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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

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

OMB No 1545-0052

2014

Open to Public Inspection

For calendar year 2014, or tax year beginning 01-01-2014, and ending 12-31-2014

Name of foundation THE RM LIU FOUNDATION		A Employer identification number 20-8643551	
Number and street (or P O box number if mail is not delivered to street address) 500 W 190TH STREET 6TH FLOOR		B Telephone number (see instructions) (310) 767-7990	
City or town, state or province, country, and ZIP or foreign postal code GARDENA, CA 90248		C If exemption application is pending, check here <input type="checkbox"/>	
G Check all that apply <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>	
H Check type of organization <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>	
I Fair market value of all assets at end of year (from Part II, col. (c), line 16)▶\$ 3,778,167		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>	
J Accounting method <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ (Part I, column (d) must be on cash basis.)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	1,761,000			
	2 Check <input type="checkbox"/> if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities.	76,299	76,299		
	5a Gross rents				
	b Net rental income or (loss) _____				
	6a Net gain or (loss) from sale of assets not on line 10	279,924			
	b Gross sales price for all assets on line 6a 2,141,342				
	7 Capital gain net income (from Part IV, line 2) . . .		279,924		
	8 Net short-term capital gain				
	9 Income modifications				
	10a Gross sales less returns and allowances				
	b Less Cost of goods sold				
	c Gross profit or (loss) (attach schedule)				
	11 Other income (attach schedule)				
	12 Total. Add lines 1 through 11	2,117,223	356,223		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc	0	0		0
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)	7,418	3,709		3,709
	c Other professional fees (attach schedule)				
	17 Interest				
	18 Taxes (attach schedule) (see instructions) . . .	4,031	698		0
	19 Depreciation (attach schedule) and depletion . . .				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	15,610	15,595		0
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	27,059	20,002		3,709
	25 Contributions, gifts, grants paid	1,423,600			1,423,600
	26 Total expenses and disbursements. Add lines 24 and 25	1,450,659	20,002		1,427,309
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	666,564			
	b Net investment income (if negative, enter -0-)		336,221		
	c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	631,726	178,423	178,423
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)			
	c	Investments—corporate bonds (attach schedule).			
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	2,384,107	3,502,655	3,599,744
	14	Land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
15	Other assets (describe ▶ _____)				
16	Total assets (to be completed by all filers—see the instructions Also, see page 1, item I)	3,015,833	3,681,078	3,778,167	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)	0	0	
	Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.			
24		Unrestricted			
25		Temporarily restricted			
26		Permanently restricted			
Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.					
27		Capital stock, trust principal, or current funds	0	0	
28		Paid-in or capital surplus, or land, bldg , and equipment fund	0	0	
29		Retained earnings, accumulated income, endowment, or other funds	3,015,833	3,681,078	
30		Total net assets or fund balances (see instructions)	3,015,833	3,681,078	
31		Total liabilities and net assets/fund balances (see instructions) . . .	3,015,833	3,681,078	

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 3,015,833
2	Enter amount from Part I, line 27a	2 666,564
3	Other increases not included in line 2 (itemize) ▶ _____	3 0
4	Add lines 1, 2, and 3	4 3,682,397
5	Decreases not included in line 2 (itemize) ▶ _____	5 1,319
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6 3,681,078

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)
1 a	U S TRUST - SEE ATTACHED	P		
b	U S TRUST - SEE ATTACHED	P		
c	CAPITAL GAINS DIVIDENDS	P		
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 669,558		671,870	-2,312
b 1,407,139		1,189,548	217,591
c 64,645			64,645
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			-2,312
b			217,591
c			64,645
d			
e			

2	Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	279,924
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	}	3	

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 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	2,696,372	2,744,533	0 982452
2012	221,747	2,160,304	0 102646
2011	1,643,235	1,873,998	0 876861
2010	1,514,738	1,603,084	0 944890
2009	267,997	997,967	0 268543

2	Total of line 1, column (d).	2	3 175392
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0 635078
4	Enter the net value of noncharitable-use assets for 2014 from Part X, line 5.	4	3,345,658
5	Multiply line 4 by line 3.	5	2,124,754
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	3,362
7	Add lines 5 and 6.	7	2,128,116
8	Enter qualifying distributions from Part XII, line 4.	8	1,427,309

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 page 18 of the instructions)

1a		Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1			
b		Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1	6,724
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	6,724
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	6,724
6		Credits/Payments			
a		2014 estimated tax payments and 2013 overpayment credited to 2014	6a	4,709	
b		Exempt foreign organizations—tax withheld at source	6b		
c		Tax paid with application for extension of time to file (Form 8868)	6c	9,000	
d		Backup withholding erroneously withheld	6d		
7		Total credits and payments. Add lines 6a through 6d.		7	13,709
8		Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached.		8	
9		Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed		9	
10		Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid.		10	6,985
11		Enter the amount of line 10 to be Credited to 2015 estimated tax <input type="checkbox"/> 6,985 Refunded <input type="checkbox"/>		11	0

Part VII-A

Statements Regarding Activities

1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a	Yes	No
b	Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>	1b		No
c	Did the foundation file Form 1120-POL for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation <input type="checkbox"/> \$ 0 (2) On foundation managers <input type="checkbox"/> \$ 0			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers <input type="checkbox"/> \$ 0			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes.</i>	3		No
4a	Did the foundation have unrelated business gross income of \$1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on Form 990-T for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV.</i>	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions): <input type="checkbox"/> CA			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? <i>If "No," attach explanation.</i>	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2014 or the taxable year beginning in 2014 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV.</i>	9		No
10	Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses.</i>	10		No

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address ▶N/A				
14	The books are in care of ▶JUSTIN R LIU Telephone no ▶(310) 767-7990 Located at ▶500 W 190TH STREET 6TH FLOOR GARDENA CA ZIP +4 ▶90248			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year ▶	15		
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?	16	Yes	No
See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country ▶				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly) (1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? 1b Organizations relying on a current notice regarding disaster assistance check here. ▶ <input type="checkbox"/>			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2014?. 1c			No
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?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions). 2b			
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____, 20____, 20____, 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2014.</i>). 3b			
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2014?	4b		No

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a

During the year did the foundation pay or incur any amount to

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

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)?

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?

Yes

No

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

6a

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

Yes

No

b

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

6b

No

If "Yes" to 6b, file Form 8870.

7a

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

Yes

No

b

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

7b

Part VIII

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

1

List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JUSTIN R LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	PRESIDENT 1 00	0	0	0
EMILY F LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	SECRETARY 1 00	0	0	0
MIMI W LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	CFO 1 00	0	0	0
ROBERT W LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	VICE-PRESIDENT 1 00	0	0	0

2

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

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

Total

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

0

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Part VIII

Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services.		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	
2	
3	
4	

Part IX-B

Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1	
2	
All other program-related investments. See instructions.	
3	
Total. Add lines 1 through 3.	0

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	3,230,464
b	Average of monthly cash balances.	1b	166,143
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	3,396,607
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	3,396,607
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	50,949
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	3,345,658
6	Minimum investment return. Enter 5% of line 5.	6	167,283

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	167,283
2a	Tax on investment income for 2014 from Part VI, line 5.	2a	6,724
b	Income tax for 2014 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	6,724
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	160,559
4	Recoveries of amounts treated as qualifying distributions.	4	0
5	Add lines 3 and 4.	5	160,559
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	160,559

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	1,427,309
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	1,427,309
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions).	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	1,427,309
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				160,559
2 Undistributed income, if any, as of the end of 2014				
a Enter amount for 2013 only.			0	
b Total for prior years 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2014				
a From 2009.	218,415			
b From 2010.	1,436,320			
c From 2011.	1,552,179			
d From 2012.	115,281			
e From 2013.	2,562,045			
f Total of lines 3a through e.	5,884,240			
4 Qualifying distributions for 2014 from Part XII, line 4 ▶ \$ 1,427,309				
a Applied to 2013, but not more than line 2a			0	
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.				160,559
e Remaining amount distributed out of corpus	1,266,750			
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:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	7,150,990			
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 instructions			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 (see instructions). . . .	218,415			
9 Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a	6,932,575			
10 Analysis of line 9				
a Excess from 2010. . . .	1,436,320			
b Excess from 2011. . . .	1,552,179			
c Excess from 2012. . . .	115,281			
d Excess from 2013. . . .	2,562,045			
e Excess from 2014. . . .	1,266,750			

Part XIV

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2014, enter the date of the ruling. . . .

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

	Tax year	Prior 3 years			(e) Total
	(a) 2014	(b) 2013	(c) 2012	(d) 2011	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test—enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed.					
c "Support" alternative test—enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties).					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii).					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

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

1 Information Regarding Foundation Managers:

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

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

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

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

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

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

c Any submission deadlines

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

Part XV

Supplementary Information (continued)

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


Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year See Additional Data Table				
Total			3a	1,423,600
b Approved for future payment				
Total			3b	0

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2014)

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a Paid during the year				
FU JEN UNIVERSITY FOUNDATION 79 MONTEZUMA STREET SAN FRANCISCO,CA 94110	NONE	PC	CHARITY	5,000
UNIVERSITY OF NOTRE DAME 1100 GRACE HALL NOTRE DAME,IN 46556	NONE	PC	CHARITY	1,250,000
MARY'S SHELTER PO BOX 10433 SANTA ANA,CA 92711	NONE	PC	CHARITY	2,000
CALIFORNIA COMMUNITY FOUNDATION 221 S FIGUEROA STREET SUITE 400 LOS ANGELES,CA 90012	NONE	PC	CHARITY	1,000
INTERNATIONAL MEDICAL CORPS 12400 WILSHIRE BLVD SUITE 1500 LOS ANGELES,CA 90025	NONE	PC	CHARITY	3,000
SALVATION ARMY 1401 S SEPULVEDA BLVD LOS ANGELES,CA 90025	NONE	PC	CHARITY	100
THE ELKHART COMMUNITY FOUNDATION 101 S MAIN ST ELKHART,IN 46514	NONE	PC	CHARITY	2,500
GINLING INTERNATIONAL FOUNDATION 325 E VALLEY BLVD ALHAMBRA,CA 91801	NONE	PC	CHARITY	5,000
PACIFIC COUNCIL 801 S FIGUEROA STREET SUITE 1130 LOS ANGELES,CA 90017	NONE	PC	CHARITY	5,000
TORRANCE MEMORIAL HOSPITAL 3330 LOMITA BLVD TORRANCE,CA 90505	NONE	PC	CHARITY	150,000
Total  3a				1,423,600

TY 2014 Accounting Fees Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	7,418	3,709		3,709

TY 2014 Investments - Other Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
U.S. TRUST	AT COST	3,502,655	3,599,744

TY 2014 Other Decreases Schedule

Name: THE RM LIU FOUNDATION

EIN: 20-8643551

Description	Amount
PRIOR PERIOD BOOK VS TAX ADJUSTMENT	1,319

TY 2014 Other Expenses Schedule**Name:** THE RM LIU FOUNDATION**EIN:** 20-8643551

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT FEES	15,595	15,595		0
BANK CHARGES	15	0		0

TY 2014 Taxes Schedule**Name:** THE RM LIU FOUNDATION**EIN:** 20-8643551

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAX PAID	698	698		0
CITY OF CARSON	173	0		0
ATTORNEY GENERAL REGISTRY FEE	150	0		0
CALIFORNIA FTB FILING FEE	10	0		0
EXTENSION PAYMENT	3,000	0		0

Schedule B (Form 990, 990-EZ, or 990-PF) Department of the Treasury Internal Revenue Service	Schedule of Contributors ▶ Attach to Form 990, 990-EZ, or 990-PF. ▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at <u>www.irs.gov/form990</u>.	OMB No 1545-0047 2014

Name of the organization THE RM LIU FOUNDATION	Employer identification number 20-8643551
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Organization type (check one)

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

Check if your organization is covered by the **General Rule** or a **Special Rule**.
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or other property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

- ☐ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year. ▶ \$ _____

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

Name of organization THE RM LIU FOUNDATION	Employer identification number 20-8643551
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Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed			
(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
<u>1</u>	TIRECO INC 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	\$ 1,250,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u>2</u>	ROBERT AND MIMI LIU 500 W 190TH STREET 6TH FLOOR GARDENA, CA 90248	\$ 511,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u> </u>		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u> </u>		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u> </u>		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u> </u>		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)
<u> </u>		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions)

Name of organization THE RM LIU FOUNDATION	Employer identification number 20-8643551
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Part II

Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	_____ \$	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	_____ \$	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	_____ \$	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	_____ \$	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	_____ \$	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	_____ \$	_____

Name of organization THE RM LIU FOUNDATION	Employer identification number 20-8643551
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Part III

Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of **\$1,000 or less** for the year. (Enter this information once. See instructions.) ▶ \$ _____

Use duplicate copies of Part III if additional space is needed.

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

Income for 2014

This section reports your sales transactions during the year. A schedule of your net gains and losses is shown below. Please note that if you have sold an asset for which the cost basis information is unknown it is shown separately in the section entitled Transactions with Unknown Cost Basis. Please review these carefully when preparing your return. An asterisk symbol (*) next to the tax cost indicates that the tax cost has been adjusted for current year's return of capital.

The following items are provided to you to assist in the preparation of your tax returns. We have included the following Codes and Adjustment amounts: "W" for wash sales, "C" for collectibles, and "D" for Market Discount. Typically, collectibles are taxed at 28% rates. For your convenience, if applicable, we have included the portion subject to Section 988 translation gains and losses and Market Discount in the column titled "Portion Subject to 988 and Market Discount". We have also includes gains on collectibles taxed at 28% rates in the last column. If we have included a dagger symbol (†) next to the sale transaction with a net loss, this indicates that you can not take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure.

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL							Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments				
ADOBE SYSTEM INC		00724F101	ADBE								
06/09/14	03/31/14	30	\$2,004.86	\$1,966.24	\$38.62		\$0.00		\$0.00	\$0.00	\$0.00
06/09/14	01/13/14	25	\$1,670.71	\$1,477.09	\$193.62		\$0.00		\$0.00	\$0.00	\$0.00
06/09/14	01/21/14	28	\$1,871.20	\$1,711.09	\$160.11		\$0.00		\$0.00	\$0.00	\$0.00
AFFILIATED MANAGERS GROUP		008252108	AMG								
06/09/14	03/31/14	9	\$1,809.41	\$1,782.08	\$27.33		\$0.00		\$0.00	\$0.00	\$0.00
ALEXION PHARMACEUTICALS INC		015351109	ALXN								
06/09/14	03/31/14	9	\$1,521.68	\$1,357.69	\$163.99		\$0.00		\$0.00	\$0.00	\$0.00

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL							
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments	Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)	
ALLIANCE DATA SYS CORP		018581108	ADS							
06/09/14	08/06/13	4	\$1,067.93	\$822.92	\$245.01		\$0.00	\$0.00	\$0.00	
06/09/14	03/31/14	7	\$1,868.89	\$1,920.31	\$-51.42		\$0.00	\$0.00	\$0.00	
AMAZON COM INC		023135106	AMZN							
06/09/14	03/31/14	3	\$982.69	\$1,020.58	\$-37.89	W	\$37.89	\$0.00	\$0.00	
06/09/14	03/31/14	4	\$1,310.25	\$1,360.77	\$-50.52		\$0.00	\$0.00	\$0.00	
09/03/14	04/22/14	3	\$1,016.71	\$1,034.28	\$-17.57		\$0.00	\$0.00	\$0.00	
AMERICAN EXPRESS CO		025816109	AXP							
10/16/14	06/09/14	40	\$3,221.48	\$3,822.80	\$-601.32		\$0.00	\$0.00	\$0.00	
AMGEN INC		031162100	AMGN							
06/25/14	06/09/14	27	\$3,226.48	\$3,154.41	\$72.07		\$0.00	\$0.00	\$0.00	
APPLE COMPUTER INC		037833100	AAPL							
04/14/14	03/31/14	3	\$1,558.46	\$1,613.71	\$-55.25		\$0.00	\$0.00	\$0.00	
BIOGEN IDEC INC		09062X103	BIIB							
06/09/14	03/31/14	6	\$1,905.15	\$1,828.92	\$76.23		\$0.00	\$0.00	\$0.00	
BRISTOL MYERS SQUIBB COMPANY		110122108	BMJ							
07/01/14	06/09/14	36	\$1,732.06	\$1,679.31	\$52.75		\$0.00	\$0.00	\$0.00	
CME GROUP INC		12572Q105	CME							
04/02/14	08/29/13	12	\$865.87	\$850.59	\$15.28		\$0.00	\$0.00	\$0.00	

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL						
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments	Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
CME GROUP INC		12572Q105	CME						
04/02/14	03/31/14	22	\$1,587.43	\$1,639.75	\$-52.32		\$0.00	\$0.00	\$0.00
04/02/14	01/31/14	14	\$1,010.18	\$1,048.99	\$-38.81		\$0.00	\$0.00	\$0.00
04/02/14	06/20/13	34	\$2,453.29	\$2,634.30	\$-181.01		\$0.00	\$0.00	\$0.00
CVS CORPORATION DEL		126650100	CVS						
07/02/14	06/09/14	7	\$533.90	\$551.04	\$-17.14		\$0.00	\$0.00	\$0.00
CANADIAN PAC RY LTD		13645T100	CP						
06/09/14	04/23/14	6	\$1,074.64	\$931.93	\$142.71		\$0.00	\$0.00	\$0.00
06/09/14	03/31/14	11	\$1,970.16	\$1,651.54	\$318.62		\$0.00	\$0.00	\$0.00
CATAMARAN CORP		148887102	CTRX						
04/08/14	01/13/14	38	\$1,567.44	\$1,901.25	\$-333.81	W	\$333.81	\$0.00	\$0.00
06/09/14	01/13/14	74	\$3,277.38	\$3,702.42	\$-425.04		\$0.00	\$0.00	\$0.00
06/09/14	01/05/14	38	\$1,682.98	\$2,029.75	\$-346.77		\$0.00	\$0.00	\$0.00
06/09/14	03/31/14	2	\$38.58	\$89.26	\$-0.68		\$0.00	\$0.00	\$0.00
CELGENE CORP COM		151020104	CELG						
06/09/14	03/05/14	9	\$1,453.56	\$1,467.57	\$-14.01	W	\$14.01	\$0.00	\$0.00
06/09/14	03/31/14	15	\$2,422.59	\$2,105.94	\$316.65		\$0.00	\$0.00	\$0.00
CERNER CORP		156782104	CERN						
06/09/14	03/31/14	27	\$1,450.74	\$1,511.66	\$-60.92		\$0.00	\$0.00	\$0.00

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL							Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments				
CHIPOTLE MEXICAN GRILL INC CLA		169656105	CMG								
04/17/14	03/31/14	2	\$1,044.60	\$1,135.56	\$-90.96		\$0.00		\$0.00	\$0.00	\$0.00
COLUMBIA ACORN TR FD CL Z		197199409	ACRN X								
04/24/14	06/20/13	613.12	\$22,562.85	\$20,000.00	\$2,562.85		\$0.00		\$0.00	\$0.00	\$0.00
COMCAST CORP NEW CLA		20030N101	CMCSA								
11/07/14	06/09/14	11	\$602.72	\$583.85	\$18.87		\$0.00		\$0.00	\$0.00	\$0.00
COSTCO WHSL CORP NEW		22160K105	COST								
12/12/14	06/09/14	9	\$1,246.90	\$1,059.65	\$187.25		\$0.00		\$0.00	\$0.00	\$0.00
CUMMINS ENGINE INC		231021106	CMI								
06/09/14	05/08/14	7	\$1,122.36	\$1,059.41	\$62.95		\$0.00		\$0.00	\$0.00	\$0.00
06/09/14	03/31/14	8	\$1,282.69	\$1,192.80	\$89.89		\$0.00		\$0.00	\$0.00	\$0.00
DANAHER CORP		235851102	DHR								
09/17/14	06/09/14	4	\$314.85	\$322.44	\$-7.59		\$0.00		\$0.00	\$0.00	\$0.00
EASTMAN CHEM CO		277432100	EMN								
07/30/14	06/09/14	30	\$2,445.14	\$2,695.20	\$-250.06		\$0.00		\$0.00	\$0.00	\$0.00
EATON VANCE MUT FDS TR STRUCTUREI		277923751	EIEM X								
02/07/14	02/14/13	4578.16	\$65,467.63	\$69,957.46	\$-4,489.83		\$0.00		\$0.00	\$0.00	\$0.00
ECOLAB INC		278865100	ECL								
06/09/14	08/29/13	10	\$1,098.47	\$919.20	\$179.27		\$0.00		\$0.00	\$0.00	\$0.00

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL							Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments				
ECOLAB INC		278865100	ECL								
06/09/14	07/23/13	19	\$2,087.10	\$1,801.92	\$285.18		\$0.00		\$0.00	\$0.00	
06/09/14	03/31/14	18	\$1,977.26	\$1,931.14	\$46.12		\$0.00		\$0.00	\$0.00	
06/09/14	03/25/14	11	\$1,208.32	\$1,199.22	\$9.10		\$0.00		\$0.00	\$0.00	
06/09/14	07/24/13	6	\$659.09	\$567.30	\$91.79		\$0.00		\$0.00	\$0.00	
FMC TECHNOLOGIES INC		30249U101	FTI								
06/09/14	01/13/14	85	\$5,028.01	\$4,377.04	\$650.97		\$0.00		\$0.00	\$0.00	
06/09/14	03/31/14	28	\$1,656.29	\$1,463.16	\$193.13		\$0.00		\$0.00	\$0.00	
FACEBOOK INC		30303M102	FB								
06/09/14	04/14/14	14	\$880.16	\$834.92	\$45.24		\$0.00		\$0.00	\$0.00	
06/09/14	03/31/14	35	\$2,200.40	\$2,144.45	\$55.95		\$0.00		\$0.00	\$0.00	
06/09/14	10/09/13	21	\$1,320.24	\$972.60	\$347.64		\$0.00		\$0.00	\$0.00	
06/09/14	08/20/13	27	\$1,697.45	\$1,032.76	\$664.69		\$0.00		\$0.00	\$0.00	
FIDELITY ADVISOR FLOATING RATE		315807552	FFRI X								
07/17/14	01/02/14	5015.05	\$50,000.00	\$49,949.85	\$50.15		\$0.00		\$0.00	\$0.00	
08/08/14	01/02/14	5.04	\$49.85	\$50.15	\$-0.30		\$0.00		\$0.00	\$0.00	
FLUOR CORP (NEW)-WI		343412102	FLR								
09/10/14	06/09/14	10	\$704.34	\$790.60	\$-86.26		\$0.00		\$0.00	\$0.00	
FOREST LABS INC		345838106	FRX								
07/01/14	06/09/14	27	\$2,696.31	\$2,543.40	\$152.91		\$0.00		\$0.00	\$0.00	

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL							
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments	Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)	
GILEAD SCIENCES INC		375558103	GILD							
04/08/14	01/23/14	13	\$910.63	\$1,064.53	\$-153.90	W	\$153.90	\$0.00	\$0.00	
04/08/14	03/31/14	5	\$350.24	\$350.01	\$0.23		\$0.00	\$0.00	\$0.00	
06/09/14	10/10/13	12	\$946.18	\$745.25	\$200.93		\$0.00	\$0.00	\$0.00	
06/09/14	03/31/14	21	\$1,655.81	\$1,470.04	\$185.77		\$0.00	\$0.00	\$0.00	
06/09/14	01/15/14	13	\$1,025.03	\$1,063.93	\$-38.90		\$0.00	\$0.00	\$0.00	
GOOGLE INC CLA		38259P508	GOOG L							
06/09/14	03/31/14	1	\$568.68	\$564.35	\$4.33		\$0.00	\$0.00	\$0.00	
GOOGLE INC		38259P706	GOOG							
06/09/14	04/08/14	2	\$1,119.17	\$1,108.92	\$10.25		\$0.00	\$0.00	\$0.00	
06/09/14	03/31/14	2	\$1,119.18	\$1,125.09	\$-5.91		\$0.00	\$0.00	\$0.00	
HALLIBURTON CO		406216101	HAL							
06/09/14	04/21/14	20	\$1,337.26	\$1,266.27	\$70.99		\$0.00	\$0.00	\$0.00	
06/09/14	04/02/14	49	\$3,276.27	\$2,931.92	\$344.35		\$0.00	\$0.00	\$0.00	
12/02/14	06/27/14	29	\$1,173.33	\$2,033.70	\$-860.37		\$0.00	\$0.00	\$0.00	
12/02/14	04/02/14	34	\$1,375.63	\$2,034.39	\$-658.76		\$0.00	\$0.00	\$0.00	
HUNT J B TRANSPORTATION SERVICES INC		445658107	JBHT							
03/25/14	04/15/13	9	\$630.15	\$635.69	\$-5.54		\$0.00	\$0.00	\$0.00	
03/25/14	04/16/13	8	\$560.13	\$569.33	\$-9.20		\$0.00	\$0.00	\$0.00	

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL						
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments	Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
ILLUMINA INC		452327109	ILMN						
11/14/14	06/09/14	4	\$721.16	\$685.60	\$35.56		\$0.00	\$0.00	\$0.00
ISHARES INC		464286145	FM						
12/05/14	07/25/14	1290	\$44,170.69	\$49,662.42	\$-5,491.73		\$0.00	\$0.00	\$0.00
ISHARES INC MSCI GERMANY INDEX FD		464286806	EWG						
09/24/14	03/28/14	810	\$23,165.24	\$25,376.33	\$-2,211.09		\$0.00	\$0.00	\$0.00
ISHARES TR RUSSELL MIDCAP GROWTH		464287481	IWP						
11/19/14	03/28/14	890	\$82,049.24	\$75,534.57	\$6,514.67		\$0.00	\$0.00	\$0.00
11/19/14	01/02/14	600	\$55,314.10	\$50,058.90	\$5,255.20		\$0.00	\$0.00	\$0.00
IVY ASSET STRATEGY FUND		466001864	IVAE X						
10/21/14	01/02/14	465.55	\$14,259.77	\$15,000.00	\$-740.23		\$0.00	\$0.00	\$0.00
JPMORGAN TR I US LARGE CAP CORE		4812A2389	JLPS X						
06/30/14	08/06/13	2387.07	\$70,991.55	\$65,000.00	\$5,991.55		\$0.00	\$0.00	\$0.00
JUNIPER NETWORKS INC		48203R104	JNPR						
11/11/14	06/09/14	125	\$2,582.43	\$3,107.49	\$-525.06		\$0.00	\$0.00	\$0.00
LAS VEGAS SANDS CORP		517834107	LVS						
12/04/14	06/09/14	33	\$1,944.80	\$2,396.79	\$-451.99		\$0.00	\$0.00	\$0.00
MICROSOFT CORP		594918104	MSFT						
07/01/14	06/09/14	64	\$2,683.38	\$2,635.36	\$48.02		\$0.00	\$0.00	\$0.00

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL						Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments			
MICROSOFT CORP		594918104	MSFT							
12/18/14	06/09/14	21	\$992.14	\$864.73	\$127.41		\$0.00		\$0.00	\$0.00
MOHAWK INDS INC		608190104	MHK							
06/09/14	03/31/14	11	\$1,503.23	\$1,489.37	\$13.86		\$0.00		\$0.00	\$0.00
06/09/14	01/21/14	8	\$1,093.26	\$1,176.55	\$-83.29		\$0.00		\$0.00	\$0.00
06/09/14	10/29/13	27	\$3,689.73	\$3,602.17	\$87.56		\$0.00		\$0.00	\$0.00
MONSANTO CO NEW		61166W101	MON							
01/23/14	09/13/13	7	\$757.42	\$727.18	\$30.24		\$0.00		\$0.00	\$0.00
06/09/14	03/31/14	20	\$2,425.55	\$2,257.10	\$168.45		\$0.00		\$0.00	\$0.00
MONSTER BEVERAGE CORP		611740101	MNST							
06/09/14	02/03/14	53	\$3,613.46	\$3,553.00	\$60.46		\$0.00		\$0.00	\$0.00
06/09/14	04/04/14	17	\$1,159.03	\$1,148.65	\$10.38		\$0.00		\$0.00	\$0.00
06/09/14	03/31/14	18	\$1,227.21	\$1,261.56	\$-34.35		\$0.00		\$0.00	\$0.00
MYLAN LABS INC		628530107	MYL							
09/24/14	06/09/14	35	\$1,625.31	\$1,731.10	\$-105.79		\$0.00		\$0.00	\$0.00
NETFLIX COM INC		64110L106	NFLX							
12/11/14	09/03/14	5	\$1,679.30	\$2,400.36	\$-721.06		\$0.00		\$0.00	\$0.00
PHILIP MORRIS INTL INC		718172109	PM							
06/27/14	06/09/14	10	\$846.16	\$883.76	\$-37.60		\$0.00		\$0.00	\$0.00

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL						
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments	Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
PHILIP MORRIS INTL INC		718172109	PM						
09/29/14	06/09/14	60	\$4,960.80	\$5,302.53	\$-341.73		\$0.00	\$0.00	\$0.00
PIMCO COMMODITIESPLUS STRATEGY		72201P175	PCLI X						
10/07/14	07/17/14	6660.75	\$67,073.71	\$75,000.00	\$-7,926.29		\$0.00	\$0.00	\$0.00
PRAXAIR INC		74005P104	PX						
10/28/14	06/09/14	9	\$1,133.57	\$1,204.38	\$-70.81		\$0.00	\$0.00	\$0.00
PRECISION CASTPARTS CORP		740189105	PCP						
06/09/14	04/07/14	3	\$818.83	\$750.09	\$68.74		\$0.00	\$0.00	\$0.00
PRICELINE.COM INC		741503403	PCLN						
01/31/14	04/03/13	1	\$1,145.06	\$704.19	\$440.87		\$0.00	\$0.00	\$0.00
06/09/14	03/31/14	2	\$2,463.45	\$2,408.78	\$54.67		\$0.00	\$0.00	\$0.00
06/09/14	04/14/14	1	\$1,231.72	\$1,177.72	\$54.00		\$0.00	\$0.00	\$0.00
SCHWAB CHARLES CORP NEW		808513105	SCHW						
06/09/14	03/31/14	69	\$1,820.18	\$1,892.46	\$-72.28		\$0.00	\$0.00	\$0.00
06/09/14	06/20/13	18	\$474.83	\$371.86	\$102.97		\$0.00	\$0.00	\$0.00
06/09/14	08/01/13	32	\$844.14	\$728.40	\$115.74		\$0.00	\$0.00	\$0.00
SPLUNK INC		848637104	SPLK						
06/09/14	01/21/14	47	\$2,082.05	\$3,841.85	\$-1,759.80		\$0.00	\$0.00	\$0.00
06/09/14	03/31/14	17	\$753.08	\$1,224.21	\$-471.13		\$0.00	\$0.00	\$0.00

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL						Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments			
STARBUCKS CORP		855244109	SBUX							
06/09/14	01/31/14	11	\$824.10	\$783.01	\$41.09		\$0.00	\$0.00	\$0.00	
06/09/14	03/31/14	29	\$2,172.63	\$2,143.27	\$29.36		\$0.00	\$0.00	\$0.00	
TRACTOR SUPPLY CO		892356106	TSCO							
03/27/14	01/30/14	15	\$1,055.85	\$1,014.76	\$41.09		\$0.00	\$0.00	\$0.00	
06/09/14	03/31/14	24	\$1,590.20	\$1,693.39	\$-103.19		\$0.00	\$0.00	\$0.00	
TWENTY-FIRST CENTY FOX INC		90130A101	FOXA							
06/09/14	01/13/14	100	\$3,628.36	\$3,299.69	\$328.67		\$0.00	\$0.00	\$0.00	
06/09/14	03/25/14	4	\$145.13	\$129.99	\$15.14		\$0.00	\$0.00	\$0.00	
08/04/14	03/25/14	40	\$1,266.61	\$1,299.93	\$-33.32		\$0.00	\$0.00	\$0.00	
08/04/14	03/31/14	48	\$1,519.93	\$1,534.46	\$-14.53		\$0.00	\$0.00	\$0.00	
UNDER ARMOUR INC CLA		904311107	UA							
07/01/14	06/09/14	10	\$603.27	\$558.80	\$44.47		\$0.00	\$0.00	\$0.00	
URBAN OUTFITTERS INC		917047102	URBN							
07/01/14	06/09/14	56	\$1,875.95	\$1,940.96	\$-65.01		\$0.00	\$0.00	\$0.00	
VISA INC CLA		92826C839	V							
06/09/14	03/31/14	3	\$635.69	\$644.35	\$-8.66	W	\$8.66	\$0.00	\$0.00	
06/09/14	03/31/14	8	\$1,695.16	\$1,718.26	\$-23.10		\$0.00	\$0.00	\$0.00	

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL						
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments	Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
VMWARE INC CLA		928563402	VMW						
06/09/14	04/08/14	10	\$963.58	\$1,077.16	\$-113.58		\$0.00	\$0.00	\$0.00
06/09/14	03/31/14	12	\$1,156.29	\$1,304.66	\$-148.37		\$0.00	\$0.00	\$0.00
06/09/14	01/21/14	38	\$3,661.60	\$3,683.08	\$-21.48		\$0.00	\$0.00	\$0.00
XLINX INC		983919101	XLNX						
07/23/14	06/09/14	57	\$2,329.19	\$2,637.95	\$-308.76		\$0.00	\$0.00	\$0.00
ACTAVIS PLC		G0083B108	ACT						
09/30/14	07/01/14	0 98	\$240.31	\$220.44	\$19.87		\$0.00	\$0.00	\$0.00
ACCENTURE PLC		G1151C101	ACN						
06/26/14	06/09/14	13	\$1,062.66	\$1,097.46	\$-34.80		\$0.00	\$0.00	\$0.00
09/22/14	06/09/14	13	\$1,032.07	\$1,097.46	\$-65.39		\$0.00	\$0.00	\$0.00
DELPHI AUTOMOTIVE PLC		G27823106	DLPH						
09/18/14	06/09/14	20	\$1,330.75	\$1,409.20	\$-78.45		\$0.00	\$0.00	\$0.00
MICHAEL KORS HLDGS LTD		G60754101	KORS						
01/17/14	10/16/13	8	\$616.16	\$599.03	\$17.13		\$0.00	\$0.00	\$0.00
04/14/14	03/31/14	17	\$1,485.47	\$1,572.41	\$-86.94		\$0.00	\$0.00	\$0.00
06/09/14	03/31/14	7	\$657.84	\$647.46	\$10.38		\$0.00	\$0.00	\$0.00
06/09/14	10/16/13	6	\$563.87	\$449.27	\$114.60		\$0.00	\$0.00	\$0.00
06/09/14	07/23/13	2	\$187.96	\$127.76	\$60.20		\$0.00	\$0.00	\$0.00

Short Term Transactions

DESCRIPTION		CUSIP	SYMBOL							Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments				
TYCO INTL LTD		H89128104	TYC								
09/17/14	06/09/14	8	\$354.56	\$358.60	\$-4.04		\$0.00		\$0.00	\$0.00	
Total Short Term Gain/Loss			\$669,558.19	\$672,417.96	\$-2,859.77		\$548.27		\$0.00	\$0.00	

Long Term Transactions

DESCRIPTION		CUSIP	SYMBOL							
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments	Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)	
CAMBIAR SMALL CAP FUND		0075W0817	CAMS X							
06/30/14	01/14/11	2128.05	\$50,392.22	\$38,943.31	\$11,448.91		\$0.00	\$0.00	\$0.00	
AFFILIATED MANAGERS GROUP		008252108	AMG							
06/09/14	04/18/12	5	\$1,005.23	\$566.44	\$438.79		\$0.00	\$0.00	\$0.00	
06/09/14	02/06/12	10	\$2,010.45	\$1,066.41	\$944.04		\$0.00	\$0.00	\$0.00	
06/09/14	02/07/12	15	\$3,015.68	\$1,603.41	\$1,412.27		\$0.00	\$0.00	\$0.00	
ALEXION PHARMACEUTICALS INC		015351109	ALXN							
03/05/14	12/17/10	7	\$1,212.48	\$289.10	\$923.38		\$0.00	\$0.00	\$0.00	
06/09/14	12/17/10	13	\$2,197.99	\$536.91	\$1,661.08		\$0.00	\$0.00	\$0.00	
ALLIANCE DATA SYS CORP		018581108	ADS							
06/09/14	05/22/13	14	\$3,737.77	\$2,527.53	\$1,210.24		\$0.00	\$0.00	\$0.00	
06/09/14	05/23/13	4	\$1,067.94	\$712.91	\$355.03		\$0.00	\$0.00	\$0.00	

Long Term Transactions

DESCRIPTION		CUSIP	SYMBOL							Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments				
AMAZON COM INC		023135106	AMZN								
06/09/14	02/03/12	1	\$327.56	\$184.32	\$143.24		\$0.00		\$0.00	\$0.00	
06/09/14	03/09/09	10	\$3,275.62	\$611.74	\$2,663.88		\$0.00		\$0.00	\$0.00	
09/03/14	03/09/09	12	\$4,066.84	\$734.08	\$3,332.76		\$0.00		\$0.00	\$0.00	
APPLE COMPUTER INC		037833100	AAPL								
01/17/14	12/31/08	3	\$1,621.70	\$262.41	\$1,359.29		\$0.00		\$0.00	\$0.00	
ARTIO GLOBAL HIGH INCOME FUND		04315J860	JHYI X								
10/21/14	05/21/13	817.66	\$8,070.33	\$8,454.64	\$-384.31		\$0.00		\$0.00	\$0.00	
10/21/14	01/13/11	2415.46	\$23,840.58	\$24,963.91	\$-1,123.33		\$0.00		\$0.00	\$0.00	
10/21/14	08/05/10	2417.8	\$23,863.64	\$24,963.87	\$-1,100.23		\$0.00		\$0.00	\$0.00	
10/21/14	01/04/12	4273.5	\$42,179.49	\$39,936.15	\$2,243.34		\$0.00		\$0.00	\$0.00	
BIOGEN IDEC INC		09062X103	BIBB								
06/09/14	08/29/11	10	\$3,175.24	\$936.03	\$2,239.21		\$0.00		\$0.00	\$0.00	
CANADIAN PAC RY LTD		13645T100	CP								
06/09/14	04/29/13	9	\$1,611.95	\$1,120.99	\$490.96		\$0.00		\$0.00	\$0.00	
06/09/14	02/27/13	8	\$1,432.85	\$959.97	\$472.88		\$0.00		\$0.00	\$0.00	
06/09/14	01/24/13	3	\$537.32	\$334.39	\$202.93		\$0.00		\$0.00	\$0.00	
06/09/14	01/23/13	17	\$3,044.80	\$1,887.11	\$1,157.69		\$0.00		\$0.00	\$0.00	
CELGENE CORP COM		151020104	CELG								
06/09/14	03/12/13	27	\$4,360.67	\$3,054.73	\$1,305.94		\$0.00		\$0.00	\$0.00	

Long Term Transactions

DESCRIPTION		CUSIP	SYMBOL							Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments				
CELGENE CORP COM		151020104	CELG								
06/09/14	04/15/13	9	\$1,453.56	\$1,090.24	\$363.32		\$0.00		\$0.00	\$0.00	
CERNER CORP		156782104	CERN								
06/09/14	12/19/12	8	\$429.85	\$317.75	\$112.10		\$0.00		\$0.00	\$0.00	
06/09/14	08/30/12	12	\$644.77	\$441.58	\$203.19		\$0.00		\$0.00	\$0.00	
06/09/14	08/31/12	68	\$3,653.71	\$2,499.79	\$1,153.92		\$0.00		\$0.00	\$0.00	
CHIPOTLE MEXICAN GRILL INC CLA		169656105	CMG								
04/17/14	02/04/11	7	\$3,656.11	\$1,728.80	\$1,927.31		\$0.00		\$0.00	\$0.00	
CITRIX SYS INC		177376100	CTXS								
01/30/14	07/27/10	61	\$3,215.87	\$2,909.31	\$306.56		\$0.00		\$0.00	\$0.00	
COLUMBIA ACORN TR FD CL Z		197199409	ACRN X								
04/24/14	02/05/10	428.82	\$15,780.43	\$10,000.00	\$5,780.43		\$0.00		\$0.00	\$0.00	
04/24/14	07/14/09	263.57	\$9,699.53	\$5,000.00	\$4,699.53		\$0.00		\$0.00	\$0.00	
04/24/14	01/15/10	48.25	\$1,775.67	\$1,207.27	\$568.40		\$0.00		\$0.00	\$0.00	
04/24/14	01/20/10	400.48	\$14,737.70	\$10,000.00	\$4,737.70		\$0.00		\$0.00	\$0.00	
04/24/14	11/27/12	1132.32	\$41,669.37	\$35,000.00	\$6,669.37		\$0.00		\$0.00	\$0.00	
04/24/14	01/14/13	952.99	\$35,069.89	\$30,000.00	\$5,069.89		\$0.00		\$0.00	\$0.00	
COLUMBIA FDS SER TR MID CAP INDEX		19765J608	NMPA X								
11/13/14	08/11/09	413.65	\$6,593.53	\$3,396.04	\$3,197.49		\$0.00		\$0.00	\$0.00	
11/13/14	08/20/03	1154.73	\$18,406.47	\$10,000.00	\$8,406.47		\$0.00		\$0.00	\$0.00	

Long Term Transactions

DESCRIPTION		CUSIP	SYMBOL						
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments	Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
COLUMBIA FDS SER TR I STRATEGIC		197651694	LSIZ X						
07/17/14	07/20/12	8025.68	\$49,117.17	\$50,000.00	\$-882.83		\$0.00	\$0.00	\$0.00
07/17/14	03/18/13	7602.94	\$46,529.97	\$48,202.61	\$-1,672.64		\$0.00	\$0.00	\$0.00
07/17/14	01/04/12	10515.17	\$64,352.86	\$62,880.73	\$1,472.13		\$0.00	\$0.00	\$0.00
09/24/14	01/04/12	7450.33	\$45,000.00	\$44,552.98	\$447.02		\$0.00	\$0.00	\$0.00
COLUMBIA FDS SER TR I TECHNOLOGY		19765P489	CMTF X						
11/19/14	05/06/10	9.64	\$183.76	\$86.48	\$97.28		\$0.00	\$0.00	\$0.00
11/19/14	04/29/08	6286.27	\$119,816.24	\$65,000.00	\$54,816.24		\$0.00	\$0.00	\$0.00
CUMMINS ENGINE INC		231021106	CMI						
06/09/14	02/05/13	8	\$1,282.69	\$939.94	\$342.75		\$0.00	\$0.00	\$0.00
09/10/14	02/05/13	8	\$1,126.07	\$939.93	\$186.14		\$0.00	\$0.00	\$0.00
EMERGING GLOBAL SHS DOW JONES		268461779	ECON						
09/24/14	12/06/12	1000	\$26,835.51	\$25,750.00	\$1,085.51		\$0.00	\$0.00	\$0.00
09/24/14	01/14/13	945	\$25,359.55	\$25,113.38	\$246.17		\$0.00	\$0.00	\$0.00
EATON VANCE MUT FDS TR STRUCTUREI		277923751	EIEM X						
02/07/14	07/29/11	411.37	\$5,882.52	\$6,519.77	\$-637.25		\$0.00	\$0.00	\$0.00
FIDELITY ADVISOR FLOATING RATE		315807552	FFRI X						
08/08/14	06/07/13	10050.25	\$99,497.48	\$100,000.00	\$-502.52		\$0.00	\$0.00	\$0.00

Long Term Transactions

DESCRIPTION		CUSIP	SYMBOL							Portion Subject to 98% and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments				
GILEAD SCIENCES INC		375558103	GILD								
06/09/14	05/15/13	23	\$1,813.50	\$1,301.87	\$511.63		\$0.00		\$0.00	\$0.00	\$0.00
11/14/14	05/15/13	7	\$714.89	\$396.22	\$318.67		\$0.00		\$0.00	\$0.00	\$0.00
HUNT J B TRANSPORTATION SERVICES INC		445658107	JBHT								
03/25/14	11/27/12	7	\$490.11	\$420.51	\$69.60		\$0.00		\$0.00	\$0.00	\$0.00
03/25/14	11/01/12	15	\$1,050.24	\$876.62	\$173.62		\$0.00		\$0.00	\$0.00	\$0.00
03/25/14	10/31/12	20	\$1,400.33	\$1,171.43	\$228.90		\$0.00		\$0.00	\$0.00	\$0.00
03/25/14	11/28/12	4	\$280.06	\$239.84	\$40.22		\$0.00		\$0.00	\$0.00	\$0.00
ISHARES MSCI EMERGING MKTS MN		464286533	EEMV								
02/07/14	01/14/13	415	\$22,418.53	\$25,217.48	\$-2,798.95		\$0.00		\$0.00	\$0.00	\$0.00
02/07/14	12/06/12	435	\$23,498.95	\$25,524.28	\$-2,025.33		\$0.00		\$0.00	\$0.00	\$0.00
ISHARES INC MSCI HONG KONG INDEX		464286871	EWI								
04/24/14	06/04/10	335	\$6,921.51	\$4,894.35	\$2,027.16		\$0.00		\$0.00	\$0.00	\$0.00
04/24/14	05/18/10	890	\$18,388.50	\$13,100.80	\$5,287.70		\$0.00		\$0.00	\$0.00	\$0.00
IVY ASSET STRATEGY FUND		466001864	IVAX								
10/21/14	10/17/13	654.88	\$20,058.94	\$20,000.00	\$58.94		\$0.00		\$0.00	\$0.00	\$0.00
10/21/14	02/14/13	1822.82	\$55,833.04	\$50,000.00	\$5,833.04		\$0.00		\$0.00	\$0.00	\$0.00
10/21/14	06/07/13	891.58	\$27,309.19	\$25,000.00	\$2,309.19		\$0.00		\$0.00	\$0.00	\$0.00
10/21/14	07/31/13	878.12	\$26,896.72	\$25,000.00	\$1,896.72		\$0.00		\$0.00	\$0.00	\$0.00

Long Term Transactions

DESCRIPTION		CUSIP	SYMBOL							Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments				
JPMORGAN TRI US LARGE CAP CORE		4812A2389	JLPS X								
06/30/14	06/20/13	134.78	\$4,008.45	\$3,401.92	\$606.53		\$0.00		\$0.00	\$0.00	
11/13/14	06/20/13	1251.91	\$38,909.21	\$31,598.08	\$7,311.13		\$0.00		\$0.00	\$0.00	
11/13/14	04/17/13	839.47	\$26,090.79	\$20,315.22	\$5,775.57		\$0.00		\$0.00	\$0.00	
LINKEDIN CORP		53578A108	LNKD								
01/17/14	10/11/12	15	\$3,295.46	\$1,699.53	\$1,595.93		\$0.00		\$0.00	\$0.00	
MARKET VECTORS ETF TR AGRIBUSINES		57060U605	MOO								
02/07/14	07/14/09	155	\$7,961.31	\$5,161.45	\$2,799.86		\$0.00		\$0.00	\$0.00	
02/07/14	01/06/10	155	\$7,961.31	\$7,105.15	\$856.16		\$0.00		\$0.00	\$0.00	
02/07/14	01/15/10	210	\$10,786.29	\$9,609.53	\$1,176.76		\$0.00		\$0.00	\$0.00	
MONSANTO CO NEW		61166W101	MON								
01/23/14	09/20/12	2	\$216.41	\$182.19	\$34.22		\$0.00		\$0.00	\$0.00	
06/09/14	07/25/11	12	\$1,455.33	\$916.99	\$538.34		\$0.00		\$0.00	\$0.00	
06/09/14	01/25/11	43	\$5,214.92	\$3,064.61	\$2,150.31		\$0.00		\$0.00	\$0.00	
06/09/14	09/20/12	7	\$848.94	\$637.65	\$211.29		\$0.00		\$0.00	\$0.00	
06/09/14	02/04/11	2	\$242.55	\$148.31	\$94.24		\$0.00		\$0.00	\$0.00	
PRICELINE.COM INC		741503403	PCLN								
01/31/14	12/18/12	1	\$1,145.06	\$632.23	\$512.83		\$0.00		\$0.00	\$0.00	
01/31/14	01/18/13	1	\$1,145.06	\$672.42	\$472.64		\$0.00		\$0.00	\$0.00	
06/09/14	07/29/10	4	\$4,926.90	\$901.82	\$4,025.08		\$0.00		\$0.00	\$0.00	

Long Term Transactions

DESCRIPTION		CUSIP	SYMBOL						Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments			
QUALCOMM INC		747525103	QCOM							
01/17/14	12/31/08	65	\$4,850.71	\$2,348.45	\$2,502.26		\$0.00		\$0.00	\$0.00
SCHWAB CHARLES CORP NEW		808513105	SCHW							
06/09/14	05/15/13	165	\$4,352.60	\$3,113.90	\$1,238.70		\$0.00		\$0.00	\$0.00
SECTOR SPDR TR SHS BEN		81369Y407	XLY							
11/13/14	06/20/13	270	\$18,578.37	\$14,923.44	\$3,654.93		\$0.00		\$0.00	\$0.00
11/13/14	08/05/13	260	\$17,890.28	\$15,749.50	\$2,140.78		\$0.00		\$0.00	\$0.00
SELECT SECTOR SPDR TR INDL		81369Y704	XLI							
07/17/14	05/18/10	410	\$22,285.76	\$12,574.70	\$9,711.06		\$0.00		\$0.00	\$0.00
07/17/14	06/04/10	170	\$9,240.43	\$4,897.70	\$4,342.73		\$0.00		\$0.00	\$0.00
STARBUCKS CORP		855244109	SBUX							
06/09/14	04/30/12	8	\$599.35	\$458.63	\$140.72		\$0.00		\$0.00	\$0.00
06/09/14	04/19/12	23	\$1,723.12	\$1,351.82	\$371.30		\$0.00		\$0.00	\$0.00
06/27/14	12/18/12	7	\$545.84	\$380.25	\$165.59		\$0.00		\$0.00	\$0.00
06/27/14	06/26/12	13	\$1,013.69	\$696.52	\$317.17		\$0.00		\$0.00	\$0.00
06/27/14	07/31/12	20	\$1,559.53	\$912.18	\$647.35		\$0.00		\$0.00	\$0.00
06/27/14	04/30/12	7	\$545.83	\$401.30	\$144.53		\$0.00		\$0.00	\$0.00
TEMPLETON INCOME TR GLOBAL BD FD		880208400	TGBA X							
08/06/14	06/07/13	5677.52	\$74,716.12	\$75,000.00	\$-283.88		\$0.00		\$0.00	\$0.00

Long Term Transactions

DESCRIPTION		CUSIP	SYMBOL						
Date sold or disposed	Date acquired	Units	Proceeds	Cost or other basis	Net Gain/Loss	Code	Adjustments	Portion Subject to 988 and Market Discount (included in Net G/L)	Portion Subject to 28% Rates (included in Net G/L)
THORNBURG INVT TR INTL VALUE FD CL		885215566	TGVI X						
01/03/14	01/20/11	278.99	\$8,852.45	\$7,998.73	\$853.72		\$0.00	\$0.00	\$0.00
01/03/14	05/19/10	1699.96	\$53,939.67	\$40,000.00	\$13,939.67		\$0.00	\$0.00	\$0.00
TRACTOR SUPPLY CO		892356106	TSCO						
03/27/14	04/05/12	2	\$140.78	\$93.06	\$47.72		\$0.00	\$0.00	\$0.00
06/09/14	05/29/12	20	\$1,325.17	\$915.16	\$410.01		\$0.00	\$0.00	\$0.00
06/09/14	04/04/12	22	\$1,457.69	\$1,016.12	\$441.57		\$0.00	\$0.00	\$0.00
06/09/14	04/05/12	13	\$861.36	\$604.89	\$256.47		\$0.00	\$0.00	\$0.00
06/09/14	06/26/12	16	\$1,060.14	\$696.96	\$363.18		\$0.00	\$0.00	\$0.00
VISA INC CLA		92826C839	V						
06/09/14	12/12/11	1	\$211.89	\$96.82	\$115.07		\$0.00	\$0.00	\$0.00
06/09/14	02/03/12	1	\$211.90	\$106.87	\$105.03		\$0.00	\$0.00	\$0.00
06/09/14	12/19/11	6	\$1,271.37	\$591.28	\$680.09		\$0.00	\$0.00	\$0.00
WISDOMTREE JAPAN TOTAL DIVIDEND		97717W851	DXJ						
05/02/14	03/28/13	575	\$26,950.75	\$24,771.00	\$2,179.75		\$0.00	\$0.00	\$0.00
MICHAEL KORS HLDGS LTD		G60754101	KORS						
06/09/14	03/13/13	23	\$2,161.49	\$1,346.91	\$814.58		\$0.00	\$0.00	\$0.00
06/09/14	05/10/13	18	\$1,691.60	\$1,084.15	\$607.45		\$0.00	\$0.00	\$0.00
Total Long Term Gain/Loss			\$1,407,139.02	\$1,189,547.80	\$217,591.22		\$0.00	\$0.00	\$0.00