Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

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

▶ Do not enter social security numbers on this form as it may be made public.
▶ Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

OMB No 1545-0052

2014

Open to Public Inspection

For calendar year 2014 or tax year beginning , and ending

Name of foundation: SHIRLEY C. CARIS FAMILY FOUNDATION

A Employer identification number: 86-0965394

Number and street (or P O box number if mail is not delivered to street address): P. O. BOX 14315

Room/suite:

B Telephone number (see instructions): 480-451-9244

City or town, state or province, country, and ZIP or foreign postal code: SCOTTSDALE AZ 85267-4315

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

Original Return

D 1 Foreign organizations, check here ▶ ☐
2 Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ $ 12,566,624

J Accounting method: [X] Cash ☐ Accrual ☐ Other (specify) (Part I, column (d) must be on cash basis)

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

Part I **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (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	Check ▶ [X] if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments	164,649	164,649	164,649	
	4	Dividends and interest from securities	127,232	127,232	127,232	
	5a	Gross rents	4,800	4,800	4,800	
	b	Net rental income or (loss) 4,800				
	6a	Net gain or (loss) from sale of assets not on line 10 Stmt 1	163,145			
	b	Gross sales price for all assets on line 6a 3,410,397				
	7	Capital gain net income (from Part IV, line 2)		85,501		
	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) Stmt 2	158,583		158,583	
	12	**Total** Add lines 1 through 11	618,409	382,182	455,264	
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule) See Stmt 3	155			
	b	Accounting fees (attach schedule) Stmt 4	3,933			
	c	Other professional fees (attach schedule) Stmt 5	4,500			
	17	Interest				
	18	Taxes (attach schedule) (see instructions) Stmt 6	202,690	1,269		
	19	Depreciation (attach schedule) and depletion				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (att sch) Stmt 7	99,293	80,032		
	24	**Total operating and administrative expenses.** Add lines 13 through 23	310,571	81,301	0	0
	25	Contributions, gifts, grants paid	493,000			493,000
	26	**Total expenses and disbursements.** Add lines 24 and 25	803,571	81,301	0	493,000
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	-185,162			
	b	**Net investment income** (if negative, enter -0-)		300,881		
	c	**Adjusted net income** (if negative, enter -0-)			455,264	

RECEIVED MAY 18 2015 OGDEN, UT IRS-OSC 881

SCANNED MAY 22 2015

G14 17

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	8,993,788	8,850,030	8,850,030
	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 (att schedule) ▶			
		Less allowance for doubtful accounts ▶ 0			
	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)			
	c	Investments – corporate bonds (attach schedule)			
	11	Investments – land, buildings, and equipment basis ▶			
		Less accumulated depreciation (attach sch) ▶			
	12	Investments – mortgage loans			
	13	Investments – other (attach schedule) See Statement 8	958,408	944,808	1,281,594
	14	Land, buildings, and equipment basis ▶ 3,040,000			
		Less accumulated depreciation (attach sch) ▶ Stmt 9	3,040,000	3,040,000	2,435,000
	15	Other assets (describe ▶)			
	16	**Total assets** (to be completed by all filers – see the instructions Also, see page 1, item I)	12,992,196	12,834,838	12,566,624
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	0	
Net Assets or Fund Balances		**Foundations that follow SFAS 117, check here and complete lines 24 through 26 and lines 30 and 31.** ▶ [X]			
	24	Unrestricted	12,992,196	12,834,838	
	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			
	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)	12,992,196	12,834,838	
	31	**Total liabilities and net assets/fund balances** (see instructions)	12,992,196	12,834,838	

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	12,992,196
2	Enter amount from Part I, line 27a	2	-185,162
3	Other increases not included in line 2 (itemize) ▶ See Statement 10	3	32,943
4	Add lines 1, 2, and 3	4	12,839,977
5	Decreases not included in line 2 (itemize) ▶ See Statement 11	5	5,139
6	Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30	6	12,834,838

Part IV Capital Gains and Losses for Tax on Investment Income

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

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	13,700			13,700
b	71,801			71,801
c				
d				
e				

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

	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
a				13,700
b				71,801
c				
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	85,501
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 the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2013	507,092	10,377,121	0.048866
2012	513,881	10,189,851	0.050431
2011	488,625	10,416,162	0.046910
2010	552,716	10,141,305	0.054501
2009	137,800	10,829,193	0.012725

2	**Total** of line 1, column (d)	2	0.213433
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	0.042687
4	Enter the net value of noncharitable-use assets for 2014 from Part X, line 5	4	10,236,424
5	Multiply line 4 by line 3	5	436,962
6	Enter 1% of net investment income (1% of Part I, line 27b)	6	3,009
7	Add lines 5 and 6	7	439,971
8	Enter qualifying distributions from Part XII, line 4	8	493,000

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

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 – see instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b	1	3,009
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	2	0
3	Add lines 1 and 2	3	3,009
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	3,009
6	Credits/Payments		
a	2014 estimated tax payments and 2013 overpayment credited to 2014 — 6a: 2,950		
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	2,950
8	Enter any **penalty** for underpayment of estimated tax Check here ☒ if Form 2220 is attached	8	4
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	63
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	
11	Enter the amount of line 10 to be **Credited to 2015 estimated tax** ▶ Refunded ▶	11	

Part VII-A Statements Regarding Activities

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		X
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)?	1b		X
	If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities			
c	Did the foundation file **Form 1120-POL** for this year?	1c		X
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ________ **(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
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a	X	
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b	X	
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T	5		X
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	X	
7	Did the foundation have at least $5,000 in assets at any time during the year? If "Yes," complete Part II, col (c), and Part XV	7	X	
8a	Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ AZ			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	8b	X	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2014 or the taxable year beginning in 2014 (see instructions for Part XIV)? If "Yes," complete Part XIV	9		X
10	Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	10		X

Part VII-A Statements Regarding Activities (continued)

			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 ▶ SHIRLEY CARIS FOUNDATION Telephone no ▶
P. O. BOX 14315
Located at ▶ SCOTTSDALE AZ ZIP+4 ▶ 85267

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies. Yes No

1a During the year did the foundation (either directly or indirectly)

(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No

(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No

(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No

(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No

(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No

(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No

b If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? N/A | 1b | | |

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

c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2014? N/A | 1c | | |

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 13 , 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) | 2b | 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

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 | | X |

4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |

b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2014? | 4b | | X |

DAA

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

5a	During the year did the foundation pay or incur any amount to			
	(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No			
	(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No			
	(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No			
	(4) Provide a grant to an organization other than a charitable, etc, organization described in section 4945(d)(4)(A)? (see instructions) ☐ Yes ☒ No			
	(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No			
b	If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? N/A	5b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A ☐ Yes ☐ No			
	If "Yes," attach the statement required by Regulations section 53 4945–5(d)			
6a	Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No			
b	Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	6b		X
	If "Yes" to 6b, file Form 8870			
7a	At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No			
b	If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A	7b		

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

1 List all officers, directors, trustees, foundation managers and their compensation (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
CATHERINE ANN HART P O BOX 14315	SCOTTSDALE AZ 85267	PRESIDENT 3 00	0	0	0
SHERRY LYNN COWAN 13456 N HIGHWAY 87	PAYSON AZ 85541	SECR/TREAS 3 00	0	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
NONE				

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

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

3 Five highest-paid independent contractors for professional services (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 ▶		

Part IX-A Summary of Direct Charitable Activities

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

Part IX-B Summary of Program-Related Investments (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	
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	0
b	Average of monthly cash balances		1b	9,110,715
c	Fair market value of all other assets (see instructions)		1c	1,281,594
d	**Total** (add lines 1a, b, and c)		1d	10,392,309
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e 0		
2	Acquisition indebtedness applicable to line 1 assets		2	0
3	Subtract line 2 from line 1d		3	10,392,309
4	Cash deemed held for charitable activities Enter 1½% of line 3 (for greater amount, see instructions)		4	155,885
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4		5	10,236,424
6	**Minimum investment return.** Enter 5% of line 5		6	511,821

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	511,821
2a	Tax on investment income for 2014 from Part VI, line 5	2a 3,009		
b	Income tax for 2014 (This does not include the tax from Part VI)	2b		
c	Add lines 2a and 2b		2c	3,009
3	Distributable amount before adjustments Subtract line 2c from line 1		3	508,812
4	Recoveries of amounts treated as qualifying distributions		4	
5	Add lines 3 and 4		5	508,812
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	508,812

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	493,000
b	Program-related investments – total from Part IX-B	1b	
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	493,000
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions)	5	3,009
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	489,991

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

DAA

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				508,812
2 Undistributed income, if any, as of the end of 2014				
a Enter amount for 2013 only			512,196	
b Total for prior years 20____, 20____, 20____				
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 ▶ $ 493,000				
a Applied to 2013, but not more than line 2a			493,000	
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				
e Remaining amount distributed out of corpus				
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				
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			19,196	
f Undistributed income for 2014 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2015				508,812
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				
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				

DAA

Part XIV Private 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 foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

	Tax year (a) 2014	Prior 3 years (b) 2013	(c) 2012	(d) 2011	(e) Total
2a 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 ▶ [X] if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds If the foundation makes gifts, grants, etc (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

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

N/A

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

N/A

c Any submission deadlines

N/A

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

N/A

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 See Statement 12				493,000
Total			▶ **3a**	493,000
b Approved for future payment N/A				
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					164,649
4 Dividends and interest from securities					127,232
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					4,800
7 Other investment income	541900	158,583			
8 Gain or (loss) from sales of assets other than inventory					163,145
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory					
11 Other revenue a					
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e)		158,583		0	459,826

13 **Total.** Add line 12, columns (b), (d), and (e) 13 618,409

(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	

DAA

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

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

d If the answer to any of the above is "Yes," complete the following schedule Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received

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

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

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship
N/A		

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge

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

Signature of officer or trustee: [signature] Date: 5/6/15 Title: PRESIDENT

Paid Preparer Use Only

Print/Type preparer's name	Preparer's signature	Date	Check ☐ if self-employed
Steven M. Dean, CPA	Steven M. Dean, CPA	05/04/15	PTIN P00963306

Firm's name ▶ Cosse' & Wallace, CPA's

Firm's EIN ▶ 86-0694276

Firm's address ▶ P.O. Box 3969 Sedona, AZ 86340

Phone no 928-282-3040

DAA

Federal Statements

Statement 1 - Form 990-PF, Part I, Line 6a - Sale of Assets

Whom Sold	Date Acquired	Date Sold	How Received	Sale Price	Cost	Expense	Depreciation	Net Gain / Loss
SEE ATTACHED STATEMENTS	Various	Various	Purchase	$	$	$	$	$
UBS PIMCO SUMMARY	Various	Various	Purchase	279,328	280,428			-1,100
UBS PIMCO SUMMARY	Various	Various	Purchase	621,419	631,763			-10,344
UBS PIMCO SUMMARY RETURN OF PRINC.	Various	Various	Purchase	25,392	25,392			
UBS MAC SUMMARY	Various	Various	Purchase	884,749	879,224			5,525
UBS MAC SUMMARY	Various	Various	Purchase	1,169,414	1,121,157			48,257
UBS MAC SUMMARY RETURN OF PRINC	Various	Various	Purchase	122,851	122,851			
UBS INV SUMMARY	Various	Various	Purchase	77,528	73,880			3,648
UBS INV SUMMARY	Various	Various	Purchase	89,076	61,813			27,263
UBS PMP DIV RULER SUMMARY	Various	Various	Purchase	55,134	50,737			4,397
UBS PMP DIV RULER SUMMARY	Various	Various	Purchase	5	7			-2
Total				$ 3,324,896	$ 3,247,252	$ 0	$ 0	$ 77,644

Statement 2 - Form 990-PF, Part I, Line 11 - Other Income

Description	Revenue per Books	Net Investment Income	Adjusted Net Income
CRYOCELL	$ 158,583	$	$ 158,583
Total	$ 158,583	$ 0	$ 158,583

Federal Statements

Statement 3 - Form 990-PF, Part I, Line 16a - Legal Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
Indirect Legal Fees	$ 155	$	$	$
Total	$ 155	$ 0	$ 0	$ 0

Statement 4 - Form 990-PF, Part I, Line 16b - Accounting Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
Indirect Accounting Fees	$ 3,933	$	$	$
Total	$ 3,933	$ 0	$ 0	$ 0

Statement 5 - Form 990-PF, Part I, Line 16c - Other Professional Fees

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
Indirect Other Professional Fees	$ 4,500	$	$	$
Total	$ 4,500	$ 0	$ 0	$ 0

Statement 6 - Form 990-PF, Part I, Line 18 - Taxes

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
FEDERAL INCOME TAX	$ 134,316	$	$	$
AZ TAXES	26,963			
PROPERTY TAXES	40,142			
FOREIGN TAXES PAID INVESTMENT AC	1,269	1,269		
Total	$ 202,690	$ 1,269	$ 0	$ 0

Federal Statements

Statement 7 - Form 990-PF, Part I, Line 23 - Other Expenses

Description	Total	Net Investment	Adjusted Net	Charitable Purpose
	$	$	$	$
Expenses				
DEL RIO 246, LLC	13,600	13,600		
UBS MANAGEMENT FEES	66,432	66,432		
LICENSE/FEES	240			
INSURANCE	16,014			
STORAGE	2,542			
POSTAGE	132			
UTILITIES	333			
Total	$ 99,293	$ 80,032	$ 0	$ 0

Statement 8 - Form 990-PF, Part II, Line 13 - Other Investments

Description	Beginning of Year	End of Year	Basis of Valuation	Fair Market Value
DEL RIO 246, LLC	$ 941,763	$ 928,163	Cost	$ 928,163
TEXAS REVENUE SHARING AGREEMENT	16,645	16,645	Cost	353,431
Total	$ 958,408	$ 944,808		$ 1,281,594

Statement 9 - Form 990-PF, Part II, Line 14 - Land, Building, and Equipment

Description	Beginning Net Book	End Cost / Basis	End Accumulated Depreciation	Net FMV
LAND/BUILDING/FURN/FIXT(SCLC)	$ 3,040,000	$ 3,040,000	$	$ 2,435,000
Total	$ 3,040,000	$ 3,040,000	$ 0	$ 2,435,000

Statement 10 - Form 990-PF, Part III, Line 3 - Other Increases

Description	Amount
BOOK INCOME GREATER THAN 1099/RETURN INCOME	$ 27,451
INVESTMENT EXPENSES NOT ON BOOKS	4,270
FOREIGN TAXES NOT ON BOOKS	1,222
Total	$ 32,943

Statement 11 - Form 990-PF, Part III, Line 5 - Other Decreases

Description	Amount
CRYOCELL 1099 > BOOK INCOME	$ 2,139
NON DEDUCTIBLE PORTION OF CONTR.	3,000
Total	$ 5,139

Federal Statements

Statement 12 - Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year

Name / Address	Address / Relationship	Status	Purpose	Amount
AGRICULTURE EDUCATION FOUNDATION PAYSON AZ 85541	1007 N HILLCREST DRIVE	501 C (3)	CHARITABLE PROGRAM	
AMERICAN HEART ASSOC. TEMPE AZ 85282	2929 S 48TH STREET	501 C (3)	CHARITABLE PROGRAM	5,000
ARIZONA 4-H YOUTH FOUNDATION TUCSON AZ 85721	PO BOX 210036	501 C (3)	CHARITABLE PROGRAM	
ARIZONA ECUMENCIAL COUNCIL BLESSING PHOENIX AZ 85018	4340 E. INDIAN SCHOOL RD.	501 C (3)	CHARITABLE PROGRAM	
ARIZONA STORM VBALL SCHOL PHOENIX AZ 85085	515 E CAREFREE HWY #981	501 C (3)	CHARITABLE PROGRAM	
ARIZONA WOMENS BOARD KDNY PARADISE VALLEY AZ 85253	5921 E INDIAN BEND ROAD	501 C (3)	CHARITABLE PROGRAM	5,000
BANNER HEALTH FOUNDATION PHOENIX AZ 85004	2025 N 3RD STREET	501 C (3)	CHARITABLE PROGRAM	
BARROW NEUROLOGICAL FOUND PHOENIX AZ 85013	350 W THOMAS	501 C (3)	CHARITABLE PROGRAM	
BOARD OF VISITORS SCOTTSDALE AZ 85267	PO BOX 14315	501 C (3)	CHARITABLE PROGRAM	18,000
BROPHY COLLEGE PREPARATORY PHOENIX AZ 85012	4701 N CENTRAL	501 C (3)	CHARITABLE PROGRAM	
BROWN UNIVERSITY PROVIDENCE RI 02912	BOX 1822	501 C (3)	CHARITABLE PROGRAM	35,000
CARING BRIDGE EAGAN MN 55121	1715 YANKEE DOODLE ROAD	501 C (3)	CHARITABLE PROGRAM	
CARNEGIE MELLON UNIVERSITY PITTSBURGH PA 15213	500 FORBES AVENUE	501 C (3)	CHARITABLE PROGRAM	25,000
CHILDRENS HOSPITAL BOSTON BOSTON MA 02115	300 LONGWOOD AVENUE	501 C (3)	CHARITABLE PROGRAM	20,000
CHILDREN'S INSTITUTE OF PITTSBURGH PITTSBURGH PA 15217	1405 SHADY AVENUE	501 C (3)	CHARITABLE PROGRAM	10,000
CRISIS NURSERY PHOENIX AZ 85006	2334 E POLK STREET	501 C (3)	CHARITABLE PROGRAM	6,000
DRUGFREEAZ.ORG PHOENIX AZ 85012	3030 N CENTRAL AVENUE	501 C (3)	CHARTABLE PROGRAM	1,000
FIRECRACKERS AZ SCOTTSDALE AZ 85259	12501 E DOUBLE TREE RANCH	501 C (3)	CHARITABLE PROGRAM	2,000
FACES OF AUTISM SCOTTSDALE AZ 85254	7655 E GELDING DR ST A-3	501 C (3)	CHARITABLE PROGRAM	

Federal Statements

Statement 12 - Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year (continued)

Name / Address	Address / Relationship	Status	Purpose	Amount
GABRIEL'S ANGELS PHOENIX AZ 85014	727 E BETHANY HOME ROAD	501 C (3)	CHARITABLE PROGRAM	5,000
GARDENS FOR HUMANITY SEDONA AZ 86351	2990 VALLEY VISTA DRIVE	501 C (3)	CHARITABLE PROGRAM	3,000
GILA COUNTY COMMUNITY AZ 4H CLUB TUCSON AZ 85721	PO BOX 210036	501 C (3)	CHARITABLE PROGRAM	25,000
GILA COUNTY MOUNTED POSSE PAYSON AZ 85547	PO BOX 1551	501 C (3)	CHARITABLE PROGRAM	35,000
GRACIE LEE MEMORIAL FUND PAYSON AZ 85547	308 E AERO DRIVE	501 C (3)	CHARITABLE PROGRAM	30,000
HOSPICE OF THE VALLEY PHOENIX AZ 85014	1510 E FLOWER STREET	501 C (3)	CHARITABLE PROGRAM	
KITCHEN ON THE STREET PHOENIX AZ 85024	21006 N 22ND STREET #C1	501 C (3)	CHARITABLE PROGRAM	
LOYOLLA ACADEMY PHOENIX AZ 85012	4701 N CENTRAL AVENUE	501 C (3)	CHARITABLE PROGRAM	
MCDOWELL SONORAN CONSERV. SCOTTSDALE AZ 85254	16435 N SCOTTSDALE ROAD	501 C (3)	CHARITABLE PROGRAM	
MEDICINE HORSE CENTER MANCOS CO 81328	PO BOX 1074	501 C (3)	CHARITABLE PROGRAM	
NORTHWESTERN UNIVERSITY EVANSTON IL 60208	1201 DAVIS STREET	501 C (3)	CHARITABLE PROGRAM	10,000
NYC DANCE ALLIANCE FOUND. NEW YORK NY 10024	PO BOX 952	501 C (3)	CHARITABLE PROGRAM	
PAYSON AGRICULTURAL EDUCATIONAL PAYSON AZ 85541	419 UPPER ROUND VALLEY RD	501 C (3)	CHARITABLE PROGRAM	
PAYSON SUPPLY LINE PAYSON AZ 85541	514 E TIMBER DRIVE	501 C (3)	CHARITABLE PROGRAM	
PHOENIX CHRISTIAN UNIFIED SCHOOL PHOENIX AZ 85015	1751 W INDIAN SCHOOL ROAD	501 C (3)	CHARITABLE PROGRAM	1,000
PRINCETON UNIVERSITY PRINCETON NJ 08544	PRINCETON	501 C (3)	CHARITABLE PROGRAM	10,000
RIM COUNTRY ARIZONANS FOR CHILDREN PAYSON AZ 85547	PO BOX 2711	501 C (3)	CHARITABLE PROGRAM	10,000
RYAN HOUSE PHOENIX AZ 85013	110 W MERRELL STREET	501 C (3)	CHARITABLE PROGRAM	

Federal Statements

Statement 12 - Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year (continued)

Name / Address	Address / Relationship	Status	Purpose	Amount
SEDONA CREATIVE LIFE CTR SCOTTSDALE AZ 85267	PO BOX 14315	501 C (3)	CHARITABLE PROGRAM	160,000
SPECTRUM COLLEGE TRANS. SCOTTSDALE AZ 85254	7655 E GELDING DR STE A-3	501 C (3)	CHARITABLE PROGRAM	
ST VINCENT DE PAUL FOOD BANK PAYSON AZ 85547	PO BOX 1317	501 C (3)	CHARITABLE PROGRAM	
THE BOARD OF VISITORS PHOENIX AZ 85016	6245 N 24TH PARKWAY	501 C (3)	CHARITABLE PROGRAM	
THE UNIVERSITY OF ARIZONA FOUND. TUCSON AZ 85721-0109	PO BOX 210109	501 C (3)	CHARITABLE PROGRAM	5,000
TIME OUT, INC. PAYSON AZ 85547	PO BOX 306	501 C (3)	CHARITABLE PROGRAM	45,000
TONTO RIM SEARCH & RESCUE STRAWBERRY AZ 85544	PO BOX 357	501 C (3)	CHARITABLE PROGRAM	
UMOM NEW DAY CENTERS PHOENIX AZ 85008	3333 E VAN BUREN	501 C (3)	CHARITABLE PROGRAM	
UNIVERSITY OF ARIZONA TUCSON AZ 85721	933 N CHERRY AVENUE	501 C (3)	CHARITABLE PROGRAM	
VERDE VALLEY SANCTUARY SEDONA AZ 86339	PO BOX 595	501 C (3)	CHARITABLE PROGRAM	5,000
WEST COAST EQUINE FOUNDATION LOCKEFORD CA 95237	PO BOX 108	501 C (3)	CHARITABLE PROGRAM	15,000
WOMEN'S CENTER AND SHELTER OF PITT. PITTSBURGH PA 15224	PO BOX 9024	501 C (3)	CHARITABLE PROGRAM	1,000
WOUNDED WARRIOR PROJECT JACKSONVILLE FL 32256	4899 BELFORT ROAD	501 C (3)	CHARITABLE PROGRAM	1,000
XAVIER COLLEGE PREPAR. PHOENIX AZ 85012	4710 N 5TH STREET	501 C (3)	CHARITABLE PROGRAM	5,000
XAVIER FOUNDATION, INC PHOENIX AZ 85012	4710 N 5TH STREET	501 C (3)	CHARITABLE PROGRAM	
Total				493,000

UBS FINANCIAL SERVICES INC.

2014 1099-B*

Proceeds from Broker and Barter Exchange Transactions

Account UX 13139

OMB No. 1545-0715

2- SHORT-TERM TRANSACTIONS

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
U S TREASURY INFL NOTE NOTE RATE 0.75 % MATURES 01/15/2017 / CUSIP: 912828A91 / Symbol.							
05/09/14	1,000 000	1,000.98	02/26/14	1,002.29	0 00	-1.31	Sale Original basis: $1,002.46
06/12/14	29,000.000	29,015 86	02/26/14	29,064.18	0.00	-48.32	Sale Original basis: $29,071.37
	Security total.	30,016.84		30,066.47	0.00	-49.63	
U S TREASURY NOTE NOTE RATE 3 625 % MATURES 02/15/2021 / CUSIP. 912828PX2 / Symbol.							
05/09/14	7,000.000	7,680.31	04/08/14	7,631 31	0.00	49.00	Sale Original basis: $7,638.75
11/18/14	7,000.000	7,706.02	04/08/14	7,585.20	0.00	120.82	Sale Original basis: $7,638.75
	Security total.	15,386.33		15,216.51	0.00	169.82	
U S TREASURY INFL NOTE NOTE RATE 1 125 % MATURES 12/31/2019 / CUSIP: 912828UF5 / Symbol.							
09/25/14	7,000 000	6,740.23	02/11/14	6,710 16	0.00	30.07	Sale Original basis: $6,710.16
U S TREASURY INFL NOTE NOTE RATE 1.00 % MATURES 05/31/2018 / CUSIP. 912828VE7 / Symbol:							
02/18/14	4,000.000	3,960.63	02/12/14	3,943.12	0.00	17.51	Sale Original basis: $3,943.12
05/09/14	7,000 000	6,912 50	02/12/14	6,900 47	0.00	12.03	Sale Original basis: $6,900.47
09/09/14	47,000.000	46,276.64	02/12/14	46,331.72	5.86 W	-49.22	Sale Original basis: $46,331.72
	2 tax lots for 09/25/14. Total proceeds (and cost when required) reported to the IRS						
	32,000 000	*31,532 50*	*02/12/14*	*31,545.00*	*0 00*	*-12.50*	*Sale* *Original basis: $31,545 00*
	5,000.000	*4,926.95*	*08/19/14*	*4,958.20*	*0 00*	*-31.25*	*Sale* *Original basis: $4,952.34*
09/25/14	37,000.000	36,459.45	VARIOUS	36,503.20	0.00	-43.75	Total of 2 lots
	Security total.	93,609 22		93,678.51	5.86 W	-63.43	
	Totals:	**145,752.62**		**145,671.65**	**5.86 W**	**86.83**	

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

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

UBS FINANCIAL SERVICES INC. | Account UX 13139

Proceeds from Broker and Barter Exchange Transactions (continued)

2014 1099-B* | OMB No. 1545-0715

SHORT-TERM TRANSACTIONS

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FNMA PL AL0935 04 0000 DUE 05/01/41 FACTOR 0.466514240000 / CUSIP: 3138EHBD3 / Symbol							
05/08/14	19,000 000	10,184 30	04/09/14	10,106 10	0.00	78.20	Sale Note· 25
05/09/14	1,000.000	534.11	04/09/14	531 90	0.00	2.21	Sale Note. 25
10/16/14	7,000.000	3,565 33	04/09/14	3,499 54	0.00	65.79	Sale Note. 25
	Security total.	14,283 74		14,137 54	0.00	146.20	
FNMA PL 00AP990 03.5000 DUE 10/01/42 FACTOR 0.895194120000 / CUSIP. 3138MEAF7 / Symbol:							
02/18/14	4,000.000	3,777.75	02/12/14	3,770.16	0.00	7.59	Sale Note 25
05/08/14	2,000.000	1,902 49	02/12/14	1,874.89	0.00	27.60	Sale Note. 25
	Security total:	5,680 24		5,645 05	0.00	35.19	
FNMA PL AX0726 04 0000 DUE 09/01/44 FACTOR 0.963538290000 / CUSIP· 3138Y1YY5 / Symbol.							
10/16/14	4,000.000	4,226.29	08/25/14	4,206 44	0.00	19 85	Sale Note: 25
FNMA PL AB2266 04.0000 DUE 02/01/41 FACTOR 0.637635240000 / CUSIP· 31416XQU7 / Symbol·							
02/18/14	4,000 000	2,933.82	01/13/14	2,932.50	0.00	1.32	Sale Note· 25
04/07/14	5,000.000	3,627.05	01/13/14	3,617.04	0.00	10.01	Sale Note· 25
	Security total	6,560 87		6,549 54	0.00	11.33	
UNITED STATES TREASURY INFLATION PROTECTION BOND RATE 2 375 % / CUSIP: 912810FR4 / Symbol:							
	2 tax lots for 02/18/14 Total proceeds (and cost when required) reported to the IRS						
	3,000 000	*4,398 85*	*12/10/13*	*4,312.56*	*0 00*	*86.29*	*Sale* *Note 25* *Original basis $4,359 69*
	3,000 000	*4,398.85*	*12/30/13*	*4,293.28*	*0 00*	*105.57*	*Sale* *Note. 25* *Original basis $4,339 25*
02/18/14	6,000.000	8,797.70	VARIOUS	8,605 84	0 00	191.86	Total of 2 lots

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

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

UBS FINANCIAL SERVICES INC. Account UX 13139

Proceeds from Broker and Barter Exchange Transactions (continued)

2014 1099-B* OMB No. 1545-0715

SHORT-TERM TRANSACTIONS

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
UNITED STATES TREASURY INFLATION PROTECTION BOND RATE 2.375 % / CUSIP: 912810FR4 / Symbol: (cont'd)							
	2 tax lots for 02/19/14 Total proceeds (and cost when required) reported to the IRS						
	1,000 000	*1,459 33*	*12/30/13*	*1,431 08*	*0.00*	*28 25*	*Sale* *Note 25* *Original basis. $1,446 42*
	3,000 000	*4,377.98*	*02/11/14*	*4,395 37*	*0 00*	*-17 39*	*Sale* *Note: 25* *Original basis: $4,402.28*
02/19/14	4,000.000	5,837.31	VARIOUS	5,826.45	0.00	10.86	Total of 2 lots
07/10/14	1,000.000	1,526.50	04/15/14	1,499.13	0.00	27.37	Sale Note: 25 Original basis: $1,487.67
	2 tax lots for 07/14/14 Total proceeds (and cost when required) reported to the IRS						
	3,000.000	*4,573.82*	*04/15/14*	*4,498 92*	*0 00*	*74.90*	*Sale* *Note. 25* *Original basis. $4,463 00*
	3,000 000	*4,573 82*	*06/17/14*	*4,515 45*	*0 00*	*58 37*	*Sale* *Note 25* *Original basis $4,540.50*
07/14/14	6,000.000	9,147.64	VARIOUS	9,014.37	0.00	133.27	Total of 2 lots
	Security total:	25,309.15		24,945.79	0.00	363.36	
UNITED STATES TREASURY NOTE ADJUSTABLE RATE 2.50 % MATURES 01/15/2029 / CUSIP. 912810PZ5 / Symbol.							
11/18/14	7,000 000	9,623.42	07/09/14	9,770.76	0.00	-147.34	Sale Note. 25 Original basis. $9,836.92
U S TREASURY INFL NOTE . NOTE RATE 2.00 % MATURES 11/15/2021 / CUSIP. 912828RR3 / Symbol							
02/18/14	4,000.000	3,915.00	05/07/13	4,134.41	0.00	-219.41	Sale Original basis. $4,147 18
U S TREASURY INFL NOTE NOTE RATE 1.125 % MATURES 12/31/2019 / CUSIP 912828UF5 / Symbol:							
09/25/14	10,000.000	9,628 91	11/12/13	9,553.91	0.00	75.00	Sale Original basis: $9,553.91

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

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

UBS FINANCIAL SERVICES INC. **Proceeds from Broker and Barter Exchange Transactions** (continued) Account UX 13139

2014 1099-B* OMB No. 1545-0715

SHORT-TERM TRANSACTIONS

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

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

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
U S TREASURY INFL NOTE NOTE RATE 2.00 % MATURES 02/15/2023 / CUSIP. 912828UN8 / Symbol:							
	4 tax lots for 02/10/14 Total proceeds (and cost when required) reported to the IRS						
	30,000.000	*28,600 78*	*04/02/13*	*30,336 37*	*0.00*	*-1,735.59*	*Sale* *Original basis: $30,365 62*
	10,000 000	*9,533.59*	*07/09/13*	*9,505 08*	*0.00*	*28.51*	*Sale* *Original basis: $9,505 08*
	6,000 000	*5,720 16*	*08/20/13*	*5,601 80*	*0 00*	*118.36*	*Sale* *Original basis: $5,601 80*
	11,000 000	*10,486 95*	*11/12/13*	*10,369 22*	*0 00*	*117 73*	*Sale* *Original basis $10,369 22*
02/10/14	57,000.000	54,341 48	VARIOUS	55,812 47	0.00	-1,470.99	Total of 4 lots
	Totals:	**133,569.10**		**134,755.91**	**0.00**	**-1,186.81**	

LONG-TERM TRANSACTIONS

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

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

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ALLIANZ FIXED INCOME SHARES: SERIES C / CUSIP: 01882B205 / Symbol.							
02/14/14	1,450.000	17,748.00	02/17/10	18,154.00	0.00	-406.00	Sale
05/07/14	3,370 000	41,316.20	02/17/10	42,192 40	0.00	-876.20	Sale
05/09/14	90 000	1,105 20	02/17/10	1,126 80	0.00	-21.60	Sale
06/13/14	660 000	8,137 80	02/17/10	8,263.20	0.00	-125.40	Sale
11/18/14	3,050 000	37,301.50	02/17/10	38,186.00	0 00	-884.50	Sale
	Security total:	105,608 70		107,922.40	0.00	-2,313.70	
ALLIANZ FIXED INCOME SHARES: SERIES M / CUSIP. 01882B304 / Symbol.							
02/14/14	1,640.000	17,630.00	02/17/10	16,055.60	0 00	1,574.40	Sale
05/07/14	3,810.000	40,995.60	02/17/10	37,299.90	0 00	3,695.70	Sale
05/08/14	30 000	323.40	02/17/10	293 70	0.00	29.70	Sale
05/09/14	10.000	107.80	02/17/10	97.90	0.00	9.90	Sale
11/18/14	2,800.000	30,100.00	02/17/10	27,412.00	0.00	2,688.00	Sale
	Security total:	89,156.80		81,159.10	0.00	7,997.70	

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

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

UBS FINANCIAL SERVICES INC. Account UX 13139

Proceeds from Broker and Barter Exchange Transactions (continued)

2014 1099-B* OMB No. 1545-0715

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

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

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FHLMC PL A97046 04 5000 DUE 02/01/41 FACTOR 0.355481900000 / CUSIP. 312945ZK7 / Symbol:							
05/08/14	6,000.000	2,584 50	02/09/11	2,415.42	0.00	169.08	Sale Note· 25
FNMA PL AH3645 04 0000 DUE 02/01/41 FACTOR 0.429775870000 / CUSIP. 3138A5BP6 / Symbol							
04/07/14	10,000 000	4,921 87	04/09/12	4,978 90	0 00	-57.03	Sale Note: 25
10/16/14	167,000.000	78,745 81	04/09/12	78,191.09	0.00	554.72	Sale Note: 25
Security total:		83,667.68		83,169 99	0.00	497.69	
FNMA PL AL2629 05.0000 DUE 06/01/39 FACTOR 0 407700960000 / CUSIP: 3138EJ4P0 / Symbol							
05/09/14	1,000.000	526.96	03/18/13	520.39	0.00	6.57	Sale Note: 25
FNMA PL AP7488 03.5000 DUE 09/01/42 FACTOR 0 795595930000 / CUSIP 3138MBKA3 / Symbol							
05/08/14	21,000.000	18,124.41	10/05/12	18,993.54	0.00	-869.13	Sale Note. 25
05/09/14	1,000 000	859 38	10/05/12	904 45	0.00	-45.07	Sale Note. 25
Security total:		18,983.79		19,897.99	0.00	-914.20	
FNMA PL AD8033 04 0000 DUE 08/01/40 FACTOR 0.345777180000 / CUSIP: 31418V4T6 / Symbol.							
04/07/14	42,000.000	16,934.42	08/07/12	17,345.85	0.00	-411.43	Sale Note. 25
U S TREASURY INFL NOTE . NOTE RATE 2.00 % MATURES 11/15/2021 / CUSIP: 912828RR3 / Symbol:							
05/09/14	5,000.000	4,906.25	05/07/13	5,163.51	0 00	-257.26	Sale Original basis $5,183.99
12/11/14	7,000 000	7,024.34	05/07/13	7,211.92	0.00	-187.58	Sale Original basis $7,257 58
Security total		11,930.59		12,375 43	0.00	-444.84	
U S TREASURY INFL NOTE INFLATION PROTECTION NOTE RATE 0 125 % / CUSIP. 912828TE0 / Symbol:							
2 tax lots for 02/19/14 Total proceeds (and cost when required) reported to the IRS							
	11,000.000	*10,951 12*	*07/24/12*	*12,093 78*	*0.00*	*-1,142.66*	*Sale* *Note 25* *Original basis $11,926 60*

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

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

UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions (continued)

2014 1099-B* Account UX 13139 OMB No. 1545-0715

LONG-TERM TRANSACTIONS

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

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

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
U S TREASURY INFL NOTE INFLATION PROTECTION NOTE RATE 0 125 % / CUSIP: 912828TE0 / Symbol: (cont'd)							
	15,000 000	*14,933 34*	*11/28/12*	*16,609.00*	*0 00*	*-1,675.66*	*Sale* *Note 25* *Original basis. $16,492.52*
02/19/14	26,000 000	25,884 46	VARIOUS	28,702 78	0.00	-2,818.32	Total of 2 lots
05/08/14	20,000.000	20,331 56	11/28/12	22,341 77	0.00	-2,010.21	Sale Note: 25 Original basis. $21,990.03
2 tax lots for 07/08/14 Total proceeds (and cost when required) reported to the IRS							
	37,000.000	*38,288.44*	*11/28/12*	*41,707.81*	*0.00*	*-3,419.37*	*Sale* *Note 25* *Original basis $40,681 55*
	33,000 000	*34,149.15*	*12/07/12*	*37,571 50*	*0 00*	*-3,422.35*	*Sale* *Note. 25* *Original basis $36,657.39*
07/08/14	70,000.000	72,437.59	VARIOUS	79,279 31	0 00	-6,841.72	Total of 2 lots
11/18/14	7,000 000	7,128 23	12/07/12	7,993.04	0 00	-864.81	Sale Note. 25 Original basis. $7,775 81
Security total.		125,781.84		138,316 90	0.00	-12,535.06	
U S TREASURY INFL NOTE NOTE RATE 0 75 % MATURES 10/31/2017 / CUSIP. 912828TW0 / Symbol.							
02/18/14	6,000.000	5,946.80	12/13/12	6,018 53	0.00	-71.73	Sale Original basis: $6,024.38
04/08/14	69,000.000	67,981 17	12/13/12	69,205.36	0.00	-1,224.19	Sale Original basis. $69,280.31
05/09/14	7,000 000	6,920.43	12/13/12	7,020.34	0 00	-99.91	Sale Original basis. $7,028.44
2 tax lots for 11/18/14. Total proceeds (and cost when required) reported to the IRS.							
	8,000 000	*7,950 00*	*12/13/12*	*8,019 77*	*0.00*	*-69.77*	*Sale* *Original basis $8,032 50*
	8,000 000	*7,950.00*	*07/09/13*	*7,825 94*	*0 00*	*124 06*	*Sale* *Original basis $7,825 94*
11/18/14	16,000.000	15,900.00	VARIOUS	15,845.71	0.00	54.29	Total of 2 lots
Security total:		96,748.40		98,089.94	0 00	-1,341.54	

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

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

UBS FINANCIAL SERVICES INC. Account UX 13139

Proceeds from Broker and Barter Exchange Transactions (continued)

2014 1099-B* OMB No. 1545-0715

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional Information
U S TREASURY INFL NOTE NOTE RATE 1 125 % MATURES 12/31/2019 / CUSIP: 912828UF5 / Symbol:							
02/18/14	4,000.000	3,848.91	01/09/13	3,964.06	0.00	-115.15	Sale Original basis: $3,964 06
05/09/14	7,000.000	6,731.48	01/09/13	6,937.11	0.00	-205.63	Sale Original basis: $6,937.11
08/19/14	25,000.000	24,250 98	01/09/13	24,775 39	0 00	-524.41	Sale Original basis: $24,775 39
	3 tax lots for 09/25/14 Total proceeds (and cost when required) reported to the IRS.						
	17,000.000	*16,369 14*	*01/09/13*	*16,847 27*	*0.00*	*-478.13*	*Sale* *Original basis. $16,847 27*
	13,000.000	*12,517.58*	*08/13/13*	*12,356.60*	*0.00*	*160.98*	*Sale* *Original basis: $12,356.60*
	6,000.000	*5,777.34*	*09/17/13*	*5,669.06*	*0 00*	*108.28*	*Sale* *Original basis $5,669 06*
09/25/14	36,000.000	34,664.06	VARIOUS	34,872.93	0 00	-208.87	Total of 3 lots
	Security total:	69,495.43		70,549.49	0.00	-1,054.06	
	Totals:	**621,419.11**		**631,762.90**	**0.00**	**-10,343.79**	

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

Consult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long-term or short-term.

Report on Form 8949 Use either Part I with Box B checked or Part II with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional Information
FHLMC PL A97046 04.5000 DUE 02/01/41 FACTOR 0.355481900000 / CUSIP: 312945ZK7 / Symbol:							
02/15/14	0.000	441.41	N/A	0.00	0.00	0.00	Principal payment
03/15/14	0.000	603.70	N/A	0 00	0 00	0.00	Principal payment
04/15/14	0 000	598 02	N/A	0.00	0.00	0.00	Principal payment
05/15/14	0.000	716.31	N/A	0.00	0 00	0.00	Principal payment
06/15/14	0.000	703 17	N/A	0.00	0.00	0.00	Principal payment
07/15/14	0.000	589 88	N/A	0 00	0.00	0.00	Principal payment
08/15/14	0.000	967.73	N/A	0 00	0 00	0.00	Principal payment
09/15/14	0.000	474 04	N/A	0.00	0.00	0.00	Principal payment
10/15/14	0 000	926.73	N/A	0.00	0.00	0.00	Principal payment
11/15/14	0.000	623.23	N/A	0.00	0.00	0.00	Principal payment

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

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

UBS FINANCIAL SERVICES INC. | Account UX 13139
Proceeds from Broker and Barter Exchange Transactions
2014 1099-B* (continued) OMB No. 1545-0715

UNDETERMINED-TERM TRANSACTIONS

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

Cousult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long-term or short-term. Report on Form 8949 Use either Part I with Box B checked or Part II with Box E checked.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FHLMC PL A97046 04.5000 DUE 02/01/41 FACTOR 0.355481900000 / CUSIP: 312945ZK7 / Symbol: (cont'd)							
12/15/14	0.000	381.39	N/A	0 00	0.00	0.00	Principal payment
01/15/15	0.000	658.19	N/A	0.00	...	0.00	Principal payment
Security total.		7,683.80		0.00	0.00	0.00	
FHLMC PL Q28457 03.5000 DUE 09/01/44 FACTOR 0.989333600000 / CUSIP: 3132M9B29 / Symbol:							
10/15/14	0.000	5.57	N/A	0.00	0.00	0.00	Principal payment
11/15/14	0.000	29.44	N/A	0.00	0.00	0.00	Principal payment
12/15/14	0.000	7.65	N/A	0.00	0 00	0.00	Principal payment
01/15/15	0.000	14.86	N/A	0 00	...	0.00	Principal payment
Security total.		57.52		0.00	0.00	0.00	
FNMA PL AH3645 04.0000 DUE 02/01/41 FACTOR 0 429775870000 / CUSIP: 3138A5BP6 / Symbol:							
02/25/14	0 000	674.17	N/A	0.00	0 00	0.00	Principal payment
03/25/14	0.000	1,016.75	N/A	0.00	0.00	0.00	Principal payment
04/25/14	0.000	673.56	N/A	0.00	0.00	0.00	Principal payment
05/25/14	0 000	828.51	N/A	0 00	0.00	0.00	Principal payment
06/25/14	0.000	757.69	N/A	0.00	0.00	0.00	Principal payment
07/25/14	0 000	747.64	N/A	0 00	0.00	0.00	Principal payment
08/25/14	0.000	583.77	N/A	0.00	0.00	0.00	Principal payment
09/25/14	0.000	1,271 78	N/A	0.00	0.00	0.00	Principal payment
10/25/14	0.000	499.06	N/A	0 00	0.00	0.00	Principal payment
Security total.		7,052.93		0.00	0.00	0.00	
FNMA PL AI5587 05 0000 DUE 07/01/41 FACTOR 0 676148510000 / CUSIP 3138AKF53 / Symbol.							
11/25/14	0.000	12.81	N/A	0.00	0 00	0.00	Principal payment
12/25/14	0.000	2 64	N/A	0.00	0.00	0.00	Principal payment
01/25/15	0.000	7.84	N/A	0.00	...	0.00	Principal payment
Security total:		23.29		0.00	0.00	0.00	
FNMA PL AL0935 04 0000 DUE 05/01/41 FACTOR 0 466514240000 / CUSIP. 3138EHBD3 / Symbol.							
05/25/14	0.000	156.75	N/A	0.00	0.00	0.00	Principal payment
06/25/14	0.000	37.33	N/A	0.00	0.00	0.00	Principal payment
07/25/14	0.000	44.86	N/A	0 00	0.00	0.00	Principal payment
08/25/14	0 000	56.77	N/A	0.00	0.00	0.00	Principal payment
09/25/14	0.000	40.63	N/A	0.00	0 00	0.00	Principal payment
10/25/14	0.000	34.52	N/A	0.00	0.00	0.00	Principal payment

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

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

UBS FINANCIAL SERVICES INC. Account UX 13139

Proceeds from Broker and Barter Exchange Transactions

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

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

Consult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long-term or short-term.
Report on Form 8949. Use either Part I with Box B checked or Part II with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
	Security total:	370.86		0.00	0.00	0.00	
FNMA PL AL2629 05 0000 DUE 06/01/39 FACTOR 0.407700960000 / CUSIP: 3138EJ4P0 / Symbol.							
02/25/14	0.000	352.19	N/A	0.00	0.00	0.00	Principal payment
03/25/14	0.000	263.59	N/A	0.00	0.00	0.00	Principal payment
04/25/14	0.000	333.57	N/A	0.00	0.00	0.00	Principal payment
05/25/14	0.000	313.70	N/A	0.00	0.00	0.00	Principal payment
06/25/14	0.000	331.83	N/A	0.00	0.00	0.00	Principal payment
07/25/14	0.000	328.41	N/A	0 00	0.00	0.00	Principal payment
08/25/14	0.000	259.44	N/A	0 00	0.00	0.00	Principal payment
09/25/14	0.000	304 03	N/A	0.00	0.00	0.00	Principal payment
10/25/14	0.000	304.44	N/A	0.00	0.00	0.00	Principal payment
11/25/14	0.000	302.21	N/A	0.00	0.00	0.00	Principal payment
12/25/14	0.000	201.89	N/A	0.00	0.00	0.00	Principal payment
01/25/15	0.000	264.59	N/A	0.00	...	0.00	Principal payment
	Security total:	3,559.89		0.00	0.00	0.00	
FNMA PL AL5369 04.5000 DUE 05/01/44 FACTOR 0.834736960000 / CUSIP: 3138EM6F3 / Symbol:							
11/25/14	0.000	159.91	N/A	0.00	0.00	0.00	Principal payment
12/25/14	0.000	90.98	N/A	0.00	0.00	0.00	Principal payment
01/25/15	0.000	33.19	N/A	0.00		0.00	Principal payment
	Security total:	284.08		0.00	0.00	0.00	
FNMA PL AP7488 03 5000 DUE 09/01/42 FACTOR 0 795595930000 / CUSIP: 3138MBKA3 / Symbol.							
02/25/14	0.000	473.79	N/A	0.00	0.00	0.00	Principal payment
03/25/14	0.000	584.34	N/A	0.00	0.00	0.00	Principal payment
04/25/14	0.000	458.55	N/A	0.00	0.00	0.00	Principal payment
05/25/14	0.000	324 96	N/A	0.00	0.00	0.00	Principal payment
06/25/14	0 000	353.87	N/A	0.00	0.00	0.00	Principal payment
07/25/14	0.000	425.44	N/A	0.00	0.00	0.00	Principal payment
08/25/14	0.000	452.85	N/A	0.00	0.00	0.00	Principal payment
09/25/14	0.000	459 23	N/A	0.00	0.00	0.00	Principal payment
10/25/14	0.000	296.90	N/A	0 00	0.00	0.00	Principal payment
11/25/14	0.000	648.39	N/A	0 00	0.00	0.00	Principal payment
12/25/14	0.000	672 82	N/A	0.00	0.00	0.00	Principal payment
01/25/15	0 000	193.33	N/A	0.00	...	0.00	Principal payment
	Security total:	5,344.47		0.00	0.00	0.00	

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

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

UBS FINANCIAL SERVICES INC. | Account UX 13139

Proceeds from Broker and Barter Exchange Transactions (continued)

2014 1099-B* | OMB No. 1545-0715

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

Consult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long-term or short-term.
Report on Form 8949 Use either Part I with Box B checked or Part II with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FNMA PL 00AP990 03 5000 DUE 10/01/42 FACTOR 0 895194120000 / CUSIP 3138MEAF7 / Symbol.							
03/25/14	0.000	3.53	N/A	0.00	0.00	0.00	Principal payment
04/25/14	0.000	3.35	N/A	0 00	0.00	0.00	Principal payment
05/25/14	0 000	3.22	N/A	0.00	0.00	0.00	Principal payment
Security total:		10.10		0.00	0.00	0.00	
FNMA PL AX0726 04.0000 DUE 09/01/44 FACTOR 0.963538290000 / CUSIP. 3138Y1YY5 / Symbol·							
09/25/14	0.000	5 48	N/A	0.00	0.00	0.00	Principal payment
10/25/14	0.000	25.01	N/A	0.00	0.00	0.00	Principal payment
Security total:		30 49		0.00	0.00	0.00	
FNMA PL AB2266 04.0000 DUE 02/01/41 FACTOR 0.637635240000 / CUSIP. 31416XQU7 / Symbol:							
02/25/14	0.000	33.57	N/A	0.00	0.00	0.00	Principal payment
03/25/14	0.000	23 84	N/A	0.00	0.00	0.00	Principal payment
04/25/14	0.000	22.69	N/A	0.00	0.00	0.00	Principal payment
Security total.		80 10		0 00	0.00	0.00	
FNMA PL AB7079 03.0000 DUE 11/01/42 FACTOR 0 892459040000 / CUSIP 31417D2M4 / Symbol:							
02/25/14	0.000	292.22	N/A	0 00	0.00	0.00	Principal payment
FNMA PL AD8033 04 0000 DUE 08/01/40 FACTOR 0.345777180000 / CUSIP. 31418V4T6 / Symbol							
02/25/14	0.000	192 89	N/A	0.00	0.00	0.00	Principal payment
03/25/14	0.000	214.18	N/A	0 00	0 00	0.00	Principal payment
04/25/14	0.000	195.20	N/A	0 00	0.00	0.00	Principal payment
Security total·		602 27		0.00	0.00	0.00	
Totals:		**25,392.02**		**0.00**	**0.00**	**0.00**	

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**
**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS. For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS.

UBS FINANCIAL SERVICES INC. Account UX 13138

Proceeds from Broker and Barter Exchange Transactions

2014 1099-B* OMB No. 1545-0715

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	1b- Date acquired	1e- Cost or other basis	1g- Adjustments & 1f- Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
BOSTON PROPERTIES INC NOTE RATE 3 125 % MATURES 09/01/2023 CALLABLE / CUSIP. 10112RAV6 / Symbol							
06/16/14	49,000 000	47,185 53	02/06/14	45,937 99	0 00	1,247 54	Sale Original basis. $45,937 99
CITIGROUP INC RATE 5 875 % MATURES 02/22/2033 DATED DATE 02/19/2003 / CUSIP· 172967BU4 / Symbol·							
07/22/14	10,000.000	11,246.50	06/17/14	11,146.78	0 00	99 72	Sale Original basis $11,150 50
11/13/14	25,000.000	28,225.75	06/17/14	27,837 29	0.00	388 46	Sale Original basis· $27,876 25
	Security total·	39,472 25		38,984 07	0 00	488.18	
GOLDMAN SACHS GROUP INC MW@+30BP NOTE RATE 6.75 % MATURES 10/01/2037 CALLABLE / CUSIP: 38141GFD1 / Symbol							
07/22/14	15,000 000	18,020 25	06/24/14	18,079 64	0.00	-59 39	Sale Original basis. $18,085.05
JPMORGAN CHASE & CO RATE 3.375 % MATURES 05/01/2023 / CUSIP· 46625HJJ0 / Symbol:							
05/06/14	39,000.000	37,607.70	01/10/14	36,906.48	0.00	701 22	Sale Original basis: $36,906 48
TEVA PHARMACEUT FIN RATE 2.95 % MATURES 12/18/2022 / CUSIP: 88165FAG7 / Symbol:							
04/28/14	40,000.000	37,982.00	02/05/14	37,116.40	0 00	865 60	Sale Original basis· $37,116 40
U S TREASURY INFL NOTE NOTE RATE 2 125 % MATURES 06/30/2021 / CUSIP· 912828WR7 / Symbol·							
	3 tax lots for 12/29/14 Total proceeds (and cost when required) reported to the IRS						
	112,000 000	*112,879 37*	*07/22/14*	*111.951 87*	*0 00*	*927 50*	*Sale* *Original basis $111,951 87*
	133,000 000	*134,044.26*	*07/25/14*	*132,880 51*	*0 00*	*1,163 75*	*Sale* *Original basis $132,880 51*
	33,000 000	*33,259 10*	*07/28/14*	*32,927 81*	*0 00*	*331.29*	*Sale* *Original basis $32,927 81*
12/29/14	278,000.000	280,182 73	VARIOUS	277,760 19	0 00	2,422 54	Total of 3 lots
	Totals:	**460,450.46**		**454,784.77**	**0.00**	**5,665.69**	

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

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

UBS FINANCIAL SERVICES INC. Account UX 13138

Proceeds from Broker and Barter Exchange Transactions
(continued)

2014 1099-B* OMB No. 1545-0715

SHORT-TERM TRANSACTIONS
Report on Form 8949, Part I, with Box B checked

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
AMERICAN EXPRESS CRD CORP RATE 2 125 % MATURES 07/27/2018 / CUSIP 0258M0DJ5 / Symbol.							
06/16/14	27,000 000	27,374.49	07/24/13	26,971.92	0.00	402 57	Sale Original basis $26,971 92
APPLE INC RATE 3.85 % MATURES 05/04/2043 DATED DATE 05/03/2013 / CUSIP 037833AL4 / Symbol:							
04/29/14	19,000 000	17,175.81	05/10/13	18,302.13	0.00	-1,126 32	Sale Original basis· $18,302 13
BANK MONTREAL MEDIUM TERM NOTE RATE 2.375 % MATURES 01/25/2019 CALLABLE / CUSIP: 06367VHL2 / Symbol							
06/16/14	27,000.000	27,379.08	09/25/13	26,992 44	0.00	386.64	Sale Original basis· $26,992 44
LBUBS 2006-C1 A-4 DUE 02/15/31 05 1560 FACTOR 0 976721225113 / CUSIP· 52108MDH3 / Symbol.							
11/21/14	50,000 000	50,335 79	10/07/14	51,789 12	0 00	-1,453.33	Sale Note· 25 Original basis· $1,013.73
U S TREASURY INFL NOTE NOTE RATE 0.25 % MATURES 07/31/2015 / CUSIP: 912828VN7 / Symbol:							
07/16/14	256,000 000	256,290 00	08/20/13	255,550.00	0 00	740 00	Sale Original basis: $255,550 00
UNITEDHEALTH GROUP INC NOTE RATE 1 625 % MATURES 03/15/2019 / CUSIP: 91324PCB6 / Symbol:							
02/05/14	27,000 000	26,488.35	02/25/13	26,891.73	0 00	-403 38	Sale Original basis $26,891.73
VERIZON COMMUNICATIONS INC RATE 5 15 % MATURES 09/15/2023 / CUSIP: 92343VBR4 / Symbol:							
01/09/14	18,000 000	19,254 78	09/11/13	17,941.68	0 00	1,313 10	Sale Original basis $17,941 68
	Totals:	**424,298.30**		**424,439.02**	**0.00**	**-140.72**	

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

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

UBS FINANCIAL SERVICES INC. Account UX 13138

Proceeds from Broker and Barter Exchange Transactions

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

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

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

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ALTRIA GROUP INC RATE 4 25 % MATURES 08/09/2042 DATED DATE 08/09/2012 / CUSIP· 02209SAM5 / Symbol·							
07/21/14	37,000.000	34,425.17	08/15/12	35,303.92	0 00	-878 75	Sale Original basis: $35,303 92
BP CAPITAL MARKETS PLC RATE 3.245 % MATURES 05/06/2022 / CUSIP. 05565QBZ0 / Symbol:							
11/12/14	27,000 000	26,976 78	05/02/12	27,000 00	0 00	-23 22	Sale Original basis· $27,000 00
BK OF AMER CORP RATE 1 50 % MATURES 10/09/2015 MAY BE CALLABLE / CUSIP: 06051GER6 / Symbol:							
	2 tax lots for 06/24/14 Total proceeds (and cost when required) reported to the IRS.						
	15,000 000	*15,132.00*	*10/04/12*	*14,992 50*	*0 00*	*139 50*	*Sale* *Original basis $14,992 50*
	13,000.000	*13,114 40*	*02/04/13*	*13,023 57*	*0 00*	*90 83*	*Sale* *Original basis $13,048 49*
06/24/14	28,000 000	28,246.40	VARIOUS	28,016 07	0 00	230 33	Total of 2 lots
BOSTON PROPERTIES INC RATE 4.125 % MATURES 05/15/2021 / CUSIP 10112RAS3 / Symbol:							
	2 tax lots for 02/06/14 Total proceeds (and cost when required) reported to the IRS						
	36,000 000	*37,672 56*	*11/08/10*	*35,733 60*	*0 00*	*1,938.96*	*Sale* *Original basis· $35,733 60*
	9,000 000	*9,418 14*	*12/16/10*	*8,417 07*	*0 00*	*1,001 07*	*Sale* *Original basis $8,417 07*
02/06/14	45,000 000	47,090.70	VARIOUS	44,150.67	0 00	2,940 03	Total of 2 lots
CIGNA CORP RATE 4 00 % MATURES 02/15/2022 CALLABLE DATED DATE 11/10/2011 / CUSIP. 125509BS7 / Symbol.							
06/16/14	34,000 000	35,902 64	04/25/12	34,735 51	0 00	1,167 13	Sale Original basis. $34,907 12
CENTURYLINK INC RATE 5.625 % MATURES 04/01/2020 DATED DATE 03/21/2013 / CUSIP: 156700AW6 / Symbol							
07/24/14	30,000 000	31,284 00	03/28/13	30,628 20	0 00	655 80	Sale Original basis $30,750 00
CITIGROUP INC NOTE RATE 6 125 % MATURES 05/15/2018 / CUSIP: 172967ES6 / Symbol:							
06/17/14	18,000.000	20,660 76	02/13/12	19,371 27	0 00	1,289 49	Sale Original basis $20,097 72

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

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

UBS FINANCIAL SERVICES INC.

Proceeds from Broker and Barter Exchange Transactions

(continued)

Account UX 13138

2014 1099-B*

OMB No. 1545-0715

LONG-TERM TRANSACTIONS

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
COMCAST CORP NEW RATE 4 25 % MATURES 01/15/2033 DATED DATE 01/14/2013 / CUSIP. 20030NBH3 / Symbol·							
07/23/14	37,000 000	38,252.82	01/09/13	36,582.27	0 00	1,670 55	Sale Original basis: $36,582 27
CYRUSONE LP NOTE RATE 6 375 % MATURES 11/15/2022 CALLABLE DATED DATE 05/15/2013 / CUSIP: 23283PAB0 / Symbol·							
08/11/14	8,000 000	8,402 56	07/08/13	8,180 00	0.00	222 56	Sale Original basis $8,180 00
08/14/14	14,000 000	14,770.00	07/08/13	14,315 00	0.00	455.00	Sale Original basis· $14,315.00
Security total:		23,172.56		22,495 00	0.00	677 56	
DIRECTV HLDGS LLC NOTE RATE 6 375 % MATURES 03/01/2041 / CUSIP: 25459HAZ8 / Symbol·							
10/27/14	31,000.000	36,463.75	04/11/12	34,556 93	0 00	1,906 82	Sale Original basis· $34,700 47
EBAY INC RATE 4.00 % MATURES 07/15/2042 CALLABLE DATED DATE 07/24/2012 / CUSIP· 278642AF0 / Symbol:							
07/21/14	17,000 000	15,297.45	07/20/12	17,131 72	0 00	-1,834.27	Sale Original basis· $17,136 68
GS 2011-GC5 A-4 DUE 08/10/44 03.7070 FACTOR 1 000000000000 / CUSIP· 36191YBB3 / Symbol:							
10/01/14	48,000.000	50,615 63	09/22/11	48,476.93	0 00	2,138.70	Sale Note 25
GOLDMAN SACHS GROUP INC RATE 5.75 % MATURES 01/24/2022 / CUSIP. 38141GGS7 / Symbol:							
06/24/14	33,000 000	38,158 89	08/17/12	35,299 92	0 00	2,858 97	Sale Original basis $35,750 55
HUNTSMAN INTL LLC NOTE RATE 8.625 % MATURES 03/15/2021 CALLABLE / CUSIP: 44701QAX0 / Symbol:							
10/27/14	19,000 000	20,567.50	10/27/11	19,285.00	0 00	1,282 50	Sale Original basis $19,285 00
ICAHN ENTERPRISES L P / ICAHN NOTE RATE 8.00 % MATURES 01/15/2018 CALLABLE / CUSIP 451102AH0 / Symbol:							
01/21/14	18,000.000	18,765.00	07/28/10	17,977.50	0.00	787 50	Bond call Original basis $17,977.50
INTELSAT JACKSON HLDGS LTD NOTE RATE 7 25 % MATURES 10/15/2020 CALLABLE / CUSIP: 45824TAC9 / Symbol.							
10/27/14	22,000 000	23,485.44	04/17/12	22,805 00	0 00	680 44	Sale Original basis $22,825 00

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

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

UBS FINANCIAL SERVICES INC. Account UX 13138

2014 1099-B*

Proceeds from Broker and Barter Exchange Transactions
(continued)

OMB No. 1545-0715

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
1a- Description of property/CUSIP/Symbol							
J P MORGAN CHASE & CO RATE 4.50 % MATURES 01/24/2022 / CUSIP 46625HJD3 / Symbol:							
01/10/14	34,000.000	36,407.20	04/20/12	35,495 41	0 00	911.79	Sale Original basis: $35,760 52
JEFFERIES GROUP INC B/E 6 875% 041521 DTD062810 CALL @ MW +50BP / CUSIP: 472319AH5 / Symbol:							
07/22/14	44,000 000	52,016 80	06/23/10	43,561 32	0 00	8,455 48	Sale Original basis: $43,561 32
LYB INTL FIN B V RATE 4.00 % MATURES 07/15/2023 DATED DATE 07/16/2013 / CUSIP: 50247VAA7 / Symbol:							
07/25/14	16,000 000	16,811.52	07/11/13	15,788.48	0 00	1,023.04	Sale Original basis: $15,788 48
LIFE TECHNOLOGIES CORP NOTE RATE 6.00 % MATURES 03/01/2020 / CUSIP. 53217VAC3 / Symbol:							
07/28/14	39,000 000	45,263 79	02/19/10	39,324 02	0 00	5,939 77	Sale Original basis: $39,516 75
MOLSON COORS BREWING CO RATE 5.00 % MATURES 05/01/2042 / CUSIP: 60871RAD2 / Symbol:							
09/22/14	20,000.000	20,227 00	04/03/13	21,501 37	0 00	-1,274 37	Sale Original basis $21,540 60
09/23/14	9,000 000	9,073.71	04/03/13	9,675 58	0.00	-601 87	Sale Original basis: $9,693.27
	Security total:	29,300 71		31,176.95	0 00	-1,876 24	
NASDAQ OMX GROUP (THE) CALL@MW+40 BP RATE 5.25 % MATURES 01/16/2018 / CUSIP: 631103AE8 / Symbol:							
07/24/14	17,000 000	18,703 40	12/17/10	16,858 73	0 00	1,844 67	Sale Note 25 Original basis. $16,858.73
NATL MONEY MART CO NTS 10.375% 121516 DTD061510 FC121510 B/E / CUSIP: 637004AC6 / Symbol:							
	2 tax lots for 02/03/14 Total proceeds (and cost when required) reported to the IRS						
	7,000 000	*6,825 00*	*10/14/10*	*7,348.63*	*0 00*	*-523 63*	*Sale* *Original basis $7,525 00*
	7,000 000	*6,842 50*	*10/14/10*	*7,348 63*	*0 00*	*-506 13*	*Sale* *Original basis $7,525 00*
02/03/14	14,000 000	13,667 50	VARIOUS	14,697 26	0 00	-1,029 76	Total of 2 lots
02/04/14	3,000 000	2,925 00	10/14/10	3,149.28	0.00	-224.28	Sale Original basis $3,225 00
	Security total	16,592 50		17,846.54	0 00	-1,254 04	

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

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

UBS FINANCIAL SERVICES INC. Account UX 13138

Proceeds from Broker and Barter Exchange Transactions
(continued)

2014 1099-B* OMB No 1545-0715

LONG-TERM TRANSACTIONS

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

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

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional Information
OMNICOM GROUP INC MW@30 MEDIUM TERM NOTE RATE 3.625 % MATURES 05/01/2022 / CUSIP. 681919AZ9 / Symbol							
07/23/14	34,000 000	34,873 80	08/10/12	35,331.13	0 00	-457 33	Sale Original basis $35,619 42
PLAINS EXPLORATION & PROD CO RATE 6 625 % MATURES 05/01/2021 CALLABLE / CUSIP. 726505AK6 / Symbol:							
04/30/14	8,000 000	8,530.00	04/01/11	8,030.00	0 00	500.00	Sale Original basis· $8,030 00
09/11/14	14,000 000	15,498 00	04/01/11	14,052 50	0.00	1,445.50	Sale Original basis $14,052 50
Security total·		24,028 00		22,082 50	0.00	1,945 50	
PRIDE INTL INC (DELA) NOTE RATE 8.50 % MATURES 06/15/2019 / CUSIP 74153QAG7 / Symbol:							
11/12/14	38,000 000	46,524.16	04/16/10	40,937.32	0.00	5,586.84	Sale Original basis· $43,118 60
REGIONS FINANCIAL NTS 07.750% 111014 DTD111009 FC051010 B/E / CUSIP: 7591EPAF7 / Symbol·							
06/16/14	6,000 000	6,157 14	03/09/10	6,028.88	0.00	128 26	Sale Original basis: $6,296 16
RELIANCE STEEL & ALUMINUM CO MEDIUM TERM NOTE RATE 4.50 % MATURES 04/15/2023 CALLABLE / CUSIP. 759509AE2 / Symbol:							
07/21/14	35,000.000	36,173 20	04/17/13	35,239 38	0 00	933 82	Sale Original basis $35,267 05
RIO TINTO FIN LTD COUNTRY. AU NOTE RATE 9 00 % MATURES 05/01/2019 / CUSIP: 767201AH9 / Symbol:							
02/06/14	26,000 000	34,092 76	02/19/10	30,391 79	0 00	3,700 97	Sale Note: 25 Original basis $33,017 66
TEVA PHARMA FIN IV LLC RATE 2.25 % MATURES 03/18/2020 / CUSIP: 88166HAD9 / Symbol.							
02/05/14	37,000 000	35,276 17	12/14/12	37,319 66	0 00	-2,043 49	Sale Original basis $37,374 44
TIME WARNER INC RATE 5 375 % MATURES 10/15/2041 DATED DATE 10/17/2011 / CUSIP· 887317AM7 / Symbol·							
07/21/14	17,000 000	18,368 33	10/13/11	17,170.39	0.00	1,197 94	Sale Original basis· $17,177 65

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

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

UBS FINANCIAL SERVICES INC. Account UX 13138

Proceeds from Broker and Barter Exchange Transactions
(continued)

2014 1099-B* OMB No. 1545-0715

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
U S TREASURY INFL NOTE NOTE RATE 0.25 % MATURES 04/15/2016 / CUSIP: 912828UW8 / Symbol:							
	3 tax lots for 12/19/14 Total proceeds (and cost when required) reported to the IRS						
	28,000 000	*27,949 69*	*04/25/13*	*27,926 72*	*0 00*	*22 97*	*Sale* *Original basis $27,926 72*
	120,000.000	*119,784 37*	*05/23/13*	*119,460 94*	*0 00*	*323 43*	*Sale* *Original basis $119,460 94*
	40,000 000	*39,928 13*	*05/31/13*	*39,714 06*	*0 00*	*214 07*	*Sale* *Original basis $39 714 06*
12/19/14	188,000 000	187,662.19	VARIOUS	187,101 72	0 00	560 47	Total of 3 lots
WEYERHAEUSER CO RATE 7 375 % MATURES 10/01/2019 DATED DATE 10/01/2009 / CUSIP: 962166BV5 / Symbol:							
07/11/14	34,000.000	41,797.22	05/13/10	35,686 60	0 00	6,110 62	Sale Original basis $36,693 14
	Totals:	**1,169,414.38**		**1,121,156.73**	**0.00**	**48,257.65**	

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

Consult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long-term or short-term.
Report on Form 8949. Use either Part I with Box B checked or Part II with Box E checked.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FNMA PL AI1190 04 5000 DUE 04/01/41 FACTOR 0 556088130000 / CUSIP 3138AEKC6 / Symbol:							
02/25/14	0 000	325.69	N/A	0.00	0 00	0 00	Principal payment
03/25/14	0.000	165.17	N/A	0 00	0 00	0 00	Principal payment
04/25/14	0.000	329 49	N/A	0.00	0 00	0 00	Principal payment
05/25/14	0 000	430 81	N/A	0.00	0 00	0 00	Principal payment
06/25/14	0.000	496 82	N/A	0.00	0 00	0.00	Principal payment
07/25/14	0.000	334 44	N/A	0 00	0 00	0 00	Principal payment
08/25/14	0.000	464.46	N/A	0.00	0 00	0 00	Principal payment
09/25/14	0 000	373.04	N/A	0.00	0.00	0 00	Principal payment
10/25/14	0.000	444 78	N/A	0.00	0.00	0 00	Principal payment
11/25/14	0.000	287 53	N/A	0 00	0 00	0 00	Principal payment
12/25/14	0 000	303 50	N/A	0 00	0 00	0.00	Principal payment
01/25/15	0.000	549 11	N/A	0.00	...	0 00	Principal payment
	Security total:	4,504 84		0 00	0 00	0 00	

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

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

UBS FINANCIAL SERVICES INC. Account UX 13138

Proceeds from Broker and Barter Exchange Transactions
(continued)

2014 1099-B* OMB No. 1545-0715

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

Consult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long-term or short-term.
Report on Form 8949. Use either Part I with Box B checked or Part II with Box E checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FNMA PL AI1191 04.5000 DUE 04/01/41 FACTOR 0.542395150000 / CUSIP: 3138AEKD4 / Symbol:							
02/25/14	0.000	622 72	N/A	0.00	0.00	0 00	Principal payment
03/25/14	0.000	995 33	N/A	0.00	0 00	0 00	Principal payment
04/25/14	0.000	1,738 33	N/A	0.00	0 00	0 00	Principal payment
05/25/14	0.000	764 75	N/A	0.00	0 00	0 00	Principal payment
06/25/14	0 000	510.10	N/A	0.00	0.00	0.00	Principal payment
07/25/14	0 000	1,441.58	N/A	0 00	0 00	0 00	Principal payment
08/25/14	0 000	981 45	N/A	0.00	0 00	0 00	Principal payment
09/25/14	0.000	1,040.96	N/A	0.00	0 00	0.00	Principal payment
10/25/14	0.000	626.71	N/A	0.00	0 00	0.00	Principal payment
11/25/14	0.000	1,248.42	N/A	0.00	0.00	0.00	Principal payment
12/25/14	0 000	386 47	N/A	0 00	0 00	0.00	Principal payment
01/25/15	0 000	1,171 74	N/A	0.00	..	0 00	Principal payment
Security total:		11,528 56		0 00	0 00	0 00	
FNMA PL AL0393 04 5000 DUE 06/01/41 FACTOR 0 471599090000 / CUSIP: 3138EGNK6 / Symbol:							
02/25/14	0.000	1,855.90	N/A	0.00	0.00	0.00	Principal payment
03/25/14	0.000	1,113.98	N/A	0 00	0 00	0 00	Principal payment
04/25/14	0.000	1,186 98	N/A	0 00	0 00	0 00	Principal payment
05/25/14	0.000	1,614 33	N/A	0.00	0 00	0.00	Principal payment
06/25/14	0.000	1,181 84	N/A	0.00	0.00	0 00	Principal payment
07/25/14	0 000	1,083 01	N/A	0.00	0.00	0.00	Principal payment
08/25/14	0 000	1,245 68	N/A	0 00	0.00	0 00	Principal payment
09/25/14	0.000	1,460 35	N/A	0.00	0.00	0.00	Principal payment
10/25/14	0.000	1,581.95	N/A	0 00	0.00	0.00	Principal payment
11/25/14	0.000	1,442.73	N/A	0.00	0.00	0.00	Principal payment
12/25/14	0.000	1,252 12	N/A	0.00	0 00	0.00	Principal payment
01/25/15	0 000	1,685 91	N/A	0 00	..	0 00	Principal payment
Security total:		16,704.78		0 00	0 00	0 00	
FNMA PL AL0933 05 0000 DUE 10/01/41 FACTOR 0.410189600000 / CUSIP: 3138EHBB7 / Symbol:							
02/25/14	0 000	955 78	N/A	0.00	0.00	0 00	Principal payment
03/25/14	0 000	702.82	N/A	0 00	0 00	0 00	Principal payment
04/25/14	0 000	1,111 48	N/A	0 00	0 00	0 00	Principal payment
05/25/14	0 000	1,104 82	N/A	0.00	0 00	0 00	Principal payment
06/25/14	0 000	992 46	N/A	0 00	0 00	0 00	Principal payment
07/25/14	0.000	939 13	N/A	0 00	0.00	0 00	Principal payment

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**
**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

UBS FINANCIAL SERVICES INC. | Account UX 13138

Proceeds from Broker and Barter Exchange Transactions (continued)

2014 1099-B* | OMB No. 1545-0715

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

Consult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long-term or short-term Report on Form 8949. Use either Part I with Box B checked or Part II with Box E checked

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FNMA PL AL0933 05 0000 DUE 10/01/41 FACTOR 0 410189600000 / CUSIP 3138EHBB7 / Symbol (cont'd)							
08/25/14	0 000	1,056.37	N/A	0 00	0 00	0 00	Principal payment
09/25/14	0 000	997 58	N/A	0.00	0 00	0 00	Principal payment
10/25/14	0.000	1,433 09	N/A	0 00	0.00	0 00	Principal payment
11/25/14	0 000	732.37	N/A	0 00	0 00	0 00	Principal payment
12/25/14	0.000	946 66	N/A	0 00	0 00	0.00	Principal payment
01/25/15	0 000	2,587 33	N/A	0 00	..	0 00	Principal payment
Security total		13,559 89		0 00	0 00	0 00	
FNMA PL AL4301 04 5000 DUE 04/01/42 FACTOR 0 819365790000 / CUSIP· 3138ELX73 / Symbol							
06/25/14	0 000	977.98	N/A	0.00	0.00	0.00	Principal payment
07/25/14	0.000	984.03	N/A	0 00	0.00	0 00	Principal payment
08/25/14	0.000	1,130 57	N/A	0.00	0.00	0 00	Principal payment
09/25/14	0.000	869.38	N/A	0.00	0.00	0 00	Principal payment
10/25/14	0.000	1,021 77	N/A	0.00	0.00	0 00	Principal payment
11/25/14	0.000	1,269.57	N/A	0.00	0 00	0 00	Principal payment
12/25/14	0 000	717.31	N/A	0.00	0 00	0 00	Principal payment
01/25/15	0 000	1,019 34	N/A	0.00	..	0 00	Principal payment
Security total		7,989.95		0.00	0 00	0 00	
FNMA PL AO0763 04 0000 DUE 04/01/42 FACTOR 0.680750630000 / CUSIP· 3138LQZ56 / Symbol							
02/25/14	0 000	488 14	N/A	0 00	0 00	0 00	Principal payment
03/25/14	0 000	92 18	N/A	0 00	0 00	0 00	Principal payment
04/25/14	0 000	749 17	N/A	0 00	0.00	0 00	Principal payment
05/25/14	0 000	93 23	N/A	0.00	0 00	0 00	Principal payment
06/25/14	0.000	427 44	N/A	0 00	0 00	0 00	Principal payment
07/25/14	0.000	1,417.98	N/A	0 00	0.00	0 00	Principal payment
08/25/14	0 000	436 59	N/A	0.00	0 00	0 00	Principal payment
09/25/14	0 000	737 23	N/A	0 00	0.00	0 00	Principal payment
10/25/14	0 000	1,381.70	N/A	0.00	0.00	0 00	Principal payment
11/25/14	0 000	405.92	N/A	0.00	0.00	0 00	Principal payment
12/25/14	0 000	432 40	N/A	0.00	0 00	0.00	Principal payment
01/25/15	0.000	465 75	N/A	0 00	...	0 00	Principal payment
Security total.		7,127 73		0 00	0 00	0 00	
FNMA PL 735925 05 0000 DUE 10/01/35 FACTOR 0 107161690000 / CUSIP· 31402RSN0 / Symbol:							
09/25/14	0 000	1,329.70	N/A	0 00	0 00	0.00	Principal payment

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

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

UBS FINANCIAL SERVICES INC. Account UX 13138

Proceeds from Broker and Barter Exchange Transactions (continued)

2014 1099-B* OMB No 1545-0715

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

Consult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long-term or short-term Report on Form 8949. Use either Part I with Box B checked or Part II with Box E checked.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FNMA PL 735925 05 0000 DUE 10/01/35 FACTOR 0.107161690000 / CUSIP 31402RSN0 / Symbol· (cont'd)							
10/25/14	0.000	1,280.74	N/A	0.00	0.00	0 00	Principal payment
11/25/14	0 000	1,261.24	N/A	0.00	0 00	0 00	Principal payment
12/25/14	0 000	940 79	N/A	0 00	0.00	0 00	Principal payment
01/25/15	0 000	1,120 08	N/A	0 00	..	0 00	Principal payment
Security total.		5,932.55		0 00	0 00	0 00	
FNMA PL 745275 B/E 5 000% 020136 DTD010106 FACTOR 0.102146450000 / CUSIP· 31403C6L0 / Symbol:							
02/25/14	0.000	1,231.64	N/A	0 00	0 00	0 00	Principal payment
03/25/14	0.000	1,122 88	N/A	0 00	0 00	0.00	Principal payment
04/25/14	0 000	1,159.31	N/A	0 00	0 00	0.00	Principal payment
05/25/14	0.000	1,173.25	N/A	0.00	0.00	0 00	Principal payment
06/25/14	0 000	1,266 75	N/A	0 00	0.00	0.00	Principal payment
07/25/14	0 000	1,146 80	N/A	0.00	0.00	0 00	Principal payment
08/25/14	0.000	1,134 95	N/A	0.00	0 00	0 00	Principal payment
09/25/14	0.000	1,125.82	N/A	0.00	0 00	0 00	Principal payment
10/25/14	0 000	1,119 99	N/A	0.00	0 00	0 00	Principal payment
11/25/14	0 000	1,211.76	N/A	0.00	0 00	0 00	Principal payment
12/25/14	0.000	947.16	N/A	0 00	0.00	0 00	Principal payment
01/25/15	0 000	1,043.82	N/A	0 00	..	0 00	Principal payment
Security total:		13,684.13		0 00	0 00	0 00	
FNMA PL 888343 05.0000 DUE 11/01/35 FACTOR 0.120283960000 / CUSIP: 31410F5C5 / Symbol:							
01/25/15	0 000	417 87	N/A	0 00	.	0 00	Principal payment
FNMA PL AB3274 04 5000 DUE 07/01/41 FACTOR 0 479242130000 / CUSIP 31416YT81 / Symbol.							
02/25/14	0 000	466 06	N/A	0.00	0 00	0 00	Principal payment
03/25/14	0.000	452 49	N/A	0 00	0.00	0 00	Principal payment
04/25/14	0.000	583.83	N/A	0 00	0.00	0 00	Principal payment
05/25/14	0.000	568 99	N/A	0 00	0.00	0 00	Principal payment
06/25/14	0.000	448.13	N/A	0 00	0.00	0.00	Principal payment
07/25/14	0 000	697.64	N/A	0 00	0.00	0.00	Principal payment
08/25/14	0 000	188 09	N/A	0 00	0.00	0 00	Principal payment
09/25/14	0 000	459 51	N/A	0.00	0 00	0 00	Principal payment
10/25/14	0 000	312.24	N/A	0.00	0 00	0 00	Principal payment
11/25/14	0 000	438 11	N/A	0.00	0 00	0 00	Principal payment
12/25/14	0 000	674 77	N/A	0 00	0 00	0 00	Principal payment

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

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

UBS FINANCIAL SERVICES INC. Account UX 13138

Proceeds from Broker and Barter Exchange Transactions
(continued)

2014 1099-B* OMB No 1545-0715

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

Consult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long-term or short-term
Report on Form 8949. Use either Part I with Box B checked or Part II with Box E checked

1a- Description of property/CUSIP/Symbol 1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FNMA PL AB3274 04 5000 DUE 07/01/41 FACTOR 0 479242130000 / CUSIP: 31416YT81 / Symbol: (cont'd)							
01/25/15	0 000	681.82	N/A	0 00	..	0.00	Principal payment
Security total.		5,971 68		0.00	0 00	0 00	
FNMA PL AB4524 04 0000 DUE 02/01/42 FACTOR 0 486461490000 / CUSIP: 31417BA23 / Symbol:							
02/25/14	0.000	455.53	N/A	0.00	0 00	0 00	Principal payment
03/25/14	0 000	564.95	N/A	0 00	0 00	0 00	Principal payment
04/25/14	0.000	307 27	N/A	0.00	0 00	0 00	Principal payment
05/25/14	0.000	305 25	N/A	0.00	0 00	0 00	Principal payment
06/25/14	0.000	381 75	N/A	0 00	0 00	0.00	Principal payment
07/25/14	0 000	552 26	N/A	0.00	0 00	0 00	Principal payment
08/25/14	0 000	623.39	N/A	0 00	0.00	0 00	Principal payment
09/25/14	0 000	403 08	N/A	0 00	0.00	0 00	Principal payment
10/25/14	0.000	334 49	N/A	0.00	0.00	0.00	Principal payment
11/25/14	0 000	720.19	N/A	0.00	0.00	0 00	Principal payment
12/25/14	0.000	425 96	N/A	0 00	0.00	0 00	Principal payment
01/25/15	0 000	178 65	N/A	0 00	...	0 00	Principal payment
Security total:		5,252 77		0 00	0.00	0 00	
FNMA PL MA0907 04 0000 DUE 11/01/41 FACTOR 0 544411200000 / CUSIP: 31418AAH1 / Symbol:							
02/25/14	0.000	693 15	N/A	0 00	0 00	0 00	Principal payment
03/25/14	0 000	1,133 82	N/A	0 00	0 00	0.00	Principal payment
04/25/14	0 000	1,044.74	N/A	0 00	0 00	0.00	Principal payment
05/25/14	0.000	1,464 07	N/A	0 00	0 00	0.00	Principal payment
06/25/14	0.000	2,045 13	N/A	0 00	0 00	0.00	Principal payment
07/25/14	0.000	1,699 80	N/A	0 00	0.00	0 00	Principal payment
08/25/14	0 000	1,512 70	N/A	0 00	0.00	0.00	Principal payment
09/25/14	0.000	2,429 59	N/A	0 00	0 00	0.00	Principal payment
10/25/14	0.000	2,814 27	N/A	0.00	0 00	0.00	Principal payment
11/25/14	0 000	1,798 19	N/A	0 00	0.00	0 00	Principal payment
12/25/14	0 000	1,667.80	N/A	0.00	0 00	0 00	Principal payment
01/25/15	0 000	2,257 87	N/A	0.00	...	0 00	Principal payment
Security total		20,561.13		0 00	0 00	0 00	
FNMA PL MA1028 04.0000 DUE 04/01/42 FACTOR 0 663863040000 / CUSIP. 31418AEA2 / Symbol							
02/25/14	0 000	574 30	N/A	0.00	0.00	0 00	Principal payment
03/25/14	0 000	388 53	N/A	0.00	0 00	0 00	Principal payment

*** This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).**
**For NONCOVERED tax lots, values for "Date acquired," "Cost or other basis" and "Adjustments & Code(s), if any" are provided for your reference and are NOT reported to the IRS For all tax lots, values for "Gain or loss(-)" and "Additional information" are provided for your reference and are NOT reported to the IRS

UBS FINANCIAL SERVICES INC. Account UX 13138

Proceeds from Broker and Barter Exchange Transactions
(continued)

2014 1099-B* OMB No. 1545-0715

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

Consult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long-term or short-term Report on Form 8949. Use either Part I with Box B checked or Part II with Box E checked.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FNMA PL MA1028 04 0000 DUE 04/01/42 FACTOR 0 663863040000 / CUSIP 31418AEA2 / Symbol. (cont'd)							
04/25/14	0 000	1,088.95	N/A	0.00	0.00	0 00	Principal payment
05/25/14	0 000	399.58	N/A	0 00	0.00	0 00	Principal payment
06/25/14	0 000	388 11	N/A	0 00	0 00	0 00	Principal payment
07/25/14	0 000	411 51	N/A	0 00	0 00	0 00	Principal payment
08/25/14	0 000	603.46	N/A	0 00	0 00	0 00	Principal payment
09/25/14	0 000	868 07	N/A	0 00	0 00	0.00	Principal payment
10/25/14	0.000	575 73	N/A	0.00	0 00	0 00	Principal payment
11/25/14	0 000	551 98	N/A	0 00	0 00	0 00	Principal payment
12/25/14	0 000	800 28	N/A	0 00	0 00	0 00	Principal payment
01/25/15	0.000	838.08	N/A	0 00	..	0.00	Principal payment
	Security total.	7,488 58		0.00	0 00	0 00	
FNMA PL AD8033 04 0000 DUE 08/01/40 FACTOR 0.345777180000 / CUSIP· 31418V4T6 / Symbol·							
11/25/14	0 000	78 50	N/A	0.00	0 00	0 00	Principal payment
12/25/14	0.000	158 48	N/A	0.00	0 00	0 00	Principal payment
01/25/15	0 000	101.76	N/A	0 00	..	0.00	Principal payment
	Security total·	338.74		0 00	0 00	0 00	
JPMCC 2006-LDP A-3 DUE 05/15/47 05.3360 FACTOR 0.983699154341 / CUSIP 46629PAC2 / Symbol·							
08/15/14	0.000	547.24	N/A	0 00	0.00	0 00	Principal payment
09/15/14	0.000	39.82	N/A	0 00	0.00	0 00	Principal payment
10/15/14	0.000	44.75	N/A	0.00	0 00	0 00	Principal payment
11/15/14	0.000	40.33	N/A	0 00	0.00	0.00	Principal payment
12/15/14	0 000	45 08	N/A	0 00	0.00	0 00	Principal payment
	Security total·	717 22		0 00	0 00	0.00	
LBUBS 2006-C1 A-4 DUE 02/15/31 05.1560 FACTOR 0 976721225113 / CUSIP: 52108MDH3 / Symbol·							
10/20/14	0.000	976 87	N/A	0 00	0 00	0 00	Principal payment
11/18/14	0 000	94.05	N/A	0 00	0 00	0 00	Principal payment
	Security total·	1,070 92		0 00	0 00	0 00	
	Totals:	**122,851.34**		**0 00**	**0.00**	**0.00**	

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

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

UBS FINANCIAL SERVICES INC. Account UX 40846

2014

Proceeds Not Reported to the IRS

SHORT-TERM TRANSACTIONS

NOT reported on Form 1099-B

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

Description of property Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
ALLIANZGI INCOME & GROWTH FUND CLASS A / CUSIP: 018920496 / Symbol MFPILS							
07/24/14	449 992	5,791 40	12/02/13	5,723 90	0 00	67 50	Sale
ALLIANZGI INCOME & GROWTH FUND CLASS P / CUSIP: 018922708 / Symbol: MFPIJM							
10/24/14	449.277	5,633.93	12/02/13	5,790 88	102.61 W	-54.34	Sale
11/17/14	942 655	12,000 00	12/02/13	12,150.20	0.00	-150.20	Sale
Security total·		17,633.93		17,941 08	102 61 W	-204 54	
BUFFALO MICRO CAP FUND / CUSIP: 119530301 / Symbol:							
11/17/14	206 612	3,750 00	12/02/13	3,952 49	0 00	-202.49	Sale
CENTER COAST MLP FOCUS FUND CLASS I / CUSIP. 461418568 / Symbol:							
11/17/14	762.712	9,000 00	12/02/13	8,127.02	0 00	872 98	Sale
JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS I / CUSIP: 47803W406 / Symbol:							
11/17/14	449 326	9,000 00	12/02/13	7,999 12	0 00	1,000 88	Sale
WELLS FARGO PREMIER LARGE COMPANY GROWTH-I / CUSIP. 94984B454 / Symbol: MFWFRO							
11/17/14	1,300 578	20,250.00	12/02/13	18,412 96	0 00	1,837 04	Sale
WILLIAM BLAIR ALLOCATION FUND CLASS I / CUSIP: 969251784 / Symbol:							
11/17/14	921 659	12,000 00	12/02/13	11,723 56	0 00	276 44	Sale
Totals:		**77,425.33**		**73,880.13**	**102.61 W**	**3,647.81**	

LONG-TERM TRANSACTIONS

NOT reported on Form 1099-B

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

Description of property Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
FIRST EAGLE OVERSEAS FUND CLASS I / CUSIP: 32008F200 / Symbol: MFHSSI							
11/17/14	507.400	12,000 00	03/11/10	10,299 91	0 00	1,700 09	Sale
GABELLI EQUITY INCOME FUND CLASS A / CUSIP: 36239T707 / Symbol.							
04/23/14	176 000	5,075.85	03/11/10	3,189.80	0 00	1,886 05	Sale

UBS FINANCIAL SERVICES INC.

Account UX 40846

Proceeds Not Reported to the IRS

(continued)

2014

LONG-TERM TRANSACTIONS *NOT reported on Form 1099-B*

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

Description of property / Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
GABELLI EQUITY INCOME FUND CLASS I / CUSIP: 36239T848 / Symbol:							
11/17/14	604.433	18,000 00	03/11/10	10,950.35	0 00	7,049 65	Sale
GOLDMAN SACHS SMALL MID CAP GROWTH CLASS I / CUSIP: 38143H746 / Symbol:							
11/17/14	403 587	9,000 00	03/11/10	5,435 14	0 00	3,564 86	Sale
OAKMARK INTL FUND CLASS I / CUSIP 413838202 / Symbol: MFOMAC							
	2 tax lots for 11/17/14						
	268 924	*6,650 49*	*03/11/10*	*4,622 80*	*0 00*	*2,027 69*	*Sale*
	216 317	*5,349.51*	*03/24/10*	*3,750 94*	*0 00*	*1,598 57*	*Sale*
11/17/14	485.241	12,000.00	VARIOUS	8,373 74	0 00	3,626 26	Total of 2 lots
MFS UTILITIES FUND CLASS I / CUSIP: 552986879 / Symbol							
11/17/14	449.486	10,500.00	03/11/10	6,740 10	0.00	3,759 90	Sale
OPPENHEIMER DEVELOPING MARKETS CLASS Y / CUSIP: 683974505 / Symbol:							
11/17/14	235.110	9,000 00	03/11/10	6,787 50	0 00	2,212 50	Sale
ROYCE SPECIAL EQUITY FD / CUSIP: 780905782 / Symbol.							
	2 tax lots for 11/17/14						
	83 371	*2,065 10*	*03/11/10*	*1,574 04*	*0 00*	*491 06*	*Sale*
	98.300	*2,434 90*	*03/24/10*	*1,864 75*	*0 00*	*570 15*	*Sale*
11/17/14	181 671	4,500 00	VARIOUS	3,438 79	0.00	1,061 21	Total of 2 lots
VOYA GLOBAL REAL ESTATE FUND CLASS I / CUSIP: 92914A885 / Symbol:							
11/17/14	445.545	9,000.00	03/24/10	6,597.31	0 00	2,402 69	Sale
	Totals:	**89,075.85**		**61,812.64**	**0.00**	**27,263.21**	

UBS FINANCIAL SERVICES INC. Account UX 25029

Proceeds Not Reported to the IRS

2014

SHORT-TERM TRANSACTIONS

NOT reported on Form 1099-B

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

Description of property Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
BRITISH AMER TOBACCO PLC GB SPON ADR / CUSIP. 110448107 / Symbol BTI							
04/15/14	7.000	802.74	11/27/13	744 45	0.00	58 29	Sale
CSX CORPORATION COMMON STOCK / CUSIP: 126408103 / Symbol CSX							
04/15/14	324.000	9,125.42	11/27/13	8,847 24	0.00	278.18	Sale
COCA COLA CO COM COMMON STOCK / CUSIP· 191216100 / Symbol· KO							
04/15/14	2.000	80.39	11/27/13	80.42	0.00	-0.03	Sale
COLGATE PALMOLIVE CO COMMON STOCK / CUSIP: 194162103 / Symbol: CL							
04/15/14	3 000	198.96	11/27/13	197.00	0.00	1.96	Sale
DIAGEO PLC NEW GB SPON ADR / CUSIP: 25243Q205 / Symbol. DEO							
04/15/14	1 000	128 03	11/27/13	127 98	0 00	0 05	Sale
ILLINOIS TOOL WORKS INC COMMON STOCK / CUSIP 452308109 / Symbol ITW							
04/15/14	5.000	410.09	11/27/13	397.28	0 00	12.81	Sale
INTEL CORP COMMON STOCK / CUSIP· 458140100 / Symbol. INTC							
04/15/14	43 000	1,148 70	11/27/13	1,024.69	0.00	124.01	Sale
JOHNSON & JOHNSON COM COMMON STOCK / CUSIP: 478160104 / Symbol: JNJ							
04/15/14	4.000	395.48	11/27/13	379.48	0.00	16.00	Sale
MEDTRONIC INC / CUSIP: 585055106 / Symbol· MDT							
04/15/14	3.000	173.94	11/27/13	171 68	0.00	2.26	Sale
NEXTERA ENERGY INC COM / CUSIP 65339F101 / Symbol: NEE							
04/15/14	14.000	1,356 91	11/27/13	1,184 53	0.00	172 38	Sale
NORTHEAST UTILITIES COMMON STOCK / CUSIP. 664397106 / Symbol. NU							
04/15/14	25.000	1,154 84	11/27/13	1,029.42	0.00	125 42	Sale
NOVARTIS AG SPON ADR / CUSIP. 66987V109 / Symbol: NVS							
04/15/14	7.000	585.61	11/27/13	550 14	0 00	35.47	Sale
SANOFI SPON ADR / CUSIP 80105N105 / Symbol SNY							
04/15/14	167 000	8,592 66	11/27/13	8,863.63	0.00	-270 97	Sale

UBS FINANCIAL SERVICES INC.

Account UX 25029

2014

Proceeds Not Reported to the IRS
(continued)

SHORT-TERM TRANSACTIONS

NOT reported on Form 1099-B

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

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
TEVA PHARMACEUTICALS IND LTD ISRAEL ADR / CUSIP· 881624209 / Symbol: TEVA							
04/15/14	218.000	10,804.58	11/27/13	8,865 43	0.00	1,939.15	Sale
TOTAL S A. FRANCE SPON ADR / CUSIP. 89151E109 / Symbol. TOT							
04/15/14	146 000	9,887 76	11/27/13	8,857.34	0 00	1,030 42	Sale
UNILEVER PLC AMER SHS NEW SPON ADR / CUSIP. 904767704 / Symbol. UL							
04/15/14	220.000	9,704.68	11/27/13	8,845 32	0.00	859 36	Sale
UNTD TECHNOLOGIES CORP COMMON STOCK / CUSIP. 913017109 / Symbol UTX							
04/15/14	3.000	347.18	11/27/13	335 28	0 00	11 90	Sale
VF CORP COMMON STOCK / CUSIP. 918204108 / Symbol. VFC							
04/15/14	4.000	236 39	11/27/13	235 33	0 00	1 06	Sale
	Totals:	**55,134.36**		**50,736.64**	**0.00**	**4,397.72**	

LONG-TERM TRANSACTIONS

NOT reported on Form 1099-B

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

Description of property

Date sold or disposed	Quantity	Proceeds Shown (G)ross (N)et	Date acquired	Cost or other basis	Adjustments & Code(s), if any	Gain or loss(-) & 7- Loss not allowed(X)	Additional information
CALIFORNIA RESOURCES CORP / CUSIP: 13057Q107 / Symbol: CRC							
12/01/14	0 800	5.19	11/27/13	6.69	0 00	-1.50	Sale