EXTENDED TO AUGUST 17, 2015

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
THE GROSSMAN FAMILY FOUNDATION

A Employer identification number
26-3919092

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

Room/suite

B Telephone number
203-340-2020

City or town, state or province, country, and ZIP or foreign postal code
COS COB, CT 06807

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)*
▶$ 155,407,420.

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	8,255.	2,323.		STATEMENT 1
	4 Dividends and interest from securities	4,826,922.	4,771,922.		STATEMENT 2
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	3,841,939.			
	b Gross sales price for all assets on line 6a 121,810,946.				
	7 Capital gain net income (from Part IV, line 2)		3,841,939.		
	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	1,345,461.	931,720.		STATEMENT 3
	12 **Total.** Add lines 1 through 11	10,022,577.	9,547,904.		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	50,000.	5,000.		45,000.
	14 Other employee salaries and wages	228,827.	22,883.		205,944.
	15 Pension plans, employee benefits	16,096.	1,610.		14,486.
	16a Legal fees STMT 4	25,996.	0.		25,996.
	b Accounting fees STMT 5	20,000.	10,000.		10,000.
	c Other professional fees STMT 6	298,607.	247,822.		27,499.
	17 Interest	452.	357.		0.
	18 Taxes STMT 7	423,046.	78,173.		-28.
	19 Depreciation and depletion	6,809.	0.		
	20 Occupancy				
	21 Travel, conferences, and meetings	3,021.	0.		3,021.
	22 Printing and publications				
	23 Other expenses STMT 8	29,369.	17,233.		11,192.
	24 **Total operating and administrative expenses.** Add lines 13 through 23	1,102,223.	383,078.		343,110.
	25 Contributions, gifts, grants paid	7,550,000.			7,550,000.
	26 **Total expenses and disbursements.** Add lines 24 and 25	8,652,223.	383,078.		7,893,110.
	27 Subtract line 26 from line 12:				
	a Excess of revenue over expenses and disbursements	1,370,354.			
	b **Net investment income** (if negative, enter -0-)		9,164,826.		
	c **Adjusted net income** (if negative, enter -0-)			N/A	

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11-24-14 LHA **For Paperwork Reduction Act Notice, see instructions.**

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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	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1 Cash - non-interest-bearing	2,264,900.	5,966,304.	5,966,304.
	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 9	97,500.	199,650.	201,528.
	b Investments - corporate stock STMT 10	60,392,841.	53,972,733.	54,861,034.
	c Investments - corporate bonds STMT 11	62,065,557.	72,174,866.	70,523,685.
	11 Investments - land, buildings, and equipment: basis ▶			
	Less accumulated depreciation ▶			
	12 Investments - mortgage loans			
	13 Investments - other STMT 12	27,321,931.	21,216,879.	23,842,777.
	14 Land, buildings, and equipment: basis ▶ 51,259.			
	Less accumulated depreciation STMT 13 ▶ 39,167.	15,205.	12,092.	12,092.
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers - see the instructions. Also, see page 1, item I)	152,157,934.	153,542,524.	155,407,420.
Liabilities	17 Accounts payable and accrued expenses		17,474.	
	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)	0.	17,474.	
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	152,157,934.	153,525,050.	
	30 **Total net assets or fund balances**	152,157,934.	153,525,050.	
	31 **Total liabilities and net assets/fund balances**	152,157,934.	153,542,524.	

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	152,157,934.
2 Enter amount from Part I, line 27a	2	1,370,354.
3 Other increases not included in line 2 (itemize) ▶	3	0.
4 Add lines 1, 2, and 3	4	153,528,288.
5 Decreases not included in line 2 (itemize) ▶ PRIOR PERIOD BASIS ADJUSTMENTS	5	3,238.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	153,525,050.

Part IV Capital Gains and Losses for Tax on Investment Income

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

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a				
b				
c				
d				
e	121,810,946.		117,969,007.	3,841,939.

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

	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	(l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
a				
b				
c				
d				
e				3,841,939.

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	3,841,939.
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	7,490,922.	163,779,217.	.045738
2012	7,429,287.	154,114,679.	.048206
2011	7,200,132.	154,345,236.	.046650
2010	6,569,113.	148,057,231.	.044369
2009	106,874.	133,049,007.	.000803

2 **Total** of line 1, column (d)	2	.185766
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	.037153
4 Enter the net value of noncharitable-use assets for 2014 from Part X, line 5	4	157,802,887.
5 Multiply line 4 by line 3	5	5,862,851.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	91,648.
7 Add lines 5 and 6	7	5,954,499.
8 Enter qualifying distributions from Part XII, line 4	8	7,893,110.

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	91,648.
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	14.
3	Add lines 1 and 2			3	91,662.
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	91,662.
6	Credits/Payments:				
a	2014 estimated tax payments and 2013 overpayment credited to 2014	6a	115,000.		
b	Exempt foreign organizations - tax withheld at source	6b			
c	Tax paid with application for extension of time to file (Form 8868)	6c	45,000.		
d	Backup withholding erroneously withheld	6d			
7	Total credits and payments. Add lines 6a through 6d			7	160,000.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached			8	82.
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	68,256.
11	Enter the amount of line 10 to be: **Credited to 2015 estimated tax** ▶ 68,256. **Refunded** ▶			11	0.

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?	4b	X	
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)*

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) SEE STATEMENT 14	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 ▶ STEVEN GROSSMAN Telephone no. ▶203-340-2020 Located at ▶133 RIVER ROAD, COS COB, CT ZIP+4 ▶06807			
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 60,932.			
			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.		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
SEE STATEMENT 15		50,000.	0.	0.

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

(a) Name and address of each employee paid more than $50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
LINDA FRANCISCOVICH 133 RIVER ROAD, COS COB, CT 06807	EXECUTIVE DIRECTOR 40.00	224,700.	16,096.	0.

Total number of other employees paid over $50,000 ▶ 1

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
UBS FINANCIAL SERVICES INC. 500 CAMPUS DRIVE, FLORHAM PARK, NJ 07932	INVESTMENT ADVISORY	200,563.
MORGAN STANLEY SMITH BARNEY HOLDINGS LLC - 1 NEW YORK PLAZA, 8TH FLOOR, NEW YORK, NY 10004	INVESTMENT ADVISORY	82,386.
Total number of others receiving over $50,000 for professional services ▶		2

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.

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	157,555,490.
b	Average of monthly cash balances	1b	2,650,487.
c	Fair market value of all other assets	1c	
d	**Total** (add lines 1a, b, and c)	1d	160,205,977.
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	160,205,977.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	2,403,090.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4	5	157,802,887.
6	**Minimum investment return.** Enter 5% of line 5	6	7,890,144.

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	7,890,144.
2a	Tax on investment income for 2014 from Part VI, line 5 — 2a: 91,662.		
b	Income tax for 2014. (This does not include the tax from Part VI.) — 2b:		
c	Add lines 2a and 2b	2c	91,662.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	7,798,482.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	7,798,482.
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	7,798,482.

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	7,893,110.
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	7,893,110.
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	91,648.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	7,801,462.

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					7,798,482.
2 Undistributed income, if any, as of the end of 2014					
a Enter amount for 2013 only				7,874,804.	
b Total for prior years: ______ , ______ , ______			0.		
3 Excess distributions carryover, if any, to 2014:					
a From 2009					
b From 2010					
c From 2011					
d From 2012					
e From 2013					
f **Total** of lines 3a through e		0.			
4 Qualifying distributions for 2014 from Part XII, line 4: ▶$ 7,893,110.					
a Applied to 2013, but not more than line 2a				7,874,804.	
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					18,306.
e Remaining amount distributed out of corpus		0.			
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		0.			
b Prior years' undistributed income. Subtract line 4b from line 2b			0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed			0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions			0.		
e Undistributed income for 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					7,780,176.
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		0.			
9 **Excess distributions carryover to 2015.** Subtract lines 7 and 8 from line 6a		0.			
10 Analysis of line 9:					
a Excess from 2010					
b Excess from 2011					
c Excess from 2012					
d Excess from 2013					
e Excess from 2014					

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).)

STEVEN GROSSMAN

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 ▶ ☒ 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*				
NATIONAL PHILANTHROPIC TRUST 165 TOWNSHIP LINE ROAD, SUITE 150 JENKINTOWN, PA 19046	N/A	EXEMPT ORG. UNDER 501(C)(3)	GENERAL PURPOSE	6,300,000.
NATIONAL PHILANTHROPIC TRUST 165 TOWNSHIP LINE ROAD, SUITE 150 JENKINTOWN, PA 19046	N/A	EXEMPT ORG. UNDER 501(C)(3)	GENERAL PURPOSE	1,250,000.
Total			▶ 3a	7,550,000.
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		Excluded by section 512, 513, or 514		(e) Related or exempt function income
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
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			14	8,255.	
4 Dividends and interest from securities			14	4,826,922.	
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			14	1,345,461.	
8 Gain or (loss) from sales of assets other than inventory			18	3,841,939.	
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.		10,022,577.	0.

13 **Total.** Add line 12, columns (b), (d), and (e) 13 10,022,577.

(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).

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 — Date: 6/23/2015 — Title: TRUSTEE

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

Paid Preparer Use Only

Print/Type preparer's name: CHRIS CARREIRA

Preparer's signature

Date: 6/19/15

Check ☐ if self- employed

PTIN: P01250834

Firm's name ▶ ANDERSEN TAX LLC

Firm's EIN ▶ 33-1197384

Firm's address ▶ 1700 EAST PUTNAM AVENUE, SUITE 408
OLD GREENWICH, CT 06870

Phone no. 203-987-3660

Form **990-PF** (2014)

THE GROSSMAN FAMILY FOUNDATION

CONTINUATION FOR 990-PF, PART IV
26-3919092 PAGE 1 OF 4

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	UBS #27690 (SEE ATTACHED)	P	VARIOUS	VARIOUS
b	UBS #27690 (SEE ATTACHED)	P	VARIOUS	VARIOUS
c	UBS #27690 (SEE ATTACHED)	P	04/25/13	05/30/14
d	UBS #33326 (SEE ATTACHED)	P	VARIOUS	VARIOUS
e	UBS #33326 (SEE ATTACHED)	P	VARIOUS	VARIOUS
f	UBS #33326 (SEE ATTACHED)	P	VARIOUS	VARIOUS
g	UBS #33325 (SEE ATTACHED)	P	VARIOUS	VARIOUS
h	UBS #33325 (SEE ATTACHED)	P	VARIOUS	VARIOUS
i	197,010.746 SHS TOUCHSTONE ARBITRAGE FUND CLASS A	P	05/29/14	07/21/14
j	441,013.749 SHS EATON VANCE FLOATING-RATE ADVANTA	P	08/22/13	VARIOUS
k	16,108.247 SHS OAKMARK GLOBAL SELECT FUND CL I	P	09/09/13	02/19/14
l	295.321 SHS T ROWE PRICE INSTITUTIONAL HIGH YIELD	P	08/30/13	08/13/14
m	175,252.540 SHS MAINSTAY MARKETFIELD FUND CL A	P	VARIOUS	09/30/14
n	MORGAN STANLEY #42-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
o	MORGAN STANLEY #42-300 (SEE ATTACHED)	P	07/19/13	VARIOUS

	(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	1,197,619.		1,141,507.	56,112.
b	31,679,771.		31,688,057.	-8,286.
c	895,193.		1,000,000.	-104,807.
d	141,747.		107,477.	34,270.
e	701,047.		449,977.	251,070.
f	316,612.		158,369.	158,243.
g	25,000,000.		25,000,000.	0.
h	2,000,000.		2,000,000.	0.
i	1,952,371.		1,948,436.	3,935.
j	4,889,023.		4,917,308.	-28,285.
k	262,887.		250,000.	12,887.
l	2,888.		2,853.	35.
m	2,938,985.		3,200,011.	-261,026.
n	196,751.		152,227.	44,524.
o	2,313,290.		2,597,503.	-284,213.

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				56,112.
b				-8,286.
c				-104,807.
d				34,270.
e				251,070.
f				158,243.
g				0.
h				0.
i				3,935.
j				-28,285.
k				12,887.
l				35.
m				-261,026.
n				44,524.
o				-284,213.

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	
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	

CONTINUATION FOR 990-PF, PART IV

THE GROSSMAN FAMILY FOUNDATION 26-3919092 PAGE 2 OF 4

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	MORGAN STANLEY #42-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
b	MORGAN STANLEY #63-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
c	MORGAN STANLEY #63-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
d	MORGAN STANLEY #63-300 (SEE ATTACHED)	P	10/10/13	11/03/14
e	MORGAN STANLEY #51-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
f	MORGAN STANLEY #63-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
g	MORGAN STANLEY #70-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
h	MORGAN STANLEY #70-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
i	MORGAN STANLEY #65-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
j	MORGAN STANLEY #65-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
k	MORGAN STANLEY #65-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
l	43,887.405 SHS PRUDENTIAL HIGH YIELD A	P	09/06/13	08/20/14
m	6,630.46 SHS E V INCOME FUND OF BOSTON I	P	VARIOUS	08/18/14
n	MORGAN STANLEY #51-300 (SEE ATTACHED)	P	VARIOUS	VARIOUS
o	UBS #33328 (SEE ATTACHED)	P	VARIOUS	VARIOUS

	(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	1,960,654.		1,876,075.	84,579.
b	4,044,866.		4,042,726.	2,140.
c	2,269,378.		2,219,643.	49,735.
d	78,235.		81,686.	-3,451.
e	14,949.		13,788.	1,161.
f	338,608.		377,799.	-39,191.
g	193,331.		216,705.	-23,374.
h	1,645,385.		1,621,851.	23,534.
i	183,456.		172,290.	11,166.
j	2,811,230.		2,829,574.	-18,344.
k	83,559.		86,667.	-3,108.
l	254,540.		250,000.	4,540.
m	40,446.		39,484.	962.
n	725.		725.	0.
o	1,438,885.		1,472,578.	-33,693.

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				84,579.
b				2,140.
c				49,735.
d				-3,451.
e				1,161.
f				-39,191.
g				-23,374.
h				23,534.
i				11,166.
j				-18,344.
k				-3,108.
l				4,540.
m				962.
n				0.
o				-33,693.

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

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

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	593,445.412 SHS EATON VANCE FLOATING-RATE ADVANTA	P	VARIOUS	VARIOUS
b	184,162.219 SHS TOUCHSTONE MERGER ARBITRAGE FUND	P	VARIOUS	05/29/14
c	250,683.683 SHS DOUBLE LINE TOTAL RETURN FUND N	P	05/12/10	01/31/14
d	UBS #33328 (SEE ATTACHED)	P	VARIOUS	VARIOUS
e	159,384.888 SHS VIRTUS EMERGING MARKETS OPPORTUNI	P	11/15/12	02/04/14
f	437,881.987 SHS T ROWE PRICE INSTITUTIONAL HIGH Y	P	VARIOUS	08/13/14
g	262,906.310 SHS TCW TOTAL RETURN BOND FUND	P	11/18/11	01/31/14
h	534,353.147 SHS E V INCOME FUND OF BOSTON I	P	11/04/11	08/18/14
i	35,970.105 SHS HEDGE FUND OPPORTUNITIES LTD. CLAS	P	VARIOUS	01/01/14
j	THE BLACKSTONE GROUP LP	P	VARIOUS	VARIOUS
k	THE BLACKSTONE GROUP LP	P	VARIOUS	VARIOUS
l	LATEEF: DYNAMIC EQUITY LLC	P	VARIOUS	VARIOUS
m	LATEEF: DYNAMIC EQUITY LLC	P	VARIOUS	VARIOUS
n	KKR & CO. LP	P	VARIOUS	VARIOUS
o	KKR & CO. LP	P	VARIOUS	VARIOUS

	(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	6,610,977.		6,600,011.	10,966.
b	1,948,436.		2,000,005.	-51,569.
c	2,750,000.		2,617,138.	132,862.
d	2,039,334.		2,157,682.	-118,348.
e	1,370,710.		1,499,817.	-129,107.
f	4,282,486.		3,889,739.	392,747.
g	2,750,000.		2,610,539.	139,461.
h	3,259,554.		3,045,760.	213,794.
i	4,970,061.		3,633,000.	1,337,061.
j	5.			5.
k	1,213.			1,213.
l	7,071.			7,071.
m	191,123.			191,123.
n	64.			64.
o	4,844.			4,844.

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				10,966.
b				-51,569.
c				132,862.
d				-118,348.
e				-129,107.
f				392,747.
g				139,461.
h				213,794.
i				1,337,061.
j				5.
k				1,213.
l				7,071.
m				191,123.
n				64.
o				4,844.

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	
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	

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	CAPITAL GAINS DIVIDENDS			
b				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	1,778,637.			1,778,637.
b				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

	Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
	(i) F.M.V. as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col. (i) over col. (j), if any	
a				1,778,637.
b				
c				
d				
e				
f				
g				
h				
i				
j				
k				
l				
m				
n				
o				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 }	2	3,841,939.
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

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

THE GROSSMAN FAMILY FOUNDATION
FLEX FID
133 RIVER ROAD
COS COB CT 06807-2539

Customer Service: 866-324-6088

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ADT CORP REG S 4125 23JN15		CUSIP: 00101JAH9	Symbol:					
	40,000.000	09/29/14	12/23/14	$36,000.00	$35,700.00	$0.00	$300 00	$0.00
ANGLOGOLD HLDG 5125 22AU01		CUSIP: 03512TAC5	Symbol:					
	110,000.000	02/20/14	04/25/14	$106,436.00	$99,497.20	$0.00	$6,938 80	$0.00
CITIGROUP INC 6125 36AU25		CUSIP: 172967DR9	Symbol:					
	150,000.000	08/19/14	10/03/14	$174,000.00	$173,191.94	$0.00	$808.06	$0.00
CONTINENTAL INC 6750 *15SP15		CUSIP: U21105AH1	Symbol:					
	200,000.000	05/30/14	09/15/14	$200,000.00	$202,430.94	$0.00	($2,430.94)	$0.00
DAVITA HEALTHCARE 5 1/8 7-15-2		CUSIP: 23918KAQ1	Symbol:					
	20,000.000	06/17/14	10/17/14	$20,250.00	$20,146.06	$0.00	$103.94	$0.00
	100,000.000	06/17/14	10/17/14	$101,250.00	$100,730.24	$0.00	$519.76	$0.00
Security Subtotal	**120,000.000**			**$121,500.00**	**$120,876.30**	**$0.00**	**$623.70**	**$0.00**
DOLPHIN SUBSIDIAR 7250 *21OC15		CUSIP: 256882AD3	Symbol:					
	15,000.000	01/15/14	03/18/14	$15,487.50	$15,129.08	$0.00	$358.42	$0.00
	100,000.000	02/05/14	03/18/14	$103,250.00	$99,625.00	$0.00	$3,625.00	$0.00
Security Subtotal	**115,000.000**			**$118,737.50**	**$114,754.08**	**$0.00**	**$3,983.42**	**$0.00**
EARTHLINK INC 7375 *20JN01		CUSIP: 270321AE2	Symbol:					
	125,000.000	04/22/14	06/06/14	$131,290.00	$130,833.82	$0.00	$456.18	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
FLEX FID
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Continued) (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
FIRST INDUSTRIAL RLTY TR PFD F	CUSIP: 32054K863 Symbol:							
	200.000	10/24/13	03/06/14	$200,000.00	$181,000.00	$0.00	$19,000.00	$0.00
GMAC LLC/ALLY FIN00000 *15JNRG	CUSIP: 36186CAE3 Symbol:							
	10.000	06/02/14	06/30/14	$23,000.00	$97,650.00	$0.00	($74,650.00)	$0.00
GOLDMAN SACHS CAP 6345 34FB15	CUSIP: 38143VAA7 Symbol:							
	195,000.000	04/16/14	05/29/14	$222,028.95	$205,691.60	$0.00	$16,337.35	$0.00
HARSCO CORPORATIO 5750 18MY15	CUSIP: 415864AJ6 Symbol:							
	175,000.000	05/16/14	10/07/14	$188,562.50	$188,086.62	$0.00	$475.88	$0.00
HORNBECK OFFSHORE 5000 *21MH01	CUSIP: 440543AQ9 Symbol:							
	185,000.000	05/09/14	06/11/14	$185,925.00	$180,319.50	$0.00	$5,605 50	$0.00
HOSPITALITY PROP 5125 *15FB15	CUSIP: 44106MAG7 Symbol:							
	215,000.000	01/10/14	08/15/14	$215,000.00	$217,370.37	$0.00	($2,370.37)	$0.00
HOST HOTELS & RES 6000 *20NV01	CUSIP: 44107TAK2 Symbol:							
	100,000.000	01/02/14	08/08/14	$108,700.00	$108,814.59	$0.00	($114.59)	$0.00
ISTAR FINANCIAL 5000 *19JL01	CUSIP: 45031UBU4 Symbol:							
	100,000.000	06/10/14	08/29/14	$100,250.00	$100,000.00	$0.00	$250.00	$0.00
KINDER MORGA REGS 5625 *23NV15	CUSIP: U4945QAB5 Symbol:							
	80,000.000	01/30/14	03/05/14	$80,520.00	$79,200.00	$0.00	$1,320.00	$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
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133 RIVER ROAD
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Identification Number: 26-4310632

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)
(Continued)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
MBIA INC DEB 6625 28OC01		CUSIP: 55262CAF7	Symbol:					
	175,000.000	04/02/14	05/22/14	$186,593.75	$183,478.16	$0.00	$3,115.59	$0.00
NATIONSTAR MTGE 6500 *21JL01		CUSIP: 63860UAK6	Symbol:					
	25,000.000	01/08/14	06/18/14	$24,593.75	$24,187.50	$0.00	$406 25	$0.00
NOVA CHEMICALS CO 8625 *19NV01		CUSIP: 66977WAM1	Symbol:					
	165,000.000	02/03/14	11/03/14	$172,116.45	$178,227.07	$0.00	($6,110.62)	$0.00
PEABODY ENERGY CO 6000 18NV15		CUSIP: 704549AK0	Symbol:					
	21,000.000	10/09/14	10/21/14	$20,527.50	$19,740.00	$0.00	$787.50	$0.00
	125,000.000	09/23/14	11/12/14	$124,062.50	$122,968.75	$0.00	$1,093 75	$0.00
	25,000.000	09/25/14	11/12/14	$24,812.50	$24,312.50	$0.00	$500.00	$0.00
Security Subtotal	**171,000.000**			**$169,402.50**	**$167,021.25**	$0.00	$2,381.25	**$0.00**
PULTE HOMES INC 6375 33MY15		CUSIP: 745867AP6	Symbol:					
	125,000.000	03/26/14	06/02/14	$126,562.50	$122,812.50	$0.00	$3,750.00	$0.00
SABINE PASS LNG 6500 *20NV01		CUSIP: 785583AK1	Symbol:					
	140,000.000	03/05/14	06/03/14	$151,194.40	$146,787.97	$0.00	$4,406.43	$0.00
SPRINT NEXTEL CO 6.000 11-15-2		CUSIP: 852061AS9	Symbol:					
	125,000.000	02/11/14	04/03/14	$127,656.25	$124,843.75	$0.00	$2,812.50	$0.00
	25,000.000	02/11/14	04/03/14	$25,531.25	$24,968.75	$0.00	$562.50	$0.00
Security Subtotal	**150,000.000**			**$153,187.50**	**$149,812.50**	**$0.00**	**$3,375.00**	**$0.00**

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)
(Continued)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
SWIFT ENERGY CO 7875 *22MH01		CUSIP: 870738AK7	Symbol:					
	175,000.000	05/20/14	07/11/14	$184,625.00	$178,363.79	$0.00	$6,261.21	$0.00
UNITED CONTL HLDG 6000 *28JL15		CUSIP: 910047AD1	Symbol:					
	130,000.000	02/25/14	05/19/14	$126,425.00	$119,925.00	$0.00	$6,500 00	$0.00
US TSY NOTE 1500 19OC31		CUSIP: 912828F62	Symbol:					
	200,000.000	11/18/14	12/04/14	$199,335.92	$198,953.13	$0.00	$382.79	$0.00
US TSY NOTE 2125 21JN30		CUSIP: 912828WR7	Symbol:					
	135,000.000	06/27/14	06/30/14	$134,968.36	$134,894.53	$0.00	$73.83	$0.00
US TSY NOTE 2500 24MY15		CUSIP: 912828WJ5	Symbol:					
	205,000.000	06/19/14	06/26/14	$203,910.94	$202,845.90	$0.00	$1,065.04	$0.00
Total Short Term Covered Securities				**$4,044,866.02**	**$4,042,726.26**	$0.00	$2,139.76	**$0.00**

Morgan Stanley

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ALCOA INC CONV 5375 17OC01		CUSIP: 013817309		Symbol: AA.B				
	1,000.000	09/24/14	10/31/14	$51,607.71	$49,585.07	$0.00	$2,022.64	$0.00
	1,000.000	10/16/14	10/31/14	$51,607.70	$46,324.63	$0.00	$5,283.07	$0.00
Security Subtotal	**2,000.000**			**$103,215.41**	**$95,909.70**	**$0.00**	**$7,305.71**	**$0.00**
CLIFFS NATURAL 3950 18JA15		CUSIP: 18683KAF8		Symbol:				
	125,000.000	01/28/14	02/12/14	$127,603.75	$125,613.89	$0.00	$1,989.86	$0.00
FORD MOTOR CRED 2875 18OC01		CUSIP: 345397WL3		Symbol:				
	75,000.000	09/26/13	05/20/14	$77,625.00	$74,972.25	$0.00	$2,652.75	$0.00
ICAHN ENTER FIN 5875 *22FB01		CUSIP: 451102BF3		Symbol:				
	150,000.000	04/28/14	06/18/14	$157,406.25	$152,767.48	$0.00	$4,638.77	$0.00
ICAHN TDR AW31Z 8000 18JA15		CUSIP: 45199BDW8		Symbol:				
	250,000.000	10/31/13	01/21/14	$260,625.00	$261,931.64	$0.00	($1,306.64)	$0.00
ING CAP FDG TR 38341*54AU12		CUSIP: 44978NAA3		Symbol:				
	75,000.000	09/17/13	08/11/14	$74,984.45	$73,318.06	$0.00	$1,666.39	$0.00
	200,000.000	10/25/13	08/11/14	$199,958.52	$198,641.33	$0.00	$1,317.19	$0.00
Security Subtotal	**275,000.000**			**$274,942.97**	**$271,959.39**	**$0.00**	**$2,983.58**	**$0.00**
NATIONSTAR MTGE 6500 *21JL01		CUSIP: 63860UAK6		Symbol:				
	50,000.000	09/19/13	06/18/14	$49,187.50	$48,625.00	$0.00	$562.50	$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
FLEX FID
133 RIVER ROAD
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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked.)**(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
PETROBRAS GLOBAL 23664 19JA15		CUSIP: 71647NAE9		Symbol:				
	75,000.000	09/11/13	04/21/14	$73,968.75	$73,672.50	$0.00	$296.25	$0.00
	200,000.000	10/24/13	04/21/14	$197,250.00	$194,980.00	$0.00	$2,270.00	$0.00
Security Subtotal	**275,000.000**			**$271,218.75**	**$268,652.50**	$0.00	$2,566.25	**$0.00**
PR ELEC PWR-LL BE 5500 17JL01		CUSIP: 7452686K3		Symbol:				
	100,000.000	12/24/13	05/02/14	$104,000.00	$97,500.00	$0.00	$6,500.00	$0.00
ROCKWOOD SPECIAL 4625 *20OC15		CUSIP: 774477AJ2		Symbol:				
	200,000.000	11/13/13	02/24/14	$207,020.00	$202,512.26	$0.00	$4,507.74	$0.00
STANLEY B&D INC 6250 16NV17		CUSIP: 854502804		Symbol: SWH				
	142.000	02/03/14	03/31/14	$15,357.52	$14,217.31	$0.00	$1,140.21	$0.00
	147.000	02/03/14	04/01/14	$15,960.51	$14,717.92	$0.00	$1,242.59	$0.00
	98.000	02/03/14	04/30/14	$10,925.91	$9,811.94	$0.00	$1,113.97	$0.00
	613.000	02/03/14	05/01/14	$68,615.92	$61,374.71	$0.00	$7,241.21	$0.00
Security Subtotal	**1,000.000**			**$110,859.86**	**$100,121.88**	**$0.00**	**$10,737.98**	**$0.00**
TELECOM ITALIA 7175 19JN18		CUSIP: 872456AA6		Symbol:				
	200,000.000	11/07/13	02/12/14	$227,138.00	$224,042.51	$0.00	$3,095.49	$0.00
UNITED CONTL HLDG 6000 20DE01		CUSIP: 910047AG4		Symbol:				
	250,000.000	11/04/13	01/09/14	$251,250.00	$249,687.50	$0.00	$1,562.50	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked)**(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ZIONS BANCORP 5800 *54MH06		**CUSIP:** 989701BD8		**Symbol:**				
	50,000.000	12/23/13	03/04/14	$47,285.56	$45,346.67	$0.00	$1,938.89	$0.00
Total Short Term Noncovered Securities				**$2,269,378.05**	**$2,219,642.67**	$0 00	$49,735.38	**$0.00**

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Long Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)

DESCRIPTION (Box 8)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
NOVA CHEMICALS CO 8625 *19NV01	CUSIP: 66977WAM1	Symbol (Box 1d):						
	75,000.000	10/10/13	11/03/14	$78,234.75	$81,686.03	$0.00	($3,451.28)	$0.00
Total Long Term Noncovered Securities				**$78,234.75**	**$81,686.03**	**$0.00**	**($3,451.28)**	**$0.00**

IMPORTANT TAX INFORMATION – PLEASE RETAIN FOR YOUR RECORDS

UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* OMB No. 1545-0715

SHORT-TERM TRANSACTIONS

Report on Form 8949, Part I, with Box B checked

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
BARCLAYS BANK PLC AIRBAG AYON QLIK 3/13/2015 9.26% / CUSIP: 06742B386 / Symbol:							
12/15/14	500.000	500,000.00	03/07/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
BARCLAYS BANK PLC AIRBAG AYON GTAT 12/29/2014 11.00% / CUSIP: 06742B402 / Symbol:							
03/31/14	750.000	750,000.00	12/20/13	750,000.00	0.00	0.00	Bond call Note: 25 Original basis: $750,000.00
BARCLAYS BANK PLC AIRBAG AYON TFM 3/27/2015 9.05% / CUSIP: 06742K766 / Symbol:							
09/26/14	500.000	500,000.00	03/21/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
CITIGROUP FUNDING INC AIRBAG AYON LEN 10/10/2014 8.40% / CUSIP: 17321F797 / Symbol:							
01/13/14	1,000.000	1,000,000.00	10/04/13	1,000,000.00	0.00	0.00	Bond call Note: 25 Original basis: $1,000,000.00
CITIGROUP FUNDING INC AIRBAG AYON JOY 10/10/2014 8.60% / CUSIP: 17321F813 / Symbol:							
01/13/14	1,000.000	1,000,000.00	10/04/13	1,000,000.00	0.00	0.00	Bond call Note: 25 Original basis: $1,000,000.00
CITIGROUP FUNDING INC AIRBAG AYON X 10/01/2014 9.16% / CUSIP: 17321F870 / Symbol:							
01/06/14	500.000	500,000.00	09/26/13	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
DEUTSCHE BANK AG AIRBAG AYON CELG 12/19/2014 8.80% / CUSIP: 25155G732 / Symbol:							
09/18/14	500.000	500,000.00	12/13/13	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
DEUTSCHE BANK AG AIRBAG AYON VRTX 11/14/2014 8.80% / CUSIP: 25155G864 / Symbol:							
02/13/14	500.000	500,000.00	11/08/13	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**

**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS. For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS.

UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* (continued) OMB No. 1545-0715

SHORT-TERM TRANSACTIONS

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part I, with Box B checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
DEUTSCHE BANK AG AIRBAG AYON VECO 6/25/2015 8.30% / CUSIP. 25155V788 / Symbol:							
12/24/14	500.000	500,000 00	06/20/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis. $500,000.00
DEUTSCHE BANK AG AIRBAG AYON QLIK 6/25/2015 8.76% / CUSIP: 25155V796 / Symbol:							
09/24/14	750.000	750,000.00	06/20/14	750,000.00	0.00	0.00	Bond call Note: 25 Original basis. $750,000.00
DEUTSCHE BANK AG AIRBAG AYON AUXL 6/25/2015 10.09% / CUSIP: 25155V812 / Symbol:							
09/24/14	750.000	750,000.00	06/20/14	750,000.00	0.00	0.00	Bond call Note: 25 Original basis· $750,000.00
JP MORGAN CHASE AIRBAG AYON RIO 10/24/2014 7.00% / CUSIP: 48126H126 / Symbol.							
01/23/14	1,000.000	1,000,000.00	10/18/13	1,000,000.00	0.00	0.00	Bond call Note: 25 Original basis: $1,000,000.00
JP MORGAN CHASE AIRBAG AYON FTNT 12/29/2014 9.65% / CUSIP. 48127A377 / Symbol:							
03/31/14	750.000	750,000.00	12/20/13	750,000.00	0.00	0.00	Bond call Note: 25 Original basis. $750,000.00
JP MORGAN CHASE AIRBAG AYON NBR 11/28/2014 7.57% / CUSIP: 48127A765 / Symbol:							
02/28/14	750.000	750,000.00	11/26/13	750,000.00	0.00	0.00	Bond call Note: 25 Original basis: $750,000.00
JP MORGAN CHASE AIRBAG YIELD OPTIMIZATION NOTES / CUSIP: 48127A831 / Symbol:							
05/14/14	500.000	500,000.00	11/08/13	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
JP MORGAN CHASE AIRBAG AYON NAV 6/18/2015 7.70% / CUSIP: 48127E239 / Symbol:							
09/18/14	750.000	750,000.00	06/13/14	750,000.00	0.00	0.00	Bond call Note: 25 Original basis· $750,000.00

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

(continued)

2014 1099-B* OMB No. 1545-0715

SHORT-TERM TRANSACTIONS

Report on Form 8949, Part I, with Box B checked

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
JP MORGAN CHASE AIRBAG AYON CRM 4/17/2015 8.85% / CUSIP: 48127E346 / Symbol:							
07/17/14	500.000	500,000.00	04/11/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
JP MORGAN CHASE AIRBAG AYON DAL 4/17/2015 8.60% / CUSIP: 48127E353 / Symbol:							
07/17/14	500.000	500,000.00	04/11/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
JP MORGAN CHASE AIRBAG AYON VRTX 2/27/2015 11.00% / CUSIP: 48127E718 / Symbol:							
08/25/14	500.000	500,000.00	02/21/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
JP MORGAN CHASE AIRBAG AYON IP 4/14/2015 5.20% / CUSIP: 48127F822 / Symbol:							
07/11/14	1,000.000	1,000,000.00	04/08/14	1,000,000.00	0.00	0.00	Bond call Note: 25 Original basis: $1,000,000.00
JP MORGAN CHASE AIRBAG PAOS RKT 02/22/2016 / CUSIP: 48127H836 / Symbol:							
11/18/14	1,500.000	1,500,000.00	08/14/14	1,500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $1,500,000.00
ROYAL BANK OF CANADA AIRBAG AYON CMI 9/16/2014 6.50% / CUSIP: 78009Q448 / Symbol:							
03/13/14	2,000.000	2,000,000.00	09/10/13	2,000,000.00	0.00	0.00	Bond call Note: 25 Original basis: $2,000,000.00
ROYAL BANK OF CANADA AIRBAG YIELD OPTIMIZATION NOTES / CUSIP: 78010Y125 / Symbol:							
05/30/14	750.000	750,000.00	11/26/13	750,000.00	0.00	0.00	Bond call Note: 25 Original basis: $750,000.00
ROYAL BANK OF CANADA AIRBAG YIELD OPTIMIZATION NOTES / CUSIP: 78010Y265 / Symbol:							
06/19/14	500.000	500,000.00	12/13/13	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* (continued) OMB No. 1545-0715

SHORT-TERM TRANSACTIONS

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part I, with Box B checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ROYAL BANK OF CANADA AIRBAG AYON SPLK 5/07/2015 9.55% / CUSIP: 78011Q329 / Symbol:							
11/07/14	500.000	500,000.00	05/02/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00 Ordinary gain/loss
ROYAL BANK OF CANADA AIRBAG AYON AAL 09/24/2015 8.09% / CUSIP: 78011Y405 / Symbol:							
12/24/14	1,000.000	1,000,000.00	09/19/14	1,000,000.00	0.00	0.00	Bond call Note: 25 Original basis: $1,000,000.00
UBS AG AIRBAG AYON CLF 10/20/2014 9.50% / CUSIP: 90271M682 / Symbol:							
01/17/14	750.000	750,000.00	10/11/13	750,000.00	0.00	0.00	Bond call Note: 25 Original basis: $750,000.00
UBS AG AIRBAG YIELD OPTIMIZATION NOTES / CUSIP: 90271R194 / Symbol:							
04/30/14	500.000	500,000.00	10/29/13	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
UBS AG AIRBAG AYON HPQ 12/19/2014 7.95% / CUSIP: 90271R749 / Symbol:							
03/18/14	500.000	500,000.00	12/13/13	500,000.00	0.00	0.00	Bond call Note. 25 Original basis: $500,000.00
UBS AG AIRBAG AYON MRVL 1/30/2015 8.35% / CUSIP: 90271T562 / Symbol:							
04/30/14	500.000	500,000.00	01/29/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
UBS AG AIRBAG AYON PANW 1/30/2015 9.33% / CUSIP: 90271T588 / Symbol:							
04/30/14	500.000	500,000.00	01/29/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
UBS AG AIRBAG AYON NBR 2/27/2015 7.57% / CUSIP: 90271T885 / Symbol:							
05/30/14	500.000	500,000.00	02/26/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00

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SHORT-TERM TRANSACTIONS

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part I, with Box B checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
UBS AG AIRBAG AYON OAS 3/19/2015 8.61% / CUSIP: 90272V327 / Symbol:							
06/13/14	500.000	500,000.00	03/14/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
UBS AG AIRBAG AYON FTNT 3/31/2015 10.00% / CUSIP: 90272V533 / Symbol:							
06/30/14	500.000	500,000.00	03/27/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
UBS AG AIRBAG AYON JDSU 5/14/2015 8.00% / CUSIP: 90272X307 / Symbol:							
08/14/14	500.000	500,000.00	05/09/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
UBS AG AIRBAG AYON CRM 7/23/2015 7.80% / CUSIP: 90273E506 / Symbol:							
10/23/14	500.000	500,000.00	07/18/14	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
	Totals:	**25,000,000.00**		**25,000,000.00**	**0.00**	**0.00**	

LONG-TERM TRANSACTIONS

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
DEUTSCHE BANK AG AIRBAG AYON NUAN 9/12/2014 9.20% / CUSIP: 25155L483 / Symbol:							
09/12/14	1,000.000	1,000,000.00	09/06/13	1,000,000.00	0.00	0.00	Bond call Note: 25 Original basis: $1,000,000.00
ROYAL BANK OF CANADA AIRBAG AYON TDC 10/31/2014 7.35% / CUSIP: 78009Q752 / Symbol:							
10/31/14	500.000	500,000.00	10/29/13	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* (continued) OMB No. 1545-0715

LONG-TERM TRANSACTIONS *5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
UBS AG AIRBAG AYON IGT 12/19/2014 8.00% / CUSIP: 90271R756 / Symbol:							
12/19/14	500.000	500,000.00	12/13/13	500,000.00	0.00	0.00	Bond call Note: 25 Original basis: $500,000.00
	Totals:	**2,000,000.00**		**2,000,000.00**	**0.00**	**0.00**	

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B*

OMB No. 1545-0715

2- SHORT-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part I, with Box A checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
INTL PAPER CO COMMON STOCK / CUSIP: 460146103 / Symbol: IP							
12/04/14	750.000	41,296.34	10/14/14	33,991.88	0.00	7,304.46	Sale
PACKAGING CORP OF AMERICA / CUSIP: 695156109 / Symbol: PKG							
11/25/14	750.000	55,491.02	10/15/14	43,360.13	0.00	12,130.89	Sale
ROCK-TENN COMPANY CL A CL A COMMON STOCK / CUSIP: 772739207 / Symbol: RKT							
	7 tax lots for 11/20/14. Total proceeds (and cost when required) reported to the IRS.						
	600.000	*33,643.47*	*03/26/14*	*30,278.95*	*0.00*	*3,364.52*	*Sale*
	600.000	*33,643.46*	*04/15/14*	*28,547.95*	*0.00*	*5,095.51*	*Sale*
	560.000	*31,400.57*	*07/21/14*	*26,776.95*	*0.00*	*4,623.62*	*Sale*
	500.000	*28,036.22*	*07/22/14*	*23,720.25*	*0.00*	*4,315.97*	*Sale*
	1,000.000	*56,072.44*	*08/12/14*	*47,840 00*	*0.00*	*8,232.44*	*Sale*
	1,000 000	*56,072.45*	*08/12/14*	*48,100.95*	*0.00*	*7,971.50*	*Sale*
	370.000	*20,746.80*	*08/13/14*	*17,540 82*	*0.00*	*3,205.98*	*Sale*
11/20/14	4,630.000	259,615.41	VARIOUS	222,805.87	0.00	36,809.54	Total of 7 lots
WELLS FARGO ADVANTAGE ULT S/T MUNI INC I / CUSIP: 949917702 / Symbol:							
02/27/14	32,805.898	158,124.43	01/14/14	158,214 38	89.95 W	0.00	Sale
	2 tax lots for 10/17/14. Total proceeds (and cost when required) reported to the IRS.						
	15,487 013	*74,647.40*	*07/01/14*	*74,658 61*	*11.21 W*	*0.00*	*Sale*
	31,753.112	*153,050.00*	*07/02/14*	*153,125.00*	*75.00 W*	*0.00*	*Sale*
10/17/14	47,240.125	227,697.40	VARIOUS	227,783.61	86.21 W	0.00	Total of 2 lots
	2 tax lots for 11/25/14. Total proceeds (and cost when required) reported to the IRS.						
	15,487.013	*74,647.41*	*09/25/14*	*74,662.35*	*14.94 W*	*0.00*	*Sale*
	31,753 112	*153,050.00*	*09/29/14*	*153,142.81*	*92.81 W*	*0.00*	*Sale*
11/25/14	47,240 125	227,697.41	VARIOUS	227,805.16	107.75 W	0.00	Total of 2 lots
	3 tax lots for 12/22/14. Total proceeds (and cost when required) reported to the IRS.						
	14,951.568	*72,066.56*	*12/17/14*	*72,117.65*	*0.00*	*-51.09*	*Sale*
	15,487 013	*74,647.40*	*12/17/14*	*74,669.99*	*0.00*	*-22.59*	*Sale*
	16,801.544	*80,983.44*	*12/19/14*	*81,042.68*	*0.00*	*-59.24*	*Sale*
12/22/14	47,240.125	227,697.40	VARIOUS	227,830.32	0.00	-132.92	Total of 3 lots

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[redacted]

2- SHORT-TERM TRANSACTIONS

Report on Form 8949, Part I, with Box A checked

*5- COVERED tax lots 3- Basis is reported to the IRS***

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
	Security total:	841,216.64		841,633.47	283.91 W	-132.92	
	Totals:	**1,197,619.41**		**1,141,791.35**	**283.91 W**	**56,111.97**	

2- LONG-TERM TRANSACTIONS

Report on Form 8949, Part II, with Box D checked

*5- COVERED tax lots 3- Basis is reported to the IRS***

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
WELLS FARGO ADVANTAGE ULT S/T MUNI INC I / CUSIP: 949917702 / Symbol:							
01/30/14	363,070.539	1,750,000.00	09/05/13	1,750,955.78	955.78 W	0.00	Sale
01/31/14	414,937.759	2,000,000.00	09/05/13	2,001,092.33	423.37 W	-668.96	Sale
	9 tax lots for 02/04/14. Total proceeds (and cost when required) reported to the IRS.						
	2,228.299	*10,740 41*	*09/30/13*	*10,746.11*	*0.00*	*-5.70*	*Sale*
	2,021.044	*9,741.43*	*10/31/13*	*9,746.61*	*0.00*	*-5.18*	*Sale*
	43,108.473	*207,782 84*	*11/18/13*	*207,908.83*	*0.00*	*-125.99*	*Sale*
	164,360.407	*792,217 16*	*11/18/13*	*792,697.55*	*0.00*	*-480.39*	*Sale*
	1,827.685	*8,809 44*	*11/29/13*	*8,814.12*	*0.00*	*-4.68*	*Sale*
	467.900	*2,255.28*	*12/09/13*	*2,256.48*	*0.00*	*-1.20*	*Sale*
	310,735.420	*1,497,744 72*	*12/26/13*	*1,498,574.65*	*0.00*	*-829.93*	*Sale*
	373,911.883	*1,802,255.28*	*12/26/13*	*1,803,253.93*	*0.00*	*-998.65*	*Sale*
	30,952.056	*149,188.91*	*12/27/13*	*149,290.57*	*0.00*	*-101.66*	*Sale*
02/04/14	929,613 167	4,480,735 47	VARIOUS	4,483,288.85	0.00	-2,553.38	Total of 9 lots
02/04/14	252,959.447	1,219,264.53	09/05/13	1,219,930.45	135.45 W	-530.47	Sale
	4 tax lots for 02/06/14. Total proceeds (and cost when required) reported to the IRS.						
	72,782 384	*350,811.09*	*12/27/13*	*351,050.13*	*0.00*	*-239.04*	*Sale*
	1,181.722	*5,695.90*	*12/31/13*	*5,698.92*	*0.00*	*-3.02*	*Sale*
	71,205.392	*343,209.99*	*01/02/14*	*343,414.22*	*0.00*	*-204.23*	*Sale*
	136,988.178	*660,283.02*	*01/02/14*	*660,675.93*	*0.00*	*-392.91*	*Sale*
02/06/14	282,157.676	1,360,000.00	VARIOUS	1,360,839.20	0.00	-839.20	Total of 4 lots
	2 tax lots for 02/19/14. Total proceeds (and cost when required) reported to the IRS.						
	36,204.770	*174,506.99*	*01/02/14*	*174,610.83*	*103.84 W*	*0.00*	*Sale*

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[redacted]

2- LONG-TERM TRANSACTIONS

5- COVERED tax lots 3- Basis is reported to the IRS**

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional Information
WELLS FARGO ADVANTAGE ULT S/T MUNI INC I / CUSIP: 949917702 / Symbol: (cont'd)							
	67,529.670	*325,493.01*	*01/09/14*	*325,701.33*	*208.32 W*	*0.00*	*Sale*
02/19/14	103,734.440	500,000.00	VARIOUS	500,312.16	312.16 W	0.00	Total of 2 lots
	2 tax lots for 02/27/14. Total proceeds (and cost when required) reported to the IRS.						
	75,703 606	*364,891 38*	*01/09/14*	*365,124.92*	*233 54 W*	*0.00*	*Sale*
	98,959.376	*476,984.19*	*01/14/14*	*477,255.54*	*271.35 W*	*0 00*	*Sale*
02/27/14	174,662.982	841,875.57	VARIOUS	842,380.46	504.89 W	0.00	Total of 2 lots
03/18/14	103,734 440	500,000 00	01/14/14	500,284 45	284.45 W	0.00	Sale
	4 tax lots for 03/25/14. Total proceeds (and cost when required) reported to the IRS.						
	20,726.141	*99,899.99*	*01/14/14*	*99,956.84*	*0.00*	*-56.85*	*Sale*
	71,506.603	*344,661.83*	*01/14/14*	*344,857.90*	*0.00*	*-196 07*	*Sale*
	1,499.849	*7,229.28*	*01/31/14*	*7,233.22*	*0.00*	*-3.94*	*Sale*
	26,551.733	*127,979.35*	*02/11/14*	*128,054.11*	*0.00*	*-74.76*	*Sale*
03/25/14	120,284.326	579,770.45	VARIOUS	580,102.07	0.00	-331.62	Total of 4 lots
03/25/14	87,184.554	420,229.55	01/14/14	420,468 61	217.09 W	-21.97	Sale
04/10/14	31,497.583	151,818.35	02/14/14	151,922.39	0.00	-104.04	Sale
	2 tax lots for 04/10/14. Total proceeds (and cost when required) reported to the IRS.						
	48,421.219	*233,390.28*	*02/11/14*	*233,526.60*	*97 19 W*	*-39 13*	*Sale*
	335,018.957	*1,614,791.37*	*02/11/14*	*1,615,734.59*	*943.22 W*	*0.00*	*Sale*
04/10/14	383,440.176	1,848,181.65	VARIOUS	1,849,261 19	1,040.41 W	-39.13	Total of 2 lots
	5 tax lots for 04/16/14. Total proceeds (and cost when required) reported to the IRS.						
	80,355 322	*387,312.65*	*02/14/14*	*387,578 06*	*0.00*	*-265.41*	*Sale*
	549.851	*2,650 28*	*02/28/14*	*2,651.73*	*0.00*	*-1.45*	*Sale*
	51,452.282	*248,000.00*	*03/06/14*	*248,210 45*	*0.00*	*-210.45*	*Sale*
	36,294.770	*174,506.99*	*03/14/14*	*174,619.43*	*0.00*	*-112.44*	*Sale*
	38,906 655	*187,530.08*	*03/14/14*	*187,659.34*	*0.00*	*-129.26*	*Sale*
04/16/14	207,468.880	1,000,000.00	VARIOUS	1,000,719.01	0.00	-719.01	Total of 5 lots
04/21/14	3,112.033	15,000.00	03/14/14	15,010.34	0.00	-10.34	Sale
04/24/14	3,112.033	15,000.00	03/14/14	15,010.34	0.00	-10.34	Sale
05/05/14	20.747	100.00	03/14/14	100.07	0.07 W	0.00	Sale
	3 tax lots for 05/06/14. Total proceeds (and cost when required) reported to the IRS.						
	5,652.632	*27,245.69*	*03/14/14*	*27,262.53*	*16.84 W*	*0.00*	*Sale*

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2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
WELLS FARGO ADVANTAGE ULT S/T MUNI INC I / CUSIP: 949917702 / Symbol. (cont'd)							
	22,378.202	*107,862.93*	*03/14/14*	*107,937.28*	*74.35 W*	*0.00*	*Sale*
	75,703 606	*364,891.38*	*03/14/14*	*365,142.90*	*251.52 W*	*0.00*	*Sale*
05/06/14	103,734.440	500,000.00	VARIOUS	500,342.71	342.71 W	0.00	Total of 3 lots
05/22/14	11,576.763	55,800.00	03/14/14	55,834.49	34.49 W	0 00	Sale
06/12/14	9,336.100	45,000.00	03/14/14	45,027.82	27.82 W	0.00	Sale
5 tax lots for 06/17/14. Total proceeds (and cost when required) reported to the IRS.							
	4,543.568	*21,900.00*	*03/14/14*	*21,913.54*	*13.54 W*	*0.00*	*Sale*
	32,805.898	*158,124.42*	*03/14/14*	*158,222.17*	*97.75 W*	*0.00*	*Sale*
	72,393.881	*348,938.51*	*03/14/14*	*349,154 21*	*215.70 W*	*0 00*	*Sale*
	437.763	*2,110.02*	*03/31/14*	*2,111.22*	*1.20 W*	*0.00*	*Sale*
	97,287.770	*468,927.05*	*04/01/14*	*469,248.21*	*321.16 W*	*0.00*	*Sale*
06/17/14	207,468.880	1,000,000.00	VARIOUS	1,000,649.35	649.35 W	0.00	Total of 5 lots
7 tax lots for 06/24/14. Total proceeds (and cost when required) reported to the IRS.							
	1,465.339	*7,062.93*	*04/01/14*	*7,067.77*	*4.84 W*	*0.00*	*Sale*
	35,396.269	*170,610.02*	*04/01/14*	*170,726.87*	*116 85 W*	*0 00*	*Sale*
	43,775.934	*211,000.00*	*04/02/14*	*211,195.03*	*195.03 W*	*0 00*	*Sale*
	8,439.634	*40,680.00*	*04/29/14*	*40,778.76*	*98.76 W*	*0 00*	*Sale*
	355.137	*1,711.76*	*04/30/14*	*1,712.76*	*1.00 W*	*0 00*	*Sale*
	11,130.705	*53,650.00*	*04/30/14*	*53,756 34*	*106.34 W*	*0.00*	*Sale*
	203,129.728	*979,085.29*	*05/01/14*	*979,706.14*	*620.85 W*	*0.00*	*Sale*
06/24/14	303,692.946	1,463,800.00	VARIOUS	1,464,943.67	1,143.67 W	0.00	Total of 7 lots
06/25/14	3,630.705	17,500.00	05/01/14	17,511.09	11.09 W	0.00	Sale
07/21/14	2,697.095	13,000.00	05/01/14	13,008.25	8.25 W	0.00	Sale
07/22/14	14,834.025	71,500.00	05/01/14	71,545.33	45.33 W	0.00	Sale
3 tax lots for 08/12/14. Total proceeds (and cost when required) reported to the IRS.							
	86,896.206	*418,839.71*	*05/01/14*	*419,105.31*	*265.60 W*	*0.00*	*Sale*
	3,905.522	*18,824.62*	*05/02/14*	*18,843.24*	*18 62 W*	*0.00*	*Sale*
	12,932.712	*62,335.67*	*05/02/14*	*62,397.32*	*61.65 W*	*0.00*	*Sale*
08/12/14	103,734.440	500,000.00	VARIOUS	500,345.87	345.87 W	0.00	Total of 3 lots
08/14/14	19,917.012	96,000.00	05/02/14	96,094.94	94.94 W	0.00	Sale
4 tax lots for 08/15/14. Total proceeds (and cost when required) reported to the IRS.							
	1,672.140	*8,059.71*	*05/02/14*	*8,067.69*	*7.98 W*	*0.00*	*Sale*

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UBS FINANCIAL SERVICES INC

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* (continued) OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional Information
WELLS FARGO ADVANTAGE ULT S/T MUNI INC I / CUSIP: 949917702 / Symbol: (cont'd)							
	20.747	100 01	05/30/14	100.07	0.06 W	0.00	Sale
	341.979	1,648.33	05/30/14	1,649.48	1.15 W	0.00	Sale
	12,799.159	61,691 95	06/02/14	61,736.53	44.58 W	0.00	Sale
08/15/14	14,834.025	71,500.00	VARIOUS	71,553.77	53.77 W	0.00	Total of 4 lots
	7 tax lots for 08/18/14. Total proceeds (and cost when required) reported to the IRS.						
	5,652.632	27,245.69	06/02/14	27,263.44	17.75 W	0.00	Sale
	9,237.064	44,522 65	06/02/14	44,554.83	32.18 W	0.00	Sale
	9,336.100	45,000 00	06/02/14	45,029.33	29.33 W	0 00	Sale
	11,576.763	55,799 99	06/02/14	55,836.35	36.36 W	0.00	Sale
	21,701.614	104,601.78	06/02/14	104,669.94	68.16 W	0.00	Sale
	72,393.881	348,938.51	06/02/14	349,165.88	227.37 W	0.00	Sale
	75,703.606	364,891 38	06/02/14	365,155.11	263.73 W	0.00	Sale
08/18/14	205,601.660	991,000.00	VARIOUS	991,674.88	674.88 W	0.00	Total of 7 lots
08/21/14	3,630.705	17,500.00	06/02/14	17,511.41	11.41 W	0.00	Sale
	11 tax lots for 09/11/14. Total proceeds (and cost when required) reported to the IRS.						
	355.137	1,711 76	06/02/14	1,712.82	1.06 W	0.00	Sale
	437.763	2,110 02	06/02/14	2,111.29	1.27 W	0.00	Sale
	1,465.339	7,062.93	06/02/14	7,068.01	5.08 W	0.00	Sale
	4,543.568	21,900.00	06/02/14	21,914.27	14.27 W	0.00	Sale
	7,473.579	36,022.65	06/02/14	36,046.12	23.47 W	0.00	Sale
	8,439.834	40,680.00	06/02/14	40,780.13	100.13 W	0.00	Sale
	11,130.705	53,650.00	06/02/14	53,758.13	108.13 W	0.00	Sale
	31,395.347	151,325 57	06/02/14	151,426.59	101.02 W	0.00	Sale
	35,396.269	170,610 02	06/02/14	170,732.57	122.55 W	0.00	Sale
	43,775.934	211,000 00	06/02/14	211,202.09	202.09 W	0.00	Sale
	97,287.770	468,927.05	06/02/14	469,263.91	336.86 W	0.00	Sale
09/11/14	241,701.245	1,165,000.00	VARIOUS	1,166,015.93	1,015.93 W	0.00	Total of 11 lots
	3 tax lots for 09/23/14. Total proceeds (and cost when required) reported to the IRS.						
	1,257.895	6,063.05	06/02/14	6,067.10	4.05 W	0.00	Sale
	36,203.320	174,500.01	06/04/14	174,685.65	185.64 W	0.00	Sale

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* (continued) OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
WELLS FARGO ADVANTAGE ULT S/T MUNI INC I / CUSIP: 949917702 / Symbol: (cont'd)							
	6,522.187	*31,436.94*	*06/10/14*	*31,472.38*	*35.44 W*	*0.00*	*Sale*
09/23/14	43,983.402	212,000 00	VARIOUS	212,225.13	225.13 W	0.00	Total of 3 lots
	2 tax lots for 10/16/14. Total proceeds (and cost when required) reported to the IRS.						
	25,037.979	*120,683 06*	*06/10/14*	*120,819.09*	*136 03 W*	*0.00*	*Sale*
	3,800.195	*18,316.94*	*06/30/14*	*18,336.63*	*19.69 W*	*0.00*	*Sale*
10/16/14	28,838.174	139,000.00	VARIOUS	139,155.72	155.72 W	0.00	Total of 2 lots
	19 tax lots for 10/17/14 Total proceeds (and cost when required) reported to the IRS.						
	457.274	*2,204 06*	*06/30/14*	*2,205.46*	*1.40 W*	*0.00*	*Sale*
	31,452.917	*151,603.06*	*06/30/14*	*151,766.11*	*163.05 W*	*0.00*	*Sale*
	2,697.095	*13,000.00*	*07/01/14*	*13,010 20*	*10.20 W*	*0.00*	*Sale*
	3,630 705	*17,500.00*	*07/01/14*	*17,513.72*	*13.72 W*	*0.00*	*Sale*
	14,834.025	*71,500.00*	*07/01/14*	*71,556.06*	*56.06 W*	*0.00*	*Sale*
	67,002.614	*322,952.60*	*07/01/14*	*323,205.87*	*253.27 W*	*0.00*	*Sale*
	3,905.522	*18,824 62*	*07/14/14*	*18,846.11*	*21.49 W*	*0.00*	*Sale*
	11,272.961	*54,335.67*	*07/14/14*	*54,397.69*	*62.02 W*	*0.00*	*Sale*
	86,896 206	*418,839.71*	*07/14/14*	*419,169.16*	*329.45 W*	*0.00*	*Sale*
	1,659 751	*8,000.00*	*07/30/14*	*8,018.27*	*18.27 W*	*0.00*	*Sale*
	10,352.697	*49,900.00*	*07/30/14*	*50,013.99*	*113.99 W*	*0.00*	*Sale*
	391.145	*1,885 32*	*07/31/14*	*1,887.19*	*1 87 W*	*0.00*	*Sale*
	8,798.755	*42,410.00*	*07/31/14*	*42,526.94*	*116.94 W*	*0.00*	*Sale*
	20.747	*100.00*	*08/06/14*	*100.11*	*0.11 W*	*0.00*	*Sale*
	341.979	*1,648.34*	*08/06/14*	*1,650.35*	*2.01 W*	*0.00*	*Sale*
	374.415	*1,804.68*	*08/06/14*	*1,807.40*	*2.72 W*	*0.00*	*Sale*
	1,672.140	*8,059 71*	*08/06/14*	*8,071.91*	*12.20 W*	*0.00*	*Sale*
	5,403 088	*26,042 88*	*08/06/14*	*26,075.30*	*32.42 W*	*0.00*	*Sale*
	12,799.159	*61,691.95*	*08/06/14*	*61,768.75*	*76.80 W*	*0.00*	*Sale*
10/17/14	263,963.195	1,272,302.60	VARIOUS	1,273,590.59	1,287.99 W	0.00	Total of 19 lots
10/20/14	1,244.813	6,000.00	08/06/14	6,007.48	7.48 W	0.00	Sale
10/23/14	2,199.170	10,600.00	08/06/14	10,613.19	13.19 W	0.00	Sale
	2 tax lots for 10/29/14. Total proceeds (and cost when required) reported to the IRS.						
	389.993	*1,879.77*	*08/06/14*	*1,882.11*	*2.34 W*	*0.00*	*Sale*

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2- LONG-TERM TRANSACTIONS ***5- COVERED tax lots 3- Basis is reported to the IRS*****

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
WELLS FARGO ADVANTAGE ULT S/T MUNI INC I / CUSIP: 949917702 / Symbol: (cont'd)							
	1,456 480	*7,020.23*	*08/06/14*	*7,028.97*	*8.74 W*	*0.00*	*Sale*
10/29/14	1,846.473	8,900.00	VARIOUS	8,911.08	11.08 W	0.00	Total of 2 lots
	17 tax lots for 10/30/14. Total proceeds (and cost when required) reported to the IRS.						
	3,890.547	*18,752.44*	*08/06/14*	*18,775.79*	*23.35 W*	*0.00*	*Sale*
	5,652.632	*27,245.68*	*08/27/14*	*27,267.27*	*21 59 W*	*0.00*	*Sale*
	9,336.100	*45,000.00*	*08/27/14*	*45,035.66*	*35.66 W*	*0.00*	*Sale*
	11,576.763	*55,800.00*	*08/27/14*	*55,844.21*	*44 21 W*	*0.00*	*Sale*
	13,700.333	*66,035.61*	*08/27/14*	*66,087.92*	*52.31 W*	*0.00*	*Sale*
	70,356.579	*339,118 71*	*08/27/14*	*339,411.51*	*292.80 W*	*0.00*	*Sale*
	372.438	*1,795.15*	*08/29/14*	*1,796.32*	*1.17 W*	*0.00*	*Sale*
	13,127.604	*63,275.05*	*08/29/14*	*63,391.28*	*116.23 W*	*0.00*	*Sale*
	437.763	*2,110 02*	*09/15/14*	*2,111.44*	*1.42 W*	*0.00*	*Sale*
	1,456.480	*7,020.23*	*09/15/14*	*7,025.81*	*5.58 W*	*0.00*	*Sale*
	1,465.339	*7,062.94*	*09/15/14*	*7,068.54*	*5.60 W*	*0.00*	*Sale*
	3,630.705	*17,500.00*	*09/15/14*	*17,512.73*	*12.73 W*	*0.00*	*Sale*
	4,543.568	*21,899.99*	*09/15/14*	*21,915.93*	*15.94 W*	*0.00*	*Sale*
	7,473.579	*36,022.65*	*09/15/14*	*36,048.85*	*26.20 W*	*0.00*	*Sale*
	21,701.614	*104,601.78*	*09/15/14*	*104,677.86*	*76.08 W*	*0.00*	*Sale*
	45,193.506	*217,832 70*	*09/15/14*	*217,991.13*	*158.43 W*	*0.00*	*Sale*
	97,287.770	*468,927.05*	*09/15/14*	*469,299.42*	*372.37 W*	*0.00*	*Sale*
10/30/14	311,203.320	1,500,000.00	VARIOUS	1,501,261.67	1,261.67 W	0.00	Total of 17 lots
	3 tax lots for 11/11/14. Total proceeds (and cost when required) reported to the IRS						
	22,347.020	*107,712.64*	*09/15/14*	*107,798 16*	*85.52 W*	*0.00*	*Sale*
	10,458.551	*50,410.22*	*09/25/14*	*50,461.01*	*50.79 W*	*0.00*	*Sale*
	11,592.769	*55,877.14*	*09/25/14*	*55,920.08*	*42.94 W*	*0.00*	*Sale*
11/11/14	44,398.340	214,000.00	VARIOUS	214,179.25	179.25 W	0.00	Total of 3 lots
	7 tax lots for 11/12/14. Total proceeds (and cost when required) reported to the IRS.						
	355.137	*1,711.76*	*09/25/14*	*1,712.91*	*1.15 W*	*0.00*	*Sale*
	1,257.895	*6,063.05*	*09/25/14*	*6,067.41*	*4.36 W*	*0.00*	*Sale*
	8,439.834	*40,680.00*	*09/25/14*	*40,782.17*	*102.17 W*	*0.00*	*Sale*
	11,130.705	*53,649.99*	*09/25/14*	*53,760.80*	*110.81 W*	*0.00*	*Sale*
	17,838.139	*85,979.83*	*09/25/14*	*86,075.60*	*95.77 W*	*0.00*	*Sale*
	31,395.347	*151,325.58*	*09/25/14*	*151,434.15*	*108.57 W*	*0.00*	*Sale*

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**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS. For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS.

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

(continued)

2014 1099-B* OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
WELLS FARGO ADVANTAGE ULT S/T MUNI INC I / CUSIP: 949917702 / Symbol: (cont'd)							
	33,317.383	160,589.79	09/25/14	160,751.62	161.83 W	0.00	Sale
11/12/14	103,734.440	500,000.00	VARIOUS	500,584.66	584.66 W	0.00	Total of 7 lots
	14 tax lots for 11/25/14. Total proceeds (and cost when required) reported to the IRS.						
	20.747	100.00	11/04/14	100.12	0.00	-0.12	Sale
	341 979	1,648.34	11/04/14	1,650.53	0.00	-2.19	Sale
	374.415	1,804.68	11/04/14	1,807.60	0.00	-2.92	Sale
	389.993	1,879.77	11/04/14	1,882 31	0.00	-2.54	Sale
	391.145	1,885.32	11/04/14	1,887.40	0.00	-2.08	Sale
	1,244.813	6,000.00	11/04/14	6,008.14	0.00	-8.14	Sale
	1,456.480	7,020.23	11/04/14	7,029 75	0.00	-9.52	Sale
	1,672 140	8,059 72	11/04/14	8,072.81	0.00	-13.09	Sale
	2,199.170	10,599.99	11/04/14	10,614.36	0.00	-14.37	Sale
	3,890.547	18,752.44	11/04/14	18,777.86	0.00	-25 42	Sale
	5,403.088	26,042.89	11/04/14	26,078.18	0.00	-35.29	Sale
	8,798.755	42,410.00	11/04/14	42,531.61	0.00	-121 61	Sale
	12,799.159	61,691 94	11/04/14	61,775 55	0.00	-83.61	Sale
	27,296 981	131,571 45	11/04/14	131,699.56	0.00	-128.11	Sale
11/25/14	66,279.412	319,466.77	VARIOUS	319,915.78	0.00	-449.01	Total of 14 lots
	20 tax lots for 11/25/14. Total proceeds (and cost when required) reported to the IRS.						
	457.274	2,204.06	09/25/14	2,205.57	1.51 W	0.00	Sale
	2,697.095	13,000.00	09/25/14	13,010.85	10 85 W	0.00	Sale
	3,630 705	17,499.99	09/25/14	17,514.59	14.60 W	0.00	Sale
	3,800.195	18,316.94	09/25/14	18,337.55	20.61 W	0.00	Sale
	6,522.187	31,436.94	09/25/14	31,473.95	37.01 W	0.00	Sale
	11,170 817	53,843.34	09/25/14	53,888.25	44.91 W	0.00	Sale
	18,365.181	88,520.17	09/25/14	88,618 76	98.59 W	0.00	Sale
	25,037.979	120,683.06	09/25/14	120,825.12	142.06 W	0.00	Sale
	31,452.917	151,603.06	09/25/14	151,773.68	170.62 W	0.00	Sale
	67,002 614	322,952.60	09/25/14	323,222.00	269.40 W	0.00	Sale
	3,663.208	17,656.66	09/29/14	17,672.56	15.90 W	0.00	Sale
	3,905.522	18,824.61	09/29/14	18,848.29	23.68 W	0.00	Sale
	7,497 305	36,137.01	09/29/14	36,182.47	45.46 W	0.00	Sale
	86,896.206	418,839.72	09/29/14	419,217.90	378.18 W	0.00	Sale
	301 923	1,455.27	09/30/14	1,458.59	3.32 W	0.00	Sale

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* (continued) OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS

5- COVERED tax lots 3- Basis is reported to the IRS**

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional Information
WELLS FARGO ADVANTAGE ULT S/T MUNI INC I / CUSIP: 949917702 / Symbol: (cont'd)							
	788.659	3,801.34	09/30/14	3,822.98	21.64 W	0.00	Sale
	3,775.656	18,198.66	09/30/14	18,281.47	82.81 W	0.00	Sale
	406.023	1,957 03	10/31/14	1,961.50	4.47 W	0.00	Sale
	163.146	786.36	11/04/14	788.25	1.89 W	0.00	Sale
	10,352.697	49,900 00	11/04/14	50,019.50	45.30 W	-74.20	Sale
11/25/14	287,887.309	1,387,616.82	VARIOUS	1,389,123.83	1,432.81 W	-74.20	Total of 20 lots
	28 tax lots for 12/22/14. Total proceeds (and cost when required) reported to the IRS.						
	567.917	2,737 36	11/21/14	2,741.19	0.00	-3.83	Sale
	1,257.895	6,063.06	11/21/14	6,069.13	0.00	-6.07	Sale
	17,838.139	85,979.83	11/21/14	86,099.95	0.00	-120.12	Sale
	233.168	1,123.87	11/28/14	1,125.12	0.00	-1.25	Sale
	423.456	2,041.06	12/01/14	2,045.22	0.00	-4.16	Sale
	17,564.096	84,658.94	12/01/14	84,826.47	0.00	-167.53	Sale
	2,459.141	11,853.06	12/09/14	11,871.89	0.00	-18.83	Sale
	6,098.731	29,395.88	12/09/14	29,444.11	0.00	-48.23	Sale
	25,037.979	120,683.06	12/09/14	120,881.01	0.00	-197.95	Sale
	22.929	110.52	12/11/14	110.64	0.00	-0.12	Sale
	81.751	394.04	12/11/14	394.48	0.00	-0.44	Sale
	457.274	2,204.06	12/17/14	2,205.80	0.00	-1.74	Sale
	1,236.374	5,959.32	12/17/14	5,966.64	0.00	-7.32	Sale
	2,697.095	13,000.00	12/17/14	13,012.18	0.00	-12.18	Sale
	3,630.705	17,500.00	12/17/14	17,516.39	0.00	-16.39	Sale
	3,663.208	17,656.66	12/17/14	17,674.37	0.00	-17.71	Sale
	11,170 817	53,843.34	12/17/14	53,893.77	0.00	-50.43	Sale
	31,452.917	151,603.06	12/17/14	151,789.23	0.00	-186.17	Sale
	67,002.614	322,952.60	12/17/14	323,255.12	0.00	-302.52	Sale
	163.146	786.36	12/19/14	788.35	0.00	-1.99	Sale
	301.923	1,455.27	12/19/14	1,458.77	0.00	-3.50	Sale
	406.023	1,957.03	12/19/14	1,961.75	0.00	-4.72	Sale
	788.659	3,801.34	12/19/14	3,823.45	0.00	-22.11	Sale
	3,775.656	18,198.66	12/19/14	18,283.75	0.00	-85.09	Sale
	3,905.522	18,824.62	12/19/14	18,850.65	0.00	-26.03	Sale
	3,924.597	18,916.56	12/19/14	18,964.22	0.00	-47.66	Sale
	7,497.305	36,137.01	12/19/14	36,186.99	0.00	-49.98	Sale

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UBS FINANCIAL SERVICES INC.

2014 1099-B*

Proceeds from Broker and Barter Exchange Transactions

(continued)

OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
WELLS FARGO ADVANTAGE ULT S/T MUNI INC I / CUSIP: 949917702 / Symbol: (cont'd)							
	86,896.206	418,839.71	12/19/14	419,270 25	0.00	-430.54	Sale
12/22/14	300,555.243	1,448,676.28	VARIOUS	1,450,510.89	0.00	-1,834.61	Total of 28 lots
	26 tax lots for 12/22/14. Total proceeds (and cost when required) reported to the IRS.						
	3,937.870	18,980.53	11/04/14	18,997.67	17.14 W	0.00	Sale
	5,652.632	27,245.69	11/04/14	27,270.28	24.59 W	0.00	Sale
	11,576.763	55,800.00	11/04/14	55,850.36	50.36 W	0.00	Sale
	43,059.598	207,547 26	11/04/14	207,749.37	202 11 W	0.00	Sale
	372.438	1,795.16	11/19/14	1,796.41	1.25 W	0.00	Sale
	437.763	2,110.02	11/19/14	2,111.54	1.52 W	0.00	Sale
	1,456.480	7,020.24	11/19/14	7,026.17	5.93 W	0.00	Sale
	1,465.339	7,062.93	11/19/14	7,068.88	5.95 W	0.00	Sale
	3,630.705	17,500.00	11/19/14	17,513.61	13.61 W	0.00	Sale
	4,543.568	21,900.00	11/19/14	21,917.04	17.04 W	0.00	Sale
	5,398.230	26,019.47	11/19/14	26,041.40	21.93 W	0.00	Sale
	7,473.579	36,022.65	11/19/14	36,050 66	28.01 W	0.00	Sale
	7,607.381	36,667.58	11/19/14	36,745.15	77.57 W	0.00	Sale
	8,439 834	40,680.00	11/19/14	40,784.21	104.21 W	0.00	Sale
	10,458.551	50,410.22	11/19/14	50,463.54	53.32 W	0.00	Sale
	11,592.769	55,877.14	11/19/14	55,922.90	45.76 W	0.00	Sale
	13,127.604	63,275.05	11/19/14	63,394.46	119.41 W	0.00	Sale
	13,700.333	66,035.60	11/19/14	66,091.23	55.63 W	0.00	Sale
	21,701.614	104,601.77	11/19/14	104,683.12	81.35 W	0.00	Sale
	22,347.020	107,712.64	11/19/14	107,803.57	90.93 W	0.00	Sale
	33,317.383	160,589.78	11/19/14	160,759.69	169.91 W	0.00	Sale
	45,193.506	217,832.70	11/19/14	218,002.08	169.38 W	0.00	Sale
	97,287.770	468,927.05	11/19/14	469,323.00	395.95 W	0.00	Sale
	355.137	1,711.76	11/21/14	1,713.40	1.64 W	0.00	Sale
	3,523.324	16,982.42	11/21/14	17,022.31	39.89 W	0.00	Sale
	31,395.347	151,325.57	11/21/14	151,477.00	52.04 W	-99.39	Sale
12/22/14	409,052.538	1,971,633.23	VARIOUS	1,973,579.05	1,846.43 W	-99.39	Total of 26 lots
	Security total:	31,679,771.27		31,703,395.53	15,338.59 W	-8,285.67	
	Totals:	**31,679,771.27**		**31,703,395.53**	**15,338.59 W**	**-8,285.67**	

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

(continued)

2014 1099-B* OMB No. 1545-0715

LONG-TERM TRANSACTIONS

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
DOUBLELINE INCOME SOLUTIONS FD / CUSIP: 258622109 / Symbol: DSL							
05/30/14	40,000.000	895,192.92	04/25/13	1,000,000.00	0.00	-104,807.08	Sale

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* OMB No. 1545-0715

2- SHORT-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part I, with Box A checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
AFLAC INC SUB DEB 52 RATE: 5.500% QUARTERLY MATURITY: 09/15/2052 / CUSIP: 001055300 / Symbol: AFSD							
02/03/14	320.000	7,185.96	09/09/13	6,992.00	0.00	193.96	Sale
AEGON N V PRP CP SEC 6.375 RATE: 6.375% QUARTERLY MATURITY: PERPETUAL / CUSIP 007924301 / Symbol: AEH							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	228.000	*5,576 67*	*05/15/13*	*6,087.60*	*0.00*	*-510.93*	*Sale*
	314.000	*7,680.15*	*05/20/13*	*8,377.39*	*0.00*	*-697.24*	*Sale*
01/31/14	542.000	13,256.82	VARIOUS	14,464.99	0.00	-1,208.17	Total of 2 lots
	7 tax lots for 02/03/14 Total proceeds (and cost when required) reported to the IRS.						
	76.000	*1,852.09*	*05/20/13*	*2,027.65*	*0 00*	*-175 56*	*Sale*
	227.000	*5,525.10*	*05/20/13*	*6,056.27*	*0.00*	*-531.17*	*Sale*
	29.000	*711.94*	*05/22/13*	*774.30*	*0.00*	*-62.36*	*Sale*
	138.000	*3,363.00*	*05/22/13*	*3,684 60*	*0.00*	*-321 60*	*Sale*
	50.000	*1,227.48*	*05/23/13*	*1,330.00*	*0.00*	*-102.52*	*Sale*
	1.000	*24.55*	*05/24/13*	*26.64*	*0 00*	*-2.09*	*Sale*
	20.000	*490.99*	*05/29/13*	*526.80*	*0.00*	*-35.81*	*Sale*
02/03/14	541.000	13,195.15	VARIOUS	14,426.26	0.00	-1,231.11	Total of 7 lots
	Security total:	26,451.97		28,891.25	0.00	-2,439.28	
AEGON N V PERP CAP FLTG RT RATE: ADJUSTABLE QUARTERLY MATURITY: PERPETUAL / CUSIP: 007924509 / Symbol: AEB							
	4 tax lots for 02/03/14 Total proceeds (and cost when required) reported to the IRS.						
	125.000	*2,579.18*	*09/11/13*	*2,522.50*	*0 00*	*56 68*	*Sale*
	88.000	*1,815.75*	*09/12/13*	*1,775 84*	*0 00*	*39.91*	*Sale*
	6.000	*124.25*	*09/23/13*	*122.70*	*0 00*	*1.55*	*Sale*
	91.000	*1,877.64*	*09/23/13*	*1,860.95*	*0.00*	*16.69*	*Sale*
02/03/14	310.000	6,396.82	VARIOUS	6,281.99	0.00	114.83	Total of 4 lots
AEGON N V NON CUM SUB NTS RATE: 8.000% QUARTERLY MATURITY: 02/15/2042 / CUSIP: 007924608 / Symbol: AEK							
01/31/14	483.000	13,418.48	04/11/13	13,910.40	0.00	-491.92	Sale
02/03/14	482.000	13,331.99	04/11/13	13,881.60	0.00	-549.61	Sale
	Security total:	26,750.47		27,792.00	0.00	-1,041.53	
AFFILIATED MANAGERS GROUP SR NT 42 RATE: 6.375% QUARTERLY / CUSIP: 008252876 / Symbol: MGR							
02/03/14	720.000	17,107 33	10/02/13	16,392.38	0.00	714.95	Sale

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2- SHORT-TERM TRANSACTIONS

Report on Form 8949, Part I, with Box A checked

5- COVERED tax lots 3- Basis is reported to the IRS**

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional Information
AMERICAN FINL GROUP INC OHIO SR NT 50 RATE: 7.000% QUARTERLY / CUSIP: 025932302 / Symbol: AFQ							
01/31/14	343.000	8,943.91	02/06/13	9,106.65	0.00	-162.74	Sale
	3 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS						
	52 000	*1,362.31*	*02/06/13*	*1,380.60*	*0 00*	*-18.29*	*Sale*
	144.000	*3,772.56*	*07/10/13*	*3,732.48*	*0.00*	*40.08*	*Sale*
	146 000	*3,824.96*	*07/11/13*	*3,788.52*	*0.00*	*36.44*	*Sale*
02/03/14	342.000	8,959.83	VARIOUS	8,901.60	0.00	58.23	Total of 3 lots
Security total:		17,903.74		18,008.25	0.00	-104.51	
ARES CAP CORP SR NT RATE: 7.000% QUARTERLY MATURITY: 02/15/2022 / CUSIP: 04010L509 / Symbol: ARN							
01/31/14	170.000	4,427.04	07/24/13	4,403 00	0.00	24.04	Sale
02/03/14	170 000	4,407.32	07/24/13	4,403.00	0 00	4.32	Sale
Security total:		8,834.36		8,806.00	0.00	28.36	
BARCLAYS BANK PLC ADR PFD SR 5 RATE: 8.125% QUARTERLY MATURITY: PERPETUAL / CUSIP: 06739H362 / Symbol: BCSPRD							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	180.000	*4,596.55*	*10/15/13*	*4,564 80*	*0.00*	*31.75*	*Sale*
	165.000	*4,213.50*	*10/18/13*	*4,200 90*	*0.00*	*12.60*	*Sale*
01/31/14	345.000	8,810.05	VARIOUS	8,765.70	0.00	44.35	Total of 2 lots
02/03/14	345.000	8,808.70	10/18/13	8,783.70	0.00	25.00	Sale
Security total:		17,618.75		17,549.40	0.00	69.35	
BARCLAYS BANK PLC SP ADR 7.1%PF3 RATE: 7 100% QUARTERLY / CUSIP: 06739H776 / Symbol: BCSPRA							
01/31/14	350.000	8,859.96	12/11/13	8,753.50	0.00	106.46	Sale
02/03/14	350 000	8,857.86	12/11/13	8,753.50	0.00	104.36	Sale
Security total:		17,717.82		17,507.00	0.00	210.82	
CITIGROUP INC DEP SHS RP PFD K RATE: 6.875% QUARTERLY MATURITY: PERPETUAL / CUSIP: 172967341 / Symbol: CPRK							
01/31/14	350.000	8,992.32	10/25/13	8,727.95	0.00	264.37	Sale
02/03/14	350.000	8,837.35	11/13/13	8,718.50	0.00	118.85	Sale
Security total:		17,829.67		17,446.45	0.00	383.22	
CITIGROUP INC DEP SHS 1/1000 J RATE: 7.125% QUARTERLY MATURITY: PERPETUAL / CUSIP: 172967358 / Symbol: CPRJ							
01/31/14	338.000	8,808.20	09/13/13	8,389.16	0.00	419.04	Sale
02/03/14	337.000	8,782.07	09/13/13	8,364.34	0.00	417.73	Sale
Security total:		17,590.27		16,753.50	0.00	836.77	

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* (continued) OMB No. 1545-0715

2- SHORT-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part I, with Box A checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
CITIGROUP CAP XIII TR PFD SECS RATE. 7.875% QUARTERLY MATURITY: 10/30/2040 / CUSIP: 173080201 / Symbol: CPRN							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	310.000	*8,402.93*	*06/28/13*	*8,655 20*	*0.00*	*-252.27*	*Sale*
	330.000	*8,945.06*	*10/03/13*	*9,009.00*	*0.00*	*-63.94*	*Sale*
01/31/14	640.000	17,347.99	VARIOUS	17,664.20	0.00	-316.21	Total of 2 lots
	3 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	130.000	*3,528.14*	*10/03/13*	*3,549 00*	*0.00*	*-20 86*	*Sale*
	182.000	*4,939.39*	*10/08/13*	*5,060.20*	*0.00*	*-120.81*	*Sale*
	328.000	*8,901.77*	*10/25/13*	*9,140 90*	*0.00*	*-239.13*	*Sale*
02/03/14	640.000	17,369.30	VARIOUS	17,750.10	0.00	-380.80	Total of 3 lots
	Security total:	34,717.29		35,414.30	0.00	-697.01	
CITIGROUP CAP XVII TRUPS 6.35% RATE: 6.350% QUARTERLY MATURITY: 03/15/2067 / CUSIP: 17311H209 / Symbol. CPRE							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	170.000	*4,287 19*	*08/22/13*	*4,207.50*	*0.00*	*79.69*	*Sale*
	180.000	*4,539.38*	*09/06/13*	*4,546.80*	*0.00*	*-7.42*	*Sale*
01/31/14	350.000	8,826.57	VARIOUS	8,754.30	0.00	72.27	Total of 2 lots
02/03/14	350.000	8,826.85	09/06/13	8,841.00	0.00	-14.15	Sale
	Security total:	17,653.42		17,595.30	0.00	58.12	
CITY NATL CORP DEP SHS 1/40 D RATE: ADJUSTABLE QUARTERLY MATURITY: PERPETUAL / CUSIP: 17800X400 / Symbol: CYNPRD							
01/31/14	173.000	4,575.77	12/06/13	4,390.74	0.00	185.03	Sale
02/03/14	172.000	4,511.48	12/06/13	4,365.36	0.00	146.12	Sale
	Security total:	9,087.25		8,756.10	0.00	331.15	
COMMONWEALTH REIT 7.500% DUE 11/15/19 CALLABLE **NAME CHANGE-EFF-8/14** / CUSIP: 203233507 / Symbol:							
01/31/14	420.000	8,742.07	10/08/13	8,769.60	0.00	-27.53	Sale
	3 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS						
	5.000	*103.75*	*10/08/13*	*104.40*	*0.00*	*-0.65*	*Sale*
	95.000	*1,971.21*	*11/25/13*	*1,970.30*	*0.00*	*0.91*	*Sale*
	320.000	*6,639.89*	*11/25/13*	*6,681.72*	*0.00*	*-41.83*	*Sale*
02/03/14	420.000	8,714.85	VARIOUS	8,756.42	0.00	-41.57	Total of 3 lots
	Security total:	17,456.92		17,526.02	0.00	-69.10	

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2- SHORT-TERM TRANSACTIONS

5- COVERED tax lots 3- Basis is reported to the IRS**

Report on Form 8949, Part I, with Box A checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
COMMONWEALTH REIT 5.750% DUE 08/01/42 CALLABLE **NAME CHANGE-EFF-8/14** / CUSIP: 203233705 / Symbol:							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	257 000	*4,990.21*	*02/21/13*	*6,316.29*	*0.00*	*-1,326.08*	*Sale*
	148 000	*2,873.74*	*02/28/13*	*3,633 40*	*0.00*	*-759.66*	*Sale*
01/31/14	405.000	7,863.95	VARIOUS	9,949.69	0.00	-2,085.74	Total of 2 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	515 000	*10,005.66*	*02/28/13*	*12,643 25*	*0.00*	*-2,637.59*	*Sale*
	400.000	*7,771.38*	*09/27/13*	*7,779 96*	*0.00*	*-8.58*	*Sale*
02/03/14	915.000	17,777.04	VARIOUS	20,423.21	0.00	-2,646.17	Total of 2 lots
Security total.		25,640.99		30,372.90	0.00	-4,731.91	
COUNTRYWIDE CAP V GTD CAP SEC 7% RATE. 7.000% QUARTERLY / CUSIP: 222388209 / Symbol: CFCPRB							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	340.000	*8,541.81*	*10/02/13*	*8,568.00*	*0.00*	*-26.19*	*Sale*
	3.000	*75 37*	*11/29/13*	*75.89*	*0 00*	*-0.52*	*Sale*
01/31/14	343.000	8,617.18	VARIOUS	8,643.89	0.00	-26.71	Total of 2 lots
02/03/14	342.000	8,592.87	11/29/13	8,651.66	0.00	-58.79	Sale
Security total:		17,210.05		17,295.55	0.00	-85.50	
COUNTRYWIDE CAP IV PFD TR 6.75% RATE: 6.750% QUARTERLY / CUSIP: 22238E206 / Symbol: CFCPRA							
01/31/14	523.000	13,179.16	10/18/13	13,075 00	0.00	104.16	Sale
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	32.000	*807 15*	*10/18/13*	*800.00*	*0 00*	*7 15*	*Sale*
	490.000	*12,359.50*	*11/13/13*	*12,274.50*	*0.00*	*85 00*	*Sale*
02/03/14	522.000	13,166.65	VARIOUS	13,074.50	0.00	92.15	Total of 2 lots
Security total:		26,345.81		26,149.50	0.00	196.31	
DEUTSCHE BK CAP FDG TR VIII TR PFD SC 6.375% RATE: 6.375% QUARTERLY / CUSIP: 25153U204 / Symbol: DUA							
01/31/14	360.000	8,943.80	05/24/13	9,104.40	0.00	-160.60	Sale
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS						
	270.000	*6,674.28*	*05/24/13*	*6,828.30*	*0.00*	*-154.02*	*Sale*
	455.000	*11,247.41*	*08/28/13*	*10,933 65*	*0.00*	*313.76*	*Sale*
02/03/14	725.000	17,921.69	VARIOUS	17,761.95	0.00	159.74	Total of 2 lots

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B (continued) OMB No. 1545-0715

2- SHORT-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part I, with Box A checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
	Security total:	26,865.49		26,866.35	0.00	-0.86	
DEUTSCHE BANK CAP FDG TR IX PFD 6.625% GTD RATE: 6.625% QUARTERLY / CUSIP· 25153Y206 / Symbol DTT							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	700.000	*17,579 70*	*06/27/13*	*17,542.00*	*0.00*	*37.70*	*Sale*
	8 000	*200.91*	*12/06/13*	*198.40*	*0.00*	*2 51*	*Sale*
01/31/14	708.000	17,780.61	VARIOUS	17,740.40	0.00	40.21	Total of 2 lots
02/03/14	707.000	17,750.41	12/06/13	17,533.60	0.00	216.81	Sale
	Security total:	35,531.02		35,274.00	0.00	257.02	
DIGITAL RLTY TR INC PFD-E RATE· 7.000% QUARTERLY MATURITY: PERPETUAL / CUSIP: 253868707 / Symbol: DLRPRE							
02/03/14	580.000	13,345.63	05/15/13	15,752.80	0.00	-2,407.17	Sale
DOMINION RES INC VA NEW ENH JR NT A 64 RATE: 8.375% QUARTERLY / CUSIP: 25746U604 / Symbol· DRUCL							
	5 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	420.000	*10,875.04*	*09/27/13*	*10,928 40*	*0.00*	*-53.36*	*Sale*
	234.000	*6,058.95*	*10/07/13*	*6,083.72*	*0.00*	*-24 77*	*Sale*
	291.000	*7,534.84*	*10/08/13*	*7,607.25*	*0.00*	*-72 41*	*Sale*
	112.000	*2,900.01*	*10/18/13*	*2,936.68*	*0.00*	*-36.67*	*Sale*
	291.000	*7,534.85*	*10/18/13*	*7,586.37*	*0.00*	*-51.52*	*Sale*
01/31/14	1,348.000	34,903.69	VARIOUS	35,142.42	0.00	-238.73	Total of 5 lots
	6 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS						
	107.000	*2,765.62*	*10/18/13*	*2,805 58*	*0.00*	*-39.96*	*Sale*
	322.000	*8,322.72*	*10/28/13*	*8,397.18*	*0.00*	*-74 46*	*Sale*
	238.000	*6,151 57*	*11/01/13*	*6,220.65*	*0.00*	*-69.08*	*Sale*
	130 000	*3,360.11*	*12/23/13*	*3,346.85*	*0.00*	*13 26*	*Sale*
	545.000	*14,086.59*	*12/26/13*	*14,006.50*	*0.00*	*80 09*	*Sale*
	5.000	*129.23*	*12/31/13*	*128.45*	*0.00*	*0 78*	*Sale*
02/03/14	1,347.000	34,815.84	VARIOUS	34,905.21	0.00	-89.37	Total of 6 lots
	Security total:	69,719.53		70,047.63	0.00	-328.10	
EPR PPTYS PFD SER F % RATE: 6.625% QUARTERLY MATURITY: PERPETUAL / CUSIP: 26884U406 / Symbol: EPRPRF							
01/31/14	203.000	4,344.14	02/04/13	5,099.15	0.00	-755.01	Sale
02/03/14	202.000	4,342.92	02/04/13	5,074.04	0.00	-731.12	Sale
	Security total:	8,687.06		10,173.19	0.00	-1,486.13	

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* (continued) OMB No. 1545-0715

2- SHORT-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part I, with Box A checked

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional Information
F N B CORP FLA DEP SHS 1/40 PFD RATE ADJUSTABLE QUARTERLY / CUSIP: 30255P103 / Symbol: FNBPRE							
01/31/14	170.000	4,470.92	12/09/13	4,386.00	0.00	84.92	Sale
02/03/14	170 000	4,429.42	12/09/13	4,386.00	0.00	43.42	Sale
Security total:		8,900.34		8,772 00	0.00	128.34	
FIFTH THIRD BANCORP DEP 1/1000 PFD RATE: 6.625% QUARTERLY / CUSIP: 316773605 / Symbol: FITBI							
01/31/14	705.000	17,908.17	12/05/13	17,646 15	0.00	262.02	Sale
02/03/14	705.000	17,920.86	12/05/13	17,646.15	0.00	274 71	Sale
Security total:		35,829.03		35,292.30	0.00	536.73	
FIRST NIAGARA FINL GP INC PFD NON CUM SER RATE: 8.625% QUARTERLY / CUSIP: 33582V207 / Symbol: FNFGPRB							
3 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.							
	485.000	*13,846.51*	*06/28/13*	*13,895 25*	*0.00*	*-48 74*	*Sale*
	450 000	*12,847.27*	*09/17/13*	*12,726.00*	*0.00*	*121.27*	*Sale*
	3.000	*85.65*	*09/25/13*	*85 80*	*0.00*	*-0 15*	*Sale*
01/31/14	938.000	26,779.43	VARIOUS	26,707.05	0.00	72.38	Total of 3 lots
3 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS							
	240 000	*6,847.08*	*09/25/13*	*6,864.00*	*0.00*	*-16.92*	*Sale*
	334.000	*9,495.48*	*09/25/13*	*9,552.40*	*0.00*	*-56.92*	*Sale*
	363 000	*10,330.80*	*09/25/13*	*10,381 80*	*0.00*	*-51.00*	*Sale*
02/03/14	937.000	26,673.36	VARIOUS	26,798.20	0.00	-124.84	Total of 3 lots
Security total.		53,452.79		53,505.25	0.00	-52.46	
GOLDMAN SACHS GROUP INC DEP 1/1000 PFD J RATE: 5.500% QUARTERLY / CUSIP: 38145G308 / Symbol: GSPRJ							
2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.							
	370 000	*8,556.88*	*04/29/13*	*9,453.50*	*0.00*	*-896 62*	*Sale*
	403.000	*9,320.06*	*05/09/13*	*10,518.30*	*0.00*	*-1,198 24*	*Sale*
01/31/14	773.000	17,876.94	VARIOUS	19,971.80	0.00	-2,094.86	Total of 2 lots
02/03/14	772.000	17,763 41	05/09/13	20,149.20	0.00	-2,385.79	Sale
Security total:		35,640.35		40,121.00	0.00	-4,480.65	
HSBC HLDGS PLC PERP PREF SHS RATE: 8.000% QUARTERLY MATURITY: PERPETUAL / CUSIP: 404280802 / Symbol: HSEB							
01/31/14	323.000	8,675.66	02/19/13	9,021.39	0.00	-345.73	Sale
02/03/14	322.000	8,645.58	02/19/13	8,993 46	0.00	-347.88	Sale
Security total:		17,321.24		18,014.85	0.00	-693.61	

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Proceeds from Broker and Barter Exchange Transactions

2014 1099-B (continued) OMB No. 1545-0715

2- SHORT-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

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HARTFORD FINL SVCS GROUP INC D DEB FIX/FLT 42 RATE: 7.875% QUARTERLY / CUSIP: 416518504 / Symbol: HGH							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	440.000	*12,887 15*	*09/18/13*	*12,155.13*	*0.00*	*732.02*	*Sale*
	13.000	*380.76*	*09/26/13*	*369.85*	*0.00*	*10.91*	*Sale*
01/31/14	453.000	13,267.91	VARIOUS	12,524.98	0.00	742.93	Total of 2 lots
02/03/14	452.000	13,112.29	09/26/13	12,859.40	0.00	252.89	Sale
	Security total:	26,380.20		25,384.38	0.00	995.82	
ING GROEP N V PFD PERP DBT % MATURITY: PERPETUAL / CUSIP: 456837301 / Symbol: INZ							
01/31/14	220.000	5,579.50	01/10/14	5,557.20	0.00	22.30	Sale
01/31/14	345.000	8,749.67	11/18/13	8,783.70	34.03 W	0.00	Sale
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	220.000	*5,584 67*	*01/10/14*	*5,557.20*	*0.00*	*27.47*	*Sale*
	345.000	*8,757.77*	*01/10/14*	*8,748.73*	*0.00*	*9.04*	*Sale*
02/03/14	565.000	14,342.44	VARIOUS	14,305.93	0.00	36 51	Total of 2 lots
	Security total:	28,671.61		28,646.83	34.03 W	58.81	
INTEGRYS ENERGY GROUP INC JR SUB FX/FLT 73 RATE: 6.000% SEMI ANNUALLY / CUSIP: 45822P204 / Symbol: IEH							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	1,055.000	*25,737.86*	*08/14/13*	*26,258.95*	*0.00*	*-521 09*	*Sale*
	33.000	*805.07*	*09/12/13*	*779.13*	*0 00*	*25 94*	*Sale*
01/31/14	1,088.000	26,542.93	VARIOUS	27,038.08	0.00	-495.15	Total of 2 lots
02/03/14	1,087.000	26,477.77	09/12/13	25,663.96	0.00	813.81	Sale
	Security total:	53,020.70		52,702.04	0.00	318.66	
LLOYDS BANKING GROUP PLC PINES 7.75%50 PINES / CUSIP: 539439802 / Symbol: LYGPRA							
02/03/14	1,590.000	42,580.26	10/28/13	42,547.76	0.00	32.50	Sale
MORGAN STANLEY CAP TR VI CAP SECS RATE: 6.600% QUARTERLY / CUSIP: 617461207 / Symbol: MSJ							
01/31/14	355.000	8,847.87	09/24/13	8,853.70	0.00	-5.83	Sale
02/03/14	355.000	8,854.54	09/24/13	8,853.70	0.00	0.84	Sale
	Security total:	17,702.41		17,707.40	0.00	-4.99	

[illegible]

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2- SHORT-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

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1a- Description of property/CUSIP/Symbol

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MORGAN STANLEY CAP TR VII CAP SECS 6.60% RATE: 6 600% QUARTERLY / CUSIP: 61750K208 / Symbol: MSZ							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	325.000	*8,108 15*	*09/24/13*	*8,105.50*	*0.00*	*2.65*	*Sale*
	388.000	*9,679.89*	*10/02/13*	*9,521.52*	*0.00*	*158.37*	*Sale*
01/31/14	713.000	17,788.04	VARIOUS	17,627.02	0.00	161.02	Total of 2 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	170.000	*4,236.33*	*10/02/13*	*4,171.80*	*0.00*	*64.53*	*Sale*
	542.000	*13,506 40*	*10/03/13*	*13,265.56*	*0.00*	*240.84*	*Sale*
02/03/14	712 000	17,742.73	VARIOUS	17,437.36	0.00	305.37	Total of 2 lots
	Security total:	35,530.77		35,064.38	0.00	466.39	
MORGAN STANLEY DEP SHS 1/1000 E RATE: ADJUSTABLE QUARTERLY / CUSIP: 61762V200 / Symbol: MSPRE							
01/31/14	345.000	8,995.58	01/28/14	8,970.00	0.00	25.58	Sale
02/03/14	345.000	8,999.44	01/28/14	8,970.00	0.00	29.44	Sale
	Security total:	17,995.02		17,940.00	0.00	55.02	
NEXTERA ENERGY CAP HLDGS INC GTD SD-F 8.75% RATE: 8.750% QUARTERLY / CUSIP: 65339K506 / Symbol:							
	2 tax lots for 02/06/14. Total proceeds (and cost when required) reported to the IRS.						
	161.000	*4,110.26*	*10/16/13*	*4,153.80*	*0.00*	*-43.54*	*Sale*
	179.000	*4,569 79*	*10/22/13*	*4,619.99*	*0.00*	*-50.20*	*Sale*
02/06/14	340.000	8,680.05	VARIOUS	8,773.79	0.00	-93.74	Total of 2 lots
PNC FINL SVCS GROUP INC DEPOSITARY SHS P RATE: ADJUSTABLE QUARTERLY / CUSIP: 693475857 / Symbol: PNCPRP							
01/31/14	1,258.000	32,116.18	03/04/13	34,758.54	0.00	-2,642.36	Sale
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	1,692.000	*43,029.01*	*03/04/13*	*46,749.96*	*0.00*	*-3,720.95*	*Sale*
	565.000	*14,368.43*	*05/14/13*	*16,062.95*	*0.00*	*-1,694.52*	*Sale*
02/03/14	2,257.000	57,397.44	VARIOUS	62,812.91	0.00	-5,415.47	Total of 2 lots
	Security total:	89,513.62		97,571.45	0.00	-8,057.83	
RBS CAP FDG TR VII PFD TR 6.08% GTD RATE: 6.080% QUARTERLY / CUSIP: 74928P207 / Symbol: RBSPRG							
01/31/14	403.000	8,667.49	11/22/13	8,745.10	0.00	-77.61	Sale
02/03/14	402.000	8,727 27	11/22/13	8,723.40	0.00	3.87	Sale
	Security total:	17,394.76		17,468.50	0.00	-73.74	

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[illegible]

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REINSURANCE GROUP AMER INC SUB DEB 42 RATE: 6.200% QUARTERLY / CUSIP: 759351703 / Symbol: RZA							
01/31/14	425.000	10,827.96	03/08/13	11,581.25	0.00	-753.29	Sale
02/03/14	1,060.000	26,780.96	03/08/13	28,885.00	0.00	-2,104.04	Sale
	Security total:	37,608.92		40,466.25	0.00	-2,857.33	
ROYAL BK SCOTLAND GROUP PLC SP ADR PREF T RATE: 7.250% QUARTERLY / CUSIP: 780097713 / Symbol: RBSPRT							
01/31/14	355.000	8,705.20	11/22/13	8,697.50	0.00	7.70	Sale
02/03/14	355.000	8,725.75	11/27/13	8,740.10	0.00	-14.35	Sale
	Security total:	17,430.95		17,437.60	0.00	-6.65	
SELECTIVE INS GROUP INC SR NT 43 RATE: 5.875% QUARTERLY / CUSIP: 816300404 / Symbol: SGZA							
01/31/14	418.000	8,673.35	02/07/13	10,282.80	0.00	-1,609.45	Sale
02/03/14	417.000	8,645.01	02/07/13	10,258.20	0.00	-1,613.19	Sale
	Security total:	17,318.36		20,541.00	0.00	-3,222.64	
SENIOR HSG PPTYS TR NT 42 RATE: 5.625% QUARTERLY MATURITY: 08/01/2042 / CUSIP: 81721M208 / Symbol: SNHN							
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	331.000	*6,487.52*	*09/11/13*	*6,651.78*	*0.00*	*-164.26*	*Sale*
	194.000	*3,802.35*	*09/12/13*	*3,852.14*	*0.00*	*-49.79*	*Sale*
02/03/14	525.000	10,289.87	VARIOUS	10,503.92	0.00	-214.05	Total of 2 lots
TELEPHONE & DATA SYS INC SR NT 61 RATE: 5 875% QUARTERLY / CUSIP: 879433795 / Symbol: TDA							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	92.000	*1,893.34*	*02/19/13*	*2,325.76*	*0 00*	*-432.42*	*Sale*
	116.000	*2,387.25*	*02/20/13*	*2,934.80*	*0.00*	*-547.55*	*Sale*
01/31/14	208.000	4,280.59	VARIOUS	5,260.56	0 00	-979.97	Total of 2 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	127.000	*2,607.27*	*02/20/13*	*3,213.10*	*0.00*	*-605.83*	*Sale*
	80.000	*1,642.37*	*10/01/13*	*1,618.32*	*0.00*	*24.05*	*Sale*
02/03/14	207.000	4,249.64	VARIOUS	4,831.42	0.00	-581.78	Total of 2 lots
	Security total:	8,530.23		10,091.98	0.00	-1,561.75	

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UBS PFD FDG TR IV PFD TR FLTG RT RATE: ADJUSTABLE MONTHLY / CUSIP. 90263W201 / Symbol: UBSPRD							
	5 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	81.000	*1,308.69*	*09/12/13*	*1,208 65*	*0.00*	*100.04*	*Sale*
	47 000	*759.36*	*10/15/13*	*701.71*	*0.00*	*57.65*	*Sale*
	242.000	*3,909.90*	*10/17/13*	*3,617.90*	*0.00*	*292.00*	*Sale*
	215.000	*3,473.67*	*10/21/13*	*3,203.50*	*0.00*	*270.17*	*Sale*
	5.000	*80.78*	*11/27/13*	*74.94*	*0.00*	*5.84*	*Sale*
01/31/14	590.000	9,532.40	VARIOUS	8,806.70	0.00	725.70	Total of 5 lots
02/03/14	590.000	9,478.25	11/27/13	8,842.62	0.00	635.63	Sale
	Security total:	19,010.65		17,649.32	0.00	1,361.33	
US BANCORP DEL DEP SHS REP G RATE: ADJUSTABLE QUARTERLY MATURITY. PERPETUAL / CUSIP: 902973817 / Symbol USBPRN							
01/31/14	1,070.000	29,449.64	03/12/13	29,318.00	0.00	131.64	Sale
02/03/14	1,070.000	29,403.09	03/12/13	29,318.00	0.00	85.09	Sale
	Security total:	58,852.73		58,636.00	0.00	216.73	
US BANCORP DEL DEP SHS PFD F RATE: ADJUSTABLE QUARTERLY MATURITY: PERPETUAL / CUSIP: 902973833 / Symbol: USBPRM							
02/03/14	610.000	16,454.47	06/03/13	17,543.60	0.00	-1,089.13	Sale
VORNADO RLTY L P PINES 7.875%39 PINES / CUSIP: 929043602 / Symbol: VNOD							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	525.000	*13,734.81*	*08/26/13*	*13,728.70*	*0.00*	*6.11*	*Sale*
	475.000	*12,426.73*	*09/19/13*	*12,402.25*	*0.00*	*24.48*	*Sale*
01/31/14	1,000.000	26,161.54	VARIOUS	26,130.95	0.00	30.59	Total of 2 lots
	2 tax lots for 02/03/14 Total proceeds (and cost when required) reported to the IRS.						
	25 000	*652.49*	*09/19/13*	*652.75*	*0.00*	*-0.26*	*Sale*
	975.000	*25,447.06*	*12/30/13*	*25,262.25*	*0.00*	*184.81*	*Sale*
02/03/14	1,000.000	26,099.55	VARIOUS	25,915.00	0.00	184.55	Total of 2 lots
	Security total:	52,261.09		52,045.95	0.00	215.14	
WELLS FARGO & CO NEW DEP 1/1000 PFD A RATE: ADJUSTABLE QUARTERLY / CUSIP: 949746465 / Symbol: WFCPRR							
01/31/14	698.000	18,358.62	12/13/13	17,440.23	0.00	918.39	Sale
02/03/14	697.000	18,336.77	12/13/13	17,415.24	0.00	921.53	Sale
	Security total:	36,695.39		34,855.47	0.00	1,839.92	

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WELLS FARGO & CO NEW DEP SHS 1/1000 A RATE: 5.850% QUARTERLY / CUSIP: 949746556 / Symbol: WFCPRQ							
01/31/14	728.000	17,564.95	07/16/13	18,177.36	0.00	-612.41	Sale
02/03/14	727.000	17,534.93	07/16/13	18,152.39	0.00	-617.46	Sale
	Security total:	35,099.88		36,329.75	0.00	-1,229.87	
WELLS FARGO & CO NEW DEP SHS SER J RATE: 8.000% QUARTERLY / CUSIP: 949746879 / Symbol: WFCPRJ							
01/31/14	1,090.000	31,100.54	03/05/13	31,555.50	0.00	-454.96	Sale
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	750.000	*21,374.63*	*03/05/13*	*21,712.50*	*0.00*	*-337 87*	*Sale*
	340.000	*9,689.83*	*11/26/13*	*9,732.67*	*0.00*	*-42 84*	*Sale*
02/03/14	1,090.000	31,064.46	VARIOUS	31,445.17	0.00	-380.71	Total of 2 lots
	Security total:	62,165.00		63,000.67	0.00	-835.67	
SANTANDER FINANCE PREF S SER 10 10.500% PREFERRED CLBL / CUSIP: E8683R144 / Symbol:							
	3 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	760 000	*20,102.64*	*09/12/13*	*20,003.20*	*0.00*	*99 44*	*Sale*
	237.000	*6,268.85*	*12/05/13*	*6,365.82*	*0.00*	*-96.97*	*Sale*
	398.000	*10,527.43*	*12/06/13*	*10,693.34*	*0.00*	*-165.91*	*Sale*
02/03/14	1,395.000	36,898.92	VARIOUS	37,062.36	0.00	-163 44	Total of 3 lots
ARCH CAP GROUP LTD PFD-C 6.75% RATE: 6.750% QUARTERLY MATURITY: PERPETUAL / CUSIP: G0450A204 / Symbol: ARHPRC							
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	107.000	*2,647.14*	*10/04/13*	*2,564.90*	*0.00*	*82.24*	*Sale*
	77.000	*1,904.94*	*10/07/13*	*1,841.07*	*0.00*	*63.87*	*Sale*
02/03/14	184.000	4,552.08	VARIOUS	4,405.97	0.00	146.11	Total of 2 lots
ASPEN INSURANCE HOLDINGS LTD PFD SHS 5.95 RATE: 5.950% QUARTERLY / CUSIP: G05384154 / Symbol: AHLPRC							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	550.000	*13,360.70*	*05/07/13*	*14,300.00*	*0.00*	*-939.30*	*Sale*
	5.000	*121.46*	*06/25/13*	*120.55*	*0.00*	*0.91*	*Sale*
01/31/14	555.000	13,482.16	VARIOUS	14,420.55	0.00	-938.39	Total of 2 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	115.000	*2,772.28*	*06/25/13*	*2,772.65*	*0.00*	*-0.37*	*Sale*

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2- SHORT-TERM TRANSACTIONS

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ASPEN INSURANCE HOLDINGS LTD PFD SHS 5.95 RATE: 5.950% QUARTERLY / CUSIP: G05384154 / Symbol: AHLPRC (cont'd)							
	440.000	*10,634.61*	*06/25/13*	*10,608.40*	*0.00*	*26.21*	*Sale*
02/03/14	555.000	13,406.89	VARIOUS	13,381.05	0.00	25.84	Total of 2 lots
	Security total:	26,889.05		27,801.60	0.00	-912.55	
AXIS CAPITAL HOLDINGS LTD PFD SER D 5.50% RATE: 5.500% QUARTERLY / CUSIP: G0692U117 / Symbol: AXSPRD							
01/28/14	148.000	2,921.31	05/14/13	3,710.36	0.00	-789.05	Sale
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	122.000	*2,409.99*	*05/14/13*	*3,058 54*	*0.00*	*-648.55*	*Sale*
	247.000	*4,879.25*	*05/24/13*	*6,124.46*	*0.00*	*-1,245.21*	*Sale*
01/31/14	369.000	7,289.24	VARIOUS	9,183.00	0.00	-1,893.76	Total of 2 lots
02/03/14	368.000	7,249.47	05/24/13	9,124.71	0.00	-1,875.24	Sale
	Security total:	17,460.02		22,018.07	0.00	-4,558.05	
MONTPELIER RE HOLDINGS LTD PFD NON CUM RATE: 0.000% QUARTERLY / CUSIP: G62185114 / Symbol: MRHPRA							
01/31/14	173.000	4,560.27	01/23/14	4,546.44	0.00	13.83	Sale
02/03/14	172.000	4,545.88	01/23/14	4,520.16	0.00	25.72	Sale
	Security total:	9,106.15		9,066.60	0.00	39.55	
	Totals:	**1,438,684.53**		**1,472,611.90**	**34.03 W**	**-33,693.34**	

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional Information
AFLAC INC SUB DEB 52 RATE: 5.500% QUARTERLY MATURITY: 09/15/2052 / CUSIP: 001055300 / Symbol: AFSD							
01/15/14	1,160.000	26,029.95	09/24/12	28,803.73	0.00	-2,773.78	Sale
01/31/14	390.000	8,774.89	09/24/12	9,684.01	0.00	-909.12	Sale
02/03/14	70.000	1,571.93	09/24/12	1,738.16	0.00	-166.23	Sale
	Security total:	36,376.77		40,225.90	0.00	-3,849.13	

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UBS FINANCIAL SERVICES INC.

2014 1099-B

Proceeds from Broker and Barter Exchange Transactions

(continued)

OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

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AEGON N V PERP CAP FLTG RT RATE: ADJUSTABLE QUARTERLY MATURITY: PERPETUAL / CUSIP: 007924509 / Symbol: AEB							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	410.000	*8,527 89*	*11/29/11*	*6,945.40*	*0.00*	*1,582.49*	*Sale*
	438.000	*9,110 28*	*08/09/12*	*9,570.30*	*0.00*	*-460 02*	*Sale*
01/31/14	848.000	17,638.17	VARIOUS	16,515.70	0.00	1,122.47	Total of 2 lots
02/03/14	537.000	11,080.16	08/09/12	11,733.45	0.00	-653.29	Sale
	Security total:	28,718.33		28,249.15	0.00	469.18	
AFFILIATED MANAGERS GROUP SR NT 42 RATE: 6.375% QUARTERLY / CUSIP· 008252876 / Symbol. MGR							
01/31/14	940.000	22,359.58	09/07/12	24,082.80	0.00	-1,723.22	Sale
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	37.000	*879.13*	*09/07/12*	*947.94*	*0.00*	*-68.81*	*Sale*
	183.000	*4,348.11*	*09/07/12*	*4,693.62*	*0.00*	*-345.51*	*Sale*
02/03/14	220.000	5,227.24	VARIOUS	5,641.56	0.00	-414.32	Total of 2 lots
	Security total:	27,586.82		29,724.36	0.00	-2,137.54	
ALLIED CAP CORP NEW NT 6.875 2047 RATE: 6.875% QUARTERLY / CUSIP: 01903Q207 / Symbol: AFC							
01/31/14	188.000	4,530.72	08/13/12	4,726.32	0.00	-195.60	Sale
02/03/14	187.000	4,480.50	08/13/12	4,701.18	0.00	-220.68	Sale
	Security total:	9,011.22		9,427.50	0.00	-416.28	
AMERICAN FINL GROUP INC OHIO SR NT 42 RATE: 6.375% QUARTERLY / CUSIP: 025932401 / Symbol: AFW							
01/31/14	363.000	8,985.72	06/11/12	9,018.48	0.00	-32.76	Sale
	2 tax lots for 02/03/14 Total proceeds (and cost when required) reported to the IRS						
	22.000	*544.93*	*06/11/12*	*546.57*	*0 00*	*-1 64*	*Sale*
	340.000	*8,421.65*	*08/09/12*	*9,071.20*	*0.00*	*-649.55*	*Sale*
02/03/14	362.000	8,966.58	VARIOUS	9,617.77	0.00	-651.19	Total of 2 lots
	Security total:	17,952.30		18,636.25	0.00	-683.95	
APOLLO INVT CORP SR NT 42 RATE: 6.625% QUARTERLY MATURITY: 10/15/2042 / CUSIP: 03761U304 / Symbol: AIB							
01/31/14	208.000	4,694.60	10/12/12	5,129.28	0.00	-434.68	Sale
02/03/14	207.000	4,671.56	10/12/12	5,104.62	0.00	-433.06	Sale
	Security total:	9,366.16		10,233.90	0.00	-867.74	

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2- LONG-TERM TRANSACTIONS 5- COVERED tax lots 3- Basis is reported to the IRS**

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ARES CAP CORP SR NT 7.75%40 RATE: 7.750% QUARTERLY MATURITY: 10/15/2040 / CUSIP: 04010L202 / Symbol: ARY							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	820.000	*21,018.69*	*11/23/11*	*20,459.00*	*0.00*	*559.69*	*Sale*
	208.000	*5,331 57*	*08/09/12*	*5,613.92*	*0 00*	*-282.35*	*Sale*
01/31/14	1,028.000	26,350.26	VARIOUS	26,072.92	0.00	277.34	Total of 2 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	4.000	*102.47*	*08/09/12*	*107 96*	*0.00*	*-5.49*	*Sale*
	1,023.000	*26,121.14*	*08/09/12*	*27,610 77*	*0.00*	*-1,489.63*	*Sale*
02/03/14	1,027.000	26,223.61	VARIOUS	27,718.73	0.00	-1,495.12	Total of 2 lots
	Security total:	52,573.87		53,791.65	0.00	-1,217.78	
ASSURED GUARNTY MUNI HLDGS INC NT 6.25% 2102 RATE: 6.250% QUARTERLY / CUSIP: 04623A304 / Symbol: AGOPRE							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	286.000	*6,342 51*	*02/23/12*	*7,006.97*	*0.00*	*-664.46*	*Sale*
	305 000	*6,763.87*	*08/09/12*	*7,625.00*	*0.00*	*-861.13*	*Sale*
01/31/14	591.000	13,106.38	VARIOUS	14,631.97	0.00	-1,525.59	Total of 2 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS						
	100 000	*2,192.96*	*08/09/12*	*2,500 00*	*0.00*	*-307.04*	*Sale*
	490.000	*10,706.36*	*08/09/12*	*12,250.00*	*0.00*	*-1,543.64*	*Sale*
02/03/14	590.000	12,899.32	VARIOUS	14,750.00	0.00	-1,850.68	Total of 2 lots
	Security total:	26,005.70		29,381.97	0.00	-3,376.27	
BARCLAYS BK PLC ADR 2 PREF 2 RATE: 6.625% QUARTERLY MATURITY: PERPETUAL / CUSIP: 06739F390 / Symbol. BCSPR							
	3 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	315.000	*7,871.71*	*11/22/11*	*6,426.00*	*0 00*	*1,445.71*	*Sale*
	220.000	*5,497.71*	*11/23/11*	*4,452.80*	*0.00*	*1,044.91*	*Sale*
	180.000	*4,498 12*	*11/29/11*	*3,598.20*	*0.00*	*899.92*	*Sale*
01/31/14	715.000	17,867.54	VARIOUS	14,477.00	0.00	3,390.54	Total of 3 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	40.000	*998.38*	*11/29/11*	*799 60*	*0.00*	*198 78*	*Sale*
	675.000	*16,847.71*	*08/09/12*	*16,875.00*	*0.00*	*-27.29*	*Sale*
02/03/14	715.000	17,846.09	VARIOUS	17,674.60	0.00	171.49	Total of 2 lots

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2- LONG-TERM TRANSACTIONS

5- COVERED tax lots 3- Basis is reported to the IRS**

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
	Security total:	35,713.63		32,151.60	0.00	3,562.03	
CAPITAL ONE FINL CORP DEP SHS 1/40TH RATE: 6.000% QUARTERLY / CUSIP: 14040H402 / Symbol: COFPRP							
01/31/14	400.000	9,147.88	09/07/12	9,988.00	0.00	-840.12	Sale
02/03/14	400.000	9,090.04	09/07/12	9,988.00	0.00	-897.96	Sale
	Security total:	18,237.92		19,976.00	0.00	-1,738.08	
CITIGROUP CAP IX PFD TR 6.00% TRUPS RATE: 6.000% QUARTERLY / CUSIP: 173066200 / Symbol: CPRSCL							
01/31/14	355.000	8,960.22	08/09/12	8,820.50	0.00	139.72	Sale
02/03/14	355.000	8,952.94	08/09/12	8,820.51	0.00	132.43	Sale
	Security total:	17,913.16		17,641.01	0.00	272.15	
COMMONWEALTH REIT 5.750% DUE 08/01/42 CALLABLE **NAME CHANGE-EFF-8/14** / CUSIP: 203233705 / Symbol:							
01/31/14	510.000	9,902.75	08/09/12	12,438.90	0.00	-2,536.15	Sale
DTE ENERGY CO JR SB DB6.5%61 RATE: 6.500% QUARTERLY MATURITY: 12/01/2061 / CUSIP: 233331602 / Symbol: DTZ							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	1,169.000	*28,945.34*	*02/02/12*	*31,668.21*	*0.00*	*-2,722.87*	*Sale*
	269.000	*6,660.65*	*02/03/12*	*7,295.09*	*0.00*	*-634 44*	*Sale*
01/31/14	1,438.000	35,605.99	VARIOUS	38,963.30	0.00	-3,357.31	Total of 2 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	62.000	*1,535.01*	*02/03/12*	*1,681.40*	*0.00*	*-146.39*	*Sale*
	1,375.000	*34,042.48*	*08/13/12*	*40,177.50*	*0.00*	*-6,135.02*	*Sale*
02/03/14	1,437.000	35,577.49	VARIOUS	41,858.90	0.00	-6,281.41	Total of 2 lots
	Security total:	71,183.48		80,822.20	0.00	-9,638.72	
DEUTSCHE BK CAP FDG TR VIII TR PFD SC 6.375% RATE: 6.375% QUARTERLY / CUSIP: 25153U204 / Symbol: DUA							
01/31/14	365.000	9,068.01	08/09/12	9,047.33	0.00	20.68	Sale
DIGITAL RLTY TR INC PFD-E RATE: 7.000% QUARTERLY MATURITY: PERPETUAL / CUSIP: 253868707 / Symbol: DLRPRE							
	3 tax lots for 01/31/14 Total proceeds (and cost when required) reported to the IRS.						
	259.000	*6,023 07*	*03/01/12*	*6,806.98*	*0.00*	*-783.91*	*Sale*
	271.000	*6,302.13*	*03/05/12*	*7,159.82*	*0.00*	*-857.69*	*Sale*
	430.000	*9,999.69*	*08/13/12*	*11,760.50*	*0.00*	*-1,760.81*	*Sale*
01/31/14	960.000	22,324.89	VARIOUS	25,727.30	0.00	-3,402.41	Total of 3 lots

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UBS FINANCIAL SERVICES INC

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B (continued) OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
DIGITAL RLTY TR INC PFD-E RATE: 7.000% QUARTERLY MATURITY: PERPETUAL / CUSIP: 253868707 / Symbol: DLRPRE (cont'd)							
02/03/14	380.000	8,743.69	08/13/12	10,393.00	0.00	-1,649.31	Sale
	Security total:	31,068.58		36,120.30	0.00	-5,051.72	
DISCOVER FINL SVCS DEP SHS RATE: 6.500% QUARTERLY MATURITY: PERPETUAL / CUSIP: 254709207 / Symbol: DFSPRB							
01/31/14	183.000	4,372.34	10/22/12	4,647.83	0.00	-275.49	Sale
02/03/14	182.000	4,331.52	10/22/12	4,622.44	0.00	-290 92	Sale
	Security total:	8,703.86		9,270.27	0.00	-566.41	
ENDURANCE SPECIALTY HLDGS LTD PFD SER A RATE: 7.750% QUARTERLY / CUSIP. 29267H208 / Symbol: ENHPRA							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	665 000	*17,176.65*	*11/21/11*	*16,811.20*	*0.00*	*365.45*	*Sale*
	363.000	*9,376.13*	*08/09/12*	*9,805.18*	*0.00*	*-429.05*	*Sale*
01/31/14	1,028.000	26,552.78	VARIOUS	26,616.38	0.00	-63.60	Total of 2 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	100.000	*2,596.95*	*08/09/12*	*2,701 15*	*0.00*	*-104 20*	*Sale*
	927.000	*23,871.13*	*08/09/12*	*25,039.66*	*0.00*	*-1,168.53*	*Sale*
02/03/14	1,027.000	26,468.08	VARIOUS	27,740.81	0.00	-1,272.73	Total of 2 lots
	Security total:	53,020.86		54,357.19	0.00	-1,336.33	
FIRST REP BK SAN FRANCISCO CAL DEP SH PFD A RATE. 6.700% QUARTERLY / CUSIP: 33616C209 / Symbol: FRCPRA							
	3 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	429.000	*10,595.17*	*02/29/12*	*11,003 59*	*0.00*	*-408.42*	*Sale*
	236.000	*5,828 58*	*03/05/12*	*6,040.23*	*0.00*	*-211 65*	*Sale*
	53.000	*1,308.96*	*08/09/12*	*1,437 31*	*0.00*	*-128.35*	*Sale*
01/31/14	718.000	17,732.71	VARIOUS	18,481.13	0.00	-748.42	Total of 3 lots
02/03/14	717.000	17,655.89	08/09/12	19,444.32	0.00	-1,788.43	Sale
	Security total:	35,388.60		37,925.45	0.00	-2,536.85	
GOLDMAN SACHS GROUP INC NT 6.5%61 RATE: 6.500% QUARTERLY / CUSIP: 38144G184 / Symbol: GSJ							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	1,125.000	*29,126.42*	*10/28/11*	*27,898.09*	*0.00*	*1,228.33*	*Sale*
	488.000	*12,634.39*	*11/21/11*	*11,951.12*	*0.00*	*683 27*	*Sale*
01/31/14	1,613.000	41,760.81	VARIOUS	39,849.21	0.00	1,911 60	Total of 2 lots

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2- LONG-TERM TRANSACTIONS

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*5- COVERED tax lots 3- Basis is reported to the IRS***

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
GOLDMAN SACHS GROUP INC NT 6.5%61 RATE: 6.500% QUARTERLY / CUSIP: 38144G184 / Symbol: GSJ (cont'd)							
	2 tax lots for 02/03/14 Total proceeds (and cost when required) reported to the IRS.						
	312.000	*8,056.32*	*11/21/11*	*7,640.88*	*0.00*	*415.44*	*Sale*
	1,300.000	*33,568.02*	*11/22/11*	*31,941.00*	*0.00*	*1,627.02*	*Sale*
02/03/14	1,612.000	41,624.34	VARIOUS	39,581.88	0.00	2,042.46	Total of 2 lots
	Security total:	83,385.15		79,431.09	0.00	3,954.06	
GOLDMAN SACHS GROUP INC SHS D 1/1000 RATE: ADJUSTABLE QUARTERLY / CUSIP: 38144G804 / Symbol: GSPRD							
	3 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	310.000	*5,954.00*	*11/21/11*	*5,626.50*	*0.00*	*327.50*	*Sale*
	465.000	*8,931.01*	*11/22/11*	*8,588.50*	*0.00*	*342 51*	*Sale*
	325.000	*6,242.10*	*09/04/12*	*6,847.75*	*0.00*	*-605 65*	*Sale*
01/31/14	1,100.000	21,127.11	VARIOUS	21,062.75	0.00	64 36	Total of 3 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	217.000	*4,127 27*	*09/04/12*	*4,572.19*	*0.00*	*-444.92*	*Sale*
	883.000	*16,794 37*	*09/06/12*	*18,587.15*	*0.00*	*-1,792 78*	*Sale*
02/03/14	1,100.000	20,921.64	VARIOUS	23,159.34	0.00	-2,237.70	Total of 2 lots
	Security total:	42,048.75		44,222.09	0.00	-2,173.34	
GOLDMAN SACHS GROUP INC NT 6.125%60 RATE: 6.125% QUARTERLY / CUSIP: 38145X111 / Symbol: GSF							
01/31/14	128.000	3,201.22	08/09/12	3,361.28	0.00	-160.06	Sale
02/03/14	127.000	3,173.67	08/09/12	3,335.02	0.00	-161.35	Sale
	Security total:	6,374.89		6,696.30	0.00	-321.41	
HSBC USA INC NEW PFD F FLT RATE RATE: ADJUSTABLE QUARTERLY / CUSIP. 40428H805 / Symbol:							
	2 tax lots for 01/08/14. Total proceeds (and cost when required) reported to the IRS.						
	675.000	*13,243.27*	*11/23/11*	*11,441.25*	*0.00*	*1,802.02*	*Sale*
	230.000	*4,512.52*	*09/04/12*	*5,142.78*	*0.00*	*-630.26*	*Sale*
01/08/14	905.000	17,755.79	VARIOUS	16,584.03	0.00	1,171 76	Total of 2 lots
ING GROEP N V PERP DEBT SECS RATE: 7.050% QUARTERLY MATURITY: PERPETUAL / CUSIP: 456837202 / Symbol: IND							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS						
	445 000	*11,244.95*	*04/23/12*	*10,108.93*	*0 00*	*1,136.02*	*Sale*

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2- LONG-TERM TRANSACTIONS

5- COVERED tax lots 3- Basis is reported to the IRS**

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ING GROEP N V PERP DEBT SECS RATE: 7.050% QUARTERLY MATURITY: PERPETUAL / CUSIP: 456837202 / Symbol: IND (cont'd)							
	78.000	*1,971.03*	*08/09/12*	*1,929.42*	*0.00*	*41.61*	*Sale*
01/31/14	523.000	13,215.98	VARIOUS	12,038.35	0.00	1,177.63	Total of 2 lots
02/03/14	522.000	13,202.14	08/09/12	12,912.30	0.00	289.84	Sale
	Security total:	26,418.12		24,950.65	0.00	1,467.47	
ING GROEP N V PERP DEBT 6.2% RATE: 6.200% QUARTERLY MATURITY: PERPETUAL / CUSIP: 456837400 / Symbol: ISP							
	3 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	135 000	*3,276.47*	*02/22/12*	*2,771.90*	*0.00*	*504.57*	*Sale*
	285.000	*6,917 01*	*04/23/12*	*5,861.74*	*0.00*	*1,055 27*	*Sale*
	135.000	*3,276.47*	*08/09/12*	*3,006.23*	*0.00*	*270.24*	*Sale*
01/31/14	555.000	13,469.95	VARIOUS	11,639.87	0.00	1,830.08	Total of 3 lots
02/03/14	555.000	13,475.17	08/09/12	12,358.97	0.00	1,116.20	Sale
	Security total:	26,945.12		23,998.84	0.00	2,946.28	
KKR FINL HLDGS LLC SR NT 8.375%41 RATE: 8.375% QUARTERLY / CUSIP: 48248A405 / Symbol: KFH							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	915.000	*24,781.24*	*01/13/12*	*23,488.05*	*0.00*	*1,293.19*	*Sale*
	53.000	*1,435.42*	*08/09/12*	*1,496 61*	*0.00*	*-61.19*	*Sale*
01/31/14	968.000	26,216.66	VARIOUS	24,984.66	0.00	1,232.00	Total of 2 lots
02/03/14	967.000	26,089.21	08/09/12	27,306.05	0.00	-1,216.84	Sale
	Security total:	52,305.87		52,290.71	0.00	15.16	
LLOYDS BANKING GROUP PLC PINES 7.75%50 PINES / CUSIP: 539439802 / Symbol: LYGPRA							
	3 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	196.000	*5,251.53*	*11/23/11*	*4,947.04*	*0.00*	*304.49*	*Sale*
	235.000	*6,296.48*	*05/07/12*	*6,218.10*	*0.00*	*78.38*	*Sale*
	1,525.000	*40,860 14*	*08/09/12*	*41,479.09*	*0.00*	*-618 95*	*Sale*
01/31/14	1,956.000	52,408.15	VARIOUS	52,644.23	0.00	-236.08	Total of 3 lots
02/03/14	365.000	9,774.71	08/09/12	9,927.78	0.00	-153.07	Sale
	Security total:	62,182.86		62,572.01	0.00	-389.15	
MORGAN STANLEY CAP TR III CAP SECS 6.25% RATE: 6.250% QUARTERLY / CUSIP: 617460209 / Symbol: MWR							
01/31/14	1,090.000	27,051 59	11/21/11	22,563.00	0.00	4,488.59	Sale

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Report on Form 8949, Part II, with Box D checked

5- COVERED tax lots 3- Basis is reported to the IRS**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
MORGAN STANLEY CAP TR III CAP SECS 6.25% RATE: 6.250% QUARTERLY / CUSIP: 617460209 / Symbol: MWR (cont'd)							
2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.							
	20.000	*495.03*	*11/21/11*	*414.00*	*0.00*	*81.03*	*Sale*
	1,070.000	*26,483.96*	*08/09/12*	*26,739.19*	*0.00*	*-255.23*	*Sale*
02/03/14	1,090.000	26,978.99	VARIOUS	27,153.19	0.00	-174.20	Total of 2 lots
Security total:		54,030.58		49,716.19	0.00	4,314.39	
MORGAN STANLEY PFD A 1/1000 RATE: ADJUSTABLE QUARTERLY MATURITY: PERPETUAL / CUSIP: 61747S504 / Symbol: MSPRA							
2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.							
	890.000	*16,931.69*	*11/22/11*	*14,017.50*	*0.00*	*2,914 19*	*Sale*
	20.000	*380.49*	*09/05/12*	*378.75*	*0.00*	*1.74*	*Sale*
01/31/14	910.000	17,312.18	VARIOUS	14,396.25	0.00	2,915.93	Total of 2 lots
02/03/14	910.000	17,299 89	09/05/12	17,233.13	0.00	66.76	Sale
Security total:		34,612.07		31,629.38	0.00	2,982.69	
NATIONAL RETAIL PPTYS INC PFD SER D RATE: 6.625% QUARTERLY / CUSIP: 637417601 / Symbol: NNNPRD							
2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.							
	125.000	*2,958 04*	*02/17/12*	*3,123.75*	*0.00*	*-165.71*	*Sale*
	1,040.000	*24,610.86*	*02/21/12*	*26,036.40*	*0.00*	*-1,425.54*	*Sale*
01/31/14	1,165.000	27,568.90	VARIOUS	29,160.15	0.00	-1,591.25	Total of 2 lots
2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.							
	10.000	*233.13*	*02/21/12*	*250.35*	*0.00*	*-17 22*	*Sale*
	629.000	*14,663.94*	*08/09/12*	*16,637 05*	*0.00*	*-1,973 11*	*Sale*
02/03/14	639.000	14,897.07	VARIOUS	16,887.40	0.00	-1,990.33	Total of 2 lots
02/05/14	526.000	12,334.54	08/09/12	13,912.70	0.00	-1,578.16	Sale
Security total:		54,800.51		59,960.25	0.00	-5,159.74	
NEXTERA ENERGY CAP HLDGS INC GTD DEB-G RATE: 5.700% QUARTERLY / CUSIP: 65339K605 / Symbol: NEEPRG							
3 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.							
	185.000	*4,047.90*	*03/20/12*	*4,625.00*	*0.00*	*-577 10*	*Sale*
	770.000	*16,848.00*	*08/17/12*	*21,098.00*	*0.00*	*-4,250.00*	*Sale*
	265.000	*5,798.34*	*08/24/12*	*7,266.30*	*0.00*	*-1,467 96*	*Sale*
01/31/14	1,220.000	26,694.24	VARIOUS	32,989.30	0.00	-6,295.06	Total of 3 lots

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[illegible]

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2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
NEXTERA ENERGY CAP HLDGS INC GTD DEB-G RATE: 5.700% QUARTERLY / CUSIP: 65339K605 / Symbol: NEEPRG (cont'd)							
	3 tax lots for 02/03/14 Total proceeds (and cost when required) reported to the IRS.						
	920.000	*20,138.45*	*08/24/12*	*25,226.40*	*0.00*	*-5,087.95*	*Sale*
	180.000	*3,940.14*	*09/07/12*	*4,858.20*	*0.00*	*-918.06*	*Sale*
	120.000	*2,626.75*	*09/21/12*	*3,199.30*	*0.00*	*-572.55*	*Sale*
02/03/14	1,220.000	26,705.34	VARIOUS	33,283.90	0.00	-6,578.56	Total of 3 lots
	Security total:	53,399.58		66,273.20	0.00	-12,873.62	
PNC FINL SVCS GROUP INC DEPOSITARY SHS P RATE: ADJUSTABLE QUARTERLY / CUSIP: 693475857 / Symbol: PNCPRP							
	3 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	860.000	*21,955.42*	*08/09/12*	*24,159.64*	*0.00*	*-2,204 22*	*Sale*
	46.000	*1,174.36*	*09/04/12*	*1,273 74*	*0.00*	*-99 38*	*Sale*
	94.000	*2,399.78*	*09/05/12*	*2,611.18*	*0.00*	*-211.40*	*Sale*
01/31/14	1,000.000	25,529.56	VARIOUS	28,044 56	0.00	-2,515.00	Total of 3 lots
PS BUSINESS PKS INC CALIF DEP SHS REPSTG 1 RATE: 6.000% QUARTERLY / CUSIP: 69360J685 / Symbol: PSBPRT							
	3 tax lots for 01/31/14 Total proceeds (and cost when required) reported to the IRS.						
	383.000	*8,140.95*	*07/06/12*	*9,763.78*	*0.00*	*-1,622.83*	*Sale*
	1,002.000	*21,298.24*	*07/09/12*	*25,570.64*	*0.00*	*-4,272.40*	*Sale*
	265.000	*5,632.77*	*08/09/12*	*6,719.95*	*0 00*	*-1,087.18*	*Sale*
01/31/14	1,650.000	35,071.96	VARIOUS	42,054.37	0.00	-6,982.41	Total of 3 lots
02/03/14	1,650.000	34,916.86	08/09/12	41,841.19	0.00	-6,924.33	Sale
	Security total:	69,988.82		83,895.56	0.00	-13,906.74	
PUBLIC STORAGE PFD T 1/1000TH RATE: 5.750% QUARTERLY MATURITY: PERPETUAL / CUSIP: 74460W404 / Symbol: PSAPRT							
	2 tax lots for 01/15/14. Total proceeds (and cost when required) reported to the IRS.						
	80.000	*1,762.37*	*03/07/12*	*1,985.14*	*0.00*	*-222.77*	*Sale*
	305.000	*6,719.03*	*08/09/12*	*8,171.65*	*0.00*	*-1,452.62*	*Sale*
01/15/14	385.000	8,481.40	VARIOUS	10,156.79	0.00	-1,675.39	Total of 2 lots
01/31/14	410.000	8,975.93	08/09/12	10,984.85	0.00	-2,008.92	Sale
02/03/14	410.000	8,953.26	08/09/12	10,984.84	0.00	-2,031.58	Sale
	Security total:	26,410.59		32,126.48	0.00	-5,715.89	

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2013 - 1099-B (continued) OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
QWEST CORP NT 7.375% 51 RATE: 7.375% QUARTERLY MATURITY: 06/01/2051 / CUSIP: 74913G204 / Symbol: CTQ							
	3 tax lots for 01/31/14 Total proceeds (and cost when required) reported to the IRS.						
	900.000	*22,548.66*	*11/22/11*	*23,067.00*	*0 00*	*-518.34*	*Sale*
	285.000	*7,140.41*	*05/08/12*	*7,410.00*	*0.00*	*-269.59*	*Sale*
	210.000	*5,261 35*	*10/10/12*	*5,705.70*	*0.00*	*-444 35*	*Sale*
01/31/14	1,395.000	34,950.42	VARIOUS	36,182.70	0.00	-1,232.28	Total of 3 lots
02/03/14	1,395.000	34,756.52	10/10/12	37,902.15	0.00	-3,145.63	Sale
	Security total:	69,706.94		74,084.85	0 00	-4,377.91	
QWEST CORP NOTES 7.5% RATE: 7.500% QUARTERLY MATURITY: 09/15/2051 / CUSIP: 74913G303 / Symbol: CTW							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	555.000	*13,936 47*	*11/21/11*	*14,135.85*	*0.00*	*-199.38*	*Sale*
	138.000	*3,465.29*	*08/09/12*	*3,792.24*	*0.00*	*-326 95*	*Sale*
01/31/14	693.000	17,401.76	VARIOUS	17,928.09	0.00	-526.33	Total of 2 lots
02/03/14	692.000	17,281.43	08/09/12	19,016.16	0.00	-1,734.73	Sale
	Security total:	34,683.19		36,944.25	0.00	-2,261.06	
QWEST CORP NT 7% 25 RATE: 7.000% QUARTERLY MATURITY: 07/01/2052 / CUSIP: 74913G501 / Symbol: CTU							
01/31/14	360.000	8,704.51	08/09/12	9,597.60	0.00	-893.09	Sale
02/03/14	360.000	8,679.45	08/09/12	9,597.60	0.00	-918.15	Sale
	Security total:	17,383.96		19,195.20	0.00	-1,811.24	
RAYMOND JAMES FINANCIAL INC SR NT 6.9%42 RATE: 6.900% QUARTERLY / CUSIP: 754730208 / Symbol: RJD							
	4 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	730.000	*18,780.38*	*03/01/12*	*18,250.00*	*0.00*	*530.38*	*Sale*
	415.000	*10,676.52*	*05/23/12*	*10,620.43*	*0.00*	*56.09*	*Sale*
	535.000	*13,763.71*	*06/11/12*	*13,958.15*	*0.00*	*-194 44*	*Sale*
	60.000	*1,543.59*	*08/09/12*	*1,639.12*	*0 00*	*-95.53*	*Sale*
01/31/14	1,740.000	44,764.20	VARIOUS	44,467.70	0.00	296.50	Total of 4 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	340.000	*8,693.24*	*08/09/12*	*9,288.36*	*0.00*	*-595.12*	*Sale*
	1,400.000	*35,965.37*	*08/09/12*	*38,246.18*	*0.00*	*-2,280.81*	*Sale*
02/03/14	1,740.000	44,658.61	VARIOUS	47,534.54	0.00	-2,875.93	Total of 2 lots
	Security total:	89,422.81		92,002.24	0.00	-2,579.43	

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[redacted]

2- LONG-TERM TRANSACTIONS

5- COVERED tax lots 3- Basis is reported to the IRS**

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REGENCY CTRS CORP CUM RED PFD SER RATE: 6.625% QUARTERLY / CUSIP: 758849707 / Symbol: REGPRF							
01/31/14	780.000	18,471.25	02/29/12	19,728.15	0.00	-1,256.90	Sale
	3 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	10.000	*233.62*	*02/29/12*	*252.92*	*0.00*	*-19.30*	*Sale*
	320.000	*7,475.74*	*08/09/12*	*8,512.00*	*0 00*	*-1,036.26*	*Sale*
	450.000	*10,583.82*	*08/09/12*	*11,970.00*	*0.00*	*-1,386.18*	*Sale*
02/03/14	780.000	18,293.18	VARIOUS	20,734.92	0.00	-2,441.74	Total of 3 lots
	Security total:	36,764.43		40,463.07	0.00	-3,698.64	
REINSURANCE GROUP AMER INC SUB DEB 42 RATE· 6.200% QUARTERLY / CUSIP: 759351703 / Symbol: RZA							
01/31/14	635.000	16,178.25	12/20/12	17,145.00	0.00	-966.75	Sale
SCE TR I TR PREF SECS RATE: 5.625% QUARTERLY MATURITY: PERPETUAL / CUSIP. 78406T201 / Symbol: SCEPRF							
01/31/14	1,675.000	36,553.22	08/10/12	44,387.34	0.00	-7,834.12	Sale
	2 tax lots for 02/03/14 Total proceeds (and cost when required) reported to the IRS.						
	1,065.000	*23,056.85*	*08/10/12*	*28,222.39*	*0.00*	*-5,165.54*	*Sale*
	610.000	*13,206.27*	*01/15/13*	*16,168.17*	*0.00*	*-2,961.90*	*Sale*
02/03/14	1,675.000	36,263.12	VARIOUS	44,390.56	0.00	-8,127.44	Total of 2 lots
	Security total:	72,816.34		88,777.90	0.00	-15,961.56	
SANTANDER FIN PFD S A UNIPERSN GTD PFD SECS 6 RATE: ADJUSTABLE QUARTERLY / CUSIP· 80281R888 / Symbol: SANPRB							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	130.000	*2,470.87*	*11/21/11*	*1,823.90*	*0.00*	*646.97*	*Sale*
	345.000	*6,557.30*	*08/09/12*	*5,261.25*	*0.00*	*1,296.05*	*Sale*
01/31/14	475.000	9,028.17	VARIOUS	7,085.15	0.00	1,943.02	Total of 2 lots
02/03/14	475.000	8,968 08	08/09/12	7,243.75	0.00	1,724.33	Sale
	Security total:	17,996.25		14,328.90	0.00	3,667.35	
SENIOR HSG PPTYS TR NT 42 RATE: 5.625% QUARTERLY MATURITY: 08/01/2042 / CUSIP: 81721M208 / Symbol: SNHN							
	3 tax lots for 01/31/14 Total proceeds (and cost when required) reported to the IRS.						
	535.000	*10,567.94*	*08/09/12*	*13,027.25*	*0.00*	*-2,459.31*	*Sale*
	620.000	*12,246.96*	*10/08/12*	*15,478.42*	*0.00*	*-3,231.46*	*Sale*
	185.000	*3,654.33*	*10/09/12*	*4,610.20*	*0.00*	*-955.87*	*Sale*
01/31/14	1,340.000	26,469.23	VARIOUS	33,115.87	0.00	-6,646.64	Total of 3 lots

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2- LONG-TERM TRANSACTIONS

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SENIOR HSG PPTYS TR NT 42 RATE: 5.625% QUARTERLY MATURITY: 08/01/2042 / CUSIP: 81721M208 / Symbol: SNHN (cont'd)							
02/03/14	815.000	15,973.80	10/09/12	20,309.80	0.00	-4,336.00	Sale
	Security total:	42,443.03		53,425.67	0.00	-10,982.64	
SOLAR CAP LTD SR NT 42 RATE: 6.750% QUARTERLY MATURITY: 11/15/2042 / CUSIP: 83413U308 / Symbol: SLRA							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	127.000	*2,744.22*	*01/09/13*	*3,060.70*	*0 00*	*-316.48*	*Sale*
	81.000	*1,750.25*	*01/15/13*	*1,972.63*	*0.00*	*-222 38*	*Sale*
01/31/14	208.000	4,494.47	VARIOUS	5,033.33	0.00	-538.86	Total of 2 lots
02/03/14	207.000	4,425.33	01/15/13	5,041 18	0.00	-615.85	Sale
	Security total:	8,919.80		10,074.51	0.00	-1,154.71	
STANLEY BLACK & DECKER INC JR SUB DEB 52 RATE: 5 750% QUARTERLY / CUSIP: 854502705 / Symbol. SWJ							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	445 000	*10,074 00*	*07/19/12*	*11,143.87*	*0 00*	*-1,069.87*	*Sale*
	138.000	*3,124.07*	*08/09/12*	*3,553.50*	*0 00*	*-429.43*	*Sale*
01/31/14	583.000	13,198.07	VARIOUS	14,697.37	0.00	-1,499.30	Total of 2 lots
02/03/14	582.000	13,135.51	08/09/12	14,986.50	0.00	-1,850.99	Sale
	Security total:	26,333 58		29,683.87	0.00	-3,350.29	
TELEPHONE & DATA SYS INC SR NT 2059 RATE: 6 875% QUARTERLY / CUSIP: 879433845 / Symbol: TDE							
01/31/14	120.000	2,919.98	08/15/12	3,262.80	0.00	-342.82	Sale
01/31/14	995.000	24,211.51	11/28/11	25,322.25	83 72 W	-1,027.02	Sale
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	1,040.000	*25,135 01*	*08/15/12*	*28,277.60*	*0.00*	*-3,142.59*	*Sale*
	75.000	*1,812.62*	*01/17/14*	*1,894.97*	*0.00*	*-82.35*	*Sale*
02/03/14	1,115.000	26,947.63	VARIOUS	30,172.57	0.00	-3,224.94	Total of 2 lots
	Security total:	54,079.12		58,757.62	83.72 W	-4,594.78	
US BANCORP DEL DEP SHS PFD F RATE: ADJUSTABLE QUARTERLY MATURITY: PERPETUAL / CUSIP: 902973833 / Symbol: USBPRM							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS						
	1,240.000	*33,611.84*	*01/19/12*	*31,219.23*	*0 00*	*2,392.61*	*Sale*
	238.000	*6,451.31*	*08/09/12*	*6,966.19*	*0.00*	*-514.88*	*Sale*
01/31/14	1,478.000	40,063.15	VARIOUS	38,185.42	0.00	1,877.73	Total of 2 lots

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

(continued)

2014 1099-B* OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS

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US BANCORP DEL DEP SHS PFD F RATE: ADJUSTABLE QUARTERLY MATURITY: PERPETUAL / CUSIP: 902973833 / Symbol: USBPRM (cont'd)							
02/03/14	867.000	23,386.92	08/09/12	25,376.83	0.00	-1,989.91	Sale
	Security total:	63,450.07		63,562.25	0.00	-112.18	
UNITED STATES CELLULAR CORP CALL SR NT 60 RATE: 6.950% QUARTERLY / CUSIP: 911684405 / Symbol: UZA							
	3 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	4.000	*99.20*	*11/22/11*	*103.00*	*0.00*	*-3.80*	*Sale*
	496.000	*12,301.34*	*11/30/11*	*12,920.80*	*0.00*	*-619.46*	*Sale*
	38.000	*942.44*	*08/14/12*	*1,052.98*	*0.00*	*-110.54*	*Sale*
01/31/14	538.000	13,342.98	VARIOUS	14,076.78	0.00	-733.80	Total of 3 lots
02/03/14	537.000	13,258.30	08/14/12	14,880.27	0.00	-1,621.97	Sale
	Security total:	26,601.28		28,957.05	0.00	-2,355.77	
SANTANDER FINANCE PREF S SER 10 10.500% PREFERRED CLBL / CUSIP: E8683R144 / Symbol:							
	4 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	198.000	*5,241.01*	*06/13/12*	*4,979.70*	*0.00*	*261.31*	*Sale*
	52.000	*1,376.43*	*06/18/12*	*1,307.80*	*0.00*	*68.63*	*Sale*
	35.000	*926.44*	*06/22/12*	*901.25*	*0.00*	*25.19*	*Sale*
	1,345.000	*35,601.80*	*08/09/12*	*35,696.30*	*0.00*	*-94.50*	*Sale*
01/31/14	1,630.000	43,145.68	VARIOUS	42,885.05	0.00	260.63	Total of 4 lots
02/03/14	235.000	6,215.95	08/09/12	6,236.90	0.00	-20.95	Sale
	Security total:	49,361.63		49,121.95	0.00	239.68	
ARCH CAP GROUP LTD PFD-C 6.75% RATE: 6.750% QUARTERLY MATURITY: PERPETUAL / CUSIP: G0450A204 / Symbol: ARHPRC							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	1,200.000	*29,619.80*	*04/09/12*	*30,348.48*	*0.00*	*-728.68*	*Sale*
	235.000	*5,800.55*	*08/09/12*	*6,540.05*	*0.00*	*-739.50*	*Sale*
01/31/14	1,435.000	35,420.35	VARIOUS	36,888.53	0.00	-1,468.18	Total of 2 lots
	3 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS						
	1,105.000	*27,337.22*	*08/09/12*	*30,752.15*	*0.00*	*-3,414.93*	*Sale*
	95.000	*2,350.26*	*09/24/12*	*2,595.40*	*0.00*	*-245.14*	*Sale*
	51.000	*1,261.72*	*10/11/13*	*1,255.45*	*0.00*	*6.27*	*Sale*
02/03/14	1,251.000	30,949.20	VARIOUS	34,603.00	0.00	-3,653.80	Total of 3 lots
	Security total:	66,369.55		71,491.53	0.00	-5,121.98	

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

(continued)

2014 1099-B* OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ASPEN INSURANCE HOLDINGS LTD PFD PER7.401% RATE: ADJUSTABLE QUARTERLY / CUSIP: G05384139 / Symbol: AHLPRA							
	3 tax lots for 01/31/14 Total proceeds (and cost when required) reported to the IRS.						
	305.000	*7,855.32*	*11/22/11*	*7,533.50*	*0.00*	*321.82*	*Sale*
	200.000	*5,151 03*	*11/23/11*	*4,930.00*	*0.00*	*221.03*	*Sale*
	178.000	*4,584 41*	*08/13/12*	*4,765.06*	*0.00*	*-180 65*	*Sale*
01/31/14	683.000	17,590.76	VARIOUS	17,228.56	0.00	362.20	Total of 3 lots
02/03/14	682.000	17,484.34	08/13/12	18,257.14	0.00	-772.80	Sale
Security total:		35,075.10		35,485.70	0.00	-410.60	
ASPEN INSURANCE HOLDINGS LTD PFD RATE. 7.250% QUARTERLY / CUSIP: G05384147 / Symbol: AHLPRB							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS.						
	340.000	*8,632.52*	*04/04/12*	*8,432.00*	*0.00*	*200.52*	*Sale*
	10.000	*253.90*	*08/09/12*	*267.01*	*0.00*	*-13.11*	*Sale*
01/31/14	350.000	8,886.42	VARIOUS	8,699.01	0.00	187.41	Total of 2 lots
02/03/14	350.000	8,913.85	08/09/12	9,345.39	0.00	-431.54	Sale
Security total:		17,800.27		18,044.40	0.00	-244 13	
ENDURANCE SPECIALTY HLDGS LTD PFD-B RATE: 7.500% QUARTERLY / CUSIP: G30397304 / Symbol: ENHPRB							
	2 tax lots for 01/31/14. Total proceeds (and cost when required) reported to the IRS						
	570.000	*14,597.45*	*08/03/12*	*15,304.50*	*0.00*	*-707.05*	*Sale*
	470 000	*12,036.49*	*08/09/12*	*12,652.40*	*0.00*	*-615.91*	*Sale*
01/31/14	1,040.000	26,633.94	VARIOUS	27,956.90	0.00	-1,322.96	Total of 2 lots
	2 tax lots for 02/03/14. Total proceeds (and cost when required) reported to the IRS.						
	300.000	*7,634.87*	*08/09/12*	*8,076.00*	*0.00*	*-441.13*	*Sale*
	740.000	*18,766.66*	*08/09/12*	*19,920.80*	*0.00*	*-1,154.14*	*Sale*
02/03/14	1,040.000	26,401.53	VARIOUS	27,996.80	0.00	-1,595.27	Total of 2 lots
Security total:		53,035.47		55,953.70	0.00	-2,918.23	
PARTNERRE LTD PFD SER E RATE: 7.250% QUARTERLY MATURITY: PERPETUAL / CUSIP: G68603508 / Symbol: PREPRE							
	2 tax lots for 01/31/14 Total proceeds (and cost when required) reported to the IRS.						
	985.000	*25,659.99*	*12/01/11*	*25,708.50*	*0.00*	*-48 51*	*Sale*
	40 000	*1,042.03*	*08/09/12*	*1,117.12*	*0.00*	*-75.09*	*Sale*
01/31/14	1,025.000	26,702.02	VARIOUS	26,825.62	0.00	-123.60	Total of 2 lots

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions
(continued)

2014 1099-B* OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS
*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
PARTNERRE LTD PFD SER E RATE: 7.250% QUARTERLY MATURITY: PERPETUAL / CUSIP: G68603508 / Symbol: PREPRE (cont'd)							
02/03/14	1,025.000	26,536.79	08/09/12	28,626.09	0.00	-2,089.30	Sale
	Security total:	53,238.81		55,451.71	0.00	-2,212.90	
AVIVA PLC SECS 8.25%41 RATE: 8.250% QUARTERLY MATURITY: 12/01/2041 / CUSIP: US05382A2033 / Symbol: AVV							
	2 tax lots for 01/31/14 Total proceeds (and cost when required) reported to the IRS.						
	860.000	*23,710.82*	*01/27/12*	*22,340.40*	*0.00*	*1,370.42*	*Sale*
	115.000	*3,170 63*	*08/09/12*	*3,234.95*	*0.00*	*-64.32*	*Sale*
01/31/14	975.000	26,881.45	VARIOUS	25,575.35	0.00	1,306.10	Total of 2 lots
02/03/14	975.000	26,812.03	08/09/12	27,426.75	0.00	-614.72	Sale
	Security total:	53,693.48		53,002.10	0.00	691.38	
	Totals:	**2,039,333.64**		**2,157,765.74**	**83.72 W**	**-118,348.38**	

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* OMB No. 1545-0715

2- SHORT-TERM TRANSACTIONS

Report on Form 8949, Part I, with Box A checked

5- COVERED tax lots 3- Basis is reported to the IRS**

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ABBVIE INC COM / CUSIP: 00287Y109 / Symbol: ABBV							
01/08/14	2,215.000	111,609.25	02/19/13	83,330.74	0.00	28,278.51	Sale
	2 tax lots for 07/09/14. Total proceeds (and cost when required) reported to the IRS.						
	60.000	*3,300.08*	*12/23/13*	*3,155.18*	*0.00*	*144.90*	*Sale*
	24.000	*1,320.03*	*04/14/14*	*1,134.24*	*0.00*	*185.79*	*Sale*
07/09/14	84.000	4,620.11	VARIOUS	4,289.42	0.00	330.69	Total of 2 lots
Security total:		116,229.36		87,620.16	0.00	28,609.20	
ASTRAZENECA PLC SPON ADR / CUSIP: 046353108 / Symbol: AZN							
	3 tax lots for 04/28/14. Total proceeds (and cost when required) reported to the IRS.						
	78.000	*6,013.61*	*06/05/13*	*3,960.05*	*0.00*	*2,053.56*	*Sale*
	60.000	*4,625.85*	*12/23/13*	*3,527.20*	*0 00*	*1,098.65*	*Sale*
	54.000	*4,163.26*	*04/14/14*	*3,372 67*	*0.00*	*790.59*	*Sale*
04/28/14	192.000	14,802.72	VARIOUS	10,859.92	0.00	3,942.80	Total of 3 lots
BRISTOL MYERS SQUIBB CO COMMON STOCK / CUSIP: 110122108 / Symbol: BMY							
	2 tax lots for 11/04/14 Total proceeds (and cost when required) reported to the IRS.						
	21.000	*1,218.25*	*12/23/13*	*1,121.82*	*0.00*	*96.43*	*Sale*
	18.000	*1,044.21*	*04/14/14*	*878.40*	*0.00*	*165 81*	*Sale*
11/04/14	39.000	2,262.46	VARIOUS	2,000.22	0.00	262.24	Total of 2 lots
HALYARD HEALTH INC / CUSIP: 40650V100 / Symbol: HYH							
	2 tax lots for 11/13/14. Total proceeds (and cost when required) reported to the IRS.						
	3.000	*113.88*	*12/23/13*	*104.44*	*0.00*	*9.44*	*Sale*
	3.000	*113.88*	*04/14/14*	*109.79*	*0.00*	*4.09*	*Sale*
11/13/14	6.000	227.76	VARIOUS	214.23	0.00	13.53	Total of 2 lots
LILLY ELI & CO COMMON STOCK / CUSIP: 532457108 / Symbol: LLY							
	2 tax lots for 12/11/14. Total proceeds (and cost when required) reported to the IRS						
	18.000	*1,303.47*	*12/23/13*	*915.30*	*0 00*	*388.17*	*Sale*
	18.000	*1,303.47*	*04/14/14*	*1,069.51*	*0.00*	*233.96*	*Sale*
12/11/14	36.000	2,606.94	VARIOUS	1,984.81	0.00	622.13	Total of 2 lots

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2- SHORT-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
LORILLARD INC / CUSIP: 544147101 / Symbol: LO							
	2 tax lots for 07/15/14. Total proceeds (and cost when required) reported to the IRS						
	45.000	*2,718.29*	*12/23/13*	*2,264.85*	0.00	*453.44*	*Sale*
	48.000	*2,899.52*	*04/14/14*	*2,532.48*	0 00	*367.04*	*Sale*
07/15/14	93.000	5,617.81	VARIOUS	4,797.33	0.00	820.48	Total of 2 lots
	Totals:	**141,747.05**		**107,476.67**	**0.00**	**34,270.38**	

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ABBVIE INC COM / CUSIP: 00287Y109 / Symbol: ABBV							
	2 tax lots for 07/09/14. Total proceeds (and cost when required) reported to the IRS.						
	1,358.000	*74,691.74*	*02/19/13*	*51,089.45*	0.00	*23,602.29*	*Sale*
	45.000	*2,475.06*	*06/05/13*	*1,932.30*	0.00	*542.76*	*Sale*
07/09/14	1,403.000	77,166.80	VARIOUS	53,021.75	0.00	24,145.05	Total of 2 lots
ASTRAZENECA PLC SPON ADR / CUSIP: 046353108 / Symbol: AZN							
	3 tax lots for 03/21/14. Total proceeds (and cost when required) reported to the IRS.						
	7.000	*456.55*	*01/05/11*	*327.80*	0.00	*128.75*	*Sale*
	27.000	*1,760.98*	*02/16/11*	*1,321.38*	0.00	*439.60*	*Sale*
	401.000	*26,153 80*	*03/04/11*	*19,603.81*	0.00	*6,549.99*	*Sale*
03/21/14	435.000	28,371.33	VARIOUS	21,252.99	0.00	7,118.34	Total of 3 lots
	7 tax lots for 04/28/14 Total proceeds (and cost when required) reported to the IRS.						
	107.000	*8,249.43*	*03/04/11*	*5,230.94*	0.00	*3,018.49*	*Sale*
	340.000	*26,213.15*	*05/11/11*	*17,679.39*	0.00	*8,533.76*	*Sale*
	30.000	*2,312.92*	*08/29/11*	*1,408 28*	0.00	*904.64*	*Sale*
	302.000	*23,283.45*	*10/17/11*	*14,246.85*	0.00	*9,036 60*	*Sale*
	27.000	*2,081 63*	*03/07/12*	*1,201.77*	0.00	*879.86*	*Sale*
	633.000	*48,802.71*	*07/23/12*	*29,215.10*	0.00	*19,587.61*	*Sale*

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions
(continued)

2014 1099-B* OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS *5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 11- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ASTRAZENECA PLC SPON ADR / CUSIP: 046353108 / Symbol: AZN (cont'd)							
	1,776.000	*136,925.15*	*08/09/12*	*83,395.28*	*0 00*	*53,529 87*	*Sale*
04/28/14	3,215.000	247,868.44	VARIOUS	152,377.61	0.00	95,490.83	Total of 7 lots
Security total:		276,239.77		173,630.60	0.00	102,609.17	
BRISTOL MYERS SQUIBB CO COMMON STOCK / CUSIP: 110122108 / Symbol: BMY							
11/04/14	1,196.000	69,382.26	08/09/12	38,132.88	0.00	31,249.36	Sale
CONOCOPHILLIPS / CUSIP: 20825C104 / Symbol: COP							
5 tax lots for 08/18/14 Total proceeds (and cost when required) reported to the IRS.							
	18.000	*1,435.07*	*02/16/11*	*1,022.09*	*0 00*	*412.98*	*Sale*
	21.000	*1,674.26*	*08/29/11*	*1,070 78*	*0.00*	*603.48*	*Sale*
	15.000	*1,195.89*	*03/07/12*	*882.98*	*0.00*	*312.91*	*Sale*
	329.000	*26,229.93*	*05/04/12*	*17,470.39*	*0.00*	*8,759 54*	*Sale*
	37.000	*2,949.87*	*05/21/12*	*1,909.43*	*0 00*	*1,040.44*	*Sale*
08/18/14	420.000	33,485.02	VARIOUS	22,355.67	0.00	11,129.35	Total of 5 lots
HALYARD HEALTH INC / CUSIP: 40650V100 / Symbol: HYH							
5 tax lots for 11/13/14 Total proceeds (and cost when required) reported to the IRS							
	3.000	*113.88*	*02/16/11*	*64.61*	*0 00*	*49.27*	*Sale*
	3.750	*142.34*	*08/29/11*	*84.92*	*0.00*	*57.42*	*Sale*
	2.625	*99.65*	*03/07/12*	*62.28*	*0.00*	*37.37*	*Sale*
	16.625	*631.08*	*08/09/12*	*458.22*	*0.00*	*172.86*	*Sale*
	2.625	*99.64*	*06/05/13*	*83.95*	*0.00*	*15.69*	*Sale*
11/13/14	28.625	1,086.59	VARIOUS	753.98	0.00	332.61	Total of 5 lots
LILLY ELI & CO COMMON STOCK / CUSIP: 532457108 / Symbol: LLY							
2 tax lots for 12/11/14 Total proceeds (and cost when required) reported to the IRS							
	1,003.000	*72,632.15*	*08/09/12*	*42,965.21*	*0 00*	*29,666.94*	*Sale*
	18.000	*1,303.46*	*06/05/13*	*942 30*	*0.00*	*361.16*	*Sale*
12/11/14	1,021.000	73,935.61	VARIOUS	43,907.51	0 00	30,028.10	Total of 2 lots

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Proceeds from Broker and Barter Exchange Transactions
(continued)

2014 1099-B* OMB No. 1545-0715

2- LONG-TERM TRANSACTIONS

*5- COVERED tax lots 3- Basis is reported to the IRS***

Report on Form 8949, Part II, with Box D checked

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
LORILLARD INC / CUSIP: 544147101 / Symbol: LO							
	7 tax lots for 07/15/14. Total proceeds (and cost when required) reported to the IRS						
	18.000	*1,087.32*	*02/16/11*	*464.22*	*0.00*	*623.10*	*Sale*
	9.000	*543.66*	*08/29/11*	*335.52*	*0.00*	*208.14*	*Sale*
	18.000	*1,087.32*	*03/07/12*	*770.84*	*0.00*	*316.48*	*Sale*
	546.000	*32,981.98*	*08/09/12*	*22,462 17*	*0.00*	*10,519.81*	*Sale*
	623 000	*37,633.29*	*02/19/13*	*26,045.08*	*0.00*	*11,588.21*	*Sale*
	748 000	*45,184.11*	*06/03/13*	*32,182 40*	*0.00*	*13,001.71*	*Sale*
	45.000	*2,718.30*	*06/05/13*	*1,915 20*	*0.00*	*803.10*	*Sale*
07/15/14	2,007.000	121,235.98	VARIOUS	84,175.43	0.00	37,060.55	Total of 7 lots
MERCK & CO INC NEW COM / CUSIP: 58933Y105 / Symbol: MRK							
03/21/14	878.000	48,514.66	01/06/12	33,999.32	0.00	14,515.34	Sale
	Totals:	**701,046.69**		**449,977.14**	**0.00**	**251,069.55**	

LONG-TERM TRANSACTIONS

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ALTRIA GROUP INC / CUSIP: 02209S103 / Symbol: MO							
	2 tax lots for 10/02/14. Total proceeds (and cost when required) reported to the IRS.						
	639.000	*28,928.04*	*05/27/09*	*10,676.54*	*0.00*	*18,251.50*	*Sale*
	63.000	*2,852.06*	*06/09/09*	*1,095.46*	*0 00*	*1,756.60*	*Sale*
10/02/14	702.000	31,780.10	VARIOUS	11,772.00	0.00	20,008.10	Total of 2 lots
CONOCOPHILLIPS / CUSIP: 20825C104 / Symbol: COP							
	6 tax lots for 08/18/14. Total proceeds (and cost when required) reported to the IRS.						
	202.000	*16,104.70*	*05/27/09*	*6,853.67*	*0.00*	*9,251.03*	*Sale*
	98.000	*7,813.17*	*06/09/09*	*3,416.73*	*0.00*	*4,396.44*	*Sale*
	190.000	*15,147.98*	*06/19/09*	*6,284.81*	*0.00*	*8,863.17*	*Sale*
	77.000	*6,138.92*	*08/28/09*	*2,673.56*	*0.00*	*3,465.36*	*Sale*

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**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS. For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS.

LONG-TERM TRANSACTIONS

Report on Form 8949, Part II, with Box E checked

*5- NONCOVERED tax lots 3- Basis NOT reported to the IRS***

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
CONOCOPHILLIPS / CUSIP: 20825C104 / Symbol: COP (cont'd)							
	257.000	*20,489.65*	*04/12/10*	*10,930.13*	*0.00*	*9,559.52*	*Sale*
	229.000	*18,257.30*	*11/24/10*	*10,667.12*	*0.00*	*7,590.18*	*Sale*
08/18/14	1,053.000	83,951.72	VARIOUS	40,826.02	0.00	43,125.70	Total of 6 lots
HALYARD HEALTH INC / CUSIP: 40650V100 / Symbol: HYH							
	5 tax lots for 11/13/14. Total proceeds (and cost when required) reported to the IRS						
	7.375	*279.95*	*05/27/09*	*125 99*	*0.00*	*153.96*	*Sale*
	24.875	*944.25*	*06/09/09*	*435.86*	*0.00*	*508.39*	*Sale*
	47.625	*1,807.83*	*06/19/09*	*809 01*	*0 00*	*998.82*	*Sale*
	19 375	*735.47*	*08/28/09*	*383 06*	*0.00*	*352.41*	*Sale*
	39 125	*1,485.17*	*11/24/10*	*794.97*	*0 00*	*690.20*	*Sale*
11/13/14	138.375	5,252.67	VARIOUS	2,548.89	0.00	2,703.78	Total of 5 lots
JOHNSON & JOHNSON COM COMMON STOCK / CUSIP: 478160104 / Symbol: JNJ							
	3 tax lots for 11/04/14. Total proceeds (and cost when required) reported to the IRS.						
	303.000	*32,802.21*	*05/27/09*	*16,464.47*	*0 00*	*16,337.74*	*Sale*
	150 000	*16,238.72*	*06/09/09*	*8,384.67*	*0 00*	*7,854 05*	*Sale*
	163 000	*17,646.07*	*06/19/09*	*9,202.62*	*0.00*	*8,443.45*	*Sale*
11/04/14	616.000	66,687.00	VARIOUS	34,051.76	0.00	32,635.24	Total of 3 lots
LORILLARD INC / CUSIP: 544147101 / Symbol: LO							
	2 tax lots for 07/15/14. Total proceeds (and cost when required) reported to the IRS.						
	600.000	*36,243.94*	*10/09/09*	*15,572.19*	*0 00*	*20,671.75*	*Sale*
	168.000	*10,148.30*	*11/24/10*	*4,705.68*	*0.00*	*5,442.62*	*Sale*
07/15/14	768.000	46,392.24	VARIOUS	20,277.87	0.00	26,114.37	Total of 2 lots
VERIZON COMMUNICATIONS INC / CUSIP: 92343V104 / Symbol: VZ							
02/24/14	0.250	11.65	05/27/09	6.79	0.00	4.86	Sale
	5 tax lots for 02/27/14. Total proceeds (and cost when required) reported to the IRS.						
	600 751	*28,331.20*	*05/27/09*	*16,353.95*	*0 00*	*11,977.25*	*Sale*
	291.000	*13,723.47*	*06/09/09*	*8,044.02*	*0.00*	*5,679.45*	*Sale*
	566.000	*26,692.38*	*06/19/09*	*15,863.97*	*0.00*	*10,828 41*	*Sale*
	231.000	*10,893.88*	*08/28/09*	*6,695.71*	*0.00*	*4,198.17*	*Sale*

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UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

(continued)

2014 1099-B* OMB No. 1545-0715

LONG-TERM TRANSACTIONS

5- NONCOVERED tax lots 3- Basis NOT reported to the IRS*

Report on Form 8949, Part II, with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
VERIZON COMMUNICATIONS INC / CUSIP: 92343V104 / Symbol: VZ (cont'd)							
	61 250	*2,888.51*	*12/08/09*	*1,921 13*	*0.00*	*967.38*	*Sale*
02/27/14	1,750.000	82,529.44	VARIOUS	48,878.78	0.00	33,650.66	Total of 5 lots
	Security total:	82,541.09		48,885.57	0.00	33,655.52	
VODAFONE GROUP PLC SPON ADR / CUSIP: 92857W308 / Symbol: VOD							
02/27/14	0.182	7.49	06/19/09	6.58	0.00	0.91	Sale
	Totals:	**316,612.31**		**158,368.69**	**0.00**	**158,243.62**	

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**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS. For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS.

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
CASH
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ALIBABA GROUP HLDG LTD	CUSIP: 01609W102		Symbol: BABA					
	1,800.000	09/18/14	09/19/14	$168,235.22	$122,400.00	$0.00	$45,835.22	$0.00
GOLDMAN SACHS HIGH YLD INSTL	CUSIP: 38141W679		Symbol: GSHIX					
	352.233	08/30/13	02/03/14	$2,514.92	$2,539.60	$0.00	($24.68)	$0.00
	1,799.122	09/30/13	02/03/14	$12,845.61	$13,007.65	$0.00	($162.04)	$0.00
Security Subtotal	2,151.355			$15,360.53	$15,547.25	$0.00	($186.72)	$0.00
GOLDMAN SACHS LCL EMRGMKT DB I	CUSIP: 38145N303		Symbol: GIMDX					
	274.582	08/30/13	02/03/14	$2,163.70	$2,272.97	$0.00	($109.27)	$0.00
	1,394.889	09/30/13	02/03/14	$10,991.89	$12,007.09	$0.00	($1,015.20)	$0.00
Security Subtotal	1,669.471			$13,155.59	$14,280.06	$0.00	($1,124.47)	$0.00
Total Short Term Covered Securities				$196,751.34	$152,227.31	$0.00	$44,524.03	$0.00

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Morgan Stanley

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Tax Year 2014

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OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
GOLDMAN SACHS LCL EMRGMKT DB I		CUSIP: 38145N303		Symbol: GIMDX				
	123,610.198	07/19/13	01/28/14	$1,000,000.00	$1,111,243.32	$0.00	($111,243.32)	$0.00
	166,661.961	07/19/13	02/03/14	$1,313,289.59	$1,486,260.08	$0.00	($172,970.49)	$0.00
Security Subtotal	290,272.159			$2,313,289.59	$2,597,503.40	$0.00	($284,213.81)	$0.00
Total Short Term Noncovered Securities				**$2,313,289.59**	**$2,597,503.40**	**$0.00**	**($284,213.81)**	**$0.00**
Total Short Term Covered and Noncovered Securities				**$2,510,040.93**	**$2,749,730.71**	**$0.00**	**($239,689.78)**	**$0.00**

Morgan Stanley

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OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Long Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)

DESCRIPTION (Box 8)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
GOLDMAN SACHS HIGH YLD INSTL	CUSIP: 38141W679		Symbol (Box 1d): GSHIX					
	7,094.564	12/31/09	02/03/14	$50,654.71	$49,307.22	$0.00	$1,347.49	$0.00
	14,601.572	01/29/10	02/03/14	$104,254.26	$101,772.96	$0.00	$2,481.30	$0.00
	74,192.635	07/22/10	02/03/14	$529,730.50	$523,800.00	$0.00	$5,930.50	$0.00
	135,762.823	10/07/09	02/13/14	$976,129.27	$915,041.43	$0.00	$61,087.84	$0.00
	13,465.130	10/30/09	02/13/14	$96,813.75	$91,832.19	$0.00	$4,981.56	$0.00
	15,174.070	11/30/09	02/13/14	$109,100.96	$103,487.16	$0.00	$5,613.80	$0.00
	13,069.653	12/31/09	02/13/14	$93,970.87	$90,834.09	$0.00	$3,136.78	$0.00
Security Subtotal	273,360.447			$1,960,654.32	$1,876,075.05	$0.00	$84,579.27	$0.00
Total Long Term Noncovered Securities				**$1,960,654.32**	**$1,876,075.05**	**$0.00**	**$84,579.27**	**$0.00**
Total Short and Long Term, Covered and Noncovered Securities				**$4,470,695.25**	**$4,625,805.76**	**$0.00**	**($155,110.51)**	**$0.00**

Form 1099-B Total Reportable Amounts - Does not include cost basis or adjustment amounts for noncovered securities

Total IRS Reportable Proceeds (Box 1d)	**$4,470,695.25**			
Total IRS Reportable Cost or Other Basis for Covered Securities (Box 1e)		**$152,227.31**		
Total IRS Reportable Adjustments (Box 1g)			**$0.00**	
Total Fed Tax Withheld (Box 4)				**$0.00**

Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any adjustments resulting from a wash sale or market discount will not be reported to the IRS. The cost basis is provided for informational purposes only and may not reflect required adjustments under the applicable tax regulations. Please consult your tax advisor regarding any adjustments to your original cost basis.

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ANNALY CAP MGMT 5000 15MY15	CUSIP: 035710AB8		Symbol:					
	24,000.000	02/06/14	09/24/14	$24,255.00	$24,270.95	$0.00	($15.95)	$0.00
	2,000.000	02/18/14	09/24/14	$2,021.25	$2,025.63	$0.00	($4.38)	$0.00
Security Subtotal	**26,000.000**			**$26,276.25**	**$26,296.58**	**$0.00**	**($20.33)**	**$0.00**
NAVISTAR INTL 3000 14OC15	CUSIP: 63934EAL2		Symbol:					
	19,000.000	02/07/14	03/18/14	$19,273.60	$19,117.92	$0.00	$155.68	$0.00
	23,000.000	02/18/14	03/18/14	$23,331.20	$23,197.61	$0.00	$133.59	$0.00
Security Subtotal	**42,000.000**			**$42,604.80**	**$42,315.53**	**$0.00**	**$289.27**	**$0.00**
TAKE-TWO INTERACT 1000 18JL01	CUSIP: 874054AD1		Symbol:					
	4,000.000	02/04/14	07/30/14	$4,973.49	$4,229.39	$0.00	$744.10	$0.00
	2,000.000	02/04/14	09/04/14	$2,526.40	$2,114.69	$0.00	$411.71	$0.00
	12,000.000	02/07/14	09/04/14	$15,158.43	$13,410.00	$0.00	$1,748.43	$0.00
	10,000.000	02/07/14	10/28/14	$12,246.35	$11,175.00	$0.00	$1,071.35	$0.00
	3,000.000	02/07/14	10/30/14	$3,849.01	$3,352.50	$0.00	$496.51	$0.00
	7,000.000	02/18/14	10/30/14	$8,981.03	$8,093.75	$0.00	$887.28	$0.00
	3,000.000	02/18/14	10/31/14	$4,039.56	$3,468.75	$0.00	$570.81	$0.00
	22,000.000	02/18/14	11/25/14	$30,800.84	$25,437.50	$0.00	$5,363.14	$0.00
Security Subtotal	**63,000.000**			**$82,574.91**	**$71,281.58**	**$0.00**	**$11,293.33**	**$0.00**

CONTINUED ON NEXT PAGE

Morgan Stanley

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section These transactions should be reported on Form 8949 Part I with box A checked.) **(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
TIBCO BB56A 2250 32MY01	CUSIP: 88699ADG0 Symbol:							
	16,000.000	02/07/14	12/26/14	$16,000.00	$16,180.00	$0.00	($180.00)	$0.00
	16,000.000	02/18/14	12/26/14	$16,000.00	$16,216.00	$0.00	($216.00)	$0.00
Security Subtotal	32,000.000			$32,000.00	$32,396.00	$0.00	($396.00)	$0.00
Total Short Term Covered Securities				**$183,455.96**	**$172,289.69**	**$0.00**	**$11,166.27**	**$0.00**

Morgan Stanley

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ADVANCED MICRO 6000 15MY01		CUSIP: 007903AL1		Symbol:				
	18,000.000	09/16/13	01/13/14	$18,832.50	$18,577 70	$0.00	$254.80	$0.00
	17,000.000	11/18/13	01/13/14	$17,786.25	$17,700.36	$0.00	$85.89	$0.00
Security Subtotal	**35,000.000**			**$36,618.75**	**$36,278.06**	**$0.00**	**$340.69**	**$0.00**
ALLEGHENY TECH 4250 14JN01		CUSIP: 01741RAD4		Symbol:				
	4,000.000	09/16/13	05/22/14	$4,005.00	$4,155.00	$0.00	($150.00)	$0.00
	1,000.000	10/15/13	05/22/14	$1,001.25	$1,038.75	$0.00	($37.50)	$0.00
	4,000.000	10/16/13	05/22/14	$4,005.00	$4,165.00	$0.00	($160.00)	$0.00
	9,000.000	11/18/13	05/22/14	$9,011.25	$9,396 00	$0.00	($384.75)	$0.00
	18,000.000	02/07/14	05/22/14	$18,022.50	$18,247.50	$0.00	($225.00)	$0.00
	21,000.000	02/18/14	05/22/14	$21,026.25	$21,315.00	$0.00	($288.75)	$0.00
	31,000.000	04/09/14	05/22/14	$31,038.75	$31,968.75	$0.00	($930.00)	$0.00
Security Subtotal	**88,000.000**			**$88,110.00**	**$90,286.00**	**$0.00**	**($2,176.00)**	**$0.00**
AMERICAN REALTY C 3000 18AU01		CUSIP: 02917TAA2		Symbol:				
	22,000.000	02/19/14	06/06/14	$22,412.50	$23,317.80	$0.00	($905.30)	$0.00
	9,000.000	02/19/14	09/24/14	$9,000.00	$9,539.10	$0.00	($539.10)	$0.00
	13,000.000	02/19/14	10/29/14	$12,398 75	$13,778.70	$0.00	($1,379.95)	$0.00
	15,000.000	02/19/14	10/29/14	$14,306.25	$15,898.50	$0.00	($1,592.25)	$0.00
	2,000.000	04/30/14	10/29/14	$1,905.00	$2,071.42	$0.00	($166.42)	$0.00
	1,000.000	04/30/14	10/29/14	$953.75	$1,035.71	$0.00	($81.96)	$0.00
	11,000.000	05/28/14	10/29/14	$10,477.50	$11,359.29	$0.00	($881.79)	$0.00
Security Subtotal	**73,000.000**			**$71,453.75**	**$77,000.52**	**$0.00**	**($5,546.77)**	**$0.00**

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked.) **(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ANNALY CAP MGMT 5000 15MY15		CUSIP: 035710AB8		Symbol:				
	16,000.000	11/19/13	09/24/14	$16,170.00	$16,137.55	$0.00	$32.45	$0.00
ARCHER DANIELS 0875 14FB15		CUSIP: 039483AW2		Symbol:				
	3,000 000	11/08/13	01/24/14	$3,000.00	$3,135.00	$0.00	($135.00)	$0.00
	4,000.000	11/18/13	01/24/14	$4,000.00	$4,148.00	$0 00	($148.00)	$0.00
	7,000.000	12/30/13	01/24/14	$7,000.00	$7,409.50	$0.00	($409.50)	$0.00
Security Subtotal	**14,000.000**			**$14,000.00**	**$14,692.50**	**$0.00**	**($692.50)**	**$0.00**
ARVINMERITOR, INC 4000 *27FB15		CUSIP: 043353AH4		Symbol:				
	16,000.000	09/17/13	05/01/14	$16,960.00	$14,760 00	$0.00	$2,200.00	$0.00
	15,000.000	11/19/13	05/01/14	$15,900.00	$13,875.00	$0 00	$2,025 00	$0.00
	1,000.000	11/19/13	05/07/14	$1,055.00	$925.00	$0 00	$130.00	$0.00
	30,000.000	02/07/14	05/07/14	$31,650.00	$29,700.00	$0.00	$1,950.00	$0.00
	2,000.000	02/07/14	05/29/14	$2,120 00	$1,980.00	$0.00	$140.00	$0.00
	24,000.000	02/18/14	05/29/14	$25,440.00	$24,589.71	$0.00	$850 29	$0.00
	13,000.000	02/18/14	06/04/14	$13,727.79	$13,319.10	$0.00	$408.69	$0.00
Security Subtotal	**101,000.000**			**$106,852.79**	**$99,148.81**	$0 00	$7,703.98	**$0.00**
AUXILIUM PHARMACE 1500 18JL15		CUSIP: 05334DAA5		Symbol:				
	2,000.000	09/16/13	01/21/14	$2,480.00	$2,074.31	$0 00	$405.69	$0.00
	7,000.000	09/16/13	02/27/14	$9,973.77	$7,253.74	$0.00	$2,720.03	$0.00
	11,000.000	11/18/13	02/27/14	$15,673.06	$11,913.00	$0.00	$3,760.06	$0.00
	10,000.000	02/06/14	02/27/14	$14,248.24	$12,011 74	$0.00	$2,236.50	$0.00
	10,000.000	02/06/14	03/04/14	$14,668.40	$12,011 74	$0.00	$2,656.66	$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
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New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

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AUXILIUM PHARMACE 1500 18JL15(Cont.)		CUSIP: 05334DAA5		Symbol:				
	6,000.000	02/18/14	03/04/14	$8,801.04	$8,100.00	$0.00	$701.04	$0.00
	16,000.000	02/18/14	08/08/14	$16,020.00	$21,600.00	$0.00	($5,580.00)	$0.00
Security Subtotal	**62,000.000**			**$81,864.51**	**$74,964.53**	**$0.00**	**$6,899.98**	**$0.00**
BIOMARIN PHARM 0750 18OC15		CUSIP: 09061GAE1		Symbol:				
	2,000.000	10/09/13	02/12/14	$2,229.27	$2,077 50	$0.00	$151.77	$0.00
	4,000.000	10/09/13	02/12/14	$4,458.53	$4,175.00	$0.00	$283.53	$0.00
	3,000.000	10/25/13	02/12/14	$3,343.90	$3,179.26	$0 00	$164 64	$0.00
	2,000.000	11/06/13	02/12/14	$2,229.27	$2,061.48	$0.00	$167.79	$0.00
	1,000.000	11/06/13	02/12/14	$1,114.63	$1,026.19	$0.00	$88.44	$0.00
	4,000.000	11/18/13	02/12/14	$4,458.53	$4,240.00	$0.00	$218.53	$0.00
	7,000.000	11/18/13	09/26/14	$7,428 39	$7,420.00	$0.00	$8.39	$0.00
	2,000.000	11/18/13	10/24/14	$2,278.57	$2,120.00	$0.00	$158.57	$0.00
	11,000.000	02/06/14	10/24/14	$12,532 12	$11,522 50	$0.00	$1,009.62	$0.00
	16,000.000	02/06/14	12/03/14	$19,131.92	$16,760.00	$0.00	$2,371.92	$0.00
	1,000.000	02/18/14	12/03/14	$1,195.75	$1,137 50	$0.00	$58.25	$0.00
Security Subtotal	**53,000.000**			**$60,400.88**	**$55,719.43**	**$0.00**	**$4,681.45**	**$0.00**
BROOKDALE SENIOR 2750 18JN15		CUSIP: 112463AA2		Symbol:				
	5,000.000	09/17/13	02/21/14	$6,503.13	$5,806.25	$0.00	$696 88	$0.00
	5,000.000	11/19/13	02/21/14	$6,503.13	$6,275.00	$0.00	$228.13	$0.00
	10,000.000	02/07/14	02/21/14	$13,006 25	$12,200.00	$0.00	$806 25	$0.00
	11,000.000	02/18/14	02/21/14	$14,306.87	$13,695.00	$0.00	$611.87	$0.00
Security Subtotal	**31,000.000**			**$40,319.38**	**$37,976.25**	**$0.00**	**$2,343.13**	**$0.00**

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
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New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section These transactions should be reported on Frm 8949 Part I with box B checked.) **(Continued)**

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CHESAPEAKE ENERGY 2250 *38DE15		CUSIP: 165167CB1		Symbol:				
	26,000.000	VARIOUS	10/22/14	$24,700.00	$26,383.47	$0.00	($1,683.47)	$0.00
	14,000.000	VARIOUS	12/11/14	$12,740.00	$14,358 08	$0.00	($1,618.08)	$0.00
	16,000.000	VARIOUS	12/12/14	$14,440.00	$16,145.04	$0.00	($1,705.04)	$0.00
Security Subtotal	**56,000.000**			**$51,880.00**	$56,886.59	**$0.00**	($5,006.59)	**$0.00**
CHIQUITA BRANDS 4250 16AU15		CUSIP: 170032AT3		Symbol:				
	43,000.000	05/30/14	10/29/14	$43,012.90	$43,235.34	$0.00	($222.44)	$0.00
CIENA CORP 0875 17JN15		CUSIP: 171779AE1		Symbol:				
	12,000.000	11/18/13	09/19/14	$11,902.50	$12,165.27	$0.00	($262.77)	$0.00
	5,000.000	01/15/14	09/19/14	$4,959.38	$5,079.10	$0.00	($119.72)	$0.00
	4,000.000	02/07/14	09/19/14	$3,967.50	$4,065.29	$0.00	($97.79)	$0.00
Security Subtotal	**21,000.000**			**$20,829.38**	**$21,309.66**	**$0.00**	**($480.28)**	**$0.00**
CIENA CORPORATION 4000 15MH15		CUSIP: 171779AF8		Symbol:				
	23,000.000	04/07/14	07/28/14	$25,645.00	$27,027.71	$0.00	($1,382.71)	$0.00
CLEARWIRE ESCROW 8250 *40DE01		CUSIP: 18538TAG4		Symbol:				
	11,000.000	09/16/13	07/30/14	$12,705.00	$12,240.43	$0.00	$464.57	$0.00
	10,000.000	11/18/13	07/30/14	$11,550.00	$11,486.25	$0.00	$63.75	$0.00
	12,000.000	01/15/14	07/30/14	$13,860.00	$13,891.38	$0.00	($31.38)	$0.00
	34,000.000	02/07/14	07/30/14	$39,270.00	$39,341.89	$0.00	($71.89)	$0.00
	39,000.000	02/19/14	07/30/14	$45,045.00	$45,202.72	$0.00	($157.72)	$0.00
Security Subtotal	**106,000.000**			**$122,430.00**	**$122,162.67**	**$0.00**	**$267.33**	**$0.00**

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
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New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

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Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked)**(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
COBALT INTL ENG 2 5/8 12-01-19		CUSIP: 19075FAA4		Symbol:				
	4,000.000	10/03/13	02/27/14	$3,905.00	$4,221.49	$0.00	($316.49)	$0.00
	5,000.000	10/08/13	02/27/14	$4,881.25	$5,127.70	$0.00	($246.45)	$0.00
	4,000.000	11/19/13	02/27/14	$3,862.43	$4,014.34	$0 00	($151.91)	$0 00
	6,000.000	11/19/13	02/27/14	$5,857.50	$6,021.51	$0.00	($164.01)	$0.00
	4,000.000	12/02/13	02/27/14	$3,862.42	$3,744.37	$0 00	$118.05	$0.00
	1,000.000	12/02/13	09/10/14	$862.70	$936.09	$0.00	($73.39)	$0.00
	21,000.000	02/06/14	09/10/14	$18,116.70	$18,637.50	$0.00	($520.80)	$0.00
	8,000.000	02/18/14	09/10/14	$6,901.60	$7,333.60	$0.00	($432.00)	$0.00
	22,000 000	02/18/14	10/10/14	$15,840.00	$20,167.40	$0.00	($4,327.40)	$0 00
	14,000.000	03/04/14	10/10/14	$10,080.00	$13,482.00	$0.00	($3,402.00)	$0.00
	2,000.000	03/04/14	10/14/14	$1,405.67	$1,926.00	$0.00	($520.33)	$0.00
	4,000.000	05/19/14	10/14/14	$2,811.33	$3,709.99	$0.00	($898.66)	$0.00
	5,000.000	05/19/14	12/12/14	$2,960.00	$4,637.50	$0.00	($1,677.50)	$0.00
	7,000.000	05/23/14	12/12/14	$4,144.00	$6,528.34	$0.00	($2,384.34)	$0.00
	3,000.000	05/23/14	12/12/14	$1,756.70	$2,797.86	$0.00	($1,041.16)	$0.00
Security Subtotal	**110,000.000**			**$87,247.30**	**$103,285.69**	$0 00	($16,038 39)	**$0.00**
COLONY FIN INC 3875 21JA15		CUSIP: 19624RAB2		Symbol:				
	13,000.000	01/23/14	09/23/14	$12,841.81	$13,010.00	$0.00	($168.19)	$0.00
	4,000.000	02/04/14	09/23/14	$3,951.32	$4,030.46	$0.00	($79.14)	$0.00
	4,000.000	02/04/14	09/24/14	$3,945.00	$4,030.46	$0.00	($85.46)	$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

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133 RIVER ROAD
COS COB CT 06807-2539

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

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COLONY FIN INC 3875 21JA15(Cont.)		CUSIP: 19624RAB2		Symbol:				
	13,000.000	02/05/14	09/24/14	$12,821.25	$13,156.80	$0.00	($335.55)	$0.00
	20,000.000	02/06/14	09/24/14	$19,725.00	$20,238.80	$0.00	($513.80)	$0.00
Security Subtotal	**54,000.000**			**$53,284.38**	**$54,466.52**	**$0.00**	**($1,182.14)**	**$0.00**
ELECTRONIC ARTS 0750 16JL15		CUSIP: 285512AA7		Symbol:				
	6,000.000	09/16/13	05/06/14	$7,238.92	$6,720.00	$0 00	$518.92	$0.00
	7,000.000	11/18/13	05/06/14	$8,445.40	$7,518.00	$0.00	$927.40	$0.00
	2,000.000	02/07/14	05/06/14	$2,412.97	$2,260.00	$0 00	$152.97	$0.00
	8,000.000	02/07/14	05/07/14	$9,735 31	$9,040.00	$0.00	$695.31	$0.00
	9,000.000	02/18/14	05/07/14	$10,935.00	$10,377 00	$0 00	$558.00	$0.00
	7,000.000	02/18/14	05/07/14	$8,518.40	$8,071.00	$0.00	$447.40	$0.00
Security Subtotal	**39,000.000**			**$47,286.00**	**$43,986.00**	**$0.00**	**$3,300.00**	**$0.00**
EXELIXIS INC 4 1/4 8-15-19		CUSIP: 30161QAC8		Symbol:				
	5,000.000	03/26/14	10/09/14	$2,800 00	$5,243.23	$0.00	($2,443.23)	$0.00
	8,000.000	03/26/14	10/09/14	$4,480.00	$8,389.18	$0.00	($3,909.18)	$0.00
	8,000.000	03/26/14	10/10/14	$4,280.00	$8,108.96	$0.00	($3,828.96)	$0.00
	3,000.000	03/26/14	10/10/14	$1,605 00	$3,145.94	$0.00	($1,540.94)	$0.00
	8,000.000	03/26/14	10/10/14	$4,280.00	$7,915.30	$0.00	($3,635.30)	$0.00
	6,000.000	09/02/14	10/10/14	$3,210.00	$3,690.00	$0.00	($480.00)	$0.00
Security Subtotal	**38,000.000**			**$20,655.00**	**$36,492.61**	**$0.00**	**($15,837.61)**	**$0.00**
GOODRICH PETROLEU 5000 *32OC01		CUSIP: 382410AG3		Symbol:				
	6,000.000	11/26/13	10/09/14	$5,850 00	$6,363.95	$0.00	($513.95)	$0.00
	3,000.000	12/06/13	11/03/14	$2,448.75	$3,136.79	$0.00	($688.04)	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

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DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
GOODRICH PETROLEU 5000 *32OC01(Cont.)		CUSIP: 382410AG3		Symbol:				
	7,000.000	12/06/13	11/12/14	$4,970.00	$7,319 18	$0.00	($2,349.18)	$0.00
	6,000.000	12/11/13	11/12/14	$4,260.00	$6,183.62	$0.00	($1,923.62)	$0.00
	14,000.000	02/07/14	11/12/14	$9,765.00	$15,242 50	$0 00	($5,477.50)	$0.00
	7,000.000	02/07/14	11/12/14	$4,970.00	$7,621.25	$0.00	($2,651.25)	$0.00
	4,000.000	02/07/14	11/17/14	$2,680.00	$4,345.17	$0.00	($1,665.17)	$0.00
	3,000.000	02/18/14	11/17/14	$2,010.00	$3,273.68	$0.00	($1,263.68)	$0.00
	2,000.000	02/18/14	11/18/14	$1,340.00	$2,182.44	$0.00	($842.44)	$0.00
	7,000.000	02/18/14	12/02/14	$3,780.00	$7,656.25	$0.00	($3,876.25)	$0.00
	13,000.000	02/18/14	12/02/14	$7,150.00	$14,218.75	$0.00	($7,068.75)	$0.00
Security Subtotal	**72,000.000**			**$49,223.75**	**$77,543.58**	**$0.00**	**($28,319.83)**	**$0.00**
GROUP 1 AUTO 2250 *36JN15		CUSIP: 398905AE9		Symbol:				
	6,000.000	12/05/13	04/25/14	$7,560.00	$7,400.76	$0.00	$159.24	$0.00
	6,000.000	12/06/13	04/25/14	$7,560.00	$7,450.47	$0.00	$109.53	$0.00
	3,000.000	01/17/14	04/25/14	$3,780.00	$3,586 34	$0.00	$193.66	$0.00
	3,000.000	01/21/14	05/02/14	$3,893.73	$3,594.66	$0.00	$299.07	$0.00
	12,000.000	02/07/14	05/02/14	$15,574.91	$14,175 93	$0 00	$1,398.98	$0.00
	9,000.000	02/07/14	05/09/14	$11,790.00	$10,630 71	$0 00	$1,159.29	$0 00
	6,000.000	02/18/14	05/09/14	$7,860.00	$7,117.88	$0.00	$742.12	$0.00
	14,000.000	02/18/14	05/15/14	$18,436.25	$16,606 71	$0.00	$1,829.54	$0.00
Security Subtotal	**59,000.000**			**$76,454.89**	**$70,563.46**	**$0.00**	**$5,891.43**	**$0.00**
HOLOGIC INC 2000 *42MH01		CUSIP: 436440AC5		Symbol:				
	49,000.000	VARIOUS	04/16/14	$50,232.45	$50,755 98	$0.00	($523.53)	$0.00

CONTINUED ON NEXT PAGE

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked.) **(Continued)**

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HORNBECK OFFSHORE 1500 19SP01		CUSIP: 440543AN6		Symbol:				
	10,000.000	04/10/14	10/08/14	$9,640.00	$10,925.00	$0.00	($1,285.00)	$0.00
INTERMUNE INC 2 1/2 9-15-18		CUSIP: 45884XAE3		Symbol:				
	4,000.000	09/16/13	02/25/14	$5,537.56	$3,572.00	$0 00	$1,965.56	$0.00
	3,000.000	09/16/13	02/25/14	$4,041.51	$2,679.00	$0.00	$1,362.51	$0.00
	7,000.000	09/16/13	02/25/14	$9,649.02	$6,251.00	$0 00	$3,398.02	$0.00
	4,000.000	11/18/13	02/25/14	$5,388.68	$3,544 00	$0.00	$1,844.68	$0.00
	8,000.000	11/18/13	02/25/14	$10,606.32	$7,088.00	$0.00	$3,518.32	$0.00
	4,000 000	02/06/14	02/25/14	$4,954.65	$3,440.00	$0.00	$1,514.65	$0.00
	17,000.000	02/06/14	02/25/14	$22,387.11	$14,620 00	$0.00	$7,767.11	$0.00
	9,000.000	02/06/14	02/25/14	$11,932 11	$7,740.00	$0.00	$4,192 11	$0.00
	13,000.000	02/18/14	02/25/14	$16,102.60	$11,732.50	$0.00	$4,370 10	$0.00
	16,000.000	02/18/14	02/26/14	$20,892.69	$14,440.00	$0 00	$6,452 69	$0.00
	5,000.000	03/10/14	05/19/14	$7,107.25	$6,372.50	$0.00	$734.75	$0.00
	9,000 000	03/10/14	05/21/14	$12,441.87	$11,470.50	$0.00	$971.37	$0.00
	10,000 000	03/10/14	05/22/14	$14,005.77	$12,745.00	$0.00	$1,260.77	$0.00
Security Subtotal	**109,000.000**			**$145,047.14**	**$105,694.50**	$0 00	$39,352 64	**$0.00**
INTL GAME TECH 3250 14MY01		CUSIP: 459902AQ5		Symbol:				
	7,000.000	09/17/13	04/08/14	$7,008.75	$8,169.00	$0.00	($1,160.25)	$0.00
	6,000.000	11/18/13	04/08/14	$6,007.50	$6,360.00	$0.00	($352.50)	$0.00
	15,000.000	02/07/14	04/08/14	$15,018.75	$15,024.68	$0.00	($5.93)	$0.00
	16,000.000	02/19/14	04/08/14	$16,020.00	$16,027.22	$0.00	($7.22)	$0.00
Security Subtotal	**44,000.000**			**$44,055.00**	**$45,580.90**	**$0.00**	**($1,525.90)**	**$0.00**

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities * (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section These transactions should be reported on Frm 8949 Part I with box B checked.) **(Continued)**

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IXIA 3000 15DE15		CUSIP: 45071RAB5		Symbol:				
	5,000.000	09/17/13	05/21/14	$5,043.75	$5,700.00	$0.00	($656.25)	$0.00
	3,000.000	09/17/13	05/22/14	$3,030.00	$3,420.00	$0.00	($390.00)	$0.00
	2,000.000	09/18/13	05/22/14	$2,017.50	$2,274.39	$0.00	($256.89)	$0.00
	1,000.000	09/18/13	05/22/14	$1,010.00	$1,137.19	$0.00	($127.19)	$0.00
	7,000.000	11/19/13	05/22/14	$7,061.25	$7,724.50	$0.00	($663.25)	$0.00
	5,000.000	11/19/13	05/27/14	$5,054.10	$5,517.50	$0.00	($463.40)	$0.00
	4,000.000	02/06/14	05/27/14	$4,043.28	$4,179.72	$0.00	($136.44)	$0.00
	10,000.000	02/06/14	05/28/14	$10,131.25	$10,447.70	$0.00	($316.45)	$0.00
	7,000.000	02/06/14	05/29/14	$7,087.50	$7,312.82	$0.00	($225.32)	$0.00
	2,000.000	02/18/14	05/29/14	$2,025.00	$2,112.50	$0.00	($87.50)	$0.00
	26,000.000	02/18/14	06/03/14	$26,227.50	$27,462.50	$0.00	($1,235.00)	$0.00
Security Subtotal	**72,000.000**			**$72,731.13**	**$77,288.82**	**$0.00**	**($4,557.69)**	**$0.00**
KB HOME 1375 *19FB01		CUSIP: 48666KAS8		Symbol:				
	7,000.000	08/04/14	10/24/14	$6,790.15	$6,787.56	$0.00	$2 59	$0.00
LIFEPOINT HOSPIT 3500 14MY15		CUSIP: 53219LAH2		Symbol:				
	12,000.000	09/16/13	04/14/14	$12,164.64	$12,885.77	$0.00	($721.13)	$0.00
	11,000.000	11/19/13	04/14/14	$11,150.92	$11,825.00	$0.00	($674.08)	$0.00
	2,000.000	02/07/14	04/14/14	$2,027.44	$2,099.00	$0.00	($71 56)	$0.00
	15,000.000	02/07/14	04/25/14	$15,706.31	$15,742.50	$0.00	($36 19)	$0.00
	8,000.000	02/07/14	04/29/14	$8,460.09	$8,396.00	$0.00	$64.09	$0.00
	4,000.000	02/18/14	04/29/14	$4,230.04	$4,285.00	$0.00	($54 96)	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
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LIFEPOINT HOSPIT 3500 14MY15(Cont.)		CUSIP: 53219LAH2		Symbol:				
	11,000.000	02/18/14	04/30/14	$11,539.88	$11,783 75	$0.00	($243.87)	$0.00
	12,000.000	02/18/14	05/01/14	$12,698.45	$12,855.00	$0.00	($156.55)	$0.00
Security Subtotal	**75,000.000**			**$77,977.77**	**$79,872.02**	**$0.00**	**($1,894.25)**	**$0.00**
LINEAR TECH CORP 3000 *27MY01		CUSIP: 535678AC0		Symbol:				
	9,000.000	Various	01/27/14	$9,973 11	$9,718.75	$0.00	$254 36	$0.00
	14,000.000	Various	02/13/14	$15,739.33	$15,190 00	$0.00	$549 33	$0.00
Security Subtotal	**23,000.000**			**$25,712.44**	$24,908 75	**$0.00**	$803.69	**$0.00**
MGM RESORTS INTER 4250 15AP15		CUSIP: 55303QAE0		Symbol:				
	14,000.000	10/16/14	10/28/14	$17,737.34	$16,519.51	$0.00	$1,217.83	$0.00
MICRON TECHNOLOGY 3000 *43NV15		CUSIP: 595112AY9		Symbol:				
	1,000.000	11/07/13	03/31/14	$1,095 48	$862 50	$0 00	$232.98	$0.00
	5,000.000	11/07/13	03/31/14	$5,477.42	$4,326 92	$0 00	$1,150.50	$0.00
	1,000.000	11/08/13	03/31/14	$1,095.48	$866.94	$0 00	$228.54	$0.00
	7,000.000	11/18/13	03/31/14	$7,668.38	$6,506.50	$0.00	$1,161.88	$0.00
	6,000.000	12/11/13	03/31/14	$6,572.90	$5,970.00	$0.00	$602.90	$0.00
	5,000.000	02/07/14	03/31/14	$5,477 42	$5,510.84	$0 00	($33.42)	$0.00
	11,000.000	02/07/14	07/09/14	$14,107.50	$12,116.61	$0.00	$1,990 89	$0.00
	5,000.000	02/07/14	07/23/14	$6,491 21	$5,507.10	$0.00	$984.11	$0.00
	6,000.000	02/18/14	07/23/14	$7,789.46	$6,900.00	$0.00	$889.46	$0.00
	11,000.000	02/18/14	07/30/14	$14,069.80	$12,650.00	$0.00	$1,419.80	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
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133 RIVER ROAD
COS COB CT 06807-2539

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

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MICRON TECHNOLOGY 3000 *43NV15(Cont)		CUSIP: 595112AY9		Symbol:				
	6,000.000	02/18/14	08/01/14	$7,417.50	$6,900.00	$0.00	$517.50	$0.00
	16,000.000	04/04/14	08/01/14	$19,780.00	$17,116.58	$0.00	$2,663.42	$0.00
Security Subtotal	**80,000.000**			**$97,042.55**	**$85,233.99**	$0 00	$11,808.56	**$0.00**
NAVISTAR INTL 3000 14OC15		CUSIP: 63934EAL2		Symbol:				
	10,000.000	09/17/13	03/18/14	$10,144.00	$10,117.69	$0.00	$26.31	$0.00
	9,000.000	11/19/13	03/18/14	$9,129.60	$9,337.50	$0.00	($207.90)	$0.00
Security Subtotal	**19,000.000**			**$19,273.60**	**$19,455.19**	**$0.00**	**($181.59)**	**$0.00**
NUANCE COMMUNIC 2750 *27AU15		CUSIP: 67020YAB6		Symbol:				
	5,000.000	09/16/13	09/03/14	$5,002.00	$5,748.55	$0.00	($746.55)	$0.00
	4,000.000	11/18/13	09/03/14	$4,001.60	$4,227.97	$0.00	($226.37)	$0.00
	10,000.000	02/07/14	09/03/14	$10,004.00	$10,517.90	$0.00	($513.90)	$0.00
	10,000.000	02/19/14	09/03/14	$10,004.00	$10,429.76	$0.00	($425.76)	$0.00
	14,000.000	07/30/14	09/03/14	$14,005.60	$14,626.06	$0.00	($620.46)	$0.00
Security Subtotal	**43,000.000**			**$43,017.20**	**$45,550.24**	**$0.00**	**($2,533.04)**	**$0.00**
NUANCE COMMUNIC 2750 *31NV01		CUSIP: 67020YAF7		Symbol:				
	12,000.000	09/16/13	07/01/14	$11,985.00	$12,243.17	$0.00	($258.17)	$0.00
	4,000.000	11/18/13	07/01/14	$3,995.00	$3,908.00	$0.00	$87.00	$0.00
	3,000.000	11/18/13	07/02/14	$3,001.88	$2,931.00	$0.00	$70.88	$0.00
	5,000.000	11/18/13	07/02/14	$5,000.00	$4,885.00	$0.00	$115.00	$0.00
	9,000.000	02/07/14	07/02/14	$8,988.75	$8,955.00	$0.00	$33.75	$0.00
	9,000.000	02/07/14	07/07/14	$9,000.00	$8,955.00	$0.00	$45.00	$0.00
	10,000.000	02/07/14	07/08/14	$9,987.50	$9,950.00	$0.00	$37.50	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

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Tax Year 2014

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

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NUANCE COMMUNIC 2750 *31NV01(Cont)		CUSIP: 67020YAF7		Symbol:				
	3,000.000	02/18/14	07/08/14	$2,996.25	$2,989.50	$0.00	$6.75	$0.00
	7,000.000	02/18/14	07/10/14	$6,965.00	$6,975.50	$0.00	($10.50)	$0.00
	14,000.000	02/18/14	07/15/14	$13,947.50	$13,951.00	$0.00	($3.50)	$0.00
Security Subtotal	**76,000.000**			**$75,866.88**	**$75,743.17**	**$0.00**	**$123.71**	**$0.00**
OMNICARE INC 3250 *35DERG		CUSIP: 681904AL2		Symbol:				
	8,000.000		01/27/14	$8,584.24	$8,768.01	$0.00	($183.77)	$0 00
	116,000.000		10/31/14	$121,800.00	$128,876.43	$0.00	($7,076.43)	$0 00
Security Subtotal	**124,000.000**			**$130,384.24**	$137,644.44	**$0.00**	($7,260.20)	**$0.00**
OMNICARE INC 3250 *35DE15		CUSIP: 681904AR9		Symbol:				
	16,000.000	10/31/14	11/12/14	$18,120.00	$17,118 68	$0.00	$1,001.32	$0.00
ON SEMICOND 2625 *26DE15		CUSIP: 682189AH8		Symbol:				
	13,000.000	10/15/14	12/22/14	$15,291.25	$13,438.75	$0.00	$1,852.50	$0.00
	7,000.000	10/23/14	12/22/14	$8,233.75	$7,622.39	$0.00	$611.36	$0.00
Security Subtotal	**20,000.000**			**$23,525.00**	**$21,061.14**	**$0.00**	**$2,463.86**	**$0.00**
PRICELINE.COM INC 0350 20JN15		CUSIP: 741503AR7		Symbol:				
	6,000.000	12/16/13	01/23/14	$7,021.09	$6,862.50	$0.00	$158.59	$0.00
	16,000.000	02/06/14	02/19/14	$19,670.54	$18,276.69	$0.00	$1,393.85	$0.00
Security Subtotal	**22,000.000**			**$26,691.63**	**$25,139.19**	**$0.00**	**$1,552.44**	**$0.00**
PROLOGIS INC 3250 15MH15		CUSIP: 74340XAT8		Symbol:				
	1,000.000	11/12/13	10/29/14	$1,087.50	$1,150.00	$0.00	($62.50)	$0.00
	16,000.000	11/18/13	10/29/14	$17,400.00	$18,560.00	$0.00	($1,160.00)	$0.00

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Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section These transactions should be reported on Frm 8949 Part I with box B checked)**(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
PROLOGIS INC 3250 15MH15(Cont.)		CUSIP: 74340XAT8		Symbol:				
	2,000.000	11/18/13	10/30/14	$2,170.00	$2,320.00	$0.00	($150.00)	$0.00
	5,000.000	02/07/14	10/30/14	$5,425.00	$5,762.50	$0.00	($337.50)	$0.00
	13,000.000	02/07/14	11/04/14	$14,332.50	$14,982.50	$0.00	($650.00)	$0.00
	11,000.000	02/07/14	12/03/14	$12,230.10	$12,677 50	$0.00	($447.40)	$0.00
	3,000.000	02/07/14	12/09/14	$3,323.90	$3,457.50	$0.00	($133.60)	$0.00
	6,000.000	02/19/14	12/09/14	$6,647.81	$7,035.00	$0.00	($387.19)	$0.00
Security Subtotal	**57,000.000**			**$62,616.81**	**$65,945.00**	**$0.00**	**($3,328.19)**	**$0.00**
PROSPECT CAP CORP 5875 19JA15		CUSIP: 74348TAM4		Symbol:				
	19,000.000	04/08/14	05/08/14	$19,961.88	$19,902 50	$0.00	$59.38	$0.00
	15,000.000	04/08/14	08/05/14	$15,600.00	$15,712.50	$0.00	($112.50)	$0.00
	5,000.000	04/08/14	09/03/14	$5,193.75	$5,237.50	$0.00	($43.75)	$0.00
	12,000.000	04/14/14	09/03/14	$12,465.00	$12,603.48	$0.00	($138.48)	$0.00
Security Subtotal	**51,000.000**			**$53,220.63**	**$53,455.98**	**$0.00**	**($235.35)**	**$0.00**
REDWOOD TRUST INC 4625 18AP15		CUSIP: 758075AB1		Symbol:				
	6,000.000	11/18/13	09/23/14	$6,003.00	$6,245.57	$0.00	($242.57)	$0.00
	8,000.000	12/16/13	09/23/14	$8,004.00	$8,189.90	$0.00	($185.90)	$0.00
	15,000.000	02/07/14	09/23/14	$15,007.50	$15,387.26	$0.00	($379.76)	$0.00
Security Subtotal	**29,000.000**			**$29,014.50**	**$29,822.73**	**$0.00**	**($808.23)**	**$0.00**
ROYAL GOLD INC. 2875 19JN15		CUSIP: 780287AA6		Symbol:				
	11,000.000	09/16/13	02/13/14	$11,635.45	$10,703 00	$0.00	$932.45	$0.00
	5,000.000	11/18/13	02/13/14	$5,288.84	$4,820.00	$0.00	$468.84	$0.00
Security Subtotal	**16,000.000**			**$16,924.29**	**$15,523.00**	$0.00	$1,401.29	**$0.00**

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IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities

(Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked.)**(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
RYLAND GROUP 0250 19JN01		CUSIP: 783764AS2		Symbol:				
	5,000.000	11/18/13	10/24/14	$4,600.00	$4,599.99	$0.00	$0.01	$0.00
SEACOR HOLDINGS I 2500 '27DE15		CUSIP: 811904AM3		Symbol:	$21,529.10		($2.137.81)	
	19,000.000	10/29/14	12/18/14	$19,391.29		$0.00		$0.00
SPIRIT REALTY CAP 2875 19MY15		CUSIP: 84860WAA0		Symbol:				
	33,000.000	06/04/14	09/24/14	$31,991.16	$33,594.00	$0.00	($1,602.84)	$0.00
	3,000.000	06/04/14	09/25/14	$2,893.56	$3,054.00	$0.00	($160.44)	$0.00
	28,000.000	06/09/14	09/25/14	$27,006.53	$28,307.61	$0.00	($1,301.08)	$0.00
Security Subtotal	**64,000.000**			**$61,891.25**	**$64,955.61**	**$0.00**	**($3,064.36)**	**$0.00**
STARWOOD PROPERTY 4550 18MH01		CUSIP: 85571BAA3		Symbol:				
	15,000.000	09/16/13	01/13/14	$16,706.27	$15,489.36	$0.00	$1,216.91	$0.00
STEEL DYNAMICS 5125 14JN15		CUSIP: 858119AP5		Symbol:				
	10,000.000	09/17/13	01/27/14	$10,694 04	$11,150.00	$0 00	($455.96)	$0.00
	3,000.000	09/18/13	01/27/14	$3,208.21	$3,330.00	$0.00	($121.79)	$0.00
	1,000.000	09/18/13	05/29/14	$1,032.81	$1,110.00	$0.00	($77.19)	$0.00
	7,000.000	11/18/13	05/29/14	$7,229.66	$8,162.00	$0.00	($932.34)	$0.00
	6,000.000	11/18/13	05/29/14	$6,187.50	$6,996.00	$0.00	($808.50)	$0.00
	15,000.000	02/07/14	05/29/14	$15,468.75	$15,900.00	$0.00	($431.25)	$0 00
	15,000.000	02/18/14	05/29/14	$15,468.75	$16,687.50	$0.00	($1,218.75)	$0.00
Security Subtotal	**57,000.000**			**$59,289.72**	**$63,335.50**	**$0.00**	**($4,045.78)**	**$0.00**
STONE ENERGY CORP 1750 17MH01		CUSIP: 861642AN6		Symbol:				
	3,000.000	09/16/13	04/29/14	$3,960.00	$3,210.00	$0.00	$750.00	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

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New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities * (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked) **(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
STONE ENERGY CORP 1750 17MH01(Cont.)		CUSIP: 861642AN6		Symbol:				
	3,000.000	11/05/13	04/29/14	$3,960.00	$3,232.50	$0.00	$727.50	$0 00
	6,000 000	11/19/13	04/29/14	$7,920.00	$6,453.00	$0.00	$1,467.00	$0.00
	3,000.000	11/19/13	06/19/14	$3,803.06	$3,226.50	$0.00	$576.56	$0 00
	8,000.000	02/07/14	06/19/14	$10,141.51	$8,664.18	$0.00	$1,477.33	$0.00
Security Subtotal	**23,000.000**			**$29,784.57**	**$24,786.18**	**$0.00**	**$4,998.39**	**$0.00**
TAKE-TWO INTERACT 1000 18JL01		CUSIP: 874054AD1		Symbol:				
	1,000.000	09/16/13	01/30/14	$1,118.33	$1,059.00	$0.00	$59.33	$0.00
	3,000.000	09/18/13	01/30/14	$3,355.00	$3,161.25	$0.00	$193.75	$0.00
	2,000.000	10/09/13	01/30/14	$2,236.67	$2,137.50	$0.00	$99.17	$0.00
	2,000.000	10/09/13	07/30/14	$2,486.75	$2,137.50	$0.00	$349.25	$0.00
	5,000.000	10/30/13	07/30/14	$6,216.87	$5,475.00	$0.00	$741.87	$0.00
	14,000.000	11/18/13	07/30/14	$17,407.22	$15,470.00	$0.00	$1,937.22	$0.00
Security Subtotal	**27,000.000**			**$32,820.84**	**$29,440.25**	**$0.00**	**$3,380.59**	**$0.00**
TESLA MOTORS INC 1250 21MH01		CUSIP: 88160RAC5		Symbol:				
	19,000.000	05/09/14	09/09/14	$19,589.00	$16,579.68	$0 00	$3,009.32	$0.00
	9,000.000	05/12/14	09/09/14	$9,279.00	$7,908.75	$0 00	$1,370.25	$0.00
	10,000.000	05/12/14	09/10/14	$10,212.50	$8,787.50	$0.00	$1,425.00	$0.00
	19,000.000	05/14/14	09/10/14	$19,403.75	$16,773.90	$0 00	$2,629.85	$0.00
Security Subtotal	**57,000.000**			**$58,484.25**	**$50,049.83**	$0 00	**$8,434.42**	**$0.00**
TTM TECHNOLOGIES 1750 20DE15		CUSIP: 87305RAD1		Symbol:				
	2,000.000	12/18/13	01/27/14	$2,100.31	$2,023.02	$0.00	$77.29	$0 00
	3,000.000	12/18/13	01/28/14	$3,127.46	$3,034.53	$0 00	$92.93	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
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New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

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Short Term - Noncovered Securities * (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section These transactions should be reported on Frm 8949 Part I with box B checked)**(Continued)**

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TTM TECHNOLOGIES 1750 20DE15(Cont.)		CUSIP: 87305RAD1		Symbol:				
	5,000.000	12/18/13	10/08/14	$4,625.00	$5,057.55	$0.00	($432.55)	$0 00
	3,000.000	12/18/13	10/09/14	$2,703.94	$3,034.53	$0.00	($330 59)	$0.00
	2,000.000	12/18/13	10/21/14	$1,795.20	$2,023.02	$0.00	($227 82)	$0 00
	2,000.000	02/07/14	10/22/14	$1,768.53	$2,114.01	$0.00	($345.48)	$0 00
	2,000.000	02/07/14	11/18/14	$1,850.00	$2,112.80	$0.00	($262 80)	$0 00
	1,000.000	02/07/14	11/21/14	$928.75	$1,056.27	$0.00	($127.52)	$0.00
	3,000.000	02/07/14	12/02/14	$2,760.09	$3,190.24	$0.00	($430.15)	$0.00
	1,000.000	02/07/14	12/09/14	$925.00	$1,063.41	$0.00	($138.41)	$0.00
	10,000.000	02/18/14	12/09/14	$9,250.00	$10,875.00	$0.00	($1,625.00)	$0.00
Security Subtotal	**34,000.000**			**$31,834.28**	**$35,584.38**	**$0.00**	**($3,750.10)**	**$0.00**
US STEEL CORP 4000 14MY15		CUSIP: 912909AE8		Symbol:				
	11,000.000	09/17/13	05/15/14	$11,000.00	$11,297 00	$0.00	($297.00)	$0.00
	5,000.000	10/10/13	05/15/14	$5,000.00	$5,137.50	$0.00	($137.50)	$0.00
	3,000.000	11/13/13	05/15/14	$3,000.00	$3,165.00	$0.00	($165.00)	$0.00
	19,000.000	11/18/13	05/15/14	$19,000.00	$20,187.50	$0.00	($1,187.50)	$0.00
	37,000.000	02/07/14	05/15/14	$37,000.00	$37,740.00	$0.00	($740.00)	$0.00
	45,000.000	02/18/14	05/15/14	$45,000.00	$46,192.50	$0.00	($1,192.50)	$0.00
Security Subtotal	**120,000.000**			**$120,000.00**	**$123,719.50**	**$0.00**	**($3,719.50)**	**$0.00**
VOLCANO CORP 1750 17DE01		CUSIP: 928645AB6		Symbol:				
	10,000.000	11/18/13	09/25/14	$8,587.50	$9,887 50	$0.00	($1,300.00)	$0.00
	6,000 000	02/06/14	09/25/14	$5,152 50	$5,992.50	$0 00	($840.00)	$0.00
	13,000.000	02/06/14	11/05/14	$10,530.00	$12,983.75	$0.00	($2,453.75)	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

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Short Term - Noncovered Securities * (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section These transactions should be reported on Frm 8949 Part I with box B checked.) **(Continued)**

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VOLCANO CORP 1750 17DE01(Cont.)		CUSIP: 928645AB6		Symbol:				
	1,000.000	02/06/14	12/17/14	$993.00	$998.75	$0.00	($5.75)	$0.00
	2,000 000	02/06/14	12/17/14	$1,987.50	$1,997.50	$0.00	($10 00)	$0.00
	26,000.000	02/18/14	12/17/14	$25,818.00	$26,585.00	$0.00	($767.00)	$0.00
	12,000.000	05/29/14	12/17/14	$11,916.00	$11,602.17	$0 00	$313.83	$0.00
	6,000.000	05/29/14	12/17/14	$5,958.00	$5,801.09	$0.00	$156.91	$0.00
	8,000.000	07/30/14	12/17/14	$7,940.00	$7,632.61	$0 00	$307.39	$0.00
	5,000.000	07/30/14	12/17/14	$4,965.00	$4,770.38	$0.00	$194.62	$0.00
Security Subtotal	**89,000.000**			**$83,847.50**	**$88,251.25**	$0.00	($4,403.75)	**$0.00**
WALTER INVESTMENT 4 1/2 11-01-		CUSIP: 93317WAA0		Symbol:				
	2,000.000	09/17/13	08/11/14	$1,766.92	$2,103.00	$0.00	($336 08)	$0.00
	2,000.000	09/17/13	08/11/14	$1,770.00	$2,103.00	$0.00	($333.00)	$0.00
	5,000.000	09/17/13	08/11/14	$4,437.50	$5,257.50	$0.00	($820.00)	$0.00
	2,000.000	11/18/13	08/11/14	$1,766.92	$2,052.00	$0.00	($285.08)	$0.00
	8,000.000	11/18/13	08/12/14	$6,966.89	$8,208.00	$0.00	($1,241.11)	$0.00
	16,000.000	02/06/14	08/12/14	$13,933.78	$15,280.00	$0.00	($1,346.22)	$0.00
	1,000.000	02/18/14	08/12/14	$870.86	$945.00	$0.00	($74.14)	$0.00
	21,000.000	02/18/14	08/27/14	$18,795.00	$19,845.00	$0.00	($1,050.00)	$0.00
Security Subtotal	**57,000.000**			**$50,307.87**	**$55,793.50**	**$0.00**	**($5,485.63)**	**$0.00**
WEBMD HEALTH CORP 2500 18JA31		CUSIP: 94770VAF9		Symbol:				
	15,000.000	09/16/13	02/19/14	$16,176.05	$14,460.00	$0.00	$1,716.05	$0.00
	15,000.000	11/19/13	02/19/14	$16,176.05	$15,070.61	$0.00	$1,105.44	$0.00
	12,000.000	02/07/14	02/19/14	$12,940.83	$12,684.29	$0.00	$256.54	$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

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Short Term - Noncovered Securities * (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section These transactions should be reported on Frm 8949 Part I with box B checked.)**(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
WEBMD HEALTH CORP 2500 18JA31(Cont.)		CUSIP: 94770VAF9		Symbol:				
	18,000.000	02/07/14	12/09/14	$17,820.00	$19,035.00	$0.00	($1,215.00)	$0.00
	20,000.000	02/18/14	12/09/14	$19,800.00	$21,600.00	$0.00	($1,800.00)	$0.00
Security Subtotal	**80,000.000**			**$82,912.93**	**$82,849.90**	$0.00	$63 03	**$0.00**
Total Short Term Noncovered Securities				**$2,811,230.18**	**$2,829,573.62**	$0.00	**($18,343.44)**	**$0.00**

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
ADVENT
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092
[illegible]

Customer Service: 866-324-6088

This information is NOT being furnished to the Internal Revenue Service. It is provided to you for informational purposes only.

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Long Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked.)

DESCRIPTION (Box 8)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ANNALY CAP MGMT 5000 15MY15	CUSIP: 035710AB8		Symbol (Box 1d):					
	9,000.000	09/17/13	09/24/14	$9,095 63	$9,064.35	$0.00	$31.28	$0 00
CIENA CORP 0875 17JN15	CUSIP: 171779AE1		Symbol (Box 1d):					
	13,000.000	09/16/13	09/19/14	$12,894.37	$13,132 96	$0.00	($238.59)	$0.00
PROLOGIS INC 3250 15MH15	CUSIP: 74340XAT8		Symbol (Box 1d):					
	9,000.000	09/16/13	10/29/14	$9,787 50	$10,242.00	$0.00	($454.50)	$0.00
	3,000 000	10/24/13	10/29/14	$3,262.50	$3,507.77	$0.00	($245.27)	$0.00
	4,000.000	10/28/13	10/29/14	$4,350.00	$4,695.54	$0.00	($345.54)	$0.00
Security Subtotal	**16,000.000**			**$17,400.00**	**$18,445.31**	**$0.00**	**($1,045.31)**	**$0.00**
REDWOOD TRUST INC 4625 18AP15	CUSIP: 758075AB1		Symbol (Box 1d):					
	5,000.000	09/16/13	09/23/14	$5,002.50	$5,177 88	$0.00	($175.38)	$0.00
RYLAND GROUP 0250 19JN01	CUSIP: 783764AS2		Symbol (Box 1d):					
	16,000 000	09/17/13	10/24/14	$14,720 00	$14,320.00	$0.00	$400 00	$0.00
TIBCO BB56A 2250 32MY01	CUSIP: 88699ADG0		Symbol (Box 1d):					
	6,000.000	09/20/13	12/26/14	$6,000.00	$6,112.50	$0.00	($112.50)	$0.00
	1,000.000	10/04/13	12/26/14	$1,000.00	$1,026.25	$0.00	($26.25)	$0.00
	8,000.000	11/18/13	12/26/14	$8,000.00	$8,104 00	$0.00	($104.00)	$0.00
Security Subtotal	**15,000.000**			**$15,000.00**	**$15,242.75**	**$0.00**	**($242.75)**	**$0.00**

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

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Long Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Form 8949 Part II with box E checked)**(Continued)**

DESCRIPTION (Box 8)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
VOLCANO CORP 1750 17DE01	CUSIP: 928645AB6	Symbol (Box 1d):						
	11,000.000	09/17/13	09/25/14	$9,446.25	$11,283.70	$0.00	($1,837.45)	$0.00
Total Long Term Noncovered Securities				**$83,558.75**	**$86,666.95**	$0.00	($3,108.20)	**$0.00**

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OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ACCENTURE PLC IRELAND CL A		**CUSIP:** G1151C101	**Symbol:** ACN					
	400.000	02/03/14	12/22/14	$36,026.28	$31,224.00	$0.00	$4,802.28	$0 00
	100.000	03/28/14	12/22/14	$9,006.57	$7,892.00	$0.00	$1,114.57	$0.00
Security Subtotal	**500.000**			**$45,032.85**	**$39,116.00**	**$0.00**	**$5,916.85**	**$0.00**
ACCENTURE PLC IRELAND 87 500 M		**CUSIP:** 0000B248A	**Symbol:** ACN	140517C00087500				
	4.000	03/27/14	03/27/14	$191.99	$0.00	$0.00	$191.99	$0.00
ACCENTURE PLC IRELAND 90.000 N		**CUSIP:** 0000BA64F	**Symbol:** ACN	141122C00090000				
	4.000	09/30/14	09/30/14	$343 99	$0.00	$0.00	$343.99	$0 00
	1.000	09/30/14	09/30/14	$105.99	$0.00	$0.00	$105.99	$0.00
	1.000	09/30/14	09/30/14	$79.99	$0.00	$0.00	$79.99	$0.00
Security Subtotal	**6.000**			**$529.97**	**$0.00**	**$0.00**	**$529.97**	**$0.00**
ACCENTURE PLC IRELAND 92.500 A		**CUSIP:** 0000A7H0L	**Symbol:** ACN	140816C00092500				
	1.000	04/25/14	04/25/14	$40.52	$0.00	$0 00	$40.52	$0.00
APPLE INC 115.000 JAN C		**CUSIP:** 0000A50PC	**Symbol:** AAPL	150117C00115000				
	3.000	11/03/14	11/03/14	$23.98	$0.00	$0.00	$23.98	$0.00
APPLE INC 120.000 JAN C		**CUSIP:** 0000A55VC	**Symbol:** AAPL	150117C00120000				
	3.000	11/03/14	11/03/14	$116.99	$0.00	$0.00	$116.99	$0.00
APPLE INC 565.000 JUL C		**CUSIP:** 0000AA5S7	**Symbol:** AAPL7	140719C00565000				
	8.000	05/19/14	05/19/14	($2,856.02)	$0.00	$0.00	($2,856.02)	$0 00

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Short Term - Covered Securities (Continued) (Consider Box 3 (Basis Reported to IRS) as being checked for this section These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
APPLE INC 600.000 JUL C		CUSIP: 0000AA4N6	Symbol: AAPL7 140719C00600000					
	1.000	05/19/14	05/19/14	($161.71)	$0.00	$0.00	($161.71)	$0.00
APPLE INC 98 570 JAN C		CUSIP: 0000BA11J	Symbol: AAPL7 150117C00098570					
	63.000	08/28/14	08/28/14	($3,807.03)	$0.00	$0.00	($3,807.03)	$0.00
AT&T INC		CUSIP: 00206R102	Symbol: T					
	200.000	09/10/13	03/05/14	$6,415.53	$6,765.26	$0.00	($349.73)	$0.00
	1,000.000	02/03/14	03/05/14	$32,077.64	$32,037.00	$0.00	$40.64	$0.00
Security Subtotal	**1,200.000**			**$38,493.17**	**$38,802.26**	**$0.00**	**($309.09)**	**$0.00**
BRISTOL MYERS SQUIBB 57.500 JU		CUSIP: 0000A1C26	Symbol: BMY 140621C00057500					
	1.000	03/10/14	03/10/14	($121.13)	$0.00	$0.00	($121.13)	$0.00
	7.000	03/10/14	03/10/14	($1,113.01)	$0.00	$0.00	($1,113.01)	$0.00
Security Subtotal	**8.000**			**($1,234.14)**	**$0.00**	**$0.00**	**($1,234.14)**	**$0.00**
BRISTOL MYERS SQUIBB 60.000 JA		CUSIP: 0000AM7U6	Symbol: BMY 150117C00060000					
	10.000	12/05/14	12/05/14	($2,252.32)	$0.00	$0.00	($2,252 32)	$0 00
BRISTOL MYERS SQUIBB 62.500 SE		CUSIP: 0000C3UL1	Symbol: BMY 140920C00062500					
	2 000	06/12/14	06/12/14	$129 99	$0.00	$0.00	$129.99	$0.00
BRISTOL MYERS SQUIBB 65.000 SE		CUSIP: 0000C3UL2	Symbol: BMY 140920C00065000					
	8.000	06/12/14	06/12/14	$762.22	$0.00	$0.00	$762.22	$0.00

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Short Term - Covered Securities (Continued) (Consider Box 3 (Basis Reported to IRS) as being checked for this section These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
CHEVRON CORP		CUSIP: 166764100	Symbol: CVX					
	100.000	09/10/13	08/25/14	$12,781.82	$12,197 70	$0.00	$584.12	$0.00
	300.000	02/03/14	08/25/14	$38,345.45	$33,357.72	$0.00	$4,987.73	$0.00
Security Subtotal	**400.000**			**$51,127.27**	**$45,555.42**	**$0.00**	**$5,571.85**	**$0.00**
DIAGEO PLC SPON ADR N 135.000		CUSIP: 0000A685D	Symbol: DEO	141018C00135000				
	3.000	10/20/14	10/20/14	$227 99	$0.00	$0.00	$227.99	$0.00
DIAGEO PLC SPON ADR N 135.000		CUSIP: 0000C71LE	Symbol: DEO	140719C00135000				
	3.000	07/21/14	07/21/14	$272.99	$0.00	$0.00	$272.99	$0.00
DIAGEO PLC SPON ADR N 140.000		CUSIP: 0000A685F	Symbol: DEO	141018C00140000				
	1.000	10/20/14	10/20/14	$103.57	$0.00	$0.00	$103.57	$0.00
DU PONT EI DE NEMOURS 67.500 J		CUSIP: 0000C71CN	Symbol: DD	140719C00067500				
	6.000	06/09/14	06/09/14	($1,204.99)	$0 00	$0.00	($1,204.99)	$0.00
DU PONT EI DE NEMOURS 75.000 O		CUSIP: 0000A66C4	Symbol: DD	141018C00075000				
	1.000	06/30/14	06/30/14	$59.37	$0.00	$0.00	$59.37	$0.00
	1.000	06/30/14	06/30/14	$66.99	$0.00	$0.00	$66.99	$0.00
	6.000	06/30/14	06/30/14	$257.99	$0.00	$0.00	$257.99	$0 00
Security Subtotal	**8.000**			**$384.35**	**$0.00**	**$0.00**	**$384.35**	**$0.00**

CONTINUED ON NEXT PAGE

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Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section These transactions should be reported on Form 8949 Part I with box A checked)
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EMERSON ELECTRIC CO		CUSIP: 291011104	Symbol: EMR					
	500.000	02/03/14	12/16/14	$29,710.94	$32,168.70	$0.00	($2,457.76)	$0.00
	200.000	03/28/14	12/16/14	$11,884.37	$13,387.24	$0.00	($1,502.87)	$0.00
Security Subtotal	**700.000**			**$41,595.31**	**$45,555.94**	**$0.00**	**($3,960.63)**	**$0.00**
EMERSON ELECTRIC CO 72.500 JUN		CUSIP: 0000D1EB2	Symbol: EMR	140621C00072500				
	5.000	04/30/14	04/30/14	$154.99	$0.00	$0.00	$154.99	$0.00
EMERSON ELECTRIC CO 75.000 JAN		CUSIP: 0000A22UK	Symbol: EMR	150117C00075000				
	.2.000	10/01/14	10/01/14	$103.99	$0.00	$0.00	$103.99	$0.00
EMERSON ELECTRIC CO 75.000 SEP		CUSIP: 0000DW1X2	Symbol: EMR	140920C00075000				
	2.000	06/26/14	06/26/14	$81 99	$0.00	$0.00	$81.99	$0.00
EMERSON ELECTRIC CO 77.500 JAN		CUSIP: 0000C78KN	Symbol: EMR	150117C00077500				
	6.000	10/01/14	10/01/14	$389.99	$0.00	$0.00	$389.99	$0.00
GLAXOSMITHKLINE PLC ADS		CUSIP: 37733W105	Symbol: GSK					
	100.000	09/10/13	01/28/14	$5,322.45	$5,018.51	$0.00	$303.94	$0.00
HEWLETT PACKARD 39.000 JAN C		CUSIP: 0000DM0H5	Symbol: HPQ	150117C00039000				
	14.000	12/05/14	12/05/14	($1,068.92)	$0 00	$0.00	($1,068.92)	$0.00
HONEYWELL INTERNATION 100.000		CUSIP: 0000D10WJ	Symbol: HON	140621C00100000				
	4.000	03/10/14	03/10/14	($280.85)	$0 00	$0.00	($280.85)	$0.00

CONTINUED ON NEXT PAGE

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HONEYWELL INTERNATION 105.000	**CUSIP:** 0000A7P0Z **Symbol:** HON 150117C00105000							
	1 000	12/15/14	12/15/14	$122.99	$0.00	$0.00	$122.99	$0.00
HONEYWELL INTERNATION 110 000	**CUSIP:** 0000C6CB7 **Symbol:** HON 150117C00110000							
	5.000	12/15/14	12/15/14	$674.98	$0.00	$0.00	$674.98	$0.00
HSBC HOLDINGS PLC SPON ADR NEW	**CUSIP:** 404280406 **Symbol:** HSBC							
	100.000	09/10/13	01/21/14	$5,563.52	$5,560.16	$0.00	$3.36	$0.00
INTEL CORP 27.000 JUL C	**CUSIP:** 0000BK3R4 **Symbol:** INTC 140719C00027000							
	14.000	06/09/14	06/09/14	($1,778.01)	$0.00	$0.00	($1,778 01)	$0.00
INTEL CORP 29.000 OCT C	**CUSIP:** 0000D0D5Y **Symbol:** INTC 141018C00029000							
	3.000	07/15/14	07/15/14	($696 01)	$0.00	$0.00	($696.01)	$0.00
INTEL CORP 32.000 JAN C	**CUSIP:** 0000B8TW7 **Symbol:** INTC 150117C00032000							
	14.000	07/16/14	07/16/14	($3,192.02)	$0.00	$0.00	($3,192.02)	$0.00
	3.000	07/16/14	07/16/14	($684.01)	$0.00	$0.00	($684.01)	$0.00
Security Subtotal	**17.000**			**($3,876.03)**	**$0.00**	**$0.00**	**($3,876.03)**	**$0.00**
INTEL CORP 35.000 JAN C	**CUSIP:** 0000B8TW8 **Symbol:** INTC 150117C00035000							
	3.000	11/24/14	11/24/14	($440.41)	$0.00	$0.00	($440.41)	$0.00
INTEL CORP 38 000 JAN C	**CUSIP:** 0000D7LL5 **Symbol:** INTC 150117C00038000							
	17.000	12/24/14	12/24/14	($442 02)	$0.00	$0.00	($442.02)	$0.00

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INTERNATIONAL PAPER C 52.500 J		CUSIP: 0000A431P	Symbol: IP1	150117C00052500				
	1.000	07/09/14	07/09/14	($55.02)	$0.00	$0.00	($55.02)	$0 00
	8.000	07/09/14	07/09/14	($447.54)	$0.00	$0.00	($447.54)	$0.00
Security Subtotal	**9.000**			**($502.56)**	**$0.00**	**$0.00**	**($502.56)**	**$0.00**
INTERNATIONAL PAPER C 52.500 J		CUSIP: 0000C91UF	Symbol: IP	140719C00052500				
	7.000	04/07/14	04/07/14	$517.98	$0.00	$0.00	$517.98	$0.00
INTERNATIONAL PAPER C 52.500 O		CUSIP: 0000A43U6	Symbol: IP1	141018C00052500				
	2.000	07/09/14	07/09/14	($12.01)	$0.00	$0.00	($12.01)	$0.00
INTERNATIONAL PAPER C 55.000 J		CUSIP: 0000C42YZ	Symbol: IP	150117C00055000				
	3.000	11/24/14	11/24/14	($259.24)	$0.00	$0.00	($259.24)	$0.00
	8.000	11/24/14	11/24/14	($698.73)	$0.00	$0.00	($698.73)	$0.00
Security Subtotal	**11.000**			**($957.97)**	**$0.00**	**$0.00**	**($957.97)**	**$0.00**
JOHNSON & JOHNSON 105.000 OCT		CUSIP: 0000B744E	Symbol: JNJ	141018C00105000				
	5.000	09/23/14	09/23/14	($1,385.01)	$0.00	$0.00	($1,385.01)	$0.00
JPMORGAN CHASE & CO 62.500 JUN		CUSIP: 0000C170Y	Symbol: JPM	140621C00062500				
	6.000	03/10/14	03/10/14	($222.01)	$0.00	$0.00	($222.01)	$0.00
JPMORGAN CHASE & CO 65.000 JAN		CUSIP: 0000B2CM6	Symbol: JPM	150117C00065000				
	3.000	12/15/14	12/15/14	$165.17	$0.00	$0.00	$165 17	$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
BUY WRITE
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)
(Continued)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
JPMORGAN CHASE & CO 65.000 JUN	CUSIP: 0000C170Z		Symbol: JPM	140621C00065000				
	1.000	04/24/14	04/24/14	$54.15	$0.00	$0.00	$54.15	$0.00
JPMORGAN CHASE & CO 65 000 SEP	CUSIP: 0000C99N6		Symbol: JPM	140920C00065000				
	6.000	05/19/14	05/19/14	$503.99	$0.00	$0.00	$503.99	$0.00
JPMORGAN CHASE & CO 67 500 SEP	CUSIP: 0000C99N7		Symbol: JPM	140920C00067500				
	2.000	04/24/14	04/24/14	$95.99	$0.00	$0.00	$95.99	$0.00
KRAFT FOODS GROUP INC 57.500 J	CUSIP: 0000D18LP		Symbol: KRFT	140621C00057500				
	7.000	06/09/14	06/09/14	($1,876.01)	$0.00	$0.00	($1,876.01)	$0.00
LOCKHEED MARTIN CORP 165.000 J	CUSIP: 0000D19YG		Symbol: LMT	140621C00165000				
	2.000	06/12/14	06/12/14	$115.99	$0.00	$0.00	$115.99	$0.00
LOCKHEED MARTIN CORP 170.000 S	CUSIP: 0000D06BH		Symbol: LMT	140920C00170000				
	1.000	08/25/14	08/25/14	($542.66)	$0.00	$0.00	($542.66)	$0.00
LOCKHEED MARTIN CORP 180.000 S	CUSIP: 0000D06BK		Symbol: LMT	140920C00180000				
	2.000	08/25/14	08/25/14	$7.99	$0.00	$0.00	$7.99	$0.00
MERCK & CO INC NEW CO 60.000 J	CUSIP: 0000DC0S0		Symbol: MRK	140719C00060000				
	6.000	05/07/14	05/07/14	($144.01)	$0.00	$0.00	($144.01)	$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
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133 RIVER ROAD
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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)
(Continued)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
MERCK & CO INC NEW CO 65.000 J	**CUSIP:** 0000B84LV **Symbol:** MRK 150117C00065000							
	6.000	12/11/14	12/11/14	$401.98	$0.00	$0.00	$401.98	$0.00
	2.000	12/11/14	12/11/14	$103.99	$0.00	$0.00	$103.99	$0.00
Security Subtotal	**8.000**			**$505.97**	**$0.00**	**$0.00**	**$505.97**	**$0.00**
MERCK & CO INC NEW CO 65.000 O	**CUSIP:** 0000B9U4U **Symbol:** MRK 141018C00065000							
	1.000	07/28/14	07/28/14	$52 99	$0.00	$0.00	$52.99	$0.00
MICROSOFT CORP 41.000 JUL C	**CUSIP:** 0000D372C **Symbol:** MSFT 140719C00041000							
	9.000	06/09/14	06/09/14	($234.02)	$0.00	$0.00	($234.02)	$0.00
MICROSOFT CORP 46.000 JAN C	**CUSIP:** 0000D66TT **Symbol:** MSFT 150117C00046000							
	2.000	11/17/14	11/17/14	($638.01)	$0.00	$0.00	($638.01)	$0.00
MICROSOFT CORP 46.000 OCT C	**CUSIP:** 0000D73T9 **Symbol:** MSFT 141018C00046000							
	2.000	06/09/14	06/09/14	$43.99	$0.00	$0.00	$43 99	$0.00
MICROSOFT CORP 47.000 JAN C	**CUSIP:** 0000D38ZG **Symbol:** MSFT 150117C00047000							
	11.000	11/17/14	11/17/14	($2,564 34)	$0.00	$0.00	($2,564.34)	$0.00
MONDELEZ INTL INC COM 36.000 J	**CUSIP:** 0000D2D40 **Symbol:** MDLZ 140621C00036000							
	10.000	05/07/14	05/07/14	($1,840.01)	$0.00	$0.00	($1,840.01)	$0.00
MONDELEZ INTL INC COM 38.000 S	**CUSIP:** 0000D37YE **Symbol:** MDLZ 140920C00038000							
	3.000	05/07/14	05/07/14	($297.01)	$0.00	$0.00	($297.01)	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)
(Continued)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
MONDELEZ INTL INC COM 42.000 J		CUSIP: 0000C255N	Symbol: MDLZ	150117C00042000				
	15.000	12/11/14	12/11/14	$779.97	$0.00	$0 00	$779.97	$0.00
OCCIDENTAL PETROLEUM CORP DE		CUSIP: 674599105	Symbol: OXY					
	500.000	08/25/14	11/28/14	$39,932.26	$51,570.45	$0.00	($11,638.19)	$0.00
PEPSICO INC NC 100.000 JAN C		CUSIP: 0000AT3Q0	Symbol: PEP	150117C00100000				
	4.000	11/24/14	11/24/14	($316.01)	$0.00	$0.00	($316.01)	$0.00
PEPSICO INC NC 87.500 JUL C		CUSIP: 0000DE2V6	Symbol: PEP	140719C00087500				
	4.000	07/14/14	07/14/14	($1,236.01)	$0 00	$0.00	($1,236.01)	$0.00
PEPSICO INC NC 95.000 JAN C		CUSIP: 0000B853S	Symbol: PEP	150117C00095000				
	1.000	11/24/14	11/24/14	($386.01)	$0.00	$0.00	($386.01)	$0.00
	1.000	11/24/14	11/24/14	($392.99)	$0.00	$0.00	($392.99)	$0.00
Security Subtotal	**2.000**			**($779.00)**	**$0.00**	**$0.00**	**($779.00)**	**$0.00**
PHILIP MORRIS INTL IN 85 000 J		CUSIP: 0000D20DK	Symbol: PM	140621C00085000				
	5.000	06/09/14	06/09/14	($1,415.01)	$0.00	$0.00	($1,415.01)	$0.00
PHILIP MORRIS INTL IN 87.500 S		CUSIP: 0000D42CM	Symbol: PM	140920C00087500				
	1.000	06/20/14	06/20/14	($363.01)	$0.00	$0.00	($363.01)	$0.00
QUALCOMM INC 82.500 JUL C		CUSIP: 0000DF3X0	Symbol: QCOM	140719C00082500				
	5.000	06/12/14	06/12/14	$314.99	$0 00	$0.00	$314.99	$0.00

CONTINUED ON NEXT PAGE

IMPORTANT TAX INFORMATION -- PLEASE RETAIN FOR YOUR RECORDS

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
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133 RIVER ROAD
COS COB CT 06807-2539

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section These transactions should be reported on Form 8949 Part I with box A checked)
(Continued)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
QUALCOMM INC 90.000 JAN C	**CUSIP:** 0000C243V **Symbol:** QCOM 150117C00090000							
	6.000	11/06/14	11/06/14	$607.90	$0.00	$0.00	$607.90	$0.00
TUPPERWARE BRANDS COR 85.000 J	**CUSIP:** 0000DR11J **Symbol:** TUP 140719C00085000							
	4.000	07/02/14	07/02/14	$195.99	$0.00	$0.00	$195.99	$0.00
TUPPERWARE BRANDS COR 95.000 O	**CUSIP:** 0000C69NJ **Symbol:** TUP 141018C00095000							
	1.000	07/23/14	07/23/14	$114.99	$0.00	$0.00	$114.99	$0.00
TUPPERWARE BRANDS CORP	**CUSIP:** 899896104 **Symbol:** TUP							
	100.000	09/10/13	07/23/14	$7,636.43	$8,332.37	$0.00	($695.94)	$0.00
	400 000	02/03/14	07/23/14	$30,545.72	$30,211 00	$0.00	$334.72	$0.00
	100.000	03/28/14	07/23/14	$7,636.43	$8,317.52	$0.00	($681.09)	$0.00
Security Subtotal	**600.000**			**$45,818.58**	**$46,860.89**	**$0.00**	**($1,042.31)**	**$0.00**
UNITED PARCEL SERVICE 105.000	**CUSIP:** 0000DSC14 **Symbol:** UPS 140719C00105000							
	4.000	07/21/14	07/21/14	$235.99	$0.00	$0.00	$235 99	$0.00
UNITED PARCEL SERVICE 110.000	**CUSIP:** 0000C7U29 **Symbol:** UPS 141018C00110000							
	1.000	10/20/14	10/20/14	$69 43	$0.00	$0.00	$69.43	$0.00
	4.000	10/20/14	10/20/14	$211.99	$0.00	$0.00	$211.99	$0.00
Security Subtotal	**5.000**			**$281.42**	**$0.00**	**$0.00**	**$281.42**	**$0.00**

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
BUY WRITE
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked)
(Continued)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
VERIZON COMMUNICATIONS	CUSIP: 92343V104	Symbol: VZ						
	800.000	03/05/14	12/18/14	$37,463.73	$37,997.12	$0.00	($533.39)	$0.00
	300.000	03/28/14	12/18/14	$14,048.90	$14,278.86	$0.00	($229.96)	$0.00
Security Subtotal	**1,100.000**			**$51,512.63**	**$52,275.98**	**$0.00**	**($763.35)**	**$0.00**
WALGREEN CO 80.000 OCT C	CUSIP: 0000C8PU9	Symbol: WAG 141018C00080000						
	7.000	06/23/14	06/23/14	($1,204 30)	$0.00	$0.00	($1,204.30)	$0.00
WALGREEN CO 90.000 NOV C	CUSIP: 0000BL74B	Symbol: WAG 141122C00090000						
	7.000	08/06/14	08/06/14	$613.95	$0.00	$0.00	$613.95	$0.00
WILLIAMS CO INC 44.000 MAY C	CUSIP: 0000CPP51	Symbol: WMB 140517C00044000						
	8.000	03/10/14	03/10/14	($376 01)	$0.00	$0.00	($376.01)	$0.00
WILLIAMS CO INC 49.000 NOV C	CUSIP: 0000D81BR	Symbol: WMB 141122C00049000						
	3.000	06/09/14	06/09/14	($309.01)	$0.00	$0.00	($309.01)	$0.00
WILLIAMS CO INC 50.000 AUG C	CUSIP: 0000AUC51	Symbol: WMB 140816C00050000						
	10.000	06/09/14	06/09/14	($252 51)	$0.00	$0.00	($252.51)	$0.00
WILLIAMS CO INC 55.000 JAN C	CUSIP: 0000B1S19	Symbol: WMB 150117C00055000						
	13.000	06/17/14	06/17/14	($5,965.07)	$0.00	$0.00	($5,965.07)	$0.00
WILLIAMS CO INC 65.000 JAN C	CUSIP: 0000A8SE0	Symbol: WMB 150117C00065000						
	13.000	12/05/14	12/05/14	$1,452 06	$0.00	$0.00	$1,452.06	$0.00

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
BUY WRITE
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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Continued) (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
YUM BRANDS INC	CUSIP: 988498101 Symbol: YUM							
	100.000	09/10/13	07/31/14	$6,892.88	$7,131.99	$0.00	($239.11)	$0.00
	500.000	02/03/14	07/31/14	$34,464.39	$32,921.50	$0.00	$1,542.89	$0.00
	100.000	03/28/14	07/31/14	$6,892.87	$7,429.68	$0.00	($536.81)	$0.00
Security Subtotal	**700.000**			**$48,250.14**	**$47,483.17**	**$0.00**	**$766.97**	**$0.00**
YUM BRANDS INC 75.000 JUL C	CUSIP: 0000DUG17 Symbol: YUM 140719C00075000							
	5.000	06/23/14	06/23/14	($2,213.02)	$0.00	$0.00	($2,213.02)	$0.00
YUM BRANDS INC 85.000 OCT C	CUSIP: 0000C9T0Y Symbol: YUM 141018C00085000							
	1.000	07/31/14	07/31/14	$116.55	$0.00	$0.00	$116.55	$0.00
	1.000	07/31/14	07/31/14	$71.55	$0.00	$0.00	$71.55	$0.00
Security Subtotal	**2.000**			**$188.10**	**$0.00**	**$0.00**	**$188.10**	**$0.00**
YUM BRANDS INC 90.000 JAN C	CUSIP: 0000B92LM Symbol: YUM 150117C00090000							
	5.000	07/31/14	07/31/14	$539.98	$0.00	$0.00	$539.98	$0.00
Total Short Term Covered Securities				**$338,608.17**	**$377,798.78**	**$0.00**	**($39,190.61)**	**$0.00**

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS — OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
VERITIV CORP		CUSIP: 923454102		Symbol: VRTV				
	0.021	02/03/14	07/01/14	$0.73	$0.73	$0.00	$0.00	$0.00
	4.000	09/10/13	07/09/14	$137.99	$139.79	$0.00	($1.80)	$0.00
	13.000	02/03/14	07/09/14	$448.46	$454.70	$0.00	($6.24)	$0.00
	4.000	03/28/14	07/09/14	$137.99	$130.06	$0.00	$7.93	$0.00
Security Subtotal	**21.021**			**$725.17**	**$725.28**	**$0.00**	**($0.11)**	**$0.00**
Total Short Term Noncovered Securities				**$725.17**	**$725.28**	**$0.00**	**($0.11)**	**$0.00**
Total Short Term Covered and Noncovered Securities				**$339,333.34**	**$378,524.06**	**$0.00**	**($39,190.72)**	**$0.00**

Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any adjustments resulting from a wash sale or market discount will not be reported to the IRS. The cost basis is provided for informational purposes only and may not reflect required adjustments under the applicable tax regulations. Please consult your tax advisor regarding any adjustments to your original cost basis.

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Long Term - Covered Securities

(Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part II with box D checked)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f))	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ACCENTURE PLC IRELAND CL A	CUSIP: G1151C101	Symbol: ACN						
	100.000	09/10/13	12/22/14	$9,006.57	$7,434.65	$0.00	$1,571.92	$0.00
EMERSON ELECTRIC CO	CUSIP: 291011104	Symbol: EMR						
	100.000	09/10/13	12/16/14	$5,942.19	$6,353.69	$0 00	($411.50)	$0.00
Total Long Term Covered Securities				**$14,948.76**	**$13,788.34**	**$0.00**	**$1,160.42**	**$0.00**
Total Short and Long Term, Covered and Noncovered Securities				**$354,282.10**	**$392,312.40**	**$0.00**	**($38,030.30)**	**$0.00**

Form 1099-B Total Reportable Amounts

- Does not include cost basis or adjustment amounts for noncovered securities

Total IRS Reportable Proceeds (Box 1d)	$354,282.10			
Total IRS Reportable Cost or Other Basis for Covered Securities (Box 1e)		$391,587.12		
Total IRS Reportable Adjustments (Box 1g)			$0.00	
Total Fed Tax Withheld (Box 4)				$0.00

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
133 RIVER ROAD
COS COB CT 06807-2539

Morgan Stanley Smith Barney Holdings LLC
1 New York Plaza
8th Floor
New York, NY 10004
Identification Number: 26-4310632

Taxpayer ID Number: XX-XXX9092

Customer Service: 866-324-6088

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS   OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Covered Securities (Consider Box 3 (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
DANAHER CORP 00000 *21JA22		CUSIP: 235851AF9	Symbol:					
	11,000.000	03/20/14	10/23/14	$24,725.44	$23,980.00	$0.00	$745.44	$0.00
ENERGY XXI BM 5.625 PERP PFD		CUSIP: 29274U309	Symbol: EXIXF					
	83.000	03/27/14	12/22/14	$4,315.90	$22,700 50	$0.00	($18,384.60)	$0.00
FORD MOTOR CO NEW		CUSIP: 345370860	Symbol: F					
	0.401	04/03/14	11/19/14	$6.20	$6.56	$0.00	($0.36)	$0.00
	2,450.000	04/03/14	11/24/14	$38,133.89	$40,051.80	$0.00	($1,917.91)	$0.00
Security Subtotal	**2,450.401**			**$38,140.09**	**$40,058.36**	**$0.00**	**($1,918.27)**	**$0.00**
NAVISTAR INTL 3000 14OC15		CUSIP: 63934EAL2	Symbol:					
	30,000.000	06/20/14	09/25/14	$30,000.00	$30,035.80	$0.00	($35.80)	$0.00
NETSUITE INC 0250 18JN01		CUSIP: 64118QAB3	Symbol:					
	42,000.000	06/12/14	10/20/14	$43,217.16	$42,238.12	$0.00	$979.04	$0.00
	8,000.000	06/13/14	10/20/14	$8,231.84	$8,080.88	$0.00	$150.96	$0.00
Security Subtotal	**50,000.000**			**$51,449.00**	**$50,319.00**	**$0.00**	**$1,130.00**	**$0.00**
WEB.COM GROUP IN 1000 18AU15		CUSIP: 94733AAA2	Symbol:					
	43,000.000	03/27/14	07/30/14	$44,700.26	$49,611.25	$0.00	($4,910.99)	$0.00
Total Short Term Covered Securities				**$193,330.69**	**$216,704.91**	**$0.00**	**($23,374.22)**	**$0.00**

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
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COS COB CT 06807-2539

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New York, NY 10004
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Taxpayer ID Number: XX-XXX9092

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ALLEGHENY TECH INC		CUSIP: 01741R102		Symbol: ATI				
	0.315	03/20/14	05/29/14	$12.92	$13.32	$0.00	($0.40)	$0.00
	1,196.000	03/20/14	06/02/14	$48,591.44	$50,611.68	$0.00	($2,020.24)	$0.00
Security Subtotal	**1,196.315**			**$48,604.36**	**$50,625.00**	**$0.00**	**($2,020.64)**	**$0.00**
ALLIANCE A89W1 CV 4750 14MY15		CUSIP: 018581926		Symbol:				
	17,000.000	03/20/14	05/21/14	$92,010.75	$104,890.00	$0.00	($12,879.25)	$0.00
AMERICAN REALTY C 3000 18AU01		CUSIP: 02917TAA2		Symbol:				
	23,000.000	03/25/14	08/19/14	$23,287.50	$24,517.52	$0.00	($1,230.02)	$0.00
AMG CAP TR II 5150 37OC15		CUSIP: 00170F209		Symbol: AATRL				
	100.000	03/27/14	11/03/14	$6,062.56	$6,340.61	$0.00	($278.05)	$0.00
	280.000	03/27/14	11/04/14	$16,796.72	$17,755.64	$0.00	($958.92)	$0.00
Security Subtotal	**380.000**			**$22,859.28**	$24,096.25	**$0.00**	($1,236 97)	**$0.00**
ARES CAP CORP 5750 16FB01		CUSIP: 04010LAB9		Symbol:				
	61,000.000	03/20/14	05/14/14	$65,812.41	$65,977.51	$0.00	($165.10)	$0.00
BIOMARIN PHARMA 1500 20OC15		CUSIP: 09061GAF8		Symbol:				
	3,000.000	03/20/14	12/23/14	$3,597.36	$3,547.50	$0.00	$49.86	$0.00
	32,000.000	03/20/14	12/30/14	$39,094.98	$37,840.00	$0.00	$1,254.98	$0.00
Security Subtotal	**35,000.000**			**$42,692.34**	**$41,387.50**	**$0.00**	**$1,304.84**	**$0.00**
CHESAPEAKE ENERGY 2750 *35NV15		CUSIP: 165167BW6		Symbol:				
	23,000.000	03/18/14	07/01/14	$24,356.86	$24,463.61	$0.00	($106.75)	$0.00
	32,000.000	03/18/14	10/01/14	$32,120.00	$34,613.86	$0.00	($2,493.86)	$0.00
Security Subtotal	**55,000.000**			**$56,476.86**	$59,077 47	**$0.00**	($2,600.61)	**$0.00**

CONTINUED ON NEXT PAGE

Corporate Tax Statement
Tax Year 2014

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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section These transactions should be reported on Frm 8949 Part I with box B checked.)**(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
CIENA CORP 0875 17JN15		CUSIP: 171779AE1		Symbol:				
	36,000.000	03/18/14	09/29/14	$35,370.00	$37,620.00	$0.00	($2,250.00)	$0.00
	25,000.000	08/08/14	09/29/14	$24,562.50	$24,760.53	$0.00	($198.03)	$0.00
Security Subtotal	**61,000.000**			**$59,932.50**	**$62,380.53**	**$0.00**	**($2,448.03)**	**$0.00**
CONTL AIRLS INC 4500 15JA15		CUSIP: 210795PU8		Symbol:				
	11,000.000	03/27/14	10/20/14	$26,694.73	$25,795.00	$0.00	$899.73	$0.00
	4,000.000	03/27/14	11/24/14	$11,736.65	$9,380.00	$0.00	$2,356.65	$0.00
Security Subtotal	**15,000.000**			**$38,431.38**	**$35,175.00**	**$0.00**	**$3,256.38**	**$0.00**
CUBIST PHARM INC 2500 17NV01		CUSIP: 229678AD9		Symbol:				
	13,000.000	03/18/14	12/09/14	$43,200.92	$35,587.50	$0.00	$7,613.42	$0.00
CUBIST PHRMCTCLS 1875 20SP01		CUSIP: 229678AH0		Symbol:				
	14,000.000	11/25/14	12/18/14	$18,710.97	$16,824.44	$0.00	$1,886.53	$0.00
DFC GLOBAL CORP 3250 17AP15		CUSIP: 23324TAB3		Symbol:				
	27,000.000	03/18/14	04/03/14	$25,920.00	$23,220.00	$0.00	$2,700.00	$0.00
	31,000.000	03/18/14	04/30/14	$29,798.75	$26,660.00	$0.00	$3,138.75	$0.00
Security Subtotal	**58,000.000**			**$55,718.75**	**$49,880.00**	$0.00	$5,838.75	**$0.00**
ELECTRONIC ARTS 0750 16JL15		CUSIP: 285512AA7		Symbol:				
	19,000.000	03/18/14	04/03/14	$21,813.79	$22,705.00	$0.00	($891.21)	$0.00
	31,000.000	03/18/14	04/08/14	$35,582.82	$37,045.00	$0.00	($1,462.18)	$0.00
Security Subtotal	**50,000.000**			**$57,396.61**	**$59,750.00**	**$0.00**	**($2,353.39)**	**$0.00**

CONTINUED ON NEXT PAGE

Morgan Stanley

Corporate Tax Statement
Tax Year 2014

THE GROSSMAN FAMILY FOUNDATION
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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked.) **(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
EQUINIX INC 3000 14OC15		CUSIP: 29444UAG1		Symbol:				
	18,000.000	03/20/14	04/02/14	$28,993.64	$28,822.50	$0.00	$171.14	$0.00
GROUP 1 AUTO 2250 *36JN15		CUSIP: 398905AE9		Symbol:				
	32,000.000	05/06/14	06/16/14	$43,930.53	$41,227.98	$0.00	$2,702.55	$0.00
ISIS PHARMACEUTIC 2750 19OC01		CUSIP: 464337AG9		Symbol:				
	20,000.000	03/27/14	11/11/14	$62,958.00	$52,300.00	$0 00	$10,658.00	$0.00
KB HOME 1375 *19FB01		CUSIP: 48666KAS8		Symbol:				
	18,000.000	03/25/14	05/12/14	$17,505.00	$18,547.56	$0.00	($1,042.56)	$0.00
MEDIVATION INC 2625 17AP01		CUSIP: 58501NAA9		Symbol:				
	16,000.000	03/27/14	10/22/14	$30,878.08	$22,480.00	$0.00	$8,398.08	$0.00
METLIFE INC CV 5.000 10-08-14		CUSIP: 59156R116		Symbol:				
	3,203.000	10/08/14	10/08/14	$80,113 26	$80,075.00	$0 00	$38.26	$0.00
METLIFE INCORPORATED		CUSIP: 59156R108		Symbol: MET				
	1,002.000	10/08/14	10/09/14	$50,744.46	$52,886.90	$0.00	($2,142.44)	$0.00
	0.000		10/29/14	$17.73	$0.00	$0.00	$0.00	$0.00
	98.000	10/08/14	11/06/14	$5,277.22	$5,391.95	$0.00	($114.73)	$0.00
	734.000	10/08/14	11/06/14	$39,525.31	$38,755.35	$0.00	$769.96	$0.00
Security Subtotal	**1,834.000**			**$95,564.72**	**$97,034.20**	**$0.00**	**($1,487.21)**	**$0.00**
MGIC INVEST CORP 2000 20AP01		CUSIP: 552848AE3		Symbol:				
	32,000.000	03/25/14	03/31/14	$45,044.16	$45,040.00	$0.00	$4.16	$0.00

CONTINUED ON NEXT PAGE

Corporate Tax Statement
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1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc. Consider the Net Proceeds box checked in IRS box 6 (Reported to IRS) for all option transactions

Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked.) **(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
MICRON TECHNOLOGY 2375 *32MY01		CUSIP: 595112AW3		Symbol:				
	5,000.000	03/27/14	10/13/14	$14,730.42	$11,925.00	$0.00	$2,805.42	$0.00
MYLAN INC 3750 15SP15		CUSIP: 628530AJ6		Symbol:				
	3,000.000	03/18/14	10/27/14	$11,389.65	$12,202.50	$0.00	($812.85)	$0.00
NOVELLUS SYSTEMS 2625 41MY15		CUSIP: 670008AD3		Symbol:				
	14,000.000	03/27/14	10/15/14	$28,268.80	$24,312.63	$0.00	$3,956 17	$0.00
	31,000.000	03/27/14	10/16/14	$63,132.37	$53,841.08	$0.00	$9,291 29	$0.00
	10,000.000	03/27/14	10/17/14	$20,643.70	$17,370.02	$0.00	$3,273.68	$0.00
Security Subtotal	**55,000.000**			**$112,044.87**	$95,523.73	**$0.00**	$16,521 14	**$0.00**
ON SEMICOND 2625 *26DE15		CUSIP: 682189AH8		Symbol:				
	10,000.000	03/27/14	07/23/14	$11,715.21	$12,122.06	$0.00	($406.85)	$0.00
	7,000.000	03/27/14	07/24/14	$8,156.13	$8,485.12	$0.00	($328.99)	$0.00
Security Subtotal	**17,000.000**			**$19,871.34**	**$20,607.18**	**$0.00**	**($735.84)**	**$0.00**
SALESFORCE.COM 0750 15JA15		CUSIP: 79466LAB0		Symbol:				
	19,000.000	03/18/14	09/18/14	$51,046.92	$52,986.25	$0.00	($1,939.33)	$0.00
	5,000.000	08/07/14	09/18/14	$13,433.40	$12,606.10	$0.00	$827.30	$0.00
Security Subtotal	**24,000.000**			**$64,480.32**	**$65,592.35**	**$0.00**	**($1,112.03)**	**$0.00**
SALIX PHARM 2750 15MY15		CUSIP: 795435AC0		Symbol:				
	13,000.000	03/20/14	09/23/14	$47,292.05	$32,207.50	$0.00	$15,084.55	$0.00
STILLWATER MINING 1750 *32OC15		CUSIP: 86074QAL6		Symbol:				
	31,000.000	03/26/14	06/18/14	$43,418.38	$40,394.38	$0.00	$3,024.00	$0.00

CONTINUED ON NEXT PAGE

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Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked)**(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
SUNPOWER CORP 4500 15MH15		CUSIP: 867652AE9		Symbol:				
	26,000.000	03/20/14	04/17/14	$34,332.61	$41,210.00	$0.00	($6,877.39)	$0.00
TEREX CORP NEW 4000 15JN01		CUSIP: 880779AV5		Symbol:				
	18,000.000	03/20/14	08/04/14	$37,981.82	$46,755.00	$0.00	($8,773.18)	$0.00
UNITED RENTALS 4000 15NV15		CUSIP: 911363AL3		Symbol:				
	5,000.000	03/25/14	06/11/14	$47,889.90	$41,650.00	$0.00	$6,239.90	$0.00
US STEEL CORP 2750 19AP01		CUSIP: 912909AH1		Symbol:				
	23,000.000	03/25/14	08/18/14	$36,669.36	$30,187 50	$0.00	$6,481.86	$0.00
UTD TECH 7500 15AU01		CUSIP: 913017117		Symbol: UTX.A				
	130.000	03/17/14	07/28/14	$7,921.61	$8,489.36	$0.00	($567.75)	$0.00
WESCO INTL CO 6000 *29SP15		CUSIP: 95082PAH8		Symbol:				
	9,000.000	06/19/14	11/21/14	$27,176.76	$29,190 85	$0.00	($2,014 09)	$0.00

CONTINUED ON NEXT PAGE

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Short Term - Noncovered Securities # (Consider Box 5 (Noncovered Security) as being checked and Box 3 (Basis Reported to IRS) as not being checked for this section. These transactions should be reported on Frm 8949 Part I with box B checked) **(Continued)**

DESCRIPTION (Box 1a)	QUANTITY	DATE ACQUIRED (Box 1b)	DATE SOLD (Box 1c)	PROCEEDS (Box 1d)	COST OR OTHER BASIS (Box 1e)	ADJUSTMENTS/CODE (Box 1g)/(Box 1f)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
XILINX INC. 2625 17JN15		CUSIP: 983919AF8		Symbol:				
	68,000.000	03/20/14	06/06/14	$110,063.51	$130,220.00	$0.00	($20,156.49)	$0.00
Total Short Term Noncovered Securities				**$1,645,384.62**	**$1,621,851.31**	**$0.00**	**$23,533.31**	**$0.00**

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
CHARLES SCHWAB	2.	2.	
GOLDMAN SACHS #905-3	290.	290.	
KKR & CO. LP	727.	727.	
KKR FINANCIAL - FLEX FID	837.	837.	
LATEEF: DYNAMIC EQUITY LLC	1.	1.	
MORGAN STANLEY #04-300	19.	19.	
MORGAN STANLEY #42-300	92.	92.	
MORGAN STANLEY #51-300	32.	32.	
MORGAN STANLEY #55-300	18.	18.	
MORGAN STANLEY #57-300	4.	4.	
MORGAN STANLEY #62-300	1.	1.	
MORGAN STANLEY #63-600	6,001.	0.	
MORGAN STANLEY #63-600 - ACCRUED INTEREST PAID	-69.	0.	
MORGAN STANLEY #64-300	6.	6.	
MORGAN STANLEY #66-300	9.	9.	
MORGAN STANLEY #68-300	1.	1.	
MORGAN STANLEY #69-300	7.	7.	
THE BLACKSTONE GROUP, LP	178.	178.	
UBS #134	1.	1.	
UBS #135	2.	2.	
UBS #142	1.	1.	
UBS #280	2.	2.	
UBS #306	1.	1.	
UBS #326	67.	67.	
UBS #690	25.	25.	
TOTAL TO PART I, LINE 3	8,255.	2,323.	

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	(A) REVENUE PER BOOKS	(B) NET INVESTMENT INCOME	(C) ADJUSTED NET INCOME
BLACKROCK PREFERRED PARTNERS LLC	254,474.	0.	254,474.	254,474.	
CHARLES SCHWAB #5990	213,268.	0.	213,268.	213,268.	
KKR & CO. LP	1,245.	0.	1,245.	1,245.	
KKR FINANCIAL - FLEX FID	433.	0.	433.	433.	

LATEEF: DYNAMIC EQUITY LLC	32,936.	0.	32,936.	32,936.
MORGAN STANLEY #42-300	14,836.	0.	14,836.	14,836.
MORGAN STANLEY #51-300	5,333.	120.	5,213.	5,213.
MORGAN STANLEY #51-300	39,688.	0.	39,688.	39,688.
MORGAN STANLEY #55-300	130,555.	0.	130,555.	130,555.
MORGAN STANLEY #57-300	58,675.	0.	58,675.	58,675.
MORGAN STANLEY #63-300	51,308.	0.	51,308.	51,308.
MORGAN STANLEY #63-300	343,487.	0.	343,487.	343,487.
MORGAN STANLEY #63-300 - ACCRUED INTEREST PAID	-99,550.	0.	-99,550.	-99,550.
MORGAN STANLEY #63-300 - AMORTIZATION	-11,439.	0.	-11,439.	-11,439.
MORGAN STANLEY #64-300	16,263.	0.	16,263.	16,263.
MORGAN STANLEY #65-300	90,711.	0.	90,711.	90,711.
MORGAN STANLEY #65-300 - ACCRUED INTEREST PAID	-30,538.	0.	-30,538.	-30,538.
MORGAN STANLEY #65-300 - AMORTIZATION	-1,100.	0.	-1,100.	-1,100.
MORGAN STANLEY #65-300 - OID	4,415.	0.	4,415.	4,415.
MORGAN STANLEY #66-300	46,096.	0.	46,096.	46,096.
MORGAN STANLEY #69-300	32,586.	0.	32,586.	32,586.
MORGAN STANLEY #70-300	8,132.	0.	8,132.	8,132.
MORGAN STANLEY #70-300	50,492.	0.	50,492.	50,492.
MORGAN STANLEY #70-300 - ACCRUED INTEREST PAID	-20,316.	0.	-20,316.	-20,316.
MORGAN STANLEY #70-300 - AMORTIZATION	-4,679.	0.	-4,679.	-4,679.
MORGAN STANLEY #70-300 - OID	13,890.	0.	13,890.	13,890.
PINE GROVE ALTERNATIVE	66,648.	0.	66,648.	66,648.
SKYBRIDGE MULTI-ADVISER	128,294.	71,213.	57,081.	57,081.

THE BLACKSTONE GROUP L.P.	801.	0.	801.	801.	
UBS #134	757,120.	181,411.	575,709.	575,709.	
UBS #135	806,886.	505,973.	300,913.	300,913.	
UBS #142	951,938.	620,852.	331,086.	331,086.	
UBS #161	102,911.	0.	102,911.	102,911.	
UBS #280	484,525.	392,775.	91,750.	91,750.	
UBS #286	729,413.	4,145.	725,268.	695,729.	
UBS #306	150,787.	0.	150,787.	150,787.	
UBS #325	57,507.	0.	57,507.	57,507.	
UBS #326	165,150.	1,752.	163,398.	163,398.	
UBS #326	380,020.	0.	380,020.	380,020.	
UBS #328	8,562.	0.	8,562.	8,562.	
UBS #328	12,901.	0.	12,901.	12,901.	
UBS #466	30,081.	0.	30,081.	30,081.	
UBS #473	39,680.	0.	39,680.	39,680.	
UBS #569	356.	0.	356.	12.	
UBS #570	124,615.	0.	124,615.	124,615.	
UBS #659	88,602.	0.	88,602.	88,602.	
UBS #690	59,555.	394.	59,161.	34,044.	
UBS #712	53,054.	0.	53,054.	53,054.	
UBS #713	11,295.	0.	11,295.	11,295.	
UBS #873	19,891.	2.	19,889.	19,889.	
UBS #920	133,766.	0.	133,766.	133,766.	
TO PART I, LINE 4	6,605,559.	1,778,637.	4,826,922.	4,771,922.	

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
CHARLES SCHWAB #5990	3,555.	0.	
KKR & CO. LP	761.	270.	
KKR FINANCIAL HOLDINGS - FLEX FID	574.	574.	
THE BLACKSTONE GROUP	512.	512.	
UBS #326	5,298.	0.	
UBS #325: OPTION PREMIUMS	1,211,686.	865,090.	
UBS #325	56,875.	56,875.	
UBS #280	34,682.	0.	
CT 990-T REFUND	3,075.	0.	
MORGAN STANLEY #42-300	13,226.	0.	
MORGAN STANLEY #63-300 - OTHER INCOME	822.	822.	
MORGAN STANLEY #63-300 - N/D DISTRIBUTIONS	599.	0.	
MORGAN STANLEY #70-300	7,086.	7,086.	
MORGAN STANLEY #66-300	1,576.	0.	
MORGAN STANLEY #64-300	4,643.	0.	
MORGAN STANLEY #63-300 - HIGHLAND REFUNDS	491.	491.	
	1,345,461.	931,720.	

TOTAL TO FORM 990-PF, PART I, LINE 11

FORM 990-PF LEGAL FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	25,996.	0.		25,996.
TO FM 990-PF, PG 1, LN 16A	25,996.	0.		25,996.

FORM 990-PF ACCOUNTING FEES STATEMENT 5

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
ANDERSEN FEES	20,000.	10,000.		10,000.
TO FORM 990-PF, PG 1, LN 16B	20,000.	10,000.		10,000.

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 6

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT & ACCOUNT MANAGEMENT FEES	298,607.	247,822.		27,499.
TO FORM 990-PF, PG 1, LN 16C	298,607.	247,822.		27,499.

FORM 990-PF TAXES STATEMENT 7

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES PAID	41,825.	41,825.		0.
FEDERAL ESTIMATED PAYMENTS	115,000.	0.		0.
FEDERAL BALANCE DUE	160,647.	0.		0.
FEDERAL EXTENSION PAYMENT	60,000.	0.		0.
STATE TAX PAYMENTS	45,602.	36,348.		0.
PAYROLL TAXES	55.	0.		55.
PAYROLL TAX REFUND	-83.	0.		-83.
TO FORM 990-PF, PG 1, LN 18	423,046.	78,173.		-28.

FORM 990-PF OTHER EXPENSES STATEMENT 8

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BANK CHARGES	321.	0.		321.
COMPUTER RELATED (ACCENT)	2,682.	0.		2,682.
PAYROLL FEES	1,329.	0.		1,329.
INSURANCE	6,728.	0.		6,728.
CHECK SUPPLY FOR GFF CHECKING ACCOUNT	132.	0.		132.
THE BLACKSTONE GROUP LP	60.	60.		0.
LATEEF: DYNAMIC EQUITY LLC	16,907.	16,728.		0.
KKR & CO. LP	1,144.	379.		0.
KKR FINANCIAL HOLDINGS - FLEX FID	66.	66.		0.
TO FORM 990-PF, PG 1, LN 23	29,369.	17,233.		11,192.

FORM 990-PF U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS STATEMENT 9

DESCRIPTION	U.S. GOV'T	OTHER GOV'T	BOOK VALUE	FAIR MARKET VALUE
MORGAN STANLEY #063 - SEE ATTACHED		X	0.	0.
CONNECTICUT ST GENL OBLIG SER-A		X	199,650.	201,528.
TOTAL U.S. GOVERNMENT OBLIGATIONS				
TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS			199,650.	201,528.
TOTAL TO FORM 990-PF, PART II, LINE 10A			199,650.	201,528.

FORM 990-PF CORPORATE STOCK STATEMENT 10

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
UBS #326 - SEE ATTACHED	5,509,835.	6,477,574.
VIRTUS EMERGING MARKETS OPPORTUNITIES FD	188.	203.
RBB BOSTON LONG SHORT EQUITY FUND INSTITUTIONAL	4,245,665.	4,129,498.
INVESCO MORTGAGE CAPITAL	600,000.	463,800.
EATON VANCE INCOME FUND	0.	0.
I SHARES MORTGAGE REAL - REM	202,392.	196,634.
DOUBLE LINE TOTAL RETURN FUND	0.	0.
OAKMARK INT'L FUND	5,519,206.	5,150,730.
SUN AMERICA FOCUSED DIVIDEND STRATEGY	4,500,005.	4,671,922.
THORNBURG INCOME BUILDER	3,000,000.	3,301,016.
THORNBURG INT'L GROWTH FUND	5,000,016.	4,492,936.
HENDERSON GLOBAL EQUITY INCOME	3,560,011.	3,395,781.
ING SENIOR INCOME	4,200,005.	4,054,839.
LORD ABBETT SHT DURATION	1,000,000.	979,142.
PRUDENTIAL HI YLD	0.	0.
MORGAN STANLEY #851 - SEE ATTACHED	1,429,097.	1,631,648.
OAKMARK INT'L	0.	0.
OAKMARK GLOBAL SELECT FUND	0.	0.
MORGAN STANLEY #063 - SEE ATTACHED	364,704.	363,668.
GOLDMAN SACHS HIGH YIELD INSTITUTIONAL	0.	0.
GOLDMAN SACHS LCL EMERGING DB I	0.	0.
WELLS FARGO ADVANTAGE ULTRA SHORT MUNI INCOME FUND	662,990.	662,270.
INVESCO DIVERSIFIED DIVIDEND FUND	3,915,822.	4,453,670.
YACKTMAN FOCUSED INSTITUTIONAL FUND	4,500,075.	4,776,866.
INTERNATIONAL PAPER CO	33,992.	40,185.
MS #1065 (SEE ATTACHED)	43,527.	44,556.
MS #3870 (SEE ATTACHED)	148,024.	150,074.
OPPENHEIMER EQUITY INCOME FUND CL A	1,000,005.	1,066,069.
PACKAGING CORP OF AMERICA	43,360.	58,538.

ROCK-TENN COMPANY CL A	213,814.	282,337.
SANDALWOOD OPPORTUNITY FUND	2,000,000.	1,858,439.
WELLS FARGO ADVANTAGE ABSOLUTE RETURN FUND	2,280,000.	2,158,639.
TOTAL TO FORM 990-PF, PART II, LINE 10B	53,972,733.	54,861,034.

FORM 990-PF CORPORATE BONDS STATEMENT 11

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
DOUBLE LINE TOTAL RETURN FUND	4,457,356.	4,452,249.
LOOMIS SAYLES STRATEGIC INCOME FUND	7,226,451.	8,217,876.
TCW EMERGING MARKETS INCOME FUND	6,190,616.	5,756,476.
TCW TOTAL RETURN BOND FUND	2,468,467.	2,580,752.
UBS #325 - SEE ATTACHED	15,750,000.	13,985,425.
UBS #328 - SEE ATTACHED	0.	0.
EATON VANCE FLOATING RATE ADVANTAGED FUND	1,082,698.	1,047,740.
PUTNAM DIVERSIFIED INCOME FUND	3,000,005.	2,910,756.
EATON VANCE BOND FUND	9,250,081.	9,143,552.
T.ROWE PRICE HIGH YIELD	0.	0.
MORGAN STANLEY #063 - SEE ATTACHED	6,049,645.	5,709,840.
MORGAN STANLEY #065 - SEE ATTACHED	3,035,084.	3,013,811.
E V INCOME FUND OF BOSTON I	6,254,135.	6,228,126.
MS #3870 (SEE ATTACHED)	3,100,633.	3,143,508.
MAINSTAY HIGH YIELD MUNI BOND FUND	2,938,985.	2,991,068.
VIRTUS MULTI-SECTOR SHORT TERM BOND FUND	1,370,710.	1,342,506.
TOTAL TO FORM 990-PF, PART II, LINE 10C	72,174,866.	70,523,685.

FORM 990-PF OTHER INVESTMENTS STATEMENT 12

DESCRIPTION	VALUATION METHOD	BOOK VALUE	FAIR MARKET VALUE
GS HEDGE FUND OPPORTUNITIES	COST	0.	0.
JERICHO CAPITAL INTERNATIONAL LTD.	COST	2,500,000.	4,695,874.
LATEEF: DYNAMIC EQUITY SERIES LLC	COST	2,369,825.	3,036,410.
BLACKROCK PREFERRED PARTNERS	COST	5,409,386.	5,218,248.
MAINSTAY MARKETFIELD FUND	COST	0.	0.
SKYBRIDGE MULTI-ADSR	COST	7,306,020.	7,384,520.
TOUCHSTONE MERGER ARBITRAGE	COST	0.	0.
PINE GROVE ALTERNATIVE INSTITUTIONAL FUND	COST	3,631,648.	3,507,725.
TOTAL TO FORM 990-PF, PART II, LINE 13		21,216,879.	23,842,777.

STOCKS

PREFERRED STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
BANK AMER 7.2500 SERS L (BAC L)	3/17/14	35.000	$1,182.470	$41,386 44	$40,748.75	$(637.69) ST	$2,538.00	6.22
Share Price: $1,164 250, Convertible, Moody BA3 S&P BB; Next Dividend Payable 01/30/15								
WELLS FARGO 7 5 NON-CUM CL A (WFC.L)	3/17/14	90 000	1,184 866	106,637 97	109,325.70	2,687.73 ST	6,750 00	6 17
Share Price $1,214.730; Convertible; Moody BAA3 S&P BBB; Next Dividend Payable 03/2015								

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
STOCKS	4 4%	$148,024.41	$150,074.45	$2,050 04 ST	$9,288.00 $0 00	6.19%

CORPORATE FIXED INCOME

CORPORATE BONDS

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
CONTINENTAL AIRLINES INC	3/27/14	5,000 000	$234.500	$11,725 00				
CUSIP 210795PU8			$234.500	$11,725 00	$17,515.65	$5,790 65 ST		
	6/12/14	8,000 000	224 820	17,985 60				
			224.820	17,985 60	28,025.04	10,039 44 ST		
	Total	13,000 000		29,710 60			293.00	0.64
				29,710 60	45,540.69	15,830 09 ST	269.74	
Unit Price $350 313; Coupon Rate 4 500%, Matures 01/15/2015, Int Semi-Annually Jan/Jul 15, Convertible, Moody B3 S&P B; Issued 12/11/09								
PROLOGIS INC	9/25/14	26,000.000	105 125	27,332 50			423 00	1.46
CUSIP 74340XAT8			105.125	27,332 50	28,892.50	1,560 00 ST	248.80	
Unit Price. $111 125, Coupon Rate 3 250%; Matures 03/15/2015, Int Semi-Annually Mar/Sep 15, Convertible; S&P BBB+; Issued 03/15/11								
SUNPOWER CORPORATION	3/20/14	31,000 000	158 500	49,135.00			698.00	1.92
CUSIP 867652AE9			158 500	49,135 00	36,173.28	(12,961.72) ST	410 74	
Unit Price $116 688; Coupon Rate 4.500%; Matures 03/15/2015, Int Semi-Annually Mar/Sep 15, Convertible; Issued 04/01/10								
MGM RESORTS INTERNATIONAL	4/14/14	31,000 000	136 172	42,213 32			659.00	1 80
CUSIP 55303QAE0			136 172	42,213 32	36,580 00	(5,633 32) ST	278.13	
Unit Price: $118 000, Coupon Rate 4 250%, Matures 04/15/2015, Int Semi-Annually Apr/Oct 15, Convertible; Moody B3 S&P B+, Issued 04/20/10								
SALIX PHARMACEUTICALS	3/20/14	4,000 000	247.750	9,910 00				
CUSIP 795435AC0			247.750	9,910 00	9,892 52	(17 48) ST		
	4/24/14	14,000 000	240.106	33,614 85				
			240 106	33,614.85	34,623 82	1,008 97 ST		
	11/5/14	6,000 000	303.691	18,221.44				
			303.691	18,221 44	14,838.78	(3,382 66) ST		

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
	Total	24,000.000		61,746.29			330 00	0.55
				61,746.29	59,355 12	(2,391.17) ST	84.33	
Unit Price: $247 313; Coupon Rate 2 750%, Matures 05/15/2015, Int Semi-Annually May/Nov 15; Convertible, Issued 06/03/10								
MYLAN INC	3/18/14	29,000.000	406 750	117,957.50			1,088 00	0 88
CUSIP 628530AJ6			406 750	117,957 50	122,561 25	4,603 75 ST	320.20	
Unit Price: $422 625, Coupon Rate 3 750%, Matures 09/15/2015, Int Semi-Annually Mar/Sep 15, Convertible, S&P BBB-; Issued 09/15/08								
GILEAD SCIENCES, INC	4/14/14	31,000 000	294 500	91,295 00				
CUSIP 375558AP8			294 500	91,295 00	128,301 25	37,006.25 ST		
	11/25/14	3,000.000	440 187	13,205 60				
			440.187	13,205 60	12,416 25	(789 35) ST		
	Total	34,000 000		104,500 60			553 00	0.39
				104,500 60	140,717 50	36,216.90 ST	92 08	
Unit Price· $413 875; Coupon Rate 1 625%; Matures 05/01/2016, Int. Semi-Annually May/Nov 01; Convertible; S&P A-; Issued 07/30/10								
LAM RESEARCH CORPORATION	10/15/14	32,000.000	121 072	38,743 04				
CUSIP 512807AJ7			121 072	38,743.04	42,000 00	3,256.96 ST		
	10/16/14	42,000 000	121.602	51,072.84				
			121 602	51,072 84	55,125 00	4,052 16 ST		
	10/17/14	20,000 000	123.000	24,600 00				
			123.000	24,600 00	26,250 00	1,650 00 ST		
	Total	94,000.000		114,415 88			470.00	0 38
				114,415 88	123,375 00	8,959 12 ST	60.05	
Unit Price $131 250, Coupon Rate 0.500%; Matures 05/15/2016, Int Semi-Annually May/Nov 15, Convertible, Moody BAA1 S&P BBB, Issued 05/11/11								
REGENERON PHARMACEUTICALS INC	10/7/14	7,000 000	421 251	29,487 58			131.00	0 38
CUSIP 75886FAD9			421 251	29,487 58	34,107.50	4,619 92 ST	32 81	
Unit Price. $487.250; Coupon Rate 1 875%, Matures 10/01/2016, Int. Semi-Annually Apr/Oct 01, Convertible; Issued 10/21/11								
ARES CAPITAL CORPORATION	5/14/14	91,000.000	108.376	98,622.25			4,436.00	4 73
CUSIP 04010LAG8			108 376	98,622 25	93,616.25	(5,006.00) ST	1,306 22	
Unit Price. $102.875; Coupon Rate 4.875%, Matures 03/15/2017, Int. Semi-Annually Mar/Sep 15, Yield to Maturity 3 507%, Convertible, S&P BBB; Issued 03/14/12								
MEDIVATION INC	3/27/14	18,000.000	140 500	25,290 00			473.00	1.35
CUSIP 58501NAA9			140.500	25,290.00	34,908 84	9,618.84 ST	118.12	
Unit Price: $193 938; Coupon Rate 2 625%, Matures 04/01/2017, Int Semi-Annually Apr/Oct 01, Convertible, Issued 03/19/12								
MGIC INVESTMENT CORP	3/31/14	31,000.000	115.296	35,741 76				
CUSIP 552848AD5			115.296	35,741.76	34,662.03	(1,079 73) ST		
	10/15/14	16,000 000	107 690	17,230 46				
			107.690	17,230 46	17,890 08	659 62 ST		
	12/10/14	14,000 000	112 506	15,750 83				
			112.506	15,750.83	15,653.82	(97 01) ST		

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
	Total	61,000 000		68,723 05			3,050 00	4.47
				68,723 05	68,205 93	(517 12) ST	508.33	
Unit Price $111.813, Coupon Rate 5.000%; Matures 05/01/2017; Int. Semi-Annually May/Nov 01; Convertible, S&P B+u, Issued 04/26/10								
XILINX INC	10/7/14	12,000 000	143 875	17,265 00			315 00	1.74
CUSIP 983919AF8			143.875	17,265 00	18,060.00	795.00 ST	13 99	
Unit Price: $150 500, Coupon Rate 2 625%; Matures 06/15/2017; Int. Semi-Annually Jun/Dec 15, Convertible; S&P A-u, Issued 06/09/10								
NEWMONT MINING CORP	3/25/14	32,000 000	107 750	34,480.00			520.00	1 59
CUSIP 651639AJ5			107 750	34,480 00	32,500.16	(1,979 84) ST	239.77	
Unit Price. $101 563, Coupon Rate 1.625%, Matures 07/15/2017, Int Semi-Annually Jan/Jul 15, Yield to Maturity 1.000%; Convertible, S&P BBB, Issued 07/17/07								
PRICELINE COM INCORPORATED	3/27/14	64,000 000	141 000	90,240 00				
CUSIP 741503AQ9			141.000	90,240.00	85,040.00	(5,200 00) ST		
	6/10/14	14,000.000	145 137	20,319 21				
			145 137	20,319.21	18,602.50	(1,716.71) ST		
	Total	78,000 000		110,559.21			780.00	0 75
				110,559.21	103,642.50	(6,916.71) ST	229 66	
Unit Price. $132 875, Coupon Rate 1.000%, Matures 03/15/2018, Int Semi-Annually Mar/Sep 15, Convertible; S&P BBB+; Issued 03/12/12								
SALESFORCE.COM INC	9/16/14	56,000 000	112 259	62,865 21				
CUSIP 79466LAD6			112.259	62,865.21	63,805.28	940 07 ST		
	9/18/14	37,000.000	112.549	41,642 98				
			112.549	41,642 98	42,157 06	514 08 ST		
	Total	93,000 000		104,508 19			233.00	0 21
				104,508 19	105,962 34	1,454 15 ST	58 12	
Unit Price· $113 938, Coupon Rate 0.250%, Matures 04/01/2018, Int. Semi-Annually Apr/Oct 01; Convertible; Issued 03/18/13								
JANUS CAPITAL GROUP INC	9/29/14	28,000 000	142 152	39,802 64			210 00	0.49
CUSIP 47102XAH8			142 152	39,802 64	42,472.64	2,670 00 ST	96 83	
Unit Price· $151.688, Coupon Rate 0 750%; Matures 07/15/2018, Int Semi-Annually Jan/Jul 15, Convertible, Moody BAA3 S&P BBB-; Issued 06/19/13								
CHART INDUSTRIES INC	3/27/14	37,000.000	131.000	48,470 00				
CUSIP 16115QAC4			131 000	48,470.00	35,404 56	(13,065 44) ST		
	5/14/14	27,000.000	130 092	35,124.89				
			130 092	35,124.89	25,835.76	(9,289.13) ST		
	Total	64,000 000		83,594.89			1,280 00	2.09
				83,594 89	61,240 32	(22,354 57) ST	533 33	
Unit Price $95 688, Coupon Rate 2 000%, Matures 08/01/2018, Int. Semi-Annually Feb/Aug 01, Yield to Maturity 3 285%, Convertible; S&P BB-, Issued 08/03/11								
RAMBUS INC	12/10/14	21,000.000	117 987	24,777 29			236 00	0.99
CUSIP 750917AE6			117.987	24,777 29	23,743.23	(1,034 06) ST	89.25	
Unit Price $113 063, Coupon Rate 1 125%; Matures 08/15/2018; Int Semi-Annually Feb/Aug 15, Convertible, Issued 08/16/13								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
JARDEN CORP	3/25/14	30,000 000	138 469	41,540.55			563.00	1.19
CUSIP 471109AH1			138.469	41,540.55	47,043.90	5,503 35 ST	165.62	
Unit Price. $156 813; Coupon Rate 1 875%, Matures 09/15/2018, Int. Semi-Annually Mar/Sep 15, Convertible, Moody B1 S&P BB-, Issued 09/18/12								
INVENSENSE INC	12/12/14	18,000 000	98 539	17,737 02			315.00	1 75
CUSIP 46123DAB2			98 539	17,737 02	17,898 84	161 82 ST	52.50	
Unit Price $99.438, Coupon Rate 1.750%, Matures 11/01/2018, Int Semi-Annually May/Nov 01; Yield to Maturity 1.903%, Convertible; Issued 11/13/13								
SERVICENOW INC	11/17/14	30,000.000	111.833	33,549 90				
CUSIP 81762PAB8			111 833	33,549 90	34,125.00	575.10 ST		
	11/25/14	17,000 000	109 633	18,637 61				
			109 633	18,637 61	19,337 50	699.89 ST		
	Total	47,000.000		52,187 51			—	—
				52,187.51	53,462 50	1,274 99 ST	—	
Unit Price. $113 750; Zero Coupon, Matures 11/01/2018, Convertible, Issued 11/13/13								
AIR LEASE CORP	3/20/14	33,000 000	153.750	50,737.50			1,279.00	2 83
CUSIP 00912XAK0			153 750	50,737 50	45,086.25	(5,651 25) ST	106 56	
Unit Price $136 625; Coupon Rate 3.875%; Matures 12/01/2018, Int Semi-Annually Jun/Dec 01; Convertible, Issued 11/21/11								
YAHOO INC	12/22/14	30,000 000	114 282	34,284.60			—	—
CUSIP 984332AF3			114.282	34,284 60	33,937.50	(347 10) ST	—	
Unit Price· $113 125; Zero Coupon, Matures 12/01/2018; Convertible, S&P BB+u, Issued 11/26/13								
ENERGY XXI BERMUDA LIMITED	12/17/14	18,000.000	28 775	5,179 50				
CUSIP 29274UAB7			28 775	5,179.50	5,265 00	85.50 ST		
	12/18/14	7,000 000	28 250	1,977.50				
			28 250	1,977.50	2,047.50	70 00 ST		
	12/22/14	20,000.000	29.000	5,800 00				
			29 000	5,800 00	5,850.00	50 00 ST		
	12/23/14	2,000 000	29 000	580 00				
			29 000	580 00	585 00	5 00 ST		
	Total	47,000 000		13,537 00			1,410.00	10 25
				13,537 00	13,747 50	210 50 ST	62 66	
Unit Price. $29 250, Coupon Rate 3.000%; Matures 12/15/2018; Int Semi-Annually Jun/Dec 15; Convertible, S&P B-, Issued 11/22/13								
US STEEL CORP	3/25/14	32,000 000	131 250	42,000 00			880.00	2.21
CUSIP 912909AH1			131.250	42,000 00	39,760 00	(2,240 00) ST	220 00	
Unit Price $124 250; Coupon Rate 2 750%; Matures 04/01/2019, Int Semi-Annually Apr/Oct 01; Convertible, Moody B1 S&P BB-; Issued 03/26/13								
MACQUARIE INFRASTRUCTURE	9/30/14	37,000.000	111 500	41,255 00			1,064.00	2 53
CUSIP 55608BAA3			111.500	41,255.00	42,041 25	786.25 ST	490.50	
Unit Price $113 625, Coupon Rate 2.875%, Matures 07/15/2019, Int Semi-Annually Jan/Jul 15, First Coupon 01/15/15; Convertible; S&P BBB-, Issued 07/15/14								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
HORNBECK OFFSHORE SERVICES INC	6/9/14	31,000 000	122.258	37,900 01			465 00	1.80
CUSIP 440543AN6			122.258	37,900 01	25,768 75	(12,131 26) ST	154 99	
Unit Price· $83 125, Coupon Rate 1 500%, Matures 09/01/2019; Int Semi-Annually Mar/Sep 01; Yield to Maturity 5 665%, Convertible; S&P BB-, Issued 08/13/12								
RTI INTERNATIONAL METALS INC	3/20/14	40,000 000	96.750	38,700.00				
CUSIP 74973WAB3			96 750	38,700 00	38,875 20	175.20 ST		
	3/26/14	2,000 000	97 207	1,944.14				
			97 207	1,944 14	1,943 76	(0 38) ST		
	10/15/14	15,000.000	93 322	13,998 30				
			93.322	13,998 30	14,578 20	579 90 ST		
	11/14/14	5,000 000	95 980	4,798 98				
			95 979	4,798.97	4,859.40	60 43 ST		
	Total	62,000 000		59,441 42			1,008 00	1 67
				59,441.41	60,256.56	815 15 ST	212.69	
Unit Price: $97.188; Coupon Rate 1 625%, Matures 10/15/2019, Int Semi-Annually Apr/Oct 15, Yield to Maturity 2 247%, Convertible, Issued 04/17/13								
COBALT INTL ENERGY INC	8/5/14	29,000 000	84 982	24,644.90				
CUSIP 19075FAA4			84 982	24,644 90	17,508 75	(7,136.15) ST		
	9/9/14	31,000 000	86 782	26,902 27				
			86 782	26,902 27	18,716.25	(8,186.02) ST		
	Total	60,000 000		51,547 17			1,575 00	4 34
				51,547 17	36,225 00	(15,322 17) ST	131 24	
Unit Price $60 375, Coupon Rate 2 625%, Matures 12/01/2019; Int Semi-Annually Jun/Dec 01; Yield to Maturity 14.055%, Convertible, S&P CCC-u, Issued 12/17/12								
MGIC INVESTMENT CORP	5/7/14	10,000 000	140 750	14,075 00				
CUSIP 552848AE3			140 750	14,075 00	14,631.30	556 30 ST		
	5/8/14	13,000 000	146 844	19,089 67				
			146 844	19,089 67	19,020.69	(68.98) ST		
	Total	23,000.000		33,164 67			460.00	1 36
				33,164 67	33,651.99	487 32 ST	115 00	
Unit Price $146 313; Coupon Rate 2 000%; Matures 04/01/2020, Int Semi-Annually Apr/Oct 01, Convertible, S&P B+u; Issued 03/12/13								
WORKDAY INC	7/28/14	30,000.000	123 878	37,163 31				
CUSIP 98138HAD3			123 878	37,163 31	36,543 90	(619.41) ST		
	8/13/14	13,000 000	128 886	16,755 18				
			128.886	16,755 18	15,835.69	(919.49) ST		
	8/14/14	10,000 000	129 371	12,937 10				
			129 371	12,937 10	12,181 30	(755 80) ST		
	Total	53,000 000		66,855 59			795.00	1.23
				66,855 59	64,560 89	(2,294.70) ST	366 58	
Unit Price $121 813; Coupon Rate 1.500%, Matures 07/15/2020, Int. Semi-Annually Jan/Jul 15, Convertible, Issued 06/17/13								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
PORTFOLIO RECOVERY ASSOC	10/17/14	37,000 000	117 946	43,640.06				
CUSIP 73640QAB1			117 946	43,640 06	41,463 31	(2,176.75) ST		
	12/8/14	9,000 000	112 702	10,143.22				
			112.702	10,143 21	10,085.67	(57.54) ST		
	Total	46,000.000		53,783.28			1,380 00	2.67
				53,783 27	51,548 98	(2,234.29) ST	575.00	
Unit Price: $112 063, Coupon Rate 3 000%, Matures 08/01/2020, Int Semi-Annually Feb/Aug 01; Yield to Maturity 787%, Convertible, Issued 08/13/13								
CB SANDISK CORP	11/12/14	44,000 000	116 595	51,301.80			220 00	0 41
CUSIP 80004CAF8			116 595	51,301.80	52,855.00	1,553 20 ST	46 44	
Unit Price: $120 125; Coupon Rate 0.500%; Matures 10/15/2020; Int. Semi-Annually Apr/Oct 15, Convertible, S&P BB+; Issued 10/29/13								
DANAHER CORP	3/20/14	2,000 000	218 000	4,360 00				
CUSIP 235851AF9			218 000	4,360 00	4,975 00	615.00 ST		
	3/26/14	10,000 000	217.115	21,711 49				
			217 115	21,711.49	24,875.00	3,163 51 ST		
	Total	12,000 000		26,071.49			—	—
				26,071 49	29,850 00	3,778 51 ST	—	
Unit Price: $248.750; Zero Coupon, Matures 01/22/2021, Callable $84 76 on 01/15/15, Convertible, Moody A2 S&P A+, Issued 03/16/01								
TESLA MOTORS INC	3/27/14	63,000 000	90.800	57,204 00				
CUSIP 88160RAC5			90 800	57,204.00	56,818 44	(385 56) ST		
	6/30/14	20,000 000	97 395	19,478 92				
			97.395	19,478 91	18,037 60	(1,441 31) ST		
	7/1/14	8,000 000	97 214	7,777.09				
			97 214	7,777.09	7,215.04	(562 05) ST		
	8/7/14	9,000.000	99 180	8,926 20				
			99 180	8,926.20	8,116 92	(809 28) ST		
	Total	100,000.000		93,386.21			1,250 00	1 38
				93,386 20	90,188.00	(3,198 20) ST	416 66	
Unit Price $90 188, Coupon Rate 1 250%; Matures 03/01/2021, Int Semi-Annually Mar/Sep 01, Yield to Maturity 3 005%, Convertible, S&P B-u; Issued 03/05/14								
JEFFERIES GROUP	3/25/14	18,000 000	107.500	19,350 00			698 00	3 75
CUSIP 472319AG7			112.300	20,213 95	18,596.34	(1,617.61) ST	116.25	
Unit Price $103 313, Coupon Rate 3 875%, Matures 11/01/2029, Int Semi-Annually May/Nov 01; Callable $100 00 on 11/01/17, Yield to Call 2.652%; Convertible, Moody BAA3 S&P BBB-, Issued 10/26/09								
MICRON TECHNOLOGY INC	3/27/14	32,000.000	238 500	76,320 00			760.00	0 65
CUSIP 595112AW3			238 500	76,320 00	116,600 00	40,280 00 ST	126.66	
Unit Price $364 375, Coupon Rate 2.375%, Matures 05/01/2032, Int Semi-Annually May/Nov 01, Callable $100 00 on 05/04/19; Convertible, S&P BB, Issued 04/18/12								

Account Detail

Fiduciary Services Active Assets Account [redacted] 870 300
THE GROSSMAN FAMILY FOUNDATION
133 RIVER ROAD
Nickname OPPORTUNISTIC

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
TOLL BROTHERS FINANCE CORP	8/27/14	7,000 000	104 761	7,333.28				
CUSIP 88947EAM2			106 796	7,475.70	7,140.00	(335.70) ST		
	9/3/14	27,000.000	104.500	28,215.00				
			106 435	28,737 35	27,540.00	(1,197.35) ST		
	Total	34,000.000		35,548 28			170.00	0.49
				36,213.05	34,680.00	(1,533.05) ST	50 05	
Unit Price $102 000, Coupon Rate 0 500%; Matures 09/15/2032, Int Semi-Annually Mar/Sep 15, Callable $100.00 on 09/15/17, Convertible; Moody BA1 S&P BB+, Issued 09/11/12								
GOODRICH PETROLEUM CORPORATION	3/27/14	29,000 000	104 500	30,305.00			1,450.00	9 53
CUSIP 382410AG3			104.500	30,305 00	15,207.02	(15,097.98) ST	362.50	
Unit Price: $52.438, Coupon Rate 5.000%, Matures 10/01/2032; Int. Semi-Annually Apr/Oct 01; Callable $100 00 on 10/01/16; Yield to Maturity 11 240%; Convertible, Issued 08/26/13								
FLUIDIGM CORP	3/18/14	24,000.000	120 625	28,950.00				
CUSIP 34385PAA6			120 625	28,950.00	21,690.00	(7,260 00) ST		
	7/31/14	23,000.000	93.341	21,468 43				
			93 341	21,468 43	20,786 25	(682.18) ST		
	8/5/14	8,000 000	94 515	7,561.20				
			94 515	7,561.20	7,230.00	(331 20) ST		
	Total	55,000.000		57,979 63			1,513 00	3 04
				57,979.63	49,706 25	(8,273 38) ST	630.20	
Unit Price. $90 375, Coupon Rate 2 750%, Matures 02/01/2034; Int. Semi-Annually Feb/Aug 01, Yield to Maturity 3.442%; Convertible, Issued 02/04/14								
CHESAPEAKE ENERGY	3/18/14	66,000.000	101 875	67,237 50				
CUSIP 165167BZ9			107.132	70,707 08	64,102.50	(6,604.58) ST		
	11/13/14	27,000 000	99 500	26,865 00				
			100 335	27,090.50	26,223.75	(866.75) ST		
	12/16/14	13,000 000	95 926	12,470 41				
			96 076	12,489 87	12,626.25	136 38 ST		
	Total	106,000.000		106,572.91			2,650 00	2 57
				110,287 45	102,952 50	(7,334.95) ST	338.61	
Unit Price $97.125, Coupon Rate 2 500%, Matures 05/15/2037; Int Semi-Annually May/Nov 15, Callable $100.00 on 05/15/17, Yield to Maturity 2.672%; Convertible, Moody BA1 S&P BB+, Issued 05/15/07								
MICROCHIP TECHNOLOGY INC	3/31/14	18,000.000	185 659	33,418 60			383.00	1.19
CUSIP 595017AB0			194 889	35,080 05	32,107 50	(2,972 55) ST	16 99	
Unit Price. $178 375; Coupon Rate 2 125%, Matures 12/15/2037, Int. Semi-Annually Jun/Dec 15, Convertible; Issued 12/07/07								
INTEL CORPORATION	3/25/14	92,000 000	139.350	128,202.00			2,990.00	1.86
CUSIP 458140AF7			143.553	132,068.57	159,965 00	27,896.43 ST	1,245.83	
Unit Price. $173 875, Coupon Rate 3 250%; Matures 08/01/2039; Int. Semi-Annually Feb/Aug 01, Convertible, Moody A2 S&P A-; Issued 07/27/09								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
DEVELOPERS DIVERSIFIED REALTY	3/18/14	18,000 000	117.063	21,071 25			315.00	1.41
CORPORATION			117.063	21,071 25	22,286 34	1,215 09 ST	40.25	
CUSIP 251591AX1								
Unit Price: $123 813, Coupon Rate 1 750%, Matures 11/15/2040; Int Semi-Annually May/Nov 15; Callable $100.00 on 11/20/15; Yield to Call 005%; Convertible; Issued 11/05/10								
PEABODY ENERGY CO CONVERT JR SUB -	4/11/14	31,000.000	80 625	24,993 75				
DEBENTURES			80 625	24,993 75	16,275 00	(8,718 75) ST		
CUSIP 704549AG9	4/24/14	33,000 000	78 500	25,905 00				
			78 500	25,905 00	17,325 00	(8,580 00) ST		
	Total	64,000 000		50,898.75			3,040.00	9 04
				50,898.75	33,600.00	(17,298 75) ST	135 11	
Unit Price: $52 500, Coupon Rate 4.750%; Matures 12/15/2041; Int. Semi-Annually Jun/Dec 15, Callable $100 00 on 12/20/36; Yield to Maturity 9.777%; Convertible; Moody B2 S&P B-, Issued 12/20/06								
WELLPOINT INC	3/25/14	33,000 000	148 750	49,087 50			908.00	1 59
CUSIP 94973VBG1			150.710	49,734.23	56,801 25	7,067 02 ST	191.58	
Unit Price $172 125; Coupon Rate 2 750%, Matures 10/15/2042, Int. Semi-Annually Apr/Oct 15, Convertible, S&P A-; Issued 10/09/12								
OMNICARE INC	5/19/14	30,000 000	109 101	32,730 42				
CUSIP 681904AQ1			109.101	32,730 42	35,850 00	3,119 58 ST		
	5/22/14	15,000 000	109.711	16,456 65				
			109.711	16,456.65	17,925 00	1,468 35 ST		
	10/23/14	12,000.000	113 000	13,560 00				
			113 000	13,560.00	14,340 00	780 00 ST		
	Total	57,000 000		62,747.07			1,995 00	2 92
				62,747 07	68,115.00	5,367 93 ST	753.66	
Unit Price. $119 500, Coupon Rate 3 500%, Matures 02/15/2044, Int Semi-Annually Feb/Aug 15, Callable $100 00 on 02/15/19; Yield to Call .005%; Convertible, Moody B1 S&P B+, Issued 08/28/13								
CORPORATE BONDS		2,048,000 000		$2,622,353.60			$45,714 00	1 72%
				$2,633,771 58	$2,660,155 16	$26,383 58 ST	$12,114.63	

FIXED-RATE CAPITAL SECURITIES

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
UTD TECHNOLOGIES (UTX A)	3/17/14	644 000	$65 303	$42,054 96				
			$65 303	$42,054 96	$39,496 52	$(2,558.44) ST		
	6/12/14	361 000	65 660	23,703.39				
			65 660	23,703.39	22,140 13	(1,563 26) ST		
	Total	1,005 000		65,758.35			2,827.00	4.58
				65,758 35	61,636 65	(4,121.70) ST	—	
Unit Price $61.330, Coupon Rate 7 500%; Matures 08/01/2015, Interest Paid Quarterly Feb 01; Convertible, S&P BBB+								

CORPORATE FIXED INCOME

FIXED-RATE CAPITAL SECURITIES (CONTINUED)

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
DOMINION RES INC VA NEW SER A (DCUA)	3/17/14	570 000	58 056	33,091.71			1,746 00	5 10
			57.734	32,908.52	34,205 70	1,297.18 ST	—	
Unit Price: $60 010, Coupon Rate 0.766%, Matures 04/01/2016; Interest Paid Quarterly Oct 01; Convertible; S&P BBB								
CROWN CASTLE INTL CORP NEW CNV PFD STK SER A (CCI.A)	3/17/14	592 000	100.994	59,788 57			2,664.00	4.38
			100 994	59,788 57	60,727.36	938 79 ST	—	
Unit Price. $102 580, Coupon Rate 4.500%, Matures 11/01/2016; Interest Paid Quarterly Feb 03								
STANLEY BLACK & DECKER INC CORP UNIT 2013 (SWH)	3/17/14	237.000	105 848	25,086 00			1,481.00	5.30
			105 848	25,086 00	27,904.38	2,818 38 ST	—	
Unit Price: $117 740, Coupon Rate 6.250%; Matures 11/17/2016, Interest Paid Quarterly Feb 18, Convertible; Moody BAA2 S&P BBB+								
FIAT CHRYSLER AUTOMOBILES N V MANDATORY CONVERTIBLE (FCAM)	12/11/14	141.000	102.375	14,434 88				
			102 375	14,434 88	15,087.00	652.12 ST		
	12/11/14	110 000	102 307	11,253.75				
			102 307	11,253 75	11,770.00	516 25 ST		
	12/12/14	426 000	102.295	43,577 80				
			102.295	43,577 80	45,582 00	2,004 20 ST		
	Total	677 000		69,266 43			5,331 00	7 35
				69,266 43	72,439 00	3,172.57 ST	—	
Unit Price $107 000, Coupon Rate 7.875%; Matures 12/15/2016; Interest Paid Annually Dec 15; Convertible, S&P B-								
EXELON CORP CV UNIT (EXCU)	6/13/14	960 000	52 741	50,631.25			3,120.00	6.19
			53 385	51,249 60	50,400.00	(849 60) ST	—	
Unit Price: $52 500, Coupon Rate 6 500%; Matures 06/01/2017, Int Semi-Annually Jun/Dec 17								
ALOCOA INC PFD CV CL B SER 1 (AA B)	9/19/14	220 000	50 148	11,032 65				
			50 148	11,032 65	11,099 00	66 35 ST		
	9/19/14	378 000	50 220	18,983 16				
			50 220	18,983 16	19,070 10	86 94 ST		
	Total	598 000		30,015.81			1,607.00	5.32
				30,015 81	30,169 10	153.29 ST	—	
Unit Price $50 450, Coupon Rate 5 375%, Matures 10/01/2017, Interest Paid Quarterly Jan 01, Convertible, S&P BB								
STANLEY BLACK & DECKER INC CONVERTIBLE PFD UNITS (SWU)	3/17/14	184.000	124 211	22,854.75			874.00	3.45
			124 211	22,854.75	25,300 00	2,445 25 ST	—	
Unit Price: $137.500, Coupon Rate 4.750%, Matures 11/17/2018, Interest Paid Quarterly May 17, Convertible; Moody BAA3								

CORPORATE FIXED INCOME

FIXED-RATE CAPITAL SECURITIES (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
CENTERPOINT ENERGY INC (CNPZP)	3/25/14	904.000	52 557	47,511 64			1,959 00	3.25
			66.509	60,124.11	60,229 00	104 89 ST	—	
Unit Price: $66 625, Coupon Rate 3 719%, Matures 09/15/2029; Interest Paid Quarterly Dec 15, Convertible; Moody BAA2 S&P BBB+								
AMG CAPITAL TR II 5 15 CV PFD (AATRL)	3/27/14	781 000	62.000	48,422 00			2,011 00	4.16
			63 776	49,809 44	48,226.75	(1,582 69) ST	—	
Unit Price: $61.750, Coupon Rate 5.150%, Matures 10/15/2037; Interest Paid Quarterly Sep 29, Convertible, S&P BBB-								
FIXED-RATE CAPITAL SECURITIES		—		$452,426 51			$23,620.00	5 01%
				$466,861.58	$471,237 94	$4,376 36 ST	$0 00	

	Face Value Percentage of Assets %	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
CORPORATE FIXED INCOME	2,048,000 000	$3,074,780 11			$69,334.00	2.21%
		$3,100,633 16	$3,131,393 10	$30,759 94 ST	$12,114.63	
TOTAL CORPORATE FIXED INCOME (incl.accr.int.)	91 7%		$3,143,507 73			

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
ALTRIA GROUP INC Symbol MO Exchange NYSE EAI $12,827 Current yield. 4 22%	Jun 9, 09	250.000	17.388	4,347.05	49.270	12,317 50	7,970.45	LT
	Jun 19, 09	601.000	16.368	9,837.29	49.270	29,611.27	19,773.98	LT
	Aug 28, 09	246.000	18 240	4,487 04	49 270	12,120 42	7,633 38	LT
	Nov 24, 10	495.000	24.518	12,136 61	49 270	24,388.65	12,252.04	LT
	Feb 16, 11	36.000	24.470	880.92	49 270	1,773 72	892.80	LT
	Aug 29, 11	48.000	26.550	1,274.40	49 270	2,364.96	1,090.56	LT
	Oct 14, 11	454.000	27 600	12,530 40	49 270	22,368 58	9,838.18	LT
	Nov 11, 11	559 000	27 799	15,540.17	49 270	27,541.93	12,001.76	LT
	Mar 7, 12	48 000	30.036	1,441.76	49 270	2,364 96	923.20	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 9, 12	2,334.000	34 839	81,316 33	49.270	114,996 18	33,679.85	LT
	May 6, 13	724.000	36.054	26,103.68	49.270	35,671 48	9,567 80	LT
	Jun 5, 13	105.000	35.950	3,774 75	49.270	5,173.35	1,398.60	LT
	Dec 23, 13	114.000	37.967	4,328 29	49.270	5,616.78	1,288.49	LT
	Apr 14, 14	111.000	37.860	4,202 46	49 270	5,468 97	1,266.51	ST
	Sep 22, 14	42 000	45.246	1,900 34	49 270	2,069 34	169 00	ST
Security total		6,167 000	29.853	184,101.49		303,848 09	119,746.60	
AMER ELECTRIC POWER CO Symbol. AEP Exchange: NYSE EAI: $2,743 Current yield: 3.49%	May 21, 12	721.000	37.844	27,286.17	60 720	43,779 12	16,492.95	LT
	Aug 9, 12	507 000	43.726	22,169.44	60 720	30,785.04	8,615.60	LT
	Jun 5, 13	21.000	45.720	960.12	60 720	1,275.12	315.00	LT
	Dec 23, 13	21 000	46.660	979.86	60 720	1,275.12	295.26	LT
	Apr 14, 14	24.000	50.957	1,222.97	60 720	1,457.28	234.31	ST
Security total		1,294 000	40.663	52,618.56		78,571.68	25,953.12	
AT&T INC Symbol T Exchange: NYSE EAI: $14,797 Current yield· 5.60%	Jun 19, 09	423.000	23.957	10,134.02	33 590	14,208 57	4,074.55	LT
	Aug 28, 09	280.000	26.206	7,337.68	33 590	9,405.20	2,067.52	LT
	Dec 8, 09	427.000	27.832	11,884.66	33 590	14,342.93	2,458 27	LT
	Sep 9, 10	149.000	27.900	4,157.10	33 590	5,004.91	847.81	LT
	Nov 24, 10	534.000	28.150	15,032.10	33.590	17,937.06	2,904.96	LT
	Feb 16, 11	51.000	28.190	1,437.69	33.590	1,713 09	275.40	LT
	Aug 29, 11	63.000	29 297	1,845.74	33 590	2,116 17	270 43	LT
	Nov 11, 11	463.000	29 450	13,635 35	33 590	15,552.17	1,916 82	LT
	Mar 7, 12	54 000	30.840	1,665 36	33 590	1,813.86	148 50	LT
	Aug 9, 12	2,564 000	37.185	95,344 13	33 590	86,124 76	-9,219.37	LT
	Feb 19, 13	733.000	35.410	25,955.53	33.590	24,621 47	-1,334 06	LT
	Jun 3, 13	1,264.000	35.126	44,400 40	33 590	42,457 76	-1,942.64	LT
	Jun 5, 13	114.000	35.455	4,041.96	33.590	3,829 26	-212.70	LT
	Dec 23, 13	120 000	34 597	4,151.70	33.590	4,030 80	-120.90	LT
	Apr 14, 14	120.000	35 265	4,231.85	33.590	4,030 80	-201.05	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
	Jul 16, 14	188 000	36.419	6,846 87	33 590	6,314 92	-531.95	ST
	Sep 22, 14	324.000	35.375	11,461.66	33 590	10,883 16	-578.50	ST
Security total		7,871.000	33.485	263,563 80		264,386 89	823.09	
BCE INC NEW CAD Symbol BCE Exchange: NYSE EAI: $6,473 Current yield: 4 73% CAD Exchange rate: 1.15825	Aug 9, 12	1,441.000	44.955	64,780.23	45.860	66,084.26	1,304.03	LT
	Jun 5, 13	33 000	43.720	1,442.76	45.860	1,513.38	70.62	LT
	Dec 23, 13	33 000	43.030	1,419 99	45 860	1,513 38	93.39	LT
	Apr 14, 14	27 000	43.846	1,183 86	45.860	1,238 22	54.36	ST
	Jul 16, 14	642.000	45.187	29,010.25	45.860	29,442.12	431.87	ST
	Sep 22, 14	93 000	43.169	4,014 80	45.860	4,264.98	250.18	ST
	Nov 4, 14	716.000	44.776	32,060 19	45.860	32,835 76	775.57	ST
Security total		2,985 000	44.862	133,912.08		136,892.10	2,980.02	
BP PLC SPON ADR Symbol: BP Exchange: NYSE EAI: $11,316 Current yield 6.30%	Jan 10, 13	2,250.000	45.024	101,305.35	38 120	85,770 00	-15,535.35	LT
	Feb 19, 13	895.000	41.470	37,116.28	38 120	34,117.40	-2,998.88	LT
	Apr 18, 13	1,315.000	41.065	54,001.40	38 120	50,127.80	-3,873.60	LT
	Jun 5, 13	75 000	43.005	3,225.43	38.120	2,859.00	-366.43	LT
	Dec 23, 13	75 000	47.437	3,557.79	38 120	2,859 00	-698.79	LT
	Apr 14, 14	78.000	47.565	3,710 10	38 120	2,973.36	-736.74	ST
	Sep 22, 14	27.000	46.177	1,246 78	38 120	1,029 24	-217.54	ST
Security total		4,715 000	43.301	204,163 13		179,735 80	-24,427.33	
CHEVRON CORP Symbol: CVX Exchange: NYSE EAI: $4,186 Current yield: 3 82%	Aug 28, 09	15 000	70.676	1,060.14	112.180	1,682 70	622.56	LT
	Nov 24, 10	219.000	82.897	18,154.66	112.180	24,567 42	6,412 76	LT
	Feb 16, 11	15.000	96 810	1,452.15	112.180	1,682.70	230.55	LT
	Aug 29, 11	6 000	97.661	585.97	112.180	673 08	87.11	LT
	Mar 7, 12	3.000	109.810	329.43	112.180	336 54	7.11	LT
	Aug 9, 12	175 000	113.159	19,802 88	112 180	19,631.50	-171.38	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
	Jun 5, 13	9 000	122.440	1,101.96	112.180	1,009 62	-92 34	LT
	Dec 23, 13	6.000	123.110	738.66	112.180	673.08	-65.58	LT
	Apr 14, 14	9.000	118.490	1,066.41	112.180	1,009.62	-56.79	ST
	Apr 29, 14	131.000	127 112	16,651 80	112 180	14,695.58	-1,956.22	ST
	Sep 22, 14	30 000	123.890	3,716 70	112 180	3,365.40	-351.30	ST
	Dec 11, 14	360.000	104.459	37,605 28	112.180	40,384.80	2,779 52	ST
Security total		978.000	104.567	102,266 04		109,712 04	7,446.00	
COCA COLA CO COM Symbol. KO Exchange: NYSE EAI: $3,306 Current yield 2 89%	Jun 19, 09	32.000	24.614	787 65	42 220	1,351.04	563.39	LT
	Aug 28, 09	270.000	24.543	6,626.61	42.220	11,399.40	4,772.79	LT
	Nov 24, 10	464.000	32.279	14,977.46	42 220	19,590.08	4,612.62	LT
	Aug 29, 11	18.000	34.665	623 97	42 220	759 96	135.99	LT
	Mar 7, 12	12.000	34 275	411.30	42 220	506.64	95 34	LT
	Aug 9, 12	536.000	39.636	21,245 14	42.220	22,629.92	1,384.78	LT
	Jun 5, 13	21.000	41.000	861 00	42.220	886.62	25 62	LT
	Dec 23, 13	24.000	40.110	962.64	42 220	1,013 28	50 64	LT
	Apr 14, 14	24.000	38 720	929.28	42 220	1,013.28	84.00	ST
	Aug 18, 14	1,270.000	41.251	52,389.91	42 220	53,619 40	1,229.49	ST
	Sep 22, 14	39.000	42.076	1,640 98	42.220	1,646 58	5 60	ST
Security total		2,710.000	37.438	101,455.94		114,416 20	12,960 26	
CONOCOPHILLIPS Symbol: COP Exchange: NYSE EAI $7,014 Current yield: 4 23%	May 21, 12	251.000	51 606	12,953.18	69.060	17,334 06	4,380.88	LT
	Aug 9, 12	1,487.000	57 197	85,052.68	69 060	102,692.22	17,639.54	LT
	Jun 3, 13	445 000	61.722	27,466.33	69 060	30,731.70	3,265.37	LT
	Jun 5, 13	60.000	61 726	3,703 61	69.060	4,143 60	439.99	LT
	Dec 23, 13	63 000	69.727	4,392.83	69.060	4,350 78	-42.05	LT
	Apr 14, 14	60 000	71.057	4,263 43	69.060	4,143 60	-119 83	ST
	Sep 22, 14	36 000	79.650	2,867.40	69 060	2,486 16	-381.24	ST
Security total		2,402.000	58.576	140,699.46		165,882 12	25,182.66	

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
DOMINION RESOURCES INC VA (NEW)								
Symbol: D Exchange NYSE								
EAI: $4,824 Current yield: 3 12%	Dec 8, 09	109.000	38.324	4,177.34	76.900	8,382.10	4,204.76	LT
	Nov 24, 10	402.000	41.957	16,867.11	76 900	30,913 80	14,046 69	LT
	Feb 16, 11	30.000	44.050	1,321.50	76.900	2,307.00	985.50	LT
	Aug 29, 11	36.000	48.760	1,755 36	76.900	2,768 40	1,013.04	LT
	Mar 7, 12	9 000	50 320	452 88	76.900	692 10	239 22	LT
	Aug 9, 12	396.000	53.617	21,232 65	76 900	30,452 40	9,219 75	LT
	Feb 19, 13	926 000	55.303	51,210.76	76 900	71,209 40	19,998.64	LT
	Jun 5, 13	24.000	54.606	1,310.56	76 900	1,845.60	535.04	LT
	Dec 23, 13	33 000	64.500	2,128 50	76 900	2,537 70	409 20	LT
	Apr 14, 14	33 000	69.920	2,307 36	76 900	2,537 70	230 34	ST
	Sep 22, 14	12 000	68.450	821 40	76 900	922 80	101 40	ST
Security total		2,010 000	51.535	103,585 42		154,569 00	50,983 58	
DUKE ENERGY CORP NEW								
Symbol: DUK Exchange: NYSE								
EAI· $9,422 Current yield: 3 81%	May 27, 09	368.333	41.446	15,266.13	83 540	30,770 57	15,504.44	LT
	Jun 9, 09	180.333	42.508	7,665.70	83 540	15,065.04	7,399 34	LT
	Jun 19, 09	346 333	43.408	15,033.81	83 540	28,932.68	13,898.87	LT
	Aug 28, 09	142.000	46.678	6,628 35	83 540	11,862.68	5,234.33	LT
	Nov 24, 10	286.000	52 857	15,117 27	83 540	23,892.44	8,775.17	LT
	Feb 16, 11	22 000	53.310	1,172.82	83 540	1,837 88	665.06	LT
	Aug 29, 11	26.000	56.301	1,463.83	83 540	2,172 04	708.21	LT
	Mar 7, 12	20.000	62.933	1,258 66	83 540	1,670.80	412.14	LT
	Aug 9, 12	944.000	67.876	64,075.42	83 540	78,861.76	14,786.34	LT
	Oct 23, 12	466.000	65 180	30,373.88	83 540	38,929 64	8,555.76	LT
	Jun 5, 13	48.000	67.120	3,221.76	83 540	4,009.92	788 16	LT
	Dec 23, 13	48.000	69.550	3,338.40	83 540	4,009.92	671.52	LT
	Apr 14, 14	51 000	71.870	3,665.37	83 540	4,260.54	595.17	ST
	Sep 22, 14	15 000	73 856	1,107.84	83 540	1,253.10	145.26	ST
Security total		2,963 000	57 168	169,389 24		247,529.02	78,139.77	

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
GENL MILLS INC								
Symbol: GIS Exchange NYSE								
EAI: $3,260 Current yield 3 07%	Nov 4, 14	1,264 000	52.841	66,791 53	53.330	67,409 12	617 59	ST
	Dec 11, 14	724.000	52.534	38,034 76	53.330	38,610.92	576.16	ST
Security total		1,988 000	52.730	104,826.29		106,020 04	1,193 75	
GLAXO SMITHKLINE PLC ADR								
Symbol: GSK Exchange NYSE								
EAI· $15,580 Current yield 6 20%	Jun 19, 09	188.000	36.767	6,912.29	42 740	8,035 12	1,122.83	LT
	Aug 28, 09	197 000	39.108	7,704.37	42 740	8,419.78	715.41	LT
	Apr 12, 10	318.000	39.150	12,449.70	42 740	13,591.32	1,141.62	LT
	Nov 24, 10	491.000	39.189	19,241.90	42 740	20,985 34	1,743 44	LT
	Feb 16, 11	36 000	38 380	1,381.68	42.740	1,538.64	156.96	LT
	Aug 29, 11	45 000	42 737	1,923.18	42 740	1,923.30	0.12	LT
	Mar 7, 12	36 000	44.420	1,599.12	42.740	1,538 64	-60.48	LT
	Jul 23, 12	317.000	45.487	14,419 38	42.740	13,548.58	-870.80	LT
	Aug 9, 12	1,821.000	46.779	85,186.20	42 740	77,829.54	-7,356.66	LT
	Jun 5, 13	57.000	51.355	2,927.28	42.740	2,436 18	-491.10	LT
	Dec 23, 13	57 000	51 810	2,953.17	42 740	2,436 18	-516.99	LT
	Apr 14, 14	60.000	51 610	3,096.60	42 740	2,564.40	-532.20	ST
	Apr 29, 14	717 000	56.097	40,221.84	42 740	30,644.58	-9,577.26	ST
	Jul 16, 14	627.000	53.142	33,320.16	42 740	26,797.98	-6,522.18	ST
	Sep 22, 14	213.000	47.579	10,134.52	42 740	9,103 62	-1,030.90	ST
	Oct 2, 14	697.000	45.689	31,845.72	42 740	29,789 78	-2,055.94	ST
Security total		5,877.000	46.847	275,317.11		251,182.98	-24,134.13	
HCP INC								
Symbol: HCP Exchange: NYSE								
EAI· $7,192 Current yield: 4.95%	Nov 14, 11	885.000	38.050	33,674 88	44 030	38,966 55	5,291.67	LT
	Mar 7, 12	12.000	38.837	466 05	44 030	528.36	62.31	LT
	Aug 9, 12	609.000	45.418	27,659 95	44 030	26,814 27	-845 68	LT
	Jun 5, 13	27.000	46.738	1,261 95	44 030	1,188.81	-73.14	LT
	Dec 23, 13	27.000	36.330	980 91	44.030	1,188 81	207.90	LT
	Jan 8, 14	795.000	37.121	29,511.27	44.030	35,003.85	5,492.58	ST
	Mar 21, 14	872.000	36.852	32,135 12	44 030	38,394 16	6,259.04	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
	Apr 14, 14	54.000	40 130	2,167 02	44 030	2,377 62	210 60	ST
	Sep 22, 14	18.000	39.896	718 13	44 030	792.54	74 41	ST
Security total		3,299.000	38.974	128,575.28		145,254 97	16,679 69	
HEALTH CARE REIT INC SBI Symbol. HCN Exchange· NYSE EAI· $5,937 Current yield: 4 20%	Oct 19, 09	348.000	42.080	14,643.86	75.670	26,333 16	11,689.30	LT
	May 18, 10	261.000	38.873	10,146 09	75.670	19,749.87	9,603 78	LT
	Nov 24, 10	172 000	42.856	7,371.27	75.670	13,015 24	5,643.97	LT
	Feb 16, 11	12 000	46.385	556 62	75 670	908.04	351.42	LT
	Aug 29, 11	18.000	46.045	828.82	75.670	1,362.06	533.24	LT
	Mar 7, 12	12 000	51 590	619 09	75 670	908.04	288.95	LT
	Aug 9, 12	556 000	57.905	32,195.44	75 670	42,072.52	9,877.08	LT
	Feb 19, 13	404.000	62.415	25,215.69	75 670	30,570.68	5,354 99	LT
	Jun 5, 13	21 000	66.321	1,392.75	75 670	1,589.07	196.32	LT
	Dec 23, 13	33 000	53.050	1,750.65	75 670	2,497 11	746.46	LT
	Apr 14, 14	30.000	61.370	1,841 10	75.670	2,270 10	429 00	ST
Security total		1,867.000	51.720	96,561.38		141,275 89	44,714.51	
JOHNSON & JOHNSON COM Symbol JNJ Exchange· NYSE EAI: $3,962 Current yield: 2 68%	Jun 19, 09	122 000	56.457	6,887 85	104 570	12,757 54	5,869.69	LT
	Aug 28, 09	116.000	60.106	6,972.38	104 570	12,130.12	5,157.74	LT
	Nov 24, 10	234 000	63.309	14,814 35	104 570	24,469 38	9,655.03	LT
	Feb 16, 11	18 000	60.630	1,091.34	104 570	1,882.26	790.92	LT
	Aug 29, 11	21.000	64.700	1,358.70	104.570	2,195 97	837.27	LT
	Mar 7, 12	18 000	64.260	1,156 68	104.570	1,882 26	725.58	LT
	Aug 9, 12	775.000	68.488	53,078.55	104 570	81,041 75	27,963.20	LT
	Jun 5, 13	33.000	83.960	2,770.68	104.570	3,450.81	680.13	LT
	Dec 23, 13	33.000	92.120	3,039.96	104.570	3,450.81	410 85	LT
	Apr 14, 14	33 000	96.820	3,195 06	104 570	3,450 81	255.75	ST
	Sep 22, 14	12.000	108.100	1,297.20	104 570	1,254 84	-42.36	ST
Security total		1,415.000	67.606	95,662.75		147,966 55	52,303.80	

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
KIMBERLY CLARK CORP								
Symbol KMB Exchange: NYSE								
EAI $4,650 Current yield: 2.91%	May 27, 09	59.000	49.293	2,908.32	115 540	6,816.86	3,908.54	LT
	Jun 9, 09	199.000	50.559	10,061.29	115.540	22,992.46	12,931.17	LT
	Jun 19, 09	381 000	49 015	18,674 95	115.540	44,020.74	25,345.79	LT
	Aug 28, 09	155 000	57.048	8,842 46	115 540	17,908.70	9,066.24	LT
	Nov 24, 10	313.000	58.629	18,350.99	115 540	36,164.02	17,813.03	LT
	Feb 16, 11	24 000	62.137	1,491.31	115.540	2,772.96	1,281 65	LT
	Aug 29, 11	30 000	65.348	1,960.44	115.540	3,466.20	1,505 76	LT
	Mar 7, 12	21.000	68.454	1,437 54	115 540	2,426 34	988.80	LT
	Aug 9, 12	133.000	79 529	10,577.48	115.540	15,366.82	4,789 34	LT
	Jun 5, 13	21.000	92 282	1,937 93	115.540	2,426.34	488.41	LT
	Dec 23, 13	24.000	100.448	2,410 76	115.540	2,772 96	362.20	LT
	Apr 14, 14	24 000	105.605	2,534 53	115.540	2,772 96	238.43	ST
Security total		1,384 000	58 662	81,188.00		159,907 36	78,719.36	
KINDER MORGAN INC								
Symbol: KMI Exchange: NYSE								
EAI: $2,740 Current yield 4 16%	Aug 18, 14	1,536.000	41.058	63,065.55	42.310	64,988.16	1,922.61	ST
	Sep 22, 14	21 000	37.520	787 92	42 310	888 51	100.59	ST
Security total		1,557.000	41.011	63,853.47		65,876 67	2,023 20	
KRAFT FOODS GROUP INC								
Symbol: KRFT Exchange: OTC								
EAI: $9,898 Current yield: 3.51%	Oct 12, 12	2,214.000	46.990	104,035.86	62 660	138,729 24	34,693.38	LT
	Dec 5, 12	1,008.000	45 992	46,360.84	62.660	63,161.28	16,800.44	LT
	May 6, 13	1,037.000	53 520	55,500 24	62 660	64,978 42	9,478.18	LT
	Jun 5, 13	66.000	53 435	3,526 76	62 660	4,135.56	608.80	LT
	Dec 23, 13	75 000	53 855	4,039.13	62 660	4,699.50	660.37	LT
	Apr 14, 14	72.000	55.915	4,025.91	62 660	4,511.52	485.61	ST
	Sep 22, 14	27 000	56 791	1,533.36	62 660	1,691 82	158 46	ST
Security total		4,499 000	48 682	219,022 10		281,907.34	62,885.24	
MCDONALDS CORP								
Symbol: MCD Exchange. NYSE								
EAI $8,731 Current yield: 3.63%	Oct 9, 09	26 000	56 698	1,474.15	93.700	2,436 20	962.05	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 12, 10	39 000	72.041	2,809 62	93 700	3,654 30	844 68	LT
	Sep 8, 10	15 000	76 029	1,140.44	93 700	1,405.50	265.06	LT
	Nov 24, 10	223.000	79 389	17,703.79	93.700	20,895.10	3,191.31	LT
	Aug 29, 11	3 000	90.300	270 90	93.700	281.10	10.20	LT
	Mar 7, 12	6.000	99.890	599.34	93.700	562.20	-37.14	LT
	Aug 9, 12	210.000	87.537	18,382.92	93.700	19,677.00	1,294.08	LT
	Dec 5, 12	818.000	87 292	71,405 67	93 700	76,646.60	5,240.93	LT
	Jun 5, 13	24.000	96.720	2,321.28	93 700	2,248 80	-72 48	LT
	Dec 23, 13	24 000	96.237	2,309.70	93 700	2,248 80	-60 90	LT
	Apr 14, 14	21 000	99 450	2,088 45	93 700	1,967 70	-120 75	ST
	Apr 29, 14	693 000	101.215	70,142 62	93 700	64,934.10	-5,208 52	ST
	Jul 16, 14	466 000	98.978	46,124.21	93 700	43,664 20	-2,460 01	ST
Security total		2,568.000	92.201	236,773 09		240,621 60	3,848.51	
MERCK & CO INC NEW COM Symbol: MRK Exchange: NYSE EAI: $7,812 Current yield: 3 17%	Jan 6, 12	1,494.000	38.723	57,853 06	56.790	84,844 26	26,991 20	LT
	Mar 7, 12	33 000	37.300	1,230 90	56.790	1,874 07	643.17	LT
	Aug 9, 12	1,631.000	44.156	72,019.26	56 790	92,624 49	20,605.23	LT
	Feb 19, 13	939 000	41 899	39,343.54	56 790	53,325.81	13,982.27	LT
	Jun 5, 13	63 000	49.016	3,088.06	56 790	3,577.77	489 71	LT
	Dec 23, 13	84.000	49.437	4,152.75	56.790	4,770.36	617.61	LT
	Apr 14, 14	72.000	56 370	4,058.64	56.790	4,088.88	30.24	ST
	Sep 22, 14	24.000	60.917	1,462.01	56 790	1,362 96	-99.05	ST
Security total		4,340.000	42.214	183,208.22		246,468 60	63,260.38	
NATIONAL GRID PLC NEW SPON ADR Symbol: NGG Exchange: NYSE EAI. $16,363 Current yield. 6.53%	Jan 5, 11	405.000	45.195	18,304.26	70 660	28,617.30	10,313.04	LT
	Feb 16, 11	24.000	45.910	1,101.84	70.660	1,695 84	594 00	LT
	May 11, 11	515.000	51.901	26,729.22	70 660	36,389.90	9,660 68	LT
	Jun 8, 11	352.000	48.924	17,221 42	70 660	24,872.32	7,650.90	LT
	Jan 9, 12	543.000	48.217	26,182.27	70 660	38,368 38	12,186.11	LT
	Mar 7, 12	51 000	50 922	2,597.07	70 660	3,603.66	1,006.59	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 9, 12	1,538 000	53.863	82,842.68	70.660	108,675 08	25,832.40	LT
	Jun 5, 13	66 000	57.053	3,765 56	70 660	4,663 56	898.00	LT
	Apr 14, 14	33.000	68.157	2,249 19	70.660	2,331 78	82.59	ST
	Sep 22, 14	21.000	72 850	1,529 85	70.660	1,483 86	-45.99	ST
Security total		3,548 000	51 444	182,523.36		250,701 68	68,178.32	
PEPSICO INC Symbol: PEP Exchange: NYSE EAI. $1,970 Current yield: 2 77%	Oct 13, 11	420.000	62.285	26,159.92	94.560	39,715 20	13,555.28	LT
	Mar 7, 12	6 000	62 530	375.18	94 560	567 36	192.18	LT
	Aug 9, 12	290.000	72.207	20,940.26	94 560	27,422 40	6,482.14	LT
	Jun 5, 13	12.000	81.080	972.96	94 560	1,134 72	161.76	LT
	Dec 23, 13	12 000	81.850	982.20	94 560	1,134.72	152 52	LT
	Apr 14, 14	12 000	83.490	1,001.88	94.560	1,134.72	132.84	ST
Security total		752 000	67.064	50,432.40		71,109 12	20,676.72	
PHILIP MORRIS INTL INC Symbol: PM Exchange: NYSE EAI: $12,976 Current yield. 4.91%	Jun 19, 09	61.000	42 567	2,596.64	81.450	4,968.45	2,371.81	LT
	Aug 28, 09	139 000	45.597	6,338 09	81.450	11,321 55	4,983.46	LT
	Aug 9, 10	55.000	52.522	2,888 74	81.450	4,479.75	1,591 01	LT
	Sep 20, 10	21.000	55.800	1,171 80	81 450	1,710 45	538 65	LT
	Oct 15, 10	25.000	58.470	1,461.77	81 450	2,036 25	574.48	LT
	Nov 24, 10	179.000	59.049	10,569.81	81 450	14,579 55	4,009.74	LT
	Feb 16, 11	21 000	60.460	1,269 66	81.450	1,710.45	440.79	LT
	Aug 29, 11	27.000	70.060	1,891.62	81 450	2,199.15	307.53	LT
	Mar 7, 12	18 000	83.960	1,511.28	81 450	1,466.10	-45.18	LT
	Aug 9, 12	371.000	91.676	34,011.98	81 450	30,217 95	-3,794.03	LT
	May 6, 13	289 000	93.181	26,929.42	81 450	23,539 05	-3,390.37	LT
	Jun 5, 13	21.000	91.170	1,914.57	81 450	1,710 45	-204 12	LT
	Dec 23, 13	18 000	85.350	1,536.30	81 450	1,466 10	-70.20	LT
	Jan 8, 14	341.000	83.400	28,439.40	81.450	27,774 45	-664.95	ST
	Feb 27, 14	1,013.000	80.488	81,535.15	81 450	82,508 85	973.70	ST
	Mar 21, 14	576.000	81.222	46,784.16	81.450	46,915.20	131.04	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
	Apr 14, 14	51 000	83.777	4,272 63	81.450	4,153 95	-118 68	ST
	Sep 22, 14	18 000	85.500	1,539.00	81 450	1,466 10	-72.90	ST
Security total		3,244.000	79.119	256,662.02		264,223 80	7,561.78	
PPL CORP Symbol: PPL Exchange NYSE EAI· $6,909 Current yield 4.10%	May 10, 11	1,322.000	27.682	36,596.84	36.330	48,028 26	11,431 42	LT
	Jun 3, 11	729.000	27.755	20,233 76	36.330	26,484.57	6,250.81	LT
	Aug 29, 11	39 000	28 200	1,099.80	36 330	1,416 87	317.07	LT
	Mar 7, 12	30 000	27.810	834.30	36 330	1,089 90	255 60	LT
	Aug 9, 12	1,440.000	29.617	42,649.20	36.330	52,315 20	9,666 00	LT
	Feb 19, 13	843.000	30.410	25,635 63	36 330	30,626 19	4,990.56	LT
	Jun 5, 13	57.000	29.626	1,688 70	36 330	2,070 81	382.11	LT
	Dec 23, 13	72.000	29.835	2,148.15	36.330	2,615 76	467.61	LT
	Apr 14, 14	78.000	32.675	2,548.68	36 330	2,833 74	285.06	ST
	Sep 22, 14	27.000	33 316	899.54	36 330	980 91	81.37	ST
Security total		4,637.000	28 970	134,334.60		168,462 21	34,127.61	
PROCTER & GAMBLE CO Symbol PG Exchange· NYSE EAI. $6,250 Current yield: 2.83%	Jun 9, 09	2.000	52 600	105.20	91.090	182 18	76.98	LT
	Jun 19, 09	216.000	50.857	10,985 29	91 090	19,675.44	8,690.15	LT
	Aug 28, 09	88 000	52.947	4,659 41	91 090	8,015 92	3,356.51	LT
	Nov 24, 10	142.000	62.550	8,882 10	91 090	12,934 78	4,052.68	LT
	Feb 16, 11	12 000	63 740	764.88	91 090	1,093 08	328.20	LT
	Aug 29, 11	12.000	63 090	757.08	91.090	1,093 08	336 00	LT
	Mar 7, 12	9 000	66.560	599.04	91 090	819 81	220.77	LT
	Aug 9, 12	326.000	66.846	21,791.96	91 090	29,695 34	7,903.38	LT
	Jun 5, 13	15 000	76.800	1,152.00	91.090	1,366 35	214.35	LT
	Dec 23, 13	12 000	81.240	974.88	91.090	1,093 08	118.20	LT
	Apr 14, 14	15 000	80.720	1,210.80	91.090	1,366 35	155 55	ST
	Jul 9, 14	1,013 000	81.288	82,345.05	91 090	92,274.17	9,929.12	ST
	Jul 16, 14	464.000	80.937	37,555.00	91 090	42,265.76	4,710.76	ST
	Sep 22, 14	102.000	84.926	8,662 48	91 090	9,291 18	628.70	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
Security total		2,428.000	74.318	180,445 17		221,166.52	40,721.35	
REALTY INCOME CORP MD SBI Symbol: O Exchange NYSE EAI: $3,841 Current yield: 4.61%	Jul 8, 13	1,691 000	42.364	71,638.39	47.710	80,677.61	9,039.22	LT
	Dec 23, 13	27.000	37 990	1,025 73	47.710	1,288 17	262.44	LT
	Apr 14, 14	27 000	41 560	1,122 12	47.710	1,288 17	166 05	ST
Security total		1,745 000	42.284	73,786 24		83,253.95	9,467.71	
REYNOLDS AMERN INC (HOLDING CO) Symbol: RAI Exchange. NYSE EAI: $11,789 Current yield: 4.17%	May 27, 09	534.000	19.844	10,596.70	64.270	34,320.18	23,723 48	LT
	Jun 9, 09	262.000	19.124	5,010.73	64 270	16,838.74	11,828.01	LT
	Jun 19, 09	502 000	18.744	9,409.74	64 270	32,263.54	22,853.80	LT
	Aug 28, 09	206 000	22.794	4,695 67	64 270	13,239 62	8,543.95	LT
	Nov 24, 10	414 000	31.607	13,085 71	64 270	26,607.78	13,522.07	LT
	Feb 16, 11	33.000	33.490	1,105.17	64.270	2,120.91	1,015.74	LT
	Aug 29, 11	39 000	37.098	1,446.85	64.270	2,506.53	1,059.68	LT
	Mar 7, 12	27 000	41.720	1,126 44	64 270	1,735.29	608.85	LT
	Aug 9, 12	1,369.000	45.496	62,284.71	64 270	87,985.63	25,700.92	LT
	Oct 23, 12	773.000	41.898	32,387.70	64 270	49,680.71	17,293.01	LT
	Jun 5, 13	72 000	48.246	3,473 74	64 270	4,627.44	1,153.70	LT
	Dec 23, 13	72 000	48.790	3,512.88	64 270	4,627 44	1,114.56	LT
	Apr 14, 14	72 000	53 887	3,879 87	64 270	4,627.44	747.57	ST
	Sep 22, 14	24.000	57.622	1,382 94	64 270	1,542.48	159.54	ST
Security total		4,399.000	34.871	153,398.85		282,723 73	129,324.88	
ROYAL DUTCH SHELL PLC ADS REPSTG 2 CL B ORD SHS SPON ADR Symbol· RDS.B Exchange: NYSE EAI· $11,878 Current yield 5 41%	May 27, 09	342.000	52.575	17,980.75	69 560	23,789.52	5,808.77	LT
	Jun 9, 09	176.000	56.073	9,868.92	69 560	12,242 56	2,373.64	LT
	Jun 19, 09	321.000	53 151	17,061.53	69 560	22,328.76	5,267.23	LT
	Aug 28, 09	131.000	54 601	7,152.76	69 560	9,112 36	1,959 60	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
	Feb 4, 10	180.000	52 516	9,453 02	69.560	12,520.80	3,067.78	LT
	Oct 14, 10	60.000	61.823	3,709 42	69.560	4,173 60	464 18	LT
	Nov 15, 10	30.000	65.180	1,955.41	69.560	2,086.80	131.39	LT
	Nov 24, 10	251.000	62 606	15,714 31	69 560	17,459 56	1,745 25	LT
	Feb 16, 11	24.000	69 260	1,662.24	69 560	1,669.44	7.20	LT
	Aug 29, 11	30 000	65 322	1,959.68	69.560	2,086.80	127 12	LT
	Mar 7, 12	24 000	71.920	1,726 08	69 560	1,669 44	-56 64	LT
	Aug 9, 12	1,062 000	73.629	78,194.98	69.560	73,872.72	-4,322 26	LT
	Oct 23, 12	354.000	69.739	24,687.71	69.560	24,624 24	-63.47	LT
	Jun 5, 13	54 000	67.995	3,671 77	69.560	3,756 24	84 47	LT
	Dec 23, 13	51 000	73 840	3,765 84	69.560	3,547 56	-218.28	LT
	Apr 14, 14	51 000	79.160	4,037 16	69 560	3,547 56	-489.60	ST
	Sep 22, 14	18.000	82.032	1,476 59	69 560	1,252 08	-224.51	ST
Security total		3,159 000	64.602	204,078.17		219,740 04	15,661.87	
SENIOR HSG PROPERTIES TRUST SBI Symbol: SNH Exchange NYSE EAI· $5,519 Current yield· 7.06%	Feb 19, 13	2,058.000	24.403	50,221.61	22 110	45,502 38	-4,719.23	LT
	Jun 3, 13	1,309.000	25.967	33,991.55	22.110	28,941.99	-5,049.56	LT
	Jun 5, 13	57 000	25 970	1,480.34	22 110	1,260.27	-220.07	LT
	Dec 23, 13	57.000	22 340	1,273 38	22 110	1,260.27	-13.11	LT
	Apr 14, 14	57 000	22.516	1,283.46	22 110	1,260.27	-23.19	ST
Security total		3,538.000	24.944	88,250.34		78,225 18	-10,025.16	
SOUTHERN CO Symbol: SO Exchange· NYSE EAI: $9,482 Current yield: 4 28%	May 27, 09	674 000	28 399	19,141.26	49 110	33,100.14	13,958.88	LT
	Jun 9, 09	328 000	28 819	9,452 80	49 110	16,108.08	6,655 28	LT
	Jun 19, 09	632 000	30.839	19,490.56	49 110	31,037.52	11,546 96	LT
	Aug 28, 09	259.000	31.459	8,148 01	49 110	12,719.49	4,571 48	LT
	Nov 24, 10	525 000	37.910	19,902.75	49 110	25,782 75	5,880.00	LT
	Feb 16, 11	39 000	37 720	1,471 08	49.110	1,915 29	444.21	LT
	Aug 29, 11	48.000	40 947	1,965 46	49 110	2,357.28	391 82	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
	Mar 7, 12	39 000	44.540	1,737.06	49.110	1,915.29	178.23	LT
	Aug 9, 12	1,722.000	46.855	80,685.58	49 110	84,567.42	3,881.84	LT
	Jun 5, 13	75 000	43.815	3,286 17	49 110	3,683.25	397.08	LT
	Dec 23, 13	75 000	41.066	3,079 98	49 110	3,683 25	603.27	LT
	Apr 14, 14	72 000	44.519	3,205 43	49 110	3,535 92	330 49	ST
	Sep 22, 14	27 000	43 626	1,177.91	49 110	1,325.97	148 06	ST
Security total		4,515.000	38.260	172,744 05		221,731.65	48,987.60	
TOTAL S.A FRANCE SPON ADR Symbol. TOT Exchange: NYSE EAI $11,451 Current yield 5.21%	Jul 16, 09	228.000	53.461	12,189.29	51.200	11,673 60	-515.69	LT
	Aug 4, 09	474.000	55.587	26,348 62	51 200	24,268.80	-2,079.82	LT
	Aug 28, 09	112.000	57.725	6,465 20	51 200	5,734.40	-730.80	LT
	Sep 8, 09	110.000	58.882	6,477.08	51 200	5,632.00	-845.08	LT
	Nov 24, 10	117.000	50.950	5,961.15	51.200	5,990 40	29.25	LT
	Feb 16, 11	15 000	58.916	883.75	51.200	768 00	-115.75	LT
	Aug 29, 11	24 000	48.590	1,166 16	51.200	1,228.80	62.64	LT
	Oct 17, 11	512 000	51.603	26,420 94	51 200	26,214 40	-206 54	LT
	Mar 7, 12	24.000	54 580	1,309.92	51 200	1,228.80	-81.12	LT
	Aug 9, 12	1,957 000	49 193	96,272.39	51.200	100,198 40	3,926 01	LT
	Oct 23, 12	482.000	50 280	24,235 35	51 200	24,678.40	443 05	LT
	Jun 5, 13	72.000	49 906	3,593 27	51.200	3,686 40	93.13	LT
	Dec 23, 13	69.000	60.283	4,159.56	51.200	3,532.80	-626.76	LT
	Apr 14, 14	69.000	67.773	4,676 39	51.200	3,532 80	-1,143.59	ST
	Sep 22, 14	27.000	63.698	1,719 85	51 200	1,382 40	-337.45	ST
Security total		4,292.000	51.696	221,878.92		219,750 40	-2,128.52	
UNILEVER PLC AMER SHS NEW SPON ADR Symbol UL Exchange: NYSE EAI. $5,850 Current yield: 3.69%	Nov 24, 10	28.000	29.278	819.80	40.480	1,133 44	313.64	LT
	Feb 16, 11	27.000	29 000	783.00	40 480	1,092 96	309 96	LT
	Aug 29, 11	36 000	33 450	1,204 20	40.480	1,457 28	253 08	LT
	Mar 7, 12	27.000	32 150	868.05	40 480	1,092 96	224.91	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 9, 12	1,224.000	35.949	44,002 70	40 480	49,547 52	5,544 82	LT
	Jun 5, 13	21 000	41.510	871.71	40 480	850 08	-21 63	LT
	Dec 23, 13	24.000	40.040	960 96	40 480	971.52	10.56	LT
	Apr 14, 14	24.000	44.630	1,071.12	40.480	971.52	-99.60	ST
	Apr 29, 14	1,350 000	44.586	60,191 91	40.480	54,648.00	-5,543.91	ST
	Sep 22, 14	138.000	42.599	5,878.79	40 480	5,586 24	-292.55	ST
	Nov 4, 14	1,022.000	40.093	40,975.45	40 480	41,370 56	395.11	ST
Security total		3,921.000	40.201	157,627.69		158,722 08	1,094 39	
VENTAS INC Symbol: VTR Exchange: NYSE EAI $6,247 Current yield 4 41%	Sep 17, 13	890 000	62 986	56,058 07	71.700	63,813 00	7,754.93	LT
	Dec 23, 13	18.000	57 240	1,030 32	71 700	1,290.60	260.28	LT
	Jan 8, 14	511 000	58.211	29,746 33	71.700	36,638 70	6,892 37	ST
	Apr 14, 14	24.000	63.390	1,521.36	71.700	1,720.80	199.44	ST
	Apr 29, 14	438 000	65.710	28,781 20	71.700	31,404.60	2,623 40	ST
	Sep 22, 14	96 000	61.085	5,864 21	71.700	6,883 20	1,018 99	ST
Security total		1,977.000	62 216	123,001.49		141,750 90	18,749 41	
VERIZON COMMUNICATIONS INC Symbol VZ Exchange NYSE EAI: $12,118 Current yield 4 70%	Dec 8, 09	186.751	31 365	5,857.54	46.780	8,736.19	2,878.65	LT
	Dec 8, 09	116 000	31 365	3,638 42	46 780	5,426.48	1,788 06	LT
	Nov 24, 10	567.000	32 448	18,398.56	46.780	26,524 26	8,125 70	LT
	Feb 16, 11	42.000	36.068	1,514 86	46 780	1,964 76	449 90	LT
	Aug 29, 11	54 000	36.017	1,944 92	46 780	2,526 12	581 20	LT
	Mar 7, 12	39 000	38.940	1,518 66	46 780	1,824 42	305 76	LT
	Aug 9, 12	1,868.000	44.397	82,934.53	46 780	87,385.04	4,450 51	LT
	Jun 5, 13	81 000	48.416	3,921.76	46 780	3,789 18	-132.58	LT
	Dec 23, 13	81.000	48.725	3,946.76	46 780	3,789.18	-157 58	LT
	Feb 24, 14	815.566	48.115	39,240 97	46.780	38,152 18	-1,088.79	ST
	Feb 24, 14	230.652	48.114	11,097 81	46.780	10,789 89	-307.92	ST
	Feb 24, 14	182 786	48.114	8,794 73	46.780	8,550.72	-244.01	ST
	Feb 24, 14	120 455	48.115	5,795 67	46.780	5,634.86	-160.81	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
	Feb 24, 14	103.096	48 114	4,960 48	46 780	4,822 85	-137 63	ST
	Feb 24, 14	76.796	48.115	3,695.06	46 780	3,592 53	-102.53	ST
	Feb 24, 14	65 750	48.114	3,163.57	46 780	3,075.79	-87.78	ST
	Feb 24, 14	33.138	48.114	1,594.44	46 780	1,550 20	-44.24	ST
	Feb 24, 14	26.826	48.115	1,290 74	46 780	1,254.92	-35 82	ST
	Feb 24, 14	17 358	48.114	835.18	46.780	812 01	-23.17	ST
	Feb 24, 14	13 413	48.114	645 37	46.780	627 46	-17.91	ST
	Feb 24, 14	13.413	48.115	645.37	46 780	627 46	-17.91	ST
	Apr 14, 14	78.000	47.047	3,669.67	46.780	3,648 84	-20.83	ST
	Jul 16, 14	468.000	50.769	23,760 03	46.780	21,893 04	-1,866.99	ST
	Sep 22, 14	228 000	50.135	11,430 89	46.780	10,665.84	-765.05	ST
Secunty total		5,508.000	44 353	244,295 99		257,664 24	13,368.23	
VODAFONE GROUP PLC SPON ADR Symbol: VOD Exchange· OTC EAI: $6,491 Current yield 5.27%	Jun 19, 09	378.909	36.223	13,725.37	34 170	12,947 32	-778.05	LT
	Aug 28, 09	159.273	39.925	6,359.12	34.170	5,442 35	-916.77	LT
	Sep 8, 09	136 364	41.777	5,696.95	34.170	4,659 55	-1,037.40	LT
	May 18, 10	213.818	36.463	7,796.65	34.170	7,306 17	-490.48	LT
	Nov 24, 10	249 818	47.972	11,984 49	34 170	8,536.28	-3,448.21	LT
	Feb 16, 11	27 818	54 193	1,507.56	34.170	950.55	-557 01	LT
	Aug 29, 11	36.000	49.164	1,769.92	34 170	1,230.12	-539.80	LT
	Mar 7, 12	27 818	49.223	1,369.32	34 170	950.55	-418 77	LT
	Aug 9, 12	1,691.455	54.449	92,099 59	34 170	57,797.00	-34,302.59	LT
	Oct 23, 12	478.364	51.330	24,554 86	34 170	16,345.69	-8,209 17	LT
	Jun 5, 13	68 727	52 903	3,635 91	34 170	2,348 41	-1,287 50	LT
	Dec 23, 13	55.636	70.704	3,933.74	34 170	1,901 09	-2,032.65	LT
	Apr 14, 14	57.000	35.446	2,020 44	34 170	1,947.69	-72.75	ST
	Sep 22, 14	21.000	33.015	693 33	34 170	717 57	24.24	ST
Secunty total		3,602.000	49.180	177,147 25		123,080 34	-54,066.91	
WILLIAMS COS INC (DEL) Symbol: WMB Exchange NYSE EAI. $8,789 Current yield· 5 07%	Dec 5, 13	2,423.000	36.382	88,155.04	44 940	108,889 62	20,734.58	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
	Dec 23, 13	39 000	37 946	1,479.93	44 940	1,752 66	272 73	LT
	Jan 8, 14	769.000	38 985	29,979.62	44.940	34,558 86	4,579.24	ST
	Apr 14, 14	48.000	40.770	1,956.96	44.940	2,157.12	200.16	ST
	Apr 29, 14	390 000	42.247	16,476.41	44.940	17,526 60	1,050 19	ST
	Sep 22, 14	186 000	56.116	10,437.63	44 940	8,358 84	-2,078.79	ST
Security total		3,855.000	38.518	148,485.59		173,243.70	24,758 11	
Total				**$5,509,834.98**		**$6,477,574.48**	**$967,739.47**	

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

Structured products

There may be little or no secondary market for structured products. Prices are estimated values obtained from third parties or issuers and do not reflect adjustments taken by such third parties or issuers for financial reporting purposes arising from changes in the market value of such transactions The value at which you would be able to purchase, sell, enter into, assign or terminate any instrument will be impacted by other factors, such as hedging and transaction costs, credit considerations, bid-ask spreads and market liquidity

Holding	Trade date	Quantity	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
ROYAL BANK OF CANADA AIRBAG AYON CLF 1/23/2015 9.40% Exchange: OTC EAI· $47,000 Current yield: 20.92%	Jan 17, 14	500.000	1,000 000	500,000 00	449 430	224,715.00	-275,285.00	ST

continued next page

Your assets › **Equities** › **Structured products** (continued)

Holding	Trade date	Quantity	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
JP MORGAN CHASE AIRBAG AYON NAV 1/23/2015 8 20% Exchange: OTC EAI. $41,000 Current yield· 8.21%	Jan 17, 14	500.000	1,000 000	500,000 00	998 380	499,190 00	-810.00	ST
CITIGROUP INC AIRBAG AYON LNKD 1/30/2015 8.00% Exchange: OTC EAI: $40,000 Current yield. 8.03%	Jan 24, 14	500.000	1,000 000	500,000 00	995.730	497,865.00	-2,135 00	ST
CITIGROUP INC AIRBAG AYON AVP 1/30/2015 9 66% Exchange OTC EAI. $96,600 Current yield 13 43%	Jan 24, 14	1,000.000	1,000.000	1,000,000 00	719.490	719,490.00	-280,510.00	ST
CITIGROUP INC AIRBAG AYON MNTA 2/20/2015 12.18% Exchange: OTC EAI: $60,900 Current yield: 12.82%	Feb 14, 14	500.000	1,000.000	500,000 00	950.190	475,095.00	-24,905.00	ST
JP MORGAN CHASE AIRBAG AYON BZH 2/27/2015 9 25% Exchange: OTC EAI: $23,125 Current yield. 9.45%	Feb 21, 14	250.000	1,000 000	250,000.00	978.660	244,665.00	-5,335.00	ST
UBS AG AIRBAG AYON HOV 2/27/2015 9 30% Exchange: OTC EAI $46,500 Current yield: 11.19%	Feb 26, 14	500.000	1,000 000	500,000 00	830.970	415,485 00	-84,515 00	ST
UBS AG AIRBAG AYON AEM 3/19/2015 8.73% Exchange OTC EAI: $43,650 Current yield: 10.06%	Mar 14, 14	500.000	1,000 000	500,000 00	867.430	433,715.00	-66,285.00	ST

continued next page

Your assets › **Equities** › **Structured products** (continued)

Holding	Trade date	Quantity	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
BARCLAYS BANK PLC AIRBAG AYON TEX 3/27/2015 7 57% Exchange: OTC EAI: $37,850 Current yield: 9.42%	Mar 21, 14	500 000	1,000.000	500,000.00	803.430	401,715.00	-98,285.00	ST
ROYAL BANK OF CANADA AIRBAG AYON CREE 3/31/2015 9.15% Exchange OTC EAI $45,750 Current yield. 12.25%	Mar 27, 14	500.000	1,000 000	500,000 00	746 970	373,485.00	-126,515 00	ST
JP MORGAN CHASE AIRBAG AYON RKT 4/14/2015 6 85% Exchange· OTC EAI $68,500 Current yield· 6 87%	Apr 8, 14	1,000.000	1,000 000	1,000,000 00	996 560	996,560.00	-3,440.00	ST
ROYAL BANK OF CANADA AIRBAG AYON AMD 6/18/2015 9.10% Exchange: OTC EAI· $68,250 Current yield. 11.48%	Jun 13, 14	750.000	1,000.000	750,000.00	792 700	594,525.00	-155,475.00	ST
ROYAL BANK OF CANADA AIRBAG AYON SD 7/17/2015 8 10% Exchange OTC EAI: $40,500 Current yield· 23 11%	Jul 11, 14	500 000	1,000.000	500,000.00	350.560	175,280.00	-324,720.00	ST
UBS AG AIRBAG AYON CIEN 7/23/2015 9.00% Exchange: OTC EAI: $45,000 Current yield. 9.17%	Jul 18, 14	500.000	1,000 000	500,000 00	981.840	490,920.00	-9,080 00	ST
MORGAN STANLEY AIRBAG AYON GNW 8/13/2015 8 40% Exchange. OTC EAI $42,000 Current yield 10.82%	Aug 8, 14	500.000	1,000 000	500,000.00	776.465	388,232.50	-111,767 50	ST

continued next page

Your assets ▸ **Equities** ▸ **Structured products** (continued)

Holding	Trade date	Quantity	Purchase price/ Average price per share ($)	Cost basis ($)	Price per share on Dec 31 ($)	Value on Dec 31 ($)	Unrealized gain or loss ($)	Holding period
ROYAL BANK OF CANADA AIRBAG AYON NAV 09/24/2015 7.00% Exchange: OTC EAI $35,000 Current yield· 7.36%	Sep 19, 14	500.000	1,000 000	500,000.00	950.480	475,240.00	-24,760.00	ST
ROYAL BANK OF CANADA AIRBAG AYON NBR 11/13/2015 9.20% Exchange OTC EAI: $92,000 Current yield: 10.92%	Nov 7, 14	1,000 000	1,000.000	1,000,000.00	842.290	842,290.00	-157,710.00	ST
JPMORGAN CHASE & CO AIRBAG PAOS IP 04/21/2016 Exchange. OTC	Oct 15, 14	1,500.000	1,000 000	1,500,000 00	1,010.490	1,515,735.00	15,735.00	ST
DEUTSCHE BANK AG AIRBAG AYON F 10/31/2016 7.00% Exchange: OTC EAI: $105,000 Current yield 7 04%	Oct 28, 14	1,500.000	1,000.000	1,500,000 00	993.795	1,490,692.50	-9,307.50	ST
JPMORGAN CHASE & CO AIRBAG PAOS RKT 11/30/2016 Exchange: OTC	Nov 24, 14	2,250 000	1,000.000	2,250,000.00	994.680	2,238,030.00	-11,970.00	ST
BARCLAYS BANK PLC L/O TPAOS SPX RTY 10/29/2024 Exchange. OTC	Oct 24, 14	50,000 000	10.000	500,000.00	9 850	492,500 00	-7,500.00	ST
Total				**$15,750,000.00**		**$13,985,425.00**	**-$1,764,575.00**	

Total estimated annual income: $978,625

Account Detail

Portfolio Management Active Assets Account [redacted] 063-300
THE GROSSMAN FAMILY FOUNDATION
FLEX FID
Nickname: FLEXIBLE FIXED INCOME

STOCKS

PREFERRED STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ALLY FINANCIAL INC SER G 7% (ALFI)	6/5/14	140 000	$1,008 750	$141,225 00	$139,943 16	$(1,281 84) ST	$9,474 00	6.76
Share Price: $999.594; Moody B3 S&P B								
KKR FINL HOLDINGS 7 375%-A (KFN)	10/18/13	400 000	24 139		10,664.00	1,008 48 LT		
	12/13/13	600 000	22 832		15,996 00	2,297.10 LT		
	Total	1,000 000		$23,379.00	26,660.00	3,305 58 LT	1,844 00	6 91
Share Price $26 660, S&P BB+; Next Dividend Payable 01/2015								
RBS CAP FNDG TRUST V 5 9% (RBS E)	5/2/14	1,000 000	23 070	23,069 90	24,300 00	1,230 10 ST	1,475 00	6 06
Share Price $24 300, Moody B1 S&P BB-, Next Dividend Payable 03/2015								
RBS CAP FNDG TRUST VII 6 08% G (RBS G)	5/2/14	1,000 000	23 204	23,203.50	24,370 00	1,166 50 ST	1,520 00	6.23
Share Price $24 370; Moody B1 S&P BB-; Next Dividend Payable 03/2015								
SLM CORP 0.0000% SERIES (SLMBP)	12/10/13	200 000	69 089	13,817 88	13,410 00	(407.88) LT		
	12/10/13	100.000	68 747	6,874.66	6,705 00	(169 66) LT		
	12/10/13	400 000	68 475	27,390 00	26,820 00	(570 00) LT		
	12/18/13	100 000	66 740	6,674 00	6,705.00	31 00 LT		
	12/18/13	100.000	67 285	6,728 50	6,705.00	(23.50) LT		
	12/26/13	100 000	67 282	6,728 19	6,705 00	(23 19) LT		
	Total	1,000 000		68,213 23	67,050 00	(1,163 23) LT	1,958 00	2.92
Share Price $67.050, Moody CAA1, Next Dividend Payable 03/2015								
SLM CP SER A 6 97 PFD (SLMAP)	12/23/13	700 000	44 994	31,496 01	34,524.00	3,027 99 LT		
	12/23/13	150 000	44 800	6,720 00	7,398 00	678 00 LT		
	12/23/13	150 000	44.800	6,720 00	7,398 00	678 00 LT		
	Total	1,000 000		44,936.01	49,320 00	4,383.99 LT	3,485 00	7 06
Share Price· $49 320, Moody B3; Next Dividend Payable 01/2015								

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
STOCKS	5 1%	$324,026 64	$331,643 16	$6,526 34 LT $1,114 76 ST	$19,756 00 $0.00	5 96%

EXCHANGE-TRADED & CLOSED-END FUNDS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
STONE HARBOR EMERGING MARKET (EDI)	9/12/13	1,000 000	$19.190	$19,190.00	$15,250.00	$(3,940.00) LT		
	10/7/13	50.000	19 490	974 50	762 50	(212.00) LT		
	10/31/13	750.000	19 870	14,902 43	11,437 50	(3,464.93) LT		
	12/30/13	200 000	19 083	3,816 50	3,050 00	(766 50) LT		
	1/27/14	100.000	17 940	1,794 00	1,525 00	(269 00) ST		
	Total	2,100.000		40,677 43	32,025 00	(8,383.43) LT (269 00) ST	3,807 00	11 88

Share Price· $15 250, Next Dividend Payable 01/2015

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
EXCHANGE-TRADED & CLOSED-END FUNDS	0.5%	$40,677 43	$32,025 00	$(8,383 43) LT (269 00) ST	$3,807 00 $0 00	11 89%

Account Detail

Portfolio Management Active Assets Account [redacted] 063 300
THE GROSSMAN FAMILY FOUNDATION
FLEX FID
Nickname: FLEXIBLE FIXED INCOME

CORPORATE FIXED INCOME

CORPORATE BONDS

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
PNC FINL SERV 8 25% FIXED DIV TO	10/11/13	75,000 000	$100 522	$75,391 75			$3,338.00	4 45
5/2013 FLOATS THEREAFTER			$100.522	$75,391 75	$75,000 00	$(391.75) LT	$370.92	
CUSIP 693475AJ4								
Unit Price· $100 000; Coupon Rate 4 451%, Perpetual Maturity, Interest Paid Quarterly Nov 21, Callable $100 00 on 01/30/15, Yield to Call 4.369%, Floater; Moody BAA3 S&P BBB-; Issued 05/21/08								
ROYAL BK SCOTLAND RBS 7 64% FI XED	9/18/13	50,000 000	97 721	48,860.72				
9/29/2017 FLTS THEREAFTER			97.721	48,860.72	52,562 50	3,701.78 LT		
CUSIP 780097AU5	10/28/13	100,000 000	96 137	96,136 67				
			96 137	96,136 67	105,125 00	8,988 33 LT		
	Total	150,000 000		144,997.39			11,460 00	7 26
				144,997.39	157,687 50	12,690.11 LT	2,865 00	
Unit Price $105 125, Coupon Rate 7.640%, Perpetual Maturity, Int Semi-Annually Mar/Sep 31, Callable $100 00 on 09/29/17, Yield to Call 5 594%, Floater; Moody B2 S&P B+, Issued 10/04/07								
SWIFT ENERGY COMPANY	9/11/14	130,000 000	101.420	131,846 00			9,263.00	12.07
CUSIP 870738AF8			101 311	131,704 86	76,700.00	(55,004 86) ST	771 87	
Unit Price $59.000, Coupon Rate 7 125%, Matures 06/01/2017, Int Semi-Annually Jun/Dec 01, Callable $101.18 on 01/30/15, Moody B2 S&P B-, Issued 06/01/07								
AMERICAN EXPRESS BK FSB	12/5/13	250,000 000	98 950	247,375.00			1,152 00	0 46
CUSIP 02580EBY8			98 950	247,375 00	248,732 50	1,357 50 LT	60 80	
Unit Price· $99 493; Coupon Rate 0 460%, Matures 06/12/2017; Interest Paid Monthly Jul 12, Yield to Maturity .669%, Floater, Moody A2 S&P A-; Issued 06/12/07								
SYNOVUS FINANCIAL CORP	5/8/14	200,000 000	105 375	210,750.00				
CUSIP 87161CAG0			104.315	208,630 36	203,000.00	(5,630 36) ST		
	10/28/14	25,000 000	103 375	25,843 75				
			103 169	25,792.18	25,375.00	(417.18) ST		
	Total	225,000 000		236,593.75			11,531 00	5 04
				234,422 54	228,375 00	(6,047.54) ST	512 49	
Unit Price. $101.500, Coupon Rate 5 125%; Matures 06/15/2017, Int Semi-Annually Jun/Dec 15, Yield to Maturity 4 472%, Moody B1 S&P B+, Issued 06/20/05								
STARWOOD PROPERTY TRUST	11/4/14	133,000 000	100 250	133,332.50			4,988.00	3 69
CUSIP 85571BAC9			100 238	133,316 27	134,995 00	1,678.73 ST	1,149.89	
Unit Price $101 500, Coupon Rate 3 750%, Matures 10/15/2017, Int. Semi-Annually Apr/Oct 15, Yield to Maturity 3 182%, First Coupon 04/15/15, Convertible, S&P BB-; Issued 10/08/14								
ENERGY XXI GULF COAST INC	6/18/14	125,000 000	107.625	134,531 25				
CUSIP 29276KAP6			106.587	133,234 21	81,250 00	(51,984.21) ST		
	9/5/14	50,000 000	106 100	53,050 00				
			105 724	52,861.84	32,500 00	(20,361.84) ST		
	Total	175,000 000		187,581.25			16,188 00	14.23
				186,096 05	113,750 00	(72,346 05) ST	719 44	
Unit Price $65.000; Coupon Rate 9 250%, Matures 12/15/2017, Int Semi-Annually Jun/Dec 15; Callable $104.62 on 01/30/15; Yield to Maturity 27 227%, Moody B3 S&P B; Issued 06/15/11								
HECKMANN CORPORATION	9/17/14	120,000.000	100 750	120,900 00			11,850.00	16 45
CUSIP 422680AE8			100 700	120,839.88	72,000.00	(48,839.88) ST	2,501 66	
Unit Price: $60 000, Coupon Rate 9 875%, Matures 04/15/2018, Int Semi-Annually Apr/Oct 15, Callable $104 93 on 04/15/15, Yield to Maturity 29 711%, Moody CAA2 S&P B; Issued 04/10/12								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
NATIONSTAR MORTGAGE CAP CORP	2/13/14	65,000.000	101.440	65,936 00				
CUSIP 63860UAM2			101.189	65,772 56	61,912 50	(3,860 06) ST		
	8/4/14	60,000.000	100.188	60,112 80				
			100.171	60,102.68	57,150 00	(2,952.68) ST		
	Total	125,000.000		126,048 80			8,125.00	6 82
				125,875.24	119,062 50	(6,812.74) ST	3,385.41	
Unit Price· $95 250, Coupon Rate 6 500%, Matures 08/01/2018, Int Semi-Annually Feb/Aug 01, Callable $103.25 on 08/01/15, Yield to Maturity 8 049%, Moody B2 S&P B+, Issued 07/22/13								
GOLDMAN SACHS GROUP INC	11/13/13	250,000 000	100 178	250,445.00			3,330.00	1.31
CUSIP 38141EB73			100.139	250,347 67	252,450.00	2,102.33 LT	444 03	
Unit Price $100.980, Coupon Rate 1 332%, Matures 11/15/2018, Interest Paid Quarterly May 13; Yield to Maturity 1 073%, Floater, Moody BAA1 S&P A-; Issued 11/15/13								
ARES CAPITAL CORP	11/20/14	135,000 000	103 500	139,725.00			5,906 00	4 36
CUSIP 04010LAM5			103 500	139,725 00	135,337 50	(4,387 50) ST	2,723 43	
Unit Price. $100 250, Coupon Rate 4.375%; Matures 01/15/2019, Int Semi-Annually Jan/Jul 15, Yield to Maturity 4 306%, Convertible, S&P BBB, Issued 07/19/13								
INTL BK RECON & DEVELOP	5/20/14	525,000 000	33 104	173,795 48			4,804 00	3 01
CUSIP U9871QDK9			33 104	173,795 48	159,206.25	(14,589 23) ST	4,395 64	
FX Rate .2815315 PLN	—	—	—	—	565,500 64	—	17,063.80	
							15,613 31	
Unit Price USD· 30 325, PLN· 107 71, Coupon Rate 3.250%, Matures 01/31/2019, Interest Paid Annually Jan 31, Moody AAA; Issued 01/31/12								
SHEA HOMES LIMITED PARTNERSHIP	3/12/14	90,000 000	110 530	99,477 00			7,763 00	8.21
CUSIP 82088KAB4			109.122	98,210 14	94,500.00	(3,710 14) ST	991.87	
Unit Price: $105.000, Coupon Rate 8 625%; Matures 05/15/2019; Int. Semi-Annually May/Nov 15; Callable $104 31 on 05/15/15, Yield to Call 6.382%; Moody B2 S&P B, Issued 11/15/11								
AES CORP VA	8/7/14	102,000 000	100 250	102,255 00				
CUSIP 00130HBV6			100.231	102,235.88	99,450.00	(2,785 88) ST		
	10/16/14	50,000 000	99 375	49,687.50				
			99 375	49,687 50	48,750.00	(937 50) ST		
	Total	152,000 000		151,942.50			4,915 00	3 31
				151,923 38	148,200 00	(3,723 38) ST	409 58	
Unit Price $97.500, Coupon Rate 3 233%; Matures 06/01/2019, Interest Paid Quarterly Sep 01, Callable $101.00 on 06/01/15, Yield to Maturity 3.854%; Floater; Moody BA3 S&P BB-, Issued 05/20/14								
RYLAND GROUP	4/24/14	140,000.000	93.500	130,900.00			350 00	0.27
CUSIP 783764AS2			93 500	130,900 00	129,588.20	(1,311 80) ST	29 16	
Unit Price $92 563, Coupon Rate 0 250%, Matures 06/01/2019, Int Semi-Annually Jun/Dec 01, Yield to Maturity 2 019%, Convertible; Moody B1 S&P BB-; Issued 05/20/13								
SWIFT ENERGY COMPANY	9/25/14	32,000 000	103 000	32,960 00			2,840 00	15.57
CUSIP 870738AG6			102 996	32,958 57	18,240 00	(14,718 57) ST	1,309.55	
Unit Price $57.000; Coupon Rate 8 875%; Matures 01/15/2020, Int Semi-Annually Jan/Jul 15; Callable $104.43 on 01/30/15, Yield to Maturity 24.038%, Moody B2 S&P B-; Issued 11/25/09								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
BARCLAYS BANK PLC	6/6/14	200,000 000	100 343	200,686 00			2,462.00	1.23
CUSIP 06741TRQ2			100 311	200,622.59	199,498.00	(1,124.59) ST	560.83	
Unit Price: $99 749, Coupon Rate 1 231%, Matures 04/09/2020; Interest Paid Quarterly Jul 09, Yield to Maturity 1 280%, Floater, Moody A2 S&P A; Issued 04/09/13								
HOST HOTELS & RESORTS, L.P.	1/2/14	100,000 000	109 550	109,550 00			6,000.00	5.62
CUSIP 44107TAK2			108 337	108,336 87	106,631 00	(1,705.87) ST	2,500 00	
Unit Price: $106.631, Coupon Rate 6 000%, Matures 11/01/2020; Int. Semi-Annually Feb/Aug 01, Callable $103 00 on 11/01/15, Yield to Call 1 548%; Moody BAA3 S&P BBB; Issued 02/01/11								
THE MANITOWOC COMPANY, INC.	2/18/14	175,000 000	113.250	198,187.50			14,875.00	7 87
CUSIP 563571AH1			111 822	195,688.68	189,000 00	(6,688.68) ST	2,479.16	
Unit Price $108 000, Coupon Rate 8 500%; Matures 11/01/2020, Int Semi-Annually May/Nov 01; Callable $104 25 on 11/01/15, Yield to Call 3 719%; Moody B2 S&P BB-; Issued 10/18/10								
COEUR MINING INC	6/5/14	120,000.000	97 500	117,000.00				
CUSIP 192108AY4			97 500	117,000 00	94,500 00	(22,500 00) ST		
	9/22/14	15,000.000	96 200	14,430.00				
			96 200	14,430 00	11,812 50	(2,617.50) ST		
	10/7/14	50,000 000	91 125	45,562 50				
			91 125	45,562.50	39,375 00	(6,187 50) ST		
	Total	185,000.000		176,992.50			14,569 00	10 00
				176,992.50	145,687.50	(31,305 00) ST	6,070.31	
Unit Price: $78 750, Coupon Rate 7.875%, Matures 02/01/2021; Int Semi-Annually Feb/Aug 01, Callable $103 93 on 02/01/17, Yield to Maturity 13 038%; Moody B3 S&P B+; Issued 08/01/13								
HERCULES OFFSHORE INC REGS	5/28/14	165,000 000	101 600	167,640 00			12,375.00	17.04
CUSIP U42714AE2			101 501	167,476 09	72,600.00	(94,876 09) ST	3,093 75	
Unit Price $44.000; Coupon Rate 7 500%, Matures 10/01/2021; Int Semi-Annually Apr/Oct 01, Callable $105.62 on 10/01/16, Yield to Maturity 25 121%; Moody B3 S&P B-, Issued 10/01/13								
RYLAND GROUP	10/20/14	68,000 000	98 000	66,640.00			3,655.00	5 54
CUSIP 783764AR4			98 000	66,640 00	65,960.00	(680 00) ST	913.75	
Unit Price $97.000, Coupon Rate 5 375%, Matures 10/01/2022; Int Semi-Annually Apr/Oct 01, Yield to Maturity 5 861%, Moody B1 S&P BB-, Issued 09/21/12								
GENERAL ELECTRIC CAPITAL CORP	11/21/13	200,000 000	99 100	198,200.00			2,461.00	1.23
CUSIP 36966TJA1			99 100	198,200 00	200,002 00	1,802 00 LT	519.58	
Unit Price: $100 001; Coupon Rate 1 230%, Matures 04/15/2023, Interest Paid Quarterly Jul 15, Yield to Maturity 1 230%, Floater, Moody A1 S&P AA+; Issued 04/16/13								
RESOLUTE FOREST PRODUCTS	6/23/14	175,000 000	97.875	171,281.25				
CUSIP 76117WAB5			97.875	171,281.25	166,250 00	(5,031.25) ST		
	7/11/14	35,000 000	98 250	34,387 50				
			98 250	34,387.50	33,250.00	(1,137 50) ST		
	7/18/14	25,000.000	97 150	24,287 50				
			97 150	24,287 50	23,750 00	(537.50) ST		
	Total	235,000 000		229,956 25			13,806.00	6 18
				229,956 25	223,250 00	(6,706.25) ST	1,764.13	
Unit Price $95 000, Coupon Rate 5 875%, Matures 05/15/2023; Int Semi-Annually May/Nov 15, Callable $104 40 on 05/15/17, Yield to Maturity 6 662%, Moody BA3 S&P BB-, Issued 05/15/14								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
ZIONS BANCORPORATION 5.65% FXD TO	12/15/14	120,000.000	103 250	123,900 00			6,780.00	5.43
11/05/2018 FLTS THEREAFTER			103.239	123,887.36	124,816.80	929 44 ST	866.33	
CUSIP 989701BH9								
Unit Price· $104 014; Coupon Rate 5.650%; Matures 11/15/2023; Int Semi-Annually May/Nov 15, Callable $100 00 on 11/15/18, Yield to Call 4 507%; Floater; S&P BB+, Issued 11/05/13								
GOODYEAR TIRE & RUBBER NOTES	6/2/14	100,000.000	105 625	105,625 00				
CUSIP 382550AD3			105 474	105,474.40	103,500 00	(1,974.40) ST		
	6/3/14	50,000.000	105 600	52,800 00				
			105 451	52,725 39	51,750 00	(975.39) ST		
	Total	150,000 000		158,425.00			10,500.00	6.76
				158,199 79	155,250 00	(2,949 79) ST	3,091 66	
Unit Price: $103 500, Coupon Rate 7.000%, Matures 03/15/2028; Int. Semi-Annually Mar/Sep 15, Yield to Maturity 6 597%, Moody B2 S&P B+; Issued 03/16/98								
NELNET INC 7.4% FIXED TO 9/2011 FLOATS	12/26/13	100,000.000	75 000	75,000 00				
THEREAFTER			75 000	75,000 00	73,500 00	(1,500.00) LT		
CUSIP 64031NAB4	12/27/13	25,000 000	75 000	18,750 00				
			75 000	18,750 00	18,375 00	(375 00) LT		
	2/7/14	100,000.000	75 500	75,500 00				
			75 500	75,500 00	73,500 00	(2,000.00) ST		
	Total	225,000 000		169,250 00			8,167.00	4.93
				169,250 00	165,375 00	(1,875.00) LT (2,000 00) ST	45 37	
Unit Price. $73 500, Coupon Rate 3 629%, Matures 09/29/2036, Interest Paid Quarterly Mar 29, Callable $100 00 on 01/30/15, Yield to Maturity 5 786%, Floater, Moody BA2 S&P BB, Issued 09/27/06								
METLIFE INC 6 4% FIXED TO 12/2036	7/24/14	61,000 000	112 725	68,762.25				
FLOATS THEREAFTER			112 708	68,751.61	68,015.00	(736 61) ST		
CUSIP 59156RAP3	8/4/14	29,000 000	112 240	32,549 60				
			112 224	32,545 03	32,335 00	(210 03) ST		
	Total	90,000 000		101,311.85			5,760 00	5.73
				101,296 64	100,350 00	(946 64) ST	255.99	
Unit Price· $111 500, Coupon Rate 6 400%, Matures 12/15/2036, Int Semi-Annually Jun/Dec 15, Callable $100 00 on 12/15/31; Yield to Call 5 359%, Floater; Moody BAA2 S&P BBB, Issued 12/21/06								
JPM CHASE CAPITAL XXI	7/21/14	180,000 000	86 000	154,800.00			2,128.00	1 44
CUSIP 48123KAA4			86.000	154,800 00	147,600 00	(7,200 00) ST	354 69	
Unit Price. $82 000, Coupon Rate 1 182%, Matures 02/02/2037, Interest Paid Quarterly May 01, Callable $100 00 on 01/30/15; Yield to Maturity 2 217%, Floater; Moody BAA2 S&P BBB-, Issued 02/02/07								
STATE STREET CAP TR IV	3/14/14	250,000 000	78 500	196,250 00			3,102.00	1 49
CUSIP 85748DAA7			78 500	196,250.00	207,500 00	11,250 00 ST	120.61	
Unit Price· $83 000, Coupon Rate 1.240%, Matures 06/15/2037; Interest Paid Quarterly Sep 17, Callable $100.00 on 03/31/15, Yield to Maturity 2 204%; Floater, Moody A3 S&P BBB; Issued 04/30/07								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
CHESAPEAKE ENERGY CORP	3/5/14	125,000 000	94.750	118,437.50			2,813.00	2 50
CUSIP 165167CB1			102 144	127,679.61	112,266 25	(15,413.36) ST	124.99	
Unit Price: $89.813, Coupon Rate 2.250%, Matures 12/15/2038, Int Semi-Annually Jun/Dec 15; Callable $100.00 on 12/15/18, Yield to Maturity 2.839%; Convertible; Moody BA1 S&P BB+; Issued 05/27/08								
AEGON NV	7/18/14	75,000.000	90 750	68,062 50				
CUSIP N00927DA3			90.750	68,062.50	64,620 00	(3,442 50) ST		
	8/21/14	100,000 000	90 500	90,500.00				
			90 500	90,500 00	86,160 00	(4,340.00) ST		
	12/23/14	50,000 000	85 750	42,875 00				
			85 750	42,875 00	43,080.00	205 00 ST		
	Total	225,000 000		201,437 50			5,734.00	2 95
				201,437 50	193,860 00	(7,577 50) ST	1,210 53	
Unit Price. $86 160, Coupon Rate 2 548%, Matures 07/29/2049; Interest Paid Quarterly Oct 15, Callable $100 00 on 01/15/15, Yield to Maturity 3 214%, Floater, Moody BAA1 S&P BBB; Issued 07/15/04								
NATL WESTMINSTER BANK	7/16/14	140,000 000	68 000	95,200 00			788.00	0 90
CUSIP G63812AG9			68.000	95,200 00	87,500 00	(7,700 00) ST	376 25	
Unit Price $62.500, Coupon Rate 0 562%; Matures 07/29/2049, Int. Semi-Annually Jan/Jul 09; Callable $100.00 on 07/11/15, Yield to Maturity 2 091%, Floater, Moody BA3 S&P BB; Issued 07/09/85								
LLOYDS BANK PLC	12/11/13	250,000 000	65 250	163,125.00			1,094.00	0 64
CUSIP G55356AH5			65 250	163,125 00	170,475.00	7,350.00 LT	121.52	
Unit Price: $68.190, Coupon Rate 0 437%; Matures 11/29/2049; Interest Paid Quarterly Feb 21, Callable $100.00 on 02/27/15; Yield to Maturity 1 637%, Floater, Moody BAA3 S&P BB+, Issued 11/21/85								
ILFC E-CAPITAL TRUST I REG S	10/21/14	180,000 000	95 000	171,000 00			7,866.00	4 69
CUSIP U4504YAA3			95 000	171,000.00	167,400 00	(3,600 00) ST	262.19	
Unit Price $93 000, Coupon Rate 4 370%, Matures 12/21/2065; Interest Paid Quarterly Jun 19, Callable $100 00 on 01/30/15, Yield to Maturity 4 735%, Floater, Moody B1 S&P B+, Issued 12/21/05								
SOUTHERN UNION CO 7 2% FIXED TO 11/11 FLOATS THEREAFTER	8/11/14	125,000 000	81.500	101,875 00			4,062.00	4.08
CUSIP 844030AH9			81.500	101,875.00	99,375.00	(2,500 00) ST	677.04	
Unit Price: $79.500, Coupon Rate 3 249%; Matures 11/01/2066; Interest Paid Quarterly May 01, Callable $100.00 on 01/30/15; Yield to Maturity 4.227%; Floater; S&P BB; Issued 10/23/06								
TEXTRON FIN CORP 6% FIXED TO 2 /15/17 FLOATS THEREAFTER REG S	4/1/14	225,000 000	91 750	206,437 50			13,500.00	6.66
CUSIP U88321AC5			91 750	206,437 50	202,500 00	(3,937 50) ST	5,100.00	
Unit Price· $90.000, Coupon Rate 6 000%, Matures 02/15/2067, Int Semi-Annually Feb/Aug 15; Callable $100 00 on 02/15/17, Yield to Maturity 6 691%; Floater; Moody BA1 S&P BB; Issued 02/08/07								
CORPORATE BONDS		6,320,000.000		$5,692,613 02			$250,300 00	4 72%
				$5,692,230 60	$5,300,721 00	$23,035 19 LT $(414,544 79) ST	$53,149.42	

Account Detail Portfolio Management Active Assets Account THE GROSSMAN FAMILY FOUNDATION
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Nickname FLEXIBLE FIXED INCOME

CORPORATE FIXED INCOME

FIXED-RATE CAPITAL SECURITIES

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
ARES CAPITAL CORP 5 875% (ARU)	12/30/13	400.000	$24 662	$9,864 79			$588 00	5 75
			$24.662	$9,864 79	$10,220.00	$355.21 LT	—	
Unit Price: $25 550, Coupon Rate 5 875%, Matures 10/01/2022, Interest Paid Quarterly Apr 01; Callable $25 00 on 10/01/15; S&P BBB								
FIFTH STREET FIN CORP 5 875% (FSCE)	1/9/14	600 000	22 667	13,600 14				
			22 667	13,600 14	14,904 00	1,303.86 ST		
	1/28/14	400 000	23 194	9,277.44				
			23 194	9,277 44	9,936 00	658.56 ST		
	Total	1,000.000		22,877 58			1,469 00	5 91
				22,877 58	24,840 00	1,962.42 ST	—	
Unit Price: $24 840, Coupon Rate 5 875%; Matures 10/30/2024; Interest Paid Quarterly Apr 30, Callable $25.00 on 10/30/17, S&P BBB-								
MERRILL LYNCH CAP TR II 6 45% 06/15/2062 (MER M)	10/18/13	250 000	24 734	6,183.55				
			24 734	6,183 55	6,322 50	138.95 LT		
	12/13/13	750.000	24 651	18,488 21				
			24 651	18,488 21	18,967 50	479.29 LT		
	Total	1,000 000		24,671 76			1,613 00	6 37
				24,671 76	25,290.00	618.24 LT	—	
Unit Price $25.290, Coupon Rate 6 450%, Matures 06/15/2062, Interest Paid Quarterly Sep 15, Callable $25 00 on 01/31/15, Floater, Moody BA1 S&P BB								
FIXED-RATE CAPITAL SECURITIES		—		$57,414 13			$3,670.00	6 08%
				$57,414 13	$60,350.00	$973.45 LT $1,962 42 ST	$0 00	

	Face Value Percentage of Assets %	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
CORPORATE FIXED INCOME	6,320,000 000	$5,750,027 15			$253,970.00	4.74%
		$5,749,644 73	$5,361,071 00	$24,008 64 LT $(412,582 37) ST	$53,149 42	
TOTAL CORPORATE FIXED INCOME (incl.accr.int.)	83 6%		$5,414,220.42			

Fixed income securities that are denominated in any currency other than U S. dollars (USD) display the representative price, value, income and interest amounts in both (1) USD equivalent amounts calculated using a reference FX rate as of the close of the last business day in the statement period, and (2) the foreign currency in which the security is denominated We may charge fees for conversion of FX, hence the exact USD amount needed to purchase non-USD denominated securities may be more than the price displayed and the exact USD amount received upon the sale of non-USD denominated securities may be less than the value displayed

Account Detail

Portfolio Management Active Assets Account THE GROSSMAN FAMILY FOUNDATION
[redacted] 063 300 FLEXFID
Nickname FLEXIBLE FIXED INCOME

MUTUAL FUNDS

OTHER MUTUAL FUNDS

"Total Purchases vs. Market Value" is provided to assist you in comparing your "Total Purchases," excluding reinvested distributions, with the current value of the mutual fund positions in your account.

"Cumulative Cash Distributions" when shown, may reflect distributions on shares no longer held in the account It may not reflect all distributions received in cash, due to but not limited to: investments made prior to addition of this information on statements, securities transfers, timing of recent distributions; and certain adjustments made in your account.

"Net Value Increase/ (Decrease)" reflects the difference between your total purchases, and the sum of the current value of the fund's shares, and cash distributions shown This calculation is for informational purposes only and does not reflect your total unrealized gain or loss nor should it be used for tax purposes.

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
HIGHLAND FLTG RATE OPPORT A (HFRAX)	11/8/13	21,957.340	$7 970	$175,000 00	$172,804 27	$(2,195.73) LT		
	11/18/13	15,605 493	8 010	125,000 00	122,815 23	(2,184 77) LT		
	Total	37,562 833		300,000 00	295,619 50	(4,380.50) LT	12,959 00	4.38
Total Purchases vs Market Value				300,000.00	295,619 50			
Cumulative Cash Distributions					13,170.86			
Net Value Increase/(Decrease)					8,790 36			

Share Price $7 870, Dividend Cash, Capital Gains Cash

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
MUTUAL FUNDS	4 6%	$300,000.00	$295,619 50	$(4,380.50) LT	$12,959 00 $0 00	4.38%

STOCKS

PREFERRED STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
CHESAPEAKE ENERGY CORP SER-A	12/8/14	33.000	$1,005.000	$33,165.00	$34,193 81	$1,028 81 ST		
(CHKVP)	12/23/14	10 000	1,036 177	10,361 77	10,361 76	(0.01) ST		
	Total	43 000		43,526.77	44,555 58	1,028 80 ST	2,473.00	5 55

Share Price $1,036.177; S&P B+; Next Dividend Payable 02/2015

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
STOCKS	1 4%	$43,526 77	$44,555 58	$1,028.80 ST	$2,473.00 $0.00	5.55%

CORPORATE FIXED INCOME

CORPORATE BONDS

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
PROLOGIS INC	2/19/14	34,000 000	$117 250	$39,865 00			$553.00	1 46
CUSIP 74340XAT8			$117 250	$39,865 00	$37,782 50	$(2,082.50) ST	$325 36	
Unit Price: $111 125, Coupon Rate 3 250%, Matures 03/15/2015, Int. Semi-Annually Mar/Sep 15, Convertible, S&P BBB+, Issued 03/15/11								
ANNALY CAPITAL MGMT	2/18/14	26,000 000	102 500	26,650 00				
CUSIP 035710AB8			100.762	26,198 11	26,130.00	(68.11) ST		
	3/7/14	34,000 000	102 125	34,722 50				
			100 680	34,231.12	34,170 00	(61 12) ST		
	Total	60,000 000		61,372 50			1,500.00	2 48
				60,429.23	60,300 00	(129 23) ST	383 33	
Unit Price. $100 500, Coupon Rate 5 000%, Matures 05/15/2015, Int Semi-Annually May/Nov 15, Yield to Maturity 3 616%, Convertible, Issued 05/14/12								
INVERNESS MEDICAL INNOVATIONS, INC	10/17/14	13,000 000	104 832	13,628 21				
CUSIP 01449JAA3			104 832	13,628 21	13,520 00	(108.21) ST		
	10/21/14	10,000 000	106 161	10,616 10				
			106 161	10,616.10	10,400.00	(216.10) ST		
	Total	23,000.000		24,244 31			690 00	2 88
				24,244.31	23,920 00	(324.31) ST	88 16	
Unit Price $104 000, Coupon Rate 3 000%, Matures 05/15/2016, Int Semi-Annually May/Nov 15, Convertible, S&P CCC+; Issued 05/14/07								
ICONIX BRANDS GROUP, INC	12/22/14	24,000 000	117 244	28,138 51			600.00	2 12
CUSIP 451055AE7			117 244	28,138 51	28,245.12	106 61 ST	49 99	
Unit Price. $117 688, Coupon Rate 2.500%, Matures 06/01/2016, Int. Semi-Annually Jun/Dec 01, Convertible, Issued 05/23/11								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
INTEGRA LIFESCIENCES HOLDINGS	7/31/14	52,000 000	107.250	55,770.00				
CORPORATION			107 250	55,770.00	55,282.76	(487.24) ST		
CUSIP 457985AK5	8/13/14	16,000 000	108 451	17,352 13				
			108.451	17,352 13	17,010.08	(342.05) ST		
	Total	68,000 000		73,122 13			1,105.00	1 52
				73,122 13	72,292.84	(829 29) ST	49 11	
Unit Price: $106.313; Coupon Rate 1 625%; Matures 12/15/2016, Int Semi-Annually Jun/Dec 15, Convertible; Issued 06/15/11								
STONE ENERGY CORPORATION	2/7/14	6,000 000	108 302	6,498 13				
CUSIP 861642AN6			108.302	6,498.13	5,216 28	(1,281.85) ST		
	2/19/14	16,000.000	113 875	18,220 00				
			113 875	18,220 00	13,910 08	(4,309.92) ST		
	8/4/14	18,000 000	112 669	20,280 35				
			112 669	20,280 35	15,648.84	(4,631 51) ST		
	8/14/14	10,000 000	110 804	11,080 35				
			110.804	11,080 35	8,693 80	(2,386.55) ST		
	9/25/14	7,000 000	106.763	7,473 38				
			106 763	7,473 38	6,085 66	(1,387 72) ST		
	Total	57,000 000		63,552 21			998 00	2.01
				63,552 21	49,554 66	(13,997 55) ST	332 49	
Unit Price: $86 938; Coupon Rate 1 750%; Matures 03/01/2017; Int Semi-Annually Mar/Sep 01; Yield to Maturity 8 473%, Convertible, S&P B-, Issued 03/06/12								
MEDICINES COMPANY	10/14/14	23,000 000	104.131	23,950.02				
CUSIP 584688AC9			104 131	23,950 02	26,550.74	2,600 72 ST		
	10/30/14	10,000 000	112 985	11,298 54				
			112.985	11,298 54	11,543.80	245 26 ST		
	Total	33,000.000		35,248.56			454.00	1.19
				35,248 56	38,094 54	2,845 98 ST	37 81	
Unit Price: $115 438, Coupon Rate 1 375%, Matures 06/01/2017, Int. Semi-Annually Jun/Dec 01, Convertible, Issued 06/11/12								
CIENA CORP	2/7/14	26,000 000	102.000	26,520 00				
CUSIP 171779AE1			102 000	26,520 00	25,756 38	(763 62) ST		
	2/18/14	35,000 000	105.750	37,012 50				
			105 750	37,012 50	34,672 05	(2,340.45) ST		
	4/4/14	17,000 000	101 025	17,174 28				
			101 025	17,174 28	16,840 71	(333.57) ST		
	7/28/14	18,000 000	99 250	17,865 00				
			99 250	17,865 00	17,831 34	(33 66) ST		
	11/18/14	3,000.000	97 500	2,925 00				
			97 500	2,925 00	2,971 89	46.89 ST		

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
	Total	99,000 000		101,496 78			866 00	0.88
				101,496.78	98,072 37	(3,424.41) ST	38.49	
Unit Price: $99.063, Coupon Rate 0 875%, Matures 06/15/2017, Int Semi-Annually Jun/Dec 15, Yield to Maturity 1.264%, Convertible, S&P B; Issued 06/11/07								
NEWMONT MINING CORP	10/24/14	13,000 000	101.625	13,211 25				
CUSIP 651639AJ5			101 625	13,211 25	13,203.19	(8.06) ST		
	10/30/14	21,000 000	101.313	21,275 63				
			101 313	21,275 63	21,328 23	52.60 ST		
	11/13/14	16,000.000	100.625	16,100 00				
			100 625	16,100 00	16,250 08	150.08 ST		
	12/23/14	16,000 000	101 500	16,240 00				
			101.500	16,240 00	16,250.08	10 08 ST		
	Total	66,000 000		66,826.88			1,073 00	1 60
				66,826 88	67,031 58	204 70 ST	494 54	
Unit Price $101.563, Coupon Rate 1 625%, Matures 07/15/2017, Int. Semi-Annually Jan/Jul 15, Yield to Maturity 1 000%, Convertible, S&P BBB, Issued 07/17/07								
NEWPARK RESOURCES INC	12/3/14	13,000 000	114 340	14,864 15				
CUSIP 651718AC2			114 340	14,864.15	14,616 94	(247.21) ST		
	12/3/14	10,000 000	115 191	11,519 05				
			115.191	11,519.05	11,243 80	(275.25) ST		
	Total	23,000 000		26,383 20			920.00	3 55
				26,383 20	25,860.74	(522.46) ST	230 00	
Unit Price. $112 438; Coupon Rate 4.000%, Matures 10/01/2017, Int. Semi-Annually Apr/Oct 01, Convertible, S&P B+; Issued 10/04/10								
BOTTOMLINE TECHNOLOGIES/EPAY	11/19/14	17,000 000	106.144	18,044 45				
CUSIP 101388AA4			106.144	18,044 45	18,020.00	(24 45) ST		
	11/21/14	17,000 000	106 793	18,154 76				
			106 793	18,154 76	18,020 00	(134 76) ST		
	Total	34,000 000		36,199 21			510 00	1 41
				36,199.21	36,040.00	(159 21) ST	42 49	
Unit Price $106 000, Coupon Rate 1.500%; Matures 12/01/2017; Int. Semi-Annually Jun/Dec 01; Convertible, Issued 12/12/12								
ARES CAPITAL CORPORATION	12/10/13	10,000 000	105.579	10,557 88				
CUSIP 04010LAJ2			105 579	10,557 88	10,250.00	(307.88) LT		
	2/7/14	9,000 000	107 875	9,708.75				
			107.875	9,708.75	9,225.00	(483.75) ST		
	2/18/14	11,000.000	108 500	11,935 00				
			108.500	11,935 00	11,275 00	(660 00) ST		
	2/28/14	8,000 000	108 425	8,673 97				
			108.425	8,673 96	8,200 00	(473.96) ST		

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
	8/8/14	10,000 000	105 000	10,500.00				
			105.000	10,500 00	10,250 00	(250 00) ST		
	9/24/14	14,000 000	104 250	14,595 00				
			104 250	14,595.00	14,350 00	(245.00) ST		
	Total	62,000 000		65,970 60			2,945 00	4.63
				65,970 59	63,550.00	(307.88) LT (2,112.71) ST	1,357 97	
Unit Price: $102 500, Coupon Rate 4.750%, Matures 01/15/2018, Int Semi-Annually Jan/Jul 15, Yield to Maturity 3 869%, Convertible; S&P BBB; Issued 10/10/12								
WEBMD HEALTH CORP CUSIP 94770VAF9	2/18/14	15,000 000	108 000	16,200 00				
			108 000	16,199 99	14,962 50	(1,237.49) ST		
	3/4/14	17,000 000	101.625	17,276.25				
			101 625	17,276 25	16,957 50	(318.75) ST		
	3/4/14	42,000 000	103 381	43,420.10				
			103 381	43,420 10	41,895 00	(1,525.10) ST		
	Total	74,000.000		76,896 35			1,850 00	2.50
				76,896 34	73,815.00	(3,081.34) ST	770 83	
Unit Price: $99.750, Coupon Rate 2 500%, Matures 01/31/2018, Int Semi-Annually Jan/Jul 31; Yield to Maturity 2.585%, Convertible, Issued 01/11/11								
PDL BIOPHARMA INC CUSIP 69329YAF1	2/7/14	38,000 000	102.924	39,111.08				
			102 924	39,111 08	36,337 50	(2,773 58) ST		
	2/19/14	40,000 000	104 375	41,750.00				
			104 375	41,750 00	38,250 00	(3,500.00) ST		
	Total	78,000 000		80,861 08			3,120 00	4.18
				80,861 08	74,587 50	(6,273 58) ST	1,300.00	
Unit Price. $95 625; Coupon Rate 4 000%, Matures 02/01/2018, Int Semi-Annually Feb/Aug 01, Yield to Maturity 5 562%, Convertible, Issued 02/12/14								
STARWOOD PROPERTY TRUST CUSIP 85571BAA3	11/18/13	14,000 000	108 700	15,218 00				
			108.700	15,218 00	14,875 00	(343.00) LT		
	2/7/14	12,000 000	114.100	13,692.00				
			114 100	13,692 00	12,750 00	(942.00) ST		
	2/18/14	14,000 000	115 625	16,187 50				
			115.625	16,187.50	14,875 00	(1,312 50) ST		
	Total	40,000 000		45,097 50			1,820 00	4.28
				45,097 50	42,500 00	(343.00) LT (2,254.50) ST	606.66	
Unit Price: $106 250, Coupon Rate 4 550%, Matures 03/01/2018, Int Semi-Annually Mar/Sep 01, Yield to Maturity 2.484%, Convertible, S&P BB-; Issued 02/15/13								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
REDWOOD TRUST INC	2/7/14	4,000 000	103.000	4,120.00				
CUSIP 758075AB1			103.000	4,120.00	3,935.00	(185.00) ST		
	2/18/14	22,000.000	104 000	22,880 00				
			104 000	22,880 00	21,642.50	(1,237 50) ST		
	2/27/14	12,000 000	104 854	12,582 42				
			104.854	12,582 42	11,805 00	(777 42) ST		
	Total	38,000.000		39,582 42			1,758 00	4.70
				39,582.42	37,382 50	(2,199 92) ST	371.02	
Unit Price: $98.375; Coupon Rate 4 625%, Matures 04/15/2018; Int Semi-Annually Apr/Oct 15, Yield to Maturity 5.166%; Convertible, Issued 03/06/13								
NETSUITE INC	7/16/14	36,000.000	101 509	36,543 10				
CUSIP 64118QAB3			101.509	36,543.10	40,320.00	3,776.90 ST		
	7/30/14	21,000.000	103.269	21,686 45				
			103.269	21,686 45	23,520.00	1,833 55 ST		
	8/14/14	13,000 000	102.764	13,359 35				
			102 764	13,359 35	14,560 00	1,200 65 ST		
	Total	70,000 000		71,588 90			175 00	0 22
				71,588 90	78,400 00	6,811.10 ST	14 58	
Unit Price $112 000, Coupon Rate 0 250%; Matures 06/01/2018, Int Semi-Annually Jun/Dec 01; Convertible, Issued 06/04/13								
BROADSOFT INC	9/17/13	2,000.000	112 100	2,242 00				
CUSIP 11133BAB8			112 100	2,242 00	2,095 00	(147 00) LT		
	11/18/13	3,000 000	102 000	3,060 00				
			102 000	3,060 00	3,142 50	82 50 LT		
	2/6/14	5,000.000	106 188	5,309 38				
			106.188	5,309 38	5,237 50	(71.88) ST		
	2/19/14	7,000 000	108 850	7,619 50				
			108 850	7,619.50	7,332 50	(287 00) ST		
	5/7/14	20,000 000	96 625	19,325 00				
			96 625	19,325 00	20,950 00	1,625.00 ST		
	5/13/14	21,000 000	99 000	20,790 00				
			99 000	20,790 00	21,997 50	1,207 50 ST		
	Total	58,000 000		58,345 88			870 00	1 43
				58,345 88	60,755.00	(64.50) LT 2,473.62 ST	435 00	
Unit Price $104 750; Coupon Rate 1.500%, Matures 07/01/2018, Int Semi-Annually Jan/Jul 01, Convertible; Issued 06/20/11								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
CORNERSTONE ONDEMAND INC	8/26/14	18,000 000	105.195	18,935 14				
CUSIP 21925YAB9			105.195	18,935 14	17,595 00	(1,340.14) ST		
	9/19/14	17,000 000	102 525	17,429 25				
			102.525	17,429.25	16,617 50	(811.75) ST		
	9/23/14	7,000.000	100 983	7,068 78				
			100 983	7,068 78	6,842.50	(226 28) ST		
	10/10/14	6,000 000	94 500	5,670 00				
			94 500	5,670.00	5,865.00	195 00 ST		
	10/10/14	3,000.000	94.563	2,836.88				
			94.563	2,836.88	2,932 50	95.62 ST		
	Total	51,000 000		51,940 05			765.00	1.53
				51,940 05	49,852 50	(2,087 55) ST	382.50	
Unit Price $97 750, Coupon Rate 1 500%, Matures 07/01/2018; Int Semi-Annually Jan/Jul 01, Yield to Maturity 2 171%, Convertible; Issued 06/17/13								
AMERICAN REALTY CAPITAL PROPERTIES INC	12/18/14	31,000 000	88.500	27,435 00			930 00	3 24
CUSIP 02917TAA2			88.500	27,435 00	28,617.03	1,182.03 ST	387 50	
Unit Price: $92 313; Coupon Rate 3 000%, Matures 08/01/2018; Int Semi-Annually Feb/Aug 01, Yield to Maturity 5 387%, Convertible; Issued 07/29/13								
CHART INDUSTRIES INC	10/7/14	17,000.000	102 826	17,480 42				
CUSIP 16115QAC4			102.826	17,480 41	16,266.96	(1,213.45) ST		
	10/14/14	6,000.000	101 072	6,064 33				
			101.072	6,064.33	5,741 28	(323.05) ST		
	10/15/14	7,000 000	101 585	7,110 94				
			101 585	7,110 94	6,698 16	(412 78) ST		
	10/23/14	7,000 000	107 781	7,544.69				
			107 781	7,544.69	6,698 16	(846.53) ST		
	10/30/14	7,000 000	103 479	7,243.54				
			103 479	7,243 54	6,698 16	(545 38) ST		
	Total	44,000 000		45,443.92			880 00	2 09
				45,443.91	42,102 72	(3,341 19) ST	366 66	
Unit Price: $95 688, Coupon Rate 2 000%; Matures 08/01/2018; Int Semi-Annually Feb/Aug 01, Yield to Maturity 3.285%; Convertible; S&P BB-, Issued 08/03/11								
MEDIDATA SOLUTIONS INC	10/28/14	8,000 000	101.408	8,112.64				
CUSIP 58471AAB1			101.408	8,112.64	8,770 00	657.36 ST		
	10/28/14	23,000 000	102 368	23,544 73				
			102 368	23,544 73	25,213 75	1,669 02 ST		
	10/30/14	6,000 000	105 206	6,312 34				
			105 206	6,312 34	6,577 50	265 16 ST		

Account Detail

Consulting and Evaluation Services Active Assets Account THE GROSSMAN FAMILY FOUNDATION
[redacted]65-300 ADVENT
Nickname ADVENT

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
	Total	37,000 000		37,969 71			370 00	0 91
				37,969 71	40,561 25	2,591 54 ST	154 16	
Unit Price: $109 625; Coupon Rate 1.000%, Matures 08/01/2018; Int. Semi-Annually Feb/Aug 01, Convertible; Issued 08/12/13								
FOREST CITY ENTERPRISES INC	9/17/13	7,000 000	110 750	7,752 50				
CUSIP 345550AP2			110 750	7,752 50	7,988 75	236.25 LT		
	11/19/13	7,000.000	112.375	7,866 25				
			112.375	7,866.25	7,988 75	122 50 LT		
	2/10/14	12,000 000	111 378	13,365.31				
			111.378	13,365 31	13,695.00	329 69 ST		
	2/19/14	17,000 000	113 500	19,295 00				
			113.500	19,295 00	19,401 25	106 25 ST		
	Total	43,000 000		48,279 06			1,828 00	3 72
				48,279 06	49,073.75	358 75 LT	690.38	
						435 94 ST		
Unit Price $114 125, Coupon Rate 4 250%, Matures 08/15/2018; Int Semi-Annually Feb/Aug 15; Convertible, Moody B2 S&P BB-, Issued 07/19/11								
WEB COM GROUP INC	11/21/14	16,000 000	89 495	14,319 26				
CUSIP 94733AAA2			89.524	14,323 84	14,630 08	306 24 ST		
	11/21/14	9,000 000	89 375	8,043.75				
			89 404	8,046 33	8,229 42	183.09 ST		
	12/3/14	5,000 000	89 732	4,486.61				
			89 751	4,487.55	4,571 90	84 35 ST		
	12/23/14	13,000 000	92 266	11,994 58				
			92 268	11,994 79	11,886 94	(107 85) ST		
	Total	43,000 000		38,844 20			430.00	1 09
				38,852 51	39,318.34	465 83 ST	162 44	
Unit Price· $91.438, Coupon Rate 1 000%, Matures 08/15/2018, Int Semi-Annually Feb/Aug 15; Yield to Maturity 3 539%, Convertible, Issued 08/14/13								
B2GOLD CORP	9/10/14	34,000 000	97 680	33,211 23				
CUSIP 11777QAB6			97 680	33,211 23	29,771 42	(3,439.81) ST		
	9/12/14	14,000 000	96 331	13,486 33				
			96.331	13,486 33	12,258 82	(1,227.51) ST		
	9/24/14	7,000.000	96 011	6,720 78				
			96 011	6,720.78	6,129.41	(591 37) ST		
	12/18/14	6,000 000	88 800	5,327 99				
			88 800	5,327.99	5,253.78	(74 21) ST		
	Total	61,000 000		58,746 33			1,983.00	3 71
				58,746 33	53,413 43	(5,332 90) ST	495 62	
Unit Price $87 563; Coupon Rate 3.250%, Matures 10/01/2018, Int Semi-Annually Apr/Oct 01; Yield to Maturity 7 082%, Convertible, Issued 08/23/13								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
BIOMARIN PHARMACEUTICAL	2/18/14	21,000 000	113 750	23,887 50				
CUSIP 09061GAE1			113.750	23,887.50	24,688.23	800 73 ST		
	4/9/14	15,000.000	108 079	16,211 82				
			108.079	16,211.82	17,634.45	1,422.63 ST		
	4/30/14	6,000 000	102.508	6,150 48				
			102.508	6,150 48	7,053 78	903 30 ST		
	5/1/14	2,000 000	104 450	2,089 00				
			104 450	2,089.00	2,351.26	262 26 ST		
	5/7/14	14,000 000	102 993	14,419.08				
			102 993	14,419.08	16,458.82	2,039 74 ST		
	5/20/14	10,000 000	101.047	10,104 70				
			101 047	10,104 70	11,756 30	1,651 60 ST		
	5/28/14	9,000 000	101.500	9,135 00				
			101 500	9,135.00	10,580 67	1,445.67 ST		
	Total	77,000 000		81,997.58			578 00	0 63
				81,997 58	90,523.51	8,525 93 ST	121 91	
Unit Price $117.563; Coupon Rate 0 750%, Matures 10/15/2018; Int Semi-Annually Apr/Oct 15; Convertible; Issued 10/15/13								
YAHOO INC	12/26/14	27,000 000	113 850	30,739.58			—	—
CUSIP 984332AF3			113.850	30,739 58	30,543.75	(195 83) ST	—	
Unit Price: $113 125, Zero Coupon, Matures 12/01/2018, Convertible, S&P BB+u; Issued 11/26/13								
ENDOLOGIX INC	3/21/14	44,000 000	96.807	42,595 17			990 00	2 30
CUSIP 29266SAA4			96 807	42,595 17	43,037 72	442 55 ST	43 99	
Unit Price: $97 813, Coupon Rate 2 250%, Matures 12/15/2018, Int. Semi-Annually Jun/Dec 15; Yield to Maturity 2 838%, Convertible, Issued 12/10/13								
KB HOME	8/4/14	1,000 000	96 965	969 65				
CUSIP 48666KAS8			96 965	969 65	991.25	21 60 ST		
	8/12/14	19,000 000	97 305	18,487 87				
			97.305	18,487 87	18,833.75	345 88 ST		
	8/13/14	14,000 000	97 383	13,633 62				
			97 383	13,633 62	13,877 50	243 88 ST		
	8/14/14	11,000 000	98.804	10,868.47				
			98.804	10,868 47	10,903.75	35 28 ST		
	10/15/14	6,000 000	95 125	5,707 50				
			95.125	5,707 50	5,947 50	240.00 ST		
	Total	51,000.000		49,667 11			701 00	1 38
				49,667 11	50,553.75	886 64 ST	292.18	
Unit Price $99 125; Coupon Rate 1 375%, Matures 02/01/2019, Int Semi-Annually Feb/Aug 01; Callable $100 00 on 11/06/18, Yield to Maturity 1 597%, Convertible; Moody B2 S&P B; Issued 01/29/13								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
RYLAND GROUP	11/18/13	10,000.000	92 000	9,200.00				
CUSIP 783764AS2			92 000	9,200 00	9,256 30	56 30 LT		
	12/10/13	11,000 000	91.234	10,035 73				
			91 234	10,035 73	10,181 93	146 20 LT		
	2/7/14	41,000.000	95 000	38,950 00				
			95 000	38,950.00	37,950 83	(999.17) ST		
	2/18/14	48,000 000	94 300	45,264 00				
			94.300	45,264.00	44,430 24	(833 76) ST		
	Total	110,000 000		103,449 73			275 00	0 27
				103,449 73	101,819 30	202 50 LT	22 91	
						(1,832 93) ST		
Unit Price· $92 563, Coupon Rate 0 250%; Matures 06/01/2019; Int Semi-Annually Jun/Dec 01, Yield to Maturity 2 019%; Convertible, Moody B1 S&P BB-; Issued 05/20/13								
INSULET CORPORATION	8/8/14	17,000 000	104.370	17,742.88				
CUSIP 45784PAD3			104 370	17,742 88	19,996 25	2,253 37 ST		
	8/14/14	10,000 000	104 717	10,471 70				
			104 717	10,471 70	11,762 50	1,290 80 ST		
	8/25/14	10,000 000	105 469	10,546 86				
			105.469	10,546.86	11,762 50	1,215 64 ST		
	Total	37,000 000		38,761 44			740 00	1 70
				38,761 44	43,521.25	4,759 81 ST	32 88	
Unit Price $117 625, Coupon Rate 2 000%, Matures 06/15/2019, Int Semi-Annually Jun/Dec 15, Callable $100 00 on 06/20/18, Convertible, Issued 06/09/14								
ROYAL GOLD INC.	11/18/13	6,000 000	96 400	5,784.00				
CUSIP 780287AA6			96.400	5,784 00	6,198 78	414 78 LT		
	2/6/14	21,000.000	102 875	21,603.75				
			102 875	21,603.75	21,695 73	91 98 ST		
	2/19/14	16,000 000	106 500	17,040.00				
			106 500	17,040 00	16,530 08	(509.92) ST		
	5/27/14	15,000.000	102 000	15,300 00				
			102.000	15,300 00	15,496 95	196.95 ST		
	5/29/14	18,000 000	101 875	18,337.50				
			101.875	18,337 50	18,596 34	258.84 ST		
	Total	76,000 000		78,065 25			2,185.00	2 78
				78,065.25	78,517 88	414 78 LT	97 11	
						37.85 ST		
Unit Price. $103.313; Coupon Rate 2 875%; Matures 06/15/2019; Int Semi-Annually Jun/Dec 15; Yield to Maturity 2 092%, Convertible; Issued 06/20/12								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig Unit Cost Adj. Unit Cost	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
HORNBECK OFFSHORE SERVICES INC	4/10/14	17,000 000	109 250	18,572 50				
CUSIP 440543AN6			109 250	18,572 50	14,131 25	(4,441 25) ST		
	9/19/14	7,000.000	107 293	7,510.52				
			107 293	7,510.52	5,818 75	(1,691 77) ST		
	11/12/14	14,000 000	95 000	13,300 00				
			95 000	13,300 00	11,637 50	(1,662.50) ST		
	Total	38,000 000		39,383 02			570 00	1 80
				39,383.02	31,587.50	(7,795 52) ST	189 99	
Unit Price $83 125, Coupon Rate 1 500%, Matures 09/01/2019, Int Semi-Annually Mar/Sep 01; Yield to Maturity 5.665%, Convertible, S&P BB-, Issued 08/13/12								
RTI INTERNATIONAL METALS INC	6/4/14	36,000.000	100 250	36,090 00				
CUSIP 74973WAB3			100.250	36,090 00	34,987 68	(1,102 32) ST		
	6/10/14	18,000 000	102 000	18,360 00				
			102 000	18,360 00	17,493 84	(866 16) ST		
	6/18/14	14,000 000	101 806	14,252 88				
			101 806	14,252 88	13,606 32	(646.56) ST		
	7/16/14	14,000 000	99 484	13,927.82				
			99 484	13,927 82	13,606.32	(321 50) ST		
	9/4/14	11,000 000	103 250	11,357 50				
			103 250	11,357 50	10,690 68	(666.82) ST		
	Total	93,000.000		93,988 20			1,511 00	1.67
				93,988 20	90,384 84	(3,603 36) ST	319 04	
Unit Price $97 188, Coupon Rate 1 625%, Matures 10/15/2019, Int Semi-Annually Apr/Oct 15, Yield to Maturity 2 247%, Convertible, Issued 04/17/13								
THE PRICELINE GROUP INC	9/10/14	34,000.000	114 209	38,831.20				
CUSIP 741503AS5			114 209	38,831 20	37,910 00	(921 20) ST		
	9/23/14	14,000 000	113 063	15,828 75				
			113 063	15,828 75	15,610 00	(218 75) ST		
	10/16/14	6,000 000	105 875	6,352 50				
			105 875	6,352 50	6,690 00	337 50 ST		
	10/30/14	6,000.000	111 223	6,673.37				
			111 223	6,673.37	6,690 00	16 63 ST		
	11/10/14	7,000.000	109 688	7,678 13				
			109.688	7,678.13	7,805 00	126 87 ST		
	12/17/14	6,000.000	107 754	6,465.22				
			107 754	6,465.22	6,690.00	224 78 ST		
	Total	73,000 000		81,829 17			256.00	0 31
				81,829 17	81,395.00	(434 17) ST	11 35	
Unit Price. $111 500, Coupon Rate 0 350%, Matures 06/15/2020; Int. Semi-Annually Jun/Dec 15, Convertible, S&P BBB+, Issued 06/04/13								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
ALLSCRIPTS-MISYS HEALTHCARE	11/12/14	20,000 000	95 083	19,016.64				
SOLUTIONS INC			95 083	19,016.64	19,700 00	683.36 ST		
CUSIP 01988PAD0	11/18/14	20,000 000	97 120	19,423 94				
			97.120	19,423 93	19,700 00	276 07 ST		
	Total	40,000 000		38,440 58			500.00	1 26
				38,440.57	39,400.00	959 43 ST	250.00	
Unit Price· $98 500; Coupon Rate 1 250%, Matures 07/01/2020, Int Semi-Annually Jan/Jul 01; Yield to Maturity 1 536%; Convertible, Issued 06/18/13								
FOREST CITY ENTERPRISES INC	9/24/14	17,000 000	104.580	17,778 60				
CUSIP 345550AR8			104 580	17,778.59	18,083.75	305 16 ST		
	10/10/14	6,000.000	103 000	6,180 00				
			103 000	6,180.00	6,382 50	202.50 ST		
	Total	23,000 000		23,958 60			834 00	3 40
				23,958.59	24,466 25	507 66 ST	314 97	
Unit Price: $106 375, Coupon Rate 3 625%, Matures 08/15/2020, Int Semi-Annually Feb/Aug 15, Callable $100.00 on 01/30/15, Yield to Call 005%; Convertible, Issued 07/19/13								
WEBMD HEALTH CORP	12/9/14	38,000.000	97 625	37,097 50			570 00	1 50
CUSIP 94770VAK8			97 625	37,097.50	37,928.94	831 44 ST	47 49	
Unit Price. $99.813, Coupon Rate 1 500%; Matures 12/01/2020; Int Semi-Annually Jun/Dec 01; Yield to Maturity 1.533%; Convertible, Issued 11/26/13								
COLONY FINANCIAL INC	2/6/14	15,000 000	101 300	15,195.00				
CUSIP 19624RAB2			101 300	15,195 00	15,253 20	58 20 ST		
	2/18/14	40,000.000	102 750	41,100 00				
			102 750	41,100.00	40,675 20	(424.80) ST		
	11/12/14	13,000 000	103.125	13,406 25				
			103 125	13,406 25	13,219 44	(186.81) ST		
	Total	68,000 000		69,701 25			2,635 00	3 81
				69,701 25	69,147.84	(553 41) ST	1,215.02	
Unit Price: $101 688; Coupon Rate 3 875%, Matures 01/15/2021, Int Semi-Annually Jan/Jul 15, Yield to Maturity 3 562%, Convertible, Issued 01/28/14								
NATIONAL HEALTH INVESTOR	3/20/14	11,000 000	100 625	11,068 75				
CUSIP 63633DAE4			100.625	11,068.75	11,405.68	336 93 ST		
	3/20/14	17,000 000	99 875	16,978 75				
			99.875	16,978 75	17,626 96	648.21 ST		
	3/21/14	20,000.000	99.938	19,987 50				
			99 938	19,987 50	20,737 60	750 10 ST		
	5/28/14	10,000 000	100 500	10,050 00				
			100 500	10,050 00	10,368.80	318 80 ST		
	8/14/14	11,000 000	101 655	11,182 09				
			101.655	11,182 09	11,405 68	223 59 ST		

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
	Total	69,000 000		69,267.09			2,243.00	3 13
				69,267.09	71,544.72	2,277 63 ST	560 62	
Unit Price. $103 688; Coupon Rate 3.250%, Matures 04/01/2021; Int. Semi-Annually Apr/Oct 01; Yield to Maturity 2 606%; Convertible, Issued 03/25/14								
SEACOR HOLDINGS INC	10/29/14	2,000 000	112 589	2,251.78				
CUSIP 811904AM3			113 430	2,268 59	2,115.00	(153.59) ST		
	11/11/14	14,000 000	108 562	15,198 67				
			109 245	15,294 32	14,805 00	(489 32) ST		
	11/11/14	8,000.000	108 562	8,684 95				
			109 245	8,739 61	8,460 00	(279 61) ST		
	Total	24,000 000		26,135 40			600 00	2.36
				26,302.52	25,380.00	(922.52) ST	26 66	
Unit Price $105 750; Coupon Rate 2 500%, Matures 12/15/2027; Int. Semi-Annually Jun/Dec 15; Callable $100 00 on 12/19/17, Yield to Call 543%; Convertible, S&P BB-, Issued 12/11/12								
SEACOR HOLDINGS INC	12/18/14	34,000 000	91 779	31,204 69			1,020.00	3 29
CUSIP 81170YAB5			91 779	31,204 69	30,982 50	(222 19) ST	130 33	
Unit Price $91 125, Coupon Rate 3 000%, Matures 11/15/2028; Int Semi-Annually May/Nov 15, Callable $100 00 on 11/19/18, Yield to Maturity 3 831%; Convertible, S&P BB-, Issued 11/13/13								
JEFFERIES GROUP	5/7/14	19,000 000	107 000	20,330 00				
CUSIP 472319AG7			111 052	21,099 94	19,629 47	(1,470 47) ST		
	5/8/14	18,000 000	106 875	19,237.50				
			110 910	19,963.77	18,596 34	(1,367 43) ST		
	5/13/14	19,000 000	107 125	20,353 75				
			111 107	21,110 39	19,629 47	(1,480 92) ST		
	5/20/14	15,000.000	107 125	16,068 75				
			110 985	16,647.71	15,496 95	(1,150.76) ST		
	5/28/14	14,000 000	107 375	15,032 50				
			111.077	15,550 80	14,463 82	(1,086.98) ST		
	7/30/14	24,000 000	107 375	25,770 00				
			109.992	26,398.02	24,795 12	(1,602 90) ST		
	Total	109,000.000		116,792.50			4,224.00	3 75
				120,770 63	112,611 17	(8,159.46) ST	703 95	
Unit Price $103 313, Coupon Rate 3 875%; Matures 11/01/2029, Int. Semi-Annually May/Nov 01, Callable $100.00 on 11/01/17, Yield to Call 2 652%; Convertible, Moody BAA3 S&P BBB-, Issued 10/26/09								
LIBERTY MEDIA CORP	11/14/14	80,000.000	55 000	44,000.00			2,800.00	6 55
CUSIP 530715AN1			55 000	44,000 00	42,700 00	(1,300 00) ST	1,291.11	
Unit Price. $53 375, Coupon Rate 3 500%, Matures 01/15/2031; Int. Semi-Annually Jan/Jul 15; Callable $100.00 on 01/30/15, Yield to Maturity 9 073%, Convertible, Moody B2 S&P BB; Issued 01/15/01								

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig Unit Cost Adj Unit Cost	Orig Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
NUANCE COMMUNICATIONS INC	10/30/14	37,000.000	97 500	36,075 00				
CUSIP 67020YAF7			97 500	36,075 00	36,884 56	809 56 ST		
	11/4/14	4,000.000	97 563	3,902.50				
			97.563	3,902.50	3,987 52	85.02 ST		
	11/10/14	9,000.000	97 625	8,786 25				
			97 625	8,786.25	8,971 92	185 67 ST		
	12/9/14	14,000.000	99 150	13,881 00				
			99 150	13,881.00	13,956 32	75.32 ST		
	12/17/14	17,000 000	98 750	16,787.50				
			98 750	16,787.50	16,946 96	159 46 ST		
	Total	81,000.000		79,432 25			2,228.00	2 75
				79,432 25	80,747.28	1,315.03 ST	371 25	
Unit Price· $99 688, Coupon Rate 2 750%; Matures 11/01/2031; Int Semi-Annually May/Nov 01, Callable $100 00 on 11/06/17, Yield to Maturity 2.773%; Convertible, S&P BB-; Issued 10/24/11								
TOLL BROTHERS FINANCE CORP	10/28/13	5,000.000	103 600	5,180 00				
CUSIP 88947EAM2			110 582	5,529 11	5,100 00	(429 11) LT		
	11/19/13	6,000 000	101 650	6,099.00				
			108 293	6,497.56	6,120 00	(377 56) LT		
	2/7/14	10,000 000	105 750	10,575 00				
			111 099	11,109 93	10,200 00	(909 93) ST		
	2/18/14	12,000 000	107 100	12,852 00				
			112 304	13,476 45	12,240 00	(1,236 45) ST		
	7/30/14	32,000 000	102 688	32,860 00				
			105.188	33,660.28	32,640 00	(1,020.28) ST		
	10/3/14	16,000 000	100 875	16,140 00				
			102.299	16,367 77	16,320 00	(47.77) ST		
	Total	81,000.000		83,706.00			405 00	0.49
				86,641 10	82,620 00	(806.67) LT (3,214 43) ST	119.24	
Unit Price· $102 000; Coupon Rate 0.500%, Matures 09/15/2032; Int Semi-Annually Mar/Sep 15, Callable $100 00 on 09/15/17; Convertible, Moody BA1 S&P BB+, Issued 09/11/12								
JDS UNIPHASE CORP	8/26/14	34,000 000	100 903	34,307 09				
CUSIP 46612JAF8			100 903	34,307 08	35,912 50	1,605 42 ST		
	8/29/14	22,000 000	100.250	22,055 00				
			100 250	22,055 00	23,237 50	1,182 50 ST		
	9/3/14	20,000 000	100 221	20,044 20				
			100.221	20,044 20	21,125 00	1,080 80 ST		
	9/30/14	6,000.000	101.250	6,075.00				
			101.250	6,075 00	6,337.50	262 50 ST		

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
	10/17/14	7,000 000	99 875	6,991.25				
			99 875	6,991.25	7,393 75	402.50 ST		
	Total	89,000.000		89,472 54			556.00	0 59
				89,472 53	94,006.25	4,533 72 ST	210 13	
Unit Price. $105.625, Coupon Rate 0.625%; Matures 08/15/2033, Int Semi-Annually Feb/Aug 15, Callable $100.00 on 08/20/18, Convertible, Issued 08/21/13								
FLUIDIGM CORP	6/16/14	14,000 000	94 500	13,230 00				
CUSIP 34385PAA6			94 500	13,230.00	12,652 50	(577.50) ST		
	6/17/14	14,000 000	94 467	13,225 38				
			94.467	13,225 38	12,652.50	(572 88) ST		
	6/19/14	14,000 000	95 317	13,344 38				
			95.317	13,344 38	12,652 50	(691 88) ST		
	Total	42,000 000		39,799.76			1,155.00	3.04
				39,799 76	37,957 50	(1,842 26) ST	481 25	
Unit Price· $90 375, Coupon Rate 2 750%, Matures 02/01/2034, Int Semi-Annually Feb/Aug 01; Yield to Maturity 3 442%, Convertible, Issued 02/04/14								
OMNICARE INC	10/31/14	101,000.000	107 000	108,070 00			3,283 00	2 80
CUSIP 681904AR9			108 299	109,381.77	116,844.88	7,463 11 ST	145.88	
Unit Price· $115 688, Coupon Rate 3.250%, Matures 12/15/2035; Int Semi-Annually Jun/Dec 15, Callable $100 00 on 01/15/18, Yield to Call .005%, Convertible, Moody B2, Issued 06/15/14								
CHESAPEAKE ENERGY CORP	2/6/14	27,000 000	93 125	25,143 75				
CUSIP 165167CB1			101 235	27,333 32	24,249 51	(3,083.81) ST		
	2/18/14	48,000 000	93.550	44,904 00				
			101 413	48,678.11	43,110.24	(5,567 87) ST		
	Total	75,000 000		70,047.75			1,688 00	2 50
				76,011.43	67,359 75	(8,651 68) ST	74 99	
Unit Price $89 813, Coupon Rate 2 250%, Matures 12/15/2038, Int Semi-Annually Jun/Dec 15, Callable $100.00 on 12/15/18, Yield to Maturity 2 839%, Convertible, Moody BA1 S&P BB+, Issued 05/27/08								
HOLOGIC INC	9/17/13	6,000.000	104 625	6,277 50				
CUSIP 436440AG6			120 383	7,222 99	6,577 50	(645 49) LT		
	11/19/13	6,000 000	105 000	6,300 00				
			119 021	7,141 25	6,577 50	(563.75) LT		
	2/7/14	14,000 000	104 875	14,682 50				
			116 271	16,277 91	15,347 50	(930 41) ST		
	2/18/14	14,000 000	105.750	14,805 00				
			116.833	16,356.62	15,347 50	(1,009.12) ST		
	6/4/14	24,000 000	109 875	26,370 00				
			117 205	28,129 16	26,310 00	(1,819.16) ST		
	9/30/14	8,000.000	108 782	8,702.59				
			111.993	8,959 44	8,770 00	(189 44) ST		

CORPORATE FIXED INCOME

CORPORATE BONDS (CONTINUED)

Security Description	Trade Date	Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
	Total	72,000 000		77,137.59			—	—
				84,087.37	78,930 00	(1,209 24) LT	—	
						(3,948 13) ST		
Unit Price $109.625, Zero Coupon, Matures 12/15/2043; Callable $121 01 on 12/15/17, Convertible, Issued 02/21/13								
MOLINA HEALTHCARE INC	9/12/14	34,000 000	103 451	35,173 44				
CUSIP 60855RAD2			105 161	35,754.67	37,825 00	2,070 33 ST		
	9/24/14	17,000 000	102 038	17,346 43				
			103 550	17,603 51	18,912 50	1,308 99 ST		
	10/2/14	7,000.000	99.806	6,986 39				
			101 186	7,083 04	7,787 50	704 46 ST		
	10/14/14	6,000 000	100.159	6,009.52				
			101 375	6,082.50	6,675 00	592 50 ST		
	Total	64,000 000		65,515 78			1,040 00	1 46
				66,523 72	71,200 00	4,676.28 ST	335.11	
Unit Price $111 250, Coupon Rate 1.625%, Matures 08/15/2044, Int. Semi-Annually Feb/Aug 15, Callable $100 00 on 08/19/18, Yield to Call 005%, First Coupon 02/15/15, Convertible, Issued 09/05/14								

	Face Value Percentage of Assets %	Orig. Total Cost Adj Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
CORPORATE FIXED INCOME	2,967,000 000	$3,013,705 82			$62,580.00	2 09%
		$3,035,084 32	$2,996,834 95	$(1,755 26) LT	$16,976 45	
				$(36,494 11) ST		
TOTAL CORPORATE FIXED INCOME (incl.accr.int.)	93.8%		$3,013,811 40			

Account Detail [illegible] [redacted] [illegible]

STOCKS

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
APPLE INC (AAPL)	12/18/13	70 000	$78 142	$5,469.95	$7,726 60	$2,256 65 LT		
	2/3/14	490 000	71 490	35,030 10	54,086.20	19,056.10 ST		
	3/28/14	70 000	76.683	5,367 80	7,726 60	2,358 80 ST		
	Total	630 000		45,867.85	69,539 40	2,256 65 LT 21,414 90 ST	1,184 00	1 70

Share Price· $110 380, Next Dividend Payable 02/2015

Account Detail Portfolio Management Active Assets Account THE GROSSMAN FAMILY FOUNDATION [redacted] 854-300 BUY WRITE
Nickname BUY WRITE

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
BLACKSTONE GROUP LP (BX)	9/10/13	300.000	21 919		10,149 00	3,573 21 LT C		
	2/3/14	1,100.000	30 308		37,213 00	3,874 75 ST C		
	3/28/14	200 000	32.753		6,766 00	215.48 ST C		
	Total	1,600.000		47,063 00	54,128 00	3,573.21 LT 4,090 23 ST	3,072 00	5 67
Share Price $33 830, Next Dividend Payable 02/2015								
BRISTOL MYERS SQUIBB CO (BMY)	1/28/14	100 000	50 588	5,058 77	5,903 00	844.23 ST		
	2/3/14	700.000	48 738	34,116 25	41,321 00	7,204 75 ST		
	3/28/14	200 000	52 496	10,499.14	11,806 00	1,306 86 ST		
	Total	1,000 000		49,674 16	59,030 00	9,355.84 ST	1,480 00	2 50
Share Price $59.030, Next Dividend Payable 02/02/15								
CBS CORP NEW CL B SHRS (CBS)	12/16/14	1,000 000	52 873	52,873.20	55,340 00	2,466.80 ST	600 00	1 08
Share Price $55.340, Next Dividend Payable 01/01/15								
CROWN CASTLE INTL CORP NEW COM (CCI)	12/18/14	700 000	76 311	53,417 98	55,090 00	1,672.02 ST	2,296 00	4 16
Share Price $78.700, Next Dividend Payable 03/2015								
DIAGEO PLC SPON ADR NEW (DEO)	9/10/13	100 000	124 671	12,467 06	11,409 00	(1,058 06) LT		
	2/3/14	300.000	116 583	34,975 02	34,227 00	(748.02) ST		
	Total	400 000		47,442 08	45,636 00	(1,058.06) LT (748.02) ST	1,348 00	2 95
Share Price. $114 090, Next Dividend Payable 04/2015								
DU PONT EI DE NEMOURS & CO (DD)	9/10/13	100 000	58 137	5,813.74	7,394 00	1,580 26 LT		
	2/3/14	600.000	60 017	36,009 96	44,364 00	8,354.04 ST		
	3/28/14	100 000	67 026	6,702 64	7,394 00	691 36 ST		
	Total	800 000		48,526 34	59,152.00	1,580 26 LT 9,045.40 ST	1,504 00	2.54
Share Price $73 940, Next Dividend Payable 03/2015								
GENERAL ELECTRIC CO (GE)	9/10/13	300 000	23 836	7,150.89	7,581 00	430.11 LT		
	2/3/14	1,400.000	24 369	34,116 32	35,378.00	1,261 68 ST		
	3/28/14	300 000	25 876	7,762 89	7,581 00	(181.89) ST		
	Total	2,000 000		49,030.10	50,540 00	430 11 LT 1,079.79 ST	1,840 00	3.64
Share Price $25 270, Next Dividend Payable 01/26/15								
HEWLETT PACKARD (HPQ)	10/8/14	1,400 000	35 111	49,155.26	56,182 00	7,026 74 ST	896.00	1.59
Share Price $40 130, Next Dividend Payable 01/07/15								
HONEYWELL INTERNATIONAL INC (HON)	9/10/13	100 000	83 987	8,398.66	9,992 00	1,593 34 LT		
	2/3/14	400 000	88 930	35,571.96	39,968 00	4,396 04 ST		
	3/28/14	100.000	91 363	9,136.30	9,992 00	855 70 ST		

Account Detail [redacted]

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	600 000		53,106 92	59,952 00	1,593.34 LT 5,251 74 ST	1,242 00	2.07
Share Price $99 920, Next Dividend Payable 03/2015								
INTEL CORP (INTC)	9/10/13	300 000	23 038	6,911 49	10,887 00	3,975.51 LT		
	2/3/14	1,400 000	23 960	33,544.00	50,806 00	17,262 00 ST		
	3/28/14	300 000	25 668	7,700 34	10,887 00	3,186 66 ST		
	Total	2,000.000		48,155 83	72,580 00	3,975.51 LT 20,448 66 ST	1,800 00	2 48
Share Price $36.290, Next Dividend Payable 03/2015								
INTERNATIONAL PAPER CO (IP)	9/10/13	200 000	48 697	9,739 47	10,716 00	976.53 LT		
	2/3/14	700 000	45 329	31,730.57	37,506 00	5,775 43 ST		
	3/28/14	200 000	45 306	9,061 22	10,716 00	1,654.78 ST		
	Total	1,100.000		50,531 26	58,938.00	976 53 LT 7,430 21 ST	1,760 00	2.98
Share Price $53 580, Next Dividend Payable 03/2015								
JOHNSON & JOHNSON (JNJ)	9/10/13	100 000	87 957	8,795.70	10,457 00	1,661 30 LT		
	2/3/14	400 000	86 994	34,797 52	41,828 00	7,030.48 ST		
	Total	500 000		43,593 22	52,285 00	1,661 30 LT 7,030 48 ST	1,400 00	2 67
Share Price $104.570, Next Dividend Payable 03/2015								
JPMORGAN CHASE & CO (JPM)	1/21/14	100 000	57 973	5,797 26	6,258 00	460.74 ST		
	2/3/14	600 000	54 367	32,619 90	37,548.00	4,928 10 ST		
	3/28/14	200 000	60 356	12,071 26	12,516 00	444 74 ST		
	Total	900.000		50,488 42	56,322 00	5,833 58 ST	1,440 00	2 55
Share Price $62 580, Next Dividend Payable 01/2015								
KKR & CO LP (KKR)	9/10/13	400.000	19 089		9,284 00	1,648 58 LT C		
	2/3/14	1,400 000	22 201		32,494 00	1,412 76 ST C		
	3/28/14	500 000	21 629		11,605 00	790 61 ST C		
	Total	2,300 000		54,145 00	53,383.00	1,648 58 LT 2,203 37 ST	4,669 00	8 74
Share Price $23 210, Next Dividend Payable 02/2015								
KRAFT FOODS GROUP INC COM (KRFT)	9/10/13	100.000	53 070	5,306 96	6,266 00	959.04 LT		
	2/3/14	700 000	51 204	35,842 80	43,862 00	8,019.20 ST		
	3/28/14	100 000	55 488	5,548.83	6,266 00	717.17 ST		
	Total	900.000		46,698.59	56,394 00	959 04 LT 8,736 37 ST	1,980 00	3 51
Share Price $62 660, Next Dividend Payable 01/16/15								

[redacted]

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
LOCKHEED MARTIN CORP (LMT)	12/5/13	100 000	137.124	13,712.41	19,257 00	5,544 59 LT		
	2/3/14	200 000	147 783	29,556 56	38,514 00	8,957.44 ST		
	Total	300 000		43,268.97	57,771 00	5,544 59 LT 8,957 44 ST	1,800 00	3.11
Share Price $192.570; Next Dividend Payable 03/2015								
MERCK & CO INC NEW COM (MRK)	9/10/13	200 000	48 166	9,633.26	11,358 00	1,724 74 LT		
	2/3/14	600.000	52 097	31,257 90	34,074.00	2,816.10 ST		
	3/28/14	100 000	56 667	5,666.69	5,679 00	12 31 ST		
	Total	900.000		46,557 85	51,111 00	1,724 74 LT 2,828 41 ST	1,620 00	3 16
Share Price $56 790, Next Dividend Payable 01/08/15								
MICROSOFT CORP (MSFT)	9/10/13	200 000	32.187	6,437 38	9,290.00	2,852.62 LT		
	2/3/14	900 000	36 589	32,929 65	41,805 00	8,875 35 ST		
	3/28/14	200.000	40 356	8,071 28	9,290 00	1,218 72 ST		
	Total	1,300 000		47,438.31	60,385.00	2,852 62 LT 10,094 07 ST	1,612 00	2.66
Share Price $46 450, Next Dividend Payable 03/2015								
MONDELEZ INTL INC COM (MDLZ)	9/10/13	200 000	31 057	6,211 38	7,265.00	1,053 62 LT		
	2/3/14	1,000 000	32 067	32,067 00	36,325 00	4,258 00 ST		
	3/28/14	300 000	34 397	10,318.95	10,897.50	578 55 ST		
	Total	1,500 000		48,597 33	54,487.50	1,053.62 LT 4,836.55 ST	900 00	1 65
Share Price $36 325, Next Dividend Payable 01/15/15								
PEPSICO INC NC (PEP)	9/10/13	100 000	79 180	7,918.00	9,456.00	1,538 00 LT		
	2/3/14	400 000	78 675	31,470 04	37,824 00	6,353 96 ST		
	3/28/14	100.000	83 167	8,316 67	9,456 00	1,139 33 ST		
	Total	600 000		47,704 71	56,736 00	1,538 00 LT 7,493 29 ST	1,572 00	2.77
Share Price. $94 560, Next Dividend Payable 01/07/15								
PFIZER INC (PFE)	9/10/13	300 000	28.358	8,507 28	9,345 00	837 72 LT		
	2/3/14	1,100.000	30 688	33,756 91	34,265 00	508 09 ST		
	3/28/14	200 000	32 096	6,419 26	6,230 00	(189 26) ST		
	Total	1,600 000		48,683 45	49,840 00	837 72 LT 318 83 ST	1,792 00	3 59
Share Price $31.150, Next Dividend Payable 03/2015								

[redacted]

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
PHILIP MORRIS INTL INC (PM)	9/10/13	100.000	84.157	8,415 69	8,145 00	(270 69) LT		
	2/3/14	400 000	75 659	30,263 56	32,580 00	2,316 44 ST		
	3/28/14	100 000	80 457	8,045.66	8,145.00	99 34 ST		
	Total	600 000		46,724 91	48,870.00	(270.69) LT 2,415.78 ST	2,400 00	4.91
Share Price $81 450, Next Dividend Payable 01/09/15								
PHILLIPS 66 COM (PSX)	12/4/14	700 000	74 809	52,366.23	50,190 00	(2,176.23) ST	1,400 00	2 78
Share Price $71.700; Next Dividend Payable 03/2015								
QUALCOMM INC (QCOM)	9/10/13	100 000	69 748	6,974 75	7,433.00	458.25 LT		
	2/3/14	500 000	73.197	36,598 50	37,165 00	566 50 ST		
	Total	600 000		43,573 25	44,598.00	458 25 LT 566.50 ST	1,008 00	2 26
Share Price $74.330, Next Dividend Payable 03/2015								
ROYAL DUTCH SHELL PLC (RDS'A)	9/10/13	100 000	64 760	6,476.00	6,695 00	219.00 LT		
	2/3/14	500 000	68 045	34,022 55	33,475 00	(547 55) ST		
	3/28/14	100 000	73 010	7,300 99	6,695 00	(605 99) ST		
	Total	700.000		47,799 54	46,865 00	219 00 LT (1,153 54) ST	2,237 00	4 77
Share Price $66 950, Next Dividend Payable 03/2015								
UNITED PARCEL SERVICE INC CL-B (UPS)	9/10/13	100.000	87 737	8,773 70	11,117.00	2,343 30 LT		
	2/3/14	400.000	93.615	37,446 04	44,468 00	7,021 96 ST		
	Total	500 000		46,219 74	55,585 00	2,343 30 LT 7,021 96 ST	1,340 00	2 41
Share Price $111 170, Next Dividend Payable 03/2015								
WALGREENS BOOTS ALLIANCE INC (WBA)	12/31/14	1,080 000		69,387 04	82,296 00	(12,908 96) ST	1,458 00	1.77
Share Price $76 200								
WILLIAMS CO INC (WMB)	9/10/13	200 000	35 976	7,195 28	8,988.00	1,792.72 LT		
	2/3/14	800 000	39.428	31,542 00	35,952 00	4,410.00 ST		
	3/28/14	300 000	40 898	12,269 25	13,482 00	1,212 75 ST		
	Total	1,300 000		51,006 53	58,422.00	1,792 72 LT 5,622.75 ST	2,964.00	5 07
Share Price. $44 940, Next Dividend Payable 03/2015								
COMMON STOCKS				$1,429,097 07	$1,631,647 90	$35,690 34 LT $159,163 92 ST	$50,614 00 $0 00	3.10%

FORM 990-PF DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT STATEMENT 13

DESCRIPTION	COST OR OTHER BASIS	ACCUMULATED DEPRECIATION	BOOK VALUE
COMPUTER	10,325.	9,336.	989.
FURNITURE	37,238.	27,891.	9,347.
COMPUTER/SERVER	3,696.	1,940.	1,756.
TOTAL TO FM 990-PF, PART II, LN 14	51,259.	39,167.	12,092.

FORM 990-PF EXPLANATION CONCERNING PART VII-A, LINE 12 STATEMENT 14

EXPLANATION

DURING 2014, THE GROSSMAN FAMILY FOUNDATION MADE $7,550,000 OF QUALIFYING DISTRIBUTIONS. OF THIS AMOUNT $7,550,000 OF QUALIFYING DISTRIBUTIONS WERE MADE TO A DONOR ADVISED FUND OVER WHICH THE FOUNDATION OR A DISQUALIFIED PERSON HAD ADVISORY PRIVILEGES. DISTRIBUTIONS FROM THE DONOR ADVISED FUND WILL BE MADE, IN ACCORDANCE WITH SECTION 170(C)(2)(B) TO CORPORATIONS, TRUSTS, OR COMMUNITY CHESTS, FUNDS OR FOUNDATIONS ORGANIZED AND OPERATED EXCLUSIVELY FOR RELIGIOUS, CHARITABLE, SCIENTIFIC, LITERARY, OR EDUCATIONAL PURPOSES, OR TO FOSTER NATIONAL OR INTERNATIONAL AMATEUR SPORTS COMPETITION (BUT ONLY IF NO PART OF ITS ACTIVITIES INVOLVE THE PROVISION OF ATHLETIC FACILITIES OR EQUIPMENT), OR FOR THE PREVENTION OF CRUELTY TO CHILDREN OR ANIMALS. BECAUSE THE FOUNDATION IS THINLY STAFFED FOR ITS SIZE, THE GROSSMAN FAMILY FOUNDATION USES THE DONOR ADVISED FUND AS A COST EFFECTIVE WAY OF HANDLING THE GRANT ADMINISTRATION FUNCTION. THE DONOR ADVISED FUND ALSO SERVES AS A RESOURCE TO FOUNDATION STAFF, PROVIDING ADVICE AND ACCESS TO INFORMATION ON GRANT MAKING BEST PRACTICES. ADDITIONALLY, BECAUSE A MAJORITY OF THE FOUNDATION'S GRANTS ARE MADE WITHIN A NARROW GEOGRAPHIC AREA, MAKING GRANTS THROUGH THE DONOR ADVISED FUND HELPS MINIMIZE PUBLICITY.

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS STATEMENT 15

NAME AND ADDRESS	TITLE AND AVRG HRS/WK	COMPEN-SATION	EMPLOYEE BEN PLAN CONTRIB	EXPENSE ACCOUNT
STEVEN GROSSMAN 133 RIVER ROAD COS COB, CT 06807	TRUSTEE 10.00	0.	0.	0.
CAROLE GREENBERG 133 RIVER ROAD COS COB, CT 06807	TRUSTEE 8.00	11,250.	0.	0.
PAUL NAPOLI 133 RIVER ROAD COS COB, CT 06807	TRUSTEE 8.00	12,500.	0.	0.
MORTON E. MARVIN 133 RIVER ROAD COS COB, CT 06807	TRUSTEE 7.50	16,250.	0.	0.
JUDITH C. MEYERS 133 RIVER ROAD COS COB, CT 06807	TRUSTEE 5.00	10,000.	0.	0.
TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII		50,000.	0.	0.

2014 DEPRECIATION AND AMORTIZATION REPORT

FORM 990-PF PAGE 1 990-PF

Asset No	Description	Date Acquired	Method	Life	Line No.	Unadjusted Cost Or Basis	Bus % Excl	Reduction In Basis	Basis For Depreciation	Accumulated Depreciation	Current Sec 179	Current Year Deduction
1	COMPUTER	121510	200DB	5.00	17	10,325.			10,325.	8,206.		1,130.
2	FURNITURE	120110	200DB	7.00	17	37,238.			37,238.	24,152.		3,739.
3	COMPUTER/SERVER	121114	200DB	5.00	19B	3,696.		1,848.	1,848.			1,940.
	* TOTAL 990-PF PG 1 DEPR					51,259.		1,848.	49,411.	32,358.	0.	6,809.

428102
05-01-14

(D) - Asset disposed

* ITC, Section 179, Salvage, Bonus, Commercial Revitalization Deduction

ATTACHMENT FOR FORM 990-PF, PART VI, LINE 2

EXTENDED TO JULY 15, 2015

Form **990-T**

Department of the Treasury
Internal Revenue Service

Exempt Organization Business Income Tax Return
(and proxy tax under section 6033(e))

For calendar year 2014 or other tax year beginning ____________, and ending ____________

▶ Information about Form 990-T and its instructions is available at *www.irs.gov/form990t.*

▶ Do not enter SSN numbers on this form as it may be made public if your organization is a 501(c)(3).

OMB No 1545-0687

2014

Open to Public Inspection for 501(c)(3) Organizations Only

A ☐ Check box if address changed

B Exempt under section
☒ 501(c)(3)
☐ 408(e) ☐ 220(e)
☐ 408A ☐ 530(a)
☐ 529(a)

C Book value of all assets at end of year 153542524.

Print or Type

Name of organization (☐ Check box if name changed and see instructions.)
THE GROSSMAN FAMILY FOUNDATION

Number, street, and room or suite no. If a P.O. box, see instructions.
133 RIVER ROAD

City or town, state or province, country, and ZIP or foreign postal code
COS COB, CT 06807

D Employer identification number (Employees' trust, see instructions)
26-3919092

E Unrelated business activity codes (See instructions)
523000

F Group exemption number (See instructions.) ▶

G Check organization type ▶ ☐ 501(c) corporation ☐ 501(c) trust ☐ 401(a) trust ☒ Other trust

H Describe the organization's primary unrelated business activity. ▶ FROM PARTNERSHIP INVESTMENTS

I During the tax year, was the corporation a subsidiary in an affiliated group or a parent-subsidiary controlled group? ▶ ☐ Yes ☒ No

If "Yes," enter the name and identifying number of the parent corporation. ▶

J The books are in care of ▶ STEVEN GROSSMAN Telephone number ▶ 203-340-2020

Part I Unrelated Trade or Business Income

			(A) Income	(B) Expenses	(C) Net
1a	Gross receipts or sales				
b	Less returns and allowances c Balance ▶	1c			
2	Cost of goods sold (Schedule A, line 7)	2			
3	Gross profit. Subtract line 2 from line 1c	3			
4a	Capital gain net income (attach Schedule D)	4a			
b	Net gain (loss) (Form 4797, Part II, line 17) (attach Form 4797)	4b			
c	Capital loss deduction for trusts	4c			
5	Income (loss) from partnerships and S corporations (attach statement)	5	1,093.	STMT 16	1,093.
6	Rent income (Schedule C)	6			
7	Unrelated debt-financed income (Schedule E)	7			
8	Interest, annuities, royalties, and rents from controlled organizations (Sch. F)	8			
9	Investment income of a section 501(c)(7), (9), or (17) organization (Schedule G)	9			
10	Exploited exempt activity income (Schedule I)	10			
11	Advertising income (Schedule J)	11			
12	Other income (See instructions; attach schedule)	12			
13	**Total.** Combine lines 3 through 12	13	1,093.		1,093.

Part II Deductions Not Taken Elsewhere (See instructions for limitations on deductions.) (Except for contributions, deductions must be directly connected with the unrelated business income.)

14	Compensation of officers, directors, and trustees (Schedule K)			14	
15	Salaries and wages			15	
16	Repairs and maintenance			16	
17	Bad debts			17	
18	Interest (attach schedule)			18	
19	Taxes and licenses			19	
20	Charitable contributions (See instructions for limitation rules)			20	
21	Depreciation (attach Form 4562)	21			
22	Less depreciation claimed on Schedule A and elsewhere on return	22a		22b	
23	Depletion			23	
24	Contributions to deferred compensation plans			24	
25	Employee benefit programs			25	
26	Excess exempt expenses (Schedule I)			26	
27	Excess readership costs (Schedule J)			27	
28	Other deductions (attach schedule)			28	
29	**Total deductions.** Add lines 14 through 28			29	0.
30	Unrelated business taxable income before net operating loss deduction. Subtract line 29 from line 13			30	1,093.
31	Net operating loss deduction (limited to the amount on line 30)			31	
32	Unrelated business taxable income before specific deduction. Subtract line 31 from line 30			32	1,093.
33	Specific deduction (Generally $1,000, but see line 33 instructions for exceptions)			33	1,000.
34	**Unrelated business taxable income.** Subtract line 33 from line 32. If line 33 is greater than line 32, enter the smaller of zero or line 32			34	93.

423701 01-13-15 LHA **For Paperwork Reduction Act Notice, see instructions.** Form **990-T** (2014)

NOT TO BE SEPARATELY FILED

Form 990-T (2014) THE GROSSMAN FAMILY FOUNDATION 26-3919092 Page 2

Part III Tax Computation

35	**Organizations Taxable as Corporations.** See instructions for tax computation. Controlled group members (sections 1561 and 1563) check here ▶ ☐ **See instructions** and:		
a	Enter your share of the $50,000, $25,000, and $9,925,000 taxable income brackets (in that order): (1) $ (2) $ (3) $		
b	Enter organization's share of: (1) Additional 5% tax (not more than $11,750) $ (2) Additional 3% tax (not more than $100,000) $		
c	Income tax on the amount on line 34 ▶	35c	
36	**Trusts Taxable at Trust Rates.** See instructions for tax computation. Income tax on the amount on line 34 from: ☒ Tax rate schedule or ☐ Schedule D (Form 1041) ▶	36	14.
37	**Proxy tax.** See instructions ▶	37	
38	Alternative minimum tax	38	
39	**Total.** Add lines 37 and 38 to line 35c or 36, whichever applies	39	14.

Part IV Tax and Payments

40a	Foreign tax credit (corporations attach Form 1118; trusts attach Form 1116)	40a			
b	Other credits (see instructions)	40b			
c	General business credit. Attach Form 3800	40c			
d	Credit for prior year minimum tax (attach Form 8801 or 8827)	40d			
e	**Total credits.** Add lines 40a through 40d			40e	
41	Subtract line 40e from line 39			41	14.
42	Other taxes. Check if from: ☐ Form 4255 ☐ Form 8611 ☐ Form 8697 ☐ Form 8866 ☐ Other (attach schedule)			42	
43	**Total tax.** Add lines 41 and 42			43	14.
44a	Payments: A 2013 overpayment credited to 2014	44a			
b	2014 estimated tax payments	44b			
c	Tax deposited with Form 8868	44c			
d	Foreign organizations: Tax paid or withheld at source (see instructions)	44d			
e	Backup withholding (see instructions)	44e			
f	Credit for small employer health insurance premiums (Attach Form 8941)	44f			
g	Other credits and payments: ☐ Form 2439 ________ ☐ Form 4136 ________ ☐ Other ________ Total ▶	44g			
45	**Total payments.** Add lines 44a through 44g			45	
46	Estimated tax penalty (see instructions). Check if Form 2220 is attached ▶ ☐			46	
47	**Tax due.** If line 45 is less than the total of lines 43 and 46, enter amount owed ▶			47	14.
48	**Overpayment.** If line 45 is larger than the total of lines 43 and 46, enter amount overpaid ▶			48	
49	Enter the amount of line 48 you want: **Credited to 2015 estimated tax** ▶ Refunded ▶			49	

Part V Statements Regarding Certain Activities and Other Information (see instructions)

		Yes	No
1	At any time during the 2014 calendar year, did the organization have an interest in or a signature or other authority over a financial account (bank, securities, or other) in a foreign country? If YES, the organization may have to file Form FinCEN Form 114, Report of Foreign Bank and Financial Accounts. If YES, enter the name of the foreign country here ▶		X
2	During the tax year, did the organization receive a distribution from, or was it the grantor of, or transferor to, a foreign trust? If YES, see instructions for other forms the organization may have to file.		X
3	Enter the amount of tax-exempt interest received or accrued during the tax year ▶$ 60,932.		

Schedule A - Cost of Goods Sold. Enter method of inventory valuation ▶ N/A

1	Inventory at beginning of year	1		6	Inventory at end of year	6	
2	Purchases	2		7	**Cost of goods sold.** Subtract line 6 from line 5. Enter here and in Part I, line 2	7	
3	Cost of labor	3		8	Do the rules of section 263A (with respect to property produced or acquired for resale) apply to the organization?	Yes	No
4a	Additional section 263A costs (att. schedule)	4a					
b	Other costs (attach schedule)	4b					
5	**Total.** Add lines 1 through 4b	5					

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

ATTACHMENT ONLY

▶ Signature of officer Date ▶ TRUSTEE Title

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

Paid Preparer Use Only

Print/Type preparer's name: CHRIS CARREIRA

Preparer's signature

Date

Check ☐ if self-employed

PTIN: P01250834

Firm's name ▶ ANDERSEN TAX LLC

Firm's EIN ▶ 33-1197384

Firm's address ▶ 1700 EAST PUTNAM AVENUE, SUITE 408
OLD GREENWICH, CT 06870

Phone no. 203-987-3660

Schedule C - Rent Income (From Real Property and Personal Property Leased With Real Property) (see instructions)

1. Description of property
(1)
(2)
(3)
(4)

	2. Rent received or accrued		3(a) Deductions directly connected with the income in columns 2(a) and 2(b) (attach schedule)
	(a) From personal property (if the percentage of rent for personal property is more than 10% but not more than 50%)	(b) From real and personal property (if the percentage of rent for personal property exceeds 50% or if the rent is based on profit or income)	
(1)			
(2)			
(3)			
(4)			
Total	0.	Total 0.	

(c) Total income. Add totals of columns 2(a) and 2(b). Enter here and on page 1, Part I, line 6, column (A) ▶ 0.

(b) Total deductions. Enter here and on page 1, Part I, line 6, column (B) ▶ 0.

Schedule E - Unrelated Debt-Financed Income (see instructions)

1. Description of debt-financed property	2. Gross income from or allocable to debt-financed property	3. Deductions directly connected with or allocable to debt-financed property	
		(a) Straight line depreciation (attach schedule)	(b) Other deductions (attach schedule)
(1)			
(2)			
(3)			
(4)			

	4. Amount of average acquisition debt on or allocable to debt-financed property (attach schedule)	5. Average adjusted basis of or allocable to debt-financed property (attach schedule)	6. Column 4 divided by column 5	7. Gross income reportable (column 2 x column 6)	8. Allocable deductions (column 6 x total of columns 3(a) and 3(b))
(1)			%		
(2)			%		
(3)			%		
(4)			%		
				Enter here and on page 1, Part I, line 7, column (A)	Enter here and on page 1, Part I, line 7, column (B)
Totals			▶	0.	0.
Total dividends-received deductions included in column 8				▶	0.

Schedule F - Interest, Annuities, Royalties, and Rents From Controlled Organizations (see instructions)

		Exempt Controlled Organizations			
1. Name of controlled organization	2. Employer identification number	3. Net unrelated income (loss) (see instructions)	4. Total of specified payments made	5. Part of column 4 that is included in the controlling organization's gross income	6. Deductions directly connected with income in column 5
(1)					
(2)					
(3)					
(4)					

Nonexempt Controlled Organizations

7. Taxable Income	8. Net unrelated income (loss) (see instructions)	9. Total of specified payments made	10. Part of column 9 that is included in the controlling organization's gross income	11. Deductions directly connected with income in column 10
(1)				
(2)				
(3)				
(4)				
			Add columns 5 and 10. Enter here and on page 1, Part I, line 8, column (A)	Add columns 6 and 11 Enter here and on page 1, Part I, line 8, column (B)
Totals		▶	0.	0.

Schedule G - Investment Income of a Section 501(c)(7), (9), or (17) Organization
(see instructions)

	1. Description of income	2. Amount of income	3. Deductions directly connected (attach schedule)	4. Set-asides (attach schedule)	5. Total deductions and set-asides (col 3 plus col 4)
(1)					
(2)					
(3)					
(4)					
Totals	▶	Enter here and on page 1, Part I, line 9, column (A) 0.			Enter here and on page 1, Part I, line 9, column (B) 0.

Schedule I - Exploited Exempt Activity Income, Other Than Advertising Income
(see instructions)

	1. Description of exploited activity	2. Gross unrelated business income from trade or business	3. Expenses directly connected with production of unrelated business income	4. Net income (loss) from unrelated trade or business (column 2 minus column 3) If a gain, compute cols. 5 through 7	5. Gross income from activity that is not unrelated business income	6. Expenses attributable to column 5	7. Excess exempt expenses (column 6 minus column 5, but not more than column 4)
(1)							
(2)							
(3)							
(4)							
Totals	▶	Enter here and on page 1, Part I, line 10, col (A) 0.	Enter here and on page 1, Part I, line 10, col (B) 0.				Enter here and on page 1, Part II, line 26 0.

Schedule J - Advertising Income (see instructions)

Part I Income From Periodicals Reported on a Consolidated Basis

	1. Name of periodical	2. Gross advertising income	3. Direct advertising costs	4. Advertising gain or (loss) (col 2 minus col 3) If a gain, compute cols 5 through 7	5. Circulation income	6. Readership costs	7. Excess readership costs (column 6 minus column 5, but not more than column 4)
(1)							
(2)							
(3)							
(4)							
Totals (carry to Part II, line (5))	▶	0.	0.				0.

Part II Income From Periodicals Reported on a Separate Basis (For each periodical listed in Part II, fill in columns 2 through 7 on a line-by-line basis.)

	1. Name of periodical	2. Gross advertising income	3. Direct advertising costs	4. Advertising gain or (loss) (col 2 minus col 3) If a gain, compute cols 5 through 7	5. Circulation income	6. Readership costs	7. Excess readership costs (column 6 minus column 5, but not more than column 4)
(1)							
(2)							
(3)							
(4)							
Totals from Part I	▶	0.	0.				0.
Totals, Part II (lines 1-5)	▶	Enter here and on page 1, Part I, line 11, col. (A) 0.	Enter here and on page 1, Part I, line 11, col (B) 0.				Enter here and on page 1, Part II, line 27. 0.

Schedule K - Compensation of Officers, Directors, and Trustees (see instructions)

	1. Name	2. Title	3. Percent of time devoted to business	4. Compensation attributable to unrelated business
(1)			%	
(2)			%	
(3)			%	
(4)			%	
Total. Enter here and on page 1, Part II, line 14			▶	0.

FORM 990-T

INCOME (LOSS) FROM PARTNERSHIPS AND S CORPORATIONS

STATEMENT 16

DESCRIPTION	AMOUNT
KKR & CO.	-416.
THE BLACKSTONE GROUP LP	223.
KKR FINANCIAL - FLEX FID	1,286.
TOTAL TO FORM 990-T, PAGE 1, LINE 5	1,093.

GROSSMAN FAMILY FOUNDATION
UBTI Schedule
December 31, 2014

Gross Receipts		Gross Deductions		UBTI - Line 20V	
The Blackstone Group LP	229	The Blackstone Group LP	6	The Blackstone Group LP	223
KKR & Co LP	642	KKR & Co LP	1,058	KKR & Co LP	(416)
KKR Financial - Flex FID	1,286	KKR Financial - Flex FID	-	KKR Financial - Flex FID	1,286
Total	2,157	**Total**	1,064	**Total**	1,093

Form **8868**
(Rev. January 2014)

Department of the Treasury
Internal Revenue Service

Application for Extension of Time To File an Exempt Organization Return

▶ **File a separate application for each return.**

▶ **Information about Form 8868 and its instructions is at** *www.irs.gov/form8868*

OMB No. 1545-1709

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box ▶ ☒
- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** (on page 2 of this form).

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868.

Electronic filing *(e-file)*. You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit *www.irs.gov/efile* and click on *e-file for Charities & Nonprofits*

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ▶ ☐

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.

Enter filer's identifying number

Type or print File by the due date for filing your return See instructions.	Name of exempt organization or other filer, see instructions. THE GROSSMAN FAMILY FOUNDATION	Employer identification number (EIN) or 26-3919092
	Number, street, and room or suite no. If a P.O. box, see instructions. 133 RIVER ROAD	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions. COS COB, CT 06807	

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720 (other than individual)	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

- The books are in the care of ▶ STEVEN GROSSMAN
  133 RIVER ROAD - COS COB, CT 06807
  Telephone No. ▶ 203-340-2020 Fax No. ▶
- If the organization does not have an office or place of business in the United States, check this box ▶ ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______. If this is for the whole group, check this box ▶ ☐. If it is for part of the group, check this box ▶ ☐ and attach a list with the names and EINs of all members the extension is for.

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until AUGUST 15, 2015, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
▶ ☒ calendar year 2014 or
▶ ☐ tax year beginning ______, and ending ______

2 If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

3a	If this application is for Forms 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions.	3a	$ 160,000.
b	If this application is for Forms 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit.	3b	$ 115,000.
c	**Balance due.** Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions.	3c	$ 45,000.

Caution. If you are going to make an electronic funds withdrawal (direct debit) with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

LHA **For Privacy Act and Paperwork Reduction Act Notice, see instructions.** Form **8868** (Rev. 1-2014)

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05-01-14