2014036

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

**2015**

Open to Public Inspection

For calendar year 2015 or tax year beginning , and ending

Name of foundation: RICK C. & BELINDA G. FOUNDATION

A Employer identification number: 45-3970505

Number and street (or P O box number if mail is not delivered to street address): 2575 STACI LANE

Room/suite:

B Telephone number (see instructions): 479-443-5614

City or town, state or province, country, and ZIP or foreign postal code: FAYETTEVILLE AR 72704

C If exemption application is pending, check here ▶ [X]

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

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

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

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16) ▶ $ 3,761,215

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).)

| | Line | Description | (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 | 25,538 | 25,538 | | |
| | 4 | Dividends and interest from securities | 74,516 | 74,516 | | |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 STMT 1 | 109,233 | | | |
| | b | Gross sales price for all assets on line 6a 1,660,274 | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 16,510 | | |
| | 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 | 13,404 | 13,404 | 13,404 | |
| | 12 | **Total.** Add lines 1 through 11 | 222,691 | 129,968 | 13,404 | |
| 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) | | | | |
| | b | Accounting fees (attach schedule) | | | | |
| | c | Other professional fees (attach schedule) STMT 3 | 17,303 | 17,303 | | |
| | 17 | Interest | | | | |
| | 18 | Taxes (attach schedule) (see instructions) STMT 4 | 2,394 | 2,394 | | |
| | 19 | Depreciation (attach schedule) and depletion | | | | |
| | 20 | Occupancy | | | | |
| | 21 | Travel, conferences, and meetings | | | | |
| | 22 | Printing and publications | | | | |
| | 23 | Other expenses (att sch) | | | | |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 19,697 | 19,697 | 0 | 0 |
| | 25 | Contributions, gifts, grants paid | 201,000 | | | 201,000 |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 220,697 | 19,697 | 0 | 201,000 |
| | 27 | Subtract line 26 from line 12: | | | | |
| | a | **Excess of revenue over expenses and disbursements** | 1,994 | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 110,271 | | |
| | c | **Adjusted net income** (if negative, enter -0-) | | | 13,404 | |

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## Part II Balance Sheets

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

| | | Beginning of year | End of year | |
|---|---|---|---|---|
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| **Assets** 1 | Cash – non-interest-bearing | -1 | 211,327 | 211,328 |
| 2 | Savings and temporary cash investments | | | |
| 3 | Accounts receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| 4 | Pledges receivable ▶ | | | |
| | Less allowance for doubtful accounts ▶ | | | |
| 5 | Grants receivable | | | |
| 6 | Receivables due from officers, directors, trustees, and other disqualified persons (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) SEE STMT 5 | 3,759,221 | 2,291,343 | 2,291,343 |
| c | Investments – corporate bonds (attach schedule) SEE STMT 6 | | 1,258,544 | 1,258,544 |
| 11 | Investments – land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation (attach sch ) ▶ | | | |
| 12 | Investments – mortgage loans | | | |
| 13 | Investments – other (attach schedule) | | | |
| 14 | Land, buildings, and equipment basis ▶ | | | |
| | Less accumulated depreciation (attach sch ) ▶ | | | |
| 15 | Other assets (describe ▶ ) | | | |
| 16 | **Total assets** (to be completed by all filers – see the instructions Also, see page 1, item I) | 3,759,220 | 3,761,214 | 3,761,215 |
| **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.** | | | |
| 24 | Unrestricted | | | |
| 25 | Temporarily restricted | | | |
| 26 | Permanently restricted | | | |
| | **Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.** | | | |
| 27 | Capital stock, trust principal, or current funds | | | |
| 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | | | |
| 29 | Retained earnings, accumulated income, endowment, or other funds | 3,759,220 | 3,761,214 | |
| 30 | **Total net assets or fund balances** (see instructions) | 3,759,220 | 3,761,214 | |
| 31 | **Total liabilities and net assets/fund balances** (see instructions) | 3,759,220 | 3,761,214 | |

## 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 | 3,759,220 |
| 2 | Enter amount from Part I, line 27a | 2 | 1,994 |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | |
| 4 | Add lines 1, 2, and 3 | 4 | 3,761,214 |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30 | 6 | 3,761,214 |

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## 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 | GOLDMAN SACHS (67820-8) | | | |
| b | GOLDMAN SACHS (67794-5) | | | |
| 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 | 252 | | | 252 |
| b | 16,258 | | | 16,258 |
| 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 | | | | 252 |
| b | | | | 16,258 |
| c | | | | |
| d | | | | |
| e | | | | |

| | | | |
|---|---|---|---|
| 2 Capital gain net income or (net capital loss) | If gain, also enter in Part I, line 7<br>If (loss), enter -0- in Part I, line 7 | 2 | 16,510 |
| 3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6)<br>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)) |
|---|---|---|---|
| 2014 | 272,945 | | |
| 2013 | | 3,972,706 | |
| 2012 | 20,000 | 3,712,339 | 0.005387 |
| 2011 | | 1,821,449 | |
| 2010 | | | |

| | | |
|---|---|---|
| 2 **Total** of line 1, column (d) | 2 | 0.005387 |
| 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 | 0.005387 |
| 4 Enter the net value of noncharitable-use assets for 2015 from Part X, line 5 | 4 | 3,703,814 |
| 5 Multiply line 4 by line 3 | 5 | 19,952 |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 1,103 |
| 7 Add lines 5 and 6 | 7 | 21,055 |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 201,000 |

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

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## 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<br>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 | 1,103 |
| 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 | 1,103 |
| 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 | 1,103 |
| 6 | Credits/Payments | | |
| a | 2015 estimated tax payments and 2014 overpayment credited to 2015 — 6a | | |
| b | Exempt foreign organizations – tax withheld at source — 6b | | |
| c | Tax paid with application for extension of time to file (Form 8868) — 6c | | |
| d | Backup withholding erroneously withheld — 6d | | |
| 7 | Total credits and payments Add lines 6a through 6d | 7 | |
| 8 | Enter any **penalty** for underpayment of estimated tax Check here ☒ if Form 2220 is attached | 8 | 24 |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | 9 | 1,127 |
| 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 2016 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:<br>**(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? N/A | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• 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) ▶<br>NONE | | | |
| 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 N/A | 8b | | |
| 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 2015 or the taxable year beginning in 2015 (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 N/A | 10 | | |

**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 ▶ RICK C CARPENTER Telephone no ▶ 479-443-5614
2575 STACI LANE
Located at ▶ FAYETTEVILLE AR ZIP+4 ▶ 72704

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 2015, 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 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 2015? 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 2015, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2015? ☐ Yes ☒ No
If "Yes," list the years ▶ 20 , 20 , 20 , 20

b Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement – see instructions ) N/A | 2b

c If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here
▶ 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 2015 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 2015 ) N/A | 3b

| | | | Yes | No |
|---|---|---|---|---|
| 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 2015? | 4b | | X |

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

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

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

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

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

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

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

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

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

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

If "Yes," attach the statement required by Regulations section 53 4945–5(d)

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

**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** No: 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 |
|---|---|---|---|---|
| BELINDA G. CARPTENTER FAYETTEVILLE<br>2575 STACI LANE AR 72701 | VICE PRESIDE<br>5.00 | 0 | 0 | 0 |
| RICK C. CARPENTER FAYETTEVILLE<br>2575 STACI LANE AR 72704 | PRESIDENT<br>5.00 | 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 GIFTS TO PRE SELECTED 501(C)(3) ORGANIZATIONS. | 201,000 |
| 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<br>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 | 3,654,553 |
| b | Average of monthly cash balances | 1b | 105,664 |
| c | Fair market value of all other assets (see instructions) | 1c | 0 |
| d | **Total** (add lines 1a, b, and c) | 1d | 3,760,217 |
| 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 | 3,760,217 |
| 4 | Cash deemed held for charitable activities Enter 1½% of line 3 (for greater amount, see instructions) | 4 | 56,403 |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 3,703,814 |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 185,191 |

**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 | 185,191 |
| 2a | Tax on investment income for 2015 from Part VI, line 5 | 2a | 1,103 | | |
| b | Income tax for 2015 (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 1,103 |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | | | 3 | 184,088 |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | |
| 5 | Add lines 3 and 4 | | | 5 | 184,088 |
| 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 | 184,088 |

**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 | 201,000 |
| 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 | 201,000 |
| 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 | 1,103 |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 199,897 |

**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

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## Part XIII Undistributed Income (see instructions)

| | | | (a) Corpus | (b) Years prior to 2014 | (c) 2014 | (d) 2015 |
|---|---|---|---|---|---|---|
| 1 | Distributable amount for 2015 from Part XI, line 7 | | | | | 184,088 |
| 2 | Undistributed income, if any, as of the end of 2015 | | | | | |
| a | Enter amount for 2014 only | | | | | |
| b | Total for prior years 20 ____ , 20 ____ , 20 ____ | | | | | |
| 3 | Excess distributions carryover, if any, to 2015 | | | | | |
| a | From 2010 | | | | | |
| b | From 2011 | | | | | |
| c | From 2012 | | | | | |
| d | From 2013 | | | | | |
| e | From 2014 | 274,500 | | | | |
| f | **Total** of lines 3a through e | | 274,500 | | | |
| 4 | Qualifying distributions for 2015 from Part XII, line 4 ▶ $ 201,000 | | | | | |
| a | Applied to 2014, but not more than line 2a | | | | | |
| 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 2015 distributable amount | | | | | 184,088 |
| e | Remaining amount distributed out of corpus | | 16,912 | | | |
| 5 | Excess distributions carryover applied to 2015 (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 | | 291,412 | | | |
| 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 2014 Subtract line 4a from line 2a Taxable amount – see instructions | | | | | |
| f | Undistributed income for 2015 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2016 | | | | | 0 |
| 7 | Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required—see instructions) | | | | | |
| 8 | Excess distributions carryover from 2010 not applied on line 5 or line 7 (see instructions) | | | | | |
| 9 | **Excess distributions carryover to 2016.** Subtract lines 7 and 8 from line 6a | | 291,412 | | | |
| 10 | Analysis of line 9 | | | | | |
| a | Excess from 2011 | | | | | |
| b | Excess from 2012 | | | | | |
| c | Excess from 2013 | | | | | |
| d | Excess from 2014 | 274,500 | | | | |
| e | Excess from 2015 | 16,912 | | | | |



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**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 2015, enter the date of the ruling ▶

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

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | (a) 2015 | (b) 2014 | (c) 2013 | (d) 2012 | (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) )

RICK C CARPENTER, BLINDA G CARPENTER

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

N/A

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

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

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

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<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| a Paid during the year | | | | |
| SEE STATEMENT 7 | | | | 201,000 |
| **Total** | | | ▶ 3a | 201,000 |
| b Approved for future payment | | | | |
| N/A | | | | |
| **Total** | | | ▶ 3b | |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income (a) Business code | Unrelated business income (b) Amount | Excluded by section 512, 513, or 514 (c) Exclusion code | Excluded by section 512, 513, or 514 (d) Amount | (e) Related or exempt function income (See instructions.) |
|---|---|---|---|---|---|
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 26,112 | -574 |
| 4 Dividends and interest from securities | | | 14 | 74,516 | |
| 5 Net rental income or (loss) from real estate. | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 16,510 | 92,723 |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue a | | | | | |
| b DIVIDENDS | | | 14 | 13,404 | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | 0 | | 130,542 | 92,149 |

13 **Total.** Add line 12, columns (b), (d), and (e) 13 222,691

(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.) |
|---|---|
| 4 | EARNINGS TO FACILITATE CONTRIBUTIONS TO 501(C)(3) ORGS |
| 8 | EARNINGS TO FACILITATE CONTRIBUTONS TO 501(C)(3) ORGS |



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## 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

Rick Carpenter | 5-6-16 | PRESIDENT

Signature of officer or trustee | Date | Title

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed |
|---|---|---|---|
| REECE PARHAM | REECE PARHAM | 05/04/16 | |
| Firm's name ▶ SANDLIN & PARHAM LTD | | PTIN | |
| Firm's address ▶ 1852 E JOYCE BLVD FAYETTEVILLE, AR 72703 | | Firm's EIN ▶ | |
| | | Phone no 479-521-5611 | |



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# Federal Statements

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

| Description | | | How Received | | | | | |
|---|---|---|---|---|---|---|---|---|
| Whom Sold | Date Acquired | Date Sold | Sale Price | Cost | Expense | Depreciation | Net Gain / Loss |
| CASH IN LIEU MEDTRONIC PUBLIC COMPAN | | | PURCHASE | | | | |
| | VARIOUS | 3/09/15 | $ 75 | $ | $ | $ | $ 75 |
| SEE ATTACHED 67821-6 | | | PURCHASE | | | | |
| | VARIOUS | 12/31/15 | 87,557 | 82,906 | | | 4,651 |
| SEE ATTACHED 67821-6 | | | PURCHASE | | | | |
| | VARIOUS | 12/31/15 | 64,764 | 54,448 | | | 10,316 |
| SEE ATTACHED 67820-8 | | | PURCHASE | | | | |
| | VARIOUS | 12/31/15 | 16,142 | 19,642 | | | -3,500 |
| SEE ATTACHED 67820-8 | | | PURCHASE | | | | |
| | VARIOUS | 12/31/15 | 69,887 | 46,322 | | | 23,565 |
| SEE ATTACHED 67820-8 | | | PURCHASE | | | | |
| | VARIOUS | 12/31/15 | 4,480 | 3,588 | | | 892 |
| SEE ATTACHED 67819-0 | | | PURCHASE | | | | |
| | VARIOUS | 12/31/15 | 172,198 | 171,264 | | | 934 |
| SEE ATTACHED 67794-5 | | | PURCHASE | | | | |
| | VARIOUS | 12/31/15 | 91,176 | 93,621 | | | -2,445 |
| SEE ATTACHED 67794-5 | | | PURCHASE | | | | |
| | VARIOUS | 12/31/15 | 858,467 | 816,250 | | | 42,217 |
| SEE ATTACHED 67794-5 | | | PURCHASE | | | | |
| | VARIOUS | 12/31/15 | 216,943 | 213,000 | | | 3,943 |
| SEE ATTACHED 67793-7 | | | PURCHASE | | | | |
| | VARIOUS | 12/31/15 | 62,075 | 50,000 | | | 12,075 |
| TOTAL | | | $ 1,643,764 | $ 1,551,041 | $ 0 | $ 0 | $ 92,723 |

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

| Description | Revenue per Books | Net Investment Income | Adjusted Net Income |
|---|---|---|---|
| DIVIDENDS | $ 13,404 | $ 13,404 | $ 13,404 |
| TOTAL | $ 13,404 | $ 13,404 | $ 13,404 |

# Federal Statements

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

| Description | Total | Net Investment | Adjusted Net | Charitable Purpose |
|---|---|---|---|---|
| TAX PREPARATION | $ | $ | $ | $ |
| TOTAL | $ 0 | $ 0 | $ 0 | $ 0 |

## Statement 3 - Form 990-PF, Part I, Line 16c - Other Professional Fees

| Description | Total | Net Investment | Adjusted Net | Charitable Purpose |
|---|---|---|---|---|
| INVESTMENT MANAGEMENT FEE | $ 17,303 | $ 17,303 | $ | $ |
| TOTAL | $ 17,303 | $ 17,303 | $ 0 | $ 0 |

## Statement 4 - Form 990-PF, Part I, Line 18 - Taxes

| Description | Total | Net Investment | Adjusted Net | Charitable Purpose |
|---|---|---|---|---|
| FOREIGN TAXES | $ 839 | $ 839 | $ | $ |
| FEDERAL TAXES PAID | 1,555 | 1,555 | | |
| TOTAL | $ 2,394 | $ 2,394 | $ 0 | $ 0 |

## Statement 5 - Form 990-PF, Part II, Line 10b - Corporate Stock Investments

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|---|---|---|---|---|
| INVESTMENTS | $ 3,759,221 | $ 2,291,343 | | $ 2,291,343 |
| TOTAL | $ 3,759,221 | $ 2,291,343 | | $ 2,291,343 |

# Federal Statements

## Statement 6 - Form 990-PF, Part II, Line 10c - Corporate Bond Investments

| Description | Beginning of Year | End of Year | Basis of Valuation | Fair Market Value |
|---|---|---|---|---|
| BONDS | $ | $ 1,258,544 | | $ 1,258,544 |
| TOTAL | $ 0 | $ 1,258,544 | | $ 1,258,544 |

# Federal Statements

## Form 990-PF, Part XV, Line 1a - Managers Who Contributed Over 2% or $5,000

| Name of Manager | Amount |
|---|---|
| RICK C CARPENTER, BLINDA G CARPENTER | $ |
| TOTAL | $ 0 |

# Federal Statements

## Statement 7 - Form 990-PF, Part XV, Line 3a - Grants and Contributions Paid During the Year

| Name / Address | Address / Relationship / Status | Purpose | Amount |
|---|---|---|---|
| EOA CHILDREN'S HOUSE<br>SPRINGDALE AR 72764 | 2577 LOWELL ROAD | TO FURTHER THEIR PURPOSE | 15,000 |
| POTTER'S HOUSE<br>FAYETTEVILLE AR 72703 | 2703 N. DRAKE STREET | TO FURTHER THEIR PURPOSE | 6,000 |
| KIBO<br>SEARCY AR 72145 | PO BOX 145 | TO FURTHER THEIR PURPOSE | 5,000 |
| SAMARTITAN HOUSE<br>ROGERS AR 72756 | 100 N. DIXIELAND RD | TO FURTHER THEIR PURPOSE | 5,000 |
| BUILD YOUR HOUSE ON THE ROCK<br>LAKE CHARLES LA 70612 | PO BOX 12764 | TO FURTHER THEIR PURPOSE | 30,000 |
| NWA CHILDREN'S SHELTER<br>BENTONVILLE AR 72712 | 14100 COUNTY ROAD 16 | TO FURTHER THEIR PURPOSE | 10,000 |
| CHILDREN'S HOME INC<br>PARAGOULD AR 72450 | 5515 WALCOTT ROAD | TO FURTHER THEIR PURPOSE | 25,000 |
| PREDISAN<br>MARIETTA GA 30007 | PO BOX 72618 | TO FURTHER THEIR PURPOSE | 30,000 |
| FOSTER'S HOME FOR CHILDREN<br>STEPHENVILLE TX 76401 | 1779 N. GRAHAM | TO FURTHER THEIR PURPOSE | 30,000 |
| AR CHILDREN'S HOSPITAL<br>LITTLE ROCK AR 72203 | PO BOX 2222 | TO FURTHER THEIR PURPOSE | 10,000 |
| LIFESOURCE<br>FAYETTEVILLE AR 72701 | 602 S. SCHOOL AVE | TO FURTHER THEIR PURPOE | 30,000 |
| CASA<br>SPRINGDALE AR 72762 | 3825 CAWOOD LANE | TO FURTHER THEIR PURPOSE | 5,000 |
| TOTAL | | | 201,000 |

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | 4,651 30 | Net Covered Long-Term Gains (Losses) | 10 315 17 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 74 65 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **4,651 30** | **Total Long-Term Gains (Losses)** | **10,389 82** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/03/2014 | 01/06/2015 | 1 00 | 142 80 | 0 00 | 131 29 | 11 51 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/04/2014 | 01/06/2015 | 1 00 | 142 80 | 0 00 | 128 07 | 14 73 |
| BANK OF AMERICA CORP CMN (060505104) | 01/09/2014 | 01/07/2015 | 59 00 | 1,005 10 | 0 00 | 990 40 | 14 70 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/05/2014 | 01/08/2015 | 1 00 | 153 97 | 0 00 | 129 00 | 24 97 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/04/2014 | 01/08/2015 | 3 00 | 461 89 | 0 00 | 384 20 | 77 69 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 03/27/2014 | 01/12/2015 | 4 00 | 248 77 | 0 00 | 208 63 | 40 14 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 04/01/2014 | 01/15/2015 | 1 00 | 61 82 | 0 00 | 51 72 | 10 10 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 03/27/2014 | 01/15/2015 | 2 00 | 123 66 | 0 00 | 104 32 | 19 34 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 04/11/2014 | 01/15/2015 | 2 00 | 123 84 | 0 00 | 98 27 | 25 57 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 04/01/2014 | 01/15/2015 | 2 00 | 123 85 | 0 00 | 103 45 | 20 40 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 04/09/2014 | 01/15/2015 | 5 00 | 309 62 | 0 00 | 252 44 | 57 18 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 04/11/2014 | 01/16/2015 | 1 00 | 61 77 | 0 00 | 49 14 | 12 63 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 04/24/2014 | 01/16/2015 | 1 00 | 61 78 | 0 00 | 50 66 | 11 12 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 04/23/2014 | 01/16/2015 | 2 00 | 123 54 | 0 00 | 101 97 | 21 57 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 04/14/2014 | 01/16/2015 | 4 00 | 247 08 | 0 00 | 191 00 | 56 08 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 05/15/2014 | 01/20/2015 | 1 00 | 62 28 | 0 00 | 48 79 | 13 49 |

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

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

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 05/16/2014 | 01/20/2015 | 1 00 | 62 54 | 0 00 | 48 95 | 13 59 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 05/15/2014 | 01/20/2015 | 2 00 | 125 08 | 0 00 | 97 58 | 27 50 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 04/24/2014 | 01/20/2015 | 3 00 | 186 85 | 0 00 | 151 97 | 34 88 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 06/17/2014 | 01/21/2015 | 1 00 | 62 01 | 0 00 | 47 59 | 14 42 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 05/16/2014 | 01/21/2015 | 2 00 | 124 02 | 0 00 | 97 89 | 26 13 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 06/17/2014 | 01/22/2015 | 1 00 | 61 99 | 0 00 | 47 59 | 14 40 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 06/18/2014 | 01/22/2015 | 2 00 | 123 97 | 0 00 | 95 97 | 28 00 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 07/10/2014 | 01/22/2015 | 3 00 | 185 96 | 0 00 | 145 56 | 40 40 |
| BRISTOL-MYERS SQUIBB COMPANY CMN (110122108) | 06/25/2014 | 01/22/2015 | 4 00 | 247 95 | 0 00 | 198 45 | 49 50 |
| ENCANA CORPORATION CMN (292505104) | 08/08/2014 | 01/23/2015 | 2 00 | 26 89 | 0 00 | 43 46 | (16 57) |
| ENCANA CORPORATION CMN (292505104) | 08/07/2014 | 01/23/2015 | 5 00 | 67 22 | 0 00 | 106 06 | (38 84) |
| ENCANA CORPORATION CMN (292505104) | 08/08/2014 | 01/26/2015 | 1 00 | 13 30 | 0 00 | 21 73 | (8 43) |
| ENCANA CORPORATION CMN (292505104) | 08/11/2014 | 01/26/2015 | 6 00 | 79 83 | 0 00 | 130 94 | (51 11) |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/05/2014 | 01/26/2015 | 1 00 | 159 36 | 0 00 | 129 00 | 30 36 |
| COVIDIEN PUBLIC LIMITED COMPAN CMN (G2554F113) | 08/07/2014 | 01/27/2015 | 3 00 | 336 42 | 0 00 | 249 53 | 86 89 |
| COVIDIEN PUBLIC LIMITED COMPAN CMN (G2554F113) | 08/21/2014 | 01/27/2015 | 3 00 | 336 42 | 0 00 | 266 98 | 69 44 |
| COVIDIEN PUBLIC LIMITED COMPAN CMN (G2554F113) | 09/10/2014 | 01/27/2015 | 4 00 | 448 56 | 0 00 | 365 30 | 83 26 |
| COVIDIEN PUBLIC LIMITED COMPAN CMN (G2554F113) | 10/03/2014 | 01/27/2015 | 5 00 | 560 70 | 0 00 | 469 15 | 91 55 |
| COVIDIEN PUBLIC LIMITED COMPAN CMN (G2554F113) | 10/15/2014 | 01/27/2015 | 6 00 | 595 89 | 0 00 | 509 43 | 86 46 |
| FORD MOTOR COMPANY CMN (345370860) | 03/17/2014 | 01/27/2015 | 6 00 | 89 53 | 0 00 | 91 68 | (2 15) |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | 01/27/2015 | 01/27/2015 | 0 65 | 74 65 | 0 00 | 0 00 | 74 65 |
| FORD MOTOR COMPANY CMN (345370860) | 03/17/2014 | 01/28/2015 | 6 00 | 87 27 | 0 00 | 91 68 | (4 41) |
| FORD MOTOR COMPANY CMN (345370860) | 10/20/2014 | 01/28/2015 | 10 00 | 145 45 | 0 00 | 141 22 | 4 23 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/05/2014 | 02/03/2015 | 1 00 | 159 79 | 0 00 | 129 00 | 30 79 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/05/2014 | 02/03/2015 | 2 00 | 319 57 | 0 00 | 256 16 | 63 41 |

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

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



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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 08/18/2014 | 02/09/2015 | 1 00 | 81 88 | 0 00 | 96 89 | (15 01) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 08/19/2014 | 02/09/2015 | 2 00 | 163 76 | 0 00 | 196 75 | (32 99) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 08/21/2014 | 02/10/2015 | 1 00 | 80 98 | 0 00 | 98 73 | (17 75) |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 07/10/2014 | 02/10/2015 | 1 00 | 109 36 | 0 00 | 82 13 | 27 23 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 07/30/2014 | 02/10/2015 | 1 00 | 109 36 | 0 00 | 82 97 | 26 39 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 07/29/2014 | 02/10/2015 | 4 00 | 437 44 | 0 00 | 337 49 | 99 95 |
| ALLERGAN PLC CMN (G0083B108) | 01/16/2015 | 02/13/2015 | 1 00 | 283 73 | 0 00 | 267 38 | 16 35 |
| ALLERGAN PLC CMN (G0083B108) | 01/15/2015 | 02/13/2015 | 1 00 | 283 74 | 0 00 | 264 69 | 19 05 |
| ALLERGAN PLC CMN (G0083B108) | 01/20/2015 | 02/13/2015 | 1 00 | 283 74 | 0 00 | 269 27 | 14 47 |
| ALLERGAN PLC CMN (G0083B108) | 01/21/2015 | 02/13/2015 | 2 00 | 567 47 | 0 00 | 552 03 | 15 44 |
| ALLERGAN PLC CMN (G0083B108) | 01/26/2015 | 02/13/2015 | 2 00 | 567 47 | 0 00 | 567 90 | (0 43) |
| ALLERGAN PLC CMN (G0083B108) | 01/15/2015 | 02/13/2015 | 4 00 | 1,134 94 | 0 00 | 1,063 41 | 71 53 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/11/2014 | 02/13/2015 | 1 00 | 137 88 | 0 00 | 119 06 | 18 82 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/13/2014 | 02/13/2015 | 1 00 | 137 88 | 0 00 | 119 96 | 17 92 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/14/2014 | 02/13/2015 | 1 00 | 137 88 | 0 00 | 120 36 | 17 52 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/27/2014 | 02/13/2015 | 1 00 | 137 88 | 0 00 | 125 60 | 12 28 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 09/09/2014 | 02/13/2015 | 1 00 | 137 88 | 0 00 | 124 93 | 12 95 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/08/2014 | 02/13/2015 | 2 00 | 275 75 | 0 00 | 236 80 | 38 95 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/15/2014 | 02/13/2015 | 2 00 | 275 75 | 0 00 | 239 59 | 36 16 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/22/2014 | 02/13/2015 | 2 00 | 275 75 | 0 00 | 246 56 | 29 19 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/07/2014 | 02/13/2015 | 3 00 | 413 63 | 0 00 | 349 76 | 63 87 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/12/2014 | 02/13/2015 | 3 00 | 413 63 | 0 00 | 356 35 | 57 28 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/18/2014 | 02/13/2015 | 3 00 | 413 63 | 0 00 | 364 17 | 49 46 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 09/05/2014 | 02/13/2015 | 3 00 | 413 63 | 0 00 | 377 72 | 35 91 |
| AMERIPRISE FINANCIAL, INC CMN (03076C106) | 08/20/2014 | 02/13/2015 | 5 00 | 689 39 | 0 00 | 613 95 | 75 44 |

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

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| ASML HOLDING N V ADR CMN (N07059210) | 10/10/2014 | 02/13/2015 | 1 00 | 104 27 | 0 00 | 91 18 | 13 09 |
| ASML HOLDING N V ADR CMN (N07059210) | 09/11/2014 | 02/13/2015 | 2 00 | 208 54 | 0 00 | 196 83 | 11 71 |
| ASML HOLDING N V ADR CMN (N07059210) | 09/15/2014 | 02/13/2015 | 2 00 | 208 54 | 0 00 | 200 01 | 8 53 |
| ASML HOLDING N V ADR CMN (N07059210) | 09/16/2014 | 02/13/2015 | 2 00 | 208 54 | 0 00 | 202 97 | 5 57 |
| ASML HOLDING N V ADR CMN (N07059210) | 10/09/2014 | 02/13/2015 | 2 00 | 208 54 | 0 00 | 188 58 | 19 96 |
| ASML HOLDING N V ADR CMN (N07059210) | 09/10/2014 | 02/13/2015 | 3 00 | 312 80 | 0 00 | 292 64 | 20 16 |
| ASML HOLDING N V ADR CMN (N07059210) | 09/24/2014 | 02/13/2015 | 3 00 | 312 80 | 0 00 | 300 56 | 12 24 |
| ASML HOLDING N V ADR CMN (N07059210) | 09/25/2014 | 02/13/2015 | 3 00 | 312 80 | 0 00 | 298 10 | 14 70 |
| ASML HOLDING N V ADR CMN (N07059210) | 09/12/2014 | 02/13/2015 | 4 00 | 417 07 | 0 00 | 395 52 | 21 55 |
| BANK OF AMERICA CORP CMN (060505104) | 04/23/2014 | 02/13/2015 | 3 00 | 49 83 | 0 00 | 48 87 | 0 96 |
| BANK OF AMERICA CORP CMN (060505104) | 03/04/2014 | 02/13/2015 | 4 00 | 66 44 | 0 00 | 66 14 | 0 30 |
| BANK OF AMERICA CORP CMN (060505104) | 02/27/2014 | 02/13/2015 | 6 00 | 99 66 | 0 00 | 98 50 | 1 16 |
| BANK OF AMERICA CORP CMN (060505104) | 07/03/2014 | 02/13/2015 | 6 00 | 99 66 | 0 00 | 96 34 | 3 32 |
| BANK OF AMERICA CORP CMN (060505104) | 03/21/2014 | 02/13/2015 | 7 00 | 116 27 | 0 00 | 124 18 | (7 91) |
| BANK OF AMERICA CORP CMN (060505104) | 04/02/2014 | 02/13/2015 | 7 00 | 116 27 | 0 00 | 120 44 | (4 17) |
| BANK OF AMERICA CORP CMN (060505104) | 06/03/2014 | 02/13/2015 | 7 00 | 116 27 | 0 00 | 106 16 | 10 11 |
| BANK OF AMERICA CORP CMN (060505104) | 12/12/2014 | 02/13/2015 | 7 00 | 116 27 | 0 00 | 120 61 | (4 34) |
| BANK OF AMERICA CORP CMN (060505104) | 04/25/2014 | 02/13/2015 | 9 00 | 149 49 | 0 00 | 143 50 | 5 99 |
| BANK OF AMERICA CORP CMN (060505104) | 11/14/2014 | 02/13/2015 | 10 00 | 166 10 | 0 00 | 171 64 | (5 54) |
| BANK OF AMERICA CORP CMN (060505104) | 01/26/2015 | 02/13/2015 | 11 00 | 182 71 | 0 00 | 172 99 | 9 72 |
| BANK OF AMERICA CORP CMN (060505104) | 11/24/2014 | 02/13/2015 | 12 00 | 199 32 | 0 00 | 206 63 | (7 31) |
| BANK OF AMERICA CORP CMN (060505104) | 03/06/2014 | 02/13/2015 | 13 00 | 215 93 | 0 00 | 226 74 | (10 81) |
| BANK OF AMERICA CORP CMN (060505104) | 08/01/2014 | 02/13/2015 | 16 00 | 265 76 | 0 00 | 239 84 | 25 92 |
| BANK OF AMERICA CORP CMN (060505104) | 03/03/2014 | 02/13/2015 | 17 00 | 282 36 | 0 00 | 276 51 | 5 85 |
| BANK OF AMERICA CORP CMN (060505104) | 03/10/2014 | 02/13/2015 | 18 00 | 298 97 | 0 00 | 313 55 | (14 58) |

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

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| BANK OF AMERICA CORP CMN (060505104) | 01/23/2015 | 02/13/2015 | 25 00 | 415 24 | 0 00 | 401 01 | 14 23 |
| BIOGEN INC CMN (09062X103) | 02/04/2015 | 02/13/2015 | 1 00 | 390 07 | 0 00 | 391 67 | (1 60) |
| BIOGEN INC CMN (09062X103) | 02/05/2015 | 02/13/2015 | 1 00 | 390 07 | 0 00 | 398 57 | (8 50) |
| BIOGEN INC CMN (09062X103) | 02/06/2015 | 02/13/2015 | 1 00 | 390 07 | 0 00 | 405 06 | (14 99) |
| BIOGEN INC CMN (09062X103) | 02/09/2015 | 02/13/2015 | 1 00 | 390 07 | 0 00 | 402 35 | (12 28) |
| BIOGEN INC CMN (09062X103) | 02/10/2015 | 02/13/2015 | 2 00 | 780 14 | 0 00 | 793 81 | (13 67) |
| BOEING COMPANY CMN (097023105) | 03/17/2014 | 02/13/2015 | 1 00 | 149 64 | 0 00 | 125 44 | 24 20 |
| BOEING COMPANY CMN (097023105) | 07/24/2014 | 02/13/2015 | 1 00 | 149 64 | 0 00 | 124 33 | 25 31 |
| BOEING COMPANY CMN (097023105) | 10/08/2014 | 02/13/2015 | 1 00 | 149 64 | 0 00 | 124 26 | 25 38 |
| BOEING COMPANY CMN (097023105) | 02/28/2014 | 02/13/2015 | 2 00 | 299 27 | 0 00 | 259 64 | 39 63 |
| BOEING COMPANY CMN (097023105) | 03/31/2014 | 02/13/2015 | 2 00 | 299 27 | 0 00 | 251 73 | 47 54 |
| BOEING COMPANY CMN (097023105) | 04/23/2014 | 02/13/2015 | 2 00 | 299 27 | 0 00 | 260 34 | 38 93 |
| BOEING COMPANY CMN (097023105) | 05/02/2014 | 02/13/2015 | 2 00 | 299 27 | 0 00 | 259 86 | 39 41 |
| BOEING COMPANY CMN (097023105) | 11/21/2014 | 02/13/2015 | 2 00 | 299 27 | 0 00 | 265 67 | 33 60 |
| BOEING COMPANY CMN (097023105) | 07/29/2014 | 02/13/2015 | 2 00 | 299 28 | 0 00 | 245 22 | 54 06 |
| BOEING COMPANY CMN (097023105) | 11/12/2014 | 02/13/2015 | 2 00 | 299 28 | 0 00 | 252 08 | 47 20 |
| BOEING COMPANY CMN (097023105) | 08/07/2014 | 02/13/2015 | 3 00 | 448 91 | 0 00 | 360 36 | 88 55 |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 04/25/2014 | 02/13/2015 | 1 00 | 47 35 | 0 00 | 64 31 | (16 96) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 07/10/2014 | 02/13/2015 | 1 00 | 47 35 | 0 00 | 68 43 | (21 08) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 10/16/2014 | 02/13/2015 | 1 00 | 47 35 | 0 00 | 57 75 | (10 40) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 12/16/2014 | 02/13/2015 | 1 00 | 47 35 | 0 00 | 46 37 | 0 98 |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 04/24/2014 | 02/13/2015 | 2 00 | 94 70 | 0 00 | 130 04 | (35 34) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 12/09/2014 | 02/13/2015 | 2 00 | 94 70 | 0 00 | 97 55 | (2 85) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 04/30/2014 | 02/13/2015 | 3 00 | 142 05 | 0 00 | 194 50 | (52 45) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 05/05/2014 | 02/13/2015 | 3 00 | 142 05 | 0 00 | 195 99 | (53 94) |

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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 07/11/2014 | 02/13/2015 | 3 00 | 142 05 | 0 00 | 202 51 | (60 46) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 04/24/2014 | 02/13/2015 | 4 00 | 189 40 | 0 00 | 259 51 | (70 11) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 04/28/2014 | 02/13/2015 | 4 00 | 189 40 | 0 00 | 256 50 | (67 10) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 12/10/2014 | 02/13/2015 | 4 00 | 189 40 | 0 00 | 190 90 | (1 50) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 04/29/2014 | 02/13/2015 | 5 00 | 236 74 | 0 00 | 322 86 | (86 12) |
| CAMERON INTERNATIONAL CORP CMN (13342B105) | 05/02/2014 | 02/13/2015 | 6 00 | 284 09 | 0 00 | 392 36 | (108 27) |
| CITIGROUP INC CMN (172967424) | 03/05/2014 | 02/13/2015 | 1 00 | 51 16 | 0 00 | 49 70 | 1 46 |
| CITIGROUP INC CMN (172967424) | 03/26/2014 | 02/13/2015 | 1 00 | 51 16 | 0 00 | 50 15 | 1 01 |
| CITIGROUP INC CMN (172967424) | 07/16/2014 | 02/13/2015 | 1 00 | 51 16 | 0 00 | 49 49 | 1 67 |
| CITIGROUP INC CMN (172967424) | 02/27/2014 | 02/13/2015 | 2 00 | 102 32 | 0 00 | 96 85 | 5 47 |
| CITIGROUP INC CMN (172967424) | 03/04/2014 | 02/13/2015 | 2 00 | 102 32 | 0 00 | 97 12 | 5 20 |
| CITIGROUP INC CMN (172967424) | 03/21/2014 | 02/13/2015 | 2 00 | 102 32 | 0 00 | 100 59 | 1 73 |
| CITIGROUP INC CMN (172967424) | 04/25/2014 | 02/13/2015 | 2 00 | 102 32 | 0 00 | 95 43 | 6 89 |
| CITIGROUP INC CMN (172967424) | 12/12/2014 | 02/13/2015 | 2 00 | 102 32 | 0 00 | 106 97 | (4 65) |
| CITIGROUP INC CMN (172967424) | 04/23/2014 | 02/13/2015 | 3 00 | 153 48 | 0 00 | 144 63 | 8 85 |
| CITIGROUP INC CMN (172967424) | 03/06/2014 | 02/13/2015 | 4 00 | 204 64 | 0 00 | 199 81 | 4 83 |
| CITIGROUP INC CMN (172967424) | 03/28/2014 | 02/13/2015 | 4 00 | 204 64 | 0 00 | 188 65 | 15 99 |
| CITIGROUP INC CMN (172967424) | 01/26/2015 | 02/13/2015 | 4 00 | 204 64 | 0 00 | 194 18 | 10 46 |
| CITIGROUP INC CMN (172967424) | 03/03/2014 | 02/13/2015 | 5 00 | 255 80 | 0 00 | 239 24 | 16 56 |
| CITIGROUP INC CMN (172967424) | 03/10/2014 | 02/13/2015 | 6 00 | 306 95 | 0 00 | 297 04 | 9 91 |
| CITIGROUP INC CMN (172967424) | 01/23/2015 | 02/13/2015 | 6 00 | 306 95 | 0 00 | 297 06 | 9 89 |
| CITIGROUP INC CMN (172967424) | 07/07/2014 | 02/13/2015 | 7 00 | 358 11 | 0 00 | 335 41 | 22 70 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 10/09/2014 | 02/13/2015 | 1 00 | 59 41 | 0 00 | 53 48 | 5 93 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 10/16/2014 | 02/13/2015 | 1 00 | 59 41 | 0 00 | 49 70 | 9 71 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 05/01/2014 | 02/13/2015 | 3 00 | 178 23 | 0 00 | 155 94 | 22 29 |

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

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 06/02/2014 | 02/13/2015 | 3 00 | 178 23 | 0 00 | 157 81 | 20 42 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 10/02/2014 | 02/13/2015 | 3 00 | 178 23 | 0 00 | 158 16 | 20 07 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 10/20/2014 | 02/13/2015 | 3 00 | 178 23 | 0 00 | 154 21 | 24 02 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 11/12/2014 | 02/13/2015 | 3 00 | 178 23 | 0 00 | 160 78 | 17 45 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 05/06/2014 | 02/13/2015 | 4 00 | 237 64 | 0 00 | 207 24 | 30 40 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 05/29/2014 | 02/13/2015 | 4 00 | 237 64 | 0 00 | 207 93 | 29 71 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 07/14/2014 | 02/13/2015 | 4 00 | 237 64 | 0 00 | 220 40 | 17 24 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 07/10/2014 | 02/13/2015 | 5 00 | 297 04 | 0 00 | 271 34 | 25 70 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 05/06/2014 | 02/13/2015 | 5 00 | 297 05 | 0 00 | 259 35 | 37 70 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 05/07/2014 | 02/13/2015 | 6 00 | 356 45 | 0 00 | 309 25 | 47 20 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 10/15/2014 | 02/13/2015 | 6 00 | 356 45 | 0 00 | 301 75 | 54 70 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 04/29/2014 | 02/13/2015 | 7 00 | 415 86 | 0 00 | 360 70 | 55 16 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 05/02/2014 | 02/13/2015 | 7 00 | 415 86 | 0 00 | 364 66 | 51 20 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 05/06/2014 | 02/13/2015 | 7 00 | 415 86 | 0 00 | 365 37 | 50 49 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 05/20/2014 | 02/13/2015 | 7 00 | 415 86 | 0 00 | 354 04 | 61 82 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 05/30/2014 | 02/13/2015 | 7 00 | 415 86 | 0 00 | 363 80 | 52 06 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 08/07/2014 | 02/13/2015 | 7 00 | 415 86 | 0 00 | 370 66 | 45 20 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 04/30/2014 | 02/13/2015 | 8 00 | 475 27 | 0 00 | 414 50 | 60 77 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 10/10/2014 | 02/13/2015 | 8 00 | 475 27 | 0 00 | 426 86 | 48 41 |
| COMCAST CORPORATION CMN CLASS A VOTING (20030N101) | 07/29/2014 | 02/13/2015 | 9 00 | 534 68 | 0 00 | 497 66 | 37 02 |
| EXELON CORPORATION CMN (30161N101) | 08/28/2014 | 02/13/2015 | 2 00 | 66 50 | 0 00 | 66 04 | 0 46 |
| EXELON CORPORATION CMN (30161N101) | 04/30/2014 | 02/13/2015 | 4 00 | 133 00 | 0 00 | 140 08 | (7 08) |
| EXELON CORPORATION CMN (30161N101) | 06/16/2014 | 02/13/2015 | 4 00 | 133 00 | 0 00 | 144 97 | (11 97) |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 10/16/2014 | 02/13/2015 | 1 00 | 84 72 | 0 00 | 70 14 | 14 58 |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 10/21/2014 | 02/13/2015 | 1 00 | 84 72 | 0 00 | 73 88 | 10 84 |

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

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



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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 12/12/2014 | 02/13/2015 | 2 00 | 169 44 | 0 00 | 167 10 | 2 34 |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 10/20/2014 | 02/13/2015 | 2 00 | 169 44 | 0 00 | 142 91 | 26 53 |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 10/28/2014 | 02/13/2015 | 3 00 | 254 16 | 0 00 | 222 35 | 31 81 |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 10/29/2014 | 02/13/2015 | 3 00 | 254 16 | 0 00 | 222 66 | 31 50 |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 04/16/2014 | 02/13/2015 | 3 00 | 254 16 | 0 00 | 219 24 | 34 92 |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 10/15/2014 | 02/13/2015 | 3 00 | 254 16 | 0 00 | 208 83 | 45 33 |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 10/31/2014 | 02/13/2015 | 4 00 | 338 87 | 0 00 | 307 75 | 31 12 |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 04/17/2014 | 02/13/2015 | 7 00 | 593 03 | 0 00 | 506 27 | 86 76 |
| EXPRESS SCRIPTS HOLDINGS CMN (30219G108) | 04/15/2014 | 02/13/2015 | 11 00 | 931 90 | 0 00 | 806 96 | 124 94 |
| GENERAL ELECTRIC CO CMN (369604103) | 02/27/2014 | 02/13/2015 | 3 00 | 75 27 | 0 00 | 76 32 | (1 05) |
| GENERAL ELECTRIC CO CMN (369604103) | 03/06/2014 | 02/13/2015 | 12 00 | 301 07 | 0 00 | 313 90 | (12 83) |
| GENERAL ELECTRIC CO CMN (369604103) | 08/07/2014 | 02/13/2015 | 15 00 | 376 34 | 0 00 | 383 09 | (6 75) |
| GOOGLE INC CMN CLASS C (38259P706) | 01/21/2015 | 02/13/2015 | 1 00 | 547 57 | 0 00 | 516 22 | 31 35 |
| GOOGLE INC CMN CLASS C (38259P706) | 01/23/2015 | 02/13/2015 | 1 00 | 547 57 | 0 00 | 541 83 | 5 74 |
| GOOGLE INC CMN CLASS C (38259P706) | 01/22/2015 | 02/13/2015 | 2 00 | 1,095 14 | 0 00 | 1,064 75 | 30 39 |
| GOOGLE INC CMN CLASS C (38259P706) | 01/26/2015 | 02/13/2015 | 2 00 | 1,095 14 | 0 00 | 1,069 03 | 26 11 |
| GOOGLE INC CMN CLASS C (38259P706) | 01/30/2015 | 02/13/2015 | 2 00 | 1,095 14 | 0 00 | 1,071 04 | 24 10 |
| HONEYWELL INTL INC CMN (438516106) | 07/29/2014 | 02/13/2015 | 4 00 | 416 75 | 0 00 | 376 34 | 40 41 |
| HONEYWELL INTL INC CMN (438516106) | 07/30/2014 | 02/13/2015 | 4 00 | 416 75 | 0 00 | 376 57 | 40 18 |
| HONEYWELL INTL INC CMN (438516106) | 08/07/2014 | 02/13/2015 | 4 00 | 416 75 | 0 00 | 364 44 | 52 31 |
| JOHNSON CONTROLS INC CMN (478366107) | 08/08/2014 | 02/13/2015 | 1 00 | 48 41 | 0 00 | 48 14 | 0 27 |
| JOHNSON CONTROLS INC CMN (478366107) | 08/11/2014 | 02/13/2015 | 1 00 | 48 41 | 0 00 | 48 43 | (0 02) |
| JOHNSON CONTROLS INC CMN (478366107) | 10/16/2014 | 02/13/2015 | 1 00 | 48 41 | 0 00 | 40 72 | 7 69 |
| JOHNSON CONTROLS INC CMN (478366107) | 07/29/2014 | 02/13/2015 | 3 00 | 145 23 | 0 00 | 145 53 | (0 30) |
| JOHNSON CONTROLS INC CMN (478366107) | 07/29/2014 | 02/13/2015 | 5 00 | 242 04 | 0 00 | 243 42 | (1 38) |

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

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| JOHNSON CONTROLS INC CMN (478366107) | 08/07/2014 | 02/13/2015 | 6 00 | 290 46 | 0 00 | 285 93 | 4 53 |
| LAS VEGAS SANDS CORP CMN (517834107) | 12/24/2014 | 02/13/2015 | 1 00 | 60 59 | 0 00 | 57 85 | 2 74 |
| LAS VEGAS SANDS CORP CMN (517834107) | 01/13/2015 | 02/13/2015 | 1 00 | 60 59 | 0 00 | 55 45 | 5 14 |
| LAS VEGAS SANDS CORP CMN (517834107) | 02/04/2015 | 02/13/2015 | 1 00 | 60 59 | 0 00 | 55 94 | 4 65 |
| LAS VEGAS SANDS CORP CMN (517834107) | 12/23/2014 | 02/13/2015 | 2 00 | 121 18 | 0 00 | 116 92 | 4 26 |
| LAS VEGAS SANDS CORP CMN (517834107) | 01/12/2015 | 02/13/2015 | 2 00 | 121 18 | 0 00 | 110 00 | 11 18 |
| LAS VEGAS SANDS CORP CMN (517834107) | 02/03/2015 | 02/13/2015 | 3 00 | 181 77 | 0 00 | 172 74 | 9 03 |
| LAS VEGAS SANDS CORP CMN (517834107) | 02/10/2015 | 02/13/2015 | 3 00 | 181 77 | 0 00 | 172 36 | 9 41 |
| LAS VEGAS SANDS CORP CMN (517834107) | 12/29/2014 | 02/13/2015 | 4 00 | 242 36 | 0 00 | 235 08 | 7 28 |
| LAS VEGAS SANDS CORP CMN (517834107) | 12/31/2014 | 02/13/2015 | 4 00 | 242 36 | 0 00 | 232 82 | 9 54 |
| LAS VEGAS SANDS CORP CMN (517834107) | 01/02/2015 | 02/13/2015 | 4 00 | 242 36 | 0 00 | 225 35 | 17 01 |
| LAS VEGAS SANDS CORP CMN (517834107) | 12/22/2014 | 02/13/2015 | 6 00 | 363 53 | 0 00 | 334 21 | 29 32 |
| LAS VEGAS SANDS CORP CMN (517834107) | 12/30/2014 | 02/13/2015 | 6 00 | 363 53 | 0 00 | 350 35 | 13 18 |
| LAS VEGAS SANDS CORP CMN (517834107) | 12/19/2014 | 02/13/2015 | 7 00 | 424 12 | 0 00 | 393 92 | 30 20 |
| LAS VEGAS SANDS CORP CMN (517834107) | 01/06/2015 | 02/13/2015 | 13 00 | 787 65 | 0 00 | 695 45 | 92 20 |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 07/29/2014 | 02/13/2015 | 2 00 | 76 04 | 0 00 | 70 33 | 5 71 |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 08/05/2014 | 02/13/2015 | 2 00 | 76 04 | 0 00 | 68 91 | 7 13 |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 08/07/2014 | 02/13/2015 | 2 00 | 76 04 | 0 00 | 68 93 | 7 11 |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 08/08/2014 | 02/13/2015 | 2 00 | 76 04 | 0 00 | 68 82 | 7 22 |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 08/14/2014 | 02/13/2015 | 2 00 | 76 04 | 0 00 | 71 15 | 4 89 |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 08/15/2014 | 02/13/2015 | 2 00 | 76 04 | 0 00 | 72 62 | 3 42 |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 09/23/2014 | 02/13/2015 | 3 00 | 114 06 | 0 00 | 105 11 | 8 95 |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 11/04/2014 | 02/13/2015 | 3 00 | 114 06 | 0 00 | 144 16 | (30 10) |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 09/24/2014 | 02/13/2015 | 5 00 | 190 10 | 0 00 | 174 48 | 15 62 |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 08/01/2014 | 02/13/2015 | 6 00 | 228 11 | 0 00 | 207 22 | 20 89 |

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

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 07/30/2014 | 02/13/2015 | 10 00 | 380 19 | 0 00 | 353 89 | 26 30 |
| LIBERTY MEDIA CORPORATION CMN (531229300) | 07/31/2014 | 02/13/2015 | 10 00 | 380 19 | 0 00 | 347 62 | 32 57 |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | 01/27/2015 | 02/13/2015 | 1 00 | 74 92 | 0 00 | 76 95 | (2 03) |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | 01/27/2015 | 02/13/2015 | 3 00 | 224 76 | 0 00 | 230 85 | (6 09) |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | 01/27/2015 | 02/13/2015 | 3 00 | 224 76 | 0 00 | 230 85 | (6 09) |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | 01/27/2015 | 02/13/2015 | 4 00 | 299 67 | 0 00 | 307 80 | (8 13) |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | 02/04/2015 | 02/13/2015 | 5 00 | 374 59 | 0 00 | 371 40 | 3 19 |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | 01/27/2015 | 02/13/2015 | 5 00 | 374 59 | 0 00 | 384 75 | (10 16) |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | 01/27/2015 | 02/13/2015 | 5 00 | 374 59 | 0 00 | 384 75 | (10 16) |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | 02/03/2015 | 02/13/2015 | 9 00 | 674 27 | 0 00 | 667 81 | 6 46 |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | 01/27/2015 | 02/13/2015 | 22 00 | 1,648 21 | 0 00 | 1,692 90 | (44 69) |
| MONSANTO COMPANY CMN (61166W101) | 03/17/2014 | 02/13/2015 | 1 00 | 125 09 | 0 00 | 114 09 | 11 00 |
| MONSANTO COMPANY CMN (61166W101) | 04/08/2014 | 02/13/2015 | 1 00 | 125 09 | 0 00 | 112 99 | 12 10 |
| MONSANTO COMPANY CMN (61166W101) | 06/27/2014 | 02/13/2015 | 1 00 | 125 09 | 0 00 | 125 00 | 0 09 |
| MONSANTO COMPANY CMN (61166W101) | 04/23/2014 | 02/13/2015 | 2 00 | 250 18 | 0 00 | 224 18 | 26 00 |
| MONSANTO COMPANY CMN (61166W101) | 08/07/2014 | 02/13/2015 | 2 00 | 250 18 | 0 00 | 231 57 | 18 61 |
| MONSANTO COMPANY CMN (61166W101) | 09/08/2014 | 02/13/2015 | 2 00 | 250 18 | 0 00 | 229 29 | 20 89 |
| MONSANTO COMPANY CMN (61166W101) | 10/08/2014 | 02/13/2015 | 2 00 | 250 18 | 0 00 | 216 29 | 33 89 |
| NETAPP, INC CMN (64110D104) | 09/30/2014 | 02/13/2015 | 1 00 | 38 32 | 0 00 | 42 96 | (4 64) |
| NETAPP, INC CMN (64110D104) | 11/25/2014 | 02/13/2015 | 1 00 | 38 32 | 0 00 | 43 15 | (4 83) |
| NETAPP, INC CMN (64110D104) | 02/27/2014 | 02/13/2015 | 2 00 | 76 64 | 0 00 | 81 12 | (4 48) |
| NETAPP, INC CMN (64110D104) | 07/02/2014 | 02/13/2015 | 2 00 | 76 64 | 0 00 | 74 16 | 2 48 |
| NETAPP, INC CMN (64110D104) | 07/07/2014 | 02/13/2015 | 2 00 | 76 64 | 0 00 | 74 39 | 2 25 |
| NETAPP, INC CMN (64110D104) | 11/26/2014 | 02/13/2015 | 2 00 | 76 64 | 0 00 | 85 29 | (8 65) |
| NETAPP, INC CMN (64110D104) | 03/21/2014 | 02/13/2015 | 3 00 | 114 96 | 0 00 | 113 79 | 1 17 |

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

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| NETAPP, INC CMN (64110D104) | 06/30/2014 | 02/13/2015 | 4 00 | 153 28 | 0 00 | 146 11 | 7 17 |
| NETAPP, INC CMN (64110D104) | 01/13/2015 | 02/13/2015 | 4 00 | 153 28 | 0 00 | 156 07 | (2 79) |
| NORTHERN TRUST CORP CMN (665859104) | 10/27/2014 | 02/13/2015 | 1 00 | 69 98 | 0 00 | 63 34 | 6 64 |
| NORTHERN TRUST CORP CMN (665859104) | 11/17/2014 | 02/13/2015 | 1 00 | 69 98 | 0 00 | 67 71 | 2 27 |
| NORTHERN TRUST CORP CMN (665859104) | 11/18/2014 | 02/13/2015 | 1 00 | 69 98 | 0 00 | 68 09 | 1 89 |
| NORTHERN TRUST CORP CMN (665859104) | 07/23/2014 | 02/13/2015 | 2 00 | 139 96 | 0 00 | 133 05 | 6 91 |
| NORTHERN TRUST CORP CMN (665859104) | 07/29/2014 | 02/13/2015 | 2 00 | 139 96 | 0 00 | 134 56 | 5 40 |
| NORTHERN TRUST CORP CMN (665859104) | 10/10/2014 | 02/13/2015 | 2 00 | 139 96 | 0 00 | 130 97 | 8 99 |
| NORTHERN TRUST CORP CMN (665859104) | 12/12/2014 | 02/13/2015 | 2 00 | 139 96 | 0 00 | 132 75 | 7 21 |
| NORTHERN TRUST CORP CMN (665859104) | 07/24/2014 | 02/13/2015 | 3 00 | 209 94 | 0 00 | 201 52 | 8 42 |
| NORTHERN TRUST CORP CMN (665859104) | 10/24/2014 | 02/13/2015 | 3 00 | 209 94 | 0 00 | 188 68 | 21 26 |
| NORTHERN TRUST CORP CMN (665859104) | 10/29/2014 | 02/13/2015 | 3 00 | 209 94 | 0 00 | 192 38 | 17 56 |
| NORTHERN TRUST CORP CMN (665859104) | 01/14/2015 | 02/13/2015 | 3 00 | 209 94 | 0 00 | 187 47 | 22 47 |
| NORTHERN TRUST CORP CMN (665859104) | 07/25/2014 | 02/13/2015 | 4 00 | 279 92 | 0 00 | 268 68 | 11 24 |
| NORTHERN TRUST CORP CMN (665859104) | 07/30/2014 | 02/13/2015 | 4 00 | 279 92 | 0 00 | 272 16 | 7 76 |
| NORTHERN TRUST CORP CMN (665859104) | 08/21/2014 | 02/13/2015 | 5 00 | 349 89 | 0 00 | 339 01 | 10 88 |
| NORTHERN TRUST CORP CMN (665859104) | 07/28/2014 | 02/13/2015 | 7 00 | 489 85 | 0 00 | 470 43 | 19 42 |
| NORTHERN TRUST CORP CMN (665859104) | 07/22/2014 | 02/13/2015 | 10 00 | 699 79 | 0 00 | 660 48 | 39 31 |
| NORTHERN TRUST CORP CMN (665859104) | 07/31/2014 | 02/13/2015 | 16 00 | 1,119 66 | 0 00 | 1,076 06 | 43 60 |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 11/25/2014 | 02/13/2015 | 1 00 | 83 10 | 0 00 | 83 26 | (0 16) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 08/22/2014 | 02/13/2015 | 1 00 | 83 11 | 0 00 | 98 83 | (15 72) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 09/11/2014 | 02/13/2015 | 1 00 | 83 11 | 0 00 | 94 86 | (11 75) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 11/28/2014 | 02/13/2015 | 1 00 | 83 11 | 0 00 | 80 16 | 2 95 |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 12/02/2014 | 02/13/2015 | 1 00 | 83 11 | 0 00 | 80 78 | 2 33 |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 12/04/2014 | 02/13/2015 | 1 00 | 83 11 | 0 00 | 82 65 | 0 46 |

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



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## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 12/09/2014 | 02/13/2015 | 2 00 | 166 22 | 0 00 | 154 18 | 12 04 |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 08/26/2014 | 02/13/2015 | 3 00 | 249 32 | 0 00 | 299 11 | (49 79) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 10/16/2014 | 02/13/2015 | 3 00 | 249 32 | 0 00 | 250 79 | (1 47) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 08/27/2014 | 02/13/2015 | 3 00 | 249 33 | 0 00 | 298 91 | (49 58) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 12/10/2014 | 02/13/2015 | 3 00 | 249 33 | 0 00 | 225 66 | 23 67 |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 12/11/2014 | 02/13/2015 | 3 00 | 249 33 | 0 00 | 225 58 | 23 75 |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 12/16/2014 | 02/13/2015 | 3 00 | 249 33 | 0 00 | 226 21 | 23 12 |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 11/26/2014 | 02/13/2015 | 4 00 | 332 43 | 0 00 | 332 56 | (0 13) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 12/01/2014 | 02/13/2015 | 4 00 | 332 43 | 0 00 | 317 54 | 14 89 |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 12/03/2014 | 02/13/2015 | 4 00 | 332 43 | 0 00 | 329 32 | 3 11 |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 09/10/2014 | 02/13/2015 | 6 00 | 498 65 | 0 00 | 569 87 | (71 22) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 08/21/2014 | 02/13/2015 | 7 00 | 581 76 | 0 00 | 691 12 | (109 36) |
| OCCIDENTAL PETROLEUM CORP CMN (674599105) | 08/25/2014 | 02/13/2015 | 7 00 | 581 76 | 0 00 | 698 87 | (117 11) |
| OMNICOM GROUP CMN (681919106) | 11/25/2014 | 02/13/2015 | 1 00 | 77 54 | 0 00 | 76 37 | 1 17 |
| OMNICOM GROUP CMN (681919106) | 12/02/2014 | 02/13/2015 | 1 00 | 77 54 | 0 00 | 78 01 | (0 47) |
| OMNICOM GROUP CMN (681919106) | 11/06/2014 | 02/13/2015 | 2 00 | 155 08 | 0 00 | 144 80 | 10 28 |
| OMNICOM GROUP CMN (681919106) | 11/14/2014 | 02/13/2015 | 2 00 | 155 08 | 0 00 | 147 91 | 7 17 |
| OMNICOM GROUP CMN (681919106) | 11/17/2014 | 02/13/2015 | 2 00 | 155 08 | 0 00 | 148 64 | 6 44 |
| OMNICOM GROUP CMN (681919106) | 11/20/2014 | 02/13/2015 | 2 00 | 155 08 | 0 00 | 149 38 | 5 70 |
| OMNICOM GROUP CMN (681919106) | 10/31/2014 | 02/13/2015 | 3 00 | 232 62 | 0 00 | 215 63 | 16 99 |
| OMNICOM GROUP CMN (681919106) | 11/07/2014 | 02/13/2015 | 3 00 | 232 62 | 0 00 | 217 69 | 14 93 |
| OMNICOM GROUP CMN (681919106) | 11/13/2014 | 02/13/2015 | 3 00 | 232 62 | 0 00 | 220 71 | 11 91 |
| OMNICOM GROUP CMN (681919106) | 11/19/2014 | 02/13/2015 | 3 00 | 232 62 | 0 00 | 224 28 | 8 34 |
| OMNICOM GROUP CMN (681919106) | 11/21/2014 | 02/13/2015 | 3 00 | 232 62 | 0 00 | 224 74 | 7 88 |
| OMNICOM GROUP CMN (681919106) | 12/01/2014 | 02/13/2015 | 3 00 | 232 62 | 0 00 | 231 87 | 0 75 |

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

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| OMNICOM GROUP CMN (681919106) | 02/10/2015 | 02/13/2015 | 3 00 | 232 62 | 0 00 | 226 30 | 6 32 |
| OMNICOM GROUP CMN (681919106) | 11/11/2014 | 02/13/2015 | 4 00 | 310 15 | 0 00 | 292 19 | 17 96 |
| OMNICOM GROUP CMN (681919106) | 11/24/2014 | 02/13/2015 | 4 00 | 310 15 | 0 00 | 304 54 | 5 61 |
| OMNICOM GROUP CMN (681919106) | 11/04/2014 | 02/13/2015 | 5 00 | 387 69 | 0 00 | 361 75 | 25 94 |
| ORACLE CORPORATION CMN (68389X105) | 06/20/2014 | 02/13/2015 | 2 00 | 87 84 | 0 00 | 81 39 | 6 45 |
| ORACLE CORPORATION CMN (68389X105) | 10/02/2014 | 02/13/2015 | 3 00 | 131 76 | 0 00 | 115 16 | 16 60 |
| ORACLE CORPORATION CMN (68389X105) | 11/21/2014 | 02/13/2015 | 3 00 | 131 76 | 0 00 | 123 65 | 8 11 |
| ORACLE CORPORATION CMN (68389X105) | 06/23/2014 | 02/13/2015 | 5 00 | 219 60 | 0 00 | 205 38 | 14 22 |
| PENTAIR PLC CMN (G7S00T104) | 12/19/2014 | 02/13/2015 | 1 00 | 67 04 | 0 00 | 66 41 | 0 63 |
| PENTAIR PLC CMN (G7S00T104) | 12/30/2014 | 02/13/2015 | 1 00 | 67 04 | 0 00 | 67 18 | (0 14) |
| PENTAIR PLC CMN (G7S00T104) | 01/07/2015 | 02/13/2015 | 1 00 | 67 04 | 0 00 | 64 00 | 3 04 |
| PENTAIR PLC CMN (G7S00T104) | 01/08/2015 | 02/13/2015 | 1 00 | 67 04 | 0 00 | 65 29 | 1 75 |
| PENTAIR PLC CMN (G7S00T104) | 01/09/2015 | 02/13/2015 | 1 00 | 67 04 | 0 00 | 65 44 | 1 60 |
| PENTAIR PLC CMN (G7S00T104) | 01/20/2015 | 02/13/2015 | 1 00 | 67 04 | 0 00 | 64 61 | 2 43 |
| PENTAIR PLC CMN (G7S00T104) | 02/03/2015 | 02/13/2015 | 1 00 | 67 04 | 0 00 | 65 76 | 1 28 |
| PENTAIR PLC CMN (G7S00T104) | 02/06/2015 | 02/13/2015 | 1 00 | 67 04 | 0 00 | 64 13 | 2 91 |
| PENTAIR PLC CMN (G7S00T104) | 12/18/2014 | 02/13/2015 | 2 00 | 134 08 | 0 00 | 129 84 | 4 24 |
| PENTAIR PLC CMN (G7S00T104) | 12/22/2014 | 02/13/2015 | 2 00 | 134 08 | 0 00 | 133 14 | 0 94 |
| PENTAIR PLC CMN (G7S00T104) | 12/29/2014 | 02/13/2015 | 2 00 | 134 08 | 0 00 | 134 47 | (0 39) |
| PENTAIR PLC CMN (G7S00T104) | 01/06/2015 | 02/13/2015 | 2 00 | 134 08 | 0 00 | 127 17 | 6 91 |
| PENTAIR PLC CMN (G7S00T104) | 01/12/2015 | 02/13/2015 | 2 00 | 134 08 | 0 00 | 129 70 | 4 38 |
| PENTAIR PLC CMN (G7S00T104) | 01/22/2015 | 02/13/2015 | 2 00 | 134 08 | 0 00 | 132 49 | 1 59 |
| PENTAIR PLC CMN (G7S00T104) | 02/04/2015 | 02/13/2015 | 2 00 | 134 08 | 0 00 | 127 64 | 6 44 |
| PENTAIR PLC CMN (G7S00T104) | 02/09/2015 | 02/13/2015 | 2 00 | 134 08 | 0 00 | 130 46 | 3 62 |
| PENTAIR PLC CMN (G7S00T104) | 01/14/2015 | 02/13/2015 | 3 00 | 201 12 | 0 00 | 196 31 | 4 81 |

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



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Realized and unrealized gains and loss values do not include securities for which cost basis is unavailable The recognition of any loss reflected herein may be disallowed or deferred by the application of capital loss limitations, wash sale rules or other special tax rules, and you are strongly urged to consult your own outside tax and other advisors about this and all tax-related matters addressed in any way herein All information regarding the cost basis and acquisition dates of securities that you acquired elsewhere and that were subsequently delivered into your Goldman Sachs account(s) were provided by you and/or a third party and Goldman Sachs makes no representation as to the accuracy and completeness of such information and it should not be relied upon as such

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| PENTAIR PLC CMN (G7S00T104) | 01/13/2015 | 02/13/2015 | 4 00 | 268 15 | 0 00 | 257 54 | 10 61 |
| PENTAIR PLC CMN (G7S00T104) | 01/05/2015 | 02/13/2015 | 5 00 | 335 19 | 0 00 | 321 20 | 13 99 |
| PENTAIR PLC CMN (G7S00T104) | 01/16/2015 | 02/13/2015 | 7 00 | 469 27 | 0 00 | 449 49 | 19 78 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 07/17/2014 | 02/13/2015 | 2 00 | 184 50 | 0 00 | 168 69 | 15 81 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 08/07/2014 | 02/13/2015 | 4 00 | 368 99 | 0 00 | 326 15 | 42 84 |
| QUALCOMM INC CMN (747525103) | 11/13/2014 | 02/13/2015 | 3 00 | 212 34 | 0 00 | 211 54 | 0 80 |
| QUALCOMM INC CMN (747525103) | 11/18/2014 | 02/13/2015 | 3 00 | 212 34 | 0 00 | 214 00 | (1 66) |
| QUALCOMM INC CMN (747525103) | 12/11/2014 | 02/13/2015 | 3 00 | 212 34 | 0 00 | 216 27 | (3 93) |
| QUALCOMM INC CMN (747525103) | 01/13/2015 | 02/13/2015 | 3 00 | 212 34 | 0 00 | 218 08 | (5 74) |
| QUALCOMM INC CMN (747525103) | 11/05/2014 | 02/13/2015 | 4 00 | 283 11 | 0 00 | 308 79 | (25 68) |
| QUALCOMM INC CMN (747525103) | 12/12/2014 | 02/13/2015 | 4 00 | 283 11 | 0 00 | 284 36 | (1 25) |
| QUALCOMM INC CMN (747525103) | 11/07/2014 | 02/13/2015 | 8 00 | 566 23 | 0 00 | 554 89 | 11 34 |
| QUALCOMM INC CMN (747525103) | 11/06/2014 | 02/13/2015 | 15 00 | 1,061 68 | 0 00 | 1,028 76 | 32 92 |
| THE MOSAIC COMPANY CMN (61945C103) | 02/27/2014 | 02/13/2015 | 1 00 | 52 43 | 0 00 | 48 37 | 4 06 |
| THE MOSAIC COMPANY CMN (61945C103) | 09/19/2014 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 92 81 | 12 05 |
| THE MOSAIC COMPANY CMN (61945C103) | 09/22/2014 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 92 09 | 12 77 |
| THE MOSAIC COMPANY CMN (61945C103) | 09/23/2014 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 91 91 | 12 95 |
| THE MOSAIC COMPANY CMN (61945C103) | 12/10/2014 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 92 12 | 12 74 |
| THE MOSAIC COMPANY CMN (61945C103) | 02/09/2015 | 02/13/2015 | 3 00 | 157 29 | 0 00 | 151 19 | 6 10 |
| THE MOSAIC COMPANY CMN (61945C103) | 04/28/2014 | 02/13/2015 | 4 00 | 209 72 | 0 00 | 198 48 | 11 24 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/16/2014 | 02/13/2015 | 1 00 | 166 93 | 0 00 | 117 35 | 49 58 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/27/2014 | 02/13/2015 | 1 00 | 166 93 | 0 00 | 128 49 | 38 44 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/30/2014 | 02/13/2015 | 1 00 | 166 93 | 0 00 | 125 87 | 41 06 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 10/16/2014 | 02/13/2015 | 1 00 | 166 93 | 0 00 | 118 72 | 48 21 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 11/14/2014 | 02/13/2015 | 1 00 | 166 93 | 0 00 | 134 15 | 32 78 |

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

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



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Realized and unrealized gains and loss values do not include securities for which cost basis is unavailable The recognition of any loss reflected herein may be disallowed or deferred by the application of capital loss limitations, wash sale rules or other special tax rules, and you are strongly urged to consult your own outside tax and other advisors about this and all tax-related matters addressed in any way herein All information regarding the cost basis and acquisition dates of securities that you acquired elsewhere and that were subsequently delivered into your Goldman Sachs account(s) were provided by you and/or a third party and Goldman Sachs makes no representation as to the accuracy and completeness of such information and it should not be relied upon as such

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 06/26/2014 | 02/13/2015 | 2 00 | 333 85 | 0 00 | 252 59 | 81 26 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 07/17/2014 | 02/13/2015 | 2 00 | 333 85 | 0 00 | 244 69 | 89 16 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 07/29/2014 | 02/13/2015 | 2 00 | 333 85 | 0 00 | 248 18 | 85 67 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 07/30/2014 | 02/13/2015 | 2 00 | 333 85 | 0 00 | 252 12 | 81 73 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 09/05/2014 | 02/13/2015 | 2 00 | 333 85 | 0 00 | 237 52 | 96 33 |
| VIACOM INC CMN CLASS B (92553P201) | 06/16/2014 | 02/13/2015 | 1 00 | 68 76 | 0 00 | 86 66 | (17 90) |
| VIACOM INC CMN CLASS B (92553P201) | 08/11/2014 | 02/13/2015 | 1 00 | 68 76 | 0 00 | 81 15 | (12 39) |
| VIACOM INC CMN CLASS B (92553P201) | 11/19/2014 | 02/13/2015 | 1 00 | 68 76 | 0 00 | 73 45 | (4 69) |
| VIACOM INC CMN CLASS B (92553P201) | 02/06/2015 | 02/13/2015 | 1 00 | 68 76 | 0 00 | 67 08 | 1 68 |
| VIACOM INC CMN CLASS B (92553P201) | 07/09/2014 | 02/13/2015 | 2 00 | 137 52 | 0 00 | 172 32 | (34 80) |
| VIACOM INC CMN CLASS B (92553P201) | 07/18/2014 | 02/13/2015 | 2 00 | 137 52 | 0 00 | 175 62 | (38 10) |
| VIACOM INC CMN CLASS B (92553P201) | 08/06/2014 | 02/13/2015 | 2 00 | 137 52 | 0 00 | 161 57 | (24 05) |
| VIACOM INC CMN CLASS B (92553P201) | 10/09/2014 | 02/13/2015 | 2 00 | 137 52 | 0 00 | 144 05 | (6 53) |
| VIACOM INC CMN CLASS B (92553P201) | 01/13/2015 | 02/13/2015 | 3 00 | 206 27 | 0 00 | 216 90 | (10 63) |
| VIACOM INC CMN CLASS B (92553P201) | 07/17/2014 | 02/13/2015 | 3 00 | 206 28 | 0 00 | 264 63 | (58 35) |
| VIACOM INC CMN CLASS B (92553P201) | 10/02/2014 | 02/13/2015 | 4 00 | 275 03 | 0 00 | 298 61 | (23 58) |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 04/24/2014 | 02/13/2015 | 1 00 | 35 80 | 0 00 | 36 32 | (0 52) |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 04/22/2014 | 02/13/2015 | 2 00 | 71 61 | 0 00 | 73 09 | (1 48) |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 07/29/2014 | 02/13/2015 | 4 00 | 143 22 | 0 00 | 137 86 | 5 36 |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 04/25/2014 | 02/13/2015 | 5 00 | 179 02 | 0 00 | 183 18 | (4 16) |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 10/23/2014 | 02/13/2015 | 5 00 | 179 02 | 0 00 | 157 14 | 21 88 |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 04/23/2014 | 02/13/2015 | 6 00 | 214 82 | 0 00 | 215 49 | (0 67) |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 12/11/2014 | 02/13/2015 | 7 00 | 250 63 | 0 00 | 244 68 | 5 95 |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 07/30/2014 | 02/13/2015 | 8 00 | 286 43 | 0 00 | 274 74 | 11 69 |

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



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# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 12/12/2014 | 02/13/2015 | 8 00 | 286 44 | 0 00 | 269 42 | 17 02 |
| **Net Covered Short-Term Gains (Losses)** | | | | **87,557.36** | **0.00** | **82,906.06** | **4,651 30** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 04/16/2013 | 01/02/2015 | 2 00 | 181 94 | 0 00 | 128 65 | 53 29 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 02/12/2013 | 01/05/2015 | 3 00 | 297 23 | 0 00 | 171 09 | 126 14 |
| ORACLE CORPORATION CMN (68389X105) | 11/27/2013 | 01/06/2015 | 2 00 | 86 80 | 0 00 | 70 77 | 16 03 |
| ORACLE CORPORATION CMN (68389X105) | 11/29/2013 | 01/06/2015 | 3 00 | 130 19 | 0 00 | 106 09 | 24 10 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 04/16/2013 | 01/06/2015 | 1 00 | 86 15 | 0 00 | 64 33 | 21 82 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 04/24/2013 | 01/06/2015 | 2 00 | 172 30 | 0 00 | 135 71 | 36 59 |
| FORD MOTOR COMPANY CMN (345370860) | 05/08/2013 | 01/07/2015 | 15 00 | 224 52 | 0 00 | 213 04 | 11 48 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 04/25/2013 | 01/07/2015 | 1 00 | 87 05 | 0 00 | 69 61 | 17 44 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 04/26/2013 | 01/07/2015 | 2 00 | 174 09 | 0 00 | 136 42 | 37 67 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 02/12/2013 | 01/07/2015 | 2 00 | 199 43 | 0 00 | 114 06 | 85 37 |
| PFIZER INC CMN (717081103) | 02/12/2013 | 01/08/2015 | 15 00 | 488 91 | 0 00 | 407 17 | 81 74 |
| PFIZER INC CMN (717081103) | 02/12/2013 | 01/08/2015 | 27 00 | 880 05 | 0 00 | 732 91 | 147 14 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 02/12/2013 | 01/16/2015 | 3 00 | 314 93 | 0 00 | 171 09 | 143 84 |
| ENCANA CORPORATION CMN (292505104) | 02/12/2013 | 01/21/2015 | 23 00 | 305 67 | 0 00 | 448 73 | (143 06) |
| FORD MOTOR COMPANY CMN (345370860) | 05/09/2013 | 01/21/2015 | 1 00 | 14 96 | 0 00 | 14 23 | 0 73 |
| FORD MOTOR COMPANY CMN (345370860) | 05/08/2013 | 01/21/2015 | 12 00 | 179 53 | 0 00 | 170 43 | 9 10 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 02/12/2013 | 01/21/2015 | 2 00 | 217 46 | 0 00 | 114 06 | 103 40 |
| ENCANA CORPORATION CMN (292505104) | 02/12/2013 | 01/22/2015 | 27 00 | 357 69 | 0 00 | 526 77 | (169 08) |

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| FORD MOTOR COMPANY CMN (345370860) | 05/09/2013 | 01/22/2015 | 20 00 | 300 47 | 0 00 | 284 54 | 15 93 |
| ENCANA CORPORATION CMN (292505104) | 04/12/2013 | 01/23/2015 | 5 00 | 67 22 | 0 00 | 96 61 | (29 39) |
| ENCANA CORPORATION CMN (292505104) | 04/05/2013 | 01/23/2015 | 8 00 | 107 55 | 0 00 | 148 80 | (41 25) |
| ENCANA CORPORATION CMN (292505104) | 02/12/2013 | 01/23/2015 | 10 00 | 134 44 | 0 00 | 195 10 | (60 66) |
| FORD MOTOR COMPANY CMN (345370860) | 05/10/2013 | 01/23/2015 | 7 00 | 104 64 | 0 00 | 99 17 | 5 47 |
| FORD MOTOR COMPANY CMN (345370860) | 05/09/2013 | 01/23/2015 | 14 00 | 209 29 | 0 00 | 199 18 | 10 11 |
| PFIZER INC CMN (717081103) | 02/12/2013 | 01/23/2015 | 7 00 | 228 71 | 0 00 | 190 01 | 38 70 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 02/12/2013 | 01/23/2015 | 3 00 | 337 25 | 0 00 | 171 09 | 166 16 |
| FORD MOTOR COMPANY CMN (345370860) | 11/04/2013 | 01/26/2015 | 3 00 | 45 21 | 0 00 | 50 92 | (5 71) |
| FORD MOTOR COMPANY CMN (345370860) | 11/05/2013 | 01/26/2015 | 3 00 | 45 21 | 0 00 | 51 13 | (5 92) |
| FORD MOTOR COMPANY CMN (345370860) | 05/10/2013 | 01/26/2015 | 7 00 | 105 50 | 0 00 | 99 17 | 6 33 |
| FORD MOTOR COMPANY CMN (345370860) | 05/14/2013 | 01/26/2015 | 15 00 | 226 07 | 0 00 | 213 40 | 12 67 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 02/12/2013 | 01/26/2015 | 1 00 | 111 45 | 0 00 | 57 03 | 54 42 |
| COVIDIEN PUBLIC LIMITED COMPAN CMN (G2554F113) | 03/21/2013 | 01/27/2015 | 1 00 | 112 15 | 0 00 | 60 50 | 51 65 |
| COVIDIEN PUBLIC LIMITED COMPAN CMN (G2554F113) | 02/12/2013 | 01/27/2015 | 24 00 | 2,537 46 | 0 00 | 1,391 20 | 1,146 26 |
| FORD MOTOR COMPANY CMN (345370860) | 01/09/2014 | 01/27/2015 | 9 00 | 134 29 | 0 00 | 142 71 | (8 42) |
| FORD MOTOR COMPANY CMN (345370860) | 12/06/2013 | 01/27/2015 | 10 00 | 149 21 | 0 00 | 167 69 | (18 48) |
| FORD MOTOR COMPANY CMN (345370860) | 11/05/2013 | 01/27/2015 | 12 00 | 179 05 | 0 00 | 204 51 | (25 46) |
| BOEING COMPANY CMN (097023105) | 09/10/2013 | 02/03/2015 | 2 00 | 294 36 | 0 00 | 216 23 | 78 13 |
| BOEING COMPANY CMN (097023105) | 09/09/2013 | 02/03/2015 | 3 00 | 441 54 | 0 00 | 321 06 | 120 48 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 02/12/2013 | 02/04/2015 | 6 00 | 649 67 | 0 00 | 342 18 | 307 49 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 02/12/2013 | 02/05/2015 | 2 00 | 217 64 | 0 00 | 114 06 | 103 58 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 02/12/2013 | 02/06/2015 | 3 00 | 323 96 | 0 00 | 171 09 | 152 87 |
| BOEING COMPANY CMN (097023105) | 09/10/2013 | 02/09/2015 | 1 00 | 147 37 | 0 00 | 108 11 | 39 26 |
| PFIZER INC CMN (717081103) | 02/12/2013 | 02/09/2015 | 9 00 | 298 88 | 0 00 | 244 30 | 54 58 |

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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 12/10/2013 | 02/09/2015 | 1 00 | 106 71 | 0 00 | 74 31 | 32 40 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 02/12/2013 | 02/09/2015 | 3 00 | 320 12 | 0 00 | 171 09 | 149 03 |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 02/12/2013 | 02/09/2015 | 3 00 | 104 08 | 0 00 | 150 90 | (46 82) |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 12/10/2013 | 02/10/2015 | 2 00 | 218 72 | 0 00 | 148 14 | 70 58 |
| UNITEDHEALTH GROUP INCORPORATE CMN (91324P102) | 12/10/2013 | 02/10/2015 | 3 00 | 327 53 | 0 00 | 222 92 | 104 61 |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 02/12/2013 | 02/10/2015 | 9 00 | 317 77 | 0 00 | 452 69 | (134 92) |
| BANK OF AMERICA CORP CMN (060505104) | 01/17/2014 | 02/13/2015 | 17 00 | 282 36 | 0 00 | 290 31 | (7 95) |
| BANK OF AMERICA CORP CMN (060505104) | 01/09/2014 | 02/13/2015 | 176 00 | 2,923 31 | 0 00 | 2,954 43 | (31 12) |
| BOEING COMPANY CMN (097023105) | 09/16/2013 | 02/13/2015 | 1 00 | 149 64 | 0 00 | 115 83 | 33 81 |
| BOEING COMPANY CMN (097023105) | 09/18/2013 | 02/13/2015 | 1 00 | 149 64 | 0 00 | 117 51 | 32 13 |
| BOEING COMPANY CMN (097023105) | 09/12/2013 | 02/13/2015 | 2 00 | 299 27 | 0 00 | 220 08 | 79 19 |
| BOEING COMPANY CMN (097023105) | 09/13/2013 | 02/13/2015 | 2 00 | 299 27 | 0 00 | 221 89 | 77 38 |
| BOEING COMPANY CMN (097023105) | 09/17/2013 | 02/13/2015 | 3 00 | 448 91 | 0 00 | 352 15 | 96 76 |
| BOEING COMPANY CMN (097023105) | 01/29/2014 | 02/13/2015 | 3 00 | 448 91 | 0 00 | 388 88 | 60 03 |
| BOEING COMPANY CMN (097023105) | 02/03/2014 | 02/13/2015 | 3 00 | 448 91 | 0 00 | 370 75 | 78 16 |
| BOEING COMPANY CMN (097023105) | 09/11/2013 | 02/13/2015 | 4 00 | 598 55 | 0 00 | 434 75 | 163 80 |
| CITIGROUP INC CMN (172967424) | 10/15/2013 | 02/13/2015 | 3 00 | 153 48 | 0 00 | 149 00 | 4 48 |
| CITIGROUP INC CMN (172967424) | 01/29/2014 | 02/13/2015 | 3 00 | 153 48 | 0 00 | 144 18 | 9 30 |
| CITIGROUP INC CMN (172967424) | 10/25/2013 | 02/13/2015 | 4 00 | 204 64 | 0 00 | 200 21 | 4 43 |
| CITIGROUP INC CMN (172967424) | 12/09/2013 | 02/13/2015 | 5 00 | 255 79 | 0 00 | 261 75 | (5 96) |
| CITIGROUP INC CMN (172967424) | 08/13/2013 | 02/13/2015 | 6 00 | 306 95 | 0 00 | 312 24 | (5 29) |
| CITIGROUP INC CMN (172967424) | 01/17/2014 | 02/13/2015 | 6 00 | 306 95 | 0 00 | 317 26 | (10 31) |
| CITIGROUP INC CMN (172967424) | 10/03/2013 | 02/13/2015 | 9 00 | 460 43 | 0 00 | 435 80 | 24 63 |
| CITIGROUP INC CMN (172967424) | 10/10/2013 | 02/13/2015 | 9 00 | 460 43 | 0 00 | 442 84 | 17 59 |
| CITIGROUP INC CMN (172967424) | 02/12/2013 | 02/13/2015 | 21 00 | 1,074 34 | 0 00 | 932 82 | 141 52 |

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

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| EXELON CORPORATION CMN (30161N101) | 04/12/2013 | 02/13/2015 | 1 00 | 33 25 | 0 00 | 36 10 | (2 85) |
| EXELON CORPORATION CMN (30161N101) | 05/10/2013 | 02/13/2015 | 2 00 | 66 50 | 0 00 | 71 29 | (4 79) |
| EXELON CORPORATION CMN (30161N101) | 08/08/2013 | 02/13/2015 | 2 00 | 66 50 | 0 00 | 62 86 | 3 64 |
| EXELON CORPORATION CMN (30161N101) | 04/16/2013 | 02/13/2015 | 2 00 | 66 50 | 0 00 | 71 72 | (5 22) |
| EXELON CORPORATION CMN (30161N101) | 04/25/2013 | 02/13/2015 | 2 00 | 66 50 | 0 00 | 74 67 | (8 17) |
| EXELON CORPORATION CMN (30161N101) | 08/28/2013 | 02/13/2015 | 3 00 | 99 75 | 0 00 | 92 08 | 7 67 |
| EXELON CORPORATION CMN (30161N101) | 08/29/2013 | 02/13/2015 | 3 00 | 99 75 | 0 00 | 91 48 | 8 27 |
| EXELON CORPORATION CMN (30161N101) | 04/15/2013 | 02/13/2015 | 3 00 | 99 75 | 0 00 | 108 53 | (8 78) |
| EXELON CORPORATION CMN (30161N101) | 04/26/2013 | 02/13/2015 | 3 00 | 99 75 | 0 00 | 111 83 | (12 08) |
| EXELON CORPORATION CMN (30161N101) | 04/29/2013 | 02/13/2015 | 3 00 | 99 75 | 0 00 | 112 86 | (13 11) |
| EXELON CORPORATION CMN (30161N101) | 05/09/2013 | 02/13/2015 | 3 00 | 99 75 | 0 00 | 106 74 | (6 99) |
| EXELON CORPORATION CMN (30161N101) | 06/19/2013 | 02/13/2015 | 4 00 | 133 00 | 0 00 | 124 39 | 8 61 |
| EXELON CORPORATION CMN (30161N101) | 06/20/2013 | 02/13/2015 | 4 00 | 133 00 | 0 00 | 122 06 | 10 94 |
| EXELON CORPORATION CMN (30161N101) | 06/25/2013 | 02/13/2015 | 4 00 | 133 00 | 0 00 | 123 02 | 9 98 |
| EXELON CORPORATION CMN (30161N101) | 04/18/2013 | 02/13/2015 | 5 00 | 166 25 | 0 00 | 182 18 | (15 93) |
| EXELON CORPORATION CMN (30161N101) | 04/19/2013 | 02/13/2015 | 5 00 | 166 25 | 0 00 | 182 73 | (16 48) |
| EXELON CORPORATION CMN (30161N101) | 04/24/2013 | 02/13/2015 | 5 00 | 166 25 | 0 00 | 185 94 | (19 69) |
| EXELON CORPORATION CMN (30161N101) | 04/17/2013 | 02/13/2015 | 6 00 | 199 50 | 0 00 | 216 27 | (16 77) |
| EXELON CORPORATION CMN (30161N101) | 04/22/2013 | 02/13/2015 | 6 00 | 199 50 | 0 00 | 220 17 | (20 67) |
| EXELON CORPORATION CMN (30161N101) | 04/16/2013 | 02/13/2015 | 7 00 | 232 74 | 0 00 | 251 37 | (18 63) |
| GENERAL ELECTRIC CO CMN (369604103) | 12/06/2013 | 02/13/2015 | 1 00 | 25 09 | 0 00 | 26 95 | (1 86) |
| GENERAL ELECTRIC CO CMN (369604103) | 04/10/2013 | 02/13/2015 | 2 00 | 50 18 | 0 00 | 46 95 | 3 23 |
| GENERAL ELECTRIC CO CMN (369604103) | 03/01/2013 | 02/13/2015 | 4 00 | 100 36 | 0 00 | 93 04 | 7 32 |
| GENERAL ELECTRIC CO CMN (369604103) | 10/18/2013 | 02/13/2015 | 4 00 | 100 36 | 0 00 | 102 85 | (2 49) |
| GENERAL ELECTRIC CO CMN (369604103) | 02/28/2013 | 02/13/2015 | 5 00 | 125 45 | 0 00 | 116 17 | 9 28 |

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

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| GENERAL ELECTRIC CO CMN (369604103) | 02/26/2013 | 02/13/2015 | 6 00 | 150 54 | 0 00 | 138 09 | 12 45 |
| GENERAL ELECTRIC CO CMN (369604103) | 05/03/2013 | 02/13/2015 | 7 00 | 175 63 | 0 00 | 158 93 | 16 70 |
| GENERAL ELECTRIC CO CMN (369604103) | 03/06/2013 | 02/13/2015 | 8 00 | 200 72 | 0 00 | 189 79 | 10 93 |
| GENERAL ELECTRIC CO CMN (369604103) | 12/19/2013 | 02/13/2015 | 10 00 | 250 89 | 0 00 | 272 85 | (21 96) |
| GENERAL ELECTRIC CO CMN (369604103) | 01/22/2014 | 02/13/2015 | 10 00 | 250 89 | 0 00 | 261 17 | (10 28) |
| GENERAL ELECTRIC CO CMN (369604103) | 04/01/2013 | 02/13/2015 | 10 00 | 250 90 | 0 00 | 230 31 | 20 59 |
| GENERAL ELECTRIC CO CMN (369604103) | 07/22/2013 | 02/13/2015 | 15 00 | 376 34 | 0 00 | 372 07 | 4 27 |
| GENERAL ELECTRIC CO CMN (369604103) | 02/12/2013 | 02/13/2015 | 186 00 | 4,666 65 | 0 00 | 4,211 90 | 454 75 |
| HONEYWELL INTL INC CMN (438516106) | 02/12/2013 | 02/13/2015 | 32 00 | 3,334 01 | 0 00 | 2,255 95 | 1,078 06 |
| JOHNSON CONTROLS INC CMN (478366107) | 02/05/2014 | 02/13/2015 | 3 00 | 145 23 | 0 00 | 133 70 | 11 53 |
| JOHNSON CONTROLS INC CMN (478366107) | 02/12/2013 | 02/13/2015 | 65 00 | 3,146 59 | 0 00 | 2,035 40 | 1,111 19 |
| MONSANTO COMPANY CMN (61166W101) | 08/13/2013 | 02/13/2015 | 1 00 | 125 09 | 0 00 | 97 21 | 27 88 |
| MONSANTO COMPANY CMN (61166W101) | 01/29/2014 | 02/13/2015 | 1 00 | 125 09 | 0 00 | 107 22 | 17 87 |
| MONSANTO COMPANY CMN (61166W101) | 08/14/2013 | 02/13/2015 | 2 00 | 250 18 | 0 00 | 194 56 | 55 62 |
| MONSANTO COMPANY CMN (61166W101) | 06/07/2013 | 02/13/2015 | 3 00 | 375 26 | 0 00 | 303 84 | 71 42 |
| MONSANTO COMPANY CMN (61166W101) | 02/12/2013 | 02/13/2015 | 23 00 | 2,877 01 | 0 00 | 2,340 02 | 536 99 |
| NETAPP, INC CMN (64110D104) | 01/09/2014 | 02/13/2015 | 3 00 | 114 96 | 0 00 | 121 78 | (6 82) |
| NETAPP, INC CMN (64110D104) | 12/13/2013 | 02/13/2015 | 9 00 | 344 87 | 0 00 | 357 00 | (12 13) |
| NETAPP, INC CMN (64110D104) | 12/17/2013 | 02/13/2015 | 9 00 | 344 87 | 0 00 | 360 49 | (15 62) |
| NETAPP, INC CMN (64110D104) | 12/16/2013 | 02/13/2015 | 11 00 | 421 51 | 0 00 | 440 57 | (19 06) |
| NETAPP, INC CMN (64110D104) | 12/12/2013 | 02/13/2015 | 15 00 | 574 79 | 0 00 | 596 74 | (21 95) |
| ORACLE CORPORATION CMN (68389X105) | 11/29/2013 | 02/13/2015 | 2 00 | 87 84 | 0 00 | 70 73 | 17 11 |
| ORACLE CORPORATION CMN (68389X105) | 12/20/2013 | 02/13/2015 | 5 00 | 219 60 | 0 00 | 183 81 | 35 79 |
| ORACLE CORPORATION CMN (68389X105) | 12/02/2013 | 02/13/2015 | 9 00 | 395 27 | 0 00 | 316 71 | 78 56 |
| ORACLE CORPORATION CMN (68389X105) | 12/10/2013 | 02/13/2015 | 10 00 | 439 19 | 0 00 | 350 05 | 89 14 |

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

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

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| ORACLE CORPORATION CMN (68389X105) | 12/03/2013 | 02/13/2015 | 15 00 | 658 79 | 0 00 | 525 68 | 133 11 |
| ORACLE CORPORATION CMN (68389X105) | 12/04/2013 | 02/13/2015 | 16 00 | 702 71 | 0 00 | 559 42 | 143 29 |
| ORACLE CORPORATION CMN (68389X105) | 12/05/2013 | 02/13/2015 | 19 00 | 834 46 | 0 00 | 664 93 | 169 53 |
| PFIZER INC CMN (717081103) | 01/09/2014 | 02/13/2015 | 5 00 | 173 15 | 0 00 | 153 59 | 19 56 |
| PFIZER INC CMN (717081103) | 10/02/2013 | 02/13/2015 | 6 00 | 207 78 | 0 00 | 173 56 | 34 22 |
| PFIZER INC CMN (717081103) | 03/15/2013 | 02/13/2015 | 8 00 | 277 04 | 0 00 | 223 59 | 53 45 |
| PFIZER INC CMN (717081103) | 02/12/2013 | 02/13/2015 | 145 00 | 5,021 26 | 0 00 | 3,936 00 | 1,085 26 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 05/03/2013 | 02/13/2015 | 1 00 | 92 25 | 0 00 | 68 26 | 23 99 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 05/29/2013 | 02/13/2015 | 1 00 | 92 25 | 0 00 | 71 99 | 20 26 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 12/09/2013 | 02/13/2015 | 1 00 | 92 25 | 0 00 | 76 20 | 16 05 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 05/14/2013 | 02/13/2015 | 2 00 | 184 50 | 0 00 | 140 28 | 44 22 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 11/11/2013 | 02/13/2015 | 2 00 | 184 50 | 0 00 | 150 70 | 33 80 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 12/03/2013 | 02/13/2015 | 2 00 | 184 50 | 0 00 | 154 26 | 30 24 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 04/26/2013 | 02/13/2015 | 3 00 | 276 74 | 0 00 | 204 63 | 72 11 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 10/25/2013 | 02/13/2015 | 3 00 | 276 74 | 0 00 | 225 21 | 51 53 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 11/26/2013 | 02/13/2015 | 3 00 | 276 74 | 0 00 | 229 94 | 46 80 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 10/03/2013 | 02/13/2015 | 6 00 | 553 49 | 0 00 | 435 51 | 117 98 |
| PNC FINANCIAL SERVICES GROUP CMN (693475105) | 10/10/2013 | 02/13/2015 | 6 00 | 553 49 | 0 00 | 434 90 | 118 59 |
| TEXAS INSTRUMENTS INC CMN (882508104) | 02/12/2013 | 02/13/2015 | 56 00 | 3,223 31 | 0 00 | 1,878 82 | 1,344 49 |
| THE MOSAIC COMPANY CMN (61945C103) | 03/13/2013 | 02/13/2015 | 1 00 | 52 43 | 0 00 | 61 83 | (9 40) |
| THE MOSAIC COMPANY CMN (61945C103) | 03/14/2013 | 02/13/2015 | 1 00 | 52 43 | 0 00 | 62 20 | (9 77) |
| THE MOSAIC COMPANY CMN (61945C103) | 05/13/2013 | 02/13/2015 | 1 00 | 52 43 | 0 00 | 61 37 | (8 94) |
| THE MOSAIC COMPANY CMN (61945C103) | 03/07/2013 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 118 51 | (13 65) |
| THE MOSAIC COMPANY CMN (61945C103) | 03/08/2013 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 119 77 | (14 91) |
| THE MOSAIC COMPANY CMN (61945C103) | 03/11/2013 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 123 38 | (18 52) |

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

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

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| THE MOSAIC COMPANY CMN (61945C103) | 03/18/2013 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 123 97 | (19 11) |
| THE MOSAIC COMPANY CMN (61945C103) | 03/18/2013 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 123 90 | (19 04) |
| THE MOSAIC COMPANY CMN (61945C103) | 04/24/2013 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 119 64 | (14 78) |
| THE MOSAIC COMPANY CMN (61945C103) | 07/10/2013 | 02/13/2015 | 2 00 | 104 86 | 0 00 | 110 99 | (6 13) |
| THE MOSAIC COMPANY CMN (61945C103) | 10/23/2013 | 02/13/2015 | 3 00 | 157 29 | 0 00 | 140 57 | 16 72 |
| THE MOSAIC COMPANY CMN (61945C103) | 03/19/2013 | 02/13/2015 | 4 00 | 209 71 | 0 00 | 244 23 | (34 52) |
| THE MOSAIC COMPANY CMN (61945C103) | 03/20/2013 | 02/13/2015 | 5 00 | 262 14 | 0 00 | 307 75 | (45 61) |
| VIACOM INC CMN CLASS B (92553P201) | 08/02/2013 | 02/13/2015 | 3 00 | 206 28 | 0 00 | 236 66 | (30 38) |
| VIACOM INC CMN CLASS B (92553P201) | 02/12/2013 | 02/13/2015 | 39 00 | 2,681 59 | 0 00 | 2,309 22 | 372 37 |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 06/27/2013 | 02/13/2015 | 2 00 | 71 61 | 0 00 | 113 88 | (42 27) |
| VODAFONE GROUP PLC ADR CMN (92857W308) | 02/12/2013 | 02/13/2015 | 34 00 | 1,217 34 | 0 00 | 1,710 17 | (492 83) |
| **Net Covered Long-Term Gains (Losses)** | | | | **64,763.50** | **0.00** | **54,448 33** | **10,315.17** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| MEDTRONIC PUBLIC LIMITED COMPA CMN (G5960L103) | | 03/09/2015 | 0 00 | 74 65 | 0 00 | No Cost | 74 65 [8] |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **74.65** | **0 00** | **0.00** | **74 65** |

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

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

[8] Due to incomplete cost basis, gains may be incorrectly stated and should not be used for tax reporting purposes Please consult with your tax advisor

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | (3,500 21) | Net Covered Long-Term Gains (Losses) | 23,564 83 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 891 89 | | |
| Net 1099B Non Reportable Short Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short-Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **(3,500 21)** | **Total Long-Term Gains (Losses)** | **24,456 72** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| THE WILLIAMS COMPANIES, INC CMN (969457100) | 05/30/2014 | 02/02/2015 | 48 00 | 2,114 02 | 0 00 | 2,252 65 | (138 63) |
| ALLERGAN PLC CMN (G0083B108) | 03/17/2015 | 03/17/2015 | 0 15 | 44 85 | 0 00 | 0 00 | 44 85 |
| ELECTRONIC ARTS CMN (285512109) | 11/25/2014 | 07/20/2015 | 7 00 | 521 13 | 0 00 | 309 56 | 211 57 |
| KINDER MORGAN INC CMN CLASS P (49456B101) | 08/20/2014 | 07/23/2015 | 23 00 | 812 26 | 0 00 | 959 16 | (146 90) |
| EOG RESOURCES INC CMN (26875P101) | 10/16/2014 | 07/27/2015 | 4 00 | 295 94 | 0 00 | 366 49 | (70 55) |
| KINDER MORGAN INC CMN CLASS P (49456B101) | 08/20/2014 | 07/29/2015 | 34 00 | 1,198 29 | 0 00 | 1,417 89 | (219 60) |
| KINDER MORGAN INC CMN CLASS P (49456B101) | 10/20/2014 | 08/04/2015 | 11 00 | 370 43 | 0 00 | 409 81 | (39 38) |
| KINDER MORGAN INC CMN CLASS P (49456B101) | 02/03/2015 | 08/04/2015 | 14 00 | 471 46 | 0 00 | 581 22 | (109 76) |
| KINDER MORGAN INC CMN CLASS P (49456B101) | 08/20/2014 | 08/04/2015 | 40 00 | 1,347 02 | 0 00 | 1,668 11 | (321 09) |
| DISCOVERY COMMUNICATIONS, INC CMN (25470F302) | 08/18/2014 | 08/07/2015 | 5 00 | 138 14 | 0 00 | 211 28 | (73 14) |
| DISCOVERY COMMUNICATIONS, INC CMN (25470F302) | 09/05/2014 | 08/07/2015 | 13 00 | 359.15 | 0 00 | 554 88 | (195 73) |
| DISCOVERY COMMUNICATIONS, INC CMN (25470F302) | 08/19/2014 | 08/07/2015 | 36 00 | 994 55 | 0 00 | 1,530 74 | (536 19) |
| TRIPADVISOR, INC CMN (896945201) | 03/03/2015 | 08/27/2015 | 5 00 | 348 98 | 0 00 | 452 14 | (103 16) |
| THE WILLIAMS COMPANIES, INC CMN (969457100) | 10/20/2014 | 09/01/2015 | 8 00 | 369 26 | 0 00 | 418 65 | (49 39) |
| THE WILLIAMS COMPANIES, INC CMN (969457100) | 12/17/2014 | 09/01/2015 | 38 00 | 1,753 98 | 0 00 | 1,650 14 | 103 84 |
| TRIPADVISOR, INC CMN (896945201) | 03/03/2015 | 09/11/2015 | 6 00 | 395 60 | 0 00 | 542 56 | (146 96) |

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

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

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| TRIPADVISOR, INC CMN (896945201) | 03/04/2015 | 09/11/2015 | 11 00 | 725 27 | 0 00 | 983 51 | (258 24) |
| WYNN RESORTS, LIMITED CMN (983134107) | 03/23/2015 | 09/14/2015 | 3 00 | 203 45 | 0 00 | 404 28 | (200 83) |
| WYNN RESORTS, LIMITED CMN (983134107) | 07/27/2015 | 09/14/2015 | 3 00 | 203 45 | 0 00 | 300 79 | (97 34) |
| WYNN RESORTS, LIMITED CMN (983134107) | 06/05/2015 | 09/14/2015 | 4 00 | 271 27 | 0 00 | 436 63 | (165 36) |
| WYNN RESORTS, LIMITED CMN (983134107) | 08/04/2015 | 09/14/2015 | 4 00 | 271 27 | 0 00 | 406 19 | (134 92) |
| WYNN RESORTS, LIMITED CMN (983134107) | 01/30/2015 | 09/14/2015 | 14 00 | 949 44 | 0 00 | 2,091 97 | (1,142 53) |
| ELECTRONIC ARTS CMN (285512109) | 11/25/2014 | 10/13/2015 | 9 00 | 614 32 | 0 00 | 398 00 | 216 32 |
| FACEBOOK, INC CMN CLASS A (30303M102) | 07/27/2015 | 10/13/2015 | 7 00 | 663 93 | 0 00 | 662 83 | 1 10 |
| VALEANT PHARMACEUTICALS INTL CMN (91911K102) | 02/03/2015 | 10/13/2015 | 4 00 | 694 94 | 0 00 | 632 31 | 62 63 |
| EQUINIX, INC REIT (29444U700) | 11/10/2015 | 11/10/2015 | 0 03 | 9 18 | 0 00 | 0 00 | 9 18 |
| **Net Covered Short-Term Gains (Losses)** | | | | **16,141.58** | **0.00** | **19,641.79** | **(3,500 21)** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| ALLERGAN, INC CMN (018490102) | 02/12/2013 | 01/22/2015 | 6 00 | 1,335 44 | 0 00 | 643 56 | 691 88 |
| EOG RESOURCES INC CMN (26875P101) | 02/12/2013 | 01/23/2015 | 10 00 | 918 67 | 0 00 | 670 98 | 247 69 |
| INTUIT INC CMN (461202103) | 02/12/2013 | 01/23/2015 | 10 00 | 892 60 | 0 00 | 613 61 | 278 99 |
| L BRANDS, INC CMN (501797104) | 06/14/2013 | 01/23/2015 | 4 00 | 338 29 | 0 00 | 203 85 | 134 44 |
| WALGREENS BOOTS ALLIANCE, INC CMN (931427108) | 02/12/2013 | 01/23/2015 | 11 00 | 831 57 | 0 00 | 458 70 | 372 87 |
| VISA INC CMN CLASS A (92826C839) | 02/12/2013 | 01/30/2015 | 4 00 | 1,038 22 | 0 00 | 629 95 | 408 27 |
| EOG RESOURCES INC CMN (26875P101) | 02/12/2013 | 02/02/2015 | 25 00 | 2,250 99 | 0 00 | 1,677 44 | 573 55 |
| MASTERCARD INCORPORATED CMN CLASS A (57636Q104) | 02/12/2013 | 02/02/2015 | 10 00 | 813 21 | 0 00 | 520 33 | 292 88 |
| INTUIT INC CMN (461202103) | 02/12/2013 | 02/19/2015 | 13 00 | 1,174 87 | 0 00 | 797 69 | 377 18 |

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

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



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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| EOG RESOURCES INC CMN (26875P101) | 02/12/2013 | 02/24/2015 | 4 00 | 368 60 | 0 00 | 268 39 | 100 21 |
| L BRANDS, INC CMN (501797104) | 06/14/2013 | 02/24/2015 | 5 00 | 455 87 | 0 00 | 254 82 | 201 05 |
| PRICELINE GROUP INC/THE CMN (741503403) | 02/12/2013 | 02/25/2015 | 1 00 | 1,245 77 | 0 00 | 700 18 | 545 59 |
| MICROSOFT CORPORATION CMN (594918104) | 07/17/2013 | 03/03/2015 | 3 00 | 130 43 | 0 00 | 107 96 | 22 47 |
| MICROSOFT CORPORATION CMN (594918104) | 08/27/2013 | 03/03/2015 | 17 00 | 739 11 | 0 00 | 573 40 | 165 71 |
| INTERCONTINENTAL EXCHANGE INC CMN (45866F104) | 02/12/2013 | 03/10/2015 | 1 00 | 230 29 | 0 00 | 151 50 | 78 79 |
| WALGREENS BOOTS ALLIANCE, INC CMN (931427108) | 02/12/2013 | 03/10/2015 | 13 00 | 1,079 92 | 0 00 | 542 10 | 537 82 |
| ALLERGAN, INC CMN (018490102) | 06/26/2013 | 03/17/2015 | 3 00 | 692 66 | 0 00 | 258 91 | 433 75 |
| ALLERGAN, INC CMN (018490102) | 06/27/2013 | 03/17/2015 | 3 00 | 692 66 | 0 00 | 257 94 | 434 72 |
| ALLERGAN, INC CMN (018490102) | 02/12/2013 | 03/17/2015 | 21 00 | 5,153 62 | 0 00 | 2,252 46 | 2,901 16 |
| ALLERGAN, INC CMN (018490102) | 08/28/2013 | 03/17/2015 | 25 00 | 5,975 50 | 0 00 | 2,205 25 | 3,770 25 |
| INTERCONTINENTAL EXCHANGE INC CMN (45866F104) | 02/12/2013 | 03/23/2015 | 2 00 | 471 06 | 0 00 | 303 00 | 168 06 |
| MICROSOFT CORPORATION CMN (594918104) | 08/27/2013 | 03/23/2015 | 18 00 | 771 24 | 0 00 | 607 13 | 164 11 |
| WALGREENS BOOTS ALLIANCE, INC CMN (931427108) | 02/12/2013 | 03/24/2015 | 3 00 | 262 68 | 0 00 | 125 10 | 137 58 |
| MICROSOFT CORPORATION CMN (594918104) | 08/28/2013 | 03/31/2015 | 8 00 | 325 24 | 0 00 | 267 12 | 58 12 |
| MICROSOFT CORPORATION CMN (594918104) | 08/27/2013 | 03/31/2015 | 16 00 | 650 47 | 0 00 | 532 56 | 117 91 |
| INTUIT INC CMN (461202103) | 02/12/2013 | 04/01/2015 | 3 00 | 290 97 | 0 00 | 184 08 | 106 89 |
| L BRANDS, INC CMN (501797104) | 06/14/2013 | 04/01/2015 | 3 00 | 283 28 | 0 00 | 152 89 | 130 39 |
| PRICELINE GROUP INC/THE CMN (741503403) | 02/12/2013 | 04/01/2015 | 1 00 | 1,150 37 | 0 00 | 700 18 | 450 19 |
| PERRIGO CO PLC CMN (G97822103) | 12/19/2013 | 04/13/2015 | 6 00 | 1,211 43 | 0 00 | 932 04 | 279 39 |
| PERRIGO CO PLC CMN (G97822103) | 12/19/2013 | 05/04/2015 | 10 00 | 1,883 21 | 0 00 | 1,553 40 | 329 81 |
| PERRIGO CO PLC CMN (G97822103) | 12/19/2013 | 05/04/2015 | 12 00 | 2,259 85 | 0 00 | 1,864 08 | 395 77 |
| YELP INC CMN (985817105) | 02/11/2014 | 05/12/2015 | 10 00 | 490 63 | 0 00 | 930 48 | (439 85) |
| PRICELINE GROUP INC/THE CMN (741503403) | 03/28/2013 | 06/11/2015 | 1 00 | 1,182 15 | 0 00 | 688 38 | 493 77 |
| PRICELINE GROUP INC/THE CMN (741503403) | 02/12/2013 | 06/11/2015 | 2 00 | 2,364 31 | 0 00 | 1,400 36 | 963 95 |

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

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



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Realized and unrealized gains and loss values do not include securities for which cost basis is unavailable The recognition of any loss reflected herein may be disallowed or deferred by the application of capital loss limitations, wash sale rules or other special tax rules, and you are strongly urged to consult your own outside tax and other advisors about this and all tax-related matters addressed in any way herein All information regarding the cost basis and acquisition dates of securities that you acquired elsewhere and that were subsequently delivered into your Goldman Sachs account(s) were provided by you and/or a third party and Goldman Sachs makes no representation as to the accuracy and completeness of such information and it should not be relied upon as such

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| PRICELINE GROUP INC/THE CMN (741503403) | 08/28/2013 | 07/20/2015 | 1 00 | 1,247 44 | 0 00 | 934 87 | 312 57 |
| PRICELINE GROUP INC/THE CMN (741503403) | 08/28/2013 | 07/22/2015 | 1 00 | 1,237 57 | 0 00 | 934 87 | 302 70 |
| EOG RESOURCES INC CMN (26875P101) | 02/12/2013 | 07/27/2015 | 19 00 | 1,405 74 | 0 00 | 1,274 86 | 130 88 |
| EOG RESOURCES INC CMN (26875P101) | 08/28/2013 | 07/27/2015 | 30 00 | 2,219 58 | 0 00 | 2,408 10 | (188 52) |
| ADOBE SYSTEMS INC CMN (00724F101) | 08/28/2013 | 07/29/2015 | 58 00 | 4,653 02 | 0 00 | 2,652 92 | 2,000 10 |
| SALLY BEAUTY HOLDINGS, INC CMN (79546E104) | 08/15/2013 | 08/17/2015 | 1 00 | 25 65 | 0 00 | 27 11 | (1 46) |
| SALLY BEAUTY HOLDINGS, INC CMN (79546E104) | 02/22/2013 | 08/17/2015 | 14 00 | 359 09 | 0 00 | 384 78 | (25 69) |
| SALLY BEAUTY HOLDINGS, INC CMN (79546E104) | 02/12/2013 | 08/17/2015 | 30 00 | 769 48 | 0 00 | 792 60 | (23 12) |
| THE WILLIAMS COMPANIES, INC CMN (969457100) | 05/30/2014 | 08/25/2015 | 22 00 | 1,041 47 | 0 00 | 1,032 46 | 9 01 |
| THE WILLIAMS COMPANIES, INC CMN (969457100) | 08/12/2014 | 09/01/2015 | 9 00 | 415 42 | 0 00 | 508 23 | (92 81) |
| THE WILLIAMS COMPANIES, INC CMN (969457100) | 05/30/2014 | 09/01/2015 | 13 00 | 600 04 | 0 00 | 610 09 | (10 05) |
| THE WILLIAMS COMPANIES, INC CMN (969457100) | 06/19/2014 | 09/01/2015 | 21 00 | 969 31 | 0 00 | 1,207 89 | (238 58) |
| SALLY BEAUTY HOLDINGS, INC CMN (79546E104) | 08/15/2013 | 09/17/2015 | 5 00 | 130 27 | 0 00 | 135 53 | (5 26) |
| SALLY BEAUTY HOLDINGS, INC CMN (79546E104) | 01/31/2014 | 09/17/2015 | 19 00 | 495 01 | 0 00 | 540 30 | (45 29) |
| SALLY BEAUTY HOLDINGS, INC CMN (79546E104) | 08/28/2013 | 09/17/2015 | 29 00 | 755 54 | 0 00 | 756 90 | (1 36) |
| ALPHABET INC CMN CLASS A (02079K305) | 02/12/2013 | 10/13/2015 | 1 00 | 683 90 | 0 00 | 392 69 | 291 21 |
| ALPHABET INC CMN CLASS C (02079K107) | 02/12/2013 | 10/13/2015 | 1 00 | 652.50 | 0 00 | 391 44 | 261 06 |
| CELGENE CORPORATION CMN (151020104) | 02/12/2013 | 10/13/2015 | 5 00 | 588 18 | 0 00 | 249 55 | 338 63 |
| EQUINIX, INC REIT (29444U700) | 02/19/2014 | 10/13/2015 | 3 00 | 816 65 | 0 00 | 573 44 | 243 21 |
| INTERCONTINENTAL EXCHANGE INC CMN (45866F104) | 02/12/2013 | 10/13/2015 | 2 00 | 466 33 | 0 00 | 303 00 | 163 33 |
| INTUIT INC CMN (461202103) | 02/12/2013 | 10/13/2015 | 7 00 | 650 35 | 0 00 | 429 52 | 220 83 |
| L BRANDS, INC CMN (501797104) | 08/28/2013 | 10/13/2015 | 1 00 | 96 67 | 0 00 | 57 50 | 39 17 |
| L BRANDS, INC CMN (501797104) | 06/14/2013 | 10/13/2015 | 8 00 | 773 35 | 0 00 | 407 71 | 365 64 |
| L BRANDS, INC CMN (501797104) | 08/16/2013 | 10/13/2015 | 9 00 | 870 01 | 0 00 | 533 10 | 336 91 |

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

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

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| LIBRTY INTRACTVE CORP QVC GRP INTERACTIVE CMN CLASS A (53071M104) | 02/12/2013 | 10/13/2015 | 31 00 | 871 08 | 0 00 | 567 86 | 303 22 |
| MASTERCARD INCORPORATED CMN CLASS A (57636Q104) | 02/12/2013 | 10/13/2015 | 10 00 | 965 88 | 0 00 | 520 33 | 445 55 |
| MICROSOFT CORPORATION CMN (594918104) | 08/28/2013 | 10/13/2015 | 27 00 | 1,268 43 | 0 00 | 901 53 | 366 90 |
| VISA INC CMN CLASS A (92826C839) | 02/12/2013 | 10/13/2015 | 22 00 | 1,649 52 | 0 00 | 866 18 | 783 34 |
| WALGREENS BOOTS ALLIANCE, INC CMN (931427108) | 02/12/2013 | 10/13/2015 | 8 00 | 689 34 | 0 00 | 333 60 | 355 74 |
| EQUINIX, INC REIT (29444U700) | 02/19/2014 | 10/26/2015 | 1 00 | 295 56 | 0 00 | 191 15 | 104 41 |
| EQUINIX, INC REIT (29444U700) | 02/19/2014 | 10/29/2015 | 3 00 | 879 74 | 0 00 | 573 44 | 306 30 |
| EQUINIX, INC REIT (29444U700) | 02/19/2014 | 10/30/2015 | 1 00 | 291 61 | 0 00 | 191 15 | 100 46 |
| EQUINIX, INC REIT (29444U700) | 02/19/2014 | 11/02/2015 | 1 00 | 301 32 | 0 00 | 191 15 | 110 17 |
| MASTERCARD INCORPORATED CMN CLASS A (57636Q104) | 02/12/2013 | 11/02/2015 | 3 00 | 297 45 | 0 00 | 156 10 | 141 35 |
| MASTERCARD INCORPORATED CMN CLASS A (57636Q104) | 02/12/2013 | 11/20/2015 | 5 00 | 499 09 | 0 00 | 260 17 | 238 92 |
| **Net Covered Long-Term Gains (Losses)** | | | | **69,886.77** | **0.00** | **46,321 94** | **23,564.83** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| CROWN CASTLE INTL CORP CMN (22822V101) | 02/12/2013 | 01/23/2015 | 37 00 | 3,211 81 | 0 00 | 2,552 90 | 658 91 |
| CROWN CASTLE INTL CORP CMN (22822V101) | 02/12/2013 | 03/04/2015 | 7 00 | 601 01 | 0 00 | 482 98 | 118 03 |
| GOOGLE INC CMN CLASS C (38259P706) | | 05/04/2015 | 0 00 | 12 23 | 0 00 | No Cost | 12 23 [8] |
| CROWN CASTLE INTL CORP CMN (22822V101) | 02/12/2013 | 10/13/2015 | 8 00 | 654 70 | 0 00 | 551 98 | 102 72 |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **4,479.75** | **0.00** | **3,587.86** | **891 89** |

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

[8] Due to incomplete cost basis, gains may be incorrectly stated and should not be used for tax reporting purposes Please consult with your tax advisor

# REALIZED GAINS AND LOSSES

*Supplemental Information - Consult your Form 1099 for tax reporting purposes*

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short-Term Gains (Losses) | 0 00 | Net Covered Long Term Gains (Losses) | 0 00 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 934 31 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short-Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **0 00** | **Total Long-Term Gains (Losses)** | **934 31** | **Total Ordinary Gains (Losses)** | **0 00** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| XEROX CORPORATION 4 25% 02/15/2015 SR LIEN M-W+35 00BP (984121BZ5) | 01/08/2013 | 02/15/2015 | 50,000 00 | 50,000 00 | (2,679 50) | 50,000 00 | 0 00 |
| QUEST DIAGNOSTICS INCORPORATED 5 45% 11/01/2015 SER B SR LIEN (74834LAL4) | 11/30/2012 | 04/09/2015 | 50,000 00 | 51,436 93 | (4,628 39) | 51,129 11 | 307 82 |
| STARWOOD HOTELS & RESORTS WORL 6 75% 05/15/2018 USD SR LIEN (85590AAL8) | 11/30/2012 | 04/29/2015 | 25,000 00 | 28,302 00 | (2,406 86) | 28,218 14 | 83 86 |
| WALGREEN CO 5 25% 01/15/2019 USD SR LIEN (931422AE9) | 12/12/2012 | 08/10/2015 | 38,000 00 | 42,458 98 | (2,836 63) | 41,916 35 | 542 63 |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **172,197.91** | **(12,551.38)** | **171,263.60** | **934.31** |

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

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

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short Term Gains (Losses) | (2,445 98) | Net Covered Long-Term Gains (Losses) | 42 217 08 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short-Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 3 942 33 | | |
| Net 1099B Non Reportable Short-Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **(2,445 98)** | **Total Long-Term Gains (Losses)** | **46,159 41** | **Total Ordinary Gains (Losses)** | **0 00** |

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455) | 08/01/2014 | 02/25/2015 | 5,035 25 | 50,000 00 | 0 00 | 50,453 18 | (453 18) |
| GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (38145C455) Disallowed Loss | | | | | | | 6 98 |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 09/29/2014 | 02/25/2015 | 20 73 | 152 14 | 0 00 | 159 39 | (7 25) |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 12/30/2014 | 02/25/2015 | 27 57 | 202 39 | 0 00 | 194 94 | 7 45 |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 03/28/2014 | 02/25/2015 | 68 15 | 500 22 | 0 00 | 540 43 | (40 21) |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 12/09/2014 | 02/25/2015 | 95 35 | 699 83 | 0 00 | 687 44 | 12 39 |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 06/27/2014 | 02/25/2015 | 129 82 | 952 88 | 0 00 | 1,061 93 | (109 05) |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 12/09/2014 | 02/25/2015 | 322 48 | 2,366 97 | 0 00 | 2,325 05 | 41 92 |
| GS TACTICAL TILT IMPLEMENTATION FUND INST (38147X838) | 07/31/2014 | 06/16/2015 | 999 05 | 10,500 00 | 0 00 | 9,990 49 | 509 51 |
| ISHARES MSCI EAFE ETF (464287465) | 04/07/2015 | 10/13/2015 | 382 00 | 23,080 01 | 0 00 | 25,200 54 | (2,120 53) |

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

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

## SHORT-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Short-Term Gains (Losses)** | | | | | | | |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 03/31/2015 | 10/14/2015 | 32 22 | 203 62 | 0 00 | 224 56 | (20 94) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 02/27/2015 | 10/14/2015 | 33 24 | 210 06 | 0 00 | 239 33 | (29 27) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 10/31/2014 | 10/14/2015 | 33 79 | 213 57 | 0 00 | 269 03 | (55 46) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 06/30/2015 | 10/14/2015 | 33 99 | 214 84 | 0 00 | 230 82 | (15 98) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 09/30/2015 | 10/14/2015 | 34 94 | 220 81 | 0 00 | 208 58 | 12 23 |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 11/28/2014 | 10/14/2015 | 35 01 | 221 26 | 0 00 | 273 12 | (51 86) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 04/30/2015 | 10/14/2015 | 36 86 | 232 98 | 0 00 | 263 21 | (30 23) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 12/31/2014 | 10/14/2015 | 37 04 | 234 08 | 0 00 | 270 43 | (36 35) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 07/31/2015 | 10/14/2015 | 37 43 | 236 58 | 0 00 | 245 56 | (8 98) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 08/31/2015 | 10/14/2015 | 38 00 | 240 14 | 0 00 | 236 72 | 3 42 |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 05/29/2015 | 10/14/2015 | 38 58 | 243 82 | 0 00 | 267 74 | (23 92) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 01/30/2015 | 10/14/2015 | 39 46 | 249 37 | 0 00 | 286 04 | (36 67) |
| **Net Covered Short-Term Disallowed Losses** | | | | | | | **6.98** |
| **Net Covered Short-Term Gains (Losses)** | | | | **91,175.57** | **0 00** | **93,628.53** | **(2,445.98)** |

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

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| ARTISAN INTERNATIONAL FUND INV MUTUAL FUND CLASS I SHARES (04314H204) | 08/27/2013 | 02/25/2015 | 1,148 49 | 36,142 92 | 0 00 | 31,273 33 | 4,869 59 |
| ARTISAN INTERNATIONAL FUND INV MUTUAL FUND CLASS I SHARES (04314H204) | 01/09/2013 | 02/25/2015 | 1,410 72 | 44,395 39 | 0 00 | 35,000 00 | 9,395 39 |
| ARTISAN INTERNATIONAL FUND INV MUTUAL FUND CLASS I SHARES (04314H204) | 02/11/2013 | 02/25/2015 | 1,571 71 | 49,461 69 | 0 00 | 40,000 00 | 9,461 69 |
| CAUSEWAY INTERNATIONAL VALUE I MUTUAL FUND CLASS INST SHARES (14949P208) | 01/09/2013 | 02/25/2015 | 2,649 51 | 41,517 79 | 0 00 | 35,000 00 | 6,517 79 |
| CAUSEWAY INTERNATIONAL VALUE I MUTUAL FUND CLASS INST SHARES (14949P208) | 08/27/2013 | 02/25/2015 | 2,657 06 | 41,636 16 | 0 00 | 38,633 68 | 3,002 48 |
| CAUSEWAY INTERNATIONAL VALUE I MUTUAL FUND CLASS INST SHARES (14949P208) | 02/11/2013 | 02/25/2015 | 2,989 54 | 46,846 05 | 0 00 | 40,000 00 | 6,846 05 |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 12/10/2013 | 02/25/2015 | 14 25 | 104 60 | 0 00 | 108 88 | (4 28) |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 09/27/2013 | 02/25/2015 | 37 87 | 277 97 | 0 00 | 295 01 | (17 04) |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 03/27/2013 | 02/25/2015 | 42 21 | 309 84 | 0 00 | 307 31 | 2 53 |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 12/10/2013 | 02/25/2015 | 67 33 | 494 17 | 0 00 | 514 37 | (20 20) |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 06/27/2013 | 02/25/2015 | 100 37 | 736 69 | 0 00 | 717 62 | 19 07 |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 12/10/2013 | 02/25/2015 | 154 48 | 1,133 85 | 0 00 | 1,180 19 | (46 34) |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 02/11/2013 | 02/25/2015 | 3,364 74 | 24,697 18 | 0 00 | 25,000 00 | (302 82) |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 01/09/2013 | 02/25/2015 | 3,434 07 | 25,206 05 | 0 00 | 25,000 00 | 206 05 |

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

[9] This position is a gifted security

# REALIZED GAINS AND LOSSES (Continued)

*Supplemental Information Consult your Form 1099 for tax reporting purposes*

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| GS INTERNATIONAL EQUITY DIVIDEND & PREMIUM INSTITUTIONAL SHARES (38144N494) | 06/14/2012 | 02/25/2015 | 5,320 00 [9] | 39,048 80 | 0 00 | 33,250 00 | 5,798 80 |
| ISHARES TIPS BOND ETF (464287176) | 12/28/2012 | 02/25/2015 | 71 00 | 8,036 19 | 0 00 | 8,675 09 | (638 90) |
| ISHARES TIPS BOND ETF (464287176) | 11/16/2012 | 02/25/2015 | 813 00 | 92,020 06 | 0 00 | 99,649 41 | (7,629 35) |
| ISHARES TIPS BOND ETF (464287176) | 12/28/2012 | 06/11/2015 | 451 00 | 50,069 59 | 0 00 | 55,105 17 | (5,035 58) |
| SPDR S&P 500 ETF TRUST (78462F103) | 01/10/2014 | 06/17/2015 | 360 00 | 75,451 01 | 0 00 | 65,970 00 | 9,481 01 |
| SPDR S&P 500 ETF TRUST (78462F103) | 01/10/2014 | 07/31/2015 | 356 00 | 75,071 89 | 0 00 | 65,237 00 | 9,834 89 |
| ARTISAN INTERNATIONAL FUND INV MUTUAL FUND CLASS I SHARES (04314H204) | 08/27/2013 | 10/13/2015 | 571 43 | 16,000 00 | 0 00 | 15,560 01 | 439 99 |
| CAUSEWAY INTERNATIONAL VALUE I MUTUAL FUND CLASS INST SHARES (14949P208) | 08/27/2013 | 10/13/2015 | 682 59 | 10,000 00 | 0 00 | 9,924 92 | 75 08 |
| GS U S EQUITY DIVIDEND AND PREMIUM FUND INSTITUTIONAL SHARES (38143H720) | 01/06/2012 | 10/13/2015 | 1,893 29 [9] | 22,000 00 | 0 00 | 17,986 23 | 4,013 77 |
| SPDR S&P 500 ETF TRUST (78462F103) | 01/10/2014 | 10/13/2015 | 4 00 | 806 51 | 0 00 | 733 00 | 73 51 |
| SPDR S&P 500 ETF TRUST (78462F103) | 03/14/2014 | 10/13/2015 | 71 00 | 14,315 46 | 0 00 | 13,144 74 | 1,170 72 |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 09/30/2013 | 10/14/2015 | 28 17 | 178 03 | 0 00 | 238 51 | (60 48) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 02/28/2014 | 10/14/2015 | 29 05 | 183 60 | 0 00 | 234 22 | (50 62) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 10/31/2013 | 10/14/2015 | 30 72 | 194 14 | 0 00 | 265 94 | (71 80) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 12/31/2013 | 10/14/2015 | 31 02 | 196 05 | 0 00 | 256 15 | (60 10) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 11/29/2013 | 10/14/2015 | 32 13 | 203 06 | 0 00 | 266 59 | (63 53) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 12/31/2012 | 10/14/2015 | 32 86 | 207 70 | 0 00 | 317 05 | (109 35) |

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

[9] This position is a gifted security

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 03/31/2014 | 10/14/2015 | 33 49 | 211 63 | 0 00 | 278 98 | (67 35) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 09/30/2014 | 10/14/2015 | 33 79 | 213 56 | 0 00 | 268 34 | (54 78) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 08/29/2014 | 10/14/2015 | 35 29 | 223 01 | 0 00 | 297 16 | (74 15) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 07/31/2014 | 10/14/2015 | 35 60 | 225 02 | 0 00 | 300 19 | (75 17) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 06/30/2014 | 10/14/2015 | 36 26 | 229 13 | 0 00 | 309 67 | (80 54) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 04/30/2014 | 10/14/2015 | 36 32 | 229 57 | 0 00 | 303 36 | (73 79) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 05/30/2014 | 10/14/2015 | 36 62 | 231 45 | 0 00 | 311 34 | (79 89) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 01/31/2014 | 10/14/2015 | 38 10 | 240 80 | 0 00 | 296 02 | (55 22) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 11/16/2012 | 10/14/2015 | 59 56 | 376 44 | 0 00 | 578 79 | (202 35) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 02/28/2013 | 10/14/2015 | 59 59 | 376 59 | 0 00 | 573 06 | (196 47) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 03/28/2013 | 10/14/2015 | 59 98 | 379 05 | 0 00 | 569 61 | (190 56) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 11/19/2012 | 10/14/2015 | 60 25 | 380 75 | 0 00 | 557 10 | (176 35) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 04/30/2013 | 10/14/2015 | 60 81 | 384 33 | 0 00 | 597 00 | (212 67) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 06/28/2013 | 10/14/2015 | 61 24 | 387 06 | 0 00 | 529 58 | (142 52) |

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

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



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## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **Covered Long-Term Gains (Losses)** | | | | | | | |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 05/31/2013 | 10/14/2015 | 62 61 | 395 69 | 0 00 | 569 56 | (173 87) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 01/31/2013 | 10/14/2015 | 68 84 | 435 07 | 0 00 | 668 94 | (233 87) |
| GS LOCAL EMERGING MARKETS DEBT FUND INSTITUTIONAL SHARES (38145N303) | 12/28/2012 | 10/14/2015 | 6,530 69 | 41,273 95 | 0 00 | 62,937 54 | (21,663 59) |
| SPDR S&P 500 ETF TRUST (78462F103) | 03/14/2014 | 10/16/2015 | 372 00 | 75,380 69 | 0 00 | 68,871 04 | 6,509 65 |
| SPDR S&P 500 ETF TRUST (78462F103) | 03/14/2014 | 12/01/2015 | 95 00 | 19,950 58 | 0 00 | 17,588 03 | 2,362 55 |
| **Net Covered Long-Term Gains (Losses)** | | | | **858,466.81** | **0.00** | **816,249.73** | **42,217 08** |
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| BNP PARIBAS LINKED TO MSCI EAFE UPSIDE LEVERED CAPPED W BUFFER STRUCTURED NOTE DUE 02/16/2015 (05574LEJ3) | 01/18/2013 | 02/16/2015 | 25,000 00 | 28,583 17 | 0 00 | 25,000 00 | 3,583 17 |
| THE BANK OF NOVA SCOTIA LINKED TO MSCI EAFE UPSIDE LEVERED CAPPED STRUCTURED NOTE DUE 04/06/2015 (064159619) | 02/28/2013 | 04/06/2015 | 35 00 | 46,429 25 | 0 00 | 35,000 00 | 11,429 25 |
| THE GOLDMAN SACHS GROUP, INC LNKD TO MSCI EMERGING MKT UPSIDE LEVERED CAPPED W BUFFER STRUCTURED NOTE DUE 10/28/2015 (38147V113) | 10/23/2013 | 10/28/2015 | 103 00 | 91,929 91 | 0 00 | 103,000 00 | (11,070 09) |
| JPMORGAN CHASE & CO LINKED TO MSCI EAFE UPSIDE LEVERED CAPPED W BUFFER STRUCTURED NOTE DUE 12/21/2015 (48126NK97) | 12/16/2013 | 12/21/2015 | 50,000 00 | 50,000 00 | 0 00 | 50,000 00 | 0 00 |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **216,942.33** | **0.00** | **213,000.00** | **3,942.33** |

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

# REALIZED GAINS AND LOSSES

*Supplemental Information Consult your Form 1099 for tax reporting purposes*

## REALIZED GAIN AND LOSS SUMMARY

| SHORT-TERM GAINS (LOSSES) | | LONG-TERM GAINS (LOSSES) | | ORDINARY GAINS (LOSSES) | |
|---|---|---|---|---|---|
| Net Covered Short Term Gains (Losses) | 0 00 | Net Covered Long-Term Gains (Losses) | 0 00 | Net Ordinary Gains (Losses) | 0 00 |
| Net NonCovered Short Term Gains (Losses) | 0 00 | Net NonCovered Long-Term Gains (Losses) | 12 075 00 | | |
| Net 1099B Non Reportable Short Term Gains (Losses) | 0 00 | Net 1099B Non Reportable Long-Term Gains (Losses) | 0 00 | | |
| Net Miscellaneous Short Term Gains (Losses) | 0 00 | Net Miscellaneous Long-Term Gains (Losses) | 0 00 | Net Miscellaneous Ordinary Gains (Losses) | 0 00 |
| Net Regulated Futures Contract Short Term Gains (Losses) | 0 00 | Net Regulated Futures Contract Long-Term Gains (Losses) | 0 00 | | |
| **Total Short-Term Gains (Losses)** | **0 00** | **Total Long-Term Gains (Losses)** | **12,075 00** | **Total Ordinary Gains (Losses)** | **0 00** |

## LONG-TERM GAINS (LOSSES)

| Description (Product Identifier) | Date Acquired or Sold Short | Date Sold or Covered | Quantity | Sale Proceeds [5] | Total accretion (Amortization) | Cost Basis [4] | Total Gain (Loss) |
|---|---|---|---|---|---|---|---|
| **NonCovered Long-Term Gains (Losses)** | | | | | | | |
| THE GOLDMAN SACHS GROUP, INC LINKED TO S&P 500 INDEX UPSIDE LEVERED CAPPED W BUFFER STRUCTURED NOTE DUE 01/15/2015 (38147H858) | 01/11/2013 | 01/15/2015 | 50 00 | 62,075 00 | 0 00 | 50,000 00 | 12,075 00 |
| **Net NonCovered Long-Term Gains (Losses)** | | | | **62,075.00** | **0.00** | **50,000.00** | **12,075.00** |

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

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



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# Federal Statements

## Taxable Interest on Investments

| Description | Amount | Unrelated Business Code | Exclusion Code | Postal Code | US Obs ($ or %) |
|---|---|---|---|---|---|
| GOLDMAN SACHS (67821-6) | $ | | 14 | | |
| GOLDMAN SACHS (67820-8) | 7 | | 14 | | |
| GOLDMAN SACHS (67819-0) | 26,018 | | 14 | | |
| GOLDMAN SACHS (67794-5) | 30 | | 14 | | |
| GOLDMAN SACHS (67793-7) | 57 | | 14 | | |
| GOLDMAN SACHS ACC INT | -574 | | | | |
| TOTAL | $ 25,538 | | | | |

## Taxable Dividends from Securities

| Description | Amount | Unrelated Business Code | Exclusion Code | Postal Code | US Obs ($ or %) |
|---|---|---|---|---|---|
| GOLDMAN SACHS (67821-6) | $ 511 | | 14 | | |
| GOLDMAN SACHS (67820-8) | 2,589 | | 14 | | |
| GOLDMAN SACHS (67794-5) | 71,416 | | 14 | | |
| GOLDMAN SACHS (67793-7) | | | 14 | | |
| TOTAL | $ 74,516 | | | | |