

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2014**

*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 5/4/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address 500 Pearl Street New York, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.</i>		

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. Board Member	New York City Ballet, Inc.
2. Trustee	The Frank E. Richardson 2011 Insurance Trust Agreement (See Note 4 in Section VIII)
3.	
4.	
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. 2014*	Morgan Stanley Pension Benefit
2. 2014*	Sonic Corp - various Board & Committee Fees
3. 2014*	Vestar, Harding Services, Irving Place Capital, Tinicum - Fee Income
4.	
5. *(various)	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒ NONE *(No reportable reimbursements.)*

<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.	Citibank	Line of Credit	P2
2.	American Express	Credit Card	K
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. EXXON CORP COMMON STOCK	B	Dividend	L	T					
2. MORGAN STANLEY BANK/CASH	A	Interest	J	T					
3. ACTAVIS PLC COMMON STOCK		None	J	T	Buy	06/23/14	J		
4.					Buy (add'l)	06/25/14	J		
5. ALCOBRA LTD COMMON STOCK		None			Buy	06/23/14	J		
6.					Buy (add'l)	06/25/14	J		
7.					Sold	10/27/14	J		
8. AMER INTL GP INC COMMON STOCK	A	Dividend	J	T	Sold (part)	06/23/14	J	B	
9. AMGEN INC COMMON STOCK	A	Dividend	J	T	Buy	03/10/14	J		
10.					Buy (add'l)	03/11/14	J		
11. APOLLO INVESTMENT CORP COMMON STOCK	A	Dividend			Buy	03/21/14	J		
12.					Sold (part)	07/14/14	J	A	
13.					Sold (part)	08/21/14	J	A	
14.					Sold	09/10/14	J	A	
15. ARES DYNAMIC CREDIT ALLOC FUND	A	Dividend	J	T	Buy	08/27/14	J		
16.					Buy (add'l)	08/28/14	J		
17.					Buy (add'l)	09/03/14	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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	(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)
18.					Buy (add'l)	09/05/14	J		
19.					Buy (add'l)	09/08/14	J		
20.					Buy (add'l)	09/09/14	J		
21.					Buy (add'l)	09/11/14	J		
22.					Buy (add'l)	09/12/14	J		
23.	ASHFORD HOSPITALITY TR INC COMMON STOCK	A	Dividend		Sold (part)	08/21/14	J	B	
24.					Sold	08/22/14	J	B	
25.	AVENUE INCOME CREDIT FUND	A	Dividend	J	T				
26.	BLACKSTONE/GSO STRAT CREDIT FUND	A	Dividend	J	T	Buy	08/27/14	J	
27.	BUCKEYE PARTNERS LP COMMON STOCK (SEE NOTE 1 IN SECT VIII)		None	J	T	Distributed (part)	02/25/14	J	
28.					Distributed (part)	05/19/14	J		
29.					Distributed (part)	08/25/14	J		
30.					Distributed (part)	11/25/14	J		
31.	CATALENT INC COMMON STOCK		None	J	T	Buy	08/05/14	J	
32.					Buy (add'l)	08/06/14	J		
33.					Buy (add'l)	08/25/14	J		
34.					Buy (add'l)	08/26/14	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. CHIMERA INVESTMENT CORP COMMON STOCK	B	Dividend			Sold (part)	06/23/14	J	A	
36.					Sold (part)	07/11/14	J	A	
37.					Sold	08/05/14	J	A	
38. COBALT INTERNATIONAL ENERGY COMMON STOCK		None			Sold	08/05/14	J		
39. COLUMBIA PPTY TR INC COMMON STOCK	A	Dividend			Buy	01/17/14	J		
40.					Sold	11/11/14	J	A	
41. DEVON ENERGY CORP COMMON STOCK	A	Dividend	J	T					
42. DOW CHEMICAL COMMON STOCK	A	Dividend	J	T	Buy	02/21/14	J		
43.					Buy (add'l)	12/23/14	J		
44. ENERGY TRANS EQUITY LP COMMON STOCK (SEE NOTE 1 SECT VIII)		None	K	T	Distributed (part)	02/19/14	J		
45.					Distributed (part)	05/19/14	J		
46.					Distributed (part)	08/19/14	J		
47.					Sold (part)	09/19/14	J	D	
48.					Distributed (part)	11/19/14	J		
49. FIDELITY ADV HEALTH CARE INST MUTUAL FUND	A	Dividend	J	T	Buy	10/02/14	J		
50. FIRST TRUST DORSEY WRIGHT FO FUND	A	Dividend	J	T	Buy	10/02/14	J		
51.					Buy (add'l)	10/15/14	J		

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52. GUGGENHEIM SPIN OFF ETF	A	Dividend	J	T	Sold (part)	11/03/14	J	A	
53.					Sold (part)	11/05/14	J	A	
54. CRESTWOOD EQUITY LP COMMON STOCK (NOTE 1 IN SECT VIII)		None	J	T	Distributed (part)	02/14/14	J		
55.					Distributed (part)	05/15/14	J		
56.					Distributed (part)	08/14/14	J		
57.					Distributed (part)	11/14/14	J		
58. IMS HEALTH HOLDINGS INC COMMON STOCK		None	J	T	Buy	07/11/14	J		
59.					Buy (add'l)	07/21/14	J		
60.					Buy (add'l)	12/01/14	J		
61. INDUSTRIAL SEL SEC SPDR FUND		None	J	T	Buy	12/23/14	J		
62. ISHARES MSCI USA MOMENTUM ETF	A	Dividend	J	T	Buy	10/02/14	J		
63.					Buy (add'l)	10/15/14	J		
64. ISHARES S&P MID CAP 400 GROWTH ETF	A	Dividend	J	T					
65. JPMORGAN CHASE & CO COMMON STOCK	A	Dividend	J	T					
66. JPMORGAN INTREPID EURO SEL MUTUAL FUND	A	Dividend	J	T	Buy	10/20/14	J		
67.					Buy (add'l)	11/21/14	J		
68. KAR AUCTION SVCS INC COMMON STOCK	A	Dividend	K	T					

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69. LINEAR TECH CORP COMMON STOCK	A	Dividend			Buy	02/21/14	J		
70.					Sold	08/27/14	J		
71. MCDONALDS CORP COMMON STOCK	A	Dividend			Sold	10/21/14	J	A	
72. MICRON TECH INC COMMON STOCK		None			Buy	02/05/14	J		
73.					Sold (part)	07/09/14	J	A	
74.					Sold	09/19/14	J	B	
75. MONSANTO CO COMMON STOCK		None			Buy	07/07/14	J		
76.					Sold	08/21/14	J		
77. NORTHERN TIER ENERGY LP COMMON STK (SEE NOTE 1 IN SECT VIII)	A	Distribution	J	T	Distributed (part)	02/28/14	J		
78.					Distributed (part)	05/30/14	J		
79.					Distributed (part)	08/29/14	J		
80.					Distributed (part)	11/25/14	J		
81. OCH-ZIFF CAPITAL LP CMN STOCK (SEE NOTES 1 & 7 IN SECT VIII)	A	Distribution	J	T	Buy	05/02/14	J		
82.					Distributed (part)	05/19/14	J		
83. POWERSHARES ETF TR DYNA BUYBK	A	Dividend	J	T	Buy	09/23/14	J		
84. PROCTER & GAMBLE COMMON STOCK	A	Dividend			Sold	05/22/14	J		

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85. PRUDENTIAL FINANCIAL INC COMMON STOCK	A	Dividend	J	T	Buy	05/22/14	J		
86. QUALCOMM INC COMMON STOCK		None			Sold	02/20/14	J	B	
87. SOLAR CAPITAL LTD FUND		None	J	T	Buy	09/29/14	J		
88. SPDR S&P EMERGING ASIA PACIFIC FUND	A	Dividend			Sold	03/11/14	J	A	
89. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	K	T					
90. SPIRIT REALTY CAPITAL INC COMMON STOCK	A	Dividend			Sold	03/21/14	J	B	
91. STARWOOD PROPERTY TRUST INC CMN STK (SEE NOTE 1 SECT VIII)	A	Dividend	J	T	Sold (part)	06/27/14	J		
92. STARWOOD WAYPOINT		None			Spinoff (from line 91)	01/31/14	J		
93.					Sold (part)	01/31/14	J	A	
94.					Sold	02/03/14	J	A	
95. UNITED TECHNOLOGIES CORP COMMON STOCK	A	Dividend			Sold	07/07/14	J	B	
96. VANGUARD DIVIDEND APPRECIATION FUND	A	Dividend	K	T					
97. VANGUARD EUROPEAN MSCI ETF	A	Dividend			Sold	10/20/14	J		
98. VANGUARD INFO TECH ETF	A	Dividend	J	T	Buy (add'l)	12/23/14	J		
99. VANGUARD SMALL CAP ETF	A	Dividend	J	T	Buy	10/21/14	J		
100.					Buy (add'l)	12/23/14	J		
101. VERIZON COMMUNICATIONS COMMON STOCK	A	Dividend			Spinoff (from line 104)	02/21/14	J		

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102.					Sold (part)	02/21/14	J		
103.					Sold	05/02/14	J		
104. VODAFONE GP PLC COMMON STOCK	B	Dividend			Sold (part)	02/21/14	J		
105.					Sold	12/05/14	J		
106. WELLS FARGO & CO COMMON STOCK	A	Dividend	J	T					
107. WISDOMTREE EUROPE HEDGED EQUITY FUND	A	Dividend	J	T					
108. WISDOMTREE TR EM MKTS DVD GROW FUND		None	J	T	Buy	12/23/14	J		
109. WISDOMTREE TR EMG MKTS SMCAP FUND	A	Dividend	J	T					
110. WISDOMTREE SMALL CAP DIV FUND	A	Dividend	J	T					
111. WISDOMTREE TRUST EMRG MKT EQUITY FUND	A	Dividend			Sold (part)	03/10/14	J		
112.					Sold	12/05/14	J		
113. WISDOMTREE TRUST JAPAN HEDGE EQUITY FUND	A	Dividend	J	T					
114. WISDOMTREE TRUST MDCP EARN FUND	A	Dividend	J	T	Buy	11/12/14	J		
115.					Buy (add'l)	12/23/14	J		
116. IRA ACCOUNT #1									
117. IRA #1 - MSSB CASH/MM	A	Interest	K	T					
118. IRA #1 - COMMON STOCKS AND FUNDS (LINES 119-197)									

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)
119. ACTAVIS PLC COMMON STOCK		None	K	T	Buy	06/19/14	K		
120. ALCOBRA LTD COMMON STOCK		None			Buy	07/10/14	J		
121.					Sold	10/27/14	J		
122. AMER INTL GROUP INC COMMON STOCK	A	Dividend	L	T	Sold (part)	06/19/14	K	D	
123. AMERICAN CAPITAL AGENCY COMMON STOCK	C	Dividend			Buy (add'l)	01/13/14	J		
124.					Sold (part)	09/10/14	K		
125.					Sold	12/11/14	K		
126. AMGEN INC COMMON STOCK	A	Dividend	K	T	Buy	03/10/14	K		
127.					Buy (add'l)	06/16/14	J		
128. APOLLO INVESTMENT CORP COMMON STOCK	B	Dividend			Buy	03/21/14	K		
129.					Buy (add'l)	03/24/14	K		
130.					Buy (add'l)	04/29/14	J		
131.					Buy (add'l)	05/21/14	J		
132.					Sold (part)	07/23/14	K	A	
133.					Sold (part)	08/21/14	K	A	
134.					Sold	09/10/14	K	B	
135. APPLE INC COMMON STOCK	A	Dividend			Buy	01/15/14	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
136.					Sold	10/21/14	K	D	
137. ASHFORD HOSPITALITY TR INC COMMON STOCK	A	Dividend			Buy (add'l)	02/24/14	K		
138.					Sold (part)	03/21/14	K		
139.					Sold	03/24/14	K	A	
140. CATALENT INC COMMON STOCK		None	K	T	Buy	08/12/14	K		
141.					Buy (add'l)	08/13/14	K		
142. CHEVRON CORP COMMON STOCK		None	K	T	Buy	12/23/14	K		
143. CHIMERA INVESTMENT CORP COMMON STOCK	D	Dividend			Buy (add'l)	02/24/14	J		
144.					Sold	06/09/14	L	C	
145. COLUMBIA PPTY TR INC COMMON STOCK	A	Dividend			Buy	01/15/14	K		
146.					Buy (add'l)	01/16/14	J		
147.					Buy (add'l)	02/24/14	J		
148.					Sold	05/13/14	K	D	
149. DANAHER CORPORATION COMMON STOCK	A	Dividend	K	T					
150. DEVON ENERGY CORP COMMON STOCK	A	Dividend	K	T					
151. DOW CHEMICAL CO COMMON STOCK		None	K	T	Buy	12/23/14	K		
152. JPMORGAN CHASE & CO COMMON STOCK	A	Dividend	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 U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
153. IMS HEALTH HOLDINGS INC COMMON STOCK		None	K	T	Buy	07/23/14	K		
154.					Buy (add'l)	07/24/14	J		
155. KAR AUCTION SERVICES INC COMMON STOCK	B	Dividend	L	T	Sold (part)	06/19/14	J	B	
156. LINEAR TECHNOLOGY CORP	A	Dividend			Buy	02/24/14	K		
157.					Sold	08/27/14	K		
158. MCDONALDS CORP COMMON STOCK	A	Dividend			Buy (add'l)	02/24/14	J		
159.					Sold	10/21/14	K		
160. MEDTRONIC INC COMMON STOCK	A	Dividend	K	T	Buy	06/19/14	K		
161. METLIFE INC COMMON STOCK	A	Dividend			Buy	03/18/14	K		
162.					Sold	05/21/14	K		
163. MICRON TECH INC COMMON STOCK		None			Buy	02/05/14	K		
164.					Sold (part)	07/09/14	J	C	
165.					Sold	09/19/14	K	D	
166. MONSANTO CO COMMON STOCK	A	Dividend			Buy	06/19/14	K		
167.					Sold	08/21/14	K		
168. OCH-ZIFF CAPITAL MGMT CMN STK (SEE NOTES 1 & 7 SECT VIII)	C	Distribution	K	T	Sold (part)	01/15/14	K	D	
169.					Buy (add'l)	02/24/14	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)
170.					Distributed (part)	02/25/14	J		
171.					Buy (add'l)	04/29/14	J		
172.					Distributed (part)	05/19/14	J		
173.					Sold (part)	07/23/14	J	B	
174. PHILLIPS 66 COMMON STOCK	A	Dividend	K	T	Buy	07/09/14	K		
175.					Buy (add'l)	12/23/14	J		
176. PROCTER & GAMBLE COMMON STOCK	A	Dividend			Buy (add'l)	02/24/14	J		
177.					Sold	05/22/14	L		
178. PRUDENTIAL FINANCIAL COMMON STOCK	A	Dividend	K	T	Buy	05/21/14	K		
179.					Buy (add'l)	05/22/14	J		
180.					Buy (add'l)	12/23/14	J		
181. QUALCOMM INC COMMON STOCK		None			Sold	02/20/14	L	D	
182. SEADRILL LTD COMMON STOCK	C	Dividend			Buy (add'l)	02/04/14	J		
183.					Sold (part)	06/19/14	K	A	
184.					Sold	09/15/14	K		
185. STARWOOD PROPERTY TRUST INC COMMON STOCK	C	Dividend	K	T	Sold (part)	02/24/14	J		
186.					Sold (part)	06/19/14	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)
187. STARWOOD WAYPOINT		None			Spinoff (from line 185)	01/31/14	J		
188.					Sold (part)	01/31/14	J	A	
189.					Sold	02/03/14	J	A	
190. UNITED TECHNOLOGIES CORP COMMON STOCK	A	Dividend			Sold (part)	06/19/14	K	C	
191.					Sold	07/07/14	K	D	
192. VERIZON COMMUNICATIONS COMMON STOCK		None			Spinoff (from line 195)	02/21/14	K		
193.					Sold (part)	02/21/14	J		
194.					Sold	02/26/14	K		
195. VODAFONE GP PLC ADS COMMON STOCK	D	Dividend	K	T	Sold (part)	02/21/14	J		
196. WELLS FARGO & CO COMMON STOCK	B	Dividend	L	T					
197. YUM BRANDS INC COMMON STOCK	A	Dividend			Sold	02/05/14	K	A	
198. IRA #1 - OPTIONS (LINES 199-214 (NOTE 3 IN SECT VIII)									
199. AMERICAN CAPITAL AGENCY - OPENING CONTRACT (9/24/13)		None							
200. CONTRACT EXPIRED		None			Expired	03/24/14		A	
201. JPMORGAN CHASE & CO - OPENING CONTRACT (9/24/13)		None							
202. CLOSING CONTRACT		None			Buy	02/07/14	J		
203. MCDONALDS CORP - OPENING CONTRACT (9/24/13)		None							

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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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
204. CONTRACT EXPIRED		None			Expired	03/24/14		A	
205. QUALCOMM INC - OPENING CONTRACT (9/24/13)		None							
206. CONTRACT EXPIRED		None			Expired	01/21/14		A	
207. SEADRILL LTD - OPENING CONTRACT (8/5/13)		None							
208. CONTRACT EXPIRED		None			Expired	01/21/14		B	
209. SPDR S&P MIDCAP 400 ETF - OPENING CONTRACT (9/24/13)		None							
210. CLOSING CONTRACT		None			Buy	01/30/14	J		
211. UNITED TECHNOLOGIES - OPENING CONTRACT (9/24/13)		None							
212. CLOSING CONTRACT		None			Buy	02/21/14	J	A	
213. WELLS FARGO & CO - OPENING CONTRACT (9/25/13)		None							
214. CLOSING CONTRACT		None			Buy	04/10/14	J		
215. IRA #1 - ETF AND CLOSED END FUNDS (LINES 216-269)									
216. ARES CAPITAL CORP FUND		None	K	T	Buy	12/11/14	K		
217. ARES DYNAMIC CREDIT ALLOC FUND	A	Dividend	K	T	Buy	08/21/14	J		
218.					Buy (add'l)	08/22/14	J		
219.					Buy (add'l)	08/25/14	J		
220. AVENUE INCOME CREDIT FUND	C	Dividend	K	T	Sold (part)	02/24/14	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.)

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
221.					Sold (part)	06/19/14	K		
222. BLACKSTONE/GSO STRAT CREDIT FUND	A	Dividend	K	T	Buy	08/22/14	K		
223.					Buy (add'l)	09/11/14	J		
224. EATON VANCE TAX MGD DIV EQUITY FUND	B	Dividend			Buy (add'l)	01/13/14	J		
225.					Sold	10/21/14	K	B	
226. FIRST TRUST DORSEY WRIGHT FUND	A	Dividend	K	T	Buy	10/03/14	K		
227.					Buy (add'l)	10/29/14	J		
228. GUGGENHEIM SPIN OFF ETF	A	Dividend	K	T	Sold (part)	02/05/14	K	D	
229.					Sold (part)	11/05/14	K	C	
230. ISHARES MSCI EAFE GROWTH ETF	A	Dividend	K	T	Buy (add'l)	01/13/14	J		
231. ISHARES MSCI USA MOMENTUM FUND	A	Dividend	K	T	Buy	10/03/14	K		
232.					Buy (add'l)	10/29/14	J		
233. ISHARES S&P MID-CAP 400 GROWTH ETF	A	Dividend			Sold	10/29/14	L	D	
234. PENNANTPARK FLOATING RATE CAP LTD	B	Dividend			Sold (part)	02/24/14	J	A	
235.					Sold (part)	07/24/14	K	A	
236.					Sold (part)	08/12/14	J	A	
237.					Sold (part)	08/13/14	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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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
238.					Sold	08/14/14	J	A	
239. POWERSHARES ETF TR DYNA BUYBACK	A	Dividend	L	T					
240. PROSHARES TR S&P 500 DV ARIST FUND	A	Dividend	L	T	Buy	10/29/14	L		
241. PROSPECT CAPITAL CORP FUND	B	Dividend	K	T	Buy	05/13/14	K		
242.					Sold (part)	08/21/14	J	B	
243.					Sold	08/22/14	K	C	
244.					Buy	12/11/14	K		
245. SOLAR SENIOR CAPITAL LTD FUND	A	Dividend	K	T	Buy	08/28/14	K		
246. SOLAR CAPITAL LTD FUND	A	Dividend	L	T	Buy	09/11/14	K		
247.					Buy (add'l)	09/24/14	J		
248.					Buy (add'l)	10/01/14	J		
249. SPDR S&P EMERGING ASIA PACIFIC ETF	A	Dividend			Buy (add'l)	01/13/14	J		
250.					Buy (add'l)	02/24/14	J		
251.					Sold	03/11/14	K		
252. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	L	T	Buy (add'l)	01/13/14	K		
253.					Sold (part)	06/19/14	K	D	
254. VANGUARD DIVIDEND APPRECIATION ETF	A	Dividend			Buy (add'l)	02/24/14	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)
255.					Sold	10/29/14	L	D	
256. VANGUARD INFO TECH ETF	A	Dividend	K	T					
257. VANGUARD MIDCAP ETF	A	Dividend	L	T	Buy	10/29/14	L		
258. VANGUARD SMALL CAP ETF	A	Dividend	L	T	Buy	10/21/14	K		
259.					Buy (add'l)	10/29/14	K		
260. WISDOMTREE SMALL CAP DIV FUND	B	Dividend	L	T					
261. WISDOMTREE EUROPE HEDGED EQUITY FUND	A	Dividend			Buy (add'l)	01/13/14	J		
262.					Sold	10/20/14	K	A	
263. WISDOMTREE TRUST EMERGING MARKET EQUITY FUND	B	Dividend			Buy (add'l)	01/13/14	J		
264.					Buy (add'l)	02/24/14	J		
265.					Sold (part)	03/10/14	J		
266.					Sold	12/05/14	L		
267. WISDOMTREE TRUST JAPAN HEDGE EQUITY FUND	C	Dividend	K	T	Buy	06/19/14	K		
268. WISDOMTREE TRUST MDCP EARN FUND	A	Dividend	K	T	Buy	02/24/14	K		
269.					Buy (add'l)	02/26/14	K		
270. IRA #1 - MUTUAL FUND(S) (LINES 271-275)									
271. DOUBLELINE TOTAL RETURN MUTUAL FUND	B	Dividend			Sold	12/11/14	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	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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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
272. FIDELITY ADV HEALTH CARE INST MUTUAL FUND	A	Dividend	K	T	Buy	10/03/14	K		
273. GOTHAM ABSOLUTE RETURN MUTUAL FUND	B	Dividend	L	T	Buy	06/09/14	L		
274. JPMORGAN INTREPID EURO SEL MUTUAL FUND	B	Dividend	L	T	Buy	10/20/14	K		
275.					Buy (add'l)	11/21/14	K		
276. BIF TAX-EXEMPT FUND/CASH	A	Dividend	L	T					
277. ADDITIONAL COMMON STOCKS AND FUNDS (NON-IRA)									
278. ABBOTT LABORATORIES COMMON STOCK	B	Dividend			Sold	02/21/14	N	G	
279. ABB-VIE COMMON STOCK	C	Dividend			Sold (part)	02/06/14	L	E	
280.					Donated				
281. ACCENTURE LTD COMMON STOCK	C	Dividend	M	T					
282. AMERICAN EXPRESS COMMON STOCK	B	Dividend	M	T					
283. AMGEN COMMON STOCK	B	Dividend	L	T	Buy	03/21/14	K		
284.					Buy (add'l)	04/11/14	K		
285.					Buy (add'l)	04/29/14	J		
286. ANADARKO PETROLEUM CORP COMMON STOCK	A	Dividend	K	T	Sold (part)	10/20/14	K	E	
287. APPLE INC COMMON STOCK	A	Dividend	L	T	Buy	10/17/14	K		
288.					Buy (add'l)	12/08/14	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	
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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)
289. FLY LEASING (FKA BABCOCK & BROWN) COMMON STOCK	D	Dividend	L	T					
290. B/E AEROSPACE INC COMMON STOCK		None	L	T	Buy	08/29/14	L		
291. BERKSHIRE HATHAWAY COMMON STOCK		None	O	T					
292. BLACKROCK INC COMMON STOCK	E	Dividend	P1	T					
293. BOEING COMMON STOCK	D	Dividend	N	T	Buy (add'l)	04/25/14	J		
294. CABOT OIL & GAS COMMON STOCK	A	Dividend	N	T	Sold (part)	02/07/14	K	E	
295. CA RESOURCES COMMON STOCK		None	J	T	Spinoff (from line 376)	12/01/14	J		
296.					Sold (part)	12/04/14	J	B	
297. CARPENTER TECHNOLOGY COMMON STOCK	B	Dividend	M	T					
298. CDK GLOBAL INC COMMON STOCK	A	Dividend	M	T	Buy	10/22/14	M		
299. CHEVRON COMMON STOCK		None			Sold	02/04/14	L		
300. CHUBB COMMON STOCK	B	Dividend			Sold	08/04/14	L	E	
301. CME GROUP COMMON STOCK	C	Dividend	L	T	Buy (add'l)	03/21/14	J		
302.					Buy (add'l)	04/11/14	J		
303. COGNIZANT TECH SOLUTIONS COMMON STOCK		None	N	T	Buy	02/21/14	N		
304. CONOCOPHILLIPS COMMON STOCK	C	Dividend	L	T	Buy (add'l)	02/05/14	J		
305.					Sold (part)	07/02/14	J	C	

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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	
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)
306.					Buy (add'l)	10/17/14	J		
307. CONS DISCRET SEL SECT SPDR FUND	A	Dividend	J	T	Buy	10/22/14	J		
308.					Buy (add'l)	10/27/14	J		
309.					Sold (part)	12/02/14	J	A	
310. COVANTA HLDG CORP COMMON STOCK	C	Dividend	L	T					
311. CUMMINS COMMON STOCK	B	Dividend	L	T	Buy	02/05/14	K		
312.					Buy (add'l)	03/21/14	J		
313.					Buy (add'l)	11/25/14	J		
314. ENERGY SEL SECT SPDR FUND	A	Dividend	J	T	Buy	10/22/14	J		
315.					Buy (add'l)	12/02/14	J		
316.					Sold (part)	10/27/14	J		
317. EOG RES INC COMMON STOCK	A	Dividend	M	T					
318. FINANCIAL SEL SCT SPDR FUND	A	Dividend	J	T	Buy	10/22/14	J		
319.					Buy (add'l)	12/02/14	J		
320. FIRST TRUST CONSUMER STAPLES ETF	A	Dividend	J	T	Buy	10/22/14	J		
321.					Sold (part)	10/27/14	J	A	
322.					Buy (add'l)	12/02/14	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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	(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)
323. FIRST TRUST DORSEY WRIGHT FUND	A	Dividend	K	T	Buy	10/22/14	J		
324. FIRST TRUST INDS/PRODS ETF	A	Dividend	J	T	Buy	10/22/14	J		
325.					Sold (part)	12/02/14	J	A	
326. GENERAL ELECTRIC COMMON STOCK	C	Dividend			Sold	12/08/14	L	C	
327. GUGGENHEIM S&P 500 EQUITY WEIGHT FUND	A	Dividend	J	T	Buy	10/22/14	J		
328. HEALTH CARE SEL SECCT SPDR FUND	A	Dividend	J	T	Buy	10/22/14	J		
329.					Buy (add'l)	10/27/14	J		
330.					Sold (part)	12/02/14	J	A	
331. HOME DEPOT COMMON STOCK	A	Dividend	L	T	Buy	07/02/14	L		
332. INTEL COMMON STOCK	B	Dividend	L	T	Buy (add'l)	03/21/14	J		
333.					Sold (part)	07/02/14	J	C	
334. INTERNATIONAL BUSINESS MACHINE COMMON STOCK	D	Dividend	M	T					
335. INTERNATIONAL PAPER CO COMMON STOCK	D	Dividend	M	T	Buy (add'l)	02/06/14	J		
336. ISHARES MSCI EAFE SM CAP ETF	A	Dividend	J	T	Buy	10/22/14	J		
337. ISHARES MSCI EAFE GROWTH ETF	A	Dividend	J	T	Buy	10/22/14	J		
338. ISHARES MSCI FRONTIER 100 ETF	A	Dividend	J	T	Buy	10/22/14	J		
339. ISHARES MSCI USA MOMENTUM ETF	A	Dividend	J	T	Buy	10/22/14	J		

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340. ISHARES US TECHNOLOGY ETF	A	Dividend	J	T	Buy	10/22/14	J		
341.					Buy (add'l)	10/27/14	J		
342.					Sold (part)	12/02/14	J	A	
343. JOHNSON & JOHNSON COMMON STOCK	E	Dividend	P1	T	Buy (add'l)	02/06/14	K		
344.					Sold (part)	02/21/14	M	G	
345.					Sold (part)	07/02/14	L	D	
346. JPMORGAN CHASE COMMON STOCK	B	Dividend	L	T					
347. JPMORGAN INTREPID EURO SEL MUTUAL FUND	A	Dividend	J	T	Buy	10/22/14	J		
348.					Buy (add'l)	11/21/14	J		
349. KLA-TENCOR COMMON STOCK	E	Dividend	L	T	Buy	07/02/14	L		
350.					Buy (add'l)	07/25/14	K		
351. KLX INC COMMON STOCK		None	K	T	Spinoff (from line 290)	12/17/14	K		
352. KRAFT FOODS GROUP COMMON STOCK	B	Dividend	L	T	Buy (add'l)	02/07/14	K		
353. LAS VEGAS SANDS COMMON STOCK	D	Dividend	N	T					
354. LYONDELLBASELL IND COMMON STOCK	B	Dividend	L	T	Sold (part)	03/21/14	K	C	
355.					Buy (add'l)	10/17/14	J		
356.					Sold (part)	11/25/14	J	B	

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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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357. MACYS COMMON STOCK	B	Dividend	L	T	Sold (part)	04/16/14	K	C	
358.					Buy (add'l)	10/06/14	J		
359.					Buy (add'l)	12/08/14	J		
360. MARKET VECTORS GOLD MINER ETF COMMON STOCK		None			Sold	10/22/14	M		
361. MATERIALS SEL SECT SPDR FUND	A	Dividend	J	T	Buy	10/22/14	J		
362.					Buy (add'l)	12/02/14	J		
363. MATTEL COMMON STOCK		None			Sold	02/04/14	L		
364. MCDONALDS COMMON STOCK	B	Dividend			Sold (part)	08/28/14	K	B	
365.					Sold	09/11/14	K	C	
366. MEDTRONIC COMMON STOCK	A	Dividend	L	T	Buy	07/02/14	L		
367.					Buy (add'l)	10/06/14	J		
368. MICROSOFT COMMON STOCK	D	Dividend	M	T	Sold (part)	02/10/14	K	C	
369.					Sold (part)	02/28/14	K	D	
370.					Sold (part)	07/22/14	K	D	
371.					Sold (part)	08/01/14	K	C	
372. MONDELEZ INTL COMMON STOCK	A	Dividend	L	T					
373. M&T BANK COMMON STOCK	A	Dividend	L	T	Buy	03/25/14	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
374. NEWELL RUBBERMAID COMMON STOCK	A	Dividend			Buy (add'l)	03/21/14	J		
375.					Sold	07/02/14	L	D	
376. NOVO-NORDISK COMMON STOCK	D	Dividend	O	T					
377. OCCIDENTAL PETE CORP COMMON STOCK	D	Dividend	M	T	Buy (add'l)	02/07/14	K		
378. ORACLE CORP COMMON STOCK	B	Dividend	M	T					
379. PACKAGING CORP COMMON STOCK	D	Dividend	N	T					
380. PEPSICO COMMON STOCK	D	Dividend			Sold	01/23/14	O	G	
381. PFIZER INC COMMON STOCK	D	Dividend	M	T	Buy (add'l)	07/02/14	J		
382.					Sold (part)	10/09/14	L		
383. PIONEER NATURAL RESOURCES COMMON STOCK	A	Dividend	M	T	Sold (part)	09/11/14	K	E	
384.					Sold (part)	10/20/14	K	E	
385. POWERSHARES ETF TR DYNA BUYBK	A	Dividend	J	T	Buy	10/22/14	J		
386. POWERSHARES S&P 500 LOW VOLA ETF	A	Dividend	J	T	Buy	10/22/14	J		
387. PNC FINANCIAL SERVICE GROUP COMMON STOCK	A	Dividend	L	T	Buy	11/24/14	L		
388. PRECISION CASTPARTS COMMON STOCK	A	Dividend	M	T					
389. PROCTOR & GAMBLE COMMON STOCK	B	Dividend	L	T	Buy	02/05/14	L		
390.					Buy (add'l)	04/11/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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. PROSHARES TR S&P 500 DV ARIST FUND	A	Dividend	J	T	Buy	10/22/14	J		
392. IRA ACCOUNT #2 (FKA IRA HOLDINGS)									
393. (LINES 394 - 522)									
394. ACTAVIS PLC		None	J	T	Buy	06/19/14	J		
395. ALCOBRA LTD COMMON STOCK		None			Buy	07/10/14	J		
396.					Sold	10/27/14	J		
397. AMERICAN CAPITAL AGENCY	B	Dividend			Buy (add'l)	01/13/14	J		
398.					Sold (part)	09/10/14	J		
399.					Sold	12/11/14	J		
400. AMERICAN INTERNATIONAL GROUP	A	Dividend	K	T	Sold (part)	06/19/14	J	C	
401. AMGEN INC COMMON STOCK	A	Dividend	J	T	Buy	03/10/14	J		
402.					Buy (add'l)	06/16/14	J		
403. APOLLO INVESTMENT CORP FUND	A	Dividend			Buy (add'l)	03/24/14	J		
404.					Buy (add'l)	04/29/14	J		
405.					Buy (add'l)	05/21/14	J		
406.					Sold (part)	07/23/14	J	A	
407.					Sold (part)	08/21/14	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
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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)
408.					Sold	09/10/14	J	A	
409. APPLE INC COMMON STOCK	A	Dividend			Sold	10/21/14	K	D	
410. ARES CAPITAL CORP FUND		None	J	T	Buy	12/11/14	J		
411. ARES DYNAMIC CREDIT ALLOC FUND	A	Dividend	J	T	Buy	08/21/14	J		
412.					Buy (add'l)	08/22/14	J		
413.					Buy (add'l)	08/25/14	J		
414. ASHFORD HOSPITALITY TR INC	A	Dividend			Buy (add'l)	02/24/14	J		
415.					Sold (part)	03/21/14	J	B	
416.					Sold	03/24/14	J	A	
417. AVENUE INCOME CREDIT FUND	B	Dividend	J	T	Sold (part)	02/24/14	J		
418.					Sold (part)	06/19/14	J		
419. BLACKSTONE/GSO STRAT CREDIT FUND	A	Dividend	J	T	Buy	08/22/14	J		
420.					Buy (add'l)	09/11/14	J		
421. CATALENT INC COMMON STOCK		None	J	T	Buy	08/12/14	J		
422.					Buy (add'l)	08/13/14	J		
423. CHEVRON CORP COMMON STOCK		None	J	T	Buy	12/23/14	J		
424. CHIMERA INVESTMENT CORP	B	Dividend			Buy (add'l)	02/24/14	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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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)
425.					Sold	06/09/14	K	B	
426. COLUMBIA PPTY TR INC COMMON STOCK	A	Dividend			Buy	01/15/14	J		
427.					Buy (add'l)	01/16/14	J		
428.					Sold	05/13/14	J	B	
429. DANAHER CORP COMMON STOCK	A	Dividend	J	T					
430. DEVON ENERGY CORP COMMON STOCK	A	Dividend	J	T					
431. DOUBLELINE TOTAL RETURN MUTUAL FUND	A	Dividend			Sold	12/11/14	J		
432. DOW CHEMICAL CO COMMON STOCK		None	J	T	Buy	12/23/14	J		
433. EATON VANCE TAX MGD DIV EQU FUND	A	Dividend			Buy (add'l)	01/13/14	J		
434.					Sold	10/21/14	J	A	
435. FIDELITY ADV HEALTH CARE INST	A	Dividend	J	T	Buy	10/03/14	J		
436. FIRST TRUST DORSEY WRIGHT FUND	A	Dividend	J	T	Buy	10/03/14	J		
437.					Buy (add'l)	10/29/14	J		
438. GOTHAM ABSOLUTE RETURN FUND	A	Dividend	K	T	Buy	06/09/14	K		
439. GUGGENHEIM SPIN OFF ETF	A	Dividend	J	T	Sold (part)	02/05/14	J	A	
440.					Sold (part)	11/05/14	J	B	
441. IMS HEALTH HOLDINGS INC COMMON STOCK		None	J	T	Buy	07/23/14	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.)

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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)
442. ISHARES MSCI GROWTH ETF	A	Dividend	J	T	Buy (add'l)	01/13/14	J		
443. ISHARES MSCI USA MOMENTUM FUND	A	Dividend	J	T	Buy	10/03/14	J		
444.					Buy (add'l)	10/29/14	J		
445. ISHARES S&P MID CAP 400 GROWTH ETF	A	Dividend			Sold	10/29/14	K	C	
446. JP MORGAN CHASE & CO	A	Dividend	J	T					
447. JP MORGAN INTREPID EURO SEL	A	Dividend	K	T	Buy	10/20/14	J		
448.					Buy (add'l)	11/21/14	J		
449. KAR AUCTION SVCS INC	A	Dividend	K	T	Sold (part)	06/19/14	J	A	
450. LINEAR TECHNOLOGY CORP COMMON	A	Dividend			Buy	02/24/14	J		
451.					Sold	08/27/14	J		
452. MCDONALDS CORP	A	Dividend			Buy (add'l)	02/24/14	J		
453.					Sold	10/21/14	J		
454. MEDTRONIC INC COMMON STOCK	A	Dividend	J	T	Buy	06/19/14	J		
455. METLIFE INC COMMON STOCK	A	Dividend			Buy	03/18/14	J		
456.					Sold	05/21/14	J		
457. MICRON TECH INC COMMON		None			Buy	02/05/14	J		
458.					Sold (part)	07/09/14	J	A	

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459.					Sold	09/19/14	J	C	
460. MONSANTO CO COMMON STOCK	A	Dividend			Buy	06/19/14	J		
461.					Sold	08/21/14	J		
462. OCH-ZIFF CAPITAL MANAGEMENT (SEE NOTES 1 & 7 IN SECT VIII)	B	Distribution	J	T	Sold (part)	01/15/14	J	B	
463.					Buy (add'l)	02/24/14	J		
464.					Distributed (part)	02/25/14	J		
465.					Buy (add'l)	04/29/14	J		
466.					Distributed (part)	05/19/14	J		
467.					Sold (part)	07/23/14	J	B	
468. PENNANTPARK FLTGT RT CAP LTD FUND	A	Dividend			Sold (part)	02/24/14	J	A	
469.					Sold (part)	07/24/14	J	A	
470.					Sold	08/12/14	J	A	
471. PHILLIPS 66 COMMON STOCK	A	Dividend	J	T	Buy	07/09/14	J		
472.					Buy (add'l)	12/23/14	J		
473. POWERSHRES ETF TR DYNA BUYBK FUND	A	Dividend	K	T					
474. PROCTER & GAMBLE	A	Dividend			Sold	05/22/14	J		
475. PROSHARES TR S&P 500 DV ARIST FUND	A	Dividend	K	T	Buy	10/29/14	K		

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476. PROSPECT CAPITAL CORP FUND	A	Dividend	J	T	Buy	05/13/14	J		
477.					Sold (part)	08/21/14	J	A	
478.					Sold	08/22/14	J	A	
479.					Buy	12/11/14	J		
480. PRUDENTIAL FINANCIAL INC COMMON STOCK	A	Dividend	J	T	Buy	05/21/14	J		
481.					Buy (add'l)	05/22/14	J		
482.					Buy (add'l)	12/23/14	J		
483. QUALCOMM INC		None			Sold	02/20/14	J	C	
484. SEADRILL LTD	B	Dividend			Buy (add'l)	02/04/14	J		
485.					Sold (part)	06/19/14	J	A	
486.					Sold	09/15/14	J		
487. SOLAR SENIOR CAPITAL LTD	A	Dividend	J	T	Buy	08/28/14	J		
488. SOLAR CAPITAL LTD FUND	A	Dividend	K	T	Buy	09/11/14	J		
489.					Buy (add'l)	09/24/14	J		
490.					Buy (add'l)	10/01/14	J		
491. SPDR S&P EMERGING ASIA PACIFIC FUND	A	Dividend			Buy (add'l)	01/13/14	J		
492.					Buy (add'l)	02/24/14	J		

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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)
493.					Sold	03/11/14	J	A	
494. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	K	T	Buy (add'l)	01/13/14	J		
495.					Sold (part)	06/19/14	J	C	
496. STARWOOD PROPERTY TRUST	B	Dividend	J	T	Sold (part)	02/24/14	J		
497.					Sold (part)	06/19/14	J		
498. STARWOOD WAYPOINT		None			Spinoff (from line 496)	01/31/14	J		
499.					Sold (part)	01/31/14	J	A	
500.					Sold	02/03/14	J	A	
501. UNITED TECHNOLOGIES CORP	A	Dividend			Sold (part)	06/19/14	J	B	
502.					Sold	07/07/14	J	C	
503. VANGUARD DIVIDEND APPRECIATION FUND	A	Dividend			Sold	10/29/14	K	D	
504. VANGUARD INFO TECH ETF	A	Dividend	J	T					
505. VANGUARD MID-CAP ETF	A	Dividend	K	T	Buy	10/29/14	K		
506. VANGUARD SMALL CAP ETF	A	Dividend	K	T	Buy	10/21/14	J		
507.					Buy (add'l)	10/29/14	J		
508. VERIZON COMMUNICATIONS		None			Spinoff (from line 510)	02/21/14	J		
509.					Sold	02/26/14	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)
510. VODAFONE GP PLC ADS	C	Dividend	J	T	Sold (part)	02/21/14	J		
511. WELLS FARGO & CO	A	Dividend	J	T	Buy (add'l)	02/24/14	J		
512. WISDOMTREE EUROPE HEDGED EQUITY FUND	A	Dividend			Buy (add'l)	01/13/14	J		
513.					Sold	10/20/14	J	A	
514. WISDOMTREE SMALL CAP DIV FUND	A	Dividend	K	T					
515. WISDOMTREE TRUST EMRG MKT EQUITY FUND	A	Dividend			Buy (add'l)	01/13/14	J		
516.					Buy (add'l)	02/24/14	J		
517.					Sold (part)	03/10/14	J		
518.					Sold	12/05/14	K		
519. WISDOMTREE TRUST JAPAN HEDGE EQUITY FUND	B	Dividend	J	T	Buy	06/19/14	J		
520. WISDOMTREE TRUST MIDCAP EARN	A	Dividend	J	T	Buy	02/24/14	J		
521.					Buy (add'l)	02/26/14	J		
522. YUM BRANDS INC	A	Dividend			Sold	02/05/14	J	A	
523. IRA#2 - OPTIONS (SEE NOTE 3 IN SECT VIII) (LINES 524 - 535)									
524. AMERICAN CAPITAL AGENCY - OPENING CONTRACT (9/24/13)		None							
525. OPTION EXPIRED		None			Expired	03/24/14		A	
526. APOLLO INVESTMENT CORP - OPENING CONTRACT (10/24/13)		None							

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
527. CLOSING CONTRACT		None			Buy	03/18/14	J	A	
528. JP MORGAN CHASE & CO - OPENING CONTRACT (9/24/13)		None							
529. CLOSING CONTRACT		None			Buy	02/07/14	J		
530. SEADRILL LTD - OPENING CONTRACT (8/8/13)		None							
531. OPTION EXPIRED		None			Expired	01/21/14		A	
532. SPDR S&P MIDCAP 400 ETF - OPENING CONTRACT (9/24/13)		None							
533. CLOSING CONTRACT		None			Buy	01/30/14	J		
534. UNITED TECHNOLOGIES - OPENING CONTRACT (9/24/13)		None							
535. CLOSING CONTRACT		None			Buy	02/21/14	J	A	
536. ADDITIONAL COMMON STOCKS/ FUNDS (NON-IRA) (LINES 537-581)									
537. SANDISK	B	Dividend	M	T	Buy (add'l)	02/06/14	J		
538. SANOFI		None	L	T	Buy	11/05/14	K		
539.					Buy (add'l)	12/05/14	K		
540. SEMPRA ENERGY	B	Dividend			Sold (part)	03/21/14	K	D	
541.					Sold	07/02/14	L	D	
542. SMUCKER JM	A	Dividend			Sold	03/21/14	K		
543. SPDR S&P MIDCAP 400 ETF TRUST		None	K	T	Buy	10/22/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ 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. SONIC CORP	G	Dividend	P3	T	Sold (part)	01/17/14	M	E	
545.					Buy (add'l)	01/23/14	M		
546.					Sold (part)	01/24/14	M	G	
547.					Sold (part)	02/18/14	P1	H1	
548.					Sold (part)	06/11/14	O	G	
549.					Sold (part)	06/12/14	O	G	
550.					Sold (part)	07/28/14	K	E	
551.					Sold (part)	07/31/14	J	D	
552.					Sold (part)	08/18/14	O	G	
553.					Buy (add'l)	12/08/14	M		
554.					Sold (part)	12/08/14	N	F	
555.					Buy (add'l)	12/11/14	M		
556.					Sold (part)	12/11/14	M	E	
557. TEXTRON	A	Dividend	L	T	Buy (add'l)	02/07/14	J		
558. THE TRAVELERS COS	D	Dividend	M	T	Sold (part)	08/29/14	K	E	
559. UNILEVER	A	Dividend			Sold (part)	02/07/14	K	D	
560.					Sold	03/24/14	L	E	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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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	(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. UNITED CONTINENTAL		None	N	T	Buy (add'l)	01/14/14	L		
562.					Buy (add'l)	06/11/14	K		
563. UNUM GROUP	C	Dividend	M	T	Sold (part)	11/24/14	L	E	
564. UPS COMMON STOCK		None	L	T	Buy	12/08/14	L		
565. UTILITIES SEL SECT SPDR FUND	A	Dividend	J	T	Buy	10/22/14	J		
566.					Sold (part)	12/02/14	J	A	
567. VANGUARD INDEX FUNDS S&P 500 ETF	A	Dividend	J	T	Buy	10/22/14	J		
568. VANGUARD SMALL CAP ETF	A	Dividend	K	T	Buy	10/22/14	K		
569. VANGUARD TELE SVCS ETF INDEX	A	Dividend	J	T	Buy	12/02/14	J		
570. VERITIV		None			Spinoff (from line 335)	07/01/14	J		
571.					Sold (part)	07/09/14	J	B	
572.					Sold	08/08/14	J	A	
573. VIACOM	B	Dividend	M	T					
574. VIRTUS INSIGHT EMERG MKTS MUTUTAL FUND	A	Dividend	J	T	Buy	11/03/14	J		
575. WALGREEN	E	Dividend	P1	T					
576. WALMART STORES	D	Dividend			Donated				
577. WEYERHAEUSER CO	B	Dividend	L	T	Sold (part)	04/16/14	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.)

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
578. WIDSOMTREE EUROPE HEDGED EQUITY	A	Dividend	J	T	Buy	10/22/14	J		
579. WISDOMTREE TRUST EM MKTS DVD GROWTH	A	Dividend	J	T	Buy	10/22/14	J		
580. WIDSOMTREE TRUST JAPAN HEDGE EQUITY	A	Dividend	J	T	Buy	10/22/14	J		
581. WISDOMTREE TRUST MDCP EARN	A	Dividend	K	T	Buy	10/22/14	J		
582. MLPS (LINES 583-652) EXCEPT WHERE NOTED									
583. APOLLO INVESTMENT CORP COMMON STOCK	D	Dividend	M	T	Buy (add'l)	03/26/14	M		
584.					Sold (part)	03/18/14	L	D	
585. BUCKEYE PARTNERS (SEE NOTE 1 IN SECT VIII)		None	N	T	Distributed (part)	02/25/14	J		
586.					Distributed (part)	05/19/14	J		
587.					Distributed (part)	08/07/14	J		
588.					Distributed (part)	11/25/14	J		
589. CHIMERA INVESTMENT CORP COMMON STOCK	E	Dividend	M	T					
590. KINDER MORGAN ENERGY (FKA COPANO ENERGY) (NOTE I SECT VIII)		None			Distributed (part)	02/14/14	J		
591.					Distributed (part)	05/15/14	J		
592.					Distributed (part)	08/07/14	J		
593.					Sold (part)	09/04/14	L	E	
594.					Sold (part)	09/04/14	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	
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
595.					Distributed (part)	11/14/14	J		
596.					Buy (add'l)	12/09/14	L		
597.					Sold	12/09/14	M	F	
598. CRESTWOOD EQUITY PARTNERS (SEE NOTE 1 IN SECT VIII)		None	M	T	Buy (add'l)	08/07/14	M		
599.					Distributed (part)	02/14/14	J		
600.					Distributed (part)	05/15/14	J		
601.					Distributed (part)	08/07/14	J		
602.					Distributed (part)	11/14/14	J		
603. CRESTWOOD MIDSTREAM PARTNERS (SEE NOTE 1 IN SECT VIII)		None	L	T	Distributed (part)	02/14/14	J		
604.					Distributed (part)	05/15/14	J		
605.					Distributed (part)	08/07/14	J		
606.					Distributed (part)	11/14/14	J		
607. ENERGY TRANS EQTY LP (SEE NOTE 1 IN SECT VIII)		None	N	T	Distributed (part)	02/19/14	J		
608.					Distributed (part)	05/19/14	J		
609.					Distributed (part)	08/07/14	J		
610.					Distributed (part)	11/19/14	J		
611. ENTERPRISE GP/AKA ENTERPRISE PRODS LP (NOTE 1 IN SECT VIII)		None	M	T	Distributed (part)	02/07/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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612.					Distributed (part)	05/07/14	J		
613.					Distributed (part)	08/07/14	J		
614.					Distributed (part)	11/07/14	J		
615. MAGELLAN MIDSTREAM PARTNERS LP (SEE NOTE 1 IN SECT VIII)	B	Distribution	L	T	Distributed (part)	02/14/14	J		
616.					Distributed (part)	05/15/14	J		
617.					Distributed (part)	08/07/14	J		
618.					Distributed (part)	11/14/14	J		
619. MARKWEST ENERGY PARTNERS LP (SEE NOTE 1 IN SECT VIII)		None	M	T	Distributed (part)	02/14/14	J		
620.					Distributed (part)	05/15/14	J		
621.					Distributed (part)	08/07/14	J		
622.					Distributed (part)	11/14/14	J		
623. NORTHERN TIER ENERGY LP (SEE NOTE 1 IN SECT VIII)	E	Distribution	N	T	Distributed (part)	02/28/14	J		
624.					Distributed (part)	05/30/14	J		
625.					Distributed (part)	08/07/14	J		
626.					Distributed (part)	11/25/14	J		
627. OCH-ZIFF (SEE NOTES 1 & 7 IN SECT VIII)	E	Distribution	M	T	Buy	03/21/14	M		
628.					Buy (add'l)	03/24/14	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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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)
629.					Distributed (part)	05/19/14	J		
630. PETROLOGISTICS LP (SEE NOTE 1 IN SECT VIII)	C	Distribution			Distributed (part)	02/25/14	J		
631.					Distributed (part)	05/14/14	J		
632.					Distributed (part)	07/16/14	J		
633.					Sold	07/16/14	M	E	
634. PROSPECT CAPITAL	C	Dividend	K	T	Buy	05/22/14	L		
635. PVR PARTNERS (SEE NOTE 1 IN SECT VIII)		None			Distributed (part)	02/13/14	J		
636.					Redeemed	03/24/14	M		
637. REGENCY (SEE NOTE 1 IN SECT VIII)		None	M	T	Spinoff (from line 636)	03/24/14	M		
638.					Distributed (part)	05/15/14	J		
639.					Distributed (part)	08/07/14	J		
640.					Distributed (part)	11/14/14	J		
641. RHINO RESOURCE PARTNERS (SEE NOTE 1 IN SECT VIII)	E	Distribution			Distributed (part)	02/14/14	J		
642.					Distributed (part)	05/15/14	J		
643.					Distributed (part)	08/07/14	J		
644.					Sold	08/01/14	L		
645. TARGA RES PARTNERS SEE NOTE 1 IN SECT VIII)		None	M	T	Distributed (part)	02/14/14	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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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
646.					Distributed (part)	05/15/14	J		
647.					Distributed (part)	08/07/14	J		
648.					Distributed (part)	11/14/14	J		
649. WESTERN GAS PARTNERS (SEE NOTE 1 IN SECT VIII)		None	L	T	Distributed (part)	02/12/14	J		
650.					Distributed (part)	05/14/14	J		
651.					Distributed (part)	08/07/14	J		
652.					Distributed (part)	11/13/14	J		
653. MLP ACCOUNT - OPTIONS (LINES 654-657 (NOTE 3 IN SECT VIII)									
654. APOLLO INVESTMENT CALL #2 - OPENING (9/12/13)		None							
655. OPTION ASSIGNED		None			Redeemed	03/18/14			
656. APOLLO INVESTMENT CALL #3 - OPENING (10/24/13)		None							
657. OPTION EXPIRED		None			Expired	03/24/14		A	
658. BONDS/FIXED INCOME (LINES 659 - 660)									
659. PETROLEOS DE VENEZUELA - BONDS	C	Interest			Sold	03/05/14	L		
660. RIDGEWORTH FUNDS SEIX FLTG RATE	E	Dividend	O	T					
661. CASH/S/T INVESTS/MM ACCTS (LINES 662-677)									
662. GOLDMAN SACHS FINANCIAL SQUARE MM/CASH	A	Interest	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	
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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)
663. GOLDMAN SACHS BANK DEPOSIT/ CASH #2 (FDN)	A	Interest	K	T					
664. CITIBANK CHECKING ACCOUNT - FOUNDATION		None	J	T					
665. CITIBANK INTEREST CHECKING ACCOUNT #1 (FERP)	A	Interest	J	T					
666. CITIBANK CHECKING ACCOUNT (HH)		None	J	T					
667. CITIBANK AGENCY TRUST CASH ACCOUNT	A	Interest	M	T					
668. CITIBANK ASSET ACCOUNT		None	M	T					
669. CITIBANK MONEY MARKET PLUS	C	Interest	P1	T					
670. CITIBANK INTEREST CHECKING ACCOUNT #2 (KATNH)	A	Interest	J	T					
671. STATE STREET INST LIQUID RESERVES MM/CASH (NB)	A	Dividend	M	T					
672. BARCLAYS CASH (SEE NOTE 8 IN SECT VIII)	A	Interest	J	T					
673. UBS BANK USA DEPOSIT ACCOUNT (SEE NOTE 8 IN SECT VIII)		None	J	T					
674. CGMI BANK DEPOSIT PROGRAM	A	Interest	N	T					
675. MORGAN STANLEY BANK/TRUST DEPOSITS #2	A	Interest	M	T					
676. MORGAN STANLEY BANK/TRUST DEPOSITS #2A	A	Interest	J	T	Open	10/21/14	M		
677. MORGAN STANLEY BANK/TRUST DEPOSITS #3 (ROTH IRA)	A	Interest	K	T					
678. FDN BROKERAGE #1 (LINES 679-681) (NOTE 16 IN SECT VIII)									
679. ABBVIE INC. COMMON STOCK (X)	D	Dividend	M	T	Sold (part)	12/12/14	N	F	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
680. WAL MART STORES INC COMMON STOCK (X)	C	Dividend	L	T	Sold (part)	04/10/14	L	A	
681.					Sold (part)	12/12/14	N	E	
682. FDN BRKG ACCT #2 (LINES 683 -846) (SEE NOTE 16 SECT VIII)									
683. MORGAN STANLEY BANK/TRUST #1 (CASH/MM)		None	J	T					
684. MORGAN STANLEY BANK/TRUST #2 (CASH/MM)	A	Interest	K	T					
685. COMMON STOCKS AND FUNDS (LINES 686- 827)									
686. ACTAVIS PLC		None	L	T	Buy	06/19/14	L		
687. ALCOBRA LTD		None			Buy	07/10/14	J		
688.					Sold	10/27/14	J		
689. AMERICAN CAPITAL AGENCY	D	Dividend			Buy (add'l)	01/13/14	J		
690.					Buy (add'l)	02/24/14	J		
691.					Sold (part)	09/10/14	K		
692.					Sold	12/11/14	K		
693. AMER INTL GP INC	A	Dividend	L	T	Sold (part)	06/19/14	K	E	
694. AMGEN INC COMMON STOCK	A	Dividend	L	T	Buy	03/10/14	L		
695.					Buy (add'l)	06/16/14	J		
696. APOLLO INVESTMENT CORP	C	Dividend			Buy (add'l)	03/24/14	K		

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

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

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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)
697.					Buy (add'l)	04/29/14	K		
698.					Sold (part)	07/23/14	K	C	
699.					Sold (part)	08/21/14	K	B	
700.					Sold	09/10/14	K	C	
701. APPLE INC	A	Dividend			Buy (add'l)	01/15/14	K		
702.					Sold	10/21/14	L	E	
703. ARES CAPITAL CORP		None	L	T	Buy	12/11/14	L		
704. ARES DYNAMIC CREDIT ALLOC FUND	B	Dividend	K	T	Buy	08/21/14	K		
705.					Buy (add'l)	08/22/14	J		
706.					Buy (add'l)	08/25/14	K		
707. ASHFORD HOSPITALITY TR INC	A	Dividend			Buy (add'l)	02/24/14	J		
708.					Sold (part)	03/21/14	K	D	
709.					Sold	03/24/14	K	C	
710. AVENUE INCOME CREDIT	D	Dividend	K	T	Sold (part)	06/19/14	K	A	
711. BLACKSTONE/GSO STRAT CREDIT FUND	B	Dividend	L	T	Buy	08/22/14	K		
712.					Buy (add'l)	09/11/14	J		
713. CATALENT INC COMMON STOCK		None	L	T	Buy	08/12/14	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	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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	(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)
714.					Buy (add'l)	08/13/14	K		
715. CHEVRON CORP		None	L	T	Buy	12/23/14	L		
716. CHIMERA INVESTMENT CORP	D	Dividend			Buy (add'l)	02/24/14	J		
717.					Sold	06/09/14	L	D	
718. COLUMBIA PPTY TR INC COMMON STOCK	A	Dividend			Buy	01/15/14	K		
719.					Buy (add'l)	01/16/14	K		
720.					Buy (add'l)	02/04/14	J		
721.					Sold	05/13/14	L	D	
722. DANAHER CORP	A	Dividend	L	T	Buy (add'l)	02/24/14	J		
723. DEVON ENERGY CORP	B	Dividend	L	T	Buy (add'l)	02/04/14	J		
724. DOUBLELINE TOTAL RETURN	B	Dividend			Sold	12/11/14	K		
725. DOW CHEMICAL CO		None	L	T	Buy	12/23/14	L		
726. EATON VANCE TAX MGD DIV EQU FUND	C	Dividend			Buy (add'l)	01/13/14	J		
727.					Buy (add'l)	02/24/14	J		
728.					Sold	10/21/14	K	D	
729. FIDELITY ADV HEALTH CARE INST	C	Dividend	L	T	Buy	10/03/14	K		
730.					Buy (add'l)	11/06/14	L		

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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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731. FIRST TRUST DORSEY WRIGHT FO	A	Dividend	L	T	Buy	10/03/14	K		
732.					Buy (add'l)	10/29/14	J		
733. GOTHAM ABSOLUTE RETURN	B	Dividend	M	T	Buy	06/09/14	M		
734. GUGGENHEIM SPIN OFF ETF	A	Dividend	L	T	Sold (part)	02/05/14	J	B	
735.					Sold (part)	11/05/14	K	D	
736. IMS HEALTH HOLDINGS INC COMMON STOCK		None	L	T	Buy	07/23/14	L		
737. ISHARES MSCI GROWTH INDX FD	B	Dividend	K	T	Buy (add'l)	02/24/14	J		
738. ISHARES MSCI USA MOMENTUM	A	Dividend	L	T	Buy	10/03/14	K		
739.					Buy (add'l)	10/29/14	J		
740. ISHARES S&P MID CAP 400 GROWTH ETF	A	Dividend			Buy (add'l)	02/24/14	J		
741.					Sold	10/29/14	L	E	
742. JP MORGAN CHASE	B	Dividend	L	T					
743. JP MORGAN INTREPID EURO SEL	C	Dividend	L	T	Buy	10/20/14	L		
744.					Buy (add'l)	11/21/14	K		
745. KAR AUCTION SERVICES INC	C	Dividend	L	T	Buy (add'l)	02/24/14	J		
746.					Sold (part)	06/19/14	J	A	
747. LINEAR TECHNOLOGY CORP	A	Dividend			Buy	02/24/14	L		

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748.					Sold	08/27/14	K		
749. MCDONALDS CORP	B	Dividend			Buy (add'l)	02/24/14	J		
750.					Sold	10/21/14	K		
751. MEDTRONIC INC COMMON STOCK	A	Dividend	L	T	Buy	06/19/14	L		
752. METLIFE INC COMMON STOCK	A	Dividend			Buy	03/18/14	L		
753.					Sold	05/21/14	L		
754. MICRON TECH INC		None			Buy	02/05/14	K		
755.					Sold (part)	07/09/14	J	C	
756.					Sold	09/19/14	L	D	
757. MONSANTO CO COMMON STOCK	A	Dividend			Buy	06/19/14	L		
758.					Sold	08/21/14	L		
759. OCH-ZIFF CAPITAL MANAGEMENT (SEE NOTES 1 & 7 IN SECT VIII)	D	Distribution	K	T	Sold (part)	01/15/14	K	D	
760.					Buy (add'l)	02/24/14	J		
761.					Distributed (part)	02/25/14	J		
762.					Buy (add'l)	04/29/14	K		
763.					Distributed (part)	05/19/14	J		
764.					Sold (part)	07/23/14	K	D	

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

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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)
765. PENNANTPARK FLTGR RT CAP LTD	C	Dividend			Sold (part)	02/24/14	J	A	
766.					Sold (part)	07/24/14	K	A	
767.					Sold (part)	08/12/14	J	A	
768.					Sold (part)	08/13/14	K	A	
769.					Sold	08/14/14	J	A	
770. PHILLIPS 66 COMMON STOCK	A	Dividend	L	T	Buy	07/09/14	L		
771.					Buy (add'l)	12/23/14	K		
772. POWERSHARES ETF TR DYNA BUYBK	B	Dividend	M	T	Buy (add'l)	02/24/14	J		
773. PROCTER & GAMBLE	B	Dividend			Buy (add'l)	02/24/14	J		
774.					Sold	05/22/14	L		
775. PROSHARES TR S&P 500 DV ARIST	A	Dividend	L	T	Buy	10/29/14	L		
776. PROSPECT CAPITAL CORP COMMON STOCK	B	Dividend	L	T	Buy	05/13/14	L		
777.					Sold (part)	08/21/14	K	B	
778.					Sold	08/22/14	K	C	
779.					Buy	12/11/14	L		
780. PRUDENTIAL FINANCIAL COMMON STOCK	B	Dividend	L	T	Buy	05/21/14	L		
781.					Buy (add'l)	05/22/14	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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)
782.					Buy (add'l)	12/23/14	J		
783. QUALCOMM INC		None			Sold	02/20/14	L	E	
784. SEADRILL LTD	D	Dividend			Buy (add'l)	02/04/14	J		
785.					Sold (part)	06/19/14	K	D	
786.					Sold	09/15/14	K		
787. SOLAR CAPITAL LTD	B	Dividend	L	T	Buy	09/11/14	L		
788.					Buy (add'l)	09/24/14	K		
789.					Buy (add'l)	10/01/14	J		
790. SOLAR SENIOR CAPITAL LTD	A	Dividend	K	T	Buy	08/28/14	K		
791. SPDR S&P EMERGING ASIA PACIFIC	A	Dividend			Buy (add'l)	01/13/14	J		
792.					Buy (add'l)	02/24/14	J		
793.					Sold	03/11/14	L	B	
794. SPDR S&P MIDCAP 400 ETF TRUST	B	Dividend	M	T	Buy (add'l)	01/13/14	K		
795.					Buy (add'l)	02/24/14	J		
796.					Sold (part)	06/19/14	L	E	
797. STARWOOD PROPERTY TRUST INC	D	Dividend	L	T	Buy (add'l)	02/24/14	J		
798.					Sold (part)	06/19/14	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
799. STARWOOD WAYPOINT		None			Spinoff (from line 797)	01/31/14	K		
800.					Sold (part)	01/31/14	J	A	
801.					Sold	02/03/14	K	A	
802. UNITED TECHNOLOGIES CORP	A	Dividend			Sold (part)	06/19/14	K	D	
803.					Sold	07/07/14	L	D	
804. VANGUARD DIVIDEND APPRECIATION	B	Dividend			Buy (add'l)	02/24/14	J		
805.					Sold	10/29/14	L	E	
806. VANGUARD INFO TECH ETF	A	Dividend	L	T					
807. VANGUARD MID-CAP ETF	B	Dividend	L	T	Buy	10/29/14	L		
808. VANGUARD SMALL CAP ETF	B	Dividend	L	T	Buy	10/21/14	L		
809.					Buy (add'l)	10/29/14	K		
810. VERIZON COMMUNICATIONS COMMON STOCK		None			Spinoff (from line 813)	02/21/14	K		
811.					Sold (part)	02/21/14	J		
812.					Sold	02/26/14	K		
813. VODAFONE GP PLC ADS	D	Dividend	K	T	Sold (part)	02/21/14	J		
814. WELLS FARGO & CO	B	Dividend	L	T	Buy (add'l)	02/04/14	K		
815.					Buy (add'l)	02/24/14	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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)
816. WISDOMTREE EUROPE HEDGED EQUITY FUND	A	Dividend			Buy (add'l)	01/13/14	J		
817.					Buy (add'l)	02/24/14	J		
818.					Sold	10/20/14	L	B	
819. WISDOMTREE SMALL CAP DIV FUND	B	Dividend	L	T	Buy (add'l)	02/24/14	J		
820. WISDOMTREE TRUST EMRG MKT EQT	C	Dividend			Buy (add'l)	01/13/14	K		
821.					Buy (add'l)	02/24/14	J		
822.					Sold (part)	03/10/14	K		
823.					Sold	12/05/14	L		
824. WISDOMTREE TRUST JAPAN HEDGE EQUITY	D	Dividend	L	T	Buy	06/19/14	L		
825. WISDOMTREE TRUST MDCP EARN	A	Dividend	L	T	Buy	02/24/14	K		
826.					Buy (add'l)	02/26/14	K		
827. YUM BRANDS INC	A	Dividend			Sold	02/05/14	K	C	
828. OPTIONS (LINES 829-846) (SEE NOTE 3 IN SECTION VIII)									
829. AMERICAN CAPITAL AGENCY - OPENING CONTRACT (9/24/13)		None							
830. CONTRACT EXPIRED		None			Expired	03/24/14		B	
831. APOLLO INVESTMENT CORP - OPENING CONTRACT (10/24/13)		None							
832. CLOSING CONTRACT		None			Buy	03/18/14	J	A	

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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	
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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	(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)
833. JP MORGAN CHASE - OPENING CONTRACT (9/24/13)		None							
834. CLOSING CONTRACT		None			Buy	02/07/14	J		
835. MCDONALDS - OPENING CONTRACT (9/24/13)		None							
836. CONTRACT EXPIRED		None			Expired	03/24/14		B	
837. QUALCOMM - OPENING CONTRACT (9/24/13)		None							
838. CONTRACT EXPIRED		None			Expired	01/21/14		A	
839. SEADRILL - OPENING CONTRACT (8/5/13)		None							
840. CONTRACT EXPIRED		None			Expired	01/21/14		B	
841. SPDR S&P MIDCAP 400 ETF TRUST - OPENING CONTRACT (9/24/13)		None							
842. CLOSING CONTRACT		None			Buy	01/30/14	J		
843. UNITED TECHNOLOGIES - OPENING CONTRACT (9/24/13)		None							
844. CLOSING CONTRACT		None			Buy	02/21/14	J	A	
845. WELLS FARGO & CO - OPENING CONTRACT (9/25/2013)		None							
846. CLOSING CONTRACT		None			Buy	04/10/14	J		
847. NON-PUBLICS (SEE NOTES 5 & 7 IN SECT VIII) (LINES 848-1011)									
848. ARIZONA SNOWBOWL (SEE NOTE 1 IN SECT VIII)		None	O	W	Buy (add'l)	04/28/14	K		
849. ELGIN CAPITAL (SEE NOTES 1 & 14 IN SECT VIII)	G	Distribution	P1	W	Distributed (part)	10/20/14	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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	(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)
850.					Distributed (part)	12/23/14	L		
851. ENTERTAINMENT ACQUISITION COMPANY (X) (NOTE 11 IN SECT VIII)	C	Distribution							
852. CENTERBRIDGE CREDIT PARTNERS (SEE NOTE 1 IN SECT VIII)	F	Distribution	P1	U					
853. TAMPA BAY RAYS (SEE NOTES 1 & 14 IN SECT VIII)	F	Distribution	N	W					
854. FRESH DIRECT		None	O	W					
855. HARDING SERVICE, LLC (SEE NOTES 1 & 6 IN SECT VIII) (X)	B	Distribution	J	V					
856. OFFIT CAPITAL ADVISORS (SEE NOTE 1 IN SECTION VIII)		None	N	W	Distributed (part)	01/14/14	K		
857. OPUS MEDIA PARTNERS (SEE NOTE 1 IN SECT VIII)		None			Distributed	06/13/14	K		
858. UNIVERSAL HOSPITAL SERVICES HOLDING CO (NOTE 1 SECT VIII)	A	Distribution	M	W					
859. WHOLESOME FOODS (SEE NOTES 1 & 14 IN SECTION VIII)		None	O	W					
860. GOLUB CAPITAL PARTNERS (SEE NOTE 9 IN SECTION VIII)	G	Distribution	P1	W	Distributed (part)	01/29/14	K		
861.					Distributed (part)	04/28/14	K		
862.					Distributed (part)	07/24/14	K		
863.					Distributed (part)	10/29/14	K		
864. GOLUB CAPITAL VIII (SEE NOTE 9 IN SECT VIII)	G	Distribution	P1	W	Distributed (part)	01/28/14	K		
865.					Buy (add'l)	03/12/14	M		
866.					Buy (add'l)	04/10/14	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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	(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)
867.					Distributed (part)	04/25/14	K		
868.					Buy (add'l)	06/27/14	L		
869.					Distributed (part)	07/24/14	K		
870.					Buy (add'l)	08/01/14	M		
871.					Buy (add'l)	08/25/14	L		
872.					Buy (add'l)	10/03/14	K		
873.					Distributed (part)	10/28/14	K		
874.									
875. IRVING PLACE CAPITAL II (SEE NOTES 9 & 14 IN SECT VIII)		None	L	W	Distributed (part)	01/21/14	J		
876. IRVING PLACE CAPITAL III (SEE NOTES 9 & 14 IN SECT VIII)	G	Distribution	P1	W	Distributed (part)	03/14/14	K		
877.					Distributed (part)	04/17/14	N		
878.					Distributed (part)	06/02/14	L		
879.					Distributed (part)	06/03/14	M		
880.					Buy (add'l)	06/13/14	J		
881.					Distributed (part)	07/10/14	K		
882.					Distributed (part)	12/10/14	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)
883. BLACKSTONE REAL ESTATE PARTNERS (SEE NOTES 9&14 IN SECT VIII	H1	Distribution	P2	W	Distributed (part)	01/14/14	K		
884.					Distributed (part)	01/27/14	L		
885.					Distributed (part)	02/25/14	L		
886.					Distributed (part)	03/04/14	J		
887.					Distributed (part)	04/16/14	L		
888.					Buy (add'l)	04/24/14	K		
889.					Distributed (part)	05/30/14	L		
890.					Distributed (part)	06/18/14	M		
891.					Distributed (part)	07/03/14	O		
892.					Distributed (part)	07/09/14	M		
893.					Distributed (part)	08/28/14	N		
894.					Distributed (part)	10/09/14	N		
895.					Distributed (part)	11/03/14	M		
896.					Distributed (part)	11/18/14	O		
897.					Distributed (part)	11/24/14	M		
898.					Distributed (part)	12/09/14	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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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)
899.					Distributed (part)	12/22/14	K		
900.					Distributed (part)	12/30/14	K		
901. BLENHEIM ELGIN NATURAL RESOURCES FUND (NOTE 9 SECT VIII)	G	Distribution	P1	W	Distributed (part)	12/19/14	M		
902. CENTERVIEW CAPITAL (SEE NOTES 10 & 14 IN SECT VIII)		None							
903. ADVANTAGE SALES MARKETING (SEE NOTE 15 IN SECT VIII)		None	M	W	Buy	09/26/14	M		
904. DEL MONTE (SEE NOTE 15 IN SECT VIII)		None	O	W					
905. NIELSEN CO (SEE NOTE 15 IN SECT VIII)		None			Sold (part)	05/08/14	L	F	
906.					Sold	05/29/14	M	G	
907. OLE SMOKEY TENNESSEE MOONSHINE (SEE NOTE 15 IN SECT VIII)		None	N	W					
908. RICHELIEU FOODS, INC (SEE NOTE 15 IN SECT VIII)		None	N	W					
909. HIGHCAPE PARTNERS (SEE NOTES 7 & 10 IN SECT VIII)	C	Interest							
910. CHEETAH MEDICAL (SEE NOTE 15 IN SECT VIII)		None	M	W	Buy	05/12/14	M		
911.					Buy (add'l)	05/29/14	L		
912.					Distributed (part)	09/30/14	K		
913.					Distributed (part)	12/18/14	K		
914. TELABIO (SEE NOTE 15 IN SECT VIII)		None	M	W	Buy	02/20/14	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
915.					Distributed (part)	05/12/14	J		
916.					Buy (add'l)	09/26/14	M		
917.					Distributed (part)	09/30/14	J		
918.					Distributed (part)	12/18/14	K		
919. KAYNE ANDERSON (SEE NOTE 9 IN SECT VIII)	C	Distribution	O	W	Buy (add'l)	02/05/14	M		
920.					Buy (add'l)	06/02/14	M		
921.					Buy (add'l)	11/03/14	M		
922.					Buy (add'l)	12/18/14	L		
923. DYNA VOX (Y)									
924. VESTAR CAPL PRTNRS/ASSC IV/AIV (SEE NOTE 9 SECT VIII)	G	Distribution	N	W	Distributed (part)	02/27/14	K		
925.					Distributed (part)	03/03/14	J		
926.					Distributed (part)	06/25/14	L		
927.					Distributed (part)	06/26/14	J		
928.					Distributed (part)	07/07/14	P1		
929.					Distributed (part)	07/08/14	L		
930. VESTAR CAP/ASSOC V (SEE NOTE 9 IN SECT VIII)	C	Distribution	P1	W	Distributed (part)	04/14/14	K		
931.					Distributed (part)	04/15/14	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)
932. ARGO TECH (Y)									
933. BORDER MEDIA (Y)									
934. CCS INCOME TRUST (Y)									
935. DEL MONTE (Y)									
936. GLEASON CORP (Y)									
937. HEALTHGRADES (Y)									
938. INHEALTH (Y)									
939. THE SUN PRODUCTS CORP (Y)									
940. MEDI-MEDIA (Y)									
941. NATIONAL MENTOR HLDNGS (Y)									
942. PRESS GANEY (Y)									
943. RADIATION THERAPY (Y)									
944. SEVES SPA (Y)									
945. DEVILBISS (Y)									
946. TRITON CONTAINER INTL (Y)									
947. WILTON RE HOLDINGS (Y)									
948. RAZOR'S EDGE FUND (SEE NOTE 9 IN SECT VIII)	B	Distribution	P1	W	Buy (add'l)	02/12/14	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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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)
949.					Buy (add'l)	05/29/14	M		
950.					Buy (add'l)	11/14/14	L		
951. RED ABBEY (SEE NOTE 9 IN SECT VIII)	G	Distribution	M	W	Distributed (part)	04/25/14	K		
952. SENTINEL CAPITAL II (SEE NOTE 10 IN SECT VIII) (Y)									
953. SENTINEL CAPITAL III (SEE NOTE 10 IN SECT VIII)	H1	Distribution							
954. SENTINEL CAPITAL IV (SEE NOTES 10 & 14 IN SECT VIII)	G	Distribution							
955. SENTINEL CAPITAL V (SEE NOTE 10 IN SECT VIII)		None							
956. CHASE DOOR HOLDINGS (SEE NOTE 15 IN SECTION VIII)		None			Sold	09/18/14	P1	G	AUDAX GROUP
957.					Distributed	12/24/14	J	D	
958. CHECKERS & RALLY'S (SEE NOTE 15 IN SECTION VIII)\		None	O	W	Buy	04/16/14	O		
959.					Buy (add'l)	06/30/14	K		
960.					Buy (add'l)	07/15/14	J		
961. CHROMALOX (SEE NOTES 11 & 15 IN SECTION VIII)		None			Distributed	01/02/14	L	F	
962. COLSON GROUP HOLDINGS (SEE NOTE 15 IN SECTION VIII)		None	O	W	Distributed (part)	06/30/14	J		
963.					Distributed (part)	09/18/14	J		
964. CREDIT INFONET HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	M	W					
965. CRITICAL SOLUTIONS (SEE NOTE 15 IN SECTION VIII)		None	L	W	Distributed (part)	01/02/14	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
966. ENGINEERED CONTROLS (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	01/02/14	O	G	
967. HOLLANDER SLEEP PRODUCTS (SEE NOTE 15 IN SECT VIII)		None	O	W	Buy	11/06/14	O		
968. HOSPICE ADVANTAGE (SEE NOTE 15 IN SECT VIII)		None	N	W					
969. HUDDLE HOUSE (SEE NOTE 15 IN SECT VIII)	G	Dividend	N	W					
970. IEP TECHNOLOGIES (SEE NOTE 15 IN SECT VIII)		None	N	W					
971. INSCAPE (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	03/21/14	J	B	
972. INTERIM HEALTHCARE (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	12/19/14	J	D	
973. LTI FLEXIBLE PRODUCTS (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	12/19/14	K	E	
974. MASSAGE ENVY (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	03/31/14	J	C	
975. MIDWEST WHOLESALE HARDWARE (SEE NOTE 15 IN SECT VIII)		None			Sold	11/25/14	J		SUBORDINATED DEBT LENDER
976. NATIONAL SPINE AND PAIN CENTERS (SEE NOTE 15 IN SECT VIII)		None	O	W	Distributed (part)	06/30/14	J		
977. NEWK'S HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	04/16/14	N		
978. NORTH AMERICAN RESCUE (SEE NOTE 15 IN SECT VIII)	D	Dividend	M	W	Distributed (part)	06/30/14	J		
979.					Distributed (part)	09/18/14	J		
980. NORTHEAST DENTAL MANAGEMENT (SEE NOTE 15 IN SECT VIII)		None	O	W	Buy (add'l)	01/02/14	K		
981. PCH HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	O	W	Buy	07/15/14	O		
982. POWER PRODUCT (SEE NOTE 15 IN SECT VIII)		None	O	W	Buy (add'l)	01/02/14	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 \$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)
983.					Distributed (part)	06/30/14	J		
984.					Distributed (part)	09/18/14	J		
985. PRECISION PIPELINE SOLUTIONS (SEE NOTE 15 IN SECT VIII)		None			Sold	12/31/14	L	D	UTILITY SERVICES ASSOC
986. ROBOMETRICS (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	12/08/14	N		
987. SOUTHERN CALIFORNIA (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	05/28/14	M	G	
988. SPINRITE (SEE NOTE 15 IN SECT VIII)	G	Dividend	P1	W	Distributed (part)	12/11/14	L	F	
989. TGI FRIDAYS (SEE NOTE 15 IN SECT VIII)		None	P1	W	Buy	07/15/14	P1		
990.					Distributed (part)	09/18/14	K		
991. TRUSSBILT HOLDINGS (SEE NOTE 15 IN SECT VIII)		None			Sold	11/25/14	M		COASTAL DETENTION HOLDINGS
992.					Distributed	12/19/14	J	D	
993. VINTAGE HOLDINGS (SEE NOTE 15 IN SECT VIII)	G	Dividend	O	W					
994. WELLSPRING PHARMACEUTICALS (SEE NOTE 15 IN SECTION VIII)	D	Interest	M	W					
995. SCIENS CAPITAL (AKA ZILKHA) (SEE NOTES 6 & 9 IN SECT VIII)	G	Distribution	J	V	Sold (part)	10/08/14	M		
996. NORTHERN HELLENIC HOLDINGS (SEE NOTES 6,9&14 IN SECT VIII)		None	K	V					
997. QUINTANA ENERGY PARTNERS (SEE NOTES 9&14 IN SECT VIII)	F	Distribution	O	W	Distributed (part)	11/04/14	L		
998.					Buy (add'l)	11/04/14	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)
999. NB CO-INVESTMENT PARTNERS (SEE NOTES 9&14 IN SECT VIII)	G	Distribution	O	W	Distributed (part)	01/15/14	K		
1000.					Distributed (part)	03/24/14	K		
1001.					Buy (add'l)	03/24/14	J		
1002.					Distributed (part)	05/07/14	K		
1003.					Buy (add'l)	05/07/14	J		
1004.					Distributed (part)	07/22/14	K		
1005.					Distributed (part)	09/12/14	J		
1006.					Distributed (part)	12/16/14	L		
1007. TINICUM LP (SEE NOTES 9 & 14 IN SECT VIII)		None	P1	W	Buy (add'l)	01/21/14	N		
1008.					Buy (add'l)	04/30/14	M		
1009.					Distributed (part)	10/30/14	L		
1010.					Buy (add'l)	10/30/14	M		
1011. 3G SPECIAL SITUATIONS FUND III (SEE NOTE 9 IN SECT VIII)	A	Distribution	P1	W					
1012. OTHER INVESTMENTS/NOTES RECEIVABLES (LINES 1013-1043)									
1013. CEDAR ROCK CAPITAL PARTNERS (SEE NOTE 1 IN SECT VIII)	F	Distribution	P1	T	Buy	02/27/14	P1		
1014. CHESAPEAKE PARTNERS (SEE NOTE 1 IN SECT VIII)	G	Distribution	P1	U					
1015. GOLD BULLION		None	N	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1016. BREVAN HOWARD (SEE NOTE 1 IN SECT VIII)	F	Distribution	P1	U					
1017. F. E. RICHARDSON & CO (SEE NOTES 1&13 IN SECT VIII)		None	L	V	Buy (add'l)	01/16/14	L		
1018.					Buy (add'l)	01/31/14	K		
1019.					Buy (add'l)	02/27/14	K		
1020.					Buy (add'l)	03/28/14	M		
1021.					Buy (add'l)	04/17/14	K		
1022.					Buy (add'l)	05/16/14	K		
1023.					Buy (add'l)	05/23/14	L		
1024.					Buy (add'l)	06/19/14	K		
1025.					Buy (add'l)	07/23/14	K		
1026.					Buy (add'l)	08/01/14	L		
1027.					Buy (add'l)	08/14/14	K		
1028.					Buy (add'l)	09/12/14	K		
1029.					Buy (add'l)	10/17/14	K		
1030.					Buy (add'l)	12/05/14	K		
1031.					Buy (add'l)	12/24/14	K		
1032. OP40 INC (Y)									

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)
1033. OVERLOOK PARTNERS (SEE NOTE 1 IN SECT VIII)	E	Distribution	O	U					
1034. QFR VICTORIA FUND (SEE NOTE 1 IN SECTION VIII)	G	Distribution	P1	U					
1035. ELIZABETH REILLY, PERSONAL LOAN - NOTE RECEIVABLE		None	K	U					
1036. SHIRLEY NAVARETTE, PERSONAL LOAN - NOTE RECEIVABLE		None	J	U	Open	04/01/14	J		
1037. (Repayments are noted as "Matured (part)")					Matured (part)	05/01/14	J		
1038.					Matured (part)	06/02/14	J		
1039.					Matured (part)	07/07/14	J		
1040.					Matured (part)	08/11/14	J		
1041.					Matured (part)	09/10/14	J		
1042.					Matured (part)	11/03/14	J		
1043.					Matured (part)	12/11/14	J		
1044. TRUST #1 (LINES 1045-1071) (SEE NOTE 2 IN SECT VIII)	E	Int./Div.	P1	T					
1045. ---GOLDMAN SACHS BANK DEPOSIT/ CASH #4									
1046. ---ABBOTT LABORATORIES COMMON STOCK									
1047. ---ABB-VIE INC. COMMON STOCK									
1048. ---ANADARKO PETROLEUM CORP COMMON STOCK									
1049. ---ASHLAND 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	

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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)
1050. ---B/E AEROSPACE INC					Buy	10/01/14	K		
1051. ---BLACKROCK INC COMMON STOCK									
1052. ---BOEING COMPANY COMMON STOCK									
1053. ---INTERNATIONAL PAPER CO COMMON STOCK					Sold	10/01/14	K	B	
1054. ---JOHNSON & JOHNSON COMMON STOCK									
1055. ---KLX INC					Spinoff (from line 1050)	12/17/14	J		
1056. ---KRAFT FOODS GROUP, INC COMMON STOCK					Sold	05/22/14	K	D	
1057. ---MONDELEZ INTL COMMON STOCK									
1058. ---OCCIDENTAL PETROLEUM CORP COMMON STOCK					Sold	10/01/14	K	C	
1059. ---PRECISION CASTPARTS CORP COMMON STOCK					Buy (add'l)	10/01/14	J		
1060. ---PRUDENTIAL FINANCIAL INC COMMON STOCK					Buy	05/22/14	K		
1061. ---SANDISK CORP COMMON STOCK									
1062. ---SONIC CORP COMMON STOCK									
1063. ---TEXTRON INC COMMON STOCK					Sold	10/01/14	K	C	
1064. ---UNITED CONTINENTAL HOLDING INC COMMON STOCK					Buy	06/13/14	K		
1065.					Buy (add'l)	10/01/14	J		
1066. ---VANGUARD FTSE ALL-WORLD EX-US INDEX FUND					Sold	05/22/14	K	C	

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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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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)
1067. ---VANGUARD FTSE DEVELOPED MKTS COMMON ETF					Sold	06/13/14	K	B	
1068. ---VERITIV CORP COMMON STOCK					Spinoff (from line 1053)	07/02/14	J		
1069.					Sold (part)	07/02/14	J	A	
1070.					Sold	10/02/14	J	A	
1071. ---WALGREEN BOOTS ALLIANCE, INC CO CMN STOCK (FKA WALGREENS)									
1072. TRUST #1A (LINES 1073-1213) (NOTES 1, 2 & 7 IN SECT VIII)	C	Int./Div.	N	T					
1073. ---GOLDMAN SACHS BANK DEPOSITS/ CASH #4A									
1074. ---ACCESS MIDSTREAM (FKA CHESAPEAKE MIDSTREAM)					Distributed (part)	02/14/14	J		
1075.					Sold (part)	11/26/14	J	A	
1076.					Sold (part)	11/28/14	J	A	
1077.					Sold (part)	12/02/14	J	A	
1078.					Sold (part)	12/03/14	J	A	
1079.					Distributed (part)	05/15/14	J		
1080.					Distributed (part)	08/14/14	J		
1081.					Distributed (part)	11/14/14	J		
1082. ---ATLAS PIPELINE PARTNERS, LP					Distributed (part)	02/14/14	J		
1083.					Sold (part)	12/01/14	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)
1084.					Distributed (part)	05/15/14	J		
1085.					Distributed (part)	08/14/14	J		
1086.					Distributed (part)	11/14/14	J		
1087. ---BUCKEYE PARTNERS LP					Distributed (part)	02/25/14	J		
1088.					Distributed (part)	05/19/14	J		
1089.					Distributed (part)	08/25/14	J		
1090.					Buy (add'l)	09/04/14	J		
1091.					Distributed (part)	11/25/14	J		
1092.					Sold (part)	12/01/14	J	A	
1093.					Sold (part)	12/02/14	J	A	
1094. ---DCP MIDSTREAM PARTNERS LP					Buy	02/28/14	J		
1095.					Distributed (part)	05/15/14	J		
1096.					Distributed (part)	08/14/14	J		
1097.					Distributed (part)	11/14/14	J		
1098.					Sold (part)	12/01/14	J		
1099.					Sold (part)	12/02/14	J		
1100.					Sold (part)	12/03/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1101. ---EL PASO PIPELINE PARTNERS					Sold (part)	02/13/14	J		
1102.					Distributed (part)	02/14/14	J		
1103.					Sold (part)	02/14/14	J		
1104.					Sold (part)	02/18/14	J		
1105.					Sold (part)	02/19/14	J		
1106.					Sold (part)	02/20/14	J		
1107.					Sold (part)	02/21/14	J		
1108.					Sold	02/24/14	J		
1109. ---ENERGY TRANSFER EQUITY LP					Sold (part)	01/06/14	J	B	
1110.					Sold (part)	01/07/14	J	C	
1111.					Sold (part)	01/08/14	J	C	
1112.					Sold (part)	02/13/14	J	A	
1113.					Sold (part)	02/14/14	J	A	
1114.					Sold (part)	02/18/14	J	A	
1115.					Distributed (part)	02/19/14	J		
1116.					Sold (part)	02/19/14	J	A	
1117.					Sold (part)	02/20/14	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
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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)
1118.					Sold (part)	02/21/14	J	A	
1119.					Distributed (part)	05/19/14	J		
1120.					Distributed (part)	08/19/14	J		
1121.					Distributed (part)	11/19/14	J		
1122. ---ENTERPRISE PRODUCTS PART LP					Distributed (part)	02/07/14	J		
1123.					Distributed (part)	05/07/14	J		
1124.					Distributed (part)	08/07/14	J		
1125.					Buy (add'l)	10/14/14	J		
1126.					Buy (add'l)	10/15/14	J		
1127.					Distributed (part)	11/07/14	J		
1128. ---EQT MIDSTREAM PARTNERS LP COMMON					Buy	05/02/14	K		
1129.					Distributed (part)	08/14/14	J		
1130.					Distributed (part)	11/14/14	J		
1131. ---GENESIS ENERGY, LP					Sold (part)	02/13/14	J	A	
1132.					Distributed (part)	02/14/14	J		
1133.					Sold (part)	02/14/14	J	A	
1134.					Sold (part)	02/18/14	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
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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)
1135.					Sold (part)	02/19/14	J	A	
1136.					Sold (part)	02/20/14	J	A	
1137.					Sold (part)	02/21/14	J	A	
1138.					Sold (part)	02/24/14	J	A	
1139.					Sold (part)	02/25/14	J	A	
1140.					Distributed (part)	05/15/14	J		
1141.					Distributed (part)	08/14/14	J		
1142.					Buy (add'l)	10/14/14	J		
1143.					Buy (add'l)	10/15/14	J		
1144.					Buy (add'l)	10/16/14	J		
1145.					Buy (add'l)	10/17/14	J		
1146.					Distributed (part)	11/14/14	J		
1147. ---MAGELLAN MIDSTREAM PARTNERS LP					Sold (part)	02/13/14	J	A	
1148.					Distributed (part)	02/14/14	J		
1149.					Sold (part)	02/14/14	J	A	
1150.					Sold (part)	02/18/14	J	A	
1151.					Sold (part)	02/19/14	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)
1152.					Sold (part)	02/21/14	J	A	
1153.					Sold (part)	12/01/14	J	A	
1154.					Sold (part)	12/02/14	J	A	
1155.					Sold (part)	12/03/14	J	A	
1156.					Sold (part)	12/04/14	J	A	
1157.					Distributed (part)	05/15/14	J		
1158.					Distributed (part)	08/14/14	J		
1159.					Distributed (part)	11/14/14	J		
1160. ---MARKWEST ENERGY PARTNERS LP					Distributed (part)	02/14/14	J		
1161.					Sold (part)	02/28/14	J	A	
1162.					Sold (part)	03/04/14	J	A	
1163.					Sold (part)	03/18/14	J	A	
1164.					Sold (part)	03/19/14	J	A	
1165.					Distributed (part)	05/15/14	J		
1166.					Distributed (part)	08/14/14	J		
1167.					Distributed (part)	11/14/14	J		
1168.					Sold (part)	12/01/14	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)
1169.					Sold (part)	12/02/14	J	A	
1170.					Sold (part)	12/03/14	J	A	
1171.					Sold (part)	12/04/14	J	A	
1172. ---ONE GAS, INC COMMON STOCK					Spinoff (from line 1176)	02/03/14	J		
1173.					Sold (part)	02/03/14	J	A	
1174.					Sold (part)	04/03/14	J	A	
1175.					Sold	04/04/14	J	A	
1176. ---ONEOK INC CMN (FKA ONEOK INC CMN CTSY CITI GLOBAL)					Buy (add'l)	04/24/14	J		
1177.					Buy (add'l)	04/25/14	J		
1178.					Buy (add'l)	04/28/14	J		
1179.					Buy (add'l)	04/29/14	J		
1180. ---ONEOK PARTNERS, LP					Distributed (part)	02/14/14	J		
1181.					Sold (part)	02/13/14	J		
1182.					Sold (part)	02/18/14	J		
1183.					Distributed (part)	05/15/14	J		
1184.					Distributed (part)	08/14/14	J		
1185.					Distributed (part)	11/14/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ 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)
1186.					Sold (part)	11/26/14	J	A	
1187.					Sold (part)	11/28/14	J	A	
1188.					Sold (part)	12/01/14	J		
1189.					Sold (part)	12/02/14	J		
1190. ---PLAINS ALL AMERICAN PIPELINE LP					Distributed (part)	02/14/14	J		
1191.					Distributed (part)	05/15/14	J		
1192.					Distributed (part)	08/14/14	J		
1193.					Buy (add'l)	10/14/14	J		
1194.					Buy (add'l)	10/15/14	J		
1195.					Buy (add'l)	10/16/14	J		
1196.					Distributed (part)	11/14/14	J		
1197. ---PLAINS GP HOLDINGS, LP									
1198. ---TARGA RESOURCES CORP COMMON					Buy	12/17/14	J		
1199. ---TEEKAY OFFSHORE PARTNERS LP									
1200. ---WESTERN GAS PARTNERS, LP					Distributed (part)	02/12/14	J		
1201.					Distributed (part)	05/14/14	J		
1202.					Distributed (part)	08/13/14	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)
1203.					Distributed (part)	11/13/14	J		
1204. ---THE WILLIAMS COMPANIES, INC									
1205. ---WILLIAMS PARTNERS LP					Distributed (part)	02/13/14	J		
1206.					Sold (part)	02/13/14	J		
1207.					Sold (part)	02/14/14	J		
1208.					Sold (part)	02/18/14	J		
1209.					Sold (part)	02/19/14	J		
1210.					Sold (part)	02/20/14	J		
1211.					Distributed (part)	05/09/14	J		
1212.					Distributed (part)	08/08/14	J		
1213.					Distributed (part)	11/07/14	J		
1214. TRUST #1B (LINES 1215-1279) (NOTES 2, 5 AND 7 IN SECT VIII)	G	Distribution	P1	W					
1215. ---CITI TRUST CHECKING ACCOUNT									
1216. ---OSCAR SCHAFFER (SEE NOTE 1 IN SECT VIII)									
1217. ---FLAG VENTURE CAPITAL (SEE NOTES 1 & 14 IN SECT VIII)					Distributed (part)	03/19/14	L		
1218.					Distributed (part)	04/25/14	K		
1219.					Distributed (part)	06/16/14	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1220.					Distributed (part)	08/05/14	K		
1221.					Distributed (part)	09/29/14	K		
1222.					Distributed (part)	11/07/14	K		
1223. ---FARALLON CAPITAL (SEE NOTES 1 & 14 IN SECT VIII)					Distributed (part)	05/21/14	K		
1224.					Distributed (part)	08/05/14	K		
1225.					Distributed (part)	11/07/14	M		
1226. ---VESTAR III (SEE NOTE 1 IN SECT VIII)									
1227. ---VANGUARD PRIME MM FUND									
1228. ---ACTAVIS PLC					Buy	07/01/14	K		
1229.					Buy (add'l)	08/11/14	K		
1230. ---CABOT OIL & GAS CORP					Buy	09/22/14	K		
1231.					Buy (add'l)	10/09/14	K		
1232. ---CLAYMORE GUGGENHEIM SPIN OFF ETF					Buy	03/26/14	L		
1233.					Sold (part)	07/18/14	K		
1234.					Sold (part)	09/04/14	K	A	
1235.					Sold	09/12/14	J	A	
1236. ---DODGE & COX INTL STOCK MUTUAL FUND					Sold	02/19/14	K	C	

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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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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)
1237. ---DOUBLELINE TOTAL RETURN BOND MUTUAL FUND					Sold	02/19/14	M		
1238. ---ENDO INTL PLC					Buy	07/14/14	K		
1239.					Buy (add'l)	07/18/14	K		
1240. ---EOG RESOURCES INC					Buy	09/12/14	L		
1241. ---FEDEX CORP					Buy	12/18/14	K		
1242.					Buy (add'l)	12/30/14	J		
1243. ---FIDELITY SELECT HEALTH CARE					Buy	12/30/14	K		
1244. ---ISHARES NASDAQ BIOTECHNOLOGY ETF					Buy	11/17/14	J		
1245.					Buy (add'l)	12/10/14	J		
1246.					Buy (add'l)	12/23/14	J		
1247. ---ISHARES CORE S&P MID CAP ETF					Buy (add'l)	03/26/14	K		
1248.					Sold (part)	09/12/14	L	D	
1249.					Sold (part)	10/01/14	K		
1250.					Sold	10/09/14	K		
1251. ---ISHARES CORE S&P SMALL CAP ETF					Sold	02/20/14	K	C	
1252. ---MCKESSON CORP					Buy	10/01/14	K		
1253. ---PIONEER NATURAL RESOURCES COMPANY					Buy	09/04/14	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	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1254.					Sold	12/23/14	K		
1255. ---POWERSHARES DYNAMIC BUYBACK ACHIEVERS ETF					Buy	02/24/14	L		
1256.					Sold (part)	09/12/14	K	B	
1257. ---PRIME CAP ODYSSEY AGGRESSIVE GROWTH MUTUAL FUND					Buy (add'l)	05/06/14	K		
1258.					Buy (add'l)	11/17/14	K		
1259. ---SALESFORCE.COM INC					Buy	11/18/14	K		
1260.					Buy (add'l)	11/20/14	J		
1261.					Buy (add'l)	12/10/14	J		
1262. ---SPDR SERIES TRUST S&P BIOTECH ETF					Buy	11/17/14	K		
1263.					Buy (add'l)	12/10/14	J		
1264.					Buy (add'l)	12/23/14	J		
1265. ---VANGUARD DIVIDEND APPRECIATION FUND					Buy (add'l)	11/17/14	K		
1266. ---VANGUARD HEALTH CARE ETF					Buy	11/17/14	K		
1267.					Buy (add'l)	12/10/14	J		
1268.					Buy (add'l)	12/23/14	J		
1269. ---VANGUARD INFORMATION TECHNOLOGY ETF					Buy	03/26/14	L		
1270.					Buy (add'l)	11/17/14	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	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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	(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)
1271. ---VANGUARD TOTAL INTL STOCK INDEX FUND ETF					Sold	02/19/14	K	C	
1272. ---VANGUARD TOTAL STOCK MARKET ETF					Buy	12/08/14	L		
1273. ---SEQUOIA FUND, INC					Buy (add'l)	02/27/14	J		
1274.					Sold (part)	10/29/14	K	A	
1275.					Sold (part)	11/03/14	K	B	
1276.					Sold (part)	11/05/14	K	B	
1277.					Sold (part)	11/06/14	K	A	
1278.					Sold (part)	11/10/14	K	A	
1279.					Sold	11/11/14	J		
1280. TRUST #2 (LINES 1281-1292)	D	Int./Div.	M	T					
1281. ---BLACKROCK LIQUIDITY FUNDS									
1282. ---PRUDENTIAL JENNISON 20/20 FOCUS FUND (MUTUAL FUND)									
1283. ---BLACKROCK EQUITY DIVIDEND INST CLASS FUND									
1284. ---CALAMOS GROWTH FUND					Sold	07/11/14	J	B	
1285. ---EAGLE SMALL CAP GROWTH FUND									
1286. ---ISHARES TIPS BOND ETF (FKA ISHARES BARCLAYS TR US TIP ETF									
1287. ---ISHARES TR MSCI EMERGING MKTS INDEX FD ETF									

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 = \$250,000,001 - \$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)
1288. ---ISHARES MSCI EAFE INDEX FUND ETF									
1289. ---ISHARES NATL MUNI BND ETF (FKA ISHARES S&P NATL MUNI FND)									
1290. ---POWERSHARES FTSE RAFI US 1K ETF					Buy	07/11/14	J		
1291. ---T ROWE PRICE INTL FD INC INTL BOND FUND									
1292. ---SPDR BARCLAYS CAP HIGH YIELD BOND ETF									
1293. TRUST #3 (LINES 1294-1376)	D	Int./Div.	N	T					
1294. ---BLACKROCK LIQUIDITY FUNDS									
1295. ---EATON CORP COMMON STOCK									
1296. ---COVIDIEN PLC COMMON STOCK									
1297. ---NOBLE CORP COMMON STOCK									
1298. ---AT&T INC COMMON STOCK									
1299. ---ALLERGAN INC COMMON STOCK									
1300. ---AMERICAN EXPRESS CO COMMON STOCK									
1301. ---AMERISOURCEBERGEN CORP COMMON STOCK									
1302. ---AMERIPRISE FINANCIAL INC COMMON STOCK									
1303. ---AMGEN INC COMMON STOCK									
1304. ---APPLE 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	

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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)
1305. ---BARON SMALL CAP MUTUAL FUND									
1306. ---BAXTER INTERNATIONAL INC COMMON STOCK									
1307. ---BLACKROCK FUNDS EQUITY DIVIDEND INST CLASS FUND									
1308. ---CALIFORNIA RESOURCES CORP					Spinoff (from line 1351)	12/01/14	J		
1309. ---CAPITAL ONE FINANCIAL CORP COMMON STOCK									
1310. ---CELANESE CORP COMMON STOCK									
1311. ---CF INDUSTRIES HOLDINGS INC									
1312. ---CHEVRON CORPORATION									
1313. ---CHUBB CORP COMMON STOCK									
1314. ---CISCO SYSTEMS INC COMMON STOCK									
1315. ---COACH INC COMMON STOCK									
1316. ---CUMMINS INC COMMON STOCK									
1317. ---DOLLAR TREE INC COMMON STOCK									
1318. ---EMC CORP COMMON STOCK									
1319. ---EAGLE SMALL CAP GROWTH MUTUAL FUND									
1320. ---EASTMAN CHEM CO									
1321. ---EBAY 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)
1322. ---EXXON MOBIL CORP COMMON STOCK									
1323. ---FIFTH THIRD BANCORP									
1324. ---FORD MOTOR COMPANY COMMON STOCK									
1325. ---FRANKLIN RESOURCES INC COMMON STOCK									
1326. ---GENERAL ELECTRIC CO COMMON STOCK									
1327. ---GENERAL MILLS INC COMMON STOCK									
1328. ---GOLDMAN SACHS GROUP INC COMMON STOCK									
1329. ---GOOGLE INC COMMON STOCK									
1330. ---GRAINGER WW INC COMMON STOCK									
1331. ---HARBOR INTERNATIONAL MUTUAL FUND									
1332. ---HOME DEPOT INC									
1333. ---INTEL CORP COMMON STOCK									
1334. ---IBM CORP COMMON STOCK									
1335. ---ISHARES TIPS BOND ETF (FKAISHARES BARCLAYS TR US TIP ETF)									
1336. ---ISHARES TR MSCI EMERGING MKTS INDEX FD ETF									
1337. ---ISHARES MSCI EAFE INDEX FUND ETF									

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)
1338. ---ISHARES TR S&P MIDCAP 400 INDEX FD ETF									
1339. ---ISHARES S&P NATL AMT-FREE MUNI BND FUND (FKA S&P)									
1340. ---JP MORGAN CHASE & CO COMMON STOCK									
1341. ---JOHNSON & JOHNSON COMMON STOCK									
1342. ---JOHNSON CONTROLS INC COMMON STOCK									
1343. ---LAUDER ESTEE COS INC COMMON STOCK									
1344. ---EXPRESS SCRIPTS (FKA MEDCO HEALTH SOLTNS INC COMMON STOCK									
1345. ---MALLINCKRODT PLC									
1346. ---MERCK & CO INC COMMON STOCK									
1347. ---METLIFE INC COMMON STOCK									
1348. ---MICROSOFT CORP COMMON STOCK									
1349. ---MONSANTO CO									
1350. ---NEWS CORP COMMON STOCK									
1351. ---OCCIDENTAL PETROLEUM CORP COMMON STOCK									
1352. ---ORACLE CORP COMMON STOCK									
1353. ---PARAGON OFFSHORE LTD					Spinoff (from line 1297)	08/04/14	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)
1354.					Sold (part)	08/07/14	J		
1355. ---PEPSICO INC COMMON STOCK									
1356. ---PFIZER INC COMMON STOCK									
1357. ---PRICE T ROWE GROUP INC COMMON STOCK									
1358. ---PROCTER & GAMBLE CO COMMON STOCK									
1359. ---ROCKWELL AUTOMATION INC COMMON STOCK									
1360. ---ROSS STORES INC COMMON STOCK									
1361. ---T ROWE PRICE INTL FD INC MUTUAL FUND									
1362. ---SPDR BARCLAYS CAP HIGH YIELD BD ETF									
1363. ---SCHLUMBERGER LTD COMMON STOCK									
1364. ---SCRIPPS NETWORKS INTERAC COMMON STOCK									
1365. ---JM SMUCKER CO COMMON STOCK									
1366. ---3M COMPANY COMMON STOCK									
1367. ---TWENTY-FIRST CENTURY									
1368. ---US BANCORP DEL COMMON STOCK									
1369. ---UNITED TECHNOLOGIES CORP COMMON STOCK									
1370. ---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	

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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)
1371. ---VIACOM INC COMMON STOCK									
1372. ---WAL-MART STORES INC COMMON STOCK									
1373. ---WELLS FARGO & CO COMMON STOCK									
1374. ---WILLIAMS COMPANIES INC COMMON STOCK									
1375. ---WISCONSIN ENERGY CORP COMMON STOCK									
1376. ---WPX ENERGY INC COMMON STOCK									
1377. TRUST #4 (SEE NOTES 2, 5 & 7 IN SECTION VIII)	A	Dividend	K	W					
1378. --VANGUARD PRIME MONEY MARKET FUND ACCOUNT #1					Closed	06/06/14	O		
1379. ---STAR FUND					Buy (add'l)	01/22/14	J		
1380.					Sold	02/26/14	N	F	
1381. ---PARK AVENUE EQUITY LP (SEE NOTES 1, 5 & 14 IN SECT VIII)									
1382. ---SONIC CORP COMMON STOCK					Sold	02/28/14	M	F	
1383. TRUST #5 (SEE NOTES 2, 5 & 7 IN SECTION VIII)	E	Dividend	O	T					
1384. ---VANGUARD PRIME MONEY MARKET FUND ACCOUNT #2									
1385. ---STAR FUND					Buy (add'l)	06/23/14	J		
1386. ---PARK AVENUE EQUITY LP (SEE NOTES 1, 5 & 14 IN SECT VIII)									
1387. ---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)
1388. TRUST #6 (SEE NOTES 2, 5 & 7 IN SECTION VIII)	E	Dividend	O	T					
1389. ---VANGUARD PRIME MONEY MARKET FUND ACCOUNT #3									
1390. ---STAR FUND					Buy (add'l)	01/22/14	J		
1391. ---PARK AVENUE EQUITY LP (SEE NOTES 1, 5 & 14 IN SECT VIII)									
1392. ---SONIC CORP COMMON STOCK									
1393. TRUST #7 (SEE NOTE 4 IN SECT VIII)		None	K	T					
1394. ---CITIBANK CHECKING ACCOUNT									
1395.									

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.)*

ALL FOOTNOTES RELATE TO SECTION VII

NOTE 1:

If a 2014 K-1 is issued for this S corporation, limited partnership, traded MLP or PTP and there is an investment remaining at year-end, all activity (interest, dividends, capital gains, ordinary income, etc.) was netted together, and, if that net figure was larger than the required income threshold, it was included in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 activity netted to a loss, then Column B.(1) was left blank and "None" was included in Column B.(2).

If the 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 Report Examiner.

NOTE 2:

Reporting person's [REDACTED] is either the Trustee or the Investment Trustee of this Trust. Therefore, its assets are deemed reportable.

NOTE 3:

For the contracts that were opened (sold short), any related gain that occurs will be included on the FDR when the options either expire or require action. When closing a contract requires the purchase of shares, the transaction may produce a gain if the amount received when the option was sold is more than the amount required to purchase the shares at the closing of the contract. There is no year end value reported because the contracts had no value at the end of 2014. When options are assigned, "Redeemed" is noted in Column D(1), there is no value as the cost of the option is included in the line showing the purchase of the shares. If options expire they have no value but the gain is recorded at that time. If there is a date noted in Column A, the contract was opened in the prior year and the related current year transaction information is included on subsequent lines.

NOTE 4:

The reporting person has been a Trustee of this insurance trust since November 7, 2011. Since that time, her position as Trustee and the trust's reportable asset were inadvertently omitted from annual financial disclosure reports. The trust holds two term life insurance policies and a non-interest bearing checking account. The term life policies are not reportable because they are not investment assets and they have no value. Sue Issa, Financial Disclosure Report Examiner, confirmed on May 4, 2015 that the term life insurance policies are not reportable. According to Sue Issa, the non-interest bearing checking account that is used to pay the annual insurance premiums is reportable if the year end balance is over \$5,000. The December 31, 2011, 2012 and 2013 balances of the checking account were all Code "K." The trust and the checking account are included on this report as Trust #7 (see Lines 1393-1394 in Section VII). Per Sue Issa, there is no need to amend prior year disclosure reports.

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 available company issued reports.

NOTE 6:

Either the Ending Capital Account value from the entity's 2014 K-1, or an estimate of the same, was used to determine the year-end value code for Column C.(1).

NOTE 7:

For those entities which issued K-1s, if the K-1 netted to a loss but there was another source of income from the entity, the source of the other income and the related income are included. If there was K-1 income and an additional source of income, both amounts were summed to determine the code for Columns B.(1) and "Distribution" is noted in Column B.(2).

NOTE 8:

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

NOTE 9:

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

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

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

NOTE 10:

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

There are several Sentinel Partnerships, a Centerview Capital Partnership and a HighCape Partnership (new in 2014). The portfolio companies that the Partnerships own are all listed separately on this report because the filer's [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).

For 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. In 2013, Sentinel II issued its final K-1. Therefore, it is no longer reportable. Sentinel V started making investments in 2014. Therefore, its portfolio companies and K-1 information is included.

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 or stand-alone investment was sold in a prior year. So, although the reporting family received distributions (e.g. escrow) and/or a K-1, there is no year-end value to report. If the entity was issued a K-1, any income was summed and included in Column B(1) with Column B(2) noting "Distribution."

NOTE 12:

Not used.

NOTE 13:

The filer's [REDACTED] is the sole shareholder of this S Corporation. The company's assets are limited to office furniture, office equipment, a checking account and a money market account. 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 2014 K-1 was not received by the time this report was filed. Therefore, the company's income was estimated. Once the actual K-1 is received, if the income code based on the actual K-1 differs from the code noted in this report, an amended report will be filed..

NOTE 15:

This investment is made through either a Sentinel, Centerview or HighCape Partnership. Since the filer's [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. If the reporting person carries no year end value for a portfolio company, there is no year end value included in Column C of this report. But, the company is still noted on this report because it is a portfolio company of a reportable limited partnership. See Note 10 for more information.

For purposes of this report, deemed contributions/distributions that occurred in 2013 are dated 1/2/2014. Those that occurred in 2014, are dated as of the end of the quarter in which they were deemed to have occurred.

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

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Name of Person Reporting

Wood, Kimba M.

Date of Report

5/4/2015

IX. CERTIFICATION.

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

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

Signature: **s/ Kimba M. Wood**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

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