

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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

1. Person Reporting (last name, first, middle initial) Wood, Kimba M.	2. Court or Organization U.S. District Court, SDNY	3. Date of Report 5/15/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 500 Pearl Street New York, NY 10007		
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. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. 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. 2011*	Rockefeller Brothers Fund - Committee Fees
2. 2011*	Sonic Corp - various Board & Committee Fees
3. 2011*	Vestar, Harding Services, Blackstone, Irving Place Capital, Morgan Stanley Smith Barney, Centerview - Fee Income
4. 2011*	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.)

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

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

☐ NONE (No reportable liabilities.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Citibank	Line of Credit	P2
2.	Vestar	Loans	K
3.	Citibank	Rental Property Mortgage	N
4.	American Express	Credit Card	K
5.	Citi Aadvantage	Credit Card	J

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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 (IRA/ROTH IRA) (SEE NOTE 1 IN SECTIONVIII)	E	Distribution	P1	T					
3. GOLDMAN, SACHS BANK DEPOSIT/ CASH #1	A	Interest			Closed	04/05/11	J		
4. MORGAN STANLEY BANK/CASH	A	Interest	J	T	Open	03/14/11	K		
5. ABBOTT LABORATORIES COMMON STOCK	A	Dividend	J	T	Buy	09/06/11	J		
6. AMERICAN EXPRESS CO COMMON STOCK		None	J	T	Buy	11/16/11	J		
7. AVENUE INCOME CREDIT COMMON STOCK	A	Dividend	J	T	Buy	10/04/11	J		
8. BLACKROCK INC COMMON STOCK	A	Dividend	J	T	Sold (part)	05/24/11	J	D	
9.					Sold (part)	12/23/11	J	C	
10. CME GROUP INC COMMON STOCK	A	Dividend	J	T	Buy	11/23/11	J		
11. CREXUS INVESTMENT CORP COMMON STOCK	A	Dividend	J	T	Buy	09/22/11	J		
12. EATON VANCE TAX-MNGD GLOBAL COMMON STOCK	A	Dividend			Buy	03/22/11	J		
13.					Sold	09/28/11	J		
14. ENERGY SEL SECT SPDR FD COMMON STOCK	A	Dividend	J	T	Buy	03/22/11	K		
15.					Sold (part)	05/12/11	J		
16.					Sold (part)	12/08/11	J		
17. HALLIBURTON CO COMMON STOCK		None	J	T	Buy	12/08/11	J		

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

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18. ISHARES S&P MID CAP 400 GROWTH COMMON STOCK		None	J	T	Buy	12/23/11	J		
19. MARKET VECTOR AGRIBUS ETF COMMON STOCK	A	Dividend	J	T	Buy	09/07/11	J		
20. MARKET VECTORS BRAZL SM-CAP COMMON STOCK		None	J	T	Buy	12/23/11	J		
21. NFJ DIVIDEND INT & PRE STRGY COMMON STOCK	A	Dividend	J	T	Buy	03/22/11	J		
22. NORTHSTAR REALTY FIN CORP COMMON STOCK	A	Dividend			Buy	05/12/11	J		
23.					Sold	08/23/11	J		
24. PEPSICO INC COMMON STOCK		None	J	T	Buy	09/06/11	J		
25. PROSPECT CAPITAL CORP COMMON STOCK	A	Dividend	J	T	Buy	09/22/11	J		
26. QUALCOMM INC COMMON STOCK		None	J	T	Buy	11/29/11	J		
27. ROCK TENN CO CL A COMMON STOCK	A	Dividend			Buy	05/24/11	J		
28.					Sold (part)	08/31/11	J		
29.					Sold	09/06/11	J		
30. SANDRIDGE ENERGY INC COMMON STOCK		None	J	T	Buy	10/06/11	J		
31. SONIC CORP COMMON STOCK		None			Sold (part)	05/24/11	J		
32.					Sold	12/23/11	J		
33. SPDR S&P BANK ETF COMMON STOCK	A	Dividend	J	T	Buy	07/21/11	J		
34. STARWOOD PROPERTY TRUST INC COMMON STOCK	A	Dividend	J	T	Buy	06/28/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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. TEXTAINER GROUP HOLDINGS LTD COMMON STOCK	A	Dividend	J	T	Buy	08/09/11	J		
36.					Buy (add'l)	09/06/11	J		
37. VANGUARD DIVIDEND APPRECIATION COMMON STOCK	A	Dividend	J	T	Buy	03/22/11	K		
38.					Sold (part)	09/22/11	J		
39. VANGUARD INFO TECH ETF COMMON STOCK	A	Dividend	J	T	Buy	09/22/11	J		
40. VANGUARD MSCI EMERGING MKTS COMMON STOCK	A	Dividend	J	T	Buy	03/22/11	J		
41. WALGREEN CO COMMON STOCK	A	Dividend			Sold (part)	07/22/11	J	B	
42.					Sold	09/14/11	J	B	
43. WEATHERFORD INTL LTD COMMON STOCK		None	J	T	Buy	07/22/11	J		
44. WISDOMTREE TR EMG MKTS SMCAP COMMON STOCK	A	Dividend	J	T	Buy	03/22/11	K		
45. BIF TAX-EXEMPT FUND/CASH	A	Dividend	L	T					
46. ABBOTT LABORATORIES COMMON STOCK	E	Dividend	O	T	Buy (add'l)	03/25/11	J		
47. ACCENTURE LTD COMMON STOCK	C	Dividend	L	T	Sold (part)	07/15/11	K	E	
48. AIR PRODUCTS COMMON STOCK	A	Dividend	K	T	Buy	07/20/11	L		
49. ALLEGHENY TECHNOLOGIES COMMON STOCK	A	Dividend	M	T	Buy	10/05/11	L		
50. AMERICAN EXPRESS COMMON STOCK	B	Dividend	L	T					
51. AMERICA MOVIL COMMON STOCK	D	Dividend	O	T	Sold (part)	05/10/11	O	G	

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52. AMGEN COMMON STOCK	A	Dividend	L	T	Buy	08/03/11	K		
53. ANADARKO PETROLEUM CORP COMMON STOCK	A	Dividend	L	T					
54. FLY LEASING (FKA BABCOCK & BROWN) COMMON STOCK	C	Dividend	L	T					
55. BERKSHIRE HATHAWAY COMMON STOCK		None	N	T					
56. BLACKROCK INC COMMON STOCK	E	Dividend	O	T					
57. CABOT OIL & GAS COMMON STOCK	A	Dividend	M	T	Sold (part)	11/01/11	K	D	
58. CARPENTER TECHNOLOGY COMMON STOCK	A	Dividend	L	T					
59. CHUBB COMMON STOCK	A	Dividend	L	T	Buy	06/14/11	L		
60. CONOCOPHILLIPS COMMON STOCK	C	Dividend	L	T	Sold (part)	06/14/11	L	E	
61. CONSTELLATION BRANDS COMMON STOCK		None	L	T	Sold (part)	10/12/11	J	D	
62. CORNING INC COMMON STOCK	A	Dividend	L	T	Buy	10/05/11	L		
63. COVANTA HLDG CORP COMMON STOCK	A	Dividend	K	T					
64. DEVON ENERGY CORP COMMON STOCK	C	Dividend	L	T	Sold (part)	10/03/11	M		
65.					Sold (part)	10/05/11	L		
66. EQT CORP COMMON STOCK	A	Dividend	K	T					
67. EVERCORE PARTNERS COMMON STOCK	A	Dividend	J	T					
68. FEDERAL EXPRESS COMMON STOCK	A	Dividend	K	T	Buy	07/20/11	L		

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69. INTERNATIONAL BUSINESS MACHINE COMMON STOCK	C	Dividend	N	T					
70. INTERNATIONAL PAPER CO COMMON STOCK	C	Dividend	M	T	Buy (add'l)	04/05/11	K		
71. JOHNSON & JOHNSON COMMON STOCK	E	Dividend	P1	T					
72. KROGER COMPANY COMMON STOCK	A	Dividend			Sold	03/25/11	L	D	
73. MARKET VECTORS GOLD MINER ETF COMMON STOCK	B	Dividend	N	T					
74. MCDONALDS COMMON STOCK	B	Dividend	K	T					
75. METLIFE COMMON STOCK		None			Buy	03/08/11	L		
76.					Sold	09/28/11	K		
77. MICROSOFT COMMON STOCK	A	Dividend	L	T	Buy	09/19/11	L		
78.					Buy (add'l)	12/09/11	K		
79. OCCIDENTAL PETE CORP COMMON STOCK	C	Dividend	M	T					
80. ORACLE CORP COMMON STOCK	A	Dividend	L	T					
81. PACKAGING CORP COMMON STOCK	C	Dividend	L	T					
82. PEPSICO COMMON STOCK	E	Dividend	O	T					
83. PFIZER INC COMMON STOCK	C	Dividend	M	T	Buy (add'l)	07/20/11	J		
84. PIONEER NATURAL RESOURCES COMMON STOCK	A	Dividend	N	T					
85. IRA HOLDINGS - ALL COMMON STOCKS (LINES 86-153)									

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86. ALTRIA GROUP	A	Dividend			Sold (part)	03/02/11	K	D	
87.					Sold	03/15/11	K	D	
88. AMERICAN EXPRESS CO		None	J	T	Buy	11/16/11	J		
89. ANNALY CAPITAL MNGMT INC	B	Dividend	J	T	Buy	02/15/11	J		
90.					Buy (add'l)	02/16/11	J		
91.					Sold (part)	12/23/11	J		
92. APOLLO INVESTMENT CORP\		None	J	T	Buy	12/22/11	J		
93. AVENUE INCOME CREDIT	A	Dividend	J	T	Buy	03/18/11	J		
94.					Buy (add'l)	11/11/11	J		
95.					Buy (add'l)	11/15/11	J		
96. BLACKROCK INTL GROWTH & INC TR	B	Dividend			Sold	07/11/11	K	A	
97. BRIDGEPOINT EDUCATION INC		None			Sold	02/02/11	K		
98. CME GROUP	A	Dividend	J	T	Buy	11/23/11	J		
99. CREXUS INVESTMENT CORP	A	Dividend	J	T	Buy	09/22/11	J		
100. DANAHER CORP	A	Dividend	J	T	Buy	01/27/11	K		
101.					Sold (part)	12/16/11	J		
102. EATON VANCE TAX MDG DIV EQU FD	A	Dividend			Buy	07/11/11	K		

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103.					Sold	09/27/11	J		
104. GUGGENHEIM BUILD AMER BONDS	B	Dividend			Buy (add'l)	01/05/11	J		
105.					Sold (part)	03/02/11	J	A	
106.					Sold (part)	07/21/11	J	B	
107.					Sold	08/05/11	J	B	
108. HALLIBURTON CO		None	J	T	Buy	12/08/11	J		
109. ISHARES S&P MID CAP 400 GROWTH	A	Dividend	J	T	Buy	10/05/11	J		
110. KRAFT FOODS INC	A	Dividend			Sold	02/10/11	K	D	
111. MARKET VECTORS BRAZIL SM-CAP	A	Dividend	J	T	Buy	12/02/11	J		
112. METLIFE INCORP		None			Buy	03/03/11	K		
113.					Sold	09/06/11	J		
114. NFJ DIVIDEND INT & PRE STRGY	B	Dividend	K	T	Buy	01/05/11	K		
115. NORTHSTAR REALTY FIN CORP	A	Dividend			Buy	05/12/11	K		
116.					Sold (part)	08/17/11	J		
117.					Sold	08/22/11	J		
118. PHILIP MORRIS	B	Dividend	K	T	Sold (part)	02/09/11	K	E	
119.					Sold (part)	03/17/11	J	D	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Sold (part)	12/16/11	J	D	
121. PROSPECT CAPITAL CORP	A	Dividend	J	T	Buy	09/22/11	J		
122. QUALCOMM INC		None	J	T	Buy	12/16/11	J		
123. RALCORP HOLDINGS INC		None			Sold	01/05/11	J	B	
124. SANDRIDGE ENERGY INC		None	J	T	Buy	10/06/11	J		
125. SCHLUMBERGER LTD	A	Dividend	J	T	Buy	03/11/11	K		
126.					Buy (add'l)	03/15/11	J		
127.					Sold (part)	12/08/11	J		
128. SOLAR CAPITAL LTD	B	Dividend	J	T	Buy	01/20/11	K		
129.					Sold (part)	11/11/11	J		
130. SPDR S&P BANK ETF	A	Dividend	K	T	Buy	02/25/11	K		
131.					Buy (add'l)	07/21/11	J		
132. SPDR S&P INSURANCE ETF	A	Dividend	J	T	Buy	07/21/11	J		
133. STARWOOD PROPERTY TRUST INC	A	Dividend	K	T	Buy	08/05/11	K		
134. TETRAGON FINL GRP LTD	A	Dividend			Buy	01/03/11	K		
135.					Sold (part)	08/23/11	J	A	
136.					Sold (part)	08/29/11	J	A	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Sold (part)	08/31/11	J	A	
138.					Sold (part)	09/01/11	J	A	
139.					Sold	09/02/11	J	A	
140. TEVA PHARMACEUTICALS ADR		None	J	T	Buy	12/16/11	J		
141. UNITED TECHNOLOGIES CORP		None	J	T	Buy	12/16/11	J		
142. VANGUARD DIVIDEND APPRECIATION	A	Dividend	K	T					
143. VANGUARD INFO TECH ETF	A	Dividend	J	T	Buy	09/22/11	J		
144. VANGUARD MSCI EMERGING MARKETS	A	Dividend	K	T	Buy	02/16/11	K		
145. VANGUARD REIT ETF	A	Dividend	J	T	Buy	10/05/11	J		
146. WAL MART STORES INC		None			Buy	01/25/11	K		
147.					Sold	02/14/11	K		
148. WISDOMTREE TR EMG MKTS SMCAP	A	Dividend	K	T	Buy	02/16/11	J		
149.					Buy (add'l)	02/25/11	J		
150. WISDOMTREE TR INDIA		None			Buy	02/11/11	J		
151.					Sold	05/11/11	J	A	
152. YUM BRANDS INC	A	Dividend	K	T	Buy	02/25/11	K		
153.					Sold (part)	12/16/11	J	B	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. ADDITIONAL COMMON STOCKS (NON-IRA)									
155. REINSURANCE GROUP OF AMERICA	A	Dividend			Sold	06/14/11	M	E	
156. ROCKWELL COLLINS	A	Dividend	L	T	Buy	06/14/11	L		
157. SONIC CORP		None	P2	T	Buy (add'l)	01/14/11	L		
158. THE TRAVELERS COS	C	Dividend	M	T					
159. UNILEVER	C	Dividend	L	T					
160. UNITED CONTINENTAL HL		None			Sold	08/03/11	K		
161. UNITED PARCEL SERVICE	B	Dividend	L	T					
162. UNUM GROUP	C	Dividend	M	T					
163. VIACOM	A	Dividend	L	T					
164. WALGREEN	E	Dividend	O	T					
165. WALMART STORES	E	Dividend	P1	T	Sold (part)	02/17/11	L	D	
166.					Donated (part)				
167.					Donated (part)				
168. XEROX	B	Dividend	M	T					
169. MLPS (LINES 170-203) (SEE NOTE 1 IN SECT VIII)									
170. BUCKEYE PTNRS		None	K	T	Buy	01/28/11	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Distributed (part)	02/28/11	J		
172.					Distributed (part)	05/31/11	J		
173.					Distributed (part)	08/31/11	J		
174.					Distributed (part)	11/30/11	J		
175. EAGLE ROCK ENERGY PTNRS		None	M	T	Distributed (part)	02/14/11	J		
176.					Distributed (part)	05/13/11	J		
177.					Distributed (part)	08/12/11	J		
178.					Distributed (part)	11/14/11	J		
179. ENERGY TRANS EQTY LP		None	K	T	Distributed (part)	02/18/11	J		
180.					Distributed (part)	05/13/11	J		
181.					Distributed (part)	08/19/11	J		
182.					Distributed (part)	11/18/11	J		
183. ENTERPRISE GP/AKA ENTERPRISE PRODUCTS PRODUCTS LP		None	M	T	Distributed (part)	02/07/11	J		
184.					Buy (add'l)	03/18/11	L		
185.					Distributed (part)	05/06/11	J		
186.					Distributed (part)	08/10/11	J		
187.					Distributed (part)	11/09/11	J		

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. MAGELLAN MIDSTREAM PARTNERS LP		None	K	T	Distributed (part)	02/14/11	J		
189.					Distributed (part)	05/13/11	J		
190.					Distributed (part)	08/12/11	J		
191.					Distributed (part)	11/14/11	J		
192. MARKWEST ENERGY PARTNERS LP	A	Distribution	K	T	Distributed (part)	02/14/11	J		
193.					Distributed (part)	05/13/11	J		
194.					Distributed (part)	08/12/11	J		
195.					Distributed (part)	11/14/11	J		
196. REGENCY ENERGY PTNRS LP		None	M	T	Distributed (part)	02/14/11	J		
197.					Distributed (part)	05/13/11	J		
198.					Distributed (part)	08/12/11	J		
199.					Distributed (part)	11/14/11	J		
200. WESTERN GAS PARTNERS		None	K	T	Distributed (part)	02/11/11	J		
201.					Distributed (part)	05/13/11	J		
202.					Distributed (part)	08/12/11	J		
203.					Distributed (part)	11/10/11	J		
204. CASH/S/T INVESTS/MM ACCTS (LINES 205-221)									

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)
205. GOLDMAN SACHS FINANCIAL SQUARE MM/CASH	A	Interest	N	T					
206. GOLDMAN SACHS BANK DEPOSIT/ CASH #2	A	Interest	K	T					
207. CITIBANK CHECKING ACCOUNT - FOUNDATION		None	K	T					
208. CITIBANK INTEREST CHECKING ACCOUNT #1	A	Interest	K	T					
209. MORGAN STANLEY BANK/TRUST DEPOSITS #1	A	Interest	M	T					
210. CITIBANK CHECKING ACCOUNT		None	L	T					
211. CITIBANK ASSET ACCOUNT		None	J	T					
212. CITIBANK MONEY MARKET PLUS	D	Interest	P1	T					
213. CITIBANK INTEREST CHECKING ACCOUNT #2	A	Interest	J	T					
214. STATE STREET INST LIQUID RESERVES MM/CASH	A	Dividend	L	T					
215. BARCLAYS CASH (SEE NOTE 8 IN SECT VIII)	A	Interest	J	T					
216. UBS BANK USA DEPOSIT ACCOUNT	A	Interest			Closed	12/16/11	K		
217. CGMI BANK DEPOSIT PROGRAM	B	Interest	P1	T					
218. MORGAN STANLEY BANK/TRUST DEPOSITS #2	A	Interest	K	T					
219. MORGAN STANLEY BANK/TRUST DEPOSITS #3	A	Interest	K	T					
220. MORGAN STANLEY BANK/TRUST DEPOSITS #4		None			Closed	01/05/11	J		
221. OCA WESLEY MORTGAGE REIT	G	Distribution	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
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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)
222. FOUNDATION BROKERAGE ACCOUNT #1 (LINES 223-224)									
223. WAL MART STORES INC COMMON STOCK (X)		None			Sold	05/25/11	M		
224. WAL MART STORES INC COMMON STOCK (X)		None			Sold	08/23/11	L		
225. FOUNDATION BROKERAGE ACCOUNT #2 (FKA #4) (LINES 226-359)									
226. MORGAN STANLEY BANK/TRUST #1 (CASH/MM)	A	Interest	J	T					
227. MORGAN STANLEY BANK/TRUST #2 (CASH/MM)	A	Interest	L	T					
228. COMMON STOCKS AND FUNDS (LINES 229-349)									
229. AERCAP HOLDINGS N.V.		None			Sold	10/05/11	K		
230. AMERICAN EXPRESS CO		None	K	T	Buy	11/16/11	K		
231. ANNALY CAPITAL MGMT INC	D	Dividend	K	T	Buy	02/16/11	L		
232.					Sold (part)	12/23/11	K		
233. APOLLO INVESTMENT CORP	B	Dividend	K	T	Buy	12/22/11	K		
234. AVENUE INCOME CREDIT	C	Dividend	L	T	Buy	03/29/11	K		
235.					Buy (add'l)	07/27/11	K		
236.					Buy (add'l)	11/11/11	J		
237.					Buy (add'l)	11/15/11	J		
238. BANK OF AMERICA	A	Dividend			Buy (add'l)	01/03/11	K		

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

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

239.					Sold	08/08/11	K		
240. BLACKROCK INTL GROWTH AND INC TR	D	Dividend			Buy (add'l)	01/03/11	K		
241.					Sold	07/11/11	L		
242. BRIDGEPOINT EDUCATION INC		None			Sold	02/02/11	L	E	
243. CDC SOFTWARE CORP		None			Sold (part)	09/16/11	J		
244.					Sold (part)	09/19/11	J		
245.					Sold	12/15/11	J		
246. CHINACAST EDUCATION CORP		None			Buy	07/25/11	K		
247.					Sold (part)	10/03/11	J		
248.					Sold	10/04/11	J		
249. CIT GROUP		None			Sold	10/05/11	K		
250. CME GROUP INC	A	Dividend	L	T	Buy	11/23/11	K		
251. CREXUS INVESTMENT CORP	C	Dividend	L	T	Buy	03/29/11	L		
252.					Buy (add'l)	06/07/11	K		
253.					Sold (part)	12/23/11	K		
254. DANAHER CORP	A	Dividend	K	T					
255. DEVON ENERGY CORP	A	Dividend			Sold (part)	03/28/11	K	D	

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

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

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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)

256.					Sold	11/30/11	K		
257. EATON VANCE TAX MGD DIV EQU FUND	B	Dividend	L	T	Buy	07/11/11	L		
258.					Sold	09/27/11	L		
259.					Buy	12/02/11	L		
260. EMERGING MKT ENERGY TITANS INDX	A	Dividend			Sold	12/02/11	K	A	
261. EMERGING MKT METAL & MINING TITAN	A	Dividend			Sold	12/02/11	K		
262. ENERGY SEL SECT SPDR FD	A	Dividend	K	T	Buy	03/11/11	K		
263. GENERAL MOTORS CO		None			Buy	02/16/11	K		
264.					Sold	08/11/11	K		
265. GUGGENHEIM BUILD AMER BOND FUND	B	Dividend			Sold	07/26/11	K	C	
266. HALLIBURTON CO		None	K	T	Buy (add'l)	12/08/11	K		
267.					Sold (part)	01/05/11	K	E	
268. HONEYWELL INTERNATIONAL INC	A	Dividend			Sold	05/19/11	K	D	
269. INTERNATIONAL BUSINESS MACHINES CORP	A	Dividend	L	T					
270. ISHARES IBOXX \$ H/Y CORP BOND FUND	B	Dividend			Sold (part)	01/03/11	K	A	
271.					Sold (part)	01/25/11	K	B	
272.					Sold (part)	02/16/11	K	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
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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)
273.					Sold (part)	03/28/11	K	B	
274.					Sold	05/19/11	K	B	
275. ISHARES JP MORGAN EM BOND FUND	A	Dividend			Sold	01/13/11	K	B	
276. ISHARES MSCI CANADA INDEX FUND		None			Sold	05/19/11	L	D	
277. ISHARES MSCI PAC EX-JPN INDEX	A	Dividend			Sold	12/02/11	K		
278. ISHARES S&P 500 GROWTH INDEX	A	Dividend			Sold	12/02/11	K	D	
279. ISHARES S&P 500 VALUE INDEX	A	Dividend			Sold	12/02/11	K	C	
280. ISHARES S&P MID CAP 400 GROWTH	A	Dividend	K	T	Buy	10/05/11	K		
281. ISHARES S&P MIDCAP 400 INDEX	A	Dividend	K	T					
282. ISHARES SP SMALL CAP 600 INDEX FUND		None			Sold	03/23/11	K	D	
283. ISHARES TR MSCI SMALL CAP FUND	A	Dividend			Sold	12/02/11	K		
284. JP MORGAN CHASE	A	Dividend			Sold	11/30/11	K		
285. KRAFT FOODS INC	A	Dividend			Sold	02/10/11	K	C	
286. MARKET VECTORS AGRIBUS ETF	A	Dividend	L	T	Buy	10/10/11	L		
287. MARKET VECTORS BRAZIL SM-CAP	C	Dividend	K	T	Buy (add'l)	12/02/11	K		
288.					Sold (part)	08/04/11	K		
289. MARKET VECTORS RUSSIA ETF		None			Sold	12/02/11	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)
290. MASTERCARD	A	Dividend			Sold	06/16/11	K	D	
291. METLIFE INC		None			Buy (add'l)	03/03/11	L		
292.					Sold	09/06/11	L		
293. NFJ DIVIDEND INT & PRE STRGY	C	Dividend	K	T					
294. NORTHSTAR REALTY FIN CORP	C	Dividend			Buy	05/12/11	L		
295.					Sold	08/23/11	L		
296. NUVEEN BUILD AMERICAN BOND FUND	B	Dividend			Sold (part)	03/02/11	K		
297.					Sold (part)	03/28/11	K		
298.					Sold	07/27/11	K		
299. ORACLE CORP	A	Dividend			Sold	05/06/11	L	E	
300. PFIZER INC	A	Dividend			Sold	03/29/11	K	D	
301. PROSPECT CAPITAL CORP	C	Dividend	L	T	Buy	09/22/11	L		
302. PRUDENTIAL FINANCIAL INC		None			Sold	03/29/11	K	D	
303. QUALCOMM INC		None	K	T	Buy	12/23/11	K		
304. ROCK TENN CO CL A	A	Dividend			Buy	05/20/11	L		
305.					Sold	09/06/11	K		
306. SANDRIDGE ENERGY INC		None	K	T	Buy	10/06/11	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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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307. SCHLUMBERGER LTD	A	Dividend	K	T	Buy (add'l)	03/15/11	K		
308.					Buy (add'l)	05/06/11	K		
309.					Sold (part)	12/08/11	K		
310. SEADRILL LTD	C	Dividend	K	T					
311. SOLAR CAPITAL LTD	D	Dividend	L	T	Sold (part)	11/11/11	J	B	
312. SPDR S&P BANK ETF (FKA KBW BANK ETF)	A	Dividend	K	T					
313. SPDR S&P DIVIDEND	A	Dividend			Sold	07/25/11	L	D	
314. SPDR S&P EMERGING ASIA PACIFIC	B	Dividend	K	T	Buy (add'l)	12/02/11	K		
315. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	L	T	Buy (add'l)	12/02/11	K		
316. STARWOOD PROPERTY TRUST INC	D	Dividend	L	T	Sold (part)	03/28/11	K	D	
317.					Buy (add'l)	06/07/11	K		
318.					Buy (add'l)	06/28/11	K		
319.					Buy (add'l)	08/02/11	K		
320.					Sold (part)	12/22/11	K	C	
321. TETRAGON FINL GP LTD	C	Dividend			Buy	01/03/11	K		
322.					Buy (add'l)	01/14/11	K		
323.					Sold (part)	08/23/11	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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324.					Sold (part)	08/29/11	K	B	
325.					Sold (part)	08/31/11	J	A	
326.					Sold (part)	09/01/11	J	A	
327.					Sold	09/02/11	J	A	
328. TEVA PHARMACEUTICALS ADR	A	Dividend	K	T	Buy	05/19/11	K		
329. TEXTAINER GROUP HOLDINGS LTD	A	Dividend	K	T	Buy	08/09/11	K		
330. VANGUARD DIVIDEND APPRECIATION	A	Dividend	L	T	Buy	12/02/11	L		
331. VANGUARD EMRG MKTS ETF	C	Dividend	M	T					
332. VANGUARD EUROPEAN ETF		None			Sold	08/04/11	K		
333. VANGUARD INFO TECH ETF	A	Dividend	K	T	Buy	09/22/11	K		
334. VANGUARD REIT ETF	A	Dividend	K	T	Buy	10/05/11	K		
335. VISA INC	A	Dividend			Sold	07/22/11	K	D	
336. VISTEON CORP		None			Buy (add'l)	01/11/11	K		
337.					Sold	03/09/11	L		
338. WAL MART STORES INC		None			Buy	01/25/11	K		
339.					Sold	02/14/11	K		
340. WEATHERFORD INTL LTD		None	L	T	Buy	07/22/11	K		

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341.					Buy (add'l)	07/25/11	K		
342. WELLS FARGO & CO	A	Dividend	K	T					
343. WISDOMTREE TRUST EMRG MKT EQT	A	Dividend	L	T	Buy	12/02/11	L		
344. WISDOMTREE TRUST INDIA		None			Buy	02/11/11	K		
345.					Sold	05/11/11	K	B	
346. XUEDA EDUCATION GROUP SPON ADR		None			Buy	08/18/11	K		
347.					Sold (part)	10/03/11	J		
348.					Sold	10/04/11	J		
349. YUM BRANDS INC	A	Dividend	L	T	Buy	02/16/11	L		
350. OPTIONS (LINES 351-359) (SEE NOTE 3 IN SECTION VIII)									
351. HALLIBURTON CO		None			Buy	01/11/11	J		
352. HONEYWELL INTERNATIONAL		None			Buy	01/19/11	J		
353.					Buy (add'l)	01/21/11	J		
354. KRAFT FOODS		None			Expired	01/24/11	J	A	
355. MASTERCARD INC		None			Expired	01/24/11	J	A	
356. MET LIFE INC		None			Buy	01/19/11	J		
357. JP MORGAN CHASE & CO		None			Buy	01/19/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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358. ORACLE CORP		None			Buy	01/19/11	J		
359. PFIZER INC		None			Buy	01/19/11	J	A	
360. NON-PUBLICS (SEE NOTES 5 & 7 IN SECT VIII) (LINES 361-512)									
361. ARIZONA SNOWBOWL (SEE NOTE 1 IN SECT VIII)	E	Distribution	N	W	Distributed (part)	04/15/11	J		
362. ENTERTAINMENT ACQUISITION (SEE NOTES 1 & 4 IN SECTION VIII)	D	Distribution							
363. CENTERBRIDGE CREDIT PARTNERS (SEE NOTE 1 IN SECTION VIII)	E	Distribution	P1	U	Buy	09/30/11	O		
364. TAMPA BAY RAYS (SEE NOTES 1 & 14 IN SECT VIII)	G	Distribution	N	W					
365. FRESH DIRECT		None	O	W					
366. HARDING SERVICE, LLC (Y)									
367. OFFIT CAPITAL ADVISORS (SEE NOTES 1 & 14 IN SECTION VIII)		None	N	W					
368. OPUS MEDIA PARTNERS (Y)									
369. UNIVERSAL HOSPITAL SERVICES HOLDING CO		None	M	W					
370. GOLUB CAPITAL PARTNERS (SEE NOTE 9 IN SECTION VIII)	F	Distribution	P1	U	Buy	07/06/11	P1		
371.					Distributed (part)	11/04/11	K		
372. IRVING PLACE CAPITAL II (SEE NOTES 9 & 14 IN SECT VIII)	F	Distribution	M	W	Distributed (part)	05/23/11	K		
373.					Distributed (part)	10/03/11	L		
374. IRVING PLACE CAPITAL III (SEE NOTES 9 & 14 IN SECT VIII)		None	P1	W	Buy (add'l)	03/25/11	M		

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

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Name of Person Reporting

Wood, Kimba M.

Date of Report

5/15/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375.					Distributed (part)	08/01/11	K		
376.					Distributed (part)	08/02/11	K		
377.					Distributed (part)	08/23/11	K		
378. BLACKSTONE REAL ESTATE PARTNERS (SEE NOTES 9&14 IN SECT VIII	G	Distribution	P2	W	Buy (add'l)	01/20/11	K		
379.					Buy (add'l)	03/16/11	K		
380.					Distributed (part)	03/18/11	K		
381.					Buy (add'l)	03/31/11	K		
382.					Buy (add'l)	05/04/11	M		
383.					Distributed (part)	05/06/11	K		
384.					Distributed (part)	06/13/11	M		
385.					Buy (add'l)	06/23/11	O		
386.					Buy (add'l)	07/05/11	K		
387.					Buy (add'l)	07/21/11	J		
388.					Distributed (part)	08/03/11	M		
389.					Buy (add'l)	08/11/11	K		
390.					Distributed (part)	08/19/11	K		

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

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Name of Person Reporting

Wood, Kimba M.

Date of Report

5/15/2012

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)	08/22/11	L		
392.					Buy (add'l)	08/29/11	M		
393.					Buy (add'l)	09/07/11	L		
394.					Distributed (part)	09/13/11	K		
395.					Buy (add'l)	10/04/11	J		
396.					Distributed (part)	11/18/11	J		
397.					Buy (add'l)	12/13/11	L		
398.					Buy (add'l)	12/16/11	J		
399. CENTERVIEW CAPITAL (SEE NOTES 10 & 14 IN SECT VIII)	A	Distribution							
400. DEL MONTE (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	01/25/11	L		
401.					Buy (add'l)	02/09/11	N		
402.					Distributed (part)	04/27/11	L		
403. NIELSEN CO (SEE NOTE 15 IN SECT VIII)		None	N	W					
404. RICHELIEU FOODS, INC (SEE NOTE 15 IN SECT VIII)		None	N	W	Distributed (part)	01/25/11	L		
405. DYNA VOX (SEE NOTE 15 IN SECT VIII)		None	N	W	Distributed (part)	12/28/11	J		
406. VESTAR CAPL PRNRS/ASSOC III (SEE NOTES 10&14 IN SECT VIII)	C	Distribution							
407. VESTAR CAPL PRNRS/ASSC IV/AIV (SEE NOTES 10&14 IN SECT VIII)	F	Distribution							

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

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Name of Person Reporting

Wood, Kimba M.

Date of Report

5/15/2012

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. VESTAR CAP/ASSOC V (SEE NOTE 10 IN SECT VIII)	D	Distribution							
409. CONSOLIDATED CONTAINER (SEE NOTE 15 IN SECT VIII)		None	P1	W					
410. ST JOHNS KNITS (SEE NOTE 15 IN SECT VIII)		None	O	W					
411. ARGO TECH (SEE NOTE 15 IN SECT VIII)		None	K	W					
412. AZ ELECTRONIC MATLS (SEE NOTE 15 IN SECT VIII)	B	Dividend	L	W	Sold (part)	06/14/11	M	F	
413.					Sold (part)	12/23/11	L	F	
414. BORDER MEDIA (SEE NOTE 15 IN SECT VIII)		None	J	W					
415. CCS INCOME TRUST (SEE NOTE 15 IN SECT VIII)		None	M	W					
416. CESARE FIORUCCI (SEE NOT 15 IN SECT VIII)		None			Sold	05/23/11	M		Campofrio Food Group
417. DEL MONTE (SEE NOTE 15 IN SECTION VIII)		None	M	W	Buy	02/09/11	N		
418.					Distributed (part)	06/20/11	L		
419. DUFF & PHELPS (SEE NOTE 15 IN SECT VIII)		None	N	W	Distributed (part)	12/28/11	K		
420. ESSENT HEALTHCARE (SEE NOTE 15 IN SECT VIII)		None			Sold (part)	11/14/11	O	G	
421.					Sold	11/15/11	J	D	Merged with RegionalCare
422. GLEASON CORP (SEE NOTE 15 IN SECT VIII)		None	M	W					
423. HEALTHGRADES (SEE NOTE 15 IN SECT VIII)		None	M	W	Distributed (part)	06/20/11	K		
424.					Distributed (part)	11/16/11	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)
425. INHEALTH (SEE NOTE 15 IN SECT VIII)		None	J	W					
426. THE SUN PRODUCTS CORP (SEE NOTE 15 IN SECT VIII)		None	O	W					
427. MEDI-MEDIA (SEE NOTE 15 IN SECT VIII)		None	M	W					
428. NATIONAL MENTOR HLDNGS (SEE NOTE 15 IN SECT VIII)		None	L	W					
429. OGF GROUP (SEE NOTE 15 IN SECT VIII)		None	N	W					
430. PARTNER RE HLDNGS (SEE NOTE 15 IN SECT VIII)	A	Dividend			Sold (part)	01/31/11	K		
431.					Sold	03/21/11	L	E	
432. PRESS GANEY (SEE NOTE 15 IN SECT VIII)		None	O	W					
433. RADIATION THERAPY (SEE NOTE 15 IN SECT VIII)		None	N	W					
434. SEVES SPA (SEE NOTE 15 IN SECT VIII)		None	J	W					
435. SOLO CUP CO (SEE NOTE 15 IN SECT VIII)		None	P1	W					
436. SUNRISE MEDICAL (SEE NOTE 15 IN SECT VIII)		None	O	W	Distributed (part)	12/28/11	K	E	
437. DEVILBISS (SEE NOTE 2 IN SECTION VIII)		None	M	W					
438. SYMETRA FINANCIAL (SEE NOTE 15 IN SECT VIII)	D	Dividend	N	W					
439. TRITON CONTAINER INTL (SEE NOTE 15 IN SECTION VIII)		None	N	W	Buy	04/15/11	M		
440.					Buy (add'l)	06/20/11	K		
441. VALIDUS HLDGS (SEE NOTE 15 IN SECT VIII)	E	Dividend			Sold (part)	05/23/11	O		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
442.					Sold (part)	05/24/11	J		
443.					Sold (part)	12/16/11	O	G	
444.					Sold (part)	12/20/11	J	D	
445.					Sold	12/28/11	L	F	
446. WILTON RE HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	P1	W					
447. FLAG VENTURE PARTNERS (SEE NOTES 9&14 IN SECT VIII)	F	Distribution	P1	W	Distributed (part)	01/18/11	L		
448.					Distributed (part)	03/30/11	L		
449.					Distributed (part)	05/06/11	K		
450.					Distributed (part)	07/07/11	L		
451.					Distributed (part)	07/27/11	K		
452.					Distributed (part)	09/21/11	K		
453.					Distributed (part)	10/19/11	K		
454.					Buy (add'l)	11/14/11	K		
455.					Distributed (part)	12/08/11	L		
456.					Distributed (part)	12/21/11	K		
457. RAZOR'S EDGE FUND (SEE NOTE 9 IN SECT VIII)		None	N	W	Buy	08/11/11	M		
458.					Distributed (part)	10/03/11	J		

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

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)

459.					Buy (add'l)	12/14/11	N		
460. RED ABBEY (SEE NOTE 9 IN SECT VIII)	G	Distribution	M	W	Buy (add'l)	07/12/11	J		
461.					Distributed (part)	07/12/11	N		
462.					Buy (add'l)	11/09/11	J		
463.					Distributed (part)	11/09/11	L		
464. SENTINEL CAPITAL II (SEE NOTES 10&14 IN SECT VIII)		None							
465. SENTINEL CAPITAL III (SEE NOTES 10 & 14 IN SECT VIII)	G	Distribution							
466. SENTINEL CAPITAL IV (SEE NOTES 10 & 14 IN SECT VIII)	G	Distribution			Buy (add'l)	04/04/11	J		
467.					Buy (add'l)	10/03/11	K		
468. CHASE DOOR HOLDINGS (SEE NOTE 15 IN SECTION VIII)		None	M	W	Buy	04/01/11	M		
469. CHROMALOX (SEE NOTE 15 IN SECTION VIII)		None	O	W	Buy	01/03/11	K		
470.					Buy (add'l)	05/02/11	M		
471.					Buy (add'l)	06/23/11	M		
472. CREDIT INFONET HOLDINGS (SEE NOTE 15 IN SECT VIII)	C	Interest	N	W					
473. CRITICAL SOLUTIONS (SEE NOTE 15 IN SECTION VIII)		None	N	W	Buy	01/03/11	K		
474.					Buy (add'l)	04/01/11	M		
475.					Buy (add'l)	06/23/11	M		

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)

476. ENGINEERED CONTROLS (SEE NOTE 15 IN SECT VIII)		None	O	W					
477. INSCAPE (SEE NOTE 15 IN SECT VIII)		None	O	W					
478. INTERIM HEALTHCARE (SEE NOTE 15 IN SECT VIII)		None	P1	W	Distributed (part)	10/12/11	O		
479. LTI FLEXIBLE PRODUCTS (SEE NOTE 15 IN SECT VIII)		None	O	W					
480. MADILL CORP (Y)									
481. MESSAGE ENVY (SEE NOTE 15 IN SECT VIII)		None	O	W	Distributed (part)	01/03/11	K		
482.					Distributed (part)	04/01/11	N		
483.					Distributed (part)	10/03/11	K		
484. MIDWEST WHOLESALE HARDWARE (SEE NOTE 15 IN SECT VIII)		None	J	W					
485. NATIONAL SPINE AND PAIN CENTERS (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	12/14/11	N		
486. NORTH AMERICAN RESCUE (SEE NOTE 15 IN SECT VIII)		None	M	W	Distributed (part)	01/03/11	J		
487.					Distributed (part)	05/02/11	M		
488.					Distributed (part)	10/03/11	K		
489. PRECISION PIPELINE SOLUTIONS (SEE NOTE 15 IN SECT VIII)		None	L	W					
490. SOUTHERN CALIFORNIA PIZZA CO (SEE NOTE 15 IN SECT VIII)		None	O	W	Distributed (part)	04/04/11	N		
491. SPINRITE (SEE NOTE 15 IN SECT VIII)		None	L	W					
492. STRATEGIC PARTNERS (SEE NOTES 11 & 15 IN SECTION VIII)		None			Distributed (part)	06/23/11	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 \$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)

493.					Distributed	08/29/11	N	G	
494. TRINITY CONSULTANTS HOLDINGS (SEE NOTE 15 IN SECT VIII)		None			Sold	11/30/11	P1	G	Gryphon Investors
495. TRUSSBILT HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	L	W					
496. VINTAGE HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	O	W					
497. WELLSRING PHARMACEUTICALS (SEE NOTE 15 IN SECTION VIII)		None	N	W	Buy	12/14/11	N		
498. SCIENS CAPITAL (AKA ZILKHA) (SEE NOTE 9 IN SECT VIII)		None	L	W					
499. NORTHERN HELLENIC HOLDINGS (SEE NOTES 6,9&14 IN SECT VIII)		None	N	V					
500. PARK AVENUE PARTNERS (SEE NOTES 9&14 IN SECT VIII)	E	Distribution	O	W	Distributed (part)	06/15/11	J		
501. QUINTANA ENERGY PARTNERS (SEE NOTES 9&14 IN SECT VIII)		None	O	W	Distributed (part)	05/25/11	K		
502.					Buy (add'l)	05/25/11	K		
503. NB CO-INVESTMENT PARTNERS (SEE NOTES 9&14 IN SECT VIII)	G	Distribution	P1	W	Distributed (part)	01/31/11	L		
504.					Distributed (part)	02/11/11	M		
505.					Buy (add'l)	02/11/11	L		
506.					Buy (add'l)	03/03/11	L		
507.					Distributed (part)	04/25/11	K		
508.					Distributed (part)	06/10/11	L		
509.					Buy (add'l)	06/10/11	J		

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

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.					Buy (add'l)	08/11/11	K		
511.					Distributed (part)	08/23/11	K		
512.					Buy (add'l)	09/12/11	L		
513. OTHER INVESTMENTS/NOTES RECEIVABLES (LINES 514-551)									
514. CHESAPEAKE PARTNERS (SEE NOTE 1 IN SECT VIII)		None	P1	U					
515. FARALLON CAPITAL PARTNERS (SEE NOTES 1&14 IN SECT VIII)	F	Distribution	P1	U	Redeemed (part)	02/07/11	J		
516.					Redeemed (part)	03/08/11	M		
517.					Redeemed (part)	05/26/11	K		
518.					Redeemed (part)	07/28/11	J		
519.					Redeemed (part)	08/11/11	M		
520.					Redeemed (part)	10/26/11	J		
521.					Redeemed (part)	11/16/11	K		
522. AXIOM INTERNATIONAL INVESTORS (SEE NOTE 1 IN SECT VIII)	G	Distribution	P1	U	Redeemed (part)	04/01/11	P1		
523. THE BLENHEIM FUND (SEE NOTE 1 IN SECT VIII)		None	P1	U					
524. BREVAN HOWARD (SEE NOTE 1 IN SECT VIII)	G	Distribution	P1	U					
525. PAULSON ADVANTAGE (SEE NOTE 1 IN SECT VIII)		None	P1	U					
526. SABRETOOTH ONSHORE FUND (SEE NOTE 1 IN SECT VIII)		None	N	U					

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

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

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

527. WHALE ROCK FLAGSHIP FUND (SEE NOTE 1 IN SECT VIII)		None			Redeemed (part)	01/18/11	P1		
528.					Redeemed	04/27/11	L		
529. F. E. RICHARDSON & CO (SEE NOTES 1&13 IN SECT VIII)		None	L	V	Buy (add'l)	01/14/11	K		
530.					Buy (add'l)	01/20/11	L		
531.					Buy (add'l)	02/18/11	K		
532.					Buy (add'l)	03/18/11	K		
533.					Buy (add'l)	04/15/11	K		
534.					Buy (add'l)	05/05/11	K		
535.					Buy (add'l)	05/13/11	K		
536.					Buy (add'l)	05/27/11	K		
537.					Buy (add'l)	07/07/11	K		
538.					Buy (add'l)	08/11/11	L		
539.					Buy (add'l)	09/14/11	K		
540.					Buy (add'l)	10/14/11	K		
541.					Buy (add'l)	11/04/11	K		
542.					Buy (add'l)	12/02/11	K		
543.					Buy (add'l)	12/29/11	K		

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

544. OP40 INC (SEE NOTE 5 IN SECT VIII)		None	L	W					
545. OSCAR S SCHAFER PARTNERS (SEE NOTE 1 IN SECT VIII)	D	Distribution	N	U	Redeemed (part)	01/14/11	O		
546.					Redeemed (part)	03/24/11	J		
547.					Redeemed (part)	03/25/11	L		
548. CCA ABSOLUTE RETURN MUNI FUND (SEE NOTE 1 IN SECT VIII)	E	Distribution	P1	U	Buy	03/01/11	O		
549. QFR VICTORIA FUND	E	Distribution	P1	U	Buy	01/28/11	P1		
550. HAWK GROUP (SEE NOTE 5 IN SECT VIII)		None	N	W					
551. ELIZABETH REILLY, PERSONAL LOAN - NOTE RECEIVABLE		None	K	U	Open	11/14/11	K		
552. TRUST #1 (LINES 552-561)	D	Int./Div.	O	T					
553. ---GOLDMAN SACHS BANK DEPOSIT/ CASH #4									
554. ---ABBOTT LABORATORIES COMMON STOCK									
555. ---AMERICA MOVIL COMMON STOCK					Sold (part)	05/05/11	L	C	
556. ---BLACKROCK INC COMMON STOCK									
557. ---GENERAL ELECTRIC CO COMMON STOCK					Sold	09/12/11	L		
558. ---JOHNSON & JOHNSON COMMON STOCK									
559. ---KRAFT FOODS INC COMMON STOCK									
560. ---SONIC 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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
561. ---WALGREEN CO COMMON STOCK									
562. TRUST #1A (LINES 562-605)	A	Int./Div.	N	T	Open	05/18/11	M		
563. ---GOLDMAN SACHS BANK DEPOSITS/ CASH #4A					Open	05/18/11	M		
564. ---BUCKEYE PARTNERS (SEE NOTE 1 IN SECT VIII)					Buy	05/18/11	J		
565.					Buy (add'l)	05/19/11	J		
566.					Distributed (part)	08/31/11	J		
567.					Distributed (part)	11/30/11	J		
568. ---CHESAPEAKE MIDSTREAM PRNRS (SEE NOTE 1 IN SECT VIII)					Buy	05/18/11	J		
569.					Buy (add'l)	05/19/11	J		
570.					Buy (add'l)	05/26/11	J		
571.					Buy (add'l)	05/27/11	J		
572.					Distributed (part)	08/12/11	J		
573.					Distributed (part)	11/14/11	J		
574. ---EL PASO PIPELINE PARTNERS (SEE NOTE 1 IN SECT VIII)					Buy	05/18/11	J		
575.					Buy (add'l)	05/19/11	J		
576.					Buy (add'l)	05/25/11	J		
577.					Distributed (part)	08/12/11	J		

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

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)
578.					Distributed (part)	11/14/11	J		
579. ---ENERGY TRANSFER EQUITY LP (SEE NOTE 1 IN SECT VIII)					Buy	05/18/11	J		
580.					Buy (add'l)	05/19/11	J		
581.					Buy (add'l)	05/25/11	J		
582.					Distributed (part)	08/19/11	J		
583.					Distributed (part)	11/18/11	J		
584. ---ENTERPRISE PRODUCTS PART LP (SEE NOTE 1 IN SECT VIII)					Buy	05/18/11	J		
585.					Buy (add'l)	05/19/11	J		
586.					Distributed (part)	08/10/11	J		
587.					Distributed (part)	11/09/11	J		
588. ---MAGELLAN MIDSTREAM PARTNERS LP (SEE NOTE 1 IN SECT VIII)					Buy	05/18/11	J		
589.					Buy (add'l)	05/19/11	J		
590.					Distributed (part)	08/12/11	J		
591.					Distributed (part)	11/14/11	J		
592. ---MARKWEST ENERGY PARTNERS LP (SEE NOTE 1 IN SECT VIII)					Buy	05/18/11	J		
593.					Buy (add'l)	05/19/11	J		

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

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)	08/12/11	J		
595.					Distributed (part)	11/14/11	J		
596. ---PLAINS ALL AMERICAN PIPELINE LP (SEE NOTE 1 IN SECT VIII)					Buy	05/18/11	J		
597.					Buy (add'l)	05/19/11	J		
598.					Distributed (part)	08/12/11	J		
599.					Distributed (part)	11/14/11	J		
600. ---TEEKAY OFFSHORE PARTNERS LP (SEE NOTE 1 IN SECT VIII)					Buy	05/18/11	J		
601.					Buy (add'l)	05/19/11	J		
602. ---WILLIAMS PARTNERS LP (SEE NOTE 1 IN SECT VIII)					Buy	05/18/11	J		
603.					Buy (add'l)	05/19/11	J		
604.					Distributed (part)	08/12/11	J		
605.					Distributed (part)	11/14/11	J		
606. TRUST #2 (LINES 606-618)	D	Int./Div.	M	T					
607. ---BLACKROCK LIQUIDITY FUNDS									
608. ---PRUDENTIAL JENNISON 20/20 FOCUS FUND (MUTUAL FUND)									
609. ---BLACKROCK EQUITY DIVIDEND INST CLASS FUND									
610. ---CALAMOS 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)
611. ---EAGLE SMALL CAP GROWTH FUND									
612. ---ISHARES BARCLAYS TR US TIP ETF									
613. ---ISHARES TR MSCI EMERGING MKTS INDEX FD ETF									
614. ---ISHARES MSCI EAFE INDEX FUND ETF									
615. ---ISHARES S&P NATIONAL MUNI BOND FUND									
616. ---IVY GLOBAL NATURAL RESOURCES FD									
617. ---T ROWE PRICE INTL FD INC INTL BOND FUND									
618. ---SPDR BARCLAYS CAP HIGH YIELD BOND ETF									
619. TRUST #3 (LINES 619-700)	D	Int./Div.	N	T					
620. ---BLACKROCK LIQUIDITY FUNDS									
621. ---COOPER INDUSTRIES COMMON STOCK									
622. ---COVIDIEN PLC COMMON STOCK									
623. ---NOBLE CORP COMMON STOCK									
624. ---AT&T INC COMMON STOCK									
625. ---ALLERGAN INC COMMON STOCK									
626. ---AMERICAN ELECTRIC POWER INC COMMON STOCK									
627. ---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 \$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. ---AMERICAN TOWER CORP COMMON STOCK									
629. ---AMERISOURCEBERGEN CORP COMMON STOCK									
630. ---AMERIPRISE FINANCIAL INC COMMON STOCK									
631. ---AMGEN INC COMMON STOCK									
632. ---APACHE CORP COMMON STOCK									
633. ---APPLE INC COMMON STOCK									
634. ---BARON SMALL CAP MUTUAL FUND									
635. ---BAXTER INTERNATIONAL INC COMMON STOCK									
636. ---BROADCOM CORP COMMON STOCK									
637. ---CAPITAL ONE FINANCIAL CORP COMMON STOCK									
638. ---CELANESE CORP COMMON STOCK									
639. ---CHUBB CORP COMMON STOCK									
640. ---CISCO SYSTEMS INC COMMON STOCK									
641. ---COACH INC COMMON STOCK									
642. ---CUMMINS INC COMMON STOCK									
643. ---DOLBY LABORATORIES INC COMMON STOCK									
644. ---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 \$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)
645. ---EMC CORP COMMON STOCK									
646. ---EAGLE SMALL CAP GROWTH MUTUAL FUND									
647. ---EBAY INC COMMON STOCK									
648. ---EXXON MOBIL CORP COMMON STOCK									
649. ---FEDEX CORPORATION COMMON STOCK									
650. ---FORD MOTOR COMPANY COMMON STOCK									
651. ---FRANKLIN RESOURCES INC COMMON STOCK									
652. ---FREEPORT MCMORAN COPPER & GOLD INC COMMON STK									
653. ---GENERAL ELECTRIC CO COMMON STOCK									
654. ---GENERAL MILLS INC COMMON STOCK									
655. ---GOLDMAN SACHS GROUP INC COMMON STOCK									
656. ---GOOGLE INC COMMON STOCK									
657. ---GRAINGER WW INC COMMON STOCK									
658. ---HARBOR INTERNATIONAL MUTUAL FUND									
659. ---ILLINOIS TOOL WORKS INC COMMON STOCK									
660. ---INTEL CORP COMMON STOCK									
661. ---IBM 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 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. ---ISHARES BARCLAYS TR US TIP ETF									
663. ---ISHARES TR MSCI EMERGING MKTS INDEX FD ETF									
664. ---ISHARES MSCI EAFE INDEX FUND ETF									
665. ---ISHARES TR S&P MIDCAP 400 INDEX FD ETF									
666. ---ISHARES S&P NATIONAL AMT-FREE MUNI BOND FUND									
667. ---IVY GLBL NATURAL RESOURCES MUTUAL FUND									
668. ---JP MORGAN CHASE & CO COMMON STOCK									
669. ---JOHNSON & JOHNSON COMMON STOCK									
670. ---JOHNSON CONTROLS INC COMMON STOCK									
671. ---KOHLS CORP COMMON STOCK									
672. ---LAUDER ESTEE COS INC COMMON STOCK									
673. ---MEDCO HEALTH SOLUTIONS INC COMMON STOCK									
674. ---MERCK & CO INC COMMON STOCK									
675. ---METLIFE INC COMMON STOCK									
676. ---MICROSOFT CORP COMMON STOCK									
677. ---NEWS CORP COMMON STOCK									
678. ---OCCIDENTAL PETROLEUM 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 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)
679. ---ORACLE CORP COMMON STOCK									
680. ---PEPSICO INC COMMON STOCK									
681. ---PFIZER INC COMMON STOCK									
682. ---PRICE T ROWE GROUP INC COMMON STOCK									
683. ---PROCTER & GAMBLE CO COMMON STOCK									
684. ---ROCKWELL AUTOMATION INC COMMON STOCK									
685. ---ROSS STORES INC COMMON STOCK									
686. ---T ROWE PRICE INTL FD INC MUTUAL FUND									
687. ---SPDR BARCLAYS CAP HIGH YIELD BD ETF									
688. ---SCHLUMBERGER LTD COMMON STOCK									
689. ---SCRIPPS NETWORKS INTERAC COMMON STOCK									
690. ---JM SMUCKER CO COMMON STOCK									
691. ---TALISMAN ENERGY INC COMMON STOCK									
692. ---3M COMPANY COMMON STOCK									
693. ---US BANCORP DEL COMMON STOCK									
694. ---UNITED TECHNOLOGIES CORP COMMON STOCK									
695. ---UNITEDHEALTH GROUP 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)
696. ---VIACOM INC COMMON STOCK									
697. ---WAL-MART STORES INC COMMON STOCK									
698. ---WELLS FARGO & CO COMMON STOCK									
699. ---WILLIAMS COMPANIES INC COMMON STOCK									
700. ---WISCONSIN ENERGY CORP COMMON STOCK									
701. RENTAL PROPERTY - NEW YORK, NY (6/15/2005 \$850,000)	E	Rent	O	R					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$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 there was either a partial withdrawal or no withdrawal from this S corporation or limited partnership during the reporting year, all K-1 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:

DeVILLBIS was spun off from Sunrise Medical (Line 436) in April, 2010. On the reporting family's books, though, the spin off was not recorded until 2011. Therefore, on the reporting family's balance sheet at 12/31/10 and hence the 2010 Financial Disclosure Report (FDR) the values of both companies were reported together. Per [REDACTED] Financial Disclosure Examiner, there is no need to amend the prior year FDR for this inadvertent omission.

NOTE 3:

For the options, all contracts were opened (sold short) in 2010. The activity in 2011 was either the close or the expiration of the contracts. In either case, there is no year end value reported because the contracts were completed in 2011. Most contracts sustained a loss. For the few that didn't, the gains are reported.

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 2011 K-1, or an estimate of the same, was used to determine its 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 both types of income are 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 [REDACTED] "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, "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 [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," (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.

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

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 in the current year, there is no year-end value to report.

NOTE 12:

Not used.

NOTE 13:

The [REDACTED] is the 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 2011 K-1 was not received by the May 15, 2012 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, a letter explaining the difference will be filed with the Committee.

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.

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

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