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Form

990-PF

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

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

OMB No 1545-0052

2014

Open to Public Inspection

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

Name of foundation The Kors Le Pere Foundation		A Employer identification number 45-4035400	
% THE ROCKEFELLER TRUST CO (DE		B Telephone number (see instructions) (302) 498-6000	
Number and street (or P O box number if mail is not delivered to street address) RTC DE 1201 N MARKET ST Ste 1401		C If exemption application is pending, check here	
Room/suite		D 1. Foreign organizations, check here	
City or town, state or province, country, and ZIP or foreign postal code WILMINGTON, DE 19801		2. Foreign organizations meeting the 85% test, check here and attach computation	
G Check all that apply		E If private foundation status was terminated under section 507(b)(1)(A), check here	
☐ Initial return		F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here	
☐ Initial return of a former public charity			
☐ Final return			
☐ Amended return			
☐ Address change			
☐ Name change			
H Check type of organization			
☒ Section 501(c)(3) exempt private foundation			
☐ Section 4947(a)(1) nonexempt charitable trust			
☐ Other taxable private foundation			
I Fair market value of all assets at end of year (from Part II, col. (c), line 16)			
J Accounting method			
Cash			
Accrual			
Other (specify)			
(Part I, column (d) must be on cash basis.)			

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc , received (attach schedule)	0			
	2 Check if the foundation is not required to attach Sch B				
	3 Interest on savings and temporary cash investments	461	461		
	4 Dividends and interest from securities.	417,545	417,545		
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10	1,499,328			
	b Gross sales price for all assets on line 6a				
	12,106,980				
	7 Capital gain net income (from Part IV, line 2)		1,499,328		
	8 Net short-term capital gain				
	9 Income modifications				
Operating and Administrative Expenses	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)	91,318	85,450		
	12 Total. Add lines 1 through 11	2,008,652	2,002,784		
	13 Compensation of officers, directors, trustees, etc	0			
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)				
	c Other professional fees (attach schedule)	109,839	84,839		25,000
	17 Interest				
	18 Taxes (attach schedule) (see instructions)	25,266	266		
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)	266	44		222
	24 Total operating and administrative expenses.				
	Add lines 13 through 23	135,371	85,149		25,222
	25 Contributions, gifts, grants paid	1,624,500			1,624,500
	26 Total expenses and disbursements. Add lines 24 and 25	1,759,871	85,149		1,649,722
	27 Subtract line 26 from line 12				
	a Excess of revenue over expenses and disbursements	248,781			
	b Net investment income (if negative, enter -0-)		1,917,635		
	c Adjusted net income (if negative, enter -0-)				

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing			
	2	Savings and temporary cash investments	163,698	593,166	593,166
	3	Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	4	Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶ _____ Less allowance for doubtful accounts ▶ _____			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U S and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)	12,141	12,141	7,134,500
	c	Investments—corporate bonds (attach schedule).	17,495,305	16,736,123	16,628,115
	11	Investments—land, buildings, and equipment basis ▶ _____ Less accumulated depreciation (attach schedule) ▶ _____			
	12	Investments—mortgage loans			
	13	Investments—other (attach schedule)	1,623,982	2,203,441	2,277,812
	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)	19,295,126	19,544,871	26,633,593	
Liabilities	17	Accounts payable and accrued expenses			
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶ _____)			
	23	Total liabilities (add lines 17 through 22)		0	
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	19,295,126	19,544,871	
	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)	19,295,126	19,544,871	
31	Total liabilities and net assets/fund balances (see instructions) . . .	19,295,126	19,544,871		

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 19,295,126
2	Enter amount from Part I, line 27a	2 248,781
3	Other increases not included in line 2 (itemize) ▶	3 964
4	Add lines 1, 2, and 3	4 19,544,871
5	Decreases not included in line 2 (itemize) ▶ _____	5
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30 .	6 19,544,871

Part IV

Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1 a	SHORT TERM COVERED (SEE ATTACHED)	P		
b	LONG TERM COVERED (SEE ATTACHED)	P		
c	LONG TERM NONCOVERED (SEE ATTACHED)	P		
d	GOLDMAN SACHS REGULATED FUTURES CONTRACTS (SHORT TERM)	P		
e	GOLDMAN SACHS REGULATED FUTURES CONTRACTS (LONG TERM)	P		

(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 641,622		687,402	-45,570
b 3,930,438		3,820,703	109,978
c 7,265,050		6,100,000	1,165,050
d 82,104			82,104
e 123,155			123,155

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(I) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			-45,780
b			109,735
c			1,165,050
d			82,104
e			123,155

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	1,499,328
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8	}	3	

Part V

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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2013	1,361,428	26,845,999	0 050713
2012	843,697	20,487,811	0 04118
2011	0	19,701,128	0 0
2010			
2009			

2	Total of line 1, column (d).	2	0 091893
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 022973
4	Enter the net value of noncharitable-use assets for 2014 from Part X, line 5.	4	28,091,372
5	Multiply line 4 by line 3.	5	645,343
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	19,176
7	Add lines 5 and 6.	7	664,519
8	Enter qualifying distributions from Part XII, line 4.	8	1,649,722

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See
the Part VI instructions

Part VI

Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)

1a		Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1			
b		Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b		1	19,176
c		All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)			
2		Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	
3		Add lines 1 and 2.		3	19,176
4		Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	
5		Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	19,176
6		Credits/Payments			
a		2014 estimated tax payments and 2013 overpayment credited to 2014	6a	44,038	
b		Exempt foreign organizations—tax withheld at source	6b		
c		Tax paid with application for extension of time to file (Form 8868)	6c		
d		Backup withholding erroneously withheld	6d		
7		Total credits and payments. Add lines 6a through 6d.		7	44,038
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	24,862
11		Enter the amount of line 10 to be Credited to 2015 estimated tax ☒ 24,862 Refunded ☐		11	

Part VII-A

Statements Regarding Activities

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

Part VII-A

Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	
Website address N/A				
14	The books are in care of THE ROCKEFELLER TRUST CO (DE) Telephone no (302) 498-6000 Located at 1201 N MARKET STREET SUITE 1401 WILMINGTON DE ZIP+4 19801			
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		
16	At any time during calendar year 2014, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	Yes	No
See instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR) If "Yes", enter the name of the foreign country				

Part VII-B

Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person?		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)? Organizations relying on a current notice regarding disaster assistance check here.	1b		
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2014?	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2014, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2014? If "Yes," list the years 20 , 20 , 20 , 20		Yes	No
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions)	2b		No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20 , 20 , 20 , 20			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year?		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.)	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2014?	4b		No

Part VII-B

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?	☐ Yes ☒ No		
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive?	☐ Yes ☒ No		
	(3) Provide a grant to an individual for travel, study, or other similar purposes?	☐ Yes ☒ No		
	(4) Provide a grant to an organization other than a charitable, etc , organization described in section 4945(d)(4)(A)? (see instructions).	☐ Yes ☒ No		
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?	☐ Yes ☒ No		
b	If any answer is "Yes" to 5a(1)–(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)?	5b		
	Organizations relying on a current notice regarding disaster assistance check here.	☐		
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?	☐ Yes ☐ No		
	If "Yes," attach the statement required by Regulations section 53.4945–5(d).			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	☐ Yes ☒ No		
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		No
	If "Yes" to 6b, file Form 8870.			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?	☐ Yes ☒ No		
b	If yes, did the foundation receive any proceeds or have any net income attributable to the transaction?	7b		

Part VIII

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

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).				
(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Michael Kors	President	0	0	0
c/o Tamar IoffeRockefeller Co New York, NY 10020	1 0			
Lance Le Pere	Secretary and	0	0	0
c/o Tamar Ioffe Rockefeller Co New York, NY 10020	Treasurer 1 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
Total number of other employees paid over \$50,000.				

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
Goldman Sachs & Co 200 West Street NEW YORK, NY 10282	Investment Mgt	84,839
Total number of others receiving over \$50,000 for professional services.		

Part IX-A

Summary of Direct Charitable Activities

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

Part IX-B

Summary of Program-Related Investments (see instructions)

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

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	28,198,399
b	Average of monthly cash balances.	1b	320,760
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	28,519,159
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	0
3	Subtract line 2 from line 1d.	3	28,519,159
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	427,787
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	28,091,372
6	Minimum investment return. Enter 5% of line 5.	6	1,404,569

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	1,404,569
2a	Tax on investment income for 2014 from Part VI, line 5.	2a	19,176
b	Income tax for 2014 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	19,176
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	1,385,393
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	1,385,393
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	1,385,393

Part XII

Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26.	1a	1,649,722
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	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	1,649,722
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	19,176
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	1,630,546
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				1,385,393
2 Undistributed income, if any, as of the end of 2014				
a Enter amount for 2013 only.			160,352	
b Total for prior years 2012 , 2011 , 2010				
3 Excess distributions carryover, if any, to 2014				
a From 2009.				
b From 2010.				
c From 2011.				
d From 2012.				
e From 2013.				
f Total of lines 3a through e.				
4 Qualifying distributions for 2014 from Part XII, line 4 ▶ \$ 1,649,722				
a Applied to 2013, but not more than line 2a			160,352	
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.				1,385,393
e Remaining amount distributed out of corpus	103,977			
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	103,977			
b Prior years' undistributed income Subtract line 4b from line 2b.				
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				
e Undistributed income for 2013 Subtract line 4a from line 2a Taxable amount—see instructions				
f Undistributed income for 2014 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)				
8 Excess distributions carryover from 2009 not applied on line 5 or line 7 (see instructions) . . .				
9 Excess distributions carryover to 2015. Subtract lines 7 and 8 from line 6a	103,977			
10 Analysis of line 9				
a Excess from 2010. . . .				
b Excess from 2011. . . .				
c Excess from 2012. . . .				
d Excess from 2013. . . .				
e Excess from 2014. . . .	103,977			

Part XIVPrivate Operating Foundations (see instructions and Part VII-A, question 9)

1a

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

b

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

☐ 4942(j)(3) or ☐ 4942(j)(5)

2a	Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed	Tax year	Prior 3 years			(e) Total
		(a) 2014	(b) 2013	(c) 2012	(d) 2011	
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 XVSupplementary Information (Complete this part only if the organization had \$5,000 or more in assets at any time during the year—see instructions.)

1

Information Regarding Foundation Managers:

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))

MICHAEL KORS

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

2

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

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

a

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

b

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

c

Any submission deadlines

d

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

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

Form **990-PF** (2014)

Enter gross amounts unless otherwise indicated

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

Form **990-PF** (2014)

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?			Yes	No
a Transfers from the reporting foundation to a noncharitable exempt organization of				
(1) Cash.		1a(1)		No
(2) Other assets.		1a(2)		No
b Other transactions				
(1) Sales of assets to a noncharitable exempt organization.		1b(1)		No
(2) Purchases of assets from a noncharitable exempt organization.		1b(2)		No
(3) Rental of facilities, equipment, or other assets.		1b(3)		No
(4) Reimbursement arrangements.		1b(4)		No
(5) Loans or loan guarantees.		1b(5)		No
(6) Performance of services or membership or fundraising solicitations.		1b(6)		No
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees.		1c		No
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				

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? . . . ☐ Yes ☒ No

b If "Yes," complete the following schedule		
(a) Name of organization	(b) Type of organization	(c) Description of relationship

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.

Sign Here	*****	2015-10-20	*****	May the IRS discuss this return with the preparer shown below (see instr)? ☒ Yes ☐ No
	Signature of officer or trustee	Date	Title	

Paid Preparer Use Only	Print/Type preparer's name Susan E Leitner	Preparer's Signature	Date	Check if self-employed ☒	PTIN P00297499
	Firm's name ☒ Rockefeller Trust Co NA			Firm's EIN ☒	
	Firm's address ☒ PO Box 5016 New York, NY 101855016			Phone no (212) 549-5544	

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2014 Depreciation Schedule

Name: The Kors Le Pere Foundation

EIN: 45-4035400

**TY 2014 Investments Corporate
Bonds Schedule**

Name: The Kors Le Pere Foundation
EIN: 45-4035400

Name of Bond	End of Year Book Value	End of Year Fair Market Value
SEE ATTACHED	16,736,123	16,628,115

TY 2014 Investments Corporate Stock Schedule

Name: The Kors Le Pere Foundation

EIN: 45-4035400

Name of Stock	End of Year Book Value	End of Year Fair Market Value
SEE ATTACHED	12,141	7,134,500

TY 2014 Investments - Other Schedule

Name: The Kors Le Pere Foundation

EIN: 45-4035400

Category / Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
SEE ATTACHED	AT COST	2,203,441	2,277,812

TY 2014 Other Expenses Schedule**Name:** The Kors Le Pere Foundation**EIN:** 45-4035400

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
REPRESENTATION FEE	162			162
BANK CUSTODY FEE	44	44		
FEES AND LICENSES	60			60

TY 2014 Other Income Schedule**Name:** The Kors Le Pere Foundation**EIN:** 45-4035400

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
GOLDMAN SACHS	868		
FEDERAL EXCISE TAX REFUND	5,000		
Vintage VI, LP	85,450	85,450	

TY 2014 Other Increases Schedule

Name: The Kors Le Pere Foundation

EIN: 45-4035400

Description	Amount
BOOK/TAX TIMING DIFFERENCE	964

TY 2014 Other Professional Fees Schedule**Name:** The Kors Le Pere Foundation**EIN:** 45-4035400

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ADMINISTRATION FEES	25,000			25,000
INVESTMENT ADVISORY FEES	84,839	84,839		

TY 2014 Taxes Schedule**Name:** The Kors Le Pere Foundation**EIN:** 45-4035400

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
EXCISE TAXES	25,000			
FOREIGN TAX PAID	266	266		

Kors Le Pere Foundation

EIN 45-4035400

Balance Sheet

December 31, 2013

	Cash	Cash	108,729 54	108,729 54
	Cash	Cash	54,968 06	54,968 06
	Cash Total		163,697 60	163,697 60
1,000,000 0000	Corporate Bonds	Barclay Russell 2K 0% 12/7/15	1,000,000 00	989,700 00
223,083 2990	Corporate Bonds	Eaton Vance Inc Fd of Boston	1,285,895 43	1,351,884 79
195,992 8700	Corporate Bonds	Goldman Sachs High Yield Fund	1,381,167 37	1,399,389 09
168,406 6250	Corporate Bonds	GS High Yield Float Rate Fnd	1,690,952 52	1,700,906 91
412,983 8460	Corporate Bonds	GS Investment Grade Credit Fnd	3,976,973 22	3,799,451 38
19,427 5880	Corporate Bonds	GS Local Emerg Mark Debt Fund	192,933 28	164,551 67
400 0000	Corporate Bonds	GS MSCI EAFE 0% 04/07/14	400,000 00	538,187 60
400 0000	Corporate Bonds	GS MSCI EAFE 0% 12/10/14	400,000 00	514,137 20
700 0000	Corporate Bonds	GS S&P 500 0% 04/07/14	700,000 00	885,088 40
600 0000	Corporate Bonds	GS S&P 500 0% 04/07/14	600,000 00	760,192 80
500 0000	Corporate Bonds	GS S&P 500 0% 07/06/2015	500,000 00	555,943 50
1,000 0000	Corporate Bonds	GS S&P 500 0% 11/05/14	1,000,000 00	1,163,381 00
112,816 0210	Corporate Bonds	GS Strategic Income Fund	1,187,990 51	1,202,618 78
500,000 0000	Corporate Bonds	JPM Chase 11 3% Due 10/03/2014	500,000 00	541,150 00
1,000,000 0000	Corporate Bonds	JPMorgan Chase 0% 02/07/14	1,000,000 00	1,078,000 00
1,000 0000	Corporate Bonds	Rabobank Nederland 0% 07/08/14	1,000,000 00	1,089,467 00
500 0000	Corporate Bonds	RBC RY 0% 4/7/14	500,000 00	550,610 50
16,770 1650	Corporate Bonds	Stone Harbor Loc Markt Fnd	179,392 62	159,316 57
	Corporate Bonds Total		17,495,304 95	18,443,977 19
95,000 0000	Corporate Stock	Michael Kors Holdings Ltd	12,141 00	7,713,050 00
	Corporate Stock Total		12,141 00	7,713,050 00
1,075,734 8200	Other	GS Princeton Fnd CI A (LP)	1,000,000 00	1,077,183 16
115,561 0000	Other	GS Vintage Fund VI Offshore LP (LP)	100,000 00	115,561 00
11,500 0000	Other	SPDR Euro Stoxx 50 Fund	398,475 00	487,464 06
86,968 7000	Other	GS Financial Square Federal Fund	132,969 13	132,969 13
-5 0000	Other	SPX 01/18/14 P1690	-712 50	-712 50
-5 0000	Other	SPX 01/18/14 P1710	-850 00	-850 00
-5 0000	Other	SPX 02/22/14 P1680	-2,525 00	-2,525 00
-5 0000	Other	SPX 02/22/14 P1710	-3,375 00	-3,375 00
	Other Total		1,623,981 63	1,805,714 85
	Grand Total		19,295,125 18	28,126,439 64

Kors Le Pere Foundation

EIN 45-4035400

Balance Sheet

December 31, 2014

204,093 9000	Cash	Cash	507,963 66	507,963 66
730,922 0500	Cash	Cash	85,202 82	85,202 82
	Cash Total		593,166 48	593,166 48
95,000 0000	Corporate Stock	Michael Kors Holdings Ltd	12,141 00	7,134,500 00
	Corporate Stock Total		12,141 00	7,134,500 00
1,000,000 0000	Corporate Bonds	Barclay Russell 2K 0% 12/7/15	1,000,000 00	1,048,500 00
500,000 0000	Corporate Bonds	JPM MSCI EAFE 0% 04/05/2016	500,000 00	455,350 00
1,000,000 0000	Corporate Bonds	Barclay Bank S&P500 0% 7/6/15	1,000,000 00	1,082,400 00
500,000 0000	Corporate Bonds	JPM MSCI EAFE 0% 07/04/15	500,000 00	458,200 00
1,000 0000	Corporate Bonds	GS S&P 500 0% 04/05/2016	1,000,000 00	1,066,104 00
750,000 0000	Corporate Bonds	DB S&P 500 0% 10/06/15	750,000 00	765,750 00
500,000 0000	Corporate Bonds	Societe Generale 0% 12/8/16	500,000 00	476,250 00
148,143 8540	Corporate Bonds	Goldman Sachs High Yield Fund	1,200,031 32	999,971 01
170,780 7710	Corporate Bonds	Eaton Vance Inc Fd of Boston	1,013,364 83	1,002,483 13
326,898 2540	Corporate Bonds	GS Investment Grade Credit Fnd	3,152,141 92	3,063,036 64
118,555 1640	Corporate Bonds	GS High Yield Float Rate Fnd	1,055,057 02	1,166,582 81
116,396 5340	Corporate Bonds	GS Strategic Income Fund	1,225,575 83	1,196,556 37
54,128 3890	Corporate Bonds	Nuveen Symphony Floating Fd	1,137,664 01	1,101,512 72
500 0000	Corporate Bonds	GS S&P 500 0% 07/06/2015	500,000 00	591,287 50
500,000 0000	Corporate Bonds	BNP Russell 2000 0% 02/03/16	500,000 00	516,600 00
500,000 0000	Corporate Bonds	CS MSCI EAFE 0% 10/06/15	500,000 00	439,250 00
1,000 0000	Corporate Bonds	GS S&P 500 0% 10/06/16	1,000,000 00	995,180 00
20,494 5100	Corporate Bonds	Goldman Sachs Tact Tilt Imp	202,287 74	203,100 59
	Corporate Bonds Total		16,736,122 67	16,628,114 77
7,500 0000	Other	WisdomTree Europe Hedged Eq	424,929 75	417,150 00
-4 0000	Other	SPX 01/17/15 P1880	-1,300 00	-1,300 00
-4 0000	Other	SPX 01/17/15 P1980	-3,580 00	-3,580 00
341,856 7100	Other	GS Financial Sq Fed Fd	341,856 71	341,856 71
-4 0000	Other	SPX 02/20/15 P1970	-9,520 00	-9,520 00
-4 0000	Other	SPX 03/20/15 P1960	-13,640 00	-13,640 00
-4 0000	Other	SPX 02/20/15 P1990	-11,040 00	-11,040 00
1,093,809 7600	Other	GS Princeton Fnd CIA (LP)	1,000,000 00	1,096,229 41
461,655 5000	Other	GS Vintage Fund VI Offshore LP (LP)	475,734 72	461,655 50
	Other Total		2,203,441 18	2,277,811 62
	Grand Total		19,544,871 33	26,633,592 87

Rockefeller & Co.
Charitable Contributions
The Kors Le Pere Foundation
EIN 45-4035400

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(Gifts were made in cash unless otherwise stated Securities given, unless otherwise stated, were regularly traded on a national securities exchange or over the counter market and were valued at the average of the high and low transactions on the date of gift)

From: 01/01/2014 To: 12/31/2014

Item No.	Donee Name/Address	Description	Date	Amount
50% Charitable				
1	African Wildlife Foundation (AWF) 1400 16th St, NW Suite 120 Washington, DC, 20036	Contribution – General Support	12/19/2014	20,000 00
2	ALS Association (ALSA) 162 West 56th Street Suite 405 New York, NY, 10019	Contribution – Ice Bucket Challenge	08/25/2014	1,000 00
3	American Associates of the National Theatre (AMERANT) 214 W 29th St, Suite 701 New York, NY, 10001	Contribution – General Support	09/11/2014	25,000.00
4	Arthritis Foundation (ARTHRITI) 6213 Father Tribou St Little Rock, AR, 72205	Contribution – General Support	12/22/2014	100,000.00
5	Big Cat Rescue (BIGCAT) 12802 Easy Street Tampa, FL, 33625	Contribution – General Support	12/22/2014	4,000 00
6	Cheetah Conservation Fund (CHEETAH) P O Box 2496 Alexandria, VA, 22301-0496	Contribution – General Support	12/19/2014	10,000 00
7	Citymeals-on-Wheels (CITYWHEL) 355 Lexington Avenue New York, NY, 10017-6603	Contribution – General Support	11/21/2014	5,000 00
8	Courage Campaign Institute 501c3 (COURGECM) 7119 West Sunset Boulevard, No 195 Los Angeles, CA, 90046	Contribution – General Support	07/28/2014	5,000 00
9	Elton John AIDS Foundation (EJAF) 584 Broadway, Suite 906 New York, NY, 10012	Contribution – General Support	09/30/2014	10,000 00
10	Gay Mens Health Crisis (GMHC)	Contribution – General Support	12/19/2014	25,000 00

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Charitable Contributions
The Kors Le Pere Foundation
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(Gifts were made in cash unless otherwise stated Securities given, unless otherwise stated, were regularly traded on a national securities exchange or over the counter market and were valued at the average of the high and low transactions on the date of gift)

From: 01/01/2014 To: 12/31/2014

Item No.	Donee Name/Address	Description	Date	Amount
50% Charitable (cont'd)				
11	God's Love We Deliver (GOD'S LO) 630 Flushing Avenue, 7th Floor Brooklyn, NY, 11206	Contributions – General Support	08/27/2014	25,000 00
		Contributions – General Support	10/27/2014	50,000.00
		Contributions – Pledge for New Building	12/22/2014	250,000 00
		God's Love We Deliver (GOD'S LO) Sub Total		325,000 00
12	Hetrck-Martin Institute, Inc (4648) New York, NY,	Contribution – General Support	12/19/2014	10,000.00
13	Human Rights Campaign Foundation (HRC)	Contribution – General Support	12/19/2014	50,000.00
14	Lambda Legal Defense and Education Fund, Inc (5742)	Contribution – General Support	12/19/2014	50,000.00
15	Lesbian and Gay Community Services Center (GAYCENTE) Jeffrey H Klein, Dir of External Relations 208 W 13th Street New York, NY, 10011	Contribution – Re-launching Arts Entertainment, Culture Programs	11/03/2014	100,000.00
16	Memorial Sloan-Kettering Cancer Center (6398) 1275 York Avenue New York, NY, 10021	Contribution – General Support	12/19/2014	100,000 00
17	New York City Center Inc. (NYCCI) 130 West 56th Street New York, NY, 10019	Contribution – General Support	12/19/2014	10,000.00
18	New York Landmarks Conservancy (7187) 141 Fifth Avenue New York, NY, 10010	Contribution – General Support	08/27/2014	5,000.00
19	New York Presbyterian Hospital (NYPH) PO Box 9305 GPO New York, NY, 10087-9305	Contribution – General Support	12/19/2014	100,000 00

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Charitable Contributions
The Kors Le Pere Foundation
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(Gifts were made in cash unless otherwise stated Securities given, unless otherwise stated, were regularly traded on a national securities exchange or over the counter market and were valued at the average of the high and low transactions on the date of gift)

From: 01/01/2014 To: 12/31/2014

Item No.	Donee Name/Address	Description	Date	Amount
50% Charitable (cont'd)				
20	New York Restoration Project (7206) 254 West 31st Street New York, NY, 10001	Contribution – General Support	05/05/2014	47,500.00
		Contribution – General Support	06/30/2014	10,000 00
		Contribution – General Support	09/10/2014	55,000 00
		Contribution – General Support	11/05/2014	25,000 00
		Contribution – Garden Campaign	12/22/2014	250,000.00
		New York Restoration Project (7206) Sub Total:		387,500 00
21	New York Shakespeare Festival (NYSF) Public Theatre Attn: Barbara K Toy New York, NY, 10003	Contribution – Public Theater	12/19/2014	10,000 00
22	North Shore Animal League (NORTHSHO) 25 Davis Ave Port Washington, NY, 11050	Contribution – General Support	12/19/2014	10,000 00
23	Panthera Corporation (PANTHERA) 8 W 40th Street, Fl 18 New York, NY, 10018	Contribution – General Support	12/22/2014	10,000 00
24	Park Square Advocates Inc (GLAD) Glad 30 Winter Street Suite 800 Boston, MA, 02108	Contribution – General Support	12/19/2014	25,000 00
25	Publicolor (PUBLICOL) 149 Madison Avenue, Suite 1201, New York, NY, 10016	Contribution – General Support	02/28/2014	50,000 00
26	Roundabout Theatre Company (RNDABOUT) 231 West 39th Street, Suite 1200 New York, NY, 10018	Contribution – General Support	03/31/2014	10,000 00
27	The Breast Cancer Research Foundation (9622) 60 East 56th Street, 8th Floor New York, NY, 10022	Contribution – General Support	02/07/2014	50,000 00

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Charitable Contributions
The Kors Le Pere Foundation
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(Gifts were made in cash unless otherwise stated Securities given, unless otherwise stated, were regularly traded on a national securities exchange or over the counter market and were valued at the average of the high and low transactions on the date of gift)

From: 01/01/2014 To: 12/31/2014

Item No.	Donee Name/Address	Description	Date	Amount
50% Charitable (cont'd)				
28	The Foundation for AIDS Research (FOUNDATI) 120 Wall Street, 13th Floor New York, NY, 10005-3908	Contribution – General Support	01/31/2014	50,000 00
29	Tiger Sanctuaries Inc. (TIGER) 250 W 12th Street New York, NY, 10014	Contribution – General Support	12/22/2014	6,000 00
30	Vineyard Theatre (VTHEAT) 108 East 15th Street New York, NY, 10003	Contribution – General Support	06/27/2014	1,000 00
31	Vivian Beaumont Theater, Inc (VIVIAN B) 150 West 65th Street New York, NY, 10023	Contribution – General Support	12/22/2014	20,000 00
32	Westhampton Beach Performing Arts Center (WHBPAC) 76 Main Street Westhampton Beach, NY, 11978	Contribution – Sponsorship of Rufus Wainwright	05/30/2014	10,000 00
33	World Jewish Congress (WORLD J)	Contribution – General Support	11/03/2014	10,000 00
34	World Wildlife Fund (11359) 1250 - 24th Street, NW c/o Mr. Brandt Zimmerman Washington, DC, 20037	Contribution – General Support	12/19/2014	20,000 00
Charitable Sub Total:				<u>1,624,500 00</u>
Grand Total :				<u>1,624,500 00</u>

Run Date: 10/20/2015 06.10 PM

REALIZED GAIN AND LOSS SUMMARY

SHORT-TERM GAINS (LOSSES)		LONG-TERM GAINS (LOSSES)		ORDINARY GAINS (LOSSES)	
Net Covered Short-Term Gains (Losses)	(45,569.99)	Net Covered Long-Term Gains (Losses)	109,978.77	Net Ordinary Gains (Losses)	0.00
Net NonCovered Short-Term Gains (Losses)	0.00	Net NonCovered Long-Term Gains (Losses)	1,165,050.00		
Net 1099B Non Reportable Short-Term Gains (Losses)	0.00	Net 1099B Non Reportable Long-Term Gains (Losses)	0.00		
Net Miscellaneous Short-Term Gains (Losses)	0.00	Net Miscellaneous Long-Term Gains (Losses)	0.00	Net Miscellaneous Ordinary Gains (Losses)	0.00
Net Regulated Futures Contract Short-Term Gains (Losses)	0.00	Net Regulated Futures Contract Long-Term Gains (Losses)	0.00		
Total Short-Term Gains (Losses)	(45,569.99)	Total Long-Term Gains (Losses)	1,275,028.77	Total Ordinary Gains (Losses)	0.00

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds ⁵	Total accretion (Amortization)	Cost Basis ⁴	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	09/30/2013	01/29/2014	76.23	609.86	0.00	658.29	(48.43)
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	10/31/2013	01/29/2014	83.15	665.22	0.00	733.85	(68.63)
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	12/31/2013	01/29/2014	83.97	671.75	0.00	707.46	(35.71)
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	11/29/2013	01/29/2014	88.96	695.68	0.00	736.15	(40.47)
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	02/28/2013	01/29/2014	87.67	701.38	0.00	857.91	(156.53)
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	03/07/2013	01/29/2014	143.14	1,145.08	0.00	1,336.21	(191.13)
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	02/14/2013	01/29/2014	203.12	1,624.93	0.00	1,991.62	(366.69)
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	03/03/2013	01/29/2014	246.82	1,974.54	0.00	2,405.32	(430.78)
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	03/28/2013	01/29/2014	288.01	2,304.11	0.00	2,783.75	(479.64)

⁴ Basis may have been increased by accruals of market discount and/or original issue discount or decreased by premium amortization. This increase or decrease of basis assumes the investor has elected to include market discount in income currently and/or amortize premium currently. You should consult with your own tax advisor to determine your correct basis.

⁵ Sale Proceeds may have been adjusted by an option premium due to an option assignment.



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REALIZED GAINS AND LOSSES (Continued)

Supplemental Information - Consult your Form 1099 for tax reporting purposes

SHORT-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds ⁵	Total accretion (Amortization)	Cost Basis ⁴	Total Gain (Loss)
Covered Short-Term Gains (Losses)							
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	04/30/2013	01/29/2014	292.02	2,336.17	0.00	2,915.92	(579.75)
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	02/14/2013	01/29/2014	300.64	2,405.14	0.00	3,065.15	(660.01)
GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303)	02/14/2013	01/29/2014	17,535.85	140,286.81	0.00	173,873.33	(33,586.52)
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	11/22/2013	06/03/2014	17.02	168.19	0.00	166.66	1.53
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	02/21/2014	06/03/2014	17.90	176.83	0.00	167.70	9.13
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	12/18/2013	06/03/2014	34.69	342.69	0.00	333.67	9.02
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	12/18/2013	06/03/2014	52.03	514.03	0.00	500.50	13.53
NUVEEN SYMPHONY FLOATING RATE INCOME FUND I (67066D689)	03/13/2014	10/23/2014	23,509.45	485,000.00	0.00	494,168.68	(9,168.68)
NUVEEN SYMPHONY FLOATING RATE INCOME FUND I (67066D689) Disallowed Loss						209.77	209.77
Net Covered Short-Term Disallowed Losses							209.77
Net Covered Short-Term Gains (Losses)				641,622.41	0.00	687,402.17	(45,569.99)

LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds ⁵	Total accretion (Amortization)	Cost Basis ⁴	Total Gain (Loss)
Covered Long-Term Gains (Losses)							
EATON VANCE GROUP EATON VANCE INCM FD OF BOSTON MUTUAL FUND CLASS 1 SHARES (277907200)	01/09/2012	03/12/2014	92,471.36	565,000.00	0.00	527,086.74	37,913.26
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	01/27/2012	03/12/2014	5,040.30	36,491.75	0.00	35,584.50	907.25
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	01/06/2012	03/12/2014	7,754.38	56,141.72	0.00	53,660.32	2,481.40
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	01/09/2012	03/12/2014	72,150.07	522,366.52	0.00	500,000.00	22,366.52
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	05/22/2012	04/10/2014	6,770.83	68,250.00	0.00	66,650.35	1,599.65

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REALIZED GAINS AND LOSSES (Continued)

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LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds ⁵	Total accretion (Amortization)	Cost Basis ⁴	Total Gain (Loss)
Covered Long-Term Gains (Losses)							
EATON VANCE GROUP EATON VANCE INCM FD OF BOSTON MUTUAL FUND CLASS I SHARES (277907200)	01/09/2012	04/28/2014	3,807.37	23,301.07	0.00	21,701.98	1,599.09
EATON VANCE GROUP EATON VANCE INCM FD OF BOSTON MUTUAL FUND CLASS I SHARES (277907200)	01/21/2012	04/28/2014	12,532.50	76,698.93	0.00	72,312.55	4,386.38
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	01/21/2012	04/28/2014	13,793.10	100,000.00	0.00	97,379.31	2,620.69
EATON VANCE GROUP EATON VANCE INCM FD OF BOSTON MUTUAL FUND CLASS I SHARES (277907200)	02/29/2012	06/03/2014	750.69	4,609.24	0.00	4,391.54	217.70
EATON VANCE GROUP EATON VANCE INCM FD OF BOSTON MUTUAL FUND CLASS I SHARES (277907200)	01/31/2012	06/03/2014	1,027.55	6,309.15	0.00	5,928.95	380.20
EATON VANCE GROUP EATON VANCE INCM FD OF BOSTON MUTUAL FUND CLASS I SHARES (277907200)	01/21/2012	06/03/2014	30,795.05	189,081.62	0.00	177,687.45	11,394.17
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	01/31/2012	06/03/2014	818.07	5,939.17	0.00	5,767.37	171.80
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	02/29/2012	06/03/2014	1,420.14	10,310.24	0.00	10,210.83	99.41
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	03/30/2012	06/03/2014	1,460.70	10,604.65	0.00	10,429.36	175.29
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	04/30/2012	06/03/2014	1,469.24	10,666.66	0.00	10,534.43	132.23
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	05/31/2012	06/03/2014	1,474.93	10,707.99	0.00	10,368.75	339.24
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	06/08/2012	06/03/2014	4,327.77	31,419.64	0.00	30,424.25	995.39
GS HIGH YIELD FUND INSTITUTIONAL SHARES (38141W679)	01/21/2012	06/03/2014	16,577.36	120,351.67	0.00	117,036.19	3,315.48
GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143H845)	01/21/2012	06/03/2014	52,521.01	500,000.00	0.00	498,949.58	1,050.42
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	12/19/2012	06/03/2014	27.08	267.50	0.00	302.43	(34.93)
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	12/19/2012	06/03/2014	70.63	697.83	0.00	788.95	(91.12)
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	03/14/2012	06/03/2014	86.27	852.30	0.00	905.90	(53.60)
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	12/19/2012	06/03/2014	323.72	3,198.39	0.00	3,616.00	(417.61)
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	02/22/2013	06/03/2014	354.15	3,499.00	0.00	3,970.02	(471.02)
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	11/21/2012	06/03/2014	356.02	3,517.51	0.00	3,923.37	(405.86)

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REALIZED GAINS AND LOSSES (Continued)

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LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds ⁵	Total accretion (Amortization)	Cost Basis ⁴	Total Gain (Loss)
Covered Long-Term Gains (Losses)							
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	08/24/2012	06/03/2014	361.93	3,575.91	0.00	3,901.65	(325.74)
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	06/08/2012	06/03/2014	5,920.73	58,496.76	0.00	60,983.47	(2,486.71)
STONE HARBOR LOCAL MARKETS I MUTUAL FUND (861647501)	08/09/2012	06/03/2014	9,165.90	90,559.12	0.00	100,000.00	(9,440.88)
GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143HB45)	01/27/2012	10/03/2014	4,352.85	41,482.62	0.00	41,352.03	130.59
GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143HB45)	02/29/2012	10/03/2014	48,113.05	458,517.39	0.00	463,328.69	(4,811.30)
GS INVESTMENT GRADE CREDIT FUND INSTITUTIONAL SHARES (38143HB45) Disallowed Loss							199.87
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	05/31/2012	10/23/2014	79.31	785.21	0.00	778.36	6.85
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	02/28/2013	10/23/2014	306.42	3,033.58	0.00	3,091.37	(57.79)
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	01/31/2013	10/23/2014	335.84	3,324.80	0.00	3,390.71	(65.91)
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	06/29/2012	10/23/2014	340.45	3,370.44	0.00	3,358.10	12.34
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	11/30/2012	10/23/2014	354.22	3,506.79	0.00	3,543.54	(36.75)
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	07/31/2012	10/23/2014	355.31	3,517.60	0.00	3,518.93	(1.33)
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455) Disallowed Loss							1.33
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	10/31/2012	10/23/2014	358.62	3,550.34	0.00	3,583.96	(33.62)
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	09/28/2012	10/23/2014	359.23	3,556.37	0.00	3,590.05	(33.68)
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455) Disallowed Loss							25.17

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REALIZED GAINS AND LOSSES (Continued)

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LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds	Total accretion (Amortization)	Cost Basis ⁴	Total Gain (Loss)
Covered Long-Term Gains (Losses)							
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	12/31/2012	10/23/2014	362.22	3,585.98	0.00	3,634.43	(48.45)
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	08/31/2012	10/23/2014	390.40	3,864.97	0.00	3,882.05	(17.08)
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455) Disallowed Loss							17.08
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	03/25/2013	10/23/2014	1,225.41	12,131.51	0.00	12,411.61	(280.10)
GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455)	05/22/2012	10/23/2014	44,522.46	440,772.40	0.00	438,267.78	2,504.62
SPDR EURO STOXX 50 FD ETF (78463X202)	02/14/2013	11/06/2014	11,500.00	432,523.83	0.00	398,475.00	34,048.83
Net Covered Long-Term Disallowed Losses							243.45
Net Covered Long-Term Gains (Losses)				3,930,438.17	0.00	3,820,702.85	109,978.77

NonCovered Long-Term Gains (Losses)

JPMORGAN CHASE & CO LINKED TO S&P 500 CONTINGENT CPN W BUFFER STRUCTURED NOTE DUE 2/7/2014 (48125VVH0)	04/16/2012	02/07/2014	1,000,000.00	1,086,000.00	0.00	1,000,000.00	86,000.00
ROYAL BANK OF CANADA LINKED TO S&P 500 CONTINGENT COUPON WITH BUFFER STRUCTURED NOTE DUE 04/07/2014 (78008C606)	02/10/2012	04/07/2014	500.00	554,250.00	0.00	500,000.00	54,250.00
THE GOLDMAN SACHS GROUP, INC. LINKED TO MSCI EAFE UPSIDE LEVERED CAPPED W BUFFER STRUCTURED NOTE DUE 04/07/2014 (38147A218)	02/10/2012	04/07/2014	400.00	547,600.00	0.00	400,000.00	147,600.00
THE GOLDMAN SACHS GROUP, INC. LINKED TO S&P 500 INDEX UPSIDE LEVERED CAPPED W BUFFER STRUCTURED NOTE DUE 04/07/2014 (38147B281)	05/23/2012	04/07/2014	700.00	892,150.00	0.00	700,000.00	192,150.00
THE GOLDMAN SACHS GROUP, INC. LINKED TO S&P 500 UPSIDE LEVERED CAPPED W BUFFER STRUCTURED NOTE DUE 04/07/2014 (38147A192)	02/10/2012	04/07/2014	600.00	766,500.00	0.00	600,000.00	166,500.00

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REALIZED GAINS AND LOSSES (Continued)

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LONG-TERM GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Date Sold or Covered	Quantity	Sale Proceeds ⁵	Total accretion (Amortization)	Cost Basis ⁴	Total Gain (Loss)
NonCovered Long-Term Gains (Losses)							
RABOBANK NEDERLAND, UTRECHT LINKED TO S&P 500 INDEX CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 07/08/2014 (21684A668)	06/29/2012	07/08/2014	1,000.00	1,100,000.00	0.00	1,000,000.00	100,000.00
JPMORGAN CHASE & CO. LINKED TO S&P 500 INDEX BETTER OF CNTNGNT CPN W BUFFER STRUCTURED NOTE DUE 10/03/2014 (48125V2X7)	08/14/2012	10/03/2014	500,000.00	550,750.00	0.00	500,000.00	50,750.00
THE GOLDMAN SACHS GROUP, INC. LINKED TO S&P 500 INDEX UPSIDE LEVERED CAPPED W BUFFER STRUCTURED NOTE DUE 11/05/2014 (38147H361)	10/31/2012	11/05/2014	1,000.00	1,201,000.00	0.00	1,000,000.00	201,000.00
THE GOLDMAN SACHS GROUP, INC. LINKED TO MSCI EAFE UPSIDE LEVERED CAPPED STRUCTURED NOTE DUE 12/10/2014 (38147H544)	12/07/2012	12/10/2014	400.00	566,800.00	0.00	400,000.00	166,800.00
Net NonCovered Long-Term Gains (Losses)				7,265,050.00	0.00	6,100,000.00	1,165,050.00

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REALIZED GAINS AND LOSSES

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REALIZED GAIN AND LOSS SUMMARY

SHORT-TERM GAINS (LOSSES)		LONG-TERM GAINS (LOSSES)		ORDINARY GAINS (LOSSES)	
Net Covered Short-Term Gains (Losses)	0.00	Net Covered Long-Term Gains (Losses)		Net Ordinary Gains (Losses)	0.00
Net NonCovered Short-Term Gains (Losses)	0.00	Net NonCovered Long-Term Gains (Losses)			0.00
Net 1099B Non Reportable Short-Term Gains (Losses)	0.00	Net 1099B Non Reportable Long-Term Gains (Losses)			0.00
Net Miscellaneous Short-Term Gains (Losses)	0.00	Net Miscellaneous Long-Term Gains (Losses)		Net Miscellaneous Ordinary Gains (Losses)	0.00
Net Regulated Futures Contract Short-Term Gains (Losses)	82,103.60	Net Regulated Futures Contract Long-Term Gains (Losses)			
Total Short-Term Gains (Losses)	82,103.60	Total Long-Term Gains (Losses)		Total Ordinary Gains (Losses)	0.00

REGULATED FUTURES CONTRACTS GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Marked to Market Sold or Covered	Quantity	Market Value or sale proceeds	Cost Basis	Short-Term Gain (Loss)	Long-Term Gain (Loss)	Total Gain (Loss) *
Regulated Futures Contract Gains (Losses)								
PUT/SPX @ 1710 EXP 01/18/2014 (4JHXL3)	11/12/2013	01/07/2014	2.00	340.00	124.00	86.40	129.60	216.00
PUT/SPX @ 1690 EXP 01/18/2014 (59NMH9)	10/29/2013	01/16/2014	2.00	285.00	13.82	108.47	162.71	271.18
PUT/SPX @ 1710 EXP 01/18/2014 (4JHXL3)	11/12/2013	01/16/2014	3.00	510.00	18.00	196.80	295.20	492.00
PUT/SPX @ 1690 EXP 01/18/2014 (59NMH9)	10/29/2013	01/18/2014	1.00	142.50	0.00	57.00	85.50	142.50
PUT/SPX @ 1690 EXP 01/18/2014 (59NMH9)	11/05/2013	01/18/2014	2.00	285.00	0.00	114.00	171.00	285.00
PUT/SPX @ 1680 EXP 02/22/2014 (5003H9)	11/21/2013	01/23/2014	2.00	1,010.00	744.00	106.40	159.60	266.00
PUT/SPX @ 1710 EXP 02/22/2014 (994GD9)	12/11/2013	02/14/2014	5.00	3,375.00	160.00	1,286.00	1,929.00	3,215.00
PUT/SPX @ 1680 EXP 02/22/2014 (5003H9)	11/21/2013	02/22/2014	3.00	1,515.00	0.00	606.00	909.00	1,515.00
PUT/SPX @ 1750 EXP 03/22/2014 (4SGUM6)	01/07/2014	03/12/2014	4.00	6,472.00	308.00	2,465.60	3,698.40	6,164.00
PUT/SPX @ 1750 EXP 03/22/2014 (4SGUM6)	01/07/2014	03/22/2014	1.00	1,618.00	0.00	647.20	970.80	1,618.00
PUT/SPX @ 1770 EXP 03/22/2014 (6EH823)	01/16/2014	03/22/2014	5.00	8,290.00	0.00	3,316.00	4,974.00	8,290.00
PUT/SPX @ 1740 EXP 04/19/2014 (2FTIF5)	01/23/2014	04/09/2014	4.00	9,032.00	208.00	3,529.60	5,294.40	8,824.00
PUT/SPX @ 1740 EXP 04/19/2014 (2FTIF5)	01/23/2014	04/15/2014	1.00	2,258.00	21.17	894.73	1,342.10	2,236.83
PUT/SPX @ 1790 EXP 04/19/2014 (2FTJH8)	03/12/2014	04/15/2014	4.00	4,012.00	328.00	1,473.60	2,210.40	3,684.00
PUT/SPX @ 1725 EXP 05/17/2014 (5RV6S5)	02/14/2014	05/08/2014	5.00	8,940.00	160.00	3,512.00	5,268.00	8,780.00
PUT/SPX @ 1800 EXP 05/17/2014 (5B51K4)	03/25/2014	05/15/2014	3.00	5,334.00	33.00	2,120.40	3,180.60	5,301.00
PUT/SPX @ 1800 EXP 05/17/2014 (5B51K4)	03/25/2014	05/17/2014	1.00	1,778.00	0.00	711.20	1,066.80	1,778.00

* Regulated futures contract gain / loss is calculated as 60% long-term capital gain or loss and 40% short-term capital gain or loss



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REALIZED GAINS AND LOSSES (Continued)

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REGULATED FUTURES CONTRACTS GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Marked to Market Sold or Covered	Quantity	Market Value or sale proceeds	Cost Basis	Short-Term Gain (Loss)	Long-Term Gain (Loss)	Total Gain (Loss) ⁶
Regulated Futures Contract Gains (Losses)								
PUT/SPX @ 1750 EXP 06/21/2014 (110S41)	04/02/2014	06/03/2014	2 00	2,456.00	94 00	944 80	1,417 20	2,362 00
PUT/SPX @ 1750 EXP 06/21/2014 (110S41)	02/27/2014	06/03/2014	2 00	5,479.20	94 00	2,154 08	3,231 12	5,385 20
PUT/SPX @ 1780 EXP 06/30/2014 (2R62X0)	04/09/2014	06/19/2014	3 00	6,534 00	63 00	2,588 40	3,882 60	6,471 00
PUT/SPX @ 1780 EXP 06/30/2014 (2R62X0)	04/09/2014	06/30/2014	1 00	2,178 00	0 00	871 20	1,308 80	2,178 00
PUT/SPX @ 1730 EXP 07/19/2014 (2NH9T2)	04/15/2014	07/01/2014	4 00	10,392 00	148 00	4,097 60	6,148 40	10,244 00
PUT/SPX @ 1730 EXP 07/19/2014 (2NH9T2)	04/15/2014	07/11/2014	1 00	2,598 00	27 02	1,028 39	1,542 59	2,570 98
PUT/SPX @ 1810 EXP 07/19/2014 (2NH9Y1)	05/08/2014	07/11/2014	4 00	9,671 96	168 00	3,801 58	5,702 38	9,503 96
PUT/SPX @ 1780 EXP 08/16/2014 (35GT6)	05/15/2014	07/30/2014	4 00	9,712 00	368 00	3,737 60	5,608 40	9,344 00
PUT/SPX @ 1910 EXP 08/08/2014 (597TH7)	07/11/2014	08/07/2014	4 00	(416 00)	0 00	(166 40)	(249 60)	(416 00)
PUT/SPX @ 1840 EXP 08/16/2014 (35GTM5)	06/03/2014	08/12/2014	3 00	5,514 00	63 00	2,180 40	3,270 60	5,451 00
PUT/SPX @ 1840 EXP 08/16/2014 (35GTM5)	06/03/2014	08/16/2014	1 00	1,838 00	0 00	735 20	1,102 80	1,838 00
PUT/SPX @ 1900 EXP 08/29/2014 (6JAZ49)	07/30/2014	08/28/2014	4 00	3,679.76	44 00	1,454 30	2,181 46	3,635 76
PUT/SPX @ 1880 EXP 09/20/2014 (6C7H68)	06/19/2014	09/16/2014	3 00	6,444 00	96 00	2,539 20	3,808 80	6,348 00
PUT/SPX @ 1880 EXP 09/20/2014 (6C7H68)	06/19/2014	09/20/2014	1 00	2,148 00	0 00	859 20	1,288 80	2,148 00
PUT/SPX @ 1910 EXP 09/20/2014 (591N94)	07/01/2014	09/20/2014	4 00	8,592 00	0 00	3,436 80	5,155 20	8,592 00
PUT/SPX @ 1880 EXP 10/18/2014 (201TH8)	08/12/2014	10/14/2014	4 00	11,636 76	5,008 00	2,251 50	3,377 26	5,628 76
PUT/SPX @ 1830 EXP 10/18/2014 (56FNT2)	08/07/2014	10/16/2014	4 00	12,289.04	608 00	4,672 42	7,008 62	11,681 04
PUT/SPX @ 1940 EXP 10/31/2014 (03AZW3)	09/16/2014	10/28/2014	4 00	6,192 00	608 00	2,233 60	3,350 40	5,584 00
PUT/SPX @ 1900 EXP 11/22/2014 (1300E3)	09/25/2014	11/13/2014	3 00	7,134 00	186 00	2,779 20	4,168 80	6,948 00
PUT/SPX @ 1930 EXP 11/22/2014 (531X1)	08/28/2014	11/20/2014	4 00	10,632 00	48 00	4,233 60	6,350 40	10,584 00
PUT/SPX @ 1900 EXP 11/22/2014 (1300E3)	09/25/2014	11/22/2014	1 00	2,378 00	0 00	951 20	1,426 80	2,378 00
PUT/SPX @ 1780 EXP 12/20/2014 (6CCG3S5)	10/14/2014	12/04/2014	4 00	12,992.00	135 04	5,142 78	7,714 18	12,856 96
PUT/SPX @ 1900 EXP 12/20/2014 (6EG2C9)	10/28/2014	12/20/2014	4 00	7,852 00	0 00	3,140 80	4,711 20	7,852 00
PUT/SPX @ 1880 EXP 01/17/2015 (384B5)	10/28/2014	12/31/2014	0 00	0 00	8,632 00	3,452 80	5,179 20	8,632 00
PUT/SPX @ 1960 EXP 03/20/2015 (11FOJ7)	12/04/2014	12/31/2014	0 00	(1,568 00)	0 00	(627 20)	(940 80)	(1,568 00)
PUT/SPX @ 1970 EXP 02/20/2015 (6YZV82)	11/20/2014	12/31/2014	0 00	0 00	2,792 00	1,116 80	1,675 20	2,792 00

⁶ Regulated futures contract gain / loss is calculated as 60% long-term capital gain or loss and 40% short-term capital gain or loss



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REALIZED GAINS AND LOSSES (Continued)

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REGULATED FUTURES CONTRACTS GAINS (LOSSES)

Description (Product Identifier)	Date Acquired or Sold Short	Marked to Market Sold or Covered	Quantity	Market Value or sale proceeds	Cost Basis	Short-Term Gain (Loss)	Long-Term Gain (Loss)	Total Gain (Loss) ⁶
Regulated Futures Contract Gains (Losses)								
PUT/SPX @ 1980 EXP 01/17/2015 (38AYW7)	11/13/2014	12/31/2014	0.00	0.00	6,252.00	2,500.80	3,751.20	6,252.00
PUT/SPX @ 1990 EXP 02/20/2015 (6YZUY6)	12/23/2014	12/31/2014	0.00	(3,096.12)	0.00	(1,238.45)	(1,857.67)	(3,096.12)
Net Regulated Futures Contract Gains (Losses)				198,459.10	28,552.05	82,103.60	123,155.45	205,259.05

⁶ Regulated futures contract gain / loss is calculated as 60% long-term capital gain or loss and 40% short-term capital gain or loss



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