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 separate instructions is at *www.irs.gov/form990pf.*

OMB No 1545-0052

2014

Open to Public Inspection

For calendar year 2014 or tax year beginning , and ending

Name of foundation BASSLER FAMILY FOUNDATION, INC.	A Employer identification number 26-1561741
Number and street (or P O box number if mail is not delivered to street address) Room/suite 13 SEAGATE ROAD	B Telephone number 203.655.9658
City or town, state or province, country, and ZIP or foreign postal code DARIEN, CT 06820	C If exemption application is pending, check here ▶ ☐
G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ 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)* ▶$ 934,417. J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) *(Part I, column (d) must be on cash basis.)*	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

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)
Revenue	1 Contributions, gifts, grants, etc., received			N/A	
	2 Check ▶ ☒ if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	7.	7.		STATEMENT 1
	4 Dividends and interest from securities	22,055.	22,055.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	37,710.			
	b Gross sales price for all assets on line 6a 4,975.				
	7 Capital gain net income (from Part IV, line 2)		37,710.		
	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)				
	11 Other income				
	12 **Total.** Add lines 1 through 11	59,772.	59,772.		
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				
	b Accounting fees STMT 3	1,525.	1,525.		0.
	c Other professional fees				
	17 Interest				
	18 Taxes STMT 4	1,170.	1,170.		0.
	19 Depreciation and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses STMT 5	14,200.	14,200.		0.
	24 **Total operating and administrative expenses** Add lines 13 through 23	16,895.	16,895.		0.
	25 Contributions, gifts, grants paid	52,650.			52,650.
	26 **Total expenses and disbursements** Add lines 24 and 25	69,545.	16,895.		52,650.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	-9,773.			
	b **Net investment income** (if negative, enter -0-)		42,877.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

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Part II Balance Sheets (Attached schedules and amounts in the description column should be for end-of-year amounts only)	Beginning of year (a) Book Value	End of year (b) Book Value	(c) Fair Market Value
Assets			
1 Cash - non-interest-bearing	35,327.	5,813.	5,813.
2 Savings and temporary cash investments			
3 Accounts receivable ▶			
Less: allowance for doubtful accounts ▶			
4 Pledges receivable ▶			
Less: allowance for doubtful accounts ▶			
5 Grants receivable			
6 Receivables due from officers, directors, trustees, and other disqualified persons			
7 Other notes and loans receivable ▶			
Less: allowance for doubtful accounts ▶			
8 Inventories for sale or use			
9 Prepaid expenses and deferred charges			
10a Investments - U S and state government obligations STMT 6	808,085.	822,826.	928,604.
b Investments - corporate stock			
c Investments - corporate bonds			
11 Investments - land, buildings, and equipment basis ▶			
Less accumulated depreciation ▶			
12 Investments - mortgage loans			
13 Investments - other			
14 Land, buildings, and equipment: basis ▶			
Less accumulated depreciation ▶			
15 Other assets (describe ▶)			
16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	843,412.	828,639.	934,417.
Liabilities			
17 Accounts payable and accrued expenses	5,000.		
18 Grants payable			
19 Deferred revenue			
20 Loans from officers, directors, trustees, and other disqualified persons			
21 Mortgages and other notes payable			
22 Other liabilities (describe ▶)			
23 **Total liabilities** (add lines 17 through 22)	5,000.	0.	
Net Assets or Fund Balances			
Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.			
24 Unrestricted			
25 Temporarily restricted			
26 Permanently restricted			
Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.			
27 Capital stock, trust principal, or current funds	0.	0.	
28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.	
29 Retained earnings, accumulated income, endowment, or other funds	838,412.	828,639.	
30 **Total net assets or fund balances**	838,412.	828,639.	
31 **Total liabilities and net assets/fund balances**	843,412.	828,639.	

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	838,412.
2 Enter amount from Part I, line 27a	2	-9,773.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	828,639.
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	828,639.

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a	SEE SCHEDULE ATTACHED			
b	SEE SCHEDULE ATTACHED			
c	CAPITAL GAINS DIVIDENDS			
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				3,358.
b				29,377.
c	4,975.			4,975.
d				
e				

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				3,358.
b				29,377.
c				4,975.
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 37,710.

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

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col. (b) divided by col. (c))
2013	52,150.	912,982.	.057121
2012	47,290.	869,865.	.054365
2011	51,256.	917,016.	.055894
2010	54,836.	923,658.	.059368
2009	50,500.	954,903.	.052885

2	Total of line 1, column (d)	2	.279633
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	.055927
4	Enter the net value of noncharitable-use assets for 2014 from Part X, line 5	4	962,219.
5	Multiply line 4 by line 3	5	53,814.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	429.
7	Add lines 5 and 6	7	54,243.
8	Enter qualifying distributions from Part XII, line 4	8	52,650.

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	858.
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	858.
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	858.
6	Credits/Payments:				
a	2014 estimated tax payments and 2013 overpayment credited to 2014	6a	174.		
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	174.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached			8	13.
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶			9	697.
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶			10	
11	Enter the amount of line 10 to be: **Credited to 2015 estimated tax** ▶		**Refunded** ▶	11	

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?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for the definition)?	1b		X
	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			
c	Did the foundation file **Form 1120-POL** for this year?	1c		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? N/A	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) ▶ CT			
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

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

		Line	Yes	No
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?	13	X	

Website address ▶ N/A

14 The books are in care of ▶ BASSLER FAMILY FOUNDATION, INC Telephone no. ▶ 203-655-9658
Located at ▶ 13 SEAGATE ROAD, DARIEN, CT ZIP+4 ▶ 06820

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ ☐
and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

		Line	Yes	No
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		X
	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 ▶			

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.

			Line	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)?	N/A	1b		
	Organizations relying on a current notice regarding disaster assistance check here	▶ ☐			
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		X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)).				
a	At the end of tax year 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014?	☐ Yes ☒ No			
	If "Yes," list the years ▶ ______, ______, ______, ______				
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		X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2014?		4b		X

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

5a During the year did the foundation pay or incur any amount to:
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No
(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No
(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No
(4) Provide a grant to an organization other than a charitable, etc., organization described in section 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
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X
If "Yes" to 6b, file Form 8870.
7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No
b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A | 7b |

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

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JOHN P. BASSLER 13 SEAGATE ROAD DARIEN, CT 06820	DIRECTOR/PRESIDENT 1.00	0.	0.	0.
SARA A. BASSLER 13 SEAGATE ROAD DARIEN, CT 06820	DIRECTOR/VICE PRESIDENT 1.00	0.	0.	0.
PETER J. BASSLER 40 STURGES COMMONS WESTPORT, CT 06880	DIRECTOR/TREASURER 1.00	0.	0.	0.
E. ELENA HIRSCH 8 PAR ROAD MONTEBELLO, NY 10901	DIRECTOR/SECRETARY 1.00	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

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	
2	
All other program-related investments. See instructions. 3	
Total. Add lines 1 through 3 ▶	0.

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

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	955,226.
b	Average of monthly cash balances	1b	21,646.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	976,872.
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	976,872.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	14,653.
5	**Net value of noncharitable-use assets** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	962,219.
6	**Minimum investment return** Enter 5% of line 5	6	48,111.

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	48,111.
2a	Tax on investment income for 2014 from Part VI, line 5 — 2a: 858.		
b	Income tax for 2014. (This does not include the tax from Part VI.) — 2b:		
c	Add lines 2a and 2b	2c	858.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	47,253.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	47,253.
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	47,253.

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	52,650.
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	52,650.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	5	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	52,650.

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					47,253.
2 Undistributed income, if any, as of the end of 2014					
a Enter amount for 2013 only				0.	
b Total for prior years: ____ , ____ , ____			0.		
3 Excess distributions carryover, if any, to 2014:					
a From 2009	2,755.				
b From 2010	9,191.				
c From 2011	5,923.				
d From 2012	4,317.				
e From 2013	7,297.				
f **Total** of lines 3a through e		29,483.			
4 Qualifying distributions for 2014 from Part XII, line 4: ▶ $ 52,650.					
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					47,253.
e Remaining amount distributed out of corpus		5,397.			
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		34,880.			
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		2,755.			
9 **Excess distributions carryover to 2015** Subtract lines 7 and 8 from line 6a		32,125.			
10 Analysis of line 9:					
a Excess from 2010	9,191.				
b Excess from 2011	5,923.				
c Excess from 2012	4,317.				
d Excess from 2013	7,297.				
e Excess from 2014	5,397.				

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

1 a 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 ▶

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

	Tax year	Prior 3 years			
	(a) 2014	(b) 2013	(c) 2012	(d) 2011	(e) Total
2 a 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 foundation had $5,000 or more in assets at any time during the year-see instructions.)

1 Information Regarding Foundation Managers:

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

NONE

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

NONE

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

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

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

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: 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
a Paid during the year				
CROHNS & COLITIS FOUNDATION OF AMERICA 30 GLEN ST WHITE PLAINS, NY 10603	NONE	OTHER PUBLIC CHARITY	GENERAL	9,000.
FIRST CONGREGATIONAL CHURCH 14 BROOKSIDE RD DARIEN, CT 06820	NONE	OTHER PUBLIC CHARITY	GENERAL	23,900.
LIBERATION PROGRAMS INC 129 GLOVER AVE NORWALK, CT 06850	NONE	OTHER PUBLIC CHARITY	GENERAL	11,000.
MY FACE 333 EAST 30TH ST, LOBBY UNIT NEW YORK, NY 10016	NONE	OTHER PUBLIC CHARITY	GENERAL	2,000.
PLANNED PARENTHOOD 345 WHITNEY AVE NEW HAVEN, CT 06820	NONE	OTHER PUBLIC CHARITY	GENERAL	1,000.
Total SEE CONTINUATION SHEET(S)			▶ 3a	52,650.
b Approved for future payment NONE				
Total			▶ 3b	0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.	Unrelated business income (a) Business code	Unrelated business income (b) Amount	Excluded by section 512, 513, or 514 (c) Exclusion code	Excluded by section 512, 513, or 514 (d) Amount	(e) Related or exempt function income
1 Program service revenue:					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					7.
4 Dividends and interest from securities					22,055.
5 Net rental income or (loss) from real estate:					
a Debt-financed property					
b Not debt-financed property					
6 Net rental income or (loss) from personal property					
7 Other investment income					
8 Gain or (loss) from sales of assets other than inventory					37,710.
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a					
b					
c					
d					
e					
12 Subtotal. Add columns (b), (d), and (e)		0.		0.	59,772.

13 Total Add line 12, columns (b), (d), and (e) 13 59,772.

(See worksheet in line 13 instructions to verify calculations.)

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

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes).
1	INVESTMENT INCOME IS ADDED TO PRINCIPAL AND UTILIZED TO PURSUE A
2	PROGRAM OF SUPPORTING VARIOUS CHARITABLE ORGANIZATIONS DETERMINED BY
3	THE DIRECTORS TO BE WORTHWHILE CHARITABLE ORGANIZATIONS IN NEED OF
4	ADDITIONAL FINANCIAL SUPPORT. THE DIRECTORS SELECT SUCH CHARITABLE
5	ORGANIZATIONS AT LEAST ANNUALLY.

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

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of:			
	(1) Cash	1a(1)		X
	(2) Other assets	1a(2)		X
b	Other transactions:			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
	(3) Rental of facilities, equipment, or other assets	1b(3)		X
	(4) Reimbursement arrangements	1b(4)		X
	(5) Loans or loan guarantees	1b(5)		X
	(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X

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.

(a) Line no	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements
		N/A	

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: D. Bassler — Date: 4/30/15 — Title: PRESIDENT

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
CATHERINE J. O'BRIEN	CATHERINE J. O'BR	4.28.15		P00387420

Firm's name ▶ BARISH & O'BRIEN — Firm's EIN ▶ 13-3341682

Firm's address ▶ 572 NORTH BROADWAY WHITE PLAINS, NY 10603 — Phone no. 914-428-8600

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
TANENBAUM CENTER FOR INTERRELIGIOUS UNDERSTANDING 254 31ST STREET NEW YORK, NY 10001	NONE	OTHER PUBLIC CHARITY	GENERAL	1,000.
THE COMMUNITY FUND OF DARIEN 701 POST ROAD DARIEN, CT 06820	NONE	OTHER PUBLIC CHARITY	GENERAL	3,000.
GREENWICH LEADERSHIP FORUM PO BOX 1517 GREENWICH, CT 06836	NONE	OTHER PUBLIC CHARITY	GENERAL GENERAL	650.
DOCTORS WITHOUT BORDERS 333 7TH AVENUE NEW YORK, NY 10001	NONE	OTHER PUBLIC CHARITY	GENERAL	1,000.
NORWALK GRASSROOTS TENNIS 394 WEST AVENUE NORWALK, CT 06850	NONE	OTHER PUBLIC CHARITY	GENERAL	100.
Total from continuation sheets				5,750.

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

SOURCE	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
UBS FINANCIAL	7.	7.	
TOTAL TO PART I, LINE 3	7.	7.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME
UBS FINANCIAL	27,030.	4,975.	22,055.	22,055.	
TO PART I, LINE 4	27,030.	4,975.	22,055.	22,055.	

FORM 990-PF ACCOUNTING FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
PROFESSIONAL FEES	1,525.	1,525.		0.
TO FORM 990-PF, PG 1, LN 16B	1,525.	1,525.		0.

FORM 990-PF TAXES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST-MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
EXCISE TAX	1,011.	1,011.		0.
FOREIGN TAX	159.	159.		0.
TO FORM 990-PF, PG 1, LN 18	1,170.	1,170.		0.

FORM 990-PF — OTHER EXPENSES — STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BROKER FEES	14,200.	14,200.		0.
TO FORM 990-PF, PG 1, LN 23	14,200.	14,200.		0.

FORM 990-PF — U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS — STATEMENT 6

DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
SEE SCHEDULE ATTACHED		X	822,826.	928,604.
TOTAL U.S. GOVERNMENT OBLIGATIONS				
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS			822,826.	928,604.
TOTAL TO FORM 990-PF, PART II, LINE 10A			822,826.	928,604.

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

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.

Short-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 ($)
ARBITRAGE FUND INSTL CLASS	FIFO	3,821 034	Mar 06, 14	Aug 22, 14	49,558 81	49,163 28			395 53
CLOROX CO	FIFO	21 000	Jun 11, 13	May 07, 14	1,840 62	1,789 98			50.64
CSX CORPORATION	FIFO	77 000	Jun 11, 13	Apr 16, 14	2,116 80	1,934 85			181 95
IVY ASSET STRATEGY FUND CLASS I	FIFO	9 503	Dec 12, 13	Aug 15, 14	303 35	296 71			6 64
RS FLOATING RATE CLASS Y	FIFO	3,743 021	May 20, 14	Oct 15, 14	37,617 36	38,702 84		-1,085 48	
	FIFO	3 227	May 30, 14	Oct 15, 14	32 43	33 33		-0 90	
	FIFO	12.272	Jun 30, 14	Oct 15, 14	123.34	127.02		-3 68	
	FIFO	7.513	Jul 31, 14	Oct 15, 14	75 50	77 31		-1.81	
	FIFO	5 505	Aug 01, 14	Oct 15, 14	55 33	56 65		-1.32	
	FIFO	13 571	Aug 29, 14	Oct 15, 14	136 39	139 51		-3 12	
	FIFO	12 443	Sep 30, 14	Oct 15, 14	125 05	126 42		-1.37	
TEMPLETON GLOBAL TOTAL RETURN CLASS A	FIFO	3,302 233	Mar 12, 13	Mar 06, 14	44,117.83	45,868 02		-1,750 19	
	FIFO	10 081	Mar 15, 13	Mar 06, 14	134.69	139 02		-4 33	
	FIFO	9 932	Apr 15, 13	Mar 06, 14	132 69	138.45		-5.76	
	FIFO	9 917	May 15, 13	Mar 06, 14	132 49	139 53		-7 04	
	FIFO	72.932	Jun 11, 13	Mar 06, 14	974 37	974 37			
	FIFO	10 266	Jun 17, 13	Mar 06, 14	137 15	137.56		-0 41	
	FIFO	10 763	Jul 15, 13	Mar 06, 14	143 80	143 79			0 01
	FIFO	11 125	Aug 15, 13	Mar 06, 14	148 63	146 29			2 34
	FIFO	11.319	Sep 16, 13	Mar 06, 14	151.22	149 86			1 36
	FIFO	12 204	Oct 15, 13	Mar 06, 14	163 04	164 14		-1 10	
	FIFO	9 888	Nov 15, 13	Mar 06, 14	132.11	132.89		-0 78	

continued next page

Realized gains and losses (continued)

Short-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 ($)
	FIFO	35 640	Dec 16, 13	Mar 06, 14	476 15	477 22		-1.07	
	FIFO	10 111	Jan 15, 14	Mar 06, 14	135 08	135 69		-0.61	
	FIFO	11 455	Feb 18, 14	Mar 06, 14	153 04	151 21			1 83
TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	FIFO	212 000	Feb 11, 13	Feb 10, 14	9,292.79	8,185.37			1,107.42
	FIFO	66 000	Jun 11, 13	Feb 10, 14	2,893.04	2,628 77			264 27
UNILEVER PLC AMER SHS NEW SPON ADR	FIFO	50.000	Jun 11, 13	Mar 13, 14	1,961 36	2,063.93		-102.57	
VANGUARD FTSE EUROPE ETF	FIFO	536 000	Aug 05, 13	May 19, 14	32,330.31	28,118 56			4,211 75
VANGUARD FTSE PAC ETF	FIFO	312 000	Sep 13, 13	Jan 16, 14	18,713.86	18,608 13			105 73
Total					**$204,308.63**	**$200,950.70**		**-$2,971.54**	**$6,329.47**
Net short-term capital gains and losses									**$3,357.93**

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 ($)
CALIFORNIA RESOURCES CORP	FIFO	0.600	Apr 11, 12	Dec 01, 14	3.90	4.74		-0 84	
	FIFO	34.600	Apr 11, 12	Dec 02, 14	248 35	273.06		-24 71	
	FIFO	12 400	Jun 11, 13	Dec 02, 14	89.01	99.78		-10.77	
CLOROX CO	FIFO	108 000	Oct 09, 12	May 07, 14	9,466 03	8,059.92			1,406.11
COCA COLA CO COM	FIFO	26 000	May 16, 11	Dec 10, 14	1,092.81	885.39			207.42
	FIFO	74 000	Aug 03, 11	Dec 10, 14	3,110 32	2,531 65	6 50		578 67
	FIFO	74 000	Oct 11, 11	Dec 10, 14	3,110 31	2,473.34			636.97
	FIFO	54 000	Oct 21, 11	Dec 10, 14	2,269 69	1,830 31			439.38
	FIFO	6 000	Jan 27, 12	Dec 10, 14	252 18	202.56			49 62
	FIFO	36.000	Jun 11, 13	Dec 10, 14	1,513.13	1,474 40			38 73
CSX CORPORATION	FIFO	361.000	Jun 12, 12	Apr 16, 14	9,924 24	7,602 66			2,321 58
IVY ASSET STRATEGY FUND CLASS I	FIFO	10 456	May 14, 10	Aug 15, 14	333 78	226.24			107.54
	FIFO	171 139	Jun 01, 10	Aug 15, 14	5,462 78	3,547.20			1,915.58

continued next page

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 ($)
	FIFO	68 997	Jul 01, 10	Aug 15, 14	2,202 39	1,423.14			779 25
	FIFO	280 053	Oct 01, 10	Aug 15, 14	8,939 32	6,468.75			2,470 57
	FIFO	216.612	Nov 01, 10	Aug 15, 14	6,914 25	5,191.35			1,722 90
	FIFO	203 471	Dec 02, 10	Aug 15, 14	6,494 81	5,020 15			1,474.66
	FIFO	6 681	Dec 09, 10	Aug 15, 14	213 26	163.29			49 97
	FIFO	252 725	Dec 21, 10	Aug 15, 14	8,067 00	6,207.30			1,859 70
	FIFO	350 982	Feb 28, 11	Aug 15, 14	11,203.35	8,857.95			2,345 40
	FIFO	300.141	Oct 21, 11	Aug 15, 14	9,580.53	6,920 64			2,659 89
	FIFO	37 209	Dec 08, 11	Aug 15, 14	1,187 72	853 84			333.88
	FIFO	61 707	Dec 13, 12	Aug 15, 14	1,969 71	1,584.75			384.96
MAINSTAY MARKETFIELD FUND CLASS I	FIFO	873.708	Oct 05, 12	Oct 13, 14	14,162 81	13,804 58			358 23
	FIFO	807.700	Oct 05, 12	Oct 21, 14	13,351.28	12,761.66			589 62
	FIFO	341 162	Oct 19, 12	Oct 21, 14	5,639.41	5,328 95			310 46
SANOFI SPON ADR	FIFO	27.000	May 16, 11	Feb 10, 14	1,306 78	1,029 95			276.83
	FIFO	58 000	Aug 03, 11	Feb 10, 14	2,807 17	2,321.76	165.51		485.41
	FIFO	77.000	Oct 11, 11	Feb 10, 14	3,726 76	2,618 69			1,108 07
	FIFO	46 000	Oct 21, 11	Feb 10, 14	2,226.37	1,627.44			598.93
UNILEVER PLC AMER SHS NEW SPON ADR	FIFO	217 000	Oct 09, 12	Mar 13, 14	8,512 28	8,067.27			445.01
VANGUARD INDEX FUNDS VANGUARD SMALL CAP ETF	FIFO	62.000	Dec 12, 12	May 19, 14	6,805 33	5,038 83			1,766.50
	FIFO	87 000	Mar 13, 13	May 19, 14	9,549 42	7,858.16			1,691.26
Total					**$161,736.48**	**$132,359.70**		**-$36.32**	**$29,413.10**
Net long-term capital gains or losses									**$29,376.78**
Net capital gains/losses:									**$32,734.71**

Account name: BASSLER FAMILY FOUNDATION,INC
Account number: NE 07737 KE

Your Financial Advisor:
SHAPIRO/LIVACCARI
212-821-2700/800-543-0802

Your assets

Some prices, income and current values shown may be approximate As a result, gains and losses may not be accurately reflected See *Important information about your statement* at the end of this document for more information.

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
AFLAC INC								
Symbol. AFL Exchange: NYSE								
EAI. $304 Current yield 2.55%	May 16, 11	7 000	54 104	378.73	61 090	427.63	48 90	LT
	Aug 3, 11	69 000	44.406	4,072.43 [2]	61 090	4,215 21	142.78	LT
	Oct 11, 11	53 000	38 823	2,057 67	61.090	3,237.77	1,180.10	LT
	Oct 21, 11	33 000	42.223	1,393.36	61.090	2,015 97	622.61	LT
	Jun 11, 13	33 000	56.557	1,866 39	61.090	2,015 97	149.58	LT
Security total		195.000	50.095	9,768.58		11,912.55	2,143.97	
BOEING COMPANY								
Symbol: BA Exchange. NYSE								
EAI: $393 Current yield: 2.80%	Aug 3, 11	41 000	66.968	3,474.67 [2]	129.980	5,329 18	1,854.51	LT
	Oct 11, 11	36.000	63.928	2,301.44	129.980	4,679 28	2,377.84	LT
	Oct 21, 11	29.000	64 208	1,862.06	129.980	3,769.42	1,907.36	LT
	Jun 11, 13	2 000	102.655	205.31	129.980	259.96	54.65	LT
Security total		108 000	72.625	7,843 48		14,037.84	6,194.36	

continued next page

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
BRITISH AMER TOBACCO PLC GB SPON ADR								
Symbol: BTI Exchange: AMEX								
EAI. $487 Current yield. 4.47%	May 16, 11	18 000	87 593	1,576 69	107 820	1,940 76	364 07	LT
	Aug 3, 11	21.000	92.644	1,962.53 [2]	107.820	2,264.22	301 69	LT
	Oct 11, 11	27.000	88.137	2,379.72	107.820	2,911.14	531.42	LT
	Oct 21, 11	18.000	91.890	1,654 02	107 820	1,940.76	286.74	LT
	Jan 27, 12	2 000	92.520	185.04	107.820	215.64	30 60	LT
	Jun 11, 13	15.000	109.510	1,642.65	107.820	1,617.30	-25 35	LT
Security total		101.000	93 076	9,400.65		10,889 82	1,489.17	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange. NYSE								
EAI $268 Current yield 2 08%	May 16, 11	20 000	43 359	867.19	69 190	1,383.80	516.61	LT
	Aug 3, 11	58.000	41.943	2,447.12 [2]	69.190	4,013.02	1,565.90	LT
	Oct 11, 11	50 000	45 365	2,268 25	69 190	3,459 50	1,191.25	LT
	Oct 21, 11	38.000	46.673	1,773 60	69 190	2,629 22	855 62	LT
	Jan 27, 12	8 000	45 290	362.32	69.190	553.52	191 20	LT
	Jun 11, 13	12 000	59.235	710 82	69.190	830 28	119 46	LT
Security total		186 000	45.319	8,429.30		12,869 34	4,440 04	
DIAGEO PLC NEW GB-SPON ADR								
Symbol: DEO Exchange: NYSE								
EAI: $313 Current yield 2.95%	Sep 15, 11	42 000	77.828	3,268.79	114 090	4,791 78	1,522 99	LT
	Oct 11, 11	28.000	79 677	2,230.98	114 090	3,194.52	963 54	LT
	Oct 21, 11	19 000	84.447	1,604 50	114 090	2,167.71	563 21	LT
	Jun 11, 13	4 000	118 770	475.08	114 090	456.36	-18 72	LT
Security total		93 000	81.498	7,579 35		10,610 37	3,031 02	
DOMINION RESOURCES INC VA (NEW)								
Symbol. D Exchange. NYSE								
EAI: $401 Current yield. 3.12%	Feb 10, 14	167 000	68 459	11,432.81	76 900	12,842.30	1,409 49	ST
EMERSON ELECTRIC CO								
Symbol: EMR Exchange: NYSE								
EAI: $365 Current yield 3.05%	May 16, 11	8 000	53 587	428.70	61.730	493.84	65 14	LT

continued next page

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	Aug 3, 11	58 000	47.997	3,337.06 2	61.730	3,580.34	243.28	LT
	Oct 11, 11	51 000	45.519	2,321 48	61.730	3,148.23	826.75	LT
	Oct 21, 11	36 000	47 036	1,693 33	61.730	2,222.28	528.95	LT
	Jun 11, 13	41 000	56 839	2,330.43	61.730	2,530.93	200 50	LT
Security total		194 000	52.119	10,111.00		11,975.62	1,864.62	
ILLINOIS TOOL WORKS INC								
Symbol: ITW Exchange: NYSE								
EAI. $303 Current yield 2.05%	May 16, 11	7.000	58.308	408.16	94.700	662.90	254.74	LT
	Aug 3, 11	57.000	48.536	3,629 39 2	94.700	5,397.90	1,768.51	LT
	Oct 11, 11	53 000	44 519	2,359.55	94 700	5,019.10	2,659.55	LT
	Oct 21, 11	33 000	47.017	1,551.58	94.700	3,125.10	1,573 52	LT
	Jun 11, 13	6 000	70.415	422 49	94.700	568.20	145.71	LT
Security total		156 000	53.661	8,371.17		14,773.20	6,402.03	
INTEL CORP								
Symbol: INTC Exchange· OTC								
EAI· $397 Current yield. 2 48%	May 16, 11	34.000	23.803	809.31	36.290	1,233.86	424.55	LT
	Aug 3, 11	114.000	21.779	2,986 85 2	36 290	4,137.06	1,150.21	LT
	Oct 11, 11	80 000	22.959	1,836 72	36.290	2,903 20	1,066 48	LT
	Oct 21, 11	68.000	23.998	1,631 93	36.290	2,467.72	835 79	LT
	Jun 11, 13	145.000	25.023	3,628.38	36 290	5,262.05	1,633.67	LT
Security total		441 000	24.701	10,893.19		16,003.89	5,110.70	
INVESCO LTD								
Symbol: IVZ Exchange: NYSE								
EAI: $334 Current yield: 2.53%	Feb 10, 14	334.000	34 218	11,429.10	39 520	13,199 68	1,770 58	ST
JOHNSON & JOHNSON COM								
Symbol· JNJ Exchange: NYSE								
EAI: $364 Current yield· 2.68%	May 16, 11	17 000	66.578	1,131.84	104.570	1,777 69	645 85	LT
	Aug 3, 11	35 000	63.027	2,321.37 2	104.570	3,659.95	1,338.58	LT
	Oct 11, 11	38 000	63.980	2,431.24	104.570	3,973.66	1,542.42	LT
	Oct 21, 11	31.000	63.499	1,968.48	104.570	3,241.67	1,273 19	LT
	Jun 11, 13	9.000	84.867	763.81	104.570	941.13	177.32	LT
Security total		130 000	66.283	8,616.74		13,594.10	4,977.36	

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
MEDTRONIC INC								
Symbol. MDT Exchange· NYSE								
EAI: $259 Current yield: 1.69%	Aug 3, 11	78 000	34 105	3,343.63[2]	72 200	5,631.60	2,287 97	LT
	Oct 11, 11	74.000	33 317	2,465 46	72 200	5,342.80	2,877 34	LT
	Oct 21, 11	50 000	34 256	1,712.83	72 200	3,610.00	1,897 17	LT
	Jun 11, 13	10.000	52 168	521 68	72 200	722.00	200 32	LT
Security total		212.000	37.942	8,043.60		15,306 40	7,262 80	
MICROSOFT CORP								
Symbol. MSFT Exchange: OTC								
EAI: $389 Current yield: 2.67%	Dec 13, 13	314 000	36.782	11,549.72	46.450	14,585.30	3,035.58	LT
NEXTERA ENERGY INC COM								
Symbol. NEE Exchange· NYSE								
EAI: $406 Current yield: 2.73%	Aug 3, 11	56 000	53 698	3,168 91[2]	106.290	5,952.24	2,783.33	LT
	Oct 11, 11	45.000	54.557	2,455.08	106.290	4,783.05	2,327.97	LT
	Oct 21, 11	32.000	55.748	1,783 96	106.290	3,401.28	1,617.32	LT
	Jun 11, 13	7.000	78 710	550.97	106 290	744.03	193.06	LT
Security total		140 000	56.849	7,958.92		14,880.60	6,921.68	
NORDSTROM INC								
Symbol. JWN Exchange. NYSE								
EAI. $255 Current yield 1.66%	Aug 20, 13	193 000	57.179	11,035.71	79.390	15,322.27	4,286.56	LT
NORTHEAST UTILITIES								
Symbol: NU Exchange. NYSE								
EAI. $413 Current yield: 2.93%	May 16, 11	28 000	36 010	1,008.28	53 520	1,498.56	490 28	LT
	Aug 3, 11	71.000	32.930	2,511.26[2]	53.520	3,799.92	1,288.66	LT
	Oct 11, 11	81 000	32.289	2,615 41	53.520	4,335.12	1,719.71	LT
	Oct 21, 11	48 000	33 669	1,616.12	53.520	2,568.96	952.84	LT
	Jun 11, 13	35 000	42.033	1,471.18	53.520	1,873.20	402.02	LT
Security total		263 000	35.066	9,222.25		14,075.76	4,853.51	
NOVARTIS AG SPON ADR								
Symbol: NVS Exchange: NYSE								
EAI· $358 Current yield. 2.53%	May 16, 11	19.000	61 288	1,164.49	92.660	1,760.54	596.05	LT
	Aug 3, 11	41.000	59 623	2,662.12[2]	92.660	3,799.06	1,136.94	LT
	Oct 11, 11	41.000	57.524	2,358.52	92.660	3,799.06	1,440.54	LT

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Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
	Oct 21, 11	31.000	58.519	1,814 10	92.660	2,872.46	1,058.36	LT
	Jan 27, 12	13.000	54 490	708.37	92.660	1,204.58	496.21	LT
	Jun 11, 13	8 000	72.256	578.05	92 660	741.28	163.23	LT
Security total		153.000	60.691	9,285 65		14,176.98	4,891.33	
OCCIDENTAL PETROLEUM CRP Symbol: OXY Exchange: NYSE EAI. $343 Current yield: 3.58%	Apr 11, 12	88.000	87.426	7,693 53	80 610	7,093.68	-599.85	LT
	Jun 11, 13	31.000	89.140	2,763.34	80.610	2,498.91	-264.43	LT
Security total		119.000	87.873	10,456 87		9,592.59	-864.28	
PEARSON PLC SPON ADR Symbol: PSO Exchange: NYSE EAI: $487 Current yield: 4.41%	May 16, 11	93 000	18.722	1,741.19	18.450	1,715.85	-25 34	LT
	Aug 3, 11	105 000	18.708	2,137.94 [2]	18 450	1,937.25	-200.69	LT
	Oct 11, 11	122 000	18.216	2,222.47	18.450	2,250 90	28.43	LT
	Oct 21, 11	99 000	18.464	1,827 95	18.450	1,826.55	-1.40	LT
	Jan 27, 12	10 000	18.487	184 87	18 450	184.50	-0.37	LT
	Jun 11, 13	169 000	18.532	3,131.92	18.450	3,118 05	-13.87	LT
Security total		598 000	18.807	11,246 34		11,033.10	-213.24	
QUALCOMM INC Symbol. QCOM Exchange: OTC EAI: $245 Current yield· 2.26%	May 7, 14	146 000	79 183	11,560.77	74 330	10,852.18	-708.59	ST
ROCHE HLDG LTD SPONS ADR SWITZ ADR Symbol· RHHBY Exchange: OTC EAI: $293 Current yield: 2.69%	Mar 13, 14	320.000	36.533	11,690.64	33.990	10,876.80	-813 84	ST
STANLEY BLACK & DECKER INC COM Symbol: SWK Exchange: NYSE EAI: $264 Current yield: 2.16%	Aug 20, 13	127 000	86.592	10,997.23	96 080	12,202.16	1,204.93	LT
TORONTO DOMINION BK NEW CANADA CAD Symbol. TD Exchange: NYSE EAI: $369 Current yield. 3.46% CAD Exchange rate. 1.15825	Aug 11, 14	223.000	51.781	11,547.30	47.780	10,654.94	-892.36	ST

continued next page

Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
TRAVELERS COS INC/THE								
Symbol TRV Exchange: NYSE								
EAI. $306 Current yield: 2.08%	Feb 10, 14	139.000	82 171	11,421 88	105 850	14,713.15	3,291.27	ST
UNION PACIFIC CORP								
Symbol: UNP Exchange· NYSE								
EAI: $248 Current yield: 1.68%	Apr 16, 14	124 000	93.637	11,611 08	119.130	14,772.12	3,161 04	ST
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: $343 Current yield. 2.41%	May 16, 11	8.000	74.010	592.08	111.170	889.36	297.28	LT
	Aug 3, 11	39.000	66.864	3,038 51 [2]	111.170	4,335 63	1,297.12	LT
	Oct 11, 11	33.000	67.829	2,238.36	111 170	3,668.61	1,430 25	LT
	Oct 21, 11	24.000	69.987	1,679.70	111.170	2,668.08	988.38	LT
	Jun 11, 13	24.000	86.102	2,066.47	111.170	2,668.08	601.61	LT
Security total		128 000	75.118	9,615.12		14,229.76	4,614.64	
UNTD TECHNOLOGIES CORP								
Symbol. UTX Exchange. NYSE								
EAI· $276 Current yield· 2 05%	May 16, 11	13.000	89.098	1,158 28	115.000	1,495 00	336.72	LT
	Aug 3, 11	34.000	78 818	3,336.01 [2]	115 000	3,910.00	573.99	LT
	Oct 11, 11	31 000	73.700	2,284 70	115 000	3,565 00	1,280.30	LT
	Oct 21, 11	24 000	75 199	1,804 78	115.000	2,760 00	955.22	LT
	Jun 11, 13	15 000	94.482	1,417.23	115.000	1,725.00	307.77	LT
Security total		117.000	85 479	10,001 00		13,455.00	3,454.00	
VF CORP								
Symbol: VFC Exchange: NYSE								
EAI. $297 Current yield. 1.71%	Nov 13, 12	196 000	39.493	7,740 68	74 900	14,680.40	6,939 72	LT
	Jun 11, 13	36.000	47 350	1,704 60	74.900	2,696 40	991.80	LT
Security total		232.000	40.712	9,445 28		17,376.80	7,931.52	
YUM! BRANDS INC								
Symbol: YUM Exchange: NYSE								
EAI: $259 Current yield: 2.25%	Nov 15, 13	158 000	73 848	11,668 13	72 850	11,510.30	-157 83	LT
Total				**$292,232.86**		**$382,324.92**	**$90,092.06**	

Total estimated annual income: $9,739

[2] Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction

Your assets › Equities (continued)

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
ISHARES TRUST CORE S&P									
SMALL-CAP ETF									
Symbol· IJR									
Trade date Oct 21, 14	181.000	105.131	19,028.75	19,028.75	114.060	20,644 86	1,616 11	1,616 11	ST
EAI· $254 Current yield: 1.23%									
SPDR S&P MIDCAP 400 ETF TR									
Symbol: MDY									
Trade date: Dec 12, 12	86 000	185.119	15,920.31	15,920.31	263 970	22,701.42	6,781.11		LT
Trade date: Jan 9, 13	42 000	192.032	8,065 37	8,065 37	263 970	11,086.74	3,021.37		LT
EAI: $397 Current yield: 1.17%									
Security total	128 000	187.388	23,985 68	23,985.68		33,788.16	9,802.48	9,802.48	
VANGUARD INDEX FUNDS VANGUARD									
SMALL CAP ETF									
Symbol: VB									
Trade date: Mar 13, 13	93.000	90 323	8,400.10	8,400.10	116.660	10,849.38	2,449.28		LT
Trade date. Jul 10, 13	173.000	97.480	16,864.09	16,864 09	116.660	20,182 18	3,318 09		LT
EAI: $445 Current yield: 1 43%									
Security total	266 000	94 978	25,264 19	25,264.19		31,031.56	5,767.37	5,767.37	
VANGUARD INDEX FUNDS VANGUARD									
MID CAP ETF									
Symbol. VO									
Trade date: Mar 12, 13	286.000	91.581	26,192.19	26,192.19	123.560	35,338.16	9,145 97		LT
Trade date: Aug 18, 14	371.000	118.620	44,008.03	44,008.03	123.560	45,840.76	1,832.73		ST
EAI: $1,047 Current yield: 1.29%									

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Your assets › Equities › Closed end funds & Exchange traded products (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Security total	657 000	106.850	70,200.22	70,200.22		81,178 92	10,978.70	10,978 70	
Total			**$138,478.84**	**$138,478.84**		**$166,643.50**	**$28,164.66**	**$28,164.66**	

Total estimated annual income: $2,143

Fixed income

Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
VANGUARD CHARLOTTE FDS TOTAL									
INTL BD INDEX FD ETF CL									
Symbol: BNDX									
Trade date: Oct 15, 14	527.000	52 612	27,726 91	27,726.91	53.110	27,988 97	262.06	262 06	ST
EAI: $431 Current yield: 1.54%									
VANGUARD BD INDEX FD INC TOTAL									
BOND MKT ETF									
Symbol: BND									
Trade date Aug 22, 14	596 000	82 270	49,032 92	49,032.92	82.370	49,092.52	59.60		ST
Trade date: Oct 13, 14	311 000	82 788	25,747 20	25,747 20	82 370	25,617.07	-130.13		ST
EAI: $2,073 Current yield: 2.77%									
Security total	907.000	82 448	74,780.12	74,780.12		74,709 59	-70.53	-70.53	
Total			**$102,507.03**	**$102,507.03**		**$102,698.56**	**$191.53**	**$191.53**	

Total estimated annual income: $2,504

Your assets › Fixed income (continued)

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
LORD ABBETT HIGH YIELD									
FUND CLASS F									
Symbol: LHYFX									
Trade date: Jul 30, 13	4,701.639	7 910	37,191.25	37,191.25	7.450	35,027.21	-2,164 04		LT
Trade date: Aug 1, 14	10.539	7.909	83.36	83 36	7.450	78.52	-4 84		ST
Total reinvested	670.225	7.783		5,216.41	7.450	4,993.18	-223.23		
EAI. $2,503 Current yield· 6.24%									
Security total	5,382.403	7 894	37,274.61	42,491.02		40,098.90	-2,392 11	2,824.30	
PRUDENTIAL TOTAL RETURN									
BOND FUND CLASS Z									
Symbol· PDBZX									
Trade date: Mar 12, 13	5,042.445	14.544	73,338 72	73,338.72	14.410	72,661.63	-677.09		LT
Trade date· Jun 11, 13	62.186	14.259	886.76	886.76	14.410	896.10	9.34		LT
Trade date: Aug 1, 14	6 255	14 338	89.69	89 69	14.410	90.13	0.44		ST
Total reinvested	312.800	14 255		4,459.00	14.410	4,507.44	48 44		
EAI: $2,788 Current yield: 3.57%									
Security total	5,423.686	14 524	74,315 17	78,774.17		78,155.31	-618.87	3,840.13	
Total			**$111,589.78**	**$121,265.19**		**$118,254.21**	**-$3,010.98**	**$6,664.43**	

Total estimated annual income: $5,291

Your assets (continued)

Non-traditional

Mutual funds

Total reinvested is the total of all reinvested dividends It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
MAINSTAY MARKETFIELD									
FUND CLASS I									
Symbol: MFLDX									
Trade date: Oct 19, 12	221 064	15.620	3,453.02	3,453.02	16 240	3,590.08	137.06		LT
Trade date: Mar 13, 13	1,491.685	16 759	25,000.64	25,000.64	16.240	24,224 96	-775 68		LT
Total reinvested	18.818	15.569		292.99	16.240	305.60	12.61		
Security total	1,731.567	16.602	28,453 66	28,746.65		28,120.64	-626 01	-333 02	

Other

Mutual funds

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot

Cost basis is the total purchase cost of the security, including reinvested dividends The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes

Investment return is the current value minus the amount you invested It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
FIRST EAGLE GLOBAL FUNDS									
CLASS I									
Symbol: SGIIX									
Trade date: Oct 5, 12	998 691	50.194	50,129.20	50,129.20	52.640	52,571.09	2,441.89		LT
Total reinvested	165 580	50.540		8,368.53	52 640	8,716.13	347.60		

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Account name: BASSLER FAMILY FOUNDATION,INC
Account number: NE 07737 KE

Your Financial Advisor:
SHAPIRO/LIVACCARI
212-821-2700/800-543-0802

Your assets › Other › Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share ($)	Client investment ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized (tax) gain or loss ($)	Investment return ($)	Holding period
Security total	1,164 271	50.244	50,129.20	58,497.73		61,287.22	2,789 49	11,158 02	
PUTNAM CAPITAL SPECTRUM									
FUND CLASS Y									
Symbol: PVSYX									
Trade date. Oct 5, 12	1,066.726	26 836	28,627.40	28,627.40	38.810	41,399 65	12,772.25		LT
Trade date: Oct 19, 12	668 328	27.379	18,298.33	18,298 33	38 810	25,937.81	7,639.48		LT
Trade date· Jul 10, 13	845 737	30.966	26,189 22	26,189.22	38.810	32,823 03	6,633 81		LT
Total reinvested	234.853	33.990		7,982.74	38.810	9,114 65	1,131.91		
Security total	2,815 644	28.803	73,114 95	81,097 69		109,275.14	28,177.45	36,160.19	
Total			**$123,244.15**	**$139,595.42**		**$170,562.36**	**$30,966.94**	**$47,318.21**	

Total Assets 822,825.99 968,604.19

Your total assets

		Value on Dec 31 ($)	Percentage of your account	Cost basis ($)	Estimated annual income ($)	Unrealized gain or loss ($)
Cash	**Cash and money balances**	**6,916.35**	**0.71%**	**6,916.35**		
Equities	Common stock	382,324 92		292,232.86 A	9,739.00	90,092 06
	Closed end funds & Exchange traded products	166,643.50		138,478.84 A	2,143.00	28,164.66
	Total equities	**548,968.42**	**56.27%**	**430,711.70**	**11,882.00**	**118,256.72**
Fixed income	Closed end funds & Exchange traded products	102,698.56		102,507 03 A	2,504.00	191 53
	Mutual funds	118,254.21		121,265.19 A	5,291.00	-3,010.98
	Total fixed income	**220,952.77**	**22.65%**	**223,772.22**	**7,795.00**	**-2,819.45**
Non-traditional	**Mutual funds**	**28,120.64**	**2.88%**	**28,746.65** A		**-626.01**
Other	**Mutual funds**	**170,562.36**	**17.49%**	**139,595.42** A		**30,966.94**
Total		**$975,520.54**	**100.00%**	**$829,742.34**	**$19,677.00**	**$145,778.20**

A= 822,825.99