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 , 2014, and ending ,

Name of foundation: Rice Family Foundation

A Employer identification number: 33-0592384

Number and street (or P.O. box number if mail is not delivered to street address): 4471 Jutland Drive

Room/suite:

B Telephone number (see instructions): (858) 273-3165

City or town, state or province, country, and ZIP or foreign postal code: San Diego CA 92117

C If exemption application is pending, check here ► ☐

G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return ☐ Amended return ☐ Address change ☐ Name change

D 1 Foreign organizations, check here ► ☐

2 Foreign organizations meeting the 85% test, check here and attach computation ► ☐

H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

E If private foundation status was terminated under section 507(b)(1)(A), check here ► ☐

I Fair market value of all assets at end of year *(from Part II, column (c), line 16)* ► $ 7,190,319.

J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) *(Part I, column (d) must be on cash basis.)*

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ► ☐

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Part I **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)*

		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue					
1	Contributions, gifts, grants, etc, received (attach schedule)				
2	Ck ► ☒ if the foundn is not required to attach Sch B				
3	Interest on savings and temporary cash investments				
4	Dividends and interest from securities	216,516.	216,516.		
5a	Gross rents				
b	Net rental income or (loss)				
6a	Net gain or (loss) from sale of assets not on line 10	-24,699.	L-6a Stmt		
b	Gross sales price for all assets on line 6a 7,233,427.				
7	Capital gain net income (from Part IV, line 2)		0.		
8	Net short-term capital gain			0.	
9	Income modifications				
10a	Gross sales less returns and allowances				
b	Less: Cost of goods sold				
c	Gross profit or (loss) (attach schedule)				
11	Other income (attach schedule) See Line 11 Stmt	222,442.	222,442.		
12	**Total.** Add lines 1 through 11	414,259.	438,958.	0.	
Operating and Administrative Expenses					
13	Compensation of officers, directors, trustees, etc	56,000.	30,000.		26,000.
14	Other employee salaries and wages				
15	Pension plans, employee benefits				
16a	Legal fees (attach schedule)				
b	Accounting fees (attach sch) L-16b Stmt	4,000.			4,000.
c	Other prof. fees (attach sch) L-16c Stmt	51,014.	49,106.		1,908.
17	Interest				
18	Taxes (attach schedule)(see instrs) See Line 18 Stmt	7,284.	7,284.		
19	Depreciation (attach sch) and depletion				
20	Occupancy	3,600.	1,800.		1,800.
21	Travel, conferences, and meetings	3,271.	1,566.		1,705.
22	Printing and publications				
23	Other expenses (attach schedule) See Line 23 Stmt	26,662.	23,344.		3,318.
24	**Total operating and administrative expenses.** Add lines 13 through 23	151,831.	113,100.		38,731.
25	Contributions, gifts, grants paid	319,965.			319,965.
26	**Total expenses and disbursements.** Add lines 24 and 25	471,796.	113,100.		358,696.
27	Subtract line 26 from line 12:				
a	**Excess of revenue over expenses and disbursements**	-57,537.			
b	**Net investment income** (if negative, enter -0-)		325,858.		
c	**Adjusted net income** (if negative, enter -0-)			0.	

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Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

				Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
ASSETS	1	Cash – non-interest-bearing				
	2	Savings and temporary cash investments		179,823.	319,428.	319,428.
	3	Accounts receivable ►				
		Less: allowance for doubtful accounts ►				
	4	Pledges receivable ►				
		Less: allowance for doubtful accounts ►				
	5	Grants receivable				
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)				
	7	Other notes and loans receivable (attach sch) ►				
		Less: allowance for doubtful accounts ►				
	8	Inventories for sale or use				
	9	Prepaid expenses and deferred charges				
	10a	Investments – U S. and state government obligations (attach schedule)				
	b	Investments – corporate stock (attach schedule) L-10b. Stmt		4,179,061.	4,096,653.	4,425,387.
	c	Investments – corporate bonds (attach schedule) L-10c. Stmt		1,650,824.	1,511,078.	1,595,904.
	11	Investments – land, buildings, and equipment: basis ►	849,600.			
		Less accumulated depreciation (attach schedule) L-11. Stmt ►	0.	1,046,340.	849,600.	849,600.
	12	Investments – mortgage loans				
	13	Investments – other (attach schedule)				
	14	Land, buildings, and equipment: basis ►				
		Less. accumulated depreciation (attach schedule) ►				
	15	Other assets (describe ►)				
	16	**Total assets** (to be completed by all filers – see the instructions. Also, see page 1, item I)		7,056,048.	6,776,759.	7,190,319.
LIABILITIES	17	Accounts payable and accrued expenses				
	18	Grants payable				
	19	Deferred revenue				
	20	Loans from officers, directors, trustees, & other disqualified persons				
	21	Mortgages and other notes payable (attach schedule)				
	22	Other liabilities (describe ►)				
	23	**Total liabilities** (add lines 17 through 22)				
NET ASSETS OR FUND BALANCES		**Foundations that follow SFAS 117, check here ► ☐ and complete lines 24 through 26 and lines 30 and 31.**				
	24	Unrestricted				
	25	Temporarily restricted				
	26	Permanently restricted				
		Foundations that do not follow SFAS 117, check here ► ☒ and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds		7,056,048.	6,776,759.	
	28	Paid-in or capital surplus, or land, bldg , and equipment fund				
	29	Retained earnings, accumulated income, endowment, or other funds				
	30	**Total net assets or fund balances** (see instructions)		7,056,048.	6,776,759.	
	31	**Total liabilities and net assets/fund balances** (see instructions)		7,056,048.	6,776,759.	

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	7,056,048.
2	Enter amount from Part I, line 27a	2	-57,537.
3	Other increases not included in line 2 (itemize) ►	3	
4	Add lines 1, 2, and 3	4	6,998,511.
5	Decreases not included in line 2 (itemize) ► See Other Decreases Stmt	5	221,752.
6	Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	6,776,759.

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 shares MLC Company)	(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
1 a	RBC: Acct #231 Securities Various SCH B-1	P	various	various
b	RBC: Acct #234 Equitites SCH B-2	P	various	various
c	RBC: Acct #740 PVG Asset Mgt SCH B-3	P	various	various
d	RBC: Acct #231 Capital Gain Distributions SCH B-4	P	various	various
e	See Columns (a) thru (d)			

	(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	917,611.		945,398.	-27,787.
b	5,380,813.		5,408,272.	-27,459.
c	935,003.		938,585.	-3,582.
d	0.		0.	5,071.
e	See Columns (e) thru (h)		0.	29,058.

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

	(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	(l) Gains (Column (h) gain minus column (k), but not less than -0-) or Losses (from column (h))
a				-27,787.
b				-27,459.
c				-3,582.
d	0.	0.	0.	5,071.
e	See Columns (i) thru (l)	0.	0.	29,058.

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	-24,699.
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8 . . .	3	-24,699.

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 (column (b) divided by column (c))
2013	327,612.	7,199,778.	0.045503
2012	362,857.	6,837,731.	0.053067
2011	321,582.	6,656,709.	0.048309
2010	371,973.	6,441,937.	0.057742
2009	309,931.	6,515,384.	0.047569

2	**Total** of line 1, column (d)	2	0.252190
3	Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	0.050438
4	Enter the net value of noncharitable-use assets for 2014 from Part X, line 5.	4	7,096,175.
5	Multiply line 4 by line 3	5	357,917.
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	3,259.
7	Add lines 5 and 6.	7	361,176.
8	Enter qualifying distributions from Part XII, line 4	8	358,696.

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)

1 a	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 instrs)**			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b		**1**	6,517.
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (b)			
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		**2**	0.
3	Add lines 1 and 2		**3**	6,517.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		**4**	0.
5	**Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0-		**5**	6,517.
6	Credits/Payments:			
a	2014 estimated tax pmts and 2013 overpayment credited to 2014	**6 a** 14,552.		
b	Exempt foreign organizations – tax withheld at source	**6 b**		
c	Tax paid with application for extension of time to file (Form 8868)	**6 c**		
d	Backup withholding erroneously withheld	**6 d**		
7	Total credits and payments. Add lines 6a through 6d		**7**	14,552.
8	Enter any **penalty** for underpayment of estimated tax. Check here ☐ if Form 2220 is attached		**8**	
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶		**9**	
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶		**10**	8,035.
11	Enter the amount of line 10 to be **Credited to 2015 estimated tax** ▶ 8,035. **Refunded** ▶		**11**	

Part VII-A Statements Regarding Activities

			Yes	**No**
1 a	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?	**1 a**		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	**1 b**		X
	If the answer is 'Yes' to ***1a*** *or* ***1b****, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities*			
c	Did the foundation file **Form 1120-POL** for this year?	**1 c**		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ________ **(2)** On foundation managers ▶ $ ________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ________			
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
4 a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	**4 a**		X
b	If 'Yes,' has it filed a tax return on **Form 990-T** for this year?	**4 b**		
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, column (c), and Part XV*	**7**	X	
8 a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ CA - California			
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*	**8 b**	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*)

			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 ► Lisa Wilson Telephone no. ► (858) 273-3165

Located at ► 4471 Jutland Drive San Diego CA ZIP + 4 ► 92117

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

			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

			Yes	No
	File Form 4720 if any item is checked in the 'Yes' column, unless an exception applies.			
1 a	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)?	1 b		X
	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?	1 c		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 ► 20__ , 20__ , 20__ , 20__ .			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer 'No' and attach statement – see instructions)	2 b		X
c	If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ► 20__ , 20__ , 20__ , 20__ .			
3 a	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.)*	3 b		
4 a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4 a		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?	4 b		X

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

			Yes	No
5a During the year did the foundation pay or incur any amount to:				
(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes ☒ No			
(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	☐ Yes ☒ No			
(3) Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes ☒ No			
(4) Provide a grant to an organization other than a charitable, etc, organization described in section 4945(d)(4)(A)? (see instructions)	☐ Yes ☒ No			
(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes ☒ No			
b If any answer is 'Yes' to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?		**5b**		
Organizations relying on a current notice regarding disaster assistance check here ► ☐				
c If the answer is 'Yes' to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	☐ Yes ☐ No			
If 'Yes,' attach the statement required by Regulations section 53.4945-5(d)				
6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes ☒ No			
b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		**6b**		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?		**7b**		

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

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

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
Shar Salter 4471 Jutland Drive San Diego CA 92117	Director/VP 2.00	3,000.	0.	0.
Lisa Wilson 4471 Jutland Drive San Diego CA 92117	Dir/Treas/CFO 27.00	48,000.	0.	0.
Michelle Brookman 4471 Jutland Drive San Diego CA 92117	Dir/Secty 3.00	5,000.	0.	0.

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

(a) Name and address of each employee paid more than $50,000	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
N/A				

Total number of other employees paid over $50,000 ► None

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

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter 'NONE.'

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

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	0.
2	
3	
4	

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 N/A	0.
2	
All other program-related investments. See instructions. 3	
Total. Add lines 1 through 3 ►	None

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**	6,261,828.
b	Average of monthly cash balances	**1b**	92,811.
c	Fair market value of all other assets (see instructions)	**1c**	849,600.
d	**Total** (add lines 1a, b, and c)	**1d**	7,204,239.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) **1e**		
2	Acquisition indebtedness applicable to line 1 assets	**2**	
3	Subtract line 2 from line 1d	**3**	7,204,239.
4	Cash deemed held for charitable activities. Enter 1-1/2% of line 3 (for greater amount, see instructions)	**4**	108,064.
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	**5**	7,096,175.
6	**Minimum investment return.** Enter 5% of line 5	**6**	354,809.

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**	354,809.
2a	Tax on investment income for 2014 from Part VI, line 5	**2a**	6,517.		
b	Income tax for 2014 (This does not include the tax from Part VI.)	**2b**			
c	Add lines 2a and 2b			**2c**	6,517.
3	Distributable amount before adjustments Subtract line 2c from line 1			**3**	348,292.
4	Recoveries of amounts treated as qualifying distributions			**4**	
5	Add lines 3 and 4			**5**	348,292.
6	Deduction from distributable amount (see instructions)			**6**	
7	**Distributable amount** as adjusted. Subtract line 6 from line 5 Enter here and on Part XIII, line 1			**7**	348,292.

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**	358,696.
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**	358,696.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	**5**	0.
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	**6**	358,696.

Note. The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years

Part XIII Undistributed Income (see instructions)

		(a) Corpus	(b) Years prior to 2013	(c) 2013	(d) 2014
1 Distributable amount for 2014 from Part XI, line 7					348,292.
2 Undistributed income, if any, as of the end of 2014					
a Enter amount for 2013 only				33,591.	
b Total for prior years 20___, 20___, 20___					
3 Excess distributions carryover, if any, to 2014					
a From 2009	0.				
b From 2010	0.				
c From 2011	0.				
d From 2012	0.				
e From 2013	0.				
f Total of lines 3a through e		0.			
4 Qualifying distributions for 2014 from Part XII, line 4: ► $ 358,696.					
a Applied to 2013, but not more than line 2a				33,591.	
b Applied to undistributed income of prior years (Election required — see instructions)					
c Treated as distributions out of corpus (Election required — see instructions)					
d Applied to 2014 distributable amount					325,105.
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).)*					
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					
d Subtract line 6c from line 6b. Taxable amount — see instructions			0.		
e Undistributed income for 2013. Subtract line 4a from line 2a Taxable amount — see instructions				0.	
f Undistributed income for 2014. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2015					23,187.
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)					
8 Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions)		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	0.				
b Excess from 2011	0.				
c Excess from 2012	0.				
d Excess from 2013	0.				
e Excess from 2014	0.				

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).)

N/A

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

N/A

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

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

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

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

c Any submission deadlines:

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

Part XV Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
The Zoological Society of San Diego PO Box 120271 San Diego CA 92112		501(c)(3)	School Outreach Program	10,000.
The Zoological Society of San Diego PO Box 120271 San Diego CA 92112		501(c)(3)	Zoo Express Program	5,000.
The Zoological Society of San Diego PO Box 120271 San Diego CA 92112		501(c)(3)	Animal Express Program	15,000.
Words Alive 5111 Santa Fe Street, Ste 219 San Diego CA 92109		501(c)(3)	Rolling Readers Program	5,000.
ArtsBusXpress 2665 Ariane Drive, 202A San Diego CA 92117		501(c)(3)	Student Transportation To the Arts	5,000.
The Water Conservation Garden 12122 Cuyamaca College Dr. El Cajon CA 92019		501(c)(3)	Ms. Smarty-Plants Educational Program	10,000.
The Water Conservation Garden 12122 Cuyamaca College Dr. El Cajon CA 92019		501(c)(3)	Capital Campaign	5,000.
The New Children's Museum 200 West Island Avenue San Diego CA 92101		501(c)(3)	Educational Program Support	10,000.
San Diego Natural History Museum PO Box 121390 San Diego CA 92112		501(c)(3)	Coast to Cactus Exhibition Project Support	40,000.
See Line 3a statement				214,965.
Total . . . . ► **3a**				319,965.
b *Approved for future payment*				
Total . . . . ► **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions.)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue.					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities			14	216,516.	
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			14	-24,699.	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue:					
a Lease Income			14	221,586.	
b Royalty Acct Heber			14	624.	
c RBC Form 1099-Misc #740			14	133.	
d Property Tax Refund			14	83.	
e Misc Income: PVG Acct			14	16.	
12 Subtotal. Add columns (b), (d), and (e)				414,259.	

13 **Total.** Add line 12, columns (b), (d), and (e) . . . 13 414,259.

(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). (See instructions.)
n/a	

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	1 a (1)		X
(2) Other assets	1 a (2)		X
b Other transactions:			
(1) Sales of assets to a noncharitable exempt organization	1 b (1)		X
(2) Purchases of assets from a noncharitable exempt organization	1 b (2)		X
(3) Rental of facilities, equipment, or other assets	1 b (3)		X
(4) Reimbursement arrangements	1 b (4)		X
(5) Loans or loan guarantees	1 b (5)		X
(6) Performance of services or membership or fundraising solicitations	1 b (6)		X
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1 c		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

2 a 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

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

Lisa Wilson | 7-20-15 ▶ CFO

Signature of officer or trustee | Date | Title

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

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed	PTIN
xsp				

Firm's name ▶ Self-Prepared | Firm's EIN ▶

Firm's address ▶

Phone no

Form 990-PF
Part I, Line 6a

Net Gain or Loss From Sale of Assets

2014

Name: Rice Family Foundation
Employer Identification Number: 33-0592384

Asset Information:

Description of Property. . . . . . . RBC Account # 231
Date Acquired . Various How Acquired . . . Purchased
Date Sold: . . . various Name of Buyer: . . .
Sales Price: . . 917,611. Cost or other basis (do not reduce by depreciation) . . 945,398.
Sales Expense . . Valuation Method . . . . Cost
Total Gain (Loss) . . -27,787. Accumulation Depreciation. . . .

Description of Property. . . . . . RBC Account #234
Date Acquired . various How Acquired . . . Purchased
Date Sold . . . various Name of Buyer: . . .
Sales Price: . . 5,380,813. Cost or other basis (do not reduce by depreciation) . . . 5,408,272.
Sales Expense . . Valuation Method . . . . Cost
Total Gain (Loss) . . -27,459. Accumulation Depreciation: . . .

Description of Property: . . . . . . RBC Account #740
Date Acquired . various How Acquired . . . Purchased
Date Sold. . . . various Name of Buyer. . . .
Sales Price: . . 935,003. Cost or other basis (do not reduce by depreciation) . . . 938,585.
Sales Expense. . . Valuation Method . . . . Cost
Total Gain (Loss). . . -3,582. Accumulation Depreciation: . . .

Description of Property . . . . . . RBC Accounts: Capital Gain Distributions
Date Acquired. . various How Acquired . . .
Date Sold . . . Name of Buyer. . . .
Sales Price . . Cost or other basis (do not reduce by depreciation) . . .
Sales Expense . . Valuation Method . . . .
Total Gain (Loss): . . 34,129. Accumulation Depreciation . . .

Description of Property: . . . . . .
Date Acquired . How Acquired: . . .
Date Sold . . . Name of Buyer: . . .
Sales Price: . . Cost or other basis (do not reduce by depreciation) . . .
Sales Expense . . Valuation Method . . . .
Total Gain (Loss): . . Accumulation Depreciation: . . .

Description of Property: . . . . . .
Date Acquired: . How Acquired . . .
Date Sold . . . Name of Buyer. . . .
Sales Price: . . Cost or other basis (do not reduce by depreciation) . . .
Sales Expense . . Valuation Method: . . . .
Total Gain (Loss) . . Accumulation Depreciation: . . .

Description of Property: . . . . . .
Date Acquired . How Acquired . . .
Date Sold . . . Name of Buyer . . .
Sales Price: . . Cost or other basis (do not reduce by depreciation) . . .
Sales Expense . . Valuation Method . . . .
Total Gain (Loss): . . Accumulation Depreciation . . .

Description of Property: . . . . . .
Date Acquired: . How Acquired . . .
Date Sold . . . Name of Buyer. . . .
Sales Price . . Cost or other basis (do not reduce by depreciation) . . .
Sales Expense . . Valuation Method . . . .
Total Gain (Loss): . . Accumulation Depreciation: . . .

Form 990-PF, Page 1, Part I, Line 11

Line 11 Stmt

Other income:	Rev/Exp Book	Net Inv Inc	Adj Net Inc
Lease income	221,586.	221,586.	
Royalty Acct Heber	624.	624.	
RBC 1099-MISC #740	133.	133.	
Property Tax Refund	83.	83.	
Misc Income-PVG Acct	16.	16.	
Total	222,442.	222,442.	

Form 990-PF, Page 1, Part I, Line 18

Line 18 Stmt

Taxes	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
Property Taxes	4,243.	4,243.		
Foreign Taxes Paid	2,042.	2,042.		
Tax withheld-Investments	999.	999.		
Total	7,284.	7,284.		

Form 990-PF, Page 1, Part I, Line 23

Line 23 Stmt

Other expenses:	Rev/Exp Book	Net Inv Inc	Adj Net Inc	Charity Disb
CA Form 199 Filing Fee	10.			10.
Insurance	1,586.			1,586.
Investment Exp.:1099	137.	137.		
Misc. Expenses/PVG	45.	45.		
Postage	142.			142.
Property Repairs	23,162.	23,162.		
RRF-1: Tax Filing Fee	75.			75.
San Diego Grantmakers dues	750.			750.
Supplies	755.			755.
Total	26,662.	23,344.		3,318.

Form 990-PF, Page 2, Part III, Line 5

Other Decreases Stmt

Decrease in Land/Lease Values per appraisal	196,740.
Adjustment to book values - Investments	25,012.
Total	221,752.

Form 990-PF, Part IV, Capital Gains and Losses for Tax on Investment Income
Columns (a) thru (d)

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shares MLC Company)	(b) How acquired P — Purchase D — Donation	(c) Date acquired (month, day, year)	(d) Date sold (month, day, year)
RBC: Acct #234 Capital Gain Distributions SCH B-5	P	various	various
RBC: Acct # 740 Capital Gain Distributions SCH B-6	P	various	various

Form 990-PF, Part IV, Capital Gains and Losses for Tax on Investment Income
Columns (e) thru (h)

(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)
0.		0.	28,812.
0.		0.	246.
Total		0.	29,058.

Form 990-PF, Part IV, Capital Gains and Losses for Tax on Investment Income
Columns (i) thru (l)

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (column (h) gain minus column (k), but not less than -0-) **or** losses (from column (h))
(i) Fair Market Value as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of column (i) over column (j), if any	
0.	0.	0.	28,812.
0.	0.	0.	246.
Total	0.	0.	29,058.

Form 990-PF, Page 11, Part XV, line 3a
Line 3a statement

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Person or Business Checkbox Amount
a *Paid during the year*				
San Diego Natural History Museum PO Box 121390 San Diego CA 92112		501(c)(3)	Special Projects-Education Programs	Person or ☐ Business ☒ 10,000.

Form 990-PF, Page 11, Part XV, line 3a Continued

Line 3a statement

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Person or Business Checkbox Amount
a *Paid during the year*				
Reuben H. Fleet Science Center 1875 El Prado San Diego CA 92101		501(c)(3)	School Scholarships- Educational Programs	Person or ☐ Business ☒ 30,000.
Cuyamaca Community College 900 Rancho San Diego Pkwy El Cajon CA 92019		501(c)(3)	Student Scholarships	Person or ☐ Business ☒ 2,500.
Cuyamaca Community College 900 Rancho San Diego Pkwy El Cajon CA 92019		501(c)(3)	Outreach Program Horticultural Dept	Person or ☐ Business ☒ 1,000.
Cuyamaca Community College 900 Rancho San Diego Pkwy El Cajon CA 92019		501(c)(3)	Morgan Rice Internship Program	Person or ☐ Business ☒ 46,500.
Burbank Elemetary 2146 Julian Ave. San Diego CA 92113		501(c)(3)	Turnaround Arts Program	Person or ☐ Business ☒ 30,000.
Cuyamaca College Botanical Society 900 Rancho San Diego Pkwy El Cajon CA 92019		501(c)(3)	CCBS Scholarship Fund	Person or ☐ Business ☒ 150.
Grossmont College 8800 Grossmont College Dr. El Cajon CA 92020		501(c)(3)	Theatre Arts Dept Traveling Play Support Fall 2014	Person or ☐ Business ☒ 4,500.
Grossmont College 8800 Grossmont College Dr. El Cajon CA 92020		501(c)(3)	Theatre Arts Dept Traveling Play Support Spring 2015	Person or ☐ Business ☒ 1,500.
Audubon K-8 School 8111 San Vincente Dr. San Diego CA 92114		501(c)(3)	Reading Recovery Teacher	Person or ☐ Business ☒ 10,000.
SAY San Diego 8755 Aero Drive, #100 San Diego CA 92123		501(c)(3)	General Support School Programs	Person or ☐ Business ☒ 5,000.
Zoological Society of San Diego PO Box 120271 San Diego CA 92112		501(c)(3)	Institute for Conservation Research Program Support	Person or ☐ Business ☒ 220.
Heritage Of the Americas Museum 12100 Cuyamaca College Dr.West El Cajon CA 92019		501(c)(3)	Education Programs	Person or ☐ Business ☒ 5,000.
East County Youth Symphony 339 Hart Drive El Cajon CA 92021		501(c)(3)	General Support Music Programs	Person or ☐ Business ☒ 5,000.
Maritime Museum of SD 1492 N. Harbor Drive San Diego CA 92101		501(c)(3)	Educational Programs	Person or ☐ Business ☒ 10,000.
Maritime Museum of SD 1492 N. Harbor Drive San Diego CA 92010		501(c)(3)	Educational Platform San Salvador Boat Project	Person or ☐ Business ☒ 5,000.

Form 990-PF, Page 11, Part XV, line 3a

Continued

Line 3a statement

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Person or Business Checkbox Amount
a *Paid during the year*				
American Cancer Society 250 Williams Street NW Atlanta GA 30303		501(c)(3)	General Support	Person or ☐ Business ☒ 1,200.
Monarch School 1625 Newton Ave. San Diego CA 92113		501(c)(3)	Core Program Support	Person or ☐ Business ☒ 10,000.
Ocean Discovery Institute 2211 Pacific Beach Drive, #A San Diego CA 92109		501(c)(3)	Living Lab Capital Campaign	Person or ☐ Business ☒ 5,000.
Ocean Discovery Institute 2211 Pacific Beach Drive, #A San Diego CA 92109		501(c)(3)	Ocean Science Explorers Program	Person or ☐ Business ☒ 5,000.
Campanile Foundation 5500 Campanile Drive San Diego CA 92182		501(c)(3)	Scholarships Guardian Scholars Program	Person or ☐ Business ☒ 5,000.
Barrio Logan College Institute 1625 Newton Ave. San Diego CA 92113		501(c)(3)	College Scholarships	Person or ☐ Business ☒ 5,000.
SD River Park Foundation 4891 Pacific Hwy, 114 San Diego CA 92110		501(c)(3)	Cool River Educational Program	Person or ☐ Business ☒ 2,500.
Shoal Creek Elementary 11775 Shoal Creek Dr San Diego CA 92128		501(c)(3)	Technology grant	Person or ☐ Business ☒ 10,600.
Elementary Institute of Science 608 51st Street San Diego CA 92114		501(c)(3)	Scholarships	Person or ☐ Business ☒ 1,000.
Centurion Foundation of UCHS 6949 Genesee Ave. San Diego CA 92122		501(c)(3)	General Support	Person or ☐ Business ☒ 100.
Simon Youth Foundation 225 West Washington St. Indianapolis IN 46204		501(c)(3)	General Support	Person or ☐ Business ☒ 490.
Alzheimer's Asso. 1060 La Avenida Street Mountain View CA 94043		501(c)(3)	General Support	Person or ☐ Business ☒ 250.
University City Foundation for Public Schools 3268 Governor Drive San Diego CA 92122		501(c)(3)	General Support Education	Person or ☐ Business ☒ 150.
MD Anderson Cancer Center PO Box 4486 Houston TX 77210		501(c)(3)	General Support	Person or ☐ Business ☒ 1,250.
Palisades High Booster Club PO Box 223 Pacific Palisades CA 90272		501(c)(3)	Educational Support	Person or ☐ Business ☒ 100.

Form 990-PF, Page 11, Part XV, line 3a

Line 3a statement

Continued

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Person or Business Checkbox Amount
a Paid during the year				
Promises 2 Kids 9440 Ruffin Court, Ste 2 San Diego CA 92123		501(c)(3)	General Support	Person or ☐ Business ☒ 100.
Arthritis Foundation So. Central Region-Texas 4300 MacArthur Ave. Dallas TX 75209		501(c)(3)	General Support	Person or ☐ Business ☒ 100.
SoCal SHOW Athletics 40335 Winchester Rd, Ste E Temecula CA 92591		501(c)(3)	General Support	Person or ☐ Business ☒ 300.
Uiversity City High School 6949 Genesee Ave. San Diego CA 92122		501(c)(3)	General Support Athletics	Person or ☐ Business ☒ 100.
Tender Loving Canines 1250 Activity Drive, Ste A Vista CA 92081		501(c)(3)	General Support	Person or ☐ Business ☒ 55.
Power Surge Athletics 5300 Hickman Fields Drive San Diego CA 92117		501(c)(3)	General Support	Person or ☐ Business ☒ 300.
Total				214,965.

Form 990-PF, Page 1, Part I

Line 16b - Accounting Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
L. Wilson	Prep 990PF	4,000.			4,000.
Total		4,000.			4,000.

Form 990-PF, Page 1, Part I

Line 16c - Other Professional Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
RBC Dain Rauscher	Investment Svcs	46,606.	46,606.		
The Heath Group, Inc.	Real Estate Appraisal	2,500.	2,500.		

Form 990-PF, Page 1, Part I Continued

Line 16c - Other Professional Fees

Name of Provider	Type of Service Provided	Amount Paid Per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
Fischer & Ritchey, LLP	Legal Services	1,908.			1,908.
Total		51,014.	49,106.		1,908.

Form 990-PF, Page 2, Part II, Line 10b

L-10b Stmt

Line 10b - Investments - Corporate Stock:	End of Year Book Value	Fair Market Value
Various Securities RBC Wealth Mgt Acct 234, Sch A-2	3,677,377.	4,035,392.
Various Securities RBC Wealth Mgt Acct 740, Sch A-3	419,276.	389,995.
Total	4,096,653.	4,425,387.

Form 990-PF, Page 2, Part II, Line 10c

L- 10c Stmt

Line 10c - Investments - Corporate Bonds:	End of Year Book Value	Fair Market Value
Misc Fixed Income:RBC Wealth Mgt Acct 231, Sch A-1	1,511,078.	1,595,904.
Total	1,511,078.	1,595,904.

Form 990-PF, Page 2, Part II, Line 11

L-11 Stmt

Line 11b - Description of Investments Land, Buildings and Equipment	(a) Cost/Other Basis	(b) Accumulated Depreciation	(c) Book Value
Parcel 585-090-45-00	40,000.	0.	40,000.
Parcel 585-090-44-00	41,600.	0.	41,600.
Value of leased-fee estate,585-090-45-00	768,000.	0.	768,000.
Total	849,600.	0.	849,600.

Supporting Statement of:

Form 990-PF,p12/Line 4 Column (d)

Description	Amount
Dividends - Investments	188,588.
Interest-Investments	27,697.
Interest on US Treasury	47.
1099-OID Interest	160.
OID Income	24.
Total	216,516.

ASSET DETAIL

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** The Unrealized Gain/Loss may not reflect your investments' total return Specifically, the net cost may include dividend and capital gains distributions which have been reinvestedAdditionally, the information that appears in these columns may be based on information provided by you or at your direction RBC has not verified such data. Please see "About Your Statement" on page 2 for further information*

Your Financial Advisor has elected to display Asset Detail with the following options·asset purchases (tax lots) consolidated

CASH AND MONEY MARKET

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	CURRENT MARKET VALUE	PREVIOUS YEAR-END STATEMENT MARKET VALUE
CASH				$1,689.37	
PRIME MONEY MARKET FUND RBC SELECT CLASS	TKSXX	44,996.830	$1.000	$44,996.83	$46,236.01
TOTAL CASH AND MONEY MARKET				**$46,686.20**	

TAXABLE FIXED INCOME

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCRUED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
POWERSHARES EXCHANGE-TRADED FD TR II BUILD AMERICA BOND PORTFOLIO	BAB	1,100.000	$30.440	$33,484.00	$30,095.78	$3,388.22	$1,537.80
COHEN & STEERS PFD SECS & INCOME FD INC CL I	CPXIX	14,704.000	$13.580	$199,680.32	$186,249.30	$13,431.02	$11,969.06
HIGHLAND FLOATING RATE OPPORTUNITIES FUND Z	HFRZX	21,277.000	$7.870	$167,449.99	$170,003.23	-$2,553.24	$7,936.3[illegible]
PIMCO 0-5 YEAR HIGH YIELD CORPORATE BOND INDEX EXCHANGE TRADED FUND	HYS	1,600.000	$100.830	$161,328.00	$156,280.00	$5,048.00	$7,209.60
ISHARES 7 TO 10 YEAR TREASURY BOND ETF	IEF	760.000	$105.990	$80,552.40	$81,150.52	-$598.12	$1,652.24
LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	NEFZX	7,038.000	$16.290	$114,649.02	$100,009.98	$14,639.04	$4,243.91
POWERSHARES GLOBAL EXCHANGE TRADED FD TR EMERGING MARKETS SOVEREIGN DEBT PORTFOLIO	PCY	6,800.000	$28.160	$191,488.00	$193,010.66	-$1,522.66	$8,772.00
ALPS ETF TR RIVERFRONT STRATEGIC INCOME FD	RIGS	3,600.000	$24.840	$89,424.00	$92,154.42	-$2,730.42	$2,955.60
ISHARES 20 PLUS YEAR TREASURY BOND ETF	TLT	1,300.000	$125.920	$163,696.00	$163,563.40	$132.60	$4,370.60

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INVESTMENT ACCESS ACCOUNT STATEMENT WITH PORTFOLIO FOCUS 2014 ANNUAL STATEMENT

TAXABLE FIXED INCOME

(continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCRUED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
NEW YORK TIMES CO ORIGINAL ISSUE DISCOUNT MOODY B1 S&P BB	650111AE7 CPN 5.000% DUE 03/15/2015 DTD. 03/17/2005 BOOK ENTRY ONLY	35,000.000	$100.625	$35,218.75 $515.28	$32,649.05	$2,569.70	$1,750.00
WACHOVIA BK NATL ASSN MEDIUM TERM SUB BK NTS ORIGINAL ISSUE DISCOUNT MOODY A1 S&P A+	92976GAE1 CPN: 5.600% DUE 03/15/2016 DTD· 03/09/2006 BOOK ENTRY ONLY	125,000.000	$105.466	$131,832.50 $2,061.11	$123,413.75	$8,418.75	$7,000.00
AMERICAN EXPRESS CO NT ORIGINAL ISSUE DISCOUNT MOODY A3 S&P BBB+	025816AY5 CPN 7.000% DUE 03/19/2018 DTD 03/19/2008 BOOK ENTRY ONLY	50,000.000	$115.695	$57,847.50 $991.67	$50,658.24	$7,189.26	$3,500.00
FNMA GTD PASS THRU POOL#828378 DELAY DAYS 24 FACTOR = .16580408 CURRENT BALANCE = 31,503 MOODY N/R S&P N/R	31407EJX2 CPN 0.000% DUE 06/01/2030 DTD 06/01/2005 BOOK ENTRY ONLY	190,000.000	$113.326	$35,700.84 $157.51	$31,384.64	$4,316.20	$1,890.17
CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT DELAY DAYS 24 FACTOR = .13907173 CURRENT BALANCE = 2,086 MOODY N/A S&P A+	12669EXN1 CPN: 5.000% DUE 08/25/2033 DTD: 07/25/2003 BOOK ENTRY ONLY	15,000.000	$100.299	$2,092.31 $8.69	$2,033.92	$58.39	$104.30
DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 DELAY DAYS 24 FACTOR = .03967492 CURRENT BALANCE = 2,976 MOODY N/A S&P AA+	251563CG5 CPN: 5.500% DUE 09/25/2033 DTD. 01/28/2004 BOOK ENTRY ONLY	75,000.000	$104.350	$3,105.06 $13.64	$2,759.89	$345.17	$163.66
MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT DELAY DAYS 24 FACTOR = .08071109 CURRENT BALANCE = 4,278 MOODY N/A S&P B+	55265KQ28 CPN 5.500% DUE 10/25/2033 DTD 09/25/2003 BOOK ENTRY ONLY	53,000.000	$96.000	$4,106.58 $19.61	$4,341.85	-$235.27	$235.27

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TAXABLE FIXED INCOME

(continued)

DESCRIPTION		SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE/ ACCRUED INTEREST	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 DELAY DAYS 24 FACTOR = .03375050 CURRENT BALANCE = 1,046 MOODY N/A S&P AA+	CPN 5.500% DUE 05/25/2034 DTD 04/28/2004 BOOK ENTRY ONLY	05949AEV8	31,000.000	$100.255	$1,048.93 $4.80	$978.26	$70.67	$57.54
FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED DELAY DAYS 24 FACTOR = .12492771 CURRENT BALANCE = 49,971 MOODY CAA1 S&P B-	CPN. 6.250% DUE 10/25/2034 DTD. 08/25/2004 BOOK ENTRY ONLY	32051D6Y3	400,000.000	$103.634	$51,787.03 $260.26	$49,721.23	$2,065.80	$3,123.19
TOTAL TAXABLE FIXED INCOME **ESTIMATED ACCRUED BOND INTEREST**			**1,032,179.000**		**$1,524,491.23** **$4,032.57**	**$1,470,458.12**	**$54,033.11**	**$68,471.26**

MIXED ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
NEXPOINT CR STRATEGIES FD	NHF	6,000.000	$11.230	$67,380.00	$40,619.60	$26,760.40	$4,320.00
TOTAL MIXED ASSETS				**$67,380.00**	**$40,619.60**	**$26,760.40**	**$4,320.00**

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON

INVESTMENT ACCESS ACCOUNT STATEMENT WITH PORTFOLIO FOCUS 2014 ANNUAL STATEMENT

ASSET DETAIL

The Estimated Annualized Income ("EAI") for certain securities could include a return of principal or capital gains, in which case EAI depicted on this account statement would be overstated. EAI is only an estimate of income generated by the investment and the actual income may be higher or lower In the event the investment matures, is sold or called, the full EAI may not be realized

** The Unrealized Gain/Loss may not reflect your investments' total return Specifically, the net cost may include dividend and capital gains distributions which have been reinvestedAdditionally, the information that appears in these columns may be based on information provided by you or at your direction RBC has not verified such data. Please see "About Your Statement" on page 2 for further information*

Your Financial Advisor has elected to display Asset Detail with the following options asset purchases (tax lots) consolidated

CASH AND MONEY MARKET

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	CURRENT MARKET VALUE	PREVIOUS YEAR-END STATEMENT MARKET VALUE
CASH				$8,774.64	
PRIME MONEY MARKET FUND RBC SELECT CLASS	TKSXX	77,857.460	$1.000	$77,857.46	$65,994.44
TOTAL CASH AND MONEY MARKET				**$86,632.10**	

US EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
CENTURYLINK INC	CTL	5,150.000	$39.580	$203,837.00	$209,965.50	-$6,128.50	$11,124.00
CHEVRON CORPORATION	CVX	1,580.000	$112.180	$177,244.40	$165,995.03	$11,249.37	$6,762.40
DOMINION RESOURCES INC VA NEW	D	2,000.000	$76.900	$153,800.00	$97,912.19	$55,887.81	$4,800.00
DUKE ENERGY CORPORATION HOLDING COMPANY	DUK	1,900.000	$83.540	$158,726.00	$139,079.81	$19,646.19	$6,042.00
GUGGENHEIM S&P 500 EQUAL WEIGHT ETF	RSP	4,000.000	$80.050	$320,200.00	$322,037.77	-$1,837.77	$4,656.00
HOME DEPOT INC	HD	1,250.000	$104.970	$131,212.50	$103,622.50	$27,590.00	$2,350.00
INTEL CORP	INTC	6,000.000	$36.290	$217,740.00	$125,638.90	$92,101.10	$5,400.00
ISHARES RUSSELL MID CAP ETF	IWR	1,400.000	$167.040	$233,856.00	$237,004.46	-$3,148.46	$3,390.80
KANSAS CITY SOUTHERN	KSU	885.000	$122.030	$107,996.55	$100,817.96	$7,178.59	$991.20
LOCKHEED MARTIN CORP	LMT	1,180.000	$192.570	$227,232.60	$208,914.38	$18,318.22	$7,080.00
MCDONALDS CORP	MCD	1,900.000	$93.700	$178,030.00	$145,490.15	$32,539.85	$6,460.00
MICROSOFT CORP	MSFT	5,100.000	$46.450	$236,895.00	$196,038.90	$40,856.10	$6,324.00
PHILIP MORRIS INTERNATIONAL INC	PM	1,700.000	$81.450	$138,465.00	$118,030.83	$20,434.17	$6,800.00

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US EQUITIES
(continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE		NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
POWERSHARES EXCHANGE TRADED FD TR SHR OF BEN INT $0.01 PV OF PWR SHS DWA MOMENTM PRTFLIO	PDP	4,850.000	$41.060	$199,141.00		$200,099.10	-$958.10	$300.70
SALIENT MLP & ENERGY INFRASTRUCTURE FUND II CL I	SMLPX	13,258.000	$13.290	$176,198.82		$210,006.72	-$33,807.90	$7,702.90
TOTAL US EQUITIES				**$2,860,574.87**		**$2,580,654.20**	**$279,920.67**	**$80,184.00**

INTERNATIONAL EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE		NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
BANK OF MONTREAL	BMO	2,900.000	$70.730	$205,117.00		$192,995.00	$12,122.00	$8,137.40
HENDERSON GLOBAL FDS GLOBAL EQUITY INCOME FD CL I	HFQIX	24,015.000	$7.790	$187,076.85		$195,001.80	-$7,924.95	$12,055.53
SEAGATE TECHNOLOGY PLC	STX	3,150.000	$66.500	$209,475.00		$209,334.84	$140.16	$6,804.00
TOTAL INTERNATIONAL EQUITIES				**$601,668.85**		**$597,331.64**	**$4,337.21**	**$26,996.93**

MIXED ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE		NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
ASTOR LONG/SHORT ETF FUND CL I	ASTIX	17,467.029	$11.970	$209,080.34		$197,925.33	$11,155.01	$908.29
					Purchase	*$197,006.04*	*$11,128 32*	
					Reinvest	*$919.29*	*$26.68*	
TOTAL MIXED ASSETS				**$209,080.34**		**$197,925.33**	**$11,155.01**	**$908.29**

OTHER ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
ISHARES MORTGAGE REAL ESTATE CAPPED ETF	REM	7,800.000	$11.710	$91,338.00	$96,872.22	-$5,534.22
KIMCO REALTY CORPORATION	KIM	6,000.000	$25.140	$150,840.00	$99,418.25	$51,421.75
VENTAS INC	VTR	1,700.000	$71.700	$121,890.00	$105,175.60	$16,714.40
TOTAL OTHER ASSETS				**$364,068.00**	**$301,466.07**	**$62,601.93**

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THE RICE FAMILY FOUNDATION
4471 JUTLAND DRIVE

MANAGED ACCOUNT PROGRAM
ACCOUNT STATEMENT
2014 ANNUAL STATEMENT

ASSET DETAIL

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RBC BANK DEPOSIT PROGRAM

Deposits in the RBC Bank Deposit Program, with the exception of amounts classified as "Pending Deposits," are held by the Program Banks, not RBC Capital Markets They are not covered by SIPC Balances classified as "Pending Deposits" are scheduled to be deposited in the Program Banks on the business day following the statement date, and thus, these deposits are covered by SIPC until such time as they are deposited in the Program Banks Deposit information is included on this statement solely as a service to our clients All balance and transaction information is provided by the Program Banks RBC Capital Markets is not responsible for the accuracy of this information Deposits are insured by the Federal Deposit Insurance Corporation (FDIC) up to $250,000 per depositor at each bank subject to certain limitations. ***This means that your funds in excess of $250,000 in the same insurable capacity at any single Program Bank are not insured.*** *FDIC insurance coverage amounts are subject to the combined total of all deposits at a specific Program Bank including deposits held by the Program Bank outside of this account Please refer to the RBC Bank Deposit Program Disclosure Statement and our website at www rbcwmconnect com for more details, including the current aggregate FDIC deposit insurance amount available through the Program. For questions concerning bank balances, please contact your Financial Advisor.*

DESCRIPTION		BANK BALANCE	CURRENT BALANCE	PREVIOUS YEAR-END STATEMENT BALANCE	YTD INCOME
RBC BANK DEPOSIT PROGRAM NOT SIPC COVERED			$81,252.87	$48,978.97	$6.85
DEPOSITS ARE HELD AT Associated Bank NA	Green Bay, WI	$81,252.87			
TOTAL RBC BANK DEPOSIT PROGRAM			**$81,252.87**		**$6.85**

CASH AND MONEY MARKET

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	CURRENT MARKET VALUE	PREVIOUS YEAR-END STATEMENT MARKET VALUE
CASH				$5,786.29	
TOTAL CASH AND MONEY MARKET				**$5,786.29**	

US EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
ABERCROMBIE & FITCH CO-CL A	ANF	105.000	$28.640	$3,007.20	$3,509.57	-$502.37	$84.00
AMERICAN EAGLE OUTFITTERS INC	AEO	350.000	$13.880	$4,858.00	$4,295.63	$562.37	$175.00
APOLLO INVESTMENT CORPORATION COMMON STOCK	AINV	560.000	$7.420	$4,155.20	$4,597.04	-$441.84	$448.00
AT&T INC	T	145.000	$33.590	$4,870.55	$4,935.08	-$64.53	$272.60
BLACKROCK KELSO CAP CORPORATION	BKCC	845.000	$8.200	$6,929.00	$7,872.03	-$943.03	$709.80

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US EQUITIES
(continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
CISCO SYSTEMS INC	CSCO	175.000	$27.815	$4,867.63	$4,276.60	$591.03	$133.00
DOW CHEMICAL CO.	DOW	100.000	$45.610	$4,561.00	$4,873.94	-$312.94	$168.00
EXXON MOBIL CORP	XOM	50.000	$92.450	$4,622.50	$4,825.89	-$203.39	$138.00
FIFTH STREET FINANCE CORPORATION	FSC	1,635.000	$8.010	$13,096.35	$15,115.13	-$2,018.78	$1,798.50
FIFTH STREET SENIOR FLOATING RATE CORP	FSFR	430.000	$10.220	$4,394.60	$5,026.37	-$631.77	$516.00
GENERAL ELECTRIC CO	GE	500.000	$25.270	$12,635.00	$12,319.31	$315.69	$460.00
JPMORGAN CHASE & CO	JPM	80.000	$62.580	$5,006.40	$4,197.16	$809.24	$128.00
KB HOME	KBH	220.000	$16.550	$3,641.00	$3,543.72	$97.28	$22.00
KOHLS CORP	KSS	80.000	$61.040	$4,883.20	$4,462.32	$420.88	$124.80
MEDLEY CAPITAL CORPORATION	MCC	2,085.000	$9.240	$19,265.40	$25,417.48	-$6,152.08	$3,085.80
MEDLEY MANAGEMENT INC CL A COM	MDLY	315.000	$14.700	$4,630.50	$5,622.88	-$992.38	$252.00
PENNANTPARK INVESTMENT CORP	PNNT	1,133.000	$9.530	$10,797.49	$12,749.59	-$1,952.10	$1,268.96
PROSPECT CAPITAL CORPORATION	PSEC	1,360.000	$8.260	$11,233.60	$15,032.84	-$3,799.24	$1,360.00
SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1	DIA	95.000	$177.880	$16,898.60	$16,529.94	$368.66	$341.53
STAPLES INC	SPLS	170.000	$18.120	$3,080.40	$2,039.57	$1,040.83	$81.60
TICC CAPITAL CORP	TICC	1,265.000	$7.530	$9,525.45	$12,597.03	-$3,071.58	$1,467.40
TUPPERWARE BRANDS CORPORATION	TUP	80.000	$63.000	$5,040.00	$5,107.74	-$67.74	$217.60
VERIZON COMMUNICATIONS	VZ	300.000	$46.780	$14,034.00	$14,377.56	-$343.56	$660.00
TOTAL US EQUITIES				**$176,033.07**	**$193,324.42**	**-$17,291.35**	**$13,912.59**

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INTERNATIONAL EQUITIES

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
ERICSSON ADR CL B SEK 10	ERIC	625.000	$12.100	$7,562.50	$7,593.94	-$31.44	$188.13
HONDA MOTOR CO LTD ADR	HMC	110.000	$29.520	$3,247.20	$3,416.50	-$169.30	$77.33
SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF	DWX	270.000	$42.020	$11,345.40	$12,886.70	-$1,541.30	$683.37
TOTAL INTERNATIONAL EQUITIES				**$22,155.10**	**$23,897.14**	**-$1,742.04**	**$948.83**

MIXED ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *	ESTIMATED ANNUALIZED INCOME
POWERSHARES EXCHAN CEF INCOM COMPOSITE PT ETF	PCEF	1,030.000	$23.600	$24,308.00	$24,843.27	-$535.27	$1,948.76
TOTAL MIXED ASSETS				**$24,308.00**	**$24,843.27**	**-$535.27**	**$1,948.76**

OTHER ASSETS

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
AMERICAN CAPITAL MORTGAGE INVESTMENT CORP	MTGE	285.000	$18.840	$5,369.40	$6,249.04	-$879.64
CYS INVESTMENTS INC	CYS	850.000	$8.720	$7,412.00	$8,237.01	-$825.01
INDEPENDENCE REALTY TRUST INC	IRT	785.000	$9.310	$7,308.35	$6,656.59	$651.76
INVESCO MORTGAGE CAPITAL INC	IVR	290.000	$15.460	$4,483.40	$5,027.93	-$544.53
ISHARES MORTGAGE REAL ESTATE CAPPED ETF	REM	385.000	$11.710	$4,508.35	$4,590.85	-$82.50
PROSHARES ULTRASHORT QQQ	QID	575.000	$39.480	$22,701.00	$24,010.07	-$1,309.07
PROSHARES SHORT S&P500 ETF	SH	3,485.000	$21.780	$75,903.30	$79,614.38	-$3,711.08
PROSHARES TR PROSHARES ULTRASHORT TR TREAS	TBT	385.000	$46.390	$17,860.15	$22,063.16	-$4,203.01
SENIOR HSG PPTYS TR SH BEN INT	SNH	427.000	$22.110	$9,440.97	$9,654.07	-$213.10

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MANAGED ACCOUNT PROGRAM
ACCOUNT STATEMENT
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OTHER ASSETS
(continued)

DESCRIPTION	SYMBOL/CUSIP	QUANTITY	MARKET PRICE	MARKET VALUE	NET COST *	UNREALIZED GAIN/LOSS *
TWO HARBORS INVESTMENT CORP	TWO	460.000	$10.020	$4,609.20	$4,217.03	$392.17
WHITESTONE REIT COMMON SHARE	WSR	523.000	$15.110	$7,902.53	$6,890.94	$1,011.59
TOTAL OTHER ASSETS				$167,498.65	$177,211.07	-$9,712.42

ACTIVITY DETAIL

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THE RICE FAMILY FOUNDATION
ATTN. LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

CORRECTED COPY: March 17, 2015

Schedule B-1

Schedule of Realized Gains and Losses

This section includes a summary of the short-term or long-term gain or loss from the sale of selected securities in this account. "Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year. RBC provides the following Schedule of Realized Gains and Losses as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC.

Market discount, acquisition premium and life to date OID are only provided for covered securities Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds Please refer to IRS Publications 1212 and 550 or consult your tax advisor for additional information.

For more information on original cost and other tax attributes reported on fixed income securities, please see the enclosed insert.

Please see Form 1099-B for information reported to the IRS.

Short-Term

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
2,000 000	ADVISORSHARES TR NEWFLEET MULTI SECTOR INCOME ETF SYMBOL MINC, CUSIP 00768Y727	☐	09/23/13	03/28/14	99,458.00	98,659.80	798 20
2,500 000	CALAMOS CONVERTIBLE OPPORTUNITIES AND INCOME FUND SYMBOL· CHI, CUSIP. 128117108	☐	03/03/14	10/15/14	30,464.62	35,143 16	-4,678 54
1,750 000	CALAMOS CONVERTIBLE OPPORTUNITIES AND INCOME FUND SYMBOL CHI, CUSIP 128117108	☐	03/03/14	10/15/14	21,325.23	24,598 78	-3,273 55
100,000 000	GATX CORP NOTES 8 750% DUE 05/15/2014 ORIGINAL COST 104,206.83, PREMIUM AMORTIZED 3,524.83, ORIGINAL PRICE: 104.207 CUSIP. 361448AG8	☑	11/05/13	04/15/14	100,682 00	100,682 00	0 00
500.000	ISHARES MBS ETF SYMBOL: MBB, CUSIP: 464288588	☐	09/25/13	03/03/14	53,364 07	52,824 95	539.12
3,100.000	POWERSHARES GLOBAL EXCHANGE TRADED FD TR EMERGING MARKETS SOVEREIGN DEBT PORTFOLIO SYMBOL: PCY, CUSIP. 73936T573	☐	10/15/13	01/08/14	84,073 63	85,497.69	-1,424 06
1,600 000	SPDR BARCLAYS SHORT TERM HIGH YIELD BOND ETF SYMBOL· SJNK, CUSIP 78468R408	☐	06/23/14	12/12/14	45,920 74	49,530 88	-3,610 14
1,300 000	SPDR BARCLAYS SHORT TERM HIGH YIELD BOND ETF SYMBOL: SJNK, CUSIP. 78468R408	☐	12/12/13	12/12/14	37,310 60	40,051.44	-2,740 84
	Short-Term Subtotal				**472,598.89**		**-14,389.81**

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THE RICE FAMILY FOUNDATION
ATTN· LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

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Schedule of Realized Gains and Losses (con't)

Long-Term

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
2,000.000	ADVISORSHARES TR PERITUS HIGH YIELD SYMBOL. HYLD, CUSIP. 00768Y503	☐	02/22/13	11/28/14	90,597 99	101,719 80	-11,121.81
31,000 000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5 500% DUE 05/25/2034 ADJUSTED QUANTITY: 922.033, ORIGINAL COST: 862.10, PURCHASE FACTOR. 0 029743, SALE FACTOR. 0.029743 CUSIP: 05949AEV8	☑	12/17/09	01/25/14	922 03	862.10	59.93
31,000.000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5.500% DUE 05/25/2034 ADJUSTED QUANTITY 48 169, ORIGINAL COST 45.04, PURCHASE FACTOR· 0.00155384, SALE FACTOR: 0.00155384 CUSIP: 05949AEV8	☑	12/17/09	02/25/14	48.17	45 04	3 13
31,000.000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5.500% DUE 05/25/2034 ADJUSTED QUANTITY: 475.296, ORIGINAL COST: 444.40, PURCHASE FACTOR: 0 01533213, SALE FACTOR: 0.01533213 CUSIP: 05949AEV8	☑	12/17/09	03/25/14	475 30	444.40	30 90
31,000 000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5 500% DUE 05/25/2034 ADJUSTED QUANTITY: 895 079, ORIGINAL COST· 836.90, PURCHASE FACTOR. 0 02887351, SALE FACTOR. 0.02887351 CUSIP: 05949AEV8	☑	12/17/09	05/25/14	895 08	836 90	58 18
31,000.000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5.500% DUE 05/25/2034 ADJUSTED QUANTITY. 45 473, ORIGINAL COST 42.52, PURCHASE FACTOR: 0 00146686, SALE FACTOR 0.00146686 CUSIP: 05949AEV8	☑	12/17/09	06/25/14	45 47	42 52	2 95
31,000.000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5 500% DUE 05/25/2034 ADJUSTED QUANTITY: 49 489, ORIGINAL COST 46.27, PURCHASE FACTOR: 0 00159642, SALE FACTOR 0.00159642 CUSIP: 05949AEV8	☑	12/17/09	07/25/14	49.49	46.27	3 22
31,000.000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5 500% DUE 05/25/2034 ADJUSTED QUANTITY: 289 994, ORIGINAL COST: 271 14, PURCHASE FACTOR 0 00935463, SALE FACTOR. 0.00935463 CUSIP: 05949AEV8	☑	12/17/09	08/25/14	289 99	271 14	18.85

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
31,000 000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5.500% DUE 05/25/2034 ADJUSTED QUANTITY: 635.680, ORIGINAL COST: 594.36, PURCHASE FACTOR. 0.02050581, SALE FACTOR: 0.02050581 CUSIP: 05949AEV8	☑	12/17/09	09/25/14	635 68	594 36	41.32
31,000 000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5 500% DUE 05/25/2034 ADJUSTED QUANTITY: 47 830, ORIGINAL COST: 44.72, PURCHASE FACTOR: 0.0015429, SALE FACTOR: 0.0015429 CUSIP: 05949AEV8	☑	12/17/09	10/25/14	47.83	44 72	3 11
31,000 000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5 500% DUE 05/25/2034 ADJUSTED QUANTITY: 48.260, ORIGINAL COST: 45.12, PURCHASE FACTOR: 0.00155677, SALE FACTOR: 0.00155677 CUSIP. 05949AEV8	☑	12/17/09	11/25/14	48.26	45 12	3 14
31,000 000*	BANC AMER MTG SECS INC SERIES 2004-4 CLASS 2-A-2 5 500% DUE 05/25/2034 ADJUSTED QUANTITY. 538 130, ORIGINAL COST: 503.15, PURCHASE FACTOR: 0.01735903, SALE FACTOR: 0.01735903 CUSIP: 05949AEV8	☑	12/17/09	12/25/14	538 13	503 15	34 98
35,000.000	BANK AMER CORP SR NT 7 375% DUE 05/15/2014 ORIGINAL COST 36,601.85, PREMIUM AMORTIZED: 1,601.85, ORIGINAL PRICE. 104.577 CUSIP. 06051GDY2	☑	06/16/09	05/15/14	35,000 00	35,000 00	0 00
60,000.000*	CHASE MORTGAGE FINANCE TRUST SERIES 2003-S11 CLASS 1A1 5 000% DUE 10/25/2033 ADJUSTED QUANTITY: 9.748, ORIGINAL COST: 9.65, PURCHASE FACTOR· 0.00016247, SALE FACTOR: 0 00016247 CUSIP 16162WAY5	☑	09/10/10	01/25/14	9 75	9.65	0.10
60,000.000*	CHASE MORTGAGE FINANCE TRUST SERIES 2003-S11 CLASS 1A1 5 000% DUE 10/25/2033 ADJUSTED QUANTITY: 10 663, ORIGINAL COST: 10 56, PURCHASE FACTOR 0 00017772, SALE FACTOR: 0 00017772 CUSIP 16162WAY5	☑	09/10/10	02/25/14	10 66	10.56	0 10
60,000 000*	CHASE MORTGAGE FINANCE TRUST SERIES 2003-S11 CLASS 1A1 5.000% DUE 10/25/2033 ADJUSTED QUANTITY 9 697, ORIGINAL COST· 9.60, PURCHASE FACTOR: 0 00016161, SALE FACTOR: 0 00016161 CUSIP· 16162WAY5	☑	09/10/10	03/25/14	11 28	9 60	1 68

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
60,000 000*	CHASE MORTGAGE FINANCE TRUST SERIES 2003-S11 CLASS 1A1 5.000% DUE 10/25/2033 ADJUSTED QUANTITY: 357.347, ORIGINAL COST: 353.77, PURCHASE FACTOR: 0.00595579, SALE FACTOR: 0 00595579 CUSIP: 16162WAY5	☑	09/10/10	04/25/14	357 35	353.77	3 58
60,000 000	CHASE MORTGAGE FINANCE TRUST SERIES 2003-S11 CLASS 1A1 5 000% DUE 10/25/2033 ADJUSTED QUANTITY: 2,665 370, ORIGINAL COST· 24,172.86, ACCRUALS. 57,334.63, PURCHASE FACTOR. 1, SALE FACTOR. 0.04442284 CUSIP: 16162WAY5	☑	09/10/10	05/27/14	2,665.37	2,638 72	26 65
15,000.000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY 232.375, ORIGINAL COST: 226.57, PURCHASE FACTOR: 0.01549167, SALE FACTOR: 0.01549167 CUSIP: 12669EXN1	☑	03/25/11	01/25/14	232 38	226 57	5.81
15,000.000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY: 468 008, ORIGINAL COST. 456.31, PURCHASE FACTOR: 0.03120055, SALE FACTOR: 0.03120055 CUSIP. 12669EXN1	☑	03/25/11	02/25/14	468.01	456 31	11.70
15,000 000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY 64.431, ORIGINAL COST: 62 82, PURCHASE FACTOR. 0.0042954, SALE FACTOR. 0.0042954 CUSIP: 12669EXN1	☑	03/25/11	03/25/14	64.43	62.82	1.61
15,000 000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY: 77 526, ORIGINAL COST 75.59, PURCHASE FACTOR: 0.00516841, SALE FACTOR: 0 00516841 CUSIP 12669EXN1	☑	03/25/11	04/25/14	77 53	75.59	1 94
15,000 000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY. 56.117, ORIGINAL COST· 54.71, PURCHASE FACTOR 0 00374111, SALE FACTOR: 0.00374111 CUSIP. 12669EXN1	☑	03/25/11	05/25/14	56.12	54 71	1 41

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
15,000 000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5 000% DUE 08/25/2033 ADJUSTED QUANTITY: 492.330, ORIGINAL COST: 480.02, PURCHASE FACTOR 0.03282198, SALE FACTOR: 0.03282198 CUSIP. 12669EXN1	☑	03/25/11	06/25/14	492 33	480.02	12 31
15,000 000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY: 47.512, ORIGINAL COST: 46.32, PURCHASE FACTOR: 0.00316745, SALE FACTOR: 0 00316745 CUSIP 12669EXN1	☑	03/25/11	07/25/14	47 51	46 32	1 19
15,000.000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY: 539.249, ORIGINAL COST: 525.77, PURCHASE FACTOR 0.03594991, SALE FACTOR. 0.03594991 CUSIP. 12669EXN1	☑	03/25/11	08/25/14	539.25	525.77	13 48
15,000.000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY· 433.910, ORIGINAL COST: 4,230 62, PURCHASE FACTOR: 0.02892733, SALE FACTOR 0 02892733 CUSIP. 12669EXN1	☑	03/25/11	09/25/14	433 91	423.06	10.85
15,000.000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY 418.640, ORIGINAL COST: 408.17, PURCHASE FACTOR· 0.02790933, SALE FACTOR: 0.02790933 CUSIP 12669EXN1	☑	03/25/11	10/25/14	418 64	408.17	10 47
15,000.000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5.000% DUE 08/25/2033 ADJUSTED QUANTITY. 50 040, ORIGINAL COST: 48.79, PURCHASE FACTOR 0.003336, SALE FACTOR: 0.003336 CUSIP 12669EXN1	☑	03/25/11	11/25/14	50 04	48.79	1 25
15,000.000*	CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2003-J7 2-A-8-FIXED RT 5 000% DUE 08/25/2033	☑	03/25/11	12/25/14	525 27	512 14	13 13

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	ADJUSTED QUANTITY. 525.270, ORIGINAL COST: 512 14, PURCHASE FACTOR· 0 035018, SALE FACTOR: 0 035018 CUSIP· 12669EXN1						
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 7.886, ORIGINAL COST: 7.31, PURCHASE FACTOR: 0.00010514, SALE FACTOR: 0.00010514 CUSIP. 251563CG5	☑	06/16/09	01/25/14	7.89	7.31	0.58
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5 500% DUE 09/25/2033 ADJUSTED QUANTITY: 8.339, ORIGINAL COST 7.73, PURCHASE FACTOR· 0.00011118, SALE FACTOR: 0.00011118 CUSIP: 251563CG5	☑	06/16/09	02/25/14	8 34	7.73	0.61
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 7.961, ORIGINAL COST 7.38, PURCHASE FACTOR: 0 00010615, SALE FACTOR 0.00010615 CUSIP: 251563CG5	☑	06/16/09	03/25/14	7.96	7.38	0.58
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5.500% DUE 09/25/2033 ADJUSTED QUANTITY: 8.296, ORIGINAL COST· 7.69, PURCHASE FACTOR. 0.00011061, SALE FACTOR. 0 00011061 CUSIP: 251563CG5	☑	06/16/09	04/25/14	8.30	7.69	0 61
75,000 000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5 500% DUE 09/25/2033 ADJUSTED QUANTITY: 7.891, ORIGINAL COST· 7.32, PURCHASE FACTOR: 0.00010521, SALE FACTOR. 0.00010521 CUSIP: 251563CG5	☑	06/16/09	05/25/14	7.89	7 32	0 57
75,000 000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5 500% DUE 09/25/2033 ADJUSTED QUANTITY: 8 047, ORIGINAL COST: 7.46, PURCHASE FACTOR: 0.00010729, SALE FACTOR: 0 00010729 CUSIP: 251563CG5	☑	06/16/09	06/25/14	8.05	7 46	0 59
75,000 000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5 500% DUE 09/25/2033 ADJUSTED QUANTITY: 8 202, ORIGINAL COST 7.61, PURCHASE FACTOR: 0 00010936, SALE FACTOR· 0 00010936 CUSIP: 251563CG5	☑	06/16/09	07/25/14	8.20	7 61	0 59
75,000 000*	DEUTSCHE MTG SECS INC MTG LN	☑	06/16/09	08/25/14	8 01	7.43	0 58

Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	TRUST SERIES 2004-1 CL I-A-1 5 500% DUE 09/25/2033 ADJUSTED QUANTITY· 8.006, ORIGINAL COST. 7.43, PURCHASE FACTOR. 0 00010674, SALE FACTOR: 0 00010674 CUSIP 251563CG5						
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5 500% DUE 09/25/2033 ADJUSTED QUANTITY· 8.160, ORIGINAL COST: 7.57, PURCHASE FACTOR. 0.0001088, SALE FACTOR: 0.0001088 CUSIP. 251563CG5	☑	06/16/09	09/25/14	8 16	7.57	0.59
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5 500% DUE 09/25/2033 ADJUSTED QUANTITY: 8 200, ORIGINAL COST: 7.61, PURCHASE FACTOR: 0.00010933, SALE FACTOR: 0 00010933 CUSIP· 251563CG5	☑	06/16/09	10/25/14	8 20	7 61	0 59
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5 500% DUE 09/25/2033 ADJUSTED QUANTITY: 8.240, ORIGINAL COST· 7.64, PURCHASE FACTOR: 0 00010987, SALE FACTOR: 0.00010987 CUSIP· 251563CG5	☑	06/16/09	11/25/14	8.24	7 64	0 60
75,000.000*	DEUTSCHE MTG SECS INC MTG LN TRUST SERIES 2004-1 CL I-A-1 5 500% DUE 09/25/2033 ADJUSTED QUANTITY: 8 280, ORIGINAL COST: 7.68, PURCHASE FACTOR: 0.0001104, SALE FACTOR. 0.0001104 CUSIP: 251563CG5	☑	06/16/09	12/25/14	8 28	7.68	0 60
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6 250% DUE 10/25/2034 ADJUSTED QUANTITY: 1,784 136, ORIGINAL COST 1,775.22, PURCHASE FACTOR: 0 00446034, SALE FACTOR: 0.00446034 CUSIP: 32051D6Y3	☑	08/17/10	01/25/14	1,784.13	1,775.22	8 91
400,000 000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6 250% DUE 10/25/2034 ADJUSTED QUANTITY: 308.012, ORIGINAL COST: 306.47, PURCHASE FACTOR: 0 00077003, SALE FACTOR: 0 00077003 CUSIP: 32051D6Y3	☑	08/17/10	02/25/14	308.01	306.47	1.54
400,000 000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED	☑	08/17/10	03/25/14	76.06	75 68	0 38

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	6 250% DUE 10/25/2034 ADJUSTED QUANTITY 76.064, ORIGINAL COST. 75.68, PURCHASE FACTOR: 0.00019016, SALE FACTOR: 0 00019016 CUSIP· 32051D6Y3						
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 475 260, ORIGINAL COST: 472.88, PURCHASE FACTOR: 0.00118815, SALE FACTOR: 0.00118815 CUSIP: 32051D6Y3	☑	08/17/10	05/25/14	475 26	472 88	2.38
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 784.432, ORIGINAL COST: 780 51, PURCHASE FACTOR: 0.00196108, SALE FACTOR: 0.00196108 CUSIP: 32051D6Y3	☑	08/17/10	06/25/14	784.43	780 51	3 92
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6 250% DUE 10/25/2034 ADJUSTED QUANTITY: 990.772, ORIGINAL COST: 985.82, PURCHASE FACTOR: 0.00247693, SALE FACTOR: 0.00247693 CUSIP: 32051D6Y3	☑	08/17/10	07/25/14	990.77	985.82	4 95
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 1,368.016, ORIGINAL COST: 1,361.18, PURCHASE FACTOR: 0.00342004, SALE FACTOR: 0 00342004 CUSIP. 32051D6Y3	☑	08/17/10	08/25/14	1,368 02	1,361 18	6 84
400,000 000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6 250% DUE 10/25/2034 ADJUSTED QUANTITY: 664.700, ORIGINAL COST: 661 38, PURCHASE FACTOR: 0.00166175, SALE FACTOR: 0.00166175 CUSIP: 32051D6Y3	☑	08/17/10	09/25/14	664.70	661 38	3 32
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6 250% DUE 10/25/2034 ADJUSTED QUANTITY: 0.012, ORIGINAL COST. 0.01, PURCHASE FACTOR: 0.00000003, SALE FACTOR: 0 00000003 CUSIP: 32051D6Y3	☑	08/17/10	10/13/14	0.01	0 01	0 00

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6.250% DUE 10/25/2034 ADJUSTED QUANTITY: 1,314 520, ORIGINAL COST: 1,307.95, PURCHASE FACTOR 0 0032863, SALE FACTOR 0 0032863 CUSIP: 32051D6Y3	☑	08/17/10	10/25/14	1,314.52	1,307.95	6.57
400,000 000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6 250% DUE 10/25/2034 ADJUSTED QUANTITY: 1,144.432, ORIGINAL COST. 1,138.71, PURCHASE FACTOR· 0.00286108, SALE FACTOR: 0.00286108 CUSIP: 32051D6Y3	☑	08/17/10	11/25/14	1,144.43	1,138 71	5 72
400,000.000*	FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES 2004-FA1 I-A-1-FIXED 6 250% DUE 10/25/2034 ADJUSTED QUANTITY· 404 052, ORIGINAL COST. 402.03, PURCHASE FACTOR. 0.00101013, SALE FACTOR: 0 00101013 CUSIP: 32051D6Y3	☑	08/17/10	12/25/14	404.05	402 03	2.02
190,000 000*	FNMA GTD PASS THRU POOL#828378 6 000% DUE 06/01/2030 ADJUSTED QUANTITY. 99.391, ORIGINAL COST· 99.02, PURCHASE FACTOR. 0 00052311, SALE FACTOR 0 00052311 CUSIP· 31407EJX2	☑	05/03/06	01/27/14	99.39	99 02	0.37
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 100.436, ORIGINAL COST: 100.06, PURCHASE FACTOR 0.00052861, SALE FACTOR: 0.00052861 CUSIP: 31407EJX2	☑	05/03/06	02/25/14	100 44	100.06	0.38
190,000.000*	FNMA GTD PASS THRU POOL#828378 6 000% DUE 06/01/2030 ADJUSTED QUANTITY 102.805, ORIGINAL COST: 102 42, PURCHASE FACTOR 0.00054108, SALE FACTOR: 0.00054108 CUSIP: 31407EJX2	☑	05/03/06	03/25/14	102 81	102.42	0 39
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY. 100 181, ORIGINAL COST: 99.81, PURCHASE FACTOR 0.00052727, SALE FACTOR: 0 00052727 CUSIP: 31407EJX2	☑	05/03/06	04/25/14	100.18	99 81	0 37
190,000.000*	FNMA GTD PASS THRU POOL#828378 6 000% DUE 06/01/2030 ADJUSTED QUANTITY: 103 580, ORIGINAL COST 103.19, PURCHASE FACTOR: 0.00054516, SALE FACTOR: 0.00054516 CUSIP. 31407EJX2	☑	05/03/06	05/27/14	103 58	103 19	0 39

CORRECTED COPY: March 17, 2015

Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
190,000 000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY. 104.791, ORIGINAL COST: 104.40, PURCHASE FACTOR 0.00055153, SALE FACTOR: 0 00055153 CUSIP: 31407EJX2	☑	05/03/06	06/25/14	104.79	104.40	0 39
190,000.000*	FNMA GTD PASS THRU POOL#828378 6 000% DUE 06/01/2030 ADJUSTED QUANTITY 104 679, ORIGINAL COST 104.29, PURCHASE FACTOR: 0.00055094, SALE FACTOR: 0 00055094 CUSIP 31407EJX2	☑	05/03/06	07/25/14	104 68	104 29	0 39
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 102 439, ORIGINAL COST: 102.05, PURCHASE FACTOR: 0.00053915, SALE FACTOR: 0.00053915 CUSIP: 31407EJX2	☑	05/03/06	08/25/14	102.44	102.05	0 39
190,000.000*	FNMA GTD PASS THRU POOL#828378 6 000% DUE 06/01/2030 ADJUSTED QUANTITY 108 650, ORIGINAL COST 108 24, PURCHASE FACTOR 0 00057184, SALE FACTOR 0 00057184 CUSIP: 31407EJX2	☑	05/03/06	09/25/14	108.65	108.24	0 41
190,000 000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY. 103 520, ORIGINAL COST: 103.13, PURCHASE FACTOR. 0 00054484, SALE FACTOR: 0.00054484 CUSIP: 31407EJX2	☑	05/03/06	10/27/14	103.52	103.13	0.39
190,000.000*	FNMA GTD PASS THRU POOL#828378 6 000% DUE 06/01/2030 ADJUSTED QUANTITY 105 420, ORIGINAL COST 105 02, PURCHASE FACTOR. 0 00055484, SALE FACTOR: 0.00055484 CUSIP. 31407EJX2	☑	05/03/06	11/25/14	105.42	105.02	0 40
190,000.000*	FNMA GTD PASS THRU POOL#828378 6.000% DUE 06/01/2030 ADJUSTED QUANTITY: 104 641, ORIGINAL COST: 104.25, PURCHASE FACTOR: 0 00055074, SALE FACTOR: 0 00055074 CUSIP. 31407EJX2	☑	05/03/06	12/26/14	104.64	104.25	0 39
150,000.000	GENWORTH FINANCIAL INC NOTE 5 750% DUE 06/15/2014 CUSIP· 37247DAE6	☑	04/24/06	06/16/14	150,000 00	149,859.00	141.00
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 18 820, ORIGINAL COST 19.10, PURCHASE FACTOR: 0 0003551, SALE FACTOR: 0 0003551 CUSIP: 55265KQ28	☑	07/28/10	01/25/14	18.82	19.10	-0.28

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY· 126.125, ORIGINAL COST: 128.02, PURCHASE FACTOR. 0 00237972, SALE FACTOR 0.00237972 CUSIP 55265KQ28	☑	07/28/10	02/25/14	126 13	128 02	-1 89
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY. 17.542, ORIGINAL COST. 17.81, PURCHASE FACTOR 0 00033098, SALE FACTOR: 0 00033098 CUSIP: 55265KQ28	☑	07/28/10	03/25/14	17.54	17.81	-0 27
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY. 17.838, ORIGINAL COST: 18.11, PURCHASE FACTOR· 0.00033657, SALE FACTOR: 0.00033657 CUSIP: 55265KQ28	☑	07/28/10	04/25/14	17.84	18 11	-0 27
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5 500% DUE 10/25/2033 ADJUSTED QUANTITY: 303.832, ORIGINAL COST. 308.39, PURCHASE FACTOR 0.00573268, SALE FACTOR: 0.00573268 CUSIP. 55265KQ28	☑	07/28/10	05/25/14	303 83	308.39	-4 56
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5 500% DUE 10/25/2033 ADJUSTED QUANTITY: 106.903, ORIGINAL COST: 108.51, PURCHASE FACTOR 0 00201704, SALE FACTOR: 0 00201704 CUSIP: 55265KQ28	☑	07/28/10	06/25/14	106.90	108.51	-1.61
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5 500% DUE 10/25/2033 ADJUSTED QUANTITY: 17.337, ORIGINAL COST 17 60, PURCHASE FACTOR 0.00032711, SALE FACTOR: 0 00032711 CUSIP: 55265KQ28	☑	07/28/10	07/25/14	17 34	17 60	-0.26
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033	☑	07/28/10	08/25/14	93 35	94 75	-1 40

CORRECTED COPY: March 17, 2015

Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	ADJUSTED QUANTITY 93 349, ORIGINAL COST: 94 75, PURCHASE FACTOR· 0 0017613, SALE FACTOR. 0.0017613 CUSIP 55265KQ28						
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 65.650, ORIGINAL COST: 66.63, PURCHASE FACTOR: 0 00123868, SALE FACTOR: 0.00123868 CUSIP. 55265KQ28	☑	07/28/10	09/25/14	65 65	66 63	-0.98
53,000 000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY: 152.120, ORIGINAL COST: 154.40, PURCHASE FACTOR: 0 00287019, SALE FACTOR: 0.00287019 CUSIP: 55265KQ28	☑	07/28/10	10/25/14	152.12	154 40	-2.28
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5 500% DUE 10/25/2033 ADJUSTED QUANTITY: 19.410, ORIGINAL COST. 19.70, PURCHASE FACTOR: 0 00036623, SALE FACTOR: 0 00036623 CUSIP: 55265KQ28	☑	07/28/10	11/25/14	19.41	19 70	-0 29
53,000.000*	MASTR ASSET SECURITIZATION TRUST MTGPC/SERIES 2003-9 2-A-7-FIXED RT 5.500% DUE 10/25/2033 ADJUSTED QUANTITY· 130.760, ORIGINAL COST: 132 72, PURCHASE FACTOR: 0.00246717, SALE FACTOR. 0.00246717 CUSIP: 55265KQ28	☑	07/28/10	12/25/14	130.76	132.72	-1.96
3,000 000	POWERSHARES SENIOR LOAN PORTFOLIO SYMBOL. BKLN, CUSIP: 73936Q769	☐	03/12/13	09/12/14	73,618.37	75,266 58	-1,648 21
3,000 000	POWERSHARES SENIOR LOAN PORTFOLIO SYMBOL· BKLN, CUSIP 73936Q769	☐	10/17/12	09/12/14	73,618 37	74,805 30	-1,186 93
	Long-Term Subtotal				**445,012.13**		**-13,396.73**
Total Gains and Losses					**917,611.02**		**-27,786.54**
	Short-Term						**-14,389.81**
	Long-Term						**-13,396.73**
	Term Unknown						**0.00**

* Return of principal. Quantity represents face value

THE RICE FAMILY FOUNDATION
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Schedule B-2

Schedule of Realized Gains and Losses

This section includes a summary of the short-term or long-term gain or loss from the sale of selected securities in this account. "Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year RBC provides the following Schedule of Realized Gains and Losses as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC.

Market discount, acquisition premium and life to date OID are only provided for covered securities. Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time. In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds. Please refer to IRS Publications 1212 and 550 or consult your tax advisor for additional information.

For more information on original cost and other tax attributes reported on fixed income securities, please see the enclosed insert.

Please see Form 1099-B for information reported to the IRS.

Short-Term

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
3,900 000	ABBVIE INC SYMBOL ABBV, CUSIP· 00287Y109	☐	12/03/13	04/10/14	185,132.86	194,124.23	-8,991 37
2,800 000	AETNA INC NEW SYMBOL AET, CUSIP. 00817Y108	☐	02/14/14	07/30/14	220,271 13	191,570.26	28,700 87
11,250.000	ALPS ETF TR ALERIAN MLP SYMBOL· AMLP, CUSIP· 00162Q866	☐	09/19/13	08/21/14	214,437.23	191,952.55	22,484 68
4,000 000	ANNALY CAPITAL MANAGEMENT INC SYMBOL NLY, CUSIP 035710409	☐	03/04/14	03/04/14	44,839 61	44,836.00	3 61
2,000.000	EOG RES INC SYMBOL: EOG, CUSIP: 26875P101	☐	03/25/14	07/31/14	221,283.89	192,640 00	28,643 89
5,200 000	FIRST TRUST NASDAQ-100 EQUAL WEIGHTED INDEX FUND SYMBOL: QQEW, CUSIP 337344105	☐	02/14/14	03/26/14	191,574 16	195,777 90	-4,203 74
2,365.000	GILEAD SCIENCES INC SYMBOL· GILD, CUSIP 375558103	☐	02/21/14	03/24/14	166,321 09	197,655 05	-31,333 96
4,380.000	GLAXOSMITHKLINE PLC SPONSORED ADR(FRM GLAXO WELL) SYMBOL GSK, CUSIP: 37733W105	☐	10/24/14	12/09/14	196,293 46	200,013 08	-3,719 62
1,600.000	HEALTH CARE REIT INC SYMBOL HCN, CUSIP: 42217K106	☐	04/17/14	07/07/14	99,778 30	98,623 60	1,154 70
3,850.000	ISHARES MSCI HONG KONG ETF SYMBOL EWH, CUSIP 464286871	☐	09/17/13	01/23/14	76,309 52	76,421 57	-112 05
380 000	ISHARES NASDAQ BIOTECHNOLOGY INDEX FD SYMBOL· IBB, CUSIP. 464287556	☐	02/11/14	03/21/14	95,006.88	96,869.60	-1,862 72
950.000	KANSAS CITY SOUTHERN SYMBOL KSU, CUSIP 485170302	☐	07/09/14	12/12/14	104,877 68	105,693 94	-816 26

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
5,800 000	KINDER MORGAN INC SYMBOL: KMI, CUSIP 49456B101	☐	04/17/14	08/01/14	204,964 44	195,918 20	9,046.24
1,700 000	LORILLARD INC SYMBOL. LO, CUSIP 544147101	☐	05/13/14	08/28/14	101,047.69	99,551.83	1,495.86
2,000 000	MARKET VECTORS ETF TR INDIA SMALL CAP INDEX ETF NEW SYMBOL SCIF, CUSIP: 57061R551	☐	05/23/14	07/10/14	95,199 09	98,036.80	-2,837.71
1,350.000	MOHAWK INDUSTRIES INC SYMBOL: MHK, CUSIP. 608190104	☐	12/27/13	03/27/14	181,357.69	197,005 37	-15,647.68
9,200 000	MUTUAL FD SER TR CTLYST HGD FTR STRAGY FD CL I SYMBOL HFXIX, CUSIP 62827M797	☐	08/05/14	11/25/14	93,104 00	100,004 00	-6,900 00
9,217.000	MUTUAL FD SER TR CTLYST HGD FTR STRAGY FD CL I SYMBOL: HFXIX, CUSIP 62827M797	☐	07/10/14	11/25/14	93,276.04	100,004.45	-6,728 41
3,721 000	NASDAQ PREM INCOME & GROWTH FD INC CUSIP: 63110R105	☐	06/05/14	08/01/14	70,332.64	71,467 61	-1,134 97
17,825.000	NORTHERN LTS FD TR III GOOD HRBR TCTCL CORE US FD CL I SYMBOL GHUIX, CUSIP. 66538E747	☐	09/19/13	04/10/14	187,162 50	197,501.00	-10,338 50
5,700.000	POWERSHARES EXCHANGE TRADED FD TR SHR OF BEN INT $0 01 PV OF PWR SHS DWA MOMENTM PRTFLIO SYMBOL· PDP, CUSIP: 73935X153	☐	09/17/13	04/15/14	201,205 55	192,944.43	8,261 12
5,250 000	POWERSHARES EXCHANGE TRADED FD TR II DWA PWR SHS DWA SMALLCAP MOMENTUM PORTFOLIO SYMBOL DWAS, CUSIP 73936Q744	☐	09/24/13	02/05/14	193,062 77	195,388.50	-2,325.73
2,400 000	POWERSHARES EXCHANGE TRADED FD TR II POW SHS DWA DEVELOPED MARKETS MOMENTUM PORTFOLIO SYMBOL: PIZ, CUSIP: 73936Q108	☐	09/17/13	01/24/14	61,800.96	58,872.00	2,928.96
6,000.000	POWERSHARES GLOBAL LISTED PRIVATE EQUITY PORTFOLIO SYMBOL PSP, CUSIP: 73935X195	☐	03/11/14	04/15/14	69,478 46	74,519.15	-5,040.69
5,025 000	POWERSHARES INDIA EXCHANGE TRADED FD TR POWER SHS INDIA PORT SYMBOL PIN, CUSIP: 73935L100	☐	05/12/14	10/16/14	104,688 35	98,841.58	5,846 77

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
410.000	PRECISION CASTPARTS CORP SYMBOL. PCP, CUSIP 740189105	☐	07/07/14	07/24/14	97,928 87	104,642 82	-6,713 95
1,000.000	PROSHARES SHORT QQQ CUSIP: 74347R602	☐	01/24/14	02/04/14	18,830 87	18,338 80	492 07
6,800 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL SDS, CUSIP: 74347B300	☐	04/10/14	04/14/14	201,078.35	199,913.20	1,165 15
500.000	PROSHARES ULTRA QQQ ETF SYMBOL QLD, CUSIP: 74347R206	☐	12/27/13	03/03/14	51,695 00	49,689 40	2,005 60
4,550.000	SELECT SECTOR SPDR TRUST THE FINANCIAL SELECT SECTOR SPDR FUND SYMBOL. XLF, CUSIP: 81369Y605	☐	11/21/13	01/24/14	96,640 77	97,415 05	-774 28
2,000 000	SPDR INDEX SHARES FUNDS SPDR EURO STOXX 50 ETF SYMBOL FEZ, CUSIP: 78463X202	☐	09/17/13	02/03/14	78,386 23	75,958.60	2,427.63
2,500 000	SPDR SER TR S&P REGL BKG ETF SYMBOL KRE, CUSIP: 78464A698	☐	11/21/13	02/03/14	94,625 35	97,735 33	-3,109.98
5,000.000	SPROTT PHYSICAL PLATINUM AND PALLADIUM TRUST UNIT SYMBOL SPPP, CUSIP 85207Q104	☐	05/30/14	09/16/14	47,301.95	50,150 00	-2,848 05
2,200 000	VMWARE INC CL A SYMBOL. VMW, CUSIP: 928563402	☐	12/24/13	01/27/14	206,928 89	197,131.00	9,797 89
3,300.000	VULCAN MATERIALS CO (HOLDING CO) SYMBOL VMC, CUSIP 929160109	☐	12/24/13	05/21/14	195,338 38	192,117 31	3,221 07
11,000 000	WINDSTREAM HLDGS INC COM SYMBOL WIN, CUSIP: 97382A101	☐	04/17/14	10/10/14	112,087 52	94,787 00	17,300.52
1,900.000	WISDOM TREE EMERGING MARKETS EQUITY INCOME FUND ETF ORIGINAL COST 97,236 88 WASH SALE LOSS DISALLOWED 263.03 SYMBOL: DEM, CUSIP: 97717W315	☐	05/19/14	08/07/14	96,973.85	96,973 85	0 00
1,900 000	WISDOM TREE EMERGING MARKETS EQUITY INCOME FUND ETF ORIGINAL COST 102,113 25 WASH SALE REPLACEMENT ADDITION 263 03	☐	09/03/14	09/26/14	92,796 23	102,376.29	-9,580 06

CORRECTED COPY: March 17, 2015

Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE LOSS DISALLOWED 0.00 SYMBOL· DEM, CUSIP· 97717W315						
100 000	WISDOM TREE EMERGING MARKETS EQUITY INCOME FUND ETF SYMBOL: DEM, CUSIP. 97717W315	☐	09/03/14	09/26/14	4,884.01	5,374 38	-490.37
	Short-Term Subtotal				**4,868,302.26**		**19,466.53**

Long-Term

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
800.000	COCA COLA COMPANY (THE) SYMBOL KO, CUSIP: 191216100	☐	08/31/11	07/09/14	33,496.85	28,262 20	5,234 65
4,000 000	COCA COLA COMPANY (THE) SYMBOL: KO, CUSIP: 191216100	☐	08/31/11	11/25/14	177,158.08	141,311 00	35,847.08
1,800.000	TOCQUEVILLE GOLD FUND SYMBOL· TGLDX, CUSIP 888894862	☑	04/24/06	05/30/14	67,446.00	98,028 00	-30,582 00
869.000	TOCQUEVILLE GOLD FUND SYMBOL: TGLDX, CUSIP: 888894862	☑	05/12/06	12/23/14	26,235.11	50,028 33	-23,793 22
460 497	TOCQUEVILLE GOLD FUND SYMBOL: TGLDX, CUSIP 888894862	☑	12/13/07	12/23/14	13,902.41	22,007 14	-8,104 73
61 930	TOCQUEVILLE GOLD FUND SYMBOL. TGLDX, CUSIP 888894862	☑	12/16/10	12/23/14	1,869.67	5,329 04	-3,459 37
89.279	TOCQUEVILLE GOLD FUND SYMBOL· TGLDX, CUSIP: 888894862	☐	12/21/12	12/23/14	2,695.33	5,555.83	-2,860 50
39 114	TOCQUEVILLE GOLD FUND SYMBOL TGLDX, CUSIP 888894862	☑	12/28/11	12/23/14	1,180.85	2,840 06	-1,659 21
22.605	TOCQUEVILLE GOLD FUND SYMBOL: TGLDX, CUSIP 888894862	☑	12/28/11	12/23/14	682 45	1,641 37	-958.93
37.000	TOCQUEVILLE GOLD FUND SYMBOL: TGLDX, CUSIP: 888894862	☑	04/24/06	12/23/14	1,117.03	2,015.02	-897 99
25.999	TOCQUEVILLE GOLD FUND SYMBOL: TGLDX, CUSIP 888894862	☑	12/13/07	12/23/14	784 91	1,242.48	-457 57
10 864	TOCQUEVILLE GOLD FUND SYMBOL· TGLDX, CUSIP. 888894862	☑	12/13/07	12/23/14	327 98	519.17	-191 19
5 340	TOCQUEVILLE GOLD FUND SYMBOL: TGLDX, CUSIP 888894862	☑	12/17/09	12/23/14	161 21	305.01	-143 80
0.232	TOCQUEVILLE GOLD FUND SYMBOL· TGLDX, CUSIP 888894862	☑	10/27/09	12/23/14	7.00	12 37	-5 37

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
96 327	TOCQUEVILLE GOLD FUND SYMBOL TGLDX, CUSIP 888894862	☑	12/18/08	12/23/14	2,908.11	2,833.95	74 16
16,269.000	VIRTUS DYNAMIC ALPHASECTOR FD CL I SYMBOL. VIMNX, CUSIP: 92828R297	☐	09/19/13	11/28/14	182,538.18	197,505.66	-14,967.48
	Long-Term Subtotal				**512,511.17**		**-46,925.47**
Total Gains and Losses					**5,380,813.43**		**-27,458.94**
	Short-Term						**19,466.53**
	Long-Term						**-46,925.47**
	Term Unknown						**0.00**

CORRECTED COPY: April 1, 2015

Schedule B-3

Schedule of Realized Gains and Losses

This section includes a summary of the short-term or long-term gain or loss from the sale of selected securities in this account. "Short-term" refers to securities held for one year or less; "long-term" refers to securities held more than one year. RBC provides the following Schedule of Realized Gains and Losses as a service to its clients; the information may not be accurate for tax reporting or other purposes and may rely on information, such as the original cost basis for a security, that you or another source at your direction provided to RBC.

Market discount, acquisition premium and life to date OID are only provided for covered securities. Cost basis information may reflect a change in the value of certain fixed income and other securities that return or amortize principal over time. In the case of bonds purchased at a premium, cost basis information may be amortized. In addition, cost basis information may reflect accretion for zero coupon and OID bonds. Please refer to IRS Publications 1212 and 550 or consult your tax advisor for additional information

For more information on original cost and other tax attributes reported on fixed income securities, please see the enclosed insert.

Please see Form 1099-B for information reported to the IRS.

Short-Term

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
150.000	ALTERA CORP SYMBOL. ALTR, CUSIP: 021441100	☐	05/27/14	09/25/14	5,357.15	5,010 24	346.91
255 000	AMERICAN EAGLE OUTFITTERS INC SYMBOL: AEO, CUSIP 02553E106	☐	03/17/14	12/23/14	3,475 88	3,253.32	222.56
65.000	AMGEN INC SYMBOL. AMGN, CUSIP: 031162100	☐	05/19/14	07/07/14	7,919.39	7,298.86	620.53
55.000	APOLLO INVESTMENT CORPORATION COMMON STOCK SYMBOL AINV, CUSIP: 03761U106	☐	09/25/13	02/19/14	495.00	451 50	43.50
75.000	AT&T INC SYMBOL T, CUSIP: 00206R102	☐	06/28/13	05/06/14	2,669.94	2,667.75	2.19
85 000	AT&T INC SYMBOL T, CUSIP 00206R102	☐	09/25/13	05/06/14	3,025.93	2,899 18	126.75
150 000	AT&T INC SYMBOL: T, CUSIP: 00206R102	☐	08/27/14	10/15/14	5,048.89	5,200.49	-151.60
100.000	AT&T INC SYMBOL· T, CUSIP· 00206R102	☐	02/26/14	10/15/14	3,365.92	3,202.97	162.95
145.000	BARCLAYS BANK PLC IPATH S&P 500 VIX SHORT TERM FUTURES ETN NEW 2013 SYMBOL: VXX, CUSIP. 06742E711	☐	05/27/14	06/03/14	4,850.15	4,955.78	-105.63
70 000	BCE INC COM NEW SYMBOL: BCE, CUSIP 05534B760	☐	09/25/13	04/24/14	3,092.67	2,996 00	96.66
70 000	BCE INC COM NEW SYMBOL· BCE, CUSIP. 05534B760	☐	07/11/13	04/24/14	3,092 67	2,925.13	167.53
165 000	BROADCOM CORP	☐	05/12/14	06/02/14	5,774.57	4,909.71	864 86

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	CL A SYMBOL. BRCM, CUSIP 111320107						
540.000	CAMPUS CREST COMMUNITIES INC SYMBOL: CCG, CUSIP· 13466Y105	☐	12/30/13	10/08/14	3,520.29	4,747.30	-1,227.01
20.000	CENTURYLINK INC SYMBOL. CTL, CUSIP: 156700106	☐	09/18/13	01/21/14	592 25	646.54	-54 29
10.000	CENTURYLINK INC SYMBOL: CTL, CUSIP: 156700106	☐	02/14/13	01/21/14	296.13	331.75	-35.63
125.000	CENTURYLINK INC SYMBOL CTL, CUSIP: 156700106	☐	09/25/13	07/29/14	5,141 30	4,014.75	1,126.55
75.000	CISCO SYSTEMS INC SYMBOL: CSCO, CUSIP: 17275R102	☐	09/25/13	05/06/14	1,700.83	1,830.60	-129.77
20.000	CISCO SYSTEMS INC SYMBOL CSCO, CUSIP. 17275R102	☐	03/17/14	05/06/14	453.56	430 20	23.36
180.000	CISCO SYSTEMS INC SYMBOL· CSCO, CUSIP 17275R102	☐	03/04/14	05/06/14	4,082.00	3,927.60	154 40
205.000	CISCO SYSTEMS INC SYMBOL CSCO, CUSIP: 17275R102	☐	03/17/14	10/10/14	4,856.34	4,409.55	446 79
185.000	CISCO SYSTEMS INC ORIGINAL COST 4,588 00 WASH SALE LOSS DISALLOWED: 373.80 SYMBOL. CSCO, CUSIP: 17275R102	☐	08/25/14	10/15/14	4,214 20	4,214.20	0.00
15 000	CISCO SYSTEMS INC SYMBOL CSCO, CUSIP 17275R102	☐	03/17/14	10/15/14	341.69	322.65	19 04
45 000	CISCO SYSTEMS INC SYMBOL. CSCO, CUSIP: 17275R102	☐	10/31/14	12/04/14	1,246.92	1,099.70	147.23
185.000	CISCO SYSTEMS INC ORIGINAL COST 4,520.97 WASH SALE REPLACEMENT ADDITION 373 80 WASH SALE LOSS DISALLOWED: 0 00 SYMBOL· CSCO, CUSIP 17275R102	☐	10/31/14	12/04/14	5,126 25	4,894.78	231.47
10.000	CITIGROUP INC COM SYMBOL· C, CUSIP· 172967424	☐	02/26/14	08/27/14	518.90	481.69	37 21
105.000	CITIGROUP INC COM SYMBOL· C, CUSIP: 172967424	☐	02/05/14	08/27/14	5,448.43	4,939.20	509.23
40.000	CITIGROUP INC COM SYMBOL: C, CUSIP: 172967424	☐	02/26/14	09/25/14	2,093.31	1,926.77	166.54

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
55 000	CITIGROUP INC COM SYMBOL. C, CUSIP. 172967424	☐	06/20/14	09/25/14	2,878.30	2,605 24	273.06
30.000	CONAGRA FOODS INC SYMBOL: CAG, CUSIP 205887102	☐	09/10/13	06/18/14	916.23	936.32	-20.09
50 000	CONAGRA FOODS INC SYMBOL: CAG, CUSIP: 205887102	☐	09/25/13	06/18/14	1,527 06	1,527 90	-0.84
65.000	CONAGRA FOODS INC SYMBOL: CAG, CUSIP: 205887102	☐	09/25/13	07/07/14	2,013.11	1,986.27	26.84
100 000	CONAGRA FOODS INC SYMBOL· CAG, CUSIP: 205887102	☐	02/06/14	07/07/14	3,097.10	3,050.90	46.20
145.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	☐	09/18/13	02/03/14	1,415.72	1,628 02	-212.30
70 000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP· 232806109	☐	09/25/13	02/03/14	683.45	625 73	57.72
115 000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	☐	04/19/13	02/03/14	1,122.81	1,039.84	82.97
140.000	CYPRESS SEMICONDUCTOR CORP SYMBOL CY, CUSIP: 232806109	☐	11/15/13	06/06/14	1,493 42	1,241 27	252.15
185.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP· 232806109	☐	09/25/13	06/06/14	1,973.44	1,633.37	340.07
40 000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP 232806109	☐	08/08/14	11/04/14	393.23	402 55	-9.32
305.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP· 232806109	☐	04/28/14	11/04/14	2,998.42	2,860.90	137.52
170.000	CYPRESS SEMICONDUCTOR CORP SYMBOL. CY, CUSIP. 232806109	☐	11/15/13	11/04/14	1,671 25	1,469 85	201.40
30.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP· 232806109	☐	10/03/14	12/01/14	312.75	293.63	19.12
235.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP· 232806109	☐	08/08/14	12/01/14	2,449 91	2,365 00	84.91
230.000	CYPRESS SEMICONDUCTOR CORP SYMBOL: CY, CUSIP: 232806109	☐	10/03/14	12/10/14	2,993 24	2,251.17	742.07
35.000	DEERE & CO SYMBOL DE, CUSIP: 244199105	☐	05/15/13	01/09/14	3,102 38	3,136.73	-34.35
15.000	DEERE & CO SYMBOL: DE, CUSIP: 244199105	☐	06/17/13	01/09/14	1,329.59	1,266.98	62.61
10.000	DEERE & CO SYMBOL. DE, CUSIP 244199105	☐	02/25/14	03/12/14	883 51	841.91	41 60

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
20 000	DEERE & CO SYMBOL: DE, CUSIP 244199105	☐	06/17/13	03/12/14	1,767.01	1,689 30	77 71
35.000	DEERE & CO SYMBOL: DE, CUSIP. 244199105	☐	09/25/13	03/12/14	3,092.27	2,974.65	117 62
55.000	DEERE & CO SYMBOL: DE, CUSIP· 244199105	☐	02/25/14	10/15/14	4,595.90	4,630.51	-34 61
105.000	DIAMOND OFFSHORE DRILLING INC SYMBOL: DO, CUSIP: 25271C102	☐	11/26/14	12/31/14	3,864.44	3,401.35	463.09
195.000	DYNEX CAP INC COM SYMBOL: DX, CUSIP. 26817Q506	☐	09/25/13	02/19/14	1,678.04	1,708.01	-29.97
160.000	EINSTEIN NOAH RESTAURANT GROUP INC CUSIP 28257U104	☐	11/13/13	08/12/14	2,322 80	2,535.55	-212.75
355 000	ENDURO ROYALTY TRUST SYMBOL NDRO, CUSIP. 29269K100	☑	09/27/13	05/16/14	4,090.92	4,554 02	-463.10
195.000	ERICSSON ADR CL B SEK 10 SYMBOL: ERIC, CUSIP. 294821608	☐	12/24/13	09/15/14	2,488.14	2,341 03	147.11
55.000	EXXON MOBIL CORP SYMBOL: XOM, CUSIP· 30231G102	☐	09/10/14	12/08/14	5,033.56	5,327 66	-294.10
55.000	GNC HOLDINGS INC CLASS A SHARES SYMBOL: GNC, CUSIP: 36191G107	☐	03/18/14	06/18/14	1,974.91	2,441.16	-466.25
60.000	GNC HOLDINGS INC CLASS A SHARES SYMBOL: GNC, CUSIP. 36191G107	☐	03/18/14	07/18/14	2,070.82	2,663.09	-592.26
80.000	GNC HOLDINGS INC CLASS A SHARES SYMBOL: GNC, CUSIP: 36191G107	☐	05/07/14	07/18/14	2,761.10	2,895.16	-134.06
140.000	HCP INC SYMBOL: HCP, CUSIP: 40414L109	☐	12/20/13	08/01/14	5,852.71	5,017.80	834.91
160 000	HEWLETT PACKARD CO SYMBOL: HPQ, CUSIP 428236103	☐	04/22/14	07/31/14	5,693.58	5,079.81	613.77
70 000	HOSPITALITY PROPERTIES TRUST SBI SYMBOL: HPT, CUSIP: 44106M102	☐	09/25/13	05/02/14	2,099.50	1,947.64	151 86
70.000	HOSPITALITY PROPERTIES TRUST SBI SYMBOL. HPT, CUSIP· 44106M102	☐	06/24/13	05/02/14	2,099.50	1,684 86	414.64

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
25.000	INTEL CORP SYMBOL. INTC, CUSIP: 458140100	☐	08/01/13	04/10/14	669.31	577.73	91.58
90.000	INTEL CORP SYMBOL: INTC, CUSIP: 458140100	☐	09/25/13	04/10/14	2,409.53	2,130.12	279 41
80.000	INTEL CORP SYMBOL. INTC, CUSIP: 458140100	☐	09/25/13	06/06/14	2,245.55	1,893.44	352.11
110.000	INTEL CORP SYMBOL: INTC, CUSIP: 458140100	☐	03/04/14	06/06/14	3,087.63	2,700.50	387.13
110.000	INTERNATIONAL PAPER CO SYMBOL IP, CUSIP 460146103	☐	04/07/14	07/02/14	5,488.25	4,924.28	563 97
105.000	INTERNATIONAL PAPER CO SYMBOL IP, CUSIP. 460146103	☐	08/08/14	10/15/14	4,741 87	5,011.59	-269 72
200.000	ISHARES 3 TO 7 YEAR TREASURY BOND ETF SYMBOL IEI, CUSIP 464288661	☐	11/18/14	12/10/14	24,527.47	24,476 00	51 47
55.000	KELLOGG CO SYMBOL K, CUSIP 487836108	☐	12/23/13	04/09/14	3,599 02	3,319.03	279.99
25.000	KELLOGG CO SYMBOL K, CUSIP: 487836108	☐	12/23/13	05/19/14	1,689.55	1,508.65	180 90
50.000	KELLOGG CO SYMBOL K, CUSIP 487836108	☐	02/06/14	05/19/14	3,379.10	2,842.91	536.19
95 000	KOHLS CORP SYMBOL: KSS, CUSIP: 500255104	☐	05/19/14	12/19/14	5,650.17	5,058 75	591.42
130.000	MARVELL TECHNOLOGY GROUP LTD SYMBOL MRVL, CUSIP: G5876H105	☐	06/05/14	12/03/14	1,955.62	1,957.74	-2.12
160.000	MARVELL TECHNOLOGY GROUP LTD SYMBOL MRVL, CUSIP: G5876H105	☐	12/23/13	12/03/14	2,406.92	2,138.18	268.74
175.000	MAXIM INTEGRATED PRODUCTS INC SYMBOL: MXIM, CUSIP: 57772K101	☐	12/20/13	04/02/14	5,881.52	4,920.14	961 38
85 000	MAXIM INTEGRATED PRODUCTS INC SYMBOL. MXIM, CUSIP: 57772K101	☐	10/02/14	12/03/14	2,649 87	2,513.88	135.99
65.000	MEDLEY MANAGEMENT INC CL A COM SYMBOL: MDLY, CUSIP 58503T106	☐	09/24/14	12/30/14	975.68	1,067 92	-92.24
100.000	MERCK & CO INC SYMBOL MRK, CUSIP 58933Y105	☐	10/22/13	05/08/14	5,500 05	4,651 93	848.12

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
165.000	MICROSOFT CORP SYMBOL. MSFT, CUSIP 594918104	☐	08/01/13	01/13/14	5,775.47	5,217 23	558.24
25.000	MICROSOFT CORP SYMBOL: MSFT, CUSIP 594918104	☐	08/01/13	01/31/14	927.36	790 49	136.87
115.000	MICROSOFT CORP SYMBOL: MSFT, CUSIP 594918104	☐	09/25/13	01/31/14	4,265.84	3,736.12	529.72
110.000	NEWMONT MINING CORP HOLDING CO SYMBOL: NEM, CUSIP: 651639106	☐	12/31/13	09/30/14	2,532 28	2,530.00	2.28
105.000	NEWMONT MINING CORP HOLDING CO SYMBOL NEM, CUSIP: 651639106	☐	12/31/13	10/31/14	1,964 58	2,415.00	-450.42
365.000	PENGROWTH ENERGY CORPORATION SYMBOL: PGH, CUSIP: 70706P104	☐	09/25/13	05/06/14	2,463.84	2,149.49	314.35
30 000	PFIZER INC SYMBOL PFE, CUSIP. 717081103	☐	09/09/13	01/27/14	891.28	844 20	47.08
130.000	PFIZER INC SYMBOL: PFE, CUSIP: 717081103	☐	09/25/13	01/27/14	3,862.23	3,725.54	136.69
160 000	PFIZER INC SYMBOL: PFE, CUSIP: 717081103	☐	12/26/13	09/22/14	4,828.69	4,871.55	-42.86
5.000	PFIZER INC SYMBOL. PFE, CUSIP· 717081103	☐	09/25/13	09/22/14	150.90	143 29	7.61
20 000	PFIZER INC SYMBOL PFE, CUSIP: 717081103	☐	05/19/14	09/22/14	603.59	589 98	13.60
75.000	PFIZER INC SYMBOL: PFE, CUSIP: 717081103	☐	05/19/14	09/25/14	2,260.23	2,212.43	47.80
90 000	PFIZER INC SYMBOL PFE, CUSIP: 717081103	☐	08/04/14	09/25/14	2,712.27	2,594.61	117.66
156.250	PROSHARES ULTRASHORT QQQ SYMBOL: QID, CUSIP· 74348A426	☐	11/15/13	02/06/14	9,757 16	10,431.19	-674.03
53.750	PROSHARES ULTRASHORT QQQ SYMBOL QID, CUSIP· 74348A426	☐	11/05/13	02/06/14	3,356 46	3,680.76	-324.30
185.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 9,912.24 WASH SALE LOSS DISALLOWED: 319 87 SYMBOL: QID, CUSIP 74348A426	☐	05/28/14	06/24/14	9,320.47	9,592 37	-271 89

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
60.000	PROSHARES ULTRASHORT QQQ SYMBOL· QID, CUSIP: 74348A426	☐	06/11/14	06/24/14	3,022.86	3,087 60	-64.74
100.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 5,146 00 WASH SALE REPLACEMENT ADDITION: 319 87 WASH SALE LOSS DISALLOWED: 673.95 SYMBOL· QID, CUSIP: 74348A426	☐	06/11/14	08/04/14	4,791 92	4,791.92	0.00
110 000	PROSHARES ULTRASHORT QQQ SYMBOL QID, CUSIP: 74348A426	☐	07/25/14	08/04/14	5,271 11	5,207.28	63.83
60.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 2,840 33 WASH SALE REPLACEMENT ADDITION: 404.37 WASH SALE LOSS DISALLOWED: 371.28 SYMBOL· QID, CUSIP: 74348A426	☐	07/25/14	10/13/14	2,873 43	2,873 43	0.00
40 000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 1,924.77 WASH SALE REPLACEMENT ADDITION: 269.58 WASH SALE LOSS DISALLOWED: 278.74 SYMBOL: QID, CUSIP: 74348A426	☐	07/31/14	10/13/14	1,915 62	1,915.62	0.00
110.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 5,293.12 WASH SALE LOSS DISALLOWED: 25.18 SYMBOL: QID, CUSIP: 74348A426	☐	07/31/14	10/13/14	5,267.95	5,267.95	0.00
150.000	PROSHARES ULTRASHORT QQQ SYMBOL: QID, CUSIP: 74348A426	☐	10/07/14	10/13/14	7,183.57	6,934 50	249 07
235.000	PROSHARES ULTRASHORT QQQ SYMBOL: QID, CUSIP· 74348A426	☐	09/29/14	10/13/14	11,254.25	10,429.30	824.95
45 000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 2,080 35 WASH SALE REPLACEMENT ADDITION: 278.46 WASH SALE LOSS DISALLOWED: 164.66 SYMBOL: QID, CUSIP: 74348A426	☐	10/07/14	10/14/14	2,194.15	2,194 15	0.00
15.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 679.17	☐	10/09/14	10/14/14	731.38	731.38	0.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	WASH SALE REPLACEMENT ADDITION: 92 82 WASH SALE LOSS DISALLOWED: 40.61 SYMBOL: QID, CUSIP: 74348A426						
40.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 1,811.12 WASH SALE REPLACEMENT ADDITION: 278.74 WASH SALE LOSS DISALLOWED: 139.50 SYMBOL: QID, CUSIP: 74348A426	☐	10/09/14	10/14/14	1,950.36	1,950.36	0 00
105.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 4,754.19 WASH SALE REPLACEMENT ADDITION: 24.03 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: QID, CUSIP: 74348A426	☐	10/09/14	10/14/14	5,119.68	4,778.22	341.46
45.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 2,037.51 WASH SALE REPLACEMENT ADDITION: 164.66 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL QID, CUSIP 74348A426	☐	10/09/14	10/17/14	2,223.99	2,202.17	21.82
110.000	PROSHARES ULTRASHORT QQQ SYMBOL: QID, CUSIP: 74348A426	☐	10/09/14	10/17/14	5,436.42	4,980.58	455.84
5 000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 226.39 WASH SALE LOSS DISALLOWED: 19 29 SYMBOL: QID, CUSIP: 74348A426	☐	10/09/14	12/17/14	208.25	208.25	0.00
140.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 6,338 92 WASH SALE LOSS DISALLOWED: 508.04 SYMBOL QID, CUSIP. 74348A426	☐	10/09/14	12/17/14	5,830.88	5,830.88	0.00
40.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 1,780.40 WASH SALE REPLACEMENT ADDITION: 139.50 WASH SALE LOSS DISALLOWED: 253.94 SYMBOL: QID, CUSIP: 74348A426	☐	10/23/14	12/17/14	1,665.97	1,665.97	0.00
75.000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 3,338.25 WASH SALE LOSS DISALLOWED: 214 56 SYMBOL. QID, CUSIP: 74348A426	☐	10/23/14	12/17/14	3,123.69	3,123.69	0.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
15 000	PROSHARES ULTRASHORT QQQ ORIGINAL COST 667.65 WASH SALE REPLACEMENT ADDITION: 40.61 WASH SALE LOSS DISALLOWED: 83.52 SYMBOL. QID, CUSIP: 74348A426	☐	10/23/14	12/17/14	624.74	624.74	0.00
55.000	PROSHARES ULTRASHORT QQQ SYMBOL: QID, CUSIP· 74348A426	☐	12/12/14	12/17/14	2,290.70	2,193.37	97.33
905.000	PROSHARES SHORT S&P500 ETF SYMBOL· SH, CUSIP: 74347R503	☐	10/14/13	04/14/14	22,811.65	25,113.75	-2,302.10
670 000	PROSHARES SHORT S&P500 ETF SYMBOL. SH, CUSIP. 74347R503	☐	10/30/13	04/14/14	16,888.18	17,801.90	-913.72
680.000	PROSHARES SHORT S&P500 ETF SYMBOL· SH, CUSIP: 74347R503	☐	12/03/13	05/12/14	16,509.96	17,734.40	-1,224.44
315 000	PROSHARES SHORT S&P500 ETF SYMBOL: SH, CUSIP 74347R503	☐	10/30/13	05/12/14	7,648.00	8,369.55	-721 55
850 000	PROSHARES SHORT S&P500 ETF SYMBOL SH, CUSIP. 74347R503	☐	08/22/14	12/11/14	18,657.25	19,478.51	-821 26
660 000	PROSHARES TR ULTRASHORT QQQ CUSIP: 74347X237	☐	11/05/13	01/15/14	9,770.00	11,299.07	-1,529 07
695.000	PROSHARES TR ULTRASHORT RUSSELL2000 CUSIP: 74348A202	☐	11/20/13	01/07/14	8,389.20	9,391 47	-1,002.27
50.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,570.00 WASH SALE LOSS DISALLOWED: 0.39 SYMBOL SDS, CUSIP: 74347B300	☐	01/24/14	01/30/14	1,569.61	1,569.61	0 00
420 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL. SDS, CUSIP. 74347B300	☐	01/17/14	01/30/14	13,184.70	12,587 40	597 30
135.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500	☐	01/29/14	02/06/14	4,317.22	4,280.85	36.37

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
	NEW SYMBOL: SDS, CUSIP 74347B300						
345.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP· 74347B300	☐	01/24/14	02/06/14	11,032.91	10,833.00	199 91
50 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,585 50 WASH SALE REPLACEMENT ADDITION: 0.39 WASH SALE LOSS DISALLOWED: 294.42 SYMBOL: SDS, CUSIP. 74347B300	☐	01/29/14	06/06/14	1,291.47	1,291.47	0 00
260 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 8,244 60 WASH SALE LOSS DISALLOWED: 1,528.95 SYMBOL· SDS, CUSIP: 74347B300	☐	01/29/14	06/06/14	6,715.65	6,715.65	0.00
45.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,421.41 WASH SALE LOSS DISALLOWED: 259 10 SYMBOL SDS, CUSIP· 74347B300	☐	01/31/14	06/06/14	1,162 32	1,162.32	0.00
420.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 13,266.58 WASH SALE LOSS DISALLOWED: 2,892.82 SYMBOL. SDS, CUSIP 74347B300	☐	01/31/14	07/22/14	10,373 77	10,373.77	0.00
135 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 4,028.40 WASH SALE LOSS DISALLOWED: 693.98 SYMBOL SDS, CUSIP· 74347B300	☐	02/14/14	07/22/14	3,334 42	3,334.42	0.00
355.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL· SDS, CUSIP. 74347B300	☐	02/14/14	09/16/14	8,534 01	10,593.20	-2,059.19
360.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	03/13/14	09/24/14	8,697 40	10,526.40	-1,829.00

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
75.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL. SDS, CUSIP: 74347B300	☐	02/14/14	09/24/14	1,811 96	2,238 00	-426.04
585.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	04/25/14	10/02/14	14,724.12	16,654.95	-1,930.83
70 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,778.23 WASH SALE REPLACEMENT ADDITION: 411.64 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL. SDS, CUSIP 74347B300	☐	06/30/14	10/02/14	1,761 86	2,189.87	-428.01
20 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	03/13/14	10/02/14	503.39	584.80	-81.41
420.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 10,669.38 WASH SALE REPLACEMENT ADDITION: 2,892.82 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	☐	06/30/14	10/08/14	10,365 37	13,562.20	-3,196.83
190.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL. SDS, CUSIP: 74347B300	☐	06/30/14	10/08/14	4,689.10	5,943.94	-1,254 84
135 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 3,429.44 WASH SALE REPLACEMENT ADDITION: 693.98 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL· SDS, CUSIP: 74347B300	☐	06/30/14	10/08/14	3,331 73	4,123 42	-791.70
50.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,270.16 WASH SALE REPLACEMENT ADDITION: 294 42 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	☐	06/30/14	10/08/14	1,233.97	1,564 59	-330 61

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QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
45.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW ORIGINAL COST 1,143.14 WASH SALE REPLACEMENT ADDITION: 259.10 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: SDS, CUSIP: 74347B300	☐	06/30/14	10/08/14	1,110.58	1,402 24	-291 67
125 000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	06/30/14	10/08/14	3,084.93	3,175.41	-90 48
450.000	PROSHARES TR PROSHARES ULTRASHORT S&P 500 NEW SYMBOL: SDS, CUSIP: 74347B300	☐	11/28/14	12/05/14	9,814 28	9,954.00	-139.72
35 000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	06/24/13	01/10/14	2,651 90	2,656 44	-4 54
15.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	09/25/13	01/10/14	1,136 53	1,120.43	16.10
40.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	05/28/13	01/10/14	3,030 75	2,702.94	327.81
55.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	12/06/13	05/28/14	3,303.23	4,335.62	-1,032.39
55.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	09/25/13	05/28/14	3,303.23	4,108.26	-805.03
50 000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	12/06/13	10/15/14	2,478.14	3,941 47	-1,463.33
50.000	PROSHARES TR PROSHARES ULTRASHORT TR TREAS SYMBOL: TBT, CUSIP: 74347B201	☐	02/12/14	10/15/14	2,478.14	3,620.50	-1,142.36
0.250	PROSHARES TRUST ULTRASHORT RUSSELL2000 SYMBOL: TWM, CUSIP: 74348A319	☐	11/20/13	01/27/14	12 74	13.51	-0.77
195.000	PROSHARES TRUST ULTRASHORT RUSSELL2000 SYMBOL: TWM, CUSIP: 74348A319	☐	12/05/13	01/30/14	9,672.20	10,163.01	-490 81

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
11.000	PROSHARES TRUST ULTRASHORT RUSSELL2000 SYMBOL: TWM, CUSIP: 74348A319	☐	11/20/13	01/30/14	545 61	594.57	-48 96
220.000	PROSHARES TRUST ULTRASHORT RUSSELL2000 SYMBOL TWM, CUSIP: 74348A319	☐	04/04/14	04/08/14	10,498.84	10,298.20	200 64
110.000	PROSHARES TRUST ULTRASHORT RUSSELL2000 SYMBOL. TWM, CUSIP: 74348A319	☐	06/20/14	07/01/14	4,574.79	4,808.97	-234 18
120.000	PROSHARES TRUST ULTRASHORT RUSSELL2000 SYMBOL TWM, CUSIP 74348A319	☐	06/20/14	09/24/14	5,642 27	5,246.15	396.12
40.000	ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG B SHS SYMBOL: RDS B, CUSIP: 780259107	☐	09/25/13	01/13/14	2,998.18	2,747 60	250 58
30 000	ROYAL DUTCH SHELL PLC SPONSORED ADR REPSTG B SHS SYMBOL: RDS B, CUSIP 780259107	☐	04/09/13	01/13/14	2,248.64	1,983.89	264 75
85 000	SAFEWAY INC CUSIP: 786514208	☐	09/25/13	03/06/14	3,361 69	2,729.14	632.55
70.000	SAFEWAY INC CUSIP: 786514208	☐	06/24/13	03/06/14	2,768 45	1,591.48	1,176.97
150.000	SELECT SECTOR SPDR FUND SHS BEN CONSUMER DISCRETIONARY SYMBOL XLY, CUSIP: 81369Y407	☐	10/02/14	11/04/14	10,048.47	9,899.84	148.63
160.000	SELECT SECTOR SPDR FUND SHS BEN CONSUMER DISCRETIONARY SYMBOL: XLY, CUSIP: 81369Y407	☐	10/16/14	11/04/14	10,718.37	10,180 80	537 57
370 000	SELECT SECTOR SPDR TRUST THE INDUSTRIAL SELECT SECTOR SPDR FUND SYMBOL XLI, CUSIP: 81369Y704	☐	06/25/14	08/01/14	19,104 67	20,053.93	-949 26
445.000	SELECT SECTOR SPDR TRUST THE TECHNOLOGY SELECT SECTOR SPDR FUND SYMBOL: XLK, CUSIP: 81369Y803	☐	01/28/14	02/13/14	15,966.32	15,379 20	587 12
280 000	SELECT SECTOR SPDR TRUST THE TECHNOLOGY SELECT SECTOR SPDR FUND SYMBOL: XLK, CUSIP: 81369Y803	☐	01/28/14	07/07/14	10,902.95	9,676.80	1,226.15

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
235 000	SELECT SECTOR SPDR TRUST SHS BEN INT ENERGY SYMBOL: XLE, CUSIP: 81369Y506	☐	01/30/14	02/03/14	19,363 66	19,865 99	-502.33
120.000	SELECT SECTOR SPDR TRUST SHS BEN INT ENERGY SYMBOL: XLE, CUSIP· 81369Y506	☐	01/30/14	02/27/14	10,413 41	10,144.33	269.08
105 000	SELECT SECTOR SPDR TRUST SHS BEN INT ENERGY SYMBOL: XLE, CUSIP: 81369Y506	☐	09/24/14	10/09/14	8,958 74	9,702.98	-744 24
115 000	SOUTHERN CO SYMBOL: SO, CUSIP: 842587107	☐	06/05/14	09/15/14	4,973.56	5,081.94	-108.38
60.000	SPDR DOW JONES INDL AVERAGE ETF TR UNIT SER 1 ORIGINAL COST 10,604 97 WASH SALE LOSS DISALLOWED: 83.90 SYMBOL: DIA, CUSIP: 78467X109	☐	11/18/14	12/10/14	10,521.08	10,521.08	0.00
65.000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF SYMBOL: DWX, CUSIP: 78463X772	☐	02/27/13	01/24/14	2,964 78	3,122.87	-158.09
40.000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF SYMBOL: DWX, CUSIP: 78463X772	☐	05/28/13	01/24/14	1,824 48	1,953.08	-128 60
5 000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF SYMBOL: DWX, CUSIP: 78463X772	☐	09/25/13	01/24/14	228.06	234 60	-6.54
30.000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF SYMBOL: DWX, CUSIP: 78463X772	☐	08/29/13	01/24/14	1,368.36	1,328.70	39 66
175 000	SPDR SER TR S&P RETAIL ETF SYMBOL: XRT, CUSIP· 78464A714	☐	10/16/14	11/04/14	15,348.40	14,587.42	760 98
245.000	STAPLES INC SYMBOL: SPLS, CUSIP· 855030102	☐	10/02/14	12/04/14	3,509.03	2,939.39	569.64
90.000	TARGET CORP SYMBOL: TGT, CUSIP: 87612E106	☐	02/24/14	10/09/14	5,589 04	5,061.48	527.56
65.000	TELEFONICA BRASIL SA SPONSORED ADR SYMBOL: VIV, CUSIP: 87936R106	☐	09/25/13	07/31/14	1,313 94	1,479.27	-165.33

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Schedule of Realized Gains and Losses (con't)

Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
145.000	TELEFONICA SA SPONSORED ADR SYMBOL: TEF, CUSIP: 879382208	☐	09/25/13	02/03/14	2,171.10	2,205 44	-34.34
25.000	TELEFONICA SA SPONSORED ADR SYMBOL TEF, CUSIP: 879382208	☐	06/27/13	02/03/14	374.33	323.19	51 14
30.000	TRANSOCEAN LTD US LISTED SYMBOL: RIG, CUSIP· H8817H100	☐	03/05/13	01/03/14	1,461.10	1,583 68	-122.58
30.000	TRANSOCEAN LTD US LISTED SYMBOL: RIG, CUSIP: H8817H100	☐	06/13/13	01/03/14	1,461.10	1,449.50	11 60
10.000	TRANSOCEAN LTD US LISTED SYMBOL. RIG, CUSIP: H8817H100	☐	08/28/13	03/13/14	399 69	459.00	-59 31
5.000	TRANSOCEAN LTD US LISTED SYMBOL. RIG, CUSIP H8817H100	☐	09/25/13	03/13/14	199 85	226.64	-26.79
270 000	TWO HARBORS INVESTMENT CORP SYMBOL: TWO, CUSIP· 90187B101	☐	04/18/13	02/21/14	2,705.35	3,015.11	-309.76
200.000	TWO HARBORS INVESTMENT CORP SYMBOL. TWO, CUSIP· 90187B101	☐	07/02/13	02/21/14	2,003.96	2,022.92	-18.96
100.000	TWO HARBORS INVESTMENT CORP SYMBOL: TWO, CUSIP: 90187B101	☐	09/25/13	02/21/14	1,001.98	953.20	48.78
365.000	TWO HARBORS INVESTMENT CORP SYMBOL: TWO, CUSIP: 90187B101	☐	09/11/13	02/21/14	3,657.23	3,449.17	208.07
2.000	VERITIV CORPORATION COM SYMBOL: VRTV, CUSIP· 923454102	☐	04/07/14	07/07/14	67 70	67.22	0.48
0.103	VERITIV CORPORATION COM SYMBOL: VRTV, CUSIP: 923454102	☐	04/07/14	07/08/14	3.55	3.46	0.09
80.000	VERIZON COMMUNICATIONS SYMBOL VZ, CUSIP: 92343V104	☐	03/17/14	09/25/14	3,990.39	3,711.48	278.91
30.000	VODAFONE GROUP PLC SPONSORED ADR CUSIP· 92857W209	☐	09/25/13	01/13/14	1,138.92	1,039 20	99 72
35.000	VODAFONE GROUP PLC SPONSORED ADR CUSIP· 92857W209	☐	06/27/13	01/13/14	1,328 74	994 35	334 39

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Short-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
50.000	VODAFONE GROUP PLC SPONSORED ADR CUSIP: 92857W209	☐	06/18/13	01/13/14	1,898 20	1,439 50	458.70
65.000	WAL-MART STORES INC SYMBOL: WMT, CUSIP 931142103	☐	06/20/14	10/09/14	5,078.56	4,886.91	191.65
70.000	WAL-MART STORES INC SYMBOL: WMT, CUSIP: 931142103	☐	02/06/14	10/09/14	5,469 21	5,083.37	385 84
	Short-Term Subtotal				**849,603.98**		**-5,287.20**

Long-Term

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
170.000	ALPS ETF TR ALERIAN MLP SYMBOL AMLP, CUSIP: 00162Q866	☐	09/25/13	10/10/14	3,058.23	2,873.48	184.75
260 000	ALPS ETF TR ALERIAN MLP SYMBOL: AMLP, CUSIP: 00162Q866	☐	09/18/13	10/10/14	4,677.29	4,348.48	328.81
275.000	AMERICAN REALTY CAPITAL PROPERTIES INC ORIGINAL COST 3,158.65 WASH SALE LOSS DISALLOWED: 499 06 SYMBOL: ARCP, CUSIP: 02917T104	☐	09/25/13	11/28/14	2,586 81	2,659.59	-72.78
240.000	AMERICAN REALTY CAPITAL PROPERTIES INC ORIGINAL COST 2,071.88 WASH SALE REPLACEMENT ADDITION: 499.06 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: ARCP, CUSIP. 02917T104	☐	10/29/14	12/24/14	1,942 80	2,570.94	-628.14
125.000	AMERICAN REALTY CAPITAL PROPERTIES INC SYMBOL: ARCP, CUSIP 02917T104	☐	09/25/13	12/24/14	1,011.88	1,425.98	-414.10
145 000	APOLLO INVESTMENT CORPORATION COMMON STOCK SYMBOL: AINV, CUSIP: 03761U106	☐	08/22/12	02/19/14	1,304.99	1,156 96	148.03
775 000	APOLLO INVESTMENT CORPORATION COMMON STOCK SYMBOL. AINV, CUSIP: 03761U106	☐	01/12/12	02/19/14	6,974.95	5,462.98	1,511 97
90 000	AT&T INC SYMBOL. T, CUSIP: 00206R102	☐	01/17/13	05/06/14	3,203.93	3,000.59	203.34
40.000	AT&T INC SYMBOL. T, CUSIP 00206R102	☐	09/25/13	10/15/14	1,346.37	1,364.32	-17 95

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Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
255.000	BLACKROCK CAPITAL INVESTMENT CORPORATION SYMBOL: BKCC, CUSIP: 092533108	☐	09/25/12	12/18/14	2,168.32	2,357.53	-189 21
30.000	CENTURYLINK INC SYMBOL: CTL, CUSIP: 156700106	☐	08/22/12	01/21/14	888.38	1,245.60	-357 22
35 000	CENTURYLINK INC ORIGINAL COST 1,131 45 WASH SALE REPLACEMENT ADDITION 142 68 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL: CTL, CUSIP: 156700106	☐	09/18/13	01/21/14	1,036.44	1,274.13	-237 69
45.000	CENTURYLINK INC ORIGINAL COST 1,492.87 WASH SALE REPLACEMENT ADDITION: 61.62 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL CTL, CUSIP: 156700106	☐	02/14/13	01/21/14	1,332.56	1,554 50	-221.94
5.000	CENTURYLINK INC SYMBOL: CTL, CUSIP: 156700106	☐	01/12/12	01/21/14	148.06	183.39	-35.33
40.000	CENTURYLINK INC SYMBOL CTL, CUSIP: 156700106	☐	09/18/13	07/29/14	1,645 21	1,456.15	189.06
90.000	CISCO SYSTEMS INC SYMBOL: CSCO, CUSIP: 17275R102	☐	05/21/12	05/06/14	2,041 00	1,496.68	544.32
300 000	DYNEX CAP INC COM SYMBOL DX, CUSIP 26817Q506	☐	01/12/12	02/19/14	2,581 61	2,763.00	-181.39
75.000	DYNEX CAP INC COM SYMBOL. DX, CUSIP: 26817Q506	☐	08/22/12	02/19/14	645.40	772.50	-127.10
220 000	FRANKLIN STREET PROPERTIES CORP SYMBOL. FSP, CUSIP: 35471R106	☐	05/14/13	10/15/14	2,620 91	3,015.54	-394.63
170.000	FRANKLIN STREET PROPERTIES CORP SYMBOL. FSP, CUSIP: 35471R106	☐	09/25/13	10/15/14	2,025.25	2,131 01	-105.76
40.000	HOSPITALITY PROPERTIES TRUST SBI SYMBOL HPT, CUSIP 44106M102	☐	03/19/13	05/02/14	1,199.71	1,031.50	168 21
455.000	ISHARES MORTGAGE REAL ESTATE CAPPED ETF SYMBOL REM, CUSIP 464288539	☐	11/14/13	12/23/14	5,640.87	5,329.25	311.62
60.000	JPMORGAN CHASE & CO SYMBOL. JPM, CUSIP 46625H100	☐	06/04/12	09/22/14	3,673.20	1,884.33	1,788.87

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Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
40.000	MARVELL TECHNOLOGY GROUP LTD SYMBOL. MRVL, CUSIP: G5876H105	☐	09/06/13	10/10/14	489.93	481 95	7.97
85.000	MARVELL TECHNOLOGY GROUP LTD SYMBOL: MRVL, CUSIP: G5876H105	☐	09/25/13	10/10/14	1,041 09	1,018.13	22.96
85.000	MARVELL TECHNOLOGY GROUP LTD SYMBOL: MRVL, CUSIP· G5876H105	☐	09/25/13	12/03/14	1,278.68	1,018.13	260.55
175 000	PENGROWTH ENERGY CORPORATION SYMBOL PGH, CUSIP: 70706P104	☐	03/27/13	05/06/14	1,181 29	897 37	283.92
300.000	PENGROWTH ENERGY CORPORATION SYMBOL. PGH, CUSIP: 70706P104	☐	03/08/13	05/06/14	2,025 08	1,515.00	510.08
180.000	PROSPECT CAPITAL CORPORATION SYMBOL PSEC, CUSIP: 74348T102	☐	08/07/12	12/04/14	1,625.36	1,972.78	-347 42
60.000	PROSPECT CAPITAL CORPORATION SYMBOL: PSEC, CUSIP: 74348T102	☐	11/12/12	12/04/14	541.79	632 28	-90.49
30.000	PROSPECT CAPITAL CORPORATION SYMBOL: PSEC, CUSIP: 74348T102	☐	08/22/12	12/04/14	270.89	349.80	-78.91
70.000	SPDR INDEX SHARES FUNDS SPDR S&P INTERNATIONAL DIVIDEND ETF ORIGINAL COST 3,284.39 WASH SALE LOSS DISALLOWED: 116.13 SYMBOL: DWX, CUSIP: 78463X772	☐	09/25/13	10/07/14	3,168.26	3,168 26	0.00
80.000	TELEFONICA BRASIL SA SPONSORED ADR SYMBOL: VIV, CUSIP: 87936R106	☐	12/26/12	07/31/14	1,617.15	1,909 84	-292.69
65.000	TELEFONICA BRASIL SA SPONSORED ADR SYMBOL: VIV, CUSIP 87936R106	☐	06/25/13	07/31/14	1,313.94	1,422.79	-108.85
90 000	TICC CAPITAL CORP ORIGINAL COST 934.16 WASH SALE LOSS DISALLOWED: 6 81 SYMBOL· TICC, CUSIP: 87244T109	☐	02/12/13	02/19/14	927 35	927.35	0 00
75.000	TICC CAPITAL CORP SYMBOL: TICC, CUSIP: 87244T109	☐	08/22/12	02/19/14	772.79	752.25	20.54
485 000	TICC CAPITAL CORP SYMBOL· TICC, CUSIP: 87244T109	☐	08/15/12	02/19/14	4,997 40	4,694 85	302 56

CORRECTED COPY: April 1, 2015

Schedule of Realized Gains and Losses (con't)

Long-Term (con't)

QUANTITY	DESCRIPTION	NON-COVERED	OPEN DATE	CLOSE DATE	NET PROCEEDS	NET COST	REALIZED GAIN/LOSS
30.000	TRANSOCEAN LTD US LISTED ORIGINAL COST 1,377.00 WASH SALE REPLACEMENT ADDITION: 249.57 WASH SALE LOSS DISALLOWED: 0.00 SYMBOL RIG, CUSIP: H8817H100	☐	08/28/13	03/13/14	1,199.07	1,626.57	-427.49
60.000	TRANSOCEAN LTD US LISTED SYMBOL: RIG, CUSIP: H8817H100	☐	09/25/13	12/04/14	1,137.69	2,674.68	-1,536.99
20.000	TWO HARBORS INVESTMENT CORP SYMBOL: TWO, CUSIP: 90187B101	☐	08/22/12	02/21/14	200.40	208.56	-8.16
230.000	TWO HARBORS INVESTMENT CORP SYMBOL TWO, CUSIP: 90187B101	☐	01/12/12	02/21/14	2,304.56	1,917.56	387.00
540.000	TWO HARBORS INVESTMENT CORP SYMBOL: TWO, CUSIP: 90187B101	☐	09/25/13	12/24/14	5,551.99	5,147.27	404.72
	Long-Term Subtotal				**85,398.88**		**1,705.04**
Total Gains and Losses					**935,002.86**		**-3,582.16**
	Short-Term						**-5,287.20**
	Long-Term						**1,705.04**
	Term Unknown						**0.00**

THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

CORRECTED COPY: March 17, 2015

1099-DIV (con't) RBC Capital Markets, LLC - Dividends

Schedule
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BOX 2a – Total capital gain distributions

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
SECURITY ID & DESCRIPTION					
00162Q783 ALPS ETF TR RIVERFRONT STRATEGIC INCOME FD					
01/02/15	# C	$6.12			
			TOTAL		**$6.12**

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THE RICE FAMILY FOUNDATION
ATTN LISA WILSON
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

ACCOUNT NUMBER:
: '231

CORRECTED COPY: March 17, 2015

1099-DIV (con't) RBC Capital Markets, LLC - Dividends

BOX 2a – Total capital gain distributions (con't)

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
128117108 CALAMOS CONVERTIBLE OPPORTUNITIES AND INCOME FUND					
09/15/14	C M	$403.75	10/15/14	C M	$403.75
			TOTAL		$807.50
19248X307 COHEN & STEERS PFD SECS & INCOME FD INC CL I					
11/28/14	C M	$427.72	12/11/14	C M	$823.42
12/11/14	C	$117.63			
			TOTAL		$1,368.77
543487284 LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A					
12/17/14	C M	$2,416.46			
			TOTAL		$2,416.46
543487284 LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A					
12/17/14	M X	$3.20			
			TOTAL		$3.20
72201R783 PIMCO 0-5 YEAR HIGH YIELD CORPORATE BOND INDEX EXCHANGE TRADED FUND					
12/16/14	C	$469.25			
			TOTAL		$469.25

Box 2a Total Amount $5,071.30

THE RICE FAMILY FOUNDATION
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ACCOUNT NUMBER:
'234

CORRECTED COPY: March 17, 2015

1099-DIV (con't) RBC Capital Markets, LLC - Dividends

Schedule
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BOX 2a – Total capital gain distributions

SECURITY ID & DESCRIPTION

DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
42217K106 HEALTH CARE REIT INC					
05/20/14	C M	$65.59			
			TOTAL		**$65.59**
42217K106 HEALTH CARE REIT INC					
05/20/14	M X	$157.28			

REVISED AMOUNTS ARE HIGHLIGHTED FOR YOUR REFERENCE

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THE RICE FAMILY FOUNDATION
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SAN DIEGO CA 92117-3646

CORRECTED COPY: March 17, 2015

1099-DIV (con't) RBC Capital Markets, LLC - Dividends

BOX 2a – Total capital gain distributions (con't)

SECURITY ID & DESCRIPTION					
DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
42217K106	HEALTH CARE REIT INC				
			TOTAL		**$157.28**
49446R109	KIMCO REALTY CORPORATION				
01/15/14	C M	$241.36	07/15/14	C M	$241.36
04/15/14	C M	$241.36	10/15/14	C M	$241.36
			TOTAL		**$965.44**
49446R109	KIMCO REALTY CORPORATION				
01/15/14	M X	$135.91	07/15/14	M X	$135.91
04/15/14	M X	$135.91	10/15/14	M X	$135.91
			TOTAL		**$543.64**
63110R105	NASDAQ PREM INCOME & GROWTH FD INC				
07/01/14	C M	$443.12*			
			TOTAL		**$443.12**
79471L602	SALIENT MLP & ENERGY INFRASTRUCTURE FUND II CL I				
10/31/14	C M	$87.25			
			TOTAL		**$87.25**
92276F100	VENTAS INC				
12/31/14	C M	$73.48			
			TOTAL		**$73.48**
92276F100	VENTAS INC				
12/31/14	M X	$38.64			
			TOTAL		**$38.64**
92828R297	VIRTUS DYNAMIC ALPHASECTOR FD CL I				
11/25/14	C	$26,437.13			
			TOTAL		**$26,437.13**

THE RICE FAMILY FOUNDATION
4471 JUTLAND DRIVE
SAN DIEGO CA 92117-3646

CORRECTED COPY: April 1, 2015

1099-DIV (con't) RBC Capital Markets, LLC - Dividends

Schedule
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BOX 2a – Total capital gain distributions

SECURITY ID & DESCRIPTION					
DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
40414L109 HCP INC					
02/25/14	C M	$2.01	05/27/14	C M	$2.01
			TOTAL		**$4.02**
40414L109 HCP INC					
02/25/14	M X	$1.09	05/27/14	M X	$1.09
			TOTAL		**$2.18**
58503F106 MEDLEY CAPITAL CORPORATION					
09/12/14	C M	$16.52			
			TOTAL		**$16.52**
90187B101 TWO HARBORS INVESTMENT CORP					
04/21/14	C M	$20.71	10/21/14	C M	$20.71
07/22/14	C M	$20.71	01/20/15	# C M	$9.53
			TOTAL		**$71.66**
966084204 WHITESTONE REIT COMMON SHARE					
01/13/14	C M	$5.98	05/12/14	C M	$5.98
02/10/14	C M	$5.98	06/09/14	C M	$5.98
03/10/14	C M	$5.98	07/09/14	C M	$5.98
04/09/14	C M	$5.98	08/08/14	C M	$5.98

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THE RICE FAMILY FOUNDATION
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CORRECTED COPY: April 1, 2015

1099-DIV (con't) **RBC Capital Markets, LLC - Dividends**

BOX 2a – Total capital gain distributions (con't)

SECURITY ID & DESCRIPTION					
DATE	NOTES	AMOUNT	DATE	NOTES	AMOUNT
966084204	WHITESTONE REIT COMMON SHARE				
09/09/14	C M	$5.98	11/11/14	C M	$5.98
10/09/14	C M	$5.98	12/09/14	C M	$5.98
			TOTAL		**$71.76**
966084204	WHITESTONE REIT COMMON SHARE				
01/13/14	M X	$6.63	07/09/14	M X	$6.63
02/10/14	M X	$6.63	08/08/14	M X	$6.63
03/10/14	M X	$6.63	09/09/14	M X	$6.63
04/09/14	M X	$6.63	10/09/14	M X	$6.63
05/12/14	M X	$6.63	11/11/14	M X	$6.63
06/09/14	M X	$6.63	12/09/14	M X	$6.63
			TOTAL		**$79.56**
				Box 2a Total Amount	**$245.70**