

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) Moody, James M.	2. Court or Organization USDC, Eastern Division	3. Date of Report 08/02/2012
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 West Capitol Suite C-446 Little Rock, AR 72201-3396		
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-Part VII Line 45
2. Trustee	Trust #2-Part VII Line 67
3. Trustee	Trust #3-Part VII Line 100,line 108
4. Trustee	Trust #4-Part VII Line 131
5.	

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.				
2.				
3.				
4.				
5.				

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

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

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

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
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. One Bank NA-Account	A	Interest	L	T					
2. Bank Of America NA-Account	A	Interest	J	T					
3. Regions Bank NA-Account	A	Interest	J	T					
4. Telco Federal Credit Union-Account	A	Interest	J	T					
5. Regions Bank/Morgan Keegan (IRA)- Account	B	Int./Div.	K	T					
6. Vanguard Growth Index Fund (IRA)	A	Dividend			Sold	09/26/11	L	C	
7. Fidelity Growth Strategies Fund N/L- FDEGX (IRA)	A	Dividend			Sold	09/22/11	J	A	
8. Activision Blizzard Inc-ATV-(IRA)	A	Dividend			Sold	09/22/11	J	A	
9. Goldman Sachs Bank-Account (IRA)	A	Interest			Closed	09/22/11	J	A	
10. BH & M Oil Comm Stock	B	Dividend	J	T					
11. Putnam Amer Growth & Income	A	Dividend			Sold	02/17/11	J	A	
12. Amer Funds AMCAP Fund	A	Dividend			Sold	02/17/11	J	A	
13. Janus Global Tech Fund	A	Dividend			Sold	02/17/11	J	A	
14. Raymond James Bank FSB-Account	A	Int./Div.			Closed	02/17/11	J		
15. Header 1-1									
16. Ishares Inc MSCI Australia-EWA	A	Int./Div.			Sold	02/17/11	J		
17. Ishares Inc MSCI CDA Index-EWC	A	Int./Div.			Sold	02/17/11	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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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☐ 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				
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18. Ishares TR MSCI Emerg Mkt-EEM	A	Int./Div.			Sold	09/22/11	K		
19. Ishares Tr Barclays 1-3 yr-SHY	A	Int./Div.			Sold	09/22/11	J		
20. IShares TR MSCI EAFE IDX-EFA	A	Int./Div.			Sold	09/22/11	K		
21. IShares TR Russell 1000VAL-IWD	A	Int./Div.			Sold	09/22/11	K		
22. Ishares TR Rusell MCP GR-IWP	A	Int./Div.			Sold	09/22/11	K		
23. IShares TR S&P MC 400 GRW-IJK	A	Int./Div.			Sold	09/22/11	K		
24. IShares TR Russell 1000GRW-IWF	A	Int./Div.			Sold	09/22/11	J		
25. Ishares TR Rusl 2000 Value-IWN	A	Int./Div.			Sold	09/22/11	K		
26. IShares TR Russell 2000 Growth-IWO	A	Int./Div.			Sold	09/22/11	J		
27. IShares TR S&P Midcap Value-IJJ	A	Int./Div.			Sold	09/22/11	K		
28. IShares TR S&P SMLCP Grow-IJT	A	Int./Div.			Sold	09/22/11	M		
29. Ishares TR Barclays 1-3 yr-CSJ	A	Int./Div.			Sold	09/22/11	M		
30. Ishares Barclay 1-3 year-Lot 1-SHY	A	Int./Div.			Sold	09/22/11	M		
31. Goldman Sachs Bank,USA-Account(X)	A	Interest	J	T					
32. Raymond James Bank, FSB-Account(X)	A	Interest	J	T					
33. First Trust ETF II Consumer Discretionary (FXD)	A	Dividend	L	T	Buy	12/13/11	L		
34. First Trust ETF II Consumer Staples (FXG)	A	Dividend	L	T	Buy	09/22/11	L		

- | | | | | | |
|--|---|--|---|---|-------------------------|
| 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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☐ 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. First Trust ETF II Utilities(FXU)	A	Dividend	L	T	Buy	09/22/11	L		
36. First Trust Exchange Alphasdex (FDT)	A	Dividend	K	T	Buy	09/22/11	K		
37. First Trust Exchange Alphasdex Emerging(FEM)	A	Dividend	K	T	Buy	09/22/11	K		
38. Ishares TR Iboxx Inv CPBD (LQD)	A	Dividend	L	T	Buy	09/22/11	L		
39. Isahres Barclays 7-10 YR (IEF)	A	Dividend	L	T	Buy	09/22/11	L		
40. Ishares TR DJ US Real Est (IYR)	A	Dividend	K	T	Buy	09/22/11	K		
41. Ishares TR S&P NTL Amtfree (MUB)	A	Dividend	L	T	Buy	09/22/11	L		
42. Ishares TR Barclays MBS BD (MBB)	A	Dividend	L	T	Buy	09/22/11	L		
43. SPDR Gold Tr Fgold Shs (GLD)	A	Dividend	K	T	Buy	09/22/11	K		
44. SPDR Barclays Capital 1-3 Month Tbill (BIL)	A	Dividend	L	T	Buy	09/22/11	L		
45. Header 1-2									
46. Muni Cash Trust(X)	A	Interest	L	T					
47. Batesville Ar School Dist 001 RFDG & Const	A	Interest	L	T					
48. Greene County AR Housing	B	Interest			Redeemed	09/01/11	K	A	
49. UA Fayetvl Var Fac	B	Interest	K	T					
50. Sprindale Ar Sch DIst #50	B	Interest			Redeemed	08/01/11	L	A	
51. Springdale AR SD050	C	Interest			Redeemed	08/01/11	L	A	

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

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52. Conway AR Pub Fac Bd Cap Improvements Rev Ref Hendrix	B	Interest	K	T					
53. Paragould AR Water & Sewer Rev B/E	C	Interest	L	T					
54. AR St R Fdg Water Waste Disp & Poll CB/ E	B	Interest	K	T					
55. AR St Univ Rev Hsg Sys FGIC B/E	C	Interest	L	T					
56. NLR Hlth Fac Board Hlth Care RV Ref Baptist Hth B/E	B	Interest	K	T					
57. FOrt Smith AR Water & Sewer Rev Ser C FSA B/E	B	Interest	K	T					
58. AR State High Ed Ser B	B	Interest	K	T					
59. Univ of Ark Univ Rev Var Fac Fytville Campus A B/E FGIC	B	Interest	L	T					
60. Arkadeplhia AR Pub Ed Facs Rev Ouachita Baptst Univ B/E	C	Interest	L	T					
61. Rogers AR Sewere Imprvt Ambac B/E	C	Interest	L	T					
62. Russelleville AR School	B	Interest	K	T					
63. Bryant AR School	C	Int./Div.	L	T					
64. Paris AR School	C	Interest	L	T					
65. Clinton Ar School-#187329JG3	C	Interest	L	T	Buy	11/04/11	L		
66. Pulaksi Tech-#745601GW8	C	Interest	L	T	Buy	11/09/11	L		
67. Header 1-3									
68. First Southwest Prime Funds	A	Int./Div.	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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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☐ 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)
69. Aloca Inc.	A	Int./Div.	J	T					
70. Banco Bilbao Vizcaya	A	Int./Div.	J	T					
71. Bank of America Corp	A	Int./Div.	J	T					
72. Berkshire Hathaway, Inc. *	A	Int./Div.	J	T					
73. BP Amoco Spons ADR-BP	A	Int./Div.	K	T					
74. Costco	A	Int./Div.			Sold	02/08/11	J	D	
75. Contax Participacoes SA-CTXNY (X)	A	Int./Div.	J	T					
76. FISERV, Inc.	A	Int./Div.	K	T					
77. GlaxoSmithKline	A	Int./Div.	K	T					
78. Hospitality Partners Trust-HPT	B	Int./Div.	K	T					
79. International Paper Co	A	Int./Div.			Sold	01/24/11	J	B	
80. Lexmark Int Group	A	Int./Div.	J	T					
81. MGIC Investment Corp	A	Int./Div.	J	T					
82. Markel Corp	A	Int./Div.	J	T					
83. Microsoft Corp	A	Int./Div.	J	T					
84. Motors Liquidation-MTLQQ (X)	A	Int./Div.			Redeemed	12/31/11	J	A	
85. PNC Financial Svcs Grp	A	Int./Div.	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
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R = Cost (Real Estate Only)
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S = Assessment
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86. Petroleo BRasilerio, SA	A	Int./Div.	J	T					
87. Pfizer	A	Int./Div.	J	T					
88. Public Service Enterprise	A	Int./Div.	K	T					
89. Spectra Energy	A	Int./Div.	K	T					
90. Tawain Semiconductor Mfg	A	Int./Div.			Sold	02/22/11	J	B	
91. Banco Santander SA-STD	A	Int./Div.	J	T					
92. Telefonica de espana SA	B	Int./Div.	K	T					
93. Telefonos de Mexico	A	Int./Div.	J	T					
94. Tim Particiacoes	A	Int./Div.	J	T					
95. Thornburg Income Builder CL C-TIBCX	A	Int./Div.	M	T					
96. IShares MSCI Japan Index Fund -EWJ	A	Int./Div.			Sold	03/14/11	J	A	
97. Oppenheimer GLobal CL C	A	Int./Div.	M	T					
98. Plains Capital Bank-cash (X)	A	Int./Div.	J	T					
99. Vector Group (VGR)	A	Dividend	K	T	Buy	03/17/11	K		
100. Header 1-4									
101. Raymond James Bank,FSB-Account(X)	A	Interest	J	T					
102. Morgan Stanley Com Stock	A	Dividend	J	T					

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

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103. Wal-Mart Stores Com Stock	B	Dividend	K	T					
104. Discover Fiancial Svc	A	Dividend	J	T					
105. APPLE INCORPORATED (AAPL)	A	Dividend	K	T	Buy	04/21/11	K		
106. TOYOTA MOTOR CORP TM	A	Dividend	K	T	Buy	04/21/11	K		
107. VERIZON COMMUNICATIONS INCORPORATED (VZ)	A	Dividend	J	T	Buy	04/21/11	J		
108. Header 1-5									
109. Russellville AR School Dist Constr CFG	B	Interest	K	T					
110. LR AR School District Ser B	C	Interest	L	T					
111. Fort Smith AR Water & Sewer Rev Ser C	A	Interest	K	T					
112. General MOtors Corp NOte	A	Interest	K	T					
113. Muni Cash Trust Funds	A	Interest	K	T					
114. Roger AR School	C	Interest	L	T					
115. General Motors Co (GM)	A	Dividend	J	T	Buy	04/21/11	J		
116. Conway Ar School Dist 5.04% #212597XP8	B	Interest	K	T	Buy	01/04/11	K		
117. Header 2-1									
118. Raymond James Bank, FSB	A	Interest	J	T					
119. First Horizon National CORp	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$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

Moody, James M.

Date of Report

08/02/2012

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)
120. SunTrust Banks	A	Dividend	J	T					
121. Header 2-2									
122. Raymond James Bank, FSB	A	Interest	J	T					
123. Fed Ex CORp	A	Dividend	L	T					
124. Intel	B	Dividend	L	T					
125. Qualcomm, Inc	A	Dividend	J	T					
126. Activision Blizzard, Inc.	A	Dividend	J	T					
127. Morgan Stanley	A	Dividend	J	T					
128. Apple Inc.-AAPL	A	Dividend	K	T					
129. Merck	A	Dividend	J	T					
130. Blackstone Group LP Comm Unit Ltd-BX	A	Distribution	J	T					
131. Header 2-3									
132. Raymond James Bank, FSB	A	Interest	J	T					
133. Cisco	A	Dividend	J	T					
134. Dell Computer	A	Dividend	J	T					
135. General Electric	A	Dividend	K	T					
136. Microsoft	A	Dividend	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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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Name of Person Reporting

Moody, James M.

Date of Report

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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. Discover Fincl Svcs	A	Dividend	J	T					
138. Chesapeake Energy Corp	A	Dividend	J	T					
139. Celgene Corp	A	Dividend	J	T					
140. Header 2-4									
141. Raymond James Bank, FSB	A	Int./Div.	J	T					
142. Goldman Sachs Bank, USA-Account(X)	C	Interest	M	T					
143. Evergreen Solar, Inc.	A	Dividend	J	T					
144. IDeal Holding Ltd	C	Dividend	K	T					
145. Mineral interest)-Lafayette County Arkansas (X)	C	Royalty	J	W					
146. Rental #1-Nashville TN	C	Rent	K	W					
147. ISHARES INC MSCI AUSTRALIA	A	Dividend			Sold	09/22/11	J	A	
148. ISHARES INC MSCI AUSTRALIA		None			Buy	02/17/11	J		
149. ISHARES INC MSCI CDA INDEX	A	Dividend			Sold	09/22/11	J	A	
150. ISHARES INC MSCI CDA INDEX		None			Buy	02/17/11	J		
151. ISHARES TR MSCI EMERG MKT	A	Dividend			Sold	09/22/11	J	A	
152. ISHARES TR MSCI EMERG MKT		None			Buy	02/17/11	J		
153. ISHARES TR MSCI EAFE INDEX	A	Dividend			Sold	09/22/11	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)

I=\$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

Moody, James M.

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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. ISHARES TR MSCI EAFE INDEX		None			Buy	02/17/11	J		
155. ISHARES TR RUSSELL MCP GR	A	Dividend			Sold	09/22/11	J	A	
156. ISHARES TR RUSSELL MCP GR		None			Buy	02/17/11	J		
157. ISHARES TR RUSSELL 1000VAL	A	Dividend			Sold	09/22/11	J	A	
158. ISHARES TR RUSSELL 1000VAL		None			Buy	02/17/11	J		
159. ISHARES TR S&P MC 400 GRW	A	Dividend			Sold	09/22/11	J	A	
160. ISHARES TR S&P MC 400 GRW		None			Buy	02/17/11	J		
161. ISHARES TR RUSSELL 1000GRW	A	Dividend			Sold	09/22/11	J	A	
162. ISHARES TR RUSSELL 1000GRW		None			Buy	02/17/11	J		
163. ISHARES TR RUSL 2000 VALU	A	Dividend			Sold	09/22/11	J	A	
164. ISHARES TR RUSL 2000 VALU		None			Buy	02/17/11	J		
165. ISHARES TR RUSL 2000 GROW	A	Dividend			Sold	09/22/11	J	A	
166. ISHARES TR RUSL 2000 GROW		None			Buy	02/17/11	J		
167. ISHARES TR S&P MIDCP VALU	A	Dividend			Sold	09/22/11	J	A	
168. ISHARES TR S&P MIDCP VALU		None			Buy	02/17/11	J		
169. ISHARES TR S&P SMLCP GROW	A	Dividend			Sold	09/22/11	J	A	
170. ISHARES TR S&P SMLCP GROW		None			Buy	02/17/11	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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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Name of Person Reporting

Moody, James M.

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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. FIRST TRUST HEALTH CARE ALPHADEX FD ETF	A	Dividend			Sold	10/03/11	L	A	
172. FIRST TRUST HEALTH CARE ALPHADEX FD ETF		None			Buy	09/22/11	L		
173. FIRST TRUST HEALTH CARE ALPHADEX FD ETF	A	Dividend			Sold	10/03/11	J	A	
174. FIRST TRUST HEALTH CARE ALPHADEX FD ETF		None			Buy	09/22/11	J		
175. FIRST TRUST ETF II UTILITIES ALPHADEX FUND ANNUAL	A	Dividend			Sold	10/03/11	J	A	
176. FIRST TRUST ETF II UTILITIES ALPHADEX FUND ANNUAL		None			Buy	09/22/11	J		
177. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS	A	Dividend			Sold	10/03/11	J	A	
178. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS		None			Buy	09/22/11	J		
179. ISHARES TR IBOXX INV CPBD	A	Dividend			Sold	10/03/11	J	A	
180. ISHARES TR IBOXX INV CPBD		None			Buy	09/22/11	J		
181. ISHARES TR BARCLYS 7-10 YR	A	Dividend			Sold	10/03/11	J	A	
182. ISHARES TR BARCLYS 7-10 YR		None			Buy	09/22/11	J		
183. ISHARES TR S&P NTL AMTFREE	A	Dividend			Sold	10/03/11	J	A	
184. ISHARES TR S&P NTL AMTFREE		None			Buy	09/22/11	J		
185. FIRST TR ET II CONSUMER STAPLES ALPHADEX	A	Dividend			Sold	10/11/11	J	A	
186. FIRST TR ET II CONSUMER STAPLES ALPHADEX		None			Buy	09/22/11	J		
187. FIRST TR ETF II UTILITIES ALPHADEX FUND ANNUAL	A	Dividend			Sold	10/11/11	J	A	

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

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Name of Person Reporting

Moody, James M.

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08/02/2012

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)
188. FIRST TR ETF II UTILITIES ALPHADEX FUND ANNUAL		None			Buy	09/22/11	J		
189. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS	A	Dividend			Sold	10/11/11	J	A	
190. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS		None			Buy	09/22/11	J		
191. ISHARES TR DJ US REAL EST	A	Dividend			Sold	10/11/11	J	A	
192. ISHARES TR DJ US REAL EST		None			Buy	09/22/11	J		
193. SPDR BARCLAYS CAPITAL 1-3 MONTH T-BILL	A	Dividend			Sold	10/11/11	K	A	
194. SPDR BARCLAYS CAPITAL 1-3 MONTH T-BILL		None			Buy	09/22/11	K		
195. FIRST TR ETF II CONSUMER STAPLES ALPHADEX	A	Dividend			Sold	10/25/11	J	A	
196. FIRST TR ETF II CONSUMER STAPLES ALPHADEX		None			Buy	09/22/11	J		
197. FIRST TR ETF II UTILITIES ALPHADEX FUND ANNUAL	A	Dividend			Sold	10/25/11	J	A	
198. FIRST TR ETF II UTILITIES ALPHADEX FUND ANNUAL		None			Buy	09/22/11	J		
199. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS	A	Dividend			Sold	10/25/11	J	A	
200. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS		None			Buy	09/22/11	J		
201. ISHARES TR IBOXX INV CPBD	A	Dividend			Sold	10/25/11	J	A	
202. ISHARES TR IBOXX INV CPBD		None			Buy	09/22/11	J		
203. ISHARES TR DJ US REAL EST	A	Dividend			Sold	10/25/11	J	A	
204. ISHARES TR DJ US REAL EST		None			Buy	09/22/11	J		

- | | | | | | |
|--|---|--|---|--|------------------------|
| 1. Income Gain Codes:
(See Columns B1 and D4) | A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000 | B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000 | C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000 | D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000 | E =\$15,001 - \$50,000 |
| 2. Value Codes
(See Columns C1 and D3) | Q =Appraisal
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| 3. Value Method Codes
(See Column C2) | | | | | |

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Name of Person Reporting

Moody, James M.

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08/02/2012

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)
205. SPDR GOLD TR GOLD SHS	A	Dividend			Sold	10/25/11	K	A	
206. SPDR GOLD TR GOLD SHS		None			Buy	10/11/11	K		
207. SPDR BARCLAYS CAPITAL 1-3 MONTH T-BILL	A	Dividend			Sold	10/25/11	K	A	
208. SPDR BARCLAYS CAPITAL 1-3 MONTH T-BILL		None			Buy	09/22/11	K		
209. FIRST TR EXCHG TRADED ALPHAD EX FD II EMERG MKTS	A	Dividend			Sold	11/01/11	J	A	
210. FIRST TR EXCHG TRADED ALPHAD EX FD II EMERG MKTS		None			Buy	09/22/11	J		
211. ISHARES TR IBOXX INV CPBD	A	Dividend			Sold	11/01/11	K	A	
212. ISHARES TR IBOXX INV CPBD		None			Buy	09/22/11	K		
213. ISHARES TR BARCLYS 7-10 YR	A	Dividend			Sold	11/01/11	K	A	
214. ISHARES TR BARCLYS 7-10 YR		None			Buy	09/22/11	K		
215. ISHARES TR DJ US REAL EST	A	Dividend			Sold	11/01/11	J	A	
216. ISHARES TR DJ US REAL EST		None			Buy	09/22/11	J		
217. ISHARES TR S&P NTL AMTFREE	A	Dividend			Sold	11/01/11	J	A	
218. ISHARES TR S&P NTL AMTFREE		None			Buy	09/22/11	J		
219. FIRST TR ETF II CONSUMER STAP LES ALPHAD EX	A	Dividend			Sold	11/29/11	J	A	
220. FIRST TR ETF II CONSUMER STAP LES ALPHAD EX		None			Buy	09/22/11	J		
221. FIRST TR HEALTH CARE ALPHAD EX FD ETF	A	Dividend			Sold	11/29/11	J	A	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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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Name of Person Reporting

Moody, James M.

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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. FIRST TR HEALTH CARE ALPHADEX FD ETF		None			Buy	10/25/11	J		
223. FIRST TR ETF II UTILITIES ALPHADEX FUND ANNUAL	A	Dividend			Sold	11/29/11	J	A	
224. FIRST TR ETF II UTILITIES ALPHADEX FUND ANNUAL		None			Buy	09/22/11	J		
225. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS	A	Dividend			Sold	11/29/11	J	A	
226. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS		None			Buy	09/22/11	J		
227. ISHARES TR IBOXX INV CPBD	A	Dividend			Sold	11/29/11	J	A	
228. ISHARES TR IBOXX INV CPBD		None			Buy	09/22/11	J		
229. ISHARES TR BARCLYS 7-10 YR	A	Dividend			Sold	11/29/11	J	A	
230. ISHARES TR BARCLYS 7-10 YR		None			Buy	09/22/11	J		
231. ISHARES TR DJ US REAL EST	A	Dividend			Sold	11/29/11	J	A	
232. ISHARES TR DJ US REAL EST		None			Buy	09/22/11	J		
233. ISHARES TR S&P NTL AMTFREE	A	Dividend			Sold	11/29/11	J	A	
234. ISHARES TR S&P NTL AMTFREE		None			Buy	09/22/11	J		
235. ISHARES TR BARCLYS MBS BD	A	Dividend			Sold	11/29/11	J	A	
236. ISHARES TR BARCLYS MBS BD		None			Buy	11/01/11	J		
237. SPDR BARCLAYS CAPITAL 1-3 MONTH T-BILL	A	Dividend			Sold	11/29/11	J	A	
238. SPDR BARCLAYS CAPITAL 1-3 MONTH T-BILL		None			Buy	09/22/11	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Moody, James M.

Date of Report

08/02/2012

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)
239. FIRST TR ETF II CONSUMER STAPLES ALPHADEX	A	Dividend			Sold	12/13/11	J	A	
240. FIRST TR ETF II CONSUMER STAPLES ALPHADEX		None			Buy	09/22/11	J		
241. FIRST TR HEALTH CARE ALPHADEX FD ETF	A	Dividend			Sold	12/13/11	L	A	
242. FIRST TR HEALTH CARE ALPHADEX FD ETF		None			Buy	10/25/11	L		
243. FIRST TR HEALTH CARE ALPHADEX FD ETF	A	Dividend			Sold	12/13/11	J	A	
244. FIRST TR HEALTH CARE ALPHADEX FD ETF		None			Buy	09/22/11	J		
245. ISHARES TR BARCLYS 7-10 YR	A	Dividend			Sold	12/13/11	J	A	
246. ISHARES TR BARCLYS 7-10 YR		None			Buy	09/22/11	J		
247. ISHARES TR S&P NTL AMTFREE	A	Dividend			Sold	12/13/11	J	A	
248. ISHARES TR S&P NTL AMTFREE		None			Buy	09/22/11	J		
249. ISHARES TR BARCLYS MBS BD	A	Dividend			Sold	12/13/11	J	A	
250. ISHARES TR BARCLYS MBS BD		None			Buy	11/01/11	J		
251. SPDR BARCLAYS CAPITAL 1-3 MONTH T-BILL	A	Dividend			Sold	12/13/11	J	A	
252. SPDR BARCLAYS CAPITAL 1-3 MONTH T-BILL		None			Buy	09/22/11	J		
253. SPDR BARCLAYS CAPITAL 1-3 MONTH T-BILL	A	Dividend			Sold	12/13/11	M	A	
254. SPDR BARCLAYS CAPITAL 1-3 MONTH T-BILL		None			Buy	09/22/11	M		
255. FIRST TR ETF II CONSUMER STAPLES ALPHADEX	A	Dividend			Sold	12/28/11	J	A	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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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Name of Person Reporting

Moody, James M.

Date of Report

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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. FIRST TR ETF II CONSUMER STAPLES ALPHADEX		None			Buy	09/22/11	J		
257. FIRST TR ETF II UTILITIES ALPHADEX FUND ANNUAL	A	Dividend			Sold	12/28/11	J	A	
258. FIRST TR ETF II UTILITIES ALPHADEX FUND ANNUAL		None			Buy	09/22/11	J		
259. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS	A	Dividend			Sold	12/28/11	J	A	
260. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS		None			Buy	09/22/11	J		
261. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS	A	Dividend			Sold	12/28/11	J	A	
262. FIRST TR EXCHG TRADED ALPHADEX FD II EMERG MKTS		None			Buy	09/22/11	J		
263. ISHARES TR IBOXX INV CPBD	A	Dividend			Sold	12/28/11	J	A	
264. ISHARES TR IBOXX INV CPBD		None			Buy	09/22/11	J		
265. ISHARES TR DJ US REAL EST	A	Dividend			Sold	12/28/11	J	A	
266. ISHARES TR DJ US REAL EST		None			Buy	09/22/11	J		
267. ISHARES TR S&P NTL AMTFREE	A	Dividend			Sold	12/28/11	J	A	
268. ISHARES TR S&P NTL AMTFREE		None			Buy	09/22/11	J		
269. SPDR GOLD TR GOLD SHS	A	Dividend			Sold	12/28/11	K	A	
270. SPDR GOLD TR GOLD SHS		None			Buy	09/22/11	K		
271.									
272.									

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

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Name of Person Reporting

Moody, James M.

Date of Report

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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.									
274.									
275.									
276.									
277.									
278.									
279.									
280.									
281.									
282.									
283.									
284.									
285.									
286.									
287.									
288.									
289.									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

Name of Person Reporting	Date of Report
Moody, James M.	08/02/2012

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290.									
291.									
292.									
293.									
294.									
295.									
296.									
297.									
298.									
299.									

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
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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Moody, James M.

Date of Report

08/02/2012

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

On 2010 Item #'s 149-171 were used to report buy/sell transactions that occurred within the 2010 year.
Carryover items from 2010 may have differnt line # due to assets being added within Header Catagories.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting	Date of Report
Moody, James M.	08/02/2012

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/ **James M. Moody**

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