

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 9/25/2013
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 01/01/2012 to 12/31/2012
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. 2012*	Rockefeller Brothers Fund - Committee Fees
2. 2012*	Sonic Corp - various Board & Committee Fees
3. 2012*	Vestar, Harding Services, Blackstone, Irving Place Capital, Morgan Stanley Smith Barney, Centerview - Fee Income
4. 2012*	Morgan Stanley Pension Benefit
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	J
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 1 IN SECTION VIII)	F	Distribution			Distributed	11/30/12	P1	G	
3. DREYFUS GOVERNMENT CASH SHARES	A	Interest	P1	T	Open	12/03/12	P1		
4. MORGAN STANLEY BANK/CASH	A	Interest	J	T					
5. ABBOTT LABORATORIES COMMON STOCK		None			Sold	01/04/12	J	A	
6. ACCENTURE PLC IRELAND	A	Dividend			Buy	01/10/12	J		
7.					Sold	05/11/12	J	A	
8. AMERICAN EXPRESS CO COMMON STOCK	A	Dividend			Sold	08/17/12	J	A	
9. AMER INTL GP INC COMMON STOCK		None	J	T	Buy	05/07/12	J		
10.					Buy (add'l)	12/11/12	J		
11. APOLLO INVESTMENT CORP (SEE NOTE 1 IN SECT VIII)	A	Dividend	J	T	Buy	02/08/12	J		
12.					Buy (add'l)	03/07/12	J		
13.					Buy (add'l)	10/23/12	J		
14. APPLE INC COMMON STOCK		None			Buy	04/09/12	J		
15.					Buy (add'l)	04/12/12	J		
16.					Sold	06/21/12	J		
17. ASHFORD HOSPITALITY TR INC COMMON STOCK	A	Dividend	J	T	Buy	05/24/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = \$15,001 - \$50,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 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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18. AVENUE INCOME CREDIT COMMON STOCK	A	Dividend	J	T	Buy (add'l)	03/09/12	J		
19. BLACKROCK INC COMMON STOCK		None			Sold	01/11/12	J	C	
20. CHEVRON CORP COMMON STOCK	A	Dividend	J	T	Buy	01/12/12	J		
21.					Buy (add'l)	10/11/12	J		
22. CME GROUP INC COMMON STOCK	A	Dividend			Sold	01/10/12	J		
23.					Buy	02/02/12	J		
24.					Sold	08/02/12	J		
25. COPANO ENERGY LLC (SEE NOTE 1 IN SECT VIII)		None	J	T	Buy	04/12/12	J		
26.					Distributed (part)	05/10/12	J		
27.					Buy (add'l)	05/22/12	J		
28.					Buy (add'l)	05/24/12	J		
29.					Distributed (part)	08/09/12	J		
30.					Distributed (part)	11/08/12	J		
31. CREXUS INVESTMENT CORP COMMON STOCK	A	Dividend	J	T					
32. DANAHER CORP COMMON STOCK	A	Dividend			Buy	04/12/12	J		
33.					Sold	08/17/12	J		
34. DOUBLELINE TOTAL RETURN MUTUAL FUND	A	Dividend			Buy	01/10/12	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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35.					Buy (add'l)	02/17/12	J		
36.					Sold	11/15/12	J	A	
37. EMC CORP MASS COMMON STOCK		None	J	T	Buy	10/22/12	J		
38. ENERGY SEL SECT SPDR FD COMMON STOCK		None			Sold	01/12/12	J		
39. ENERGY TRANS EQUITY LP (SEE NOTE 1 IN SECT VIII)		None	J	T	Buy	03/28/12	J		
40.					Buy (add'l)	04/12/12	J		
41.					Distributed (part)	05/18/12	J		
42.					Distributed (part)	08/17/12	J		
43.					Distributed (part)	11/16/12	J		
44. ENSCO PLC COMMON STOCK	A	Dividend	J	T	Buy	02/24/12	J		
45.					Buy (add'l)	03/08/12	J		
46.					Sold	03/28/12	J		
47.					Buy	05/29/12	J		
48.					Buy (add'l)	06/07/12	J		
49. EV ENERGY PARTNERS LP (SEE NOTE 1 IN SECT VIII)		None	J	T	Buy	06/26/12	J		
50.					Distributed (part)	08/14/12	J		
51.					Distributed (part)	11/14/12	J		

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52. GOLAR LNG LTD COMMON STOCK	A	Dividend			Buy	05/08/12	J		
53.					Sold (part)	12/24/12	J	A	
54.					Sold	12/26/12	J	A	
55. HALLIBURTON CO COMMON STOCK	A	Dividend			Sold	03/21/12	J	A	
56. INERGY LP (SEE NOTE 1 IN SECT VIII)		None	J	T	Buy	04/04/12	J		
57.					Buy (add'l)	04/05/12	J		
58.					Buy (add'l)	04/12/12	J		
59.					Buy (add'l)	04/23/12	J		
60.					Distributed (part)	05/15/12	J		
61.					Distributed (part)	08/14/12	J		
62.					Distributed (part)	11/14/12	J		
63. ISHARES S&P MID CAP 400 GROWTH COMMON STOCK	A	Dividend	J	T					
64. JPMORGAN CHASE & CO COMMON STOCK	A	Dividend	J	T	Buy	01/11/12	J		
65.					Buy (add'l)	04/12/12	J		
66. LENDER PROCESSING SERV COMMON STOCK	A	Dividend	J	T	Buy	02/03/12	J		
67.					Buy (add'l)	03/08/12	J		
68. MARKET VECTOR AGRIBUS ETF COMMON STOCK	A	Dividend	J	T					

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69. MARKET VECTORS BRAZL SM-CAP COMMON STOCK		None			Sold (part)	03/28/12	J	A	
70.					Sold	05/17/12	J	A	
71. MARKWEST ENERGY PTNRS LP (SEE NOTE 1 IN SECT VIII)		None			Buy	03/29/12	J		
72.					Distributed (part)	05/15/12	J		
73.					Sold	07/16/12	J		
74. MCDONALDS CORP COMMON STOCK	A	Dividend	J	T	Buy	06/15/12	J		
75.					Buy (add'l)	06/18/12	J		
76. MDC PRTNRS INC COMMON STOCK	A	Dividend	J	T	Buy	04/04/12	J		
77.					Buy (add'l)	04/05/12	J		
78.					Buy (add'l)	04/09/12	J		
79.					Buy (add'l)	04/16/12	J		
80. METLIFE INC COMMON STOCK		None			Buy	03/15/12	J		
81.					Sold	05/30/12	J		
82. NFJ DIVIDEND INT & PRE STRGY COMMON STOCK	A	Dividend			Sold (part)	02/22/12	J	A	
83.					Sold	04/09/12	J		
84. NORTHERN TIER ENERGY LP (SEE NOTE 1 IN SECT VIII)	A	Distribution	K	T	Buy	08/10/12	J		
85.					Buy (add'l)	08/24/12	J		

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86.					Buy (add'l)	08/30/12	J		
87.					Distributed (part)	11/29/12	J		
88. PEPSICO INC COMMON STOCK	A	Dividend			Sold	02/13/12	J	A	
89. PETROLOGISTICS LP (SEE NOTE 1 IN SECT VIII)	A	Distribution	J	T	Buy	07/13/12	J		
90.					Buy (add'l)	07/17/12	J		
91.					Distributed (part)	08/14/12	J		
92.					Sold (part)	10/10/12	J	A	
93.					Sold (part)	10/15/12	J	A	
94.					Distributed (part)	11/14/12	J		
95. PROSPECT CAPITAL CORP COMMON STOCK	A	Dividend			Sold (part)	02/21/12	J	A	
96.					Sold	05/17/12	J	A	
97. QUALCOMM INC COMMON STOCK	A	Dividend	J	T					
98. SANDRIDGE ENERGY INC COMMON STOCK		None			Buy (add'l)	02/02/12	J		
99.					Buy (add'l)	03/23/12	J		
100.					Buy (add'l)	04/12/12	J		
101.					Sold	04/27/12	J	A	
102. SCHLUMBERGER LTD COMMON STOCK	A	Dividend	J	T	Buy	01/11/12	J		

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103.					Buy (add'l)	04/12/12	J		
104. SOLAR SENIOR CAPITAL LTD COMMON STOCK	A	Dividend	J	T	Buy	02/07/12	J		
105.					Buy (add'l)	04/02/12	J		
106.					Buy (add'l)	04/03/12	J		
107.					Buy (add'l)	11/20/12	J		
108. SPDR S&P BANK ETF COMMON STOCK	A	Distribution	J	T					
109. SPDR S&P MIDCAP 400 ETF TRUST COMMON STOCK	A	Dividend	J	T	Buy	05/29/12	J		
110. SPIRIT REALTY CAPITAL INC COMMON STOCK		None	J	T	Buy	11/20/12	J		
111.					Buy (add'l)	11/21/12	J		
112. STARWOOD PROPERTY TRUST INC COMMON STOCK	A	Dividend			Sold (part)	02/01/12	J		
113.					Sold (part)	03/06/12	J	A	
114.					Sold	03/07/12	J	A	
115. SUBURBAN PROPANE PTNRS LP (SEE NOTE 1 IN SECT VIII)		None			Spinoff (from line 56)	09/14/12	J		
116.					Sold (part)	09/14/12	J	A	
117.					Sold	09/19/12	J	A	
118. TEVA PHARMACEUTICALS COMMON STOCK	A	Dividend			Buy	01/05/12	J		
119.					Sold	05/11/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$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)
120. TEXTAINER GROUP HOLDINGS LTD COMMON STOCK		None			Sold (part)	01/25/12	J	A	
121.					Sold	02/03/12	J	A	
122. TRONOX LTD COMMON STOCK	A	Dividend	J	T	Buy	07/13/12	J		
123.					Sold (part)	12/12/12	J		
124. UNITED TECHNOLOGIES CORP COMMON STOCK	A	Dividend	J	T	Buy	01/10/12	J		
125. VANGUARD DIVIDEND APPRECIATION COMMON STOCK COMMON STOCK	A	Dividend	J	T					
126. VANGUARD INFO TECH ETF COMMON STOCK	A	Dividend	J	T	Buy (add'l)	04/09/12	J		
127.					Sold (part)	10/22/12	J	A	
128. VANGUARD MSCI EMERGING MKTS COMMON STOCK	A	Dividend	J	T	Sold (part)	03/29/12	J		
129.					Sold (part)	05/07/12	J		
130.					Buy (add'l)	10/16/12	J		
131.					Buy (add'l)	10/25/12	J		
132. WEATHERFORD INTL LTD COMMON STOCK		None			Sold (part)	03/08/12	J		
133.					Sold	03/28/12	J		
134. WELLS FARGO & CO COMMON STOCK	A	Dividend	J	T	Buy	01/11/12	J		
135. WISDOMTREE TR EMG MKTS SMCAP COMMON STOCK	A	Dividend	J	T	Sold (part)	03/29/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
136. WISDOMTREE TRUST EMRG MKT EQT COMMON STOCK	A	Dividend	J	T	Buy	10/16/12	J		
137. BIF TAX-EXEMPT FUND/CASH	A	Dividend	K	T					
138. ABBOTT LABORATORIES COMMON STOCK	E	Dividend	O	T	Sold (part)	12/05/12	L	E	
139. ACCENTURE LTD COMMON STOCK	C	Dividend	M	T					
140. AIR PRODUCTS COMMON STOCK	B	Dividend			Sold	10/24/12	K		
141. ALLEGHENY TECHNOLOGIES COMMON STOCK	B	Dividend	L	T					
142. AMERICAN EXPRESS COMMON STOCK	B	Dividend	L	T	Sold (part)	05/02/12	K	D	
143. AMERICA MOVIL COMMON STOCK	D	Dividend	N	T	Sold (part)	03/22/12	N	G	
144. AMGEN COMMON STOCK	B	Dividend	M	T					
145. ANADARKO PETROLEUM CORP COMMON STOCK	A	Dividend	L	T					
146. FLY LEASING (FKA BABCOCK & BROWN) COMMON STOCK	C	Dividend	L	T					
147. BERKSHIRE HATHAWAY COMMON STOCK		None	N	T					
148. BLACKROCK INC COMMON STOCK	E	Dividend	O	T					
149. BOEING COMMON STOCK	B	Dividend	M	T	Buy	03/20/12	L		
150.					Buy (add'l)	07/26/12	L		
151.					Buy (add'l)	09/20/12	J		
152. CABOT OIL & GAS COMMON STOCK	A	Dividend	N	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 \$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)
153. CARPENTER TECHNOLOGY COMMON STOCK	B	Dividend	M	T	Buy (add'l)	04/18/12	L		
154.					Buy (add'l)	07/17/12	J		
155.					Buy (add'l)	11/16/12	J		
156. CHUBB COMMON STOCK	B	Dividend	L	T					
157. CONOCOPHILLIPS COMMON STOCK	A	Dividend			Sold	04/30/12	L	E	
158. CONSTELLATION BRANDS COMMON STOCK		None	K	T	Sold (part)	06/28/12	K	D	
159.					Sold (part)	07/05/12	L	E	
160.					Buy (add'l)	10/24/12	K		
161.					Sold (part)	11/16/12	L	E	
162. CORNING INC COMMON STOCK	B	Dividend	L	T					
163. COVANTA HLDG CORP COMMON STOCK	B	Dividend	L	T					
164. DEVON ENERGY CORP COMMON STOCK	A	Dividend			Sold (part)	06/07/12	J	A	
165.					Sold	11/14/12	L		
166. EOG RES INC COMMON STOCK	A	Dividend	L	T	Buy	04/30/12	L		
167. EQT CORP COMMON STOCK	A	Dividend			Sold	04/23/12	K	D	
168. EVERCORE PARTNERS COMMON STOCK	A	Dividend	J	T					
169. FEDERAL EXPRESS COMMON STOCK	A	Dividend			Sold	06/25/12	L	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)
170. INTERNATIONAL BUSINESS MACHINE COMMON STOCK	D	Dividend	N	T					
171. INTERNATIONAL PAPER CO COMMON STOCK	C	Dividend	M	T					
172. JOHNSON & JOHNSON COMMON STOCK	E	Dividend	P1	T	Buy (add'l)	12/05/12	L		
173. KRAFT FOODS GROUP COMMON STOCK		None	K	T	Buy	11/16/12	K		
174. MARKET VECTORS GOLD MINER ETF COMMON STOCK	C	Dividend	N	T					
175. MCDONALDS COMMON STOCK	B	Dividend	L	T	Sold (part)	10/03/12	J	B	
176.					Sold	10/24/12	K	D	
177.					Buy	11/16/12	L		
178. MICROSOFT COMMON STOCK	C	Dividend	M	T	Buy (add'l)	03/26/12	K		
179.					Buy (add'l)	05/07/12	K		
180. OCCIDENTAL PETE CORP COMMON STOCK	D	Dividend	M	T	Buy (add'l)	12/05/12	K		
181. ORACLE CORP COMMON STOCK	B	Dividend	M	T					
182. PACKAGING CORP COMMON STOCK	C	Dividend	M	T					
183. PEPSICO COMMON STOCK	E	Dividend	O	T					
184. PFIZER INC COMMON STOCK	C	Dividend	M	T	Buy (add'l)	06/07/12	J		
185. PIONEER NATURAL RESOURCES COMMON STOCK	A	Dividend	N	T	Sold (part)	02/14/12	K	E	
186.					Sold (part)	09/20/12	K	E	

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

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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)
187. IRA HOLDINGS - ALL COMMON STOCKS/MLPS (LINES 188-286)									
188. ACCENTURE PLC IRELAND		None			Buy	04/11/12	J		
189.					Sold	05/11/12	J		
190. AMERICAN EXPRESS CO	A	Dividend			Sold	08/17/12	J	B	
191. AMERICAN INTERNATIONAL GROUP		None	K	T	Buy	05/07/12	J		
192.					Buy (add'l)	09/10/12	J		
193.					Buy (add'l)	12/11/12	J		
194. ANNALY CAPITAL MNGMT INC	A	Dividend			Sold	05/30/12	J		
195. APOLLO INVESTMENT CORP	B	Dividend	K	T	Buy (add'l)	02/13/12	J		
196.					Buy (add'l)	03/20/12	J		
197.					Sold (part)	05/30/12	J	B	
198.					Sold (part)	07/13/12	J	A	
199.					Buy (add'l)	08/08/12	J		
200. ASHFORD HOSPITALITY TR INC	A	Dividend	K	T	Buy	02/22/12	J		
201.					Buy (add'l)	02/23/12	J		
202.					Buy (add'l)	07/31/12	J		
203. AVENUE INCOME CREDIT	B	Dividend	K	T	Sold (part)	07/13/12	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)
204. CHEVRON CORP	A	Dividend	J	T	Buy	02/15/12	J		
205. CME GROUP	A	Dividend			Sold	01/10/12	J		
206.					Buy	02/02/12	J		
207.					Sold	08/02/12	J		
208. CREXUS INVESTMENT CORP	B	Dividend	J	T	Buy (add'l)	03/21/12	J		
209. DANAHER CORP	A	Dividend	J	T					
210. DOUBLELINE TOTAL RETURN MUTUAL FUND	B	Dividend	J	T	Buy	01/04/12	J		
211.					Buy (add'l)	02/17/12	J		
212.					Sold (part)	11/15/12	J	A	
213. EATON VANCE TAX MGD DIV EQU FD	A	Dividend	J	T	Buy	01/26/12	J		
214. EMC CORP MASS		None	J	T	Buy	10/22/12	J		
215. ENSCO PLC SPON ADR	A	Dividend	J	T	Buy	02/24/12	J		
216.					Sold	03/28/12	J		
217.					Buy	05/24/12	J		
218.					Buy (add'l)	05/31/12	J		
219. GOLAR LNG LTD	A	Dividend			Buy	05/09/12	J		
220.					Sold (part)	12/24/12	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	

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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)
221.					Sold	12/26/12	J	A	
222. HALLIBURTON CO	A	Dividend			Sold	03/21/12	J	A	
223. ISHARES DJ US OIL & EXPLR	A	Dividend	J	T	Buy	06/26/12	J		
224.					Sold (part)	08/17/12	J	B	
225. ISHARES MSCI GROWTH INDX FD	A	Dividend	J	T	Buy	09/14/12	J		
226. ISHARES S&P MID CAP 400 GROWTH	A	Dividend	K	T	Buy (add'l)	09/14/12	J		
227. JP MORGAN CHASE & CO	A	Dividend	J	T	Buy	04/11/12	J		
228.					Buy (add'l)	05/22/12	J		
229.					Sold (part)	08/17/12	J		
230. LENDER PROCESSING SERV	A	Dividend	J	T	Buy	02/03/12	J		
231.					Sold (part)	08/17/12	J	B	
232. MARKET VECTORS AGRIBUS ETF	A	Dividend	J	T	Buy	03/29/12	J		
233. MARKET VECTORS BRAZIL SM-CAP		None			Sold	05/17/12	J		
234. MCDONALDS CORP	A	Dividend	J	T	Buy	06/15/12	J		
235. MDC PRTRNS INC	A	Dividend	J	T	Buy	04/04/12	J		
236.					Buy (add'l)	04/05/12	J		
237.					Buy (add'l)	04/09/12	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)

238.					Buy (add'l)	04/10/12	J		
239. NFJ DIVIDEND INT & PRE STRGY	A	Dividend			Sold	04/09/12	K		
240. PHILIP MORRIS	A	Dividend			Sold (part)	01/10/12	J	D	
241.					Sold	02/22/12	J	C	
242. PROSPECT CAPITAL CORP	A	Dividend			Sold (part)	02/17/12	J	C	
243.					Sold	02/21/12	J	B	
244. QUALCOMM INC	A	Dividend	J	T					
245. SANDRIDGE ENERGY INC		None			Buy (add'l)	02/02/12	J		
246.					Sold	04/27/12	J	B	
247. SCHLUMBERGER LTD	A	Dividend	J	T					
248. SEADRILL LTD	A	Dividend	J	T	Buy	04/11/12	J		
249. SOLAR CAPITAL LTD		None			Sold (part)	01/25/12	J		
250.					Sold	02/03/12	J		
251. SOLAR SENIOR CAPITAL LTD	A	Dividend	K	T	Buy	01/25/12	J		
252.					Buy (add'l)	01/26/12	J		
253.					Buy (add'l)	01/30/12	J		
254.					Buy (add'l)	01/31/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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.)

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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)
255.					Buy (add'l)	04/16/12	J		
256.					Buy (add'l)	04/19/12	J		
257.					Buy (add'l)	04/23/12	J		
258. SPDR S&P BANK ETF	A	Dividend	J	T	Sold (part)	02/13/12	J		
259.					Sold (part)	10/22/12	J		
260. SPDR S&P EMERGING ASIA PACIF	A	Dividend	J	T	Buy	01/26/12	J		
261.					Buy (add'l)	09/14/12	J		
262. SPDR S&P INSURANCE ETF		None			Sold	02/02/12	J		
263. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	J	T	Buy	05/29/12	J		
264. SPIRIT REALTY CAPITAL INC		None	J	T	Buy	09/25/12	J		
265. STARWOOD PROPERTY TRUST INC	A	Dividend			Sold (part)	01/10/12	J	A	
266.					Sold (part)	03/06/12	J	A	
267.					Sold	03/07/12	J	A	
268. TEVA PHARMACEUTICALS ADR	A	Dividend			Sold	05/11/12	J		
269. TRONOX LTD	A	Dividend	J	T	Buy	07/16/12	J		
270.					Sold (part)	12/12/12	J		
271. UNITED TECHNOLOGIES CORP	A	Dividend	J	T					

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

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

272. VANGUARD DIVIDEND APPRECIATION	A	Dividend	J	T	Sold (part)	02/13/12	K	B	
273. VANGUARD INFO TECH ETF	A	Dividend	J	T	Buy (add'l)	06/05/12	J		
274. VANGUARD MSCI EMERGING MARKETS	A	Dividend	J	T	Sold (part)	03/28/12	J		
275.					Sold (part)	05/17/12	J		
276.					Buy (add'l)	12/31/12	J		
277. VANGUARD REIT ETF		None			Sold	02/13/12	J	B	
278. WAL MART STORES INC	A	Dividend			Buy (add'l)	04/25/12	J		
279.					Sold	07/25/12	J	C	
280. WEATHERFORD INTL		None			Buy	01/10/12	J		
281.					Sold (part)	01/26/12	J	A	
282.					Sold	03/28/12	J		
283. WISDOMTREE TRUST EMRG MKT EQT	A	Dividend	J	T	Buy	01/10/12	J		
284. WISDOMTREE TR EMG MKTS SMCAP	A	Dividend	J	T	Sold (part)	03/29/12	J		
285. YUM BRANDS INC	A	Dividend	J	T	Sold (part)	01/10/12	J	B	
286.					Sold (part)	02/03/12	J	A	
287. ADDITIONAL COMMON STOCKS (NON-IRA) (LINES 288-301)									
288. ROCKWELL COLLINS	B	Dividend	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)
289. SONIC CORP		None	P2	T					
290. THE TRAVELERS COS	C	Dividend	M	T					
291. UNILEVER	C	Dividend	L	T					
292. UNITED PARCEL SERVICE	B	Dividend			Sold (part)	06/26/12	K	B	
293.					Sold (part)	07/23/12	J	B	
294.					Sold (part)	11/13/12	K	C	
295.					Sold	11/14/12	J	A	
296. UNUM GROUP	C	Dividend	M	T	Sold (part)	10/24/12	K	D	
297. VIACOM	B	Dividend	L	T					
298. WALGREEN	E	Dividend	O	T					
299. WALMART STORES	E	Dividend	O	T					
300. XEROX	A	Dividend			Sold (part)	01/31/12	K	C	
301.					Sold	04/18/12	L	D	
302. MLPS (LINES 303-357 EXCEPT 323) (SEE NOTE 1 IN SECT VIII)									
303. APOLLO INVESTMENT CORP	D	Dividend	M	T	Buy	02/08/12	M		
304. BUCKEYE PTNRS		None			Buy (add'l)	02/16/12	K		
305.					Distributed (part)	02/29/12	J		

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
306.					Distributed (part)	05/31/12	J		
307.					Sold	08/09/12	L		
308. COPANO ENERGY LLC		None	M	T	Buy	05/22/12	M		
309.					Distributed (part)	08/09/12	J		
310.					Distributed (part)	11/08/12	J		
311.					Buy (add'l)	11/16/12	K		
312. EAGLE ROCK ENERGY PTNRS		None			Sold	01/19/12	M	G	
313. ENERGY TRANS EQTY LP		None	M	T	Distributed (part)	02/17/12	J		
314.					Buy (add'l)	03/28/12	M		
315.					Distributed (part)	05/18/12	J		
316.					Distributed (part)	08/17/12	J		
317.					Buy (add'l)	11/16/12	K		
318.					Distributed (part)	11/16/12	J		
319. ENTERPRISE GP/AKA ENTERPRISE PRODS LP		None	M	T	Distributed (part)	02/09/12	J		
320.					Distributed (part)	05/09/12	J		
321.					Distributed (part)	08/08/12	J		
322.					Distributed (part)	11/08/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A –\$1,000 or less F –\$50,001 - \$100,000	B –\$1,001 - \$2,500 G –\$100,001 - \$1,000,000	C –\$2,501 - \$5,000 H1 –\$1,000,001 - \$5,000,000	D –\$5,001 - \$15,000 H2 –More than \$5,000,000	E –\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J –\$15,000 or less N –\$250,001 - \$500,000 P3 –\$25,000,001 - \$50,000,000	K –\$15,001 - \$50,000 O –\$500,001 - \$1,000,000	L –\$50,001 - \$100,000 P1 –\$1,000,001 - \$5,000,000 P4 –More than \$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.)

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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				
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323. FACEBOOK INC COMMON STOCK		None	J	T	Buy	05/17/12	J		
324. INERGY LP		None	M	T	Buy	04/19/12	L		
325.					Distributed (part)	05/15/12	J		
326.					Buy (add'l)	05/31/12	K		
327.					Distributed (part)	08/14/12	J		
328.					Distributed (part)	11/14/12	J		
329.					Buy (add'l)	12/13/12	L		
330. MAGELLAN MIDSTREAM PARTNERS LP	A	Distribution	K	T	Distributed (part)	02/14/12	J		
331.					Distributed (part)	05/15/12	J		
332.					Distributed (part)	08/14/12	J		
333.					Distributed (part)	11/14/12	J		
334. MARKWEST ENERGY PARTNERS LP		None	M	T	Distributed (part)	02/14/12	J		
335.					Distributed (part)	05/15/12	J		
336.					Distributed (part)	08/14/12	J		
337.					Distributed (part)	11/14/12	J		
338.					Buy (add'l)	11/16/12	L		
339. NISKA GAS STORAGE PTNRS	B	Distribution	L	T	Buy	06/20/12	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
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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)
340.					Distributed (part)	08/15/12	J		
341.					Distributed (part)	11/15/12	J		
342. NORTHERN TIER ENERGY LP	D	Distribution	N	T	Buy	08/09/12	L		
343.					Buy (add'l)	08/16/12	M		
344.					Distributed (part)	11/29/12	K		
345. PETROLOGISTICS LP	B	Distribution	M	T	Buy	07/13/12	M		
346.					Distributed (part)	08/14/12	J		
347.					Buy (add'l)	11/21/12	M		
348.					Sold (part)	10/15/12	M	E	
349.					Distributed (part)	11/14/12	J		
350. REGENCY ENERGY PTNRS LP		None			Sold	01/26/12	M	D	
351. SUBURBAN PROPANE PTNRS LP		None			Spinoff (from line 324)	09/14/12	K		
352.					Sold (part)	09/14/12	J		
353.					Sold	09/19/12	K	D	
354. WESTERN GAS PARTNERS		None	K	T	Distributed (part)	02/13/12	J		
355.					Distributed (part)	05/14/12	J		
356.					Distributed (part)	08/13/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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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)
357.					Distributed (part)	11/13/12	J		
358. CASH/S/T INVESTS/MM ACCTS (LINES 359-373)									
359. GOLDMAN SACHS FINANCIAL SQUARE MM/CASH	A	Interest	O	T					
360. GOLDMAN SACHS BANK DEPOSIT/ CASH #2	A	Interest	J	T					
361. CITIBANK CHECKING ACCOUNT - FOUNDATION		None	J	T					
362. CITIBANK INTEREST CHECKING ACCOUNT #1	A	Interest	K	T					
363. MORGAN STANLEY BANK/TRUST DEPOSITS #1	A	Interest	M	T					
364. CITIBANK CHECKING ACCOUNT		None	K	T					
365. CITIBANK ASSET ACCOUNT		None	N	T					
366. CITIBANK MONEY MARKET PLUS	D	Interest	P2	T					
367. CITIBANK INTEREST CHECKING ACCOUNT #2	A	Interest	J	T					
368. STATE STREET INST LIQUID RESERVES MM/CASH	A	Dividend	N	T					
369. BARCLAYS CASH (SEE NOTE 8 IN SECT VIII)	A	Interest	J	T					
370. UBS BANK USA DEPOSIT ACCOUNT (SEE NOTE 8 IN SECT VIII)	A	Interest	J	T	Open	11/07/12	N		
371. CGMI BANK DEPOSIT PROGRAM	A	Interest	P1	T					
372. MORGAN STANLEY BANK/TRUST DEPOSITS #2	A	Interest	J	T					
373. MORGAN STANLEY BANK/TRUST DEPOSITS #3	A	Interest	K	T					

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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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Wood, Kimba M.

Date of Report

9/25/2013

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. OCA WESLEY MORTGAGE REIT	E	Int./Div.	K	T	Redeemed (part)	05/29/12	O		
375. FDN BROKERAGE #1 (LINES 376-381) (NOTE 16 IN SECT VIII)									
376. ABBOTT LABORATORIES COMMON STOCK (X)		None	M	T	Sold (part)	03/16/12	K	A	
377. AMERICA MOVIL COMMON STOCK (X)		None			Sold	06/18/12	K		
378. WALMART COMMON STOCK (X)	A	Dividend	M	T	Sold (part)	03/16/12	L		
379.					Sold (part)	05/04/12	K		
380.					Sold (part)	08/20/12	K	A	
381.					Sold (part)	11/27/12	M		
382. FDN BRKG ACCT #2 (LINES 383 -496) (SEE NOTE 16 SECT VIII)									
383. MORGAN STANLEY BANK/TRUST #1 (CASH/MM)	A	Interest	J	T					
384. MORGAN STANLEY BANK/TRUST #2 (CASH/MM)	A	Interest	M	T					
385. COMMON STOCKS AND FUNDS (LINES 386-486)									
386. ACCENTURE PLC IRELAND		None			Buy	04/11/12	K		
387.					Sold	05/11/12	K		
388. AMERICAN EXPRESS CO	A	Dividend			Sold	08/17/12	K	D	
389. AMER INTL GP INC		None	L	T	Buy	05/07/12	K		
390.					Buy (add'l)	06/07/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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

9/25/2013

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.					Buy (add'l)	09/10/12	K		
392.					Buy (add'l)	12/11/12	K		
393. ANNALY CAPITAL MGMT INC	B	Dividend			Sold	04/25/12	K		
394. APOLLO INVESTMENT CORP	D	Dividend	L	T	Buy (add'l)	02/13/12	K		
395.					Buy (add'l)	02/22/12	K		
396.					Buy (add'l)	04/11/12	K		
397.					Sold (part)	05/30/12	K	C	
398.					Sold (part)	07/13/12	K	C	
399.					Buy (add'l)	08/08/12	J		
400. ASHFORD HOSPITALITY TR INC	B	Dividend	L	T	Buy	02/22/12	K		
401.					Buy (add'l)	02/23/12	J		
402.					Buy (add'l)	07/31/12	K		
403. AVENUE INCOME CREDIT	D	Dividend	L	T	Sold (part)	01/30/12	J		
404.					Buy (add'l)	03/09/12	K		
405.					Sold (part)	07/13/12	K		
406. CHEVRON CORP	A	Dividend	K	T	Buy	04/11/12	K		
407. CME GROUP INC	B	Dividend			Sold	01/10/12	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	

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.					Buy	02/02/12	L		
409.					Sold	08/02/12	L		
410. CREXUS INVESTMENT CORP	D	Dividend	L	T					
411. DANAHER CORP	A	Dividend	K	T					
412. DOUBLELINE TOTAL RETURN	D	Dividend	K	T	Buy	01/04/12	L		
413.					Buy (add'l)	02/17/12	K		
414.					Sold (part)	11/15/12	K	B	
415. EATON VANCE TAX MGD DIV EQU FUND	C	Dividend	K	T	Sold (part)	03/28/12	K	B	
416. EMC CORP MASS		None	K	T	Buy	10/22/12	K		
417. ENERGY SEL SECT SPDR FD	A	Dividend	K	T					
418. ENSCO PLC SPON	B	Dividend	L	T	Buy	02/24/12	K		
419.					Buy (add'l)	03/23/12	K		
420.					Sold	03/28/12	K		
421.					Buy	05/24/12	K		
422.					Buy (add'l)	05/31/12	K		
423. GOLAR LNG INC	B	Dividend			Buy	05/09/12	K		
424.					Sold (part)	12/24/12	K	B	

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.

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9/25/2013

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	12/26/12	K	B	
426. HALLIBURTON CO	A	Dividend			Sold	03/21/12	K	A	
427. INTERNATIONAL BUSINESS MACHINES CORP	A	Dividend			Sold	06/01/12	L	E	
428. ISHARES DJ US OIL & EXPLR	A	Dividend	K	T	Buy	06/26/12	L		
429.					Sold (part)	08/17/12	K	D	
430. ISHARES MSCI GROWTH INDX FD	A	Dividend	K	T	Buy	09/14/12	K		
431. ISHARES S&P MID CAP 400 GROWTH	A	Dividend	L	T	Buy (add'l)	09/14/12	K		
432. ISHARES S&P MIDCAP 400 INDEX	A	Dividend	K	T					
433. JP MORGAN CHASE	A	Dividend	K	T	Buy	04/11/12	K		
434.					Buy (add'l)	05/22/12	J		
435.					Sold (part)	08/17/12	J		
436. LENDER PROCESSING SERV	B	Dividend	L	T	Buy	02/03/12	L		
437.					Sold (part)	08/17/12	K	D	
438. MARKET VECTORS AGRIBUS ETF	B	Dividend	L	T					
439. MARKET VECTORS BRAZIL SM-CAP		None			Sold	05/17/12	K		
440. MCDONALDS CORP	A	Dividend	K	T	Buy	06/15/12	K		
441. MDC PRTNRS INC	C	Dividend	L	T	Buy	04/04/12	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.					Buy (add'l)	04/05/12	J		
443.					Buy (add'l)	04/09/12	K		
444.					Buy (add'l)	04/10/12	J		
445. NFJ DIVIDEND INT & PRE STRGY	B	Dividend			Sold	04/09/12	K	D	
446. PROSPECT CAPITAL CORP	B	Dividend			Sold (part)	02/17/12	L	E	
447.					Sold	02/21/12	K	D	
448. QUALCOMM INC	A	Dividend	K	T					
449. SANDRIDGE ENERGY INC		None			Buy (add'l)	02/02/12	K		
450.					Sold	04/27/12	L	D	
451. SCHLUMBERGER LTD	A	Dividend	K	T					
452. SEADRILL LTD	C	Dividend	K	T	Buy (add'l)	04/11/12	J		
453. SOLAR CAPITAL LTD		None			Sold (part)	01/25/12	K	B	
454.					Sold	02/03/12	K	D	
455. SOLAR SENIOR CAPITAL LTD	C	Dividend	L	T	Buy	01/25/12	J		
456.					Buy (add'l)	01/26/12	J		
457.					Buy (add'l)	01/30/12	K		
458.					Buy (add'l)	01/31/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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459.					Buy (add'l)	04/16/12	K		
460.					Buy (add'l)	04/23/12	J		
461. SPDR S&P BANK ETF	A	Dividend			Sold	05/09/12	K		
462. SPDR S&P EMERGING ASIA PACIFIC	A	Dividend	L	T	Buy (add'l)	09/14/12	K		
463. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	L	T					
464. SPIRIT REALTY CAPITAL INC		None	L	T	Buy	09/25/12	L		
465. STARWOOD PROPERTY TRUST INC	B	Dividend			Sold (part)	02/03/12	J	A	
466.					Sold (part)	03/06/12	K	A	
467.					Sold	03/07/12	K	B	
468. TEVA PHARMACEUTICALS ADR	A	Dividend			Sold	05/11/12	K		
469. TEXTAINER GROUP HOLDINGS LTD		None			Sold (part)	02/02/12	J	C	
470.					Sold	02/03/12	K	C	
471. TRONOX LTD	A	Dividend	K	T	Buy	07/16/12	L		
472.					Sold (part)	12/12/12	K		
473. UNITED TECHNOLOGIES CORP	A	Dividend	K	T	Buy	03/29/12	K		
474. VANGUARD DIVIDEND APPRECIATION	B	Dividend	L	T					
475. VANGUARD EMRG MKTS ETF	A	Dividend	L	T	Sold (part)	03/28/12	L	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
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476.					Sold (part)	05/17/12	K		
477.					Buy (add'l)	12/31/12	K		
478. VANGUARD INFO TECH ETF	A	Dividend	L	T	Buy (add'l)	06/05/12	K		
479. VANGUARD REIT ETF		None			Sold	02/13/12	K	D	
480. WAL MART STORES INC	A	Dividend			Buy	04/25/12	K		
481.					Sold	07/25/12	L	D	
482. WEATHERFORD INTL LTD		None			Sold (part)	01/26/12	K		
483.					Sold	03/28/12	K		
484. WELLS FARGO & CO	A	Dividend	K	T	Buy (add'l)	04/11/12	J		
485. WISDOMTREE TRUST EMRG MKT EQT	B	Dividend	L	T	Sold (part)	03/28/12	K	B	
486. YUM BRANDS INC		None			Sold	01/05/12	L	D	
487. OPTIONS (LINES 488-496) (SEE NOTE 3 IN SECTION VIII)									
488. APOLLO CALL - OPENING		None			Sold	11/01/12	J		
489. CHEVRON CALL - OPENING		None			Sold	11/30/12	J		
490. JPMORGAN CHASE CALL - OPENING		None			Sold	11/30/12	J		
491. LENDER PROCESSING CALL - OPENING		None			Sold	11/30/12	J		
492. QUALCOM CALL - OPENING		None			Sold	11/30/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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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)
493. SCHLUMBERGER CALL - OPENING		None			Sold	11/30/12	J		
494. SEADRILL CALL - OPENING		None			Sold	12/21/12	J		
495. UNITED TECHNOLOGIES CALL - OPENING		None			Sold	11/30/12	J		
496. WELLS FARGO CALL - OPENING		None			Sold	11/30/12	J		
497. NON-PUBLICS (SEE NOTES 5 & 7 IN SECT VIII) (LINES 498-658)									
498. ARIZONA SNOWBOWL (SEE NOTE 1 IN SECT VIII)		None	O	W	Distributed (part)	04/13/12	J		
499.					Buy (add'l)	05/21/12	M		
500. ELGIN CAPITAL (SEE NOTES 1 & 14 IN SECT VIII)	F	Distribution	P1	W	Buy	03/22/12	P1		
501. ENTERTAINMENT ACQUISITION (SEE NOTES 1 & 4 IN SECTION VIII)	A	Distribution							
502. CENTERBRIDGE CREDIT PARTNERS (SEE NOTES 1&14 IN SECT VIII)	G	Distribution	P1	U					
503. TAMPA BAY RAYS (SEE NOTES 1 & 14 IN SECT VIII)		None	N	W					
504. FRESH DIRECT		None	O	W					
505. OFFIT CAPITAL ADVISORS (SEE NOTES 1 & 14 IN SECTION VIII)		None	N	W					
506. UNIVERSAL HOSPITAL SERVICES HOLDING CO		None	N	W					
507. WHOLESOME FOODS		None	O	W	Buy	04/05/12	O		
508. GOLUB CAPITAL PARTNERS (SEE NOTE 9 IN SECTION VIII)	G	Distribution	P1	W	Buy (add'l)	01/05/12	N		
509.					Distributed (part)	02/08/12	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	

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.					Distributed (part)	05/15/12	L		
511.					Distributed (part)	07/27/12	K		
512.					Distributed (part)	11/02/12	L		
513.					Buy (add'l)	12/10/12	L		
514. GOLUB CAPITAL VIII (SEE NOTE 9 IN SECT VIII)		None	N	W	Buy	12/27/12	N		
515. IRVING PLACE CAPITAL II (SEE NOTES 9 & 14 IN SECT VIII)	E	Distribution	M	W	Distributed (part)	02/14/12	J	D	
516.					Distributed (part)	04/17/12	J	D	
517.					Distributed (part)	06/18/12	J	D	
518.					Distributed (part)	11/02/12	J	D	
519.					Distributed (part)	12/19/12	L	F	
520. IRVING PLACE CAPITAL III (SEE NOTES 9 & 14 IN SECT VIII)	E	Distribution	P1	W	Distributed (part)	04/04/12	L	B	
521.					Distributed (part)	09/17/12	K		
522.					Distributed (part)	12/14/12	J		
523.					Buy (add'l)	12/14/12	K		
524. BLACKSTONE REAL ESTATE PARTNERS (SEE NOTES 9&14 IN SECT VIII)	G	Distribution	P2	W	Buy (add'l)	02/14/12	K		
525.					Distributed (part)	02/29/12	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	

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)

526.					Distributed (part)	03/16/12	K		
527.					Buy (add'l)	03/16/12	J		
528.					Distributed (part)	05/18/12	M	E	
529.					Buy (add'l)	05/22/12	K		
530.					Distributed (part)	06/12/12	K		
531.					Distributed (part)	06/21/12	J	B	
532.					Buy (add'l)	07/26/12	M		
533.					Distributed (part)	08/17/12	L		
534.					Distributed (part)	08/28/12	K		
535.					Distributed (part)	09/18/12	K		
536.					Distributed (part)	11/09/12	M	F	
537.					Distributed (part)	11/29/12	K	E	
538.					Buy (add'l)	12/07/12	K		
539.					Distributed (part)	12/20/12	M		
540. CENTERVIEW CAPITAL (SEE NOTES 10 & 14 IN SECT VIII)	E	Distribution			Distributed (part)	04/26/12	K		
541. DEL MONTE (SEE NOTE 15 IN SECT VIII)		None	N	W					
542. NIELSEN CO (SEE NOTE 15 IN SECT VIII)		None	N	W					

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)

543. RICHELIEU FOODS, INC (SEE NOTE 15 IN SECT VIII)		None	N	W					
544. DYNA VOX (SEE NOTE 15 IN SECT VIII)		None	L	W					
545. VESTAR CAPL III (SEE NOTES 10, 12 & 14 IN SECT VIII)	G	Distribution							
546. VESTAR CAPL PRTRNS/ASSC IV/AIV (SEE NOTES 10&14 SECT VIII)	G	Distribution							
547. VESTAR CAP/ASSOC V (SEE NOTE 10 IN SECT VIII)	B	Distribution							
548. CONSOLIDATED CONTAINER (SEE NOTE 15 IN SECT VIII)		None			Sold	07/17/12	P1	F	Bain Capital
549.					Distributed	11/01/12	K	E	
550. ST JOHNS KNITS (SEE NOTES 12 & 15 IN SECT VIII)		None							
551. ARGO TECH (SEE NOTE 15 IN SECT VIII)		None	K	W					
552. AZ ELECTRONIC MATLS (SEE NOTE 15 IN SECT VIII)		None			Sold	03/30/12	L	F	
553. BORDER MEDIA (SEE NOTE 15 IN SECT VIII)		None	J	W					
554. CCS INCOME TRUST (SEE NOTE 15 IN SECT VIII)		None	M	W					
555. CESARE FIORUCCI (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed (part)	01/20/12	J	B	
556.					Distributed	05/11/12	J	A	
557. DEL MONTE (SEE NOTE 15 IN SECTION VIII)		None	M	W					
558. DUFF & PHELPS (SEE NOTE 15 IN SECT VIII)	D	Dividend	M	W	Sold (part)	03/12/12	M	G	
559.					Sold (part)	03/14/12	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 = \$50,001 - \$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)
560.					Sold (part)	09/20/12	M	G	
561. ESSENT HEALTHCARE (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed (part)	03/12/12	K	E	
562.					Distributed (part)	03/14/12	J	A	
563.					Distributed (part)	12/17/12	K	E	
564.					Distributed (part)	12/21/12	J	B	
565. GLEASON CORP (SEE NOTE 15 IN SECT VIII)		None	M	W					
566. HEALTHGRADES (SEE NOTE 15 IN SECT VIII)		None	M	W					
567. INHEALTH (SE NOTE 15 IN SECT VIII)		None	J	W					
568. THE SUN PRODUCTS CORP (SEE NOTE 15 IN SECT VIII)		None	N	W					
569. MEDI-MEDIA (SEE NOTE 15 IN SECT VIII)		None	M	W					
570. NATIONAL MENTOR HLDNGS (SEE NOTE 15 IN SECT VIII)		None	L	W					
571. OGF GROUP (SEE NOTE 15 IN SECT VIII)		None	N	W					
572. PRESS GANEY (SEE NOTE 15 IN SECT VIII)		None	N	W					
573. RADIATION THERAPY (SEE NOTE 15 IN SECT VIII)		None	M	W					
574. SEVES SPA (SEE NOTE 15 IN SECT VIII)		None	J	W					
575. SOLO CUP CO (SEE NOTE 15 IN SECT VIII)		None			Sold	05/15/12	P1		Dart Container Corp
576.					Distributed	05/16/12	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)
577. SUNRISE MEDICAL (SEE NOTE 15 IN SECT VIII)		None			Sold	12/17/12	O	G	Equistone Partners
578.					Distributed	12/21/12	K	E	
579. DEVILBISS (SEE NOTE 15 IN SECTION VIII)		None	J	W					
580. SYMETRA FINANCIAL (SEE NOTE 15 IN SECT VIII)	D	Dividend	N	W					
581. TRITON CONTAINER INTL (SEE NOTE 15 IN SECTION VIII)		None	N	W					
582. WILTON RE HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	P1	W					
583. FLAG VENTURE PARTNERS (SEE NOTES 9, 12 & 14 IN SECT VIII)	G	Distribution			Distributed (part)	03/30/12	L	F	
584.					Distributed (part)	05/11/12	K	E	
585.					Distributed (part)	06/29/12	L	F	
586.					Distributed (part)	07/17/12	K	E	
587.					Distributed (part)	09/28/12	L	F	
588.					Distributed (part)	12/27/12	L	E	
589. RAZOR'S EDGE FUND (SEE NOTE 9 IN SECT VIII)	A	Distribution	O	W	Buy (add'l)	05/22/12	M		
590.					Buy (add'l)	11/26/12	M		
591. RED ABBEY (SEE NOTE 9 IN SECT VIII)	F	Distribution	M	W	Distributed (part)	04/11/12	L	E	
592. SENTINEL CAPITAL II (SEE NOTE 10 IN SECT VIII)	A	Distribution							
593. SENTINEL CAPITAL III (SEE NOTE 10 IN SECT VIII)	G	Distribution			Distributed (part)	01/13/12	M	G	

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)
594.					Distributed (part)	07/19/12	J	C	
595. SENTINEL CAPITAL IV (SEE NOTE 10 IN SECT VIII)	G	Distribution			Buy (add'l)	01/02/12	M		
596.					Buy (add'l)	04/02/12	L		
597.					Buy (add'l)	07/02/12	J		
598. CHASE DOOR HOLDINGS (SEE NOTE 15 IN SECTION VIII)		None	N	W					
599. CHROMALOX (SEE NOTE 15 IN SECTION VIII)		None			Distributed (part)	10/25/12	O	G	
600.					Sold	12/31/12	O	G	Irving Place Capital
601. COLSON GROUP HOLDINGS (SEE NOTE 15 IN SECTION VIII)		None	O	W	Buy	05/29/12	O		
602. CREDIT INFONET HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	N	W	Distributed (part)	01/02/12	J		
603.					Buy (add'l)	05/29/12	L		
604. CRITICAL SOLUTIONS (SEE NOTE 15 IN SECTION VIII)		None	O	W	Distributed (part)	01/02/12	K		
605. ENGINEERED CONTROLS (SEE NOTE 15 IN SECT VIII)		None	P1	W	Distributed (part)	10/25/12	M		
606.					Distributed (part)	11/01/12	M		
607. HOSPICE ADVANTAGE (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	12/31/12	N		
608. HUDDLE HOUSE (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	05/29/12	M		
609. INScape (SEE NOTE 15 IN SECT VIII)		None			Sold	02/17/12	P1	G	John Wiley & Sons, Inc.
610.					Distributed	12/13/12	J	D	

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)
611. INTERIM HEALTHCARE (SEE NOTE 15 IN SECT VIII)		None			Sold	11/01/12	P1	H1	The Halifax Group
612. LTI FLEXIBLE PRODUCTS (SEE NOTE 15 IN SECT VIII)		None			Sold	07/19/12	P1	H1	Snow Phipps
613.					Distributed	12/13/12	K	E	
614. MESSAGE ENVY (SEE NOTE 15 IN SECT VIII)		None			Distributed (part)	01/02/12	L		
615.					Distributed (part)	04/02/12	L		
616.					Sold	09/28/12	P1	H1	Roark Capital Group
617. MIDWEST WHOLESALE HARDWARE (SEE NOTE 15 IN SECT VIII)		None	J	W					
618. NATIONAL SPINE AND PAIN CENTERS (SEE NOTE 15 IN SECT VIII)		None	N	W	Distributed (part)	01/02/12	J		
619.					Distributed (part)	04/02/12	J		
620.					Buy (add'l)	05/29/12	L		
621. NORTH AMERICAN RESCUE (SEE NOTE 15 IN SECT VIII)		None	M	W	Distributed (part)	01/02/12	K		
622.					Distributed (part)	04/02/12	J		
623.					Distributed (part)	07/02/12	J		
624. NORTHEAST DENTAL MANAGEMENT (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	05/29/12	N		
625. PRECISION PIPELINE SOLUTIONS (SEE NOTE 15 IN SECT VIII)		None	M	W					
626. SOUTHERN CALIFORNIA PIZZA CO (SEE NOTE 15 IN SECT VIII)		None			Distributed (part)	04/30/12	N	G	
627.					Distributed (part)	08/09/12	L		

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

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)
628.					Sold	12/13/12	P1	H1	Sterling Investment Prturs
629. SPINRITE (SEE NOTE 15 IN SECT VIII)		None	O	W					
630. TRINITY CONSULTANTS HOLDINGS (SEE NOTES 11&15 IN SECT VIII)		None			Distributed	12/13/12	K	E	
631. TRUSSBILT HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	N	W					
632. VINTAGE HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	P1	W					
633. WELLSPRING PHARMACEUTICALS (SEE NOTE 15 IN SECTION VIII)		None	M	W	Distributed (part)	01/02/12	J		
634.					Distributed (part)	04/02/12	J		
635.					Distributed (part)	07/02/12	J		
636.					Distributed (part)	10/25/12	J		
637. SCIENS CAPITAL (AKA ZILKHA) (SEE NOTE 9 IN SECT VIII)		None	L	W					
638. NORTHERN HELLENIC HOLDINGS (SEE NOTES 6,9&14 IN SECT VIII)		None	K	V					
639. PARK AVENUE PARTNERS (SEE NOTES 9, 12 & 14 IN SECT VIII)	G	Distribution			Distributed (part)	12/19/12	N	G	
640. QUINTANA ENERGY PARTNERS (SEE NOTES 9&14 IN SECT VIII)	G	Distribution	O	W	Distributed (part)	03/12/12	M		
641.					Buy (add'l)	03/12/12	K		
642.					Distributed (part)	05/31/12	M		
643.					Distributed (part)	09/25/12	K		
644.					Buy (add'l)	09/25/12	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)
645. NB CO-INVESTMENT PARTNERS (SEE NOTES 9&14 IN SECT VIII)	G	Distribution	P1	W	Distributed (part)	02/17/12	K		
646.					Distributed (part)	03/22/12	K	B	
647.					Buy (add'l)	03/22/12	J		
648.					Distributed (part)	05/24/12	L	E	
649.					Buy (add'l)	08/23/12	J		
650.					Distributed (part)	09/06/12	K	E	
651.					Distributed (part)	10/17/12	L	F	
652.					Distributed (part)	11/27/12	M	A	
653.					Distributed (part)	11/28/12	K		
654.					Buy (add'l)	11/28/12	J		
655.					Distributed (part)	12/14/12	J	B	
656.					Buy (add'l)	12/14/12	J		
657. TINICUM LP (SEE NOTES 9 & 14 IN SECT VIII)		None	O	W	Buy	04/13/12	N		
658.					Buy (add'l)	12/17/12	N		
659. OTHER INVESTMENTS/NOTES RECEIVABLES (LINES 660-694)									
660. CHESAPEAKE PARTNERS (SEE NOTE 1 IN SECT VIII)	G	Distribution	P1	U					
661. FARALLON CAPITAL (SEE NOTES 1, 7, 12 & 14 IN SECT VIII)	G	Distribution			Redeemed (part)	03/09/12	K	D	

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

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

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

662.					Redeemed (part)	05/22/12	M	F	
663.					Redeemed (part)	08/16/12	J	C	
664.					Redeemed (part)	11/08/12	L	E	
665. GOLD BULLION		None	N	T	Buy	11/15/12	N		
666. AXIOM INTERNATIONAL INVESTORS (SEE NOTE 1 IN SECT VIII)		None			Redeemed (part)	01/03/12	P1		
667.					Redeemed	01/20/12	M		
668. THE BLENHEIM FUND (SEE NOTE 1 IN SECT VIII)		None	P1	U					
669. BREVAN HOWARD (SEE NOTE 1 IN SECT VIII)	G	Distribution	P1	U	Distributed (part)	01/17/12	L		
670. PAULSON ADVANTAGE (SEE NOTE 1 IN SECT VIII)	E	Distribution			Redeemed	10/25/12	P1		
671. SABRETOOTH ONSHORE FUND (SEE NOTE 1 IN SECT VIII)		None			Redeemed (part)	05/18/12	N		
672.					Redeemed (part)	07/18/12	J		
673.					Redeemed	07/31/12	J		
674. F. E. RICHARDSON & CO (SEE NOTES 1&13 IN SECT VIII)		None	L	V	Buy (add'l)	01/27/12	K		
675.					Buy (add'l)	02/03/12	L		
676.					Buy (add'l)	03/02/12	K		
677.					Buy (add'l)	03/09/12	K		
678.					Buy (add'l)	04/05/12	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 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)
679.					Buy (add'l)	05/04/12	K		
680.					Buy (add'l)	05/11/12	K		
681.					Buy (add'l)	05/24/12	L		
682.					Buy (add'l)	06/08/12	M		
683.					Buy (add'l)	07/05/12	K		
684.					Buy (add'l)	08/30/12	K		
685.					Buy (add'l)	09/28/12	K		
686.					Buy (add'l)	10/26/12	K		
687.					Buy (add'l)	11/15/12	K		
688.					Buy (add'l)	12/21/12	K		
689. OP40 INC (SEE NOTE 5 IN SECT VIII)		None	L	W					
690. OSCAR S SCHAFER PARTNERS (SEE NOTES 1 & 12 IN SECT VIII)		None							
691. CCA ABSOLUTE RETURN MUNI FUND (SEE NOTE 1 IN SECT VIII)	E	Distribution	P1	U					
692. QFR VICTORIA FUND (SEE NOTE 1 IN SECTION VIII)	F	Distribution	P1	U					
693. HAWK GROUP (SEE NOTE 5 IN SECT VIII)		None	N	W					
694. ELIZABETH REILLY, PERSONAL LOAN - NOTE RECEIVABLE		None	K	U					
695. TRUST #1 (LINES 696-712)	D	Int./Div.	O	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 \$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)
696. ---GOLDMAN SACHS BANK DEPOSIT/ CASH #4									
697. ---ABBOTT LABORATORIES COMMON STOCK									
698. ---AMERICA MOVIL COMMON STOCK									
699. ---ANADARKO PETROLEUM CORP COMMON STOCK					Buy	05/03/12	J		
700. ---BLACKROCK INC COMMON STOCK									
701. ---BOEING COMPANY COMMON STOCK					Buy	06/22/12	J		
702.					Buy (add'l)	08/02/12	J		
703. ---JOHNSON & JOHNSON COMMON STOCK									
704. ---KRAFT FOODS GROUP, INC COMMON STOCK					Spinoff (from line 706)	10/02/12	J		
705.					Sold (part)	10/02/12	J	A	
706. ---MONDELEZ INTL (FKA KRAFT FOODS INC) COMMON STOCK					Buy (add'l)	06/06/12	J		
707. ---MICROSOFT CORP COMMON STOCK					Buy	05/03/12	J		
708. ---POWERSHARES DB COMMODITY INDEX TRACKING FUND					Buy	05/03/12	J		
709. ---SONIC CORP COMMON STOCK									
710. ---VANGUARD FTSE ALL-WORLD EX- US INDEX FUND					Buy	05/03/12	J		
711. ---VANGUARD SHORT TERM CMN SERIES					Buy	05/03/12	M		
712. ---WALGREEN CO COMMON STOCK									

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)

713. TRUST #1A (LINES 714-766)	B	Int./Div.	N	T					
714. ---GOLDMAN SACHS BANK DEPOSITS/ CASH #4A									
715. ---BUCKEYE PARTNERS (SEE NOTE 1 IN SECT VIII)					Sold (part)	02/15/12	J		
716.					Sold (part)	02/16/12	J		
717.					Sold (part)	02/21/12	J		
718.					Sold (part)	02/22/12	J		
719.					Sold (part)	02/23/12	J		
720.					Sold (part)	02/24/12	J		
721.					Sold (part)	02/27/12	J		
722.					Distributed (part)	02/29/12	J		
723.					Sold	03/01/12	J		
724. ---ACCESS MIDSTREAM (FKA CHESAPEAKE MIDSTREAM)(SEE 1 SECT 8)					Distributed (part)	02/14/12	J		
725.					Distributed (part)	05/15/12	J		
726.					Distributed (part)	08/14/12	J		
727.					Distributed (part)	11/14/12	J		
728. ---EL PASO PIPELINE PARTNERS (SEE NOTE 1 IN SECT VIII)					Distributed (part)	02/14/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
729.					Distributed (part)	05/15/12	J		
730.					Distributed (part)	08/14/12	J		
731.					Distributed (part)	11/14/12	J		
732. ---ENERGY TRANSFER EQUITY LP (SEE NOTE 1 IN SECT VIII)					Distributed (part)	02/17/12	J		
733.					Distributed (part)	05/18/12	J		
734.					Distributed (part)	08/17/12	J		
735.					Distributed (part)	11/16/12	J		
736. ---ENTERPRISE PRODUCTS PART LP (SEE NOTE 1 IN SECT VIII)					Distributed (part)	02/09/12	J		
737.					Distributed (part)	05/09/12	J		
738.					Distributed (part)	08/08/12	J		
739.					Distributed (part)	11/08/12	J		
740. ---GENESIS ENERGY, LP (SEE NOTE 1 IN SECT VIII)					Buy	10/02/12	J		
741.					Distributed (part)	11/14/12	J		
742. ---MAGELLAN MIDSTREAM PARTNERS LP (SEE NOTE 1 IN SECT VIII)					Distributed (part)	02/14/12	J		
743.					Distributed (part)	05/15/12	J		
744.					Distributed (part)	08/14/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
745.					Sold (part)	10/17/12	J	A	
746.					Sold (part)	10/18/12	J	A	
747.					Distributed (part)	11/14/12	J		
748. ---MARKWEST ENERGY PARTNERS LP (SEE NOTE 1 IN SECT VIII)					Distributed (part)	02/14/12	J		
749.					Distributed (part)	05/15/12	J		
750.					Distributed (part)	08/14/12	J		
751.					Distributed (part)	11/14/12	J		
752. ---ONEOK PARTNERS, LP (SEE NOTE 1 IN SECTION VIII)					Buy	02/28/12	K		
753.					Distributed (part)	05/15/12	J		
754.					Distributed (part)	08/15/12	J		
755.					Distributed (part)	11/14/12	J		
756. ---PLAINS ALL AMERICAN PIPELINE LP (SEE NOTE 1 IN SECT VIII)					Distributed (part)	02/14/12	J		
757.					Distributed (part)	05/15/12	J		
758.					Distributed (part)	08/14/12	J		
759.					Distributed (part)	11/14/12	J		
760. ---TEEKAY OFFSHORE PARTNERS LP (SEE NOTE 1 IN SECT VIII)									
761. ---THE WILLIAMS COMPANIES, INC (SEE NOTE 1 IN SECT VIII)					Buy	12/13/12	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 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)
762. ---WILLIAMS PARTNERS LP (SEE NOTE 1 IN SECT VIII)					Distributed (part)	02/10/12	J		
763.					Buy (add'l)	04/04/12	J		
764.					Distributed (part)	05/11/12	J		
765.					Distributed (part)	08/10/12	J		
766.					Distributed (part)	11/09/12	J		
767. TRUST #1B (LINES 768-772) (SEE NOTE 5 IN SECT VIII)		None	P1	W					
768. ---CITI TRUST CHECKING ACCOUNT					Open	11/30/12	J		
769. ---OSCAR SCHAFER (X)									
770. ---FLAG VENTURE CAPITAL (X)									
771. ---FARALLON CAPITAL (X)									
772. ---VESTAR III (X)									
773. TRUST #2 (LINES 774-785)	D	Int./Div.	M	T					
774. ---BLACKROCK LIQUIDITY FUNDS									
775. ---PRUDENTIAL JENNISON 20/20 FOCUS FUND (MUTUAL FUND)									
776. ---BLACKROCK EQUITY DIVIDEND INST CLASS FUND									
777. ---CALAMOS GROWTH FUND									
778. ---EAGLE SMALL CAP GROWTH FUND									

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)
779. ---ISHARES BARCLAYS TR US TIP ETF									
780. ---ISHARES TR MSCI EMERGING MKTS INDEX FD ETF									
781. ---ISHARES MSCI EAFE INDEX FUND ETF									
782. ---ISHARES S&P NATIONAL MUNI BOND FUND									
783. ---IVY GLOBAL NATURAL RESOURCES FD									
784. ---T ROWE PRICE INTL FD INC INTL BOND FUND									
785. ---SPDR BARCLAYS CAP HIGH YIELD BOND ETF									
786. TRUST #3 (LINES 787-870)	D	Int./Div.	N	T					
787. ---BLACKROCK LIQUIDITY FUNDS									
788. ---EATON CORP (FKA COOPER INDUSTRIES) COMMON STOCK					Sold (part)	12/03/12	J		
789.					Sold (part)	12/06/12	J		
790. ---COVIDIEN PLC COMMON STOCK									
791. ---NOBLE CORP COMMON STOCK									
792. ---AT&T INC COMMON STOCK									
793. ---ALLERGAN INC COMMON STOCK									
794. ---AMERICAN ELECTRIC POWER INC COMMON STOCK									
795. ---AMERICAN EXPRESS CO COMMON STOCK									

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)
796. ---AMERICAN TOWER CORP COMMON STOCK									
797. ---AMERISOURCEBERGEN CORP COMMON STOCK									
798. ---AMERIPRISE FINANCIAL INC COMMON STOCK									
799. ---AMGEN INC COMMON STOCK									
800. ---APACHE CORP COMMON STOCK									
801. ---APPLE INC COMMON STOCK									
802. ---BARON SMALL CAP MUTUAL FUND									
803. ---BAXTER INTERNATIONAL INC COMMON STOCK									
804. ---BROADCOM CORP COMMON STOCK									
805. ---CAPITAL ONE FINANCIAL CORP COMMON STOCK									
806. ---CELANESE CORP COMMON STOCK									
807. ---CHUBB CORP COMMON STOCK									
808. ---CISCO SYSTEMS INC COMMON STOCK									
809. ---COACH INC COMMON STOCK									
810. ---CUMMINS INC COMMON STOCK									
811. ---DOLBY LABORATORIES INC COMMON STOCK									
812. ---DOLLAR TREE INC COMMON STOCK									

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)
813. ---EMC CORP COMMON STOCK									
814. ---EAGLE SMALL CAP GROWTH MUTUAL FUND									
815. ---EBAY INC COMMON STOCK									
816. ---EXXON MOBIL CORP COMMON STOCK									
817. ---FEDEX CORPORATION COMMON STOCK									
818. ---FORD MOTOR COMPANY COMMON STOCK									
819. ---FRANKLIN RESOURCES INC COMMON STOCK									
820. ---FREEPORT MCMORAN COPPER & GOLD INC COMMON STK									
821. ---GENERAL ELECTRIC CO COMMON STOCK									
822. ---GENERAL MILLS INC COMMON STOCK									
823. ---GOLDMAN SACHS GROUP INC COMMON STOCK									
824. ---GOOGLE INC COMMON STOCK									
825. ---GRAINGER WW INC COMMON STOCK									
826. ---HARBOR INTERNATIONAL MUTUAL FUND									
827. ---ILLINOIS TOOL WORKS INC COMMON STOCK									
828. ---INTEL CORP COMMON STOCK									
829. ---IBM CORP COMMON STOCK									

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)
830. ---ISHARES BARCLAYS TR US TIP ETF									
831. ---ISHARES TR MSCI EMERGING MKTS INDEX FD ETF									
832. ---ISHARES MSCI EAFE INDEX FUND ETF									
833. ---ISHARES TR S&P MIDCAP 400 INDEX FD ETF									
834. ---ISHARES S&P NATIONAL AMT-FREE MUNI BOND FUND									
835. ---IVY GLBL NATURAL RESOURCES MUTUAL FUND									
836. ---JP MORGAN CHASE & CO COMMON STOCK									
837. ---JOHNSON & JOHNSON COMMON STOCK									
838. ---JOHNSON CONTROLS INC COMMON STOCK									
839. ---KOHLS CORP COMMON STOCK									
840. ---LAUDER ESTEE COS INC COMMON STOCK									
841. ---EXPRESS SCRIPTS (FKA MEDCO HEALTH SOLTNS INC COMMON STOCK					Sold (part)	04/09/12	J		
842. ---MERCK & CO INC COMMON STOCK									
843. ---METLIFE INC COMMON STOCK									
844. ---MICROSOFT CORP COMMON STOCK									
845. ---NEWS CORP COMMON STOCK									

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)
846. ---OCCIDENTAL PETROLEUM CORP COMMON STOCK									
847. ---ORACLE CORP COMMON STOCK									
848. ---PEPSICO INC COMMON STOCK									
849. ---PFIZER INC COMMON STOCK									
850. ---PRICE T ROWE GROUP INC COMMON STOCK									
851. ---PROCTER & GAMBLE CO COMMON STOCK									
852. ---ROCKWELL AUTOMATION INC COMMON STOCK									
853. ---ROSS STORES INC COMMON STOCK									
854. ---T ROWE PRICE INTL FD INC MUTUAL FUND									
855. ---SPDR BARCLAYS CAP HIGH YIELD BD ETF									
856. ---SCHLUMBERGER LTD COMMON STOCK									
857. ---SCRIPPS NETWORKS INTERAC COMMON STOCK									
858. ---JM SMUCKER CO COMMON STOCK									
859. ---TALISMAN ENERGY INC COMMON STOCK									
860. ---3M COMPANY COMMON STOCK									
861. ---US BANCORP DEL COMMON STOCK									
862. ---UNITED TECHNOLOGIES CORP COMMON STOCK									

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)
863. ---UNITEDHEALTH GROUP INC COMMON STOCK									
864. ---VIACOM INC COMMON STOCK									
865. ---WAL-MART STORES INC COMMON STOCK									
866. ---WELLS FARGO & CO COMMON STOCK									
867. ---WILLIAMS COMPANIES INC COMMON STOCK									
868. ---WISCONSIN ENERGY CORP COMMON STOCK									
869. ---WPX ENERGY INC COMMON STOCK					Spinoff (from line 867)	01/03/12	J		
870.					Sold (part)	01/06/12	J	A	
871. RENTAL PROPERTY - NEW YORK, NY	B	Rent			Sold	12/14/12	O		
872. TRUST #4 (SEE NOTES 2 & 5 IN SECTION VIII)	A	Dividend	N	T					
873. --VANGUARD PRIME MONEY MARKET FUND ACCOUNT #1					Open	11/21/12	J		
874. ---PARK AVENUE EQUITY LP (X)									
875. ---SONIC CORP COMMON STOCK (X)									
876. TRUST #5 (SEE NOTES 2 & 5 IN SECTION VIII)	A	Dividend	O	T					
877. ---VANGUARD PRIME MONEY MARKET FUND ACCOUNT #2					Open	11/21/12	J		
878. ---PARK AVENUE EQUITY LP (X)									
879. ---SONIC CORP COMMON STOCK (X)									

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	

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)

880. TRUST #6 (SEE NOTES 2 & 5 IN SECTION VIII)	A	Dividend	O	T					
881. ---VANGUARD PRIME MONEY MARKET FUND ACCOUNT #3					Open	11/21/12	J		
882. ---PARK AVENUE EQUITY LP (X)									
883. ---SONIC CORP COMMON STOCK (X)									
884.									
885.									
886.									
887.									
888.									
889.									
890.									
891.									
892.									
893.									
894.									
895.									
896.									

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)
897.									

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

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

ALL FOOTNOTES RELATE TO SECTION VII

NOTE 1:

If a 2012 K-1 is issued for this S corporation, limited partnership or traded MLP and there is an investment remaining at year-end, all activity (interest, dividends, capital gains, ordinary income, etc.) was netted together, and, if that net figure was larger than the required income threshold, it was included in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 activity netted to a loss, then Column B.(1) was left blank and "None" was included in Column B.(2).

If the S corporation or limited partnership interest was either sold or fully withdrawn from during the reporting year, the capital gain amount is included in Column D along with other transaction details. The remaining K-1 figures were netted together, and if larger than the required income threshold, included in Column B.(1) with Column B.(2) noting "Distribution."

Both of the above approaches were obtained from Mr. George Reynolds, Financial Disclosure Examiner.

NOTE 2:

the Investment Trustee of this Trust. Therefore, its assets are deemed reportable.

NOTE 3:

For the options, all contracts were opened (sold short) in 2012. Any related gain that occurs will be included on the 2013 FDR when the options either expire or require action. There is no year end value reported because the contracts had no value at the end of 2012.

NOTE 4:

This asset had no value on the books as of the end of the year. Therefore, there is no value code reported in Column C.(1). However, there was reportable income sourced from this investment, via either a K-1 or other document, that was over the threshold level. Therefore, the asset is reportable.

NOTE 5:

There are many investments in non-public companies. The estimated market values used for all such investments, unless otherwise noted, are based upon the current knowledge of the worth of such companies, discussions with the companies' management and company issued reports.

NOTE 6:

Either the Ending Capital Account value from the entity's 2012 K-1, or an estimate of the same, was used to determine the year-end value code for Column C.(1).

NOTE 7:

For those entities which issued K-1s, if the K-1 netted to a loss but there was another source of income from the entity, the source of the other income is listed instead of "None." If there was K-1 income and an additional source of income, both amounts were summed to determine the code for Columns B.(1) and "Distribution" is noted in Column B.(2).

NOTE 8:

Neither the income nor the cash balance at year end met the threshold for reporting. However, since the cash account is associated with a reportable investment that is listed separately on this report, the account is deemed reportable.

NOTE 9:

There is a limited partnership interest in this entity. Since neither the filer nor her spouse can "direct, influence or in any other manner affect the purchase, exchange, sale or disposition of the entity or property owned by the entity," Financial Disclosure Filing Instructions, Page 35, the assets held by the partnership are not reportable.

If the partnership had a capital call for an investment in a specific company, either "Buy" or "Buy (add'l)" is noted. The name of the underlying company is not listed. Further, if the partnership either returned capital or sold one of its investments and returned funds to the reporting family, "Distributed (part)" is listed in Column D.(1). Neither the name of the underlying company nor the gain amount is listed.

The entity's K-1 is considered the source document for all income from this investment (including capital gains/losses). All K-1 activity was netted together and if greater than the required income threshold, included in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 activity netted to a loss, then Column B.(1) was left blank and "none" was included in Column B.(2).

NOTE 10:

There are several Vestar and Sentinel Partnerships and a Centerview Capital Partnership. The portfolio companies that the Partnerships own are all listed separately on this report because the could potentially "direct, influence or in any other manner affect the purchase, exchange, sale or disposition of the entity or property owned by the entity," (per Financial Disclosure Filing Instructions).

In Vestar and Sentinel, there are both limited partner and general partner interests. For this report, the K-1 information for both interests is combined and included on one line. This approach matches the way the Funds' portfolio companies are included on this report.

Each year, there is a K-1 from each of the partnerships. The K-1s summarize all of the ordinary income (loss), portfolio income, capital gains/losses, etc., for all of the underlying companies. To avoid double counting, if an underlying company was sold, the capital gain/loss is included on the line where the actual company is listed and is excluded from the K-1 income reported in Column B.(1) for each of the partnerships.

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

The remaining K-1 items were netted together. If the net amount was larger than the required income threshold, that amount was included in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 activity netted to a loss, then "None" is included in Column B.(2). As a result, since all K-1 activity is accounted for at the partnership level, the underlying companies which are listed separately do not show any income in Column B.(1) (unless there is an item that is not included on the K-1).

Generally, there are no year-end market values listed for the Partnerships because the portfolio companies are listed separately.

NOTE 11:

This portfolio company was sold in the prior year. So, although the reporting family received distributions (e.g. escrow) in the current year, there is no year-end value to report.

NOTE 12:

These interests were gifted on 12/31/2012 to [REDACTED] trusts. Therefore, there is no year-end value to report and there is no corresponding transaction listed in Column D. Activity that occurred prior to year-end is included. Per Amy, Financial Disclosure Office, on April 23, 2013, this approach is proper.

NOTE 13:

[REDACTED] sole shareholder of this S Corporation. The company's assets are limited to office furniture, office equipment, a checking account, a money market account and a limited partnership interest in Hawk which is listed separately on this report. The value used to determine the year-end valuation code was the checking/money market account balances, A/R and the office furniture and equipment balance (less accumulated depreciation).

NOTE 14:

This company's 2012 K-1 was not received by the May 15, 2013 Disclosure Report filing deadline. Therefore, the company's income has been estimated. Once the actual K-1 is received, if the income code based on the actual K-1 differs from the code reported in this report, we will file an amended report.

NOTE 15:

This investment is made through either a Vestar, a Sentinel or the Centerview Partnership. Since the [REDACTED] could potentially "direct, influence or in any other manner affect the purchase, exchange, sale or disposition of the entity or property owned by the entity", Financial Disclosure Filing Instructions, the partnership's assets must be listed separately on this report. As a result, this company is reportable.

All transactions (investments, sales and related gain/(loss), distributions, etc.) are reported for the company. Any K-1 income (excluding gain/(loss) on sales) attributable to the company, however, is included in the partnership's line. If income was received separate from the K-1, it is recorded on the portfolio company's line in Column B. See Note 10 for more information.

NOTE 16: Gains/Losses on Foundation activity are based on book value not tax value.

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/ **Kimba M. Wood**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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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