

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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

1. Person Reporting (last name, first, middle initial) Pollak, Cheryl L.	2. Court or Organization U.S. District Court, E.D.N.Y.	3. Date of Report 10/10/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (Full-Time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. Courthouse, E.D.N.Y. 225 Cadman Plaza East Brooklyn, New York 11201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.		

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

☒ **NONE** (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
2.		
3.		
4.		
5.		

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

☒ **NONE** (No reportable agreements.)

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

FINANCIAL DISCLOSURE REPORT

Page 2 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

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

1. 2011

Morgan Lewis & Bockius - partnership

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. 401(k) Retirement Accounts with Morgan, Lewis	A	Interest	P1	T					
2. Accenture	A	Dividend	J	T	Buy (add'l)	02/18/11	J		
3. Accenture	A	Dividend	J	T	Buy (add'l)	02/23/11	J		
4. Accenture	A	Dividend	J	T	Buy (add'l)	03/31/11	J		
5. Accenture	A	Dividend	J	T	Buy (add'l)	05/09/11	J		
6. Accenture	A	Dividend	J	T	Sold (part)	06/27/11	J	A	
7. Accenture	A	Dividend	J	T	Sold (part)	08/11/11	J	A	
8. Accenture	A	Dividend	J	T	Sold (part)	10/07/11	J	A	
9. Accenture	A	Dividend	J	T	Sold (part)	10/20/11	J	A	
10. Accenture	A	Dividend	J	T	Sold (part)	12/19/11	J	A	
11. Accenture	A	Dividend	J	T	Sold (part)	12/21/11	J	A	
12. Ace Limited	A	Dividend			Sold	09/29/11	J	A	
13. Agrium Inc.	A	Dividend			Sold (part)	01/21/11	J	A	
14. Agrium Inc.	A	Dividend			Sold	02/01/11	J	A	
15. Alcoa Inc.	A	Dividend			Sold (part)	04/01/11	J	A	
16. Alcoa Inc.	A	Dividend			Sold (part)	04/06/11	J	A	
17. Alcoa Inc.	A	Dividend			Buy (add'l)	05/25/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

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

18. Alcoa Inc.	A	Dividend			Buy (add'l)	08/30/11	J		
19. Alcoa Inc.	A	Dividend			Sold (part)	09/30/11	J	A	
20. Alcoa Inc.	A	Dividend			Sold	10/06/11	J	A	
21. Alcon Inc.	A	Dividend			Sold (part)	01/05/11	J	A	
22. Alcon Inc.	A	Dividend			Sold (part)	01/10/11	J	A	
23. Alcon Inc.	A	Dividend			Sold (part)	01/14/11	J	A	
24. Alcon Inc.	A	Dividend			Sold (part)	01/31/11	J	A	
25. Alcon Inc.	A	Dividend			Sold (part)	02/10/11	J	A	
26. Alcon Inc.	A	Dividend			Sold (part)	02/23/11	J	A	
27. Alcon Inc.	A	Dividend			Sold (part)	03/04/11	J	A	
28. Alcon Inc.	A	Dividend			Sold	03/23/11	J	A	
29. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	01/12/11	J		
30. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	02/02/11	J		
31. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	02/14/11	J		
32. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	03/17/11	J		
33. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	03/18/11	J		
34. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	04/25/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

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

35. Allergan Inc.	A	Dividend	J	T	Buy (add'l)	04/26/11	J		
36. Allergan Inc.	A	Dividend	J	T	Sold (part)	05/11/11	J	B	
37. Allergan Inc.	A	Dividend	J	T	Sold (part)	08/11/11	J	B	
38. Amazon.com Inc.	A	Dividend	J	T	Buy (add'l)	01/31/11	J		
39. Amazon.com Inc.	A	Dividend	J	T	Buy (add'l)	02/25/11	J		
40. Amazon.com Inc.	A	Dividend	J	T	Buy (add'l)	03/17/11	J		
41. Amazon.com Inc.	A	Dividend	J	T	Buy (add'l)	03/18/11	J		
42. Aon Corp.	A	Dividend			Buy (add'l)	01/20/11	J		
43. Aon Corp.	A	Dividend			Buy (add'l)	02/15/11	J		
44. Aon Corp.	A	Dividend			Buy (add'l)	02/22/11	J		
45. Aon Corp.	A	Dividend			Sold (part)	04/13/11	J	A	
46. Aon Corp.	A	Dividend			Sold (part)	04/20/11	J	A	
47. Aon Corp.	A	Dividend			Sold	05/26/11	J	A	
48. Anadarko Petroleum Corp.	A	Dividend	J	T	Buy	06/07/11	J		
49. Anadarko Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	06/14/11	J		
50. Anadarko Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	06/22/11	J		
51. Anadarko Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	07/01/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Anadarko Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	07/06/11	J		
53. Anadarko Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	08/01/11	J		
54. Anadarko Petroleum Corp.	A	Dividend	J	T	Sold (part)	11/10/11	J	A	
55. Anadarko Petroleum Corp.	A	Dividend	J	T	Sold (part)	11/11/11	J	A	
56. Apollo Group Inc.	A	Dividend	J	T	Buy	12/21/11	J		
57. Apple Inc.	A	Dividend	K	T	Sold (part)	01/13/11	J	E	
58. Apple Inc.	A	Dividend	K	T	Sold (part)	02/09/11	J	E	
59. Apple Inc.	A	Dividend	K	T	Sold (part)	02/18/11	J	E	
60. Apple Inc.	A	Dividend	K	T	Buy (add'l)	03/07/11	J		
61. Apple Inc.	A	Dividend	K	T	Buy (add'l)	03/10/11	J		
62. Apple Inc.	A	Dividend	K	T	Sold (part)	04/07/11	J	A	
63. Apple Inc.	A	Dividend	K	T	Sold (part)	04/08/11	J	A	
64. Apple Inc.	A	Dividend	K	T	Buy (add'l)	05/13/11	J		
65. Apple Inc.	A	Dividend	K	T	Buy (add'l)	05/17/11	J		
66. Apple Inc.	A	Dividend	K	T	Sold (part)	07/20/11	J	A	
67. Apple Inc.	A	Dividend	K	T	Sold (part)	09/27/11	J	A	
68. Apple Inc.	A	Dividend	K	T	Buy (add'l)	11/25/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. Applied Materials Inc.	A	Dividend	J	T	Buy	07/27/11	J		
70. Applied Materials Inc.	A	Dividend	J	T	Buy (add'l)	10/05/11	J		
71. Applied Materials Inc.	A	Dividend	J	T	Buy (add'l)	10/07/11	J		
72. Applied Materials Inc.	A	Dividend	J	T	Buy (add'l)	10/13/11	J		
73. Applied Materials Inc.	A	Dividend	J	T	Buy (add'l)	10/18/11	J		
74. Applied Materials Inc.	A	Dividend	J	T	Buy (add'l)	11/21/11	J		
75. Applied Materials Inc.	A	Dividend	J	T	Buy (add'l)	11/23/11	J		
76. Applied Materials Inc.	A	Dividend	J	T	Buy (add'l)	12/23/11	J		
77. Aruba Network Inc.	A	Dividend			Buy	07/26/11	J		
78. Aruba Network Inc.	A	Dividend			Sold	11/16/11	J	A	
79. Archer-Daniels-Midland Co.	A	Dividend			Buy (add'l)	02/15/11	J		
80. Archer-Daniels-Midland Co.	A	Dividend			Buy (add'l)	02/22/11	J		
81. Archer-Daniels-Midland Co.	A	Dividend			Sold	05/23/11	J	A	
82. Astrazeneca	A	Dividend	K	T	Buy (add'l)	06/24/11	J		
83. Astrazeneca	A	Dividend	K	T	Buy (add'l)	06/29/11	J		
84. Astrazeneca	A	Dividend	K	T	Buy (add'l)	08/11/11	J		
85. AT&T Inc.	A	Dividend	J	T	Sold (part)	01/07/11	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

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

86. AT&T Inc.	A	Dividend	J	T	Buy (add'l)	03/09/11	J		
87. AT&T Inc.	A	Dividend	J	T	Buy (add'l)	03/31/11	J		
88. AT&T Inc.	A	Dividend	J	T	Buy (add'l)	04/06/11	J		
89. AT&T Inc.	A	Dividend	J	T	Buy (add'l)	04/07/11	J		
90. AT&T Inc.	A	Dividend	J	T	Buy (add'l)	04/20/11	J		
91. AT&T Inc.	A	Dividend	J	T	Sold (part)	07/15/11	J	A	
92. AT&T Inc.	A	Dividend	J	T	Sold (part)	07/19/11	J	A	
93. AT&T Inc.	A	Dividend	J	T	Sold (part)	07/28/11	J	A	
94. Bank of America - CD (formerly Citibank NA - CD)	A	Interest	M	T					
95. BB&T Corp.	A	Dividend			Buy (add'l)	03/18/11	J		
96. BB&T Corp.	A	Dividend			Sold	04/12/11	J	A	
97. Berkshire Hathaway Inc.	A	Dividend	J	T					
98. Bernstein Emerging Markets Portfolio	A	Dividend	K	T	Buy (add'l)	12/14/11	J		
99. Bernstein International Portfolio	A	Dividend	L	T	Sold (part)	01/20/11	J	A	
100. Bernstein International Portfolio	A	Dividend	L	T	Sold (part)	04/13/11	J	A	
101. Bernstein International Portfolio	A	Dividend	L	T	Sold (part)	07/15/11	J	A	
102. Bernstein International Portfolio	A	Dividend	L	T	Sold (part)	10/12/11	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

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

103. Bernstein International Portfolio	A	Dividend	L	T	Buy (add'l)	12/14/11	J		
104. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	01/10/11	J		
105. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	01/19/11	J		
106. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	02/04/11	J		
107. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	02/15/11	J		
108. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	02/22/11	J		
109. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	02/23/11	J		
110. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	03/07/11	J		
111. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	03/18/11	J		
112. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	03/31/11	J		
113. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	04/08/11	J		
114. Bernstein New York Municipal Portfolio	A	Dividend	P1	T	Buy (add'l)	04/26/11	J		
115. Bernstein Tax Managed International Portfolio	A	Dividend	N	T	Buy (add'l)	05/24/11	J		
116. Bernstein Tax Managed International Portfolio	A	Dividend	N	T	Buy (add'l)	11/22/11	J		
117. Bernstein Tax Managed International Portfolio	A	Dividend	N	T	Buy (add'l)	12/22/11	J		
118. Bernstein Tax Managed International Portfolio	A	Dividend	N	T	Buy (add'l)	12/23/11	J		
119. Blackrock Global Allocations Fd Inc.	A	Dividend	L	T					

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Boeing Co.	A	Dividend	J	T	Buy	11/01/11	J		
121. Boeing Co.	A	Dividend	J	T	Buy (add'l)	11/02/11	J		
122. Boeing Co.	A	Dividend	J	T	Buy (add'l)	11/07/11	J		
123. Boeing Co.	A	Dividend	J	T	Buy (add'l)	11/09/11	J		
124. Boeing Co.	A	Dividend	J	T	Buy (add'l)	11/10/11	J		
125. Boeing Co.	A	Dividend	J	T	Buy (add'l)	11/22/11	J		
126. Borgwarner Inc.	A	Dividend	J	T	Buy	02/14/11	J		
127. Borgwarner Inc.	A	Dividend	J	T	Buy (add'l)	02/23/11	J		
128. Borgwarner Inc.	A	Dividend	J	T	Buy (add'l)	02/24/11	J		
129. Borgwarner Inc.	A	Dividend	J	T	Buy (add'l)	03/04/11	J		
130. Borgwarner Inc.	A	Dividend	J	T	Buy (add'l)	03/18/11	J		
131. Borgwarner Inc.	A	Dividend	J	T	Buy (add'l)	03/23/11	J		
132. Borgwarner Inc.	A	Dividend	J	T	Buy (add'l)	03/24/11	J		
133. Borgwarner Inc.	A	Dividend	J	T	Buy (add'l)	05/13/11	J		
134. Borgwarner Inc.	A	Dividend	J	T	Buy (add'l)	06/22/11	J		
135. Borgwarner Inc.	A	Dividend	J	T	Sold (part)	10/27/11	J	A	
136. BP	A	Dividend	K	T	Buy	08/11/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. BP	A	Dividend	K	T	Buy (add'l)	09/15/11	J		
138. BP	A	Dividend	K	T	Buy (add'l)	09/20/11	J		
139. BP	A	Dividend	K	T	Buy (add'l)	10/07/11	J		
140. BP	A	Dividend	K	T	Buy (add'l)	10/11/11	J		
141. BP	A	Dividend	K	T	Buy (add'l)	10/26/11	J		
142. BP	A	Dividend	K	T	Buy (add'l)	10/31/11	J		
143. BP	A	Dividend	K	T	Buy (add'l)	11/23/11	J		
144. Broadcom Corp.	A	Dividend	J	T	Buy (add'l)	02/17/11	J		
145. Broadcom Corp.	A	Dividend	J	T	Buy (add'l)	04/01/11	J		
146. Broadcom Corp.	A	Dividend	J	T	Buy (add'l)	04/28/11	J		
147. Broadcom Corp.	A	Dividend	J	T	Buy (add'l)	05/05/11	J		
148. Broadcom Corp.	A	Dividend	J	T	Buy (add'l)	05/17/11	J		
149. Broadcom Corp.	A	Dividend	J	T	Buy (add'l)	07/11/11	J		
150. Broadcom Corp.	A	Dividend	J	T	Sold (part)	12/14/11	J	A	
151. Bunge Ltd.	A	Dividend			Sold (part)	08/25/11	J	A	
152. Bunge Ltd.	A	Dividend			Buy (add'l)	09/13/11	J		
153. Bunge Ltd.	A	Dividend			Sold (part)	09/30/11	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. Bunge Ltd.	A	Dividend			Sold	10/10/11	J	A	
155. Cablevision	A	Dividend			Sold (part)	01/03/11	J	A	
156. Cablevision	A	Dividend			Sold	02/14/11	J	A	
157. Cameron Int'l.	A	Dividend			Buy (add'l)	01/14/11	J		
158. Cameron Int'l.	A	Dividend			Buy (add'l)	01/18/11	J		
159. Cameron Int'l.	A	Dividend			Sold (part)	05/09/11	J	A	
160. Cameron Int'l.	A	Dividend			Sold (part)	05/23/11	J	A	
161. Cameron Int'l.	A	Dividend			Sold	05/26/11	J	A	
162. Capital One Financial Corp.	A	Dividend			Sold (part)	03/07/11	J	A	
163. Capital One Financial Corp.	A	Dividend			Sold	04/06/11	J	A	
164. Carnival Corp.	A	Dividend			Buy (add'l)	03/03/11	J		
165. Carnival Corp.	A	Dividend			Buy (add'l)	03/18/11	J		
166. Carnival Corp.	A	Dividend			Sold (part)	03/29/11	J	A	
167. Carnival Corp.	A	Dividend			Sold	04/08/11	J	A	
168. CBRE Group Inc. (formerly CB Richard Ellis Group Inc.)	A	Dividend	J	T	Buy	07/29/11	J		
169. CBRE Group Inc. (formerly CB Richard Ellis Group Inc.)	A	Dividend	J	T	Buy (add'l)	08/02/11	J		
170. CBRE Group Inc. (formerly CB Richard Ellis Group Inc.)	A	Dividend	J	T	Buy (add'l)	08/26/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. CBRE Group Inc. (formerly CB Richard Ellis Group Inc.)	A	Dividend	J	T	Buy (add'l)	09/20/11	J		
172. CBRE Group Inc. (formerly CB Richard Ellis Group Inc.)	A	Dividend	J	T	Buy (add'l)	12/02/11	J		
173. Celgene Corp.	A	Dividend	J	T	Buy (add'l)	02/15/11	J		
174. Celgene Corp.	A	Dividend	J	T	Buy (add'l)	02/17/11	J		
175. Celgene Corp.	A	Dividend	J	T	Buy (add'l)	03/18/11	J		
176. Celgene Corp.	A	Dividend	J	T	Buy (add'l)	03/30/11	J		
177. Celgene Corp.	A	Dividend	J	T	Buy (add'l)	05/02/11	J		
178. Celgene Corp.	A	Dividend	J	T	Buy (add'l)	05/16/11	J		
179. Celgene Corp.	A	Dividend	J	T	Sold (part)	08/11/11	J	A	
180. Celgene Corp.	A	Dividend	J	T	Sold (part)	10/18/11	J	A	
181. Celgene Corp.	A	Dividend	J	T	Sold (part)	10/20/11	J	A	
182. Celgene Corp.	A	Dividend	J	T	Sold (part)	10/27/11	J	A	
183. Celgene Corp.	A	Dividend	J	T	Sold (part)	12/09/11	J	A	
184. Celgene Corp.	A	Dividend	J	T	Sold (part)	12/14/11	J	A	
185. Celgene Corp.	A	Dividend	J	T	Sold (part)	12/16/11	J	A	
186. Centerpoint Energy Inc.	A	Dividend	J	T	Buy	10/18/11	J		
187. Centerpoint Energy Inc.	A	Dividend	J	T	Buy (add'l)	10/24/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. Centurylink Inc.	A	Dividend	J	T	Buy (add'l)	04/21/11	J		
189. Centurylink Inc.	A	Dividend	J	T	Buy (add'l)	08/10/11	J		
190. Centurylink Inc.	A	Dividend	J	T	Buy (add'l)	08/11/11	J		
191. Centurylink Inc.	A	Dividend	J	T	Buy (add'l)	09/14/11	J		
192. Centurylink Inc.	A	Dividend	J	T	Buy (add'l)	10/05/11	J		
193. CF Industries Holdings Inc.	A	Dividend			Sold	02/01/11	J	A	
194. Cintas Corp.	A	Dividend	K	T					
195. Cisco Systems Inc.	A	Dividend	J	T	Sold (part)	01/14/11	J	A	
196. Cisco Systems Inc.	A	Dividend	J	T	Sold (part)	02/10/11	J	A	
197. Cisco Systems Inc.	A	Dividend	J	T	Sold (part)	02/14/11	J	A	
198. Cisco Systems Inc.	A	Dividend	J	T	Sold (part)	02/16/11	J	A	
199. Cisco Systems Inc.	A	Dividend	J	T	Sold (part)	02/24/11	J	A	
200. Cisco Systems Inc.	A	Dividend	J	T	Sold (part)	03/17/11	J	A	
201. Cisco Systems Inc.	A	Dividend	J	T	Sold (part)	04/04/11	J	A	
202. Cisco Systems Inc.	A	Dividend	J	T	Buy (add'l)	12/22/11	J		
203. Cit Group Inc.	A	Dividend	J	T	Buy	12/07/11	J		
204. Citibank-Checking	B	Interest	K	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. Citibank Insured Money Mkt Acct.	A	Interest	J	T					
206. Citibank Insured Money Mkt. Acct.	A	Interest	K	T					
207. Citibank Insured Money Mkt Acct.	A	Interest	J	T					
208. Citibank-Insured Money Market	C	Interest	K	T					
209. Citibank-Insured Money Market	C	Interest	K	T					
210. Citigroup Inc.	A	Dividend	K	T	Buy	02/18/11	J		
211. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	02/23/11	J		
212. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	02/24/11	J		
213. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	03/09/11	J		
214. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	03/10/11	J		
215. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	03/21/11	J		
216. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	03/30/11	J		
217. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	04/08/11	J		
218. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	04/15/11	J		
219. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	04/20/11	J		
220. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	04/28/11	J		
221. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	04/29/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	05/17/11	J		
223. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	05/19/11	J		
224. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	05/27/11	J		
225. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	06/09/11	J		
226. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	07/11/11	J		
227. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	07/22/11	J		
228. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	07/26/11	J		
229. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	10/24/11	J		
230. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	10/25/11	J		
231. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	10/26/11	J		
232. Citigroup Inc.	A	Dividend	K	T	Buy (add'l)	11/28/11	J		
233. Citrix Systems Inc.	A	Dividend	J	T	Buy (add'l)	01/06/11	J		
234. Citrix Systems Inc.	A	Dividend	J	T	Buy (add'l)	03/10/11	J		
235. Citrix Systems Inc.	A	Dividend	J	T	Buy (add'l)	05/17/11	J		
236. Citrix Sytems Inc.	A	Dividend	J	T	Buy (add'l)	06/14/11	J		
237. Citrix Systems Inc.	A	Dividend	J	T	Buy (add'l)	06/22/11	J		
238. Citrix Systems Inc.	A	Dividend	J	T	Sold (part)	10/27/11	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	

FINANCIAL DISCLOSURE REPORT

Page 18 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

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

239. Cliffs Natural Resources Inc.	A	Dividend			Sold	02/17/11	J	A	
240. CME Group Inc.	A	Dividend			Sold (part)	01/28/11	J	A	
241. CME Group Inc.	A	Dividend			Sold (part)	02/18/11	J	A	
242. CME Group Inc.	A	Dividend			Sold (part)	03/04/11	J	A	
243. CME Group Inc.	A	Dividend			Sold	03/17/11	J	A	
244. CMS Energy Corp.	A	Dividend	J	T	Buy	08/19/11	J		
245. CMS Energy Corp.	A	Dividend	J	T	Buy (add'l)	10/24/11	J		
246. Comcast Corp.	A	Dividend	J	T	Sold (part)	01/19/11	J	A	
247. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	02/18/11	J		
248. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	02/22/11	J		
249. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	03/01/11	J		
250. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	03/21/11	J		
251. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	03/30/11	J		
252. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	03/31/11	J		
253. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	04/14/11	J		
254. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	04/20/11	J		
255. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	04/21/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

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

256. Comcast Corp.	A	Dividend	J	T	Sold (part)	05/16/11	J	A	
257. Comcast Corp.	A	Dividend	J	T	Sold (part)	05/19/11	J	A	
258. Comcast Corp.	A	Dividend	J	T	Sold (part)	05/27/11	J	A	
259. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	10/28/11	J		
260. Comcast Corp.	A	Dividend	J	T	Buy (add'l)	11/01/11	J		
261. Comcast Corp.	A	Dividend	J	T	Sold (part)	11/29/11	J	A	
262. Comcast Corp.	A	Dividend	J	T	Sold (part)	12/02/11	J	A	
263. Comcast Corp.	A	Dividend	J	T	Sold (part)	12/14/11	J	A	
264. Comcast Corp.	A	Dividend	J	T	Sold (part)	12/21/11	J	A	
265. Comerica Inc.	A	Dividend			Buy (add'l)	03/18/11	J		
266. Comerica Inc.	A	Dividend			Sold	04/06/11	J	A	
267. Commerical Metals Co.	A	Dividend			Sold	08/10/11	J	A	
268. Conocophillips Inc.	A	Dividend	J	T	Sold (part)	02/17/11	J	A	
269. Conocophillips Inc.	A	Dividend	J	T	Buy (add'l)	04/13/11	J		
270. Conocophillips Inc.	A	Dividend	J	T	Buy (add'l)	04/18/11	J		
271. Conocophillips Inc.	A	Dividend	J	T	Buy (add'l)	05/02/11	J		
272. Conocophillips Inc.	A	Dividend	J	T	Buy (add'l)	05/17/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 20 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

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

273. Conocophillips Inc.	A	Dividend	J	T	Buy (add'l)	06/07/11	J		
274. Conocophillips Inc.	A	Dividend	J	T	Buy (add'l)	07/22/11	J		
275. Conocophillips Inc.	A	Dividend	J	T	Buy (add'l)	07/26/11	J		
276. Conocophillips Inc.	A	Dividend	J	T	Buy (add'l)	07/27/11	J		
277. Conocophillips Inc.	A	Dividend	J	T	Buy (add'l)	08/11/11	J		
278. Conocophillips Inc.	A	Dividend	J	T	Buy (add'l)	08/12/11	J		
279. Conocophillips Inc.	A	Dividend	J	T	Sold (part)	10/28/11	J	A	
280. Conocophillips Inc.	A	Dividend	J	T	Sold (part)	12/07/11	J	A	
281. Conocophillips Inc.	A	Dividend	J	T	Sold (part)	12/16/11	J	A	
282. Constellation Brands Inc.	A	Dividend	J	T	Sold (part)	06/15/11	J	A	
283. Constellation Energy Group	A	Dividend			Sold	02/09/11	J	A	
284. Cooper Industries	A	Dividend			Sold (part)	01/25/11	J	A	
285. Cooper Industries	A	Dividend			Sold (part)	03/16/11	J	A	
286. Cooper Industries	A	Dividend			Buy (add'l)	04/26/11	J		
287. Cooper Industries	A	Dividend			Sold (part)	05/24/11	J	A	
288. Cooper Industries	A	Dividend			Sold (part)	07/14/11	J		
289. Cooper Industries	A	Dividend			Sold	08/01/11	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 21 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

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

290. Corning Inc.	A	Dividend	J	T	Buy (add'l)	03/11/11	J		
291. Corning Inc.	A	Dividend	J	T	Buy (add'l)	03/14/11	J		
292. Corning Inc.	A	Dividend	J	T	Buy (add'l)	03/16/11	J		
293. Corning Inc.	A	Dividend	J	T	Buy (add'l)	03/18/11	J		
294. Corning Inc.	A	Dividend	J	T	Sold (part)	04/27/11	J	A	
295. Corning Inc.	A	Dividend	J	T	Buy (add'l)	08/15/11	J		
296. Costco Wholesale Corp.	A	Dividend			Sold (part)	01/21/11	J	A	
297. Costco Wholesale Corp.	A	Dividend			Sold (part)	03/04/11	J	A	
298. Costco Wholesale Corp.	A	Dividend			Sold (part)	03/16/11	J	A	
299. Costco Wholesale Corp.	A	Dividend			Sold	03/21/11	J	A	
300. Covidien PLC	A	Dividend	J	T	Buy	05/17/11	J		
301. Covidien PLC	A	Dividend	J	T	Buy (add'l)	07/25/11	J		
302. Covidien PLC	A	Dividend	J	T	Buy (add'l)	10/04/11	J		
303. Covidien PLC	A	Dividend	J	T	Buy (add'l)	10/19/11	J		
304. Covidien PLC	A	Dividend	J	T	Buy (add'l)	10/20/11	J		
305. Covidien PLC	A	Dividend	J	T	Buy (add'l)	10/28/11	J		
306. Covidien PLC	A	Dividend	J	T	Buy (add'l)	11/01/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 22 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. Covidien PLC	A	Dividend	J	T	Buy (add'l)	11/15/11	J		
308. Covidien PLC	A	Dividend	J	T	Buy (add'l)	11/18/11	J		
309. Covidien PLC	A	Dividend	J	T	Buy (add'l)	12/22/11	J		
310. Crane Co.	A	Dividend	K	T					
311. Danaher Corp.	A	Dividend	J	T	Buy (add'l)	03/30/11	J		
312. Danaher Corp.	A	Dividend	J	T	Buy (add'l)	05/16/11	J		
313. Danaher Corp.	A	Dividend	J	T	Buy (add'l)	07/26/11	J		
314. Davis NY Venture Fund - Mutual Fund	A	Dividend	M	T					
315. Deere & Co.	A	Dividend			Sold (part)	02/14/11	J	A	
316. Deere & Co.	A	Dividend			Sold (part)	02/15/11	J	A	
317. Deere & Co.	A	Dividend			Sold (part)	02/16/11	J	A	
318. Deere & Co.	A	Dividend			Sold	03/03/11	J	A	
319. Dell Inc.	A	Dividend	J	T	Buy (add'l)	02/04/11	J		
320. Dell Inc.	A	Dividend	J	T	Sold (part)	04/20/11	J	A	
321. Dell Inc.	A	Dividend	J	T	Sold (part)	06/02/11	J	A	
322. Dell Inc.	A	Dividend	J	T	Sold (part)	07/26/11	J	A	
323. Dell Inc.	A	Dividend	J	T	Buy (add'l)	09/06/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 23 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. Dell Inc.	A	Dividend	J	T	Sold (part)	10/25/11	J	A	
325. Delta Air Lines Inc.	A	Dividend	J	T	Buy (add'l)	01/04/11	J		
326. Delta Air Lines Inc.	A	Dividend	J	T	Buy (add'l)	01/25/11	J		
327. Delta Air Lines Inc.	A	Dividend	J	T	Buy (add'l)	02/14/11	J		
328. Delta Air Lines Inc.	A	Dividend	J	T	Buy (add'l)	02/23/11	J		
329. Delta Air Lines Inc.	A	Dividend	J	T	Sold (part)	03/09/11	J	A	
330. Delta Air Lines Inc.	A	Dividend	J	T	Sold (part)	03/16/11	J	A	
331. Delta Air Lines Inc.	A	Dividend	J	T	Buy (add'l)	04/20/11	J		
332. Delta Air Lines Inc.	A	Dividend	J	T	Buy (add'l)	05/27/11	J		
333. Delta Air Lines Inc.	A	Dividend	J	T	Buy (add'l)	07/25/11	J		
334. Delta Air Lines Inc.	A	Dividend	J	T	Buy (add'l)	07/26/11	J		
335. Delta Air Lines Inc.	A	Dividend	J	T	Sold (part)	12/13/11	J	A	
336. Devon Energy Corp.	A	Dividend	K	T	Buy (add'l)	02/02/11	J		
337. Devon Energy Corp.	A	Dividend	K	T	Buy (add'l)	02/24/11	J		
338. Devon Energy Corp.	A	Dividend	K	T	Buy (add'l)	03/10/11	J		
339. Devon Energy Corp.	A	Dividend	K	T	Buy (add'l)	05/06/11	J		
340. Devon Energy Corp.	A	Dividend	K	T	Buy (add'l)	05/17/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 24 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

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

341. Devon Energy Corp.	A	Dividend	K	T	Sold (part)	06/07/11	J	A	
342. Devon Energy Corp.	A	Dividend	K	T	Sold (part)	07/19/11	J	A	
343. Devon Energy Corp.	A	Dividend	K	T	Sold (part)	07/28/11	J	A	
344. Devon Energy Corp.	A	Dividend	K	T	Sold (part)	08/04/11	J	A	
345. Devon Energy Corp.	A	Dividend	K	T	Sold (part)	08/17/11	J	A	
346. Devon Energy Corp.	A	Dividend	K	T	Buy (add'l)	09/26/11	J		
347. Devon Energy Corp.	A	Dividend	K	T	Buy (add'l)	11/01/11	J		
348. DIRECTV - Class A	A	Dividend	J	T	Buy (add'l)	01/06/11	J		
349. DIRECTV - Class A	A	Dividend	J	T	Buy (add'l)	01/13/11	J		
350. DIRECTV - Class A	A	Dividend	J	T	Buy (add'l)	01/18/11	J		
351. DIRECTV - Class A	A	Dividend	J	T	Sold (part)	04/19/11	J	A	
352. DIRECTV - Class A	A	Dividend	J	T	Sold (part)	08/05/11	J	A	
353. DIRECTV - Class A	A	Dividend	J	T	Buy (add'l)	08/23/11	J		
354. DIRECTV - Class A	A	Dividend	J	T	Sold (part)	09/27/11	J	A	
355. DIRECTV - Class A	A	Dividend	J	T	Sold (part)	10/26/11	J	A	
356. DIRECTV - Class A	A	Dividend	J	T	Buy (add'l)	11/02/11	J		
357. DIRECTV - Class A	A	Dividend	J	T	Buy (add'l)	11/29/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 25 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. Dollar General Corp.	A	Dividend	J	T	Buy	09/09/11	J		
359. Dollar General Corp.	A	Dividend	J	T	Buy (add'l)	09/22/11	J		
360. Dollar General Corp.	A	Dividend	J	T	Buy (add'l)	09/30/11	J		
361. Dollar General Corp.	A	Dividend	J	T	Buy (add'l)	12/13/11	J		
362. Dollar General Corp.	A	Dividend	J	T	Buy (add'l)	12/22/11	J		
363. Dow Chemical	A	Dividend	J	T	Buy (add'l)	01/04/11	J		
364. Dow Chemical	A	Dividend	J	T	Buy (add'l)	01/05/11	J		
365. Dow Chemical	A	Dividend	J	T	Buy (add'l)	01/12/11	J		
366. Dow Chemical	A	Dividend	J	T	Buy (add'l)	01/26/11	J		
367. Dow Chemical	A	Dividend	J	T	Buy (add'l)	02/02/11	J		
368. Dow Chemical	A	Dividend	J	T	Buy (add'l)	02/04/11	J		
369. Dow Chemical	A	Dividend	J	T	Sold (part)	05/16/11	J	A	
370. Dow Chemical	A	Dividend	J	T	Sold (part)	05/19/11	J	A	
371. Dow Chemical	A	Dividend	J	T	Sold (part)	08/11/11	J	A	
372. Dow Chemical	A	Dividend	J	T	Sold (part)	08/26/11	J		
373. Dow Chemical	A	Dividend	J	T	Buy (add'l)	10/24/11	J		
374. Dreyfus Liquid Assets	A	Interest	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 26 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. Dreyfus NY Tax Exempt Bond Fund	A	Interest	K	T					
376. DTE Energy Company	A	Dividend	J	T	Buy	03/09/11	J		
377. DTE Energy Company	A	Dividend	J	T	Buy (add'l)	03/15/11	J		
378. DTE Energy Company	A	Dividend	J	T	Sold (part)	06/10/11	J	A	
379. DTE Energy Company	A	Dividend	J	T	Sold (part)	06/17/11	J	A	
380. DTE Energy Company	A	Dividend	J	T	Buy (add'l)	08/12/11	J		
381. DTE Energy Company	A	Dividend	J	T	Buy (add'l)	08/15/11	J		
382. Duke Energy	A	Dividend	J	T					
383. Eaton Corp.	A	Dividend			Sold (part)	02/23/11	J	A	
384. Eaton Corp.	A	Dividend			Sold (part)	03/03/11	J	A	
385. Eaton Corp.	A	Dividend			Sold	04/15/11	J	A	
386. Edison International	A	Dividend			Buy (add'l)	03/07/11	J		
387. Edison International	A	Dividend			Sold	05/18/11	J	A	
388. EMC Corp/Mass	A	Dividend	J	T	Sold (part)	01/04/11	J	A	
389. EMC Corp/Mass	A	Dividend	J	T	Sold (part)	01/19/11	J	A	
390. EMC Corp/Mass	A	Dividend	J	T	Buy (add'l)	02/25/11	J		
391. EMC Corp/Mass	A	Dividend	J	T	Buy (add'l)	03/02/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 27 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392. EMC Corp/Mass	A	Dividend	J	T	Sold (part)	04/26/11	J	A	
393. EMC Corp/Mass	A	Dividend	J	T	Buy (add'l)	05/23/11	J		
394. EMC Corp/Mass	A	Dividend	J	T	Sold (part)	08/11/11	J	A	
395. Emerson Electric Co.	A	Dividend			Buy	02/01/11	J		
396. Emerson Electric Co.	A	Dividend			Buy (add'l)	02/08/11	J		
397. Emerson Electric Co.	A	Dividend			Buy (add'l)	02/15/11	J		
398. Emerson Electric Co.	A	Dividend			Buy (add'l)	02/17/11	J		
399. Emerson Electric Co.	A	Dividend			Buy (add'l)	02/24/11	J		
400. Emerson Electric Co.	A	Dividend			Buy (add'l)	03/03/11	J		
401. Emerson Electric Co.	A	Dividend			Sold	03/30/11	J	A	
402. Empire State Municipal Exempt Fund	A	Interest	J	T					
403. Ensco International Inc.	A	Dividend			Sold (part)	03/04/11	J	A	
404. Ensco International Inc.	A	Dividend			Sold	07/25/11	J	A	
405. EOG RES Inc.	A	Dividend	J	T	Buy (add'l)	01/20/11	J		
406. EOG RES Inc.	A	Dividend	J	T	Buy (add'l)	02/23/11	J		
407. EOG RES Inc.	A	Dividend	J	T	Buy (add'l)	07/22/11	J		
408. EOG RES Inc.	A	Dividend	J	T	Buy (add'l)	07/26/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 28 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
409. Estee Lauder Companies	A	Dividend	J	T	Buy	10/12/11	J		
410. Estee Lauder Companies	A	Dividend	J	T	Buy (add'l)	10/24/11	J		
411. Estee Lauder Companies	A	Dividend	J	T	Sold (part)	11/18/11	J	A	
412. Exelon	A	Dividend	J	T					
413. Express Scripts Inc.	A	Dividend	J	T	Buy (add'l)	03/10/11	J		
414. Express Scripts Inc.	A	Dividend	J	T	Buy (add'l)	03/15/11	J		
415. Express Scripts Inc.	A	Dividend	J	T	Buy (add'l)	04/21/11	J		
416. Express Scripts Inc.	A	Dividend	J	T	Buy (add'l)	05/17/11	J		
417. Express Scripts Inc.	A	Dividend	J	T	Buy (add'l)	05/18/11	J		
418. Express Scripts Inc.	A	Dividend	J	T	Buy (add'l)	07/19/11	J		
419. Express Scripts Inc.	A	Dividend	J	T	Sold (part)	07/21/11	J	A	
420. Express Scripts Inc.	A	Dividend	J	T	Sold (part)	07/25/11	J	A	
421. Express Scripts Inc.	A	Dividend	J	T	Buy (add'l)	09/30/11	J		
422. Express Scripts Inc.	A	Dividend	J	T	Buy (add'l)	11/18/11	J		
423. Fifth Third Bancorp	A	Dividend			Sold	02/18/11	J	A	
424. Flowserve Corp.	A	Dividend	J	T	Buy (add'l)	03/18/11	J		
425. Flowserve Corp.	A	Dividend	J	T	Buy (add'l)	03/31/11	J		

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

FINANCIAL DISCLOSURE REPORT

Page 29 of 70

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
426. Flowserve Corp.	A	Dividend	J	T	Buy (add'l)	04/11/11	J		
427. Flowserve Corp.	A	Dividend	J	T	Buy (add'l)	04/29/11	J		
428. Flowserve Corp.	A	Dividend	J	T	Buy (add'l)	05/17/11	J		
429. FMC Technologies Inc.	A	Dividend	J	T	Buy	05/31/11	J		
430. FMC Technologies Inc.	A	Dividend	J	T	Buy (add'l)	07/28/11	J		
431. FMC Technologies Inc.	A	Dividend	J	T	Buy (add'l)	08/02/11	J		
432. FMC Technologies Inc.	A	Dividend	J	T	Buy (add'l)	10/31/11	J		
433. FMC Technologies Inc.	A	Dividend	J	T	Buy (add'l)	11/14/11	J		
434. Ford Motor Co.	A	Dividend	J	T	Sold (part)	02/07/11	J	A	
435. Ford Motor Co.	A	Dividend	J	T	Sold (part)	02/10/11	J	A	
436. Ford Motor Co.	A	Dividend	J	T	Sold (part)	02/23/11	J	A	
437. Ford Motor Co.	A	Dividend	J	T	Sold (part)	02/24/11	J	A	
438. Ford Motor Co.	A	Dividend	J	T	Sold (part)	03/03/11	J	A	
439. Ford Motor Co.	A	Dividend	J	T	Buy (add'l)	08/18/11	J		
440. Ford Motor Co.	A	Dividend	J	T	Buy (add'l)	08/30/11	J		
441. Freeport McMoran Copper	A	Dividend			Sold (part)	01/03/11	J	A	
442. Freeport McMoran Copper	A	Dividend			Sold	02/14/11	J	A	

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

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

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

443. Gamestop Corp.	A	Dividend	J	T	Buy	04/20/11	J		
444. Gamestop Corp.	A	Dividend	J	T	Buy (add'l)	04/25/11	J		
445. Gannett Co.	A	Dividend	J	T	Buy (add'l)	08/11/11	J		
446. Gannett Co.	A	Dividend	J	T	Buy (add'l)	08/12/11	J		
447. Gannett Co.	A	Dividend	J	T	Buy (add'l)	10/07/11	J		
448. Gannett Co.	A	Dividend	J	T	Buy (add'l)	11/23/11	J		
449. Gap Inc.	A	Dividend			Buy (add'l)	06/27/11	J		
450. Gap Inc.	A	Dividend			Buy (add'l)	07/05/11	J		
451. Gap Inc.	A	Dividend			Sold	08/11/11	J		
452. Garmin Ltd.	A	Dividend			Sold	04/07/11	J	A	
453. General Electric Co.	A	Dividend	J	T	Buy (add'l)	03/16/11	J		
454. General Electric Co.	A	Dividend	J	T	Buy (add'l)	08/17/11	J		
455. General Electric Co.	A	Dividend	J	T	Buy (add'l)	08/29/11	J		
456. General Electric Co.	A	Dividend	J	T	Sold (part)	09/12/11	J	A	
457. General Electric Co.	A	Dividend	J	T	Sold (part)	09/14/11	J	A	
458. General Electric Co.	A	Dividend	J	T	Buy (add'l)	12/13/11	J		
459. General Mills	A	Dividend	J	T	Buy	05/16/11	J		

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

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. General Mills	A	Dividend	J	T	Buy (add'l)	05/19/11	J		
461. General Mills	A	Dividend	J	T	Buy (add'l)	07/13/11	J		
462. General Mills	A	Dividend	J	T	Buy (add'l)	08/22/11	J		
463. General Mills	A	Dividend	J	T	Buy (add'l)	08/23/11	J		
464. General Mills	A	Dividend	J	T	Buy (add'l)	10/31/11	J		
465. General Mills	A	Dividend	J	T	Buy (add'l)	11/01/11	J		
466. General Mills	A	Dividend	J	T	Buy (add'l)	11/07/11	J		
467. General Mills	A	Dividend	J	T	Buy (add'l)	12/22/11	J		
468. General Motors Corp.	A	Dividend	J	T	Buy (add'l)	06/07/11	J		
469. General Motors Corp.	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
470. General Motors Corp.	A	Dividend	J	T	Buy (add'l)	06/13/11	J		
471. General Motors Corp.	A	Dividend	J	T	Buy (add'l)	06/15/11	J		
472. General Motors Corp.	A	Dividend	J	T	Buy (add'l)	08/26/11	J		
473. General Motors Corp.	A	Dividend	J	T	Buy (add'l)	08/30/11	J		
474. General Motors Corp.	A	Dividend	J	T	Buy (add'l)	10/05/11	J		
475. General Motors Corp.	A	Dividend	J	T	Buy (add'l)	10/27/11	J		
476. General Motors Corp.	A	Dividend	J	T	Buy (add'l)	11/16/11	J		

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

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. General Motors Corp.	A	Dividend	J	T	Buy (add'l)	11/25/11	J		
478. Gilead Sciences Inc.	A	Dividend	K	T	Sold (part)	01/14/11	J	A	
479. Gilead Sciences Inc.	A	Dividend	K	T	Sold (part)	01/19/11	J	A	
480. Gilead Sciences Inc.	A	Dividend	K	T	Sold (part)	02/11/11	J	A	
481. Gilead Sciences Inc.	A	Dividend	K	T	Sold (part)	02/17/11	J	A	
482. Gilead Sciences Inc.	A	Dividend	K	T	Sold (part)	02/18/11	J	A	
483. Gilead Sciences Inc.	A	Dividend	K	T	Sold (part)	03/11/11	J	A	
484. Gilead Sciences Inc.	A	Dividend	K	T	Sold (part)	05/13/11	J	A	
485. Gilead Sciences Inc.	A	Dividend	K	T	Buy (add'l)	07/19/11	J		
486. Gilead Sciences Inc.	A	Dividend	K	T	Buy (add'l)	08/08/11	J		
487. Gilead Sciences Inc.	A	Dividend	K	T	Buy (add'l)	08/15/11	J		
488. Gilead Sciences Inc.	A	Dividend	K	T	Sold (part)	10/31/11	J	A	
489. Gilead Sciences Inc.	A	Dividend	K	T	Sold (part)	11/22/11	J	A	
490. GP Strategies Corp.		None	J	T					
491. Goldman Sachs Group Inc.	A	Dividend	K	T	Buy (add'l)	01/20/11	J		
492. Goldman Sachs Group Inc.	A	Dividend	K	T	Buy (add'l)	02/09/11	J		
493. Goldman Sachs Group Inc	A	Dividend	K	T	Buy (add'l)	02/15/11	J		

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

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

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

494. Goldman Sachs Group Inc.	A	Dividend	K	T	Sold (part)	03/16/11	J	A	
495. Goldman Sachs Group Inc.	A	Dividend	K	T	Sold (part)	04/25/11	J	A	
496. Goldman Sachs Group Inc.	A	Dividend	K	T	Sold (part)	05/12/11	J	A	
497. Goldman Sachs Group Inc.	A	Dividend	K	T	Sold (part)	05/13/11	J	A	
498. Goldman Sachs Group Inc.	A	Dividend	K	T	Sold (part)	05/23/11	J	A	
499. Goldman Sachs Group Inc.	A	Dividend	K	T	Sold (part)	06/10/11	J	A	
500. Goldman Sachs Group Inc.	A	Dividend	K	T	Sold (part)	07/25/11	J	A	
501. Goldman Sachs Group Inc.	A	Dividend	K	T	Sold (part)	09/14/11	J	A	
502. Goldman Sachs Group Inc.	A	Dividend	K	T	Sold (part)	11/01/11	J	A	
503. Goldman Sachs Group Inc.	A	Dividend	K	T	Sold (part)	11/17/11	J	A	
504. Goldman Sachs Group Inc.	A	Dividend	K	T	Buy (add'l)	12/19/11	J		
505. Goodrich Corp.	A	Dividend	J	T	Sold (part)	03/11/11	J	A	
506. Goodrich Corp.	A	Dividend	J	T	Buy (add'l)	04/26/11	J		
507. Goodrich Corp.	A	Dividend	J	T	Buy (add'l)	05/16/11	J		
508. Goodrich Corp.	A	Dividend	J	T	Sold (part)	07/21/11	J	A	
509. Goodrich Corp.	A	Dividend	J	T	Sold (part)	08/04/11	J	A	
510. Goodrich Corp.	A	Dividend	J	T	Sold (part)	10/28/11	J	A	

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

511. Google Inc.	A	Dividend	K	T	Sold (part)	01/24/11	J	D	
512. Google Inc.	A	Dividend	K	T	Buy (add'l)	03/17/11	J		
513. Google Inc.	A	Dividend	K	T	Buy (add'l)	03/29/11	J		
514. Google Inc.	A	Dividend	K	T	Buy (add'l)	03/30/11	J		
515. Google Inc.	A	Dividend	K	T	Sold (part)	08/11/11	J	D	
516. Google Inc.	A	Dividend	K	T	Sold (part)	08/15/11	J	D	
517. Google Inc.	A	Dividend	K	T	Sold (part)	08/19/11	J	D	
518. Harley Davidson Inc.	A	Dividend	J	T	Buy	10/25/11	J		
519. Harley Davidson Inc.	A	Dividend	J	T	Buy (add'l)	11/02/11	J		
520. HCA Holdings Inc.	A	Dividend			Buy	03/30/11	J		
521. HCA Holdings Inc.	A	Dividend			Buy (add'l)	04/11/11	J		
522. HCA Holdings Inc.	A	Dividend			Sold (part)	04/27/11	J	A	
523. HCA Holdings Inc.	A	Dividend			Buy (add'l)	05/31/11	J		
524. HCA Holdings Inc.	A	Dividend			Sold	08/03/11	J	A	
525. Health Net Inc.	A	Dividend	J	T	Buy (add'l)	08/11/11	J		
526. Health Net Inc.	A	Dividend	J	T	Buy (add'l)	08/12/11	J		
527. Hershey Co.	A	Dividend	J	T	Buy	12/21/11	J		

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

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

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

528. Hershey Co.	A	Dividend	J	T	Buy (add'l)	12/22/11	J		
529. Hess Corp.	A	Dividend			Buy (add'l)	05/20/11	J		
530. Hess Corp.	A	Dividend			Sold	08/11/11	J	A	
531. Hewlett Packard Co.	A	Dividend	K	T	Buy (add'l)	02/23/11	J		
532. Hewlett Packard Co	A	Dividend	K	T	Buy (add'l)	03/01/11	J		
533. Hewlett Packard Co.	A	Dividend	K	T	Buy (add'l)	03/08/11	J		
534. Hewlett Packard Co	A	Dividend	K	T	Buy (add'l)	05/24/11	J		
535. Hewlett Packard Co.	A	Dividend	K	T	Buy (add'l)	05/25/11	J		
536. Hewlett Packard Co	A	Dividend	K	T	Buy (add'l)	08/05/11	J		
537. Hewlett Packard Co	A	Dividend	K	T	Buy (add'l)	08/19/11	J		
538. Hewlett Packard Co	A	Dividend	K	T	Buy (add'l)	08/22/11	J		
539. Hewlett Packard Co	A	Dividend	K	T	Buy (add'l)	11/23/11	J		
540. Hewlett Packard Co	A	Dividend	K	T	Buy (add'l)	12/20/11	J		
541. Hewlett Packard Co	A	Dividend	K	T	Buy (add'l)	12/22/11	J		
542. Honeywell Int'l. Inc.	A	Dividend			Buy (add'l)	01/31/11	J		
543. Honeywell Int'l. Inc.	A	Dividend			Sold (part)	02/17/11	J	A	
544. Honeywell Int'l. Inc.	A	Dividend			Sold (part)	03/14/11	J	A	

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

545. Honeywell Int'l. Inc.	A	Dividend			Sold (part)	04/07/11	J	A	
546. Honeywell Int'l. Inc.	A	Dividend			Sold (part)	04/08/11	J	A	
547. Honeywell Int'l. Inc.	A	Dividend			Sold	04/14/11	J	A	
548. Huntington Ingalls Indust (spinoff of Northrop Grumman Corp)	A	Dividend			Sold	06/14/11	J	A	
549. Illumina Inc.	A	Dividend	J	T	Buy	12/08/11	J		
550. Illumina Inc.	A	Dividend	J	T	Buy (add'l)	12/12/11	J		
551. Illumina Inc.	A	Dividend	J	T	Buy (add'l)	12/23/11	J		
552. Ingersoll Rand Co. Ltd.	A	Dividend	J	T	Sold (part)	06/20/11	J	A	
553. Ingersoll Rand Co. Ltd.	A	Dividend	J	T	Sold (part)	10/05/11	J	A	
554. Intel Corp.	A	Dividend			Sold (part)	03/09/11	J	A	
555. Intel Corp.	A	Dividend			Sold (part)	03/11/11	J	A	
556. Intel Corp.	A	Dividend			Sold (part)	03/17/11	J	A	
557. Intel Corp.	A	Dividend			Sold	04/05/11	J	A	
558. Interferon Sciences, Inc.		None	J	T					
559. Int'l Business Machines Corp.	A	Dividend			Sold	06/16/11	J	A	
560. Intuit Inc.	A	Dividend	J	T	Buy (add'l)	01/10/11	J		
561. Intuit Inc.	A	Dividend	J	T	Buy (add'l)	01/11/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
562. Intuit Inc.	A	Dividend	J	T	Buy (add'l)	01/24/11	J		
563. Intuit Inc.	A	Dividend	J	T	Buy (add'l)	02/15/11	J		
564. Intuit Inc.	A	Dividend	J	T	Buy (add'l)	03/03/11	J		
565. Intuit Inc.	A	Dividend	J	T	Buy (add'l)	03/18/11	J		
566. Intuit Inc.	A	Dividend	J	T	Buy (add'l)	07/15/11	J		
567. Intuit Inc.	A	Dividend	J	T	Buy (add'l)	08/03/11	J		
568. Intuit Inc.	A	Dividend	J	T	Buy (add'l)	08/23/11	J		
569. Intuit Inc.	A	Dividend	J	T	Sold (part)	11/14/11	J	A	
570. Investment Company of America - Mutual Fund (American Fund)	A	Dividend	L	T					
571. IRA-Citibank-CD	A	Interest	J	T					
572. IRA-Citibank-Money Market	A	Interest	J	T					
573. IRA-Soloman - Treasury Bond	A	Interest	J	T					
574. Johnson & Johnson	A	Dividend	K	T	Buy (add'l)	03/10/11	J		
575. Johnson & Johnson	A	Dividend	K	T	Buy (add'l)	03/16/11	J		
576. Johnson & Johnson	A	Dividend	K	T	Sold (part)	05/05/11	J	A	
577. Johnson & Johnson	A	Dividend	K	T	Sold (part)	08/11/11	J	A	
578. Johnson & Johnson	A	Dividend	K	T	Buy (add'l)	11/08/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
579. Johnson & Johnson	A	Dividend	K	T	Buy (add'l)	11/11/11	J		
580. Johnson Controls Inc.	A	Dividend	J	T	Buy (add'l)	03/08/11	J		
581. Johnson Controls Inc.	A	Dividend	J	T	Sold (part)	11/01/11	J	A	
582. Johnson Controls Inc.	A	Dividend	J	T	Sold (part)	11/23/11	J	A	
583. JP Morgan Chase & Co.	A	Dividend	K	T	Buy (add'l)	02/28/11	J		
584. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	03/08/11	J	A	
585. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	03/09/11	J	A	
586. JP Morgan Chase & Co.	A	Dividend	K	T	Buy (add'l)	03/28/11	J		
587. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	03/30/11	J	A	
588. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	04/06/11	J	A	
589. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	05/13/11	J	A	
590. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	05/16/11	J	A	
591. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	06/20/11	J	A	
592. JP Morgan Chase & Co.	A	Dividend	K	T	Buy (add'l)	07/22/11	J		
593. JP Morgan Chase & Co.	A	Dividend	K	T	Buy (add'l)	08/26/11	J		
594. JP Morgan Chase & Co.	A	Dividend	K	T	Buy (add'l)	09/08/11	J		
595. JP Morgan Chase & Co.	A	Dividend	K	T	Buy (add'l)	09/13/11	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
596. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	11/02/11	J	A	
597. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	11/11/11	J	A	
598. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	11/17/11	J	A	
599. JP Morgan Chase & Co.	A	Dividend	K	T	Sold (part)	11/21/11	J	A	
600. Juniper Networks Inc.	A	Dividend			Buy (add'l)	01/21/11	J		
601. Juniper Networks Inc.	A	Dividend			Buy (add'l)	01/26/11	J		
602. Juniper Networks Inc.	A	Dividend			Buy (add'l)	02/22/11	J		
603. Juniper Networks Inc.	A	Dividend			Buy (add'l)	02/25/11	J		
604. Juniper Networks Inc.	A	Dividend			Buy (add'l)	04/26/11	J		
605. Juniper Networks Inc.	A	Dividend			Sold (part)	05/12/11	J	A	
606. Juniper Networks Inc.	A	Dividend			Sold (part)	05/13/11	J	A	
607. Juniper Networks Inc.	A	Dividend			Sold (part)	08/11/11	J	A	
608. Juniper Networks Inc.	A	Dividend			Sold	10/19/11	J	A	
609. Kimberly-Clark Corp.	A	Dividend			Sold (part)	03/07/11	J	A	
610. Kimberly-Clark Corp.	A	Dividend			Sold	04/14/11	J	A	
611. Kohls Corp.	A	Dividend			Sold (part)	01/07/11	J	A	
612. Kohls Corp.	A	Dividend			Sold (part)	02/07/11	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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)
613. Kohls Corp.	A	Dividend			Sold (part)	02/28/11	J	A	
614. Kohls Corp.	A	Dividend			Sold (part)	03/14/11	J	A	
615. Kohls Corp.	A	Dividend			Sold (part)	03/30/11	J	A	
616. Kohls Corp.	A	Dividend			Sold (part)	04/05/11	J	A	
617. Kohls Corp.	A	Dividend			Sold	04/19/11	J	A	
618. Kroger Co.	A	Dividend	J	T	Buy	01/19/11	J		
619. Kroger Co.	A	Dividend	J	T	Buy (add'l)	01/25/11	J		
620. Kroger Co.	A	Dividend	J	T	Buy (add'l)	02/03/11	J		
621. Kroger Co.	A	Dividend	J	T	Buy (add'l)	02/07/11	J		
622. Kroger Co.	A	Dividend	J	T	Buy (add'l)	02/14/11	J		
623. Kroger Co.	A	Dividend	J	T	Buy (add'l)	10/31/11	J		
624. Lam Research Corp.	A	Dividend	J	T	Buy	05/06/11	J		
625. Lam Research Corp.	A	Dividend	J	T	Buy (add'l)	10/05/11	J		
626. Lam Research Corp.	A	Dividend	J	T	Buy (add'l)	10/11/11	J		
627. Lam Research Corp.	A	Dividend	J	T	Buy (add'l)	10/26/11	J		
628. Lam Research Corp.	A	Dividend	J	T	Buy (add'l)	11/01/11	J		
629. Lam Research Corp.	A	Dividend	J	T	Buy (add'l)	11/21/11	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
630. Las Vegas Sands Corp.	A	Dividend	J	T	Buy	08/18/11	J		
631. Las Vegas Sands Corp.	A	Dividend	J	T	Sold (part)	11/17/11	J		
632. Las Vegas Sands Corp.	A	Dividend	J	T	Sold (part)	12/06/11	J		
633. Lear Corp.	A	Dividend	J	T					
634. Legg Mason Clearbridge Appreciation Fund	B	Dividend	L	T					
635. Legg Mason Inc.	A	Dividend	K	T					
636. Limited Brands Inc.	A	Dividend	J	T	Buy (add'l)	01/04/11	J		
637. Limited Brands Inc.	A	Dividend	J	T	Buy (add'l)	01/20/11	J		
638. Limited Brands Inc.	A	Dividend	J	T	Buy (add'l)	03/04/11	J		
639. Limited Brands Inc.	A	Dividend	J	T	Buy (add'l)	03/31/11	J		
640. Limited Brands Inc.	A	Dividend	J	T	Sold (part)	04/13/11	J	A	
641. Limited Brands Inc.	A	Dividend	J	T	Sold (part)	04/14/11	J	A	
642. Limited Brands Inc.	A	Dividend	J	T	Buy (add'l)	06/20/11	J		
643. Limited Brands Inc.	A	Dividend	J	T	Buy (add'l)	07/15/11	J		
644. Limited Brands Inc.	A	Dividend	J	T	Sold (part)	09/30/11	J	A	
645. Limited Brands Inc.	A	Dividend	J	T	Sold (part)	10/12/11	J	A	
646. Limited Brands Inc.	A	Dividend	J	T	Sold (part)	10/28/11	J	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 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)
647. Lord Abbott Equity Fund	A	Dividend	J	T					
648. LMP Real Estate Income	A	Dividend	J	T					
649. LMP Stk Appr. Fund	A	Dividend	J	T					
650. Lowes Cos Inc.	A	Dividend	J	T	Buy (add'l)	02/02/11	J		
651. Lowes Cos Inc.	A	Dividend	J	T	Buy (add'l)	02/10/11	J		
652. Lowes Cos Inc.	A	Dividend	J	T	Buy (add'l)	02/22/11	J		
653. Lowes Cos Inc.	A	Dividend	J	T	Buy (add'l)	03/18/11	J		
654. Lowes Cos Inc.	A	Dividend	J	T	Buy (add'l)	04/14/11	J		
655. Lowes Cos Inc.	A	Dividend	J	T	Sold (part)	05/05/11	J	A	
656. Lowes Cos Inc.	A	Dividend	J	T	Sold (part)	05/06/11	J	A	
657. Lowes Cos Inc.	A	Dividend	J	T	Sold (part)	07/07/11	J	A	
658. Lowes Cos Inc.	A	Dividend	J	T	Sold (part)	07/25/11	J	A	
659. Lowes Cos Inc.	A	Dividend	J	T	Sold (part)	08/04/11	J	A	
660. Lowes Cos Inc.	A	Dividend	J	T	Buy (add'l)	09/06/11	J		
661. Lowes Cos Inc.	A	Dividend	J	T	Sold (part)	12/21/11	J	A	
662. Lyondellbasell	A	Dividend	J	T	Buy	05/24/11	J		
663. Lyondellbasell	A	Dividend	J	T	Buy (add'l)	08/22/11	J		

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

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

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

664. Lyondellbasell	A	Dividend	J	T	Buy (add'l)	08/23/11	J		
665. Lyondellbasell	A	Dividend	J	T	Buy (add'l)	10/03/11	J		
666. Marathon Oil Corp.	A	Dividend	J	T	Buy (add'l)	08/17/11	J		
667. Marathon Oil Corp.	A	Dividend	J	T	Buy (add'l)	09/27/11	J		
668. Marathon Petroleum Corp.	A	Dividend	J	T	Buy	08/01/11	J		
669. Marathon Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	08/05/11	J		
670. Marathon Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	08/16/11	J		
671. Marathon Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	08/17/11	J		
672. Marathon Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	08/24/11	J		
673. Marathon Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	09/23/11	J		
674. Marathon Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	09/27/11	J		
675. Marathon Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	09/28/11	J		
676. Marathon Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	10/03/11	J		
677. Marathon Petroleum Corp.	A	Dividend	J	T	Sold (part)	11/16/11	J	A	
678. Marathon Petroleum Corp.	A	Dividend	J	T	Buy (add'l)	12/22/11	J		
679. Marvell Technology Group	A	Dividend	J	T	Sold (part)	03/01/11	J	A	
680. Marvell Technology Group	A	Dividend	J	T	Buy (add'l)	05/24/11	J		

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

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

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
681. Marvell Technology Group	A	Dividend	J	T	Buy (add'l)	09/22/11	J		
682. Marvell Technology Group	A	Dividend	J	T	Buy (add'l)	09/28/11	J		
683. Marvell Technology Group	A	Dividend	J	T	Buy (add'l)	10/20/11	J		
684. Marvell Technology Group	A	Dividend	J	T	Buy (add'l)	10/28/11	J		
685. Marvell Technology Group	A	Dividend	J	T	Buy (add'l)	11/01/11	J		
686. Marvell Technology Group	A	Dividend	J	T	Buy (add'l)	11/04/11	J		
687. Medco Health Solutions Inc.	A	Dividend	J	T					
688. McGraw Hill Cos. Inc.	A	Dividend	J	T	Buy	05/05/11	J		
689. McGraw Hill Cos. Inc.	A	Dividend	J	T	Buy (add'l)	05/24/11	J		
690. McKesson Corp.	A	Dividend			Buy	02/18/11	J		
691. McKesson Corp.	A	Dividend			Buy (add'l)	02/23/11	J		
692. McKesson Corp.	A	Dividend			Sold (part)	03/28/11	J	A	
693. McKesson Corp.	A	Dividend			Sold (part)	03/30/11	J	A	
694. McKesson Corp.	A	Dividend			Sold	04/06/11	J	A	
695. Merrill Lynch 5 MITSR 168 mps	A	Interest	J	T					
696. Metlife Inc.	A	Dividend	J	T	Buy	03/07/11	J		
697. Metlife Inc.	A	Dividend	J	T	Buy (add'l)	04/08/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$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)
698. Metlife Inc.	A	Dividend	J	T	Buy (add'l)	04/14/11	J		
699. Metlife Inc.	A	Dividend	J	T	Buy (add'l)	04/25/11	J		
700. Metlife Inc.	A	Dividend	J	T	Buy (add'l)	05/17/11	J		
701. Metlife Inc.	A	Dividend	J	T	Buy (add'l)	05/24/11	J		
702. Metlife Inc.	A	Dividend	J	T	Buy (add'l)	08/10/11	J		
703. MGM Resorts International	A	Dividend	J	T	Buy	12/28/11	J		
704. Micron Technology Inc.	A	Dividend	J	T	Buy	10/13/11	J		
705. Micron Technology Inc.	A	Dividend	J	T	Buy (add'l)	10/18/11	J		
706. Micron Technology Inc.	A	Dividend	J	T	Buy (add'l)	10/24/11	J		
707. Micron Technology Inc.	A	Dividend	J	T	Buy (add'l)	11/01/11	J		
708. Micron Technology Inc.	A	Dividend	J	T	Buy (add'l)	11/14/11	J		
709. Microsoft Corp.	A	Dividend			Sold (part)	01/14/11	J	A	
710. Microsoft Corp.	A	Dividend			Sold (part)	02/01/11	J	A	
711. Microsoft Corp.	A	Dividend			Sold (part)	02/02/11	J	A	
712. Microsoft Corp.	A	Dividend			Sold	02/17/11	J	A	
713. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	02/02/11	J		
714. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	02/17/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 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)
715. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	02/24/11	J		
716. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	03/14/11	J		
717. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	03/17/11	J		
718. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	04/06/11	J		
719. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	04/07/11	J		
720. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	04/15/11	J		
721. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	04/21/11	J		
722. Monsanto Co.	A	Dividend	J	T	Buy (add'l)	05/16/11	J		
723. Monsanto Co.	A	Dividend	J	T	Sold (part)	08/01/11	J	A	
724. Monsanto Co.	A	Dividend	J	T	Sold (part)	08/11/11	J	A	
725. Monsanto Co.	A	Dividend	J	T	Sold (part)	10/14/11	J	A	
726. Monsanto Co.	A	Dividend	J	T	Sold (part)	11/04/11	J	A	
727. Moody's Corp.	A	Dividend	J	T	Buy	03/28/11	J		
728. Moody's Corp.	A	Dividend	J	T	Buy (add'l)	04/08/11	J		
729. Moody's Corp.	A	Dividend	J	T	Buy (add'l)	06/17/11	J		
730. Moody's Corp.	A	Dividend	J	T	Buy (add'l)	06/20/11	J		
731. Morgan Lewis & Bockius LLP, Firm Capital	E	Interest	O	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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)
732. Morgan Stanley	A	Dividend	J	T	Buy (add'l)	04/26/11	J		
733. Morgan Stanley	A	Dividend	J	T	Sold (part)	05/24/11	J	A	
734. Morgan Stanley	A	Dividend	J	T	Buy (add'l)	12/05/11	J		
735. Morgan Stanley NY Municipal	A	Dividend	K	T	Buy	04/21/11	J		
736. Motorola Solutions Inc.	A	Dividend			Buy	03/01/11	J		
737. Motorola Solutions Inc.	A	Dividend			Buy (add'l)	03/10/11	J		
738. Motorola Solutions Inc.	A	Dividend			Buy (add'l)	03/14/11	J		
739. Motorola Solutions Inc.	A	Dividend			Buy (add'l)	05/20/11	J		
740. Motorola Solutions Inc.	A	Dividend			Sold (part)	06/29/11	J	A	
741. Motorola Solutions Inc.	A	Dividend			Sold (part)	07/01/11	J	A	
742. Motorola Solutions Inc.	A	Dividend			Sold	07/21/11	J	A	
743. Municipal Bonds-NY State	B	Interest	L	T					
744. Nabors Industries Ltd.	A	Dividend			Buy	02/22/11	J		
745. Nabors Industries Ltd.	A	Dividend			Buy (add'l)	03/24/11	J		
746. Nabors Industries Ltd.	A	Dividend			Buy (add'l)	03/29/11	J		
747. Nabors Industries Ltd.	A	Dividend			Buy (add'l)	06/24/11	J		
748. Nabors Industries Ltd.	A	Dividend			Sold	08/10/11	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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)
749. Netapp Inc.	A	Dividend			Buy	05/16/11	J		
750. Netapp Inc.	A	Dividend			Buy (add'l)	05/27/11	J		
751. Netapp Inc.	A	Dividend			Buy (add'l)	06/01/11	J		
752. Netapp Inc.	A	Dividend			Sold (part)	07/28/11	J	A	
753. Netapp Inc.	A	Dividend			Sold	08/03/11	J	A	
754. Netflix Inc.	A	Dividend			Buy	01/24/11	J		
755. Netflix Inc.	A	Dividend			Buy (add'l)	01/25/11	J		
756. Netflix Inc.	A	Dividend			Buy (add'l)	01/26/11	J		
757. Netflix Inc.	A	Dividend			Sold (part)	02/16/11	J	A	
758. Netflix Inc.	A	Dividend			Sold (part)	02/17/11	J	A	
759. Netflix Inc.	A	Dividend			Sold	02/18/11	J	A	
760. Newell Rubbermaid Inc.	A	Dividend	J	T	Buy	10/25/11	J		
761. Newell Rubbermaid Inc.	A	Dividend	J	T	Buy (add'l)	10/27/11	J		
762. Newfield Exploration Co.	A	Dividend			Sold (part)	03/16/11	J	A	
763. Newfield Exploration Co.	A	Dividend			Sold (part)	03/18/11	J	A	
764. Newfield Exploration Co.	A	Dividend			Sold (part)	03/23/11	J	A	
765. Newfield Exploration Co.	A	Dividend			Sold (part)	03/24/11	J	A	

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

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. Newfield Exploration Co.	A	Dividend			Buy (add'l)	04/21/11	J		
767. Newfield Exploration Co.	A	Dividend			Sold (part)	06/07/11	J	A	
768. Newfield Exploration Co.	A	Dividend			Sold	06/13/11	J	A	
769. News Corp. Inc.	A	Dividend			Sold (part)	02/07/11	J	A	
770. News Corp. Inc.	A	Dividend			Sold (part)	03/07/11	J	A	
771. News Corp. Inc.	A	Dividend			Sold (part)	04/20/11	J	A	
772. News Corp. Inc.	A	Dividend			Sold (part)	07/18/11	J	A	
773. News Corp. Inc.	A	Dividend			Sold (part)	08/11/11	J	A	
774. News Corp. Inc.	A	Dividend			Sold (part)	08/12/11	J	A	
775. News Corp. Inc.	A	Dividend			Sold (part)	08/19/11	J	A	
776. News Corp. Inc.	A	Dividend			Sold	09/02/11	J	A	
777. Nexen Inc.	A	Dividend			Sold	10/14/11	J	A	
778. Nisource Inc..	A	Dividend			Sold (part)	03/07/11	J	A	
779. Nisource Inc..	A	Dividend			Sold (part)	04/29/11	J	A	
780. Nisource Inc.	A	Dividend			Sold	05/03/11	J	A	
781. Noble Energy Inc.	A	Dividend	J	T	Buy (add'l)	03/07/11	J		
782. Noble Energy Inc.	A	Dividend	J	T	Buy (add'l)	05/12/11	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
783. Noble Energy Inc.	A	Dividend	J	T	Sold (part)	10/07/11	J	A	
784. Noble Energy Inc.	A	Dividend	J	T	Sold (part)	10/26/11	J	A	
785. Noble Energy Inc.	A	Dividend	J	T	Sold (part)	11/16/11	J	A	
786. Northrop Grumman Corp.	A	Dividend	J	T	Buy (add'l)	03/01/11	J		
787. Northrop Grumman Corp.	A	Dividend	J	T	Sold (part)	09/13/11	J	A	
788. Northrop Grumman Corp.	A	Dividend	J	T	Sold (part)	10/14/11	J	A	
789. Northrop Grumman Corp.	A	Dividend	J	T	Sold (part)	10/25/11	J	A	
790. Nustar Energy LP	A	Dividend	J	T					
791. Nuveen Municipal Advantage	B	Interest	K	T					
792. Nuveen New York Quality	A	Interest	J	T	Buy	01/10/11	J		
793. Nvidia Corp.	A	Dividend			Buy (add'l)	01/04/11	J		
794. Nvidia Corp.	A	Dividend			Sold	02/14/11	J	A	
795. NV Energy Inc.	A	Dividend	J	T	Buy	08/16/11	J		
796. NV Energy Inc.	A	Dividend	J	T	Buy (add'l)	11/22/11	J		
797. NV Energy Inc.	A	Dividend	J	T	Buy (add'l)	12/22/11	J		
798. NVR Inc.	A	Dividend	J	T	Buy (add'l)	04/21/11	J		
799. NVR Inc.	A	Dividend	J	T	Sold (part)	11/09/11	J	A	

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

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)
800. N.Y. State Urban Development Bonds	A	Interest	J	T					
801. New York Municipal Portfolio	A	Dividend	J	T					
802. Occidental Petroleum	A	Dividend			Buy (add'l)	01/18/11	J		
803. Occidental Petroleum	A	Dividend			Sold (part)	03/09/11	J	B	
804. Occidental Petroleum	A	Dividend			Sold (part)	03/25/11	J	A	
805. Occidental Petroleum	A	Dividend			Buy (add'l)	04/11/11	J		
806. Occidental Petroleum	A	Dividend			Buy (add'l)	04/21/11	J		
807. Occidental Petroleum	A	Dividend			Sold (part)	07/28/11	J	A	
808. Occidental Petroleum	A	Dividend			Sold (part)	08/12/11	J	A	
809. Occidental Petroleum	A	Dividend			Sold (part)	09/07/11	J	A	
810. Occidental Petroleum	A	Dividend			Sold	10/03/11	J	A	
811. Office Depot Inc.	A	Dividend			Sold (part)	07/12/11	J	A	
812. Office Depot Inc.	A	Dividend			Sold	08/10/11	J	A	
813. Oppenheimer Global Opportunity Fund	B	Dividend	L	T					
814. Oracle Corp.	A	Dividend	J	T	Buy (add'l)	03/01/11	J		
815. Oracle Corp.	A	Dividend	J	T	Buy (add'l)	03/17/11	J		
816. Oracle Corp.	A	Dividend	J	T	Buy (add'l)	03/30/11	J		

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

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

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
817. Oracle Corp.	A	Dividend	J	T	Buy (add'l)	05/23/11	J		
818. Oracle Corp.	A	Dividend	J	T	Buy (add'l)	06/24/11	J		
819. Oracle Corp.	A	Dividend	J	T	Sold (part)	09/08/11	J	A	
820. Oracle Corp.	A	Dividend	J	T	Sold (part)	10/28/11	J	A	
821. Oracle Corp.	A	Dividend	J	T	Buy (add'l)	11/25/11	J		
822. Oracle Corp.	A	Dividend	J	T	Buy (add'l)	12/16/11	J		
823. Parker-Hannifin Corp.	A	Dividend			Sold (part)	03/08/11	J	A	
824. Parker-Hannifin Corp.	A	Dividend			Sold	06/17/11	J	A	
825. Pepsico Inc.	A	Dividend	J	T	Sold (part)	02/14/11	J	A	
826. Pepsico Inc.	A	Dividend	J	T	Buy (add'l)	09/22/11	J		
827. Pepsico Inc.	A	Dividend	J	T	Buy (add'l)	09/28/11	J		
828. Pepsico Inc.	A	Dividend	J	T	Buy (add'l)	10/25/11	J		
829. Pepsico Inc.	A	Dividend	J	T	Buy (add'l)	10/28/11	J		
830. Pepsico Inc.	A	Dividend	J	T	Buy (add'l)	11/18/11	J		
831. Pepsico Inc.	A	Dividend	J	T	Sold (part)	12/09/11	J	A	
832. Pepsico Inc.	A	Dividend	J	T	Sold (part)	12/22/11	J	A	
833. Perrigo Inc.	A	Dividend	J	T	Buy	11/15/11	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
834. Perrigo Inc.	A	Dividend	J	T	Buy (add'l)	11/18/11	J		
835. Perrigo Inc.	A	Dividend	J	T	Buy (add'l)	11/28/11	J		
836. Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	06/22/11	J		
837. Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	06/24/11	J		
838. Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	07/26/11	J		
839. Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	07/29/11	J		
840. Pfizer Inc.	A	Dividend	K	T	Buy (add'l)	08/11/11	J		
841. Potash Corp. of Saskatchewan	A	Dividend	J	T	Sold (part)	02/14/11	J	A	
842. Potash Corp. of Saskatchewan	A	Dividend	J	T	Buy (add'l)	02/28/11	J		
843. Potash Corp. of Saskatchewan	A	Dividend	J	T	Sold (part)	03/11/11	J	A	
844. Potash Corp. of Saskatchewan	A	Dividend	J	T	Sold (part)	03/16/11	J		
845. Potash Corp. of Saskatchewan	A	Dividend	J	T	Buy (add'l)	04/26/11	J		
846. Potash Corp. of Saskatchewan	A	Dividend	J	T	Buy (add'l)	04/28/11	J		
847. Potash Corp. of Saskatchewan	A	Dividend	J	T	Buy (add'l)	05/06/11	J		
848. Potash Corp. of Saskatchewan	A	Dividend	J	T	Buy (add'l)	10/31/11	J		
849. Precision Castparts Corp.	A	Dividend	J	T	Buy	06/15/11	J		
850. Precision Castparts Corp.	A	Dividend	J	T	Buy (add'l)	07/26/11	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
851. Precision Castparts Corp.	A	Dividend	J	T	Buy (add'l)	09/28/11	J		
852. Precision Castparts Corp.	A	Dividend	J	T	Buy (add'l)	10/03/11	J		
853. Precision Castparts Corp.	A	Dividend	J	T	Buy (add'l)	10/24/11	J		
854. Precision Castparts Corp.	A	Dividend	J	T	Buy (add'l)	10/31/11	J		
855. Precision Castparts Corp.	A	Dividend	J	T	Buy (add'l)	11/21/11	J		
856. Proctor & Gamble	A	Dividend	K	T	Buy (add'l)	03/14/11	J		
857. Proctor & Gamble	A	Dividend	K	T	Buy (add'l)	03/23/11	J		
858. Proctor & Gamble	A	Dividend	K	T	Buy (add'l)	03/24/11	J		
859. Proctor & Gamble	A	Dividend	K	T	Buy (add'l)	04/15/11	J		
860. Proctor & Gamble	A	Dividend	K	T	Buy (add'l)	04/18/11	J		
861. Proctor & Gamble	A	Dividend	K	T	Buy (add'l)	05/17/11	J		
862. Proctor & Gamble	A	Dividend	K	T	Sold (part)	07/12/11	J	A	
863. Proctor & Gamble	A	Dividend	K	T	Sold (part)	08/16/11	J	A	
864. Proctor & Gamble	A	Dividend	K	T	Sold (part)	10/28/11	J	A	
865. Proctor & Gamble	A	Dividend	K	T	Sold (part)	10/31/11	J	A	
866. Proctor & Gamble	A	Dividend	K	T	Sold (part)	11/08/11	J	A	
867. Putnam New Opportunities	A	Dividend	K	T					

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes	J ~\$15,000 or less (See Columns C1 and D3)	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 ~\$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 ~More than \$50,000,000 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)
868. PVH Corp.	A	Dividend	J	T	Buy	10/14/11	J		
869. PVH Corp.	A	Dividend	J	T	Buy (add'l)	10/18/11	J		
870. PVH Corp.	A	Dividend	J	T	Buy (add'l)	10/19/11	J		
871. PVH Corp.	A	Dividend	J	T	Buy (add'l)	12/21/11	J		
872. Qualcomm Inc.	A	Dividend	K	T	Buy	01/27/11	J		
873. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	02/01/11	J		
874. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	02/02/11	J		
875. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	02/11/11	J		
876. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	02/15/11	J		
877. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	02/18/11	J		
878. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	03/18/11	J		
879. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	03/22/11	J		
880. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	03/29/11	J		
881. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	03/31/11	J		
882. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	04/21/11	J		
883. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	04/26/11	J		
884. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	06/22/11	J		

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

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

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

885. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	07/15/11	J		
886. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	07/22/11	J		
887. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	09/08/11	J		
888. Qualcomm Inc.	A	Dividend	K	T	Buy (add'l)	11/18/11	J		
889. Raytheon Company	A	Dividend			Buy (add'l)	03/04/11	J		
890. Raytheon Company	A	Dividend			Buy (add'l)	04/15/11	J		
891. Raytheon Company	A	Dividend			Buy (add'l)	05/02/11	J		
892. Raytheon Company	A	Dividend			Sold (part)	06/17/11	J	A	
893. Raytheon Company	A	Dividend			Sold (part)	08/05/11	J	A	
894. Raytheon Company	A	Dividend			Sold	08/16/11	J	A	
895. Reliance Steel & Aluminum	A	Dividend			Buy	01/07/11	J		
896. Reliance Steel & Aluminum	A	Dividend			Sold	07/01/11	J	A	
897. Riverbed Technology Inc.	A	Dividend			Buy	02/03/11	J		
898. Riverbed Technology Inc.	A	Dividend			Buy (add'l)	02/07/11	J		
899. Riverbed Technology Inc.	A	Dividend			Buy (add'l)	02/16/11	J		
900. Riverbed Technology Inc.	A	Dividend			Buy (add'l)	02/25/11	J		
901. Riverbed Technology Inc.	A	Dividend			Buy (add'l)	03/02/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = \$15,001 - \$50,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000	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	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		

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. Riverbed Technology Inc.	A	Dividend			Buy (add'l)	04/26/11	J		
903. Riverbed Technology Inc.	A	Dividend			Buy (add'l)	05/04/11	J		
904. Riverbed Technology Inc.	A	Dividend			Buy (add'l)	05/11/11	J		
905. Riverbed Technology Inc.	A	Dividend			Buy (add'l)	05/13/11	J		
906. Riverbed Technology Inc.	A	Dividend			Buy (add'l)	05/24/11	J		
907. Riverbed Technology Inc.	A	Dividend			Buy (add'l)	07/07/11	J		
908. Riverbed Technology Inc.	A	Dividend			Sold (part)	07/26/11	J	A	
909. Riverbed Technology Inc.	A	Dividend			Sold (part)	08/11/11	J	A	
910. Riverbed Technology Inc.	A	Dividend			Sold (part)	08/25/11	J	A	
911. Riverbed Technology Inc.	A	Dividend			Sold (part)	10/20/11	J	A	
912. Riverbed Technology Inc.	A	Dividend			Sold (part)	10/28/11	J	A	
913. Riverbed Technology Inc.	A	Dividend			Sold (part)	12/07/11	J	A	
914. Riverbed Technology Inc.	A	Dividend			Sold	12/15/11	J	A	
915. Rochester Fund - Mutual Fund (Oppenheimer (Funds))	D	Dividend	M	T					
916. Rockwell Automation Inc.	A	Dividend	J	T	Buy	01/20/11	J		
917. Rockwell Automation Inc.	A	Dividend	J	T	Buy (add'l)	02/15/11	J		
918. Rockwell Automation Inc.	A	Dividend	J	T	Buy (add'l)	03/31/11	J		

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

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Pollak, Cheryl L.

Date of Report

10/10/2012

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
919. Rockwell Automation Inc.	A	Dividend	J	T	Sold (part)	04/21/11	J	A	
920. Rockwell Automation Inc.	A	Dividend	J	T	Buy (add'l)	08/16/11	J		
921. Rockwell Automation Inc.	A	Dividend	J	T	Buy (add'l)	10/31/11	J		
922. Rovi Corp.	A	Dividend			Sold (part)	01/14/11	J	A	
923. Rovi Corp.	A	Dividend			Buy (add'l)	01/31/11	J		
924. Rovi Corp.	A	Dividend			Buy (add'l)	02/15/11	J		
925. Rovi Corp.	A	Dividend			Buy (add'l)	02/17/11	J		
926. Rovi Corp.	A	Dividend			Sold (part)	04/20/11	J	A	
927. Rovi Corp.	A	Dividend			Buy (add'l)	06/28/11	J		
928. Rovi Corp.	A	Dividend			Sold (part)	11/09/11	J	A	
929. Rovi Corp.	A	Dividend			Sold	11/11/11	J	A	
930. Royal Caribbean Cruises Ltd.	A	Dividend			Sold (part)	03/07/11	J	A	
931. Royal Caribbean Cruises Ltd.	A	Dividend			Buy (add'l)	07/08/11	J		
932. Royal Caribbean Cruises Ltd.	A	Dividend			Buy (add'l)	08/12/11	J		
933. Royal Caribbean Cruises Ltd.	A	Dividend			Sold	08/29/11	J	A	
934. Safeway Inc.	A	Dividend			Sold	02/03/11	J	A	
935. Sara Lee Corp.	A	Dividend			Sold	02/22/11	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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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. Salesforce.com Inc.	A	Dividend	J	T	Buy	12/12/11	J		
937. Schlumberger Ltd.	A	Dividend	K	T	Sold (part)	01/07/11	J	D	
938. Schlumberger Ltd	A	Dividend	K	T	Sold (part)	01/11/11	J	D	
939. Schlumberger Ltd	A	Dividend	K	T	Sold (part)	03/01/11	J	D	
940. Schlumberger Ltd.	A	Dividend	K	T	Sold (part)	03/03/11	J	D	
941. Schlumberger Ltd.	A	Dividend	K	T	Sold (part)	03/04/11	J	D	
942. Schlumberger Ltd.	A	Dividend	K	T	Sold (part)	03/28/11	J	D	
943. Schlumberger Ltd	A	Dividend	K	T	Sold (part)	03/30/11	J	D	
944. Schlumberger Ltd	A	Dividend	K	T	Buy (add'l)	04/15/11	J		
945. Schlumberger Ltd	A	Dividend	K	T	Buy (add'l)	05/25/11	J		
946. Schlumberger Ltd.	A	Dividend	K	T	Buy (add'l)	10/04/11	J		
947. Seagate Technology	A	Dividend	J	T	Buy	10/25/11	J		
948. Seligman Communication - Mutual Fund	B	Dividend	J	T					
949. Smithfield Foods Inc.	A	Dividend			Sold (part)	04/06/11	J	A	
950. Smithfield Foods Inc.	A	Dividend			Buy (add'l)	05/17/11	J		
951. Smithfield Foods Inc.	A	Dividend			Buy (add'l)	05/25/11	J		
952. Smithfield Foods Inc.	A	Dividend			Sold (part)	06/23/11	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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)
953. Smithfield Foods Inc.	A	Dividend			Sold	11/01/11	J	A	
954. Southwestern Energy	A	Dividend			Sold (part)	01/14/11	J	A	
955. Southwestern Energy	A	Dividend			Sold (part)	01/21/11	J	A	
956. Southwestern Energy	A	Dividend			Sold (part)	02/14/11	J	A	
957. Southwestern Energy	A	Dividend			Buy (add'l)	03/22/11	J		
958. Southwestern Energy	A	Dividend			Sold (part)	05/03/11	J	A	
959. Southwestern Energy	A	Dividend			Sold (part)	06/10/11	J	A	
960. Southwestern Energy	A	Dividend			Sold (part)	06/13/11	J	A	
961. Southwestern Energy	A	Dividend			Sold	07/27/11	J	A	
962. Spectra Energy	A	Dividend	J	T					
963. Sprint Nextel Corp.	A	Dividend			Buy	03/14/11	J		
964. Sprint Nextel Corp.	A	Dividend			Buy (add'l)	03/15/11	J		
965. Sprint Nextel Corp.	A	Dividend			Buy (add'l)	04/11/11	J		
966. Sprint Nextel Corp.	A	Dividend			Buy (add'l)	04/29/11	J		
967. Sprint Nextel Corp.	A	Dividend			Buy (add'l)	05/24/11	J		
968. Sprint Nextel Corp.	A	Dividend			Sold (part)	06/17/11	J	A	
969. Sprint Nextel Corp.	A	Dividend			Sold (part)	06/23/11	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 ~\$25,000,001 - \$50,000,000 Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	P4 ~More than \$50,000,000 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)
970. Sprint Nextel Corp.	A	Dividend			Sold (part)	07/26/11	J	A	
971. Sprint Nextel Corp.	A	Dividend			Sold	08/09/11	J	A	
972. Stanley Black & Decker, Inc.	A	Dividend			Buy (add'l)	03/24/11	J		
973. Stanley Black & Decker, Inc.	A	Dividend			Buy (add'l)	04/05/11	J		
974. Stanley Black & Decker, Inc.	A	Dividend			Buy (add'l)	05/10/11	J		
975. Stanley Black & Decker, Inc.	A	Dividend			Buy (add'l)	05/16/11	J		
976. Stanley Black & Decker, Inc.	A	Dividend			Buy (add'l)	07/13/11	J		
977. Stanley Black & Decker, Inc.	A	Dividend			Sold (part)	08/11/11	J	A	
978. Stanley Black & Decker, Inc.	A	Dividend			Sold (part)	09/08/11	J	A	
979. Stanley Black & Decker, Inc.	A	Dividend			Sold (part)	09/12/11	J	A	
980. Stanley Black & Decker, Inc.	A	Dividend			Sold (part)	09/19/11	J	A	
981. Stanley Black & Decker, Inc.	A	Dividend			Sold	09/29/11	J	A	
982. Starbucks Corp.	A	Dividend	J	T	Buy (add'l)	05/17/11	J		
983. Starbucks Corp.	A	Dividend	J	T	Buy (add'l)	07/19/11	J		
984. Starbucks Corp.	A	Dividend	J	T	Sold (part)	08/11/11	J	A	
985. Starbucks Corp.	A	Dividend	J	T	Sold (part)	10/12/11	J	A	
986. Starbucks Corp.	A	Dividend	J	T	Sold (part)	10/19/11	J	A	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
987. Starbucks Corp.	A	Dividend	J	T	Sold (part)	10/28/11	J	A	
988. Starbucks Corp.	A	Dividend	J	T	Sold (part)	11/16/11	J	A	
989. Steel Dynamics Inc.	A	Dividend			Buy	01/05/11	J		
990. Steel Dynamics Inc.	A	Dividend			Buy (add'l)	01/12/11	J		
991. Steel Dynamics Inc.	A	Dividend			Sold	05/31/11	J	A	
992. Suncor Energy Inc.	A	Dividend			Sold (part)	02/23/11	J	A	
993. Suncor Energy Inc.	A	Dividend			Sold	04/06/11	J	A	
994. Target Corp.	A	Dividend			Sold	01/28/11	J	A	
995. Tax-Aware Overlay N Portfolio Class 1	A	Dividend	P1	T	Sold (part)	01/20/11	J	A	
996. Tax-Aware Overlay N Portfolio Class 1	A	Dividend	P1	T	Sold (part)	04/13/11	J	A	
997. Tax-Aware Overlay N Portfolio Class 1	A	Dividend	P1	T	Sold (part)	07/15/11	J	A	
998. Tax-Aware Overlay N Portfolio Class 1	A	Dividend	P1	T	Sold (part)	10/12/11	J	A	
999. Tax-Aware Overlay N Portfolio Class 1	A	Dividend	P1	T	Buy (add'l)	12/13/11	J		
1000. Tax-Aware Overlay A Portfolio Class A	A	Dividend	N	T	Buy	12/13/11	K		
1001. Tesoro Corp.	A	Dividend			Buy	02/15/11	J		
1002. Tesoro Corp.	A	Dividend			Sold	08/10/11	J	A	
1003. Teva Pharmaceutical Ind.	A	Dividend			Buy (add'l)	03/10/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
1004. Teva Pharmaceutical Ind.	A	Dividend			Sold	04/25/11	J	A	
1005. Time Warner Cable Inc.	A	Dividend	J	T	Sold (part)	01/25/11	J	A	
1006. Time Warner Cable Inc.	A	Dividend	J	T	Sold (part)	06/23/11	J	A	
1007. Time Warner Cable Inc.	A	Dividend	J	T	Buy (add'l)	08/11/11	J		
1008. Time Warner Cable Inc.	A	Dividend	J	T	Buy (add'l)	11/14/11	J		
1009. Time Warner Cable Inc.	A	Dividend	J	T	Buy (add'l)	11/22/11	J		
1010. Transocean Ltd.	A	Dividend	J	T	Buy	05/17/11	J		
1011. Transocean Ltd.	A	Dividend	J	T	Buy (add'l)	07/15/11	J		
1012. Transocean Ltd.	A	Dividend	J	T	Buy (add'l)	08/01/11	J		
1013. Transocean Ltd.	A	Dividend	J	T	Buy (add'l)	10/05/11	J		
1014. Transocean Ltd.	A	Dividend	J	T	Buy (add'l)	10/17/11	J		
1015. Transocean Ltd.	A	Dividend	J	T	Buy (add'l)	11/10/11	J		
1016. TRW Automotive Holdings Corp.	A	Dividend	J	T	Buy	05/24/11	J		
1017. TRW Automotive Holdings Corp.	A	Dividend	J	T	Buy (add'l)	09/23/11	J		
1018. TRW Automotive Holdings Corp.	A	Dividend	J	T	Buy (add'l)	10/03/11	J		
1019. TRW Automotive Holdings Corp.	A	Dividend	J	T	Buy (add'l)	10/18/11	J		
1020. Tyco Electronics Ltd.	A	Dividend			Sold (part)	03/08/11	J	A	

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

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. TE Connectivity Ltd. (formerly Tyco Electronics) Ltd.)	A	Dividend			Sold	04/25/11	J	A	
1022. Tyson Foods Inc.	A	Dividend	J	T	Buy	05/02/11	J		
1023. Tyson Foods Inc.	A	Dividend	J	T	Buy (add'l)	06/23/11	J		
1024. Tyson Foods Inc.	A	Dividend	J	T	Buy (add'l)	06/29/11	J		
1025. Tyson Foods Inc.	A	Dividend	J	T	Buy (add'l)	11/02/11	J		
1026. U.S. Savings Bonds	A	Interest	J	T					
1027. U.S. Treasury Bills	A	Interest	L	T					
1028. U.S. Treasury Notes	B	Interest	K	T					
1029. U.S. Treasury Notes	B	Interest	K	T					
1030. U.S. Treasury Securities	D	Interest	L	T					
1031. U.S. Treasury Securities	D	Interest	L	T					
1032. UBS Financial - Blackrock NY Municipal Trust	A	Interest	K	T					
1033. UBS Financial - Blackrock Muni Term Trust	A	Interest	J	T					
1034. UBS Financial - Powershares	A	Dividend	J	T					
1035. United Parcel	A	Dividend	J	T	Buy (add'l)	07/27/11	J		
1036. United Technologies Corp.	A	Dividend			Buy	07/22/11	J		
1037. United Technologies Corp.	A	Dividend			Buy (add'l)	07/26/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1038. United Technologies Corp.	A	Dividend			Buy (add'l)	07/27/11	J		
1039. United Technologies Corp.	A	Dividend			Sold	10/19/11	J	A	
1040. Unitedhealth Group Inc.	A	Dividend	J	T	Buy	06/16/11	J		
1041. Unitedhealth Group Inc.	A	Dividend	J	T	Buy (add'l)	06/20/11	J		
1042. Unitedhealth Group Inc.	A	Dividend	J	T	Buy (add'l)	06/21/11	J		
1043. Unitedhealth Group Inc.	A	Dividend	J	T	Buy (add'l)	08/08/11	J		
1044. Unitedhealth Group Inc.	A	Dividend	J	T	Buy (add'l)	08/10/11	J		
1045. Unitedhealth Group Inc.	A	Dividend	J	T	Buy (add'l)	08/11/11	J		
1046. Unitedhealth Group Inc.	A	Dividend	J	T	Sold (part)	09/19/11	J	A	
1047. Unitedhealth Group Inc.	A	Dividend	J	T	Buy (add'l)	10/21/11	J		
1048. Unitedhealth Group Inc.	A	Dividend	J	T	Buy (add'l)	11/10/11	J		
1049. Unitedhealth Group Inc.	A	Dividend	J	T	Sold (part)	12/21/11	J	A	
1050. UTS Equity	A	Dividend	K	T					
1051. Vanguard	A	Interest	K	T					
1052. Vertex Pharmaceuticals Inc.	A	Dividend			Sold	02/25/11	J	A	
1053. VF Corp.	A	Dividend	J	T	Buy	08/01/11	J		
1054. Viacom Inc.	A	Dividend	J	T	Buy (add'l)	06/02/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1055. Viacom Inc.	A	Dividend	J	T	Buy (add'l)	06/08/11	J		
1056. Viacom Inc.	A	Dividend	J	T	Buy (add'l)	06/14/11	J		
1057. Visa Inc.	A	Dividend	J	T	Buy	08/04/11	J		
1058. Visa Inc.	A	Dividend	J	T	Buy (add'l)	11/02/11	J		
1059. Vodafone Group	A	Dividend			Buy (add'l)	01/03/11	J		
1060. Vodafone Group	A	Dividend			Sold	03/14/11	J	A	
1061. Walt Disney Co.	A	Dividend	J	T	Sold (part)	03/04/11	J	A	
1062. Walt Disney Co.	A	Dividend	J	T	Sold (part)	03/16/11	J	A	
1063. Walt Disney Co.	A	Dividend	J	T	Buy (add'l)	04/06/11	J		
1064. Walt Disney Co.	A	Dividend	J	T	Buy (add'l)	07/26/11	J		
1065. Walt Disney Co.	A	Dividend	J	T	Buy (add'l)	08/09/11	J		
1066. Walt Disney Co.	A	Dividend	J	T	Buy (add'l)	08/17/11	J		
1067. Walt Disney Co.	A	Dividend	J	T	Buy (add'l)	08/19/11	J		
1068. Walt Disney Co.	A	Dividend	J	T	Sold (part)	10/12/11	J	A	
1069. Walt Disney Co.	A	Dividend	J	T	Sold (part)	10/31/11	J	A	
1070. Walt Disney Co.	A	Dividend	J	T	Buy (add'l)	12/16/11	J		
1071. Walt Disney Co.	A	Dividend	J	T	Buy (add'l)	12/22/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1072. Wellpoint Inc.	A	Dividend	J	T	Buy	03/07/11	J		
1073. Wellpoint Inc.	A	Dividend	J	T	Buy (add'l)	03/14/11	J		
1074. Wellpoint Inc.	A	Dividend	J	T	Buy (add'l)	04/08/11	J		
1075. Wellpoint Inc.	A	Dividend	J	T	Buy (add'l)	04/26/11	J		
1076. Wellpoint Inc.	A	Dividend	J	T	Buy (add'l)	05/02/11	J		
1077. Wellpoint Inc.	A	Dividend	J	T	Buy (add'l)	05/04/11	J		
1078. Wellpoint Inc.	A	Dividend	J	T	Buy (add'l)	05/20/11	J		
1079. Wellpoint Inc.	A	Dividend	J	T	Buy (add'l)	08/11/11	J		
1080. Wellpoint Inc.	A	Dividend	J	T	Buy (add'l)	08/12/11	J		
1081. Wellpoint Inc.	A	Dividend	J	T	Sold (part)	12/05/11	J	A	
1082. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	02/18/11	J	A	
1083. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	02/22/11	J	A	
1084. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	04/19/11	J	A	
1085. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	04/28/11	J	A	
1086. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	05/05/11	J	A	
1087. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	05/19/11	J	A	
1088. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	08/03/11	J	A	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1089. Wells Fargo & Company	A	Dividend	K	T	Buy (add'l)	09/06/11	J		
1090. Wells Fargo & Company	A	Dividend	K	T	Sold (part)	10/27/11	J	A	
1091. Wells Fargo & Company	A	Dividend	K	T	Buy (add'l)	11/02/11	J		
1092. Western Asset N.Y Muni Mrkt.	A	Interest	J	T	Buy	01/31/11	J		
1093. Western Asset N.Y Muni Mrkt.	A	Interest	J	T	Redeemed (part)	04/21/11	J	A	
1094. XL Group PLC (formerly XL Capital Ltd.)	A	Dividend			Sold	01/12/11	J	A	

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

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

Part VII, Page 9 of 70, line 94 Bank of America - CD; This was mistakenly reported as a CD held by Citibank; actually it was held by Bank of America.

Part VII, Page 13 and Page 14 of 70, lines 168 - 172; CB Richard Ellis Group Inc. was renamed CBRE Group Inc. on 10/03/11.

Part VII, Page 36 of 70; line 548; Huntington Ingalls Indust. is a spinoff of Northrop Grumman Corp. effective 3/31/11.

Part VII, Page 37 of 70; line 571; IRA-Citibank CD. Through thorough investigations with Citibank, it appears that the prior 2 entries for IRA-Citibank-Balanced Portfolio is in fact only 1 IRA- Citibank CD.

Therefore, the report now reflects the two prior IRA-Citibank- Balanced Portfolio entries are now absorbed into one entry as IRA-Citibank CD.

Part VII, Page 64 of 70; line 1021; Tyco Electronics was renamed TE Connectivity Ltd. on 3/17/11.

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/ Cheryl L. Pollak

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

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