

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) ROSS, ALLYNE R.	2. Court or Organization U.S.D.C., EDNY	3. Date of Report 01/09/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. DISTRICT COURT, EDNY 225 CADMAN PLAZA EAST ROOM 915 SOUTH BROOKLYN, NY 11201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*DATESOURCE AND TYPE

1. 1/1-12/31

Partner in Strook & Strook & Lavan LLP

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Trust #1									
2. -Life Insurance Policy Issued by Northwestern Mutual		None	J	W					
3. IRA #1(reflects Int/Div income on this line)	E	Int./Div.	P1	T					
4. -(reflects Capital Gains Distribution on this line	A	Distribution							
5. -BP PLC					Sold	04/17/13	J	A	
6. -Cisco Systems					Buy (add'l)	05/13/13	J		
7. -Glaxo SmithKline					Buy	07/1/13	J		
8. -Glaxo SmithKline					Sold	09/13/13	J	A	
9. -Google					Sold	05/24/13	K	D	
10. -Morgan Stanley Liquid Assets					Sold	05/08/13	K		
11. -Transamerica Short-Term Bond Fund					Buy	05/08/13	K		
12. -General Electric									
13. -Annaly Capital Mgt.					Sold	05/13/13	K		
14. -American Express									
15. -Eli Lilly & Co.					Sold	05/10/13	K	D	
16. -Citigroup									
17. -Intel									

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. -Microsoft					Sold	05/09/13	K	C	
19. -Windstream					Sold	01/08/13	J		
20. -Viacom									
21. -ishares Short Treas. Bond Fund									
22. -ishares FTSE NAREIT MTGE Fund					Sold	07/23/13	K		
23. -Powershares ETF Final PFD Portfolio									
24. -Enterprise Prods Partners									
25. -Putnam Premier Income Trust									
26. -BlackRock Global Energy & Resources Trust									
27. -Boardwalk Pipeline Partners					Sold	11/01/13	K	A	
28. -Eaton Vance Limited Duration Fund									
29. -Dow Chemical									
30. -Conoco Phillips									
31. -Cohen & Steers Infrastructure Fund									
32. -Invesco Capital Mortgage					Sold	05/30/13	K		
33. -Kayne Anderson Energy Dev. Co									
34. -Bristol Myers Squibb					Sold	04/12/13	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. --CenturyLink					Sold	01/24/13	K		
36. --Bank of America									
37. --Freeport McMoran Copper & Gold									
38. --General Mills					Sold	05/17/13	J	B	
39. --AT & T					Buy (add'l)	04/26/13	J		
40. --Clorox					Sold	08/30/13	K	C	
41. --Telstra					Sold	11/21/13	K	B	See Part VIII
42. --Medical Properties Tr.									
43. --Pepsico					Buy	10/26/12	K		
44. --TC Pipelines LP					Sold	04/17/13	K	A	
45. --Vale SA					Buy (add'l)	08/29/12	J		
46. --Mazor Robotics					Buy	10/21/13	J		
47. --Pfizer Inc.					Buy	03/26/13	K		
48. --Unilever					Buy	12/10/13	K		
49. --Vanguard European MSCI ETF					Buy (add'l)	08/09/13	J		
50. Walgreen					Buy	10/03/13	J		
51. Williams Partners					Buy	11/12/13	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 7 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. -Weyerhaeuser					Buy	11/27/12	K		
53. -Cummins Inc.					Buy	12/17/13	J		
54. -DuPont					Buy	04/12/13	K		
55. -Eaton Corp.					Buy	10/02/13	K		
56. -NY CMNTY CAPITAL Trust					Buy (add'l)	08/13/13	J		
57. -Linn Energy					Buy	12/20/13	K		
58. -3D Systems Corp					Buy	05/15/13	J		
59. -American International Group					Buy	12/18/13	J		See Part VIII
60. -Pioneer MLTF AST ULT SHT FUND									
61. -Apple					Buy	05/24/13	J		
62. -BCE Inc.					Buy	09/20/13	K		
63. -Blackstone Group					Buy	03/08/13	K		
64. IRA #2	C	Int./Div.	L	T					
65. -Dominion Resources									
66. -Johnson & Johnson									
67. -Citibank Account									
68. -Keycorp Preferred									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. -Morgan Stanley Capital Tr.									
70. -John Hancock Bank Fund					Sold	02/08/13	J	A	
71. -Annaly Capital Mgt.									
72. -Kayne Anderson Energy									
73. -Cohen & Steers Infrastructure Fund									
74. -Power Shares									
75. -Brisol Myers Squibb									
76. -Caterpillar					Buy	10/26/12	J		
77. -Pace Oil & Gas					Sold	04/22/13	J		
78. -Spyglass Resources					Buy	04/22/13	J		
79. -Freeport McMoran Copper & Gold									
80. -Merck					Buy	10/26/12	J		
81. -Teva Pharmaceuticals					Buy	10/26/12	J		
82. Citibank Accounts	A	Interest	M	T					
83. S&P Variable Participation Note		None	N	T					
84. Citigroup FDG MTN SR Index Note		None			Redeemed	09/12/13	M	E	
85. Vanguard Short-Term Investment Grade Fund	B	Dividend			Redeemed	02/19/13	O	C	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 9 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

86. Vanguard Ltd-Term Tax-Exempt Fund	D	Dividend	N	U	Buy	02/19/13	O		See Part VIII
87. Vanguard Ltd-Term Tax-Exempt Fund					Buy (add'l)	03/01/13	K		
88. Vanguard Ltd-Term Tax-Exempt Fund					Buy (add'l)	03/13/13	M		
89. Vanguard Ltd-Term Tax-Exempt Fund					Redeemed (part)	05/15/13	N		
90. Vanguard Ltd-Term Tax-Exempt Fund					Redeemed (part)	06/18/13	N		
91. Vanguard Ltd-Term Tax-Exempt Fund					Buy (add'l)	09/17/13	L		
92. Vanguard Ltd-Term Tax-Exempt Fund					Buy (add'l)	10/11/13	K		
93. Vanguard Emerging Markets Index Fund	D	Dividend	N	U					See Part VIII
94. Vanguard Mid-Cap Index Fund	E	Dividend	O	U	Redeemed (part)	09/13/13	J	C	See Part VIII
95. Vanguard High-Yield Corporate Fund	C	Dividend			Redeemed	02/20/13	O	E	
96. Vanguard High-Yield Tax-Exempt Fund	E	Dividend	O	U					See Part VIII
97. Vanguard European Stock Index Fund	D	Dividend	N	U	Buy	05/15/13	N		See Part VIII
98. General American Investors	D	Dividend	M	T	Buy (add'l)	01/31/13	J		
99. WFG-WPX Partners LLC	G	Distribution	N	W					
100. WisdomTree Commodity Country ETF	B	Dividend	L	T					
101. Wisdom Tree Managed Futures ETF		None	L	T					
102. Columbia Acorn Fund	E	Dividend	O	U					See Part VIII

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 10 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. JP Morgan Midcap Value Fund	D	Dividend	M	U					See Part VIII
104. Cameron International		None	J	T	Sold	04/04/13	J	A	
105. Cerner		None	K	T	Sold (part)	01/16/13	J		
106. Cerner					Buy (add'l)	11/05/13	K		
107. Kimberly Clark	A	Dividend	J	T	Buy (add'l)	07/07/13	J		
108. Kimberly Clark					Buy (add'l)	11/05/13	J		
109. American Tower Corp.REIT	A	Dividend	K	T	Buy	01/15/13	J		
110. American Tower Corp. REIT					Buy (add'l)	11/05/13	K		
111. ARM Holdings		None	K	T	Buy	11/05/13	K		
112. Astrazeneca		None	J	T	Buy	11/29/13	J		
113. AthenaHealth		None	K	T	Buy	11/05/13	K		
114. AthenaHealth					Buy (add'l)	12/12/13	J		
115. Biomarin Pharmaceutical		None	K	T	Buy	09/19/13	J		
116. Biomarin Pharmaceutical					Buy (add'l)	11/05/13	J		
117. Celgene Corp.		None	K	T	Buy	10/04/13	J		
118. Celgene Corp.					Buy (add'l)	11/05/13	K		
119. Marathon Oil	A	Dividend	J	T	Buy (add'l)	06/07/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 11 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Marathon Oil					Buy (add'l)	11/05/13	J		
121. Marathon Petroleum	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
122. Marathon Petroleum					Buy (add'l)	11/05/13	J		
123. Raytheon	A	Dividend	K	T	Buy (add'l)	11/05/13	J		
124. Allergan	A	Dividend	K	T	Buy (add'l)	11/05/13	J		
125. Citigroup	A	Dividend	J	T	Buy	03/11/13	J		
126. Citigroup					Buy (add'l)	05/08/13	J		
127. Citigroup					Buy (add'l)	06/07/13	J		
128. Citigroup					Buy (add'l)	11/05/13	J		
129. Companhia Energetica de Minas Gerais	A	Dividend	J	T	Buy	03/21/13	J		
130. Companhia Energetica de Minas Gerais					Sold (part)	05/14/13	J	A	
131. Companhia Energetica de Minas Gerais					Buy (add'l)	06/04/13	J		
132. Dri-Quip		None	J	T	Buy	11/05/13	J		
133. Dril-Quip					Buy (add'l)	12/03/13	J		
134. Dril-Quip					Buy (add'l)	12/23/13	J		
135. Dow Chemical	A	Dividend	J	T	Buy (add'l)	11/05/13	J		
136. Duke Energy	A	Dividend	J	T	Buy	02/14/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 12 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Duke Energy					Buy (add'l)	11/05/13	J		
138. Costco Wholesale	A	Dividend	K	T	Buy	11/05/13	K		
139. Express Scripts Inc.		None			Sold (part)	02/11/13	J	A	
140. Express Scripts Inc.					Sold	05/14/13	J	A	
141. Electricite de France	A	Dividend	J	T	Buy	04/25/13	J		
142. Electricite de France					Buy (add'l)	05/03/13	J		
143. Electricite de France					Sold (part)	09/27/13	J	A	
144. Electricite de France					Sold (part)	12/18/13	J	A	
145. ICICI Bank Ltd.		None	J	T	Buy	09/06/13	J		
146. ICICI Bank Ltd.					Buy (add'l)	11/04/13	J		
147. International Paper	A	Dividend	J	T	Buy	07/15/13	J		
148. International Paper					Buy (add'l)	11/05/13	J		
149. KDDI Corp		None	J	T	Buy	11/27/13	J		
150. KDDI Corp					Buy (add'l)	12/10/13	J		
151. Mead Johnson		None	J	T	Buy	11/05/13	J		
152. Mead Johnson					Buy (add'l)	11/20/13	J		
153. Equinox Inc.		None	K	T	Buy	11/05/13	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 13 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. Fastenal		None	K	T	Buy	11/05/13	K		
155. Fastenal					Sold (part)	11/19/13	J		
156. Fastenal					Sold (part)	11/20/13	J		
157. MetLife	A	Dividend	J	T	Buy	07/09/13	J		
158. MetLife					Buy (add'l)	11/05/13	J		
159. Occidental Petroleum	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
160. Occidental Petroleum					Buy (add'l)	11/05/13	J		
161. Starbucks	A	Dividend	K	T	Sold (part)	07/10/13	J	A	
162. Motorola Solutions		None	J	T	Buy	10/01/13	J		
163. Nomura Holdings	A	Dividend	J	T	Buy	09/07/13	J		
164. Nomura Holdings					Buy (add'l)	12/11/13	J		
165. Starbucks					Buy (add'l)	11/05/13	J		
166. Newmont Mining	A	Dividend	J	T	Buy	02/13/13	J		
167. Newmont Mining					Buy (add'l)	06/07/13	J		
168. Nordea Bank		None	J	T	Buy	10/17/13	J		
169. Nordea Bank					Buy (add'l)	10/24/13	J		
170. Nordea Bank					Buy (add'l)	11/04/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 14 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. Softbank Corp.	A	Dividend			Buy	07/17/13	J		
172. Softbank Corp.					Sold	10/10/13	J	A	
173. Intel	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
174. Intel					Buy (add'l)	11/05/13	J		
175. Telefonica		None			Buy	03/04/13	J		
176. Telefonica					Buy (add'l)	03/26/13	J		
177. Telefonica					Sold (part)	07/11/13	J		
178. Telefonica					Sold	08/15/13	J	A	
179. Microsoft	A	Dividend	J	T	Sold (part)	01/30/13	J	A	
180. Microsoft					Sold (part)	02/05/13	J	A	
181. Microsoft					Sold (part)	03/06/13	J	A	
182. Microsoft					Buy (add'l)	06/07/13	J		
183. Microsoft					Sold (part)	11/01/13	J	C	
184. Microsoft					Sold (part)	11/05/13	J	A	
185. Procter & Gamble	A	Dividend	J	T	Buy (add'l)	01/28/13	J		
186. Procter & Gamble					Buy (add'l)	06/07/13	J		
187. Procter & Gamble					Sold (part)	11/01/13	J	C	

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 15 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. Procter & Gamble					Sold (part)	11/05/13	J	A	
189. Hitachi	A	Dividend	J	T	Sold (part)	10/17/13	J	A	
190. Hitachi					Sold (part)	11/01/13	J	A	
191. Novartis		None	J	T	Buy	03/01/13	J		
192. Novartis					Buy (add'l)	03/19/13	J		
193. Novartis					Buy (add'l)	03/27/13	J		
194. Novartis					Sold (part)	05/21/13	J	A	
195. Novartis					Buy (add'l)	08/30/13	J		
196. Oceaneering Intl.	A	Dividend	J	T	Buy	11/05/13	K		
197. Priceline		None	K	T	Buy	11/05/13	K		
198. Publicis Groupe		None	J	T	Buy	11/18/13	J		
199. Publicis Groupe					Buy (add'l)	11/26/13	J		
200. Schwab Charles	A	Dividend	J	T	Buy	11/05/13	J		
201. Seven & I Holdings	A	Dividend	J	T	Buy	01/28/13	J		
202. Seven & I Holdings					Buy	03/21/13	J		
203. Silver Wheaten Corp.	A	Dividend	J	T	Buy	11/05/13	J		
204. Splunk Inc.		None	K	T	Buy	11/05/13	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 16 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. Fed Ex	A	Dividend			Sold (part)	01/12/13	J	A	
206. Fed Ex					Sold (part)	01/13/13	J	B	
207. Fed Ex					Sold	11/01/13	J	B	
208. Agrium Inc.	A	Dividend			Buy	01/28/13	J		
209. Agrium Inc.					Buy (add'l)	01/22/13	J		
210. Agrium Inc.					Sold (part)	05/02/13	J		
211. Agrium Inc.					Sold	10/29/13	J		
212. Checkpoint Software		None			Buy	08/05/13	J		
213. Checkpoint Software					Buy (add'l)	08/06/13	J		
214. Checkpoint Software					Sold	11/01/13	J		
215. Chevron	A	Dividend	K	T	Buy (add'l)	06/07/13	J		
216. Chevron					Buy (add'l)	11/05/13	J		
217. Home Depot	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
218. Home Depot					Buy (add'l)	07/02/13	J		
219. Home Depot					Buy (add'l)	07/26/13	J		
220. Home Depot					Sold (part)	11/01/13	J	C	
221. Home Depot					Sold (part)	11/05/13	J	B	

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 17 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. J.P. Morgan Chase	A	Dividend	K	T	Buy (add'l)	06/07/13	J		
223. J.P. Morgan Chase					Buy (add'l)	11/05/13	J		
224. Alliance Data Systems		None			Buy	04/19/13	J		
225. Alliance Data Systems					Buy (add'l)	05/09/13	J		
226. Alliance Data Systems					Buy (add'l)	05/23/13	J		
227. Alliance Data Systems					Buy (add'l)	06/07/13	J		
228. Alliance Data Systems					Buy (add'l)	06/26/13	J		
229. Alliance Data Systems					Sold	11/01/13	K	D	
230. Automatic Data Processing	A	Dividend			Buy	05/11/13	J		
231. Automatic Data Processing					Sold	11/01/13	J	B	
232. Chipotle Mexican Grill					Buy	01/16/13	J		
233. Chipotle Mexican Grill					Sold (part)	03/13/13	J	A	
234. Chipotle Mexican Grill					Sold (part)	05/07/13	J	A	
235. Chipotle Mexican Grill					Sold	06/26/13	J	B	
236. Joy Global	A	Dividend	J	T	Sold (part)	03/11/13	J		
237. Joy Global					Sold (part)	05/08/13	J		
238. Joy Global					Sold (part)	05/09/13	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 18 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

239. Joy Global					Sold (part)	11/21/13	J	A	
240. CVS Caremark	A	Dividend			Buy	05/13/13	J		
241. CVS Caremark					Sold	11/01/13	J	A	
242. Deutsche Bank		None			Buy	10/10/13	J		
243. Deutsche Bank					Buy (add'l)	10/15/13	J		
244. Deutsche Bank					Sold	11/15/13	J		
245. Johnson Controls	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
246. Johnson Controls					Buy (add'l)	11/05/13	J		
247. Google		None	K	T	Buy (add'l)	02/07/13	J		
248. Google7					Sold (part)	04/18/13	J	A	
249. Google					Buy (add'l)	05/08/13	J		
250. Google					Buy (add'l)	06/07/13	J		
251. Google					Buy (add'l)	11/05/13	J		
252. Teva Pharmaceutical		None			Sold	01/16/13	J		
253. Comcast	A	Dividend	J	T	Buy (add'l)	02/21/13	J		
254. Comcast					Buy (add'l)	06/07/13	J		
255. Comcast					Sold (part)	11/01/13	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 19 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

256. Comcast					Buy (add'l)	11/05/13	J		
257. Crown Castle Intl		None			Sold (part)	01/18/13	J	A	
258. Crown Castle Intl					Sold (part)	04/26/13	J	B	
259. Crown Castle Intl					Sold	11/01/13	J	B	
260. Eaton Corp	A	Dividend			Buy	02/05/13	J		
261. Eaton Corp					Buy (add'l)	02/26/13	J		
262. Eaton Corp					Buy (add'l)	04/01/13	J		
263. Eaton Corp					Sold (part)	05/14/13	J	A	
264. Eaton Corp					Sold (part)	07/11/13	J	A	
265. Eaton Corp					Sold	11/01/13	J	B	
266. Discovery Communications		None			Sold	11/01/13	J	C	
267. ENI SPA	A	Dividend	K	T	Sold (part)	01/26/13	J	A	
268. ENI SPA					Buy (add'l)	01/30/13	J		
269. Ebay		None			Buy	06/26/13	J		
270. Ebay					Buy (add'l)	07/02/13	J		
271. Ebay					Buy (add'l)	08/15/13	J		
272. Ebay					Sold	11/01/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 20 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. Edwards Lifesciences		None			Buy	01/16/13	J		
274. Edwards Lifesciences					Buy (add'l)	02/21/13	J		
275. Edwards Lifesciences					Sold (part)	07/16/13	J		
276. Edwards Lifesciences					Sold (part)	07/24/13	J		
277. Edwards Lifesciences					Sold	11/01/13	J		
278. Goldman Sachs	A	Dividend			Buy	01/22/13	J		
279. Goldman Sachs					Sold (part)	04/30/13	J	A	
280. Goldman Sachs					Sold	05/03/13	J	A	
281. Intuit		None			Buy	10/29/13	J		
282. Intuit					Buy (add'l)	10/30/13	J		
283. Intuit					Sold	11/01/13	J	A	
284. Credit Suisse	A	Dividend			Sold (part)	03/01/13	J	A	
285. Credit Suisse					Sold (part)	05/20/13	J	A	
286. Credit Suisse					Sold (part)	06/26/13	J	A	
287. Credit Suisse					Sold (part)	11/04/13	J	A	
288. Credit Suisse					Sold	11/18/13	J	A	
289. Intesa Sanpaolo	A	Dividend			Buy	06/26/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 21 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. Intesa Sanpaolo					Buy (add'l)	08/16/13	J	A	
291. Intesa Sanpaolo					Sold (part)	10/10/13	J	A	
292. Intesa Sanpaolo					Sold	10/15/13	J	A	
293. Lululemon Athletica		None			Buy	06/26/13	J		
294. Lululemon Athletica					Buy (add'l)	08/21/13	J	A	
295. Lululemon Athletica					Sold	10/18/13	J		
296. Lululemon Athletica					Sold	10/31/13	J	A	
297. Michael Kors Holdings		None			Buy	06/26/13	J		
298. Michael Kors Holdings					Sold (part)	10/31/13	J	A	
299. Michael Kors Holdings					Sold	11/01/13	J	B	
300. Petrochina		None			Buy	01/15/13	J		
301. Petrochina					Sold	05/17/13	J		
302. Apple	A	Dividend		T	Buy (add'l)	04/26/13	J		
303. Apple					Buy (add'l)	05/03/13	J		
304. Apple					Sold (part)	07/01/13	J	C	
305. Apple					Sold (part)	08/21/13	J	B	
306. Apple					Sold	11/01/13	K	E	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 22 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. PPG Industries		None			Buy	10/03/13	J		
308. PPG Industries					Sold	11/01/13	J	A	
309. Danaher Corp.	A	Dividend			Sold	11/01/13	J	C	
310. Nucor	A	Dividend			Buy	03/11/13	J		
311. Nucor					Buy (add'l)	03/13/13	J		
312. Nucor					Sold	07/05/13	J		
313. EMC Corp.	A	Dividend			Sold (part)	03/06/13	J	A	
314. EMC Corp.					Sold (part)	04/30/13	J	A	
315. EMC Corp.					Sold	07/11/13	J	A	
316. Noble Energy	A	Dividend			Buy	10/25/13	J		
317. Noble Energy					Sold	11/01/13	J		
318. Sberbank	A	Dividend			Buy	10/03/13	J		
319. Sberbank					Buy (add'l)	11/08/13	J		
320. Sberbank					Sold	08/16/13	J		
321. Gilead Sciences		None			Sold	06/26/13	J	B	
322. Societe Generale France	A	Dividend	J	T	Buy	01/11/13	J		
323. Societe Generale France					Buy (add'l)	02/13/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 23 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. Societe Generale France					Buy (add'l)	08/16/13	J		
325. Societe Generale France					Sold (part)	10/28/13	J	A	
326. Societe Generale France					Sold (part)	11/26/13	J		
327. Societe Generale France					Sold (part)	12/04/13	J	A	
328. Societe Generale France					Sold (part)	12/10/13	J	A	
329. Toyota	A	Dividend	J	T	Buy	05/24/13	J		
330. Toyota					Buy (add'l)	06/06/13	J		
331. Toyota					Buy (add'l)	06/21/13	J		
332. Toyota					Sold (part)	12/02/13	J	A	
333. Toyota					Sold (part)	12/18/13	J		
334. Twenty-First Century Fox					Buy	07/11/13	J		
335. Twenty-First Century Fox					Buy	01/18/13	J		
336. Twenty-First Century Fox	A	Dividend			Sold	11/01/13	J	A	
337. Limited Brands	A	Dividend			Sold	02/22/13	J	B	
338. United Parcel Service	A	Dividend	J	T	Buy	03/18/13	J		
339. United Parcel Service					Buy (add'l)	06/07/13	J		
340. United Parcel Service					Buy (add'l)	11/05/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 24 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

341. Schlumberger	A	Dividend	K	T	Sold (part)	01/16/13	J	A	
342. Schlumberger					Sold (part)	01/29/13	J	B	
343. Schlumberger					Buy (add'l)	06/07/13	J		
344. Schlumberger					Buy (add'l)	11/05/13	K		
345. Schlumberger					Buy (add'l)	11/19/13	J		
346. Time Warner									See Part VIII
347. US Bancorp	A	Dividend	J	T	Buy	03/11/13	J		
348. US Bancorp					Buy (add'l)	06/07/13	J		
349. US Bancorp					Buy (add'l)	11/05/13	J		
350. Verisk Analytics		None	K	T	Buy	11/05/13	K		
351. Visa Inc.	A	Dividend	K	T	Buy	11/05/13	K		
352. Vmware		None	K	T	Buy	11/05/13	J		
353. Access Midstream Partners LP		None	J	T	Buy	12/04/13	J		
354. Amerigas Partners	A	Distribution	J	T	Buy	06/26/13	J		
355. El Paso Pipeline Partners	A	Distribution	J	T	Buy	06/26/13	J		
356. Enbridge Energy Partners	A	Distribution	J	T	Buy	06/26/13	J		
357. Energy Transfer Partners	A	Distribution	J	T	Buy	06/26/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 25 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

358. Energy Transfer Equity LP	A	Distribution	K	T	Buy	06/26/13	K		
359. Enterprise Products Partners		None	L	T	Buy	06/26/13	L		
360. EQT Midstream Partners	A	Distribution	J	T	Buy	07/17/13	J		
361. EV Energy Partners	A	Distribution	J	T	Buy	06/26/13	J		
362. Genesis Energy LP	A	Distribution	K	T	Buy	06/26/13	J		
363. Genesis Energy LP					Buy (add'l)	09/11/13	J		
364. Linn Energy	A	Distribution	J	T	Buy	06/26/13	J		
365. Plains All American Pipeline LP	A	Distribution	K	T	Buy	06/26/13	K		
366. General Electric	A	Dividend	K	T	Buy (add'l)	02/08/13	J		
367. General Electric					Sold (part)	08/13/13	J	A	
368. General Electric					Sold (part)	08/14/13	J	B	
369. General Electric					Buy (add'l)	11/05/13	J		
370. General Electric					Buy (add'l)	11/08/13	J		
371. Travelers Cos.	A	Dividend	J	T					
372. AT & T	A	Dividend	J	T	Sold (part)	01/15/13	J	A	
373. AT & T					Buy (add'l)	06/07/13	J		
374. AT & T					Buy (add'l)	11/05/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. Kinder Morgan Energy LP	A	Distribution	K	T	Buy	06/26/13	K		
376. Kinder Morgan Energy LP					Sold (part)	07/17/13	J	A	
377. Kinder Morgan Energy LP					Sold (part)	08/07/13	J		
378. Kinder Morgan Energy LP					Sold (part)	08/14/13	J		
379. Kinder Morgan Energy LP					Sold (part)	09/11/13	J		
380. Magellan Mainstream Partners LP	A	Distribution	K	T	Buy	06/26/13	J		
381. Magellan Mainstream Partners LP					Buy (add'l)	09/11/13	J		
382. Markwest Energy Partners LP	A	Distribution	K	T	Buy	06/26/13	K		
383. Markwest Energy Partners LP					Buy (add'l)	09/11/13	J		
384. Oneok Partners LP	A	Distribution	K	T	Buy	06/26/13	J		
385. Oneok Partners LP					Buy (add'l)	08/07/13	J		
386. Oneok Partners LP					Buy (add'l)	09/11/13	J		
387. Regency Energy Partners LP	A	Distribution	J	T	Buy	06/26/13	J		
388. Targa Res Partners LP	A	Distribution	J	T	Buy	06/26/13	J		
389. Williams Partners LP	A	Distribution	J	T	Buy	06/26/13	J		
390. Amazon.com		None	K	T	Sold (part)	02/05/13	J	A	
391. Amazon.com					Sold (part)	04/18/13	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 27 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392. Amazon.com					Sold (part)	04/30/13	J	A	
393. Amazon.com					Sold (part)	06/26/13	J	B	
394. Amazon.com					Sold (part)	10/07/13	J	A	
395. Amazon.com					Sold (part)	10/25/13	J	B	
396. Amazon.com					Buy (add'l)	11/05/13	K		
397. Northrup Grumman	A	Dividend	J	T	Buy (add'l)	11/05/13	J		
398. Pfizer	A	Dividend	J	T	Sold (part)	01/09/13	J	B	
399. Pfizer					Buy (add'l)	04/18/13	J		
400. Pfizer					Sold (part)	11/01/13	J	B	
401. Pfizer					Sold (part)	11/05/13	J	A	
402. Kohls									See Part VIII
403. Monsanto	A	Dividend			Sold (part)	06/05/13	J	B	
404. Monsanto					Sold (part)	07/02/13	J	A	
405. Monsanto					Sold	11/01/13	J	C	
406. ADT Corp.		None			Buy (add'l)	04/04/13	J		
407. ADT Corp.					Buy (add'l)	05/03/13	J		
408. ADT Corp.					Sold (part)	07/22/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 28 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
409. ADT Corp.					Sold	07/31/13	J		
410. Vodafone	B	Dividend	K	T	Sold (part)	02/13/13	J	A	
411. Vodafone					Sold (part)	02/15/13	J	A	
412. Vodafone					Sold (part)	02/21/13	J	A	
413. Vodafone					Buy (add'l)	06/26/13	J		
414. Vodafone					Sold (part)	11/01/13	J	A	
415. Vodafone					Buy (add'l)	11/18/13	J		
416. Deere	A	Dividend	J	T	Buy (add'l)	11/05/13	J		
417. EOG Res.	A	Dividend			Sold	02/21/13	J	A	
418. Wells Fargo	A	Dividend	K	T	Buy (add'l)	06/07/13	J	A	
419. Wells Fargo					Buy (add'l)	11/05/13	J		
420. Honeywell International	A	Dividend	J	T	Buy (add'l)	02/08/13	J		
421. Honeywell International					Buy (add'l)	06/07/13	J		
422. Honeywell International					Buy (add'l)	11/05/13	J		
423. Kraft Foods	A	Dividend			Sold	11/01/13	K	B	
424. Kinder Morgan	A	Dividend	J	T	Buy (add'l)	02/08/13	J		
425. Kinder Morgan					Buy (add'l)	04/02/13	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 29 of 49

Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

01/09/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
426. Kinder Morgan					Buy (add'l)	06/07/13	J		
427. Kinder Morgan					Sold (part)	11/01/13	J		
428. Mitsubishi UFJ Financial	A	Dividend	K	T	Buy (add'l)	01/11/13	J		
429. Mitsubishi UFJ Financial					Buy (add'l)	03/26/13	J		
430. Mitsubishi UFJ Financial					Buy (add'l)	04/04/13	J		
431. Mitsubishi UFJ Financial					Buy (add'l)	07/01/13	J		
432. Mitsubishi UFJ Financial					Buy (add'l)	10/17/13	J		
433. Mondelez Intl	A	Dividend	J	T	Buy (add'l)	04/19/13	J		
434. Mondelez Intl					Buy (add'l)	11/05/13	J		
435. General Mills	A	Dividend	J	T	Buy (add'l)	11/05/13	J		
436. Fifth Third Bancorp	A	Dividend	J	T	Buy (add'l)	05/08/13	J		
437. Fifth Third Bancorp					Buy (add'l)	11/05/13	J		
438. Johnson & Johnson	A	Dividend	J	T	Buy (add'l)	01/29/13	J		
439. Johnson & Johnson					Buy (add'l)	06/07/13	J		
440. Trishield Special Situations Fund		None	P1	U					See Part VIII
441. Abbott Labs	A	Dividend	J	T	Buy (add'l)	11/05/13	J		
442. Abbvie	A	Dividend	J	T	Spinoff (from line 441)	01/02/13	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

443. Ace Ltd.	A	Dividend	K	T	Buy (add'l)	06/07/13	J		
444. Ace Ltd.					Buy (add'l)	11/05/13	K		
445. American International Group	A	Dividend			Sold	11/01/13	J	B	
446. Allianz	A	Dividend	J	T	Sold (part)	07/10/13	J	A	
447. Allianz					Sold (part)	08/14/13	J	A	
448. Allianz					Sold (part)	08/22/13	J	A	
449. Allianz					Sold (part)	12/04/13	J	A	
450. Anheuser Busch	A	Dividend			Sold	11/01/13	J	B	
451. Arcelormittal		None			Sold (part)	01/15/13	J		
452. Arcelormittal					Sold	03/04/13	J		
453. AXA	A	Dividend	J	T	Buy (add'l)	03/01/13	J		
454. AXA					Buy (add'l)	07/10/13	J		
455. AXA					Buy (add'l)	08/14/13	J		
456. American Express	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
457. American Express					Buy (add'l)	11/05/13	J		
458. ASML Holding	A	Dividend	J	T	Sold (part)	02/21/13	J	A	
459. ASML Holding					Buy (add'l)	04/04/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

460. ASML Holding					Sold (part)	05/08/13	J	A	
461. ASML Holding					Sold (part)	05/09/13	J	A	
462. ASML Holding					Sold (part)	08/08/13	J	B	
463. ASML Holding					Sold (part)	10/08/13	J	A	
464. ASML Holding					Sold (part)	10/17/13	J	A	
465. ASML Holding					Sold (part)	11/01/13	K	D	
466. Australia & New Zealand Banking Group	A	Dividend	J	T					
467. Bank of Nova Scotia	A	Dividend			Buy (add'l)	06/07/13	J		
468. Bank of Nova Scotia					Sold	07/11/13	J		
469. Barclays PLC	A	Dividend	J	T	Sold (part)	01/31/12	J		
470. Barclays PLC					Sold (part)	09/17/13	J		
471. BASF	A	Dividend	J	T	Sold (part)	03/20/13	J	A	
472. BASF					Buy (add'l)	05/24/13	J		
473. BASF					Buy (add'l)	05/30/13	J		
474. BASF					Sold (part)	07/23/13	J		
475. Bayer	A	Dividend	K	T	Buy (add'l)	02/15/13	J		
476. BG Group	A	Dividend	J	T	Buy	05/20/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes: (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes: (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

477. BG Group					Buy (add'l)	05/21/13	J		
478. BG Group					Buy (add'l)	07/03/13	J		
479. BG Groop					Buy (add'l)	07/10/13	J		
480. BHP Billiton	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
481. BHP Billiton					Buy (add'l)	11/05/13	J		
482. Biogen Idec		None			Sold (part)	07/11/13	J	B	
483. Biogen Idec					Sold	11/01/13	J	C	
484. BNP Paribas	A	Dividend	K	T					
485. Boeing	A	Dividend			Buy (add'l)	01/09/13	J		
486. Boeing					Sold	11/01/13	K	D	
487. Borg Warner		None			Sold	02/04/13	J		
488. BP		None	J	T	Buy	12/04/13	J		
489. Bristol Myers Squibb	A	Dividend	K	T	Sold (part)	01/09/13	J	A	
490. Bristol Myers Squibb					Buy (add'l)	05/09/13	J		
491. Bristol Myers Squibb					Buy (add'l)	06/07/13	J		
492. Bristol Myers Squibb					Sold (part)	11/05/13	J	D	
493. British American Tobacco	A	Dividend			Sold	08/08/13	J	B	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

494. Canon	A	Dividend			Sold (part)	08/22/12	J		
495. Canon					Sold (part)	04/03/13	J		
496. Canon					Sold	04/11/13	J		
497. Caterpillar		None			Sold (part)	03/12/13	J		
498. Caterpillar					Sold	04/03/13	J		
499. CDN National Railway	A	Dividend			Sold (part)	05/08/13	J	A	
500. CDN National Railway					Sold	05/09/13	J	A	
501. Centrica	A	Dividend	J	T	Sold (part)	12/10/13	J	A	
502. China Construction BK	A	Dividend	J	T	Sold (part)	06/19/13	J		
503. China Construction BK					Sold (part)	06/20/13	J		
504. China Construction BK					Buy (add'l)	11/18/13	J		
505. Chubb	A	Dividend	J	T					
506. CNOOC		None			Sold	01/15/13	J	A	
507. Coca Cola	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
508. Coca Cola					Sold (part)	11/01/13	K	C	
509. Coca Cola					Sold (part)	11/05/13	J	A	
510. Conoco Phillips	A	Dividend	J	T	Buy (add'l)	02/16/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

511. Phillips 66	A	Dividend	J	T	Buy (add'l)	11/05/13	J		
512. Cons Energy	A	Dividend			Sold	09/24/13	J		
513. Sherwin Williams	A	Dividend	J	T	Sold	11/01/13	J	B	
514. Deutsche Telekom		None	K	T	Buy	07/11/13	J		
515. Deutsche Telekom					Buy (add'l)	08/14/13	J		
516. Deutsche Telekom					Buy (add'l)	09/17/13	J		
517. Diageo PLC	A	Dividend	J	T					
518. Dominion Resources	A	Dividend	J	T	Buy (add'l)	01/07/13	J		
519. Dominion Resources					Buy (add'l)	09/11/13	J		
520. Dominion Resources					Sold (part)	11/01/13	J	B	
521. Dominion Resources					Sold (part)	11/05/13	J	B	
522. Dupont	A	Dividend	K	T	Buy (add'l)	06/07/13	J		
523. Dupont					Buy (add'l)	11/05/13	J		
524. Enbridge	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
525. Enbridge					Buy (add'l)	11/05/13	J		
526. EQT Corp.		None			Sold	02/08/13	J	B	
527. Experian	A	Dividend			Sold (part)	01/28/13	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
528. Experian					Sold (part)	05/07/13	J	A	
529. Experian					Sold	06/28/13	J	A	
530. Exxon Mobil	A	Dividend	K	T	Buy (add'l)	06/07/13	J		
531. Exxon Mobil					Buy (add'l)	11/05/13	J		
532. Family Dollar Stores	A	Dividend			Sold (part)	10/07/13	J	A	
533. Family Dollar Stores					Sold	11/01/13	J	B	
534. Firstenergy Corp.	A	Dividend			Sold	02/08/13	J	A	
535. GDF Suez	A	Dividend	J	T	Buy (add'l)	10/04/13	J		
536. General Dynamics		None	J		Sold	02/14/13	J		
537. Glaxo SmithKline	A	Dividend	J	T	Sold (part)	01/24/12	J	A	
538. Honda Motor	A	Dividend	J	T	Sold (part)	03/06/13	J	A	
539. Honda Motor					Sold (part)	05/24/13	J		
540. Honda Motor					Sold (part)	06/06/13	J	A	
541. Honda Motor					Buy (add'l)	12/19/13	J		
542. HSBC Holdings	B	Dividend	K	T	Buy (add'l)	06/26/13	J		
543. HBSC Holdings					Sold (part)	09/06/13	J	A	
544. HSBC Holdings					Sold (part)	09/11/13	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A –\$1,000 or less F –\$50,001 - \$100,000	B –\$1,001 - \$2,500 G –\$100,001 - \$1,000,000	C –\$2,501 - \$5,000 H1 –\$1,000,001 - \$5,000,000	D –\$5,001 - \$15,000 H2 –More than \$5,000,000	E –\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J –\$15,000 or less N –\$250,001 - \$500,000 P3 –\$25,000,001 - \$50,000,000	K –\$15,001 - \$50,000 O –\$500,001 - \$1,000,000	L –\$50,001 - \$100,000 P1 –\$1,000,001 - \$5,000,000 P4 –More than \$50,000,000	M –\$100,001 - \$250,000 P2 –\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q –Appraisal U –Book Value	R –Cost (Real Estate Only) V –Other	S –Assessment W –Estimated	T –Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

545. HSBC Holdings					Buy (add'l)	10/15/13	J		
546. HSBC Holdings					Buy (add'l)	10/23/13	J		
547. HSBC Holdings					Buy (add'l)	10/28/13	J		
548. Hutchison Whampoa	A	Dividend	J	T	Sold (part)	07/22/13	J	A	
549. Illumina Inc.		None			Sold (part)	02/13/13	J		
550. Illumina Inc.					Sold (part)	05/08/13	J	A	
551. Illumina Inc.					Sold (part)	08/02/13	J	A	
552. Illumina Inc.					Sold	11/01/13	J	C	
553. ING		None	J	T	Sold (part)	08/28/13	J		
554. ING					Buy (add'l)	12/19/13	J		
555. Intercontinental Hotels	A	Dividend	J	T					
556. Pearson PLC	A	Dividend	J	T	Sold (part)	03/01/13	J		
557. Pearson PLC					Buy (add'l)	07/03/13	J		
558. IBM	A	Dividend	J	T	Buy (add'l)	03/08/13	J		
559. IBM					Buy (add'l)	06/07/13	J		
560. IBM					Sold (part)	11/01/13	J	A	
561. IBM					Sold (part)	11/05/13	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
562. Swedbank		None			Sold	01/11/13	J	B	
563. Teradata		None	J	T	Sold (part)	03/27/13	J		
564. Teradata					Sold (part)	04/04/13	J		
565. LM Ericsson Telefon	A	Dividend	J	T	Sold (part)	04/25/13	J		
566. Lorillard	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
567. Lorillard					Buy (add'l)	11/05/13	J		
568. McDonalds	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
569. McDonalds					Buy (add'l)	11/05/13	J		
570. Mead Westvaco Corp	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
571. Mead Westvaco Corp.					Buy (add'l)	11/05/13	J		
572. Merck	A	Dividend	J	T	Buy (add'l)	04/18/13	J		
573. Merck					Buy (add'l)	11/05/13	J		
574. Natl-Oilwellvarco	A	Dividend	J	T	Buy	11/05/13	J		
575. Natl-Oilwellvarco					Sold (part)	11/19/13	J	A	
576. Nextera Energy	A	Dividend	J	T	Sold (part)	01/23/13	J	B	
577. Nextera Energy					Sold (part)	01/24/13	J	A	
578. Nextera Energy					Buy (add'l)	06/07/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes: (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes: (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
579. Nectera Energy					Buy (add'l)	11/05/13	J		
580. Nippon Tel&tel	A	Dividend			Sold (part)	01/25/13	J		
581. Nippon Tel&tel					Sold (part)	07/17/13	J	A	
582. Nippon Tel&tel					Sold	08/14/13	J	A	
583. Nissan Motor	A	Dividend			Buy (add'l)	01/15/13	J		
584. Nissan Motor					Sold (part)	03/15/13	J	A	
585. Nissan Motor					Sold (part)	04/01/13	J	A	
586. Nissan Motor					Sold	05/24/13	J	A	
587. Northeast Utilities	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
588. Northeast Utilities					Buy (add'l)	11/05/13	J		
589. O'Reilly Automotive		None			Sold (part)	02/07/13	J	A	
590. O'Reilly Automotive					Sold	11/01/13	J	B	
591. Peabody Energy	A	Dividend			Sold	04/03/13	J		
592. Orix	A	Dividend	J	T	Buy (add'l)	06/13/13	J		
593. Philip Morris	A	Dividend	J	T	Buy (add'l)	05/10/13	J		
594. Philip Morris					Buy (add'l)	06/07/13	J		
595. Philip Morris					Sold (part)	11/01/13	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000	E = \$15,001 - \$50,000 P1 = \$1,000,001 - \$5,000,000 P2 = \$5,000,001 - \$25,000,000
2. Value Codes (See Columns C1 and D3)	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	O = \$500,001 - \$1,000,000	P4 = More than \$50,000,000	S = Assessment T = Cash Market	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	W = Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
596. Philip Morris					Sold (part)	11/05/13	J	A	
597. Praxair	A	Dividend	K	T	Buy (add'l)	06/07/13	J		
598. Praxair					Buy (add'l)	11/05/13	K		
599. Precision Castparts	A	Dividend	K	T	Sold (part)	01/18/13	J	A	
600. Precision Castparts					Buy (add'l)	08/13/13	J		
601. Precision Castparts					Buy (add'l)	08/15/13	J		
602. Precision Castparts					Sold (part)	09/26/13	J	B	
603. Precision Castparts					Buy (add'l)	11/05/13	J		
604. Prudential Financial	A	Dividend	J	T	Buy (add'l)	07/11/13	J		
605. Prudential Financial					Buy (add'l)	11/05/13	J		
606. Prudential PLC	A	Dividend	J	T	Sold (part)	05/07/13	J	A	
607. Publis Service Enterprise Group	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
608. Public Service Enterprise Group					Buy (add'l)	11/05/13	J		
609. Roche Holding	A	Dividend	J	T	Sold (part)	01/25/13	J	A	
610. Roche Holding					Sold (part)	07/11/13	J	A	
611. Roche Holding					Buy (add'l)	10/28/13	J		
612. Roche Holding					Buy (add'l)	12/19/13	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
613. Qualcomm	A	Dividend	K	T	Sold (part)	03/06/13	J		
614. Qualcomm					Sold (part)	05/08/13	J	A	
615. Qualcomm					Sold (part)	06/07/13	J	A	
616. Qualcomm					Sold	06/26/13	J		
617. Qualcomm					Buy	11/05/13	J		
618. Qualcomm					Sold (part)	11/19/13	J	A	
619. Range Resources	A	Dividend			Sold (part)	03/06/13	J	A	
620. Range Resources					Sold (part)	03/11/13	J	A	
621. Range Resources					Sold	11/01/13	J	C	
622. Repsol	A	Dividend	J	T	Buy (add'l)	01/28/13	J		
623. Repsol					Buy (add'l)	02/26/13	J		
624. Repsol					Buy (add'l)	09/03/13	J		
625. Repsol					Sold (part)	12/04/13	J		
626. Rio Tinto	A	Dividend	J	T	Sold (part)	01/16/13	J		
627. Rio Tinto					Sold (part)	03/01/13	J		
628. Rio Tinto					Sold (part)	04/03/13	J		
629. Rio Tinto					Buy (add'l)	05/22/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
630. Rio Tinto					Buy (add'l)	05/30/13	J		
631. Rio Tinto					Buy (add'l)	07/23/13	J		
632. Rio Tinto						12/19/13	J		
633. Royal Dutch Shell	A	Dividend	K	T	Sold (part)	11/08/13	J	A	
634. Royal KPN					Sold	04/17/12	J		See Part VIII
635. Salesforce.com		None	K	T	Buy	11/13/13	K		
636. Sandisk	A	Dividend			Sold	10/01/13	J	B	
637. Sanofi	A	Dividend			Sold (part)	03/19/13	J	A	
638. Sanofi					Sold (part)	05/02/13	J	B	
639. Sanofi					Sold (part)	06/26/13	J		
640. Sanofi					Sold (part)	09/10/13	J	A	
641. Sanofi					Sold (part)	11/29/13	J	B	
642. Sanofi					Sold	12/10/13	J	A	
643. Schneider Electric	A	Dividend	J	T	Sold (part)	10/28/13	J	A	
644. Sempra Energy	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
645. Sempra Energy					Buy (add'l)	11/05/13	J		
646. Sumitomo Mitsui Financial	A	Dividend	J	T	Sold (part)	02/15/13	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
647. Sumitomo Mitsui Financial					Sold (part)	03/06/13	J	A	
648. Sumitomo Mitsui Financial					Sold (part)	04/02/13	J		
649. Sumitomo Mitsui Financial					Sold (part)	04/19/13	J	A	
650. Sumitomo Mitsui Financial					Sold (part)	05/23/13	J	A	
651. Sumitomo Mitsui Financial					Sold (part)	11/27/13	J		
652. Vertex Pharmaceutical		None			Sold (part)	04/13/13	J		
653. Vertex Pharmaceutical					Sold (part)	04/22/13	J	A	
654. Vertex Pharmaceutical					Sold (part)	08/27/13	J	A	
655. Vertex Pharmaceutical					Sold (part)	09/20/13	J	B	
656. Vertex Pharmaceutical					Sold	11/01/13	J	B	
657. Toronto Dominion Bank	A	Dividend	J	T	Buy (add'l)	11/05/13	J		
658. Total S.A. France	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
659. Total S.A.France					Buy (add'l)	11/05/13	J		
660. Tullow Oil	A	Dividend			Buy	01/15/13	J		
661. Tullow Oil					Buy (add'l)	02/15/13			
662. Unilever	A	Dividend	J	T	Buy (add'l)	01/29/13	J	A	
663. Unilever					Buy (add'l)	06/07/13	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
664. Unilever					Sold (part)	11/01/13	J	B	
665. Unilever					Sold (part)	11/05/13	J	A	
666. Unilever					Sold (part)	11/19/13	J	A	
667. Union Pacific	A	Dividend			Sold	11/01/13	J	A	
668. Union Pacific					Sold (part)	03/20/12	J	A	
669. United Health Group		None			Sold	02/03/12	J	A	
670. United Technologies	A	Dividend	K	T					
671. United Technologies									
672. United Technologies									
673. US Bancorp	A	Dividend	J	T	Sold (part)	02/16/12	J	A	
674. Verifone Systems		None			Sold (part)	02/16/12	J	A	
675. Verifone Systems					Sold	04/20/12	J	A	
676. Verizon Communications	B	Dividend	K	T	Sold (part)	03/27/13	J	A	
677. Verizon Communications					Buy (add'l)	06/07/13	J		
678. Verizon Communications					Sold (part)	11/01/13	J	C	
679. Verizon Communications					Sold (part)	11/05/13	J	A	
680. VF Corp.	A	Dividend	J	T	Sold (part)	01/18/13	J	B	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
681. VF Corp.					Buy (add'l)	06/07/13	J		
682. VF Corp.					Sold (part)	09/20/13	J	B	
683. VF Corp.					Buy (add'l)	11/05/13	J		
684. Wal Mart	A	Dividend	J	T	Buy (add'l)	06/27/13	J		
685. Wal Mart					Buy (add'l)	08/12/13	J		
686. Wal Mart					Buy (add'l)	08/26/13	J		
687. Wal Mart					Sold (part)	11/01/13	J	B	
688. Wal Mart					Sold (part)	11/05/13	J	A	
689. LinkedIn Corp.		None	K	T	Sold (part)	02/20/13	J	A	
690. LinkedIn Corp.					Sold (part)	03/06/13	J	A	
691. LinkedIn Corp.					Sold (part)	03/27/13	J	C	
692. LinkedIn Corp.					Buy (add'l)	11/05/13	J		
693. Whole Foods Market	A	Dividend	J	T	Buy	04/12/13	J		
694. Whole Foods Market					Sold (part)	11/01/13	J	C	
695. Whole Foods Market					Buy (add'l)	12/03/13	J		
696. Whole Foods Market					Buy (add'l)	12/04/13	J		
697. Weyerhaeuser Co.	B	None	J	T	Buy (add'l)	06/07/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
698. Weyerhaeuser Co.					Buy (add'l)	11/05/13	J		
699. Whole Foods Market	A	Dividend	J	T	Buy	12/03/13	J		
700. Zurich Ins. Group		None			Sold	02/26/13	J	A	
701. 3M Co.	A	Dividend	J	T	Buy (add'l)	06/07/13	J		
702. 3M Co.					Buy (add'l)	11/05/13	J		
703. ishares S & P Mid Cap 400 Index Fund	C	Dividend	N	T	Sold (part)	11/01/13	K	C	
704. ishares S & P Small Cap 600 Index Fund	B	Dividend	M	T	Sold (part)	11/01/13	K	D	
705. JP Morgan International Value SMA Fund	C	Dividend	M	U	Sold (part)	07/11/13	J	A	See Part VIII
706. JP Morgan International Value SMA Fund					Sold (part)	11/01/13	J	A	
707. Oppenheimer Developing Markets Fund	A	Dividend	M	U	Sold (part)	04/24/13	J	A	See Part VIII
708. Oppenheimer Developing Markets Fund					Sold (part)	10/28/13	J	A	
709. Oppenheimer Developing Markets Fund					Buy (add'l)	11/04/13	K		
710. New York Thruway Bond nat 1/16	A	Interest	L	T	Buy	11/19/13	L		
711. New York Thruway Bond mat. 1/22	C	Interest	L	T					
712. Hempstead NY Bond	A	Interest	L	T	Buy	07/15/13	L		
713. NY State Dormitory Authority Bond mat. 7/13	B	Interest			Sold	07/01/13	L		
714. NY State Dormitory Authority Bond mat. 7/19	C	Interest	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
715. NY State Dormitory Bond mat. 2/20	C	Interest	L	T					
716. Roslyn NY Union Free School District Bond	C	Interest	L	T					
717. Arlington NY Cent School Bond	C	Interest	L	T					
718. Onondaga County NY Bond	B	Interest	L	T					
719. Buffalo NY Bond	C	Interest	L	T					
720. NYC Muni WTR Fin Authority Bond	C	Interest	L	T					
721. Massachusetts Bond	C	Interest	L	T					
722. Saratoga CTY NY Bond	A	Interest			Sold	01/07/13	L	A	
723. Town of Babylon NY Bond	C	Interest			Sold	11/15/13	M		
724. Metropolitan Transity Authority Bond	C	Interest	L	T					
725. NY Municipal Water Authority Bond	B	Interest	L	T					
726. Dormitory Auth of NY Bond mat. 7/21	B	Interest	K	T					
727. South Huntington NY Bond	A	Interest			Sold	06/01/13	K		
728. Garden City NY Bond mat.3/14	B	Interest	L	T					
729. Wallkill NY Gent Sch	B	Interest	L	T					
730. Triborough Bridge&Tunnel Authority Bond (2)	C	Interest	L	T					
731. 34th Street Partnership Bond	C	Interest	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
732. Tampa Florida Bond	C	Interest	L	T					
733. Millbrook Golf & Tennis	B	Interest	L	T	Buy	02/07/13	L		
734. NYC Transit Finance Authority Future	B	Interest	L	T	Buy	07/12/13	L		
735. Indiana Bond	B	Interest	L	T					
736.									
737.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, p. 6, l. 40 (Telstra) -- sale omitted from last year's report due to inadvertence..

Part VII, p. 7, l. 58 (American International Group) -- purchase omitted from year's report due to inadvertence.

Part VII, p. 24, l. 343 (Time Warner) -- This asset was included in last year's report due to inadvertence. It was sold on March 10, 2011, value code J, gain code C..

Part VII, p. 27, l. 399 (Kohls) -- This asset was mistakenly reported last year as part sold. In fact all of it was sold.

Part VII, p. 29, l. 437 (Trishield Special Situations Fund) -- Formerly Trishield Distressed Securities Fund.

Part VII, p. 41, l. 631 (Royal KPN) -- Mistakenly reported as part sold on last year's report. In fact was sold.

Part VII, p. 8, l. 85, p. 9, lines 92-93, 95-96 and 101-102, p. 29, l. 437, and p. 45, l. 702 and 704: With respect to your inquiry, all of the assets to which you refer are registered mutual funds. They are not traded on a stock exchange or other public secondary market. Therefore there is no published market price. The only available price is net asset value, which is the same as book value. Accordingly, "U" is the correct value method code, and I have not made the change that you requested.

Part VII, pages 9, 10, and 45, lines 86, 93, 94, 96, 97, 102, 103, 705, and 707 : In my judgment, your assertion that "T" would more accurately reflect the value of mutual funds is incorrect. In fact, as I have previously explained in prior correspondence with the Committee, no secondary market for publicly trading mutual funds shares exists. The price of all mutual fund shares is stated in terms of net asset value, which is synonymous with book value. Since I therefore believe that book value is the appropriate and, in fact, only available valuation method for mutual funds, I have not made the requested change from code "U" to code "T". I recognize that my analysis is not consistent with the relevant instructions, but I trust that you will appreciate that I am unwilling to make an entry on the form which I believe to be incorrect. The other changes that you requested have been made.

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ ALLYNE R. ROSS**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544