

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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

1. Person Reporting (last name, first, middle initial) Moody, Jr., James S.	2. Court or Organization U.S. DISTRICT COURT MIDDLE DISTRICT FL	3. Date of Report 05/02/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT COURT JUDGE (ACTIVE)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2012 to 12/31/2012
7. Chambers or Office Address U.S. DISTRICT COURT 801 NORTH FLORIDA AVE #13A TAMPA, FL 33602		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	TRUSTEE	[REDACTED] TRUST
2.	DIRECTOR	FEDERAL JUDGES ASSOCIATION (Through June 2012)
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	HUMANA/COMPBENEFITS, INC. - SALARY
2.	
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Judges Association	May 2012	Washington, D.C.	Board Meeting	\$425 for travel and lodging
2.				
3.				
4.				
5.				

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

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

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	SunTrust Bank	Mortgage	K
2.	Merrill Lynch	Margin Loan	M
3.			
4.			
5.			

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. SUNTRUST CASH ACCOUNTS									
2. -- Individual Checking	A	Int./Div.	J	T					
3. -- McIntosh Road	A	Int./Div.	J	T					
4. -- Checking	A	Int./Div.	J	T					
5. -- Savings	A	Int./Div.	J	T					
6. -- Individual	A	Int./Div.	J	T					
7. MERRILL LYNCH CASH ACCOUNTS									
8. -- Bilmar	A	Int./Div.	J	T					
9. -- Individual #1	A	Int./Div.	M	T					
10. -- Individual #2	A	Int./Div.	J	T					
11. -- Individual #3	A	Int./Div.	J	T					
12. --	A	Int./Div.	J	T					
13.)	A	Int./Div.	J	T					
14. -- Trust #1	A	Int./Div.	K	T					
15. -- Trust #2	A	Int./Div.	M	T					
16. -- Partnership (X)	C	Int./Div.	P1	T					
17. -- Partnership (X)	A	Int./Div.	K	T					

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

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18. -- Trust #1 Inc. Bene (X)	A	Int./Div.	K	T					
19. -- IRA					Closed	12/31/12	J		
20. -- IRA					Closed	12/31/12	J		
21. Merrill Lynch Retirement Accounts (									
22. -- STI Call Options					Sold	2/17/12	J		
23.					Closed	2/17/12	J		
24. -- DMND Call Options					Sold	2/21/12	J		
25. -- DMND					Buy	2/21/12	K		
26.					Sold	9/24/12	K		
27. -- STI					Sold	3/19/12	K		
28. -- WFC					Sold	2/21/12	K		
29. -- CAT Call Options					Sold	10/25/12	J		
30. -- CAT					Sold	1/20/12	J	A	
31.					Buy	6/20/12	K		
32.					Sold	9/24/12	K	A	
33.					Buy	10/25/12	L		
34.					Closed	12/21/12	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -- BB&T					Buy	10/25/12	K		
36.					Closed	12/21/12	K		
37. -- NLY					Closed	12/21/12	J		
38. -- BAC					Closed	12/21/12	K		
39. -- RF					Closed	12/21/12	J		
40. -- JPM					Buy	4/3/12	K		
41.					Sold	9/24/12	K		
42. -- CCL					Buy	2/21/12	K		
43.					Buy	5/23/12	J		
44.					Sold	6/18/12	K	A	
45. -- SMCWX					Sold	9/24/12	L	E	
46. -- AGTHX					Sold	9/24/12	L	E	
47. MERRILL LYNCH NON-C									
48. -- STI	A	Int./Div.	J	T	Sold (part)	2/21/12	K		
49.					Sold (part)	3/19/12	K	A	
50.					Sold (part)	9/24/12	K		
51.					Sold (part)	10/22/12	L		

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2. Value Codes (See Columns C1 and D3)	J --\$15,000 or less N --\$250,001 - \$500,000 P3 --\$25,000,001 - \$50,000,000	K --\$15,001 - \$50,000 O --\$500,001 - \$1,000,000	L --\$50,001 - \$100,000 P1 --\$1,000,001 - \$5,000,000 P4 --More than \$5,000,000	M --\$100,001 - \$250,000 P2 --\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q --Appraisal U --Book Value	R --Cost (Real Estate Only) V --Other	S --Assessment W --Estimated	T --Cash Market	

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52. -- BAC	A	Int./Div.	M	T					
53. -- RF	A	Int./Div.	L	T	Sold (part)	1/23/12	J		
54. -- CAT Call Options					Sold	12/27/12	J		
55. -- CAT	B	Int./Div.	L	T	Sold (part)	1/18/12	K	A	
56.					Buy (add'l)	10/25/12	K		
57.					Sold (part)	12/20/12	K	A	
58. -- DMND Call Options					Sold	2/6/12	J		
59.					Sold	2/21/12	J		
60.					Sold	10/25/12	J		
61. -- DMND	A	Int./Div.	K	T	Buy	2/1/12	K		
62.					Buy (add'l)	2/9/12	K		
63.					Buy (add'l)	2/21/12	K		
64.					Sold (part)	3/19/12	K		
65.					Sold	9/24/12	K		
66.					Buy (add'l)	9/26/12	K		
67. -- CCL					Buy (add'l)	2/21/12	K		
68.					Sold	3/19/12	K	C	

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69. -- JPM					Buy	4/3/12	K		
70.					Sold	9/24/12	K		
71. -- NLY	C	Int./Div.	K	T					
72. -- ARCC	A	Int./Div.	J	T					
73. -- BP					Buy	6/14/12	K		
74.					Sold	7/23/12	K	A	
75. -- T					Sold	5/21/12	K	D	
76. -- BBT	B	Int./Div.	L	T	Sold (part)	9/24/12	K		
77. -- CSQ	A	Int./Div.	J	T					
78. Merrill Lynch Trust									
79. -- WFC Call Options					Sold	1/20/12	J		
80.					Closed	1/20/12	J		
81.					Sold	2/17/12	J		
82.					Closed	2/17/12	J		
83. -- WFC					Sold	3/19/12	K	A	
84. -- STI					Sold (part)	1/23/12	L		
85.					Sold (part)	3/19/12	K	A	

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2. Value Codes (See Columns C1 and D3)	Q –Appraisal U –Book Value	R –Cost (Real Estate Only) V –Other	S –Assessment W –Estimated	T –Cash Market	

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86.					Sold (part)	3/22/12	K	A	
87.					Sold	9/24/12	L	C	
88. -- TM					Sold	3/19/12	L	B	
89. -- AET					Sold	1/11/12	K		
90. -- CAT Call Options					Sold	4/3/12	J		
91.					Sold	10/11/12	J		
92.					Sold	11/20/12	J		
93.					Sold	11/20/12	J		
94. -- CAT	B	Int./Div.	L	T	Sold (part)	1/18/12	K	B	
95.					Buy (add'l)	4/3/12	M		
96.					Buy (add'l)	10/8/12	L		
97.					Sold (part)	12/20/12	L	A	
98. -- PRU					Sold	1/23/12	K	C	
99. -- PFE	C	Int./Div.	M	T	Sold (part)	1/23/12	L		
100. -- CSQ	D	Int./Div.	M	T					
101. -- NLY	C	Int./Div.	K	T	Buy (add'l)	4/10/12	K		
102.					Sold (part)	5/21/12	K	A	

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value				
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103.					Buy (add'l)	8/9/12	K		
104.					Sold (part)	9/24/12	K	A	
105.					Buy (add'l)	10/16/12	K		
106. -- ARCC	A	Int./Div.	J	T					
107. -- BAC	A	Int./Div.	L	T					
108. -- BBT					Sold	7/23/12	K	C	
109. -- RF	A	Int./Div.	J	T					
110. -- AGNC					Buy	8/9/12	K		
111.					Sold	9/19/12	K	B	
112. -- DMND Call Options					Sold	2/6/12	J		
113.					Sold	2/21/12	J		
114.					Sold	5/22/12	J		
115.					Sold	5/22/12	J		
116.					Sold	10/26/12	J		
117. -- DMND	A	Int./Div.	K	T	Buy	2/6/12	K		
118.					Buy (add'l)	2/13/12	K		
119.					Sold (part)	9/24/12	K		

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120.					Buy (add'l)	9/26/12	K		
121. -- HUM Call Options					Sold	2/22/12	J		
122.					Sold	3/19/12	J		
123. -- HUM	B	Int./Div.	L	T	Buy	2/22/12	L		
124. -- NUE	B	Int./Div.	K	T	Buy	3/6/12	K		
125. -- BP	B	Int./Div.	K	T	Buy	6/14/12	K		
126.					Sold	7/23/12	K	A	
127.					Buy	8/9/12	K		
128.					Buy (add'l)	11/5/12	K		
129.					Sold (part)	11/5/12	K	A	
130. -- COP Call Options					Sold	10/19/12	J		
131. --COP					Buy	9/5/12	L		
132.					Sold	12/24/12	L	B	
133. -- CVX Call Options					Sold	5/22/12	J		
134. --CVX					Buy	1/31/12	M		
135.					Sold	2/15/12	M	B	
136.					Buy	2/22/12	M		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Sold	3/19/12	M	B	
138.					Buy	3/22/12	M		
139.					Sold	7/23/12	M		
140. Merrill Lynch Investment Partnership () & ()									
141. -- BBT	B	Int./Div.	L	T	Sold (part)	1/23/12	K		
142.					Buy (add'l)	10/18/12	L		
143. -- STI Call Options					Sold	1/3/12	J		
144.					Sold	1/3/12	J		
145.					Sold	1/5/12	J		
146.					Sold	1/10/12	J		
147.					Closed	1/20/12	J		
148.					Sold	1/23/12	J		
149.					Sold	1/23/12	J		
150.					Sold	1/25/12	J		
151.					Sold	2/6/12	J		
152.					Sold	2/6/12	J		
153.					Sold	2/13/12	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Closed	2/13/12	J		
155.					Closed	2/17/12	J		
156.					Closed	2/17/12	K		
157.					Sold	2/17/12	K		
158.					Sold	2/17/12	J		
159.					Sold	2/21/12	J		
160.					Sold	2/21/12	J		
161.					Sold	2/21/12	J		
162.					Sold	2/22/12	J		
163.					Sold	3/14/12	J		
164.					Sold	3/15/12	J		
165.					Sold	3/22/12	J		
166.					Sold	3/22/12	J		
167.					Sold	4/20/12	J		
168.					Sold	4/23/12	J		
169.					Sold	4/23/12	J		
170.					Sold	4/23/12	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 P1 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Sold	4/25/12	J		
172.					Sold	4/24/12	J		
173.					Sold	4/24/12	J		
174.					Sold	4/24/12	J		
175.					Sold	4/24/12	J		
176.					Sold	4/26/12	J		
177.					Sold	5/1/12	J		
178.					Sold	5/21/12	J		
179.					Sold	5/21/12	J		
180.					Sold	6/20/12	J		
181.					Sold	6/20/12	J		
182.					Sold	7/2/12	J		
183.					Sold	8/3/12	J		
184.					Sold	8/7/12	J		
185.					Sold	8/8/12	J		
186.					Sold	8/9/12	J		
187.					Sold	8/9/12	J		

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

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.					Closed	8/17/12	J		
189.					Sold	8/17/12	J		
190.					Sold	8/20/12	J		
191.					Sold	8/20/12	J		
192.					Sold	8/20/12	J		
193.					Sold	8/20/12	J		
194.					Sold	9/6/12	J		
195.					Sold	9/6/12	J		
196.					Sold	9/7/12	J		
197.					Closed	10/19/12	J		
198.					Sold	10/19/12	J		
199.					Sold	10/25/12	J		
200.					Sold	11/5/12	J		
201.					Sold	11/5/12	J		
202.					Sold	11/20/12	J		
203.					Sold	12/21/12	J		
204.					Sold	12/21/12	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 P1 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205.					Sold	12/21/12	J		
206.					Closed	12/21/12	J		
207.					Sold	12/27/12	J		
208. -- STI	D	Int./Div.	O	T	Sold (part)	1/23/12	O		
209.					Sold (part)	2/21/12	M		
210.					Buy (add'l)	2/22/12	M		
211.					Sold (part)	3/19/12	P1		
212.					Buy (add'l)	3/22/12	N		
213.					Buy (add'l)	4/20/12	M		
214.					Sold (part)	9/24/12	P1	D	
215.					Sold (part)	10/24/12	O		
216.					Buy (add'l)	11/5/12	M		
217. -- AMP Call Options					Sold	2/17/12	J		
218.					Closed	2/17/12	J		
219.					Sold	3/19/12	J		
220.					Closed	3/19/12	J		
221.					Sold	8/7/12	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222.					Sold	8/7/12	J		
223. -- AMP					Buy (add'l)	1/27/12	L		
224.					Buy (add'l)	8/7/12	K		
225.					Sold	9/24/12	M		
226. -- CCL Call Options					Sold	7/25/12	J		
227. -- CCL					Buy (add'l)	3/6/12	K		
228.					Sold (part)	3/19/12	K	B	
229.					Sold	9/24/12	L		
230. -- HUM Call Options					Sold	2/22/12	J		
231.					Sold	3/6/12	J		
232.					Sold	3/19/12	J		
233.					Sold	4/20/12	J		
234.					Sold	4/23/12	J		
235.					Sold	5/21/12	J		
236.					Sold	5/23/12	J		
237.					Sold	6/20/12	J		
238.					Sold	7/25/12	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239.					Sold	8/20/12	J		
240.					Sold	9/25/12	J		
241.					Sold	11/7/12	J		
242.					Sold	11/20/12	J		
243.					Sold	12/27/12	J		
244.					Sold	12/27/12	J		
245. -- HUM	D	Int./Div.	N	T	Buy	2/22/12	L		
246.					Buy (add'l)	3/6/12	L		
247.					Buy (add'l)	4/23/12	L		
248.					Buy (add'l)	5/23/12	L		
249.					Buy (add'l)	7/25/12	L		
250.					Sold (part)	9/24/12	M		
251.					Sold (part)	10/22/12	L		
252.					Buy (add'l)	11/5/12	J		
253.					Buy (add'l)	11/7/12	M		
254.					Buy (add'l)	11/13/12	L		
255.					Buy (add'l)	11/30/12	L		

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256.					Sold (part)	12/24/12	L	B	
257. -- CAT Call Options					Sold	3/22/12	J		
258.					Sold	4/24/12	J		
259.					Sold	5/1/12	J		
260.					Sold	5/7/12	J		
261.					Sold	5/21/12	J		
262.					Closed	8/17/12	J		
263.					Sold	9/4/12	J		
264.					Sold	9/25/12	J		
265.					Sold	10/2/12	J		
266.					Sold	10/11/12	J		
267.					Sold	10/19/12	J		
268.					Sold	10/23/12	J		
269.					Sold	10/25/12	J		
270.					Sold	11/20/12	J		
271.					Sold	11/20/12	J		
272.					Sold	11/20/12	J		

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

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	(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. -- CAT	D	Int./Div.	N	T	Buy (add'l)	1/3/12	L		
274.					Sold	2/21/12	N	D	
275.					Buy	3/22/12	M		
276.					Buy (add'l)	5/1/12	M		
277.					Buy (add'l)	5/7/12	L		
278.					Buy (add'l)	7/25/12	L		
279.					Sold (part)	8/17/12	J		
280.					Sold (part)	8/20/12	L		
281.					Buy (add'l)	9/4/12	L		
282.					Buy (add'l)	9/5/12	J		
283.					Sold (part)	9/24/12	N		
284.					Buy (add'l)	10/2/12	M		
285.					Buy (add'l)	10/8/12	L		
286.					Buy (add'l)	10/11/12	L		
287.					Sold (part)	10/18/12	M	C	
288.					Buy (add'l)	10/19/12	M		
289.					Buy (add'l)	10/23/12	L		

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

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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.					Buy (add'l)	10/25/12	L		
291.					Sold (part)	12/20/12	N	D	
292. -- FTR Call Options					Closed	10/18/12	J		
293. -- FTR	D	Int./Div.	L	T	Buy	8/29/12	K		
294.					Buy (add'l)	10/19/12	K		
295. --BBY Call Options					Sold	1/20/12	J		
296.					Closed	1/20/12	J		
297.					Sold	2/17/12	J		
298.					Closed	2/17/12	J		
299.					Sold	3/19/12	J		
300.					Closed	8/17/12	J		
301.					Sold	12/27/12	J		
302. -- BBY	B	Int./Div.	K	T	Sold (part)	3/19/12	K		
303. -- NSC Call Options					Sold	3/6/12	J		
304. -- NSC					Buy	3/6/12	L		
305.					Sold	4/23/12	L	B	
306. -- NUE Call Options					Sold	1/20/12	J		

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

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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.					Closed	1/20/12	J		
308.					Sold	2/17/12	J		
309.					Sold	2/17/12	J		
310.					Sold	2/17/12	J		
311.					Sold	8/7/12	J		
312.					Sold	10/19/12	J		
313.					Sold	11/20/12	J		
314.					Sold	11/20/12	J		
315. -- NUE	C	Int./Div.	L	T	Sold (part)	1/23/12	L	B	
316.					Buy (add'l)	3/6/12	K		
317.					Sold (part)	3/21/12	M	D	
318.					Buy (add'l)	3/22/12	M		
319.					Buy (add'l)	5/7/12	K		
320.					Buy (add'l)	10/5/12	K		
321.					Sold (part)	12/24/12	M		
322. -- AFL Call Options					Sold	4/20/12	J		
323.					Sold	5/21/12	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324.					Sold	5/21/12	J		
325.					Sold	6/15/12	J		
326.					Sold	7/23/12	J		
327.					Sold	7/25/12	J		
328. -- AFL					Buy	4/20/12	M		
329.					Buy (add'l)	4/23/12	K		
330.					Buy (add'l)	7/25/12	K		
331.					Sold	8/13/12	M		
332. -- JPM Call Options					Sold	2/17/12	J		
333.					Closed	2/17/12	J		
334.					Sold	6/20/12	J		
335. -- JPM					Sold	1/23/12	K		
336.					Buy	1/31/12	L		
337.					Buy (add'l)	2/21/12	K		
338.					Buy (add'l)	3/6/12	L		
339.					Sold (part)	3/19/12	M		
340.					Sold (part)	4/3/12	L	D	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341.					Buy (add'l)	4/20/12	L		
342.					Buy (add'l)	5/16/12	K		
343.					Buy (add'l)	7/26/12	K		
344.					Sold (part)	9/20/12	K		
345.					Sold	9/24/12	M		
346. -- COP Call Options					Sold	9/25/12	J		
347.					Sold	10/12/12	J		
348.					Sold	10/19/12	J		
349.					Closed	10/19/12	J		
350.					Sold	11/20/12	J		
351.					Sold	11/20/12	J		
352. -- COP	D	Int./Div.	M	T	Buy	8/29/12	M		
353.					Buy (add'l)	9/5/12	L		
354.					Buy (add'l)	10/12/12	M		
355.					Buy (add'l)	10/23/12	L		
356.					Buy (add'l)	11/7/12	L		
357.					Buy (add'l)	11/9/12	L		

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

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

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

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

358.					Sold (part)	12/24/12	N	D	
359. -- MWV	C	Int./Div.	L	T					
360. -- BX					Sold	9/24/12	K		
361. -- ARLP	C	Int./Div.	L	T					
362. -- ARCC	C	Int./Div.	L	T					
363. -- AGNC	E	Int./Div.	M	T	Buy (add'l)	11/7/12	L		
364.					Sold (part)	11/19/12	K	A	
365.					Buy (add'l)	11/20/12	K		
366. -- POT Call Options					Sold	2/17/12	J		
367.					Sold	3/6/12	J		
368.					Sold	7/20/12	J		
369.					Closed	7/20/12	J		
370.					Sold	8/20/12	J		
371. -- POT	B	Int./Div.	L	T	Buy (add'l)	2/21/12	K		
372.					Buy (add'l)	3/6/12	K		
373.					Sold (part)	3/19/12	K		
374.					Sold (part)	7/23/12	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. -- WFC					Sold	1/23/12	L		
376. -- AGU Call Options					Sold	3/6/12	J		
377. -- AGU					Buy (add'l)	3/6/12	L		
378.					Sold (part)	4/23/12	L	C	
379.					Sold	7/23/12	K	B	
380. -- GS Call Options					Sold	3/19/12	J	D	
381.					Sold	4/24/12	J		
382.					Sold	8/9/12	J		
383. -- GS					Buy	3/19/12	M		
384.					Buy (add'l)	8/9/12	L		
385.					Sold	9/24/12	M	D	
386. -- BP Call Options					Sold	3/6/12	J		
387.					Sold	9/25/12	J		
388.					Sold	11/5/12	J		
389.					Sold	12/21/12	J		
390.					Sold	12/26/12	J		
391. -- BP	E	Int./Div.	N	T	Buy	3/6/12	L		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392.					Buy (add'l)	4/30/12	K		
393.					Buy (add'l)	9/4/12	K		
394.					Buy (add'l)	9/5/12	K		
395.					Sold (part)	9/24/12	K		
396.					Sold (part)	11/5/12	L		
397.					Buy (add'l)	11/5/12	L		
398.					Buy (add'l)	11/7/12	K		
399.					Buy (add'l)	11/13/12	K		
400.					Buy (add'l)	11/20/12	K		
401.					Buy (add'l)	12/14/12	K		
402. -- PRU Call Options					Sold	4/23/12	J		
403.					Sold	8/9/12	J		
404.					Sold	10/11/12	J		
405.					Sold	10/19/12	J		
406.					Sold	11/20/12	J		
407.					Sold	11/20/12	J		
408. -- PRU	D	Int./Div.	N	T	Sold (part)	1/23/12	L	C	

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 P1 --\$25,000,001 - \$50,000,000	K --\$15,001 - \$50,000 O --\$500,001 - \$1,000,000	L --\$50,001 - \$100,000 P1 --\$1,000,001 - \$5,000,000 P4 --More than \$50,000,000	M --\$100,001 - \$250,000 P2 --\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q --Appraisal U --Book Value	R --Cost (Real Estate Only) V --Other	S --Assessment W --Estimated	T --Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
409.					Buy (add'l)	4/23/12	M		
410.					Sold (part)	9/24/12	M		
411.					Buy (add'l)	10/11/12	L		
412.					Buy (add'l)	10/19/12	M		
413.					Buy (add'l)	10/25/12	L		
414.					Buy (add'l)	11/13/12	L		
415.					Sold (part)	12/24/12	L		
416. -- KMB Call Options					Sold	12/27/12	J		
417. -- KMB	D	Int/Div.	M	T	Buy	10/25/12	L		
418.					Buy (add'l)	11/7/12	L		
419.					Sold (part)	11/19/12	K	A	
420. -- DMND Call Options					Sold	1/31/12	J		
421.					Sold	2/6/12	J		
422.					Sold	2/21/12	J		
423.					Sold	2/21/12	J		
424.					Sold	5/21/12	J		
425.					Sold	5/21/12	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
426. -- DMND		None	K	T	Buy	1/31/12	K		
427.					Buy (add'l)	2/6/12	K		
428.					Buy (add'l)	2/9/12	K		
429.					Buy (add'l)	2/21/12	J		
430.					Sold (part)	5/21/12	K		
431.					Sold (part)	9/24/12	K		
432.					Buy (add'l)	9/26/12	K		
433.					Sold (part)	12/21/12	K		
434.					Buy (add'l)	12/24/12	K		
435. -- AET Call Options					Sold	4/20/12	J		
436.					Sold	6/20/12	J		
437.					Sold	8/17/12	J		
438. -- AET					Buy	4/20/12	K		
439.					Buy (add'l)	7/25/12	K		
440.					Sold (part)	9/24/12	L		
441.					Buy (add'l)	11/7/12	K		
442.					Sold	12/24/12	K		

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

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Name of Person Reporting

Moody, Jr., James S.

Date of Report

05/02/2013

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
443. -- NLY	D	Int./Div.	L	T	Buy	10/16/12	K		
444.					Buy (add'l)	11/7/12	K		
445. -- CVX Call Options					Sold	1/20/12	J		
446.					Closed	1/20/12	J		
447.					Sold	3/22/12	J		
448.					Sold	4/20/12	J		
449.					Sold	4/25/12	J		
450.					Sold	5/21/12	J		
451.					Sold	5/23/12	J		
452.					Sold	6/20/12	J		
453.					Sold	11/5/12	J		
454.					Sold	11/19/12	J		
455. -- CVX	D	Int./Div.	N	T	Buy (add'l)	1/31/12	M		
456.					Buy (add'l)	2/15/12	M		
457.					Buy (add'l)	2/22/12	M		
458.					Sold (part)	3/19/12	M	B	
459.					Buy (add'l)	3/22/12	N		

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

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Name of Person Reporting

Moody, Jr., James S.

Date of Report

05/02/2013

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
460.					Buy (add'l)	4/20/12	M		
461.					Sold (part)	7/23/12	N	A	
462.					Buy (add'l)	11/5/12	M		
463.					Buy (add'l)	11/7/12	M		
464.					Buy (add'l)	11/13/12	M		
465.					Buy (add'l)	11/15/12	M		
466.					Sold (part)	12/24/12	M	B	
467. -- BKBK (B&K Bank Stock)		None	K	T					
468. -- JNJ Call Options					Sold	1/20/12	J		
469.					Sold	2/21/12	J		
470.					Sold	9/25/12	J		
471. -- JNJ					Sold	10/22/12	M	E	
472.					Buy	11/15/12	L		
473.					Sold	12/24/12	L	B	
474. -- ACCO(X)		None	J	T					
475. -- AINV	D	Int./Div.	L	T					
476. -- GRBS		None	K	T					

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

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Name of Person Reporting

Moody, Jr., James S.

Date of Report

05/02/2013

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. -- Greenville, SC Bond	D	Interest	M	T					
478. -- South Carolina Bond	B	Interest	L	T					
479. -- Greenville, SC Bond	B	Interest	K	T					
480. -- Horry Cnty, SC Bond	B	Interest	L	T					
481. -- Note Receivable (Carole Shelton)	D	Interest			Matured	12/31/12	L		
482. -- First Tampa 301 LLC Tampa, FL	E	Rent	N	W					
483. -- FIRST TAMPA 301 LLC TAMPA, FL (X)	F	Distribution	N	W					
484. Merrill Lynch - Trust #1 Inc. Bene									
485. -- CYS	E	Int./Div.	M	T	Buy (add'l)	3/5/12	J		
486.					Buy (add'l)	3/6/12	L		
487.					Buy (add'l)	3/8/12	L		
488.					Buy (add'l)	9/21/12	L		
489.					Buy (add'l)	11/30/12	J		
490.					Buy (add'l)	12/11/12	J		
491. -- CTL Call Options					Sold	4/27/12	J		
492.					Sold	6/18/12	J		
493.					Sold	7/31/12	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.					Sold	8/17/12	J		
495. -- CTL	D	Int./Div.	M	T	Buy (add'l)	3/6/12	L		
496. -- BBT					Sold	2/16/12	J		
497. -- NUE					Sold	1/23/12	L		
498.					Buy	7/24/12	K		
499.					Sold	8/20/12	K	B	
500. -- CCL					Sold	6/18/12	K		
501. -- WFC					Sold	1/23/12	L		
502. -- STI					Sold (part)	1/23/12	N		
503.					Sold	2/21/12	M		
504. -- BAC					Sold	3/26/12	J		
505. -- JPM					Sold	2/21/12	K		
506. -- NSC					Buy	2/23/12	L		
507.					Buy (add'l)	3/2/12	J		
508.					Sold	5/2/12	L	B	
509. -- GIS Call Options					Sold	3/2/12	J		
510. -- GIS					Buy	2/24/12	M		

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

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
511.					Sold	4/5/12	M	C	
512. -- AFL Call Options					Sold	4/19/12	J		
513.					Sold	6/13/12	J		
514. -- AFL					Buy	4/19/12	L		
515.					Sold	7/23/12	L		
516. -- T					Sold	4/5/12	K		
517. -- AGNC Call Options					Sold	1/6/12	J		
518.					Sold	3/6/12	J		
519.					Sold	6/5/12	J		
520. -- AGNC	F	Int./Div.	N	T	Sold (part)	3/5/12	M	B	
521.					Buy (add'l)	3/6/12	M		
522.					Buy (add'l)	3/8/12	J		
523.					Buy (add'l)	3/14/12	J		
524.					Buy (add'l)	3/16/12	J		
525.					Buy (add'l)	3/19/12	J		
526.					Buy (add'l)	3/27/12	L		
527.					Buy (add'l)	8/7/12	J		

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

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.					Buy (add'l)	9/17/12	M		
529. -- HTS					Sold	1/23/12	L		
530. -- IVR Call Options					Sold	3/26/12	J		
531.					Sold	6/22/12	J		
532.					Sold	6/29/12	J		
533. -- IVR	A	Int./Div.	J	T	Sold (part)	6/21/12	K		
534.					Sold (part)	6/22/12	M		
535. -- POT Call Options					Sold	4/25/12	J		
536.					Sold	5/22/12	J		
537. -- POT					Sold	7/23/12	L		
538. -- KMB Call Options					Sold	1/30/12	J		
539.					Sold	8/7/12	J		
540. -- KMB					Buy	1/30/12	L		
541.					Sold (part)	3/7/12	L		
542.					Buy (add'l)	8/7/12	M		
543.					Sold (part)	10/22/12	M	C	
544. -- ARLP Call Options					Sold	3/8/12	J		

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

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. -- ARLP					Buy	3/5/12	M		
546.					Sold	4/12/12	M		
547. -- PM Call Options					Sold	3/2/12	J		
548. -- PM	D	Int./Div.	M	T	Buy	3/2/12	M		
549.					Sold (part)	3/27/12	M	B	
550.					Sold	4/23/12	K	A	
551.					Buy	8/21/12	L		
552.					Buy (add'l)	8/23/12	K		
553. -- WIN	D	Int./Div.	L	T	Buy	3/6/12	L		
554.					Buy (add'l)	6/27/12	K		
555. -- NLY Call Options					Sold	9/25/12	J		
556. -- NLY					Buy	5/2/12	L		
557.					Sold	9/27/12	L	C	
558. -- MITT Call Options					Sold	6/5/12	J		
559.					Sold	7/18/12	J		
560.					Sold	7/27/12	J		
561.					Sold	7/27/12	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)
562.					Sold	9/20/12	J		
563.					Sold	10/3/12	J		
564. -- MITT	E	Int./Div.	M	T	Buy	4/17/12	L		
565.					Buy (add'l)	4/19/12	K		
566.					Sold (part)	6/27/12	L	B	
567.					Buy (add'l)	7/6/12	K		
568.					Buy (add'l)	7/10/12	M		
569.					Buy (add'l)	7/20/12	J		
570.					Sold (part)	9/14/12	M	D	
571.					Buy (add'l)	10/4/12	L		
572.					Buy (add'l)	10/5/12	J		
573.					Buy (add'l)	10/23/12	M		
574. -- MTGE Call Options					Sold	6/13/12	J		
575. -- MTGE	E	Int./Div.	N	T	Buy	4/10/12	L		
576.					Buy (add'l)	9/6/12	L		
577.					Buy (add'l)	9/17/12	M		
578. -- TWO	E	Int./Div.	M	T	Buy	1/3/12	K		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
579.					Buy (add'l)	5/2/12	L		
580.					Buy (add'l)	9/14/12	K		
581. -- DMND Call Options					Sold	1/30/12	J		
582.					Sold	2/14/12	J		
583.					Sold	4/23/12	J		
584.					Sold	6/13/12	J		
585.					Sold	7/30/12	J		
586. -- DMND					Buy	1/30/12	L		
587.					Buy (add'l)	2/13/12	K		
588.					Buy (add'l)	3/19/12	K		
589.					Sold (part)	8/20/12	K		
590. -- ARCC Call Options					Sold	1/26/12	J		
591.					Sold	3/12/12	J		
592.					Sold	4/2/12	J		
593.					Sold	7/25/12	J		
594. -- ARCC					Sold (part)	9/5/12	L	D	
595.					Sold	9/12/12	L	C	

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)
596. -- AINV	C	Int./Div.	K	T					
597. -- CSQ	C	Int./Div.	K	T	Sold (part)	9/18/12	J	C	
598.					Sold (part)	9/18/12	K	D	
599.					Sold (part)	9/20/12	L	D	
600. GEO THERMAL	B	Distribution	K	W					
601. FIRST TAMPA 301 LLC TAMPA, FL (X)	D	Rent	M	W					
602. FIRST TAMPA 301 LLC TAMPA, FL (X)	F	Distribution	M	W					
603. REAL PROPERTY									
604. -- Diamond Hill, Valrico, FL		None	M	W					
605. -- Condo, Longboat Key, FL	D	Rent	N	W					
606. -- Condo, Tampa, FL (Ryan)		None	M	W					
607. -- Land, [REDACTED] Hillsborough Cnty, FL	D	Rent	N	W					
608. -- Property #1, Celo, NC		None	O	W					
609. -- [REDACTED] Plant City, FL (X)		None	N	W					
610. -- Property #3, Highlands, NC		None	M	W					
611. -- Highlands, North Carolina Condo	C	Rent	N	W					
612. -- Rental Property, Plant City, FL	D	Rent	O	W					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
613. -- Tampa Condo #2 [REDACTED]	D	Rent	M	W					
614. -- Tampa Condo #3 [REDACTED]	D	Rent	M	W					
615. -- Tampa Condo #4 [REDACTED]	D	Rent	N	W					
616. -- Tampa, FL Condo [REDACTED]	E	Rent	N	W					
617. -- [REDACTED] Petersburg, FL	E	Rent	N	W					
618. -- [REDACTED] Petersburg, FL	E	Rent	N	W					
619. -- Gainesville, FL Condo		None	N	W					
620. -- [REDACTED] Condo Tampa, FL		None	N	W					

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

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

- 1) The securities shown as "closed" for the Merrill Lynch Retirement Accounts [REDACTED] were transferred to Merrill Lynch Non-Q [REDACTED]
- 2) Traded property listed on 2011 report "Celo, NC - Blue Tract" for [REDACTED] Plant City, FL."
- 3) Other items with (X) were inadvertently left off the 2011 report.

IX. CERTIFICATION.

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

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

Signature: **s/ James S. Moody, Jr.**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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