>	<u>SECURITY DESCRIPTION</u>	<u>PROCEEDS</u>	<u>INVESTMENTS AT COST</u>
	1081 WALGREEN COMPANY Q 60.8941/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 59.46 BROKERAGE LONG TERM CAPITAL GAIN	65,826.53 19,889.98	45,936.55-
	414 WD-40 COMPANY Q 68.5666/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 22.77 BROKERAGE LONG TERM CAPITAL GAIN	28,386.56 16,564.99	11,821.57-
	238 WILLIAMS SONOMA INC Q 66.5736/SHARE ON TRADE DATE 9/25/14 SOLD THROUGH CONVERGEX PAID 13.09 BROKERAGE LONG TERM CAPITAL GAIN	15,844.51 5,918.84	9,925.67-
	TOTAL SECURITIES SOLD NET REALIZED GAIN/LOSS	1,968,159.65	6,213,499.91 4,245,340.26- 356607.18 318717.32
		ST 37889.86 LT 1,930,269.79	3926622.94

5,822.55

SECURITIES SOLD

<u>DATE</u>	<u>SECURITY DESCRIPTION</u>	<u>PROCEEDS</u>	<u>INVESTMENTS AT COST</u>
10/16/13	0.4 ACTAVIS PLC @140.45 /SHARE ON TRADE DATE 10/16/13 SHORT TERM CAPITAL GAIN 1.32	56.18 ST	54.86-
11/22/13 MF	1346.81 VANGUARD BD INDEX FD SIGNAL #1351 @ 10.64 /UNIT ON TRADE DATE 11/21/13 LONG TERM CAPITAL GAIN 592.60	14,330.09	13,737.49-
MF	148.31 VANGUARD GROWTH INDEX FD SG CL# 1347 @ 42.57 /UNIT ON TRADE DATE 11/21/13 LONG TERM CAPITAL GAIN 2,136.85	6,313.68	4,176.83-
11/26/13	146 ADTRAN INC @ 25.1675 /SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 8.03 BROKERAGE LONG TERM CAPITAL LOSS 628.34-	3,674.46	4,302.80-



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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	26 ALLERGAN INC @ 98.6535/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 1.43 BROKERAGE LONG TERM CAPITAL GAIN	2,564.99 436.41	2,128.58-
	85 AMERISOURCEBERGEN @ 69.9236/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 4.68 BROKERAGE LONG TERM CAPITAL GAIN	5,943.51 4,724.33	1,219.18-
	13 APPLE INC. @ 516.8554/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 0.72 BROKERAGE SHORT TERM CAPITAL GAIN	6,719.12 ST 222.30	6,496.82-
	79 ARM HOLDINGS PLC-SPONS ADR @ 47.1941/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 4.35 BROKERAGE SHORT TERM CAPITAL GAIN	3,728.33 ST 406.10	3,322.23-
	106 AT&T INC @ 35.2745/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 5.82 BROKERAGE LONG TERM CAPITAL GAIN	3,739.10 864.91	2,874.19-
	111 BANK OF NEW YORK MELLON CORP @ 33.6544/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 6.11 BROKERAGE LONG TERM CAPITAL GAIN	3,735.64 338.49	3,397.15-
	71 BAXTER INTERNATIONAL INC @ 68.2837/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 3.91 BROKERAGE LONG TERM CAPITAL GAIN	4,848.14 918.64	3,929.50-
	140 BEAM INC @ 67.7039/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 7.70 BROKERAGE LONG TERM CAPITAL GAIN	9,478.54 3,416.14	6,062.40-
	45 BORGHARNER INC @ 106.6429/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 2.48 BROKERAGE LONG TERM CAPITAL GAIN	4,798.93 2,681.90	2,117.03-
	17 CELGENE CORP @ 158.0518/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 0.94 BROKERAGE LONG TERM CAPITAL GAIN	2,686.88 1,735.64	951.24-
	63 CHEVRON CORP @ 123.4527/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 3.47 BROKERAGE LONG TERM CAPITAL GAIN	7,777.52 2,392.65	5,384.87-

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	60 COCA-COLA COMPANY @ 40.3642/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 3.30 BROKERAGE LONG TERM CAPITAL GAIN	2,421.85 309.71	2,112.14-
	120 DEERE & COMPANY @ 83.3038/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 6.59 BROKERAGE SHORT TERM CAPITAL LOSS	9,996.45 <i>ST</i> 1,051.18-	11,047.63-
	88 DOLLAR GENERAL CORP @ 57.728 /SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 4.84 BROKERAGE SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	5,080.06 <i>S 6.17</i> <i>L 5073.89</i> 6.17 758.81	4,315.08- <i>L</i>
	63 DOVER CORPORATION @ 92.5194/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 3.47 BROKERAGE LONG TERM CAPITAL GAIN	5,828.72 3,646.57	2,182.15-
	23 EQUINIX INC @160.6035/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 1.27 BROKERAGE LONG TERM CAPITAL GAIN	3,693.88 387.27	3,306.61-
	141 EXPRESS SCRIPTS HOLDING INC @ 65.7838/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 7.76 BROKERAGE LONG TERM CAPITAL GAIN	9,275.52 4,281.66	4,993.86-
	43 GOLDMAN SACHS GROUP INC @166.7219/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 2.37 BROKERAGE LONG TERM CAPITAL GAIN	7,169.04 1,316.91	5,852.13-
	76 GRACO INC @ 77.0436/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 4.18 BROKERAGE LONG TERM CAPITAL GAIN	5,855.31 3,779.53	2,075.78-
	33 HENRY SCHEIN INC @114.3927/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 1.82 BROKERAGE LONG TERM CAPITAL GAIN	3,774.96 1,945.21	1,829.75-
	56 HESS CORP @ 82.2834/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 3.08 BROKERAGE LONG TERM CAPITAL GAIN	4,607.87 416.01	4,191.86-
	92 HILLENBRAND, INC. @ 27.8162/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 5.06 BROKERAGE LONG TERM CAPITAL GAIN	2,559.09 464.71	2,094.38-

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	42 ILLINOIS TOOL WORKS INC @ 79.2836/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 2.31 BROKERAGE LONG TERM CAPITAL GAIN	3,329.91 1,316.64	2,013.27-
	19 ISHARES RUSSELL MIDCAP ETF @145.9321/UNIT ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 1.05 BROKERAGE LONG TERM CAPITAL GAIN	2,772.71 846.59	1,926.12-
	19 KIMBERLY-CLARK CORPORATION @108.0326/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 1.05 BROKERAGE LONG TERM CAPITAL GAIN	2,052.62 690.80	1,361.82-
	45 LABORATORY CORP OF AMERICA HLDGS @104.5329/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 2.48 BROKERAGE LONG TERM CAPITAL GAIN	4,703.98 1,244.60	3,459.38-
	38 NATIONAL FUEL GAS COMPANY @ 66.9537/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 2.09 BROKERAGE LONG TERM CAPITAL GAIN	2,544.24 478.81	2,065.43-
	85 NEXTERA ENERGY, INC. @ 86.8535/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 4.68 BROKERAGE LONG TERM CAPITAL GAIN	7,382.55 2,699.30	4,683.25-
	49 OCCIDENTAL PETROLEUM CORPORATION @ 98.2831/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 2.70 BROKERAGE LONG TERM CAPITAL GAIN	4,815.87 532.69	4,283.18-
	134 OLD REPUBLIC INTERNATIONAL CORP @ 17.2947/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 7.37 BROKERAGE SHORT TERM CAPITAL GAIN	2,317.49 300.19	2,017.30-
	33 PENTAIR LTD @ 70.3348/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 1.82 BROKERAGE LONG TERM CAPITAL GAIN	2,321.05 1,185.21	1,135.84-
	31 PHILIP MORRIS INTERNATIONAL, INC. @ 85.5739/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 1.69 BROKERAGE LONG TERM CAPITAL GAIN	2,652.79 1,111.57	1,541.22-
	70 QUALCOMM INC @ 70.9937/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 3.85 BROKERAGE LONG TERM CAPITAL GAIN	4,969.56 625.71	4,343.85-

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	34 RLI CORP 3101.4329/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 1.87 BROKERAGE LONG TERM CAPITAL GAIN	3,448.72 1,588.75	1,859.97-
	58 RPM INC 39.7041/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 3.19 BROKERAGE LONG TERM CAPITAL GAIN	2,302.84 1,176.14	1,126.70-
	118 THE MOSAIC COMPANY 46.4345/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 6.46 BROKERAGE SHORT TERM CAPITAL LOSS	5,479.27 1,904.52-	7,383.79-
	75 THE WALT DISNEY COMPANY 69.8327/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 4.13 BROKERAGE LONG TERM CAPITAL GAIN	5,237.45 2,174.84	3,062.61-
	44 WAL-MART STORES 78.7734/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 2.42 BROKERAGE LONG TERM CAPITAL GAIN	3,466.03 1,081.45	2,384.58-
	51 WD-40 COMPANY 73.7337/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 2.81 BROKERAGE LONG TERM CAPITAL GAIN	3,760.42 2,423.84	1,336.58-
	106 WELLS FARGO COMPANY 44.1342/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 5.83 BROKERAGE LONG TERM CAPITAL GAIN	4,678.23 1,600.54	3,077.69-
	83 WILLIAMS SONOMA INC 59.6359/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 4.57 BROKERAGE LONG TERM CAPITAL GAIN	4,949.78 1,488.30	3,461.48-
	111 WORLD FUEL SERVICES CORP 38.5741/SHARE ON TRADE DATE 11/21/13 SOLD THROUGH CONVERGEX PAID 6.11 BROKERAGE LONG TERM CAPITAL GAIN	4,281.73 2,494.66	1,787.07-
12/10/13 MF	5019.42 VANGUARD BD INDEX FD SIGNAL #1351 10.62 /UNIT ON TRADE DATE 12/09/13 LONG TERM CAPITAL LOSS	53,306.25 380.89-	53,687.14-
12/27/13	0.2 COMMERCE BANCSHARES INC 44.45 /SHARE ON TRADE DATE 12/17/13 SHORT TERM CAPITAL GAIN	8.89 0.22	8.67-
03/12/14	0.5 KNOWLES CORP 29.52 /SHARE ON TRADE DATE 3/07/14 LONG TERM CAPITAL GAIN	14.76 6.86	7.90-



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09/11/14	209.89 VANGUARD VALUE INDEX FD-SIGN H1346 @ 33.49 /UNIT ON TRADE DATE 9/10/14 SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	7,029.22 (196.08) ST LT	5,999.92- LX
09/15/14	82 ABBVIE INC @ 57.1679/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.51 BROKERAGE LONG TERM CAPITAL GAIN	4,687.77 1,603.06	3,084.71-
	106 ACCENTURE PLC @ 81.1732/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 5.83 BROKERAGE LONG TERM CAPITAL GAIN	8,604.36 4,547.22	4,057.14-
	40 AFLAC INCORPORATED @ 59.6235/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.20 BROKERAGE LONG TERM CAPITAL GAIN	2,384.94 107.96	2,276.98-
	58 AGILENT TECHNOLOGIES INC @ 57.5236/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.19 BROKERAGE LONG TERM CAPITAL GAIN	3,336.37 839.22	2,497.15-
	33 ALLSTATE CORPORATION @ 60.8933/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.82 BROKERAGE LONG TERM CAPITAL GAIN	2,009.48 1,469.93	539.55-
	69 AMERIPRISE FINANCIAL INC @125.522 /SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.80 BROKERAGE LONG TERM CAPITAL GAIN	8,661.02 4,551.49	4,109.53-
	75 ANADARKO PETROLEUM CORPORATION @105.9025/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.13 BROKERAGE LONG TERM CAPITAL GAIN	7,942.69 2,402.22	5,540.47-
	91 ANALOG DEVICES, INC. @ 49.7837/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 5.01 BROKERAGE LONG TERM CAPITAL GAIN	4,530.32 379.89	4,150.93-
	40 ANHEUSER BUSCH INBEV NV ADR @111.3425/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.20 BROKERAGE SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	4,453.70 (159.95) ST	4,046.00- LX
	32 APACHE CORP @ 96.7728/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.76 BROKERAGE LONG TERM CAPITAL LOSS	3,096.73 512.59-	3,609.12-

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	69 ARCHER DANIELS MIDLAND COMPANY @ 50.4958/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.80 BROKERAGE LONG TERM CAPITAL GAIN	3,484.07 1,482.03	2,002.04-
	47 ASHL HOLDING N.V. (EUR) @ 97.3626/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.59 BROKERAGE LONG TERM CAPITAL GAIN	4,576.04 184.12	4,391.92-
	204 AT&T INC @ 34.4243/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 11.22 BROKERAGE LONG TERM CAPITAL GAIN	7,022.56 971.00	6,051.56-
	37 AUTOLIV INC @100.4624/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.04 BROKERAGE LONG TERM CAPITAL GAIN	3,717.11 598.19	3,118.92-
	68 BEMIS COMPANY INC @ 39.3141/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.74 BROKERAGE LONG TERM CAPITAL GAIN	2,673.36 559.25	2,114.11-
	32 BLACKROCK INC @329.7675/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.76 BROKERAGE SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	10,552.56 <464.99>ST 464.99 1,033.93	9,053.64- X
	209 BORGWARNER INC @ 61.2737/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 11.50 BROKERAGE LONG TERM CAPITAL GAIN	12,806.20 6,084.13	6,722.07-
	54 CABOT MICROELECTRONICS CORP @ 41.4441/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.97 BROKERAGE LONG TERM CAPITAL LOSS	2,237.98 207.71-	2,445.69-
	111 CAMERON INTERNATIONAL CORP @ 70.9737/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 6.11 BROKERAGE LONG TERM CAPITAL GAIN	7,878.08 2,535.60	5,342.48-
	28 CARBO CERAMICS INC @103.9325/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.54 BROKERAGE LONG TERM CAPITAL GAIN	2,910.11 832.85	2,077.26-
	52 CBS CORP-B @ 57.4238/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.86 BROKERAGE LONG TERM CAPITAL GAIN	2,986.04 1,095.32	1,890.72-



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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	128 CELGENE CORP @ 93.8469 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 7.04 BROKERAGE LONG TERM CAPITAL GAIN	12,012.40 7,197.08	4,815.32-
	124 CERNER CORPORATION @ 59.4337 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 6.82 BROKERAGE LONG TERM CAPITAL GAIN	7,369.78 5,915.11	1,454.67-
	30 CHEVRON CORP @ 123.142 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.65 BROKERAGE LONG TERM CAPITAL GAIN	3,694.26 796.89	2,897.37-
	46 COMMERCE BANCSHARES INC @ 46.1539 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.53 BROKERAGE LONG TERM CAPITAL GAIN	2,123.08 129.97	1,993.11-
	63 CONSOLIDATED EDISON, INC @ 56.6137 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.47 BROKERAGE LONG TERM CAPITAL LOSS	3,566.66 20.22-	3,586.88-
	108 DANAHER CORP @ 76.8833 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 5.94 BROKERAGE SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	8,303.40 <73,03> ST 73.03 2,507.44	5,722.93- ✓
	49 DIAGEO PLC @ 120.352 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.70 BROKERAGE LONG TERM CAPITAL GAIN	5,897.25 1,847.15	4,050.10-
	72 DIEBOLD INC @ 38.314 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.96 BROKERAGE LONG TERM CAPITAL GAIN	2,751.61 604.11	2,154.50-
	35 DOLLAR GENERAL CORP @ 63.5634 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.93 BROKERAGE LONG TERM CAPITAL GAIN	2,224.72 312.14	1,912.58-
	95 EATON VANCE CORP - NON VOTING SHS @ 38.924 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 5.23 BROKERAGE LONG TERM CAPITAL GAIN	3,697.78 1,383.60	2,314.18-
	256 EBAY INC @ 50.994 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 14.08 BROKERAGE LONG TERM CAPITAL GAIN	13,054.46 5,792.03	7,262.43-

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DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	486 EMC CORPORATION @ 29.3944/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 26.73 BROKERAGE LONG TERM CAPITAL GAIN	14,285.70 2,375.74	11,909.96-
	35 EMERSON ELECTRIC COMPANY @ 64.9131/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.93 BROKERAGE LONG TERM CAPITAL GAIN	2,271.96 581.63	1,690.33-
	58 EPR PROPERTIES @ 56.1136/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.19 BROKERAGE LONG TERM CAPITAL GAIN	3,254.59 840.73	2,413.86-
	62 ESTEE LAUDER COMPANIES - CLASS A @ 74.8232/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.41 BROKERAGE LONG TERM CAPITAL GAIN	4,639.04 1,305.46	3,333.58-
	28 EXXON MOBIL CORP @ 96.5629/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.54 BROKERAGE LONG TERM CAPITAL GAIN	2,703.76 623.22	2,080.54-
	49 FIRST CASH FINANCIAL SERVICES INC @ 55.1437/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.70 BROKERAGE LONG TERM CAPITAL GAIN	2,702.04 536.97	2,165.07-
	81 FLOWSERVE CORP @ 74.7532/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.46 BROKERAGE LONG TERM CAPITAL GAIN	6,055.01 4,737.55	1,317.46-
	89 FLUOR CORPORATION @ 70.6234/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.90 BROKERAGE LONG TERM CAPITAL GAIN	6,285.48 345.75	5,939.73-
	82 FREEPORT-MCMORAN INC. @ 34.4841/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.51 BROKERAGE LONG TERM CAPITAL GAIN	2,827.70 1,834.64	993.06-
	31 GENERAL DYNAMICS CORPORATION @ 127.1123/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.70 BROKERAGE LONG TERM CAPITAL GAIN	3,940.48 1,900.52	2,039.96-
	107 GENERAL ELECTRIC COMPANY @ 25.9545/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 5.88 BROKERAGE LONG TERM CAPITAL LOSS	2,777.13 714.81-	3,491.94-

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 DAVID AND EULA WINTERHANN FOUNDATION

DATE	SECURITY DESCRIPTION	PROCEEDS	INVESTMENTS AT COST
	49 HAIN CELESTIAL GROUP INC @ 101.7024 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.70 BROKERAGE LONG TERM CAPITAL GAIN	4,983.42	3,741.89-
		1,241.83	
	75 HCP, INC. @ 42.374 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.13 BROKERAGE LONG TERM CAPITAL GAIN	3,178.05	2,751.24-
		426.81	
	85 HENRY SCHEIN INC @ 117.9322 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.68 BROKERAGE LONG TERM CAPITAL GAIN	10,024.24	4,038.56-
		5,985.68	
	26 INTERNATIONAL BUSINESS MACHINES CORP @ 191.4908 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.43 BROKERAGE LONG TERM CAPITAL GAIN	4,978.76	2,057.25-
		2,921.51	
	169 ISHARES RUSSELL MIDCAP ETF @ 163.5214 / UNIT ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 9.30 BROKERAGE LONG TERM CAPITAL GAIN	27,635.12	14,005.15-
		13,629.97	
	86 JACK HENRY & ASSOC INC @ 58.1936 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.73 BROKERAGE LONG TERM CAPITAL GAIN	5,004.65	1,548.00-
		3,456.68	
	22 JOHNSON & JOHNSON @ 105.1727 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.21 BROKERAGE LONG TERM CAPITAL GAIN	2,313.80	1,415.37-
		898.43	
	68 KNOWLES CORP @ 30.1543 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.74 BROKERAGE LONG TERM CAPITAL GAIN	2,050.49	1,266.31-
		784.18	
	139 KOHL'S CORPORATION @ 58.8537 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 7.65 BROKERAGE LONG TERM CAPITAL GAIN	8,180.66	7,834.67-
		345.99	
	50 LABORATORY CORP OF AMERICA HLDGS @ 107.0626 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.75 BROKERAGE LONG TERM CAPITAL GAIN	5,353.13	3,430.83-
		1,922.30	
	61 LANDSTAR SYSTEM INC @ 70.8333 / SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.36 BROKERAGE LONG TERM CAPITAL GAIN	4,320.83	1,998.41-
		2,322.42	

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	60 LEGGETT & PLATT INC @ 35.3242/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.30 BROKERAGE LONG TERM CAPITAL GAIN	2,119.45	1,287.75-
	58 LINCOLN ELECTRIC HLDGS @ 71.9434/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.19 BROKERAGE LONG TERM CAPITAL GAIN	4,172.72	1,102.00-
	10 LINKEDIN CORPORATION @ 230.159 /SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 0.55 BROKERAGE SHORT TERM CAPITAL GAIN	2,301.59	2,212.64-
	89 LULULEMON ATHLETICA, INC. @ 38.354 /SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.90 BROKERAGE SHORT TERM CAPITAL LOSS LONG TERM CAPITAL LOSS	3,413.51	5,965.23- ST 993.28
	43 MCCORMICK & CO @ 68.9233/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.37 BROKERAGE LONG TERM CAPITAL GAIN	2,963.70	2,082.70-
	48 MCGRAW HILL FINANCIAL, INC. @ 84.9629/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.64 BROKERAGE LONG TERM CAPITAL GAIN	4,078.22	2,133.36-
	53 MEDTRONIC INCORPORATED @ 65.9534/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.92 BROKERAGE LONG TERM CAPITAL GAIN	3,495.53	2,078.39-
	131 MICHAEL KORS HOLDINGS LIMITED (EUR) @ 75.6934/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 7.21 BROKERAGE SHORT TERM CAPITAL LOSS LONG TERM CAPITAL GAIN	9,915.93	7,775.52- ST 120.68
	111 MONSANTO CO @ 112.6127/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 6.10 BROKERAGE SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	12,500.01 (36.55)ST	11,187.08- LT
	71 NUCOR CORPORATION @ 54.6837/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.91 BROKERAGE LONG TERM CAPITAL GAIN	3,882.54	2,926.97-

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	140 OCWEN FINANCIAL CORP @ 27.7096/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 7.70 BROKERAGE LONG TERM CAPITAL LOSS	3,879.35 2,167.14-	6,046.49-
	100 OHENS & MINOR INC @ 34.6343/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 5.50 BROKERAGE LONG TERM CAPITAL GAIN	3,463.43 818.43	2,645.00-
	29 PENTAIR PLC (EUR) @ 67.0952/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.60 BROKERAGE LONG TERM CAPITAL GAIN	1,945.76 947.59	998.17-
	32 PEPSICO INC @ 91.7428/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.76 BROKERAGE LONG TERM CAPITAL GAIN	2,935.77 830.30	2,105.47-
	71 PIEDMONT NATURAL GAS COMPANY INC @ 35.8441/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.91 BROKERAGE LONG TERM CAPITAL GAIN	2,544.93 444.09	2,100.84-
	48 PIONEER NATURAL RESOURCES COMPANY @ 199.2204/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.64 BROKERAGE LONG TERM CAPITAL GAIN	9,562.58 6,760.62	2,801.96-
	15 PPG INDUSTRIES INC @ 202.00 /SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 0.83 BROKERAGE LONG TERM CAPITAL GAIN	3,030.00 1,889.87	1,140.13-
	25 PRECISION CASTPARTS CORP @ 241.9692/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.38 BROKERAGE SHORT TERM CAPITAL LOSS LONG TERM CAPITAL GAIN	6,049.23 91.41- 815.73	5,324.91- (91.41) ST
	88 PUBLIC SERVICE ENTERPRISE GROUP INC @ 36.3441/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.84 BROKERAGE LONG TERM CAPITAL LOSS	3,198.28 528.08-	3,726.36-
	25 RALPH LAUREN CORP @ 174.5608/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.38 BROKERAGE LONG TERM CAPITAL GAIN	4,364.02 878.89	3,485.13-
	32 RESTORATION HARDWARE HOLDINGS INC @ 82.4631/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.76 BROKERAGE SHORT TERM CAPITAL GAIN	2,638.02 295.50	2,343.32- ST

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	38 ROCKWELL AUTOMATION, INC. COMMON STK @115.8124/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.09 BROKERAGE LONG TERM CAPITAL GAIN	4,400.87 1,657.09	2,743.78-
	25 SANDISK CORP @ 99.6424/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.38 BROKERAGE LONG TERM CAPITAL GAIN	2,491.06 1,379.45	1,111.61-
	22 SHIRE PLC ADR (GBP) @253.0391/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.21 BROKERAGE SHORT TERM CAPITAL GAIN	5,566.86 ST 2,534.74	3,032.12-
	32 SPLUNK INC @ 59.4434/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.76 BROKERAGE SHORT TERM CAPITAL LOSS	1,902.19 ST 50.60-	1,952.79-
	82 STARBUCKS CORP @ 76.9434/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.51 BROKERAGE SHORT TERM CAPITAL LOSS LONG TERM CAPITAL GAIN	6,309.36 121.46- 278.99	6,154.83- 121.46 ST
	52 STARWOOD HOTELS & RESORTS @ 84.1131/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.36 BROKERAGE LONG TERM CAPITAL GAIN	4,373.88 911.98	3,461.90-
	54 SYNTEL, INC. @ 88.173 /SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.97 BROKERAGE LONG TERM CAPITAL GAIN	4,761.34 3,444.03	1,317.31-
	8 THE PRICELINE GROUP INC @1185.16/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 0.44 BROKERAGE LONG TERM CAPITAL GAIN	9,481.35 8,850.93	630.42-
	29 THE WALT DISNEY COMPANY @ 89.4228/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.60 BROKERAGE LONG TERM CAPITAL GAIN	2,593.26 1,409.08	1,184.21-
	89 THERMO FISCHER SCIENTIFIC INC @123.8422/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.90 BROKERAGE LONG TERM CAPITAL GAIN	11,021.96 8,952.97	5,068.99-
	52 THOR INDUSTRIES INC @ 53.5037/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.86 BROKERAGE LONG TERM CAPITAL GAIN	2,782.19 762.77	2,019.42-

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	57 TIME WARNER CABLE INC. @152.4014/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.14 BROKERAGE LONG TERM CAPITAL GAIN	8,606.88 5,436.19	3,250.69-
	257 TRIMBLE NAVIGATION LTD @ 33.0144/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 14.14 BROKERAGE LONG TERM CAPITAL GAIN	8,484.69 1,030.75	7,453.94-
	99 UGI CORPORATION @ 35.6541/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 5.45 BROKERAGE LONG TERM CAPITAL GAIN	3,529.76 1,511.22	2,018.54-
	114 UNION PACIFIC CORPORATION @107.2227/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 6.27 BROKERAGE LONG TERM CAPITAL GAIN	12,223.39 7,358.10	4,865.29-
	126 UNITED RENTALS INC @115.0025/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 6.93 BROKERAGE SHORT TERM CAPITAL GAIN LONG TERM CAPITAL GAIN	14,490.31 28,444.84 ST 2,844.84 3,974.93	7,670.54- L
	93 UNITED TECHNOLOGIES CORPORATION @108.3425/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 5.12 BROKERAGE LONG TERM CAPITAL GAIN	10,075.85 2,560.79	7,515.06-
	19 UNITED TECHNOLOGIES CORPORATION @108.3421/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.05 BROKERAGE LONG TERM CAPITAL GAIN	2,050.50 635.44	1,403.06-
	170 URBAN OUTFITTERS INC @ 38.7344/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 9.35 BROKERAGE LONG TERM CAPITAL LOSS	6,584.85 349.46-	6,934.31-
	84 V F CORPORATION @ 64.6936/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 4.62 BROKERAGE LONG TERM CAPITAL GAIN	5,434.26 2,664.67	2,769.59-
	61 VALEANT PHARMACEUTICALS INTL @119.9421/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.36 BROKERAGE LONG TERM CAPITAL GAIN	7,316.47 3,042.50	4,273.97-
	8 W W GRAINGER INC @246.5788/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 0.44 BROKERAGE LONG TERM CAPITAL LOSS	1,972.63 63.17-	2,035.80-



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	180 WALGREEN COMPANY @ 63.4136/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 9.90 BROKERAGE LONG TERM CAPITAL GAIN	11,414.44 4,236.44	7,178.00-
	52 WGL HOLDINGS INC @ 43.6238/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 2.86 BROKERAGE LONG TERM CAPITAL GAIN	2,268.44 196.00	2,072.44-
	64 WORLD FUEL SERVICES CORP @ 42.6139/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 3.52 BROKERAGE LONG TERM CAPITAL GAIN	2,727.29 1,696.91	1,030.38-
	24 3M CO @144.6217/SHARE ON TRADE DATE 9/10/14 SOLD THROUGH CONVERGEX PAID 1.32 BROKERAGE LONG TERM CAPITAL GAIN	3,470.92 1,459.85	2,011.07-
	TOTAL SECURITIES SOLD	832,382.42	579,550.01-
	NET REALIZED GAIN/LOSS 252,832.41	44,496.80	41,199.00
	ST 3297.80	787,885.62	538,351.01
	LT 249,534.61		