

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) Herndon, David R.	2. Court or Organization U.S. District Court Southern District of Illinois	3. Date of Report 05/11/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 United States Courthouse 750 Missouri Avenue East St. Louis, IL		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust #1, Assets No 21-99
2.	Trustee	Trust #2, Assets No 100-149
3.	Trustee	Trust #3, Assets No 150-197
4.	Trustee	Trust #4, Assets No 198-234
5.	Trustee	Trust #5 Assets No 235-271 Trust #6 Assets No 272-297

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.*(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

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

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	American Conference Institute	April 14-15, 2011	San Francisco, CA	Speaker at Education Seminar	hotel (direct billed) and half of airfare reimbursed \$287
2.	American Conference Institute	May 17-18, 2011	Philadelphia, PA	Speaker at Education Seminar	hotel (direct billed) and airfare reimbursement \$179
3.	American Conference Institute	Dec 6-7, 2011	New York, NY	Speaker at Education Seminar	hotel (direct billed) and half of airfare \$471
4.	Dispute Resolution Institute	Dec 8-9, 2011	Philadelphia, PA	Speaker at Education Seminar	hotel (direct billed) and half of airfare \$628
5.					

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. First Clover Leaf Bank checking acct	B	Interest	L	T					
2. Bank of Edwardsville Checking account	A	Interest	J	T	Open	01/03/11			
3. IRA Account Pershing IRA Account	D	Dividend	M	T					assets listed below
4. - (IRA) Jarden Corp Sr Sub Nt 7.5% 5/1/17									
5. - (IRA) First Horizon Natl Corp									
6. - (IRA) First Horizon Natl Corp					Spinoff (from line 5)	01/03/11	J		dividd pd in fractional sh
7. - (IRA) Fractional Kinder Morgan Mgmt					Spinoff (from line 10)	02/14/11	J		dividd pd in fractional sh
8. - (IRA) Fractional Kinder Morgan Mgmt					Spinoff (from line 10)	05/13/11	J		no Svalue until fraction=1
9. - (IRA) Fractional Kinder Morgan Mgmt					Spinoff (from line 10)	08/12/11	J		dividd pd in fractional sh
10. - (IRA) Kinder Morgan Mgmt									
11. - (IRA) Ebay Inc Com					Buy	02/23/11	K		
12. - (IRA) Ebay Inc Com					Buy (add'l)	03/04/11	K		
13. - (IRA) MicroSoft Corp					Sold (part)	02/23/11	K		
14. - (IRA) MicroSoft Corp					Sold	06/16/11	J		
15. - (IRA) ProShares UltraShort Lehman 20+ TBT					Sold	09/23/11	J		
16. - (IRA) Omnicom Group Inc									
17. - (IRA) TransOcean LTD					Sold	11/03/11	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 \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

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18. - (IRA) Annaly Cap Mgmt Inc REIT					Buy (add'l)	03/01/11	J		
19. - (IRA) Pershing Prime Money Market					Closed	06/23/11	J		exchanged Pershing MM for
20. - (IRA) Dreyfus Treasury Prime MM					Open	06/23/11	J		Dreyfus Treasury Prime MM
21. TRUST #1 Pershing Brokerage Account	G	Int./Div.	P1	T					trust assets listed below
22. - General MNY MKT Account					Closed	06/23/11	J		exchanged eneral MNY MKT
23. - Dreyfus Treasury Prime Inv MM					Open	06/23/11	J		for Dreyfus Treasury MM
24. - Fed Home Loan Bks Step up PY 2021 9/23/11					Buy	08/31/11	L		
25. - Fed Natl Mtg Assn Med Term Notes 1%					Buy	06/02/11	L		see below for redemption
26. - Fed Natl Mtg Assn Med Term Notes 1%					Redeemed	08/23/11	L	A	in same period
27. - Lower Colo River Auth Trans 5/15/2011 5.25%					Redeemed	05/16/11	M		
28. - Puerto Rico Mun Fin Agy G/O 8/1/2011					Redeemed	08/01/11	M		
29. - Austin Tex G/O Pub Impt 8/15/01 5%					Redeemed	12/05/11	M		
30. - Jackson Cnty Mo Spl Oblig Truman Sports									
31. - Deschutes Cnty Ore Sch Dist 5.25%									
32. - State Pub Sch Bldg Auth PA Sch Rev 5.25%					Buy	08/16/11	M		
33. - West Chester PA Area Sch Dist Ser A 5% 3/1/06					Buy	04/06/11	L		
34. - Cook Cnty ILL G/O Rfdg-Ser 5.25%									

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -Houston Tex Util Sys Rev Rfdg Comb First					Buy	01/06/11	M		
36. - Connecticut St Ser C 5% 11/1/21 B/E									
37. - Hampton VA Pub Impt-Ser A Fgic-Mbia 5%									
38. - Indiana Univ Revs Student Fee Ser S 5% 2/21/08					Buy	08/29/11	M		
39. - Metropolitan Govt Nashville Davidson 5% 4/24/07									
40. - Metropolitan Govt Nashville Davidson 5% 3/12/08					Buy	08/31/11	L		
41. - Chicago ILL Sales Tax Rev Sale 5%									
42. - Virginia St Res Auth Clean Wtr 6/13/04 5%									
43. - Humble Tex Indpt Sch Dist Sch Bldg 5% 2/1/06					Buy	12/07/11	M		
44. - Victoria Tex Indpt Sch Dist Sch Bldg 5% 6/15/07					Buy	01/24/11	M		
45. - Missouri St Brd Pub Bldgs Spl Oblg 4.5%									
46. -North Carolina St Pub Impt Ser A 5% 4/14/10					Buy	01/25/11	L		
47. - Dallas Tex Wtrwks Swr Sys rev Rfdg Impt 5% 4/1/06					Buy	01/10/11	M		
48. - Union Planters Corp Sub NT 7.75%					Matured	03/01/11	K		
49. - Marriott Intl Inc 6/14/06 6.2%					Sold	02/15/11	K	C	
50. - Morgan Stanley Sr NTS 5.75%					Sold	03/14/11	K	C	
51. - Sally Hldgs LLC/Sally cap inc sr sub 10.5%					Buy	08/22/11	M		see below for redemption

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Sally Hldgs LLC/Sally cap inc sr sub 10.5%					Redeemed	12/05/11	M		in same period
53. - Jarden Corp SR Sub Nt 7.5%									
54. - Southwestern Energy Co Med Term Notes 7.125%									
55. - Accenture PLC Ireland Shs Cl A ACN					Sold (part)	01/11/11	J	C	
56. - Accenture PLC Ireland Shs Cl A ACN					Sold (part)	09/30/11	J	C	
57. - American Tower Corp									
58. - Apple Inc									
59. - Automatic Data Processing Inc Com					Sold	08/03/11	K	B	
60. - Bank of America Corp									
61. - BoozAllen Hamilton Hldg Corp Cl A					Buy (add'l)	06/07/11	K		
62. - Chesapeake Energy Corp					Sold (part)	02/11/11	J		
63. - Chesapeake Energy Corp					Sold (part)	03/01/11	K	C	
64. - Church & Dwight Co Inc					Sold (part)	10/18/11	K	D	stock split 06/07/11
65. - Colgate Palmolive Co									
66. - Walt Disney Co Holding Co					Sold (part)	01/11/11	J	C	
67. - Walt Disney Co Holding Co					Sold	08/08/11	K	D	
68. - EMC Corp (Mass) Com					Buy	04/18/11	K		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. - EMC Corp (Mass) Com					Buy (add'l)	06/16/11	J		
70. - EMC Corp (Mass) Com					Buy (add'l)	09/30/11	J		
71. - Energy Transfer Partners L.P.									
72. - Enterprise Products Partners L.P.									
73. - Honeywell Intl Inc					Sold (part)	01/11/11	J	B	
74. - IShares Trust MSCI Emerging Markets Index EEM									
75. - JPMorgan Chase & Co					Sold	08/08/11	K		
76. - Jarden Corp Com					Buy	06/23/11	J		
77. - Jarden Corp Com					Buy (add'l)	07/28/11	J		
78. - Kinder Morgan Energy Partners									
79. - Lowes Companies Inc									
80. - Markwest Energy Partners L.P.									
81. - McGraw Hill Companies					Sold	06/17/11	J		
82. - Microsoft Corp					Sold (part)	02/11/11	K		
83. - Microsoft Corp					Sold	06/16/11	J		
84. - Newell Rubbermaid Inc Com					Buy (add'l)	09/30/11	J		
85. - Plains All American Pipeline L.P.									

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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86. - Proshares UltraShort Lehman 20+ yr TBT					Sold	09/23/11	J		
87. - Schlumberger LTD									
88. - Target Corp					Sold	03/07/11	K	C	
89. - TransOcean LTD					Sold	02/11/11	K		
90. - Thermo Fisher Scientific Inc					Sold	08/05/11	K	D	
91. - Vale S A Spons ADR					Sold	08/05/11	K		
92. - Verizon Communications Com					Buy	08/18/11	K		
93. - Waters Corp Com					Buy	01/24/11	J		
94. - Waters Corp Com					Buy (add'l)	01/25/11	K		
95. - Williams Partners L.P.									
96. - Annaly Cap Mgmt Inc Com					Buy	11/02/11	K		
97. - GreenHaven Continuous Commodity Index Fd					Buy	02/10/11	K		
98. - SPDR GOLD Tr Gold Shs					Buy	03/01/11	K		
99. - SPDR GOLD Tr Gold Shs					Buy (add'l)	08/03/11	K		
100. TRUST #2 Pershing Brokerage Account	C	Int./Div.	M	T					trust assets listed below
101. -General MNY MKT Account					Closed	06/23/11	J		exchanged Pershing MM for
102. -Drefus Treasury Prime MM					Open	06/23/11	J		Dreyfus Treasury Prime MM

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103. -Accenture PLC Ireland Sh Cl A					Sold (part)	09/30/11	J	B	
104. -American Tower Corp									
105. -Apple Inc									
106. -Automatic Data Processing Inc Com					Sold	08/03/11	J	A	
107. -Bank of America Corp									
108. -Booz Allen Hamilton Hldg Corp Cl A					Buy (add'l)	06/07/11	J		
109. -Chesapeake Energy Corp					Sold (part)	03/01/11	K		
110. -Church & Dwight Co Inc					Sold (part)	10/18/11	J	A	stock split 6/7/11
111. -Colgate Palmolive Co									
112. -Walt Disney Co Holding Co					Sold	08/08/11	J	B	
113. -EMC Corp (Mass) Com					Buy	04/18/11	J		
114. -EMC Corp (Mass) Com					Buy (add'l)	06/16/11	J		
115. -EMC Corp (Mass) Com					Buy (add'l)	09/30/11	J		
116. -Ebay Inc Com					Buy	02/23/11	J		
117. -Ebay Inc Com					Buy (add'l)	03/04/11	J		
118. -Honeywell Intl Inc									
119. -ALPS ETF Tr Alerian Mlp Etf					Sold	11/16/11	J		

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

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Herndon, David R.

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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. -GreenHaven Continuous Index Fd					Buy	01/03/11	K		
121. -GreenHaven Continuous Index Fd					Buy (add'l)	02/09/11	J		see below for sale in same
122. -GreenHaven Continuous Index Fd					Sold	11/16/11	K		period.
123. -Ishares Tr Barclays TIPS Bd Fd TIP					Sold	08/11/11	J	B	
124. -Ishares Trust MSCI Emerging Markets Fd EEM					Sold (part)	11/16/11	J	C	
125. -Ishares Tr FTSE Xinhua China 25 Index Fd FXI					Sold	02/09/11	J		
126. -Ishares Tr S&P Midcap 400 Value Index Fund					Buy (add'l)	01/03/11	K		
127. -Ishares Tr S&P Midcap 400 Value Index Fund					Sold	11/16/11	K		
128. -SPDR Gold Tr Gold Shs					Buy	08/03/11	J		
129. -JPMorgan Chase & Co					Sold	08/08/11	J		
130. -Jarden Corp Com					Buy	06/23/11	J		
131. -Jarden Corp Com					Buy (add'l)	07/28/11	J		
132. -Kinder Morgan Energy Partners LTD partnership									
133. -Lowes Companies Inc									
134. -McGraw Hill Companies					Sold	06/17/11	J		
135. -Microsoft Corp					Sold (part)	02/23/11	J		
136. -Microsoft Corp					Sold	06/16/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. -Newell Rubbermaid Inc Com					Buy (add'l)	09/30/11	J		
138. -ProShares UltraShort Lehman20+ year TBT					Sold	09/23/11	J		
139. -Omnicom Group Inc									
140. -Schlumberger LTD									
141. -Target Corp					Sold	03/07/11	J	A	
142. -TransOcean LTD					Sold	11/03/11	J		
143. -Thermo Fisher Scientific Inc					Sold	08/05/11	J	B	
144. -Vale S A Spons ADR					Sold	08/05/11	J		
145. -Verizon Communications Com					Buy	08/18/11	J		
146. -Waters Corp Com					Buy	01/24/11	J		
147. -Waters Corp Com					Buy	01/25/11	J		
148. -WisdomTree Trust DOO					Sold	01/03/11	K		
149. -Annaly Cap Mgmt Inc Com REIT					Buy	08/24/11	J		
150. TRUST #3 Pershing Brokerage Account	D	Int./Div.	N	T					trust assets listed below
151. -General MNY MKT Account					Closed	06/23/11	J		exchanged General MNY MKT
152. -Dreyfus Treasury Prime Money Market					Open	06/23/11	J		for Dreyfus Treasury Prime
153. -American Tower Corp Cl A									

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. -Accenture PLC Ireland Shs Cl A					Sold (part)	09/30/11	J	C	
155. -Apple Inc									
156. -Automatic Data Processing Inc Com					Sold	08/03/11	J	A	
157. -Bank of America Corp									
158. -Booz Allen Hamilton Hldg Corp Cl A					Buy (add'l)	06/07/11	J		
159. -Chesapeake Energy Corp									
160. -Church & Dwight Co Inc					Sold (part)	10/18/11	J	B	stock split 06/07/11
161. -Colgate Palmolive Co									
162. -Walt Disney Co Holding Co					Sold	08/08/11	J	B	
163. -EMC Corp (Mass) Com					Buy	04/18/11	J		
164. -EMC Corp (Mass) Com					Buy (add'l)	06/16/11	J		
165. -EMC Corp (Mass) Com					Buy (add'l)	09/30/11	J		
166. -Ebay Inc Com					Buy	02/23/11	J		
167. -Ebay Inc Com					Buy (add'l)	03/04/11	J		
168. -Honeywell Intl Inc									
169. -ALPS ETF Tr Alerian Mlp Etf					Buy (add'l)	01/05/11	K		
170. -GreenHaven Continuous Commodity Index Fd					Buy	02/09/11	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 \$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)
171. -Ishares Tr Barclays TIPS BD Fd					Sold	08/11/11	K	B	
172. -Ishares Trust MSCI Emerging Markets Index EEM									
173. -Ishares Tr FTSE Xinhua Hk China 25 Index Fd FXI					Sold	02/09/11	J	B	
174. -Ishares Tr S&P Midcap 400 Value Index Fd					Buy (add'l)	01/05/11	K		
175. -Ishares Tr S&P Midcap 400 Value Index Fd					Sold (part)	11/16/11	K		
176. -JPMorgan Chase & Co					Sold	08/08/11	J		
177. -Jarden Corp Com					Buy	06/23/11	J		
178. -Jarden Corp Com					Buy (add'l)	07/28/11	J		
179. -Kinder Morgan Energy Partners LP									
180. -Lowes Companies Inc									
181. -McGraw Hill Companies					Sold	06/17/11	J		
182. -MicroSoft Corp					Sold (part)	02/23/11	J		
183. -MicroSoft Corp					Sold	06/16/11	J		
184. -Newell Rubbermaid Inc Com					Buy (add'l)	09/30/11	J		
185. -ProShares UltraShort Lehman 20+ year TBT					Sold	09/23/11	J		
186. -SPDR Gold Tr Gold Shs					Buy	08/03/11	J		
187. -Omnicom Group Inc									

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. -Schlumberger LTD									
189. -Target Corp					Sold	03/07/11	J	A	
190. -TransOcean LTD					Sold	11/03/11	J		
191. -Thermo Fisher Scientific Inc					Sold	08/05/11	J	B	
192. -Vale S A Spons ADR					Sold	08/05/11	J		
193. -Verizon Communications Com					Buy	08/18/11	J		
194. -Waters Corp Com					Buy	01/24/11	J		
195. -Waters Corp Com					Buy (add'l)	01/25/11	J		
196. -WisdomTree Trust DOO					Sold	01/05/11	K	A	
197. -Annaly Cap Mgmt Inc Com					Buy	08/24/11	J		
198. TRUST #4 Pershing Brokerage Account	C	Int./Div.	M	T					trust assets listed below
199. -General MNY MKT Account					Closed	06/23/11	K		exchanged General MNY MKT
200. -Dreyfus Treasury Prime Inv Sh MM					Open	06/23/11	K		for Dreyfus Treasury MM
201. -ALPS Etf Tr Alerian MLP Etr					Sold (part)	01/03/11	J		
202. -Claymore BNY Bric Exchange Traded Fd					Sold	01/03/11	J		
203. -Claymore Exchange Traded Fd Guggenheim					Buy	03/02/11	J		
204. -GreenHaven Continuous Commodity Index Fd					Buy	01/03/11	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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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)
205. -iShares Barclays TIPS Bd Fd					Sold	03/02/11	J	A	
206. -iShares Trust Dow Jones US Telecom IYZ					Sold	01/03/11	J	A	
207. -iShares Trust MSCI Emerging Markets Index fd EEM					Sold	01/03/11	J	C	
208. -iShares Trust MSCI Emerging Markets Index fd EEM					Buy	03/02/11	K		
209. -iShares Tr Russell Midcap Growth Index Fd					Buy	01/03/11	J		see below for sale in same
210. -iShares Tr Russell Midcap Growth Index Fd					Sold	03/02/11	J	A	period
211. -iShares Tr Russell 2000 Growth Index Fd IWO					Buy	01/03/11	K		see below for sale in same
212. -iShares Tr Russell 2000 Growth Index Fd IWO					Sold	03/02/11	K	A	period
213. -iShares Tr S&P Midcap 400 Value Index					Buy (add'l)	01/03/11	K		
214. -iShares Tr S&P Midcap 400 Value Index					Buy (add'l)	03/02/11	J		
215. -iShares Tr S&P Midcap 400 Value Index					Buy (add'l)	08/15/11	J		
216. -iShares Tr FTSE Xinhua HK China 25 Index FXI					Sold	01/04/11	J	A	
217. -Select Sector SPDR Amex Utilities Select XLU					Sold	01/3/11	J	A	
218. -Sector SPDR Trust Industrial XLI					Sold	01/03/11	J	B	
219. -Sector SPDR Trust Technology XLK					Sold	01/03/11	K	C	
220. -Sector SPDR Financial XLF					Sold	01/03/11	K		
221. -Select Sector SPDR Trust Energy XLE					Sold	01/03/11	J	C	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) 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)
222. -Select Sector SPDR Consumer Discret XLY					Sold	01/03/11	K	C	
223. -Select Sector SPDR Tr Health Care XLV					Sold	01/03/11	J	A	
224. -Select SPRD Trust Consumer Staples XLP					Sold	01/03/11	J	B	
225. -Select Sector SPDR Int Materials XLB					Sold	01/03/11	J	A	
226. -Powershares QQQ Tr Unit Ser 1					Buy	08/15/11	J		
227. -SPDR GOLD Tr Gold Shs					Buy	01/03/11	K		
228. -SPDR GOLD Tr Gold Shs					Sold (part)	03/02/11	J	A	
229. -SPDR S&P Midcap 400 ETF Tr Unit Ser 1					Buy	03/02/11	L		
230. -Vanguard Intl Equity Index Fd Inc FTSE					Buy	01/03/11	K		see below for sale in same
231. -Vanguard Intl Equity Index Fd Inc FTSE					Sold	03/02/11	K	A	period
232. -Vanguard Intl Equity Index Fd Inc Emerg Mkts					Buy	01/03/11	K		see below for sale in same
233. -Vanguard Intl Equity Index Fd Inc Emerg Mkts					Sold	03/02/11	K		period
234. -WisdomTree Trust Top 100 Fd DOO					Sold	01/03/11	J		
235. TRUST #5 Pershing Brokerage Account	B	Int./Div.	M	T					trust assets listed below
236. -General MNY MKT Account					Closed	06/23/11	J		exchanged General MNY MKT
237. -Dreyfus Treasury Prime Inv MM					Open	06/23/11	J		for Dreyfus Treasury MM
238. -ALPS Etf Tr Alerian MLP Etf					Buy (add'l)	01/03/11	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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

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

239. -Claymore BNY Bric Exchange Traded Fd					Sold	01/03/11	J		
240. -Claymore Exchange Traded Fd Guggenheim					Buy	03/02/11	J		
241. -GreenHaven Continuous Com Index Fd					Buy	01/03/11	J		
242. -iShares Tr Barclays TIPS Bd Fd					Sold	03/02/11	J	A	
243. -iShares Trust Dow Jones US Telecomm Sector IYZ					Sold	01/03/11	J		
244. -iShares Trust MSCI Emerging Markets Index Fd EEM					Sold	01/03/11	J	B	
245. -iShares Trust MSCI Emerging Markets Index Fd EEM					Buy	03/02/11	J		
246. -iShares Tr Russell Midcap Growth Index					Buy	01/03/11	J		see below for sale in same
247. -iShares Tr Russell Midcap Growth Index					Sold	03/02/11	J	A	period.
248. -iShares Tr Russell 2000 Growth Index Fd					Buy	01/03/11	J		see below for sale in same
249. -iShares Tr Russell 2000 Growth Index Fd					Sold	03/02/11	J	A	period.
250. -iShares Tr S&P Midcap 400 Value					Buy (add'l)	01/03/11	K		
251. -iShares Tr S&P Midcap 400 Value					Buy (add'l)	03/02/11	J		
252. -iShares Tr S&P Midcap 400 Value					Buy (add'l)	08/15/11	J		
253. -iShares Tr FTSE Xinhua HK China 25 Index FXI					Sold	01/04/11	J	A	
254. -Select Sector SPDR Amex Utilities XLU					Sold	01/03/11	J		
255. -Sector SPDR Trust Shs ben int Industrial XLI					Sold	01/03/11	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)
256. -Sector SPDR Trust Shs ben int Technology XLK					Sold	01/03/11	J	B	
257. -Sector SPDR Trust Financial XLF					Sold	01/03/11	J		
258. -Select Sector SPDR Trust Shs ben int Energy XLE					Sold	01/03/11	J	A	
259. -Select Sector SPDR Fund Consumer Discretionary XLY					Sold	01/03/11	J	B	
260. -Select Sector SPDR Fd Health Care XLV					Sold	01/03/11	J		
261. -Sector SPDR Trust Consumer Staples XLP					Sold	01/03/11	J	A	
262. -Select Sector SPDR Fd Materials XLB					Sold	01/03/11	J	A	
263. -Powershares QQQ Tr Unit Ser 1					Buy	08/15/11	J		
264. -SPDR GOLD Tr Gold Shs					Buy	01/03/11	J		
265. -SPDR GOLD Tr Gold Shs					Sold (part)	03/02/11	J	A	
266. -SPDR S&P Midcap 400 ETF Tr Unit Ser 1					Buy	03/02/11	K		
267. -Vanguard Intl Equity Index Fd Inc FTSE VEU					Buy	01/03/11	J		see below for sale in same
268. -Vanguard Intl Equity Index Fd Inc FTSE VEU					Sold	03/02/11	J	A	period.
269. -Vanguard Intl Equity Index Fd Emerging Mkts VWO					Buy	01/03/11	J		see below for sale in same
270. -Vanguard Intl Equity Index Fd Emerging Mkts VWO					Sold	03/02/11	J		period.
271. -WisdomTree Trust Intl Div 100 Fd DOO					Sold	01/03/11	J		
272. Trust #6 Pershing Brokerage Account	A	Int./Div.	L	T					trust assets listed below

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. -General MNY MKT Account					Closed	06/23/11	J		exchanged General MNY MKT
274. -Dreyfus Treasury Prime Inv MM					Open	06/23/11	J		for Dreyfus Treasury MM
275. -ALPS Etr Tr Alerian MLP Etf					Buy (add'l)	01/03/11	J		
276. -Claymore BNY Bric Exchange Traded Fd					Sold	01/3/11	J		
277. -Claymore Exchange Traded Fd Guggenheim					Buy	03/02/11	J		
278. -GreenHaven Continuous Commodity Index Fd					Buy	01/03/11	J		
279. -Ishares Trust MSCI Emerging Markets Index EEM					Sold	01/03/11	J	A	
280. -Ishares Trust MSCI Emerging Markets Index EEM					Buy	03/02/11	J		
281. -Ishares Tr FTSE Xinhua HK China 25 Index Fd FXI					Sold	01/04/11	J	A	
282. -Ishares Tr Russell Midcap Growth Index Fd					Buy	01/03/11	J		see below for sale in same
283. -Ishares Tr Russell Midcap Growth Index Fd					Sold	03/02/11	J	A	period
284. -Ishares Tr Russell 2000 Growth Index Fd					Buy	01/03/11	J		see below for sale in same
285. -Ishares Tr Russell 2000 Growth Index Fd					Sold	03/02/11	J	A	period.
286. -Ishares Tr S&P MidCap 400 Value					Buy (add'l)	01/03/11	J		
287. -Ishares Tr S&P MidCap 400 Value					Buy (add'l)	08/15/11	J		
288. -PowerShares QQQ Tr Unit Ser 1					Buy	08/15/11	J		
289. -SPDR GOLD Tr Gold Shs					Buy	01/03/11	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. -SPDR GOLD Tr Gold Shs					Sold (part)	03/02/11	J		
291. -SPDR S&P MidCap 400 ETF Tr Unit Ser I					Buy	03/02/11	J		
292. -Vanguard Intl Equity Index Fd Inc FTSE					Buy	01/03/11	J		see below for sale in same
293. -Vanguard Intl Equity Index Fd Inc FTSE					Sold	03/02/11	J	A	period.
294. -Vanguard Intl Equity Index Fds Emerging Mkts					Buy	01/03/11	J		see below for sale in same
295. -Vanguard Intl Equity Index Fds Emerging Mkts					Sold	03/02/11	J		period.
296. -Standard & Poors Depository Receipts SPDRS SPY					Sold	01/03/11	K		
297. -WisdomTree Tr Intl Divid Ex Finls Fd					Sold	01/03/11	J	A	
298.									

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

General Money Market Account changed to Dreyfus Treasury Prime Inv Money Market Account

IRA account summarized on line 19-20

Trust #1 on line 22-23

Trust #2 on line 101-102

Trust #3 on line 151-152

Trust #4 on line 199-200

Trust #5 on line 236-237

Trust #6 on line 273-274

Lines 20, 23, 102, 152, 200, 237, 274 Dreyfus Treasury Prime Inv Money Market Account was used as a vehicle to hold cash equivalent assets for purchase of other investments and to place sale proceeds pending other investments. Consequently, money moved in and out of these accounts with great frequency and no attempt was made to distinguish each transaction unless specifically requested.

Line 6 fractional shares of First Horizon National Corp: Instead of paying cash dividends, First Horizon issued fractional shares of stock. The fractional shares have no monetary value and no market until they accumulate to equal a full share

Lines 7-9 fractional shares of Kinder Morgan Mgmt: Instead of paying cash dividends, Kinder Morgan issued fractional shares of stock. The fractional shares have no monetary value and no market until they accumulate to equal a full share.

All trust assets are accounted for herein. According to your instructions, the aggregate income and values were reported on lines 21, 100, 150, 198, 235 and 272. Identification of the trusts was omitted for security purposes, but will be provided if requested. Naturally, the records of each individual trust are available for the committee's inspection upon request.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **David R. Herndon**

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
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Washington, D.C. 20544