

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Orenstein, James	2. Court or Organization U.S. District Court, E.D.N.Y.	3. Date of Report 8/13/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (full-time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. Courthouse 225 Cadman Plaza East 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. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct professor	New York University School of Law
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	New York University School of Law	\$26,955.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2011	Department of Justice -- U.S. Attorney's Office, Eastern District of New York
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Department of Education Direct Loan Servicing	student loan	K
2.			
3.			
4.			
5.			

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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. Chase bank accounts (redacted #2)	A	Interest	J	T					
2. IBM	A	Dividend	J	T					
3. Verizon	A	Dividend	J	T					
4. Nathan Family Real Estate Trust	A	Interest	K	Q					
5. Computershare	A	Dividend	J	T					
6. Frontier Communications Corp	A	Dividend	J	T					
7. (redacted) UBS ACCT (...12)	A	Int./Div.	J	T	Distributed (part)	11/10/11	J		Tr to UBS ...34 line 79
8. --UBS Bank USA Deposit Acct.	A	Interest	J	T					
9. -- UNTS First Trust Target VIP May 2011 Sr.		None	J	T	Buy	05/05/11	J		
10.					Sold (part)	11/10/11	J		
11. -- UNTS FT Target VIP Portf. Feb. 2010 Sr.	A	Dividend			Open	01/01/11	J		See note in Part VIII
12.					Sold	05/03/11	J	B	
13. (redacted) UBS ACCT (...83)		None	M	T					
14. --Cash		None			Spinoff (from line 65)	01/14/11	K		Tr fr UBS ...34 line 65
15. -- Columbia Growth NY 529 Portfolio Class A		None	M	T					
16. (redacted) UBS ROTH (...47)	D	Int./Div.	N	T					
17. --UBS Bank USA Deposit Account		None	J	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	

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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. --UBS Liquid Assets Fund	A	Dividend	K	T	Buy (add'l)	01/10/11	J		
19.					Sold (part)	01/20/11	J		
20.					Sold (part)	01/25/11	J		
21.					Sold (part)	04/25/11	J		
22.					Buy (add'l)	08/15/11	J		
23.					Sold (part)	09/09/11	J		
24.					Sold (part)	10/25/11	J		
25.					Buy (add'l)	11/15/11	J		
26.					Buy (add'l)	12/30/11	J		
27. --Apple Inc		None	K	T	Spinoff (from line 171)	05/02/11	K		Tr fr UBS ...35 line 171
28. --EMC Corp		None	J	T	Buy (add'l)	01/20/11	J		
29. --Google Inc		None	J	T					
30. --EGA Emerging Global Shares	A	Dividend	J	T					
31. --Ishares Trust S&P Smallcap 600 Index Fund	A	Dividend	K	T	Spinoff (from line 172)	05/02/11	K		Tr fr UBS ...35 line 172
32. --Ishares Trust S&P Latin Amer 40 Index Fund	A	Dividend	J	T	Spinoff (from line 173)	05/02/11	J		Tr fr UBS ...35 line 173
33. --SPDR S&P Midcap 400	A	Dividend	K	T	Spinoff (from line 174)	05/02/11	J		Tr fr UBS ...35 line 174
34. --Fidelity Advisor New Insights Fund	A	Dividend	K	T	Spinoff (from line 178)	05/03/11	K		Tr fr UBS ...35 line 178

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	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
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	U = Book Value				

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35. --El Paso Pipeline Partners LP	A	Dividend	J	T					
36. --Nuveen Quality Preferred Income Fund 2	A	Dividend			Sold	01/20/11	J	A	
37. --Nuveen Quality Preferred Income Fund 2	A	Dividend	J	T	Spinoff (from line 175)	05/02/11	J		Tr fr UBS ...35 line 175
38. --Nuveen Quality Preferred Income Fund	A	Dividend			Sold	01/20/11	J	A	
39. --Nuveen Quality Preferred Income Fund	A	Dividend	J	T	Spinoff (from line 176)	05/02/11	J		Tr fr UBS ...35 line 176
40. --Alliance Bernstein High Income Fund	B	Dividend	K	T	Buy (add'l)	01/20/11	J		
41. --Eaton Vance Global Macro Absolute Return Fund	A	Dividend	K	T	Spinoff (from line 179)	05/03/11	J		Tr fr UBS ...35 line 179
42. --Putnam Diversified Income Trust	A	Dividend	J	T					
43. -- Templeton Global Total Return Class A	A	Dividend	K	T	Buy	09/09/11	K		
44.					Buy (add'l)	12/19/11	J		
45. -- SPDR Gold Trust		None	J	T	Spinoff (from line 177)	05/02/11	J		Tr fr UBS ...35 line 177
46. --DWS Floating Rate Plus Fund	B	Dividend			Buy (add'l)	01/20/11	J		
47.					Sold	09/09/11	K		
48. --DWS Enhanced Commodity Strategy Fund A	B	Dividend	K	T	Buy	09/09/11	K		
49.					Buy (add'l)	12/14/11	J		
50. --Putnam Absolute Return 500	A	Dividend	K	T	Buy (add'l)	12/27/11	J		
51. ████████ #2 UBS ROTH (...48)	A	Int./Div.	L	T					

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52. -- UBS Bank USA Dep Acct		None	J	T					
53. -- American Funds Capital World Growth & Income Fund Cl A	A	Dividend	J	T					
54. -- American Funds New World Fund Cl A	A	Dividend	J	T					
55. -- American Funds Smallcap World Fund Cl A	A	Dividend	J	T	Spinoff (from line 198)	06/28/11	J		Tr fr UBS ...79 line 198
56. -- American Funds Euro Pacific Growth Fund Cl A	A	Dividend	J	T					
57. -- American Funds Growth Fund of America Cl A	A	Dividend	J	T					
58. -- American Funds Income Fund of America Cl A	A	Dividend	J	T					
59. -- American Funds New Perspective Fund Cl A	A	Dividend	J	T					
60. -- American Funds Washington Mutual Investors Fund Cl A	A	Dividend	J	T					
61. -- American Funds American Balanced Fund Cl A	A	Dividend	J	T	Spinoff (from line 196)	06/28/11	J		Tr fr UBS ...79 line 196
62. -- Kern County CA Municipal Bond		None	J	T					
63. ■ UBS ACCT (...34)	C	Int./Div.	O	T	Distributed (part)	01/14/11	J		Tr to UBS ...35 line 162
64.					Distributed (part)	01/14/11	J		Tr to UBS ...79 line 191
65.					Distributed (part)	01/14/11	K		Tr to UBS ...83 line 14
66.					Distributed (part)	01/18/11	N		Tr to UBS ...49 line 253
67.					Distributed (part)	03/30/11	K		Tr to UBS ...48 line 201
68.					Distributed (part)	04/01/11	K		Tr to UBS ...48 line 202

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69.					Distributed (part)	04/25/11	J		Tr to UBS ...49 line 256
70.					Distributed (part)	05/16/11	M		Tr to UBS ...49 line 257
71.					Distributed (part)	06/10/11	K		Tr to UBS ...48 line 203
72.					Distributed (part)	06/24/11	K		Tr to UBS ...48 line 204
73.					Distributed (part)	06/28/11	L		Tr to UBS ...48 line 205
74.					Distributed (part)	08/24/11	K		Tr to UBS ...48 line 206
75.					Distributed (part)	09/13/11	K		Tr to UBS ...48 line 207
76.					Distributed (part)	09/19/11	J		Tr to UBS ...48 line 208
77.					Distributed (part)	09/26/11	K		Tr to UBS ...48 line 210
78.					Distributed (part)	10/27/11	J		Tr to UBS ...49 line 259
79.					Spinoff (from line 7)	11/10/11	J		Tr fr UBS ...12 line 7
80. --Cash		None	K	T					
81. -- RMA NY Money Fund	A	Dividend	N	T	Buy (add'l)	01/03/11	J		
82.					Buy (add'l)	01/06/11	P1		
83.					Sold (part)	01/18/11	K		
84.					Sold (part)	01/19/11	N		
85.					Sold (part)	02/25/11	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	

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86.					Sold (part)	03/04/11	K		
87.					Buy (add'l)	03/16/11	J		
88.					Sold (part)	03/31/11	K		
89.					Sold (part)	04/01/11	K		
90.					Sold (part)	04/04/11	K		
91.					Buy (add'l)	04/05/11	J		
92.					Sold (part)	04/08/11	K		
93.					Buy (add'l)	04/12/11	K		
94.					Sold (part)	04/15/11	K		
95.					Sold (part)	04/19/11	J		
96.					Sold (part)	04/20/11	K		
97.					Sold (part)	04/26/11	J		
98.					Buy (add'l)	04/27/11	J		
99.					Buy (add'l)	05/04/11	J		
100.					Buy (add'l)	05/05/11	K		
101.					Buy (add'l)	05/16/11	J		
102.					Sold (part)	05/17/11	M		

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103.					Sold (part)	05/25/11	K		
104.					Buy (add'l)	06/01/11	K		
105.					Buy (add'l)	06/02/11	J		
106.					Sold (part)	06/13/11	K		
107.					Sold (part)	06/21/11	K		
108.					Sold (part)	06/27/11	K		
109.					Sold (part)	06/29/11	L		
110.					Sold (part)	07/01/11	K		
111.					Buy (add'l)	07/08/11	K		
112.					Buy (add'l)	07/18/11	J		
113.					Buy (add'l)	07/27/11	J		
114.					Buy (add'l)	08/15/11	J		
115.					Sold (part)	08/17/11	K		
116.					Sold (part)	08/25/11	K		
117.					Buy (add'l)	09/06/11	J		
118.					Sold (part)	09/14/11	K		
119.					Buy (add'l)	09/16/11	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	

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Orenstein, James

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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.					Sold (part)	09/20/11	J		
121.					Sold (part)	09/26/11	K		
122.					Sold (part)	09/27/11	K		
123.					Buy (add'l)	10/18/11	J		
124.					Buy (add'l)	10/28/11	K		
125.					Buy (add'l)	11/14/11	J		
126.					Buy (add'l)	11/15/11	J		
127.					Buy (add'l)	12/02/11	J		
128.					Buy (add'l)	12/07/11	K		
129. -- Stag Indl Inc	A	Dividend	J	T	Buy	04/15/11	K		
130. -- Teekay LNG Partners LP	A	Dividend	K	T	Buy	04/08/11	K		
131. --UNTS FT Target VIP Portf. Feb 2010 SR	A	Dividend			Sold	05/03/11	J	A	
132. --UNTS FT Target VIP Portf. May 2011 SR	A	Dividend	J	T	Buy	05/05/11	J		
133. -- Lehman Bros Holdings Inc. (Defaulted)		None	J	T					
134. -- Sallie Mae Ednotes Callable	A	Interest	J	T					
135. -- Florida State Brd. Ed. Cap. Outlay FSA	A	Interest	J	T					
136. -- Sentinel Short Maturity Govt Fnd	A	Dividend	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	

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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. -- John Hancock New York Venture Annuity		None	M	T					
138. -- Linn Energy LLC Units Resptg Ltd Liability Co Ints		None			Buy	03/04/11	K		
139.					Sold	05/04/11	K	B	
140. -- Universal Display Corp.		None			Buy	03/30/11	J		
141.					Sold	03/30/11	J	A	
142. -- Energy Transfer Partners LP MLP		None			Buy	04/01/11	K		
143.					Sold	04/11/11	K	B	
144. -- Qihoo 360 Technology Co Ltd ADR		None			Buy	04/04/11	J		
145.					Sold	04/04/11	J	B	
146. -- Box Ships Inc		None			Buy	04/19/11	J		
147.					Sold	07/26/11	J		
148. -- Targa Resources Investments		None			Buy	04/26/11	J		
149.					Sold	04/26/11	J	A	
150. -- Mosaic Co.		None			Buy	05/25/11	K		
151.					Sold	05/31/11	K	B	
152. -- Danaher Corp.	A	Dividend			Buy	06/21/11	K		
153.					Sold	07/07/11	K	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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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. -- Kior Inc		None			Buy	06/29/11	K		
155.					Sold	09/02/11	J		
156. -- Enbridge Energy Partners LP MLP	A	Dividend			Buy	07/01/11	K		
157.					Sold	12/06/11	K	B	
158. -- Plains All Amer Pipeline LP Unit Ltd		None			Buy	08/17/11	K		
159.					Sold	10/27/11	K	B	
160. -- Realty Income Corp MD SBI	A	Dividend			Buy	09/26/11	K		
161.					Sold	12/30/11	K	A	
162. ■ UBS ACCT (...35)	A	Dividend			Spinoff (from line 63)	01/14/11	J		Tr fr UBS ...34 line 63
163.					Distributed (part)	05/02/11	L		Tr holdings to UBS ...47
164.					Distributed (part)	05/03/11	K		Tr holdings to UBS ...47
165.					Distributed (part)	05/17/11	J		Tr holdings to UBS ...47
166.					Distributed	07/21/11	J		Tr holdings to UBS ...47
167. -- UBS Liquid Assets Fund		Dividend			Buy (add'l)	01/18/11	J		
168.					Sold (part)	01/20/11	J		
169.					Sold (part)	04/25/11	J		
170.					Sold	07/21/11	J		

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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. -- Apple Inc.		None			Distributed	05/02/11	K		Tr to UBS ...47 line 27
172. -- Ishares Trust S&P Smallcap 600 Index Fund	A	Dividend			Distributed	05/02/11	K		Tr to UBS ...47 line 31
173. -- Ishares Trust S&P Latin Amer 40 Index Fund	A	Dividend			Distributed	05/02/11	J		Tr to UBS ...47 line 32
174. -- SPDR S&P Midcap 400	A	Dividend			Distributed	05/02/11	K		Tr to UBS ...47 line 33
175. -- Nuveen Quality Preferred Income Fund 2	A	Dividend			Distributed	05/02/11	J		Tr to UBS ...47 line 37
176. -- Nuveen Quality Pfd Income Fd	A	Dividend			Distributed	05/02/11	J		Tr to UBS ...47 line 39
177. -- SPDR Gold Trust		None			Distributed	05/02/11	J		Tr to UBS ...47 line 45
178. -- Fidelity Advisor New Insights Fund	A	Dividend			Distributed	05/03/11	K		Tr to UBS ...47 line 34
179. -- Eaton Vance Global Macro Absolute Return Fund A	A	Dividend			Distributed (part)	05/03/11	J		Tr to UBS ...47 line 41
180.					Distributed	05/17/11	J		Tr to UBS ...47 line 41
181. ■ UBS ACCT (...29)		None	M	T					
182. --Cash		None							
183. -- Bond Fund of America		None	K	T					
184. -- Capital World Growth & Income Fund		None	K	T					
185. -- Euro Pac Growth Fund		None	K	T					
186. -- Growth Fund of America		None	K	T					
187. -- Income Fund of America		None	K	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	

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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. -- New Perspective Fund		None	K	T					
189. -- Smallcap World Fund		None	K	T					
190. -- Washington Mutual Investors Fund		None	K	T					
191. █████ #2 UBS ACCT (...79)	A	Int./Div.			Spinoff (from line 64)	01/14/11	J		Tr fr UBS ...34 line 64
192.					Distributed	06/28/11	K		Tr holdings to UBS ...47
193. -- UBS Bank USA Dep Acct	A	Interest							
194. --American Funds American Balanced Fund C1 A	A	Dividend			Buy (add'l)	03/07/11	J		
195.					Buy (add'l)	06/08/11	J		
196.					Distributed	06/28/11	J		Tr to UBS ...47 line 61
197. -- American Funds Smallcap World Fund C1 A					Buy	01/14/11	J		
198.					Distributed	06/28/11	J		Tr to UBS ...47 line 55
199. █████ UBS ACCT (...48)	B	Int./Div.	P1	T	Distributed (part)	01/24/11	J		Tr to UBS ...49 line 254
200.					Distributed (part)	02/01/11	J		Tr to UBS ...49 line 256
201.					Spinoff (from line 67)	03/30/11	K		Tr fr UBS ...34 line 67
202.					Spinoff (from line 68)	04/01/11	K		Tr fr UBS ...34 line 68
203.					Spinoff (from line 71)	06/10/11	K		Tr fr UBS ...34 line 71
204.					Spinoff (from line 72)	06/24/11	K		Tr fr UBS ...34 line 72

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		

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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.					Spinoff (from line 73)	06/28/11	L		Tr fr UBS ...34 line 73
206.					Spinoff (from line 74)	08/24/11	K		Tr fr UBS ...34 line 74
207.					Spinoff (from line 75)	09/13/11	K		Tr fr UBS ...34 line 75
208.					Spinoff (from line 76)	09/19/11	J		Tr fr UBS ...34 line 76
209.					Spinoff (from line 258)	09/26/11	K		Tr fr UBS ...49 line 258
210.					Spinoff (from line 77)	09/26/11	K		Tr fr UBS ...34 line 77
211. -- UBS Bank USA Dep Acct	A	Interest	J	T					
212. -- UNTS AAM Global Gold Income Portf	A	Dividend	K	T					
213. -- Oppenheimer Developing Markets Fund Cl A	A	Dividend			Distributed	01/18/11	K		Tr to UBS ...49 line 352
214. -- Long Island NY Pwr Elec Municipal Bonds		None	M	T					
215. -- NYC Water Municipal Bonds	B	Interest	M	T					
216. -- NYS Dorm Municipal Bond		None	L	T	Buy (add'l)	08/23/11	K		
217. -- Oklahoma City OK Municipal Bond		None	K	T					
218. -- Indiana Transn Fin Auth Municipal Bond		None	L	T	Buy	01/13/11	L		
219. -- Yorba Linda CA Municipal Bond		None	J	T					
220. -- Clark Co Wash Vancouver Ser C Municipal Bond		None	J	T	Buy	01/13/11	J		
221. -- DC Washington Mandarin Hotel Municipal Bond		None	K	T					

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

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

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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. -- Wentzville MO Sch Municipal Bond		None	K	T					
223. -- New Jersey St Transn Municipal Bond		None	K	T					
224. -- NYS Urb Dev Bond		None			Redeemed	07/01/11	J		
225. -- Palo Alto CA Municipal Bond		None	K	T					
226. -- Coppell Tex ISD Municipal Bond		None	K	T	Buy	01/13/11	K		
227. -- Adams 12 Five Star Schs Colo Municipal Bond		None	K	T	Buy	09/23/11	K		
228. -- New York City SR A Municipal Bond		None	J	T	Buy	06/28/11	J		
229. -- Brock Tex Indpt Sch Dst Municipal Bond		None	K	T	Buy	06/09/11	K		
230. -- Prosper Tx Isd Rfdg Bk Municipal Bond		None	K	T	Buy	02/03/11	K		
231. -- Salem-Keizer OR Municipal Bond		None	K	T					
232. -- Medina Valley TX Municipal Bond		None	K	T					
233. -- San Rafael CA City Hi GH Municipal Bond		None	L	T	Buy	09/12/11	K		
234. -- Utah Tran Auth Sales Tax Municipal Bond		None	K	T	Buy	06/28/11	J		
235.					Buy (add'l)	08/23/11	J		
236. -- Desert Calif Cmty Clge Municipal Bond		None	K	T	Buy	06/24/11	K		
237. -- Lewisville TX Municipal Bonds		None	K	T					
238. -- Manhattan Beach USD Cal Municipal Bond		None	K	T	Buy	07/12/11	K		

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		

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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. -- Chicago IL Bd of Ed Municipal Bond		None	K	T					
240. -- Athens-Clarke Conty GA Municipal Bond		None	K	T	Buy	09/16/11	J		
241. -- Illinois Dev Fin Au Reti Hsg Municipal Bond		None	K	T	Buy	02/03/11	K		
242. -- Monterey Peninsula CA Municipal Bond		None	K	T	Buy	06/24/11	K		
243. -- Chicago IL Lakefront Municipal Bond		None	K	T	Buy	03/31/11	K		
244. -- Houston TX Wtr & Swr Municipal Bond		None	L	T	Buy	01/13/11	L		
245. -- Washington State Ser E Municipal Bond		None	L	T					
246. -- NJ Trans Trust Ser C Municipal Bond		None	L	T	Buy	03/16/11	K		
247.					Buy (add'l)	07/12/11	K		
248. -- San Joaquin Delta Comnty Ser B Municipal Bond		None	K	T	Buy	01/13/11	K		
249. -- Denton TX Indep Sch Municipal Bond		None	K	T	Buy	03/29/11	K		
250. -- Mesquite TX ISD Municipal Bond		None	K	T					
251. -- Washington St Mtr Vehicl Municipal Bond		None	K	T	Buy	01/13/11	K		
252. -- Ennis TX Indpt Sch Dst Municipal Bond		None	J	T	Buy	03/31/11	J		
253. UBS ACCT (...49)	E	Int./Div.	P1	T	Spinoff (from line 66)	01/18/11	N		Tr fr UBS ...34 line 66
254.					Spinoff (from line 199)	01/24/11	K		Tr fr UBS ...48 line 199
255.					Spinoff (from line 200)	02/01/11	J		Tr fr UBS ...48 line 200

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	

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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.					Spinoff (from line 69)	04/25/11	J		Tr fr UBS ...34 line 69
257.					Spinoff (from line 70)	05/16/11	M		Tr fr UBS ...34 line 70
258.					Distributed (part)	09/26/11	K		Tr to UBS ...49 line 209
259.					Spinoff (from line 78)	10/27/11	J		Tr fr UBS ...34 line 78
260. -- RMA Government Portfolio		None	J	T	Buy (add'l)	01/06/11	L		
261.					Buy (add'l)	01/12/11	J		
262.					Sold (part)	01/18/11	L		
263.					Buy (add'l)	01/19/11	N		
264.					Sold (part)	01/20/11	N		
265.					Sold (part)	01/24/11	J		
266.					Buy (add'l)	01/25/11	J		
267.					Sold (part)	02/02/11	J		
268.					Buy (add'l)	02/15/11	J		
269.					Buy (add'l)	02/28/11	J		
270.					Buy (add'l)	03/02/11	J		
271.					Buy (add'l)	03/16/11	J		
272.					Buy (add'l)	03/31/11	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	

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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.					Buy (add'l)	04/04/11	J		
274.					Sold (part)	04/19/11	J		
275.					Sold (part)	04/25/11	J		
276.					Buy (add'l)	04/26/11	J		
277.					Buy (add'l)	04/29/11	J		
278.					Buy (add'l)	05/03/11	J		
279.					Buy (add'l)	05/16/11	J		
280.					Buy (add'l)	05/17/11	M		
281.					Sold (part)	05/18/11	K		
282.					Sold (part)	05/19/11	L		
283.					Sold (part)	05/23/11	J		
284.					Buy (add'l)	05/24/11	K		
285.					Buy (add'l)	05/31/11	J		
286.					Buy (add'l)	06/02/11	J		
287.					Buy (add'l)	06/17/11	J		
288.					Buy (add'l)	06/28/11	J		
289.					Buy (add'l)	06/30/11	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	

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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.					Buy (add'l)	07/05/11	J		
291.					Sold (part)	07/25/11	J		
292.					Buy (add'l)	07/29/11	J		
293.					Buy (add'l)	08/02/11	J		
294.					Buy (add'l)	08/15/11	J		
295.					Buy (add'l)	08/29/11	J		
296.					Buy (add'l)	08/31/11	J		
297.					Buy (add'l)	09/02/11	J		
298.					Buy (add'l)	09/19/11	J		
299.					Sold (part)	09/27/11	K		
300.					Buy (add'l)	09/30/11	J		
301.					Buy (add'l)	10/04/11	J		
302.					Sold (part)	10/25/11	J		
303.					Buy (add'l)	10/31/11	J		
304.					Buy (add'l)	11/02/11	J		
305.					Buy (add'l)	11/15/11	J		
306.					Buy (add'l)	11/29/11	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	

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☐ 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.					Buy (add'l)	11/30/11	J		
308.					Buy (add'l)	12/02/11	J		
309.					Sold (part)	12/12/11	J		
310.					Buy (add'l)	12/19/11	J		
311.					Buy (add'l)	12/30/11	J		
312. -- Apple Computer Inc		None	L	T					
313. -- AT&T Inc		None	K	T	Buy (add'l)	01/28/11	J		
314. -- Centurylink Inc		None	K	T	Spinoff (from line 322)	04/01/11	J		See Part VIII re merger
315.					Sold (part)	04/01/11	J	A	
316. -- Johnson & Johnson Com	A	Dividend	K	T	Buy (add'l)	01/14/11	K		
317.					Buy (add'l)	06/14/11	J		
318. -- Lorillard Inc	A	Dividend	K	T	Buy (add'l)	03/11/11	J		
319.					Buy (add'l)	06/10/11	J		
320.					Buy (add'l)	09/12/11	J		
321.					Buy (add'l)	12/12/11	J		
322. -- Qwest Communications Intl Inc.	A	Dividend			Distributed (part)	04/01/11	K		See Part VIII re merger
323. -- Salesforce.com Inc		None	J	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	

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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. -- Teekay Tankers Ltd					Sold	01/18/11	K	B	
325.					Buy	01/19/11	K		
326.					Buy (add'l)	05/18/11	J		
327.					Sold	12/09/11	K		
328. -- Eaton Vance Tax Managed Buy Write Opportunities Fund		None	J	T					
329. -- Eaton Vance Tax Managed Diversified Equity Income Fund		None	J	T					
330. -- iShares Trust S&P Latin Amer 40 Index Fund		None	J	T					
331. -- Blackrock U.S. Opportunities	A		J	T	Buy (add'l)	01/14/11	J		
332.					Buy (add'l)	12/12/11	J		
333. -- FBR Small Cap Fund Investor Class	A	Dividend	L	T	Buy	12/09/11	L		
334. -- Fidelity Advisor New Insights Fund C1 A	A	Dividend	L	T	Buy	01/14/11	K		
335.					Buy (add'l)	02/11/11	J		
336.					Buy (add'l)	05/16/11	K		
337. -- JP Morgan U.S. Large Cap Core Plus Fund A	A	Dividend	K	T	Buy	05/16/11	K		
338.					Buy (add'l)	12/21/11	J		
339. -- Miller Convertible Fund Class A	B	Dividend	L	T	Buy	01/14/11	K		
340.					Buy (add'l)	03/15/11	J		

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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	

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	(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.					Buy (add'l)	05/16/11	K		
342.					Buy (add'l)	06/15/11	J		
343.					Buy (add'l)	12/15/11	J		
344. -- Neuberger Berman Equity Income Fund Class A	C	Dividend	M	T	Buy	01/14/11	L		
345.					Buy (add'l)	03/24/11	J		
346.					Buy (add'l)	05/16/11	K		
347.					Buy (add'l)	06/23/11	J		
348.					Buy (add'l)	09/26/11	J		
349.					Buy (add'l)	12/16/11	J		
350. -- Oakmark Fund Class I	A	Dividend	K	T	Buy	01/14/11	K		
351.					Buy (add'l)	12/19/11	J		
352. -- Oppenheimer Developing Markets Fund Cl A	B	Distribution	L	T	Spinoff (from line 213)	01/14/11	K		Tr fr UBS ...48 line 213
353.					Buy (add'l)	12/12/11	J		
354. -- Kinder Morgan Energy Partners MLP	B	Dividend	K	T					
355. -- DWS Municipal Income Trust	B	Dividend	K	T	Buy	01/14/11	K		
356. -- Nuveen Ins Muni Opport Fd	B	Dividend	K	T	Buy	01/14/11	K		
357. -- Nuveen Prem Income Mun Fund 2 Inc	B	Dividend	K	T	Buy	01/14/11	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	

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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. -- Artio Global High Income Fund Class A	C	Dividend	K	T	Buy (add'l)	01/14/11	J		
359.					Buy (add'l)	01/28/11	J		
360.					Buy (add'l)	02/25/11	J		
361.					Buy (add'l)	03/30/11	J		
362.					Buy (add'l)	04/28/11	J		
363.					Buy (add'l)	05/27/11	J		
364.					Buy (add'l)	06/29/11	J		
365.					Buy (add'l)	07/28/11	J		
366.					Buy (add'l)	08/30/11	J		
367.					Buy (add'l)	09/29/11	J		
368.					Buy (add'l)	10/28/11	J		
369.					Buy (add'l)	11/29/11	J		
370.					Buy (add'l)	12/28/11	J		
371. -- Loomis Sayles Strategic Income Fund Class A	B	Dividend	K	T	Buy (add'l)	01/26/11	J		
372.					Buy (add'l)	02/22/11	J		
373.					Buy (add'l)	12/20/11	J		
374. -- Mainstay High Yield Opportunity Class A	B	Dividend	K	T	Buy	01/14/11	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	

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	(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.					Buy (add'l)	01/31/11	J		
376.					Buy (add'l)	02/28/11	J		
377.					Buy (add'l)	12/13/11	J		
378. -- Putnam Diversified Income Trust Class A	C	Dividend	K	T	Buy (add'l)	01/14/11	J		
379.					Buy (add'l)	02/15/11	J		
380.					Buy (add'l)	03/15/11	J		
381.					Buy (add'l)	04/14/11	J		
382.					Buy (add'l)	05/16/11	J		
383.					Buy (add'l)	06/14/11	J		
384.					Buy (add'l)	07/14/11	J		
385.					Buy (add'l)	08/16/11	J		
386.					Buy (add'l)	09/14/11	J		
387.					Buy (add'l)	10/14/11	J		
388.					Buy (add'l)	11/15/11	J		
389.					Buy (add'l)	12/20/11	J		
390. -- Gateway Fund Class A	A	Dividend	K	T					
391. -- Hatteras Alpha Hedged Strategies Fund	A	Dividend	K	T	Buy	05/16/11	K		

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		

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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. -- First Eagle Gold Fund Class A	A	Dividend	K	T	Buy (add'l)	12/13/11	J		
393. -- First Eagle Global Fund Class A	A	Dividend	L	T	Buy	01/14/11	L		
394.					Buy (add'l)	12/13/11	J		
395. -- Dreyfus Small Company Value Fund	D	Dividend			Buy	01/14/11	L		
396.					Buy (add'l)	12/08/11	J		
397.					Sold	12/09/11	L		

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	

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

Part VII, generally: For all asset sales resulting in a loss or no net gain, I have left Column D(4) blank.

Part VII, line 4: The valuation of my share of the [REDACTED] Real Estate Trust is based on an appraisal of the value of the property held in trust as of January 23, 2008 (the date I inherited my share). The appraisal was reported on November 12, 2008.

Part VII, line 11: I inadvertently omitted this asset from my annual report for 2010 (due to reviewing a statement from an inactive account with a similar account number). I respectfully request that my 2010 annual report be deemed to include a line within the report for account ...12 that reports the following: Column B(1) Amount code: A; Column B(2) Type: Dividend; Column C(1) Value code: J; Column C(2) Value Method code: T; Column D(1) Type: Buy; Column D(2) date: 02/23/10; Column D(3) Value code: J.

Part VII, lines 314 & 322: As a result of a merger, my shares of Qwest were exchanged for shares of Centurylink Inc. I was unsure how best to record the transaction in column D(1).

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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/ James Orenstein**

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
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