

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) Pollak, Cheryl L.	2. Court or Organization U.S. District Court, E.D.N.Y.	3. Date of Report 12/19/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Courthouse, E.D.N.Y. 225 Cadman Plaza East Brooklyn, New York 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.)*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. 2013

Morgan Lewis & Bockius - partnership

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. _____

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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.		

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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. Morgan, Lewis & Bockius Defined Contribution Plan	A	Interest	P1	T					
2. - William Blair International Growth Fund - Class I									
3. - Dodge & Cox International Stock Fund									
4. - DFA US Small Cap Portfolio; Class I									
5. - Goldman Sachs Global Income Fund Institutional Shares									
6. Morgan Lewis & Bockius Tax Saver Retirement Plan	A	Interest	O	T					
7. - Conestoga Small Cap Fund - Institutional Class									
8. - Royce Opp. Fund - Institutional Shares									
9. - Vanguard Institutional Index Fund									
10. - Vanguard Admiral Growth Fund									
11. - Vanguard Winter 2 Admiral Fund									
12. - Vanguard Prime Money Market Fund - Institutional Shares									
13. - Vanguard Total Bond Market - Joint Shares									
14. - William Blair International Growth Fund - Class I									
15. - Goldman Sachs Global Income Fund Institutional Shares									
16. Vanguard 500 Index Fund (no control)	A	Interest	O	T					
17. Rental Property Kiawah Island, SC (2010 \$1.8 million)	E	Rent	P1	R					

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 = \$250,000.001 - \$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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18. AB Discovery Growth Fund	A	Dividend	K	T					
19. AB Discovery Value Fund	A	Dividend	K	T					
20. Abercrombie & Fitch Co.	A	Dividend			Buy	08/06/13	J		
21. Abercrombie & Fitch Co.	A	Dividend			Sold	10/11/13	J	A	
22. Affiliated Managers Group	A	Dividend	J	T	Buy (add'l)	02/08/13	J		
23. Allergan Inc.	A	Dividend	J	T	Buy	05/01/13	J		
24. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	05/23/13	J		
25. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	05/24/13	J		
26. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	07/15/13	J		
27. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	07/24/13	J		
28. Allergan Inc.	A	Dividend	J	T	Sold (part)	09/19/13	J	B	
29. Allergan Inc.	A	Dividend	J	T	Sold (part)	09/26/13	J	B	
30. Allergan Inc.	A	Dividend	J	T	Sold (part)	12/03/13	J	B	
31. AllianceBernstein Multi-manager Alternative Fund	A	Dividend	N	T	Buy	02/01/13	N		
32. Amazon.com Inc.	A	Dividend	K	T	Buy (add'l)	06/03/13	J		
33. AMDOCS Ltd.	A	Dividend	J	T	Buy	02/13/13	J		
34. AMDOCS Ltd.	A	Dividend	J	T	Buy (add'l)	05/20/13	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		
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35. AMDOCS Ltd.	A	Dividend	J	T	Buy (add'l)	05/21/13	J		
36. AMDOCS Ltd.	A	Dividend	J	T	Buy (add'l)	10/21/13	J		
37. American Express Co.	A	Dividend	J	T	Buy	05/15/13	J		
38. American Express Co.	A	Dividend	J	T	Buy (add'l)	05/17/13	J		
39. American Express Co.	A	Dividend	J	T	Buy (add'l)	06/28/13	J		
40. American Express Co.	A	Dividend	J	T	Buy (add'l)	08/26/13	J		
41. American Express Co.	A	Dividend	J	T	Buy (add'l)	09/17/13	J		
42. American Express Co.	A	Dividend	J	T	Buy (add'l)	09/18/13	J		
43. American International Group	A	Dividend	J	T	Buy	04/24/13	J		
44. American International Group	A	Dividend	J	T	Buy (add'l)	05/06/13	J		
45. American International Group	A	Dividend	J	T	Buy (add'l)	05/07/13	J		
46. American International Group	A	Dividend	J	T	Buy (add'l)	06/06/13	J		
47. Amgen Inc.	A	Dividend			Sold	05/20/13	J	A	
48. Amphenol Corp.	A	Dividend	J	T	Buy	11/07/13	J		
49. Amphenol Corp.	A	Dividend	J	T	Buy (add'l)	11/15/13	J		
50. Ansys Inc.	A	Dividend	J	T	Buy (add'l)	04/29/13	J		
51. Ansys Inc.	A	Dividend	J	T	Buy (add'l)	05/20/13	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	
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52. Ansys Inc.	A	Dividend	J	T	Buy (add'l)	09/05/13	J		
53. Aon	A	Dividend	J	T	Buy	09/26/13	J		
54. Aon	A	Dividend	J	T	Buy (add'l)	09/30/13	J		
55. Apple Inc.	A	Dividend	K	T	Sold (part)	01/18/13	J	E	
56. Apple Inc.	A	Dividend	K	T	Sold (part)	07/01/13	J	E	
57. Apple Inc.	A	Dividend	K	T	Sold (part)	09/17/13	J	E	
58. Apple Inc.	A	Dividend	K	T	Sold (part)	09/27/13	J	E	
59. Apple Inc.	A	Dividend	K	T	Buy (add'l)	12/03/13	J		
60. Applied Materials Inc.	A	Dividend			Sold (part)	05/07/13	J	A	
61. Applied Materials Inc.	A	Dividend			Sold (part)	08/08/13	J	A	
62. Applied Materials Inc.	A	Dividend			Sold	09/03/13	J	A	
63. Artisan Int'l Fund	A	Dividend	M	T	Buy	01/23/13	J		
64. Artisan Int'l Fund	A	Dividend	M	T	Buy (add'l)	11/21/13	J		
65. Assurant Inc.	A	Dividend	J	T	Buy	12/11/13	J		
66. Astrazeneca	A	Dividend			Sold (part)	02/12/13	J	A	
67. Astrazeneca	A	Dividend			Sold (part)	03/22/13	J	A	
68. Astrazeneca	A	Dividend			Sold (part)	04/08/13	J	A	

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69. Astrazeneca	A	Dividend			Sold (part)	05/20/13	J	A	
70. Astrazeneca	A	Dividend			Sold	06/21/13	J	A	
71. AT&T Inc.	A	Dividend	J	T	Sold (part)	02/08/13	J	A	
72. AT&T Inc.	A	Dividend	J	T	Sold (part)	05/13/13	J	A	
73. Bank of America	A	Dividend	K	T	Buy (add'l)	02/08/13	J		
74. Bank of America	A	Dividend	K	T	Buy (add'l)	02/15/13	J		
75. Bank of America - CD (formerly Citibank NA - CD)	A	Interest	M	T					
76. BB&T Corp.	A	Dividend			Sold (part)	01/10/13	J	A	
77. BB&T Corp.	A	Dividend			Sold	02/12/13	J	A	
78. Becton Dickinson & Co.	A	Dividend	J	T	Sold (part)	08/02/13	J	C	
79. Becton Dickinson & Co.	A	Dividend	J	T	Sold (part)	09/03/13	J	C	
80. Berkshire Hathaway Inc.	A	Dividend	K	T	Sold (part)	08/12/13	J	A	
81. Berkshire Hathaway Inc.	A	Dividend	K	T	Sold (part)	09/20/13	J	A	
82. Bernstein Emerging Markets Portfolio	A	Dividend	K	T	Buy (add'l)	12/10/13	J		
83. Bernstein International Portfolio	B	Dividend	M	T	Sold (part)	01/29/13	J	A	
84. Bernstein International Portfolio	B	Dividend	M	T	Buy (add'l)	12/10/13	J		
85. Bernstein International Portfolio	B	Dividend	M	T	Buy (add'l)	12/30/13	J		

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86.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	01/18/13	J	
87.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	01/22/13	J	
88.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Sold (part)	01/29/13	J	D
89.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	02/20/13	J	
90.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	03/20/13	J	
91.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	04/19/13	J	
92.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	05/20/13	J	
93.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	06/20/13	J	
94.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	07/19/13	J	
95.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	08/20/13	J	
96.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	09/20/13	J	
97.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	09/26/13	J	
98.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	09/27/13	J	
99.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	10/18/13	J	
100.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	11/20/13	J	
101.	Bernstein New York Municipal Portfolio	F	Dividend	P1	T	Buy (add'l)	12/20/13	J	
102.	Bernstein Tax Managed International Portfolio	D	Dividend	N	T	Buy (add'l)	12/10/13	L	

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103. Bernstein Tax Managed International Portfolio	D	Dividend	N	T	Sold (part)	12/30/13	L	D	
104. Bernstein Tax-Aware Overlay A Portfolio Class A - (no control)	B	Dividend	N	T	Sold (part)	01/29/13	K	F	
105. Bernstein Tax-Aware Overlay N Portfolio Class 1 ((no control)	D	Dividend	P1	T	Buy (add'l)	12/17/13	J		
106. Biogen Idec Inc.	A	Dividend	K	T	Sold (part)	09/05/13	J	D	
107. Biogen Idec Inc.	A	Dividend	K	T	Sold (part)	09/26/13	J	D	
108. Blackrock Global Allocations Fd Inc.	A	Dividend	L	T					
109. Boeing Co.	A	Dividend	K	T	Buy	05/10/13	J		
110. Boeing Co.	A	Dividend	K	T	Buy (add'l)	05/21/13	J		
111. Boeing Co.	A	Dividend	K	T	Buy (add'l)	05/24/13	J		
112. BP	A	Dividend			Sold	02/19/13	J	A	
113. Campbell Soup Co.	A	Dividend			Buy	04/03/13	J		
114. Campbell Soup Co.	A	Dividend			Sold (part)	05/17/13	J	A	
115. Campbell Soup Co.	A	Dividend			Sold (part)	06/07/13	J	A	
116. Campbell Soup Co.	A	Dividend			Buy (add'l)	09/03/13	J		
117. Campbell Soup Co.	A	Dividend			Buy (add'l)	10/09/13	J		
118. Campbell Soup Co.	A	Dividend			Sold (part)	10/28/13	J	A	
119. Campbell Soup Co.	A	Dividend			Sold	11/13/13	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	

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Name of Person Reporting

Pollak, Cheryl L.

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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. Capital One Financial Corp.	A	Dividend	J	T	Buy	04/04/13	J		
121. CBS Corp.	A	Dividend	J	T	Buy	06/19/13	J		
122. CBS Corp.	A	Dividend	J	T	Buy (add'l)	07/16/13	J		
123. Celgene Corp.	A	Dividend	J	T	Buy	03/22/13	J		
124. Celgene Corp.	A	Dividend	J	T	Buy (add'l)	03/26/13	J		
125. Celgene Corp.	A	Dividend	J	T	Buy (add'l)	07/01/13	J		
126. Celgene Corp.	A	Dividend	J	T	Buy (add'l)	07/16/13	J		
127. Chevron Corp.	A	Dividend	J	T	Sold (part)	08/23/13	J	A	
128. Chevron Corp.	A	Dividend	J	T	Buy (add'l)	11/18/13	J		
129. Chipotle Mexican Grill	A	Dividend	J	T	Sold (part)	02/08/13	J	C	
130. Chipotle Mexican Grill	A	Dividend	J	T	Sold (part)	03/07/13	J	C	
131. Chubb Corp.	A	Dividend	J	T	Buy	03/22/13	J		
132. Chubb Corp.	A	Dividend	J	T	Buy (add'l)	03/26/13	J		
133. Chubb Corp.	A	Dividend	J	T	Buy (add'l)	06/14/13	J		
134. Cintas Corp.	A	Dividend	K	T					
135. Cisco Systems Inc.	A	Dividend	J	T	Sold (part)	04/05/13	J	B	
136. Cisco Systems Inc.	A	Dividend	J	T	Sold (part)	09/26/13	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 \$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. Cisco Systems Inc.	A	Dividend	J	T	Sold (part)	11/18/13	J	B	
138. Cit Group Inc.	A	Dividend	J	T	Sold (part)	09/26/13	J	C	
139. Citibank-Checking	B	Interest	K	T					
140. Citibank Insured Money Mkt Acct.	A	Interest	J	T					
141. Citibank Insured Money Mkt. Acct.	A	Interest	K	T					
142. Citibank Insured Money Mkt Acct.	A	Interest	J	T					
143. Citibank-Insured Money Market	C	Interest	K	T					
144. Citibank-Insured Money Market	C	Interest	K	T					
145. Citigroup Inc.	A	Dividend	K	T	Sold (part)	01/11/13	J	D	
146. Citigroup Inc.	A	Dividend	K	T	Sold (part)	02/26/13	J	D	
147. Citigroup Inc.	A	Dividend	K	T	Sold (part)	03/21/13	J	D	
148. Citrix Systems Inc.	A	Dividend			Buy (add'l)	01/07/13	J		
149. Citrix Systems Inc.	A	Dividend			Sold (part)	02/08/13	J	A	
150. Citrix Systems Inc.	A	Dividend			Sold (part)	03/05/13	J	A	
151. Citrix Sytems Inc.	A	Dividend			Sold (part)	07/01/13	J	A	
152. Citrix Sytems Inc.	A	Dividend			Sold (part)	07/02/13	J	A	
153. Citrix Sytems Inc.	A	Dividend			Sold (part)	07/19/13	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 \$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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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. Citrix Sytems Inc.	A	Dividend			Sold	11/14/13	J	A	
155. Clearbridge Appreciation Fund	B	Dividend	M	T					
156. Coach Inc.	A	Dividend			Sold (part)	02/01/13	J	A	
157. Coach Inc.	A	Dividend			Sold	03/08/13	J	A	
158. Cognizant Tech Solutions	A	Dividend	K	T	Buy (add'l)	02/08/13	J		
159. Cognizant Tech Solutions	A	Dividend	K	T	Buy (add'l)	04/30/13	J		
160. Cognizant Tech Solutions	A	Dividend	K	T	Buy (add'l)	05/09/13	J		
161. Cognizant Tech Solutions	A	Dividend	K	T	Buy (add'l)	05/28/13	J		
162. Cognizant Tech Solutions	A	Dividend	K	T	Sold (part)	09/26/13	J	C	
163. Cognizant Tech Solutions	A	Dividend	K	T	Sold (part)	10/15/13	J	C	
164. Comcast Corp.	A	Dividend	J	T	Sold (part)	09/26/13	J	D	
165. Conagra Foods Inc.	A	Dividend	J	T	Buy	01/10/13	J		
166. Conagra Foods Inc.	A	Dividend	J	T	Sold (part)	09/26/13	J	B	
167. Conagra Foods, Inc.	A	Dividend	J	T	Buy (add'l)	10/31/13	J		
168. Conagra Foods, Inc.	A	Dividend	J	T	Buy (add'l)	11/01/13	J		
169. Costco Wholesale Corp.	A	Dividend	J	T	Buy	05/30/13	J		
170. Costco Wholesale Corp.	A	Dividend	J	T	Buy (add'l)	06/05/13	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	

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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)
171. Costco Wholesale Corp.	A	Dividend	J	T	Buy (add'l)	10/18/13	J		
172. Costco Wholesale Corp.	A	Dividend	J	T	Buy (add'l)	10/25/13	J		
173. Costco Wholesale Corp.	A	Dividend	J	T	Buy (add'l)	11/21/13	J		
174. Crane Co.	A	Dividend	K	T					
175. CST Brands Inc.	A	Dividend			Sold	05/03/13	J	A	
176. CVS / Caremark Corp.	A	Dividend	J	T	Buy	11/18/13	J		
177. CVS / Caremark Corp.	A	Dividend	J	T	Buy (add'l)	12/06/13	J		
178. Danaher Corp.	A	Dividend	K	T	Buy (add'l)	07/15/13	J		
179. Davis NY Venture Fund - Mutual Fund	A	Dividend	M	T	Sold (part)	01/03/13	J	A	
180. Delta Air Lines, Inc.	A	Dividend			Sold (part)	01/23/13	J	A	
181. Delta Air Lines, Inc.	A	Dividend			Sold (part)	03/21/13	J	A	
182. Delta Air Lines, Inc.	A	Dividend			Sold (part)	09/26/13	J	A	
183. Delta Air Lines, Inc.	A	Dividend			Sold (part)	10/10/13	J	A	
184. Delta Air Lines, Inc.	A	Dividend			Sold	10/11/13	J	A	
185. Diamond Offshore Drilling	A	Dividend			Sold (part)	04/16/13	J	A	
186. Diamond Offshore Drilling	A	Dividend			Sold	08/26/13	J	A	
187. DIRECTV	A	Dividend			Sold	02/27/13	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	

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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)
188. Discover Financial Services	A	Dividend	J	T	Sold (part)	09/26/13	J	B	
189. Dreyfus Liquid Assets	A	Interest	J	T					
190. Duke Energy	A	Dividend	J	T					
191. Eaton Corp.	A	Dividend	J	T	Sold (part)	08/15/13	J	C	
192. Ebay Inc.	A	Dividend	J	T	Buy (add'l)	02/08/13	J		
193. Ebay Inc.	A	Dividend	J	T	Buy (add'l)	03/19/13	J		
194. Ebay Inc.	A	Dividend	J	T	Sold (part)	11/21/13	J	B	
195. Electronic Arts Inc.	A	Dividend	J	T	Buy	05/28/13	J		
196. Electronic Arts Inc.	A	Dividend	J	T	Buy (add'l)	11/01/13	J		
197. Electronic Arts Inc.	A	Dividend	J	T	Buy (add'l)	11/06/13	J		
198. EMC Corp/Mass	A	Dividend			Buy	07/25/13	J		
199. EMC Corp/Mass	A	Dividend			Buy (add'l)	07/30/13	J		
200. EMC Corp/Mass	A	Dividend			Buy (add'l)	08/26/13	J		
201. EMC Corp/Mass	A	Dividend			Sold (part)	10/16/13	J	A	
202. EMC Corp/Mass	A	Dividend			Sold	10/24/13	J	A	
203. Empire State Municipal Exempt Fund	A	Interest	J	T					
204. EOG RES Inc.	A	Dividend	J	T	Buy (add'l)	02/13/13	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		

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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. EOG RES Inc.	A	Dividend	J	T	Sold (part)	07/25/13	J	A	
206. EOG RES Inc.	A	Dividend	J	T	Sold (part)	09/09/13	J	A	
207. EOG RES Inc.	A	Dividend	J	T	Sold (part)	10/04/13	J	A	
208. Everest RE Group Ltd.	A	Dividend	J	T	Buy	01/04/13	J		
209. Everest RE Group Ltd.	A	Dividend	J	T	Buy (add'l)	03/04/13	J		
210. Everest RE Group Ltd.	A	Dividend	J	T	Sold (part)	05/23/13	J	C	
211. Exelon	A	Dividend	K	T					
212. Express Scripts Holdings Co.	A	Dividend	J	T					
213. Exxon Mobil Corp.	A	Dividend			Sold (part)	02/08/13	J	A	
214. Exxon Mobil Corp.	A	Dividend			Buy (add'l)	03/12/13	J		
215. Exxon Mobil Corp.	A	Dividend			Sold (part)	04/12/13	J	A	
216. Exxon Mobil Corp.	A	Dividend			Sold (part)	07/16/13	J	A	
217. Exxon Mobil Corp.	A	Dividend			Sold	09/12/13	J	A	
218. F5 Networks Inc.	A	Dividend			Buy (add'l)	02/08/13	J		
219. F5 Networks Inc.	A	Dividend			Sold (part)	03/15/13	J	A	
220. F5 Networks Inc.	A	Dividend			Sold (part)	06/06/13	J	A	
221. F5 Networks Inc.	A	Dividend			Sold	06/12/13	J	A	

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 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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) U = Book Value	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)
222. Fedex Corp.	A	Dividend	J	T	Buy	11/21/13	J		
223. Fidelity National Financial	A	Dividend			Sold (part)	10/18/13	J	C	
224. Fidelity National Financial	A	Dividend			Sold	10/24/13	J	C	
225. Fidelity National Information	A	Dividend	J	T					
226. Fiserv Inc.	A	Dividend	J	T	Buy (add'l)	01/08/13	J		
227. Fiserv Inc.	A	Dividend	J	T	Buy (add'l)	05/21/13	J		
228. Fiserv Inc.	A	Dividend	J	T	Sold (part)	07/15/13	J	B	
229. Ford Motor Co.	A	Dividend	J	T	Buy (add'l)	02/08/13	J		
230. Gamestop Corp.	A	Dividend	J	T	Buy	02/11/13	J		
231. Gamestop Corp.	A	Dividend	J	T	Sold (part)	09/26/13	J	B	
232. Gannett Co.	A	Dividend	J	T	Buy	10/14/13	J		
233. General Electric Co.	A	Dividend			Sold (part)	07/16/13	J	A	
234. General Electric Co.	A	Dividend			Sold (part)	08/19/13	J	A	
235. General Electric Co.	A	Dividend			Sold	08/26/13	J	A	
236. General Motors Corp.	A	Dividend	J	T	Buy	12/17/13	J		
237. Genworth Financial Inc.	A	Dividend	J	T	Buy	06/25/13	J		
238. Gilead Sciences Inc.	A	Dividend	J	T	Buy	06/11/13	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	
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		

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Name of Person Reporting

Pollak, Cheryl L.

Date of Report

12/19/2014

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. Gilead Sciences Inc.	A	Dividend	J	T	Buy (add'l)	06/13/13	J		
240. Gilead Sciences Inc.	A	Dividend	J	T	Buy (add'l)	11/15/13	J		
241. GP Strategies Corp.		None	J	T					
242. Goldman Sachs Group Inc.	A	Dividend	J	T	Buy	01/09/13	J		
243. Google Inc.	A	Dividend	K	T	Sold (part)	03/15/13	J	E	
244. Google Inc.	A	Dividend	K	T	Sold (part)	09/17/13	J	E	
245. Google Inc.	A	Dividend	K	T	Sold (part)	09/26/13	J	E	
246. GW&K Small Cap	A	Dividend	N	T	Buy	01/23/13	J		
247. GW&K Small Cap	A	Dividend	N	T	Buy (add'l)	12/26/13	J		
248. Halliburton Co.	A	Dividend	J	T	Buy	08/23/13	J		
249. Harding Loevner	A	Dividend	M	T	Buy	01/25/13	J		
250. Harding Loevner	A	Dividend	M	T	Buy (add'l)	12/20/13	J		
251. Harley Davidson Inc.	A	Dividend			Buy (add'l)	02/08/13	J		
252. Harley Davidson Inc.	A	Dividend			Sold (part)	06/06/13	J	A	
253. Harley Davidson Inc.	A	Dividend			Sold (part)	06/10/13	J	A	
254. Harley Davidson Inc.	A	Dividend			Sold (part)	07/09/13	J	A	
255. Harley Davidson Inc.	A	Dividend			Sold	07/25/13	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	

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Name of Person Reporting

Pollak, Cheryl L.

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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. Harris Corp.	A	Dividend			Buy (add'l)	01/07/13	J		
257. Harris Corp.	A	Dividend			Sold (part)	02/11/13	J	A	
258. Harris Corp.	A	Dividend			Sold	03/25/13	J	A	
259. Hasbro Inc.	A	Dividend	J	T	Buy	10/31/13	J		
260. Health Net Inc.	A	Dividend	J	T	Sold (part)	05/21/13	J	A	
261. Health Net Inc.	A	Dividend	J	T	Sold (part)	09/26/13	J	A	
262. Hess Corp.	A	Dividend	J	T	Buy	10/15/13	J		
263. Hess Corp.	A	Dividend	J	T	Buy (add'l)	11/01/13	J		
264. Hewlett Packard Co.	A	Dividend	K	T	Sold (part)	02/08/13	J	A	
265. Hewlett Packard Co	A	Dividend	K	T	Sold (part)	09/26/13	J	A	
266. Hewlett Packard Co.	A	Dividend	K	T	Sold (part)	11/20/13	J	A	
267. Idexx Labs Corp.	A	Dividend			Sold (part)	03/19/13	J	A	
268. Idexx Labs Corp.	A	Dividend			Sold (part)	03/22/13	J	A	
269. Idexx Labs Corp.	A	Dividend			Sold (part)	04/02/13	J	A	
270. Idexx Labs Corp.	A	Dividend			Sold (part)	04/23/13	J	A	
271. Idexx Labs Corp.	A	Dividend			Sold (part)	04/24/13	J	A	
272. Idexx Labs Corp.	A	Dividend			Sold	06/12/13	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	

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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. Illinois Tool Works	A	Dividend	J	T	Buy	03/18/13	J		
274. Illinois Tool Works	A	Dividend	J	T	Buy (add'l)	05/07/13	J		
275. Illinois Tool Works	A	Dividend	J	T	Buy (add'l)	05/08/13	J		
276. Intercontinentalexchange Inc.	A	Dividend	K	T	Sold (part)	09/20/13	J	D	
277. Intercontinentalexchange Inc.	A	Dividend	K	T	Sold (part)	09/26/13	J	D	
278. Interferon Sciences, Inc.		None	J	T					
279. Int'l. Business Machines Corp.	A	Dividend	K	T	Sold (part)	01/09/13	J	A	
280. Int'l. Business Machines Corp.	A	Dividend	K	T	Buy (add'l)	03/25/13	J		
281. Int'l. Business Machines Corp.	A	Dividend	K	T	Buy (add'l)	03/26/13	J		
282. Int'l. Business Machines Corp.	A	Dividend	K	T	Buy (add'l)	12/16/13	J		
283. Intuit Inc.	A	Dividend			Buy (add'l)	02/11/13	J		
284. Intuit Inc.	A	Dividend			Sold	05/09/13	J	A	
285. Intuitive Surgical Inc.	A	Dividend			Buy (add'l)	02/19/13	J		
286. Intuitive Surgical Inc.	A	Dividend			Buy (add'l)	05/07/13	J		
287. Intuitive Surgical Inc.	A	Dividend			Buy (add'l)	06/04/13	J		
288. Intuitive Surgical Inc.	A	Dividend			Buy (add'l)	07/19/13	J		
289. Intuitive Surgical Inc.	A	Dividend			Sold (part)	10/30/13	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	

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Pollak, Cheryl L.

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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. Intuitive Surgical Inc.	A	Dividend			Sold	12/05/13	J	A	
291. Investment Company of America - Mutual Fund (American Fund)	A	Dividend	M	T					
292. IRA-Citibank-CD	A	Interest	J	T					
293. IRA-Citibank-Money Market	A	Interest	J	T					
294. IRA-Soloman - Treasury Bond	A	Interest	J	T					
295. JM Smucker Co.	A	Dividend	J	T	Buy (add'l)	02/11/13	J		
296. JM Smucker Co.	A	Dividend	J	T	Sold (part)	09/26/13	J	B	
297. JM Smucker Co.	A	Dividend	J	T	Buy (add'l)	10/02/13	J		
298. Johnson & Johnson	A	Dividend	L	T	Sold (part)	06/17/13	J	D	
299. Johnson & Johnson	A	Dividend	L	T	Buy (add'l)	10/29/13	J		
300. JP Morgan Chase & Co.	A	Dividend	J	T	Sold (part)	05/13/13	J	B	
301. JP Morgan Chase & Co.	A	Dividend	J	T	Buy (add'l)	07/16/13	J		
302. JP Morgan Chase & Co.	A	Dividend	J	T	Sold (part)	09/26/13	J	B	
303. JP Morgan Chase & Co.	A	Dividend	J	T	Sold (part)	10/18/13	J	B	
304. Kinder Morgan Inc.	A	Dividend	J	T	Buy (add'l)	05/21/13	J		
305. Kinder Morgan Inc.	A	Dividend	J	T	Buy (add'l)	07/15/13	J		
306. Kinder Morgan Inc.	A	Dividend	J	T	Buy (add'l)	07/19/13	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	

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Pollak, Cheryl L.

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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)

307. Kinder Morgan Inc.	A	Dividend	J	T	Sold (part)	10/04/13	J	A	
308. Kinder Morgan Inc.	A	Dividend	J	T	Sold (part)	10/18/13	J	A	
309. Kinder Morgan Inc.	A	Dividend	J	T	Sold (part)	12/02/13	J	A	
310. Kraft Food Group Inc.	A	Dividend	J	T	Buy (add'l)	01/07/13	J		
311. Kraft Food Group Inc.	A	Dividend	J	T	Sold (part)	08/05/13	J	B	
312. Kroger Co.	A	Dividend	K	T	Sold (part)	05/06/13	J	D	
313. Kroger Co.	A	Dividend	K	T	Sold (part)	06/07/13	J	D	
314. Kroger Co.	A	Dividend	K	T	Sold (part)	09/23/13	J	D	
315. Legg Mason Clearbridge Appreciation Fund	B	Dividend	M	T					
316. Legg Mason Inc.	A	Dividend	K	T					
317. Liberty Media Corp.	A	Dividend	J	T					
318. Lincoln National Corp.	A	Dividend	J	T	Buy	08/27/13	J		
319. Lincoln National Corp.	A	Dividend	J	T	Buy (add'l)	10/25/13	J		
320. Lincoln National Corp.	A	Dividend	J	T	Buy (add'l)	11/07/13	J		
321. Lincoln National Corp.	A	Dividend	J	T	Buy (add'l)	11/27/13	J		
322. Lincoln National Corp.	A	Dividend	J	T	Buy (add'l)	12/10/13	J		
323. LinkedIn Corp.	A	Dividend	J	T	Sold (part)	04/19/13	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	

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324. Lord Abbott Equity Fund	A	Dividend	J	T					
325. LMP Real Estate Income	A	Dividend	J	T					
326. LMP Stk Appr. Fund	A	Dividend	J	T					
327. Lyondellbasell	A	Dividend	J	T					
328. Macy's Inc.	A	Dividend	J	T	Sold (part)	09/26/13	J	C	
329. Macy's Inc.	A	Dividend	J	T	Sold (part)	10/16/13	J	C	
330. Marathon Petroleum Corp,	A	Dividend	J	T	Buy	03/15/13	J		
331. Marathon Petroleum Corp,	A	Dividend	J	T	Buy (add'l)	03/19/13	J		
332. Marathon Petroleum Corp,	A	Dividend	J	T	Buy (add'l)	05/06/13	J		
333. Marathon Petroleum Corp,	A	Dividend	J	T	Buy (add'l)	05/07/13	J		
334. Marathon Petroleum Corp,	A	Dividend	J	T	Sold (part)	09/26/13	J	A	
335. Marathon Petroleum Corp,	A	Dividend	J	T	Sold (part)	10/30/13	J	A	
336. Marathon Petroleum Corp,	A	Dividend	J	T	Buy (add'l)	12/20/13	J		
337. Marsh & McLennan Cos. Inc.	A	Dividend			Buy (add'l)	01/08/13	J		
338. Marsh & McLennan Cos. Inc.	A	Dividend			Sold	02/11/13	J	A	
339. McDonald's Corp.	A	Dividend	J	T	Sold (part)	10/23/13	J	A	
340. McKesson Corp.	A	Dividend			Sold (part)	03/08/13	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	

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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. McKesson Corp.	A	Dividend			Sold (part)	03/11/13	J	A	
342. McKesson Corp.	A	Dividend			Sold	06/03/13	J	A	
343. Mead Johnson Nutrition Co.	A	Dividend	J	T	Buy	12/09/13	J		
344. Medtronic Inc.	A	Dividend	J	T					
345. Merck & Co. Inc.	A	Dividend	J	T	Sold (part)	03/21/13	J	A	
346. Merck & Co. Inc.	A	Dividend	J	T	Sold (part)	03/22/13	J	A	
347. Merrill Lynch 5 MITSR 168 mps	A	Interest	J	T					
348. MGM Resorts International	A	Dividend			Sold (part)	02/19/13	J	A	
349. MGM Resorts International	A	Dividend			Sold (part)	03/14/13	J	A	
350. MGM Resorts International	A	Dividend			Sold	06/17/13	J	A	
351. Micron Technology Inc.	A	Dividend			Sold (part)	04/08/13	J	A	
352. Micron Technology Inc.	A	Dividend			Sold	05/24/13	J	A	
353. Microsoft Corp.	A	Dividend	J	T	Sold (part)	09/26/13	J	B	
354. Monsanto Co.	A	Dividend	J	T	Buy	02/22/13	J		
355. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	03/22/13	J		
356. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	07/15/13	J		
357. Monsanto Co.	A	Dividend	J	T	Sold (part)	09/20/13	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	

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Name of Person Reporting

Pollak, Cheryl L.

Date of Report

12/19/2014

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. Monsanto Co.	A	Dividend	J	T	Sold (part)	09/23/13	J	A	
359. Monsanto Co.	A	Dividend	J	T	Sold (part)	09/26/13	J	A	
360. Morgan Lewis & Bockius LLP, Firm Capital	E	Interest	O	T					
361. Morgan Stanley NY Municipal	A	Dividend	K	T					
362. National-Oilwell Inc.	A	Dividend			Sold (part)	02/08/13	J	A	
363. National-Oilwell Inc.	A	Dividend			Sold (part)	05/30/13	J	A	
364. National-Oilwell Inc.	A	Dividend			Sold (part)	06/19/13	J	A	
365. National-Oilwell Inc.	A	Dividend			Sold	07/29/13	J	A	
366. Nike Inc.	A	Dividend	J	T	Buy	12/03/13	J		
367. Noble Energy Inc.	A	Dividend	J	T	Buy (add'l)	02/25/13	J		
368. Noble Energy Inc.	A	Dividend	J	T	Sold (part)	04/08/13	J	C	
369. Noble Energy Inc.	A	Dividend	J	T	Sold (part)	09/27/13	J	C	
370. Nustar Energy LP	A	Dividend	J	T					
371. Nuveen Municipal Advantage	A	Interest	J	T					
372. Nuveen New York Quality	A	Interest	J	T					
373. Nuveen NY Amt Free Municipal	B	Interest	L	T					
374. NV Energy Inc.	A	Dividend			Sold	02/07/13	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	

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Name of Person Reporting

Pollak, Cheryl L.

Date of Report

12/19/2014

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. N.Y. State Urban Development Bonds	A	Interest	J	T					
376. Occidental Petroleum Corp.	A	Dividend	K	T	Buy	09/13/13	K		
377. Oppenheimer Global Opportunity Fund	B	Dividend	M	T					
378. Parker Hannifin Corp.	A	Dividend	J	T	Buy	09/20/13	J		
379. Parker Hannifin Corp.	A	Dividend	J	T	Buy (add'l)	09/27/13	J		
380. Partnerre Ltd.	A	Dividend	J	T					
381. Patterson Cos Inc.	A	Dividend	J	T	Buy	02/13/13	J		
382. Patterson Cos Inc.	A	Dividend	J	T	Buy (add'l)	07/01/13	J		
383. Patterson Cos Inc.	A	Dividend	J	T	Buy (add'l)	08/28/13	J		
384. Pepsico Inc.	A	Dividend	J	T	Buy	08/15/13	J		
385. Pepsico Inc.	A	Dividend	J	T	Buy (add'l)	09/20/13	J		
386. Pepsico Inc.	A	Dividend	J	T	Buy (add'l)	09/30/13	J		
387. Petsmart	A	Dividend	J	T	Buy	01/02/13	J		
388. Petsmart	A	Dividend	J	T	Buy (add'l)	02/28/13	J		
389. Petsmart	A	Dividend	J	T	Sold (part)	04/02/13	J	A	
390. Pfizer Inc.	A	Dividend	K	T	Sold (part)	01/09/13	J	D	
391. Pfizer Inc.	A	Dividend	K	T	Sold (part)	01/18/13	J	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	

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Name of Person Reporting

Pollak, Cheryl L.

Date of Report

12/19/2014

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. Pfizer Inc.	A	Dividend	K	T	Sold (part)	03/21/13	J	D	
393. Pfizer Inc.	A	Dividend	K	T	Sold (part)	05/03/13	J	D	
394. Pfizer Inc.	A	Dividend	K	T	Sold (part)	05/06/13	J	D	
395. Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	06/07/13	J		
396. Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	08/15/13	J		
397. Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	08/27/13	J		
398. Pfizer Inc.	A	Dividend	K	T	Sold (part)	09/26/13	J	D	
399. Pimco High Yield Fund	A	Dividend	N	T	Buy	01/23/13	J		
400. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	01/31/13	J		
401. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	02/28/13	J		
402. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	03/28/13	J		
403. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	04/30/13	J		
404. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	05/31/13	J		
405. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	06/28/13	J		
406. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	07/31/13	J		
407. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	08/30/13	J		
408. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	09/30/13	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	

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Name of Person Reporting

Pollak, Cheryl L.

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12/19/2014

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. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	10/31/13	J		
410. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	11/29/13	J		
411. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	12/11/13	J		
412. Pimco High Yield Fund	A	Dividend	N	T	Buy (add'l)	12/31/13	J		
413. Polaris Industries Inc.	A	Dividend	J	T	Buy	11/15/13	J		
414. Precision Castparts Corp.	A	Dividend	J	T	Sold (part)	05/17/13	J	C	
415. Precision Castparts Corp.	A	Dividend	J	T	Sold (part)	08/09/13	J	C	
416. Precision Castparts Corp.	A	Dividend	J	T	Sold (part)	08/20/13	J	C	
417. Precision Castparts Corp.	A	Dividend	J	T	Sold (part)	09/26/13	J	C	
418. Precision Castparts Corp.	A	Dividend	J	T	Sold (part)	10/02/13	J	C	
419. Precision Castparts Corp.	A	Dividend	J	T	Sold (part)	10/18/13	J	C	
420. Priceline.com Inc.	A	Dividend	K	T	Buy	04/15/13	J		
421. Priceline.com Inc.	A	Dividend	K	T	Buy (add'l)	04/18/13	J		
422. Priceline.com Inc.	A	Dividend	K	T	Buy (add'l)	04/19/13	J		
423. Priceline.com Inc.	A	Dividend	K	T	Buy (add'l)	05/24/13	J		
424. Priceline.com Inc.	A	Dividend	K	T	Buy (add'l)	06/14/13	J		
425. Proctor & Gamble	A	Dividend	K	T	Sold (part)	02/08/13	J	A	

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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Name of Person Reporting

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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)
426. Proctor & Gamble	A	Dividend	K	T	Sold (part)	05/22/13	J	A	
427. Proctor & Gamble	A	Dividend	K	T	Sold (part)	08/28/13	J	A	
428. Proctor & Gamble	A	Dividend	K	T	Sold (part)	09/03/13	J	A	
429. Proctor & Gamble	A	Dividend	K	T	Sold (part)	11/11/13	J	A	
430. Pulte Group Inc.	A	Dividend	J	T	Buy (add'l)	07/22/13	J		
431. Putnam New Opportunities	A	Dividend	K	T					
432. Raytheon Company	A	Dividend	J	T	Buy	10/23/13	J		
433. Raytheon Company	A	Dividend	J	T	Buy (add'l)	10/25/13	J		
434. Raytheon Company	A	Dividend	J	T	Buy (add'l)	11/22/13	J		
435. Regal Entertainment	A	Dividend	J	T	Buy	07/10/13	J		
436. Rochester Fund - Mutual Fund (Oppenheimer (Funds))	D	Dividend			Sold	01/03/13	J	A	
437. Safeway Inc.	A	Dividend			Buy	03/22/13	J		
438. Safeway Inc.	A	Dividend			Sold	06/20/13	J	A	
439. Schlumberger Ltd.	A	Dividend	K	T	Sold (part)	01/03/13	J	D	
440. Schlumberger Ltd	A	Dividend	K	T	Sold (part)	05/01/13	J	D	
441. Schlumberger Ltd	A	Dividend	K	T	Buy (add'l)	07/22/13	J		
442. Schlumberger Ltd.	A	Dividend	K	T	Sold (part)	10/18/13	J	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 \$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 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)
443. Schwab Govt Money Fund	A	Dividend			Buy	01/22/13	J		
444. Schwab Govt Money Fund	A	Dividend			Sold (part)	01/23/13	J	A	
445. Schwab Govt Money Fund	A	Dividend			Sold	01/25/13	J	A	
446. Seligman Communication - Mutual Fund	B	Dividend	J	T					
447. Sherwin-Williams Co.	A	Dividend	J	T	Sold (part)	06/14/13	J	A	
448. Sherwin-Williams Co.	A	Dividend	J	T	Buy (add'l)	10/18/13	J		
449. Sherwin-Williams Co.	A	Dividend	J	T	Buy (add'l)	10/21/13	J		
450. Spectra Energy	A	Dividend	J	T					
451. Starbucks Corp.	A	Dividend	J	T	Sold (part)	04/23/13	J	B	
452. Starbucks Corp.	A	Dividend	J	T	Sold (part)	08/26/13	J	B	
453. Starbucks Corp.	A	Dividend	J	T	Sold (part)	09/26/13	J	B	
454. Starz-A	A	Dividend			Sold	10/28/13	J	A	
455. Stericycle Inc.	A	Dividend	J	T	Buy	03/04/13	J		
456. Stericycle Inc.	A	Dividend	J	T	Sold (part)	09/26/13	J	A	
457. Templeton Global Bond Fund	A	Dividend	M	T	Buy	01/23/13	J		
458. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	02/15/13	J		
459. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	03/15/13	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)

460. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	04/15/13	J		
461. Templeton Global Bond Fund	A	Dividend	M	T	Sold (part)	04/19/13	J	A	
462. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	04/19/13	J		
463. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	05/15/13	J		
464. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	06/17/13	J		
465. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	07/15/13	J		
466. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	08/15/13	J		
467. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	09/16/13	J		
468. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	10/15/13	J		
469. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	11/15/13	J		
470. Templeton Global Bond Fund	A	Dividend	M	T	Buy (add'l)	12/16/13	J		
471. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	01/23/13	J		
472. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	01/31/13	J		
473. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	02/28/13	J		
474. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	03/28/13	J		
475. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	04/30/13	J		
476. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	05/31/13	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. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	06/28/13	J		
478. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	07/31/13	J		
479. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	08/30/13	J		
480. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	09/30/13	J		
481. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	10/31/13	J		
482. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	11/29/13	J		
483. Thornburg Ltd.	A	Dividend	N	T	Buy (add'l)	12/31/13	J		
484. Tibco Software Inc.	A	Dividend			Sold (part)	01/07/13	J	A	
485. Tibco Software Inc.	A	Dividend			Sold (part)	02/01/13	J	A	
486. Tibco Software Inc.	A	Dividend			Sold (part)	02/08/13	J	A	
487. Tibco Software Inc.	A	Dividend			Sold	04/19/13	J	A	
488. Time Warner Cable Inc.	A	Dividend			Sold (part)	03/26/13	J	A	
489. Time Warner Cable Inc.	A	Dividend			Sold (part)	07/01/13	J	A	
490. Time Warner Cable Inc.	A	Dividend			Sold (part)	07/23/13	J	A	
491. Time Warner Cable Inc.	A	Dividend			Sold (part)	08/15/13	J	A	
492. Time Warner Cable Inc.	A	Dividend			Sold	08/16/13	J	A	
493. TJX Companies Inc.	A	Dividend	K	T	Buy (add'l)	04/05/13	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)

494. TJX Companies Inc.	A	Dividend	K	T	Buy (add'l)	04/10/13	J		
495. TJX Companies Inc..	A	Dividend	K	T	Sold (part)	10/30/13	J	D	
496. Tyson Foods Inc.	A	Dividend			Sold (part)	03/15/13	J	A	
497. Tyson Foods Inc.	A	Dividend			Sold (part)	03/27/13	J	A	
498. Tyson Foods Inc.	A	Dividend			Sold (part)	09/27/13	J	A	
499. Tyson Foods Inc.	A	Dividend			Sold	09/30/13	J	A	
500. U.S. Savings Bonds for Children	A	Interest	J	T					
501. U.S. Treasury Bills	A	Interest	L	T					
502. U.S. Treasury Notes	B	Interest	K	T					
503. U.S. Treasury Notes	B	Interest	K	T					
504. U.S. Treasury Securities	D	Interest	L	T					
505. U.S. Treasury Securities	D	Interest	L	T					
506. US Bancorp.	A	Dividend			Buy (add'l)	02/08/13	J		
507. US Bancorp.	A	Dividend			Buy (add'l)	02/11/13	J		
508. US Bancorp.	A	Dividend			Sold (part)	05/13/13	J	A	
509. US Bancorp.	A	Dividend			Sold	06/14/13	J	A	
510. UBS Financial - Blackrock NY Municipal Trust	B	Interest	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	

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. UBS Financial - Blackrock Muni Term Trust	A	Interest	J	T					
512. UBS Financial - Powershares	A	Dividend	J	T					
513. Ulta Salon Cosmetics & Fragrances	A	Dividend			Sold (part)	02/19/13	J	A	
514. Ulta Salon Cosmetics & Fragrances	A	Dividend			Sold	03/26/13	J	A	
515. Union Pacific Corp.	A	Dividend	K	T	Sold (part)	09/26/13	J	C	
516. United Technologies Corp.	A	Dividend			Sold	01/10/13	J	A	
517. Unitedhealth Group Inc.	A	Dividend			Sold (part)	01/07/13	J	A	
518. Unitedhealth Group Inc.	A	Dividend			Sold (part)	02/07/13	J	A	
519. Unitedhealth Group Inc.	A	Dividend			Sold (part)	02/08/13	J	A	
520. Unitedhealth Group Inc.	A	Dividend			Sold (part)	02/22/13	J	A	
521. Unitedhealth Group Inc.	A	Dividend			Sold (part)	03/07/13	J	A	
522. Unitedhealth Group Inc.	A	Dividend			Sold (part)	03/21/13	J	A	
523. Unitedhealth Group Inc.	A	Dividend			Sold (part)	05/01/13	J	A	
524. Unitedhealth Group Inc.	A	Dividend			Sold	05/14/13	J	A	
525. UTS Equity	A	Dividend	K	T					
526. Valero Energy Corp.	A	Dividend	K	T	Buy	02/08/13	J		
527. Valero Energy Corp.	A	Dividend	K	T	Buy (add'l)	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 \$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)
528. Valero Energy Corp.	A	Dividend	K	T	Sold (part)	09/26/13	J	C	
529. Valero Energy Corp.	A	Dividend	K	T	Buy (add'l)	10/31/13	J		
530. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	01/31/13	J		
531. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	02/28/13	J		
532. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	03/28/13	J		
533. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	04/30/13	J		
534. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	05/31/13	J		
535. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	06/28/13	J		
536. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	07/31/13	J		
537. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	08/30/13	J		
538. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	09/30/13	J		
539. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	10/31/13	J		
540. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	11/29/13	J		
541. Vanguard Short Term Tax Exempt Admiral Share	A	Int./Div.	N	T	Buy (add'l)	12/31/13	J		
542. Verisk Analytics Inc.	A	Dividend	J	T	Buy	10/09/13	J		
543. Verizon Communications Inc.	A	Dividend	J	T	Buy (add'l)	02/19/13	J		
544. Vertex Pharmaceuticals Inc.	A	Dividend	J	T	Buy (add'l)	07/24/13	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)

545. Viacom Inc.	A	Dividend	K	T					
546. Visa Inc.	A	Dividend	J	T	Sold (part)	03/20/13	J	D	
547. Visa Inc.	A	Dividend	J	T	Sold (part)	05/01/13	J	D	
548. Visa Inc.	A	Dividend	J	T	Sold (part)	06/28/13	J	D	
549. Wal-Mart Stores, Inc.	A	Dividend	J	T	Sold (part)	01/10/13	J	B	
550. Wal-Mart Stores, Inc.	A	Dividend	J	T	Buy (add'l)	03/27/13	J		
551. Wal-Mart Stores, Inc.	A	Dividend	J	T	Buy (add'l)	05/20/13	J		
552. Wal-Mart Stores, Inc.	A	Dividend	J	T	Buy (add'l)	05/28/13	J		
553. Wal-Mart Stores, Inc.	A	Dividend	J	T	Sold (part)	09/23/13	J	B	
554. Wal-Mart Stores, Inc.	A	Dividend	J	T	Sold (part)	09/26/13	J	B	
555. Walt Disney Co.	A	Dividend	J	T	Sold (part)	01/18/13	J	D	
556. Walt Disney Co.	A	Dividend	J	T	Sold (part)	09/10/13	J	D	
557. Walt Disney Co.	A	Dividend	J	T	Sold (part)	09/20/13	J	D	
558. Walt Disney Co.	A	Dividend	J	T	Sold (part)	09/27/13	J	D	
559. Wellpoint Inc.	A	Dividend	J	T	Sold (part)	01/07/13	J	C	
560. Wellpoint Inc.	A	Dividend	J	T	Sold (part)	01/11/13	J	C	
561. Wellpoint Inc.	A	Dividend	J	T	Sold (part)	09/26/13	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	

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. Wellpoint Inc.	A	Dividend	J	T	Sold (part)	11/14/13	J	C	
563. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	04/05/13	J	D	
564. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	05/20/13	J	D	
565. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	05/22/13	J	D	
566. Wells Fargo & Company	A	Dividend	K	T	Buy (add'l)	07/16/13	J		
567. Wells Fargo & Company	A	Dividend	K	T	Buy (add'l)	07/22/13	J		
568. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	09/26/13	J	D	
569. Western Asset N.Y Muni Mrkt.	A	Interest	J	T					
570. Westwood Income Oppty	A	Dividend	O	T	Buy (add'l)	03/27/13	J		
571. Westwood Income Oppty	A	Dividend	O	T	Buy (add'l)	06/27/13	J		
572. Westwood Income Oppty	A	Dividend	O	T	Buy (add'l)	09/27/13	J		
573. Westwood Income Oppty	A	Dividend	O	T	Buy (add'l)	12/12/13	J		
574. Westwood Income Oppty	A	Dividend	O	T	Buy (add'l)	12/30/13	J		
575. WW Grainger Inc.	A	Dividend	J	T	Buy	03/18/13	J		
576. WW Grainger Inc.	A	Dividend	J	T	Buy (add'l)	04/08/13	J		
577. WW Grainger Inc.	A	Dividend	J	T	Buy	08/26/13	J		
578. WW Grainger Inc.	A	Dividend	J	T	Buy (add'l)	08/27/13	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. WW Grainger Inc.	A	Dividend	J	T	Sold (part)	12/20/13	J	A	
580. WW Grainger Inc.	A	Dividend	J	T	Sold (part)	12/23/13	J	A	
581. Xerox Corp.	A	Dividend	J	T	Buy	11/26/13	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	

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

312Part VII, Page 4, Line 13 - Rental Property Kiawah Island, SC - in November 2010, we purchased property on Kiawah Island, South Carolina. For the first two months we did not have rental income. For the reporting period 2011, the net income received was a negative amount. For 2012, the net rent was \$29,512.88.

Part VII, Page 14, line 171 - CST Brands Inc. reflects sold on 5/3/13. On 5/2/13, Valero Energy Corp. (which is stock that we own) underwent a corporate action where for every 9 shares of Valero, holders received 1 share of CST Brands Inc. common stock. Then on 5/3/13, we sold that stock in CST Brands Inc.

Part VII, Page 30, line 451 - Starz-A reflects sold on 10/28/13. Effective 1/14/13, Liberty Media Corp. (which is stock that we own) spun off Liberty Spincor Inc. at a rate of 1 share of Liberty Spincor Inc. for every 1 share of Liberty Media Corp. held. The original position of Liberty Media Corp. was renamed Starz-Liberty Capital and Liberty Spincor shares were renamed Liberty Media Corporation. Effective 6/10/13, Starz-Liberty Capital underwent a name change to become Starz-A. On 10/28/13, we sold that stock in Starz-A.

In the 2012 Financial Disclosure Report, Part VII, Page 47, Lines 733-737 - Westwood Income Oppty and WHG Income Oppty Fd. were reported separately. WHG Income Oppty Fd is the same holding as Westwood Income Oppty and has been reflected correctly on this report.

Explanations on the amended report:

Inquired about "401(k) Retirement Accounts with Morgan Lewis & Bockius" - see corrections reflected on page 4 and 5, lines 1-16. He does not technically have a 401(k) account. His retirement funds are in the Morgan Lewis & Bockius Defined Contribution Plan, Morgan Lewis & Bockius Tax Saver Retirement Plan, and the Vanguard 500 Index Fund. Each of the first two plans allows him to select which of several funds to invest in. Based on conversations with staff in D.C., I have listed the individual funds, but he has no control over the stocks in which any of the individual funds invests.

Inquired about "Clearbridge Aggr Growth" - the correction is that it was deleted on this report. This holding was prematurely reflected on this report. It was acquired in 2014 and will be reflected in the 2014 report.

Inquired about "Municipal Bonds-NY State" - the correction is that this holding is described more accurately as Nuveen NY Amt Free Municipal. See correction reflected on page 25, line 373.

Inquired about "N.Y. State Urban Development Bonds" - this is a holding my husband acquired a very long time ago and we have no way of further describing it. In efforts of full disclosure, this holding has been disclosed as a precaution rather than omitting it from the report even though he is not sure he still owns it. See page 26, line 375.

Inquired about "New York Municipal Portfolio" - the correction is that this holding is described more accurately as Nuveen Municipal Advantage Fund. Since this asset was already reported on the report we have eliminated the duplication. See page 25, line 371.

Inquired about "Tax-Aware Overlay A Portfolio Class A" and "Tax-Aware Overlay N Portfolio Class I" - correction is reflected on page 10, line 104 and 105 with the full name.

Inquired about "UTS Equity" - this is also a holding my husband acquired a very long time ago and we have no way of further describing it. In efforts of full disclosure, this holding has been disclosed as a precaution rather than omitting it from the report even though he is not sure he still owns it. See page 34, line 525.

Inquired about "Vanguard" - correction is reflected on pages 35, lines 530 - 541 with the full name.

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/ Cheryl L. Pollak**

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)

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