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Form 990-PF

Return of Private Foundation

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

OMB No 1545-0052

2014

Department of the Treasury
Internal Revenue Service

Do not enter social security numbers on this form as it may be made public.

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

Open to Public Inspection

For calendar year 2014 or tax year beginning

, and ending

Name of foundation THE GORDON A. CAIN FOUNDATION		A Employer identification number 20-8483773	
Number and street (or P.O. box number if mail is not delivered to street address) 8 GREENWAY PLAZA		Room/suite 606	B Telephone number (713) 840-7896
City or town, state or province, country, and ZIP or foreign postal code HOUSTON, TX 77046		C If exemption application is pending, check here ☐	
G Check all that apply: ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1 Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐	
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐	
I Fair market value of all assets at end of year (from Part II, col (c), line 16) \$ 17,055,039.		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐	
J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____		(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			
2 Check ☒ if the foundation is not required to attach Sch B			
3 Interest on savings and temporary cash investments			
4 Dividends and interest from securities		573,784.	573,784.
5a Gross rents			
b Net rental income or (loss)			
6a Net gain or (loss) from sale of assets not on line 10		498,917.	
b Gross sales price for all assets on line 6a		9,498,696.	
7 Capital gain net income (from Part IV, line 2)			498,917.
8 Net short-term capital gain			N/A
9 Income modifications			
10a Gross sales less returns and allowances			
b Less: Cost of goods sold			
c Gross profit or (loss)			
11 Other income		1,341.	81.
12 Total. Add lines 1 through 11		1,074,042.	1,072,782.
13 Compensation of officers, directors, trustees, etc		0.	0.
14 Other employee salaries and wages		10,199.	10,199.
15 Pension plans, employee benefits			
16a Legal fees			
b Accounting fees		17,322.	17,322.
c Other professional fees			
17 Interest		100.	99.
18 Taxes		34,055.	2,609.
19 Depreciation and depletion			
20 Occupancy			
21 Travel, conferences, and meetings			
22 Printing and publications			
23 Other expenses		131,719.	131,712.
24 Total operating and administrative expenses. Add lines 13 through 23		193,395.	161,941.
25 Contributions, gifts, grants paid		838,500.	
26 Total expenses and disbursements. Add lines 24 and 25		1,031,895.	161,941.
27 Subtract line 26 from line 12.		42,147.	
a Excess of revenue over expenses and disbursements			910,841.
b Net investment income (if negative, enter -0-)			0.
c Adjusted net income (if negative, enter -0-)			0.

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LHA For Paperwork Reduction Act Notice, see instructions.

Form 990-PF (2014)

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	130,788.	12,390.	12,390.
	2	Savings and temporary cash investments	288,616.	256,531.	256,531.
	3	Accounts receivable ▶ 14,621.			
		Less: allowance for doubtful accounts ▶	11,877.	14,621.	14,621.
	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	11,000.	31,080.	31,080.
	10a	Investments - U.S. and state government obligations STMT 7	1,013,985.	881,358.	915,406.
	b	Investments - corporate stock STMT 8	10,134,880.	10,864,510.	14,433,335.
	c	Investments - corporate bonds STMT 9	1,191,295.	878,203.	919,707.
Liabilities	11	Investments - land, buildings, and equipment basis ▶			
		Less: accumulated depreciation ▶			
	12	Investments - mortgage loans			
	13	Investments - other STMT 10	447,350.	333,354.	471,969.
	14	Land, buildings, and equipment: basis ▶ 750.			
		Less: accumulated depreciation ▶ 750.			
	15	Other assets (describe ▶)			
	16	Total assets (to be completed by all filers - see the instructions. Also, see page 1, item I)	13,229,791.	13,272,047.	17,055,039.
	17	Accounts payable and accrued expenses			
	18	Grants payable			
Net Assets or Fund Balances	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable			
	22	Other liabilities (describe ▶ STATEMENT 11)	359.	468.	
	23	Total liabilities (add lines 17 through 22)	359.	468.	
		Foundations that follow SFAS 117, check here ▶ ☐			
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
		Foundations that do not follow SFAS 117, check here ▶ ☒			
	27	Capital stock, trust principal, or current funds	11,922,824.	11,922,824.	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
	29	Retained earnings, accumulated income, endowment, or other funds	1,306,608.	1,348,755.	STATEMENT 6
	30	Total net assets or fund balances	13,229,432.	13,271,579.	
	31	Total liabilities and net assets/fund balances	13,229,791.	13,272,047.	

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	13,229,432.
2	Enter amount from Part I, line 27a	2	42,147.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	13,271,579.
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	13,271,579.

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	9,498,696.	8,999,779.	498,917.	
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) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))	
a				
b				
c				
d				
e			498,917.	
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 2 498,917.		
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 -50,677.		

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))
2013	665,500.	15,504,237.	.042924
2012	582,500.	14,120,209.	.041253
2011	552,000.	13,353,708.	.041337
2010	543,000.	12,201,710.	.044502
2009	605,333.	10,636,471.	.056911
2 Total of line 1, column (d)			2 .226927
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 .045385
4 Enter the net value of noncharitable-use assets for 2014 from Part X, line 5			4 16,613,851.
5 Multiply line 4 by line 3			5 754,020.
6 Enter 1% of net investment income (1% of Part I, line 27b)			6 9,108.
7 Add lines 5 and 6			7 763,128.
8 Enter qualifying distributions from Part XII, line 4			8 838,500.

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)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	9,108.
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	0.
3 Add lines 1 and 2		3	9,108.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	9,108.
6 Credits/Payments:			
a 2014 estimated tax payments and 2013 overpayment credited to 2014	6a	31,080.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	31,080.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	21,972.	
11 Enter the amount of line 10 to be. Credited to 2015 estimated tax ☒ 9,120. Refunded ☒	11	12,852.	

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
1b 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
1c 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 2014 or the taxable year beginning in 2014 (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

Form 990-PF (2014)

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 ► <u>N/A</u>	13	X	
14	The books are in care of ► <u>CAIN FAMILY OFFICE</u> Telephone no. ► <u>713-840-7896</u> Located at ► <u>8 GREENWAY PLAZA, SUITE 606, HOUSTON, TX</u> ZIP+4 ► <u>77046</u>			
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 ► <u>15</u> <u>N/A</u>			
16	At any time during calendar year 2014, 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 FinCEN Form 114, (formerly 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	N/A	1b
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2014?		1c
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a At the end of tax year 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014? 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 2014 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 2014.)	N/A	3b
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?		4a
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 2014?		4b

Form 990-PF (2014)

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 4945(d)(4)(A)? (see instructions)

☐ Yes ☒ No

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

☐ Yes ☒ No

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

N/A

5b

Organizations relying on a current notice regarding disaster assistance check here

☒

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

N/A

☐ Yes ☐ No

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

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

☐ Yes ☒ No

6b

X

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

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

7b

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

N/A

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
SEE STATEMENT 12		0.	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

Form 990-PF (2014)

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 N/A	
2	
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	
	0.
2 N/A	
	0.
All other program-related investments. See instructions.	
3 NONE	
	0.
	0.
Total. Add lines 1 through 3	0.

Form 990-PF (2014)

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	16,565,861.
b	Average of monthly cash balances	1b	283,608.
c	Fair market value of all other assets	1c	17,385.
d	Total (add lines 1a, b, and c)	1d	16,866,854.
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	16,866,854.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	253,003.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	16,613,851.
6	Minimum investment return. Enter 5% of line 5	6	830,693.

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	830,693.
2a	Tax on investment income for 2014 from Part VI, line 5	2a	9,108.
b	Income tax for 2014. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	9,108.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	821,585.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	821,585.
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	821,585.

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	838,500.
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	838,500.
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	9,108.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	829,392.

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 2013	(c) 2013	(d) 2014
1 Distributable amount for 2014 from Part XI, line 7				821,585.
2 Undistributed income, if any, as of the end of 2014				
a Enter amount for 2013 only			390.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2014:				
a From 2009	78,250.			
b From 2010				
c From 2011				
d From 2012				
e From 2013				
f Total of lines 3a through e	78,250.			
4 Qualifying distributions for 2014 from Part XII, line 4: ▶ \$	838,500.			
a Applied to 2013, but not more than line 2a			390.	
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 2014 distributable amount				821,585.
e Remaining amount distributed out of corpus	16,525.			
5 Excess distributions carryover applied to 2014 (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:	94,775.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5				
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 2013. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2014 Subtract lines 4d and 5 from line 1. This amount must be distributed in 2015				0.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)	0.			
8 Excess distributions carryover from 2009 not applied on line 5 or line 7	78,250.			
9 Excess distributions carryover to 2015 Subtract lines 7 and 8 from line 6a	16,525.			
10 Analysis of line 9:				
a Excess from 2010				
b Excess from 2011				
c Excess from 2012				
d Excess from 2013				
e Excess from 2014	16,525.			

423581
11-24-14

Form 990-PF (2014)

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

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					
ALLEY THEATRE 615 TEXAS AVENUE HOUSTON, TX 77002	NONE	PUBLIC	UNRESTRICTED	155,000.	
BAYOU BEND COLLECTION P.O. BOX 6826 HOUSTON, TX 77265-6826	NONE	PUBLIC	UNRESTRICTED	5,000.	
CASA DE ESPERANZA P.O. BOX 66581 HOUSTON, TX 77266	NONE	PUBLIC	UNRESTRICTED	5,000.	
GOOD SAMARITAN FOUNDATION OF TEXAS INC 5615 KIRBY DR, STE 610 HOUSTON, TX 77005-2462	NONE	PUBLIC	UNRESTRICTED	75,000.	
HOUSTON MUSEUM OF NATURAL SCIENCE ONE HERMANN CIRCLE DR. HOUSTON, TX 77030	NONE	PUBLIC	UNRESTRICTED	25,000.	
Total			SEE CONTINUATION SHEET(S)	838,500.	
b Approved for future payment					
MUSEUM OF FINE ARTS HOUSTON P.O. BOX 6826 HOUSTON, TX 77265-6826	NONE	PUBLIC	UNRESTRICTED	375,000.	
Total					375,000.

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

- | | | | |
|--|--------------|------------|-----------|
| <p>1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?</p> <p>a Transfers from the reporting foundation to a noncharitable exempt organization of:</p> <p>(1) Cash</p> <p>(2) Other assets</p> <p>b Other transactions:</p> <p>(1) Sales of assets to a noncharitable exempt organization</p> <p>(2) Purchases of assets from a noncharitable exempt organization</p> <p>(3) Rental of facilities, equipment, or other assets</p> <p>(4) Reimbursement arrangements</p> <p>(5) Loans or loan guarantees</p> <p>(6) Performance of services or membership or fundraising solicitations</p> <p>c Sharing of facilities, equipment, mailing lists, other assets, or paid employees</p> <p>d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received.</p> | | Yes | No |
| | 1a(1) | | X |
| | 1a(2) | | X |
| | | | |
| | 1b(1) | | X |
| | 1b(2) | | X |
| | 1b(3) | | X |
| | 1b(4) | | X |
| | 1b(5) | | X |
| | 1b(6) | | X |
| | 1c | | X |

[illegible]

- 2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No
- b** If "Yes," complete the following schedule

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

**Sign
Here**

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

Signature of officer or trustee

Date _____

Title

May the IRS discuss this return with the preparer shown below (see inst. 1)?

☒ Yes ☐ No

**Paid
Preparer
Use Only**

Print type preparer's name

Preparer's signature

Date _____

Check ☐ self-employed

PTIN

CATHY CHANCE

Cathy Chance

5/13/2015

P00533162

Firm's name ► **MCGLADREY LLP**

Firm's EIN ▶ 42-0714325

Firm's address ► 1400 POST OAK BLVD, SUITE 900
HOUSTON, TX 77056

Phone no. 713.625.3500

Form **990-PF** (2014)

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	NORTHERN TRUST - SEE ATTACHED STATEMENT	P	VARIOUS	VARIOUS
b	NORTHERN TRUST - SEE ATTACHED STATEMENT	P	VARIOUS	VARIOUS
c	CAPITAL GAIN DISTRIBUTION	P	VARIOUS	VARIOUS
d	CAPITAL GAIN DISTRIBUTION	P	VARIOUS	VARIOUS
e	5,039 SHRS KKR & CO, LP	P	VARIOUS	VARIOUS
f	NORTHERN TRUST - SEE ATTACHED STATEMENT	P	VARIOUS	VARIOUS
g	CAPITAL GAIN DISTRIBUTION	P	VARIOUS	VARIOUS
h	CAPITAL GAINS FOR K-1'S	P	VARIOUS	VARIOUS
i	NORTHERN TRUST - SEE ATTACHED STATEMENT	P	VARIOUS	VARIOUS
j	UBS - SEE ATTACHED STATEMENT	P	VARIOUS	VARIOUS
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	5,238,874.	5,225,613.	13,261.
b	761,667.	752,779.	8,888.
c	852.		852.
d	2,596.		2,596.
e	122,394.	122,889.	-495.
f	2,156,374.	1,675,058.	481,316.
g	18,161.		18,161.
h	1,692.		1,692.
i	846,780.	910,223.	-63,443.
j	349,306.	313,217.	36,089.
k			
l			
m			
n			
o			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
(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			** 13,261.
b			8,888.
c			852.
d			2,596.
e			** -495.
f			481,316.
g			18,161.
h			1,692.
i			** -63,443.
j			36,089.
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	498,917.
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	-50,677.

THE GORDON A. CAIN FOUNDATION

20-8483773

Part XV Supplementary Information**3** Grants and Contributions Paid During the Year (Continuation)

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
MUSEUM OF FINE ARTS HOUSTON P.O. BOX 6826 HOUSTON, TX 77265-6826	NONE	PUBLIC	UNRESTRICTED	151,000.
ST. MARTIN'S EPISCOPAL CHURCH 717 SAGE RD. HOUSTON, TX 77056	NONE	PUBLIC	UNRESTRICTED	5,000.
THE CENTER FOR HEARING AND SPEECH 3636 W DALLAS HOUSTON, TX 77019	NONE	PUBLIC	UNRESTRICTED	10,000.
YELLOWSTONE ACADEMY HOUSTON, TX 77004-1743	NONE	PUBLIC	UNRESTRICTED	500.
CITIZENS AGAINST GOVERNMENT WASTE 1301 CONNECTICUT AVE NW STE 400 WASHINGTON, DC 20036	NONE	PUBLIC	UNRESTRICTED	25,000.
COUNCIL ON ALCOHOL AND DRUGS HOUSTON 303 JACKSON HILL STREET HOUSTON, TX 77007	NONE	PUBLIC	UNRESTRICTED	5,000.
CRIME STOPPERS OF HOUSTON P.O. BOX 541654 HOUSTON, TX 77254-1654	NONE	PUBLIC	UNRESTRICTED	5,000.
HOUSTON FOOD BANK 535 PORTWALL ST. HOUSTON, TX 77029	NONE	PUBLIC	UNRESTRICTED	5,000.
THE INDEPENDENT INSTITUTE 100 SWAN WAY OAKLAND, CA 94621-1425	NONE	PUBLIC	UNRESTRICTED	5,000.
MEDIA RESEARCH CENTER, INC. 325 S PATRICK ST ALEXANDRIA, VA 22314	NONE	PUBLIC	UNRESTRICTED	50,000.
Total from continuation sheets				573,500.

THE GORDON A. CAIN FOUNDATION

20-8483773

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
MENNINGER CLINIC 2801 GESSNER DRIVE HOUSTON, TX 77080	NONE	PUBLIC	UNRESTRICTED	25,000.
NATIONAL CENTER FOR PUBLIC POLICY RESEARCH 501 CAPITAL COURT, N.E. STE WASHINGTON, DC 20002	NONE	PUBLIC	UNRESTRICTED	45,000.
NATIONAL LEGAL AND POLICY CENTER 107 PARK WASHINGTON COURT FALLS CHURCH, VA 75251	NONE	PUBLIC	UNRESTRICTED	15,000.
PROJECT GRAD HOUSTON P.O. BOX 1558 HOUSTON, TX 77220-5568	NONE	PUBLIC	UNRESTRICTED	5,000.
SAN JACINTO MUSEUM OF HISTORY ONE MONUMENT CIRCLE LA PORTE, TX 77571-8385	NONE	PUBLIC	UNRESTRICTED	10,000.
SIGHT INTO SOUND 3935 ESSEX LANE HOUSTON, TX 77027	NONE	PUBLIC	UNRESTRICTED	9,000.
THEATRE UNDER THE STARS, INC. 800 BAGBY, STE 200 HOUSTON, TX 77002	NONE	PUBLIC	UNRESTRICTED	5,000.
UNITED SERVICE ORGANIZATION - HOUSTON 2111 WILSON BLVD, STE 12 ARLINGTON, VA 22201	NONE	PUBLIC	UNRESTRICTED	25,000.
HORIZON MUSIC GROUP, INC. LOS ANGELES, CA 90067	NONE	PUBLIC	UNRESTRICTED	3,000.
THE GARDEN CLUB OF HOUSTON 42121 SAN FELIPE PMB 486 HOUSTON, TX 77027	NONE	PUBLIC	UNRESTRICTED	1,000.
Total from continuation sheets				

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
THE UNIVERSITY OF TEXAS MD ANDERSON CANCER CENTER P.O. BOX 4486 HOUSTON, TX 77210-4486	NONE	PUBLIC	UNRESTRICTED	1,000.
TEXAS STATE UNIVERSITY: THE MEADOWS CENTER FOR WATER AND THE ENVIRONMENT SAN MARCOS, TX 78666	NONE	PUBLIC	UNRESTRICTED	2,000.
PHILANTHROPY ROUNDTABLE 1150 17TH STREET, NW, SUITE 503 WASHINGTON, DC 20036	NONE	PUBLIC	UNRESTRICTED	1,000.
AMERICAN HERITAGE EDUCATION FOUNDATION 3501 W. ALABAMA, SUITE 20 HOUSTON, TX 77027	NONE	PUBLIC	UNRESTRICTED	10,000.
APPALACHIAN REGIONAL HEALTHCARE, INC. LEXINGTON, KY 40505	NONE	PUBLIC	UNRESTRICTED	20,000.
THE BILL OF RIGHTS INSTITUTE 200 NORTH GLEBE ROAD ARLINGTON, VA 22203	NONE	PUBLIC	UNRESTRICTED	5,000.
CHILD ADVOCATES, INC 2401 PORTSMOUTH, STE 210 HOUSTON, TX 77098	NONE	PUBLIC	UNRESTRICTED	10,000.
DEPRESSION & BIPOLAR SUPPORT ALLIANCE 3800 BUFFALO SPREEDWAY, STE 300 HOUSTON, TX 77089	NONE	PUBLIC	UNRESTRICTED	10,000.
ESCAPE FAMILY RESOURCE CENTER 1721 PECH ROAD, 3RD FLOOR HOUSTON, TX 77027	NONE	PUBLIC	UNRESTRICTED	5,000.
MHA OF GREATER HOUSTON FOUNDATION, INC. 2211 NORFOLK ST, STE 810 C/O MARC E. GROSSBERG HOUSTON, TX 77098	NONE	PUBLIC	UNRESTRICTED	10,000.
Total from continuation sheets				

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
NATIONAL INFANTRY FOUNDATION 1775 LEGACY WAY, SUITE 220 COLUMBUS, GA 31903	NONE	PUBLIC	UNRESTRICTED	50,000.
NATIONAL RIFLE ASSOCIATION OF AMERICA 11250 WAPLES MILL ROAD FAIRFAX, VA 22030	NONE	PUBLIC	UNRESTRICTED	25,000.
TREES FOR HOUSTON P.O. BOX 130096 HOUSTON, TX 77219	NONE	PUBLIC	UNRESTRICTED	5,000.
YOUNG AUDIENCES OF HOUSTON 4450 POAK OAK PLACE HOUSTON, TX 77027	NONE	PUBLIC	UNRESTRICTED	5,000.
HOUSTON BONTANIC GARDEN 3701 KIRBY DRIVE HOUSTON, TX 77098	NONE	PUBLIC	UNRESTRICTED	10,000.
Total from continuation sheets				

FORM 990-PF	DIVIDENDS AND INTEREST FROM SECURITIES				STATEMENT	1
SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	
ENERGY TRANSFER EQUITY, LP	557.	0.	557.	557.	0.	
KKR & CO LP	215.	0.	215.	215.	0.	
NORTHERN TRUST - AVALON - 26-95403	451,100.	0.	451,100.	451,100.	0.	
NORTHERN TRUST - US TRUST FIXED 26-93890	70,392.	0.	70,392.	70,392.	0.	
UBS FINANCIAL SERVICES	51,520.	0.	51,520.	51,520.	0.	
TO PART I, LINE 4	573,784.	0.	573,784.	573,784.	0.	

FORM 990-PF	OTHER INCOME		STATEMENT	2
DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	
ORDINARY GAIN - ENERGY TRANSFER EQUITY, LP	24.	0.	0.	
ORDINARY INCOME - ENERGY TRANSFER EQUITY, LP	1,236.	0.	0.	
ORDINARY INCOME - KKR & CO, LP	49.	49.	0.	
ROYALTY INCOME	14.	14.	0.	
OTHER INCOME	50.	50.	0.	
OTHER INCOME - ENERGY TRANSFER EQUITY, LP	12.	12.	0.	
OTHER INCOME - KKR & CO, LP	-44.	-44.	0.	
TOTAL TO FORM 990-PF, PART I, LINE 11	1,341.	81.	0.	

FORM 990-PF	ACCOUNTING FEES	STATEMENT	3
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ACCOUNTING SERVICES	17,322.	17,322.	0.	0.
TO FORM 990-PF, PG 1, LN 16B	17,322.	17,322.	0.	0.

FORM 990-PF	TAXES	STATEMENT	4
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PAYROLL TAX EXPENSE	959.	959.	0.	0.
FOREIGN TAX WITHHOLDING	1,650.	1,650.	0.	0.
EXCISE TAX	31,446.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 18	34,055.	2,609.	0.	0.

FORM 990-PF	OTHER EXPENSES	STATEMENT	5
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DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES - NT AGENCY	1,000.	1,000.	0.	0.
INVESTMENT FEES - CYPRESS	22.	22.	0.	0.
INVESTMENT FEES - NY UST FIXED	13,828.	13,828.	0.	0.
INVESTMENT FEES - UBS	150.	150.	0.	0.
INVESTMENT FEES - AVALON	116,618.	116,618.	0.	0.
SECTION 59(E)(2) - KKR & CO, LP	94.	94.	0.	0.
NDE - ENERGY TRANSFER EQUITY, LP	7.	0.	0.	0.
TO FORM 990-PF, PG 1, LN 23	131,719.	131,712.	0.	0.

FORM 990-PF	OTHER FUNDS	STATEMENT	6
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DESCRIPTION	(A) BEGINNING OF YEAR	(B) END OF YEAR
RETAINED EARNINGS	1,306,608.	1,348,755.
TOTAL TO FORM 990-PF, PART II, LINE 29	1,306,608.	1,348,755.

FORM 990-PF	U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS	STATEMENT	7
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DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
GOVERNMENT OBLIGATIONS - SEE STATEMENT	X		881,358.	915,406.
TOTAL U.S. GOVERNMENT OBLIGATIONS			881,358.	915,406.
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS				
TOTAL TO FORM 990-PF, PART II, LINE 10A			881,358.	915,406.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK - SEE STATEMENT	10,864,510.	14,433,335.
TOTAL TO FORM 990-PF, PART II, LINE 10B	10,864,510.	14,433,335.

FORM 990-PF	CORPORATE BONDS	STATEMENT	9
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DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS - SEE STATEMENT	878,203.	919,707.
TOTAL TO FORM 990-PF, PART II, LINE 10C	878,203.	919,707.

FORM 990-PF	OTHER INVESTMENTS		STATEMENT 10
DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
OTHER INVESTMENTS - SEE STATEMENT	COST	333,354.	471,969.
TOTAL TO FORM 990-PF, PART II, LINE 13		333,354.	471,969.

FORM 990-PF	OTHER LIABILITIES	STATEMENT 11
DESCRIPTION	BOY AMOUNT	EOY AMOUNT
PAYROLL TAX PAYABLE	359.	468.
TOTAL TO FORM 990-PF, PART II, LINE 22	359.	468.

FORM 990-PF	PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS	STATEMENT 12
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NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN- SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
JAMES D. WEAVER 8 GREENWAY PLAZA, SUITE 606 HOUSTON, TX 77046	CHARMAIN, PRESIDENT, DIRECTOR 20.00	0.	0.	0.
SHARYN A. WEAVER 8 GREENWAY PLAZA, SUITE 606 HOUSTON, TX 77046	DIRECTOR 10.00	0.	0.	0.
ALYSON A. NICHOLAS 8 GREENWAY PLAZA, SUITE 606 HOUSTON, TX 77046	DIRECTOR 0.00	0.	0.	0.
JAMES K. WEAVER 8 GREENWAY PLAZA, SUITE 606 HOUSTON, TX 77046	DIRECTOR 0.00	0.	0.	0.
JOHN M. SULLIVAN 8 GREENWAY PLAZA, SUITE 606 HOUSTON, TX 77046	SECRETARY, TREASURER, DIRECTOR 5.00	0.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		0.	0.	0.

The Gordon A. Cain Foundation
Investment Asset Detail
12/31/2014

20-8483773

	U.S. and state government obligations	Corporate Stock	Corporate Bonds	Other	Total
<u>Book Value (Cost):</u>					
<u>Northern Trust - UST Fixed</u>			518,078 87		518,078 87
Government Bonds	200,859 19				200,859 19
Government Agencies	42,431 79				42,431 79
Municipal/Provincial Bonds	58,358 61				58,358 61
Government Mortgage Backed Securities	547,774 21				547,774 21
Commercial Mortgage Backed Securities				201,592 76	201,592 76
Asset Backed Securities				134,544 41	134,544 41
Indexed Linked Government Bonds	31,933 94				
Total Northern Trust - UST Fixed	881,357 74	-	518,078 87	336,137 17	1,735,573 78
<u>UBS Financial Services</u>					
Common Stock		1,733,455 72			1,733,455 72
Closed End Mutual Funds					-
Mutual Funds		193,357 44			193,357 44
Total UBS Financial Services	-	1,926,813 16	-	-	1,926,813 16
1,187 Units Energy Transfer Equity LP				(2,783 02)	(2,783 02)
Northern Trust - Avalon Equity		8,937,697 29	360,124 00		9,297,821 29
Total	881,357 74	10,864,510 45	878,202 87	333,354 15	12,957,425 21

Fair Market Value:

<u>Northern Trust - UST Fixed</u>			539,267 20		539,267 20
Government Bonds	212,075 52				212,075 52
Government Agencies	44,656 33				44,656 33
Municipal/Provincial Bonds	65,157 52				65,157 52
Government Mortgage Backed Securities	562,120 95				562,120 95
Commercial Mortgage Backed Securities				201,121 37	201,121 37
Asset Backed Securities				134,627 98	134,627 98
Indexed Linked Government Bonds	31,396 08				
Total Northern Trust - UST Fixed	915,406 40	-	539,267 20	335,749 35	1,790,422 95
<u>UBS Financial Services</u>					
Common Stock		2,258,656 85			2,258,656 85
Closed End Mutual Funds					-
Mutual Funds		307,512 43			307,512 43
Total UBS Financial Services	-	2,566,169 28	-	-	2,566,169 28
1,187 Units Energy Transfer Equity LP				136,220 12	136,220 12
Northern Trust - Avalon Equity		11,867,165 40	380,439 91		12,247,605 31
Total	915,406 40	14,433,334 68	919,707 11	471,969 47	16,740,417 66

FORM 990PF, PART XV, LINE 2

The Gordon A. Cain Foundation, a non-profit philanthropic organization incorporated in the State of Texas in 2007, was founded to provide financial support to primarily local Houston charitable and educational organizations.

All inquiries and grant proposals for non-profit organizations are welcomed and reviewed equally. Final disposition of all proposals is made at meetings of the Foundation's Board of Trustees, usually in April, September, and December of each year. The deadline for proposals is the first day of the month prior to the month of the board meeting. Any proposals received after the deadline will be held for review at our next meeting.

Application Procedure and Guidelines

Your request for funding should be submitted as a formal proposal. Please do not use presentation binders, report covers, display binders, or folders. The proposal should be concise, clearly written, and include the following:

- A detailed explanation of the purpose and objectives of the proposed project or activity. A brief history of the organization and those of whom it serves. Please include the community need for the project.
- A most recent audited financial statement, a current and itemized annual budget for your organization, and project budget if applicable. Please include the amount needed for the entire project and the amount of the grant you are requesting.
- A list of major sources of support, your staff description, and list of the Board of Trustees.
- The most recent copy of your organization's 501(c)(3) tax-exempt letter from the Internal Revenue Service.
- The description of an evaluation plan.

Letters of inquiry and proposals should be addressed to:

James D. Weaver, *Chairman*
The Gordon A. Cain Foundation
Eight Greenway Plaza East, Suite 606
Houston, Texas 77046

2014 Tax Information Statement

Page 7 of 103
 Recipient's Name and Address:
 THE GORDON A CAIN FOUNDATION
 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892
 Ref: WXT

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
 CHICAGO, IL 60680

☐ Corrected ☐ 2nd TIN notice

2014 Proceeds from Broker and Barter Exchange Transactions

Sales are listed at Gross Proceeds less commissions and option premiums.
 Cost or Other Basis amounts shown with a "U" are unknown or unsubstantiated.

Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Code if any	Adjustments	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
Short Term Sales									
45000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES JANUARY								
01F030611	01/07/2014	Various	42,939.84	42,909.45		0.00	30.39	0.00	0.00
31000.0	FHLMC GOLD SINGLE FAMILY 30 YEARS SETTLES JAN								
02R052610	01/07/2014	12/09/2013	33,895.35	33,780.31		0.00	115.04	0.00	0.00
31000.0	FHLMC 30 YEAR GOLD PARTICIPATION CTF (PC) 5.5 30 YEARS SETTLES FEB								
02R052628	01/07/2014	01/07/2014	33,868.71	33,868.71		0.00	0.00	0.00	0.00
14999.52	FNMA POOL #AB8612 3% 03-01-2043 BEO								
31417FSA7	01/07/2014	12/27/2013	14,312.83	14,272.53		0.00	40.30	0.00	0.00
10000.0	UNITED STATES OF AMER TREAS BONDS 2.75% BDS 15 AUG 2042								
912810QX9	01/07/2014	Various	8,008.59	8,367.50		0.00	-358.91	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES JANUARY								
01F022410	01/10/2014	12/11/2013	29,878.13	29,851.17		0.00	26.96	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES FEBRUARY								
01F022428	01/10/2014	01/10/2014	29,808.98	29,808.98		0.00	0.00	0.00	0.00
10000.0	UNITED STATES OF AMER TREAS BONDS 2.75% BDS 15 AUG 2042								
912810QX9	01/10/2014	Various	8,103.52	8,154.10		0.00	-50.58	0.00	0.00
35000.0	GNMA 1 SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES JANUARY								
01N030612	01/14/2014	01/14/2014	34,263.09	34,263.09		0.00	0.00	0.00	0.00

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2014 Tax Information Statement

Page 8 of 103
Ref: WXT

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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45000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES JANUARY								
01N032618	01/14/2014	12/13/2013	45,952.73	45,457.03		0.00	495.70	0.00	0.00
45000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES FEBRUARY								
01N032626	01/14/2014	01/14/2014	45,836.72	45,836.72		0.00	0.00	0.00	0.00
20000.0	GNMA I SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES JANUARY								
01N040611	01/14/2014	12/13/2013	21,077.34	20,836.72		0.00	240.62	0.00	0.00
35000.05	GNMA POOL #AD9306 SER 2043 3% DUE 06-15-2043 REG								
36180NKT1	01/14/2014	12/13/2013	34,263.14	33,837.01		0.00	426.13	0.00	0.00
10000.0	UNITED STATES TREAS NTS DTD 11/30/2013 .25% 30 NOV 2015								
912828A26	01/14/2014	11/29/2013	9,981.25	9,992.97		0.00	-11.72	0.00	0.00
519.71	HARLEY DAVIDSON .68% DUE 04-17-2017								
41283TAC2	01/15/2014	03/22/2013	519.71	521.01		0.00	-1.30	0.00	0.00
5000.0	NEXEN INC 6.4% DUE 05-15-2037								
65334HAG7	01/15/2014	03/21/2013	5,795.85	6,516.60		0.00	-720.75	0.00	0.00
1616.58	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031								
52108HYK4	01/17/2014	04/30/2013	1,616.58	1,654.97		0.00	-38.39	0.00	0.00
39.35	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE								
9297667G2	01/17/2014	03/14/2013	39.35	42.92		0.00	-3.57	0.00	0.00

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2014 Tax Information Statement

Page 9 of 103
Ref: WXT

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30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 15 YEARS SETTLES FEBRUARY								
01F032427	01/21/2014	01/21/2014	31,542.19	31,542.19		0.00	0.00	0.00	0.00
17948.43	FEDERAL NATL MTG ASSN GTD MTG POOL #AH0943 4% 12-01-2040 BEO								
3138A2BM0	01/21/2014	03/26/2013	18,722.46	19,389.92		0.00	-667.46	0.00	0.00
0 01	GNMA POOL #AD9306 SER 2043 3% DUE 06-15-2043 REG								
36180NKT1	01/22/2014	12/13/2013	0.01	0.01		0.00	0.00	0.00	0.00
5000.0	MACYS RETAIL HLDGS 3.875 DUE 01-15-2022								
55616XAF4	01/24/2014	12/10/2013	5,083.20	4,993.65		0.00	89.55	0.00	0.00
249.37	FEDERAL NATL MTG ASSN GTD MTG POOL #AH0943 4% 12-01-2040 BEO								
3138A2BM0	01/27/2014	03/26/2013	249.37	269.40		0.00	-20.03	0.00	0.00
80.25	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	01/27/2014	08/29/2013	80.25	80.29		0.00	-0.04	0.00	0.00
326.32	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2	01/27/2014	09/24/2013	326.32	336.82		0.00	-10.50	0.00	0.00
337.42	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	01/27/2014	03/26/2013	337.42	371.58		0.00	-34.16	0.00	0.00
5000.0	AETNA INC 2.75% DUE 11-15-2022								
008117AP8	01/31/2014	03/14/2013	4,687.80	4,866.65		0.00	-178.85	0.00	0.00

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2014 Tax Information Statement

Page 10 of 103
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45000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES FEBRUARY								
01F030629	02/05/2014	01/07/2014	43,748.44	42,838.10		0.00	910.34	0.00	0.00
31000.0	FHLMC 30 YEAR GOLD PARTICIPATION CTF (PC) 5.5 30 YEARS SETTLES FEB								
02R052628	02/05/2014	02/05/2014	33,964.38	33,964.38		0.00	0.00	0.00	0.00
31000.0	FHLMC GOLD TBA POOL #9999999 5.5 DUE 03-15-2030 REG								
02R052636	02/05/2014	02/05/2014	33,935.31	33,935.31		0.00	0.00	0.00	0.00
30999.96	FEDERAL HOME LN MTG CORP POOL #A3-9584 5.5% 11-01-2035 BEO								
31297VUH9	02/05/2014	01/07/2014	33,964.33	33,868.67		0.00	95.66	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES FEBRUARY								
01F022428	02/10/2014	02/10/2014	30,187.50	30,187.50		0.00	0.00	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 15 YEARS SETTLES FEBRUARY								
01F032427	02/10/2014	02/10/2014	31,710.94	31,710.94		0.00	0.00	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 15 YEARS SETTLES MARCH								
01F032435	02/10/2014	02/10/2014	31,637.11	31,637.11		0.00	0.00	0.00	0.00
29999.68	FEDERAL NATL MTG ASSN GTD MTG POOL #AL4191 3.5% 01-01-2028 BEO								
3138ELUR2	02/10/2014	01/21/2014	31,710.60	31,541.85		0.00	168.75	0.00	0.00
29999.16	FNMA POOL #AT6786 2.5% 09-01-2028 BEO								
3138WURGO	02/10/2014	01/10/2014	30,186.66	29,808.16		0.00	378.50	0.00	0.00

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2014 Tax Information Statement

Page 11 of 103
 Recipient's Name and Address: Ref: WXT

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35000.0	GNMA I SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES FEBRUARY								
01N030620	02/11/2014	01/14/2014	34,581.64	34,171.72		0.00	409.92	0.00	0.00
45000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES FEBRUARY								
01N032626	02/11/2014	02/11/2014	46,188.28	46,188.28		0.00	0.00	0.00	0.00
20000.0	GNMA I SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES FEBRUARY								
01N040629	02/11/2014	01/14/2014	21,207.81	21,019.53		0.00	188.28	0.00	0.00
44999.51	GNMA POOL #AA8275 3.5% 15 JUL 2042								
36178GFQ2	02/11/2014	01/14/2014	46,187.78	45,836.22		0.00	351.56	0.00	0.00
20.08	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE 08-10-2045 REG								
36246LAE1	02/12/2014	12/06/2013	20.08	22.16		0.00	-2.08	0.00	0.00
1549.11	HARLEY DAVIDSON .68% DUE 04-17-2017								
41283TAC2	02/18/2014	03/22/2013	1,549.11	1,552.98		0.00	-3.87	0.00	0.00
517.81	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031 REG								
52108HYK4	02/18/2014	04/30/2013	517.81	530.11		0.00	-12.30	0.00	0.00
39.52	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE 10-15-2044 BEO								
9297667G2	02/18/2014	03/14/2013	39.52	43.10		0.00	-3.58	0.00	0.00
108.37	FEDERAL NATL MTG ASSN GTD MTG POOL #AH0943 4% 12-01-2040 BEO								
3138A2BM0	02/25/2014	03/26/2013	108.37	117.07		0.00	-8.70	0.00	0.00

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2014 Tax Information Statement

Page 12 of 103
 Recipient's Name and Address: Ref: WXT
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81.65	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	02/25/2014	08/29/2013	81.65	81.69		0.00	-0.04	0.00	0.00
280.67	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2	02/25/2014	09/24/2013	280.67	289.70		0.00	-9.03	0.00	0.00
691.16	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	02/25/2014	03/26/2013	691.16	761.14		0.00	-69.98	0.00	0.00
15000.0	GNMA I SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES MARCH								
01N040637	02/28/2014	02/28/2014	15,912.89	15,912.89		0.00	0.00	0.00	0.00
687.85	SMALL BUSINESS ADMIN GTD DEV PARTN CTF SER 2013-20C CL 1 2.22								
83162CVK6	03-01-2033 REG 03/03/2014	03/07/2013	687.85	687.85		0.00	0.00	0.00	0.00
45000.0	FNMA SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES MARCH								
01F030637	03/06/2014	02/05/2014	43,453.13	43,632.42		0.00	-179.29	0.00	0.00
31000.0	FHLMC GOLD TBA POOL #9999999 5.5 DUE 03-15-2030 REG								
02R052636	03/06/2014	03/06/2014	34,017.66	34,017.66		0.00	0.00	0.00	0.00
30999.94	FEDERAL HOME LN MTG CORP POOL #G0-2074 5.5% 02-01-2036 BEO								
3128LXJT8	03/06/2014	02/05/2014	34,017.59	33,935.25		0.00	82.34	0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 11/15/2013 2.75% DUE 11-15-2023 REG								
912828WE6	03/06/2014	11/29/2013	5,016.41	4,996.68		0.00	19.73	0.00	0.00

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2014 Tax Information Statement

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Page 13 of 103
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30000.0	FNMA SINGLE FAMILY MORTGAGE 2.5 MAT 15 YEARS SETTLES MARCH								
01F022436	03/10/2014	02/10/2014	30,037.50	30,123.05		0.00	-85.55	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 15 YEARS SETTLES MARCH								
01F032435	03/10/2014	03/10/2014	31,617.19	31,617.19		0.00	0.00	0.00	0.00
30000.18	FEDERAL NATL MTG ASSN GTD MTG POOL #A17820 3.5% 07-01-2026 BEO								
3138AMVN2	03/10/2014	02/10/2014	31,617.38	31,637.30		0.00	-19.92	0.00	0.00
5000.0	ORANGE 4.375% DUE 07-08-2014 07-08-2014								
35177PAS6	03/12/2014	04/25/2013	5,064.25	5,206.85		0.00	-142.60	0.00	0.00
867.87	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE 08-10-2045 REG								
36246LAE1	03/12/2014	12/06/2013	867.87	957.74		0.00	-89.87	0.00	0.00
35000.0	GNMA I SINGLE FAMILY MTG 3 30 YEARS SETTLES MAR								
01N030638	03/14/2014	02/11/2014	34,803.13	34,487.30		0.00	315.83	0.00	0.00
45000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES MARCH								
01N032634	03/14/2014	02/11/2014	46,427.34	46,065.23		0.00	362.11	0.00	0.00
25000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES APRIL								
01N032642	03/14/2014	03/14/2014	25,717.77	25,717.77		0.00	0.00	0.00	0.00
35000.0	GNMA I SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES MARCH								
01N040637	03/14/2014	Various	37,128.71	37,056.05		0.00	72.66	0.00	0.00

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2014 Tax Information Statement

Page 14 of 103
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10000.0	GNMA SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES APRIL								
01N040645	03/14/2014	03/14/2014	10,576.95	10,576.95		0.00	0.00	0.00	0.00
14999.89	GNMA POOL #738111 4% 03-15-2041 BEO								
3620ASAL3	03/14/2014	02/28/2014	15,912.19	15,912.78		0.00	-0.59	0.00	0.00
1589.53	HARLEY DAVIDSON .68% DUE 04-17-2017								
41283TAC2	03/17/2014	03/22/2013	1,589.53	1,593.50		0.00	-3.97	0.00	0.00
83.16	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031 REG								
52108HYK4	03/17/2014	04/30/2013	83.16	85.13		0.00	-1.97	0.00	0.00
15000.0	APPLE INC 2.4% DUE 05-03-2023								
037833AK6	03/18/2014	04/30/2013	13,861.35	14,980.05		0.00	-1,118.70	0.00	0.00
10000.0	UNITED STATES TREAS NTS DTD 11/15/2013 2.75% DUE 11-15-2023 REG								
912828WE6	03/18/2014	Various	10,085.94	9,958.01		0.00	127.93	0.00	0.00
5000.0	NUCOR CORP 4% DUE 08-01-2023								
670346AM7	03/19/2014	03/06/2014	4,972.75	5,012.55		0.00	-39.80	0.00	0.00
25000.0	UNITED STATES TREAS NTS 1.25 DUE 11-30-2018 REG								
912828A34	03/19/2014	12/10/2013	24,736.33	24,742.19		0.00	-5.86	0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 04/30/2013 .625% DUE 04-30-2018 REG								
912828UZ1	03/19/2014	05/02/2013	4,873.05	4,994.92		0.00	-121.87	0.00	0.00

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2014 Tax Information Statement

Page 15 of 103
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10000.0	YUM BRANDS INC SR NT 3.875% DUE 01 NOV 2023								
988498AJ0	03/19/2014	Various	9,903.90	9,950.35		0.00	-46.45	0.00	0.00
110.74	FEDERAL NATL MTG ASSN GTD MTG POOL #AH0943 4% 12-01-2040 BEO								
3138A2BM0	03/25/2014	03/26/2013	110.74	119.63		0.00	-8.89	0.00	0.00
82.14	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	03/25/2014	08/29/2013	82.14	82.18		0.00	-0.04	0.00	0.00
140.88	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2	03/25/2014	09/24/2013	140.88	145.41		0.00	-4.53	0.00	0.00
559.2	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	03/25/2014	03/26/2013	559.20	615.82		0.00	-56.62	0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES APRIL								
01F030645	03/27/2014	03/27/2014	14,529.49	14,529.49		0.00	0.00	0.00	0.00
25000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES APRIL								
01F030645	03/31/2014	03/31/2014	24,099.61	24,099.61		0.00	0.00	0.00	0.00
25000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES APRIL								
01N032642	03/31/2014	Various	25,472.66	25,668.75		0.00	-196.09	0.00	0.00
10000.0	GNMA I SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES APRIL								
01N040645	03/31/2014	03/14/2014	10,495.31	10,576.96		0.00	-81.65	0.00	0.00

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2014 Tax Information Statement

Page 16 of 103
 Recipient's Name and Address:
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24999.57	GNMA POOL #779239 SER 2042 3.5% DUE 05-15-2042 REG								
36176XPY9	03/31/2014	03/14/2014	25,472.22	25,717.34		0.00	-245.12	0.00	0.00
10000.22	GNMA POOL #738009 SER 2041 4% DUE 02-15-2041 BEO								
3620AR3S8	03/31/2014	03/14/2014	10,495.55	10,577.19		0.00	-81.64	0.00	0.00
85000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES APRIL								
01F030645	04/01/2014 Various		81,865.63	81,874.41		0.00	-8.78	0.00	0.00
31000.0	FHLMC GOLD 5.5 TBA POOL 30YR APRIL 47209-2029 REG								
02R052644	04/01/2014	03/06/2014	34,090.31	33,991.02		0.00	99.29	0.00	0.00
31000.0	FHLMC GOLD TBA POOL #9999999 5.5 05-01-2029								
02R052651	04/01/2014	04/01/2014	34,061.25	34,061.25		0.00	0.00	0.00	0.00
39998.0	FEDERAL NATL MTG ASSN GTD MTG POOL #AL5234 3% 12-01-2043 BEO								
3138EMY88	04/01/2014	04/01/2014	38,523.07	38,969.93		0.00	-446.86	0.00	0.00
732.65	SMALL BUSINESS ADMIN SER 2013-20D CL 1 2.08 04-01-2033 REG								
83162CVL4	04/01/2014	04/11/2013	732.65	732.65		0.00	0.00	0.00	0.00
20000.0	US TREAS BD STRIPPED PRIN PMT 8.125 PRIN15/8/2019 USD1000								
912803AR4	08-15-2019 REG								
	04/01/2014	03/31/2014	18,079.80	18,094.73		0.00	-14.93	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 2.5 MAT 15 YEARS SETTLES APRIL								
01F022444	04/08/2014	03/10/2014	30,135.94	29,966.02		0.00	169.92	0.00	0.00

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2014 Tax Information Statement

Page 17 of 103

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Ref: WXT

THE GORDON A CAIN FOUNDATION

8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected

☐ 2nd TIN notice

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30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 15 YEARS SETTLES APRIL								
01F032443	04/08/2014	03/10/2014	31,575.00	31,539.84		0.00	35.16	0.00	0.00
20000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES APRIL								
01N032642	04/11/2014	03/31/2014	20,590.63	20,378.13		0.00	212.50	0.00	0.00
2.55	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE 08-10-2045 REG								
36246LAE1	04/11/2014	12/06/2013	2.55	2.81		0.00	-0.26	0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 11/15/2013 2.75% DUE 11-15-2023 REG								
912828WE6	04/11/2014	12/17/2013	5,070.31	4,961.33		0.00	108.98	0.00	0.00
35000.0	GNMA I SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES APRIL								
01N030646	04/14/2014	03/14/2014	34,759.38	34,706.05		0.00	53.33	0.00	0.00
25000.0	GNMA I SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES APRIL								
01N040645	04/14/2014	Various	26,468.75	26,360.74		0.00	108.01	0.00	0.00
24997.98	FNMA POOL #AS0303 3% 08-01-2043 BEO								
3138W9KR0	04/15/2014	03/31/2014	24,326.16	24,100.90		0.00	225.26	0.00	0.00
15000.33	FNMA POOL #AU3736 3% DUE 08-01-2043 REG								
3138X3EJ7	04/15/2014	03/27/2014	14,597.20	14,531.94		0.00	65.26	0.00	0.00
857.46	CMO COBALT CMBS COML MTG TR 2007-C3 DUE 05-15-2046 REG								
19075DAE1	04/17/2014	03/06/2014	857.46	955.40		0.00	-97.94	0.00	0.00

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2014 Tax Information Statement

Page 18 of 103
Ref: WXT

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19.52	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031								
52108HYK4	REG	04/17/2014	04/30/2013	19.52	19.98				
394.48	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3		04/25/2014	08/29/2013	394.48	394.70				
512.52	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2		04/25/2014	09/24/2013	512.52	529.02				
100000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES MAY								
01F030652		05/06/2014	Various	97,906.25	96,275.03				
31000.0	FHLMC GOLD TBA POOL #9999999 5.5 05-01-2029								
02R052651		05/06/2014	05/06/2014	34,269.53	34,269.53				
31000.0	FEDERAL HOME LN MTG CORP POOL #G07703 5.5% 06-01-2041 BEO								
3128M93L4		05/06/2014	04/01/2014	34,269.53	34,061.25				
5000.0	MACYS RETAIL HLDGS 2.875 DUE 02-15-2023								
55616XAH0		05/06/2014	01/24/2014	4,769.30	4,640.10				
30000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES MAY								
01F022451		05/08/2014	04/08/2014	30,328.13	30,051.56				
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 15 YEARS SETTLES MAY								
01F032450		05/08/2014	04/08/2014	31,701.56	31,504.69				

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2014 Tax Information Statement

Page 19 of 103
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26.4	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE 08-10-2045 REG	05/12/2014	26.40	29.13		0.00	-2.73	0.00	0.00
36246LAE1									
35000.0	GNMA 1 SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES MAY								
01N030653	05/14/2014	04/14/2014	35,112.11	34,675.98		0.00	436.13	0.00	0.00
20000.0	GNMA 1 SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES MAY								
01N032659	05/14/2014	04/11/2014	20,737.50	20,538.28		0.00	199.22	0.00	0.00
25000.0	GNMA 1 SINGLE FAMILY MTG 4 30 YEARS SETTLES MAY								
01N040652	05/14/2014	04/14/2014	26,623.05	26,399.41		0.00	223.64	0.00	0.00
25.27	CMO COBALT CMBS COML MTG TR 2007-C3 DUE 05-15-2046 REG								
19075DAE1	05/16/2014	03/06/2014	25.27	28.16		0.00	-2.89	0.00	0.00
40000.0	UTD STATES TREAS .625% DUE 11-15-2016								
912828WF3	05/16/2014	11/29/2013	40,029.69	40,084.38		0.00	-54.69	0.00	0.00
30000.0	UNITED STATES TREAS NTS 1.25 DUE 11-30-2018 REG								
912828A34	05/20/2014	Various	29,798.44	29,668.36		0.00	130.08	0.00	0.00
5000.0	AT&T INC 4.3 DUE 12-15-2042								
002068BH4	05/21/2014	01/07/2014	4,708.30	4,255.33		0.00	452.97	0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES JUNE								
01F030660	05/21/2014	05/06/2014	14,744.53	14,647.27		0.00	97.26	0.00	0.00

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2014 Tax Information Statement

Page 20 of 103
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24348.11	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	05/21/2014	08/29/2013	24,865.51	24,361.43		0.00	504.08	0.00	0.00
5000.0	PPL CAP FDG INC 3.4% DUE 06-01-2023								
69352PAF0	05/21/2014	05/21/2013	4,988.05	5,005.00		0.00	-16.95	0.00	0.00
5000.0	WELLPOINT INC 3.3% DUE 01-15-2023								
94973VBA4	05/21/2014	Various	4,963.45	4,801.99		0.00	161.46	0.00	0.00
35000.0	UNITED STATES TREAS BD STRIPPED PRIN PMTZCP 11-15-2043 REG								
912803EE9	05/23/2014	Various	12,266.10	11,381.09		0.00	885.01	0.00	0.00
15000.0	UNITED STATES TREAS NTS DTD 11/30/2013 .25% 30 NOV 2015								
912828A26	05/23/2014	11/29/2013	15,009.96	14,989.45		0.00	20.51	0.00	0.00
20000.0	US TREAS NTS .25 DUE 07-15-2015 REG 07-15-2015								
912828TD2	05/23/2014	03/19/2014	20,028.13	20,015.63		0.00	12.50	0.00	0.00
115.8	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	05/27/2014	08/29/2013	115.80	115.86		0.00	-0.06	0.00	0.00
501.28	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2	05/27/2014	09/24/2013	501.28	517.42		0.00	-16.14	0.00	0.00
5000.0	UNITED STATES TREAS NTS 1.25 DUE 11-30-2018 REG								
912828A34	05/30/2014	12/17/2013	4,971.68	4,941.01		0.00	30.67	0.00	0.00

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2014 Tax Information Statement

Page 21 of 103
 Recipient's Name and Address:
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725.32	SMALL BUSINESS ADMIN GTD DEV PARTN CTF PARTN SER 2012-20L CL 1								
83162CWE0	1.93 12-01-2032	06/02/2014	725.32	691.49		0.00	33.83	0.00	0.00
85000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES JUNE								
01F030660	06/04/2014	05/06/2014	83,246.88	83,001.17		0.00	245.71	0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES JULY								
01F030678	06/04/2014	06/04/2014	14,650.19	14,650.19		0.00	0.00	0.00	0.00
20000.0	FNMA SINGLE FAMILY MORTGAGE 5.0 MAT 30 YEARS SETTLES JUNE								
01F050668	06/04/2014	05/20/2014	22,082.81	22,018.75		0.00	64.06	0.00	0.00
31000.0	FHLMC 30 YEAR GOLD PARTICIPATION CERTIFICATE (PC)30 YEARS SETTLES JUNE								
02R052669	06/04/2014	05/06/2014	34,412.42	34,213.83		0.00	198.59	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES JUNE								
01F022469	06/06/2014	05/08/2014	30,407.81	30,253.13		0.00	154.68	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5% 15 YEARS SETTLES JUNE								
01F032468	06/06/2014	05/08/2014	31,781.25	31,625.39		0.00	155.86	0.00	0.00
15000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES JULY								
01F030678	06/12/2014	06/12/2014	14,685.94	14,685.94		0.00	0.00	0.00	0.00
15000.71	FNMA POOL #AS0331 3% 08-01-2043 BEO								
3138W9LM0	06/12/2014	06/04/2014	14,686.63	14,651.70		0.00	34.93	0.00	0.00

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2014 Tax Information Statement

Page 22 of 103

Ref: WXT

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8 GREENWAY PLZ STE 606
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THE NORTHERN TRUST COMPANY
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2.59	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE 08-10-2045 REG								
36246LAE1	06/12/2014	12/06/2013	2.59	2.86		0.00	-0.27	0.00	0.00
35000.0	GNMA I SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES JUNE								
01N030661	06/13/2014	05/14/2014	35,039.65	35,023.24		0.00	16.41	0.00	0.00
20000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES JUNE								
01N032667	06/13/2014	05/14/2014	20,671.88	20,684.38		0.00	-12.50	0.00	0.00
25000.0	GNMA I SINGLE FAMILY MTG 4 30 YEARS SETTLES JUN								
01N040660	06/13/2014	05/14/2014	26,574.22	26,558.59		0.00	15.63	0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 05/31/2014 1.5% DUE 05-31-2019 REG								
912828WL0	06/16/2014	05/30/2014	4,952.93	4,993.55		0.00	-40.62	0.00	0.00
1422.86	CMO COBALT CMBS COMPL MTG TR 2007-C3 DUE 05-15-2046 REG								
19075DAE1	06/17/2014	03/06/2014	1,422.86	1,585.38		0.00	-162.52	0.00	0.00
375.05	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	06/25/2014	08/29/2013	375.05	375.26		0.00	-0.21	0.00	0.00
137.45	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2	06/25/2014	09/24/2013	137.45	141.87		0.00	-4.42	0.00	0.00
30000.0	UNITED STATES TREAS NTS DTD 11/30/2013 .25% 30 NOV 2015								
912828A26	06/30/2014	11/29/2013	30,017.58	29,978.91		0.00	38.67	0.00	0.00

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2014 Tax Information Statement

Page 23 of 103

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70000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES JULY								
01F030678	07/07/2014	06/04/2014	68,523.44	68,367.58		0.00	155.86	0.00	0.00
70000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES AUGUST								
01F030686	07/07/2014	07/07/2014	68,351.17	68,351.17		0.00	0.00	0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES JULY								
01F040677	07/07/2014	06/30/2014	10,546.88	10,610.94		0.00	-64.06	0.00	0.00
20000.0	FNMA SINGLE FAMILY MORTGAGE 5.0 MAT 30 YEARS SETTLES JULY								
01F050676	07/07/2014	06/04/2014	22,160.94	22,021.88		0.00	139.06	0.00	0.00
31000.0	FHLMC GOLD SINGLE FAMILY 5.5 30 YEARS SETTLES JUL								
02R052677	07/07/2014	06/04/2014	34,579.53	34,354.30		0.00	225.23	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES JULY								
01F022477	07/09/2014	06/06/2014	30,309.38	30,333.98		0.00	-24.60	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES AUGUST								
01F022485	07/09/2014	07/09/2014	30,236.72	30,236.72		0.00	0.00	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 15 YEARS SETTLES JULY								
01F032476	07/09/2014	06/06/2014	31,687.50	31,708.59		0.00	-21.09	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 15 YEARS SETTLES AUGUST								
01F032484	07/09/2014	07/09/2014	31,616.02	31,616.02		0.00	0.00	0.00	0.00

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2014 Tax Information Statement

Page 24 of 103

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3.17	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE 08-10-2045 REG	07/11/2014	12/06/2013	3.17	3.50		-0.33	0.00	0.00
36246LAE1									
35000.0	GNMA I SINGLE FAMILY MTG 3 30 YEARS SETTLES JUL								
01N030679	07/14/2014	06/13/2014	35,131.25	34,935.74		0.00	195.51	0.00	0.00
20000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES JULY								
01N032675	07/14/2014	06/13/2014	20,684.38	20,614.84		0.00	69.54	0.00	0.00
25000.0	GNMA I SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES JULY								
01N040678	07/14/2014	06/13/2014	26,591.80	26,503.91		0.00	87.89	0.00	0.00
26.08	CMO J P MORGAN CHASE COML MTG SECS CORP 2005-CIBC11 CL A-4 5.04								
46625YJF1	08-12-2037 REG	07/14/2014	04/29/2014	26.08	26.76		-0.68	0.00	0.00
24.09	CMO COBALT CMBS COML MTG TR 2007-C3 DUE 05-15-2046 REG								
19075DAE1	07/17/2014	03/06/2014	24.09	26.84		0.00	-2.75	0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 11/30/2013 .25% 30 NOV 2015								
912828A26	07/17/2014	11/29/2013	5,000.59	4,996.49		0.00	4.10	0.00	0.00
2000.0	WELLPOINT INC 3.3% DUE 01-15-2023								
94973VBA4	07/21/2014	01/30/2014	1,998.06	1,917.62		0.00	80.44	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 15 YEARS SETTLES AUGUST								
01F032484	07/22/2014	07/22/2014	31,638.28	31,638.28		0.00	0.00	0.00	0.00

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2014 Tax Information Statement

Page 25 of 103

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20000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES AUGUST								
01F032682	07/22/2014	07/22/2014	20,498.44	20,498.44		0.00	0.00	0.00	0.00
29999.96	FNMA POOL #MA0654 3.5% 02-01-2021 BEO								
31417YWO6	07/22/2014	07/09/2014	31,638.25	31,615.98		0.00	22.27	0.00	0.00
3000.0	WELLPOINT INC 3.3% DUE 01-15-2023								
94973VBA4	07/22/2014	Various	2,996.88	2,875.22		0.00	121.66	0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 05/15/2014 2.5% 15 MAY 2024								
912828WJ5	07/23/2014	Various	5,017.77	5,013.83		0.00	3.94	0.00	0.00
132.33	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	07/25/2014	08/29/2013	132.33	132.40		0.00	-0.07	0.00	0.00
426.74	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2	07/25/2014	09/24/2013	426.74	440.48		0.00	-13.74	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 2.5% 15 YEARS SETTLES AUGUST								
01F022485	07/30/2014	07/30/2014	30,189.84	30,189.84		0.00	0.00	0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES AUGUST								
01F032682	07/30/2014	07/30/2014	10,190.63	10,190.63		0.00	0.00	0.00	0.00
29997.97	FNMA POOL #AS3014 2.5% 08-01-2029 BEO								
3138WCK44	07/30/2014	07/09/2014	30,187.80	30,234.67		0.00	-46.87	0.00	0.00

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2014 Tax Information Statement

THE NORTHERN TRUST COMPANY
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Page 26 of 103
Ref: WXT
Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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2000.0	CONAGRA FOODS INC 3.2% DUE 01-25-2023	01-25-2023	USD 1000						
205887BR2	08/04/2014	05/29/2014	1,977.28	1,965.48		0.00	11.80	0.00	0.00
31000.0	FHLMC 30 YEAR GOLD PARTICIPATION CTF (PC) 5.5 30 YEARS SETTLES AUG								
02R052685	08/05/2014	07/07/2014	34,336.13	34,535.94		0.00	-199.81	0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES AUGUST								
01F040685	08/06/2014	07/07/2014	10,550.00	10,517.19		0.00	32.81	0.00	0.00
20000.0	FNMA SINGLE FAMILY MORTGAGE 5.0 MAT 30 YEARS SETTLES AUGUST								
01F050684	08/06/2014	07/07/2014	22,086.72	22,106.25		0.00	-19.53	0.00	0.00
70000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES AUGUST								
01F030686	08/07/2014	08/07/2014	69,083.98	69,083.98		0.00	0.00	0.00	0.00
70000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES SEPTEMBER								
01F030694	08/07/2014	08/07/2014	68,906.25	68,906.25		0.00	0.00	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES AUGUST								
01F032682	08/07/2014	08/07/2014	30,745.31	30,745.31		0.00	0.00	0.00	0.00
70000.36	FNMA POOL #AT9193 3% 07-01-2043 BEO								
3138WXGB7	08/07/2014	07/07/2014	69,084.34	68,365.24		0.00	719.10	0.00	0.00
30000.0	FNMA POOL #AX1231 3.5% 08-01-2044 BEO								
3138Y2LM3	08/07/2014	Various	30,745.31	30,689.06		0.00	56.25	0.00	0.00

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2014 Tax Information Statement

Page 27 of 103

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70000.0	FNMA SINGLE FAMILY MORTGAGE 3.0 MAT 30 YEARS SETTLES SEPTEMBER								
01F030694	08/08/2014	08/08/2014	69,037.50	69,037.50		0.00	0.00	0.00	0.00
69999.5	FNMA POOL #AR7441 3% 08-01-2043 BEO								
3138W5HT8	08/08/2014	08/07/2014	69,037.01	68,905.76		0.00	131.25	0.00	0.00
35000.0	GNMA I SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES AUGUST								
01N030687	08/11/2014	07/14/2014	35,266.60	35,039.65		0.00	226.95	0.00	0.00
20000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES AUGUST								
01N032683	08/11/2014	07/14/2014	20,734.38	20,634.38		0.00	100.00	0.00	0.00
25000.0	GNMA I SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES AUGUST								
01N040686	08/11/2014	07/14/2014	26,599.61	26,535.16		0.00	64.45	0.00	0.00
2.82	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE 08-10-2045 REG								
36246LAE1	08/12/2014	12/06/2013	2.82	3.11		0.00	-0.29	0.00	0.00
253.92	CMO J P MORGAN CHASE COML MTG SECS CORP 2005-CIBC11 CL A-4 5.04								
46625YJF1	08/12/2014	04/29/2014	253.92	260.53		0.00	-6.61	0.00	0.00
79.27	CMO COBALT CMBS COML MTG TR 2007-C3 DUE 05-15-2046 REG								
19075DAE1	08/15/2014	03/06/2014	79.27	88.32		0.00	-9.05	0.00	0.00
25000.0	GNMA I SINGLE FAMILY MORTGAGE 4% 30 YEARS SETTLES SEPTEMBER								
01N040694	08/25/2014	08/11/2014	26,625.00	26,536.13		0.00	88.87	0.00	0.00

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2014 Tax Information Statement

Page 28 of 103

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146.94	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	08/25/2014	08/29/2013	146.94	147.02		0.00	-0.08	0.00	0.00
83.28	FNMA POOL #AS2498 4% 05-01-2044 BEO								
3138WBX42	08/25/2014	06/12/2014	83.28	87.66		0.00	-4.38	0.00	0.00
640.33	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2	08/25/2014	09/24/2013	640.33	660.94		0.00	-20.61	0.00	0.00
20000.0	UTD STATES TREAS 1.625% DUE 06-30-2019								
912828WS5	08/25/2014	06/30/2014	19,960.94	20,000.00		0.00	-39.06	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES SEPTEMBER								
01F032690	08/27/2014	08/07/2014	30,843.75	30,658.59		0.00	185.16	0.00	0.00
20000.0	FNMA SINGLE FAMILY MORTGAGE 5.0 MAT 30 YEARS SETTLES SEPTEMBER								
01F050692	08/27/2014	08/06/2014	22,037.50	22,049.22		0.00	-11.72	0.00	0.00
31000.0	FHLMC GOLD SINGLE FAMILY 5.5 30 YEARS SETTLES SEP								
02R052693	08/27/2014	08/05/2014	34,353.09	34,311.91		0.00	41.18	0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES SEPTEMBER								
01F040693	08/29/2014	08/06/2014	10,589.06	10,520.70		0.00	68.36	0.00	0.00
35000.0	GNMA I SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES SEPTEMBER								
01N030695	09/11/2014	08/11/2014	35,188.67	35,181.84		0.00	6.83	0.00	0.00

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2014 Tax Information Statement

Page 29 of 103

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8 GREENWAY PLZ STE 606

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20000.0	GNMA 1 SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES SEPTEMBER								
01N032691	09/11/2014	08/11/2014	20,682.81	20,679.69		0.00	3.12	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 4.5 MAT 30 YEARS SETTLES OCTOBER								
01F0426A6	09/12/2014	09/12/2014	32,231.25	32,231.25		0.00	0.00	0.00	0.00
4.81	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE 08-10-2045 REG								
36246LAE1	09/12/2014	12/06/2013	4.81	5.31		0.00	-0.50	0.00	0.00
961.23	CMO J P MORGAN CHASE COML MTG SECS CORP 2005-CIBC11 CL A-4 5.04								
46625YJF1	09/12/2014	04/29/2014	961.23	986.24		0.00	-25.01	0.00	0.00
10000.0	UNITED STATES TREAS NTS DTD 05/15/2014 2.5% 15 MAY 2024								
912828WJ5	09/15/2014	07/31/2014	9,937.11	9,944.92		0.00	-7.81	0.00	0.00
21.18	CMO COBALT CMBS COML MTG TR 2007-C3 DUE 05-15-2046 REG								
19075DAE1	09/17/2014	03/06/2014	21.18	23.60		0.00	-2.42	0.00	0.00
5000.0	TOTAL CAP INTL 2.1% DUE 06-19-2019								
89153VAM1	09/17/2014	06/16/2014	4,981.10	4,993.40		0.00	-12.30	0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 02/15/2013 2% DUE 02-15-2023 REG								
912828UN8	09/17/2014	09/15/2014	4,812.89	4,828.91		0.00	-16.02	0.00	0.00
25000.0	UNITED STATES TREAS NTS DTD 05/31/2014 3.75% DUE 05-31-2016 REG								
912828WM8	09/17/2014	05/30/2014	24,970.70	25,003.91		0.00	-33.21	0.00	0.00

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2014 Tax Information Statement

Page 30 of 103
 Recipient's Name and Address:
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 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892
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THE NORTHERN TRUST COMPANY
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25000.0	UNITED STATES TREAS NTS DTD 05/31/2014 .375% DUE 05-31-2016 REG								
912828WM8	09/24/2014	05/30/2014	24,979.49	25,003.90		0.00	-24.41	0.00	0.00
250.38	FEDERAL NATL MTG ASSN GTD MTG POOL #AL4060 3% 09-01-2043 BEO								
3138ELQ6	09/25/2014	08/08/2014	250.38	247.88		0.00	2.50	0.00	0.00
176.83	FNMA POOL #AS0774 3% 10-01-2043 BEO								
3138W92G4	09/25/2014	08/08/2014	176.83	175.03		0.00	1.80	0.00	0.00
159.41	FNMA POOL #AS2498 4% 05-01-2044 BEO								
3138WBX42	09/25/2014	06/12/2014	159.41	167.79		0.00	-8.38	0.00	0.00
48.76	FNMA POOL #AX0112 3.5% 09-01-2044 BEO								
3138Y1DS1	09/25/2014	08/25/2014	48.76	50.14		0.00	-1.38	0.00	0.00
9034.4	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE 08-10-2045 REG								
36246LAE1	09/26/2014	12/06/2013	9,884.92	9,969.96		0.00	-85.04	0.00	0.00
30000.0	UTD STATES TREAS 1.625% DUE 06-30-2019								
912828WS5	09/30/2014 Various		29,845.32	30,002.34		0.00	-157.02	0.00	0.00
0.02	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE 08-10-2045 REG								
36246LAE1	10/02/2014	12/06/2013	0.02	0.02		0.00	0.00	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES OCTOBER								
01F0326A7	10/03/2014	08/27/2014	30,750.00	30,751.17		0.00	-1.17	0.00	0.00

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2014 Tax Information Statement

Page 31 of 103

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8 GREENWAY PLZ STE 606

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CHICAGO, IL 60680

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10000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES OCTOBER								
01F0406A0	10/03/2014	08/29/2014	10,560.94	10,554.69		0.00	6.25	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 4.5 MAT 30 YEARS SETTLES OCTOBER								
01F0426A6	10/03/2014	10/03/2014	32,407.03	32,407.03		0.00	0.00	0.00	0.00
20000.0	FNMA SINGLE FAMILY MORTGAGE 5.0 MAT 30 YEARS SETTLES OCTOBER								
01F0506A9	10/03/2014	08/27/2014	22,101.56	21,997.66		0.00	103.90	0.00	0.00
31000.0	FHLMC 30 YR GOLD PARTN CTF (PC) 5.5 30 YEARS SETTLES OCT								
02R0526A0	10/03/2014	08/27/2014	34,475.39	34,307.07		0.00	168.32	0.00	0.00
29999.22	FNMA POOL #AS1587 4.5% 01-01-2044 BEO								
3138WAXR3	10/03/2014	09/12/2014	32,406.19	32,230.41		0.00	175.78	0.00	0.00
1701.05	CMO J P MORGAN CHASE COML MTG SECS CORP 2005-CIBC11 CL A-4 5.04								
46625YJF1	08-12-2037 REG 10/15/2014	04/29/2014	1,701.05	1,745.30		0.00	-44.25	0.00	0.00
35000.0	GNMA I SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES OCTOBER								
01N0306A2	10/16/2014	09/11/2014	35,842.19	35,080.66		0.00	761.53	0.00	0.00
20000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES OCTOBER								
01N0326A8	10/16/2014	09/11/2014	20,943.75	20,621.88		0.00	321.87	0.00	0.00
35.29	CMO GS MTG SECS TR 2007 GG10 MTG PASS THRU CTF CL A-4 DUE								
36246LAE1	08-10-2045 REG 10/17/2014	12/06/2013	35.29	38.95		0.00	-3.66	0.00	0.00

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2014 Tax Information Statement

Page 32 of 103
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330.29	CMO COBALT CMBS COMPL MTG TR 2007-C3 DUE 05-15-2046 REG								
19075DAE1	10/20/2014	03/06/2014	330.29	368.02		0.00	-37.73	0.00	0.00
176.69	FEDERAL NATL MTG ASSN GTD MTG POOL #AL4060 3% 09-01-2043 BEO								
3138ELQNG	10/27/2014	08/08/2014	176.69	174.92		0.00	1.77	0.00	0.00
227.73	FNMA POOL #AS0774 3% 10-01-2043 BEO								
3138W92G4	10/27/2014	08/08/2014	227.73	225.42		0.00	2.31	0.00	0.00
239.61	FNMA POOL #AS2498 4% 05-01-2044 BEO								
3138WBX42	10/27/2014	06/12/2014	239.61	252.21		0.00	-12.60	0.00	0.00
115.81	FNMA POOL #AX0112 3.5% 09-01-2044 BEO								
3138Y1DS1	10/27/2014	08/25/2014	115.81	119.09		0.00	-3.28	0.00	0.00
15000.0	MACYS RETAIL HLDGS 4.375% DUE 09-01-2023								
55616XAK3	10/28/2014	05/06/2014	16,048.35	15,808.65		0.00	239.70	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES NOVEMBER								
01F0326B5	11/04/2014	10/03/2014	30,998.44	30,664.45		0.00	333.99	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES DECEMBER								
01F0326C3	11/04/2014	11/04/2014	30,914.06	30,914.06		0.00	0.00	0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES NOVEMBER								
01F0406B8	11/04/2014	10/03/2014	10,615.63	10,530.08		0.00	85.55	0.00	0.00

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2014 Tax Information Statement

Page 33 of 103

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30000.0	FNMA SINGLE FAMILY MORTGAGE 4.5 MAT 30 YEARS SETTLES NOVEMBER								
01F0426B4	11/04/2014	10/03/2014	32,519.53	32,330.86		0.00	188.67	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 4.5 MAT 30 YEARS SETTLES DECEMBER								
01F0426C2	11/04/2014	11/04/2014	32,450.39	32,450.39		0.00	0.00	0.00	0.00
20000.0	FNMA SINGLE FAMILY MORTGAGE 5.0 MAT 30 YEARS SETTLES NOVEMBER								
01F0506B7	11/04/2014	10/03/2014	22,142.97	22,061.72		0.00	81.25	0.00	0.00
31000.0	FHLMC 30 YEAR GOLD PARTICIPATION CERTIFICATE (PC) 0 30 YEARS SETTLES NOV								
02R0526B8	11/04/2014	10/03/2014	34,504.45	34,431.80		0.00	72.65	0.00	0.00
31000.0	FHLMC 30 YEAR GOLD PARTICIPATION CTF (PC) 5.5 30 YEARS SETTLES DEC								
02R0526C6	11/04/2014	11/04/2014	34,468.13	34,468.13		0.00	0.00	0.00	0.00
1069.23	CMO J P MORGAN CHASE COML MTG SECS CORP 2005-CIBC11 CL A-4 5.04								
46625YJF1	08-12-2037 REG	11/12/2014	1,069.23	1,097.05		0.00	-27.82	0.00	0.00
35000.0	GNMA I SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES NOVEMBER								
01N0306B0	11/14/2014	10/16/2014	35,593.36	35,760.16		0.00	-166.80	0.00	0.00
20000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES NOVEMBER								
01N0326B6	11/14/2014	10/16/2014	20,865.63	20,902.34		0.00	-36.71	0.00	0.00
72.34	CARMAX AUTO OWNER .46% DUE 04-17-2017								
14313RAB9	11/17/2014	05/07/2014	72.34	72.34		0.00	0.00	0.00	0.00

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Page 34 of 103

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234.58	SANTANDER DR AUTO FLTGT RT .4865% DUE 05-15-2015								
80283WAC3	11/17/2014	04/16/2014	234.58	234.58		0.00	0.00	0.00	0.00
20.92	CMO COBALT CMBS COMPL MTG TR 2007-C3 DUE 05-15-2046 REG								
19075DAE1	11/18/2014	03/06/2014	20.92	23.31		0.00	-2.39	0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES DECEMBER								
01F0406C6	11/19/2014	11/04/2014	10,617.19	10,587.50		0.00	29.69	0.00	0.00
5000.0	AMGEN INC 2.2 DUE 05-22-2019								
031162BU3	11/19/2014	10/23/2014	4,950.25	4,973.45		0.00	-23.20	0.00	0.00
60.88	FEDERAL NATL MTG ASSN GTD MTG POOL #AL4060 3% 09-01-2043 BEO								
3138ELQNG6	11/25/2014	08/08/2014	60.88	60.27		0.00	0.61	0.00	0.00
120.64	FNMA POOL #AS0774 3% 10-01-2043 BEO								
3138W92G4	11/25/2014	08/08/2014	120.64	119.41		0.00	1.23	0.00	0.00
279.28	FNMA POOL #AS2498 4% 05-01-2044 BEO								
3138WBX42	11/25/2014	08/12/2014	279.28	293.96		0.00	-14.68	0.00	0.00
306.91	FNMA POOL #AX0112 3.5% 09-01-2044 BEO								
3138Y1DS1	11/25/2014	08/25/2014	306.91	315.59		0.00	-8.68	0.00	0.00
791.63	SMALL BUSINESS ADMIN GTD DEV PARTN CTF PARTN SER 2012-20L CL 1								
83162CVE0	1.93 12-01-2032 12/01/2014	05/20/2014	791.63	755.51		0.00	36.12	0.00	0.00

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2014 Tax Information Statement

Page 35 of 103

Recipient's Name and Address:

THE GORDON A CAIN FOUNDATION

8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

Ref: WXT

THE NORTHERN TRUST COMPANY

P.O. BOX 803878

CHICAGO, IL 60680

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5000.0	UNITED STATES TREAS NTS DTD 604 2.375% DUE 08-15-2024 REG								
912828D56	12/01/2014	09/30/2014	5,068.75	4,943.75		0.00	125.00	0.00	0.00
15000.0	UNITED STATES TREAS NTS DTD 09/30/2014 1.75% DUE 09-30-2019 REG								
912828F39	12/01/2014	09/30/2014	15,180.47	14,983.59		0.00	196.88	0.00	0.00
20000.0	UTD STATES TREAS 1.5% DUE 10-31-2019 10-31-2019								
912828F62	12/01/2014	Various	19,994.52	19,941.40		0.00	53.12	0.00	0.00
10000.0	UNITED STATES OF AMER TREAS NOTES FRN TIPS 04/2017 USD 'X-2017'								
912828SQ4	12/02/2014	09/17/2014	10,576.43	10,643.96		0.00	-67.53	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 30 YEARS SETTLES DECEMBER								
01F0326C3	12/03/2014	12/03/2014	31,156.64	31,156.64		0.00	0.00	0.00	0.00
10000.0	FNMA SINGLE FAMILY MORTGAGE 4.0 MAT 30 YEARS SETTLES DECEMBER								
01F0406C6	12/03/2014	11/28/2014	10,659.77	10,674.61		0.00	-14.84	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 4.5 MAT 30 YEARS SETTLES DECEMBER								
01F0426C2	12/03/2014	12/03/2014	32,573.44	32,573.44		0.00	0.00	0.00	0.00
20000.0	FNMA SINGLE FAMILY MORTGAGE 5.0 MAT 30 YEARS SETTLES DECEMBER								
01F0506C5	12/03/2014	11/04/2014	22,176.56	22,107.03		0.00	69.53	0.00	0.00
31000.0	FHLMC 30 YEAR GOLD PARTICIPATION CTF (PC) 5.5 30 YEARS SETTLES DEC								
02R0526C6	12/03/2014	12/03/2014	34,618.28	34,618.28		0.00	0.00	0.00	0.00

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2014 Tax Information Statement

Page 36 of 103

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
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30999.95	FEDERAL HOME LN MTG CORP POOL #G0-5979 5.5% 10-01-2038 BEO								
3128M7604	12/03/2014	11/04/2014	34,618.23	34,468.08		0.00	150.15	0.00	0.00
30000.54	FNMA POOL #AU6939 4.5% 10-01-2043 BEO								
3138X6V93	12/03/2014	11/04/2014	32,574.03	32,450.98		0.00	123.05	0.00	0.00
30000.0	FNMA POOL #AX8023 3.5% 12-01-2044 BEO								
3138Y94H8	12/03/2014	11/04/2014	31,156.64	30,914.06		0.00	242.58	0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 11/30/2014 1.5% DUE 11-30-2019 REG								
912828G61	12/05/2014	12/01/2014	4,953.71	4,996.88		0.00	-43.17	0.00	0.00
5000.0	UNITED STATES TREAS NTS DTD 604 2.375% DUE 08-15-2024 REG								
912828D56	12/08/2014	09/30/2014	5,044.92	4,943.75		0.00	101.17	0.00	0.00
30000.0	FNMA SINGLE FAMILY MORTGAGE 4.5 MAT 30 YEARS SETTLES JANUARY								
01F042616	12/09/2014	12/03/2014	32,526.56	32,500.78		0.00	25.78	0.00	0.00
9927.66	CARMAX AUTO OWNER .46% DUE 04-17-2017								
14313RAB9	12/09/2014	05/07/2014	9,915.25	9,927.17		0.00	-11.92	0.00	0.00
10000.0	UNITED STATES TREAS NTS DTD 11/30/2014 1.5% DUE 11-30-2019 REG								
912828G61	12/09/2014	12/01/2014	9,948.83	9,993.75		0.00	-44.92	0.00	0.00
10000.0	UNITED STATES TREAS NTS DTD 05/31/2014 .375% DUE 05-31-2016 REG								
912828WM8	12/09/2014	09/26/2014	10,002.34	9,992.19		0.00	10.15	0.00	0.00

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2014 Tax Information Statement

Page 37 of 103

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25000.0	FNMA SINGLE FAMILY MORTGAGE 3.5 MAT 15 YEARS SETTLES DECEMBER								
01F0324C5	12/11/2014	11/19/2014	26,417.97	26,424.80		0.00	-6.83	0.00	0.00
2146.6	CMO J P MORGAN CHASE COML MTG SECS CORP 2005-CIBC11 CL A-4 5.04								
46625YJF1	08-12-2037 REG								
	12/12/2014	04/29/2014	2,146.60	2,202.45		0.00	-55.85	0.00	0.00
312.17	MERCEDES-BENZ AUTO FLTGT RT .3465% DUE 06-15-2016								
58768EAD1	12/15/2014	04/01/2014	312.17	312.17		0.00	0.00	0.00	0.00
426.27	SANTANDER DR AUTO FLTGT RT .4865% DUE 05-15-2015								
80283WAC3	12/15/2014	04/16/2014	426.27	426.27		0.00	0.00	0.00	0.00
35000.0	GNMA I SINGLE FAMILY MORTGAGE 3% 30 YEARS SETTLES DECEMBER								
01N0306C8	12/16/2014	11/14/2014	35,883.20	35,516.80		0.00	366.40	0.00	0.00
20000.0	GNMA I SINGLE FAMILY MORTGAGE 3.5% 30 YEARS SETTLES DECEMBER								
01N0326C4	12/16/2014	11/14/2014	20,996.88	20,815.63		0.00	181.25	0.00	0.00
5000.0	AT&T INC 4.3 DUE 12-15-2042								
00206RBH4	12/17/2014	01/07/2014	4,658.00	4,261.90		0.00	396.10	0.00	0.00
23.64	CMO COBALT CMBS COML MTG TR 2007-C3 DUE 05-15-2046 REG								
19075DAE1	12/17/2014	03/06/2014	23.64	26.34		0.00	-2.70	0.00	0.00
5000.0	JPMORGAN CHASE & FLTGT RT 5.15% DUE 12-29-2049								
48124BAC9	12/17/2014	09/18/2014	4,656.25	4,818.75		0.00	-162.50	0.00	0.00

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2014 Tax Information Statement

Page 38 of 103

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5000.0	NUCOR CORP 5.2% DUE 08-01-2043								
670346AN5	12/17/2014	03/19/2014	5,431.15	4,966.85		0.00	464.30	0.00	0.00
5000.0	WAL-MART STORES 2.55% DUE 04-11-2023								
931142DH3	12/23/2014	07/22/2014	4,900.40	4,860.30		0.00	40.10	0.00	0.00
591.99	FEDERAL NATL MTG ASSN GTD MTG POOL #AL4060 3% 09-01-2043 BEO								
3138ELQNE	12/26/2014	08/08/2014	591.99	586.07		0.00	5.92	0.00	0.00
153.46	FNMA POOL #AS0774 3% 10-01-2043 BEO								
3138W92G4	12/26/2014	08/08/2014	153.46	151.90		0.00	1.56	0.00	0.00
724.07	FNMA POOL #AS2498 4% 05-01-2044 BEO								
3138WBX42	12/26/2014	06/12/2014	724.07	762.14		0.00	-38.07	0.00	0.00
91.67	FNMA POOL #AX0112 3.5% 09-01-2044 BEO								
3138Y1DS1	12/26/2014	08/25/2014	91.67	94.26		0.00	-2.59	0.00	0.00
Total Short Term Sales			5,238,873.68	5,225,613.00		0.00	13,260.68	0.00	0.00
Long Term Sales									
435.98	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	01/10/2014	12/07/2011	435.98	466.84		0.00	-30.86	0.00	0.00

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10257.63	CMO GREENWICH CAP COM1 FDG CORP SER 2004-GG1 CL-A7 VAR RT								
396789FT1	DUE 06-10-2036 REG	01/10/2014	09/30/2009	10,257.63	10,437.14		-179.51	0.00	0.00
43.56	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	01/13/2014	11/16/2010	43.56	47.78		0.00	-4.22	0.00	0.00
538.28	CMO J P MORGAN CHASE COM1 MTG SECS TR 2006-C CL ASB 5.79 DUE								
46627QB83	06-12-2043 REG	01/13/2014	01/11/2010	538.28	565.36		-27.08	0.00	0.00
698.19	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO								
3128M8A87	01/15/2014	04/11/2011	698.19	742.26		0.00	-44.07	0.00	0.00
691.85	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	01/15/2014	02/23/2011	691.85	711.42		0.00	-19.57	0.00	0.00
176.97	GNMA POOL #738017 4% 02-15-2041 BEO								
3620AR4A6	01/15/2014	08/08/2011	176.97	185.29		0.00	-8.32	0.00	0.00
36.36	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	01/15/2014	06/27/2011	36.36	38.64		0.00	-2.28	0.00	0.00
23.43	LB UBS COM1 MTG TR 2007 C7 MTG PASS THRU CTF CL A-3 15 SEP 2045								
52109RBM2	01/17/2014	10/23/2012	23.43	28.17		0.00	-4.74	0.00	0.00
1037.18	CMO WACHOVIA BK COM1 MTG TR SER 2005-C17CL APB 5.037 DUE								
929766C27	03-15-2042 REG	01/17/2014	03/25/2009	1,037.18	923.16		114.02	0.00	0.00

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2014 Tax Information Statement

Page 40 of 103

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1180.49	VOLKSWAGEN AUTO .87% DUE 07-20-2015								
92867KAC8	01/21/2014	09/17/2012	1,180.49	1,189.80		0.00	-9.31	0.00	0.00
763.87	BMW VEH OWNER TR .75999999046% DUE 08-25-2015								
05573WAC9	01/27/2014	09/28/2012	763.87	767.18		0.00	-3.31	0.00	0.00
9.62	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	01/27/2014	07/27/2009	9.62	9.58		0.00	0.04	0.00	0.00
397.19	FEDERAL NATL MTG ASSN GTD MTG POOL #A12432 4.5% 05-01-2041 BEO								
3138AFV23	01/27/2014	06/09/2011	397.19	415.62		0.00	-18.43	0.00	0.00
147.39	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO								
3138AKF79	01/27/2014	08/08/2011	147.39	156.14		0.00	-8.75	0.00	0.00
402.19	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	01/27/2014	11/19/2010	402.19	439.01		0.00	-36.82	0.00	0.00
25.31	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	01/27/2014	06/09/2010	25.31	27.22		0.00	-1.91	0.00	0.00
765.22	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	01/27/2014	06/09/2010	765.22	827.87		0.00	-62.65	0.00	0.00
1094.02	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	01/27/2014	08/08/2011	1,094.02	1,128.21		0.00	-34.19	0.00	0.00

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2014 Tax Information Statement

Page 41 of 103

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55.16	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	01/27/2014	04/04/2011	55.16	57.79		0.00	-2.63	0.00	0.00
15.63	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	01/27/2014	04/04/2011	15.63	15.93		0.00	-0.30	0.00	0.00
7000.0	AETNA INC 2.75% DUE 11-15-2022								
008117AP8	01/30/2014	11/02/2012	6,547.66	6,881.63		0.00	-333.97	0.00	0.00
2000.0	AETNA INC 2.75% DUE 11-15-2022								
008117AP8	01/30/2014	11/02/2012	1,872.64	1,966.18		0.00	-93.54	0.00	0.00
1000.0	AETNA INC 2.75% DUE 11-15-2022								
008117AP8	01/31/2014	11/02/2012	937.56	983.09		0.00	-45.53	0.00	0.00
25.07	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	02/12/2014	11/16/2010	25.07	27.50		0.00	-2.43	0.00	0.00
26.54	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	02/12/2014	12/07/2011	26.54	28.42		0.00	-1.88	0.00	0.00
8312.02	CMO GREENWICH CAP COM1 FDG CORP SER 2004-GG1 CL-A7 VAR RT DUE 06-10-2036 REG								
396789FT1	02/12/2014	09/30/2009	8,312.02	8,457.48		0.00	-145.46	0.00	0.00
541.11	CMO J P MORGAN CHASE COM1 MTG SECS TR 2006-C CL ASB 5.79 DUE 06-12-2043 REG								
46627QB83	02/12/2014	01/11/2010	541.11	568.33		0.00	-27.22	0.00	0.00

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591.98	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO								
3128M8A87	02/18/2014	04/11/2011	591.98	629.35		0.00	-37.37	0.00	0.00
59.03	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	02/18/2014	02/23/2011	59.03	60.70		0.00	-1.67	0.00	0.00
181.71	GNMA POOL #738017 4% 02-15-2041 BEO								
3620AR4A6	02/18/2014	08/08/2011	181.71	190.26		0.00	-8.55	0.00	0.00
33.54	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	02/18/2014	06/27/2011	33.54	35.65		0.00	-2.11	0.00	0.00
1.54	LB UBS COML MTG TR 2007 C7 MTG PASS THRUCL A-3 15 SEP 2045								
52109RBM2	02/18/2014	10/23/2012	1.54	1.85		0.00	-0.31	0.00	0.00
1521.19	VOLKSWAGEN AUTO .87% DUE 07-20-2015								
92867KAC8	02/20/2014	09/17/2012	1,521.19	1,533.19		0.00	-12.00	0.00	0.00
726.43	BMW VEH OWNER TR .75999999046% DUE 08-25-2015								
05573WAC9	02/25/2014	09/28/2012	726.43	729.58		0.00	-3.15	0.00	0.00
9.67	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	02/25/2014	07/27/2009	9.67	9.63		0.00	0.04	0.00	0.00
499.55	FEDERAL NATL MTG ASSN GTD MTG POOL #A12432 4.5% 05-01-2041 BEO								
3138AFV23	02/25/2014	06/09/2011	499.55	522.73		0.00	-23.18	0.00	0.00

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2014 Tax Information Statement

Page 43 of 103

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175.67	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO								
3138AKF79	02/25/2014	08/08/2011	175.67	186.10		0.00	-10.43	0.00	0.00
300.62	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	02/25/2014	11/19/2010	300.62	328.15		0.00	-27.53	0.00	0.00
26.05	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	02/25/2014	06/09/2010	26.05	28.02		0.00	-1.97	0.00	0.00
365.16	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	02/25/2014	06/09/2010	365.16	395.06		0.00	-29.90	0.00	0.00
114.96	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	02/25/2014	08/08/2011	114.96	118.55		0.00	-3.59	0.00	0.00
120.11	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	02/25/2014	04/04/2011	120.11	125.83		0.00	-5.72	0.00	0.00
8.24	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	02/25/2014	04/04/2011	8.24	8.40		0.00	-0.16	0.00	0.00
7549.34	LB UBS COML MTG TR 2007 C7 MTG PASS THRU CTF CL A-3 15 SEP 2045								
52109RBM2	03/06/2014	10/23/2012	8,590.33	9,075.73		0.00	-485.40	0.00	0.00
145.32	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	03/12/2014	11/16/2010	145.32	159.40		0.00	-14.08	0.00	0.00

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2014 Tax Information Statement

Page 44 of 103
 Recipient's Name and Address: Ref: WXT
 THE GORDON A CAIN FOUNDATION
 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
 CHICAGO, IL 60680

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8000.0	DOW CHEM CO 8.55 DUE 05-15-2019								
260543BX0	03/12/2014	07/15/2009	10,311.52	8,204.16		0.00	2,107.36	0.00	0.00
10000.0	ORANGE 4.375% DUE 07-08-2014 07-08-2014								
35177PAS6	03/12/2014	12/21/2012	10,128.50	10,533.60		0.00	-405.10	0.00	0.00
39.46	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4 751% DUE 07-10-2039 REG								
36228CVU4	03/12/2014	12/07/2011	39.46	42.25		0.00	-2.79	0.00	0.00
728.92	CMO J P MORGAN CHASE COML MTG SECS TR 2006-C CL ASB 5.79 DUE 06-12-2043 REG								
46627QBB3	03/12/2014	01/11/2010	728.92	765.59		0.00	-36.67	0.00	0.00
5000.0	MCDONALDS CORP 2.625 DUE 01-15-2022 REG								
58013MEM2	03/13/2014	09/29/2011	4,875.80	4,932.05		0.00	-56.25	0.00	0.00
450.23	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO								
3128M8A87	03/17/2014	04/11/2011	450.23	478.65		0.00	-28.42	0.00	0.00
1676.32	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	03/17/2014	02/23/2011	1,676.32	1,723.73		0.00	-47.41	0.00	0.00
215.8	GNMA POOL #738017 4% 02-15-2041 BEO								
3620AR4A6	03/17/2014	08/08/2011	215.80	225.95		0.00	-10.15	0.00	0.00
29.11	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	03/17/2014	06/27/2011	29.11	30.94		0.00	-1.83	0.00	0.00

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2014 Tax Information Statement

Page 45 of 103

Recipient's Name and Address:

THE GORDON A CAIN FOUNDATION

8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

Ref: WXT

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P.O. BOX 803878

CHICAGO, IL 60680

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49.2	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE 10-15-2044 BEO	03/17/2014	49.20	53.66		0.00	-4.46	0.00	0.00
9297667G2	VOLKSWAGEN AUTO .87% DUE 07-20-2015	03/14/2013							
1058.47									
92867KAC8	03/20/2014	09/17/2012	1,058.47	1,066.82		0.00	-8.35	0.00	0.00
633.02	BMW VEH OWNER TR .75999999046% DUE 08-25-2015								
05573WAC9	03/25/2014	09/28/2012	633.02	635.77		0.00	-2.75	0.00	0.00
14.42	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	03/25/2014	07/27/2009	14.42	14.36		0.00	0.06	0.00	0.00
453.13	FEDERAL NATL MTG ASSN GTD MTG POOL #A12432 4.5% 05-01-2041 BEO								
3138AFV23	03/25/2014	06/09/2011	453.13	474.16		0.00	-21.03	0.00	0.00
334.24	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO								
3138AKF79	03/25/2014	08/08/2011	334.24	354.09		0.00	-19.85	0.00	0.00
264.28	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	03/25/2014	11/19/2010	264.28	288.48		0.00	-24.20	0.00	0.00
25.73	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	03/25/2014	06/09/2010	25.73	27.68		0.00	-1.95	0.00	0.00
306.17	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	03/25/2014	06/09/2010	306.17	331.24		0.00	-25.07	0.00	0.00

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2014 Tax Information Statement

Page 46 of 103
 Recipient's Name and Address:
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 Ref: WXT

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114.81	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	03/25/2014	08/08/2011	114.81	118.40		0.00	-3.59	0.00	0.00
135.26	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	03/25/2014	04/04/2011	135.26	141.71		0.00	-6.45	0.00	0.00
8.12	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
314198XT7	03/25/2014	04/04/2011	8.12	8.28		0.00	-0.16	0.00	0.00
10000.0	JPMORGAN CHASE & 4.35% DUE 08-15-2021								
46625HJC5	03/26/2014	03/14/2013	10,747.50	11,022.00		0.00	-274.50	0.00	0.00
13462.33	GNMA POOL #738017 4% 02-15-2041 BEO								
3620AR4A6	04/03/2014	08/08/2011	14,118.62	14,095.48		0.00	23.14	0.00	0.00
2000.0	GENERAL ELEC CO 2.7 DUE 10-09-2022 REG								
369604BD4	04/03/2014	10/01/2012	1,933.32	1,995.30		0.00	-61.98	0.00	0.00
3000.0	GENERAL ELEC CO 2.7 DUE 10-09-2022 REG								
369604BD4	04/08/2014	10/01/2012	2,920.38	2,992.95		0.00	-72.57	0.00	0.00
8.5	LB UBS COML MTG TR 2007 C7 MTG PASS THRUCL A-3 15 SEP 2045								
52109RBM2	04/10/2014	10/23/2012	8.50	10.22		0.00	-1.72	0.00	0.00
17.68	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	04/11/2014	12/07/2011	17.68	18.93		0.00	-1.25	0.00	0.00

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2014 Tax Information Statement

Page 47 of 103

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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28.59	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	04/14/2014	11/16/2010	28.59	31.36		0.00	-2.77	0.00	0.00
386.22	CMO J P MORGAN CHASE COML MTG SECS TR 2006-C CL ASB 5.79 DUE 06-12-2043 REG								
46627QB83	04/14/2014	01/11/2010	386.22	405.65		0.00	-19.43	0.00	0.00
1789.85	KENTUCKY ASSET / LIABILITY COMM GEN FD REV 3.165% 04-01-2018 BEO TAXABLE								
491189FC5	04/14/2014	08/18/2010	1,789.85	1,789.85		0.00	0.00	0.00	0.00
530.78	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO								
3128M8A87	04/15/2014	04/11/2011	530.78	564.29		0.00	-33.51	0.00	0.00
640.05	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	04/15/2014	02/23/2011	640.05	658.15		0.00	-18.10	0.00	0.00
204.44	GNMA POOL #738017 4% 02-15-2041 BEO								
3620AR4A6	04/15/2014	08/08/2011	204.44	214.06		0.00	-9.62	0.00	0.00
35.7	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	04/15/2014	06/27/2011	35.70	37.94		0.00	-2.24	0.00	0.00
1725.41	HARLEY DAVIDSON .68% DUE 04-17-2017								
41283TAC2	04/15/2014	03/22/2013	1,725.41	1,729.72		0.00	-4.31	0.00	0.00
39.94	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE 10-15-2044 BEO								
9297667G2	04/17/2014	03/14/2013	39.94	43.56		0.00	-3.62	0.00	0.00

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2014 Tax Information Statement

Page 48 of 103

Ref: WXT

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THE GORDON A CAIN FOUNDATION
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HOUSTON, TX 77046-0892

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739.98	ALLY AUTO .57% DUE 08-20-2015								
02006GAC8	04/21/2014	09/11/2012	739.98	739.92		0.00	0.06	0.00	0.00
1250.65	VOLKSWAGEN AUTO .87% DUE 07-20-2015								
92867KAC8	04/21/2014	09/17/2012	1,250.65	1,260.52		0.00	-9.87	0.00	0.00
0.01	GNMA POOL #738017 4% 02-15-2041 BEO								
3620AR4A6	04/23/2014	08/08/2011	0.01	0.01		0.00	0.00	0.00	0.00
663.82	BMW VEH OWNER TR .75999999046% DUE 08-25-2015								
05573WAC9	04/25/2014	09/28/2012	663.82	666.70		0.00	-2.88	0.00	0.00
9.79	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	04/25/2014	07/27/2009	9.79	9.75		0.00	0.04	0.00	0.00
111.06	FEDERAL NATL MTG ASSN GTD MTG POOL #AH0943 4% 12-01-2040 BEO								
3138A2BM0	04/25/2014	03/26/2013	111.06	119.98		0.00	-8.92	0.00	0.00
373.03	FEDERAL NATL MTG ASSN GTD MTG POOL #AI2432 4.5% 05-01-2041 BEO								
3138AFV23	04/25/2014	06/09/2011	373.03	390.34		0.00	-17.31	0.00	0.00
317.76	FEDERAL NATL MTG ASSN GTD MTG POOL #AI5589 4.5% 07-01-2041 BEO								
3138AKF79	04/25/2014	08/08/2011	317.76	336.63		0.00	-18.87	0.00	0.00
255.79	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	04/25/2014	11/19/2010	255.79	279.21		0.00	-23.42	0.00	0.00

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2014 Tax Information Statement

Page 49 of 103

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8 GREENWAY PLZ STE 606
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26.1	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	04/25/2014	06/09/2010	26.10	28.07		0.00	-1.97	0.00	0.00
257.0	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	04/25/2014	06/09/2010	257.00	278.04		0.00	-21.04	0.00	0.00
476.93	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	04/25/2014	08/08/2011	476.93	491.83		0.00	-14.90	0.00	0.00
12.65	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	04/25/2014	04/04/2011	12.65	13.25		0.00	-0.60	0.00	0.00
424.19	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	04/25/2014	03/26/2013	424.19	467.14		0.00	-42.95	0.00	0.00
25.34	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	04/25/2014	04/04/2011	25.34	25.83		0.00	-0.49	0.00	0.00
10000.0	MACYS RETAIL HLDGS 2.875 DUE 02-15-2023								
55616XAH0	05/06/2014	03/14/2013	9,538.60	9,581.80		0.00	-43.20	0.00	0.00
32.04	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	05/12/2014	11/16/2010	32.04	35.14		0.00	-3.10	0.00	0.00
29.97	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	05/12/2014	12/07/2011	29.97	32.09		0.00	-2.12	0.00	0.00

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2014 Tax Information Statement

Page 50 of 103

Recipient's Name and Address:

THE GORDON A CAIN FOUNDATION

8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

Ref: WXT

THE NORTHERN TRUST COMPANY
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773.65	CMO J P MORGAN CHASE COML MTG SECS TR 2006-C CL ASB 5.79 DUE								
46627QB83	06-12-2043 REG	01/11/2010	773.65	812.58		0.00	-38.93	0.00	0.00
15000.0	CAP 1 FINL CORP 6.15% DUE 09-01-2016 FINANCIAL 6.15% DUE 09-01-2016								
14040HAN5	05/14/2014 Various		16,673.85	17,270.20		0.00	-596.35	0.00	0.00
433.5	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO								
3128M8A87	05/15/2014 04/11/2011		433.50	460.86		0.00	-27.36	0.00	0.00
699.44	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	05/15/2014 02/23/2011		699.44	719.22		0.00	-19.78	0.00	0.00
51.78	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	05/15/2014 06/27/2011		51.78	55.03		0.00	-3.25	0.00	0.00
1810.77	HARLEY DAVIDSON .68% DUE 04-17-2017								
41283TAC2	05/15/2014 03/22/2013		1,810.77	1,815.30		0.00	-4.53	0.00	0.00
20.58	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031								
52108HYK4	05/16/2014 04/30/2013		20.58	21.07		0.00	-0.49	0.00	0.00
43.65	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE								
9297667G2	10-15-2044 BEO								
	05/16/2014 03/14/2013		43.65	47.61		0.00	-3.96	0.00	0.00
1377.73	ALLY AUTO .57% DUE 08-20-2015								
02006GAC8	05/20/2014 09/11/2012		1,377.73	1,377.61		0.00	0.12	0.00	0.00

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2014 Tax Information Statement

Page 51 of 103

Recipient's Name and Address: Ref: WXT

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8 GREENWAY PLZ STE 606
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16074.27	FEDERAL NATL MTG ASSN GTD MTG POOL #A12432 4.5% 05-01-2041 BEO								
3136AFV23	05/20/2014	06/09/2011	17,463.20	16,820.22		0.00	642.98	0.00	0.00
1220.1	VOLKSWAGEN AUTO .87% DUE 07-20-2015								
92867KAC8	05/20/2014	09/17/2012	1,220.10	1,229.73		0.00	-9.63	0.00	0.00
20000.0	COMM 2012-LC4 MTG TR CTF CL A-4 3.288 12-10-2044								
126192AD5	05/21/2014	Various	20,412.50	21,292.97		0.00	-880.47	0.00	0.00
5000.0	COMCAST CORP NEW 6.4% DUE 03-01-2040								
20030NBB6	05/21/2014	03/20/2013	6,374.80	6,410.95		0.00	-36.15	0.00	0.00
10000.0	DU PONT E I DE 6.5% DUE 01-15-2028 01-15-2028 REG								
263534BG3	05/21/2014	07/02/2010	12,737.20	11,869.50		0.00	867.70	0.00	0.00
17447.51	FEDERAL NATL MTG ASSN GTD MTG POOL #AH0943 4% 12-01-2040 BEO								
3138A2BM0	05/21/2014	03/26/2013	18,330.80	18,848.77		0.00	-517.97	0.00	0.00
10000.0	GENERAL ELEC CAP CORP MEDIUM TERM NTS 3.1 DUE 01-09-2023								
36962G6S8	05/21/2014	01/09/2013	9,936.20	10,008.40		0.00	-72.20	0.00	0.00
5000.0	HESS CORP 5.6% DUE 02-15-2041								
42809HAD9	05/21/2014	03/05/2013	5,703.60	5,421.00		0.00	282.60	0.00	0.00
5000.0	METLIFE INC 7.717% 15 FEB 2019								
59156RAT5	05/21/2014	02/11/2009	6,261.85	5,017.50		0.00	1,244.35	0.00	0.00

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2014 Tax Information Statement

Page 52 of 103
 Recipient's Name and Address: Ref: WXT
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10000.0	PECO ENERGY CO 5.35% DUE 03-01-2018 DUE 03-01-2018/03-02-2008 BEO								
693304AL1	05/21/2014	02/28/2008	11,337.00	10,125.10		0.00	1,211.90	0.00	0.00
5000.0	PRUDENTIAL FINL INC MEDIUM TERM NTS BOOKENTRY TRANCHE # TR								
74432QBP9	05/21/2014	11/15/2010	5,521.95	4,969.80		0.00	552.15	0.00	0.00
5000.0	US TREAS NTS .25 DUE 07-15-2015 REG 07-15-2015								
912828TD2	05/23/2014	08/31/2012	5,007.03	4,993.55		0.00	13.48	0.00	0.00
617.77	BMW VEH OWNER TR .75999999046% DUE 08-25-2015								
05573WAC9	05/27/2014	09/28/2012	617.77	620.45		0.00	-2.68	0.00	0.00
11.4	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	05/27/2014	07/27/2009	11.40	11.35		0.00	0.05	0.00	0.00
170.75	FEDERAL NATL MTG ASSN GTD MTG POOL #AH0943 4% 12-01-2040 BEO								
3138A2BM0	05/27/2014	03/26/2013	170.75	184.46		0.00	-13.71	0.00	0.00
678.58	FEDERAL NATL MTG ASSN GTD MTG POOL #AI2432 4.5% 05-01-2041 BEO								
3138AFV23	05/27/2014	06/09/2011	678.58	710.07		0.00	-31.49	0.00	0.00
199.65	FEDERAL NATL MTG ASSN GTD MTG POOL #AI5589 4.5% 07-01-2041 BEO								
3138AKF79	05/27/2014	08/08/2011	199.65	211.50		0.00	-11.85	0.00	0.00
240.26	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	05/27/2014	11/19/2010	240.26	262.26		0.00	-22.00	0.00	0.00

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2014 Tax Information Statement

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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Page 53 of 103
Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892
Ref: WXT

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Code if any	Adjustments	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
25.74	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	05/27/2014	06/09/2010	25.74	27.69		0.00	-1.95	0.00	0.00
537.64	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	05/27/2014	06/09/2010	537.64	581.66		0.00	-44.02	0.00	0.00
408.16	FNMA POOL #A82270 4% 02-01-2041 BEO								
31416XQY9	05/27/2014	08/08/2011	408.16	420.92		0.00	-12.76	0.00	0.00
65.82	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	05/27/2014	04/04/2011	65.82	68.96		0.00	-3.14	0.00	0.00
615.27	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	05/27/2014	03/26/2013	615.27	677.57		0.00	-62.30	0.00	0.00
40.54	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	05/27/2014	04/04/2011	40.54	41.33		0.00	-0.79	0.00	0.00
1952.34	GE EQUIP TRANSN .62% DUE 07-25-2016								
36163AAD6	05/27/2014	10/16/2012	1,952.34	1,952.00		0.00	0.34	0.00	0.00
10000.0	DOW CHEM CO 4.25% DUE 11-15-2020								
260543CC5	05/28/2014	03/14/2013	10,836.60	10,890.40		0.00	-53.80	0.00	0.00
0.01	FEDERAL NATL MTG ASSN GTD MTG POOL #AH0943 4% 12-01-2040 BEO								
3138A2BM0	05/28/2014	03/26/2013	0.01	0.01		0.00	0.00	0.00	0.00

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2014 Tax Information Statement

Page 54 of 103

Recipient's Name and Address: Ref: WXT

THE GORDON A CAIN FOUNDATION

8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY

P.O. BOX 803878

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10000.0	CONAGRA FOODS INC 1.9% DUE 01-25-2018								
205887BQ4	05/29/2014	Various	10,091.50	10,036.30		0.00	55.20	0.00	0.00
50000.0	US TREAS NTS .25 DUE 07-15-2015 REG 07-15-2015								
912828TD2	05/30/2014	08/31/2012	50,068.36	49,935.55		0.00	132.81	0.00	0.00
892.59	CMO BEAR STEARNS COM1 MTG SECS TR 2006-PWR13 CL-A4 5.54 DUE 09-11-2041 REG								
07388LAE0	06/11/2014	03/14/2013	892.59	1,010.37		0.00	-117.78	0.00	0.00
471.1	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	06/12/2014	11/16/2010	471.10	516.74		0.00	-45.64	0.00	0.00
139.44	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	06/12/2014	12/07/2011	139.44	149.31		0.00	-9.87	0.00	0.00
553.86	CMO J P MORGAN CHASE COM1 MTG SECS TR 2006-C CL ASB 5.79 DUE 06-12-2043 REG								
46627QB83	06/12/2014	01/11/2010	553.86	581.73		0.00	-27.87	0.00	0.00
215.78	CMO J P MORGAN CHASE COM1 MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47								
46629YAC3	06/12/2014	10/06/2010	215.78	230.72		0.00	-14.94	0.00	0.00
360.6	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO								
3128M8A87	06/16/2014	04/11/2011	360.60	383.36		0.00	-22.76	0.00	0.00
468.02	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	06/16/2014	02/23/2011	468.02	481.26		0.00	-13.24	0.00	0.00

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2014 Tax Information Statement

Page 55 of 103
 Recipient's Name and Address:
 THE GORDON A CAIN FOUNDATION
 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
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44.55	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	06/16/2014	06/27/2011	44.55	47.35		0.00	-2.80	0.00	0.00
1639.05	HARLEY DAVIDSON .68% DUE 04-17-2017								
41283TAC2	06/16/2014	03/22/2013	1,639.05	1,643.15		0.00	-4.10	0.00	0.00
19.72	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4 568% DUE 01-15-2031 REG								
52108HYK4	06/17/2014	04/30/2013	19.72	20.19		0.00	-0.47	0.00	0.00
40.31	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE 10-15-2044 BEO								
9297667G2	06/17/2014	03/14/2013	40.31	43.96		0.00	-3.65	0.00	0.00
1217.37	ALLY AUTO .57% DUE 08-20-2015								
02006GAC8	06/20/2014	09/11/2012	1,217.37	1,217.27		0.00	0.10	0.00	0.00
1411.12	VOLKSWAGEN AUTO .87% DUE 07-20-2015								
92867KAC8	06/20/2014	09/17/2012	1,411.12	1,422.26		0.00	-11.14	0.00	0.00
1321.31	GE EQUIP TRANSN .62% DUE 07-25-2016								
36163AAD6	06/24/2014	10/16/2012	1,321.31	1,321.08		0.00	0.23	0.00	0.00
565.53	BMW VEH OWNER TR .75999999046% DUE 08-25-2015								
05573WAC9	06/25/2014	09/28/2012	565.53	567.98		0.00	-2.45	0.00	0.00
9.89	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	06/25/2014	07/27/2009	9.89	9.85		0.00	0.04	0.00	0.00

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2014 Tax Information Statement

Page 56 of 103

Recipient's Name and Address:

Ref: WXT

THE GORDON A CAIN FOUNDATION

8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY

P.O. BOX 803878

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589.81	FEDERAL NATL MTG ASSN GTD MTG POOL #A12432 4.5% 05-01-2041 BEO								
3138AFV23	06/25/2014	06/09/2011	589.81	617.18		0.00	-27.37	0.00	0.00
125.87	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO								
3138AKF79	06/25/2014	08/08/2011	125.87	133.34		0.00	-7.47	0.00	0.00
234.81	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	06/25/2014	11/19/2010	234.81	256.31		0.00	-21.50	0.00	0.00
25.87	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	06/25/2014	06/09/2010	25.87	27.83		0.00	-1.96	0.00	0.00
263.46	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	06/25/2014	06/09/2010	263.46	285.03		0.00	-21.57	0.00	0.00
776.52	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	06/25/2014	08/08/2011	776.52	800.79		0.00	-24.27	0.00	0.00
13.13	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	06/25/2014	04/04/2011	13.13	13.76		0.00	-0.63	0.00	0.00
55.31	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	06/25/2014	03/26/2013	55.31	60.91		0.00	-5.60	0.00	0.00
2.59	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	06/25/2014	04/04/2011	2.59	2.64		0.00	-0.05	0.00	0.00

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2014 Tax Information Statement

Page 57 of 103
Ref: WXT

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THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
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56.68	CMO BEAR STEARNS COMML MTG SECS TR 2006-PWR13 CL-A4 5.54 DUE								
07388LAE0	09-11-2041 REG	03/14/2013	56.68	64.16		0.00	-7.48	0.00	0.00
28.95	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	07/11/2014	12/07/2011	28.95	31.00		0.00	-2.05	0.00	0.00
28.93	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	07/14/2014	11/16/2010	28.93	31.73		0.00	-2.80	0.00	0.00
420.34	CMO J P MORGAN CHASE COMML MTG SECS TR 2006-C CL ASB 5 79 DUE								
46627QBB3	06-12-2043 REG	01/11/2010	420.34	441.49		0.00	-21.15	0.00	0.00
18.64	CMO J P MORGAN CHASE COMML MTG SECS TR 2007-C MTG PASSTHRU								
46629YAC3	DUE 5.44 6-12-47	10/06/2010	18.64	19.93		0.00	-1.29	0.00	0.00
489.61	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO								
3128M8A87	07/15/2014	04/11/2011	489.61	520.52		0.00	-30.91	0.00	0.00
632.4	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	07/15/2014	02/23/2011	632.40	650.29		0.00	-17.89	0.00	0.00
49.65	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	07/15/2014	06/27/2011	49.65	52.77		0.00	-3.12	0.00	0.00
1543.41	HARLEY DAVIDSON .68% DUE 04-17-2017								
41283TAC2	07/15/2014	03/22/2013	1,543.41	1,547.27		0.00	-3.86	0.00	0.00

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2014 Tax Information Statement

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20.78	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031								
52108HYK4	07/17/2014	04/30/2013	20.78	21.27		0.00	-0.49	0.00	0.00
46.7	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE 10-15-2044 BEO								
9297667G2	07/17/2014	03/14/2013	46.70	50.93		0.00	-4.23	0.00	0.00
1202.95	ALLY AUTO .57% DUE 08-20-2015								
02006GAC8	07/21/2014	09/11/2012	1,202.95	1,202.85		0.00	0.10	0.00	0.00
10000.0	DUKE RLTY LTD 8.25% DUE 08-15-2019								
26441YAT4	07/21/2014	Various	12,569.70	11,016.70		0.00	1,553.00	0.00	0.00
1307.77	VOLKSWAGEN AUTO .87% DUE 07-20-2015								
92867KAC8	07/21/2014	09/17/2012	1,307.77	1,318.09		0.00	-10.32	0.00	0.00
10000.0	WAL-MART STORES 3.25% DUE 10-25-2020								
931142CZ4	07/22/2014	10/18/2010	10,534.40	9,990.60		0.00	543.80	0.00	0.00
1545.26	GE EQUIP TRANSN .62% DUE 07-25-2016								
36163AAD6	07/24/2014	10/16/2012	1,545.26	1,544.99		0.00	0.27	0.00	0.00
536.69	BMW VEH OWNER TR .75999999046% DUE 08-25-2015								
05573WAC9	07/25/2014	09/28/2012	536.69	539.02		0.00	-2.33	0.00	0.00
11.5	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	07/25/2014	07/27/2009	11.50	11.45		0.00	0.05	0.00	0.00

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2014 Tax Information Statement

Page 59 of 103
 Recipient's Name and Address: Ref: WXT
 THE GORDON A CAIN FOUNDATION
 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
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316.01	FEDERAL NATL MTG ASSN GTD MTG POOL #AI2432 4.5% 05-01-2041 BEO								
3138AFV23	07/25/2014	06/09/2011	316.01	330.67		0.00	-14.66	0.00	0.00
458.59	FEDERAL NATL MTG ASSN GTD MTG POOL #AI5589 4.5% 07-01-2041 BEO								
3138AKF79	07/25/2014	08/08/2011	458.59	485.82		0.00	-27.23	0.00	0.00
236.83	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	07/25/2014	11/19/2010	236.83	258.51		0.00	-21.68	0.00	0.00
25.99	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	07/25/2014	06/09/2010	25.99	27.96		0.00	-1.97	0.00	0.00
610.14	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	07/25/2014	06/09/2010	610.14	660.10		0.00	-49.96	0.00	0.00
1069.38	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	07/25/2014	08/08/2011	1,069.38	1,102.80		0.00	-33.42	0.00	0.00
228.72	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	07/25/2014	04/04/2011	228.72	239.62		0.00	-10.90	0.00	0.00
313.34	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	07/25/2014	03/26/2013	313.34	345.07		0.00	-31.73	0.00	0.00
12.11	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	07/25/2014	04/04/2011	12.11	12.34		0.00	-0.23	0.00	0.00

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2014 Tax Information Statement

Page 60 of 103

Recipient's Name and Address:

THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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10000.0	DIRECTV HLDG/FIN 5 DUE 03-01-2021								
25459HBA2	07/30/2014	Various	11,072.60	10,443.45		0.00	629.15	0.00	0.00
5000.0	PPL CAP FDG INC 3.4% DUE 06-01-2023								
69352PAF0	07/30/2014	05/21/2013	4,985.85	5,005.00		0.00	-19.15	0.00	0.00
5000.0	TELEFONICA SA 5.877% DUE 07-15-2019								
87938WAH6	07/30/2014	03/14/2013	5,742.20	5,507.35		0.00	234.85	0.00	0.00
10000.0	UNITED MEXICAN STATES # TR 00021 12/23/08 5.95 DUE 03-19-2019 BEO								
91086QAW8	07/30/2014	Various	11,555.50	11,525.00		0.00	30.50	0.00	0.00
5000.0	VERIZON 4.6% DUE 04-01-2021								
92343VAX2	07/30/2014	12/01/2011	5,470.55	5,427.30		0.00	43.25	0.00	0.00
5000.0	GENERAL ELEC CAP CORP MEDIUM TERM NTS 3.1 DUE 01-09-2023								
36962G6S8	08/07/2014	01/09/2013	4,987.05	5,004.20		0.00	-17.15	0.00	0.00
48.65	CMO BEAR STEARNS COM1 MTG SECS TR 2006-PWR13 CL-A4 5.54 DUE 09-11-2041 REG								
07388LAE0	08/11/2014	03/14/2013	48.65	55.07		0.00	-6.42	0.00	0.00
26.58	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	08/12/2014	11/16/2010	26.58	29.15		0.00	-2.57	0.00	0.00
29.42	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	08/12/2014	12/07/2011	29.42	31.50		0.00	-2.08	0.00	0.00

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2014 Tax Information Statement

Page 61 of 103
 Recipient's Name and Address:
 THE GORDON A CAIN FOUNDATION
 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892
 Ref: WXT

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Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Code if any	Adjustments	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
757.69	CMO J P MORGAN CHASE COML MTG SECS TR 2006-C CL ASB 5.79 DUE 06-12-2043 REG	08/12/2014	01/11/2010	757.69	795.81	0.00	-38.12	0.00	0.00
46627QBB3									
16.88	CMO J P MORGAN CHASE COML MTG SECS TR 2007-C MTG PASSTHRU DUE 5 44 6-12-47	08/12/2014	10/06/2010	16.88	18.05	0.00	-1.17	0.00	0.00
46629YAC3									
268.76	SMART ABS SER 2013-1US TR CL A-3A .84 DUE 09-14-2016 REG	08/12/2014				0.00	0.01	0.00	0.00
78447NAD8									
590.34	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO	08/14/2014	01/16/2013	268.76	268.75	0.00	-37.27	0.00	0.00
3128MBA87									
926.67	GNMA POOL #730990 4.5% 01-15-2040 BEO	08/15/2014	04/11/2011	590.34	627.61	0.00	-26.21	0.00	0.00
3620AJC31									
48.85	GNMA POOL #783276 4.5% 03-15-2041 BEO	08/15/2014	02/23/2011	926.67	952.88	0.00	-3.07	0.00	0.00
36241LT97									
1564.85	HARLEY DAVIDSON .68% DUE 04-17-2017	08/15/2014	06/27/2011	48.85	51.92	0.00	-3.91	0.00	0.00
41283TAC2									
109.25	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031 REG	08/15/2014	03/22/2013	1,564.85	1,568.76	0.00	-2.60	0.00	0.00
52108HYK4									
40.67	CMO WACHOVIA BK COML MTG TR SER 2005-C2 1CL A4 FLT RT DUE 10-15-2044 BEO	08/15/2014	04/30/2013	109.25	111.85	0.00	-3.69	0.00	0.00
9297667G2									

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2014 Tax Information Statement

Page 62 of 103
 Recipient's Name and Address: Ref: WXT
 THE GORDON A CAIN FOUNDATION
 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
 P.O. BOX 803878
 CHICAGO, IL 60680

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841.16	CMO WACHOVIA BK COML MTG TR 2005-C22 CL A-4 DUE 12-15-2044 REG								
92976BBN1	08/15/2014	11/16/2010	841.16	911.77		0.00	-70.61	0.00	0.00
1066.17	ALLY AUTO .57% DUE 08-20-2015								
02006GAC8	08/20/2014	09/11/2012	1,066.17	1,066.08		0.00	0.09	0.00	0.00
1392.22	VOLKSWAGEN AUTO .87% DUE 07-20-2015								
92867KAC8	08/20/2014	09/17/2012	1,392.22	1,403.21		0.00	-10.99	0.00	0.00
518.55	BMW VEH OWNER TR .75999999046% DUE 08-25-2015								
05573WAC9	08/25/2014	09/28/2012	518.55	520.80		0.00	-2.25	0.00	0.00
10.0	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	08/25/2014	07/27/2009	10.00	9.96		0.00	0.04	0.00	0.00
168.01	FEDERAL NATL MTG ASSN GTD MTG POOL #A12432 4.5% 05-01-2041 BEO								
3138AFV23	08/25/2014	06/09/2011	168.01	175.81		0.00	-7.80	0.00	0.00
254.96	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO								
3138AKF79	08/25/2014	08/08/2011	254.96	270.10		0.00	-15.14	0.00	0.00
200.72	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	08/25/2014	11/19/2010	200.72	219.10		0.00	-18.38	0.00	0.00
26.17	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	08/25/2014	06/09/2010	26.17	28.15		0.00	-1.98	0.00	0.00

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2014 Tax Information Statement

Page 63 of 103

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THE GORDON A CAIN FOUNDATION
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508.56	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	08/25/2014	06/09/2010	508.56	550.20		0.00	-41.64	0.00	0.00
714.22	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	08/25/2014	08/08/2011	714.22	736.54		0.00	-22.32	0.00	0.00
11.83	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	08/25/2014	04/04/2011	11.83	12.39		0.00	-0.56	0.00	0.00
181.95	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	08/25/2014	03/26/2013	181.95	200.37		0.00	-18.42	0.00	0.00
8.6	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	08/25/2014	04/04/2011	8.60	8.77		0.00	-0.17	0.00	0.00
1965.33	GE EQUIP TRANSN .62% DUE 07-25-2016								
36163AAD6	08/25/2014	10/16/2012	1,965.33	1,964.99		0.00	0.34	0.00	0.00
795.88	SMALL BUSINESS ADMIN GTD DEV PARTN CTF SER 2013-20C CL 1 2.22								
83162CVK6	03-01-2033 REG								
	09/02/2014	03/07/2013	795.88	795.88		0.00	0.00	0.00	0.00
5000.0	LLOYDS BANK PLC 6.375% DUE 01-21-2021								
539473AH1	09/03/2014	03/14/2013	6,036.95	6,165.65		0.00	-128.70	0.00	0.00
106.0	CMO BEAR STEARNS COMIL MTG SECS TR 2006-PWR13 CL-A4 5.54 DUE								
	09-11-2041 REG								
07388LAE0	09/11/2014	03/14/2013	106.00	119.99		0.00	-13.99	0.00	0.00

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2014 Tax Information Statement

Page 64 of 103

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26.72	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	09/12/2014	11/16/2010	26.72	29.31		0.00	-2.59	0.00	0.00
21122.88	FEDERAL NATL MTG ASSN GTD MTG POOL #A12432 4.5% 05-01-2041 BEO								
3138AFV23	09/12/2014	06/09/2011	22,921.63	22,103.12		0.00	818.51	0.00	0.00
30.5	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	09/12/2014	12/07/2011	30.50	32.66		0.00	-2.16	0.00	0.00
384.69	CMO J P MORGAN CHASE COML MTG SECS TR 2006-C CL ASB 5.79 DUE 06-12-2043 REG								
46627QBB3	09/12/2014	01/11/2010	384.69	404.04		0.00	-19.35	0.00	0.00
245.26	CMO J P MORGAN CHASE COML MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47								
46629YAC3	09/12/2014	10/06/2010	245.26	262.24		0.00	-16.98	0.00	0.00
339.72	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO								
3128MBA87	09/15/2014	04/11/2011	339.72	361.16		0.00	-21.44	0.00	0.00
344.63	FORD CR AUTO LEASE TR 2013-A CL A3.6 DUE 03-15-2016								
34530CAC5	09/15/2014	03/12/2013	344.63	344.60		0.00	0.03	0.00	0.00
180.6	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	09/15/2014	02/23/2011	180.60	185.71		0.00	-5.11	0.00	0.00
38.02	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	09/15/2014	06/27/2011	38.02	40.41		0.00	-2.39	0.00	0.00

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2014 Tax Information Statement

Page 65 of 103

Ref: WXT

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THE NORTHERN TRUST COMPANY
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1409.36	HARLEY DAVIDSON	.68% DUE 04-17-2017							
41283TAC2	09/15/2014	03/22/2013	1,409.36	1,412.88		0.00	-3.52	0.00	0.00
375.01	SMART ABS SER 2013-1US TR CL A-3A .84 DUE 09-14-2016 REG								
78447NAD8	09/15/2014	01/16/2013	375.01	375.00		0.00	0.01	0.00	0.00
10000.0	JPMORGAN CHASE CAP XXIII GTD CAP SECS SER W FLTG DUE 05-15-2077/05-15-2012 REG								
48123UAA2	09/16/2014	03/18/2013	8,212.50	7,901.74		0.00	310.76	0.00	0.00
5000.0	VERIZON 4.6% DUE 04-01-2021								
92343VAX2	09/16/2014	12/01/2011	5,446.60	5,427.30		0.00	19.30	0.00	0.00
19.94	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031 REG								
52108HYK4	09/17/2014	04/30/2013	19.94	20.41		0.00	-0.47	0.00	0.00
41.12	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE 10-15-2044 BEO								
9297667G2	09/17/2014	03/14/2013	41.12	44.85		0.00	-3.73	0.00	0.00
43.65	CMO WACHOVIA BK COML MTG TR 2005-C22 CL A-4 DUE 12-15-2044 REG								
929768BN1	09/17/2014	11/16/2010	43.65	47.31		0.00	-3.66	0.00	0.00
902.07	ALLY AUTO .57% DUE 08-20-2015								
02006GAC8	09/22/2014	09/11/2012	902.07	901.99		0.00	0.08	0.00	0.00
1753.45	VOLKSWAGEN AUTO .87% DUE 07-20-2015								
92867KAC8	09/22/2014	09/17/2012	1,753.45	1,767.28		0.00	-13.83	0.00	0.00

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2014 Tax Information Statement

Page 66 of 103
 Recipient's Name and Address: Ref: WXT
 THE GORDON A CAIN FOUNDATION
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 HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
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1578.03	GE EQUIP TRANSN .62% DUE 07-25-2016								
36163AAD6	09/24/2014	10/16/2012	1,578.03	1,577.75		0.00	0.28	0.00	0.00
9.16	BMW VEH OWNER TR .75999999046% DUE 08-25-2015								
05573WAC9	09/25/2014	09/28/2012	9.16	9.20		0.00	-0.04	0.00	0.00
10.05	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	09/25/2014	07/27/2009	10.05	10.01		0.00	0.04	0.00	0.00
307.27	FEDERAL NATL MTG ASSN GTD MTG POOL #A12432 4.5% 05-01-2041 BEO								
3138AFV23	09/25/2014	06/09/2011	307.27	321.53		0.00	-14.26	0.00	0.00
406.33	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO								
3138AKF79	09/25/2014	08/08/2011	406.33	430.46		0.00	-24.13	0.00	0.00
102.5	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	09/25/2014	08/29/2013	102.50	102.56		0.00	-0.06	0.00	0.00
745.52	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2	09/25/2014	09/24/2013	745.52	769.52		0.00	-24.00	0.00	0.00
174.38	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	09/25/2014	11/19/2010	174.38	190.35		0.00	-15.97	0.00	0.00
26.29	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	09/25/2014	06/09/2010	26.29	28.28		0.00	-1.99	0.00	0.00

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2014 Tax Information Statement

Page 67 of 103
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 Ref: WXT

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173.5	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	09/25/2014	06/09/2010	173.50	187.71		0.00	-14.21	0.00	0.00
1008.24	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	09/25/2014	08/08/2011	1,008.24	1,039.75		0.00	-31.51	0.00	0.00
12.65	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	09/25/2014	04/04/2011	12.65	13.25		0.00	-0.60	0.00	0.00
175.82	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	09/25/2014	03/26/2013	175.82	193.62		0.00	-17.80	0.00	0.00
31.58	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	09/25/2014	04/04/2011	31.58	32.19		0.00	-0.61	0.00	0.00
15000.0	CMO COML MTG TR 2007-GG9 MTG PASSTHRU CTF CL A-4 5.444 DUE 03-10-2039 REG								
20173QAE1	09/26/2014	12/14/2010	16,156.05	15,553.13		0.00	602.92	0.00	0.00
25000.0	COMMERCIAL MTG TR 2007-GG11 MTG PASSTHRU CTF CL A-4 5.736% 10 DEC 2049								
20173VAE0	09/26/2014	05/09/2013	27,385.74	29,083.98		0.00	-1,698.24	0.00	0.00
943.21	SMALL BUSINESS ADMIN SER 2013-20D CL 1 2.08 04-01-2033 REG								
83162CVL4	10/01/2014	04/11/2013	943.21	943.21		0.00	0.00	0.00	0.00
1197.75	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	10/10/2014	12/07/2011	1,197.75	1,282.53		0.00	-84.78	0.00	0.00

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2014 Tax Information Statement

Page 68 of 103

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53.95	CMO BEAR STEARNS COMML MTG SECS TR 2006-PWR13 CL-A4 5.54 DUE 09-11-2041 REG	03/14/2013	53.95	61.07		0.00	-7.12	0.00	0.00
07388LAE0	10/14/2014								
29.35	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	10/14/2014	11/16/2010	29.35	32.19		0.00	-2.84	0.00	0.00
1.47	CMO BEAR STEARNS COMML MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO	01/08/2009	1.47	1.15		0.00	0.32	0.00	0.00
07388VAE8	10/14/2014								
484.97	CMO J P MORGAN CHASE COMML MTG SECS TR 2006-C CL ASB 5.79 DUE 06-12-2043 REG	01/11/2010	484.97	509.37		0.00	-24.40	0.00	0.00
4662QB83	10/14/2014								
18.9	CMO J P MORGAN CHASE COMML MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47	10/06/2010	18.90	20.21		0.00	-1.31	0.00	0.00
46629YAC3	10/14/2014								
359.98	SMART ABS SER 2013-1US TR CL A-3A .84 DUE 09-14-2016 REG					0.00	0.01	0.00	0.00
78447NAD8	10/14/2014	01/16/2013	359.98	359.97		0.00	0.09	0.00	0.00
768.74	ALLY AUTO RECEIVABLES TR 2013-1 ASSET BACKED CTF CL A-3 .68 DUE 05-15-2017	04/03/2013	768.74	768.65		0.00	-31.95	0.00	0.00
02006JAB4	10/15/2014								
506.19	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO					0.00	0.06	0.00	0.00
3128MBA87	10/15/2014	04/11/2011	506.19	538.14		0.00	-31.95	0.00	0.00
581.75	FORD CR AUTO LEASE TR 2013-A CL A3 .6 DUE 03-15-2016					0.00	0.06	0.00	0.00
34530CAC5	10/15/2014	03/12/2013	581.75	581.69		0.00	0.06	0.00	0.00

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2014 Tax Information Statement

Page 69 of 103

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705.49	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	10/15/2014	02/23/2011	705.49	725.44		0.00	-19.95	0.00	0.00
39.23	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	10/15/2014	06/27/2011	39.23	41.69		0.00	-2.46	0.00	0.00
1392.95	HARLEY DAVIDSON .68% DUE 04-17-2017								
41283TAC2	10/15/2014	03/22/2013	1,392.95	1,396.43		0.00	-3.48	0.00	0.00
932.26	ALLY AUTO .57% DUE 08-20-2015								
02006GAC8	10/20/2014	09/11/2012	932.26	932.19		0.00	0.07	0.00	0.00
23.69	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031								
52108HYK4	10/20/2014	04/30/2013	23.69	24.25		0.00	-0.56	0.00	0.00
1211.07	VOLKSWAGEN AUTO .87% DUE 07-20-2015								
92867KAC8	10/20/2014	09/17/2012	1,211.07	1,220.63		0.00	-9.56	0.00	0.00
234.36	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE 10-15-2044 BEO								
9297667G2	10/20/2014	03/14/2013	234.36	255.60		0.00	-21.24	0.00	0.00
572.4	CMO WACHOVIA BK COML MTG TR 2005-C22 CL A-4 DUE 12-15-2044 REG								
929768BN1	10/20/2014	11/16/2010	572.40	620.45		0.00	-48.05	0.00	0.00
1440.7	GEE EQUIP TRANSN .62% DUE 07-25-2016								
36163AAD6	10/24/2014	10/16/2012	1,440.70	1,440.45		0.00	0.25	0.00	0.00

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2014 Tax Information Statement

Page 70 of 103
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 CHICAGO, IL 60680

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Description of property

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11.65	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	10/27/2014	07/27/2009	11.65	11.60		0.00	0.05	0.00	0.00
399.58	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO								
3138AKF79	10/27/2014	08/08/2011	399.58	423.31		0.00	-23.73	0.00	0.00
56.6	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	10/27/2014	08/29/2013	56.60	56.63		0.00	-0.03	0.00	0.00
474.85	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2	10/27/2014	09/24/2013	474.85	490.13		0.00	-15.28	0.00	0.00
193.52	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	10/27/2014	11/19/2010	193.52	211.24		0.00	-17.72	0.00	0.00
1631.67	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	10/27/2014	06/09/2010	1,631.67	1,755.06		0.00	-123.39	0.00	0.00
312.83	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	10/27/2014	06/09/2010	312.83	338.44		0.00	-25.61	0.00	0.00
1256.88	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	10/27/2014	08/08/2011	1,256.88	1,296.16		0.00	-39.28	0.00	0.00
248.93	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	10/27/2014	04/04/2011	248.93	260.79		0.00	-11.86	0.00	0.00

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2014 Tax Information Statement

Page 71 of 103

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

Ref: WXT

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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434.59	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	10/27/2014	03/26/2013	434.59	478.59		0.00	-44.00	0.00	0.00
13.4	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	10/27/2014	04/04/2011	13.40	13.66		0.00	-0.26	0.00	0.00
2264.47	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031								
52108HYK4	11/05/2014	04/30/2013	2,331.00	2,318.26		0.00	12.74	0.00	0.00
48.56	CMO BEAR STEARNS COML MTG SECS TR 2006-PWR13 CL-A4 5.54 DUE 09-11-2041 REG								
07388LAE0	11/12/2014	03/14/2013	48.56	54.97		0.00	-6.41	0.00	0.00
278.84	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	11/12/2014	11/16/2010	278.84	305.85		0.00	-27.01	0.00	0.00
149.18	CMO BEAR STEARNS COML MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO								
07388VAE8	11/12/2014	01/08/2009	149.18	117.00		0.00	32.18	0.00	0.00
489.91	CMO J P MORGAN CHASE COML MTG SECS TR 2006-C CL ASB 5.79 DUE 06-12-2043 REG								
46627QBB3	11/12/2014	01/11/2010	489.91	514.56		0.00	-24.65	0.00	0.00
17.15	CMO J P MORGAN CHASE COML MTG SECS TR 2007-C MTG PASSTHRU DUE 5 44 6-12-47								
46629YAC3	11/12/2014	10/06/2010	17.15	18.34		0.00	-1.19	0.00	0.00
0.01	CMO LB-UBS COML MTG TR SERIES 2004-C1 CL-A4 4.568% DUE 01-15-2031								
52108HYK4	11/12/2014	04/30/2013	0.01	0.01		0.00	0.00	0.00	0.00

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2014 Tax Information Statement

Page 72 of 103

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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Description of property

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2518.87	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	11/13/2014	12/07/2011	2,518.87	2,697.16		0.00	-178.29	0.00	0.00
344.1	SMART ABS SER 2013-1US TR CL A-3A .84 DUE 09-14-2016 REG								
78447NAD8	11/14/2014	01/16/2013	344.10	344.09		0.00	0.01	0.00	0.00
760.35	ALLY AUTO RECEIVABLES TR 2013-1 ASSET BACKED CTF CL A-3.68 DUE 05-15-2017								
02006JAB4	11/17/2014	04/03/2013	760.35	760.26		0.00	0.09	0.00	0.00
538.19	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO								
3128M8A87	11/17/2014	04/11/2011	538.19	572.16		0.00	-33.97	0.00	0.00
615.49	FORD CR AUTO LEASE TR 2013-A CL A3.6 DUE 03-15-2016								
34530CAC5	11/17/2014	03/12/2013	615.49	615.43		0.00	0.06	0.00	0.00
876.74	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	11/17/2014	02/23/2011	876.74	901.53		0.00	-24.79	0.00	0.00
32.25	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	11/17/2014	06/27/2011	32.25	34.28		0.00	-2.03	0.00	0.00
1331.06	HARLEY DAVIDSON .68% DUE 04-17-2017								
41283TAC2	11/17/2014	03/22/2013	1,331.06	1,334.39		0.00	-3.33	0.00	0.00
40.9	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE 10-15-2044 BEO								
9297667G2	11/18/2014	03/14/2013	40.90	44.61		0.00	-3.71	0.00	0.00

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2014 Tax Information Statement

Page 73 of 103

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THE GORDON A CAIN FOUNDATION

8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY

P.O. BOX 803878

CHICAGO, IL 60680

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441.08	CMO WACHOVIA BK COML MTG TR 2005-C22 CL A-4 DUE 12-15-2044 REG								
929768BN1	11/18/2014	11/16/2010	441.08	478.11		0.00	-37.03	0.00	0.00
561.47	ALLY AUTO .57% DUE 08-20-2015								
02006GAC8	11/20/2014	09/11/2012	561.47	561.42		0.00	0.05	0.00	0.00
1063.41	VOLKSWAGEN AUTO .87% DUE 07-20-2015								
92867KAC8	11/20/2014	09/17/2012	1,063.41	1,071.80		0.00	-8.39	0.00	0.00
1841.56	GE EQUIP TRANSN .62% DUE 07-25-2016								
36163AAD6	11/24/2014	Various	1,841.56	1,840.90		0.00	0.66	0.00	0.00
10.15	FNMA POOL #463205 4.6% 09-01-2019 BEO								
31381KR27	11/25/2014	07/27/2009	10.15	10.11		0.00	0.04	0.00	0.00
325.87	FEDERAL NATL MTG ASSN GTD MTG POOL #A15589 4.5% 07-01-2041 BEO								
3138AKF79	11/25/2014	08/08/2011	325.87	345.22		0.00	-19.35	0.00	0.00
40.67	FNMA POOL #AS0353 3.5% 09-01-2043 BEO								
3138W9MB3	11/25/2014	08/29/2013	40.67	40.69		0.00	-0.02	0.00	0.00
557.18	FNMA POOL #AU6416 3% 09-01-2028 BEO								
3138X6DW2	11/25/2014	09/24/2013	557.18	575.11		0.00	-17.93	0.00	0.00
225.34	FNMA POOL #889691 6% 07-01-2038 BEO								
31410KNG5	11/25/2014	11/19/2010	225.34	245.97		0.00	-20.63	0.00	0.00

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Page 74 of 103
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24.25	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	11/25/2014	06/09/2010	24.25	26.08		0.00	-1.83	0.00	0.00
502.11	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	11/25/2014	06/09/2010	502.11	543.22		0.00	-41.11	0.00	0.00
923.78	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	11/25/2014	08/08/2011	923.78	952.65		0.00	-28.87	0.00	0.00
194.35	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	11/25/2014	04/04/2011	194.35	203.61		0.00	-9.26	0.00	0.00
308.53	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	11/25/2014	03/26/2013	308.53	339.77		0.00	-31.24	0.00	0.00
2.48	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	11/25/2014	04/04/2011	2.48	2.53		0.00	-0.05	0.00	0.00
5000.0	UNITED STATES OF AMER TREAS BONDS 2.75% BDS 15 AUG 2042								
912810QX9	USD100 BONDS 08/42 12/01/2014 09/12/2013		4,825.00	4,069.86		0.00	755.14	0.00	0.00
8470.9	ALLY AUTO RECEIVABLES TR 2013-1 ASSET BACKED CTF CL A-3.68 DUE 05-15-2017								
02006JAB4	12/09/2014 04/03/2013		8,460.32	8,469.94		0.00	-9.62	0.00	0.00
5000.0	BRITISH TELECOMMUNICATIONS P L C NT STEPUP 12-15-2030 12-12-2000								
111021AE1	12/09/2014 01/29/2010		7,855.20	6,404.40		0.00	1,450.80	0.00	0.00

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2014 Tax Information Statement

Page 75 of 103

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5000.0	CITIGROUP INC 4.5% DUE 01-14-2022								
172967FT3	12/09/2014	02/05/2013	5,461.55	5,495.35		0.00	-33.80	0.00	0.00
11000.0	FHLMC MULTICLASS SER K706 CLA2 2.323 10-25-2018								
3137AL6V6	12/09/2014	02/09/2012	11,236.33	11,164.82		0.00	71.51	0.00	0.00
32537.9	SMALL BUSINESS ADMIN SER 2013-20D CL 1 2.08 04-01-2033 REG								
83162CVL4	12/09/2014	04/11/2013	31,163.94	32,537.90		0.00	-1,373.96	0.00	0.00
15000.0	UNITED STATES TREAS 8D STRIPPED PRIN PMT11-15-2041 REG								
912803DU4	12/09/2014	Various	6,856.65	5,637.08		0.00	1,219.57	0.00	0.00
10000.0	UNITED STATES TREAS NTS DTD 11/30/2013 .25% 30 NOV 2015								
912828A26	12/09/2014	11/29/2013	10,005.08	9,992.97		0.00	12.11	0.00	0.00
11000.0	APACHE CORP 3.25 DUE 04-15-2022 REG								
037411AZ8	12/10/2014	Various	10,882.85	11,126.02		0.00	-243.17	0.00	0.00
5000.0	CSX CORP 4.75% DUE 05-30-2042								
126408GW7	12/10/2014	11/02/2011	5,339.50	5,213.05		0.00	126.45	0.00	0.00
7000.0	UNITED STATES TREAS 8D STRIPPED PRIN PMT11-15-2041 REG								
912803DU4	12/10/2014	09/30/2013	3,201.94	2,453.20		0.00	748.74	0.00	0.00
63.0	CMO BEAR STEARNS COM1 MTG SECS TR 2006-PWR13 CL-A4 5.54 DUE 09-11-2041 REG								
07388LAE0	12/11/2014	03/14/2013	63.00	71.31		0.00	-8.31	0.00	0.00

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29.29	CMO BEAR STEARNS TR 2006-TP24 MTG PSSTHRU CTF CL A-4 10-12-2041								
07388NAE6	12/12/2014	11/16/2010	29.29	32.13		0.00	-2.84	0.00	0.00
11.49	CMO BEAR STEARNS COML MTG SECS TR 2007-TOP26 CL A4 FLT RT 1-12-2045 BEO								
07388VAE8	12/12/2014	01/08/2009	11.49	9.01		0.00	2.48	0.00	0.00
1032.37	CMO J P MORGAN CHASE COML MTG SECS TR 2006-C CL ASB 5 79 DUE 06-12-2043 REG								
46627QBB3	12/12/2014	01/11/2010	1,032.37	1,084.31		0.00	-51.94	0.00	0.00
19.08	CMO J P MORGAN CHASE COML MTG SECS TR 2007-C MTG PASSTHRU DUE 5.44 6-12-47								
46629YAC3	12/12/2014	10/06/2010	19.08	20.40		0.00	-1.32	0.00	0.00
10000.0	UNITED STATES TREAS NTS DTD 11/30/2013 .25% 30 NOV 2015								
912828A26	12/12/2014	11/29/2013	10,001.95	9,992.97		0.00	8.98	0.00	0.00
405.83	FEDERAL HOME LN MTG CORP POOL #G06031 5.5% 03-01-2040 BEO								
3128M8A87	12/15/2014	04/11/2011	405.83	431.45		0.00	-25.62	0.00	0.00
439.94	FORD CR AUTO LEASE TR 2013-A CL A3 .6 DUE 03-15-2016								
34530CAC5	12/15/2014	03/12/2013	439.94	439.90		0.00	0.04	0.00	0.00
553.05	GNMA POOL #730990 4.5% 01-15-2040 BEO								
3620AJC31	12/15/2014	02/23/2011	553.05	568.69		0.00	-15.64	0.00	0.00
46.57	GNMA POOL #783276 4.5% 03-15-2041 BEO								
36241LT97	12/15/2014	06/27/2011	46.57	49.49		0.00	-2.92	0.00	0.00

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2014 Tax Information Statement

Page 77 of 103

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1106.38	HARLEY DAVIDSON .68% DUE 04-17-2017								
41283TAC2	12/15/2014	03/22/2013	1,106.38	1,109.15		0.00	-2.77	0.00	0.00
275.06	SMART ABS SER 2013-IUS TR CL A-3A .84 DUE 09-14-2016 REG								
78447NAD8	12/15/2014	01/16/2013	275.06	275.05		0.00	0.01	0.00	0.00
0.01	ALLY AUTO RECEIVABLES TR 2013-1 ASSET BACKED CTF CL A-3 .68 DUE 05-15-2017								
02006JAB4	12/16/2014	04/03/2013	0.01	0.01		0.00	0.00	0.00	0.00
5000.0	DEUTSCHE TELEKOM STEP CPN 8.75% DUE 06-15-2030								
25156PAC7	12/16/2014	04/15/2009	7,354.05	5,829.05		0.00	1,525.00	0.00	0.00
5000.0	TIME WARNER CABLE 6.55% DUE 05-01-2037 05-01-2037 REG								
88732JAJ7	12/16/2014	01/29/2010	6,352.75	5,171.75		0.00	1,181.00	0.00	0.00
15000.0	AT&T INC SR NT FLTG RATE DUE 02-12-2016 REG								
00206RBS0	12/17/2014	Various	14,993.85	15,049.57		0.00	-55.72	0.00	0.00
44.17	CMO WACHOVIA BK COML MTG TR SER 2005-C21CL A4 FLT RT DUE 10-15-2044 BEO								
9297667G2	12/17/2014	03/14/2013	44.17	48.17		0.00	-4.00	0.00	0.00
46.33	CMO WACHOVIA BK COML MTG TR 2005-C22 CL A-4 DUE 12-15-2044 REG								
92976BBN1	12/17/2014	11/16/2010	46.33	50.22		0.00	-3.89	0.00	0.00
2370.17	CMO GS MTG SECS CORP II 2005-GG4 CL A-4A4.751% DUE 07-10-2039 REG								
36228CVU4	12/18/2014	12/07/2011	2,370.17	2,537.93		0.00	-167.76	0.00	0.00

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2014 Tax Information Statement

Page 78 of 103

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5000.0	VERIZON NEW YORK 7.375% DUE 04-01-2032	04-01-2032	04-01-2032	03-31-2032 BEO					
92344XAB5	12/18/2014	04/24/2013	6,229.10	6,577.60		0.00	-348.50	0.00	0.00
5000.0	MCDONALDS CORP 2.625 DUE 01-15-2022	REG							
58013MEM2	12/23/2014	09/29/2011	4,940.25	4,932.05		0.00	8.20	0.00	0.00
10000.0	MORGAN STANLEY GLOBAL MEDIUM TERM NT SERF 6.625% DUE	04-01-2018/04-01-2008							
6174466Q7	12/23/2014	10/29/2008	11,368.90	9,251.64		0.00	2,117.26	0.00	0.00
1257.81	GE EQUIP TRANSN .62% DUE 07-25-2016								
36163AAD6	12/24/2014	03/21/2013	1,257.81	1,256.93		0.00	0.88	0.00	0.00
11.75	FNMA POOL #463205 4.6% 09-01-2019	BEO							
31381KR27	12/26/2014	07/27/2009	11.75	11.70		0.00	0.05	0.00	0.00
370.64	FEDERAL NATL MTG ASSN GTD MTG POOL #AI5589 4.5% 07-01-2041	BEO							
3138AKF79	12/26/2014	08/08/2011	370.64	392.65		0.00	-22.01	0.00	0.00
298.5	FNMA POOL #AS0353 3.5% 09-01-2043	BEO							
3138W9MB3	12/26/2014	08/29/2013	298.50	298.66		0.00	-0.16	0.00	0.00
455.37	FNMA POOL #AU6416 3% 09-01-2028	BEO							
3138X6DW2	12/26/2014	09/24/2013	455.37	470.03		0.00	-14.66	0.00	0.00
150.55	FNMA POOL #889691 6% 07-01-2038	BEO							
31410KNG5	12/26/2014	11/19/2010	150.55	164.33		0.00	-13.78	0.00	0.00

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Page 79 of 103

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CHICAGO, IL 60680

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Code if any	Adjustments	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
24.33	FNMA POOL #932268 5.5% 11-01-2039 BEO								
31412QW54	12/26/2014	06/09/2010	24.33	26.17		0.00	-1.84	0.00	0.00
230.82	FNMA POOL #983363 6% 08-01-2038 BEO								
31415LML8	12/26/2014	06/09/2010	230.82	249.72		0.00	-18.90	0.00	0.00
842.44	FNMA POOL #AB2270 4% 02-01-2041 BEO								
31416XQY9	12/26/2014	08/08/2011	842.44	868.77		0.00	-26.33	0.00	0.00
148.91	FNMA POOL #AD4333 5% 03-01-2040 BEO								
31418RY70	12/26/2014	04/04/2011	148.91	156.01		0.00	-7.10	0.00	0.00
319.83	FNMA POOL #AD6942 5% 06-01-2040 BEO								
31418UWC4	12/26/2014	03/26/2013	319.83	352.21		0.00	-32.38	0.00	0.00
10.52	FNMA POOL #AE1589 4.5% 10-01-2040 BEO								
31419BXT7	12/26/2014	04/04/2011	10.52	10.72		0.00	-0.20	0.00	0.00
Total Long Term Sales			761,667.45	752,778.69		0.00	8,888.76	0.00	0.00
Unknown Term Sales									
0.0	ALLY AUTO RECEIVABLES TR 2013-1 ASSET BACKED CTF CL A-3 .68 DUE 05-15-2017								
02006JAB4	12/15/2014	Various	0.00	0.00U		0.00	0.00	0.00	0.00
Total Unknown Term Sales			0.00	0.00		0.00	0.00	0.00	0.00

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2014 Tax Information Statement

Page 7 of 33

Ref: WXT

Recipient's Name and Address:

THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

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2014 Proceeds from Broker and Barter Exchange Transactions

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Cusp Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Code if any	Adjustments	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
Short Term Sales									
SEADRILL LTD COM STK									
G7945E105	03/14/2014	08/29/2013	77,228.44	106,115.80		0.00	-28,887.36	0.00	0.00
AGL RES INC									
001204106	06/03/2014	11/01/2013	2,437.94	2,197.13		0.00	240.81	0.00	0.00
CAMPBELL SOUP CO									
134429109	06/03/2014	12/18/2013	1,909.27	1,785.53		0.00	123.74	0.00	0.00
CHEVRONTXACO CORP COM									
166764100	06/03/2014	12/13/2013	4,293.35	4,215.93		0.00	77.42	0.00	0.00
COCA COLA CO									
191216100	06/03/2014	04/23/2014	1,965.31	1,953.07		0.00	12.24	0.00	0.00
CONOCOPHILLIPS									
20825C104	06/03/2014	12/13/2013	4,859.15	4,265.67		0.00	593.48	0.00	0.00
DOMINION RES INC VA NEW									
25746U109	06/03/2014	06/17/2013	2,517.06	2,039.36		0.00	477.70	0.00	0.00
EQTY RESDNTL EFF 5/15/02 TO EQTY RESDNTL 29476L107 EFF 5/15/02									
29476L107	06/03/2014	05/13/2014	931.32	934.40		0.00	-3.08	0.00	0.00
GENERAL ELECTRIC CO									
369604103	06/03/2014	12/18/2013	4,999.33	5,095.82		0.00	-96.49	0.00	0.00

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2014 Tax Information Statement

Page 8 of 33
Ref: WXT

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INTERNATIONAL PAPER CO									
460146103	06/03/2014	10/17/2013	1,477.11	1,402.50		0.00	74.61	0.00	0.00
LORILLARD INC COM STK									
544147101	06/03/2014	10/17/2013	1,783.16	1,424.89		0.00	358.27	0.00	0.00
MERCK & CO INC									
58933Y105	06/03/2014	06/17/2013	2,488.35	2,054.87		0.00	433.48	0.00	0.00
NEXTERA ENERGY INC COM									
65339F101	06/03/2014	01/10/2014	1,360.20	1,219.95		0.00	140.25	0.00	0.00
PEOPLES UTD FINL INC COM									
712704105	06/03/2014	11/21/2013	1,423.90	1,456.53		0.00	-32.63	0.00	0.00
PROCTER & GAMBLE CO									
742718109	06/03/2014	11/01/2013	2,796.43	2,836.71		0.00	-40.28	0.00	0.00
REPUBLIC SVCS INC									
760759100	06/03/2014	11/07/2013	1,488.44	1,437.09		0.00	51.35	0.00	0.00
TUPPERWARE CORP									
899896104	06/03/2014	01/30/2014	1,573.35	1,520.07		0.00	53.28	0.00	0.00
UNITED PARCEL SERVICE INC CL B									
911312106	06/03/2014	08/12/2013	1,653.24	1,404.56		0.00	248.68	0.00	0.00

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2014 Tax Information Statement

Page 9 of 33
Ref: WXT

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WAL MART STORES INC									
931142103	06/03/2014	08/16/2013	2,150.35	2,076.94		0.00	73.41	0.00	0.00
WASTE MGMT INC DEL									
94106L109	06/03/2014	06/17/2013	1,509.56	1,378.69		0.00	130.87	0.00	0.00
WILLIAMS COS INC									
969457100	06/03/2014	04/23/2014	1,640.76	1,482.99		0.00	157.77	0.00	0.00
WAL MART STORES INC									
931142103	06/17/2014	Various	162,718.41	159,451.22		0.00	3,267.19	0.00	0.00
VERITIV CORP COM									
923454102	07/02/2014	10/17/2013	31.05	27.40		0.00	3.65	0.00	0.00
VERITIV CORP COM									
923454102	07/15/2014	10/17/2013	1,724.79	1,522.39		0.00	202.40	0.00	0.00
TUPPERWARE CORP									
899896104	07/23/2014	01/30/2014	106,841.01	111,045.42		0.00	-4,204.41	0.00	0.00
CAMPBELL SOUP CO									
134429109	10/09/2014	Various	77,984.85	76,392.66		0.00	1,592.19	0.00	0.00
CAMPBELL SOUP CO									
134429109	10/10/2014	12/12/2013	58,175.76	56,416.92		0.00	1,758.84	0.00	0.00

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2014 Tax Information Statement

Page 10 of 33

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HOUSTON, TX 77046-0892

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BP AMOCO P L C SPONSORED ADR									
055622104	10/24/2014	Various	123,910.25	153,770.82		0.00	-29,860.57	0.00	0.00
BAXTER INTL INC									
071813109	11/10/2014	07/23/2014	113,671.21	123,902.67		0.00	-10,231.46	0.00	0.00
CALIFORNIA RES CORP COM									
13057Q107	12/01/2014	06/19/2014	4.79	7.19		0.00	-2.40	0.00	0.00
ALLSTATE CORP DEP SH REPSTG 1/1000TH PERP PFD SER E									
020002879	12/05/2014	09/15/2014	1,072.12	1,058.61		0.00	13.51	0.00	0.00
CAP 1 FINL CORP DEPOSITARY SHS REPSTG 1/40TH INT PERP PFD SER C									
14040H600	12/05/2014	12/03/2014	291.83	295.11		0.00	-3.28	0.00	0.00
CHEVRONTEXACO CORP COM									
166764100	12/05/2014	12/13/2013	4,887.41	5,300.02		0.00	-412.61	0.00	0.00
COCA COLA CO									
191216100	12/05/2014	04/23/2014	3,044.23	2,848.22		0.00	196.01	0.00	0.00
CONOCOPHILLIPS									
20825C104	12/05/2014	12/13/2013	5,153.44	5,314.60		0.00	-161.16	0.00	0.00
ADR DIAGEO PLC SPONSORED ADR NEW									
25243Q205	12/05/2014	10/08/2014	2,083.64	1,917.58		0.00	166.06	0.00	0.00

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2014 Tax Information Statement

Page 11 of 33
 Recipient's Name and Address:
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 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892
 Ref: WXT

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DIGITAL RLTY TR INC COM									
253868103	12/05/2014	11/10/2014	2,656.23	2,674.65		0.00	-18.42	0.00	0.00
EPR PPTYs COM SH BEN INT COM SH BEN INT									
26884U109	12/05/2014	06/03/2014	2,020.63	1,972.45		0.00	48.18	0.00	0.00
EQTY RESDNTL EFF 5/15/02 TO EQTY RESDNTL 29476L107 EFF 5/15/02									
29476L107	12/05/2014	05/13/2014	2,179.87	1,931.08		0.00	248.79	0.00	0.00
GENERAL ELECTRIC CO									
369604103	12/05/2014	12/18/2013	5,447.27	5,722.58		0.00	-275.31	0.00	0.00
GOLDMAN SACHS DEPOSITARY SHS REPSTG 1/1000TH PERP PFD SER I 5.95%									
38145G209	12/05/2014	09/22/2014	585.58	580.79		0.00	4.79	0.00	0.00
HASBRO INC									
418056107	12/05/2014	11/11/2014	2,508.38	2,502.97		0.00	5.41	0.00	0.00
INTL BUSINESS MACHINES CORP									
459200101	12/05/2014	10/28/2014	1,792.74	1,784.42		0.00	8.32	0.00	0.00
INTERNATIONAL PAPER CO									
460146103	12/05/2014	11/11/2014	2,474.94	2,410.47		0.00	64.47	0.00	0.00
JPMORGAN CHASE & DEPOSITARY SHS REPSTG 1/400TH PFD SER O									
48126E750	12/05/2014	07/29/2014	615.14	605.08		0.00	10.06	0.00	0.00

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2014 Tax Information Statement

Page 12 of 33
Ref: WXT

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JPMORGAN CHASE & DEPOSITARY SH REPSTG 1/400TH PFD SER T 6.70%									
48127A161	12/05/2014	10/09/2014	494.93	491.48		0.00	3.45	0.00	0.00
KINDER MORGAN INC DEL COM									
49456B101	12/05/2014	12/03/2014	1,975.63	2,004.86		0.00	-29.23	0.00	0.00
LEGGETT & PLATT INC									
524660107	12/05/2014	09/10/2014	5,105.58	4,322.07		0.00	783.51	0.00	0.00
MAXIM INTEGRATED PRODS INC									
57772K101	12/05/2014	07/25/2014	4,787.26	4,439.16		0.00	348.10	0.00	0.00
ADR NATIONAL GRID TRANSPO PLC SPONSORED ADR NEW									
636274300	12/05/2014	08/15/2014	1,955.56	1,978.13		0.00	-22.57	0.00	0.00
NATIONAL RETAIL PPTYS INC COM STK									
637417106	12/05/2014	11/10/2014	2,569.66	2,640.41		0.00	-70.75	0.00	0.00
NEXTERA ENERGY INC COM									
65339F101	12/05/2014	01/10/2014	2,152.45	1,829.92		0.00	322.53	0.00	0.00
OCCIDENTAL PETROLEUM CORP									
674599105	12/05/2014	06/19/2014	1,793.40	2,190.48		0.00	-397.08	0.00	0.00
PAYCHEX INC									
704326107	12/05/2014	10/09/2014	2,271.78	2,117.98		0.00	153.80	0.00	0.00

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2014 Tax Information Statement

Page 13 of 33
Ref: WXT

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CHICAGO, IL 60680

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PEOPLES UTD FINL INC COM									
712704105	12/05/2014	09/08/2014	4,045.77	4,109.31		0.00	-63.54	0.00	0.00
PROCTER & GAMBLE CO									
742718109	12/05/2014	11/10/2014	4,877.17	4,819.26		0.00	57.91	0.00	0.00
SIMON PPTY GROUP INC NEW									
828806109	12/05/2014	11/10/2014	2,349.17	2,351.97		0.00	-2.80	0.00	0.00
WEINGARTEN RLTY INVS COM									
948741103	12/05/2014	10/24/2014	1,875.37	1,888.21		0.00	-12.84	0.00	0.00
WILLIAMS COS INC									
969457100	12/05/2014	04/23/2014	2,910.37	2,457.52		0.00	452.85	0.00	0.00
CALIFORNIA RES CORP COM									
130570107	12/08/2014	Various	3,254.08	4,828.39		0.00	-1,574.31	0.00	0.00
Total Short Term Sales			846,779.77	910,222.97		0.00	-63,443.20	0.00	0.00

Long Term Sales

TIME WARNER CABLE INC COM

88732J207	01/30/2014	11/19/2012	134,489.15	92,426.14		0.00	42,063.01	0.00	0.00
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2014 Tax Information Statement

Page 14 of 33
Ref: WXT

Recipient's Name and Address:
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CONAGRA INC									
205887102	02/13/2014	10/24/2012	97,676.10	94,883.98		0.00	2,792.12	0.00	0.00
MEADWESTVACO CORP									
583334107	05/16/2014	Various	31,838.01	18,365.01		0.00	13,473.00	0.00	0.00
MEADWESTVACO CORP									
583334107	05/16/2014	Various	98,005.69	66,118.32		0.00	31,887.37	0.00	0.00
AT&T INC									
00206R102	06/03/2014	04/01/2011	4,791.17	4,162.96		0.00	628.21	0.00	0.00
ABBVIE INC COM USD0.01									
00287Y109	06/03/2014	02/19/2013	1,903.25	1,326.95		0.00	576.30	0.00	0.00
ALTRIA GROUP INC									
02209S103	06/03/2014	12/12/2011	8,166.30	5,702.40		0.00	2,463.90	0.00	0.00
BRISTOL MYERS SQUIBB CO									
110122108	06/03/2014	12/12/2011	2,496.90	1,689.63		0.00	807.27	0.00	0.00
CDN IMPERIAL BK COMM TORONTO ONT COM STKCOM									
136069101	06/03/2014	03/28/2013	1,499.87	1,327.28		0.00	172.59	0.00	0.00
CENTERPOINT ENERGY INC COM									
15189T107	06/03/2014	03/08/2013	3,263.92	2,962.23		0.00	301.69	0.00	0.00

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2014 Tax Information Statement

Page 15 of 33

Ref: WXT

Recipient's Name and Address:

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8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

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CISCO SYS INC									
17275R102	06/03/2014	08/30/2012	1,583.96	1,210.06		0.00	373.90	0.00	0.00
DOW CHEMICAL CO									
260543103	06/03/2014	01/07/2013	2,895.13	1,844.93		0.00	1,050.20	0.00	0.00
DR PEPPER SNAPPLE GROUP INC COM STK									
26138E109	06/03/2014	05/09/2012	1,653.83	1,188.54		0.00	465.29	0.00	0.00
E I DU PONT DE NEMOURS & CO									
263534109	06/03/2014	04/01/2011	1,859.71	1,485.54		0.00	374.17	0.00	0.00
DUKE ENERGY CORP NEW COM NEW COM NEW									
26441C204	06/03/2014	03/07/2013	4,031.52	3,971.94		0.00	59.58	0.00	0.00
EXXON MOBIL CORP									
30231G102	06/03/2014	05/09/2012	1,811.65	1,505.54		0.00	306.11	0.00	0.00
GENUINE PARTS CO									
372460105	06/03/2014	12/12/2011	1,709.36	1,165.30		0.00	544.06	0.00	0.00
GLAXO PLC									
37733W105	06/03/2014	12/12/2011	2,021.55	1,694.04		0.00	327.51	0.00	0.00
HASBRO INC									
418056107	06/03/2014	08/10/2012	131,442.46	96,010.35		0.00	35,432.11	0.00	0.00

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2014 Tax Information Statement

Page 16 of 33

Ref: WXT

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8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

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INTEL CORP COM									
458140100	06/03/2014	12/12/2011	2,673.26	2,320.24		0.00	353.02	0.00	0.00
MFC ISHARES TR IBXX USD INVT GRADE CORPBD ETF									
464287242	06/03/2014	03/28/2013	3,545.32	3,597.65		0.00	-52.33	0.00	0.00
MFC ISHARES IBXX \$ HIGH YIELD CORPORATEBOND ETF									
464288513	06/03/2014	03/08/2011	3,583.70	3,496.38		0.00	87.32	0.00	0.00
MFC ISHARES U.S PREFERRED STOCK ETF									
464288687	06/03/2014	03/28/2013	3,277.59	3,362.99		0.00	-85.40	0.00	0.00
J P MORGAN CHASE & CO									
46625H100	06/03/2014	05/14/2012	2,220.75	1,451.27		0.00	769.48	0.00	0.00
JOHNSON & JOHNSON									
478160104	06/03/2014	02/14/2013	1,742.29	1,289.81		0.00	452.48	0.00	0.00
KIMBERLY CLARK CORP									
494368103	06/03/2014	12/12/2011	2,334.72	1,464.54		0.00	870.18	0.00	0.00
KRAFT FOODS GROUP INC COM									
50076Q106	06/03/2014	03/07/2013	2,042.90	1,717.93		0.00	324.97	0.00	0.00
ELI LILLY & CO									
532457108	06/03/2014	12/12/2011	2,905.14	1,904.14		0.00	1,001.00	0.00	0.00

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2014 Tax Information Statement

Page 17 of 33

Ref: WXT

Recipient's Name and Address:
THE GORDON A CAIN FOUNDATION
8 GREENWAY PLZ STE 606
HOUSTON, TX 77046-0892

THE NORTHERN TRUST COMPANY
P.O. BOX 803878
CHICAGO, IL 60680

☐ Corrected

☐ 2nd TIN notice

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Description of property

Cusp Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Code if any	Adjustments	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
LOCKHEED MARTIN CORP									
539830109	06/03/2014	09/27/2011	1,803.08	818.78		0.00	984.30	0.00	0.00
MCDONALDS CORP									
580135101	06/03/2014	03/28/2013	2,232.95	2,192.56		0.00	40.39	0.00	0.00
MICROSOFT CORP COM									
594918104	06/03/2014	07/19/2011	2,419.14	1,656.00		0.00	763.14	0.00	0.00
PFIZER INC									
717081103	06/03/2014	04/01/2011	3,432.36	2,361.76		0.00	1,070.60	0.00	0.00
PHILIP MORRIS INTERNATIONAL									
718172109	06/03/2014	12/12/2011	4,481.27	3,826.02		0.00	655.25	0.00	0.00
REYNOLDS AMERICAN INC COM									
761713106	06/03/2014	12/12/2011	7,150.73	4,859.36		0.00	2,291.37	0.00	0.00
ADR ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG B SHS									
780259107	06/03/2014	04/01/2011	4,224.74	3,758.19		0.00	466.55	0.00	0.00
SONOCO PRODUCTS CO									
835495102	06/03/2014	03/19/2013	1,646.15	1,331.47		0.00	314.68	0.00	0.00
SYSCO CORP									
871829107	06/03/2014	07/19/2011	1,527.21	1,276.33		0.00	250.88	0.00	0.00

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2014 Tax Information Statement

Page 18 of 33

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Description of property

Cusip Number	Date Sold or Disposed	Date Acquired	Proceeds	Cost or Other Basis	Code if any	Adjustments	Net Gain or Loss	Federal Income Tax Withheld	State Tax Withheld
TEXAS INSTRUMENTS INC									
882508104	06/03/2014	03/08/2013	1,743.77	1,296.12		0.00	447.65	0.00	0.00
VERIZON COMMUNICATIONS									
92343V104	06/03/2014	04/01/2011	5,468.84	4,262.39		0.00	1,206.45	0.00	0.00
WELLS FARGO & CO NEW									
949746101	06/03/2014	05/09/2013	2,451.30	1,838.57		0.00	612.73	0.00	0.00
BRISTOL MYERS SQUIBB CO									
110122108	06/09/2014	Various	52,828.58	23,946.70		0.00	28,881.88	0.00	0.00
BRISTOL MYERS SQUIBB CO									
110122108	06/09/2014	Various	129,763.42	79,640.53		0.00	50,122.89	0.00	0.00
GLAXO PLC									
37733W105	07/25/2014	Various	25,222.79	20,568.79		0.00	4,654.00	0.00	0.00
GLAXO PLC									
37733W105	07/25/2014	Various	117,706.35	98,661.06		0.00	19,045.29	0.00	0.00
CDN IMPERIAL BK COMM TORONTO ONT COM STKCOM									
136069101	08/15/2014	Various	123,162.52	100,826.81		0.00	22,335.71	0.00	0.00
ALTRIA GROUP INC									
022095103	09/10/2014	Various	64,564.42	42,227.27		0.00	22,337.15	0.00	0.00

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2014 Tax Information Statement

Page 19 of 33

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Description of property

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MFC ISHARES TR IBOXX USD INVT GRADE CORPBD ETF									
464287242	09/10/2014	07/19/2011	3,668.10	3,454.64		0.00	213.46	0.00	0.00
MFC ISHARES TR IBOXX USD INVT GRADE CORPBD ETF									
464287242	09/10/2014	Various	73,716.89	73,705.98		0.00	10.91	0.00	0.00
DR PEPPER SNAPPLE GROUP INC COM STK									
26138E109	10/08/2014	Various	141,174.54	87,427.99		0.00	53,746.55	0.00	0.00
SONOCO PRODUCTS CO									
835495102	10/15/2014	03/19/2013	111,587.88	102,352.31		0.00	9,235.57	0.00	0.00
ALTRIA GROUP INC									
02209S103	10/24/2014	07/19/2011	38,625.02	22,077.74		0.00	16,547.28	0.00	0.00
MERCK & CO INC									
58933Y105	10/28/2014	12/10/2010	37,529.65	24,822.52		0.00	12,707.13	0.00	0.00
MERCK & CO INC									
58933Y105	10/28/2014	06/17/2013	20,229.13	17,824.82		0.00	2,404.31	0.00	0.00
HALYARD HEALTH INC COM									
40650V100	11/03/2014	12/12/2011	9.23	5.75		0.00	3.48	0.00	0.00
GENUINE PARTS CO									
372460105	11/10/2014	Various	44,139.28	22,600.77		0.00	21,538.51	0.00	0.00

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Page 20 of 33
Ref: WXT

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GENUINE PARTS CO									
372460105	11/10/2014	Various	108,260.53	60,217.89		0.00	48,042.64	0.00	0.00
HALYARD HEALTH INC COM									
40650V100	11/17/2014	Various	2,193.35	1,197.75		0.00	995.60	0.00	0.00
HALYARD HEALTH INC COM									
40650V100	11/17/2014	Various	5,380.25	3,155.07		0.00	2,225.18	0.00	0.00
AGL RES INC									
001204106	12/05/2014	11/01/2013	2,979.69	2,674.76		0.00	304.93	0.00	0.00
AT&T INC									
00206R102	12/05/2014	04/01/2011	5,715.45	5,173.09		0.00	542.36	0.00	0.00
ABBVIE INC COM USD0.01									
00287Y109	12/05/2014	02/19/2013	2,999.18	1,630.25		0.00	1,368.93	0.00	0.00
ALTRIA GROUP INC									
02209S103	12/05/2014	07/19/2011	10,862.75	5,748.85		0.00	5,113.90	0.00	0.00
CENTERPOINT ENERGY INC COM									
15189T107	12/05/2014	03/08/2013	3,966.34	3,681.01		0.00	285.33	0.00	0.00
CISCO SYS INC									
17275R102	12/05/2014	08/30/2012	2,192.75	1,512.58		0.00	680.17	0.00	0.00

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2014 Tax Information Statement

Page 21 of 33
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 8 GREENWAY PLZ STE 606
 HOUSTON, TX 77046-0892
 Ref: WXT

THE NORTHERN TRUST COMPANY
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DOMINION RES INC VA NEW									
25746U109	12/05/2014	06/17/2013	3,310.08	2,605.85		0.00	704.23	0.00	0.00
DOW CHEMICAL CO									
260543103	12/05/2014	01/07/2013	3,474.07	2,314.55		0.00	1,159.52	0.00	0.00
E I DU PONT DE NEMOURS & CO									
263534109	12/05/2014	04/01/2011	2,409.60	1,815.66		0.00	593.94	0.00	0.00
DUKE ENERGY CORP NEW COM NEW									
26441C204	12/05/2014	03/07/2013	5,639.77	4,877.82		0.00	761.95	0.00	0.00
EXXON MOBIL CORP									
30231G102	12/05/2014	05/09/2012	2,063.99	1,840.11		0.00	223.88	0.00	0.00
INTEL CORP COM									
458140100	12/05/2014	12/12/2011	4,501.10	2,870.40		0.00	1,630.70	0.00	0.00
MFC ISHARES TR IBOXX USD INVT GRADE CORPBD ETF									
464287242	12/05/2014	Various	5,333.73	4,956.09		0.00	377.64	0.00	0.00
MFC ISHARES IBOXX \$ HIGH YIELD CORPORATEBOND ETF									
464288513	12/05/2014	03/08/2011	4,328.06	4,416.48		0.00	-88.42	0.00	0.00
MFC ISHARES U.S PREFERRED STOCK ETF									
464288687	12/05/2014	03/28/2013	4,091.26	4,213.87		0.00	-122.61	0.00	0.00

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Page 22 of 33
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J P MORGAN CHASE & CO									
46625H100	12/05/2014	05/14/2012	3,066.35	1,777.81		0.00	1,288.54	0.00	0.00
JOHNSON & JOHNSON									
478160104	12/05/2014	02/14/2013	2,278.44	1,593.29		0.00	685.15	0.00	0.00
KIMBERLY CLARK CORP									
494368103	12/05/2014	12/12/2011	2,966.79	1,738.48		0.00	1,228.31	0.00	0.00
KRAFT FOODS GROUP INC COM									
50076Q106	12/05/2014	03/07/2013	2,578.65	2,110.59		0.00	468.06	0.00	0.00
ELI LILLY & CO									
532457108	12/05/2014	12/12/2011	4,306.10	2,331.60		0.00	1,974.50	0.00	0.00
LOCKHEED MARTIN CORP									
539830109	12/05/2014	09/27/2011	2,849.18	1,116.52		0.00	1,732.66	0.00	0.00
LORILLARD INC COM STK									
544147101	12/05/2014	10/17/2013	2,350.92	1,757.37		0.00	593.55	0.00	0.00
MCDONALDS CORP									
580135101	12/05/2014	03/28/2013	2,694.10	2,790.52		0.00	-96.42	0.00	0.00
MERCCK & CO INC									
58933Y105	12/05/2014	12/10/2010	2,269.15	1,327.22		0.00	941.93	0.00	0.00

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THE GORDON A CAIN FOUNDATION

8 GREENWAY PLZ STE 606

HOUSTON, TX 77046-0892

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Description of property

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MICROSOFT CORP COM									
594918104	12/05/2014	07/19/2011	3,586.70	2,042.40		0.00	1,544.30	0.00	0.00
PFIZER INC									
717081103	12/05/2014	04/01/2011	4,605.73	2,931.84		0.00	1,673.89	0.00	0.00
PHILIP MORRIS INTERNATIONAL									
718172109	12/05/2014	12/12/2011	5,477.72	4,726.26		0.00	751.46	0.00	0.00
REPUBLIC SVCS INC									
760759100	12/05/2014	11/07/2013	2,092.39	1,813.47		0.00	278.92	0.00	0.00
REYNOLDS AMERICAN INC COM									
761713106	12/05/2014	12/12/2011	10,022.77	6,024.00		0.00	3,998.77	0.00	0.00
ADR ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG B SHS									
780259107	12/05/2014	04/01/2011	4,328.74	4,568.78		0.00	-240.04	0.00	0.00
SYSCO CORP									
871829107	12/05/2014	07/19/2011	1,991.45	1,556.50		0.00	434.95	0.00	0.00
TEXAS INSTRUMENTS INC									
882508104	12/05/2014	03/08/2013	2,544.20	1,611.39		0.00	932.81	0.00	0.00
UNITED PARCEL SERVICE INC CL B									
911312106	12/05/2014	08/12/2013	2,216.95	1,755.70		0.00	461.25	0.00	0.00

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Page 24 of 33
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VERIZON COMMUNICATIONS									
92343V104	12/05/2014	04/01/2011	6,690.09	5,299.19		0.00	1,390.90	0.00	0.00
WASTE MGMT INC DEL									
94106L109	12/05/2014	06/17/2013	2,116.41	1,743.63		0.00	372.78	0.00	0.00
WELLS FARGO & CO NEW									
949746101	12/05/2014	05/09/2013	3,249.05	2,259.91		0.00	989.14	0.00	0.00
ADR ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG B SHS									
780259107	12/11/2014	Various	70,975.31	69,525.04		0.00	1,450.27	0.00	0.00
ADR ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG B SHS									
780259107	12/11/2014	Various	179,914.14	193,861.56		0.00	-13,947.42	0.00	0.00
MFC ISHARES IBOX \$ HIGH YIELD CORPORATEBOND ETF									
464288513	12/12/2014	Various	71,526.20	74,625.33		0.00	-3,099.13	0.00	0.00
Total Long Term Sales			2,156,374.02	1,675,057.80		0.00	481,316.22	0.00	0.00

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UBS Financial Services Inc
4400 Post Oak Parkway
Suite 1700
Houston TX 77027-3441

APZ3001103163 1214 X1 PJ 0

2014 Year End Summary

Account name: THE GORDON A CAIN FOUNDATION

THE GORDON A CAIN FOUNDATION
8 GREENWAY PLAZA
SUITE 606
HOUSTON TX 77046-0801

Summary of gains and losses

	Amount (\$)
Long term	36,089 26

Realized gains and losses

Estimated 2014 gains and losses for transactions with trade dates through 12/31/14 have been incorporated into this statement. Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss. Please check with your tax advisor. To calculate gains and losses, we liquidate the oldest security lot first. This is known as the first-in, first-out or FIFO accounting method. We use this method unless you specified which tax lot to close when you placed your order. This is known as a versus purchases or VSP order.

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
ANADARKO PETROLEUM CORP	FIFO	750 000	Mar 20, 13	Aug 21, 14	81,366 63	65,089 29			16,277 34
APPLE INC	FIFO	450 000	Mar 20, 13	Aug 21, 14	44,400 81	29,119 38			15,281 43
CVS HEALTH CORP	FIFO	600 000	Dec 06, 05	Aug 21, 14	46,854 70	16,682 70			30,172 00
	FIFO	50 000	Dec 06, 05	Aug 21, 14	3,866 46	1,390 23			2,476 23
									<i>continued next page</i>

See *Important information about your statement* on the last page of this statement for more information. We may not adjust gains and losses for all capital changes. Cost basis for coupon tax-exempt municipal securities, include securities subject to AMT, has been adjusted for mandatory amortization of bond premium. Estimates in the Unclassified section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided.



Business Services Account

Account name:

THE GORDON A CAIN FOUNDATION

Your Financial Advisor:

YOUNG LOCKWOOD SAUER WEALTH MA
713-940-2800/800-538-6436

Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment (\$)	Loss (\$)	Gain (\$)
EATON VANCE TAX MANAGED BUY WRITE OPPORTUNITIES									
FUND	FIFO	4,775 000	Feb 21, 06	Jun 12, 14	70,483 64	78,398 75		-7,915 11	
ENSCO PLC CL A	FIFO	1,750 000	Mar 20, 13	Jun 12, 14	90,976 15	101,268 35		-10,292 20	
NEWMONT MINING CORP (HOLDING CO)	FIFO	500 000	Jul 22, 09	Jun 12, 14	11,357 58	21,268 01		-9,910 43	
Total					\$349,305.97	\$313,216.71		-\$28,117.74	\$64,207.00
Net long-term capital gains or losses									\$36,089.26
Net capital gains/losses:									\$36,089.26