

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) Wood, Kimba M.	2. Court or Organization U.S. District Court, SDNY	3. Date of Report 10/6/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	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 500 Pearl Street New York, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Sign 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. Board Member	New York City Ballet, Inc.
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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2013*	Morgan Stanley Pension Benefit
2. 2013*	Sonic Corp - various Board & Committee Fees
3. 2013*	Vestar, Harding Services, Blackstone, Irving Place Capital, Tinicum - Fee Income
4.	
5. *(various)	

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

SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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.)*

	<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.	Citibank	Line of Credit	PI
2.	American Express	Credit Card	L
3.	Citi Aadvantage	Credit Card	J
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. EXXON CORP COMMON STOCK	B	Dividend	L	T					
2. CREST FUND LP (ROTH IRA) (SEE NOTE 11 IN SECT VIII)	D	Distribution							
3. DREYFUS GOVERNMENT CASH SHARES	A	Int./Div.			Closed	05/06/13	J		
4. MORGAN STANLEY BANK/CASH	A	Interest	J	T					
5. AMER INTL GP INC COMMON STOCK	A	Dividend	J	T					
6. APOLLO INVESTMENT CORP	A	Dividend			Sold (part)	02/28/13	J	A	
7.					Buy (add'l)	04/16/13	J		
8.					Buy (add'l)	06/05/13	J		
9.					Sold	10/24/13	J	A	
10. ASHFORD HOSPITALITY TR INC COMMON STOCK	A	Dividend	J	T					
11. ASHFORD HOSPITALITY PRIME COMMON STOCK		None			Spinoff (from line 10)	11/19/13	J		
12.					Sold	12/05/13	J		
13. AVENUE INCOME CREDIT FUND	A	Dividend	J	T	Buy (add'l)	05/02/13	J		
14. BUCKEYE PARTNERS LP (SEE NOTE 1 IN SECT VIII)		None	J	T	Buy	02/22/13	J		
15.					Distributed (part)	05/31/13	J		
16.					Distributed (part)	08/20/13	J		
17.					Distributed (part)	11/19/13	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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18. CHEVRON CORP COMMON STOCK	A	Dividend			Sold	11/21/13	J	A	
19. CHIMERA INVESTMENT CORP COMMON STOCK	A	Dividend	J	T	Buy	07/23/13	J		
20.					Buy (add'l)	07/24/13	J		
21. COBALT INTERNATIONAL ENERGY COMMON STOCK		None	J	T	Buy	01/18/13	J		
22.					Buy (add'l)	05/08/13	J		
23. KINDER MORGAN (FKA COPANO ENERGY LLC)(NOTE 1 IN SECT VIII)		None			Distributed (part)	02/14/13	J		
24.					Sold (part)	04/25/13	J	B	
25.					Distributed (part)	04/26/13	J		
26.					Sold (part)	05/02/13	J	A	
27.					Sold	07/09/13	J	A	
28. CREXUS INVESTMENT CORP COMMON STOCK	A	Dividend			Sold	01/31/13	J	B	
29. DEVON ENERGY CORP COMMON STOCK	A	Dividend	J	T	Buy	11/21/13	J		
30. EMC CORP MASS COMMON STOCK		None			Sold	02/05/13	J		
31. ENERGY TRANS EQUITY LP (SEE NOTE 1 IN SECT VIII)		None	K	T	Distributed (part)	02/19/13	J		
32.					Distributed (part)	05/17/13	J		
33.					Distributed (part)	08/19/13	J		
34.					Distributed (part)	11/19/13	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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35. ENSCO PLC COMMON STOCK	A	Dividend			Sold	07/16/13	J	B	
36. EV ENERGY PARTNERS LP (SEE NOTE 1 IN SECT VIII)	A	Distribution			Distributed (part)	02/14/13	J		
37.					Sold	05/02/13	J		
38. GUGGENHEIM SPIN OFF ETF	A	Dividend	J	T	Buy	03/05/13	J		
39.					Buy (add'l)	03/20/13	J		
40. HOLLYFRONTIER CORP COMMON STOCK	A	Dividend			Buy	04/25/13	J		
41.					Sold	07/02/13	J		
42. CRESTWOOD EQUITY LP (FKA INERGY LP) (NOTE 1 IN SECT VIII)		None	J	T	Distributed (part)	02/14/13	J		
43.					Distributed (part)	05/15/13	J		
44.					Distributed (part)	08/14/13	J		
45.					Distributed (part)	11/14/13	J		
46. CRESTWOOD MIDSTRM LP (FKA INERGY MIDSTR (NOTE 1 SECT VIII)	A	Distribution			Spinoff (from line 42)	06/18/13	J		
47.					Sold (part)	06/18/13	J		
48.					Distributed (part)	08/14/13	J		
49.					Distributed (part)	11/14/13	J		
50.					Sold	11/21/13	J	B	
51. ISHARES S&P MID CAP 400 GROWTH ETF	A	Dividend	J	T	Sold (part)	02/26/13	J	A	

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52. JPMORGAN CHASE & CO COMMON STOCK	A	Dividend	J	T					
53. KAR AUCTION SVCS INC COMMON STOCK	A	Dividend	J	T	Buy	06/28/13	J		
54.					Buy (add'l)	07/01/13	J		
55.					Buy (add'l)	07/11/13	J		
56.					Buy (add'l)	08/06/13	J		
57. LENDER PROCESSING SERV COMMON STOCK	A	Dividend			Sold (part)	04/15/13	J	A	
58.					Sold	04/16/13	J	A	
59. MARKET VECTOR AGRIBUS ETF		None			Sold	06/27/13	J		
60. MCDONALDS CORP COMMON STOCK	A	Dividend	J	T	Buy (add'l)	01/17/13	J		
61. MDC PRNRS INC COMMON STOCK		None			Sold (part)	05/03/13	J	B	
62.					Sold (part)	05/06/13	J	B	
63.					Sold	05/07/13	J	B	
64. NORTHERN TIER ENERGY LP (SEE NOTE 1 IN SECT VIII)	A	Distribution	J	T	Sold (part)	02/22/13	J	C	
65.					Distributed (part)	02/28/13	J		
66.					Distributed (part)	05/30/13	J		
67.					Distributed (part)	08/29/13	J		
68.					Distributed (part)	11/27/13	J		

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69. PETROLOGISTICS LP (SEE NOTE I IN SECT VIII)		None			Distributed (part)	02/26/13	J		
70.					Distributed (part)	05/14/13	J		
71.					Distributed (part)	08/14/13	J		
72.					Distributed (part)	11/14/13	J		
73.					Sold (part)	12/02/13	J	A	
74.					Sold (part)	12/03/13	J	A	
75.					Sold	12/04/13	J	A	
76. PROCTER & GAMBLE COMMON STOCK		None	J	T	Buy	11/15/13	J		
77. QUALCOMM INC COMMON STOCK	A	Dividend	J	T	Buy (add'l)	02/12/13	J		
78.					Buy (add'l)	04/25/13	J		
79. SCHLUMBERGER LTD COMMON STOCK	A	Dividend			Sold	06/04/13	J	A	
80. SOLAR SENIOR CAPITAL LTD COMMON STOCK	A	Dividend			Sold	02/21/13	J	A	
81. SPDR S&P BANK ETF COMMON STOCK	A	Dividend			Sold	12/05/13	J	B	
82. SPDR S&P EMERGING ASIA PACIFIC FUND	A	Dividend	J	T	Buy	04/10/13	J		
83. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	J	T	Buy (add'l)	03/20/13	J		
84.					Buy (add'l)	07/11/13	J		
85. SPIRIT REALTY CAPITAL INC COMMON STOCK	A	Dividend	J	T	Sold (part)	07/18/13	J	A	

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86. STARWOOD PROPERTY TRUST INC	A	Dividend	J	T	Buy	06/25/13	J		
87. TRONOX LTD COMMON STOCK		None			Sold	02/05/13	J		
88. UNITED TECHNOLOGIES CORP COMMON STOCK	A	Dividend	J	T	Buy (add'l)	04/04/13	J		
89. VANGUARD DIVIDEND APPRECIATION FUND	A	Dividend	K	T					
90. VANGUARD EUROPEAN MSCI ETF	A	Dividend	J	T	Buy	08/13/13	J		
91. VANGUARD INFO TECH ETF	A	Dividend	J	T	Sold (part)	02/26/13	J		
92. VANGUARD MSCI EMERGING MKTS FUND	A	Dividend			Sold (part)	02/26/13	J		
93.					Sold	07/03/13	J		
94. VODAFONE GP PLC COMMON STOCK	A	Dividend	J	T	Buy	02/01/13	J		
95. WELLS FARGO & CO COMMON STOCK	A	Dividend	J	T	Buy (add'l)	04/04/13	J		
96. WISDOMTREE EUROPE HEDGED EQUITY FUND	A	Dividend	J	T	Buy	09/10/13	J		
97. WISDOMTREE TR EMG MKTS SMCAP FUND	A	Dividend	J	T					
98. WISDOMTREE SMALL CAP DIV FUND	A	Dividend	J	T	Buy	05/14/13	J		
99. WISDOMTREE TRUST EMRG MKT EQUITY FUND	A	Dividend	J	T	Buy (add'l)	04/10/13	J		
100.					Sold (part)	04/15/13	J		
101.					Buy (add'l)	09/10/13	J		
102. WISDOMTREE TRUST JAPAN HEDGE EQUITY FUND	A	Dividend	J	T	Buy	06/04/13	J		

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103. YUM BRANDS INC COMMON STOCK	A	Dividend			Buy	01/10/13	J		
104.					Sold	06/24/13	J	A	
105. IRA ACCOUNT #1									
106. IRA #1 - MSSB CASH/MM	A	Interest	L	T	Open	02/06/13	P1		
107. IRA #1 - COMMON STOCKS (LINES 108-185)									
108. AMER INTL GROUP INC	A	Dividend	L	T	Buy	02/07/13	K		
109.					Buy (add'l)	02/12/13	K		
110. AMERICAN CAPITAL AGENCY	C	Dividend	K	T	Buy	02/28/13	K		
111.					Buy (add'l)	05/10/13	J		
112. APOLLO INVESTMENT CORP	B	Dividend			Buy	04/16/13	K		
113.					Buy (add'l)	06/05/13	J		
114.					Sold (part)	10/24/13	J	A	
115.					Sold	12/16/13	K	C	
116. ASHFORD HOSPITALITY TR INC	A	Dividend	J	T	Buy	02/07/13	K		
117. ASHFORD HOSPITALITY PRIME		None			Spinoff (from line 116)	11/19/13	J		
118.					Sold (part)	11/19/13	J	A	
119.					Sold	12/05/13	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.)

☐ 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. CENTURYLINK INC	A	Dividend			Buy	02/19/13	K		
121.					Buy (add'l)	03/05/13	J		
122.					Sold	05/14/13	K	C	
123. CHEVRON CORP	A	Dividend			Buy	02/07/13	K		
124.					Buy (add'l)	04/09/13	J		
125.					Sold (part)	09/20/13	J	A	
126.					Sold	11/21/13	K	A	
127. CHIMERA INVESTMENT CORP	B	Dividend	K	T	Buy	07/19/13	K		
128. COBALT INTERNATIONAL ENERGY		None			Buy	02/07/13	K		
129.					Buy (add'l)	04/04/13	J		
130.					Buy (add'l)	06/13/13	K		
131.					Sold	12/11/13	K		
132. DANAHER CORPORATION	A	Dividend	K	T	Buy	02/07/13	K		
133.					Buy (add'l)	04/09/13	J		
134. DEVON ENERGY CORP	A	Dividend	K	T	Buy	11/21/13	L		
135. ENSCO PLC CLASS A	A	Dividend			Buy	02/07/13	K		
136.					Buy (add'l)	04/04/13	K		

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

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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.					Buy (add'l)	06/13/13	J		
138.					Sold	07/16/13	K		
139. HOLLYFRONTIER CORP	A	Dividend			Buy	04/24/13	K		
140.					Sold	07/02/13	K		
141. JPMORGAN CHASE & CO	A	Dividend	K	T	Buy	02/07/13	K		
142.					Buy (add'l)	04/04/13	J		
143. KAR AUCTION SERVICES INC	A	Dividend	L	T	Buy	06/28/13	K		
144.					Buy (add'l)	07/01/13	K		
145.					Buy (add'l)	07/09/13	J		
146. LENDER PROCESSING SERV	A	Dividend			Buy	02/07/13	K		
147.					Buy (add'l)	04/09/13	K		
148.					Sold	04/16/13	K		
149. MCDONALDS CORP	A	Dividend	K	T	Buy	02/07/13	K		
150.					Buy (add'l)	02/13/13	J		
151. MDC PARTNERS INC CL A		None			Buy	02/07/13	K		
152.					Buy (add'l)	04/04/13	J		
153.					Sold (part)	05/03/13	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.					Sold (part)	05/06/13	K	C	
155.					Sold	05/07/13	K	B	
156. OCH-ZIFF CAPITAL MGMT (SEE NOTES 1 & 7 IN SECT VIII)	D	Distribution	K	T	Buy	03/15/13	K		
157.					Sold (part)	11/15/13	K	C	
158. PROCTER & GAMBLE		None	K	T	Buy	11/14/13	K		
159. QUALCOMM INC	A	Dividend	L	T	Buy	02/07/13	K		
160.					Buy (add'l)	02/12/13	K		
161.					Buy (add'l)	04/09/13	J		
162. SCHLUMBERGER LTD	A	Dividend			Buy	02/07/13	K		
163.					Buy (add'l)	04/09/13	K		
164.					Sold (part)	06/04/13	K		
165.					Sold	06/10/13	K		
166. SEADRILL LTD	C	Dividend	L	T	Buy	02/07/13	K		
167.					Buy (add'l)	03/05/13	K		
168.					Buy (add'l)	04/09/13	J		
169. SOLAR SENIOR CAPITAL LTD	A	Dividend			Buy	02/07/13	K		
170.					Sold (part)	02/22/13	K		

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.					Sold	02/25/13	J		
172. SPIRIT REALTY CAPITAL INC		None			Buy	02/07/13	K		
173.					Sold	02/22/13	K	A	
174. STARWOOD PROPERTY TRUST INC	B	Dividend	L	T	Buy	06/25/13	K		
175.					Buy (add'l)	09/10/13	J		
176. UNITED TECHNOLOGIES CORP	A	Dividend	L	T	Buy	02/07/13	K		
177.					Buy (add'l)	04/04/13	K		
178. VODAFONE GP PLC ADS	B	Dividend	L	T	Buy	02/07/13	K		
179.					Buy (add'l)	04/04/13	K		
180. WELLS FARGO & CO	B	Dividend	L	T	Buy	02/07/13	K		
181.					Buy (add'l)	04/04/13	K		
182.					Buy (add'l)	04/09/13	J		
183. YUM BRANDS INC	A	Dividend	K	T	Buy	02/07/13	K		
184.					Buy (add'l)	04/04/13	K		
185.					Sold (part)	06/24/13	K	B	
186. IRA #1 - OPTIONS (LINES 187 TO 222 (NOTE 3 IN SECT VIII))									
187. AMERICAN CAPITAL AGENCY - OPENING CONTRACT		None			Sold	04/18/13	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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☐ 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. CONTRACT EXPIRED		None			Expired	09/23/13		A	
189. OPENING CONTRACT		None			Sold	09/24/13	J		
190. AMERICAN INTERNATIONAL GROUP - OPENING CONTRACT		None			Sold	04/18/13	J		
191. CLOSING CONTRACT		None			Buy	07/11/13	J		
192. APOLLO INVESTMENT CORP - OPENING CONTRACT		None			Sold	05/01/13	J		
193. CONTRACT EXPIRED		None			Expired	09/23/13		B	
194. OPENING CONTRACT		None			Sold	07/11/13	J		
195. CONTRACT ASSIGNED		None			Redeemed	12/16/13			
196. OPENING CONTRACT		None			Sold	10/24/13	J		
197. CONTRACT ASSIGNED		None			Redeemed	12/16/13			
198. CENTURYLINK INC - OPENING CONTRACT		None			Sold	03/05/13	J		
199. CLOSING CONTRACT		None			Buy	05/14/13	J		
200. CHEVRON TEXACO CORP - OPENING CONTRACT		None			Sold	04/18/13	J		
201. CONTRACT ASSIGNED		None			Redeemed	09/20/13			
202. OPENING CONTRACT		None			Sold	09/24/13	J		
203. CLOSING CONTRACT		None			Buy	11/21/13	J	A	
204. JPMORGAN CHASE & CO - OPENING CONTRACT		None			Sold	09/24/13	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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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. MCDONALDS CORP - OPENING CONTRACT		None			Sold	04/18/13	J		
206. CONTRACT EXPIRED		None			Expired	09/23/13		A	
207. OPENING CONTRACT		None			Sold	09/24/13	J		
208. QUALCOMM INC - OPENING CONTRACT		None			Sold	04/18/13	J		
209. CLOSING CONTRACT		None			Buy	10/17/13	J	A	
210. OPENING CONTRACT		None			Sold	09/24/13	J		
211. SCHLUMBERGER - OPENING CONTRACT		None			Sold	04/18/13	J		
212. CLOSING CONTRACT		None			Buy	06/10/13	J		
213. SCHLUMBERGER - OPENING CONTRACT		None			Sold	05/14/13	J		
214. CLOSING CONTRACT		None			Buy	06/04/13	J	A	
215. SEADRILL LTD - OPENING CONTRACT		None			Sold	08/05/13	J		
216. SPDR S&P MIDCAP 400 ETF - OPENING CONTRACT		None			Sold	09/24/13	J		
217. UNITED TECHNOLOGIES - OPENING CONTRACT		None			Sold	04/18/13	J		
218. CLOSING CONTRACT		None			Buy	07/23/13	J		
219. OPENING CONTRACT		None			Sold	09/24/13	J		
220. WELLS FARGO & CO - OPENING CONTRACT		None			Sold	09/25/13	J		
221. YUM - OPENING CONTRACT		None			Sold	04/18/13	J		

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 J = \$15,000 or less (See Columns C1 and D3)	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	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. EXPRED CONTRACT		None			Expired	10/21/13		B	
223. IRA #1 - ETF AND CLOSED END FUNDS (LINES 224-266)									
224. AVENUE INCOME CREDIT	C	Dividend	L	T	Buy	02/07/13	K		
225.					Buy (add'l)	05/09/13	J		
226.					Buy (add'l)	06/07/13	K		
227.					Buy (add'l)	06/13/13	J		
228. EATON VANCE TAX MGD DIV EQUITY FUND	C	Dividend	K	T	Buy	02/07/13	K		
229.					Buy (add'l)	04/10/13	J		
230. GUGGENHEIM SPIN OFF ETF	A	Dividend	L	T	Buy	02/07/13	K		
231.					Buy (add'l)	03/20/13	K		
232.					Buy (add'l)	06/13/13	K		
233. ISHARES MSCI EAFE GROWTH ETF	A	Dividend	K	T	Buy	02/07/13	K		
234.					Buy (add'l)	04/10/13	J		
235. ISHARES S&P MID-CAP 400 GROWTH ETF	A	Dividend	L	T	Buy	02/07/13	K		
236.					Sold (part)	02/26/13	J		
237.					Buy (add'l)	04/11/13	J		
238. MARKET VECTORS AGRIBUS ETF		None			Buy	02/07/13	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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☐ 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.					Buy (add'l)	03/20/13	J		
240.					Sold	06/27/13	K		
241. PENNANTPARK FLOATING RATE CAP LTD	C	Dividend	L	T	Buy	02/07/13	K		
242.					Buy (add'l)	03/21/13	K		
243.					Buy (add'l)	12/20/13	J		
244. POWERSHARES ETF TR DYNA BUYBACK	A	Dividend	L	T	Buy	02/07/13	K		
245.					Buy (add'l)	03/20/13	K		
246.					Buy (add'l)	08/13/13	J		
247. SPDR S&P EMERGING ASIA PACIFIC	A	Dividend	K	T	Buy	02/07/13	K		
248.					Buy (add'l)	04/09/13	J		
249. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	L	T	Buy	02/07/13	K		
250.					Buy (add'l)	03/20/13	K		
251.					Buy (add'l)	03/20/13	K		
252.					Buy (add'l)	07/11/13	J		
253. VANGUARD DIVIDEND APPRECIATION	A	Dividend	L	T	Buy	02/07/13	K		
254.					Buy (add'l)	03/20/13	K		
255. VANGUARD FTSE EMERGING MARKETS	A	Dividend			Buy	02/07/13	K		

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

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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.					Buy (add'l)	04/10/13	J		
257.					Buy (add'l)	06/13/13	J		
258.					Sold	07/03/13	K		
259. VANGUARD INFO TECH ETF	A	Dividend	K	T	Buy	02/07/13	K		
260.					Sold (part)	02/26/13	J		
261. WISDOMTREE SMALL CAP DIV FUND	A	Dividend	L	T	Buy (add'l)	05/14/13	K		
262. WISDOMTREE EUROPE HEDGED EQUITY	A	Dividend	K	T	Buy	08/13/13	K		
263. WISDOMTREE TRUST EMERGING MARKET EQUITY	B	Dividend	L	T	Buy	02/07/13	K		
264.					Buy (add'l)	04/09/13	K		
265.					Buy (add'l)	04/10/13	J		
266.					Buy (add'l)	06/13/13	J		
267. IRA #1 - MUTUAL FUND(S) (LINES 268-270)									
268. DOUBLELINE TOTAL RETURN	B	Dividend	K	T	Buy	02/07/13	K		
269.					Buy (add'l)	06/07/13	K		
270.					Sold (part)	11/15/13	J		
271. BIF TAX-EXEMPT FUND/CASH	A	Dividend	J	T					
272. ABBOTT LABORATORIES COMMON STOCK	C	Dividend	M	T	Sold (part)	01/28/13	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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. ABB-VIE COMMON STOCK	E	Dividend	O	T	Spinoff (from line 272)	01/01/13	L		
274.					Buy (add'l)	01/28/13	K		
275. ACCENTURE LTD COMMON STOCK	C	Dividend	M	T					
276. ALLEGHENY TECHNOLOGIES COMMON STOCK	A	Dividend			Sold	03/28/13	L		
277. AMERICAN EXPRESS COMMON STOCK	A	Dividend	L	T					
278. AMERICA MOVIL COMMON STOCK		None			Sold	02/21/13	N	G	
279. AMGEN COMMON STOCK		None			Sold (part)	01/31/13	L	E	
280.					Sold	02/01/13	L	E	
281. ANADARKO PETROLEUM CORP COMMON STOCK	A	Dividend	L	T					
282. FLY LEASING (FKA BABCOCK & BROWN) COMMON STOCK	C	Dividend	L	T					
283. BERKSHIRE HATHAWAY COMMON STOCK		None	O	T					
284. BLACKROCK INC COMMON STOCK	E	Dividend	P1	T	Buy (add'l)	08/09/13	L		
285.					Sold (part)	10/22/13	J	A	
286. BOEING COMMON STOCK	C	Dividend	N	T	Sold (part)	01/31/13	K	A	
287.					Sold (part)	02/01/13	K		
288.					Buy (add'l)	04/30/13	K		
289.					Buy (add'l)	05/23/13	K		

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

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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. CABOT OIL & GAS COMMON STOCK	A	Dividend	N	T					
291. CARPENTER TECHNOLOGY COMMON STOCK	B	Dividend	M	T	Buy (add'l)	02/26/13	K		
292.					Buy (add'l)	04/08/13	J		
293.					Buy (add'l)	06/26/13	J		
294. CHEVRON COMMON STOCK	A	Dividend	L	T	Buy	08/09/13	L		
295. CHUBB COMMON STOCK	B	Dividend	L	T					
296. CISCO SYSTEMS COMMON STOCK	A	Dividend			Buy	08/09/13	L		
297.					Buy (add'l)	08/29/13	J		
298.					Buy (add'l)	10/25/13	J		
299.					Sold	12/18/13	L		
300. CME GROUP COMMON STOCK	A	Dividend	L	T	Buy	09/26/13	K		
301.					Buy (add'l)	10/17/13	J		
302.					Buy (add'l)	12/17/13	J		
303. CONOCOPHILLIPS COMMON STOCK	A	Dividend	L	T	Buy	08/09/13	L		
304.					Sold (part)	10/14/13	J	A	
305. CONSTELLATION BRANDS COMMON STOCK		None			Sold (part)	01/23/13	J	C	
306.					Sold	02/01/13	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
307. CORNING INC COMMON STOCK	A	Dividend			Sold	03/28/13	L	B	
308. COVANTA HLDG CORP COMMON STOCK	B	Dividend	L	T					
309. EOG RES INC COMMON STOCK	A	Dividend	M	T					
310. EVERCORE PARTNERS COMMON STOCK	A	Dividend			Sold	06/06/13	J	A	
311. GENERAL DYNAMICS COMMON STOCK		None			Buy	03/18/13	L		
312.					Sold	04/02/13	L	A	
313. GENERAL ELECTRIC COMMON STOCK	A	Dividend	L	T	Buy	08/09/13	L		
314. INTEL COMON STOCK	A	Dividend	K	T	Buy	08/09/13	L		
315.					Sold (part)	08/29/13	J		
316.					Sold (part)	10/14/13	K	A	
317. INTERNATIONAL BUSINESS MACHINE COMMON STOCK	D	Dividend	N	T	Sold (part)	01/28/13	K	D	
318. INTERNATIONAL PAPER CO COMMON STOCK	C	Dividend	M	T					
319. JOHNSON & JOHNSON COMMON STOCK	E	Dividend	P1	T	Buy (add'l)	08/09/13	L		
320.					Sold (part)	08/29/13	J		
321. JPMORGAN CHASE COMMON STOCK	A	Dividend	L	T	Buy	08/09/13	L		
322. KRAFT FOODS GROUP COMMON STOCK	B	Dividend	K	T	Buy (add'l)	06/26/13	K		
323.					Sold (part)	07/02/13	K	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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. LAS VEGAS SANDS COMMON STOCK	D	Dividend	N	T	Buy	04/10/13	N		
325. LYONDELLBASELL IND COMMON STOCK	B	Dividend	L	T	Buy	08/09/13	L		
326.					Buy (add'l)	08/29/13	J		
327. MACYS COMMON STOCK	A	Dividend	L	T	Buy	08/09/13	L		
328.					Buy (add'l)	08/29/13	J		
329. MARKET VECTORS GOLD MINER ETF COMMON STOCK	B	Dividend	M	T	Sold (part)	06/06/13	K		
330. MATTEL COMMON STOCK	B	Dividend	L	T	Buy	08/09/13	L		
331. MCDONALDS COMMON STOCK	B	Dividend	L	T					
332. MICROSOFT COMMON STOCK	D	Dividend	M	T	Buy (add'l)	01/15/13	K		
333.					Buy (add'l)	08/09/13	L		
334.					Sold (part)	08/29/13	J	A	
335.					Sold (part)	09/26/13	L	A	
336. MONDELEZ INTL COMMON STOCK	A	Dividend	L	T	Buy	06/27/13	K		
337. NEWELL RUBBERMAID COMMON STOCK	A	Dividend	L	T	Buy	09/26/13	K		
338.					Buy (add'l)	10/14/13	J		
339.					Buy (add'l)	12/17/13	J		
340. NOVO-NORDISK COMMON STOCK		None	O	T	Buy	09/12/13	N		

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)
341. OCCIDENTAL PETE CORP COMMON STOCK	D	Dividend	N	T					
342. ORACLE CORP COMMON STOCK	A	Dividend	M	T					
343. PACKAGING CORP COMMON STOCK	C	Dividend	M	T					
344. PEPSICO COMMON STOCK	E	Dividend	O	T					
345. PFIZER INC COMMON STOCK	D	Dividend	M	T	Buy (add'l)	08/09/13	L		
346. PIONEER NATURAL RESOURCES COMMON STOCK	A	Dividend	N	T	Sold (part)	02/01/13	J	D	
347.					Sold (part)	10/09/13	K	E	
348.					Sold (part)	10/21/13	L	F	
349. PRECISION CASTPARTS COMMON STOCK	A	Dividend	M	T	Buy	05/22/13	L		
350.					Buy (add'l)	06/26/13	L		
351. IRA ACCOUNT #2 (FKA IRA HOLDINGS) CMN STOCKS UNLESS NOTED									
352. (LINES 353 - 455)									
353. AMERICAN CAPITAL AGENCY	B	Dividend	J	T	Buy	02/28/13	J		
354.					Buy (add'l)	05/10/13	J		
355. AMERICAN INTERNATIONAL GROUP	A	Dividend	K	T	Sold (part)	02/05/13	J	A	
356. APOLLO INVESTMENT CORP FUND	B	Dividend	J	T	Sold (part)	02/05/13	J	B	

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

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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)
357.					Sold	02/06/13	J	B	
358.					Buy	04/17/13	J		
359.					Buy (add'l)	06/04/13	J		
360.					Buy (add'l)	06/05/13	J		
361.					Sold (part)	10/24/13	J	A	
362.					Sold (part)	12/16/13	J	A	
363. APPLE INC	A	Dividend	K	T	Buy	04/23/13	J		
364. ASHFORD HOSPITALITY TR INC	A	Dividend	J	T	Sold (part)	02/05/13	J	B	
365. ASHFORD HOSPITALITY PRIME		None			Spinoff (from line 364)	11/19/13	J		
366.					Sold (part)	11/19/13	J	A	
367.					Sold	12/05/13	J		
368. AVENUE INCOME CREDIT FUND	B	Dividend	K	T	Sold (part)	02/05/13	J		
369.					Buy (add'l)	05/09/13	J		
370.					Buy (add'l)	06/13/13	J		
371. CENTURYLINK INC	A	Dividend			Buy	02/19/13	J		
372.					Buy (add'l)	03/05/13	J		
373.					Sold	05/14/13	J	B	

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

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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)
374. CHEVRON CORP	A	Dividend			Buy (add'l)	02/05/13	J		
375.					Sold	11/21/13	J	B	
376. CHIMERA INVESTMENT CORP	A	Dividend	J	T	Buy	07/19/13	J		
377. COBALT INTL ENERGY		None			Buy	02/05/13	J		
378.					Sold	12/11/13	J		
379. CREXUS INVESTMENT CORP	A	Dividend			Sold	01/31/13	J	C	
380. DANAHER CORP	A	Dividend	J	T	Sold (part)	02/05/13	J	A	
381.					Sold (part)	09/20/13	J	B	
382.					Buy (add'l)	10/03/13	J		
383. DEVON ENERGY CORP	A	Dividend	J	T	Buy	11/21/13	J		
384. DOUBLELINE TOTAL RETURN MUTUAL FUND	A	Dividend	J	T	Buy (add'l)	02/05/13	J		
385.					Sold (part)	11/15/13	J		
386. EATON VANCE TAX MGD DIV EQU FUND	A	Dividend	J	T	Buy (add'l)	02/05/13	J		
387. EMC CORP MASS		None			Sold	02/05/13	J		
388. ENSCO PLC SPON ADR	A	Dividend			Sold (part)	02/05/13	J	A	
389.					Buy (add'l)	06/13/13	J		
390.					Sold	07/16/13	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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Name of Person Reporting

Wood, Kimba M.

Date of Report

10/6/2014

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)
391. GUGGENHEIM SPIN OFF ETF	A	Dividend	K	T	Buy	02/05/13	J		
392. HOLLYFRONTIER CORP	A	Dividend			Buy	04/24/13	J		
393.					Sold	07/02/13	J		
394. ISHARES DJ US OIL & EXPLR		None			Sold	02/05/13	J	B	
395. ISHARES MSCI GROWTH ETF	A	Dividend	J	T	Buy (add'l)	02/05/13	J		
396. ISHARES S&P MID CAP 400 GROWTH ETF	A	Dividend	K	T	Sold (part)	02/26/13	J	B	
397.					Buy (add'l)	04/11/13	J		
398. JP MORGAN CHASE & CO	A	Dividend	J	T	Sold (part)	02/05/13	J	A	
399. KAR AUCTION SVCS INC	A	Dividend	K	T	Buy	06/28/13	J		
400.					Buy (add'l)	07/01/13	J		
401.					Buy (add'l)	07/09/13	J		
402. LENDER PROCESSING SERV	A	Dividend			Buy (add'l)	02/05/13	J		
403.					Sold	04/16/13	J	C	
404. MARKET VECTORS AGRIBUS ETF		None			Buy (add'l)	02/05/13	J		
405.					Sold (part)	02/26/13	J	A	
406.					Sold	06/27/13	J		
407. MCDONALDS CORP	A	Dividend	J	T	Buy (add'l)	02/05/13	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 \$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)
408. MDC PRTNRS INC		None			Sold (part)	02/05/13	J	A	
409.					Sold (part)	05/03/13	J	B	
410.					Sold	05/06/13	J	C	
411. OCH-ZIFF CAPITAL MANAGEMENT (SEE NOTES 1 & 7 IN SECT VIII)	B	Distribution	J	T	Buy	03/15/13	J		
412.					Sold (part)	11/15/13	J	B	
413. PENNANTPARK FLTGT RT CAP LTD FUND	A	Dividend	K	T	Buy	02/05/13	J		
414.					Buy (add'l)	12/20/13	J		
415. POWERSHRES ETF TR DYNA BUYBK FUND	A	Dividend	K	T	Buy	02/05/13	J		
416.					Buy (add'l)	08/13/13	J		
417. PROCTER & GAMBLE		None	J	T	Buy	11/14/13	J		
418. QUALCOMM INC	A	Dividend	J	T	Buy (add'l)	02/05/13	J		
419. SCHLUMBERGER LTD	A	Dividend			Buy (add'l)	02/05/13	J		
420.					Sold	06/04/13	J		
421. SEADRILL LTD	A	Dividend	J	T	Buy (add'l)	02/05/13	J		
422.					Buy (add'l)	03/05/13	J		
423.					Buy (add'l)	04/18/13	J		
424. SOLAR SENIOR CAPITAL LTD	A	Dividend			Sold (part)	02/05/13	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

Wood, Kimba M.

Date of Report

10/6/2014

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)
425.					Sold	02/22/13	J	B	
426. SPDR S&P BANK ETF	A	Dividend			Sold	01/23/13	J	A	
427. SPDR S&P EMERGING ASIA PACIFIC FUND	A	Dividend	J	T	Sold (part)	02/26/13	J	A	
428. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	K	T	Buy (add'l)	02/05/13	J		
429.					Buy (add'l)	03/20/13	J		
430.					Buy (add'l)	07/11/13	J		
431. SPIRIT REALTY CAPITAL INC	A	Dividend			Sold (part)	02/05/13	J	A	
432.					Sold	02/22/13	J	C	
433. STARWOOD PROPERTY TRUST	A	Dividend	K	T	Buy	06/25/13	J		
434.					Buy (add'l)	09/10/13	J		
435. TRONOX LTD		None			Sold	02/05/13	J		
436. UNITED TECHNOLOGIES CORP	A	Dividend	K	T	Buy (add'l)	02/05/13	J		
437. VANGUARD DIVIDEND APPRECIATION FUND	A	Dividend	K	T	Buy (add'l)	02/05/13	J		
438. VANGUARD INFO TECH ETF	A	Dividend	J	T	Buy (add'l)	02/05/13	J		
439.					Sold (part)	02/26/13	J	B	
440. VANGUARD MSCI EMERGING MARKETS	A	Dividend			Buy (add'l)	02/05/13	J		
441.					Sold (part)	02/26/13	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	
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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 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)
442.					Sold	07/03/13	J		
443. VODAFONE GP PLC ADS	A	Dividend	K	T	Buy	01/23/13	J		
444.					Sold (part)	02/05/13	J	A	
445. WELLS FARGO & CO	A	Dividend	J	T	Buy	01/09/13	J		
446.					Buy (add'l)	02/05/13	J		
447.					Sold (part)	08/06/13	J	A	
448. WISDOMTREE EUROPE HEDGED EQUITY FUND	A	Dividend	J	T	Buy	08/13/13	J		
449. WISDOMTREE SMALL CAP DIV FUND	A	Dividend	K	T	Buy	05/14/13	J		
450. WISDOMTREE TRUST EMRG MKT EQUITY FUND	A	Dividend	K	T	Buy (add'l)	02/05/13	J		
451.					Buy (add'l)	04/10/13	J		
452. WISDOMTREE TR EMG MKTS SMCAP		None			Sold	02/05/13	J	A	
453. YUM BRANDS INC	A	Dividend	J	T	Buy (add'l)	01/10/13	J		
454.					Buy (add'l)	02/05/13	J		
455.					Sold (part)	06/24/13	J	B	
456. IRA#2 - OPTIONS (SEE NOTE 3 IN SECT VIII) (LINES 457 - 487)									
457. AMERICAN CAPITAL AGENCY - OPENING CONTRACT		None			Sold	04/18/13	J		
458. OPTION EXPIRED		None			Expired	09/23/13		A	

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

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

459. OPENING CONTRACT		None			Sold	09/24/13	J		
460. AMERICAN INTERNATIONAL GROUP - OPENING CONTRACT		None			Sold	02/20/13	J		
461. CLOSING CONTRACT		None			Buy	07/11/13	J		
462. APOLLO INVESTMENT CORP - OPENING CONTRACT		None			Sold	05/01/13	J		
463. OPTION EXPIRED		None			Expired	09/23/13		A	
464. OPENING CONTRACT		None			Sold	07/11/13	J		
465. OPTION ASSIGNED		None			Redeemed	12/16/13			
466. OPENING CONTRACT		None			Sold	10/24/13	J		
467. CENTURYLINK INC - OPENING CONTRACT		None			Sold	03/05/13	J		
468. CLOSING CONTRACT		None			Buy	05/14/13	J		
469. DANAHER - OPENING CONTRACT		None			Sold	02/20/13	J		
470. OPTION ASSIGNED		None			Redeemed	09/20/13			
471. ENSCO - OPENING CONTRACT		None			Sold	02/20/13	J		
472. CLOSING CONTRACT		None			Buy	07/16/13	J	A	
473. JP MORGAN CHASE & CO - OPENING CONTRACT		None			Sold	09/24/13	J		
474. QUALCOMM - OPENING CONTRACT		None			Sold	04/18/13	J		
475. CLOSING CONTRACT		None			Buy	10/17/13	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	
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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)

476. SCHLUMBERGER - OPENING CONTRACT		None			Sold	02/20/13	J		
477. CLOSING CONTRACT		None			Buy	06/04/13	J	A	
478. SEADRILL LTD - OPENING CONTRACT		None			Sold	08/08/13	J		
479. SPDR S&P MIDCAP 400 ETF - OPENING CONTRACT		None			Sold	09/24/13	J		
480. UNITED TECHNOLOGIES - OPENING CONTRACT		None			Sold	02/20/13	J		
481. CLOSING CONTRACT		None			Buy	07/23/13	J		
482. OPENING CONTRACT		None			Sold	09/24/13	J		
483. WELLS FARGO - OPENING CONTRACT		None			Sold	02/20/13	J		
484. OPTION PARTIALLY ASSIGNED		None			Redeemed (part)	08/06/13			
485. CLOSING CONTRACT		None			Buy	10/17/13	J		
486. YUM - OPENING CONTRACT		None			Sold	04/18/13	J		
487. OPTION EXPIRED		None			Expired	10/21/13		A	
488. ADDITIONAL COMMON STOCKS (NON-IRA) (LINES 489-514)									
489. ROCKWELL COLLINS	B	Dividend			Buy (add'l)	02/26/13	K		
490.					Sold (part)	08/16/13	K	D	
491.					Sold (part)	08/19/13	K	D	
492.					Sold (part)	08/20/13	K	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)
493.					Sold	08/21/13	K	C	
494. SANDISK	A	Dividend	M	T	Buy	08/21/13	L		
495.					Buy (add'l)	10/21/13	J		
496.					Buy (add'l)	11/26/13	K		
497.					Buy (add'l)	12/17/13	K		
498. SEMPRA ENERGY	A	Dividend	L	T	Buy	08/09/13	L		
499. SMUCKER JM		None	K	T	Buy	12/17/13	K		
500. SONIC CORP		None	P3	T	Buy (add'l)	01/23/13	L		
501.					Sold (part)	01/23/13	M	E	
502.					Sold (part)	09/25/13	P1	H1	
503.					Sold (part)	09/26/13	O	G	
504. TEXTRON	A	Dividend	L	T	Buy	08/16/13	K		
505. THE TRAVELERS COS	D	Dividend	M	T					
506. UNILEVER	C	Dividend	L	T					
507. UNITED CONTINENTAL		None	L	T	Buy	11/22/13	L		
508. UNUM GROUP	C	Dividend	M	T	Buy (add'l)	01/15/13	K		
509.					Sold (part)	09/10/13	K	D	

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

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)
510. VIACOM	B	Dividend	M	T					
511. WALGREEN	E	Dividend	PI	T					
512. WALMART STORES	D	Dividend	N	T					
513. WEYERHAEUSER CO	A	Dividend	L	T	Buy	08/09/13	L		
514.					Buy (add'l)	08/29/13	J		
515. MLPS (LINES 516-589) EXCEPT WHERE NOTED									
516. APOLLO INVESTMENT CORP COMMON STOCK	E	Dividend	M	T	Buy (add'l)	06/06/13	M		
517.					Sold (part)	12/16/13	M	D	
518.					Sold (part)	12/20/13	K	C	
519. BUCKEYE PTNRS (SEE NOTE 1 IN SECT VIII)		None	N	T	Buy	01/24/13	M		
520.					Distributed (part)	02/28/13	J		
521.					Distributed (part)	05/31/13	J		
522.					Distributed (part)	08/20/13	J		
523.					Buy (add'l)	10/10/13	L		
524.					Distributed (part)	11/19/13	J		
525. CHIMERA INVESTMENT CORP COMMON STOCK	D	Dividend	M	T	Buy	08/02/13	M		
526. KINDER MORGAN ENERGY (FKA COPANO ENERGY LLC)		None	M	T	Distributed (part)	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)

527.					Distributed (part)	04/26/13	J		
528.					Sold (part)	05/02/13	J	A	
529.					Distributed (part)	08/14/13	J		
530.					Distributed (part)	11/14/13	J		
531. CRESTWOOD EQUITY PARTNERS (FKA INERGY L.P.) (SEE LINE 552)		None	M	T	Distributed (part)	02/14/13	J		
532. (SEE NOTE 1 IN SECT VIII)					Distributed (part)	05/15/13	J		
533.					Distributed (part)	08/14/13	J		
534.					Distributed (part)	11/14/13	J		
535.					Buy (add'l)	12/11/13	L		
536. CRESTWOOD MIDSTREAM PARTNERS (SEE NOTE 1 IN SECT VIII)		None	M	T	Spinoff (from line 531)	06/18/13	L		
537.					Sold (part)	06/18/13	J	A	
538.					Distributed (part)	08/14/13	J		
539.					Distributed (part)	11/14/13	J		
540. ENERGY TRANS EQTY LP (SEE NOTE 1 IN SECT VIII)		None	N	T	Distributed (part)	02/19/13	J		
541.					Distributed (part)	05/17/13	J		
542.					Distributed (part)	08/19/13	J		
543.					Distributed (part)	11/19/13	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	

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)

544. ENTERPRISE GP/AKA ENTERPRISE PRODS LP		None	M	T	Distributed (part)	02/07/13	J		
545.					Distributed (part)	05/07/13	J		
546.					Distributed (part)	08/07/13	J		
547.					Distributed (part)	11/07/13	J		
548. EV ENERGY PARTNERS (SEE NOTE 1 IN SECT VIII)	A	Distribution			Buy	03/14/13	M		
549.					Buy (add'l)	03/28/13	M		
550.					Buy (add'l)	04/19/13	K		
551.					Sold	05/02/13	M		
552. FACEBOOK INC COMMON STOCK		None			Sold	10/11/13	J	B	
553. INERGY LP-NAME CHANGED TO CRESTWOOD EQUITY - SEE LINE 530									
554. MAGELLAN MIDSTREAM PARTNERS LP (SEE NOTE 1 IN SECT VIII)	A	Distribution	L	T	Distributed (part)	02/14/13	J		
555.					Distributed (part)	05/15/13	J		
556.					Distributed (part)	08/14/13	J		
557.					Distributed (part)	11/14/13	J		
558. MARKWEST ENERGY PARTNERS LP (SEE NOTE 1 IN SECT VIII)		None	M	T	Distributed (part)	02/14/13	J		
559.					Distributed (part)	05/15/13	J		
560.					Distributed (part)	08/14/13	J		

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

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)
561.					Distributed (part)	11/14/13	J		
562.					Buy (add'l)	12/27/13	L		
563. NISKA GAS STORAGE PTNRS (SEE NOTE 1 IN SECT VIII)	B	Distribution			Distributed (part)	02/15/13	J		
564.					Distributed (part)	05/23/13	J		
565.					Sold	07/26/13	L	E	
566. NORTHERN TIER ENERGY LP (SEE NOTE 1 IN SECT VIII)	D	Distribution	N	T	Distributed (part)	02/28/13	J		
567.					Distributed (part)	05/30/13	J		
568.					Distributed (part)	08/29/13	J		
569.					Distributed (part)	11/27/13	J		
570. PETROLOGISTICS LP (SEE NOTE 1 IN SECT VIII)		None	M	T	Distributed (part)	02/26/13	J		
571.					Distributed (part)	05/14/13	J		
572.					Distributed (part)	08/14/13	J		
573.					Distributed (part)	11/14/13	J		
574. PVR PARTNERS (SEE NOTE 1 IN SECT VIII)		None	M	T	Buy	03/28/13	M		
575.					Distributed (part)	05/14/13	J		
576.					Distributed (part)	08/14/13	J		
577.					Distributed (part)	11/13/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)
578. RHINO RESOURCE PARTNERS (SEE NOTE 1 IN SECT VIII)	B	Distribution	L	T	Buy	06/06/13	K		
579.					Buy (add'l)	06/07/13	L		
580.					Distributed (part)	08/14/13	J		
581.					Distributed (part)	11/14/13	J		
582. TARGA RES PARTNERS SEE NOTE 1 IN SECT VIII)		None	M	T	Buy	01/07/13	M		
583.					Distributed (part)	02/14/13	J		
584.					Distributed (part)	05/15/13	J		
585.					Distributed (part)	08/14/13	J		
586.					Distributed (part)	11/14/13	J		
587. WESTERN GAS PARTNERS (SEE NOTE 1 IN SECT VIII)		None	L	T	Distributed (part)	02/12/13	J		
588.					Distributed (part)	05/13/13	J		
589.					Distributed (part)	08/12/13	J		
590.					Distributed (part)	11/12/13	J		
591. MLP ACCOUNT - OPTIONS (LINES 591-599 (NOTE 3 IN SECT VIII)									
592. NORTERN TIER ENERGY CALL- OPENING		None			Sold	02/15/13	J		
593. CONTRACT EXPIRED		None			Expired	09/23/13		D	
594. PETROLOGISTICS LP CALL - OPENING		None			Sold	02/15/13	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.)
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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)
595. CONTRACT EXPIRED		None			Expired	09/23/13		D	
596. APOLLO INVESTMENT CALL #1 - OPENING		None			Sold	08/02/13	J		
597. PART OF APOLLO CALL #1 ASSIGNED		None			Redeemed (part)	12/16/13			
598. REMAINDER OF APOLLO CALL #1 ASSIGNED		None			Redeemed	12/20/13			
599. APOLLO INVESTMENT CALL #2 - OPENING		None			Sold	09/12/13	J		
600. APOLLO INVESTMENT CALL #3 - OPENING		None			Sold	10/24/13	J		
601. BONDS/FIXED INCOME (LINES 601 - 602)									
602. PETROLEOS DE VENEZUELA - BONDS	C	Interest	L	T	Buy	06/10/13	L		
603. RIDGEWORTH FUNDS SEIX FLTG RATE	D	Dividend	O	T	Buy	07/29/13	O		
604. CASH/S/T INVESTS/MM ACCTS (LINES 604-619)									
605. GOLDMAN SACHS FINANCIAL SQUARE MM/CASH	A	Interest	N	T					
606. GOLDMAN SACHS BANK DEPOSIT/ CASH #2 (FDN)	A	Interest	N	T					
607. CITIBANK CHECKING ACCOUNT - FOUNDATION		None	J	T					
608. CITIBANK INTEREST CHECKING ACCOUNT #1 (FERP)	A	Interest	K	T					
609. MORGAN STANLEY BANK/TRUST DEPOSITS #1	A	Interest			Closed	04/05/13	J		
610. CITIBANK CHECKING ACCOUNT (HH)		None	J	T					
611. CITIBANK AGENCY TRUST CASH ACCOUNT	A	Interest	K	T	Open	07/05/13	O		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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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	(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)
612. CITIBANK ASSET ACCOUNT		None	J	T					
613. CITIBANK MONEY MARKET PLUS	D	Interest	P1	T					
614. CITIBANK INTEREST CHECKING ACCOUNT #2 (KATNH)	A	Interest	J	T					
615. STATE STREET INST LIQUID RESERVES MM/CASH (NB)	A	Dividend	M	T					
616. BARCLAYS CASH (SEE NOTE 8 IN SECT VIII)	A	Interest	J	T					
617. UBS BANK USA DEPOSIT ACCOUNT (SEE NOTE 8 IN SECT VIII)		None	J	T					
618. CGMI BANK DEPOSIT PROGRAM	A	Interest	O	T					
619. MORGAN STANLEY BANK/TRUST DEPOSITS #2	A	Interest	L	T					
620. MORGAN STANLEY BANK/TRUST DEPOSITS #3 (ROTH IRA)	A	Interest	K	T					
621. OCA WESLEY MORTGAGE REIT (SEE NOTE 11 IN SECT VIII)		None			Distributed	04/29/13	K	E	
622. FDN BROKERAGE #1 (LINES 622-630) (NOTE 16 IN SECT VIII)									
623. ABBOTT LABORATORIES COMMON STOCK	A	Dividend			Sold	03/27/13	M	D	
624. ABBOTT LABORATORIES COMMON STOCK (X)		None			Sold	03/27/13	M		
625. ABBVIE INC COMMON STOCK	B	Dividend			Spinoff (from line 623)	01/02/13	M		
626.					Sold (part)	04/22/13	K	D	
627.					Sold	05/22/13	L	E	
628. ABBVIE INC COMMON STOCK (X)		None			Sold	12/17/13	M		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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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	(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)
629. WALMART COMMON STOCK	B	Dividend			Sold (part)	01/07/13	K		
630.					Sold	04/17/13	M	E	
631. WALMART COMMON STOCK (X)		None			Sold	12/17/13	N		
632. FDN BRKG ACCT #2 (LINES 632 -802) (SEE NOTE 16 SECT VIII)									
633. MORGAN STANLEY BANK/TRUST #1 (CASH/MM)		None	J	T					
634. MORGAN STANLEY BANK/TRUST #2 (CASH/MM)	A	Interest	M	T					
635. COMMON STOCKS AND FUNDS (LINES 635-743)									
636. AMERICAN CAPITAL AGENCY	D	Dividend	K	T	Buy	02/28/13	L		
637.					Buy (add'l)	05/10/13	J		
638. AMER INTL GP INC	A	Dividend	M	T	Sold (part)	02/05/13	J	A	
639. APOLLO INVESTMENT CORP	D	Dividend	K	T	Sold (part)	02/05/13	J	A	
640.					Sold (part)	02/19/13	J	A	
641.					Sold (part)	03/15/13	L	D	
642.					Buy (add'l)	04/17/13	K		
643.					Buy (add'l)	06/04/13	K		
644.					Buy (add'l)	06/05/13	J		
645.					Sold (part)	10/24/13	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 (See Columns C1 and D3)	F = \$50,001 - \$100,000 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)
646.					Sold (part)	12/16/13	K	B	
647. APPLE INC	B	Dividend	K	T	Buy	04/23/13	L		
648.					Sold (part)	11/05/13	K	D	
649. ASHFORD HOSPITALITY TR INC	B	Dividend	K	T	Sold (part)	02/05/13	K	D	
650. ASHFORD HOSPITALITY PRIME		None			Spinoff (from line 649)	11/19/13	J		
651.					Sold (part)	11/19/13	J		
652.					Sold	12/05/13	J		
653. AVENUE INCOME CREDIT	D	Dividend	L	T	Sold (part)	02/05/13	K		
654.					Buy (add'l)	05/09/13	K		
655. CENTURYLINK INC	A	Dividend			Buy	02/19/13	K		
656.					Buy (add'l)	03/05/13	K		
657.					Sold	05/14/13	L	D	
658. CHEVRON CORP	A	Dividend			Sold (part)	05/14/13	K	C	
659.					Buy (add'l)	08/22/13	K		
660.					Sold	11/21/13	K	C	
661. CHIMERA INVESTMENT CORP	B	Dividend	L	T	Buy	07/19/13	L		
662. COBALT INTL ENERGY		None			Buy	01/18/13	K		

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

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)
663.					Buy (add'l)	02/05/13	J		
664.					Sold	12/11/13	K		
665. CREXUS INVESTMENT CORP	B	Dividend			Sold	01/31/13	L	D	
666. DANAHER CORP	A	Dividend	L	T	Sold (part)	02/05/13	J	C	
667.					Buy (add'l)	10/03/13	K		
668.					Sold (part)	09/20/13	K	E	
669. DEVON ENERGY CORP	A	Dividend	L	T	Buy	11/21/13	L		
670. DOUBLELINE TOTAL RETURN	C	Dividend	K	T	Buy (add'l)	02/05/13	J		
671.					Sold (part)	11/15/13	J		
672. EATON VANCE TAX MGD DIV EQU FUND	C	Dividend	K	T	Buy (add'l)	02/05/13	J		
673. EMC CORP MASS		None			Sold	02/05/13	K		
674. ENERGY SEL SECT SPDR FD	A	Dividend			Sold	01/23/13	K	A	
675. ENSCO PLC SPON	A	Dividend			Sold (part)	02/05/13	J	C	
676.					Buy (add'l)	06/13/13	J		
677.					Sold	07/16/13	L	D	
678. GUGGENHEIM SPIN OFF ETF	A	Dividend	L	T	Buy	02/05/13	L		
679. HOLLEYFRONTIER CORP	A	Dividend			Buy	04/24/13	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 \$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)
680.					Sold	07/02/13	K		
681. ISHARES DJ US OIL & EXPLR		None			Sold	02/05/13	K	D	
682. ISHARES MSCI GROWTH INDX FD	A	Dividend	K	T	Buy (add'l)	02/05/13	J		
683. ISHARES S&P MID CAP 400 GROWTH ETF	A	Dividend	L	T	Buy (add'l)	02/05/13	J		
684.					Sold (part)	02/26/13	K	D	
685.					Buy (add'l)	04/11/13	K		
686. ISHARES S&P MIDCAP 400 INDEX		None			Sold	01/23/13	K	E	
687. JP MORGAN CHASE	B	Dividend	L	T	Sold (part)	02/05/13	J	A	
688. KAR AUCTION SERVICES INC	A	Dividend	L	T	Buy	06/28/13	K		
689.					Buy (add'l)	07/01/13	K		
690.					Buy (add'l)	07/09/13	K		
691. LENDER PROCESSING SERV	A	Dividend			Buy (add'l)	02/05/13	J		
692.					Sold	04/16/13	L	D	
693. MARKET VECTORS AGRIBUS ETF		None			Buy (add'l)	02/05/13	J		
694.					Sold (part)	02/26/13	K	C	
695.					Sold	06/27/13	K	C	
696. MCDONALDS CORP	B	Dividend	K	T	Buy (add'l)	02/05/13	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	