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 CONN FAMILY FOUNDATION

A Employer identification number: 27-4036957

Number and street (or P O box number if mail is not delivered to street address): P.O. BOX 4784 — Room/suite:

B Telephone number: 256-881-2203

City or town, state or province, country, and ZIP or foreign postal code: HUNTSVILLE, AL 35815

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: [X] 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) ▶$ 382,094.

J Accounting method [X] 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 | 51,830. | | N/A | |
| | 2 Check ▶ [X] if the foundation is not required to attach Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | | | | |
| | 4 Dividends and interest from securities | 6,909. | 6,909. | | STATEMENT 1 |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain or (loss) from sale of assets not on line 10 | 16,337. | | | |
| | b Gross sales price for all assets on line 6a 103,742. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 16,337. | | |
| | 8 Net short-term capital gain | | | | |
| | 9 Income modifications | | | | |
| | 10a Gross sales less returns and allowances | | | | |
| | b Less Cost of goods sold | | | | |
| | c Gross profit or (loss) | | | | |
| | 11 Other income | | | | |
| | 12 Total. Add lines 1 through 11 | 75,076. | 23,246. | | |
| Operating and Administrative Expenses | 13 Compensation of officers, directors, trustees, etc | 0. | 0. | | 0. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees | | | | |
| | b Accounting fees STMT 2 | 1,300. | 0. | | 0. |
| | c Other professional fees STMT 3 | 932. | 932. | | 0. |
| | 17 Interest | | | | |
| | 18 Taxes STMT 4 | 309. | 168. | | 0. |
| | 19 Depreciation and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | | | | |
| | 22 Printing and publications | | | | |
| | 23 Other expenses | | | | |
| | 24 Total operating and administrative expenses. Add lines 13 through 23 | 2,541. | 1,100. | | 0. |
| | 25 Contributions, gifts, grants paid | 20,000. | | | 20,000. |
| | 26 Total expenses and disbursements Add lines 24 and 25 | 22,541. | 1,100. | | 20,000. |
| | 27 Subtract line 26 from line 12 | | | | |
| | a Excess of revenue over expenses and disbursements | 52,535. | | | |
| | b Net investment income (if negative, enter -0-) | | 22,146. | | |
| | c Adjusted net income (if negative, enter -0-) | | | N/A | |

RECEIVED MAY 15 2015 OGDEN, UT IRS-OSC

SCANNED MAY 26 2015

MAY 22 2015

423501 11-24-14 LHA For Paperwork Reduction Act Notice, see instructions



2

| Part II Balance Sheets | Attached schedules and amounts in the description column should be for end-of-year amounts only | Beginning of year (a) Book Value | End of year (b) Book Value | (c) Fair Market Value |
|---|---|---|---|---|
| Assets | 1 Cash - non-interest-bearing | 5,446. | 29,269. | 29,269. |
| | 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 | | | |
| | b Investments - corporate stock STMT 5 | 283,925. | 312,680. | 352,644. |
| | c Investments - corporate bonds | | | |
| | 11 Investments - land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 12 Investments - mortgage loans | | | |
| | 13 Investments - other | | | |
| | 14 Land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation ▶ | | | |
| | 15 Other assets (describe ▶ STATEMENT 6 ) | 224. | 181. | 181. |
| | 16 Total assets (to be completed by all filers - see the instructions Also, see page 1, item I) | 289,595. | 342,130. | 382,094. |
| Liabilities | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 Mortgages and other notes payable | | | |
| | 22 Other liabilities (describe ▶ ) | | | |
| | 23 Total liabilities (add lines 17 through 22) | 0. | 0. | |
| Net Assets or Fund Balances | Foundations that follow SFAS 117, check here ▶ ☐ 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 ▶ [X] 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 | 289,595. | 342,130. | |
| | 30 Total net assets or fund balances | 289,595. | 342,130. | |
| | 31 Total liabilities and net assets/fund balances | 289,595. | 342,130. | |

## 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 | 289,595. |
| 2 | Enter amount from Part I, line 27a | 2 | 52,535. |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 | Add lines 1, 2, and 3 | 4 | 342,130. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 0. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 342,130. |

## Part IV Capital Gains and Losses for Tax on Investment Income

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

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | 103,742. | | 87,405. | 16,337. |

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 | | | | 16,337. |

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** 16,337.

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 | 11,859. | 320,392. | .037014 |
| 2012 | 5,000. | 290,233. | .017228 |
| 2011 | 14,988. | 300,842. | .049820 |
| 2010 | 0. | 183,970. | .000000 |
| 2009 | | | |

| | | | |
|---|---|---|---|
| 2 | Total of line 1, column (d) | 2 | .104062 |
| 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 | .026016 |
| 4 | Enter the net value of noncharitable-use assets for 2014 from Part X, line 5 | 4 | 352,922. |
| 5 | Multiply line 4 by line 3 | 5 | 9,182. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 221. |
| 7 | Add lines 5 and 6 | 7 | 9,403. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 20,000. |

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 ▶ [X] and enter 1% of Part I, line 27b | | 1 | 221. |
| c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b). | | | |
| 2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | 2 | 0. |
| 3 Add lines 1 and 2 | | 3 | 221. |
| 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 | 221. |
| 6 Credits/Payments. | | | |
| a 2014 estimated tax payments and 2013 overpayment credited to 2014 | 6a | | |
| b Exempt foreign organizations - tax withheld at source | 6b | | |
| c Tax paid with application for extension of time to file (Form 8868) | 6c | | |
| d Backup withholding erroneously withheld | 6d | | |
| 7 Total credits and payments Add lines 6a through 6d | | 7 | 0. |
| 8 Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached | | 8 | |
| 9 **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | 9 | 221. |
| 10 **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | 10 | |
| 11 Enter the amount of line 10 to be **Credited to 2015 estimated tax** ▶ | **Refunded** ▶ | 11 | |

## Part VII-A Statements Regarding Activities

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

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

| | | Line | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ CLAUDIA G. CONN Telephone no ▶256-881-2203
Located at ▶211 BEAUCHAMP PLACE, HUNTSVILLE, AL ZIP+4 ▶35802

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

| | | Line | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 2014, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | X |
| | See the instructions for exceptions and filing requirements for FinCEN Form 114, (formerly TD F 90-22 1) If "Yes," enter the name of the foreign country ▶ | | | |

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

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

| | | | Line | Yes | No |
|---|---|---|---|---|---|
| 1a | During the year did the foundation (either directly or indirectly) | | | | |
| | (1) Engage in the sale or exchange, or leasing of property with a disqualified person? | ☐ Yes ☒ No | | | |
| | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? | ☐ Yes ☒ No | | | |
| | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? | ☐ Yes ☒ No | | | |
| | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? | ☐ Yes ☒ No | | | |
| | (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? | ☐ Yes ☒ No | | | |
| | (6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ) | ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? | N/A | 1b | | |
| | Organizations relying on a current notice regarding disaster assistance check here | ▶ ☐ | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2014? | | 1c | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | | | |
| a | At the end of tax year 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014? | ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ ______, ______, ______, ______ | | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions ) | N/A | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ ______, ______, ______, ______ | | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2014 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2014 )* | N/A | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2014? | | 4b | | X |

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

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

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No

(4) Provide a grant to an organization other than a charitable, etc, organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☒ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No

b If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? N/A | 5b | |

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No

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

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | 6b | | X

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

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A | 7b | |

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

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

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| SEE STATEMENT 7 | | 0. | 0. | 0. |

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

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

**Total** number of other employees paid over $50,000 ▶ 0

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

**3 Five highest-paid independent contractors for professional services. If none, enter "NONE."**

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| NONE | | |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ▶ | | 0 |

## Part IX-A Summary of Direct Charitable Activities

| List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc. | Expenses |
|---|---|
| 1 N/A | |
| 2 | |
| 3 | |
| 4 | |

## Part IX-B Summary of Program-Related Investments

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



423561
11-24-14

## 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 | 343,294. |
| b | Average of monthly cash balances | 1b | 15,002. |
| c | Fair market value of all other assets | 1c | |
| d | Total (add lines 1a, b, and c) | 1d | 358,296. |
| 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 | 358,296. |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 5,374. |
| 5 | Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 352,922. |
| 6 | Minimum investment return. Enter 5% of line 5 | 6 | 17,646. |

## 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 | 17,646. |
| 2a | Tax on investment income for 2014 from Part VI, line 5 — 2a: 221. | | |
| b | Income tax for 2014 (This does not include the tax from Part VI.) — 2b: | | |
| c | Add lines 2a and 2b | 2c | 221. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | 3 | 17,425. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 17,425. |
| 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 | 17,425. |

## 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 | 20,000. |
| 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 | 20,000. |
| 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 | 221. |
| 6 | Adjusted qualifying distributions. Subtract line 5 from line 4 | 6 | 19,779. |

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



423571
11-24 14

**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 | | | | 17,425. |
| 2 Undistributed income, if any, as of the end of 2014 | | | | |
| a Enter amount for 2013 only | | | 14,205. | |
| 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 ▶ $ 20,000. | | | | |
| a Applied to 2013, but not more than line 2a | | | 14,205. | |
| 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 | | | | 5,795. |
| 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 | | | | 11,630. |
| 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) )

CLAUDIA G. CONN

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

NONE

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

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

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

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

c Any submission deadlines

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

**Part XV Supplementary Information** (continued)

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

| Recipient<br>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* | | | | |
| COMMUNITY BALLET ASSOCIATION<br>800 REGAL DRIVE<br>HUNTSVILLE, AL 35801 | | | TO SUPPORT THE COMMUNITY BALLET BY ASSISTING IN FUNDING THE NEW STAGING OF THE NUTCRACKER | 20,000. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Total | | | ▶ 3a | 20,000. |
| *b Approved for future payment*<br><br>NONE | | | | |
| | | | | |
| | | | | |
| Total | | | ▶ 3b | 0. |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated | Unrelated business income (a) Business code | (b) Amount | Excluded by section 512, 513, or 514 (c) Exclusion code | (d) Amount | (e) Related or exempt function income |
|---|---|---|---|---|---|
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | | | |
| 4 Dividends and interest from securities | | | 14 | 6,909. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 16,337. | |
| 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. | | 23,246. | 0. |

13 Total. Add line 12, columns (b), (d), and (e) 13 23,246.

(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: [signature] Date: 13 May 15 Title: PRESIDENT

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| MARGARET MORRISON | MARGARET MORRISON | 05/12/15 | | P00248149 |

Firm's name ▶ MDA PROFESSIONAL GROUP, PC — Firm's EIN ▶ 63-0681783

Firm's address ▶ 307 CLINTON AVE, STE 500 HUNTSVILLE, AL 35801 — Phone no 256-533-9105



423622
11-24-14

**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 - SEE ATTACHED | | VARIOUS | 12/31/14 |
| b | MORGAN STANLEY - SEE ATTACHED | | VARIOUS | 12/31/14 |
| c | MORGAN STANLEY - SEE ATTACHED | | VARIOUS | 12/31/14 |
| d | FIDELITY - SEE ATTACHED | | VARIOUS | 12/31/14 |
| e | FIDELITY - SEE ATTACHED | | VARIOUS | 12/31/14 |
| f | FIDELITY - SEE ATTACHED | | VARIOUS | 09/11/14 |
| g | CAPITAL GAINS DIVIDENDS | | | |
| 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 | 4,034. | | 4,135. | -101. |
| b | 1,941. | | 1,642. | 299. |
| c | 10,843. | | 6,609. | 4,234. |
| d | 2,846. | | 2,665. | 181. |
| e | 71,494. | | 66,102. | 5,392. |
| f | 6,232. | | 6,252. | -20. |
| g | 6,352. | | | 6,352. |
| 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 | | | | -101. |
| b | | | | 299. |
| c | | | | 4,234. |
| d | | | | 181. |
| e | | | | 5,392. |
| f | | | | -20. |
| g | | | | 6,352. |
| 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 | 16,337. |
| 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 |

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 1

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | (A) REVENUE PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME |
|---|---|---|---|---|---|
| FIDELITY | 12,085. | 6,352. | 5,733. | 5,733. | |
| MORGAN STANLEY | 1,176. | 0. | 1,176. | 1,176. | |
| TO PART I, LINE 4 | 13,261. | 6,352. | 6,909. | 6,909. | |

FORM 990-PF ACCOUNTING FEES STATEMENT 2

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| ACCOUNTANT | 1,300. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 16B | 1,300. | 0. | | 0. |

FORM 990-PF OTHER PROFESSIONAL FEES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| MORGAN STANLEY | 928. | 928. | | 0. |
| FIDELITY | 4. | 4. | | 0. |
| TO FORM 990-PF, PG 1, LN 16C | 932. | 932. | | 0. |

FORM 990-PF TAXES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| FOREIGN TAXES | 21. | 21. | | 0. |
| FOREIGN TAXES | 147. | 147. | | 0. |
| EXCISE TAX | 141. | 0. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 309. | 168. | | 0. |

FORM 990-PF CORPORATE STOCK STATEMENT 5

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| COMMON STOCK | 116,971. | 157,764. |
| MUTUAL FUNDS | 193,134. | 191,794. |
| OTHER FIDELITY HOLDINGS | 2,575. | 3,086. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 312,680. | 352,644. |

FORM 990-PF OTHER ASSETS STATEMENT 6

| DESCRIPTION | BEGINNING OF YR BOOK VALUE | END OF YEAR BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|
| ACCRUED DIVIDENDS | 132. | 181. | 181. |
| DEPOSIT IN TRANSIT | 92. | 0. | 0. |
| TO FORM 990-PF, PART II, LINE 15 | 224. | 181. | 181. |

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS STATEMENT 7

| NAME AND ADDRESS | TITLE AND AVRG HRS/WK | COMPEN-SATION | EMPLOYEE BEN PLAN CONTRIB | EXPENSE ACCOUNT |
|---|---|---|---|---|
| CLAUDIA G. CONN<br>211 BEAUCHAMP PLACE<br>HUNTSVILLE, AL 35802 | PRESIDENT<br>0.00 | 0. | 0. | 0. |
| MARGARET M. MORRISON<br>307 CLINTON AVENUE, SUITE 500<br>HUNTSVILLE, AL 35801 | SECRETARY/TREASURER<br>0.00 | 0. | 0. | 0. |
| J. WESLEY CLAYTON<br>100 CHURCH STREET SW, SUITE 625<br>HUNTSVILLE, AL 35801 | BOARD MEMBER<br>0.00 | 0. | 0. | 0. |
| STEPHENS M. CONN<br>6860 GULFPORT BLVD S #135<br>SOUTH PASADENA, FL 33707-2108 | BOARD MEMBER<br>0.00 | 0. | 0. | 0. |
| LAURIE A. CONN<br>3092 LEAFLET WAY<br>AUGUSTA, GA 30909 | BOARD MEMBER<br>0.00 | 0. | 0. | 0. |
| TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII | | 0. | 0. | 0. |

Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY: SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number. XX-XXX6957
Account Number: 198 115353 050

**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) |
|---|---|---|---|---|---|---|---|---|
| AT&T INC | **CUSIP:** 00206R102 | **Symbol:** T | | | | | | |
| | 6.000 | 03/25/13 | 03/13/14 | $194 83 | $218.40 | $0 00 | ($23 57) | $0 00 |
| BIOMARIN PHARMAC SE | **CUSIP:** 09061G101 | **Symbol:** BMRN | | | | | | |
| | 1 000 | 03/13/13 | 02/28/14 | $82.73 | $61 42 | $0.00 | $21 31 | $0 00 |
| | 1.000 | 03/13/13 | 02/28/14 | $82.74 | $61.49 | $0.00 | $21.25 | $0.00 |
| **Security Subtotal** | **2.000** | | | **$165.47** | **$122.91** | **$0.00** | **$42.56** | **$0.00** |
| COACH INC | **CUSIP:** 189754104 | **Symbol:** COH | | | | | | |
| | 2 000 | 03/25/13 | 03/13/14 | $97.58 | $99.57 | $0.00 | ($1 99) | $0.00 |
| | 4 000 | 05/15/13 | 03/13/14 | $195.15 | $234 85 | $0 00 | ($39 70) | $0 00 |
| | 3.000 | 01/22/14 | 03/13/14 | $146.36 | $146.37 | $0.00 | ($0.01) | $0.00 |
| **Security Subtotal** | **9.000** | | | **$439.09** | **$480.79** | **$0.00** | **($41.70)** | **$0.00** |
| DIAGEO PLC SPON ADR NEW | **CUSIP:** 25243Q205 | **Symbol:** DEO | | | | | | |
| | 1 000 | 03/06/13 | 01/16/14 | $129 01 | $120 66 | $0.00 | $8 35 | $0.00 |
| | 1.000 | 03/12/13 | 01/27/14 | $127.40 | $119 16 | $0 00 | $8 24 | $0 00 |
| | 1.000 | 03/19/13 | 01/27/14 | $127.39 | $123.27 | $0.00 | $4.12 | $0.00 |
| **Security Subtotal** | **3.000** | | | **$383.80** | **$363.09** | **$0.00** | **$20.71** | **$0.00** |
| EBAY INC | **CUSIP:** 278642103 | **Symbol:** EBAY | | | | | | |
| | 1.000 | 03/19/13 | 01/13/14 | $52 66 | $51 19 | $0 00 | $1 47 | $0.00 |
| FMC TECHNOLOGIES INC | **CUSIP:** 30249U101 | **Symbol:** FTI | | | | | | |
| | 2 000 | 03/21/13 | 01/30/14 | $98.75 | $103.94 | $0 00 | ($5 19) | $0 00 |

**CONTINUED ON NEXT PAGE**

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY. SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number: 198 115353 050

**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 (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) |
|---|---|---|---|---|---|---|---|---|
| FMC TECHNOLOGIES INC (Cont.) | CUSIP: 30249U101 | | Symbol: FTI | | | | | |
| | 1 000 | 04/01/13 | 01/30/14 | $49 37 | $54 00 | $0.00 | ($4.63) | $0 00 |
| | 1 000 | 04/17/13 | 01/30/14 | $49 30 | $48 44 | $0 00 | $0 86 | $0.00 |
| | 1.000 | 04/19/13 | 01/30/14 | $49.30 | $48.92 | $0.00 | $0.38 | $0 00 |
| | 1.000 | 04/23/13 | 01/30/14 | $49.29 | $51 06 | $0.00 | ($1.77) | $0.00 |
| **Security Subtotal** | **6.000** | | | **$296.01** | **$306.36** | **$0.00** | **($10.35)** | **$0.00** |
| LUXOTTICA GROUP SPA SPON ADR | CUSIP: 55068R202 | | Symbol: LUX | | | | | |
| | 2.000 | 02/20/13 | 01/16/14 | $101.42 | $92.76 | $0 00 | $8 66 | $0.00 |
| | 2 000 | 02/21/13 | 01/16/14 | $101 41 | $90 55 | $0 00 | $10 86 | $0 00 |
| | 1 000 | 03/04/13 | 01/17/14 | $50.29 | $48 45 | $0.00 | $1.84 | $0 00 |
| | 1.000 | 03/04/13 | 01/21/14 | $53.93 | $48.45 | $0 00 | $5 48 | $0 00 |
| | 1 000 | 03/07/13 | 01/21/14 | $53 93 | $48 12 | $0 00 | $5 81 | $0 00 |
| | 1 000 | 03/07/13 | 01/22/14 | $53 24 | $48 12 | $0 00 | $5.12 | $0 00 |
| | 1 000 | 03/13/13 | 01/23/14 | $52 58 | $49.26 | $0 00 | $3.32 | $0 00 |
| | 1.000 | 03/15/13 | 01/23/14 | $52 57 | $51 02 | $0.00 | $1 55 | $0 00 |
| | 1.000 | 03/15/13 | 01/27/14 | $52.16 | $51 02 | $0 00 | $1.14 | $0.00 |
| | 1.000 | 03/19/13 | 01/30/14 | $52.96 | $50 60 | $0 00 | $2.36 | $0 00 |
| | 1.000 | 03/20/13 | 01/30/14 | $52 96 | $51.10 | $0.00 | $1.86 | $0 00 |

CONTINUED ON NEXT PAGE

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY· SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number: 198 115353 050

**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 (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) |
|---|---|---|---|---|---|---|---|---|
| LUXOTTICA GROUP SPA SPON ADR(Cont.) | **CUSIP:** 55068R202 | | **Symbol:** LUX | | | | | |
| | 1 000 | 03/21/13 | 01/31/14 | $52 81 | $50.67 | $0 00 | $2.14 | $0.00 |
| | 2.000 | 03/22/13 | 01/31/14 | $105.62 | $103.09 | $0.00 | $2.53 | $0.00 |
| **Security Subtotal** | **16.000** | | | **$835.88** | **$783.21** | **$0.00** | **$52.67** | **$0.00** |
| MEAD JOHNSON NUTRITION COMPANY | **CUSIP:** 582839106 | | **Symbol:** MJN | | | | | |
| | 1.000 | 08/02/13 | 02/26/14 | $81.23 | $75 50 | $0 00 | $5 73 | $0.00 |
| | 1.000 | 08/06/13 | 02/26/14 | $80.63 | $76 84 | $0 00 | $3.79 | $0.00 |
| | 1.000 | 08/12/13 | 02/26/14 | $80.63 | $77.31 | $0.00 | $3.32 | $0.00 |
| **Security Subtotal** | **3.000** | | | **$242.49** | **$229.65** | **$0.00** | **$12.84** | **$0.00** |
| NCR CORPORATION | **CUSIP:** 62886E108 | | **Symbol:** NCR | | | | | |
| | 4 000 | 08/13/13 | 01/22/14 | $148.80 | $147.09 | $0 00 | $1 71 | $0 00 |
| | 5.000 | 08/13/13 | 02/19/14 | $166 33 | $183.86 | $0 00 | ($17 53) | $0.00 |
| | 5.000 | 12/04/13 | 02/19/14 | $166.33 | $162.84 | $0.00 | $3.49 | $0.00 |
| **Security Subtotal** | **14.000** | | | **$481.46** | **$493.79** | **$0.00** | **($12.33)** | **$0.00** |
| NOBLE ENERGY INC | **CUSIP:** 655044105 | | **Symbol:** NBL | | | | | |
| | 1.000 | 10/01/13 | 01/14/14 | $64.32 | $67 74 | $0.00 | ($3 42) | $0.00 |
| | 2 000 | 10/01/13 | 01/14/14 | $128 30 | $134.74 | $0.00 | ($6 44) | $0 00 |
| | 1.000 | 10/01/13 | 01/14/14 | $64.15 | $67.74 | $0.00 | ($3.59) | $0.00 |
| **Security Subtotal** | **4.000** | | | **$256.77** | **$270.22** | **$0.00** | **($13.45)** | **$0.00** |

CONTINUED ON NEXT PAGE

Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number: 198 115353 050

**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 (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) |
|---|---|---|---|---|---|---|---|---|
| REYNOLDS AMERICAN INC | **CUSIP:** 761713106 | | **Symbol:** RAI | | | | | |
| | 2 000 | 12/04/13 | 02/19/14 | $95.50 | $101.28 | $0.00 | ($5 78) | $0.00 |
| SANOFI ADR | **CUSIP:** 80105N105 | | **Symbol:** SNY | | | | | |
| | 5 000 | 03/25/13 | 01/22/14 | $258.17 | $250.55 | $0.00 | $7.62 | $0.00 |
| THE ADT CORPORATION COM | **CUSIP:** 00101J106 | | **Symbol:** ADT | | | | | |
| | 6 000 | 11/20/13 | 02/06/14 | $181.24 | $260 67 | $0 00 | ($79 43) | $0.00 |
| | 5.000 | 12/04/13 | 02/06/14 | $151.04 | $202.90 | $0.00 | ($51.86) | $0.00 |
| **Security Subtotal** | **11.000** | | | **$332.28** | **$463.57** | **$0.00** | **($131.29)** | **$0.00** |
| **Total Short Term Covered Securities** | | | | **$4,034.41** | **$4,135.01** | **$0.00** | **($100.60)** | **$0.00** |

Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number. 198 115353 050

**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 - 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) |
|---|---|---|---|---|---|---|---|---|
| AFLAC INCORPORATED | **CUSIP:** 001055102 | **Symbol:** AFL | | | | | | |
| | 9 000 | 12/03/12 | 03/31/14 | $567.11 | $478.18 | $0.00 | $88 93 | $0 00 |
| | 3.000 | 01/28/13 | 03/31/14 | $189.04 | $160.10 | $0.00 | $28.94 | $0.00 |
| **Security Subtotal** | **12.000** | | | **$756.15** | **$638.28** | **$0.00** | **$117.87** | **$0.00** |
| AMERICAN ELECTRIC POWER CO | **CUSIP:** 025537101 | **Symbol:** AEP | | | | | | |
| | 5.000 | 06/01/12 | 01/22/14 | $237.50 | $193 11 | $0 00 | $44 39 | $0 00 |
| AT&T INC | **CUSIP:** 00206R102 | **Symbol:** T | | | | | | |
| | 3 000 | 05/11/12 | 03/13/14 | $97.41 | $101 01 | $0 00 | ($3 60) | $0 00 |
| EBAY INC | **CUSIP:** 278642103 | **Symbol:** EBAY | | | | | | |
| | 2 000 | 11/20/12 | 01/13/14 | $105.30 | $96 54 | $0 00 | $8 76 | $0 00 |
| | 2 000 | 12/10/12 | 01/13/14 | $105.30 | $101 74 | $0.00 | $3.56 | $0.00 |
| **Security Subtotal** | **4.000** | | | **$210.60** | **$198.28** | **$0.00** | **$12.32** | **$0.00** |
| ESTEE LAUDER CO INC CL A | **CUSIP:** 518439104 | **Symbol:** EL | | | | | | |
| | 1.000 | 01/16/13 | 04/01/14 | $67.40 | $64.14 | $0.00 | $3 26 | $0 00 |
| EXPRESS SCRIPTS HLDG CO COM | **CUSIP:** 30219G108 | **Symbol:** ESRX | | | | | | |
| | 1.000 | 05/09/12 | 02/28/14 | $75.45 | $54.40 | $0.00 | $21 05 | $0 00 |
| | 1.000 | 05/14/12 | 02/28/14 | $75.44 | $54.10 | $0.00 | $21.34 | $0 00 |
| **Security Subtotal** | **2.000** | | | **$150.89** | **$108.50** | **$0.00** | **$42.39** | **$0.00** |
| GENERAL ELECTRIC CO | **CUSIP:** 369604103 | **Symbol:** GE | | | | | | |
| | 7 000 | 12/03/12 | 03/31/14 | $181 21 | $147.07 | $0 00 | $34 14 | $0 00 |
| MONDELEZ INTL INC COM | **CUSIP:** 609207105 | **Symbol:** MDLZ | | | | | | |
| | 1.000 | 09/20/12 | 03/28/14 | $34.35 | $26 85 | $0 00 | $7 50 | $0 00 |

CONTINUED ON NEXT PAGE

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY: SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number: 198 115353 050

**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 (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

**Long 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 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) |
|---|---|---|---|---|---|---|---|---|
| MONDELEZ INTL INC COM(Cont ) | CUSIP: 609207105 | Symbol: MDLZ | | | | | | |
| | 2.000 | 09/21/12 | 03/28/14 | $68 68 | $54 55 | $0 00 | $14 13 | $0 00 |
| | 1.000 | 09/21/12 | 03/28/14 | $34 35 | $27.28 | $0 00 | $7.07 | $0.00 |
| | 2.000 | 10/01/12 | 03/28/14 | $68 63 | $54.92 | $0.00 | $13 71 | $0.00 |
| | 1.000 | 10/01/12 | 03/28/14 | $34.32 | $27.52 | $0.00 | $6.80 | $0.00 |
| **Security Subtotal** | **7.000** | | | **$240.33** | **$191.12** | **$0.00** | **$49.21** | **$0.00** |
| **Total Long Term Covered Securities** | | | | **$1,941.49** | **$1,641.51** | **$0.00** | **$299.98** | **$0.00** |

Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY· SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number: 198 115353 050

**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) |
|---|---|---|---|---|---|---|---|---|
| ALEXION PHARM INC | CUSIP: 015351109 | | Symbol (Box 1d): ALXN | | | | | |
| | 1 000 | 02/23/11 | 03/26/14 | $151.14 | $46.20 | $0.00 | $104.94 | $0 00 |
| | 1.000 | 02/23/11 | 03/27/14 | $152.52 | $46.20 | $0.00 | $106.32 | $0.00 |
| **Security Subtotal** | **2.000** | | | **$303.66** | **$92.40** | **$0.00** | **$211.26** | **$0.00** |
| AMERICAN ELECTRIC POWER CO | CUSIP: 025537101 | | Symbol (Box 1d): AEP | | | | | |
| | 1.000 | 12/09/10 | 01/22/14 | $47.50 | $35 34 | $0 00 | $12 16 | $0 00 |
| | 2.000 | 10/26/11 | 01/22/14 | $95 00 | $79.39 | $0.00 | $15.61 | $0.00 |
| **Security Subtotal** | **3.000** | | | **$142.50** | **$114.73** | **$0.00** | **$27.77** | **$0.00** |
| AMERICAN EXPRESS CO | CUSIP: 025816109 | | Symbol (Box 1d): AXP | | | | | |
| | 2.000 | 04/19/11 | 02/06/14 | $170.01 | $92.12 | $0 00 | $77 89 | $0 00 |
| | 2 000 | 08/17/11 | 02/06/14 | $170.01 | $91 26 | $0 00 | $78 75 | $0 00 |
| | 1 000 | 08/26/11 | 02/06/14 | $85.00 | $47.60 | $0.00 | $37.40 | $0.00 |
| **Security Subtotal** | **5.000** | | | **$425.02** | **$230.98** | **$0.00** | **$194.04** | **$0.00** |
| APPLE INC | CUSIP: 037833100 | | Symbol (Box 1d): AAPL | | | | | |
| | 1.000 | 12/20/10 | 01/30/14 | $498 86 | $320 00 | $0 00 | $178 86 | $0 00 |
| AT&T INC | CUSIP: 00206R102 | | Symbol (Box 1d): T | | | | | |
| | 2 000 | 09/12/11 | 03/13/14 | $64 94 | $55.79 | $0.00 | $9 15 | $0.00 |
| | 5.000 | 10/26/11 | 03/13/14 | $162.35 | $143.62 | $0.00 | $18.73 | $0 00 |
| | 4.000 | 12/15/11 | 03/13/14 | $129.88 | $115.17 | $0.00 | $14.71 | $0.00 |
| **Security Subtotal** | **11.000** | | | **$357.17** | **$314.58** | **$0.00** | **$42.59** | **$0.00** |

CONTINUED ON NEXT PAGE

Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY: SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number: 198 115353 050

**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 (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

**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) |
|---|---|---|---|---|---|---|---|---|
| AVALONBAY COMM INC | CUSIP: 053484101 | | Symbol (Box 1d): AVB | | | | | |
| | 3 000 | 12/09/10 | 01/22/14 | $366.23 | $331 56 | $0.00 | $34.67 | $0.00 |
| | 1.000 | 12/15/11 | 01/22/14 | $122.08 | $127.24 | $0.00 | ($5.16) | $0.00 |
| **Security Subtotal** | **4.000** | | | **$488.31** | **$458.80** | **$0.00** | **$29.51** | **$0.00** |
| BRISTOL MYERS SQUIBB CO | CUSIP: 110122108 | | Symbol (Box 1d): BMY | | | | | |
| | 1 000 | 10/04/11 | 01/23/14 | $53.09 | $31.75 | $0 00 | $21 34 | $0.00 |
| | 1.000 | 10/04/11 | 01/27/14 | $50.06 | $31.75 | $0 00 | $18.31 | $0.00 |
| | 2.000 | 10/04/11 | 01/28/14 | $101.02 | $62 91 | $0.00 | $38 11 | $0 00 |
| | 2 000 | 10/04/11 | 02/28/14 | $109 15 | $62 91 | $0 00 | $46 24 | $0 00 |
| | 1.000 | 10/06/11 | 02/28/14 | $54.57 | $32.20 | $0 00 | $22.37 | $0 00 |
| **Security Subtotal** | **7.000** | | | **$367.89** | **$221.52** | **$0.00** | **$146.37** | **$0.00** |
| ESTEE LAUDER CO INC CL A | CUSIP: 518439104 | | Symbol (Box 1d): EL | | | | | |
| | 1 000 | 12/10/10 | 02/05/14 | $65 45 | $38.94 | $0 00 | $26 51 | $0 00 |
| | 1.000 | 12/23/10 | 02/05/14 | $65 44 | $39.90 | $0 00 | $25.54 | $0.00 |
| | 1 000 | 12/23/10 | 02/06/14 | $66 71 | $39.90 | $0 00 | $26 81 | $0 00 |
| | 2.000 | 01/05/11 | 02/06/14 | $133.43 | $82.52 | $0 00 | $50 91 | $0.00 |
| | 2 000 | 01/19/11 | 03/28/14 | $133 49 | $83.67 | $0.00 | $49 82 | $0 00 |
| | 1 000 | 01/20/11 | 04/01/14 | $67 41 | $41.81 | $0.00 | $25.60 | $0 00 |
| | 1.000 | 01/20/11 | 04/01/14 | $67.85 | $41.81 | $0.00 | $26.04 | $0.00 |
| **Security Subtotal** | **9.000** | | | **$599.78** | **$368.55** | **$0.00** | **$231.23** | **$0.00** |
| GENERAL ELECTRIC CO | CUSIP: 369604103 | | Symbol (Box 1d): GE | | | | | |
| | 18.000 | 12/09/10 | 03/13/14 | $462.08 | $307.95 | $0 00 | $154 13 | $0 00 |
| | 3 000 | 08/26/11 | 03/13/14 | $77.01 | $46.01 | $0.00 | $31 00 | $0.00 |

CONTINUED ON NEXT PAGE

Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY. SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number: 198 115353 050

**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 (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

**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) |
|---|---|---|---|---|---|---|---|---|
| GENERAL ELECTRIC CO (Cont ) | **CUSIP:** 369604103 | | **Symbol (Box 1d):** GE | | | | | |
| | 9 000 | 08/26/11 | 03/31/14 | $232 97 | $138 02 | $0.00 | $94.95 | $0 00 |
| | 6 000 | 12/15/11 | 03/31/14 | $155.31 | $100.08 | $0.00 | $55 23 | $0 00 |
| | 9.000 | 04/19/12 | 03/31/14 | $232.97 | $171 99 | $0.00 | $60.98 | $0.00 |
| **Security Subtotal** | **45.000** | | | **$1,160.34** | **$764.05** | **$0.00** | **$396.29** | **$0.00** |
| GOLDMAN SACHS GRP INC | **CUSIP:** 38141G104 | | **Symbol (Box 1d):** GS | | | | | |
| | 1.000 | 12/09/10 | 03/20/14 | $168.84 | $166 22 | $0.00 | $2.62 | $0 00 |
| HONEYWELL INTERNATIONAL INC | **CUSIP:** 438516106 | | **Symbol (Box 1d):** HON | | | | | |
| | 3.000 | 02/13/12 | 01/22/14 | $271 54 | $179 27 | $0 00 | $92 27 | $0 00 |
| ILLUMINA INC | **CUSIP:** 452327109 | | **Symbol (Box 1d):** ILMN | | | | | |
| | 2 000 | 12/09/10 | 02/27/14 | $358.02 | $126 00 | $0 00 | $232 02 | $0 00 |
| | 1.000 | 12/09/10 | 03/27/14 | $142.41 | $63 00 | $0.00 | $79.41 | $0 00 |
| **Security Subtotal** | **3.000** | | | **$500.43** | **$189.00** | **$0.00** | **$311.43** | **$0.00** |
| MASTERCARD INC CL A | **CUSIP:** 57636Q104 | | **Symbol (Box 1d):** MA | | | | | |
| | 7.000 | 12/09/10 | 01/28/14 | $548 45 | $174 88 | $0 00 | $373 57 | $0 00 |
| | 1.000 | 12/09/10 | 02/26/14 | $76.96 | $24.98 | $0 00 | $51 98 | $0 00 |
| | 1.000 | 12/09/10 | 02/26/14 | $76.93 | $24.98 | $0.00 | $51.95 | $0.00 |
| **Security Subtotal** | **9.000** | | | **$702.34** | **$224.84** | **$0.00** | **$477.50** | **$0.00** |
| MICHAEL KORS HOLDINGS LTD | **CUSIP:** G60754101 | | **Symbol (Box 1d):** KORS | | | | | |
| | 4 000 | 03/23/12 | 02/04/14 | $363.36 | $188 34 | $0 00 | $175 02 | $0 00 |

**CONTINUED ON NEXT PAGE**

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY: SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number: 198 115353 050

**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 (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

**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) |
|---|---|---|---|---|---|---|---|---|
| RALPH LAUREN CORP CL A | CUSIP: 751212101 | | Symbol (Box 1d): RL | | | | | |
| | 1 000 | 12/09/10 | 02/05/14 | $150 38 | $112.93 | $0 00 | $37 45 | $0 00 |
| | 1.000 | 06/17/11 | 02/05/14 | $149.67 | $123.61 | $0.00 | $26.06 | $0.00 |
| **Security Subtotal** | **2.000** | | | **$300.05** | **$236.54** | **$0.00** | **$63.51** | **$0.00** |
| SALESFORCE.COM,INC | CUSIP: 79466L302 | | Symbol (Box 1d): CRM | | | | | |
| | 1 000 | 12/09/10 | 03/10/14 | $59.85 | $37.13 | $0 00 | $22 72 | $0 00 |
| | 1.000 | 12/09/10 | 03/10/14 | $60.45 | $37.13 | $0.00 | $23.32 | $0.00 |
| **Security Subtotal** | **2.000** | | | **$120.30** | **$74.26** | **$0.00** | **$46.04** | **$0.00** |
| TRAVELERS COMPANIES INC COM | CUSIP: 89417E109 | | Symbol (Box 1d): TRV | | | | | |
| | 5 000 | 09/12/11 | 01/22/14 | $423 63 | $244.37 | $0 00 | $179 26 | $0 00 |
| | 1 000 | 12/15/11 | 01/22/14 | $84 73 | $56.45 | $0 00 | $28 28 | $0 00 |
| | 4.000 | 02/13/12 | 01/22/14 | $338.89 | $236.99 | $0.00 | $101.90 | $0.00 |
| **Security Subtotal** | **10.000** | | | **$847.25** | **$537.81** | **$0.00** | **$309.44** | **$0.00** |
| UNION PACIFIC CORP | CUSIP: 907818108 | | Symbol (Box 1d): UNP | | | | | |
| | 1.000 | 12/09/10 | 01/22/14 | $168.73 | $92 86 | $0 00 | $75.87 | $0 00 |
| UNITED TECHNOLOGIES CORP | CUSIP: 913017109 | | Symbol (Box 1d): UTX | | | | | |
| | 2 000 | 12/09/10 | 02/28/14 | $235 24 | $154.93 | $0.00 | $80 31 | $0 00 |
| | 1.000 | 12/09/10 | 02/28/14 | $117.62 | $77.47 | $0.00 | $40.15 | $0.00 |
| **Security Subtotal** | **3.000** | | | **$352.86** | **$232.40** | **$0.00** | **$120.46** | **$0.00** |

**CONTINUED ON NEXT PAGE**

Morgan Stanley

**Corporate Tax Statement**
**Tax Year 2014**

CONN FAMILY FOUNDATION
MANAGED BY: SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number: 198 115353 050

**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 (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

**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) |
|---|---|---|---|---|---|---|---|---|
| VERTEX PHARMACEUTICALS | **CUSIP:** 92532F100 | | **Symbol (Box 1d):** VRTX | | | | | |
| | 1.000 | 12/01/11 | 02/28/14 | $83 00 | $29 38 | $0.00 | $53 62 | $0.00 |
| | 1.000 | 12/05/11 | 02/28/14 | $83.00 | $29.54 | $0.00 | $53 46 | $0.00 |
| **Security Subtotal** | **2.000** | | | **$166.00** | **$58.92** | **$0.00** | **$107.08** | **$0.00** |
| VMWARE INC CLASS A | **CUSIP:** 928563402 | | **Symbol (Box 1d):** VMW | | | | | |
| | 3 000 | 12/09/10 | 01/22/14 | $296 70 | $263 37 | $0 00 | $33 33 | $0 00 |
| WELLS FARGO & CO NEW | **CUSIP:** 949746101 | | **Symbol (Box 1d):** WFC | | | | | |
| | 5.000 | 12/09/10 | 03/13/14 | $239.76 | $149 89 | $0 00 | $89 87 | $0 00 |
| | 28 000 | 12/09/10 | 03/31/14 | $1,390 12 | $839.38 | $0.00 | $550 74 | $0 00 |
| | 7.000 | 08/10/11 | 03/31/14 | $347.53 | $168.90 | $0.00 | $178 63 | $0.00 |
| **Security Subtotal** | **40.000** | | | **$1,977.41** | **$1,158.17** | **$0.00** | **$819.24** | **$0.00** |

CONTINUED ON NEXT PAGE

Morgan Stanley

## Corporate Tax Statement
## Tax Year 2014

CONN FAMILY FOUNDATION
MANAGED BY: SELECT UMA
211 BEAUCHAMP PLACE
HUNTSVILLE AL 35802-4529

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

Taxpayer ID Number: XX-XXX6957
Account Number: 198 115353 050

**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 (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

**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) |
|---|---|---|---|---|---|---|---|---|
| WHOLE FOODS MARKETS INC | CUSIP: 966837106 | | Symbol (Box 1d): WFM | | | | | |
| | 5 000 | 12/09/10 | 01/13/14 | $263 53 | $121 33 | $0 00 | $142.20 | $0 00 |
| **Total Long Term Noncovered Securities** | | | | **$10,842.87** | **$6,608.94** | **$0.00** | **$4,233.93** | **$0.00** |
| **Total Long Term Covered and Noncovered Securities** | | | | **$12,784.36** | **$8,250.45** | **$0.00** | **$4,533.91** | **$0.00** |
| **Total Short and Long Term, Covered and Noncovered Securities** | | | | **$16,818.77** | **$12,385.46** | **$0.00** | **$4,433.31** | **$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)** | **$16,818.77** | | | |
| **Total IRS Reportable Cost or Other Basis for Covered Securities (Box 1e)** | | **$5,776.52** | | |
| **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.

Fidelity INVESTMENTS

# 2014 Informational Tax Reporting Statement

CONN FAMILY FOUNDATION

Account No 676-250184 Customer Service 256-213-1150
Recipient ID No **-***6957 Payer's Fed ID Number 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Short-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

| Action | Quantity | 1b Date Acquired | 1c Date Sold or Disposed | 1d Proceeds | 1e Cost or Other Basis (a) | 1f Code, If Any (c) 1g Adjustments | Gain/Loss (-) | 4 Federal Income Tax Withheld | 14 State | 16 State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| 1a Description of property, Stock or Other Symbol, CUSIP | | | | | | | | | | |
| ACCENTURE PLC CLS A USD0 0000225, ACN, G1151C101 | | | | | | | | | | |
| Sale | 1.000 | 01/21/14 | 09/19/14 | 76.19 | 84.76 | | -8 57 | | | |
| Sale | 1 000 | 01/23/14 | 09/19/14 | 76 18 | 83.85 | | -7 67 | | | |
| **Subtotals** | | | | **152.37** | **168.61** | | | | | |
| BIOMARIN PHARMACEUTICAL INC, BMRN, 09061G101 | | | | | | | | | | |
| Sale | 2 000 | 10/02/13 | 09/19/14 | 137 16 | 150 01 | | -12.85 | | | |
| Sale | 1 000 | 10/25/13 | 09/19/14 | 68 58 | 66 55 | | 2 03 | | | |
| Sale | 1 000 | 10/25/13 | 09/19/14 | 68 60 | 66 05 | | 2 55 | | | |
| **Subtotals** | | | | **274.34** | **282.61** | | | | | |
| CALIFORNIA RES CORP COM ISIN #US13057Q10, CRC, 13057Q107 | | | | | | | | | | |
| Cash In Lieu | 0.200 | 12/04/14 | 12/04/14 | 1 41 | 1 70 | | -0.29 | | | |
| CAMERON INTL CORP COM, CAM, 13342B105 | | | | | | | | | | |
| Sale | 6 000 | 11/04/13 | 09/19/14 | 412 71 | 330 44 | | 82.27 | | | |
| DELTA AIR LINES INC DEL COM NEW, DAL, 247361702 | | | | | | | | | | |
| Sale | 7 000 | 11/04/13 | 09/19/14 | 270.49 | 191 74 | | 78 75 | | | |
| PREMIER PORTFOLIO INSTL CLASS, IPPXX, 00142W868 | | | | | | | | | | |
| Sale | 0 090 | 04/30/14 | 09/11/14 | 0 09 | 0 09 | | 0 00 | | | |
| Sale | 0 090 | 05/30/14 | 09/11/14 | 0 09 | 0 09 | | 0 00 | | | |
| Sale | 0.100 | 06/30/14 | 09/11/14 | 0 10 | 0 10 | | 0 00 | | | |
| Sale | 0 070 | 07/31/14 | 09/11/14 | 0 07 | 0 07 | | 0 00 | | | |

***Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.**

Fidelity INVESTMENTS

# 2014 Informational Tax Reporting Statement

CONN FAMILY FOUNDATION

Account No. 676-250184 Customer Service. 256-213-1150
Recipient ID No **-***6957 Payer's Fed ID Number 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Short-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

1a Description of property, Stock or Other Symbol, CUSIP

| Action | Quantity | 1b Date Acquired | 1c Date Sold or Disposed | 1d Proceeds | 1e Cost or Other Basis (a) | 1f Code, If Any (c) 1g Adjustments | Gain/Loss (-) | 4 Federal Income Tax Withheld | 14 State | 16 State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| PREMIER PORTFOLIO INSTL CLASS, IPPXX, 00142W868 | | | | | | | | | | |
| Sale | 0.080 | 08/29/14 | 09/11/14 | 0.08 | 0.08 | | 0.00 | | | |
| **Subtotals** | | | | **0.43** | **0.43** | | | | | |
| PRUDENTIAL FINL INC, PRU, 744320102 | | | | | | | | | | |
| Sale | 3 000 | 03/31/14 | 09/19/14 | 271 98 | 254 37 | | 17 61 | | | |
| ROCHE HOLDINGS AG SPN ADR EACH REP 0.125, RHHBY, 771195104 | | | | | | | | | | |
| Sale | 2 000 | 01/22/14 | 09/19/14 | 74 73 | 68.55 | | 6 18 | | | |
| SBA COMMUNICATIONS CPRP CL A, SBAC, 78388J106 | | | | | | | | | | |
| Sale | 1.000 | 02/19/14 | 09/19/14 | 110.39 | 97.25 | | 13 14 | | | |
| Sale | 2 000 | 02/20/14 | 09/19/14 | 220.77 | 197.96 | | 22 81 | | | |
| Sale | 1 000 | 02/25/14 | 09/19/14 | 110 39 | 95 76 | | 14 63 | | | |
| Sale | 1 000 | 03/11/14 | 09/19/14 | 110.38 | 95.33 | | 15 05 | | | |
| **Subtotals** | | | | **551.93** | **486.30** | | | | | |
| SPROUTS FMRS MKT INCCOM, SFM, 85208M102 | | | | | | | | | | |
| Sale | 2 000 | 11/08/13 | 09/19/14 | 59.51 | 97.41 | | -37 90 | | | |
| Sale | 1 000 | 11/11/13 | 09/19/14 | 29 75 | 46.00 | | -16.25 | | | |
| Sale | 1 000 | 12/26/13 | 09/19/14 | 29.75 | 38 47 | | -8 72 | | | |
| **Subtotals** | | | | **119.01** | **181.88** | | | | | |
| TABLEAU SOFTWARE INCCOM USD0 0001, DATA, 87336U105 | | | | | | | | | | |
| Sale | 2 000 | 11/07/13 | 09/19/14 | 138 16 | 126 91 | | 11.25 | | | |

*Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.

Fidelity INVESTMENTS

# 2014 Informational Tax Reporting Statement

CONN FAMILY FOUNDATION

Account No **676-250184** Customer Service 256-213-1150

Recipient ID No ****-***6957** Payer's Fed ID Number 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Short-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

**1a** Description of property, Stock or Other Symbol, CUSIP

| Action | Quantity | **1b** Date Acquired | **1c** Date Sold or Disposed | **1d** Proceeds | **1e** Cost or Other Basis (a) | **1f** Code, If Any (c) **1g** Adjustments | Gain/Loss (-) | **4** Federal Income Tax Withheld | **14** State | **16** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| UNITED CONTINENTAL HOLDINGS INC COM USD0, UAL, 910047109 | | | | | | | | | | |
| Sale | 7 000 | 01/22/14 | 09/19/14 | 341 19 | 341.68 | | -0 49 | | | |
| Sale | 4 000 | 03/13/14 | 09/19/14 | 194 96 | 183 38 | | 11 58 | | | |
| **Subtotals** | | | | **536.15** | **525.06** | | | | | |
| WASHINGTON PRIME GROUP INC, WPG, 939647103 | | | | | | | | | | |
| Cash In Lieu | 0 500 | 06/03/14 | 06/03/14 | 9 86 | 9 29 | | 0 57 | | | |
| Sale | 1 600 | 10/16/13 | 09/19/14 | 26 17 | 29 43 | | -3 26 | | | |
| Sale | 0 400 | 03/31/14 | 09/19/14 | 6.54 | 7 72 | | -1 18 | | | |
| **Subtotals** | | | | **42.57** | **46.44** | | | | | |
| TOTALS | | | | 2,846.28 | 2,665.04 | | | 0.00 | | |
| | Short-Term Realized Gain | | | | | | **278.42** | | | |
| | Short-Term Realized Loss | | | | | | **-97.18** | | | |
| | Wash Sale Loss Disallowed | | | | | **0.00** | | | | |
| | Market Discount | | | | | **0.00** | | | | |

*Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.

Fidelity INVESTMENTS

# 2014 Informational Tax Reporting Statement

CONN FAMILY FOUNDATION

Account No **676-250184** Customer Service 256-213-1150
Recipient ID No ****-***6957** Payer's Fed ID Number 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

| Action | Quantity | **1b** Date Acquired | **1c** Date Sold or Disposed | **1d** Proceeds | **1e** Cost or Other Basis (a) | **1f** Code, If Any (c) **1g** Adjustments | Gain/Loss (-) | **4** Federal Income Tax Withheld | **14** State | **16** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| **1a** Description of property, Stock or Other Symbol, CUSIP | | | | | | | | | | |
| ALLERGAN INC, AGN, 018490102 | | | | | | | | | | |
| Sale | 3 000 | 12/09/10 | 09/19/14 | 499.72 | 206.60 | | 293 12 | | | |
| Sale | 1 000 | 02/22/11 | 09/19/14 | 166.57 | 74.41 | | 92.16 | | | |
| Sale | 1 000 | 10/24/11 | 09/19/14 | 166.57 | 88.20 | | 78.37 | | | |
| Sale | 1 000 | 01/10/12 | 09/19/14 | 166 57 | 88.88 | | 77 69 | | | |
| **Subtotals** | | | | **999.43** | **458.09** | | | | | |
| AMERICAN TOWER CORPORATION COM USD0 01, AMT, 03027X100 | | | | | | | | | | |
| Sale | 1 000 | 03/02/11 | 09/19/14 | 93 75 | 52 19 | | 41.56 | | | |
| Sale | 1 000 | 03/02/11 | 09/19/14 | 93.75 | 52 18 | | 41.57 | | | |
| Sale | 2 000 | 03/08/11 | 09/19/14 | 187.51 | 104.42 | | 83 09 | | | |
| Sale | 1.000 | 03/08/11 | 09/19/14 | 93 75 | 51 88 | | 41.87 | | | |
| Sale | 1 000 | 10/03/11 | 09/19/14 | 93 76 | 53.04 | | 40.72 | | | |
| **Subtotals** | | | | **562.52** | **313.71** | | | | | |
| APPLE INC, AAPL, 037833100 | | | | | | | | | | |
| Sale | 6 000 | 06/21/11 | 09/19/14 | 600 98 | 278 73 | | 322 25 | | | |
| BIOMARIN PHARMACEUTICAL INC, BMRN, 09061G101 | | | | | | | | | | |
| Sale | 1 000 | 03/15/13 | 09/19/14 | 68.58 | 61 44 | | 7 14 | | | |
| Sale | 1 000 | 03/15/13 | 09/19/14 | 68 58 | 61 77 | | 6 81 | | | |
| Sale | 2 000 | 06/14/13 | 09/19/14 | 137.16 | 117 08 | | 20.08 | | | |
| Sale | 1 000 | 06/14/13 | 09/19/14 | 68.58 | 58.77 | | 9 81 | | | |
| Sale | 2 000 | 09/05/13 | 09/19/14 | 137.16 | 140.74 | | -3.58 | | | |

*Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.

Fidelity INVESTMENTS

# 2014 Informational Tax Reporting Statement

CONN FAMILY FOUNDATION  Account No 676-250184  Customer Service 256-213-1150
Recipient ID No **-***6957  Payer's Fed ID Number ' 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold type**)

| Action | Quantity | 1b Date Acquired | 1c Date Sold or Disposed | 1d Proceeds | 1e Cost or Other Basis (a) | 1f Code, If Any (c) 1g Adjustments | Gain/Loss (-) | 4 Federal Income Tax Withheld | 14 State | 16 State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| BIOMARIN PHARMACEUTICAL INC, BMRN, 09061G101 | | | | | | | | | | |
| Sale | 1 000 | 09/05/13 | 09/19/14 | 68 58 | 70 32 | | -1 74 | | | |
| **Subtotals** | | | | **548.64** | **510.12** | | | | | |
| CARDINAL HEALTH INC, CAH, 14149Y108 | | | | | | | | | | |
| Sale | 60 000 | 02/18/87 | 09/23/14 | 4,547.90 | | | | | | |
| Sale | 40 000 | 02/18/87 | 09/23/14 | 3,031.94 | | | | | | |
| **Subtotals** | | | | **7,579.84** | 7,579.00 | | .84 | | | |
| CF INDS HLDGS INC COM, CF, 125269100 | | | | | | | | | | |
| Sale | 2 000 | 09/09/13 | 09/19/14 | 516.16 | 391 40 | | 124 76 | | | |
| COMCAST CORP NEW CL A, CMCSA, 20030N101 | | | | | | | | | | |
| Sale | 145 500 | 02/18/87 | 09/23/14 | 7,993 47 | | | | | | |
| Sale | 0 500 | 11/19/03 | 09/23/14 | 27.47 | | | | | | |
| **Subtotals** | | | | **8,020.94** | 8,181.84 | | -160.90 | | | |
| DELTA AIR LINES INC DEL COM NEW, DAL, 247361702 | | | | | | | | | | |
| Sale | 16 000 | 09/09/13 | 09/19/14 | 618 26 | 347 63 | | 270 63 | | | |
| DISCOVERY COMMUNICATIONS INC NEW COM SER, DISCK, 25470F302 | | | | | | | | | | |
| Sale | 1 000 | 03/19/13 | 09/19/14 | 38 66 | 38.33 | | 0 33 | | | |
| Sale | 1 000 | 03/22/13 | 09/19/14 | 38 66 | 38 88 | | -0 22 | | | |
| Sale | 1 000 | 03/25/13 | 09/19/14 | 38 66 | 38 91 | | -0 25 | | | |
| Sale | 2 000 | 04/19/13 | 09/19/14 | 77 32 | 76 29 | | 1.03 | | | |
| Sale | 1.000 | 05/15/13 | 09/19/14 | 38 66 | 39 08 | | -0.42 | | | |
| Sale | 1 000 | 05/17/13 | 09/19/14 | 38 66 | 38 70 | | -0 04 | | | |

***Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.**

Fidelity INVESTMENTS

# 2014 Informational Tax Reporting Statement

CONN FAMILY FOUNDATION — Account No. 676-250184 — Customer Service 256-213-1150

Recipient ID No **-***6957 — Payer's Fed ID Number 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

**1a** Description of property, Stock or Other Symbol, CUSIP

| Action | Quantity | **1b** Date Acquired | **1c** Date Sold or Disposed | **1d** Proceeds | **1e** Cost or Other Basis (a) | **1f** Code, If Any (c) **1g** Adjustments | Gain/Loss (-) | **4 Federal Income Tax Withheld** | **14** State | **16** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| DISCOVERY COMMUNICATIONS INC NEW COM SER, DISCK, 25470F302 | | | | | | | | | | |
| Sale | 2.000 | 06/14/13 | 09/19/14 | 77 32 | 75 11 | | 2.21 | | | |
| Sale | 1 000 | 08/09/13 | 09/19/14 | 38 65 | 40 86 | | -2 21 | | | |
| **Subtotals** | | | | **386.59** | **386.16** | | | | | |
| E M C CORP MASS, EMC, 268648102 | | | | | | | | | | |
| Sale | 8 000 | 12/03/12 | 09/19/14 | 234 87 | 199.22 | | 35 65 | | | |
| Sale | 8.000 | 03/25/13 | 09/19/14 | 234.87 | 190.08 | | 44.79 | | | |
| Sale | 6 000 | 05/31/13 | 09/19/14 | 176.15 | 149.49 | | 26 66 | | | |
| Sale | 4 000 | 05/31/13 | 09/19/14 | 117.43 | 99.04 | | 18 39 | | | |
| Sale | 3 000 | 07/12/13 | 09/19/14 | 88 08 | 74.55 | | 13 53 | | | |
| Sale | 9.000 | 08/13/13 | 09/19/14 | 264 23 | 242.63 | | 21 60 | | | |
| **Subtotals** | | | | **1,115.63** | **955.01** | | | | | |
| EDISON INTL, EIX, 281020107 | | | | | | | | | | |
| Sale | 5 000 | 10/31/12 | 09/19/14 | 284.84 | 234.75 | | 50.09 | | | |
| Sale | 5.000 | 03/25/13 | 09/19/14 | 284.84 | 253 18 | | 31 66 | | | |
| **Subtotals** | | | | **569.68** | **487.93** | | | | | |
| ESTEE LAUDER COMPANIES INC CL A, EL, 518439104 | | | | | | | | | | |
| Sale | 2 000 | 01/20/11 | 09/19/14 | 145 84 | 83.33 | | 62.51 | | | |
| Sale | 1 000 | 01/15/13 | 09/19/14 | 72.92 | 64 20 | | 8 72 | | | |
| **Subtotals** | | | | **218.76** | **147.53** | | | | | |

***Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.**

# 2014 Informational Tax Reporting Statement

CONN FAMILY FOUNDATION

Account No **676-250184** Customer Service 256-213-1150
Recipient ID No ****-***6957** Payer's Fed ID Number 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold** type)

| Action | Quantity | **1b** Date Acquired | **1c** Date Sold or Disposed | **1d** Proceeds | **1e** Cost or Other Basis (a) | **1f** Code, If Any (c) **1g** Adjustments | Gain/Loss (-) | **4** Federal Income Tax Withheld | **14** State | **16** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| **1a** Description of property, Stock or Other Symbol, CUSIP | | | | | | | | | | |
| EXPRESS SCRIPTS HLDGCO COM, ESRX, 30219G108 | | | | | | | | | | |
| Sale | 1 000 | 05/14/12 | 09/19/14 | 72 90 | 54 10 | | 18 80 | | | |
| Sale | 2 000 | 08/08/13 | 09/19/14 | 145.80 | 132.72 | | 13 08 | | | |
| Sale | 2.000 | 08/20/13 | 09/19/14 | 145 79 | 129 23 | | 16 56 | | | |
| **Subtotals** | | | | **364.49** | **316.05** | | | | | |
| FREEPORT MCMORAN INC, FCX, 35671D857 | | | | | | | | | | |
| Sale | 9 000 | 12/09/10 | 09/19/14 | 300 99 | 496 80 | | -195 81 | | | |
| Sale | 4.000 | 10/31/12 | 09/19/14 | 133 78 | 155 60 | | -21 82 | | | |
| **Subtotals** | | | | **434.77** | **652.40** | | | | | |
| GILEAD SCIENCES INC, GILD, 375558103 | | | | | | | | | | |
| Sale | 1.000 | 04/19/12 | 09/19/14 | 105 61 | 26 66 | | 78 95 | | | |
| Sale | 8 000 | 05/11/12 | 09/19/14 | 844 86 | 206 56 | | 638.30 | | | |
| Sale | 3 000 | 09/27/12 | 09/19/14 | 316 82 | 100 14 | | 216 68 | | | |
| Sale | 2.000 | 09/27/12 | 09/19/14 | 211 21 | 66.10 | | 145 11 | | | |
| Sale | 1 000 | 09/27/12 | 09/19/14 | 105.61 | 33 38 | | 72.23 | | | |
| Sale | 2.000 | 10/04/12 | 09/19/14 | 211 21 | 69 66 | | 141 55 | | | |
| **Subtotals** | | | | **1,795.32** | **502.50** | | | | | |
| GOLDMAN SACHS GROUP INC, GS, 38141G104 | | | | | | | | | | |
| Sale | 2 000 | 12/09/10 | 09/19/14 | 370 63 | 332 44 | | 38.19 | | | |
| Sale | 1 000 | 12/09/10 | 09/19/14 | 185 32 | 166.22 | | 19.10 | | | |
| Sale | 1 000 | 12/09/10 | 09/19/14 | 185.32 | 166 22 | | 19 10 | | | |
| Sale | 1 000 | 03/09/12 | 09/19/14 | 185 32 | 117.03 | | 68 29 | | | |

*Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold type**)

| Action | Quantity | **1b** Date Acquired | **1c** Date Sold or Disposed | **1d** Proceeds | **1e** Cost or Other Basis (a) | **1f** Code, If Any (c) **1g** Adjustments | Gain/Loss (-) | **4 Federal Income Tax Withheld** | **14** State | **16** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| **1a** Description of property, Stock or Other Symbol, CUSIP | | | | | | | | | | |
| GOLDMAN SACHS GROUP INC, GS, 38141G104 | | | | | | | | | | |
| Sale | 1 000 | 03/12/12 | 09/19/14 | 185.32 | 116 74 | | 68 58 | | | |
| Sale | 1.000 | 03/22/12 | 09/19/14 | 185.32 | 124.97 | | 60.35 | | | |
| Sale | 1.000 | 03/22/12 | 09/19/14 | 185 32 | 124.99 | | 60.33 | | | |
| Sale | 1.000 | 08/29/12 | 09/19/14 | 185 30 | 105.99 | | 79 31 | | | |
| **Subtotals** | | | | **1,667.85** | **1,254.60** | | | | | |
| LINKEDIN CORP COM USD0 0001, LNKD, 53578A108 | | | | | | | | | | |
| Sale | 2 000 | 11/21/11 | 09/19/14 | 410.57 | 134.89 | | 275 68 | | | |
| LYONDELLBASELL INDUSTRIES N V COM USD0 0, LYB, N53745100 | | | | | | | | | | |
| Sale | 6 000 | 06/20/12 | 09/19/14 | 676 04 | 241 72 | | 434 32 | | | |
| MACYS INC, M, 55616P104 | | | | | | | | | | |
| Sale | 4 000 | 12/15/11 | 09/19/14 | 238 51 | 124.19 | | 114 32 | | | |
| Sale | 4 000 | 01/30/12 | 09/19/14 | 238 51 | 136 56 | | 101 95 | | | |
| Sale | 5 000 | 02/29/12 | 09/19/14 | 298 14 | 190 00 | | 108.14 | | | |
| Sale | 3 000 | 06/01/12 | 09/19/14 | 178 89 | 110 81 | | 68.08 | | | |
| **Subtotals** | | | | **954.05** | **561.56** | | | | | |
| MORGAN STANLEY, MS, 617446448 | | | | | | | | | | |
| Sale | 2.000 | 12/17/12 | 09/19/14 | 70.71 | 37.04 | | 33.67 | | | |
| Sale | 7 000 | 12/18/12 | 09/19/14 | 247.47 | 133.07 | | 114.40 | | | |
| Sale | 3.000 | 12/18/12 | 09/19/14 | 106.05 | 57 27 | | 48.78 | | | |
| **Subtotals** | | | | **424.23** | **227.38** | | | | | |

***Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.**

Fidelity INVESTMENTS

# 2014 Informational Tax Reporting Statement

CONN FAMILY FOUNDATION

Account No 676-250184 Customer Service 256-213-1150

Recipient ID No **-***6957 Payer's Fed ID Number.* 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold type**)

**1a** Description of property, Stock or Other Symbol, CUSIP

| Action | Quantity | **1b** Date Acquired | **1c** Date Sold or Disposed | **1d** Proceeds | **1e** Cost or Other Basis (a) | **1f** Code, If Any (c) **1g** Adjustments | Gain/Loss (-) | **4** Federal Income Tax Withheld | **14** State | **16** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| NOVO-NORDISK AS ADR-EACH CNV INTO 1 CLAS, NVO, 670100205 | | | | | | | | | | |
| Sale | 5 000 | 02/18/11 | 09/19/14 | 238 54 | 126 24 | | 112.30 | | | |
| Sale | 3.000 | 02/18/11 | 09/19/14 | 143.13 | 75.76 | | 67 37 | | | |
| **Subtotals** | | | | **381.67** | **202.00** | | | | | |
| PIMCO TOTAL RETURN FUND CL P, PTTPX, 72201M552 | | | | | | | | | | |
| Sale | 366.972 | 12/09/10 | 09/11/14 | 3,980 00 | 3,963 30 | | 16 70 | | | |
| ROCHE HOLDINGS AG SPN ADR EACH REP 0 125, RHHBY, 771195104 | | | | | | | | | | |
| Sale | 18.000 | 01/28/13 | 09/19/14 | 672 55 | 491 78 | | 180 77 | | | |
| Sale | 12 000 | 04/19/13 | 09/19/14 | 448 37 | 367.64 | | 80 73 | | | |
| **Subtotals** | | | | **1,120.92** | **859.42** | | | | | |
| SANOFI SPONSORED ADR, SNY, 80105N105 | | | | | | | | | | |
| Sale | 11.000 | 03/25/13 | 09/19/14 | 620 59 | 551.20 | | 69 39 | | | |
| Sale | 3 000 | 04/19/13 | 09/19/14 | 169 25 | 159 07 | | 10 18 | | | |
| **Subtotals** | | | | **789.84** | **710.27** | | | | | |
| UNION PACIFIC CORP, UNP, 907818108 | | | | | | | | | | |
| Sale | 6 000 | 12/09/10 | 09/19/14 | 649 16 | 278 58 | | 370 58 | | | |
| VODAFONE GROUP SPON ADR REP 10 ORD SHS (, VOD, 92857W308 | | | | | | | | | | |
| Sale | 715 172 | 08/31/89 | 09/23/14 | 23,361 76 | | | | | | |
| Sale | 374 828 | 08/31/89 | 09/23/14 | 12,244 11 | | | | | | |
| **Subtotals** | | | | **35,605.87** | 35,844.65 | | -238.78 | | | |

*Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.

Fidelity INVESTMENTS

# 2014 Informational Tax Reporting Statement

CONN FAMILY FOUNDATION

Account No 676-250184 Customer Service: 256-213-1150
Recipient ID No. **-***6957 Payer's Fed ID Number 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Long-term transactions

(IRS Form 1099-B box numbers are shown below in **bold type**)

| Action | Quantity | **1b** Date Acquired | **1c** Date Sold or Disposed | **1d** Proceeds | **1e** Cost or Other Basis (a) | **1f** Code, If Any (c) **1g** Adjustments | Gain/Loss (-) | **4** Federal Income Tax Withheld | **14** State | **16** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| **1a** Description of property, Stock or Other Symbol, CUSIP | | | | | | | | | | |
| WHOLE FOODS MKT INC, WFM, 966837106 | | | | | | | | | | |
| Sale | 13.000 | 12/09/10 | 09/19/14 | 501 45 | 315.45 | | 186.00 | | | |
| TOTALS | | | | 71,493.66 | 66,101.92 | | 5,391.74 | 0.00 | | |

| | |
|---|---|
| Long-Term Realized Gain | |
| Long-Term Realized Loss | |
| Wash Sale Loss Disallowed | 0.00 |
| Market Discount | 0.00 |

*Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.

Fidelity INVESTMENTS

# 2014 Informational Tax Reporting Statement

CONN FAMILY FOUNDATION

Account No. **676-250184** Customer Service 256-213-1150

Recipient ID No. ****-***6957** Payer's Fed ID Number. 04-3523567

**Note: This information is not reported to the IRS. It may assist you in tax return preparation.**

## 2014 Proceeds from Broker and Barter Exchange Transactions*

### Transactions for which Term is Unknown

(IRS Form 1099-B box numbers are shown below in **bold** type)

| Action | Quantity | **1b** Date Acquired | **1c** Date Sold or Disposed | **1d** Proceeds | **1e** Cost or Other Basis (a) | **1f** Code, If Any (c) **1g** Adjustments | Gain/Loss (-) | **4 Federal Income Tax Withheld** | **14** State | **16** State Tax Withheld |
|---|---|---|---|---|---|---|---|---|---|---|
| **1a** Description of property, Stock or Other Symbol, CUSIP | | | | | | | | | | |
| PREMIER PORTFOLIO INSTL CLASS, IPPXX, 00142W868 | | | | | | | | | | |
| Sale | 6,252 000 | | 09/11/14 | 6,232.00 | 6,252 00 | | | | | |
| **TOTALS** | | | | **6,232.00** | 6,252 00 | | | **0.00** | | |

(a) Cost or other basis provided may include adjustments including, but not limited to, dividend reinvestment, return of capital/principal, wash sale loss disallowed, amortization, accretion, acquisition premium, bond premium, market discount, market premium, and option premium.

(c) D = Market Discount, W = Wash Sale

Amortization, accretion, and similar adjustments to cost basis are not provided for short-term instruments, unit investment trusts, or securities of foreign issuers

***Our records indicate that you are an exempt recipient for 1099 reporting purposes. This statement provided is based on IRS information reporting requirements for individuals as of the preparation date and is NOT furnished to the IRS. You may be subject to different income tax reporting requirements. Please contact your tax advisor if you have any questions.**