

Form 990

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)

OMB No 1545-0047

2012

Open to Public Inspection

Department of the Treasury Internal Revenue Service

The organization may have to use a copy of this return to satisfy state reporting requirements

A For the 2012 calendar year, or tax year beginning JUL 1, 2012 and ending JUN 30, 2013

Form header section containing organization name (SANTA ROSA SYMPHONY ASSOCIATION), address (50 SANTA ROSA AVE), and other identifying information.

Part I Summary

Summary table with columns for Revenue, Expenses, and Net Assets or Fund Balances. Rows include mission statement, revenue breakdown, and expense breakdown.

Part II Signature Block

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.

Signature block section with fields for officer signature (ALAN SILOW), preparer name (RAYMOND POUNDS), and firm information (PISENTI & BRINKER LLP).

May the IRS discuss this return with the preparer shown above? (see instructions) [X] Yes [] No

SCANNED FEB 26 2014

Handwritten number 11617

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response to any question in this Part III

1 Briefly describe the organization's mission.

THE SANTA ROSA SYMPHONY INSPIRES AND ENGAGES THE RESIDENTS OF OUR REGION WITH THE FINEST MUSICAL PERFORMANCES AND EDUCATIONAL PROGRAMS WHILE MAINTAINING ITS CORE VALUES OF ORGANIZATIONAL STRENGTH, INNOVATIVE PROGRAMMING, FISCAL RESPONSIBILITY AND COMMUNITY SERVICE.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?

Yes No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services?

Yes No

If "Yes," describe these changes on Schedule O

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported

4a (Code) (Expenses \$ 2,596,343. including grants of \$) (Revenue \$ 1,956,473.)

CLASSICAL MUSIC PERFORMANCES INCLUDING THE CLASSICAL SERIES, POPS SERIES, CHORAL SERIES AND SENIOR OUTREACH WITH A TOTAL ATTENDANCE OF 38,863.

4b (Code) (Expenses \$ 329,045. including grants of \$) (Revenue \$ 166,424.)

MUSIC EDUCATION INCLUDING FREE CONCERTS FOR YOUTH WITH TOTAL ATTENDANCE OF 11,257; YOUTH, PREPARATORY, REPERTORY AND YOUNG PEOPLE'S CHAMBER ORCHESTRA CLASSES; SUMMER MUSIC ACADEMY; ELSP ELEMENTARY SCHOOL LISTENING PROGRAM; IT'S ELEMENTARY PROGRAM

4c (Code) (Expenses \$ including grants of \$) (Revenue \$)

4d Other program services (Describe in Schedule O.)

(Expenses \$ including grants of \$) (Revenue \$)

4e Total program service expenses 2,925,388.

Part IV Checklist of Required Schedules

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i>	X	
2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ?	X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i>		X
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i>		X
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i>		X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i>		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i>		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>		X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i>		X
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? <i>If "Yes," complete Schedule D, Part V</i>	X	
11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable		
a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i>	X	
b Did the organization report an amount for investments - other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i>		X
c Did the organization report an amount for investments - program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i>		X
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i>	X	
e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>	X	
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i>		X
12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i>	X	
b Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i>		X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>		X
14a Did the organization maintain an office, employees, or agents outside of the United States?		X
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV</i>		X
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization or entity located outside the United States? <i>If "Yes," complete Schedule F, Parts II and IV</i>		X
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the United States? <i>If "Yes," complete Schedule F, Parts III and IV</i>		X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i>		X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i>	X	
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i>		X
20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i>		X
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?		

Part IV Checklist of Required Schedules (continued)

	Yes	No
21 Did the organization report more than \$5,000 of grants and other assistance to any government or organization in the United States on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II		X
22 Did the organization report more than \$5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and III		X
23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? If "Yes," complete Schedule J	X	
24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25		X
b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?		
c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?		
d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?		
25a Section 501(c)(3) and 501(c)(4) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I		X
b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I		X
26 Was a loan to or by a current or former officer, director, trustee, key employee, highest compensated employee, or disqualified person outstanding as of the end of the organization's tax year? If "Yes," complete Schedule L, Part II		X
27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? If "Yes," complete Schedule L, Part III		X
28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)		
a A current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV		X
b A family member of a current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV		X
c An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? If "Yes," complete Schedule L, Part IV		X
29 Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M	X	
30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If "Yes," complete Schedule M		X
31 Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, Part I		X
32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete Schedule N, Part II		X
33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? If "Yes," complete Schedule R, Part I		X
34 Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1	X	
35a Did the organization have a controlled entity within the meaning of section 512(b)(13)?		X
b If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2		
36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R, Part V, line 2		X
37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, Part VI		X
38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19?		
Note. All Form 990 filers are required to complete Schedule O	X	

Part V Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response to any question in this Part V

		Yes	No
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable. 128		
1b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable. 0		
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	X	
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, for the calendar year ending with or within the year covered by this return. 217		
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions).	X	
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year?		X
b	If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O.		
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?		X
b	If "Yes," enter the name of the foreign country: See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.		
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?		X
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?		X
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?		
6a	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?		X
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?		
7	Organizations that may receive deductible contributions under section 170(c).		
a	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?		X
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?		
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?		X
d	If "Yes," indicate the number of Forms 8282 filed during the year. 7d		
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		X
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		X
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?		
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?		
8	Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations. Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?		
9	Sponsoring organizations maintaining donor advised funds.		
a	Did the organization make any taxable distributions under section 4966?		
b	Did the organization make a distribution to a donor, donor advisor, or related person?		
10	Section 501(c)(7) organizations. Enter		
a	Initiation fees and capital contributions included on Part VIII, line 12. 10a		
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities. 10b		
11	Section 501(c)(12) organizations. Enter		
a	Gross income from members or shareholders. 11a		
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them). 11b		
12a	Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041? b If "Yes," enter the amount of tax-exempt interest received or accrued during the year. 12b		
13	Section 501(c)(29) qualified nonprofit health insurance issuers.		
a	Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O.		
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans. 13b		
c	Enter the amount of reserves on hand. 13c		
14a	Did the organization receive any payments for indoor tanning services during the tax year?		X
b	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O. 14b		

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions

Check if Schedule O contains a response to any question in this Part VI

Section A. Governing Body and Management

		Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.		
	36		
b	Enter the number of voting members included in line 1a, above, who are independent		
	36		
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	X	
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person?		X
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?		X
5	Did the organization become aware during the year of a significant diversion of the organization's assets?		X
6	Did the organization have members or stockholders?		X
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?		X
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?		X
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
a	The governing body?	X	
b	Each committee with authority to act on behalf of the governing body?	X	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O		X

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code)

		Yes	No
10a	Did the organization have local chapters, branches, or affiliates?		X
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?		
10b			
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	X	
b	Describe in Schedule O the process, if any, used by the organization to review this Form 990		
12a	Did the organization have a written conflict of interest policy? If "No," go to line 13	X	
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	X	
c	Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done	X	
12c		X	
13	Did the organization have a written whistleblower policy?	X	
14	Did the organization have a written document retention and destruction policy?	X	
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
a	The organization's CEO, Executive Director, or top management official	X	
b	Other officers or key employees of the organization If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).	X	
15b		X	
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?		X
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?		
16b			

Section C. Disclosure

- 17 List the states with which a copy of this Form 990 is required to be filed **CA**
- 18 Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
 Own website Another's website Upon request Other (explain in Schedule O)
- 19 Describe in Schedule O whether (and if so, how), the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
- 20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization: **JUDY BRUCE - 707-546-7097**
50 SANTA ROSA AVE #410, SANTA ROSA, CA 95404

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response to any question in this Part VII

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) CHARLES SCHLANGEN PRESIDENT	1.00	X						0.	0.	0.
(2) JAMES HINTON VICE PRESIDENT	1.00	X						0.	0.	0.
(3) PEGGY ELLIOTT SECRETARY	1.00	X						0.	0.	0.
(4) HARRY RUBINS TREASURER	1.00	X						0.	0.	0.
(5) JAY ABBE DIRECTOR	1.00	X						0.	0.	0.
(6) YALE ABRAMS DIRECTOR	1.00	X						0.	0.	0.
(7) GORDON BLUMENFELD DIRECTOR	1.00	X						0.	0.	0.
(8) KEVEN BROWN DIRECTOR	1.00	X						0.	0.	0.
(9) PAT CLOTHIER DIRECTOR	1.00	X						0.	0.	0.
(10) EILEEN CARLISLE DIRECTOR	1.00	X						0.	0.	0.
(11) SUSAN DZIEZA DIRECTOR	1.00	X						0.	0.	0.
(12) AMANDA HAAS DIRECTOR	1.00	X						0.	0.	0.
(13) JAMEI HASWELL DIRECTOR	1.00	X						0.	0.	0.
(14) SARA KOZEL DIRECTOR	1.00	X						0.	0.	0.
(15) CAROL LIBARLE DIRECTOR	1.00	X						0.	0.	0.
(16) DAVID MARSTEN DIRECTOR	1.00	X						0.	0.	0.
(17) ART MATNEY DIRECTOR	1.00	X						0.	0.	0.

Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(18) BOB MELDER DIRECTOR	1.00	X						0.	0.	0.
(19) CAROL O'HARA DIRECTOR	1.00	X						0.	0.	0.
(20) SONNE PEDERSEN DIRECTOR	1.00	X						0.	0.	0.
(21) SHARON ROBISON DIRECTOR	1.00	X						0.	0.	0.
(22) ERIC ROSSIN IMMEDIATE PAST PRESIDENT	1.00	X						0.	0.	0.
(23) DIANE SCHOENROCK DIRECTOR	1.00	X						0.	0.	0.
(24) BARRY SILBERG DIRECTOR	1.00	X						0.	0.	0.
(25) ELLEN WEAR DIRECTOR	1.00	X						0.	0.	0.
(26) JENNIFER WEBLEY DIRECTOR	1.00	X						0.	0.	0.
1b Sub-total								0.	0.	0.
c Total from continuation sheets to Part VII, Section A								194,422.	0.	43,216.
d Total (add lines 1b and 1c)								194,422.	0.	43,216.

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **1**

	Yes	No
3 Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual		X
4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If "Yes," complete Schedule J for such individual	X	
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If "Yes," complete Schedule J for such person		X

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization Report compensation for the calendar year ending with or within the organization's tax year

(A) Name and business address	(B) Description of services	(C) Compensation
BRUNO FERRANDIS, 50 SANTA ROSA AVE, SUITE 4, SANTA ROSA, CA 95404	MUSIC DIRECTOR/CONDUCTOR	105,360.

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **1**

SEE PART VII, SECTION A CONTINUATION SHEETS

Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(27) CREIGHTON WHITE DIRECTOR	1.00	X					0.	0.	0.	
(28) SARA WOODFIELD DIRECTOR	1.00	X					0.	0.	0.	
(29) JUDITH GAPPA DIRECTOR	1.00	X					0.	0.	0.	
(30) ROY ZAJAC ORCHESTRA REPRESENTATIVE	1.00	X					0.	0.	0.	
(31) DAVID STARE DIRECTOR	1.00	X					0.	0.	0.	
(32) RICHARD WILBER DIRECTOR	1.00	X					0.	0.	0.	
(33) MEG TICHENER ORCHESTRA REPRESENTATIVE	1.00	X					0.	0.	0.	
(34) KEVIN KONICEK DIRECTOR	1.00	X					0.	0.	0.	
(35) ALAN MASON DIRECTOR	1.00	X					0.	0.	0.	
(36) MARILYN CHIOTTI LEAGUE REPRESENTATIVE	1.00	X					0.	0.	0.	
(37) ALAN SILOW EXECUTIVE DIRECTOR	40.00			X			122,974.	0.	30,569.	
(38) JUDY BRUCE DIRECTOR OF FINANCE	40.00			X			71,448.	0.	12,647.	
Total to Part VII, Section A, line 1c								194,422.		43,216.

Part VIII Statement of Revenue

Check if Schedule O contains a response to any question in this Part VIII

		(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512, 513, or 514	
Contributions, Gifts, Grants and Other Similar Amounts	1 a Federated campaigns	1a				
	b Membership dues	1b				
	c Fundraising events	1c	34,905.			
	d Related organizations	1d				
	e Government grants (contributions)	1e	72,725.			
	f All other contributions, gifts, grants, and similar amounts not included above	1f	1,996,028.			
	g Noncash contributions included in lines 1a-1f \$		52,000.			
	h Total. Add lines 1a-1f		2,103,658.			
	Program Service Revenue	2 a TICKET SALES	Business Code 900099	1,531,442.	1,531,442.	
b CONCERT PERFORMANCE FEES		900099	227,147.	227,147.		
c EDUCATION & TUITION		900099	166,424.	166,424.		
d OTHER		900099	108,897.	108,897.		
e PROGRAM ADVERTISING		900099	88,987.	88,987.		
f All other program service revenue						
g Total. Add lines 2a-2f			2,122,897.			
Other Revenue		3 Investment income (including dividends, interest, and other similar amounts)		94,010.		94,010.
	4 Income from investment of tax-exempt bond proceeds					
	5 Royalties					
	6 a Gross rents	(i) Real				
		(ii) Personal				
		b Less rental expenses				
		c Rental income or (loss)				
	d Net rental income or (loss)					
	7 a Gross amount from sales of assets other than inventory	(i) Securities				
		(ii) Other				
		b Less cost or other basis and sales expenses				
		c Gain or (loss)				
	d Net gain or (loss)		191,537.		191,537.	
	8 a Gross income from fundraising events (not including \$ 34,905. of contributions reported on line 1c). See Part IV, line 18	a	73,475.			
b Less direct expenses		b	64,490.			
c Net income or (loss) from fundraising events			8,985.		8,985.	
9 a Gross income from gaming activities See Part IV, line 19	a					
	b Less direct expenses	b				
	c Net income or (loss) from gaming activities					
10 a Gross sales of inventory, less returns and allowances	a					
	b Less cost of goods sold	b				
	c Net income or (loss) from sales of inventory					
Miscellaneous Revenue		Business Code				
11 a	a					
	b					
	c					
	d All other revenue					
	e Total. Add lines 11a-11d					
12 Total revenue. See instructions.		4,521,087.	2,122,897.	0.	294,532.	

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A)

Check if Schedule O contains a response to any question in this Part IX

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to governments and organizations in the United States See Part IV, line 21				
2 Grants and other assistance to individuals in the United States See Part IV, line 22				
3 Grants and other assistance to governments, organizations, and individuals outside the United States See Part IV, lines 15 and 16				
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	209,399.		209,399.	
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages	1,929,254.	1,773,725.	9,862.	145,667.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	100,362.	96,657.	3,120.	585.
9 Other employee benefits	156,325.	94,505.	38,286.	23,534.
10 Payroll taxes	131,377.	105,898.	15,197.	10,282.
11 Fees for services (non-employees)				
a Management				
b Legal				
c Accounting	21,950.		21,950.	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.)	17,080.	5,576.	10,807.	697.
12 Advertising and promotion	202,834.	198,821.		4,013.
13 Office expenses	104,731.	89,571.	7,072.	8,088.
14 Information technology	35,187.	19,214.	10,209.	5,764.
15 Royalties	15,266.	15,266.		
16 Occupancy	272,009.	229,229.	19,427.	23,353.
17 Travel				
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings				
20 Interest	495.		495.	
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	20,575.	15,517.	2,023.	3,035.
23 Insurance	11,480.	8,610.	2,296.	574.
24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a PRODUCTION/SPECIAL EVEN	176,643.	176,643.		
b OTHER COSTS	174,879.	71,719.	44,564.	58,596.
c CONCERT RECORDING	24,437.	24,437.		
d _____				
e All other expenses _____				
25 Total functional expenses. Add lines 1 through 24e	3,604,283.	2,925,388.	394,707.	284,188.
26 Joint costs Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation.				

Check here if following SOP 98-2 (ASC 958-720)

Part X Balance Sheet

Check if Schedule O contains a response to any question in this Part X

		(A) Beginning of year		(B) End of year	
Assets	1	Cash - non-interest-bearing	1,306,257.	1	1,157,618.
	2	Savings and temporary cash investments	1,591,737.	2	1,874,791.
	3	Pledges and grants receivable, net	2,100,598.	3	2,282,072.
	4	Accounts receivable, net	49,929.	4	89,299.
	5	Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees Complete Part II of Schedule L		5	
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L		6	
	7	Notes and loans receivable, net		7	
	8	Inventories for sale or use		8	
	9	Prepaid expenses and deferred charges	98,649.	9	82,818.
	10a	Land, buildings, and equipment: cost or other basis Complete Part VI of Schedule D	338,066.		
	10b	Less accumulated depreciation	259,528.	10c	78,538.
	11	Investments - publicly traded securities	4,582,118.	11	5,318,490.
	12	Investments - other securities See Part IV, line 11		12	
	13	Investments - program-related See Part IV, line 11		13	
	14	Intangible assets		14	
	15	Other assets See Part IV, line 11	1,433,766.	15	1,394,875.
16	Total assets. Add lines 1 through 15 (must equal line 34)	11,193,817.	16	12,278,501.	
Liabilities	17	Accounts payable and accrued expenses	50,931.	17	71,011.
	18	Grants payable		18	
	19	Deferred revenue	1,348,345.	19	1,176,874.
	20	Tax-exempt bond liabilities		20	
	21	Escrow or custodial account liability Complete Part IV of Schedule D		21	
	22	Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons Complete Part II of Schedule L		22	
	23	Secured mortgages and notes payable to unrelated third parties		23	
	24	Unsecured notes and loans payable to unrelated third parties		24	
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	6,572.	25	2,039.
	26	Total liabilities. Add lines 17 through 25	1,405,848.	26	1,249,924.
Net Assets or Fund Balances	Organizations that follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.				
	27	Unrestricted net assets	2,979,295.	27	3,806,988.
	28	Temporarily restricted net assets	3,020,032.	28	3,242,807.
	29	Permanently restricted net assets	3,788,642.	29	3,978,782.
	Organizations that do not follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 30 through 34.				
	30	Capital stock or trust principal, or current funds		30	
	31	Paid-in or capital surplus, or land, building, or equipment fund		31	
	32	Retained earnings, endowment, accumulated income, or other funds		32	
33	Total net assets or fund balances	9,787,969.	33	11,028,577.	
34	Total liabilities and net assets/fund balances	11,193,817.	34	12,278,501.	

Part XI Reconciliation of Net Assets

Check if Schedule O contains a response to any question in this Part XI

1	Total revenue (must equal Part VIII, column (A), line 12)	4,521,087.
2	Total expenses (must equal Part IX, column (A), line 25)	3,604,283.
3	Revenue less expenses Subtract line 2 from line 1	916,804.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	9,787,969.
5	Net unrealized gains (losses) on investments	323,804.
6	Donated services and use of facilities	
7	Investment expenses	
8	Prior period adjustments	
9	Other changes in net assets or fund balances (explain in Schedule O)	0.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	11,028,577.

Part XII Financial Statements and Reporting

Check if Schedule O contains a response to any question in this Part XII

	Yes	No
1 Accounting method used to prepare the Form 990 <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O		
2a Were the organization's financial statements compiled or reviewed by an independent accountant? If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		X
b Were the organization's financial statements audited by an independent accountant? If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both <input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	X	
c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.	X	
3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?		X
b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits		

Form 990 (2012)

SCHEDULE A
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.

OMB No 1545-0047

2012

Open to Public Inspection

Name of the organization SANTA ROSA SYMPHONY ASSOCIATION	Employer identification number 94-6134075
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Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions

The organization is not a private foundation because it is (For lines 1 through 11, check only one box.)

- 1 A church, convention of churches, or association of churches described in section 170(b)(1)(A)(i).
- 2 A school described in section 170(b)(1)(A)(ii). (Attach Schedule E.)
- 3 A hospital or a cooperative hospital service organization described in section 170(b)(1)(A)(iii).
- 4 A medical research organization operated in conjunction with a hospital described in section 170(b)(1)(A)(iii). Enter the hospital's name, city, and state _____
- 5 An organization operated for the benefit of a college or university owned or operated by a governmental unit described in section 170(b)(1)(A)(iv). (Complete Part II.)
- 6 A federal, state, or local government or governmental unit described in section 170(b)(1)(A)(v).
- 7 An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in section 170(b)(1)(A)(vi). (Complete Part II.)
- 8 A community trust described in section 170(b)(1)(A)(vi). (Complete Part II.)
- 9 An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions - subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See section 509(a)(2). (Complete Part III.)
- 10 An organization organized and operated exclusively to test for public safety. See section 509(a)(4).
- 11 An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2). See section 509(a)(3). Check the box that describes the type of supporting organization and complete lines 11e through 11h.
 - a Type I b Type II c Type III - Functionally integrated d Type III - Non-functionally integrated
- e By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2).
- f If the organization received a written determination from the IRS that it is a Type I, Type II, or Type III supporting organization, check this box
- g Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?
 - (i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization?
 - (ii) A family member of a person described in (i) above?
 - (iii) A 35% controlled entity of a person described in (i) or (ii) above?
- h Provide the following information about the supported organization(s)

	Yes	No
11g(i)		
11g(ii)		
11g(iii)		

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-9 above or IRC section (see instructions))	(iv) Is the organization in col (i) listed in your governing document?		(v) Did you notify the organization in col (i) of your support?		(vi) Is the organization in col (i) organized in the U.S.?		(vii) Amount of monetary support
			Yes	No	Yes	No	Yes	No	
Total									

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")	2,475,747.	1,170,528.	1,233,756.	4,046,939.	2,103,658.	11,030,628.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 Total. Add lines 1 through 3	2,475,747.	1,170,528.	1,233,756.	4,046,939.	2,103,658.	11,030,628.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						
6 Public support. Subtract line 5 from line 4						11,030,628.

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
7 Amounts from line 4	2,475,747.	1,170,528.	1,233,756.	4,046,939.	2,103,658.	11,030,628.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	120,243.	48,399.	66,978.	76,275.	94,010.	405,905.
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV)						
11 Total support. Add lines 7 through 10						11,436,533.
12 Gross receipts from related activities, etc (see instructions)					12	

13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here**

Section C. Computation of Public Support Percentage

14 Public support percentage for 2012 (line 6, column (f) divided by line 11, column (f))	14	96.45 %
15 Public support percentage from 2011 Schedule A, Part II, line 14	15	96.13 %

16a 33 1/3% support test - 2012. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization

b 33 1/3% support test - 2011. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization

17a 10% -facts-and-circumstances test - 2012. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization

b 10% -facts-and-circumstances test - 2011. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization

18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions

Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 Public support. (Subtract line 7c from line 6)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2008	(b) 2009	(c) 2010	(d) 2011	(e) 2012	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV)						
13 Total support. (Add lines 9, 10c, 11, and 12)						
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here <input type="checkbox"/>						

Section C. Computation of Public Support Percentage

15 Public support percentage for 2012 (line 8, column (f) divided by line 13, column (f))	15	%
16 Public support percentage from 2011 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2012 (line 10c, column (f) divided by line 13, column (f))	17	%
18 Investment income percentage from 2011 Schedule A, Part III, line 17	18	%

- 19a 33 1/3% support tests - 2012.** If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization
- b 33 1/3% support tests - 2011.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization
- 20 Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions

SCHEDULE D
(Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes," to Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

2012

Open to Public Inspection

Name of the organization

SANTA ROSA SYMPHONY ASSOCIATION

Employer identification number

94-6134075

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts. Complete if the organization answered "Yes" to Form 990, Part IV, line 6

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year		
2 Aggregate contributions to (during year)		
3 Aggregate grants from (during year)		
4 Aggregate value at end of year		
5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control?		<input type="checkbox"/> Yes <input type="checkbox"/> No
6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit?		<input type="checkbox"/> Yes <input type="checkbox"/> No

Part II Conservation Easements. Complete if the organization answered "Yes" to Form 990, Part IV, line 7

1 Purpose(s) of conservation easements held by the organization (check all that apply)

Preservation of land for public use (e.g., recreation or education) Preservation of an historically important land area

Protection of natural habitat Preservation of a certified historic structure

Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year

	Held at the End of the Tax Year
a Total number of conservation easements	2a
b Total acreage restricted by conservation easements	2b
c Number of conservation easements on a certified historic structure included in (a)	2c
d Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4 Number of states where property subject to conservation easement is located ▶ _____

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? Yes No

6 Staff and volunteer hours devoted to monitoring, inspecting, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, and enforcing conservation easements during the year ▶ \$ _____

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? Yes No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" to Form 990, Part IV, line 8

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenues included in Form 990, Part VIII, line 1 ▶ \$ _____

(ii) Assets included in Form 990, Part X ▶ \$ _____

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

a Revenues included in Form 990, Part VIII, line 1 ▶ \$ _____

b Assets included in Form 990, Part X ▶ \$ _____

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)

3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):

- a Public exhibition
- b Scholarly research
- c Preservation for future generations
- d Loan or exchange programs
- e Other _____

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? Yes No

Part IV Escrow and Custodial Arrangements. Complete if the organization answered "Yes" to Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? Yes No

b If "Yes," explain the arrangement in Part XIII and complete the following table

- c Beginning balance
- d Additions during the year
- e Distributions during the year
- f Ending balance

	Amount
1c	
1d	
1e	
1f	

2a Did the organization include an amount on Form 990, Part X, line 21? Yes No

b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided in Part XIII

Part V Endowment Funds. Complete if the organization answered "Yes" to Form 990, Part IV, line 10

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance	5,735,227.	3,828,262.	3,313,227.	3,098,814.	3,333,568.
b Contributions	210,620.	1,908,559.	31,025.	2,298.	1,100.
c Net investment earnings, gains, and losses	602,935.	162,318.	649,864.	324,836.	<121,426.>
d Grants or scholarships					
e Other expenditures for facilities and programs	13,934.	156,166.	159,827.	130,000.	107,176.
f Administrative expenses	6,911.	7,746.	6,027.	7,721.	7,252.
g End of year balance	6,527,937.	5,735,227.	3,828,262.	3,313,227.	3,098,814.

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

- a Board designated or quasi-endowment ▶ 36.30 %
- b Permanent endowment ▶ 60.95 %
- c Temporarily restricted endowment ▶ 2.75 %

The percentages in lines 2a, 2b, and 2c should equal 100%

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

- (i) unrelated organizations
- (ii) related organizations

	Yes	No
3a(i)		X
3a(ii)		X
3b		

b If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R?

4 Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment. See Form 990, Part X, line 10

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements		2,318.	2,318.	0.
d Equipment		335,748.	257,210.	78,538.
e Other				
Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c))				78,538.

Part VII Investments - Other Securities. See Form 990, Part X, line 12

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
(I)		
Total (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶		

Part VIII Investments - Program Related. See Form 990, Part X, line 13.

(a) Description of investment type	(b) Book value	(c) Method of valuation Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
(10)		
Total (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶		

Part IX Other Assets. See Form 990, Part X, line 15

(a) Description	(b) Book value
(1) POOLED INCOME FUND	122,450.
(2) SMITH REMAINDER TRUST	120,425.
(3) DEPOSIT - LEASEHOLD INTEREST	1,152,000.
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
Total (Column (b) must equal Form 990, Part X, col. (B) line 15) ▶	1,394,875.

Part X Other Liabilities. See Form 990, Part X, line 25

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) OBLIGATION UNDER CAPITAL LEASE	2,039.
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
(11)	
Total (Column (b) must equal Form 990, Part X, col. (B) line 25) ▶	2,039.

2. FIN 48 (ASC 740) Footnote. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

1	Total revenue, gains, and other support per audited financial statements		1	4,844,891.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12			
a	Net unrealized gains on investments	2a	323,804.	
b	Donated services and use of facilities	2b		
c	Recoveries of prior year grants	2c		
d	Other (Describe in Part XIII)	2d		
e	Add lines 2a through 2d	2e	323,804.	
3	Subtract line 2e from line 1	3	4,521,087.	
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a		
b	Other (Describe in Part XIII)	4b		
c	Add lines 4a and 4b	4c	0.	
5	Total revenue Add lines 3 and 4c. (This must equal Form 990, Part I, line 12)	5	4,521,087.	

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return

1	Total expenses and losses per audited financial statements		1	3,604,283.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25			
a	Donated services and use of facilities	2a		
b	Prior year adjustments	2b		
c	Other losses	2c		
d	Other (Describe in Part XIII)	2d		
e	Add lines 2a through 2d	2e	0.	
3	Subtract line 2e from line 1	3	3,604,283.	
4	Amounts included on Form 990, Part IX, line 25, but not on line 1			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a		
b	Other (Describe in Part XIII)	4b		
c	Add lines 4a and 4b	4c	0.	
5	Total expenses Add lines 3 and 4c. (This must equal Form 990, Part I, line 18)	5	3,604,283.	

Part XIII Supplemental Information

Complete this part to provide the descriptions required for Part II, lines 3, 5, and 9, Part III, lines 1a and 4, Part IV, lines 1b and 2b, Part V, line 4, Part X, line 2, Part XI, lines 2d and 4b, and Part XII, lines 2d and 4b Also complete this part to provide any additional information

PART V, LINE 4: ENDOWMENT FUNDS WERE ESTABLISHED TO IMPROVE THE FINANCIAL STABILITY OF THE ASSOCIATION. THE ENDOWMENT FUNDS HELD BY THE ASSOCIATION INCLUDE BOTH DONOR-RESTRICTED ENDOWMENT FUNDS AND FUNDS DESIGNATED BY THE BOARD TO FUNCTION AS ENDOWMENTS.

Part II Fundraising Events. Complete if the organization answered "Yes" to Form 990, Part IV, line 18, or reported more than \$15,000 of fundraising event contributions and gross income on Form 990-EZ, lines 1 and 6b. List events with gross receipts greater than \$5,000.

		(a) Event #1	(b) Event #2	(c) Other events	(d) Total events (add col (a) through col (c))	
		A ROARING CELEBRATION (event type)	MUSICAL SOIREE (event type)	NONE (total number)		
Revenue	1	Gross receipts	97,705.	10,675.		108,380.
	2	Less Contributions	34,905.			34,905.
	3	Gross income (line 1 minus line 2)	62,800.	10,675.		73,475.
Direct Expenses	4	Cash prizes				
	5	Noncash prizes				
	6	Rent/facility costs	26,258.			26,258.
	7	Food and beverages	11,100.			11,100.
	8	Entertainment				
	9	Other direct expenses	26,942.	190.		27,132.
	10	Direct expense summary Add lines 4 through 9 in column (d)				(64,490)
	11	Net income summary Combine line 3, column (d), and line 10				8,985.

Part III Gaming. Complete if the organization answered "Yes" to Form 990, Part IV, line 19, or reported more than \$15,000 on Form 990-EZ, line 6a.

		(a) Bingo	(b) Pull tabs/instant bingo/progressive bingo	(c) Other gaming	(d) Total gaming (add col (a) through col (c))
Revenue	1	Gross revenue			
Direct Expenses	2	Cash prizes			
	3	Noncash prizes			
	4	Rent/facility costs			
	5	Other direct expenses			
	6	Volunteer labor	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No	<input type="checkbox"/> Yes _____ % <input type="checkbox"/> No
	7	Direct expense summary Add lines 2 through 5 in column (d)			()
	8	Net gaming income summary Combine line 1, column d, and line 7			

9 Enter the state(s) in which the organization operates gaming activities: _____
 a Is the organization licensed to operate gaming activities in each of these states? Yes No
 b If "No," explain _____

10a Were any of the organization's gaming licenses revoked, suspended or terminated during the tax year? Yes No
 b If "Yes," explain _____

**SCHEDULE J
(Form 990)**

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 23.

▶ Attach to Form 990. ▶ See separate instructions.

OMB No 1545-0047

2012

Open to Public Inspection

Name of the organization

SANTA ROSA SYMPHONY ASSOCIATION

Employer identification number

94-6134075

Part I Questions Regarding Compensation

1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.

- | | |
|--|--|
| <input type="checkbox"/> First-class or charter travel | <input type="checkbox"/> Housing allowance or residence for personal use |
| <input type="checkbox"/> Travel for companions | <input type="checkbox"/> Payments for business use of personal residence |
| <input type="checkbox"/> Tax indemnification and gross-up payments | <input type="checkbox"/> Health or social club dues or initiation fees |
| <input type="checkbox"/> Discretionary spending account | <input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef) |

b If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain

2 Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a?

3 Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.

- | | |
|--|---|
| <input checked="" type="checkbox"/> Compensation committee | <input checked="" type="checkbox"/> Written employment contract |
| <input type="checkbox"/> Independent compensation consultant | <input checked="" type="checkbox"/> Compensation survey or study |
| <input type="checkbox"/> Form 990 of other organizations | <input checked="" type="checkbox"/> Approval by the board or compensation committee |

4 During the year, did any person listed in Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization

- a** Receive a severance payment or change-of-control payment?
- b** Participate in, or receive payment from, a supplemental nonqualified retirement plan?
- c** Participate in, or receive payment from, an equity-based compensation arrangement?
- If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III

Only section 501(c)(3) and 501(c)(4) organizations must complete lines 5-9.

5 For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of

- a** The organization?
- b** Any related organization?
- If "Yes" to line 5a or 5b, describe in Part III

6 For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of

- a** The organization?
- b** Any related organization?
- If "Yes" to line 6a or 6b, describe in Part III

7 For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III

8 Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III

9 If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

	Yes	No
1b		
2		
4a		X
4b		X
4c		X
5a		X
5b		X
6a		X
6b		X
7		X
8		X
9		

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule J (Form 990) 2012

**SCHEDULE M
(Form 990)**

Department of the Treasury
Internal Revenue Service

Noncash Contributions

▶ Complete if the organizations answered "Yes" on Form 990, Part IV, lines 29 or 30.
▶ Attach to Form 990.

OMB No 1545-0047

2012

Open to Public Inspection

Name of the organization **SANTA ROSA SYMPHONY ASSOCIATION** Employer identification number **94-6134075**

Part I	Types of Property	(a) Check if applicable	(b) Number of contributions or items contributed	(c) Noncash contribution amounts reported on Form 990, Part VIII, line 1g	(d) Method of determining noncash contribution amounts
1	Art - Works of art				
2	Art - Historical treasures				
3	Art - Fractional interests				
4	Books and publications				
5	Clothing and household goods				
6	Cars and other vehicles				
7	Boats and planes				
8	Intellectual property				
9	Securities - Publicly traded				
10	Securities - Closely held stock				
11	Securities - Partnership, LLC, or trust interests				
12	Securities - Miscellaneous				
13	Qualified conservation contribution - Historic structures				
14	Qualified conservation contribution - Other				
15	Real estate - Residential				
16	Real estate - Commercial				
17	Real estate - Other				
18	Collectibles				
19	Food inventory				
20	Drugs and medical supplies				
21	Taxidermy				
22	Historical artifacts				
23	Scientific specimens				
24	Archeological artifacts				
25	Other ▶ (RENTED TENANT)	X	1	48,000.	DONOR DETERMINED
26	Other ▶ (WINE)	X	1	4,000.	DONOR DETERMINED
27	Other ▶ ()				
28	Other ▶ ()				

29 Number of Forms 8283 received by the organization during the tax year for contributions for which the organization completed Form 8283, Part IV, Donee Acknowledgement **29**

30a During the year, did the organization receive by contribution any property reported in Part I, lines 1-28 that it must hold for at least three years from the date of the initial contribution, and which is not required to be used for exempt purposes for the entire holding period?

	Yes	No
30a		X
31		X
32a		X
33		

b If "Yes," describe the arrangement in Part II.

31 Does the organization have a gift acceptance policy that requires the review of any non-standard contributions?

32a Does the organization hire or use third parties or related organizations to solicit, process, or sell noncash contributions?

b If "Yes," describe in Part II

33 If the organization did not report an amount in column (c) for a type of property for which column (a) is checked, describe in Part II

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule M (Form 990) (2012)

Part II **Supplemental Information.** Complete this part to provide the information required by Part I, lines 30b, 32b, and 33, and whether the organization is reporting in Part I, column (b), the number of contributions, the number of items received, or a combination of both. Also complete this part for any additional information.

Multiple horizontal lines for supplemental information.

SCHEDULE O
(Form 990 or 990-EZ)

Supplemental Information to Form 990 or 990-EZ

OMB No 1545-0047

2012

Open to Public
Inspection

Department of the Treasury
Internal Revenue Service

Complete to provide information for responses to specific questions on
Form 990 or 990-EZ or to provide any additional information.
▶ Attach to Form 990 or 990-EZ.

Name of the organization

SANTA ROSA SYMPHONY ASSOCIATION

Employer identification number
94-6134075

FORM 990, PART I, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:

EDUCATION.

FORM 990, PART VI, SECTION A, LINE 2: MEG TICHENER AND ROY ZAJAC ARE REPRESENTATIVES OF THE ORCHESTRA, AND THEREFORE ARE PAID AS EMPLOYEES OF THE ASSOCIATION.

FORM 990, PART VI, SECTION B, LINE 11: THE FORM 990 IS REVIEWED BY THE AUDIT CHAIR.

FORM 990, PART VI, SECTION B, LINE 12C: COMPLIANCE WITH THE CONFLICT OF INTEREST POLICY IS MONITORED AND ENFORCED BY THE GOVERNANCE COMMITTEE.

FORM 990, PART VI, SECTION B, LINE 15: THE SANTA ROSA SYMPHONY ASSOCIATION (SRSA) UTILIZES A PERSONNEL COMMITTEE AND COMPENSATION SURVEYS AND STUDIES IN DETERMINING THE REASONABLENESS OF COMPENSATION OF THE EXECUTIVE DIRECTOR. THE EXECUTIVE DIRECTOR'S COMPENSATION MUST BE APPROVED BY THE BOARD OF DIRECTORS. IN ADDITION, THE SRSA HAS A WAGE ADMINISTRATION PLAN WHICH PROVIDES THAT ALL EMPLOYEES ARE PAID ACCORDING TO THE CONTRIBUTION THEY MAKE TO THE SRSA'S SUCCESS. WITHIN THE CAPABILITY TO DO SO, THEY ARE PAID AT A LEVEL THAT COMPARES FAVORABLY WITH SALARIES PAID FOR COMPARABLE SERVICES IN OTHER NON-PROFIT ORGANIZATIONS. MANAGEMENT WILL REVIEW SALARIES ANNUALLY, AND WILL MAKE ADJUSTMENTS BASED ON MERIT. ADJUSTMENTS WILL GO INTO EFFECT ON JULY 1, THE FIRST DAY OF EACH NEW FISCAL YEAR OR ON THE INITIAL ONE YEAR ANNIVERSARY FOR NEW EMPLOYEES.

Name of the organization

SANTA ROSA SYMPHONY ASSOCIATION

Employer identification number

94-6134075

FORM 990, PART VI, SECTION C, LINE 18: THE SANTA ROSA SYMPHONY MAKES AVAILABLE TO THE PUBLIC ITS FORM 990 UPON REQUEST, WITH 48 HOURS NOTICE PREFERRED.

FORM 990, PART VI, SECTION C, LINE 19: THE SANTA ROSA SYMPHONY MAKES AVAILABLE TO THE PUBLIC ITS GOVERNING DOCUMENTS UPON REQUEST, WITH 48 HOURS NOTICE PREFERRED.

FORM 990, PART XI, LINE 2C: THE ASSOCIATION UTILIZES A COMMITTEE WHICH PROVIDES OVERSIGHT TO THE AUDIT OF THE FINANCIAL STATEMENTS AND THE SELECTION OF AN INDEPENDENT ACCOUNTANT. THERE HAS BEEN NO CHANGE IN THE PROCESS FOR SELECTING AN INDEPENDENT ACCOUNTANT SINCE THE PRIOR YEAR FORM 990 WAS FILED.

Part V Transactions With Related Organizations (Complete if the organization answered "Yes" to Form 990, Part IV, line 34, 35b, or 36)

Note. Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule

1 During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?

a Receipt of (i) interest (ii) annuities (iii) royalties or (iv) rent from a controlled entity

b Gift, grant, or capital contribution to related organization(s)

c Gift, grant, or capital contribution from related organization(s)

d Loans or loan guarantees to or for related organization(s)

e Loans or loan guarantees by related organization(s)

f Dividends from related organization(s)

g Sale of assets to related organization(s)

h Purchase of assets from related organization(s)

i Exchange of assets with related organization(s)

j Lease of facilities, equipment, or other assets to related organization(s)

k Lease of facilities, equipment, or other assets from related organization(s)

l Performance of services or membership or fundraising solicitations for related organization(s)

m Performance of services or membership or fundraising solicitations by related organization(s)

n Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)

o Sharing of paid employees with related organization(s)

p Reimbursement paid to related organization(s) for expenses

q Reimbursement paid by related organization(s) for expenses

r Other transfer of cash or property to related organization(s)

s Other transfer of cash or property from related organization(s)

2 If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.

	(a) Name of other organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved	Yes	No
(1)						
(2)						
(3)						
(4)						
(5)						
(6)						

Newberger Burman

SANTA ROSA SYMPHONY - #2 Acct # XXX-XX526 Phone # 707-546-7097
 8/13/2013 Not for Profit Corporate Cash NonTaxable Domestic CA IA=Y FI Acct=N Capital Appreciation and Income IPO=N

Capital Gains

SANTA ROSA SYMPHONY - #2 (KAMINSKY-OPPORTUNISTIC GRTH)
 50 SANTA ROSA AVENUE - STE 410
 SANTA ROSA CA 95404-4951

Capital Gains Summary From 07/01/2012 To 06/30/2013

Description	20,013 22	3000 20
Short Term Gain/Loss	61,492 16	3000 20
Long Term Gain/Loss	0 00	0 00
Total Short Sale Gain/Loss	81,505 38	
Discount Income	1,028,639 26	
Total Capital Gains/Losses	1,110,144 64	
Adjusted Basis		0 00
Proceeds		
Total Curr Gain/Loss		0 00

EQUITIES - COVERED

Purchase Date	Close Date	No. of Shares	Original Price	Current Price	Gain/Loss	ST	LT	EBOD	Cost	Disc	Gain/Loss
06/19/2012	07/18/2012	50 00	0 00	35 046	1 963 57	1 752 25	ST	-211 32	0 00	1 963 57	0 00
CELANESE CORPORATION N SERIES A											
03/30/2012	07/18/2012	600 00	0 00	35 046	27 685 08	21 027 01	ST	-6 658 07	0 00	27 685 08	0 00
CELANESE CORPORATION N SERIES A											
04/09/2012	07/18/2012	150 00	0 00	35 046	6 823 58	5 256 75	ST	-1 366 83	0 00	6 823 58	0 00
CELANESE CORPORATION N SERIES A											
02/16/2012	08/16/2012	1 000 00	0 00	27 299	27 297 80	27 298 78	ST	0 98	0 00	27 297 80	0 00
LOWES CO INC											
06/19/2012	08/16/2012	250 00	0 00	27 299	7 098 65	6 824 70	ST	-273 95	0 00	7 098 65	0 00
LOWES CO INC											
02/28/2012	08/16/2012	500 00	0 00	27 299	13 678 65	13 649 39	ST	-29 26	0 00	13 678 65	0 00
LOWES CO INC											
03/08/2012	06/31/2012	350 00	0 00	40 707	15 266 07	14 247 24	ST	-1 018 83	0 00	15 266 07	0 00
POTASH SASKATCHEWAN INC											

3001.80

09/14/2012	03/26/2013	200.00	0.00	GLD	SPDR GOLD TR GOLD SHS	171.812	154.525	34.362.42	30.904.34	ST	-3.458.08	0.00	34.362.42	0.00
04/20/2012	04/03/2013	100.00	0.00	ADT	ADT CORPORATIO N COM	35.913	45.323	3.591.34	4.532.19	ST	940.85	0.00	3.591.34	0.00
09/28/2012	04/03/2013	100.00	0.00	ADT	ADT CORPORATIO N COM	35.675	45.323	3.567.51	4.532.19	ST	964.68	0.00	3.567.51	0.00
05/31/2012	04/22/2013	400.00	0.00	BWA	BORG WARNER AUTOMOTIVE INC	71.272	73.049	28.508.72	29.219.02	ST	710.30	0.00	28.508.72	0.00
06/19/2012	04/22/2013	250.00	0.00	BWA	BORG WARNER AUTOMOTIVE INC	68.832	73.049	17.208.08	18.261.89	ST	1.053.81	0.00	17.208.08	0.00
02/13/2013	05/03/2013	1,250.00	0.00	WNAV	WHITEWAVE FOODS CO COM CL A	15.484	17.821	19.355.50	22.276.25	ST	2.920.75	0.00	19.355.50	0.00
09/28/2012	05/07/2013	650.00	0.00	ADT	ADT CORPORATIO N COM	35.675	44.359	23.188.82	28.832.51	ST	5.643.69	0.00	23.188.82	0.00
06/19/2012	05/07/2013	100.00	0.00	ADT	ADT CORPORATIO N COM	34.620	44.359	3.461.98	4.435.77	ST	973.79	0.00	3.461.98	0.00
04/30/2013	06/19/2013	1,250.00	0.00	DCI	DONALDSON CO INC	35.989	36.336	44.986.13	45.418.70	ST	432.57	0.00	44.986.13	0.00
ST - TERM TOTAL		13,526.00						590,925.12	611,005.8	ST	20,080.72	0.00	590,925.12	0.00
08/10/2011	10/17/2012	500.00	0.00	NLSN	***NIELSEN HOLDINGS B V US LISTED	26.830	31.853	13.415.00	15.926.24	LT	0.00	2,511.24	13.415.00	0.00
08/10/2011	11/09/2012	800.00	0.00	IRM	IRON MOUNTAIN INC	29.244	34.306	23.395.52	27.443.92	LT	0.00	4,048.40	23.395.52	0.00
08/10/2011	11/30/2012	900.00	0.00	NLSN	***NIELSEN HOLDINGS B V US LISTED	26.830	28.259	24.147.00	25.432.34	LT	0.00	1,285.34	24.147.00	0.00
07/08/2011	12/03/2012	65.00	0.00	V	VISA INC CL A	89.505	150.055	5.817.79	9.753.35	LT	0.00	3,935.56	5.817.79	0.00
10/28/2011	01/17/2013	450.00	0.00	EBAY	EBAY INC	32.432	54.489	14.594.28	24.519.28	LT	0.00	9,925.00	14.594.28	0.00
02/03/2012	03/01/2013	400.00	0.00	COF	CAPITAL ONE FINANCIAL CORP	49.472	51.426	19.788.80	20.570.10	LT	0.00	781.30	19.788.80	0.00
02/15/2012	03/01/2013	300.00	0.00	COF	CAPITAL ONE FINANCIAL CORP	49.376	51.426	14.812.68	15.427.57	LT	0.00	614.89	14.812.68	0.00
02/07/2012	03/01/2013	100.00	0.00	COF	CAPITAL ONE FINANCIAL CORP	47.749	51.426	4.774.92	5.142.52	LT	0.00	367.60	4.774.92	0.00

03/21/2012	04/03/2013	300.00	0.00	ADT	34,312	45,323	10,293.73	13,596.56	LT	0.00	3,302.83	10,293.73	0.00
				CORPORATIO									
02/22/2012	04/22/2013	350.00	0.00	BORG	80,260	73,049	28,091.00	25,566.65	LT	0.00	-2,524.35	28,091.00	0.00
				WARNER									
				AUTOMOTIVE									
				INC									
LT - TERM		4,165.00					159,130.72	183,378.53	LT	0.00	24,247.81	159,130.72	0.00
TOTAL		17,691.00					750,055.84	794,384.37		20,080.72	24,247.81	750,055.84	0.00
SECTION													
TOTAL													

EQUITIES - NONCOVERED

09/27/2010	07/05/2012	350.00	0.00	JBHUNT	35,405	59,950	12,391.77	20,992.02	LT	0.00	8,590.25	12,391.77	0.00
				TRANSPORT									
12/17/2010	09/20/2012	225.00	0.00	DISCOVERY	36,941	55,589	8,311.79	12,507.24	LT	0.00	4,195.45	8,311.79	0.00
				COMMUNICATI									
				ONS INC COM									
12/09/2010	09/20/2012	225.00	0.00	DISCOVERY	37,133	55,589	8,354.93	12,507.24	LT	0.00	4,152.31	8,354.93	0.00
				COMMUNICATI									
				ONS INC COM									
12/17/2010	10/04/2012	475.00	0.00	DISCOVERY	36,941	56,905	17,547.12	27,029.36	LT	0.00	9,482.24	17,547.12	0.00
				COMMUNICATI									
				ONS INC COM									
08/05/2009	02/01/2013	250.00	0.00	PX	77,652	111,410	19,412.90	27,851.82	LT	0.00	8,438.92	19,412.90	0.00
							66,018.51	100,877.68	LT	0.00	34,859.17	66,018.51	0.00
TOTAL		1,525.00					66,018.51	100,877.68		0.00	34,859.17	66,018.51	0.00
SECTION													
TOTAL													

FIXED INCOME - NONCOVERED

03/08/2012	08/02/2012	25,000.00	0.00	HEWLETT	100,588	100,318	25,147.00	25,079.50	ST	-87.50	0.00	25,147.00	0.00
				PACKARD CO									
				UNSECURED									
				2.60000%									
				9/15/2017									
				428236BWZ									
				MS_15									
ST - TERM		25,000.00					25,147.00	25,079.50	ST	-87.50	0.00	25,147.00	0.00
TOTAL													

02/22/2011	10/18/2012	50 000 00	0 00	654090AU6	NIELSEN FIN LLC / CO SR NT 11 50000% 5/1/2016 654090AU6 CALLED @ 111 51 10/18/12 MN_01 CC	113 328	111 509	56 664 22	55 754 70	LT	0 00	-909 52	59 250 00	0 00
10/20/2009	12/26/2012	25 000 00	0 00	228227AZ7	CROWN CASTLE INTL CORP SR NT 9 00000% 01/15/2015 228227AZ7 CALLED @ 105 63 01/23/13 JJ_15	103 172	106 230	25 793 08	26 557 50	LT	0 00	764 42	26 812 50	0 00
02/17/2010	12/26/2012	25 000 00	0 00	228227AZ7	CROWN CASTLE INTL CORP SR NT 9 00000% 01/15/2015 228227AZ7 CALLED @ 105 63 01/23/13 JJ_15	103 345	106 230	25 836 37	26 557 50	LT	0 00	721 13	26 812 50	0 00
02/17/2010	01/08/2013	50 000 00	0 00	36962C4H4	GENERAL ELEC CAP SR UNSECURED NTS 2 80000% 01/08/2013 36962C4H4 JJ_08	100 114	100 000	50 057 00	50 000 00	LT	0 00	-57 00	50 057 00	0 00
08/11/2010	04/04/2013	25 000 00	0 00	29444UAJ5	EQUINIX INC SENIOR NOTES 8 12500% 03/01/2018 29444UAJ5 CALLED @ 110 79 04/04/13 MS_01	105 000	110 790	26 250 00	27 697 50	LT	0 00	1 447 50	26 250 00	0 00
LT - TERM		175,000.00						184,600.67	186,567.20	LT	0.00	1,966.53	189,182.00	0.00
TOTAL		200,000.00						209,747.67	211,646.70		-67.50	1,966.53	214,329.00	0.00

40 = 1,075,800.00
 lost
 1,106,910.75
 40 = 1,100,000.00

CAPITAL GAIN DIVIDENDS - NONCOVERED

DATE	NO	ORIG	SYMBOL	DESCRIPTION	UNIT	ST	TOTAL COST	UNIT AMOUNT	ST	BOOK COST	DISC	GAIN/LOSS
CAPITAL	07/13/2012	102.56	STWD	STARWOOD PROPERTY TRUST INC			0.00	102.56	LT	0.00	0.00	0.00
DIVIDENDS												
NONCOVE												
RED	10/15/2012	102.56	STWD	STARWOOD PROPERTY TRUST INC			0.00	102.56	LT	0.00	0.00	0.00
DIVIDENDS												
NONCOVE												
RED	01/15/2013	76.80	STWD	STARWOOD PROPERTY TRUST INC			0.00	76.80	LT	0.00	0.00	0.00
DIVIDENDS												
NONCOVE												
RED		281.92					0.00	281.92	LT	0.00	0.00	0.00
LT - TERM												
TOTAL												
SECTION												
TOTAL												

CAPITAL GAIN FROM LIQUIDATING DIVIDENDS - NONCOVERED

DATE	NO	ORIG	SYMBOL	DESCRIPTION	UNIT	ST	TOTAL COST	UNIT AMOUNT	ST	BOOK COST	DISC	GAIN/LOSS
01/01/1900	05/15/2013	100.00	0.00	ADT			0.00	12.50	LT	0.00	0.00	0.00
CORPORATIO												
N'COM												
01/01/1900	05/15/2013	650.00	0.00	ADT			0.00	81.25	LT	0.00	0.00	0.00
CORPORATIO												
N'COM												
LT - TERM		750.00					0.00	93.75	LT	0.00	0.00	0.00
TOTAL												
05/20/2011	07/30/2012	1,745.00	0.00	SSWPRC			26.238	796.13		0.00	796.13	0.00
***SEASPAN												
CORP												
CUMULATIVE												
RED PERP PFD												
SHS 9.50 %												
SER C												
02/03/2011	07/30/2012	1,000.00	0.00	SSWPRC			24.984	456.24		0.00	456.24	0.00
***SEASPAN												
CORP												
CUMULATIVE												
RED PERP PFD												
SHS 9.50 %												
SER C												

02/03/2011	10/30/2012	1 000 00	0 00	SSWPRC	***SEASPAN CORP	24 528	0 456	456 24	456 24	0 00	0 00	456 24	0 00	0 00
					CUMULATIVE RED PERP PFD SHS 9 50 % SERC									
05/20/2011	10/30/2012	1 745 00	0 00	SSWPRC	***SEASPAN CORP	25 781	0 456	796 13	796 13	0 00	0 00	796 13	0 00	0 00
					CUMULATIVE RED PERP PFD SHS 9 50 % SERC									
03/21/2012	12/18/2012	300 00	0 00	ADT	ADT	34 562	0 125	37 50	37 50	0 00	0 00	37 50	0 00	0 00
					CORPORATIO N COM									
04/20/2012	12/18/2012	100 00	0 00	ADT	ADT	36 163	0 125	12 50	12 50	0 00	0 00	12 50	0 00	0 00
					CORPORATIO N COM									
06/19/2012	12/18/2012	100 00	0 00	ADT	ADT	34 870	0 125	12 50	12 50	0 00	0 00	12 50	0 00	0 00
					CORPORATIO N COM									
09/28/2012	12/18/2012	750 00	0 00	ADT	ADT	35 925	0 125	93 75	93 75	0 00	0 00	93 75	0 00	0 00
					CORPORATIO N COM									
06/19/2012	01/28/2013	100 00	0 00	ADT	ADT	34 745	0 125	12 50	12 50	0 00	0 00	12 50	0 00	0 00
					CORPORATIO N COM									
09/28/2012	01/28/2013	750 00	0 00	ADT	ADT	35 800	0 125	93 75	93 75	0 00	0 00	93 75	0 00	0 00
					CORPORATIO N COM									
04/20/2012	01/28/2013	100 00	0 00	ADT	ADT	36 038	0 125	12 50	12 50	0 00	0 00	12 50	0 00	0 00
					CORPORATIO N COM									
03/21/2012	01/28/2013	300 00	0 00	ADT	ADT	34 437	0 125	37 50	37 50	0 00	0 00	37 50	0 00	0 00
					CORPORATIO N COM									
SECTION TOTAL		8 740 00				2 817 24		2 910 99	2 910 99	0 00	93 75	2 817 24	0 00	0 00

CASH IN LIEU - NONCOVERED

Account Date	Symbol Date	No. of Shares	Unit Price	Cost	Gain/Loss	Net Amount	Disc Gain/Loss	Disc Gain/Loss	Disc Gain/Loss	Disc Gain/Loss	Disc Gain/Loss	Disc Gain/Loss	Disc Gain/Loss	Disc Gain/Loss
CASH IN LIEU - NONCOVE RED	11/06/2012	39 74	PNR	39 74	0 00	39 74	LT	0 00	39 74	0 00	0 00	0 00	0 00	0 00
CASH IN LIEU - NONCOVE RED	12/06/2012	3 24	IRM	0 00	0 00	3 24	LT	0 00	3 24	0 00	0 00	0 00	0 00	0 00

LT - TERM	42 98	0 00	42 98	LT	0 00	42 98	0 00	0 00
TOTAL								
SECTION	42 98	0 00	42 98		0 00	42 98	0 00	0 00
TOTAL								

Indicators

- ST - Short Term
- LI - Long Term
- WO - Written Option
- SS - Short Sale
- P - Purchase includes option premium
- S - Sale includes option premium
- B - Purchase & sale include option premium

PLEASE CONSULT YOUR TAX ADVISOR REGARDING THE USE OF THIS REPORT

This supplemental report is provided for informational purposes only. Please refer to your account statements or other information provided by your custodian for the official records of your account(s). This is not a substitute Form 1099 and you should not provide this report to the Internal Revenue Service. This report is not an official tax record for your account. Please contact your custodian with any questions regarding tax reporting information and/or the methodology used to calculate and report associated gain/loss computations.

Pursuant to Treasury regulations effective for the 2011 tax year, your custodian will be sending certain additional information regarding your security sales to the IRS on Form 1099-B. You will receive Form 1099-B from your custodian with information pertaining to security sales. The Form 1099-B may contain additional tax reporting information necessary to complete your tax return. Please see Form 1099-B for disallowed losses due to wash sales (Box 5) and other pertinent information which may not be included in this summary.

The sale of securities acquired prior to January 1, 2011, will be reported on Form 1099-B as 'noncovered securities' and as a result the Form 1099-B sent to you and the IRS will not include any tax cost information.

The tax cost and gain information for the sale of 'covered securities' will be reported to the IRS on Form 1099-B.

LT is the designation for a gain/loss on a security held for more than twelve (12) months.
ST is the designation for a gain/loss on a security held for twelve (12) months or less.

Transactions in this report are not adjusted for the following rules (if applicable):

- Internal Revenue Code
- SECTION 1091 - Wash Sales
- SECTION 1092 - Straddles
- SECTION 1259 - Constructive Sales
- SECTION 852(b)(4) - Mutual Fund (& Closed-End Fund) Transactions

Gaining transactions due to taxable merger involving cash and stock may be reflected differently on the above Capital Gains Schedule and on the Form 1099 you will or have received at the end of the year.

The cost basis used to determine Gains/Losses as listed in this report for Master Limited Partnerships (MLP) Original Issue Discount (OID) and certain municipal bonds may have been adjusted for reallocated income, gains/losses or return of capital. For master limited partnership (MLP) holdings please refer to the applicable Schedule K-1 for allocated income, gain/loss deduction and credits as well as for information pertaining to gain or loss on disposition.

For securities not purchased through Neuberger Berman but purchased elsewhere and later transferred in, you will need to supply relevant information to your tax advisor. It is your responsibility to ensure the accuracy of this information since Neuberger Berman has no knowledge of such assets cost basis.

Exchange rates used to derive foreign exchange gains and losses may be provided from various outside sources and may not reflect realizable rates. Neuberger Berman does not warrant the accuracy of these sources and is not responsible for inaccuracies. Rates may also be subject to change without notice.

Certain investments such as Real Estate Investment Trusts commonly known as REITs pay distributions throughout the year and reallocate these distributions at year-end as all or some of the following: Return of Capital, Short Term Gain, Long Term Gain and Regular Income. Due to this late reallocation, these entries may be posted to your account in the beginning of the following year resulting in a revised Capital Gains Schedule.

Mortgage backed factors are updated on the 8th business day of the month.

This report contains information supplied by third parties, including but not limited to the client. This report is based upon information that we consider reliable but we do not represent that it is accurate or complete, and it should not be relied upon as such. Information contained herein should not be considered legal, tax, investment, financial or other professional advice. Neuberger Berman LLC and its employees do not provide tax or legal advice. You should consult your accountant, tax adviser and/or attorney for advice concerning your particular circumstances.

IRS Circular 230 Disclosure.

Neuberger Berman LLC and its affiliates do not provide tax advice. Accordingly, any discussion of U.S. tax matters contained herein, including any attachments, is not intended or written to be used, and cannot be used, by any taxpayer for the purpose of avoiding U.S. tax related penalties.

Newberger Berman

SANTA ROSA SYMPHONY

Acct # XXX-XX525 Phone # 707-546-7097

8/13/2013 Not for Profit Corporate Cash NonTaxable Domestic CA IA=Y FIAcct=N Capital Appreciation and Income IPO=N

Capital Gains

SANTA ROSA SYMPHONY (BOLTON - CORE)
50 SANTA ROSA AVENUE - STE 410
SANTA ROSA CA 95404-4951

Capital Gains Summary From 07/01/2012 To 06/30/2013

Description	TOTALS
Short Term Gain/Loss	-8,393 81 3000 20
Long Term Gain/Loss	117,629 70 3000 20
Total Short Sale Gain/Loss	0 00
Discount Income	0 00
Total Capital Gains/Losses	109,235 89
Adjusted Basis	700,810 09
Proceeds	810,045 98
Total Curr Gain/Loss	0 00

EQUITIES - COVERED

Purchase Date	Close Date	No. of Shares	Orig. Cost	Symbol	Description	Units	Cost	Gain/Loss	ST	LT	Net Gain/Loss	Inc	Gain/Loss
04/09/2012	07/24/2012	225 00	0 00	GNTX	GENTEX CORP	24 410	15 029	5 482 21	3 381 53	ST	-2 110 88	0 00	5 482 21
04/10/2012	07/24/2012	100 00	0 00	GNTX	GENTEX CORP	24 446	15 029	2 444 64	1 502 91	ST	-941 73	0 00	2 444 64
03/02/2012	07/24/2012	250 00	0 00	GNTX	GENTEX CORP	24 684	15 029	6 171 12	3 757 27	ST	-2 413 85	0 00	6 171 12
03/01/2012	07/25/2012	250 00	0 00	GNTX	GENTEX CORP	24 224	15 004	6 055 92	3 750 87	ST	-2 305 05	0 00	6 055 92
03/01/2012	07/26/2012	325 00	0 00	GNTX	GENTEX CORP	24 224	15 019	7 872 69	4 881 13	ST	-2 991 56	0 00	7 872 69
11/30/2011	08/22/2012	225 00	0 00	TIF	TIFFANY & CO NEW	66 562	58 558	14 976 52	13 175 34	ST	-1 801 18	0 00	14 976 52
11/30/2011	08/23/2012	25 00	0 00	TIF	TIFFANY & CO NEW	66 562	58 507	1 664 06	1 462 65	ST	-201 41	0 00	1 664 06
11/30/2011	08/24/2012	50 00	0 00	TIF	TIFFANY & CO NEW	66 562	58 502	3 328 11	2 925 03	ST	-403 08	0 00	3 328 11
12/19/2011	08/24/2012	25 00	0 00	TIF	TIFFANY & CO NEW	62 799	58 502	1 569 98	1 462 52	ST	-107 46	0 00	1 569 98
01/10/2012	08/30/2012	75 00	0 00	TIF	TIFFANY & CO NEW	59 799	62 185	4 484 95	4 663 79	ST	178 84	0 00	4 484 95
06/18/2012	10/23/2012	25 00	0 00	COH	COACH INC	60 663	58 244	1 517 08	1 455 06	ST	-61 02	0 00	1 517 08

06/18/2012	10/24/2012	25.00	0.00	COH	60.683	58.444	1.517.08	1.461.06	ST	-56.02	0.00	1.517.08	0.00	0.00
06/18/2012	11/26/2012	850.00	0.00	MSFT	29.806	27.258	25.334.76	23.168.52	ST	-2,166.24	0.00	25.334.76	0.00	0.00
05/17/2012	11/26/2012	675.00	0.00	MSFT	30.011	27.258	20.257.45	18.398.53	ST	-1,858.92	0.00	20.257.45	0.00	0.00
02/08/2012	11/26/2012	400.00	0.00	NI	23.375	23.917	9.349.82	9.566.67	ST	216.65	0.00	9.349.82	0.00	0.00
02/08/2012	11/27/2012	350.00	0.00	NI	22.897	23.739	8.014.12	8.308.34	ST	294.22	0.00	8.014.12	0.00	0.00
02/08/2012	11/27/2012	75.00	0.00	NI	23.375	23.739	1.753.09	1.780.36	ST	27.27	0.00	1.753.09	0.00	0.00
05/17/2012	12/20/2012	75.00	0.00	APA	83.027	79.761	6.227.06	5.981.96	ST	-245.10	0.00	6.227.06	0.00	0.00
05/16/2012	12/20/2012	70.00	0.00	APA	83.740	79.761	5.861.81	5.583.16	ST	-278.65	0.00	5.861.81	0.00	0.00
06/18/2012	12/20/2012	300.00	0.00	COH	60.683	58.189	18.204.96	17.456.15	ST	-748.81	0.00	18.204.96	0.00	0.00
06/18/2012	12/26/2012	200.00	0.00	COH	60.683	54.992	12.136.64	10.998.14	ST	-1,138.50	0.00	12.136.64	0.00	0.00
08/02/2012	12/26/2012	50.00	0.00	COH	49.909	54.992	2.495.47	2.749.53	ST	254.06	0.00	2.495.47	0.00	0.00
08/16/2012	01/14/2013	300.00	0.00	DNKN	31.020	34.148	9.305.91	10.244.11	ST	938.20	0.00	9.305.91	0.00	0.00
05/14/2012	01/28/2013	100.00	0.00	BID	31.915	36.892	3.191.52	3.689.06	ST	497.54	0.00	3.191.52	0.00	0.00
05/14/2012	01/29/2013	100.00	0.00	BID	31.915	35.737	3.191.52	3.573.66	ST	382.14	0.00	3.191.52	0.00	0.00
06/18/2012	02/05/2013	600.00	0.00	MCO	36.092	47.670	21.655.26	28.601.44	ST	6.946.18	0.00	21.655.26	0.00	0.00
03/26/2012	03/25/2013	150.00	0.00	DOV	63.242	72.341	9.486.31	10.650.98	ST	1,364.67	0.00	9.486.31	0.00	0.00
09/25/2012	04/12/2013	150.00	0.00	BMY	34.139	41.401	5.120.80	6.210.03	ST	1,089.23	0.00	5,120.80	0.00	0.00
ST - TERM		6.045.00					218.680.86	211.040.80	ST	-7,640.06	0.00	218.680.86	0.00	0.00
TOTAL							1.459.51	1.533.24	LT	0.00	73.73	1.459.51	0.00	0.00
03/15/2011	07/02/2012	75.00	0.00	GE	19.460	20.444	2.259.16	3.830.30	LT	0.00	1,571.14	2,259.16	0.00	0.00
04/14/2011	07/02/2012	125.00	0.00	LEN	18.073	30.643	15.124.23	13.925.94	LT	0.00	-1,198.29	15,124.23	0.00	0.00
05/19/2011	07/16/2012	150.00	0.00	XXS019989	100.828	92.840	10.095.72	9.283.96	LT	0.00	-811.76	10,095.72	0.00	0.00
05/18/2011	07/16/2012	100.00	0.00	XXS019988	100.957	92.840	2.919.02	3.007.08	LT	0.00	88.06	2,919.02	0.00	0.00
03/15/2011	07/20/2012	150.00	0.00	GE	19.460	20.048	5.340.00	5.367.36	LT	0.00	27.36	5,340.00	0.00	0.00
05/10/2011	09/05/2012	100.00	0.00	SIRO	53.400	53.675			LT	0.00			0.00	0.00

03/22/2011	09/05/2012	25.00	0.00	SIRO	48.949	53.675	1.223.73	1.341.84	LT	0.00	118.11	1.223.73	0.00	0.00	SIRONA DENTAL SYSTEMS INC
03/22/2011	09/06/2012	325.00	0.00	SIRO	48.949	54.419	15.908.44	17.665.94	LT	0.00	1.777.50	15.908.44	0.00	0.00	SIRONA DENTAL SYSTEMS INC
07/28/2011	10/01/2012	50.00	0.00	ADT	29.257	35.764	1.462.87	1.788.17	LT	0.00	325.30	1.462.87	0.00	0.00	ADT CORPORATIO
02/28/2011	10/01/2012	150.00	0.00	DHR	50.537	56.567	7.580.49	8.484.81	LT	0.00	904.32	7.580.49	0.00	0.00	N COM DANAHAR CORP
01/14/2011	10/18/2012	50.00	0.00	MCD	73.887	93.065	3.694.36	4.653.15	LT	0.00	958.79	3.694.36	0.00	0.00	MCDONALDS CORP
05/04/2011	10/26/2012	100.00	0.00	COG	26.588	47.106	2.658.81	4.710.51	LT	0.00	2.051.70	2.658.81	0.00	0.00	CABOT OIL & GAS CORP
08/25/2011	10/26/2012	150.00	0.00	VAR	54.100	67.222	8.115.04	10.083.04	LT	0.00	1.968.00	8.115.04	0.00	0.00	VARIAN MEDICAL SYSTEMS INC
07/28/2011	11/01/2012	23.00	0.00	PNR	34.785	44.624	800.06	1.026.33	LT	0.00	226.27	800.06	0.00	0.00	***PENTAIR LTD SHS
04/04/2011	12/06/2012	100.00	0.00	NVS	54.535	62.420	5.453.45	6.241.82	LT	0.00	788.37	5.453.45	0.00	0.00	***NOVARTIS AG-SPONSOR
01/25/2011	12/06/2012	20.00	0.00	PCP	142.335	182.735	2.846.71	3.654.61	LT	0.00	807.90	2.846.71	0.00	0.00	ED ADR PRECISION CASTPARTS CORP
02/03/2011	12/06/2012	55.00	0.00	PCP	142.588	182.735	7.842.36	10.050.17	LT	0.00	2.207.81	7.842.36	0.00	0.00	PRECISION CASTPARTS CORP
04/04/2011	01/23/2013	100.00	0.00	NVS	54.535	67.908	5.453.45	6.790.64	LT	0.00	1.337.19	5.453.45	0.00	0.00	***NOVARTIS AG-SPONSOR
03/23/2012	03/25/2013	200.00	0.00	DOV	62.186	72.341	12.439.28	14.467.98	LT	0.00	2.028.70	12.439.28	0.00	0.00	ED ADR DOVER CORP
01/14/2011	04/12/2013	50.00	0.00	MCD	73.887	103.381	3.694.37	5.168.93	LT	0.00	1.474.56	3.694.37	0.00	0.00	MCDONALDS CORP
03/19/2012	04/18/2013	300.00	0.00	PEP	64.739	82.209	19.421.55	24.662.17	LT	0.00	5.240.62	19.421.55	0.00	0.00	PEPSICO INC
09/30/2011	04/29/2013	150.00	0.00	DIS	30.343	62.997	4.551.52	9.449.35	LT	0.00	4.897.83	4.551.52	0.00	0.00	WALT DISNEY CO HOLDING CO
05/17/2012	06/03/2013	275.00	0.00	CVX	100.484	123.401	27.633.14	33.934.65	LT	0.00	6.301.51	27.633.14	0.00	0.00	CHEVRON CORPORATIO
03/30/2012	06/04/2013	175.00	0.00	DNKN	29.500	41.027	5.162.50	7.179.58	LT	0.00	2.017.08	5.162.50	0.00	0.00	DUNKIN BRANDS GROUP INC
01/06/2012	06/04/2013	250.00	0.00	LTD	38.944	51.924	9.735.97	12.980.77	LT	0.00	3.244.80	9.735.97	0.00	0.00	L BRANDS INC
03/30/2012	06/07/2013	50.00	0.00	DNKN	29.500	41.176	1.475.00	2.058.76	LT	0.00	583.76	1.475.00	0.00	0.00	DUNKIN BRANDS GROUP INC

04/20/2012	06/21/2013	50.00	0.00	NVS	** NOVARTIS AG-SPONSOR	56 407	69 772	2 820 35	3 488 55	LT	0.00	668 20	2 820 35	0.00	0.00
06/18/2012	06/21/2013	100.00	0.00	ESRX	ED ADR EXPRESS	53 813	61 585	5 381 29	6 158 35	LT	0.00	777 06	5 381 29	0.00	0.00
06/18/2012	06/21/2013	45.00	0.00	PCP	SCRIPTS HLDG CO COM	169 360	211 707	7 621 18	9 526 64	LT	0.00	1 905 46	7 621 18	0.00	0.00
LT - TERM		3 493.00							242,534.64	LT	0.00	42,361.08	200 173.56	0.00	0.00
TOTAL		9 538.00							418 854.42		-7 640.06	42,361.08	418 854.42	0.00	0.00
SECTION															
TOTAL															

EQUITIES - NONCOVERED

Purchase Date	Close Date	Quantity	Cost	Symbol	Description	Unit	Price	Cost	Market Price	Gain/Loss	Market Value	Gain/Loss	Market Value	Gain/Loss	Market Value
10/03/2008	07/02/2012	25.00	0.00	GE	GENERAL ELECTRIC CO		22 429	20 444	511.08	0.00	-49.65	560.73	0.00	0.00	0.00
10/14/2008	07/11/2012	100.00	0.00	PX	PRAXAIR INC		68 837	106 806	10,680.38	0.00	3 796.71	6 883.67	0.00	0.00	0.00
01/20/2010	07/12/2012	600.00	0.00	JPMPRZCL	JPMORGAN CHASE CAP XXXVI 8% SER Z FIXED TO FLT CAP SECS		27 300	25 000	15 000.00	0.00	-1,380.00	16 380.00	0.00	0.00	0.00
01/14/2010	07/16/2012	25.00	0.00	CHD	CHURCH & DWMIGHT CO		31 157	58 110	1 452.72	0.00	673.80	778.92	0.00	0.00	0.00
10/22/2009	07/20/2012	75.00	0.00	GE	GENERAL ELECTRIC CO		15 282	20 048	1 503.54	0.00	357.39	1,146.15	0.00	0.00	0.00
10/22/2009	07/24/2012	50.00	0.00	GE	GENERAL ELECTRIC CO		15 282	20 059	1,002.91	0.00	238.81	764.10	0.00	0.00	0.00
12/02/2010	09/05/2012	25.00	0.00	LUX	LUXOTTICA GROUP SPA SPONSORED		30 372	37 096	927.37	0.00	168.06	759.31	0.00	0.00	0.00
06/04/2009	09/05/2012	275.00	0.00	ESRX	EXPRESS SCRIPTS HLDG CO COM		30 500	62 902	17 297.72	0.00	8 910.22	8 387.50	0.00	0.00	0.00
06/05/2009	09/05/2012	50.00	0.00	ESRX	EXPRESS SCRIPTS HLDG CO COM		31 062	62 902	3 145.04	0.00	1,591.93	1,553.11	0.00	0.00	0.00
08/20/2009	10/01/2012	213.00	0.00	ADT	ADT CORPORATIO N COM		20 405	35 764	7 617.62	0.00	3 271.37	4 346.25	0.00	0.00	0.00
12/02/2010	10/01/2012	12.00	0.00	ADT	ADT CORPORATIO N COM		27 238	35 764	429.16	0.00	102.31	328.85	0.00	0.00	0.00

06/27/2007	10/01/2012	25 00	0 00	DHR	DANAHER CORP	36 809	56 567	920 23	1 414 13	LT	0 00	493 90	920 23	0 00
01/07/2009	10/15/2012	125 00	0 00	APA	APACHE CORP	82 779	85 122	10 347 32	10 640 03	LT	0 00	292 71	10 347 32	0 00
04/20/2009	10/18/2012	25 00	0 00	ROP	ROPER INDUSTRIES INC NEW	41 129	110 355	1 028 23	2 758 82	LT	0 00	1 730 59	1 028 23	0 00
12/30/2010	10/22/2012	100 00	0 00	ABT	ABBOTT LABORATORIE S	47 558	65 708	4 755 75	6 570 62	LT	0 00	1 814 87	4 755 75	0 00
04/18/2009	10/22/2012	225 00	0 00	ABT	ABBOTT LABORATORIE S	42 567	65 708	9 577 47	14 783 89	LT	0 00	5 206 42	9 577 47	0 00
08/06/2009	10/26/2012	25 00	0 00	VAR	VARIAN MEDICAL SYSTEMS INC	35 535	67 222	888 39	1 680 51	LT	0 00	792 12	888 39	0 00
08/20/2009	11/01/2012	103 00	0 00	PNR	---PENTAIR LTD SHS	23 078	44 624	2,377 00	4 596 16	LT	0 00	2 219 16	2,377 00	0 00
12/02/2010	11/01/2012	5 00	0 00	PNR	---PENTAIR LTD SHS	35 752	44 624	178 76	223 11	LT	0 00	44 35	178 76	0 00
08/07/2009	12/06/2012	40 00	0 00	EW	EDWARDS LIFESCIENCES CORP	31 944	90 652	1 277 76	3 625 00	LT	0 00	2 348 24	1 277 76	0 00
10/07/2010	12/06/2012	550 00	0 00	MCO	MOODY'S CORP	26 388	49 281	14 513 52	27 104 00	LT	0 00	12,590 48	14 513 52	0 00
01/07/2009	12/20/2012	135 00	0 00	APA	APACHE CORP	82 779	79 761	11 175 11	10 767 53	LT	0 00	-407 58	11 175 11	0 00
12/30/2010	12/27/2012	125 00	0 00	LUX	---LUXOTTICA GROUP SPA SPONSORED ADR	30 372	40 848	3 796 55	5 105 89	LT	0 00	1 309 34	3 796 55	0 00
04/08/2008	01/03/2013	75 00	0 00	ORCL	ORACLE CORP	20 028	34 448	1 502 11	2 583 51	LT	0 00	1,081 40	1 502 11	0 00
01/12/2005	01/03/2013	125 00	0 00	ORCL	ORACLE CORP	13 321	34 448	1 683 82	4 305 86	LT	0 00	2 622 04	1 683 82	0 00
06/07/2007	01/09/2013	125 00	0 00	DHR	DANAHER CORP	36 039	59 675	4 504 86	7 455 26	LT	0 00	2,954 40	4 504 86	0 00
06/27/2007	01/09/2013	25 00	0 00	DHR	DANAHER CORP	36 809	59 675	920 23	1 491 85	LT	0 00	571 62	920 23	0 00
10/07/2010	01/14/2013	50 00	0 00	MCO	MOODY'S CORP	26 388	53 349	1 319 41	2 667 38	LT	0 00	1 347 97	1 319 41	0 00
10/07/2010	01/15/2013	50 00	0 00	MCO	MOODY'S CORP	26 388	53 305	1 319 41	2 665 20	LT	0 00	1,345 79	1 319 41	0 00
10/07/2010	02/05/2013	25 00	0 00	MCO	MOODY'S CORP	26 386	47 670	659 71	1 191 73	LT	0 00	532 02	659 71	0 00
08/07/2009	03/28/2013	260 00	0 00	EW	EDWARDS LIFESCIENCES CORP	31 944	82 122	8 305 43	21 351 24	LT	0 00	13,045 81	8,305 43	0 00
07/01/2005	04/12/2013	50 00	0 00	MCD	MCDONALDS CORP	28 030	103 381	1 409 00	5 168 93	LT	0 00	3 759 93	1 409 00	0 00
10/07/2010	05/31/2013	25 00	0 00	AXP	AMERICAN EXPRESS COMPANY	37 939	76 537	948 48	1 913 40	LT	0 00	984 92	948 48	0 00

LT - TERM	3 743 00			189,636 59	LT	0 00	74,341 45	125 295 14	0 00	0 00
TOTAL	3 743 00			189,636 59		0 00	74,341 45	125 295 14	0 00	0 00
SECTION										
TOTAL										

FIXED INCOME - NONCOVERED

Account No	Close Date	Orig Date	Symbol	Description	Unit	Total Cost	Net Amoun	Index	St	Book Cost	Dis	Cost
04/18/2012	08/17/2012	0 00	20825CAS3	CONOCOPHILL	107 125	105 825	2 116 49	ST	-26 01	0 00	2 142 50	0 00
				IPS PIC								
				08/17/12 @								
				105 824								
				4 75000%								
				2/1/2014								
				20825CAS3								
				FA_01								
04/18/2012	08/17/2012	8 000 00	0 00	20825CAS3	107 125	105 825	8 465 96	ST	-104 04	0 00	8 570 00	0 00
				CONOCOPHILL								
				IPS PIC								
				08/17/12 @								
				105 824								
				4 75000%								
				2/1/2014								
				20825CAS3								
				FA_01								
08/13/2012	12/07/2012	15 000 00	0 00	369550AN8	106 878	105 177	15 776 55	ST	-255 15	0 00	16 031 70	0 00
				GENERAL								
				DYNAMICS								
				CORP NT								
				5 25000%								
				02/01/2014								
				369550AN8								
				CALLED @								
				105 18								
				12/07/12								
				FA_01								
05/25/2012	12/07/2012	15 000 00	0 00	369550AN8	107 634	105 177	15 776 55	ST	-368 55	0 00	16 145 10	0 00
				GENERAL								
				DYNAMICS								
				CORP NT								
				5 25000%								
				02/01/2014								
				369550AN8								
				CALLED @								
				105 18								
				12/07/12								
				FA_01								
ST - TERM	40,000 00						42 135 55	ST	-753 75	0 00	42 889 30	0 00
TOTAL												

10/25/2004	07/16/2012	106.27	0.00	31283KDR6	FEDL HOME LOAN MTG	103.672	1.000	110.17	106.27	LT	0.00	-3.90	110.17	0.00	0.00
					CORP#G11012										
					5.50000%										
					02/01/2015										
02/16/2005	07/25/2012	70.34	0.00	31388XSB1	31283KDR6 FNMA GTD PASS THRU POOL 618014	101.648	1.000	71.50	70.34	LT	0.00	-1.16	71.50	0.00	0.00
					ISSUE DATE										
					01/01/2002										
					5.00000%										
					02/01/2017										
07/22/2009	07/27/2012	10.000.00	0.00	05531FAC7	31388XSB1 BB&T CORP SR MEDIUM	99.961	100.000	9.996.10	10.000.00	LT	0.00	3.90	9.996.10	0.00	0.00
					TERM NTS										
					3.65000%										
					7/27/2012										
					05531FAC7										
					JJ_12										
10/26/2004	08/15/2012	105.27	0.00	31283KDR6	FEDL HOME LOAN MTG	103.672	1.000	109.14	105.27	LT	0.00	-3.67	109.14	0.00	0.00
					CORP#G11012										
					5.50000%										
					02/01/2015										
02/16/2005	08/27/2012	112.14	0.00	31388XSB1	31283KDR6 FNMA GTD PASS THRU POOL 618014	101.648	1.000	113.99	112.14	LT	0.00	-1.85	113.99	0.00	0.00
					ISSUE DATE										
					01/01/2002										
					5.00000%										
					02/01/2017										
10/26/2004	09/17/2012	62.07	0.00	31283KDR6	31388XSB1 FEDL HOME LOAN MTG	103.672	1.000	64.35	62.07	LT	0.00	-2.28	64.35	0.00	0.00
					CORP#G11012										
					5.50000%										
					02/01/2015										
02/16/2005	09/25/2012	93.83	0.00	31388XSB1	31283KDR6 FNMA GTD PASS THRU POOL 618014	101.648	1.000	95.38	93.83	LT	0.00	-1.55	95.38	0.00	0.00
					ISSUE DATE										
					01/01/2002										
					5.00000%										
					02/01/2017										
					31388XSB1										

06/24/2011	10/05/2012	10 000 00	0 00	629491AA9	NYSE	107 123	103 298	10 712 30	10 329 80	LT	0 00	-352.50	10 712 30	0 00	0 00
					EURONEXT										
					NYX 4 8										
					06/28/13										
					4 80000%										
					628/2013										
					628491AA9										
					JD_28										
10/26/2004	10/15/2012	93 22	0 00	31283KDR6	FEDL HOME	103 672	1 000	96 64	93 22	LT	0 00	-3 42	96 64	0 00	0 00
					LOAN MTG										
					CORP#G11012										
					5 50000%										
					02/01/2015										
					31283KDR6										
02/16/2005	10/25/2012	110 94	0 00	31388XS81	FNMA GTD	101 648	1 000	112 77	110 94	LT	0 00	-1 83	112 77	0 00	0 00
					PASS THRU										
					POOL 618014										
					ISSUE DATE										
					01/01/2002										
					5 00000%										
					02/01/2017										
					31388XS81										
06/26/2006	11/13/2012	10,000 00	0 00	002824A17	ABBOTT LABS	98 478	118 348	9 847 80	11 834 80	LT	0 00	1 987 00	9 847 80	0 00	0 00
					NT 5 87500%										
					05/15/2016										
					06/28/17										
					CALLED @										
					118 09										
					12/10/12										
					MN_15										
10/26/2004	11/15/2012	60 13	0 00	31283KDR6	FEDL HOME	103 672	1 000	62 34	60 13	LT	0 00	-2 21	62 34	0 00	0 00
					LOAN MTG										
					CORP#G11012										
					5 50000%										
					02/01/2015										
					31283KDR6										
02/16/2005	11/26/2012	68 05	0 00	31388XS81	FNMA GTD	101 648	1 000	69 17	68 05	LT	0 00	-1 12	69 17	0 00	0 00
					PASS THRU										
					POOL 618014										
					ISSUE DATE										
					01/01/2002										
					5 00000%										
					02/01/2017										
					31388XS81										
10/26/2004	12/17/2012	59 60	0 00	31283KDR6	FEDL HOME	103 672	1 000	61 79	59 60	LT	0 00	-2 19	61 79	0 00	0 00
					LOAN MTG										
					CORP#G11012										
					5 50000%										
					02/01/2015										
					31283KDR6										

02/16/2005	12/26/2012	136 21	0 00	31388XSB1	FNMA GTD PASS THRU POOL 618014 ISSUE DATE 01/01/2002 5 00000% 02/01/2017 31388XSB1	101 648	1 000	138 46	136 21	LT	0 00	-2 25	138 46	0 00	0 00
01/06/2010	01/11/2013	15 000 00	0 00	2515A0745	***DEUTSCHE BK AG GLOBAL MEDIUM TERM NTS 2 37500% 01/11/2013 2515A0745 JJ_11	99 894	100 000	14 984 10	15 000 00	LT	0 00	15 90	14 984 10	0 00	0 00
10/26/2004	01/15/2013	58 11	0 00	31283KDR6	FEDL HOME LOAN MTG CORP#G11012 5 50000% 02/01/2015 31283KDR6	103 672	1 000	60 24	58 11	LT	0 00	-2 13	60 24	0 00	0 00
02/16/2005	01/25/2013	216 43	0 00	31388XSB1	FNMA GTD PASS THRU POOL 618014 ISSUE DATE 01/01/2002 5 00000% 02/01/2017 31388XSB1	101 648	1 000	220 00	216 43	LT	0 00	-3 57	220 00	0 00	0 00
10/26/2004	02/15/2013	104 51	0 00	31283KDR6	FEDL HOME LOAN MTG CORP#G11012 5 50000% 02/01/2015 31283KDR6	103 672	1 000	108 35	104 51	LT	0 00	-3 84	108 35	0 00	0 00
02/16/2005	02/25/2013	172 06	0 00	31388XSB1	FNMA GTD PASS THRU POOL 618014 ISSUE DATE 01/01/2002 5 00000% 02/01/2017 31388XSB1	101 648	1 000	174 90	172 06	LT	0 00	-2 84	174 90	0 00	0 00
10/26/2004	03/15/2013	66 12	0 00	31283KDR6	FEDL HOME LOAN MTG CORP#G11012 5 50000% 02/01/2015 31283KDR6	103 672	1 000	68 55	66 12	LT	0 00	-2 43	68 55	0 00	0 00

02/16/2005	03/25/2013	194.72	0.00	31388XSB1	FNMA GTD PASS THRU POOL 618014 ISSUE DATE 01/01/2002 5.00000%	101.648	1.000	197.93	194.72	LT	0.00	-3.21	197.93	0.00	0.00
05/10/2007	04/15/2013	15,000.00	0.00	037411AT2	31388XSB1 APACHE CORP 5.25000%	100.072	100.000	15,010.86	15,000.00	LT	0.00	-10.86	15,014.40	0.00	0.00
10/26/2004	04/15/2013	49.89	0.00	31283KDR6	037411AT2 AD_15 FEDL HOME LOAN MTG CORP#G11012 5.50000%	103.672	1.000	51.72	49.89	LT	0.00	-1.83	51.72	0.00	0.00
02/16/2005	04/25/2013	58.26	0.00	31388XSB1	31283KDR6 FNMA GTD PASS THRU POOL 618014 ISSUE DATE 01/01/2002 5.00000%	101.648	1.000	59.22	58.26	LT	0.00	-0.96	59.22	0.00	0.00
10/29/2010	05/01/2013	15,000.00	0.00	92976WBK1	31388XSB1 WACHOVIA CORP GLOBAL MEDIUM TERM SR NTS 2.06850% 1/2013	102.889	100.000	15,433.35	15,000.00	LT	0.00	-433.35	15,433.35	0.00	0.00
05/28/2008	05/02/2013	15,000.00	0.00	0258MOCW7	92976WBK1 AMERICAN EXPRESS CR CORP MEDIUM TERM NTS 5.87500%	89.657	100.000	14,948.55	15,000.00	LT	0.00	51.45	14,948.55	0.00	0.00
11/05/2010	05/14/2013	10,000.00	0.00	61747YC06	0258MOCW7 MN_02 MORGAN STANLEY GLOBAL MED TERM INT FRN QTLY US LIB +250 2.79210% 4/2013	102.919	100.000	10,291.90	10,000.00	LT	0.00	-291.90	10,291.90	0.00	0.00

SECTION 40 82 0 00 40 82 0 00 40 82 0 00 0 00

Indicators

- ST - Short Term
- LT - Long Term
- WO - Written Option
- SS - Short Sale
- P - Purchase includes option premium
- S - Sale includes option premium
- B - Purchase & sale include option premium

PLEASE CONSULT YOUR TAX ADVISOR REGARDING THE USE OF THIS REPORT

This supplemental report is provided for informational purposes only. Please refer to your account statements or other information provided by your custodian for the official records of your account(s). This is not a substitute Form 1099 and you should not provide this report to the Internal Revenue Service. This report is not an official tax record for your account. Please contact your custodian with any questions regarding tax reporting information and/or the methodology used to calculate and report associated gain/loss computations.

Pursuant to Treasury regulations effective for the 2011 tax year, your custodian will be sending certain additional information regarding your security sales to the IRS on Form 1099-B. You will receive Form 1099-B from your custodian with information pertaining to security sales. The Form 1099-B may contain additional tax reporting information necessary to complete your tax return. Please see Form 1099-B for disallowed losses due to wash sales (Box S) and other pertinent information which may not be included in this summary.

The sale of securities acquired prior to January 1, 2011, will be reported on Form 1099-B as "noncovered" securities and, as a result, the Form 1099-B sent to you and the IRS will not include any tax cost information.

The tax cost and gain information for the sale of "covered securities" will be reported to the IRS on Form 1099-B.

LT is the designation for a gain/loss on a security held for more than twelve (12) months. ST is the designation for a gain/loss on a security held for twelve (12) months or less.

Transactions in this report are not adjusted for the following rules (if applicable):

- Internal Revenue Code
- SECTION 1091 - Wash Sales
- SECTION 1092 - Straddles
- SECTION 1239 - Constructive Sales
- SECTION 852(b)(4) - Mutual Fund (& Closed-End Fund) Transactions

Cloning transactions due to taxable merger involving cash and stock may be reflected differently on the above Capital Gains Schedule and on the Form 1099 you will or have received at the end of the year.

The cost basis used to determine Gains/Losses as listed in this report for Master Limited Partnerships (MLP), Original Issue Discount (OID) and certain municipal bonds may have

I am adjusted for reallocated income, gains, losses or return of capital for master limited partnership (MLP) holdings. please refer to the applicable Schedule K-1 for allocated income, gain, loss, deduction and credits as well as for information pertaining to gain or loss on disposition

For securities not purchased through Neuberger Berman but purchased elsewhere and later transferred in, you will need to supply relevant information to your tax advisor. It is your responsibility to ensure the accuracy of this information since Neuberger Berman has no knowledge of such assets cost basis

Exchange rates used to derive foreign exchange gains and losses may be provided from various outside sources and may not reflect realizable rates. Neuberger Berman does not warrant the accuracy of these sources and is not responsible for inaccuracies. Rates may also be subject to change without notice

Certain investments, such as Real Estate Investment Trusts, commonly known as REITs pay distributions throughout the year and reallocate these distributions at year-end as all or some of the following: Return of Capital, Short Term Gain, Long Term Gain and Regular Income. Due to this late reallocation, these entries may be posted to your account in the beginning of the following year resulting in a revised Capital Gains Schedule

Mortgage backed factors are updated on the 8th business day of the month

This report contains information supplied by third parties including but not limited to the client. This report is based upon information that we consider reliable, but we do not represent that it is accurate or complete and it should not be relied upon as such. Information contained herein should not be considered legal, tax, investment, financial or other professional advice. Neuberger Berman LLC and its employees do not provide tax or legal advice. You should consult your accountant, tax adviser and/or attorney for advice concerning your particular circumstances

IRS Circular 230 Disclosure

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Application for Extension of Time To File an Exempt Organization Return

OMB No 1545-1709

▶ File a separate application for each return.

- If you are filing for an **Automatic 3-Month Extension**, complete only **Part I** and check this box
- If you are filing for an **Additional (Not Automatic) 3-Month Extension**, complete only **Part II** (on page 2 of this form)

Do not complete Part II unless you have already been granted an automatic 3-month extension on a previously filed Form 8868

Electronic filing (e-file). You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit www.irs.gov/efile and click on *e-file for Charities & Nonprofits*

Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only

All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns

Type or print	Name of exempt organization or other filer, see instructions SANTA ROSA SYMPHONY ASSOCIATION	Employer identification number (EIN) or 94-6134075
File by the due date for filing your return. See instructions	Number, street, and room or suite no. If a P O box, see instructions 50 SANTA ROSA AVE., NO. #410	Social security number (SSN)
	City, town or post office, state, and ZIP code. For a foreign address, see instructions SANTA ROSA, CA 95404	

Enter the Return code for the return that this application is for (file a separate application for each return)

0 1

Application Is For	Return Code	Application Is For	Return Code
Form 990 or Form 990-EZ	01	Form 990-T (corporation)	07
Form 990-BL	02	Form 1041-A	08
Form 4720 (individual)	03	Form 4720	09
Form 990-PF	04	Form 5227	10
Form 990-T (sec. 401(a) or 408(a) trust)	05	Form 6069	11
Form 990-T (trust other than above)	06	Form 8870	12

JUDY BRUCE

- The books are in the care of ▶ **50 SANTA ROSA AVE #410 - SANTA ROSA, CA 95404**
Telephone No ▶ **707-546-7097** FAX No ▶ _____
- If the organization does not have an office or place of business in the United States, check this box
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) _____ If this is for the whole group, check this box . If it is for part of the group, check this box and attach a list with the names and EINs of all members the extension is for

1 I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until **FEBRUARY 15, 2014**, to file the exempt organization return for the organization named above. The extension is for the organization's return for:
 ▶ calendar year _____ or
 ▶ tax year beginning **JUL 1, 2012**, and ending **JUN 30, 2013**

2 If the tax year entered in line 1 is for less than 12 months, check reason: Initial return Final return
 Change in accounting period

3a If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions	3a	\$	0.
b If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit	3b	\$	0.
c Balance due. Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions	3c	\$	0.

Caution. If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

LHA For Privacy Act and Paperwork Reduction Act Notice, see instructions.

Form 8868 (Rev. 1-2013)