

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Ambro, Thomas L.	2. Court or Organization U.S. Court of Appeals, 3rd Cir	3. Date of Report 05/14/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Federal Courthouse 844 N. King Street, Lock Box 32 Wilmington, DE 19801		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Thomas L. Ambro Revocable Trust
2. Member (Emeritus)	Georgetown University Alumni Admissions Program Board of Advisors
3. Member	Executive Committee, Richard S. Rodney Inn of Court
4. Member	Georgetown University Northern Delaware Alumni Admissions Program
5. Member	Board of Editors, Delaware Lawyer
6. Member	Board of Editors, Delaware Law Review

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. 2013	Georgetown University - teaching	\$6,000.00
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. 2013	State of Delaware - salary
2.	
3.	
4.	

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

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	University of Chicago Law School	January 22-23-2013	Chicago, IL	Sidebar Panelist	Transportation, Lodging & Meals
2.	Georgetown University	April 3, 2013	Washington, DC	Teaching Clinic Class	Transportation
3.	Georgetown University	August 5-6, 2013	Washington, DC	Teaching Class	Transportation
4.	Georgetown University	August 27-28, 2013	Washington, DC	Teaching Class	Transportation
5.	Georgetown University	September 8-9, 2012	Washington, DC	Teaching Class	Transportation
6.	Georgetown University	September 15-16, 2013	Washington, DC	Teaching Class	Transportation

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7.	Georgetown University	September 22-23, 2013	Washington, DC	Teaching Class	Transportation
8.	Georgetown University	September 30, 2013	Washington, DC	Teaching Class	Transportation
9.	Georgetown University	October 6-7, 2013	Washington, DC	Teaching Class	Transportation
10.	Georgetown University	October 19-21, 2013	Washington, DC	Teaching Class	Transportation
11.	Georgetown University	October 27-28, 2013	Washington, DC	Teaching Class	Transportation
12.	Georgetown University	November 1, 2013	Washington, DC	Teaching Class	Transportation
13.	Georgetown University	November 3-4, 2013	Washington, DC	Teaching Class	Transportation
14.	Georgetown University	November 10-11, 2013	Washington, DC	Teaching Class	Transportation
15.	Georgetown University	November 17-18, 2013	Washington, DC	Teaching Class	Transportation
16.	Georgetown University	November 24-25, 2013	Washington, DC	Teaching Class	Transportation
17.	Georgetown University	December 1-2, 2013	Washington, DC	Teaching Class	Transportation
18.	Georgetown University	December 10-12, 2013	Washington, DC	Teaching Class	Transportation

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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.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 144)	P1
2.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 144)	P1
3.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 144)	P1
4.	PNC Bank, National Association	Guaranty of letter of credit reimbursement obligations of Middletown Professional Properties, LLC	O
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. M&T Bank Account	A	Interest	K	T					
2. M&T Bank Account	A	Interest	J	T					
3. Wilmington Tax Exempt Investor		None	J	T					
4. Trust Account #6	D	Dividend	M	T					
5. - Centerpoint Energy Inc					Sold	02/04/13	K	D	
6. - Harris Assoc Oakmark I					Buy (add'l)	05/04/13	J		
7.					Distributed (part)	02/07/13	L		
8.					Sold (part)	06/05/13	J	B	
9.					Sold (part)	07/11/13	J	A	
10. - Oppenheimer Limited Term Municipal FD CL C					Distributed	02/07/13	L		
11. - WF Advantage Municipal Money Market									
12. IRA Account #1	C	Dividend	N	T					
13. - Oakmark Fund Class I									
14. - Dodge & Cox Intl Stock Fund					Sold (part)	02/25/13	J		
15.					Sold	04/08/13	K	B	
16. - Fairholme Fund					Buy (add'l)	02/26/13	J		
17.					Sold	04/08/13	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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☐ 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)
18. - WHV International Equity FD CL I					Buy (add'l)	02/26/13	J		
19.					Sold	04/08/13	J	A	
20. - Federated Strategic Value Dividend Fund					Buy (add'l)	01/08/13	J		
21.					Buy (add'l)	02/26/13	J		
22.					Sold	04/08/13	K	B	
23. - Natixis FDS TR 1 Oakmark Intl FD					Sold (part)	01/11/13	J	A	
24.					Sold (part)	02/25/13	J	A	
25.					Sold	04/08/13	K	D	
26. - Brandes Invt TR Instl Emerging Mkts FD					Sold	04/08/13	K	B	
27. - Federated Intl Strategic Value Dividend Fund					Sold	04/08/13	K	C	
28. - Matthews Asia Dividend Fund					Sold	04/08/13	K	C	
29. -Pimco Equity Ser Eqs Pathfinder					Buy (add'l)	04/08/13	J		
30.					Sold	04/08/13	K	C	
31. - Primecap Odyssey FDS Aggressive Growth Fund					Sold (part)	02/25/13	J	A	
32.					Sold	04/08/13	K	D	
33. - T Rowe Price Cap Appreciation FD					Buy	01/08/13	J		
34.					Sold	02/25/13	K	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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35. - Thornburg Invt TR Income Builder FD					Buy (add'l)	02/25/13	J		
36.					Buy (add'l)	03/25/13	J		
37.					Sold	04/08/13	K	C	
38. - iShares core S&P Midcap					Buy (add'l)	08/01/13	M		
39.					Sold (part)	09/03/13	M		
40.					Buy (add'l)	10/01/13	M		
41. - iShares Core S&P 500 Index					Buy	04/10/13	M		
42.					Buy (add'l)	05/01/13	J		
43.					Sold (part)	06/13/13	J	A	
44.					Sold (part)	07/01/13	M	B	
45.					Buy (add'l)	11/01/13	M		
46. - Proshares Untra Midcap 400					Buy	08/01/13	L		
47.					Buy (add'l)	10/01/13	L		
48.					Sold (part)	11/01/13	J	A	
49. - Proshares Ultra S&P 500					Buy	04/10/13	L		
50.					Sold (part)	05/01/13	J		
51.					Buy (add'l)	06/03/13	J		

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52.					Sold (part)	07/01/13	L	C	
53.					Buy (add'l)	11/01/13	L		
54. - iShares Russell 2000					Buy	04/10/13	M		
55.					Sold (part)	05/01/13	M		
56.					Buy (add'l)	06/03/13	M		
57.					Buy (add'l)	07/01/13	J		
58.					Sold	08/01/13	J	A	
59.					Buy (add'l)	09/03/13	J		
60.					Sold	11/01/13	M	D	
61. - Ultra Russell 2000 Midcap 400					Buy	06/03/13	L		
62.					Sold	11/01/13	L	D	
63. - iShares 3-7 Year Treasury Bond					Buy	05/01/13	L		
64.					Sold (part)	06/03/13	L		
65.					Buy (add'l)	07/01/13	M		
66.					Sold (part)	08/01/13	M		
67.					Buy (add'l)	09/03/13	M		
68.					Sold	10/01/13	M	B	

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69. - Proshares Trust Ultra 7-10 YR Treasury					Buy	05/01/13	L		
70.					Sold (part)	06/01/13	L		
71.					Buy (add'l)	07/01/13	K		
72.					Sold (part)	08/01/13	K		
73.					Buy (add'l)	09/03/13	K		
74.					Sold	10/01/13	K		
75. - Ultra Russell 2000 Proshares					Buy	04/10/13	L		
76.					Sold (part)	05/01/13	L		
77.					Buy (add'l)	06/03/13	L		
78.					Sold (part)	07/01/13	J	A	
79.					Sold (part)	08/01/13	J	A	
80.					Sold	10/01/13	J	A	
81. - Pimco All Asset Authority					Buy	02/25/13	J		
82.					Buy (add'l)	02/26/13	K		
83.					Buy (add'l)	03/22/13	J		
84.					Sold	04/08/13	K		
85. IRA Account #2	D	Int./Div.	N	T					

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86. - Fairholme Fund					Buy (add'l)	02/26/13	J		
87.					Buy (add'l)	09/09/13	J		
88. - WHV International Equity FD CL					Buy (add'l)	02/26/13	J		
89.					Buy (add'l)	09/09/13	J		
90. - Dodge & Cox Intl Stock FD					Sold (part)	02/25/13	K		
91.					Sold (part)	09/06/13	J	A	
92. - Federated Strategic Value Dividend FD					Buy (add'l)	02/26/13	J		
93.					Buy (add'l)	09/09/13	J		
94. - Natixisfds TR I Oakmark Intl FD					Sold (part)	02/25/13	J	A	
95.					Buy (add'l)	02/26/13	J		
96.					Sold (part)	09/06/13	J	B	
97. - Brandes Invt TR Instl Emerging Mkts FD					Sold (part)	02/25/13	J	A	
98.					Sold (part)	09/06/13	J	A	
99. - Federated Invt TR Instl Emerging Mkts FD					Buy (add'l)	02/26/13	J		
100.					Sold (part)	09/06/13	K	B	
101. - Matthews Asia Dividend FD					Sold (part)	09/06/13	J	A	
102. - Pimco Equity Ser EQS Pathfinder					Buy (add'l)	02/26/13	J		

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103.					Sold	09/06/13	K	C	
104. - Primecap Odyssey FDS Aggressive Growth FD					Sold (part)	02/25/13	J	A	
105.					Sold (part)	04/12/13	J	A	
106.					Sold (part)	07/12/13	J	A	
107.					Sold (part)	09/06/13	J	A	
108. - T Rowe Price Ca Appreciation FD					Sold	02/25/13	K	B	
109. - Thornburg Invt TR Invt Income Builder					Buy (add'l)	02/26/13	J		
110.					Sold	09/06/13	K	B	
111. - Northern Lts FD TR III Good Harbor US Tactical Core Fund					Buy	09/09/13	K		
112. - Mainstay FDS TR Marketfield FD CL I					Buy	09/09/13	J		
113. - Blackrock FDS Emerging MKT Long/ Short Equity FD					Buy	09/09/13	J		
114. - Virtus Opportunities Trust					Buy	09/06/13	K		
115.					Buy (add'l)	09/09/13	J		
116. - Pimco All Asset All Authority					Buy	02/25/13	J		
117.					Buy (add'l)	02/26/13	K		
118.					Sold	09/06/13	K		
119. Trust Account #12	D	Int./Div.	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. - Fairholme Fund					Sold (part)	02/25/13	J	A	
121.					Buy (add'l)	02/26/13	K		
122.					Buy (add'l)	09/09/13	J		
123.					Buy (add'l)	09/13/13	J		
124.					Buy (add'l)	09/16/13	J		
125.					Buy (add'l)	09/18/13	J		
126. - WHV International Equity FD					Buy (add'l)	09/09/13	J		
127.					Buy (add'l)	09/09/13	J		
128.					Buy (add'l)	09/16/13	J		
129.					Buy (add'l)	09/18/13	J		
130. -Federated Strategic Value Dividend Fund Instl					Buy (add'l)	02/26/13	J		
131.					Buy (add'l)	09/09/13	J		
132.					Buy (add'l)	09/13/13	J		
133.					Buy (add'l)	09/16/13	J		
134.					Buy (add'l)	09/18/13	J		
135. - Thornburg Invt TR Income Builder FD					Buy (add'l)	02/26/13	J		
136.					Sold	09/06/13	J	A	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. - Brandes Invt TR Inst Emerging Mkts FD					Sold (part)	02/25/13	J	A	
138.					Sold (part)	09/06/13	J		
139.					Buy (add'l)	09/13/13	J		
140.					Buy (add'l)	09/16/13	J		
141.					Buy (add'l)	09/18/13	J		
142. - Dodge & Cox Intl Stock FD					Sold (part)	02/25/13	J	A	
143.					Sold (part)	09/06/13	J	A	
144.					Buy (add'l)	09/16/13	J		
145.					Buy (add'l)	09/17/13	J		
146.					Buy (add'l)	09/19/13	J		
147. - Federated Intl Strategic Value Dividend FD					Buy (add'l)	02/26/13	J		
148.					Sold	09/06/13	K	B	
149. - Matthews Asia Dividend FD					Sold (part)	02/25/13	J	A	
150.					Sold (part)	09/03/13	J	A	
151.					Buy (add'l)	09/13/13	J		
152.					Buy (add'l)	09/16/13	J		
153.					Buy (add'l)	09/18/13	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. - Natixis FDS TR I Oakmark Intl FD CL A					Sold (part)	02/25/13	J	A	
155.					Sold (part)	09/06/13	J	B	
156.					Buy (add'l)	09/13/13	J		
157.					Buy (add'l)	09/16/13	J		
158.					Buy (add'l)	09/18/13	J		
159. - Pimco Equity Ser EQS Pathfinder FD					Buy (add'l)	02/26/13	J		
160.					Sold	09/06/13	K	C	
161. - Primecap Odyssey FDS Aggressive Growth FD					Sold (part)	02/25/13	J	A	
162.					Sold (part)	09/06/13	J	A	
163.					Buy (add'l)	09/13/13	J		
164.					Buy (add'l)	09/16/13	J		
165.					Buy (add'l)	09/18/13	J		
166. - T Rowe Price Cap Appreciation FD					Sold	02/25/13	K	B	
167. - Northern Lts FD TR III Good harbor US Tactical Core Fund					Buy	09/09/13	K		
168.					Buy (add'l)	09/13/13	J		
169.					Buy (add'l)	09/16/13	J		
170.					Buy (add'l)	09/18/13	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 = \$250,000,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. - Mainstay FDS TR Marketfield FD					Buy	09/09/13	K		
172.					Buy (add'l)	09/13/13	J		
173.					Buy (add'l)	09/16/13	J		
174.					Buy (add'l)	09/18/13	J		
175. - Blackrock FDS Emerging MKT Equity FD Instl Shs					Buy	09/09/13	J		
176.					Buy (add'l)	09/13/13	J		
177.					Buy (add'l)	09/16/13	J		
178.					Buy (add'l)	09/18/13	J		
179. - Virtus Opportunities Trust					Buy	09/06/13	K		
180.					Buy (add'l)	09/09/13	J		
181.					Buy (add'l)	09/13/13	J		
182.					Buy (add'l)	09/16/13	J		
183.					Buy (add'l)	09/18/13	J		
184. - Pimco All Asset All Authority					Buy	02/25/13	J		
185.					Buy (add'l)	02/26/13	K		
186.					Sold	09/06/13	K		
187. Springside, LLC (2000 - \$300,000, 2012- \$20,123)	A	Interest	P1	W					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
188. Middletown Professional Properties, LLC, (2004 - \$80,925)	D	Rent	O	W					
189. Trust #14	E	Interest			Closed				
190. - Du Page Cook & Will Cnty IL Bond					Sold	09/09/13	K	A	
191. - Oklahoma Cnty Ok Indpt Sch Dist No 89					Sold	04/04/13	K	C	
192. - University TX Univ Revs Rfdg Fing Sys					Sold	03/13/13	K	C	
193. - Gwinnett Cnty GA Sch Dist G/O					Sold	03/24/13	K	C	
194. - Maryland St St & Loc FACS LN 2nd Ser G/O					Sold	05/02/13	K	B	
195. - Cherokee Cnty GA Sch Sys G/O					Sold (part)	05/02/13	J	D	
196.					Sold	09/10/13	K	A	
197. - Illinois St Toll Hwy Auth Rev SR Priority					Sold	09/10/13	K	A	
198. - Arizona Brd Regents Univ AZ Sys Rev Ser A					Sold	09/10/13	K	B	
199. - Utah St Ser C G/O B/E CPN					Sold	03/13/13	L	C	
200. - Indiana ST Fin Auth Rev Rfdg ST					Sold	04/04/13	L	D	
201. - Metro Atlanta Rapid Tran Rev Ref					Sold	02/08/13	M	D	
202. - Sprint TX Indpt Sch Dist Ref Schoolhouse Ser A					Sold	09/10/13	K	B	
203. - Lower Co Riv Auth TX Transmission Contract RV					Sold	01/04/13	M	D	
204. - Dallas TX Area Rapid Tran Sales Tax Rev					Sold	03/06/13	L	D	

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. - Missouri St Hwys & Transn Commn ST RD Rev					Sold	02/26/13	L	C	
206. - University WA Univ Revs Rfdg Gen Ser A B/E					Sold	09/10/13	J		
207. - Minnesota ST Gen FD Rfdg Appropriation Ser B					Sold	09/10/13	L		
208. - New Jersey ST Tpk Auth Tpk Rev Ser B					Sold	06/04/13	M		
209. - Fort Bend Cnty TX Rfdg Sub Lien Toll RD					Sold	06/06/13	K		
210. - Charlotte Mecklenburg Hsp Auth NC HC Sys Rev Rfdg					Sold	06/17/13	L		
211. - Clackamas & WA Cntys OR					Buy	09/05/13	J		
212.					Sold	09/10/13	J	A	
213. - Metropolitan St. Louis MO Wastewater Sys Rev					Buy	01/11/13	L		
214.					Sold	06/17/13	L		
215. - Montgomery Cnty MD Public Impt Ser					Buy	01/04/13	K		
216.					Sold	08/29/13	K		
217. - New York St Env Mentl Facs Corp					Buy	06/26/13	K		
218.					Sold	09/10/13	K		
219. Trust #15	D	Int./Div.	N	T					
220. - Duke Energy Corp					Sold (part)	04/26/13	J	B	
221.					Donated (part)				

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

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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)
222. - Johnson & Johnson									
223. - Microsoft Corp					Sold (part)	04/30/13	K	E	
224.					Sold (part)	05/22/13	K	D	
225. - Range Resources Corp									
226. - Rex Energy Corp									
227. - The St Joe Company									
228. - Ultra Petroleum Corp					Sold	09/05/13	J		
229. - Fairholme FDS Inc					Buy (add'l)	01/07/13	J		
230. -Franklin Funds High Yield Tax-Free Inc					Sold	09/05/13	K		
231. - Oppenheimer Muni FD Limited Term Mun FD					Sold	09/05/13	K		
232. - Clean Energy Fuels Corp					Buy	03/13/13	K		
233.					Sold	09/05/13	J		
234. IRA #3	D	Int./Div.	M	T					
235. - Devon Energy Corp									
236. - Dominion Res Inc VA					Sold	04/26/13	L	E	
237. - Exxon Mobil Corp									
238. - Market Vector Gold Miners					Sold	11/27/13	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 = \$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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239. - Supervalu Inc					Sold	07/09/13	J	A	
240. - Unified Ser TR Appleseed FD					Sold	04/04/13	K	B	
241. - Brown Cap Mgmt Mut FDS Small Co Fund Inv									
242. - Gamco Gbl Gold Natural Resources & Income TR by Gabelli					Sold	11/27/13	J		
243. - Marine Harvest - Unspn ADR									
244. - The St Joe Company									
245. - Fairholme FDS Inc									
246. IRA #4	E	Int./Div.	P1	T					
247. - iShares Barclays 3-7 Yr Treasury Bond FD					Sold (part)	01/02/13	N		
248.					Buy (add'l)	05/01/13	N		
249.					Sold (part)	06/03/13	N		
250.					Buy (add'l)	07/01/13	O		
251.					Sold (part)	08/01/13	O		
252.					Buy (add'l)	09/03/13	O		
253.					Sold	10/01/13	O	D	
254. - iShares Core S&P Midcap ETF					Sold (part)	01/02/13	L	C	
255.					Sold (part)	01/22/13	K	B	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256.					Sold (part)	03/01/13	O	E	
257.					Buy (add'l)	08/01/13	O		
258.					Sold (part)	09/03/13	O		
259.					Buy (add'l)	10/01/13	O		
260. - Proshares Trust ET Ultra 7-10 YR Treasury Non-Traditional					Sold (part)	01/02/13	N		
261.					Buy (add'l)	05/02/13	N		
262.					Sold (part)	06/03/13	N		
263.					Buy (add'l)	07/01/13	M		
264.					Sold (part)	08/01/13	M		
265.					Buy (add'l)	09/03/13	M		
266.					Sold (part)	10/01/13	M	D	
267. - Proshares Ultra ET Midcap 400 Non- Traditional ETF					Buy (add'l)	01/02/13	K		
268.					Sold (part)	01/22/13	K	C	
269.					Sold (part)	03/01/13	N	E	
270.					Buy (add'l)	08/01/13	N		
271.					Sold (part)	09/03/13	N		
272.					Buy (add'l)	10/01/13	N		

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)
273.					Sold (part)	11/01/13	J	A	
274. - iShares Core S&P 500					Buy	03/01/13	O		
275.					Buy (add'l)	05/01/13	L		
276.					Sold (part)	06/03/13	L	C	
277.					Sold (part)	07/01/13	N	E	
278.					Buy (add'l)	11/01/13	O		
279. - Proshares Ultra S&P ET 500					Buy	03/01/13	N		
280.					Sold (part)	05/01/13	L	D	
281.					Buy (add'l)	06/03/13	K		
282.					Sold (part)	07/01/13	N	E	
283.					Buy (add'l)	11/01/13	N		
284. - Ultra Russell 2000 Proshares ETF					Buy	01/02/13	N		
285.					Sold (part)	01/22/13	K	A	
286.					Sold (part)	05/01/13	N	E	
287.					Buy (add'l)	06/03/13	N		
288.					Sold (part)	07/01/13	K	A	
289.					Sold (part)	08/01/13	J	B	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Sold (part)	09/03/13	J	A	
291.					Sold (part)	10/01/13	K	B	
292.					Sold	11/01/13	N	F	
293. - iShares TR Russell 2000 Index FD					Buy	01/02/13	O		
294.					Sold (part)	01/02/13	J	A	
295.					Sold (part)	05/01/13	O	E	
296.					Buy (add'l)	06/03/13	O		
297.					Buy (add'l)	07/01/13	J		
298.					Sold (part)	08/01/13	K	B	
299.					Buy (add'l)	09/03/13	J		
300.					Sold	11/01/13	O	F	
301. Trust #16	E	Int./Div.	P1	T					
302. - Anworth Mortgage Asset Corp					Buy (add'l)	02/14/13	J		
303.					Buy (add'l)	03/05/13	J		
304.					Buy (add'l)	03/12/13	J		
305.					Buy (add'l)	04/10/13	J		
306.					Buy (add'l)	05/08/13	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 M =\$100,001 - \$250,000
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	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)
307.					Sold (part)	07/05/13	J		
308.					Sold (part)	12/20/13	J		
309.					Sold	12/23/13	J		
310. - Apollo Investment Corp					Buy (add'l)	02/14/13	J		
311.					Buy (add'l)	03/05/13	J		
312.					Buy (add'l)	03/12/13	J		
313.					Buy (add'l)	03/19/13	J		
314.					Buy (add'l)	04/10/13	J		
315.					Buy (add'l)	05/08/13	J		
316.					Buy (add'l)	06/10/13	J		
317.					Buy (add'l)	06/26/13	J		
318. - Applied Materials Inc AMAT					Sold	01/08/13	J	A	
319. - Arlington Asset Investment Corp					Buy (add'l)	03/12/13	J		
320.					Buy (add'l)	05/08/13	J		
321.					Buy (add'l)	06/26/13	J		
322.					Sold	12/18/13	J	B	
323. - Armour Residential Reit Inc					Buy	02/14/13	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324.					Buy (add'l)	03/15/13	J		
325.					Buy (add'l)	03/12/13	J		
326.					Buy (add'l)	04/10/13	J		
327.					Buy (add'l)	05/08/13	J		
328.					Buy (add'l)	05/14/13	J		
329.					Buy (add'l)	05/24/13	J		
330.					Sold (part)	05/29/13	J		
331.					Sold (part)	06/10/13	J		
332.					Sold	06/11/13	J		
333. - Blackrock Kelso Capital Corp					Sold (part)	01/24/13	J	A	
334.					Buy (add'l)	02/14/13	J		
335.					Buy (add'l)	03/05/13	J		
336.					Buy (add'l)	03/12/13	J		
337.					Buy (add'l)	03/19/13	J		
338.					Buy (add'l)	04/10/13	J		
339.					Buy (add'l)	05/08/13	J		
340.					Buy (add'l)	06/10/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal 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)
341.					Buy (add'l)	06/26/13	J		
342.					Sold (part)	07/29/13	J	A	
343.					Sold (part)	07/30/13	J		
344. - Cardinal Health Inc					Buy (add'l)	02/14/13	J		
345.					Buy (add'l)	03/05/13	J		
346.					Buy (add'l)	03/12/13	J		
347.					Buy (add'l)	03/19/13	J		
348.					Buy (add'l)	04/10/13	J		
349.					Buy (add'l)	05/08/13	J		
350.					Buy (add'l)	06/26/13	J		
351.					Sold	09/18/13	J	B	
352. - Centrylink Inc					Buy (add'l)	02/14/13	J		
353.					Buy (add'l)	03/05/13	J		
354.					Buy (add'l)	03/12/13	J		
355.					Buy (add'l)	05/08/13	J		
356.					Buy (add'l)	06/10/13	J		
357.					Buy (add'l)	06/26/13	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 M = \$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	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	P2 = \$5,000,001 - \$25,000,000	T = Cash Market
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358.					Buy (add'l)	09/18/13	J		
359. - Cisco Systems Inc					Buy (add'l)	03/05/13	J		
360.					Buy (add'l)	03/19/13	J		
361.					Buy (add'l)	05/08/13	J		
362.					Sold (part)	08/09/13	J	B	
363. - Cypress Semiconductor Corp					Sold (part)	01/03/13	J	A	
364.					Buy (add'l)	02/14/13	J		
365.					Buy (add'l)	04/19/13	K		
366.					Buy (add'l)	04/28/13	J		
367.					Sold (part)	05/23/13	J	B	
368.					Buy (add'l)	06/10/13	J		
369.					Buy (add'l)	06/26/13	J		
370.					Sold (part)	08/08/13	J	B	
371.					Buy (add'l)	09/18/13	J		
372.					Buy (add'l)	11/15/13	J		
373. - CYS Investments Inc					Buy (add'l)	02/14/13	J		
374.					Buy (add'l)	02/27/13	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)
375.					Buy (add'l)	03/01/13	J		
376.					Buy (add'l)	03/05/13	J		
377.					Buy (add'l)	03/12/13	J		
378.					Buy (add'l)	03/19/13	J		
379.					Buy (add'l)	04/10/13	J		
380.					Buy (add'l)	05/08/13	J		
381.					Buy (add'l)	06/10/13	J		
382.					Sold (part)	06/11/13	J		
383.					Buy (add'l)	06/26/13	J		
384.					Sold (part)	07/05/13	J		
385.					Sold	12/31/13	J		
386. - Dynex Cap Inc					Buy (add'l)	02/14/13	J		
387.					Buy (add'l)	03/05/13	J		
388.					Buy (add'l)	03/12/13	J		
389.					Buy (add'l)	03/19/13	J		
390.					Buy (add'l)	04/10/13	J		
391.					Buy (add'l)	05/08/13	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392.					Buy (add'l)	06/10/13	J		
393.					Buy (add'l)	06/26/13	J		
394.					Sold (part)	08/20/13	J		
395.					Sold	12/30/13	J		
396. - Ford Motor Company					Buy (add'l)	03/05/13	J		
397.					Buy (add'l)	03/19/13	J		
398.					Sold	05/13/13	J	B	
399. - General Electric Company					Buy (add'l)	03/05/13	J		
400.					Buy (add'l)	03/19/13	J		
401.					Buy (add'l)	03/26/13	J		
402.					Buy (add'l)	04/10/13	J		
403.					Buy (add'l)	05/08/13	J		
404.					Buy (add'l)	06/26/13	J		
405.					Sold (part)	07/19/13	J	A	
406.					Buy (add'l)	09/04/13	J		
407.					Sold (part)	09/20/13	J	A	
408.					Sold	12/03/13	K	B	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000 M = \$100,001 - \$250,000
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	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)
409. - Halliburton Comapny					Sold	02/13/13	J	B	
410. - Intersil Corp					Buy (add'l)	03/05/13	J		
411.					Buy (add'l)	05/08/13	J		
412.					Buy (add'l)	06/26/13	J		
413.					Sold (part)	07/31/13	J	B	
414.					Sold	08/27/13	J	B	
415. - Johnson & Johnson					Buy (add'l)	02/14/13	J		
416.					Buy (add'l)	03/05/13	J		
417.					Buy (add'l)	03/12/13	J		
418.					Buy (add'l)	03/19/13	J		
419.					Sold (part)	04/01/13	J	B	
420.					Buy (add'l)	05/08/13	J		
421.					Sold	11/01/13	J	B	
422. - KLA-Tencor corp					Buy (add'l)	03/05/13	J		
423.					Buy (add'l)	03/19/13	J		
424.					Buy (add'l)	03/27/13	J		
425.					Buy (add'l)	05/08/13	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
426.					Sold	05/20/13	K	B	
427. - Kohls Corp					Buy (add'l)	02/14/13	J		
428.					Sold (part)	02/27/13	J		
429.					Buy (add'l)	03/05/13	J		
430.					Buy (add'l)	03/19/13	J		
431.					Buy (add'l)	04/10/13	J		
432.					Sold (part)	04/12/13	J		
433.					Buy (add'l)	05/08/13	J		
434.					Buy (add'l)	06/26/13	J		
435.					Sold (part)	08/14/13	J		
436.					Sold	08/27/13	J	A	
437. - Kroger Company Common					Sold	04/01/13	J	B	
438. - Marvell Technology Group LTD					Buy (add'l)	03/19/13	J		
439.					Buy (add'l)	05/08/13	J		
440.					Buy (add'l)	06/26/13	J		
441.					Sold (part)	08/17/13	J	C	
442.					Buy (add'l)	09/06/13	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)
443.					Sold (part)	11/05/13	J	B	
444.					Buy (add'l)	12/23/13	J		
445. - Microsoft Corp					Buy (add'l)	02/14/13	J		
446.					Buy (add'l)	02/26/13	J		
447.					Buy (add'l)	03/05/13	J		
448.					Buy (add'l)	03/12/13	J		
449.					Buy (add'l)	03/19/13	J		
450.					Sold (part)	04/04/13	J	A	
451.					Sold (part)	04/11/13	J	A	
452.					Sold (part)	06/10/13	J	C	
453.					Buy (add'l)	08/01/13	K		
454. - New York Mortgage Trust Inc					Sold (part)	01/31/13	J	A	
455.					Sold (part)	02/01/13	J	A	
456.					Buy (add'l)	02/14/13	J		
457.					Sold (part)	04/29/13	J	A	
458.					Buy (add'l)	04/30/13	J		
459.					Buy (add'l)	05/08/13	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
460.					Buy (add'l)	06/10/13	J		
461.					Buy (add'l)	06/26/13	J		
462.					Sold (part)	12/12/13	J	A	
463.					Sold	12/16/13	J	A	
464. - NewCastle Investment Corp					Sold (part)	01/07/13	J	A	
465.					Sold	01/24/13	J	B	
466. - Northstar Realty Finance Corp					Sold	01/24/13	J	B	
467. - Proctor & Gamble					Buy (add'l)	03/05/13	J		
468.					Sold	03/05/13	J		
469. - Proshares TR ET Ultrashort Russell 2000					Buy (add'l)	02/14/13	J		
470.					Buy (add'l)	03/05/13	J		
471.					Buy (add'l)	03/12/13	J		
472.					Buy (add'l)	03/19/13	J		
473.					Sold (part)	04/04/13	K		
474.					Buy (add'l)	05/09/13	K		
475.					Buy (add'l)	06/10/13	J		
476.					Buy (add'l)	06/12/13	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
477.					Sold (part)	06/21/13	K	A	
478.					Buy (add'l)	07/05/13	K		
479.					Sold (part)	07/18/13	K		
480.					Buy (add'l)	08/01/13	K		
481.					Buy (add'l)	08/06/13	J		
482.					Buy (add'l)	08/13/13	J		
483.					Buy (add'l)	08/15/13	J		
484.					Sold (part)	08/20/13	K		
485.					Sold (part)	08/29/13	J		
486.					Sold (part)	09/16/13	J		
487.					Sold (part)	09/18/13	J		
488.					Buy (add'l)	09/27/13	K		
489.					Sold (part)	10/09/13	K	A	
490.					Buy (add'l)	11/20/13	K		
491.					Sold	12/30/13	L		
492. - Proshares Trust ET Ultrashort S&P 500					Buy (add'l)	01/03/13	K		
493.					Buy (add'l)	02/04/13	K		

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

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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)
494.					Buy (add'l)	02/14/13	J		
495.					Sold (part)	02/27/13	K		
496.					Buy (add'l)	03/05/13	K		
497.					Buy (add'l)	03/19/13	K		
498.					Buy (add'l)	04/05/13	K		
499.					Sold (part)	04/09/13	K		
500.					Buy (add'l)	04/10/13	K		
501.					Buy (add'l)	04/11/13	K		
502.					Buy (add'l)	04/12/13	K		
503.					Buy (add'l)	04/15/13	J		
504.					Sold (part)	04/19/13	L		
505.					Buy (add'l)	04/26/13	K		
506.					Buy (add'l)	05/08/13	K		
507.					Buy (add'l)	05/22/13	J		
508.					Sold (part)	05/30/13	L		
509.					Buy (add'l)	06/10/13	K		
510.					Sold (part)	06/12/13	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 = \$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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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)
511.					Sold (part)	06/13/13	K		
512.					Buy (add'l)	06/19/13	K		
513.					Buy (add'l)	06/20/13	K		
514.					Buy (add'l)	06/24/13	K		
515.					Sold (part)	06/25/13	L		
516.					Buy (add'l)	06/26/13	K		
517.					Sold (part)	07/01/13	K		
518.					Buy (add'l)	07/03/13	K		
519.					Buy (add'l)	07/12/13	K		
520.					Buy (add'l)	07/24/13	K		
521.					Sold (part)	08/12/13	K		
522.					Sold (part)	08/20/13	K		
523.					Buy (add'l)	08/27/13	K		
524.					Sold (part)	08/30/13	K		
525.					Sold (part)	09/04/13	K		
526.					Buy (add'l)	09/06/13	K		
527.					Sold (part)	09/18/13	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)
528.					Buy (add'l)	09/20/13	K		
529.					Sold (part)	10/10/13	K		
530.					Sold (part)	11/14/13	L		
531.					Sold	11/21/13	L		
532. - Proshares Short S&P 500					Buy	10/14/13	L		
533.					Buy (add'l)	10/30/13	L		
534.					Buy (add'l)	12/03/13	K		
535.					Sold	12/30/13	M		
536. - Prospect Capital Corp					Buy (add'l)	02/14/13	J		
537.					Buy (add'l)	03/05/13	J		
538.					Buy (add'l)	03/12/13	J		
539.					Buy (add'l)	03/19/13	J		
540.					Buy (add'l)	04/10/13	J		
541.					Buy (add'l)	04/18/13	J		
542.					Buy (add'l)	05/08/13	J		
543.					Buy (add'l)	06/10/13	J		
544.					Buy (add'l)	06/26/13	J		

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

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Ambro, Thomas L.

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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)
545.					Buy (add'l)	07/11/13	J		
546.					Sold (part)	11/20/13	J	A	
547. - Regal Entertainment Group					Buy (add'l)	02/14/13	J		
548.					Buy (add'l)	03/05/13	J		
549.					Sold	04/01/13	J	A	
550. - Select Sector Spdr TR Utilities Select Sector					Buy (add'l)	03/19/13	J		
551.					Sold (part)	04/01/13	J	A	
552.					Buy (add'l)	06/13/13	K		
553.					Sold (part)	06/20/13	K		
554.					Sold	06/24/13	J		
555. - St Jude Medical Inc					Sold	01/24/13	J	B	
556. - Telefonica Brasil SA Sponsored ADR					Buy (add'l)	03/19/13	J		
557.					Buy (add'l)	05/08/13	J		
558.					Buy (add'l)	06/10/13	J		
559.					Buy (add'l)	06/25/13	J		
560.					Buy (add'l)	06/26/13	J		
561.					Sold (part)	08/21/13	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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Name of Person Reporting

Ambro, Thomas L.

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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)
562.					Sold	12/30/13	J		
563. - Telefonica SA Spon ADR					Sold (part)	03/18/13	J	A	
564.					Buy (add'l)	03/19/13	J		
565.					Buy (add'l)	06/27/13	J		
566.					Sold (part)	10/24/13	J	B	
567. - TICC Capital Corp					Buy (add'l)	02/14/13	J		
568.					Buy (add'l)	04/10/13	J		
569.					Buy (add'l)	06/10/13	J		
570.					Buy (add'l)	06/26/13	J		
571.					Sold	11/27/13	J	A	
572. - Total SA Spons ADR					Buy (add'l)	03/05/13	J		
573.					Buy (add'l)	03/18/13	J		
574.					Buy (add'l)	03/27/13	J		
575.					Buy (add'l)	04/10/13	J		
576.					Sold	05/01/13	K	A	
577. - Two Harbors Invt Corp					Buy (add'l)	04/10/13	J		
578.					Buy (add'l)	04/18/13	J		

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

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Ambro, Thomas L.

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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)
579.					Buy (add'l)	05/08/13	J		
580.					Buy (add'l)	06/10/13	J		
581.					Buy (add'l)	06/26/13	J		
582.					Buy (add'l)	07/02/13	J		
583.					Buy (add'l)	09/11/13	K		
584.					Buy (add'l)	11/27/13	J		
585.					Sold	12/30/13	L		
586. - Walgreen Company					Buy (add'l)	03/12/13	J		
587.					Sold	04/01/13	J	B	
588. - Waste Management Inc Del					Sold (part)	01/24/13	J	A	
589.					Buy (add'l)	02/14/13	J		
590.					Buy (add'l)	03/05/13	J		
591.					Buy (add'l)	03/12/13	J		
592.					Buy (add'l)	3/19/13	J		
593.					Sold (part)	04/02/13	J	B	
594.					Buy (add'l)	05/08/13	J		
595.					Buy (add'l)	06/10/13	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 = \$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)
596.					Sold	06/13/13	J	A	
597. - Whitestone Reit					Sold (part)	01/23/13	J	A	
598.					Buy (add'l)	03/19/13	J		
599.					Buy (add'l)	06/26/13	J		
600.					Buy (add'l)	10/03/13	J		
601. - Gladstone Investment Corp					Buy (add'l)	02/14/13	J		
602.					Buy (add'l)	03/05/13	J		
603.					Buy (add'l)	03/12/13	J		
604.					Buy (add'l)	03/19/13	J		
605.					Buy (add'l)	04/10/13	J		
606.					Buy (add'l)	05/08/13	J		
607.					Sold	07/17/13	K	A	
608. - Alerian MLP					Buy	09/18/13	K		
609. - American Capital Mortgage Investment Corp					Buy	02/12/13	J		
610.					Buy (add'l)	02/14/13	J		
611.					Buy (add'l)	03/05/13	J		
612.					Buy (add'l)	03/12/13	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
613.					Buy (add'l)	03/19/13	J		
614.					Buy (add'l)	04/10/13	J		
615.					Buy (add'l)	05/08/13	J		
616.					Buy (add'l)	06/26/13	J		
617.					Buy (add'l)	06/28/13	J		
618.					Sold (part)	08/12/13	J		
619. - American Realty Capital Properties Inc					Buy	09/25/13	J		
620. - AT&T Inc					Buy	01/17/13	J		
621.					Buy (add'l)	03/19/13	J		
622.					Buy (add'l)	04/10/13	J		
623.					Buy (add'l)	05/08/13	J		
624.					Buy (add'l)	06/10/13	J		
625.					Buy (add'l)	06/26/13	J		
626.					Buy (add'l)	06/28/13	J		
627. - BCE Inc					Buy	07/11/13	J		
628. - Conagra Foods Inc					Buy	08/30/13	J		
629.					Buy (add'l)	09/10/13	J		

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

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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)
630.					Sold (part)	12/19/13	J		
631. - Deere & Co					Buy	05/15/13	J		
632.					Buy (add'l)	06/17/13	J		
633.					Buy (add'l)	06/26/13	J		
634. - Einstein Noah Restaurant Group					Buy	11/13/13	J		
635. - Enduro Royalty Trust					Buy	09/27/13	J		
636. - Energy Select Sector SPDR					Buy	12/06/13	K		
637. - Ericsson Tel-SP ADR New					Buy	12/24/13	J		
638. - Fifth Street Finance Corp					Buy	11/27/13	J		
639.					Buy (add'l)	12/13/13	J		
640.					Buy (add'l)	12/20/13	J		
641. - Franklin Street Properties Corp REIT FSP					Buy	05/14/13	J		
642.					Buy (add'l)	06/26/13	J		
643. - HCP Inc					Buy	12/20/13	J		
644. - Hospitality Properties REIT Trust					Buy	03/19/13	J		
645.					Buy (add'l)	06/10/13	J		
646.					Buy (add'l)	06/24/13	J		

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

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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)
647.					Buy (add'l)	06/26/13	J		
648.					Sold (part)	08/16/13	J	A	
649. - Independence Realty TR Inc					Buy	08/20/13	J		
650. - Intel Corp					Buy	01/28/13	J		
651.					Buy (add'l)	02/14/13	J		
652.					Buy (add'l)	03/05/13	J		
653.					Buy (add'l)	03/12/13	J		
654.					Buy (add'l)	03/19/13	J		
655.					Buy (add'l)	05/08/13	J		
656.					Buy (add'l)	06/26/13	J		
657.					Buy (add'l)	08/01/13	K		
658.					Sold (part)	09/19/13	J	A	
659.					Sold (part)	12/24/13	K	B	
660. - iShares Mortgage Real Estate					Buy	11/14/13	K		
661. - Kellogg Company					Buy	12/23/13	J		
662. - Maxim Integrated Prods Inc					Buy	12/20/13	J		
663. - Medley Capital Corp					Buy	05/14/13	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
664.					Buy (add'l)	06/06/13	J		
665.					Buy (add'l)	06/26/13	J		
666.					Buy (add'l)	09/04/13	J		
667.					Sold (part)	12/27/13	K		
668. - Newmont Mining Corp New					Buy	03/28/13	J		
669.					Buy (add'l)	04/10/13	J		
670.					Buy (add'l)	05/08/13	J		
671.					Buy (add'l)	06/10/13	J		
672.					Sold (part)	06/20/13	J		
673.					Sold (part)	06/21/13	J		
674.					Buy (add'l)	12/31/13	J		
675. - Pengrowth Energy Corp					Buy	03/08/13	J		
676.					Buy (add'l)	03/27/13	J		
677.					Buy (add'l)	05/08/13	J		
678.					Buy (add'l)	06/26/13	J		
679. - Pennantpark Investment Corp					Buy	05/14/13	J		
680.					Buy (add'l)	06/07/13	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 = \$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)
681.					Buy (add'l)	06/26/13	J		
682. - Pfizer Incorporated					Buy	06/24/13	J		
683.					Buy (add'l)	06/26/13	J		
684.					Buy (add'l)	09/09/13	J		
685.					Sold (part)	10/24/13	K	B	
686.					Buy (add'l)	12/26/13	J		
687. - Proshares TR Ultrashort Non-Traditional ETP					Buy	11/05/13	K		
688.					Buy (add'l)	11/15/13	K		
689. - Proshares TR Ultrashort 20+ Year Treasury					Buy	05/28/13	K		
690.					Buy (add'l)	06/10/13	J		
691.					Buy (add'l)	06/24/13	J		
692.					Sold (part)	07/08/13	J	B	
693.					Sold (part)	09/18/13	J	B	
694.					Buy (add'l)	12/06/13	K		
695. - Royal Dutch Shell PLC ADR					Buy	04/09/13	J		
696.					Buy (add'l)	05/08/13	J		
697.					Buy (add'l)	06/10/13	J		

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

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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)
698.					Buy (add'l)	06/26/13	J		
699.					Sold (part)	10/24/13	J	A	
700. - Safeway Inc New					Buy	04/29/13	J		
701.					Buy (add'l)	05/08/13	J		
702.					Buy (add'l)	06/10/13	J		
703.					Buy (add'l)	06/13/13	J		
704.					Buy (add'l)	06/24/13	J		
705.					Buy (add'l)	06/26/13	J		
706.					Sold (part)	09/11/13	J	A	
707.					Sold (part)	09/20/13	J	C	
708.					Sold (part)	09/30/13	J	B	
709. - SPDR S&P International ET Dividend					Buy	02/27/13	J		
710.					Buy (add'l)	03/19/13	J		
711.					Buy (add'l)	05/08/13	J		
712.					Buy (add'l)	05/28/13	J		
713.					Buy (add'l)	06/10/13	J		
714.					Buy (add'l)	06/26/13	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 M = \$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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)
715.					Buy (add'l)	08/30/13	J		
716. - TICC Capital Corp					Buy	02/14/13	J		
717.					Buy (add'l)	03/05/13	J		
718.					Buy (add'l)	03/12/13	J		
719.					Buy (add'l)	03/19/13	J		
720.					Buy (add'l)	04/10/13	J		
721.					Buy (add'l)	05/08/13	J		
722.					Buy (add'l)	06/10/13	J		
723.					Buy (add'l)	06/26/13	J		
724. - Transocean LTD Ordinary Shares					Buy	03/05/13	J		
725.					Buy (add'l)	03/19/13	J		
726.					Buy (add'l)	04/10/13	J		
727.					Buy (add'l)	06/10/13	J		
728.					Buy (add'l)	06/13/13	J		
729.					Buy (add'l)	06/26/13	J		
730.					Buy (add'l)	08/30/13	J		
731.					Sold (part)	09/24/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal 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)
732. - Vodafone Group PLC Sponsored ADR New					Buy	06/18/13	J		
733.					Buy (add'l)	06/27/13	J		
734. - Abbott Laboratories					Buy	08/29/13	J		
735.					Sold	09/19/13	J	A	
736. - AGL Resources Inc					Buy	02/27/13	J		
737.					Buy (add'l)	03/05/13	J		
738.					Buy (add'l)	03/12/13	J		
739.					Buy (add'l)	03/19/13	J		
740.					Buy (add'l)	04/10/13	J		
741.					Sold	04/15/13	J	A	
742. - American Eagle Outfitters					Buy	06/17/13	J		
743.					Buy (add'l)	06/26/13	J		
744.					Sold	09/03/13	J		
745. - California WTR Svc					Buy	03/21/13	J		
746.					Buy (add'l)	05/08/13	J		
747.					Buy (add'l)	06/26/13	J		
748.					Sold	08/09/13	K	B	

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

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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)
749. - Deutsche Telekom AG					Buy	06/19/13	J		
750.					Buy (add'l)	06/27/13	J		
751.					Sold	12/30/13	K	D	
752. - Eli Lilly & Co					Buy	06/18/13	J		
753.					Buy (add'l)	06/26/13	J		
754.					Sold	08/13/13	K	B	
755. - Exxon Mobil Corp					Buy	08/01/13	K		
756.					Sold (part)	08/19/13	J		
757.					Buy (add'l)	10/09/13	J		
758.					Sold	11/26/13	K	B	
759. - Hewlett-Packard Company					Buy	08/22/13	J		
760.					Sold	12/05/13	K	C	
761. - iShares MSCI Brazil ET					Buy	07/11/13	J		
762.					Sold	09/19/13	K	B	
763. - Powershares TR Series I					Buy	02/27/13	K		
764.					Sold	02/27/13	K	A	
765. - Proshares Short Russell 2000 Non- Traditional ETF					Buy	09/20/13	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 M = \$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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)
766.					Sold	12/20/13	L		
767. - Proshares Short S&P 500 Non-Traditional ETF					Buy	10/14/13	L		
768.					Buy (add'l)	10/30/13	L		
769.					Buy (add'l)	12/03/13	K		
770.					Sold	12/30/13	M		
771. - Proshares Trust ETF Ultrapro Short S&P 500					Buy	09/20/13	K		
772.					Sold	09/23/13	K	A	
773. - SPDR S&P Dividend ET					Buy	05/15/13	K		
774.					Sold (part)	05/23/13	K		
775.					Buy (add'l)	05/26/13	K		
776.					Buy (add'l)	06/03/13	K		
777.					Buy (add'l)	06/06/13	K		
778.					Buy (add'l)	06/10/13	J		
779.					Sold (part)	06/20/13	K		
780.					Sold	06/24/13	K		
781. - Teva Pharmaceutical ADR Inds Ltd					Buy	02/27/13	J		
782.					Buy (add'l)	03/05/13	J		

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

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
783.					Buy (add'l)	03/19/13	J		
784.					Sold (part)	03/22/13	J	A	
785.					Buy (add'l)	05/03/13	K		
786.					Buy (add'l)	05/08/13	J		
787.					Sold (part)	06/14/13	J		
788.					Sold	06/20/13	J		
789. Trust #17	D	Int./Div.	M	T					
790. - Abbott Laboratories					Buy	08/29/13	J		
791.					Sold	09/19/13	J	A	
792. - AGL Resources Inc					Buy	02/27/13	J		
793.					Sold	04/16/13	J	A	
794. - Alerian MLP					Buy	09/18/13	J		
795. - American Capital Mortgage Investment Corp					Buy	02/13/13	J		
796. - American Realty Capital Properties Inc					Buy	09/25/13	J		
797. - American Eagle Outfitters Inc New					Buy	06/17/13	J		
798.					Sold	09/03/13	J		
799. - Anworth Mortgage Asset Corp					Buy	02/13/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
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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)
800.					Sold	07/05/13	J		
801. - Apollo Investment Corp					Buy	02/13/13	J		
802. - Arlington Asset Investment Corp					Buy	02/13/13	J		
803.					Sold	12/13/13	J	A	
804. - Armour Residential REIT Inc					Buy	02/12/13	J		
805.					Sold	06/11/13	J		
806. - AT&T Inc					Buy	02/13/13	J		
807.					Buy (add'l)	06/28/13	J		
808. - BCE Inc					Buy	07/11/13	J		
809. - Blackrock Kelso Capital Corp					Buy	02/13/13	J		
810. - California WTR Svc					Buy	03/21/13	J		
811.					Sold	08/13/13	J	A	
812. - Cardinal Health Inc					Buy	02/13/13	J		
813.					Sold (part)	04/11/13	J		
814.					Sold (part)	08/19/13	J		
815.					Sold (part)	09/18/13	J	A	
816.					Sold	12/30/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
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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)
817. - Centurylink Inc					Buy	02/13/13	J		
818.					Sold (part)	04/11/13	J		
819.					Buy (add'l)	09/18/13	J		
820.					Sold	12/30/13	J		
821. - Cisco Systems Inc					Buy	02/13/13	J		
822. - Conagra Foods Inc					Buy	08/29/13	J		
823.					Buy (add'l)	09/10/13	J		
824.					Sold (part)	12/19/13	J		
825. - Cypress Semiconductor					Buy	04/19/13	J		
826.					Sold (part)	05/23/13	J	A	
827.					Buy (add'l)	11/15/13	J		
828.					Buy (add'l)	02/13/13	J		
829.					Buy (add'l)	02/27/13	J		
830.					Sold	12/30/13	J		
831. - Deere & Co					Buy	05/15/13	J		
832.					Buy (add'l)	06/17/13	J		
833. - Deutsche Telekom AG Spon ADR					Buy	06/19/13	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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Ambro, Thomas L.

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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)
834.					Buy (add'l)	06/27/13	J		
835.					Sold	12/27/13	J	A	
836. - Dynex Cap Inc					Buy	02/13/13	J		
837. - Einstein Noah Restaurant Group					Buy	11/14/13	J		
838. - Eli Lillys Co					Buy	06/18/13	J		
839.					Sold	08/13/13	J	A	
840. - Enduro Royalty Trust					Buy	09/27/13	J		
841. - Energy Select Sector SPDR					Buy	12/06/13	J		
842. - Ericsson Tel-SP ADR					Buy	12/24/13	J		
843. - Exxon Mobil Corp					Buy	08/01/13	J		
844.					Sold (part)	08/19/13	J		
845.					Buy	10/09/13	J		
846.					Sold	11/26/13	J	A	
847. - Fifth Street Finance Corp					Buy	11/27/13	J		
848.					Buy (add'l)	12/13/13	J		
849.					Buy (add'l)	12/20/13	J		
850. - Ford Motor Company					Buy	02/13/13	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 M = \$100,001 - \$250,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

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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)
851.					Sold	05/13/13	J	A	
852. - Franklin Street Properties Corp REIT					Buy	05/14/13	J		
853. - General Electric Company					Buy	02/13/13	J		
854.					Buy (add'l)	03/26/13	J		
855.					Buy (add'l)	09/04/13	J		
856.					Sold (part)	12/03/13	J	A	
857. - Gladstone Investment Corp					Buy	02/13/13	J		
858.					Sold	10/22/13	J		
859. - Halliburton Company					Buy	02/13/13	J		
860.					Sold	02/13/13	J		
861. - Harris Assoc Invt TR Oakmark Equity & Income FD					Buy	02/07/13	L		
862.					Sold	02/11/13	L	D	
863. - HCP Inc					Buy	12/20/13	J		
864. - Hewlett-Packard Company					Buy	08/22/13	J		
865.					Sold	12/05/13	J	A	
866. - Hospitality Properties REIT Trust					Buy	03/19/13	J		
867. - Independence Realty TR Inc					Buy	08/13/13	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
868. - Intel Corp					Buy	02/13/13	J		
869.					Sold (part)	06/14/13	J	A	
870.					Buy (add'l)	08/01/13	J		
871.					Sold (part)	09/19/13	J	A	
872.					Sold (part)	12/24/13	J	A	
873. - Intersil Corp CL A					Buy	02/13/13	J		
874.					Sold (part)	07/31/13	J	A	
875.					Sold	08/27/13	J	A	
876. -iShares Mortgage Real Estate					Buy	11/14/13	J		
877. - iShares MSCI Brazil ET					Buy	07/11/13	J		
878.					Sold	09/19/13	J	A	
879. - Johnson & Johnson					Buy	02/13/13	J		
880.					Sold (part)	04/01/13	J	A	
881.					Sold	11/01/13	J	A	
882. - JP Morgan Chase Co					Buy	02/13/13	J		
883.					Sold	03/13/13	J	A	
884. - Kellogg Company					Buy	12/23/13	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)
885. - KLA-Tencor Corp					Buy	03/27/13	J		
886.					Sold (part)	05/20/13	J	A	
887.					Buy (add'l)	02/13/13	J		
888. -Kohls Corp					Buy	02/13/13	J		
889.					Sold (part)	02/27/13	J		
890.					Sold	08/27/13	J	A	
891. -Kroger Company Common					Buy	02/13/13	J		
892.					Sold	04/01/13	J	A	
893. - Marvell Technology Group LTD					Buy	02/13/13	J		
894.					Sold (part)	08/14/13	J	A	
895. - Maxim Integrated Prods Inc					Buy	12/20/13	J		
896. - Medley Capital Corp					Buy	09/04/13	J		
897. -Merck Co Inc New					Buy	02/13/13	J		
898.					Sold (part)	04/11/13	J	A	
899.					Sold	05/03/13	J	A	
900. - Microsoft Corp					Buy	02/13/13	J		
901.					Buy (add'l)	02/27/13	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)
902.					Sold (part)	04/04/13	J		
903.					Sold (part)	06/10/13	J		
904.					Buy (add'l)	08/01/13	J		
905. - New York Mortgage Trust					Buy	02/13/13	J		
906.					Sold	12/16/13	J	A	
907. - Newmont Mining Corp New					Buy	03/28/13	J		
908.					Buy (add'l)	12/31/13	J		
909. - Oppenheimer Limited Term Municipal FD CL C					Buy	02/07/13	L		
910.					Sold	02/11/13	L	B	
911. - Pengrowth Energy Corp					Buy	03/08/13	J		
912.					Buy (add'l)	03/27/13	J		
913. - Pennantpark Investment Corp					Buy	05/14/13	J		
914.					Buy (add'l)	06/07/13	J		
915. - Pfizer Incorporated					Buy	06/24/13	J		
916.					Buy (add'l)	09/09/13	J		
917.					Sold (part)	10/24/13	J	A	
918.					Buy (add'l)	12/26/13	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
919. - Powershares QQQ Series I					Buy	02/27/13	J		
920.					Sold	02/27/13	J	A	
921. - Procter Gamble Co					Buy	02/13/13	J		
922.					Sold	03/05/13	J	A	
923. - Proshares Short Russell 2000 Proshares Non-Traditional					Buy	09/20/13	J		
924.					Sold	12/20/13	J		
925. - Proshares Short S&P 500					Buy	10/14/13	J		
926.					Buy (add'l)	10/30/13	J		
927.					Buy (add'l)	12/03/13	J		
928. - Proshares TR ETF Ultrashort Russell 2000 Non-Traditional					Buy	02/13/13	J		
929.					Sold (part)	04/04/13	J		
930.					Buy (add'l)	05/09/13	J		
931.					Buy (add'l)	06/12/13	J		
932.					Sold (part)	06/21/13	J	A	
933.					Buy (add'l)	07/02/13	J		
934.					Buy (add'l)	07/16/13	J		
935.					Sold (part)	07/18/13	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
936.					Buy (add'l)	08/01/13	J		
937.					Buy (add'l)	08/06/13	J		
938.					Buy (add'l)	08/13/13	J		
939.					Buy (add'l)	08/15/13	J		
940.					Sold (part)	08/20/13	J		
941.					Sold (part)	08/29/13	J		
942.					Sold (part)	09/16/13	J		
943.					Sold (part)	09/18/13	J		
944.					Buy (add'l)	09/20/13	J		
945.					Buy (add'l)	09/27/13	J		
946.					Sold (part)	10/09/13	J		
947.					Buy (add'l)	11/20/13	J		
948.					Buy (add'l)	12/05/13	J		
949. - Proshares TR QQQ ETF Ultrashort Non-Traditional					Buy	11/05/13	J		
950.					Buy (add'l)	11/15/13	J		
951.					Sold	12/30/13	J		
952. - Proshares Trust ET Ultrashort S&P 500 New					Buy	02/13/13	K		

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

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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)
953.					Sold (part)	02/27/13	J		
954.					Buy (add'l)	02/27/13	J		
955.					Buy (add'l)	03/05/13	J		
956.					Buy (add'l)	03/15/13	J		
957.					Buy (add'l)	03/19/13	J		
958.					Buy (add'l)	04/05/13	J		
959.					Sold (part)	04/09/13	J		
960.					Buy (add'l)	04/11/13	J		
961.					Buy (add'l)	04/12/13	J		
962.					Buy (add'l)	04/15/13	J		
963.					Sold (part)	04/19/13	J		
964.					Buy (add'l)	04/26/13	J		
965.					Buy (add'l)	05/22/13	J		
966.					Sold (part)	05/30/13	J		
967.					Sold (part)	06/12/13	J		
968.					Sold (part)	06/13/13	J		
969.					Buy (add'l)	06/19/13	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 = \$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)
970.					Buy (add'l)	06/20/13	J		
971.					Buy (add'l)	06/24/13	J		
972.					Sold (part)	06/25/13	J		
973.					Sold (part)	07/01/13	J		
974.					Buy (add'l)	07/03/13	J		
975.					Buy (add'l)	07/12/13	J		
976.					Buy (add'l)	07/24/13	J		
977.					Sold (part)	08/12/13	J		
978.					Sold (part)	08/20/13	J		
979.					Buy (add'l)	08/27/13	J		
980.					Sold (part)	08/29/13	J		
981.					Buy (add'l)	08/30/13	J		
982.					Sold (part)	09/04/13	J		
983.					Buy (add'l)	09/06/13	J		
984.					Sold (part)	09/18/13	J		
985.					Buy (add'l)	09/20/13	J		
986.					Sold (part)	10/10/13	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)
987.					Sold (part)	11/14/13	J		
988.					Sold	11/21/13	J		
989. - Proshares Trust ETF Ultrapro Short S&P 500 New					Buy	09/20/13	J		
990.					Sold	09/23/13	J	A	
991. - Proshares Trust Ultrashort 20+ Year Treasury					Buy	05/28/13	J		
992.					Buy (add'l)	06/24/13	J		
993.					Sold (part)	07/08/13	J	A	
994.					Sold (part)	09/18/13	J	A	
995.					Buy (add'l)	12/06/13	J		
996. - Prospect Capital Corp					Buy	02/12/13	J		
997.					Buy (add'l)	04/18/13	J		
998. - Regal Entertainment Grp					Buy	02/13/13	J		
999.					Sold	04/01/13	J	A	
1000. - Royal Dutch Shell PLC ADR					Buy	04/09/13	J		
1001.					Sold (part)	10/24/13	J	A	
1002. - Safeway Inc New					Buy	04/29/13	J		
1003.					Buy (add'l)	06/13/13	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)
1004.					Buy (add'l)	06/24/13	J		
1005.					Sold (part)	09/20/13	J	A	
1006.					Sold (part)	09/30/13	J	A	
1007. - Select Sector SPDR TR Utilities					Buy	02/13/13	J		
1008.					Sold (part)	04/01/13	J	A	
1009.					Buy (add'l)	06/13/13	J		
1010.					Sold (part)	06/20/13	J		
1011.					Sold	06/24/13	J		
1012. - SPDR S&P Dividend					Buy	05/15/13	J		
1013.					Sold (part)	05/23/13	J		
1014.					Buy (add'l)	05/26/13	J		
1015.					Buy (add'l)	06/03/13	J		
1016.					Buy (add'l)	06/06/13	J		
1017.					Sold (part)	06/20/13	J		
1018.					Sold	06/24/13	J		
1019. - SPDR S&P International EF Dividend					Buy	02/27/13	J		
1020. - Telefonica Brasil SA Sponsored ADR					Buy	02/13/13	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1021. - Telefonica S A Spon ADR					Buy	02/13/13	J		
1022.					Sold (part)	03/18/13	J	A	
1023.					Buy (add'l)	06/27/13	J		
1024. - Teva Pharmaceutical ADR Inds LTD					Buy	02/27/13	J		
1025.					Sold (part)	03/22/13	J	A	
1026.					Buy (add'l)	05/03/13	J		
1027.					Sold (part)	06/14/13	J		
1028.					Sold	06/20/13	J		
1029. - TICC Capital Corp					Buy	02/13/13	J		
1030.					Sold (part)	12/09/13	J	A	
1031. - Total S A Spons ADR					Buy	02/13/13	J		
1032.					Sold	05/01/13	J		
1033. - Transocean LTD Ordinary Shares					Buy	03/05/13	J		
1034. - Two Harbors Invt Corp					Buy	02/13/13	J		
1035.					Buy (add'l)	04/18/13	J		
1036.					Buy (add'l)	07/02/13	J		
1037.					Buy (add'l)	09/11/13	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)
1038.					Sold (part)	12/30/13	J		
1039. - Vodafone Group PLC Sponsored ADR					Buy	06/18/13	J		
1040.					Buy (add'l)	06/27/13	J		
1041. - Walgreen Company					Buy	02/13/13	J		
1042.					Sold	04/01/13	J	A	
1043. - Waste Management Inc Del					Buy	02/13/13	J		
1044.					Sold	06/13/13	J	A	
1045. - Wells Fargo Company					Buy	02/13/13	J		
1046.					Sold (part)	04/17/13	J	A	
1047.					Sold	05/03/13	J	A	
1048. - Whitestone REIT					Buy	02/13/13	J		
1049.					Buy (add'l)	10/03/13	J		
1050. IRA #5	D	Int./Div.	N	T					
1051. - Abbott Laboratories					Buy	08/30/13	J		
1052.					Sold	09/19/13	J	A	
1053. -AGL Resources					Buy	02/27/13	J		
1054.					Sold	02/27/13	J	A	

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

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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)
1055. - Alerian MFP					Buy	09/18/13	J		
1056. - American Capital Mortgage Investment Corp					Buy	02/13/13	J		
1057.					Buy (add'l)	05/02/13	J		
1058.					Buy (add'l)	06/28/13	J		
1059.					Sold (part)	08/13/13	J		
1060. - American Eagle Outfitters					Buy	06/17/13	J		
1061.					Sold	09/03/13	J		
1062. - American Realty Capital Properties Inc					Buy	09/24/13	J		
1063. - Anworth Mortgage Asset Corp					Buy	01/28/13	J		
1064.					Buy (add'l)	05/02/13	J		
1065.					Sold (part)	07/05/13	J		
1066.					Sold (part)	12/20/13	J		
1067.					Sold	12/23/13	J		
1068. - Apollo Investment Corp					Buy	01/28/13	J		
1069.					Buy (add'l)	05/02/13	J		
1070. - Arlington Asset Investment Corp					Buy	01/28/13	J		
1071.					Sold	12/13/13	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)
1072. - Armour Residential REIT Inc					Buy	01/28/13	J		
1073.					Buy (add'l)	05/02/13	J		
1074.					Sold (part)	05/14/13	J		
1075.					Sold (part)	05/24/13	J		
1076.					Sold (part)	05/29/13	J		
1077.					Sold	06/11/13	J		
1078. - AT&T Inc					Buy	01/28/13	J		
1079.					Buy (add'l)	06/28/13	J		
1080. - BCE Inc					Buy	07/11/13	J		
1081. - Blackrock Kelso Capital Corp					Buy	01/28/13	J		
1082.					Buy (add'l)	05/02/13	J		
1083.					Sold (part)	07/29/13	J		
1084. - California WTR Svc					Buy	03/21/13	J		
1085.					Buy (add'l)	05/02/13	J		
1086.					Sold	08/02/13	J	A	
1087. - Cardinal Health Inc					Buy	01/28/13	J		
1088.					Buy (add'l)	05/02/13	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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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)
1089.					Sold (part)	08/01/13	J	A	
1090.					Sold	09/18/13	J	A	
1091. - Centurylink Inc					Buy	01/28/13	J		
1092.					Buy (add'l)	02/14/13	J		
1093.					Sold (part)	03/05/13	J		
1094.					Sold (part)	04/11/13	J		
1095.					Buy (add'l)	05/02/13	J		
1096.					Buy (add'l)	09/18/13	J		
1097.					Sold (part)	08/19/13	J		
1098. - Cisco Systems Inc					Buy	01/28/13	J		
1099.					Buy (add'l)	05/02/13	J		
1100.					Sold (part)	08/09/13	J	A	
1101. - Conagra Foods					Buy	08/29/13	J		
1102.					Buy (add'l)	09/10/13	J		
1103.					Sold (part)	12/19/13	J		
1104. - Cypress Semiconductor Corp					Buy	01/28/13	J		
1105.					Buy (add'l)	04/19/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal 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)
1106.					Buy (add'l)	05/02/13	J		
1107.					Sold (part)	05/23/13	J	A	
1108.					Sold (part)	08/08/13	J	A	
1109.					Buy (add'l)	09/18/13	J		
1110.					Buy (add'l)	11/15/13	J		
1111. - CYS Investments Inc					Buy	01/28/13	J		
1112.					Buy (add'l)	02/26/13	J		
1113.					Sold (part)	03/05/13	J		
1114.					Buy (add'l)	03/05/13	J		
1115.					Buy (add'l)	05/02/13	J		
1116.					Sold (part)	06/11/13	J		
1117.					Sold (part)	07/05/13	J		
1118. - Deere & Co					Buy	02/27/13	J		
1119.					Buy (add'l)	05/15/13	J		
1120.					Buy (add'l)	06/17/13	J		
1121. - Deutsche Telekom AG Spon Adr					Buy	06/19/13	J		
1122.					Buy (add'l)	06/27/13	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)
1123.					Sold	12/27/13	J	B	
1124. - Dynex Cap Inc					Buy	01/28/13	J		
1125.					Buy (add'l)	05/02/13	J		
1126.					Sold (part)	08/21/13	J		
1127. - Eli Lilly & Co					Buy	06/18/13	J		
1128.					Sold	08/13/13	J	A	
1129. - Ford Motor Company					Buy	01/28/13	J		
1130.					Buy (add'l)	05/02/13	J		
1131.					Sold	05/13/13	J	A	
1132. - Einstein Noah Restaurant Group					Buy	11/14/13	J		
1133. - Enduro Royalty Trust					Buy	09/27/13	J		
1134. - Energy Select Sector SPDR					Buy	12/06/13	J		
1135. - Ericsson Tel-SP ADR					Buy	12/24/13	J		
1136. - Exxon Mobil Corp					Buy	08/01/13	J		
1137.					Sold	08/19/13	J		
1138.					Buy	10/10/13	J		
1139.					Sold	11/26/13	J	A	

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

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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)
1140. - Fifth Street Finance Corp					Buy	11/27/13	J		
1141.					Buy (add'l)	12/13/13	J		
1142.					Buy (add'l)	12/20/13	J		
1143. - Franklin Street Properties Corp					Buy	05/14/13	J		
1144. - General Electric Company					Buy	01/28/13	J		
1145.					Buy (add'l)	03/26/13	J		
1146.					Buy (add'l)	05/02/13	J		
1147.					Sold (part)	07/19/13	J	A	
1148.					Buy (add'l)	09/04/13	J		
1149.					Sold (part)	09/20/13	J	A	
1150.					Sold (part)	12/03/13	J	A	
1151. - Halliburton Company					Buy	01/28/13	J		
1152.					Sold	02/13/13	J	A	
1153. - Hewlett-Packard Company					Buy	08/22/13	J		
1154.					Sold	12/05/13	J	A	
1155. - HCP Inc					Buy	12/20/13	J		
1156. - Hospitality Properties REIT Trust					Buy	03/19/13	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1157.					Buy (add'l)	06/24/13	J		
1158.					Sold (part)	08/16/13	J	A	
1159. - Independence Realty TR Inc					Buy	08/15/13	J		
1160. - Intel Corp					Buy	01/28/13	J		
1161.					Buy (add'l)	05/02/13	J		
1162.					Sold (part)	06/14/13	J	A	
1163.					Buy (add'l)	08/01/13	J		
1164.					Sold (part)	09/19/13	J	A	
1165.					Sold (part)	12/24/13	J	A	
1166. - Intersil Corp LC A					Buy	01/28/13	J		
1167.					Buy (add'l)	05/02/13	J		
1168.					Sold (part)	07/31/13	J	A	
1169.					Sold (part)	08/27/13	J	A	
1170. - iShares MSCI Brazil ETF					Buy	07/11/13	J		
1171.					Sold	09/19/13	J	A	
1172. - iShares Mortgage Real Estate					Buy	11/14/13	J		
1173. - Kellogg Company					Buy	12/23/13	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)
1174. - Johnson & Johnson					Buy	01/28/13	J		
1175.					Sold (part)	04/01/13	J	A	
1176.					Buy (add'l)	05/02/13	J		
1177.					Sold	11/01/13	J	A	
1178. - JP Morgan Chase & Co					Buy	01/28/13	J		
1179.					Sold (part)	02/27/13	J	A	
1180.					Sold	03/13/13	J	A	
1181. - KLA-Tencor Corp					Buy	01/28/13	J		
1182.					Buy (add'l)	03/27/13	J		
1183.					Buy (add'l)	05/02/13	J		
1184.					Sold	05/20/13	J	A	
1185. - Kohls Corp					Buy	01/28/13	J		
1186.					Sold (part)	02/27/13	J	A	
1187.					Sold (part)	04/12/13	J	A	
1188.					Buy (add'l)	05/02/13	J		
1189.					Sold (part)	08/14/13	J	A	
1190.					Sold	08/27/13	J	A	

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

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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)
1191. - Kroger Company Common					Buy	01/28/13	J		
1192.					Sold	04/01/13	J	A	
1193. - Marvell Technology Croup LTD					Buy	01/28/13	J		
1194.					Buy (add'l)	09/06/13	J		
1195.					Buy (add'l)	12/23/13	J		
1196.					Sold (part)	08/14/13	J	B	
1197.					Sold (part)	11/05/13	J	A	
1198.					Buy (add'l)	12/23/13	J		
1199. - Maxim Integrated Prods Inc					Buy	12/20/13	J		
1200. - Medley Capital Corp					Buy	09/04/13	J		
1201.					Buy (add'l)	05/14/13	J		
1202.					Buy (add'l)	06/06/13	J		
1203.					Buy (add'l)	09/04/13	J		
1204.					Sold (part)	12/26/13	J		
1205. - Merck & Co Inc New					Buy	01/28/13	J		
1206.					Sold (part)	04/11/13	J	A	
1207.					Buy (add'l)	05/02/13	J		

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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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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)
1208.					Sold	05/03/13	J	A	
1209. - Microsoft Corp					Buy	01/28/13	J		
1210.					Buy (add'l)	02/27/13	J		
1211.					Sold (part)	04/04/13	J	A	
1212.					Sold (part)	04/11/13	J	A	
1213.					Sold (part)	06/10/13	J	A	
1214.					Buy (add'l)	08/01/13	J		
1215. - New York Mortgage Trust Inc					Buy	01/28/13	J		
1216.					Sold (part)	01/31/13	J	A	
1217.					Buy (add'l)	05/02/13	J		
1218.					Sold (part)	12/12/13	J	A	
1219.					Sold (part)	12/16/13	J	A	
1220. - Newmont Mining Corp New					Buy	03/28/13	J		
1221.					Buy (add'l)	04/11/13	J		
1222.					Buy (add'l)	05/02/13	J		
1223.					Sold (part)	06/20/13	J		
1224.					Sold (part)	06/21/13	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)
1225.					Buy (add'l)	12/31/13	J		
1226. - Pengrowth Energy Corp					Buy	03/08/13	J		
1227. - Pennantpark Investment Corp					Buy	03/27/13	J		
1228.					Buy (add'l)	05/14/13	J		
1229.					Buy (add'l)	06/07/13	J		
1230. - Pfizer Incorporated					Buy	06/24/13	J		
1231.					Buy (add'l)	09/09/13	J		
1232.					Sold (part)	10/24/13	J	A	
1233.					Buy (add'l)	12/26/13	J		
1234. - Procter & Gamble Co					Buy	01/28/13	J		
1235.					Sold	03/05/13	J	A	
1236. - Proshares Trust Ultrapro Short S&P 500					Buy	09/20/13	J		
1237.					Sold	09/23/13	J	A	
1238. - Proshares Short S&P 500					Buy	10/14/13	K		
1239.					Buy (add'l)	10/30/13	K		
1240.					Buy (add'l)	12/30/13	J		
1241. - Proshares TR ET Ultrashort Russell 2000					Buy	01/28/13	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)
1242.					Sold (part)	04/04/13	J		
1243.					Buy (add'l)	05/09/13	J		
1244.					Buy (add'l)	06/12/13	J		
1245.					Sold (part)	06/21/13	J	A	
1246.					Buy (add'l)	07/02/13	J		
1247.					Sold (part)	07/18/13	J		
1248.					Buy (add'l)	08/01/13	J		
1249.					Buy (add'l)	08/06/13	J		
1250.					Buy (add'l)	08/13/13	J		
1251.					Buy (add'l)	08/15/13	J		
1252.					Sold (part)	08/20/13	J	A	
1253.					Sold (part)	08/29/13	J	A	
1254.					Buy (add'l)	09/20/13	J		
1255.					Buy (add'l)	09/27/13	J		
1256.					Sold (part)	09/16/13	J		
1257.					Sold (part)	09/18/13	J		
1258.					Sold (part)	10/09/13	J	A	

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

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Ambro, Thomas L.

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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)
1259.					Buy (add'l)	11/20/13	J		
1260.					Buy (add'l)	12/05/13	J		
1261.					Buy (add'l)	12/05/13	J		
1262.					Sold (part)	12/20/13	K		
1263.					Buy	11/05/13	J		
1264.					Buy (add'l)	11/15/13	J		
1265. - Proshares Trust Ultrashort 20+ Treasury					Buy	05/26/13	J		
1266.					Buy (add'l)	06/24/13	J		
1267.					Sold (part)	07/08/13	J	A	
1268.					Sold (part)	09/18/13	J	A	
1269.					Buy (add'l)	12/06/13	J		
1270. - Proshares TR Ultrashort S&P 500					Buy	01/28/13	K		
1271.					Buy (add'l)	02/04/13	J		
1272.					Sold (part)	02/27/13	J		
1273.					Buy (add'l)	03/05/13	J		
1274.					Buy (add'l)	03/15/13	J		
1275.					Buy (add'l)	04/04/13	J		

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

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

☐

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1276.					Sold (part)	04/09/13	J		
1277.					Buy (add'l)	04/11/13	J		
1278.					Buy (add'l)	04/12/13	J		
1279.					Buy (add'l)	04/15/13	J		
1280.					Sold (part)	04/19/13	K		
1281.					Buy (add'l)	04/25/13	J		
1282.					Buy (add'l)	04/26/13	J		
1283.					Buy (add'l)	05/02/13	K		
1284.					Buy (add'l)	05/22/13	J		
1285.					Sold (part)	05/30/13	J		
1286.					Sold (part)	06/12/13	J		
1287.					Sold (part)	06/13/13	J		
1288.					Buy (add'l)	06/19/13	J		
1289.					Buy (add'l)	06/20/13	J		
1290.					Buy (add'l)	06/24/13	J		
1291.					Sold (part)	06/25/13	K		
1292.					Buy (add'l)	07/03/13	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1293.					Buy (add'l)	07/12/13	J		
1294.					Sold (part)	07/18/13	J		
1295.					Buy (add'l)	07/24/13	J		
1296.					Sold (part)	08/12/13	J		
1297.					Sold (part)	08/20/13	K		
1298.					Buy (add'l)	08/27/13	J		
1299.					Buy (add'l)	08/30/13	K		
1300.					Buy (add'l)	09/06/13	J		
1301.					Sold (part)	09/04/13	J		
1302.					Sold (part)	09/18/13	J		
1303.					Sold (part)	10/10/13	J		
1304.					Sold (part)	11/14/13	K		
1305.					Sold	11/21/13	K		
1306. - Powershares QQQ TR Series I					Buy	02/27/13	K		
1307.					Sold	02/27/13	K		
1308. - Prospect Capital Corp					Buy	01/28/13	J		
1309.					Buy (add'l)	04/18/13	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 = \$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)
1310.					Buy (add'l)	05/02/13	J		
1311.					Buy (add'l)	07/11/13	J		
1312.					Sold (part)	11/20/13	J	A	
1313. - Royal Dutch Shell PL					Buy	04/09/13	J		
1314.					Buy (add'l)	05/02/13	J		
1315.					Sold (part)	10/27/13	J	A	
1316. - Regal Entertainment Grp					Buy	01/28/13	J		
1317. - Safeway Inc					Buy	04/29/13	J		
1318.					Buy (add'l)	05/02/13	J		
1319.					Buy (add'l)	06/13/13	J		
1320.					Buy (add'l)	06/24/13	J		
1321.					Sold (part)	09/11/13	J	A	
1322.					Sold (part)	09/20/13	J	B	
1323. - Select Sector SPDR TR Utilities					Buy	01/28/13	J		
1324.					Sold	04/01/13	J	A	
1325.					Buy	06/13/13	J		
1326.					Sold (part)	06/20/13	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1327.					Sold	06/24/13	J		
1328. - SPDR S&P Dividend					Buy	05/15/13	J		
1329.					Sold	05/23/13	J		
1330.					Buy	06/03/13	J		
1331.					Buy (add'l)	06/06/13	J		
1332.					Sold (part)	06/20/13	J		
1333.					Sold	06/24/13	J		
1334. - SPDR S&P International Dividend					Buy	02/28/13	J		
1335.					Buy (add'l)	05/28/13	J		
1336.					Buy (add'l)	08/29/13	J		
1337. - Telefonica Brasil SA Sponsored ADR					Buy	01/28/13	J		
1338.					Buy (add'l)	06/25/13	J		
1339.					Sold (part)	08/21/13	J		
1340. - Telefonica SA Spon ADR					Buy	01/28/13	J		
1341.					Buy (add'l)	06/27/13	J		
1342.					Sold (part)	10/24/13	J	A	
1343. - Teva Pharmaceutical ADR					Buy	02/27/13	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 = \$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)
1344.					Sold (part)	03/22/13	J	A	
1345.					Buy (add'l)	05/03/13	J		
1346.					Sold (part)	06/14/13	J		
1347.					Sold	06/20/13	J		
1348. - TICC Capital Corp					Buy	01/28/13	J		
1349.					Buy (add'l)	05/02/13	J		
1350.					Sold (part)	11/27/13	J	A	
1351.					Buy (add'l)	01/28/13	J		
1352. - Total SA Spons ADR					Buy	03/27/13	J		
1353.					Sold	05/01/13	J		
1354. - Transocean LTD Ordinary Shares					Buy	03/05/13	J		
1355.					Buy (add'l)	05/02/13	J		
1356.					Buy (add'l)	06/13/13	J		
1357.					Buy (add'l)	08/28/13	J		
1358.					Sold (part)	09/24/13	J		
1359. - Two Harbors Invt Corp					Buy	01/28/13	J		
1360.					Buy (add'l)	04/18/13	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 = \$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)
1361.					Buy (add'l)	05/02/13	J		
1362.					Buy (add'l)	07/02/13	J		
1363.					Buy (add'l)	09/11/13	J		
1364.					Buy (add'l)	11/27/13	J		
1365. - Vodafone Group PLC Sponsored ADR					Buy	06/18/13	J		
1366.					Buy (add'l)	06/27/13	J		
1367. - Walgreen Company					Buy	01/28/13	J		
1368.					Sold	04/01/13	J	A	
1369. - Waste Management Inc Del					Buy	01/28/13	J		
1370.					Sold (part)	04/02/13	J	A	
1371.					Buy (add'l)	05/02/13	J		
1372.					Sold	06/13/13	J	A	
1373. - Wells Fargo Company					Buy	01/28/13	J		
1374.					Sold (part)	04/17/13	J	A	
1375.					Buy (add'l)	05/02/13	J		
1376.					Sold	05/06/13	J	A	
1377. - Whitestone REIT					Buy	01/28/13	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)
1378.					Buy (add'l)	10/03/13	J		
1379. - Gladstone Investment					Buy	01/28/13	J		
1380.					Buy (add'l)	05/02/13	J		
1381.					Sold	07/17/13	J	A	
1382. PMC Family LLC (x)		None	M	W					
1383. The Sequoia Fund (x)		None	J	T					

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

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

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

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

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

Asset listed in Part VII, Line 188, has rental income from property located in Middletown, DE. This asset was purchased in 2004 for \$80,925.

Asset listed in Part VII, Line 7, was transferred to Trust #17 reporting on line 861 then subsequently sold.

Asset listed in Part VII, Line 10, was transferred to Trust #17 reporting on line 909 then subsequently sold.

Part VI, Line 4, is in reference to investment listed in Part VII, Line 188.

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IX. CERTIFICATION.

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

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

Signature: s/ **Thomas L. Ambro**

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

Committee on Financial Disclosure
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