

FEB 28 2014

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**UNITED STATES HOUSE OF REPRESENTATIVES  
FINANCIAL DISCLOSURE STATEMENT**
**FORM B**

For use by candidates and new employees

Period covered: January 1, 2013 - Dec. 31, 2013
 LEGISLATIVE RESOURCE CENTER  
2014 MAR 10 PM 2:15

 Name: Thomas Stewart Poehler Daytime Telephone:

 OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

Filer Status	<input checked="" type="checkbox"/> Candidate for the House of Representatives	State: <u>OHIO</u>	Date of Election: <u>5/6/14</u>	Check if Amendment <input type="checkbox"/>	A \$200 penalty shall be assessed against any individual who files more than 30 days late.
	<input type="checkbox"/> New officer or employee	District: <u>8</u>	Employing Office: _____		

In all sections, please type or print clearly in blue or black ink.

**PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IV. Did you hold any reportable positions on or before the date of filing in the current calendar year or in the prior two years? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
II. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule II.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	V. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule V.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
III. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule III.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VI. Did you receive compensation of more than \$5,000 from a single source in the two prior years? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS**

TRUSTS — Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or a dependent child?

 Yes ☐ No ☒

EXEMPTION — Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.

 Yes ☐ No ☒

Name Thomas Stewart Poetter Page 2 of 5

**Exclude:** Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

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Name Thomas Stewart Peltier Page 3 of 5

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## Continuation Sheet (if needed)

Thomas Stewart Peltier

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# **SCHEDULE III — LIABILITIES**

Name Thomas Stewart Poethe

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Report liabilities of over \$10,000 owed to any one creditor **at any time** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the reporting period. **Exclude:** Any mortgage on your personal residence (unless there is rental income); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report **revolving charge accounts** (i.e., credit cards) only if the balance at the close of the previous calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred mo/year	Type of Liability	Amount of Liability										
				A	B	C	D	E	F	G	H	I	J	K
				\$10,001— \$15,000	\$15,001— \$50,000	\$50,001— \$100,000	\$100,001— \$250,000	\$250,001— \$500,000	\$500,001— \$1,000,000	\$1,000,001— \$5,000,000	\$5,000,001— \$25,000,000	\$25,000,001— \$50,000,000	Over \$50,000,000	Spouse/DC Liability over \$1,000,000
	Example: First Bank of Wilmington, DE	May 1998	Mortgage on 123 Main Street, Dover, DE				X							

# **SCHEDULE IV — POSITIONS**

Report all positions, compensated or uncompensated, held on or before the date of filing during the current calendar year and in the two prior years as an officer, director, trustee, partner, proprietor, representative, employee, or consultant of any corporation, company, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

**Exclude:** Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as a political party or campaign organization); and positions solely of an honorary nature.

Position	Name of Organization
Representative	Miami Little League Board of Directors



THOMAS S POETTER &  
CHRISTINE C POETTER  
[REDACTED]  
OXFORD OH 45056-8923



**You already know the importance of developing a retirement strategy, but did you know that an Individual Retirement Account can play a vital role in helping to complete that strategy? Opening and contributing to an IRA can potentially move you closer to your retirement goals. If you have an IRA elsewhere, consider transferring it to Edward Jones so we can give it the same personalized attention as your other accounts.**

**\$84,488.17**

<b>1 Month Ago</b>	<b>\$82,903.94</b>
<b>1 Year Ago</b>	<b>\$67,621.01</b>
<b>3 Years Ago</b>	<b>\$0.00</b>

	This Period	This Year
Beginning value	\$82,903.94	\$67,621.01
Assets added to account	0.00	0.00
Income	1,808.67	2,753.15
Assets withdrawn from account	0.00	0.00
Fees and charges	-87.23	-961.12
Change in value	-137.21	15,075.13
<b>Ending Value</b>	<b>\$84,488.17</b>	

### Advisory Solutions Fund Model

Cash, Money Market funds & Insured Bank Deposit	Current Yield/Rate	Beginning Balance	Deposits	Withdrawals	Ending Balance
Money Market	0.01%*	\$15.40	\$3.63	—	\$19.03

\* The average yield on the money market fund for the past seven days.

Mutual Funds	Price	Quantity	Cost Basis	Unrealized Gain/Loss	Value
Alger Small/Mid Cap Growth	18.96	134.626	2,182.47	370.04	2,552.51
Artisan Intl Value	36.77	140.159	3,723.46	1,430.19	5,153.65
Bridge Builder Bond Fund	9.87	875.651	8,742.01	-99.33	8,642.68
Columbia Small Cap Value II	18.51	140.272	2,186.04	410.39	2,596.43
Delaware US Growth	24.94	178.481	3,352.46	1,098.86	4,451.32
Dodge & Cox Income	13.53	411.248	5,543.96	20.23	5,564.19
Dodge & Cox Stock	168.87	25.839	3,048.93	1,314.50	4,363.43
Europacific Growth	48.80	88.713	3,226.92	1,102.27	4,329.19
Fundamental Investors	51.95	100.624	4,019.82	1,207.60	5,227.42
Harbor Capital Appreciation	56.69	80.037	3,207.26	1,330.04	4,537.30
Hotchkis & Wiley Mid Cap Val	40.61	81.28	2,145.56	1,155.22	3,300.78
Invesco Comstock	23.77	142.881	2,461.99	934.29	3,396.28



## Investment and Other Activity (continued)

Date	Description	Quantity	Amount
12/11	Reinvestment into MFS Value @ 32.34	0.911	-29.47
12/11	Reinvestment into MFS Value @ 32.34	2.399	-77.58
12/11	Advisory Solutions Program Fee		-90.86
12/13	Short Term Capital Gain on JP Morgan Fed Mon Mkt on 1,202.71 Shares		0.02
12/13	Reinvestment into JP Morgan Fed Mon Mkt @ 1.00	0.02	-0.02
12/16	Dividend on Hotchkis & Wiley Mid Cap Val on 81.019 Shares @ 0.125		10.17
12/16	Reinvestment into Hotchkis & Wiley Mid Cap Val @ 38.99	0.261	-10.17
12/16	Dividend on Invesco Comstock on 142.356 Shares @ 0.084		11.96
12/16	Reinvestment into Invesco Comstock @ 22.76	0.525	-11.96
12/17	Long Term Capital Gain on Rainier Mid Cap Equity on 44.202 Shares @ 2.61		115.38
12/17	Short Term Capital Gain on Rainier Mid Cap Equity on 44.202 Shares @ 2.182		96.48
12/17	Reinvestment into Rainier Mid Cap Equity @ 51.19	1.885	-96.48
12/17	Reinvestment into Rainier Mid Cap Equity @ 51.19	2.254	-115.38
12/18	Fee Offset Less Admin Fee		3.63
12/18	Long Term Capital Gain on Harbor Capital Appreciation on 77.517 Shares @ 1.729		134.03
12/18	Dividend on Harbor Capital Appreciation on 77.517 Shares @ 0.045		3.50
12/18	Reinvestment into Harbor Capital Appreciation @ 54.57	0.064	-3.50
12/18	Reinvestment into Harbor Capital Appreciation @ 54.57	2.456	-134.03
12/18	Dividend on T. Rowe Price Intl Discovery on 44.868 Shares @ 0.62		27.82
12/18	Short Term Capital Gain on T. Rowe Price Intl Discovery on 44.868 Shares @ 0.51		22.88
12/18	Long Term Capital Gain on T. Rowe Price Intl Discovery on 44.868 Shares @ 0.41		18.40
12/18	Reinvestment into T. Rowe Price Intl Discovery @ 53.76	0.342	-18.40
12/18	Reinvestment into T. Rowe Price Intl Discovery @ 53.76	0.426	-22.88
12/18	Reinvestment into T. Rowe Price Intl Discovery @ 53.76	0.517	-27.82
12/19	Long Term Capital Gain on Alger Small/Mid Cap Growth on 115.81 Shares @ 2.55		295.40
12/19	Short Term Capital Gain on Alger Small/Mid Cap Growth on 115.81 Shares @ 0.454		52.68
12/19	Reinvestment into Alger Small/Mid Cap Growth @ 18.50	2.848	-52.68
12/19	Reinvestment into Alger Small/Mid Cap Growth @ 18.50	15.968	-295.40
12/19	Long Term Capital Gain on Fundamental Investors on 98.341 Shares @ 0.915		89.98
12/19	Dividend on Fundamental Investors on 98.341 Shares @ 0.262		25.83
12/19	Reinvestment into Fundamental Investors @ 50.72	0.509	-25.83
12/19	Reinvestment into Fundamental Investors @ 50.72	1.774	-89.98
12/19	Dividend on T Rowe Price Instl Lrge Cp Gr on 100.982 Shares @ 0.01		1.01
12/19	Reinvestment into T Rowe Price Instl Lrge Cp Gr @ 26.67	0.038	-1.01
12/19	Dividend on Oppenheimer Intl Growth on 154.726 Shares @ 0.353		54.75
12/19	Reinvestment into Oppenheimer Intl Growth @ 36.67	1.493	-54.75
12/20	Dividend on Dodge & Cox Income on 407.782 Shares @ 0.115		46.89
12/20	Reinvestment into Dodge & Cox Income @ 13.53	3.466	-46.89



## Summary of Assets (continued)

Mutual Funds	Price	Quantity	Cost Basis	Unrealized Gain/Loss	Value
JP Morgan Fed Mon Mkt	1.00	1,202.73	—	—	1,202.73
MFS Value	33.36	179.696	4,495.63	1,499.03	5,994.66
Munder Mid Cap Core Growth	43.00	79.658	2,525.70	899.59	3,425.29
Mutual Global Discovery CI Z	33.72	174.164	5,434.13	438.68	5,872.81
Oppenheimer Intl Growth	38.16	156.219	4,786.11	1,175.21	5,961.32
Rainier Mid Cap Equity	53.18	48.341	1,977.29	593.48	2,570.77
T Rowe Price Instl Lrge Cp Gr	27.26	101.02	2,151.93	601.88	2,753.81
T. Rowe Price Intl Discovery	55.74	46.153	1,831.73	740.84	2,572.57
<b>Total Account Value</b>					<b>\$84,488.17</b>

## Summary of Realized Gain/Loss

	This Year
Short Term (assets held 1 year or less)	\$43.60
Long Term (held over 1 year)	1,397.07
<b>Total</b>	<b>\$1,440.67</b>

Summary totals may not include proceeds from uncosted securities or certain corporate actions.

## Investment and Other Activity

Date	Description	Quantity	Amount
12/02	Dividend on Bridge Builder Bond Fund on 874.453 Shares at Daily Accrual Rate		\$11.92
12/02	Reinvestment into Bridge Builder Bond Fund @ 9.95	1.198	-11.92
12/09	Dividend on Delaware US Growth on 178.343 Shares @ 0.005		0.89
12/09	Reinvestment into Delaware US Growth @ 24.13	0.037	-0.89
12/10	Long Term Capital Gain on Columbia Small Cap Value II on 128.64 Shares @ 1.455		187.20
12/10	Short Term Capital Gain on Columbia Small Cap Value II on 128.64 Shares @ 0.086		11.14
12/10	Dividend on Columbia Small Cap Value II on 128.64 Shares @ 0.082		10.57
12/10	Reinvestment into Columbia Small Cap Value II @ 17.96	0.589	-10.57
12/10	Reinvestment into Columbia Small Cap Value II @ 17.96	0.62	-11.14
12/10	Reinvestment into Columbia Small Cap Value II @ 17.96	10.423	-187.20
12/11	Redeemed JP Morgan Fed Mon Mkt @ 1.00	-90.86	90.86
12/11	Long Term Capital Gain on MFS Value on 175.63 Shares @ 0.441		77.58
12/11	Dividend on MFS Value on 175.63 Shares @ 0.167		29.47
12/11	Short Term Capital Gain on MFS Value on 175.63 Shares @ 0.139		24.45
12/11	Reinvestment into MFS Value @ 32.34	0.756	-24.45





**Investment and Other Activity (continued)**

Date	Description	Quantity	Amount
12/20	Dividend on Dodge & Cox Stock on 25.769 Shares @ 0.445		11.47
12/20	Reinvestment into Dodge & Cox Stock @ 164.73	0.07	-11.47
12/23	Long Term Capital Gain on Mutual Global Discovery CI Z on 164.076 Shares @ 1.305		214.22
12/23	Dividend on Mutual Global Discovery CI Z on 164.076 Shares @ 0.54		88.72
12/23	Short Term Capital Gain on Mutual Global Discovery CI Z on 164.076 Shares @ 0.191		31.37
12/23	Reinvestment into Mutual Global Discovery CI Z @ 33.14	0.947	-31.37
12/23	Reinvestment into Mutual Global Discovery CI Z @ 33.14	2.677	-88.72
12/23	Reinvestment into Mutual Global Discovery CI Z @ 33.14	6.464	-214.22
12/27	Dividend on Europacific Growth on 87.916 Shares @ 0.436		38.38
12/27	Reinvestment into Europacific Growth @ 48.13	0.797	-38.38
12/30	Dividend on Delaware US Growth on 178.38 Shares @ 0.014		2.50
12/30	Reinvestment into Delaware US Growth @ 24.81	0.101	-2.50
12/30	Long Term Capital Gain on Munder Mid Cap Core Growth on 78.218 Shares @ 0.744		58.26
12/30	Short Term Capital Gain on Munder Mid Cap Core Growth on 78.218 Shares @ 0.042		3.35
12/30	Reinvestment into Munder Mid Cap Core Growth @ 42.78	0.078	-3.35
12/30	Reinvestment into Munder Mid Cap Core Growth @ 42.78	1.362	-58.26

**Money Market Detail**

<b>Beginning Balance on Nov 30</b>					<b>\$15.40</b>
Date	Transaction	Description	Deposits	Withdrawals	Balance
12/19	Deposit		3.63		\$19.03
<b>Total</b>			<b>\$3.63</b>		
<b>Ending Balance on Dec 31</b>					<b>\$19.03</b>



FINANCIAL SERVICES

730 Third Avenue New York, NY 10017-3206

THOMAS S POETTER  
[REDACTED]  
OXFORD OH 45056-8923

## Quarterly Retirement Portfolio Statement

October 01, 2013 - December 31, 2013

**For**  
**THOMAS S POETTER**

### Customer Service

**Website:** [ttaa-cref.org](http://ttaa-cref.org)  
Automated 24-hour Information and  
Personal Assistance (Español disponible) **800 842-2252**  
Hearing Impaired (TTY phone users only) **800 842-2755**  
Monday through Friday, 8:00 a.m. - 10:00 p.m. (ET)  
Saturday, 9:00 a.m. - 6:00 p.m. (ET)

To view your most current account information, go to our website at [ttaa-cref.org](http://ttaa-cref.org) and log-in with your user ID and password or call our 24-hour automated system.

### Portfolio Summary

	This Period	Year-to-Date
<b>Beginning Balance</b>	<b>\$518,940.46</b>	<b>\$420,983.79</b>
Additions	6,525.03	25,713.32
Gain/Loss	47,902.92	126,671.30
<b>Ending Balance</b>	<b>\$573,368.41</b>	<b>\$573,368.41</b>

### Retirement Income Projection

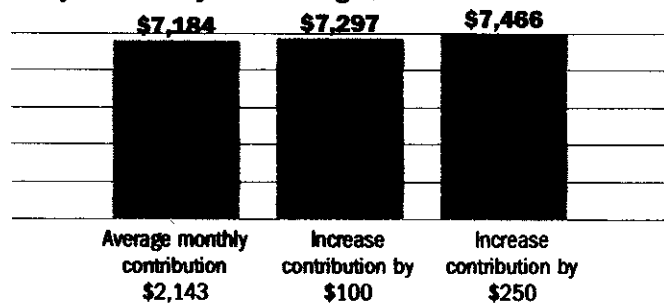
As part of your retirement savings planning, have you considered how much you need to retire? Saving a little more now can add up by the time you retire. **These charts are purely hypothetical and do not illustrate past or projected performance.**

#### What can you expect from Retirement Income?

Average Monthly Contribution	Monthly Contribution Increased by	Sample Lifetime Retirement Monthly Income at Age 65
\$2,143	\$0	\$7,184
\$2,243	\$100	\$7,297
\$2,393	\$250	\$7,466

To raise your savings rate or further personalize the retirement income projection, visit us online at [ttaa-cref.org](http://ttaa-cref.org) or call TIAA-CREF at 800-842-2252. Recent changes to your contribution amounts may not be reflected on this statement.

#### Example of Monthly Income at Age 65



### Message Board

Tax forms will be mailed and available online by January 31, 2014. To access online, log in at [ttaa-cref.org](http://ttaa-cref.org), click: **MANAGE MY PORTFOLIO / STATEMENTS & REPORTS / TAX REPORTING FORMS**. Please note that a Form 1099 will be generated only if you have a taxable transaction related to your account.

Please refer to the back of this statement for Glossary Terms.

# Quarterly Retirement Portfolio Statement

THOMAS S POETTER

October 01, 2013 - December 31, 2013

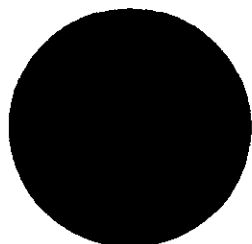
## Personalized Rate of Return

This Period  
Year-to-Date

9.2%  
29.3%

This figure is an estimate of the performance of the assets in your retirement portfolio, as reflected on this statement, that are maintained at TIAA-CREF during the period(s) specified. Past performance is not a guarantee of future results. Please refer to the Disclosures Section for more information.

## Asset Allocation Summary



If you are invested in more than one asset class, the Asset Allocation percentages may not be exact due to rounding.

Current Percent	Asset Class	Current Value
100%	Equities	\$573,368.41
100%	Total	\$573,368.41

## Activity Summary by Asset Class

Asset Class/ Investment	Beginning Balance as of 10/01/2013	Additions	Reductions	Gain/Loss	Ending Balance as of 12/31/2013
<b>Equities</b>					
CREF Stock	\$237,541.47	\$2,287.53	\$0.00	\$20,964.71	\$260,793.71
CREF Equity Index	168,550.39	3,093.75	0.00	16,891.05	188,535.19
CREF Global Equities	112,848.60	1,143.75	0.00	10,047.16	124,039.51
<b>Total Equities</b>	<b>\$518,940.46</b>	<b>\$6,525.03</b>	<b>\$0.00</b>	<b>\$47,902.92</b>	<b>\$573,368.41</b>
<b>Total Account Value</b>	<b>\$518,940.46</b>	<b>\$6,525.03</b>	<b>\$0.00</b>	<b>\$47,902.92</b>	<b>\$573,368.41</b>

**Additions and Reductions:** Additions include your contributions, rollovers and direct transfers into your account. Reductions include withdrawals, rollovers and direct transfers out of your account. Transfers among your investment choices are also shown as Additions and Reductions. For example, if you transferred money from one investment choice to another, the money going into an account is an Addition and the money leaving an account is a Reduction. Other adjustments to your portfolio are also included in the Additions and Reductions total.

To view current performance for your specific investments, log in to your account at [tiaa-cref.org](http://tiaa-cref.org) or you can visit [www.tiaa-cref.org/performance](http://www.tiaa-cref.org/performance) for general performance information.

## Portfolio Breakdown

	Beginning Balance as of 10/01/2013	Ending Balance as of 12/31/2013
<b>Plans</b>		
MIAMI UNIVERSITY ALTERNATIVE RETIREMENT PLAN	\$414,798.06	\$457,331.77
MIAMI UNIVERSITY TAX DEFERRED ANNUITY PLAN	46,096.37	52,695.51
TRINITY UNIVERSITY DEFINED CONTRIBUTION RETIREMENT PLAN	12,509.40	13,651.97
TRINITY UNIVERSITY TAX DEFERRED ANNUITY PLAN	1,923.93	2,099.65
<b>Total Plans</b>	<b>\$475,327.76</b>	<b>\$525,778.90</b>
<b>Other Accounts</b>		
CREF [REDACTED] ROTH IRA	\$43,612.70	\$47,589.51

# Quarterly Retirement Portfolio Statement

THOMAS S POETTER

October 01, 2013 - December 31, 2013

## Portfolio Breakdown (Continued)

	Beginning Balance as of 10/01/2013	Ending Balance as of 12/31/2013
<b>Annuities in Your Plans</b>		
CREF [REDACTED]	\$14,433.33	\$15,751.62
CREF [REDACTED]	414,798.06	457,331.77
CREF [REDACTED]	46,096.37	52,695.51
<b>Total Annuities in Your Plans</b>	<b>\$475,327.76</b>	<b>\$525,778.90</b>

## MIAMI UNIVERSITY ALTERNATIVE RETIREMENT PLAN

### Annuity Contract(s) & Other Investments In This Plan

Annuity Contracts (TIAA [REDACTED], CREF [REDACTED])

This plan includes a delayed vesting provision that may apply to some or all employees. If the vesting provision applies to you, the vested status of any employer contributions and earnings are generally based on your length of employment at your employer. A vested percentage and vested market value is not currently displayed for any participants in this plan because the employer currently maintains this information. This message is not intended to describe your personal vesting status. Please see the plan's Summary Plan Description for more information about the vesting rules for this plan.

## Plan Investment Detail

Asset Class/ Investment	Beginning Balance as of 10/01/2013	# of Units/ Shares	Unit/Share Price	Ending Balance as of 12/31/2013	# of Units/ Shares	Unit/Share Price
<b>Pre-Tax Investments</b>						
<b>Equities</b>						
CREF Stock	\$208,083.79	659.2708	\$315.6272	\$228,743.08	666.0938	\$343.4097
CREF [REDACTED]						
CREF Equity Index	107,435.26	820.2655	130.9762	119,323.24	828.4196	144.0372
CREF [REDACTED]						
CREF Global Equities	99,279.01	811.2356	122.3800	109,265.45	820.0477	133.2428
CREF [REDACTED]						
<b>Total Equities</b>	<b>\$414,798.06</b>			<b>\$457,331.77</b>		
<b>Total Pre-Tax Investments</b>	<b>\$414,798.06</b>			<b>\$457,331.77</b>		
<b>Total</b>	<b>\$414,798.06</b>			<b>\$457,331.77</b>		

## Plan Transaction Detail

Processing Date	Effective Date	Transaction Description	Investment	Number of Units/Shares	Unit/Share Price	Amount
<b>Additions</b>						
<b>Employee Pre Tax Contributions</b>						
10/30/2013	10/30/2013	Contribution	CREF Stock	1.2414	\$329.5967	\$409.15
		CREF [REDACTED]				
10/30/2013	10/30/2013	Contribution	CREF Global Equities	1.6038	127.5634	204.58
		CREF [REDACTED]				
10/30/2013	10/30/2013	Contribution	CREF Equity Index	1.4936	136.9645	204.57
		CREF [REDACTED]				
11/27/2013	11/27/2013	Contribution	CREF Stock	1.2206	335.2057	409.15
		CREF [REDACTED]				
11/27/2013	11/27/2013	Contribution	CREF Global Equities	1.5770	129.7255	204.58
		CREF [REDACTED]				

# Quarterly Retirement Portfolio Statement

THOMAS S POETTER

October 01, 2013 - December 31, 2013

## MIAMI UNIVERSITY ALTERNATIVE RETIREMENT PLAN

(Continued)

### Plan Transaction Detail (Continued)

Processing Date	Effective Date	Transaction Description	Investment	Number of Units/Shares	Unit/Share Price	Amount
<b>Additions</b>						
<b>Employee Pre Tax Contributions</b>						
11/27/2013	11/27/2013	Contribution CREF ██████████	CREF Equity Index	1.4561	140.4948	204.57
12/26/2013	12/26/2013	Contribution CREF ██████████	CREF Stock	1.1991	341.2085	409.15
12/26/2013	12/26/2013	Contribution CREF ██████████	CREF Global Equities	1.5478	132.1782	204.58
12/26/2013	12/26/2013	Contribution CREF ██████████	CREF Equity Index	1.4256	143.5005	204.57
<b>Total Employee Pre Tax Contributions</b>						<b>\$2,454.90</b>
<b>Employer</b>						
10/30/2013	10/30/2013	Contribution CREF ██████████	CREF Stock	1.0721	\$329.5967	\$353.36
10/30/2013	10/30/2013	Contribution CREF ██████████	CREF Global Equities	1.3850	127.5634	176.67
10/30/2013	10/30/2013	Contribution CREF ██████████	CREF Equity Index	1.2900	136.9645	176.68
11/27/2013	11/27/2013	Contribution CREF ██████████	CREF Stock	1.0542	335.2057	353.36
11/27/2013	11/27/2013	Contribution CREF ██████████	CREF Global Equities	1.3619	129.7255	176.67
11/27/2013	11/27/2013	Contribution CREF ██████████	CREF Equity Index	1.2576	140.4948	176.68
12/26/2013	12/26/2013	Contribution CREF ██████████	CREF Stock	1.0356	341.2085	353.36
12/26/2013	12/26/2013	Contribution CREF ██████████	CREF Global Equities	1.3366	132.1782	176.67
12/26/2013	12/26/2013	Contribution CREF ██████████	CREF Equity Index	1.2312	143.5005	176.68
<b>Total Employer</b>						<b>\$2,120.13</b>
<b>Total Additions</b>						<b>\$4,575.03</b>
Salary reduction contributions have been received from your employer on your behalf. Please compare the information on your pay stub to the Effective Date of the contributions on this statement.						
To view or change your current asset allocation and allocation of future contributions visit <a href="http://tiaa-cref.org">tiaa-cref.org</a> and sign in to the secure portion of the website.						

## MIAMI UNIVERSITY TAX DEFERRED ANNUITY PLAN

Annuity Contract(s) & Other Investments In This Plan	Vested Percentage	Vested Balance
Annuity Contracts (TIAA ██████████, CREF ██████████) Employee	100%	\$52,695.51
<b>Total</b>	<b>100%</b>	<b>\$52,695.51</b>

# Quarterly Retirement Portfolio Statement

THOMAS S POETTER

October 01, 2013 - December 31, 2013

## MIAMI UNIVERSITY TAX DEFERRED ANNUITY PLAN

(Continued)

### Plan Investment Detail

Asset Class/ Investment	Beginning Balance as of 10/01/2013	# of Units/ Shares	Unit/Share Price	Ending Balance as of 12/31/2013	# of Units/ Shares	Unit/Share Price
<b>Pre-Tax Investments</b>						
Equities						
CREF Equity Index	\$46,096.37	351.9446	\$130.9762	\$52,695.51	365.8465	\$144.0372
CREF [REDACTED]						
<b>Total Pre-Tax Investments</b>	<b>\$46,096.37</b>			<b>\$52,695.51</b>		
<b>Total</b>	<b>\$46,096.37</b>			<b>\$52,695.51</b>		

### Plan Transaction Detail

Processing Date	Effective Date	Transaction Description	Investment	Number of Units/Shares	Unit/Share Price	Amount
<b>Additions</b>						
Employee Pre Tax Contributions						
10/30/2013	10/30/2013	Contribution	CREF Equity Index	4.7458	\$136.9645	\$650.00
		CREF [REDACTED]				
11/27/2013	11/27/2013	Contribution	CREF Equity Index	4.6265	140.4948	650.00
		CREF [REDACTED]				
12/26/2013	12/26/2013	Contribution	CREF Equity Index	4.5296	143.5005	650.00
		CREF [REDACTED]				
<b>Total Employee Pre Tax Contributions</b>						<b>\$1,950.00</b>
<b>Total Additions</b>						<b>\$1,950.00</b>

Salary reduction contributions have been received from your employer on your behalf. Please compare the information on your pay stub to the Effective Date of the contributions on this statement.

To view or change your current asset allocation and allocation of future contributions visit [tiaa-cref.org](http://tiaa-cref.org) and sign in to the secure portion of the website.

## TRINITY UNIVERSITY DEFINED CONTRIBUTION RETIREMENT PLAN

Annuity Contract(s) & Other Investments In This Plan	Vested Percentage	Vested Balance
Annuity Contracts (TIAA [REDACTED], CREF [REDACTED])		
Employee	100%	\$4,860.27
Employer	100%	8,791.70
<b>Total Annuity Contracts (TIAA [REDACTED], CREF [REDACTED])</b>	<b>100%</b>	<b>\$13,651.97</b>
<b>Total</b>	<b>100%</b>	<b>\$13,651.97</b>

### Plan Investment Detail

Asset Class/ Investment	Beginning Balance as of 10/01/2013	# of Units/ Shares	Unit/Share Price	Ending Balance as of 12/31/2013	# of Units/ Shares	Unit/Share Price
<b>Pre-Tax Investments</b>						
Equities						
CREF Stock	\$6,417.65	20.3330	\$315.6272	\$6,982.55	20.3330	\$343.4097
CREF [REDACTED]						
CREF Equity Index	3,371.85	25.7440	130.9762	3,708.10	25.7440	144.0372
CREF [REDACTED]						

# Quarterly Retirement Portfolio Statement

THOMAS S POETTER

October 01, 2013 - December 31, 2013

## TRINITY UNIVERSITY DEFINED CONTRIBUTION RETIREMENT PLAN

(Continued)

### Plan Investment Detail (Continued)

Asset Class/ Investment	Beginning Balance as of 10/01/2013	# of Units/ Shares	Unit/Share Price	Ending Balance as of 12/31/2013	# of Units/ Shares	Unit/Share Price
<b>Pre-Tax Investments</b>						
Equities						
CREF Global Equities	2,719.90	22.2250	122.3800	2,961.32	22.2250	133.2428
CREF [REDACTED]						
Total Equities	\$12,509.40			\$13,651.97		
Total Pre-Tax Investments	\$12,509.40			\$13,651.97		
Total	\$12,509.40			\$13,651.97		

### Plan Transaction Detail

There are no transactions this quarter.

## TRINITY UNIVERSITY TAX DEFERRED ANNUITY PLAN

Annuity Contract(s) & Other Investments In This Plan	Vested Percentage	Vested Balance
Annuity Contracts (TIAA [REDACTED] CREF [REDACTED])		
Employee	100%	\$2,099.65
Total	100%	\$2,099.65

### Plan Investment Detail

Asset Class/ Investment	Beginning Balance as of 10/01/2013	# of Units/ Shares	Unit/Share Price	Ending Balance as of 12/31/2013	# of Units/ Shares	Unit/Share Price
<b>Pre-Tax Investments</b>						
Equities						
CREF Stock	\$986.97	3.1270	\$315.6272	\$1,073.84	3.1270	\$343.4097
CREF [REDACTED] 1						
CREF Equity Index	518.67	3.9600	130.9762	570.39	3.9600	144.0372
CREF [REDACTED]						
CREF Global Equities	418.29	3.4180	122.3800	455.42	3.4180	133.2428
CREF [REDACTED]						
Total Equities	\$1,923.93			\$2,099.65		
Total Pre-Tax Investments	\$1,923.93			\$2,099.65		
Total	\$1,923.93			\$2,099.65		

### Plan Transaction Detail

There are no transactions this quarter.

## OTHER ACCOUNTS

## ROTH IRA

Annuities & Other Investments In This Account
TIAA [REDACTED] (closed), TIAA [REDACTED] 3 (open), CREF [REDACTED]

# Quarterly Retirement Portfolio Statement

THOMAS S POETTER

October 01, 2013 - December 31, 2013

## OTHER ACCOUNTS

## ROTH IRA (Continued)

### Investment Detail

Asset Class/ Investment	Beginning Balance as of 10/01/2013	# of Units/ Shares	Unit/Share Price	Ending Balance as of 12/31/2013	# of Units/ Shares	Unit/Share Price
<b>Equities</b>						
CREF Stock	\$22,053.06	69.8706	\$315.6272	\$23,994.24	69.8706	\$343.4097
CREF Equity Index	11,128.24	84.9638	130.9762	12,237.95	84.9638	144.0372
CREF Global Equities	10,431.40	85.2378	122.3800	11,357.32	85.2378	133.2428
<b>Total Equities</b>	<b>\$43,612.70</b>			<b>\$47,589.51</b>		
<b>Total</b>	<b>\$43,612.70</b>			<b>\$47,589.51</b>		

After-Tax Investment account balances include contributions and earnings. Upon withdrawal, contributions are not taxable but earnings may be taxable. Please consult your tax advisor or call us for more information.

### Transaction Detail

There are no transactions this quarter.

*The Annuity Contracts are shown to provide you  
with an alternative view of your investments with TIAA-CREF.*

## ANNUITY CONTRACTS IN YOUR PLANS

### Investment Summary by Contract

Contract/ Investment	Beginning Balance as of 10/01/2013	# of Units/ Shares	Unit/Share Price	Ending Balance as of 12/31/2013	# of Units/ Shares	Unit/Share Price
<b>CREF [REDACTED]</b>						
CREF Stock	\$7,404.62	23.4600	\$315.6272	\$8,056.39	23.4600	\$343.4097
CREF Global Equities	3,138.19	25.6430	122.3800	3,416.74	25.6430	133.2428
CREF Equity Index	3,890.52	29.7040	130.9762	4,278.49	29.7040	144.0372
<b>Total CREF [REDACTED]</b>	<b>\$14,433.33</b>			<b>\$15,751.62</b>		
<b>CREF [REDACTED]</b>						
CREF Stock	\$208,083.79	659.2708	\$315.6272	\$228,743.08	666.0938	\$343.4097
CREF Global Equities	99,279.01	811.2356	122.3800	109,265.45	820.0477	133.2428
CREF Equity Index	107,435.26	820.2655	130.9762	119,323.24	828.4196	144.0372
<b>Total CREF [REDACTED]</b>	<b>\$414,798.06</b>			<b>\$457,331.77</b>		
<b>CREF [REDACTED]</b>						
CREF Equity Index	\$46,096.37	351.9446	\$130.9762	\$52,695.51	365.8465	\$144.0372
<b>Total CREF [REDACTED]</b>	<b>\$46,096.37</b>			<b>\$52,695.51</b>		
<b>Total</b>	<b>\$475,327.76</b>			<b>\$525,778.90</b>		

### Glossary

**Effective Date:** The date as of which the contribution unit/share price, transfer or payment began or ceased participating in the investment results of the investment option or account.

**Processing Date:** The date on which the transaction (contribution, transfer or payment) is processed by TIAA-CREF. We will furnish you, upon written request, the time when the transaction took place. "Processed" means when amounts are credited (for purchase) or debited (for redemptions) to you. Any transactions processed after the close of this quarter will appear on your next quarterly statement.

**Gain/Loss:** The change in portfolio balances due to : (i) Unrealized Gains/Losses from investment holdings (including variable annuity accounts) after expenses are deducted, (ii) Other Gains/Losses and (iii) TIAA Interest. Only Other Gains/Losses are shown in the Transaction Detail sections of this statement.

**Portfolio Summary:** A high-level overview that totals all your retirement and savings assets together and shows you how this value changed from the beginning October 01, 2013, and from the beginning of the year to, December 31, 2013.





FINANCIAL SERVICES

730 Third Avenue New York, NY 10017-3206



CHRISTINE COOK POETTER  
2118 DANA DR  
OXFORD OH 45056-8923

## Quarterly Retirement Portfolio Statement

October 01, 2013 - December 31, 2013

**For**  
**CHRISTINE COOK POETTER**

### Customer Service

**Website:** [tiaa-cref.org](http://tiaa-cref.org)  
Automated 24-hour Information and  
Personal Assistance (Español disponible) **800 842-2252**  
Hearing Impaired (TTY phone users only) **800 842-2755**  
Monday through Friday, 8:00 a.m. - 10:00 p.m. (ET)  
Saturday, 9:00 a.m. - 6:00 p.m. (ET)

To view your most current account information, go to our website at [tiaa-cref.org](http://tiaa-cref.org) and log-in with your user ID and password or call our 24-hour automated system.

### Portfolio Summary

	This Period	Year-to-Date
<b>Beginning Balance</b>	<b>\$57,196.99</b>	<b>\$48,390.19</b>
<b>Gain/Loss</b>	<b>5,214.81</b>	<b>14,021.61</b>
<b>Ending Balance</b>	<b>\$62,411.80</b>	<b>\$62,411.80</b>

### Retirement Income Projection

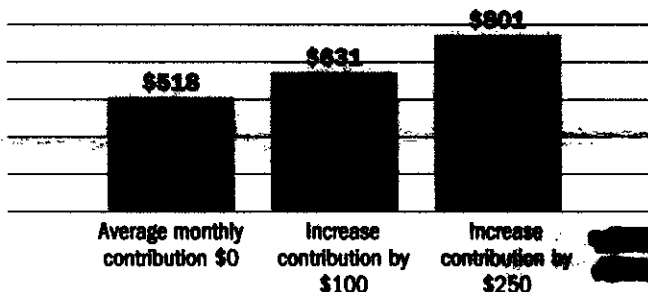
As part of your retirement savings planning, have you considered how much you need to retire? Saving a little more now can add up by the time you retire. **These charts are purely hypothetical and do not illustrate past or projected performance.**

#### What can you expect from Retirement Income?

Average Monthly Contribution	Monthly Contribution Increased by	Sample Lifetime Retirement Monthly Income at Age 65
\$0	\$0	\$518
\$100	\$100	\$631
\$250	\$250	\$801

To raise your savings rate or further personalize the retirement income projection, visit us online at [tiaa-cref.org](http://tiaa-cref.org) or call TIAA-CREF at 800-842-2252. Recent changes to your contribution amounts may not be reflected on this statement.

#### Example of Monthly Income at Age 65



### Message Board

Tax forms will be mailed and available online by January 31, 2014. To access online, log in at [tiaa-cref.org](http://tiaa-cref.org), click: **MANAGE MY PORTFOLIO / STATEMENTS & REPORTS / TAX REPORTING FORMS**. Please note that a Form 1099 will be generated only if you have a taxable transaction related to your account.

Please refer to the back of this statement for Glossary Terms.

# Quarterly Retirement Portfolio Statement

October 01, 2013 - December 31, 2013

CHRISTINE COOK POETTER

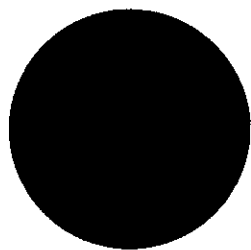
## Personalized Rate of Return

This Period  
Year-to-Date

9.1%  
29.0%

This figure is an estimate of the performance of the assets in your retirement portfolio, as reflected on this statement, that are maintained at TIAA-CREF during the period(s) specified. Past performance is not a guarantee of future results. Please refer to the Disclosures Section for more information.

## Asset Allocation Summary



If you are invested in more than one asset class, the Asset Allocation percentages may not be exact due to rounding.

Current  
Percent

Asset Class

Current Value

100%

Equities

\$62,411.80

100%

Total

\$62,411.80

## Activity Summary by Asset Class

Asset Class/ Investment	Beginning Balance as of 10/01/2013	Additions	Reductions	Gain/Loss	Ending Balance as of 12/31/2013
<b>Equities</b>					
CREF Stock	\$28,900.15	\$0.00	\$0.00	\$2,543.89	\$31,444.04
CREF Equity Index	14,530.30	0.00	0.00	1,448.97	15,979.27
CREF Global Equities	13,766.54	0.00	0.00	1,221.95	14,988.49
<b>Total Equities</b>	<b>\$57,196.99</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$5,214.81</b>	<b>\$62,411.80</b>
<b>Total Account Value</b>	<b>\$57,196.99</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$5,214.81</b>	<b>\$62,411.80</b>

To view current performance for your specific investments, log in to your account at [ttaa-cref.org](http://ttaa-cref.org) or you can visit [www.ttaa-cref.org/performance](http://www.ttaa-cref.org/performance) for general performance information.

## Portfolio Breakdown

	Beginning Balance as of 10/01/2013	Ending Balance as of 12/31/2013
<b>Other Accounts</b>		
CREF [REDACTED] TRADITIONAL IRA	\$13,118.23	\$14,313.69
CREF [REDACTED] ROTH IRA	44,078.76	48,098.11
<b>Total Other Accounts</b>	<b>\$57,196.99</b>	<b>\$62,411.80</b>

## OTHER ACCOUNTS

## ROTH IRA

Annuities & Other Investments  
In This Account

TIAA [REDACTED] (closed), TIAA [REDACTED] (open), CREF [REDACTED]

# Quarterly Retirement Portfolio Statement

October 01, 2013 - December 31, 2013

CHRISTINE COOK POETTER

## OTHER ACCOUNTS

## ROTH IRA (Continued)

### Investment Detail

Asset Class/ Investment	Beginning Balance as of 10/01/2013	# of Units/ Shares	Unit/Share Price	Ending Balance as of 12/31/2013	# of Units/ Shares	Unit/Share Price
<b>Equities</b>						
CREF Stock	\$22,284.92	70.6052	\$315.6272	\$24,246.51	70.6052	\$343.4097
CREF Equity Index	11,250.79	85.8995	130.9762	12,372.72	85.8995	144.0372
CREF Global Equities	10,543.05	86.1501	122.3800	11,478.88	86.1501	133.2428
<b>Total Equities</b>	<b>\$44,078.76</b>			<b>\$48,098.11</b>		
<b>Total</b>	<b>\$44,078.76</b>			<b>\$48,098.11</b>		

After-Tax Investment account balances include contributions and earnings. Upon withdrawal, contributions are not taxable but earnings may be taxable. Please consult your tax advisor or call us for more information.

### Transaction Detail

There are no transactions this quarter.

## OTHER ACCOUNTS

## TRADITIONAL IRA

### Annuities & Other Investments In This Account

TIAA (closed), TIAA (open), C

### Investment Detail

Asset Class/ Investment	Beginning Balance as of 10/01/2013	# of Units/ Shares	Unit/Share Price	Ending Balance as of 12/31/2013	# of Units/ Shares	Unit/Share Price
<b>Equities</b>						
CREF Stock	\$6,615.23	20.9590	\$315.6272	\$7,197.53	20.9590	\$343.4097
CREF Equity Index	3,279.51	25.0390	130.9762	3,606.55	25.0390	144.0372
CREF Global Equities	3,223.49	26.3400	122.3800	3,509.61	26.3400	133.2428
<b>Total Equities</b>	<b>\$13,118.23</b>			<b>\$14,313.69</b>		
<b>Total</b>	<b>\$13,118.23</b>			<b>\$14,313.69</b>		

### Transaction Detail

There are no transactions this quarter.

### Glossary

**Gain/Loss:** The change in portfolio balances due to : (i) Unrealized Gains/Losses from investment holdings (including variable annuity accounts) after expenses are deducted, (ii) Other Gains/Losses and (iii) TIAA Interest. Only Other Gains/Losses are shown in the Transaction Detail sections of this statement.

**Portfolio Summary:** A high-level overview that totals all your retirement and savings assets together and shows you how this value changed from the beginning October 01, 2013, and from the beginning of the year to, December 31, 2013.

**Asset Allocation:** A breakdown of how your total retirement portfolio is allocated across six major asset classes - equities, fixed income, real estate, multi-asset, money market and guaranteed. For the illustrative pie chart asset class percentages may be rounded to the nearest full number percentage.

### Disclosures

Please review your statement and let us know promptly of any inaccuracies. To protect your rights, you should also notify us in writing. Unless we receive written notification within 60 days, we will assume our information is correct.

# Quarterly Retirement Portfolio Statement

October 01, 2013 - December 31, 2013

CHRISTINE COOK POETTER

## Disclosures (Continued)

With respect to financial services provided by TIAA-CREF Individual & Institutional Services, LLC and Teachers Personal Investors Services, Inc., please note that FINRA BrokerCheck is available to help you check the background of brokers and brokerage firms. FINRA has published an investor brochure that includes information regarding FINRA BrokerCheck. To learn more, please visit [www.finra.org](http://www.finra.org) or call (800) 289-9999.

**Diversified and Well-Balanced Portfolio:** To help achieve long-term retirement security, you should give careful consideration to the benefits of a well-balanced and diversified investment portfolio. Spreading your assets among different types of investments can help you achieve a favorable rate of return, while minimizing your overall risk of losing money. This is because market or other economic conditions that cause one category of assets, or one particular security, to perform very well often cause another asset category, or another particular security, to perform poorly.

It is also important to periodically review your investment portfolio, your investment objectives, and the investment options under the Plan to help ensure that your retirement savings will meet your retirement goals. For more information or additional resources regarding individual investing and diversification, visit the Internet website of the Department of Labor at [www.dol.gov/ebsa/investing.html](http://www.dol.gov/ebsa/investing.html).

If you invest more than 20% of your retirement savings in any one company or industry, your savings may not be properly diversified. Although diversification is not a guarantee against loss, it is an effective strategy to help you manage investment risk. In deciding how to invest your retirement savings, you should take into account all of your assets, including any retirement savings outside of the Plan. No single approach is right for everyone because, among other factors, individuals have different financial goals, different time horizons for meeting their goals, and different tolerances for risk.

Portions of this statement provide information about specific transactions that have occurred during the quarter. Other portions of the statement provide information about the total number of units or shares held in your account, gains and losses during the quarter, account balances and other account related information. Each entity listed in this statement may contract with other entities for services related to the described activities. Annuity products are issued by TIAA (Teachers Insurance and Annuity Association), New York, NY.

Transactions in securities, including variable annuities, are effected by TIAA-CREF Individual & Institutional Services, LLC ("TC Services").

Your right to direct investments or transfer funds may be subject to certain limitations and/or restrictions under your employer's plan, if applicable and the terms of any funding options. Contact your Benefits Manager or call TIAA-CREF at 800 842-2776 if you have questions.

**Personalized Rate of Return** is an estimate of the performance of the assets in your retirement portfolio maintained by TIAA-CREF during the period specified. The figure: (1) includes expenses, interest and dividend payments; (2) includes contributions and withdrawals, weighted by the number of days between the date of contribution or withdrawal and the end of the quarter; (3) excludes the performance of products purchased through TIAA-CREF's brokerage window and retirement healthcare program; and (4) may be different from the return of the individual funds or other investment options included in the portfolio. If your retirement portfolio included cash outflows or inflows the figure may differ from your actual rate of return depending on market volatility following these cash flows. The Personalized Rate of Return is based on the Modified Dietz Method of evaluating performance. Past performance is not a guarantee of future results.

**Retirement Income Projection Assumptions:** Sample Lifetime Retirement Monthly Income at age 65 is not based upon your current asset allocation. It is based on your ending balance (excluding Minimum Distribution Option contracts and Transfer Payout Annuity contracts that are withdrawn in cash or transferred to other financial institutions) from your Portfolio Summary and does not consider assets outside those identified in this Quarterly Report. The Ending Balance is projected to grow according to the following assumptions: the 12-month average of your total employer and personal contributions shown in the chart, each projected to grow 3% annually (rounded to the nearest year, using your birthday) reflecting assumed inflation increases, as well as a non-guaranteed hypothetical annual growth rate of 6% until age 65. Accumulations in Interest Only contracts are assumed to remain at their current levels.

Sample Lifetime Retirement Monthly Income is based on using a single life annuity with a 10 year guarantee period starting at age 65. The amount of lifetime income reflects an annuity payout rate based upon an assumed interest rate of 4% and the mortality assumptions used in computing current total income under TIAA pension payout annuities. This projected income at retirement was discounted 3% annually to reflect the income amount in today's dollars. Your actual account performance will differ, and may be higher or lower. These charts are for informational and educational purposes only and do not constitute advice. Sample values shown are estimates and not guarantees and do not reflect federal/state taxes or investment fees and charges.



# MAINSTAY INVESTMENTS®

P.O. Box 8407 Boston, MA 02266-8407



## Year-to-Date Investor Statement

Statement Period 01/01/2013 to 12/31/2013 Page 1 of 4

► Lead Account  
Number

► Your Investment  
Professional

MICHAEL A RUDOLPH  
5995 FAIRFIELD ROAD  
SUITE 1  
OXFORD, OH 45056-1587  
(513) 523-2335

FP 01 220755 60489 B 1045 A



THOMAS S POETTER  
CHRISTINE C POETTER JTWROS  
TOD REGISTRATION ON FILE  
OXFORD OH 45056

### Your Total Portfolio Value

as of 01/01/2013

\$15,718.31

as of 12/31/2013

\$19,919.79

### ► Year-to-Date Summary of Accounts

Fund/ Account Number	Fund Name/ Registration	Market Value on January 1, 2013	Market Value on December 31, 2013	Change in Value	Dividends and Capital Gains in Cash
<b>Investment Accounts</b>					
	MAINSTAY MOD GRTH ALLOC INVESTOR CLASS Thomas S Poetter Christine C Poetter JTWROS TOD Registration On File	\$15,718.31	\$19,919.79	\$4,201.48	\$0.00
	<b>Grand Total</b>	<b>\$15,718.31</b>	<b>\$19,919.79</b>	<b>\$4,201.48</b>	<b>\$0.00</b>

Visit the new and improved [mainstayinvestments.com](http://mainstayinvestments.com) and subscribe to "MainStay E-mail Insights" to receive Fund and boutique commentary, weekly portfolio manager insights, and economic and market updates--sent directly to your inbox!

The MainStay Funds® are managed by New York Life Investment Management LLC and distributed through NYLIFE Distributors LLC, 169 Lackawanna Avenue, Parsippany, NJ 07054, a wholly owned subsidiary of New York Life Insurance Company. NYLIFE Distributors LLC is a Member FINRA/SIPC. For more information about MainStay Funds, call 800-MAINSTAY (624-6782) for a prospectus or summary prospectus. Investors are asked to consider the investment objectives, risks and charges and expenses of the investment carefully before investing. The prospectus or summary prospectus contains this and other information about the investment company. Please read the prospectus or summary prospectus carefully before investing.

**mainstayinvestments.com**  
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800-624-6782/option 1

**Client Services 8am - 6pm ET**  
800-MAINSTAY  
800-624-6782/option 2



**MAINSTAY  
INVESTMENTS®**



# Year-to-Date Investor Statement

Statement Period 01/01/2013 to 12/31/2013 Page 2 of 4

P.O. Box 8407 Boston, MA 02266-8407

**Thomas S Poetter  
Christine C Poetter JTWROS  
TOD Registration On File**

Lead Account Number [REDACTED]

## ► Investment Account Transaction Detail

### MAINSTAY MOD GRTH ALLOC INVESTOR CLASS

#### Cost Basis Election Method (Covered Shares Only)

Primary: Average Cost

#### Cost Basis - Covered

Shares	Total Cost Basis
45.400	\$610.24

#### Cost Basis - Noncovered

Shares	Total Cost Basis
1,296.904	\$14,855.30

Fund/Account Number	Trade Date	Confirm Date	Transaction Description	Shares This Transaction	x	Share Price =	Dollar Amount of Transaction	Share Balance
[REDACTED]			Beginning Balance			\$11.92	\$15,718.31	1,318.650
Thomas S Poetter Christine C Poetter JTWROS TOD Registration On File	12/31	12/31	INCOME REINVEST 0.266206	23.654		\$14.84	\$351.03	1,342.304
			Ending Balance			\$14.84	\$19,919.79	1,342.304

Historical Summary: (Since 01/01/1995)	Purchases	Exchanges & Conversions In	Reinvest Div & Capital Gains	Exchanges & Conversions Out	Redemptions
	\$14,000.00	\$0.00	\$1,465.54	\$0.00	\$0.00

## ► Year-to-Date Dividend and Capital Gain Summary

Fund Name	Fund/ Account Number	Dividends	Short-Term Gain	Long-Term Gain	Total
MAINSTAY MOD GRTH ALLOC INVESTOR CLASS	[REDACTED]	\$351.03	\$0.00	\$0.00	\$351.03
	<b>Total</b>	<b>\$351.03</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$351.03</b>



Statement Reporting Period:  
12/01/13 - 12/31/13

1-866-3900  
AMERITRADE  
DIVISION OF TD AMERITRADE INC  
PO BOX 2209  
LAHA, NE 68103-2209  
Ameritrade Clearing, Inc., Member SIPC

Statement for Account # [REDACTED]  
THOMAS STEWART POETTER & CHRISTINE  
COOK POETTER JT TEN  
OXFORD, OH 450568923

Announcements:  
TD AMERITRADE WAS NAMED BEST BROKER  
FOR ETFS IN KIPPLINGER'S PERSONAL  
FINANCE, DECEMBER 2013 EDITION,  
"THE BEST ISSUE." LOG IN AND GO TO  
RESEARCH AND IDEAS, THEN ETFS, TO  
SEE OUR RANGE OF ETF RESOURCES.

Portfolio Summary

Investment	Current Value	Prior Value	Period Change	% Change	Estimated Income	Estimated Yield	Portfolio Allocation
Cash	\$ -	\$ -	\$ -	-	\$ -	-	-
Saved Dep Acct	-	-	-	-	-	-	-
Money Market	-	-	-	-	-	-	-
Port Balance	-	-	-	-	-	-	-
Bonds	-	-	-	-	-	-	-
Port Stocks	-	-	-	-	-	-	-
Fixed Income	-	-	-	-	-	-	-
Options	-	-	-	-	-	-	-
Port Options	-	-	-	-	-	-	-
Mutual Funds	3,542.57	3,477.54	65.03	1.9%	40.04	1.1%	1.1%
Other	-	-	-	-	-	-	-
Total	\$3,542.57	\$3,477.54	\$65.03	1.9%	\$40.04	1.1%	Mutual Funds 100.0%
Margin Equity	100.0%						

Cash Activity Summary

Income & Expense Summary

Performance Summary

	Current	YTD	Reportable	Non Reportable	YTD
Opening Balance	\$ 0.00	\$ -			
Securities Purchased	(200.27)	(200.27)	\$200.27	\$ -	\$200.27
Securities Sold	-	-	-	-	-
Funds Deposited	-	-	-	-	-
Funds Disbursed	-	-	-	-	-
Income	200.27	200.27	Interest Expense	-	-
Expense	-	-	Fees	-	-
Other	-	-	Other	-	-
Closing Balance	\$ 0.00	\$0.00	Net	\$0.00	\$200.27

Cost Basis As Of - 12/31/13	\$2,910.00
Unrealized Gains	632.57
Unrealized Losses	-
Funds Deposited/(Disbursed) YTD	-
Income/(Expense) YTD	200.27
Securities Received/(Delivered) YTD	0.00

**Statement for Account #**  
12/01/13 - 12/31/13

**Income Summary Detail**

Description	Current	Year to Date
Ordinary Dividends	\$ 37.71	\$ 37.7
Short Term Capital Gains	53.32	53.3
Long Term Capital Gains	109.24	109.2

\*This section displays current and year to date taxation values for this account. The current totals may not equate to the total payments listed on this statement as corrections to tax reporting may also be included. These corrections can include changes made to previous payments and removal of payments reportable in a previous tax year (spillover dividends). The year to date totals will accurately reflect your cumulative amount for the year.

**Account Positions**

Investment Description	Symbol/ CUSIP	Quantity	Current Price	Market Value	Purchase Date	Cost Basis	Average Cost	Unrealized Gain(Loss)	Estimated Income	Estimated Yield
Actual Funds - Margin										
ROWE PRICE CAPITAL APPRECIATION INVESTOR	PRWCX	138.058	\$ 25.66	\$3,542.57	01/25/11	\$ 2,910.04	\$ 21.08	\$ 632.53	\$ 40.04	1.1%
<b>Total Mutual Funds</b>				<b>\$3,542.57</b>		<b>\$2,910.04</b>		<b>\$632.53</b>	<b>\$40.04</b>	<b>1.1%</b>
<b>Total Margin Account</b>				<b>\$3,542.57</b>		<b>\$2,910.04</b>		<b>\$632.53</b>	<b>\$40.04</b>	<b>1.1%</b>

**Account Activity**

Trade Date	Settle Date	Acct Type	Transaction/ Cash Activity*	Description	Symbol/ CUSIP	Quantity	Price	Amount	Balance
<b>Opening Balance</b>									
2/16/13	12/16/13	Margin	Div/Int - Income	T ROWE PRICE CAPITAL APPRECIATION INVESTOR Payable: 12/16/2013 Ordinary Dividends 37.71	PRWCX	-	\$ 0.00	\$ 37.71	\$ 0.00
2/16/13	12/16/13	Margin	Buy - Securities Purchased	T ROWE PRICE CAPITAL APPRECIATION INVESTOR REINVESTED AT 25.01 PER SHARE	PRWCX	1.508	25.01	(37.71)	0.00



**Statement for Account # [REDACTED]**  
12/01/13 - 12/31/13

Account Activity									
Trade Date	Settle Date	Acct Type	Transaction/ Cash Activity*	Description	Symbol/ CUSIP	Quantity	Price	Amount	Balance
2/16/13	12/16/13	Margin	Div/Int - Income	T ROWE PRICE CAPITAL APPRECIATION INVESTOR Payable: 12/16/2013 Long Term Cap Gains 109.24	PRWCX	-	0.00	109.24	109.24
2/16/13	12/16/13	Margin	Buy - Securities Purchased	T ROWE PRICE CAPITAL APPRECIATION INVESTOR REINVESTED AT 25.01 PER SHARE	PRWCX	4.368	25.01	(109.24)	0.00
2/16/13	12/16/13	Margin	Div/Int - Income	T ROWE PRICE CAPITAL APPRECIATION INVESTOR Payable: 12/16/2013 Short Term Cap Gains 53.32	PRWCX	-	0.00	53.32	53.32
2/16/13	12/16/13	Margin	Buy - Securities Purchased	T ROWE PRICE CAPITAL APPRECIATION INVESTOR REINVESTED AT 25.01 PER SHARE	PRWCX	2.132	25.01	(53.32)	0.00

**Ending Balance** **\$ 0.00**  
 or Cash Activity totals, refer to the Cash Activity Summary on page one of your statement.

**Important Information**

The most recent statement of financial condition for TD Ameritrade Clearing, Inc. may be obtained at no cost, via the Internet at <https://www.tdameritrade.com/financial-statement#/financial-statement> on or before 12/27/2013, or by contacting TD Ameritrade Clearing, Inc. at 1-800-237-8692. As of 9/30/2013, TD Ameritrade Clearing, Inc. had net capital and a net capital requirement of \$1.3 billion and \$222.8 million, respectively. A copy of the report and comments is currently available for customers' inspection at the principal office of the commission in Washington DC and the Denver, CO office of the Commission.

**Annual Margin Disclosure**

Securities purchased on margin are the firm's collateral for the loan to you. If the securities in your account decline in value, so does the value of the collateral supporting your loan. As a result, the firm can take action, such as issuing a margin call and/or selling securities or other assets in any of your accounts held with TD Ameritrade, in order to maintain the required equity in the account.

It is important that you fully understand the risks involved in trading securities on margin. These risks include the following: You can lose more funds than you deposit in the margin account. The firm can force the sale of securities or other assets in your account(s). The firm can sell your securities or other assets without contacting you. You are not entitled to choose which securities or other assets in your account(s) are liquidated or sold to meet a margin call. The firm can increase its "house" maintenance requirements at any time and is not required to provide you advance written notice. You are not entitled to an extension of time on a margin call.

Anti-Money Laundering Requirements

The USA PATRIOT Act is designed to detect, deter, and punish terrorists and/or terrorist groups in the United States and abroad. The Act requires U.S. financial institutions and brokerage firms to implement comprehensive anti-money laundering programs.