

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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

|                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                          |                                                                  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Grandy, Laura K.                                                                                                                            | <b>2. Court or Organization</b><br><br>Bankruptcy Court - Southern Illinois                                                                                                                                                                                                              | <b>3. Date of Report</b><br><br>05/14/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Chief U.S. Bankruptcy Judge                                                          | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>Melvin Price Federal Building and<br>United States Courthouse<br>750 Missouri Avenue<br>East St. Louis, IL 62201                                                     |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the <b>NONE</b> box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. 3/02/2010 | Mathis Marifian & Richter LTD See Note in Part VIII |
| 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.)*

| DATE    | SOURCE AND TYPE               | INCOME<br>(yours, not spouse's) |
|---------|-------------------------------|---------------------------------|
| 1. 2013 | Mathis Marifian & Richter LTD | \$88,431.00                     |
| 2.      |                               |                                 |
| 3.      |                               |                                 |
| 4.      |                               |                                 |

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

| DATE | SOURCE AND TYPE |
|------|-----------------|
| 1.   |                 |
| 2.   |                 |
| 3.   |                 |
| 4.   |                 |

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

| SOURCE                                                                           | DATES                   | LOCATION                   | PURPOSE                            | ITEMS PAID OR PROVIDED |
|----------------------------------------------------------------------------------|-------------------------|----------------------------|------------------------------------|------------------------|
| 1. Bankruptcy Association of Southern Illinois (BASIL) Professional Organization | 04/12/2013 - 04/12/2013 | Fairview Heights, Illinois | Professional Organization Activity | Meals                  |
| 2. National Conference of Bankruptcy Judges                                      | 10/29/2013 - 11/01/2013 | Atlanta, Georgia           | Professional Organization Activity | Lodging                |
| 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. | Bank of Springfield | Note Payable (Co-signer on Debt)                | K                 |
| 2. | FCB - Swansea       | Mortgage on building owned by MMRG Building LLC | K                 |
| 3. | First Bank          | Mortgage - Mc Fessel Property                   | K                 |
| 4. | Bank of Springfield | Mortgage - Pineywood Property                   | K                 |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Northwestern Mutual Variable Annuity                                                                                     | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Northwestern Mutual 65 Life Insurance Policy                                                                             | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Northwestern Mutual Variable CompLife Insurance Policy                                                                   | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Northwestern Mutual 65 Life Insurance Policy                                                                             | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Raymond James Morgan Keegan Trust U/A DTD 7/02/98                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 6. - Cash/Money Market Series 2 term                                                                                        | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. - Apple Inc (AAPL)                                                                                                       |                                         | None                                          | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. - First Eagle Global Fund A (SGENX)                                                                                      | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. - First Eagle US Value Fund A (FEVAX)                                                                                    | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. -Federated Kaufmann Large Cap C (KLCCX)                                                                                 | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. - Freeport McMorgan Copper and Gold Class B (FCX)                                                                       |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. - FT Capital Strength Ser 14 Cash                                                                                       | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. - Ivy Core Equity Fund (WCEAX)                                                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. - Nuance Communications Inc (NUAN)                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 12/28/13                | J                               | A                              |                                                                   |
| 15. Raymond James Morgan Keegan                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 16. - Apple Inc (AAPL)                                                                                                      | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. - Federated Kaufmann Large Cap A (KLCAX)                                                                                | B                                       | Dividend                                      | L                                               | T                                         | Sold (part)                                     | 09/27/13                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                        |   |          |   |   |                |          |   |   |  |
|--------------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 18. - First Eagle Global Fund A (SGENX)                | B | Dividend | K | T |                |          |   |   |  |
| 19. - American Funds New Perspective A (ANWPX)         | B | Dividend |   |   | Sold           | 09/30/13 | L | A |  |
| 20. - Riverfront Long Term Growth (RLTCX)              | A | Dividend | K | T |                |          |   |   |  |
| 21. - First Eagle Global Fund A (SGENX)                | B | Dividend | K | T |                |          |   |   |  |
| 22. - First Trust Dow Jones Internet (FDN)             |   | None     |   |   | Sold           | 09/03/13 | J | A |  |
| 23. - First Trust S&P REIT Index Fd (FRI)              | A | Dividend |   |   | Sold           | 07/02/13 | J | A |  |
| 24. - First Trust CNSMR Disc Alpha (FXD)               | A | Dividend |   |   | Buy<br>(add'l) | 07/05/13 | J |   |  |
| 25.                                                    |   |          |   |   | Sold<br>(part) | 09/03/13 | J | A |  |
| 26.                                                    |   |          |   |   | Sold           | 11/06/13 | J | A |  |
| 27. - First Trust Consumer Staples (FXG)               | A | Dividend |   |   | Sold<br>(part) | 07/05/13 | J | A |  |
| 28.                                                    |   |          |   |   | Sold           | 09/03/13 | J | A |  |
| 29. - First Trust Health Care Alpha (FXH)              | A | Dividend |   |   | Sold           | 07/05/13 | J | A |  |
| 30. Furmanite Corporation (FRM)                        | A | Dividend | J | T | Buy            | 10/16/13 | J |   |  |
| 31. First Trust Technology Dividend Portfolio Series E | A | Dividend | K | T | Buy            | 09/30/13 | K |   |  |
| 32. First Trust Energy Select Portfolio Series 48      | A | Dividend | K | T | Buy            | 09/30/13 | K |   |  |
| 33. Federated Strategic Value Div (SVAAX)              | A | Dividend | K | T | Buy            | 09/27/13 | K |   |  |
| 34. Fundamental Investors Fund Class A (ANCFX)         | A | Dividend | L | T | Buy            | 09/27/13 | L |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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|                                                  |   |          |   |   |      |          |   |   |  |
|--------------------------------------------------|---|----------|---|---|------|----------|---|---|--|
| 35. Putnam Capital Spectrum Fund Class C (PVSCX) | A | Dividend | K | T | Buy  | 09/30/13 | K |   |  |
| 36. -Dodge & Cox Income (DODIX)                  | A | Dividend |   |   | Sold | 07/16/13 | J | A |  |
| 37. - American Funds Europacific (AEGFX)         | A | Dividend | J | T |      |          |   |   |  |
| 38. - AF American Mutual F2 (AMRFX)              | A | Dividend | J | T |      |          |   |   |  |
| 39. - Artisan International (ARTIX)              | A | Dividend | J | T |      |          |   |   |  |
| 40. - Champlain Mid Cap Fund (CIPMX)             | A | Dividend | J | T |      |          |   |   |  |
| 41. - Perkins Mid Cap Value A (JDPAX)            | A | Dividend | J | T |      |          |   |   |  |
| 42. - JP Morgan US Large Cap Core Plus (JLPSX)   | A | Dividend | J | T |      |          |   |   |  |
| 43. - MFS Research Fund Class A (MFRFX)          | A | Dividend | J | T |      |          |   |   |  |
| 44. - Nuveen Winslow Large Cap Growth I (NULIX)  |   | None     | J | T |      |          |   |   |  |
| 45. - Trowe Price Smallcap Value Adv (PASVX)     | A | Dividend | J | T |      |          |   |   |  |
| 46. - Pimco Commodity Real Return (PCRFX)        | A | Dividend |   |   | Sold | 04/30/13 | J | A |  |
| 47. - JP Morgan Core Bond Fund A (PGBOX)         | A | Dividend | J | T |      |          |   |   |  |
| 48. Pimco Unconstrained Bond Fund (PUCPX)        | A | Interest | J | T | Buy  | 07/18/13 | J |   |  |
| 49. - Pimco Total Return Fund P (PTTPX)          | A | Dividend |   |   | Sold | 07/16/13 | J | A |  |
| 50. - Legg Mason Clearbridge Equity (SOPAX)      | A | Dividend | J | T |      |          |   |   |  |
| 51. Loomis Sayles Growth Fund (LSGRX)            | A | Dividend | J | T | Buy  | 07/18/13 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. - Templeton Global Bond Fund (TGBAX)                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. - Wells Fargo Advantage Int. (WFV DX)                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. - AQR Diversified Arbitrage N (ADANX)                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. - Neuberger Berman Income Bond (NHIAX)                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. -Ishares GS Investop Corp Bond (LQD)                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/31/13                | J                               | A                              |                                                                   |
| 57. First Trust Mult Cap Value (FAB)                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 01/28/13                | J                               |                                |                                                                   |
| 58.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 59. -First Trust Large Cap Core Alpha Dex Fund (FEX)                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 60. SPDR S&P Emerging Aisa Pacific (GMF)                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 01/28/13                | J                               |                                |                                                                   |
| 61.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 62. -SPDR SE TR SPDR S&P Retail ETF (XRT)                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 01/31/13                | J                               | A                              |                                                                   |
| 63. -Vanguard Midcap Growth (VOT)                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold (part)                                     | 01/31/13                | J                               | A                              |                                                                   |
| 64.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 65. -Ishares Morningstar Large Growth (JKE)                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 66. Ishares S&P Global Fin Sec (IXG)                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 01/28/13                | J                               |                                |                                                                   |
| 67.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 68. -Greenhaven Continous Commodity (GCC)                                                                                 |                                         |                                               |                                                 |                                           | Sold                                            | 01/31/13                | J                               | A                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Grandy, Laura K.

Date of Report

05/14/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. - Vanguard FTSE All World Exchange (VEU)                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 70. Vanguard Total Bond Market (BND)                                                                                        |                                         | None                                          |                                                 |                                           | Buy                                             | 01/31/13                | J                               |                                |                                                                   |
| 71.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 72. - SPDR S&P Homebuilders (XHB)                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 01/31/13                | J                               | A                              |                                                                   |
| 73.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 74. - Powershares Build American Bond (BAB)                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/31/13                | J                               |                                |                                                                   |
| 75.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 76. - Powershares DYN Lg Cap (PWV)                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 77. Powershares DB Base Metals (DBB)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 01/28/13                | J                               |                                |                                                                   |
| 78.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 79. - SPDR Barclays Captl Sht Trm (SJNK)                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/31/13                | J                               |                                |                                                                   |
| 80.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 81. - Vanguard European (VGK)                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 82. - SPDR S&P Pharmaceuticals (XPH)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 83. - Technology Select Sec SPDR (XLK)                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 03/13/13                | J                               | A                              |                                                                   |
| 84. First Trust S&P Reit Index Fund (FRI)                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/15/13                | J                               |                                |                                                                   |
| 85. First Trust ETF Fund II Finl Alphadex Fund Annual (FXO)                                                                 | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 03/15/13                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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|                                                             |   |          |   |   |             |          |   |   |  |
|-------------------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 86.                                                         |   |          |   |   | Sold        | 08/06/13 | J | A |  |
| 87. First Trust ETF II Consumer Staples Alphadex (FXG)      | A | Dividend | J | T | Buy         | 03/15/13 | J |   |  |
| 88. First Trust Health Care Alphadex FD ETF (FXH)           |   | None     |   |   | Buy         | 03/15/13 | J |   |  |
| 89.                                                         |   |          |   |   | Sold        | 09/03/13 | J | A |  |
| 90.                                                         |   |          | J | T | Buy         | 11/06/13 | J |   |  |
| 91. First Trust Exchange Traded Alphadex (FDT)              | A | Dividend |   |   | Buy         | 03/15/13 | J |   |  |
| 92.                                                         |   |          |   |   | Sold        | 06/10/13 | J | A |  |
| 93. First Trust Exchange Traded Fund II Emerging MKTS (FEM) | A | Dividend |   |   | Buy         | 03/15/13 | J |   |  |
| 94.                                                         |   |          |   |   | Sold        | 06/10/13 | J | A |  |
| 95. First Trust Exchange Traded Alpha Fund Mid Cap (FNK)    |   | None     |   |   | Buy         | 03/15/13 | J |   |  |
| 96.                                                         |   |          |   |   | Sold        | 05/06/13 | J | A |  |
| 97. Ishares TR Barclays (SHY)                               |   | None     | J | T | Buy         | 03/15/13 | J |   |  |
| 98.                                                         |   |          |   |   | Buy         | 03/15/13 | J |   |  |
| 99.                                                         |   |          |   |   | Sold (part) | 08/19/13 | J | A |  |
| 100. Virtus Emerging Markets Opportunities (HIEMX)          | A | Dividend | J | T | Buy         | 05/02/13 | J |   |  |
| 101. First Trust Morningstar DIVID Leaders (FDL)            | A | Dividend |   |   | Buy         | 05/06/13 | J |   |  |
| 102.                                                        |   |          |   |   | Sold        | 06/06/13 | J | A |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Grandy, Laura K.

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

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. Oasis Pete INC (OAS)                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 06/20/13                | J                               |                                |                                                                   |
| 104.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 09/30/13                | J                               | A                              |                                                                   |
| 105. First Traded Exchange Traded Small Cap (FYT)                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/06/13                | J                               |                                |                                                                   |
| 106. First Trust Exchange Traded Europe (FEP)                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/10/13                | J                               |                                |                                                                   |
| 107. First Trust Exchange Traded Dev MKTS (FEMS)                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/10/13                | J                               |                                |                                                                   |
| 108. Powershares DB Commodity (DBC)                                                                                         |                                         | None                                          |                                                 |                                           | Buy                                             | 06/20/13                | J                               |                                |                                                                   |
| 109.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/28/13                | J                               | A                              |                                                                   |
| 110. First Trust ETF II INDLS PRO (FXR)                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/05/13                | J                               |                                |                                                                   |
| 111.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 08/06/13                | J                               | A                              |                                                                   |
| 112.                                                                                                                        |                                         |                                               | J                                               | T                                         | Buy                                             | 10/04/13                | J                               |                                |                                                                   |
| 113. Ishares S&P GSCI Commodity (GSG)                                                                                       |                                         | None                                          |                                                 |                                           | Buy                                             | 07/11/13                | J                               |                                |                                                                   |
| 114.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 07/17/13                | J                               |                                |                                                                   |
| 115.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/31/13                | J                               | A                              |                                                                   |
| 116. Ishares 1 -10 Y TR BD (IEF)                                                                                            | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/19/13                | J                               |                                |                                                                   |
| 117. First Trust Cyclical Strenth Portfolio Series 2 term                                                                   | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 09/23/13                | K                               |                                |                                                                   |
| 118. Raymond James Morgan Keegan                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 119. - Cash/Money Market                                                                                                    | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. - Blackrock Global A (MDLOX)                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 01/22/13                | J                               |                                |                                                                   |
| 121. - Blackrock Global B (MBLOX)                                                                                           | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 122. -Loomis Sayles Income Fund Cl A<br>(NEFZX)                                                                             | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 123. -Lord Abnett Bond (LBNDX)                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 124. Swansea, Illinois (2001<br>\$110,000)                                                                                  |                                         | None                                          | M                                               | R                                         |                                                 |                         |                                 |                                | See Note in Part VIII                                             |
| 125. McFessel Drive, Fairview Heights, IL<br>(2005, \$55,000)                                                               | C                                       | Rent                                          | L                                               | R                                         |                                                 |                         |                                 |                                |                                                                   |
| 126. MMRG Bldg , Belleville, Illinois (2003,<br>\$370,000)                                                                  | E                                       | Rent                                          | N                                               | R                                         |                                                 |                         |                                 |                                |                                                                   |
| 127. Merrill Lynch                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 128. - Cash/Money Market                                                                                                    | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 129. - FIA Card Services Money Market Account                                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 130. Abbvie Inc Shs (ABBV)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/07/13                | J                               |                                |                                                                   |
| 131. Automatic Data Proc (ADT)                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/02/13                | J                               |                                |                                                                   |
| 132. - Altria Group Inc (MO)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 05/09/13                | J                               | A                              |                                                                   |
| 133. - American Tower Reit Inc (AMT)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/18/13                | J                               |                                |                                                                   |
| 134.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 08/09/13                | J                               | A                              |                                                                   |
| 135. -Apple Inc (AAPL)                                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 04/22/13                | J                               | A                              |                                                                   |
| 136. - Ares Capital Corp (ARCC)                                                                                             | B                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/02/13                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 137.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/04/13                | J                               |                                |                                                                   |
| 138.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/08/13                | J                               | A                              |                                                                   |
| 139.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/06/13                | J                               | A                              |                                                                   |
| 140.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 12/30/13                | J                               | A                              |                                                                   |
| 141. - Atlas Pipeline Ptnrs LP (APL)                                                                                        | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 142. Baron Partners Fund CL (BPTIX)                                                                                         |                                         | None                                          | J                                               | T                                         | Buy                                             | 07/02/13                | J                               |                                |                                                                   |
| 143. - CenturyLink Inc Shs (CTL)                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 08/07/13                | J                               | A                              |                                                                   |
| 144.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 08/09/13                | J                               | A                              |                                                                   |
| 145. Chevron Corp (CVX)                                                                                                     |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/31/13                | J                               |                                |                                                                   |
| 146. - Comcast Corp New CL A (CMCSA)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 147. Conagra Foods Inc (CAG)                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 01/29/13                | J                               |                                |                                                                   |
| 148.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 09/23/13                | J                               | A                              |                                                                   |
| 149. - Consellation Brands Inc (STZ)                                                                                        |                                         | None                                          |                                                 |                                           | Buy                                             | 01/28/13                | J                               |                                |                                                                   |
| 150.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/11/13                | J                               | C                              |                                                                   |
| 151. -Diageo PLC SPSD ADR NEW (DEO)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 152. - Energy Transfer Ptnrs LP (ETP)                                                                                       | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 153. - Express Scripts Inc COM (ESRX)                                                                                       |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Grandy, Laura K.

Date of Report

05/14/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. Exterran Partners LP (EXLP)                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 04/09/13                | J                               |                                |                                                                   |
| 155.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/11/13                | J                               |                                |                                                                   |
| 156.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/26/13                | J                               |                                |                                                                   |
| 157.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/11/13                | J                               |                                |                                                                   |
| 158. Ford Motor Co (F)                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 09/11/13                | J                               |                                |                                                                   |
| 159.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 12/23/13                | J                               | A                              |                                                                   |
| 160. -Health Care Reit Inc Com (HCN)                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/31/13                | J                               | A                              |                                                                   |
| 161. Henderson GlobalEquity (HFQIX)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/22/13                | J                               |                                |                                                                   |
| 162. Himax Technologies ADR (HIMX)                                                                                          |                                         | None                                          | J                                               | T                                         | Buy                                             | 10/17/13                | J                               |                                |                                                                   |
| 163. Kansas City Southern (KSU)                                                                                             | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                | See Note Part VIII                                                |
| 164. -Kinder Morgan Energy (KMP)                                                                                            | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 05/10/13                | J                               |                                |                                                                   |
| 165. -Kraft Foods Inc VA CL A (KFT)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 166. -Mondelez International Inc (MDLZ)                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 04/19/13                | J                               |                                |                                                                   |
| 167. -Orexigen Therap Inc (OREX)                                                                                            |                                         | None                                          | J                                               | T                                         | Buy<br>(add'l)                                  | 03/13/13                | J                               |                                |                                                                   |
| 168. PNC Fincl Services Group (PNC)                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 01/02/13                | J                               |                                |                                                                   |
| 169.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/07/13                | J                               |                                |                                                                   |
| 170.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 03/18/13                | J                               | A                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Grandy, Laura K.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171. - Qualcomm Inc (QCOM)                                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 05/06/13                | J                               | A                              |                                                                   |
| 172.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/12/13                | J                               | A                              |                                                                   |
| 173.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/24/13                | J                               | A                              |                                                                   |
| 174. Sirius XM Holdings Inc (SIRI)                                                                                          |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                | See Note in Part VIII                                             |
| 175. Suncor Energy Inc New (SU)                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/07/13                | J                               |                                |                                                                   |
| 176. Three D Systems New (DDD)                                                                                              |                                         | None                                          | J                                               | T                                         | Buy                                             | 11/07/13                | J                               |                                |                                                                   |
| 177.                                                                                                                        |                                         | None                                          | J                                               | T                                         | Buy<br>(add'l)                                  | 11/22/13                | J                               |                                |                                                                   |
| 178. Under Armour Inc (UA)                                                                                                  |                                         | None                                          | J                                               | T                                         | Buy                                             | 05/01/13                | J                               |                                |                                                                   |
| 179.                                                                                                                        |                                         | None                                          | J                                               | T                                         | Buy<br>(add'l)                                  | 05/07/13                | J                               |                                |                                                                   |
| 180. United Techs Corp (UTX)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/18/13                | J                               |                                |                                                                   |
| 181. - Ventas Inc (VTR)                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/29/13                | J                               | A                              |                                                                   |
| 182. - Walmart Stores Inc (WMT)                                                                                             | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 08/20/13                | J                               | A                              |                                                                   |
| 183.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/26/13                | J                               | A                              |                                                                   |
| 184.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 09/23/13                | J                               | A                              |                                                                   |
| 185. Weyerhaeuser Co (WY)                                                                                                   |                                         | None                                          |                                                 |                                           | Buy                                             | 05/06/13                | J                               |                                |                                                                   |
| 186.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/24/13                | J                               | A                              |                                                                   |
| 187. Wisdomtree Invts Inc (WETF)                                                                                            |                                         | None                                          | J                                               | T                                         | Buy                                             | 05/15/13                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Grandy, Laura K.

Date of Report

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188.                                                                                                                        |                                         | None                                          | J                                               | T                                         | Buy<br>(add'l)                                  | 05/22/13                | J                               |                                |                                                                   |
| 189.                                                                                                                        |                                         | None                                          | J                                               | T                                         | Buy<br>(add'l)                                  | 05/22/13                | J                               |                                |                                                                   |
| 190. -Yum Brands Inc (YUM)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 04/26/13                | J                               | A                              |                                                                   |
| 191. Federated International (FGFLX)                                                                                        |                                         | None                                          |                                                 |                                           | Buy                                             | 01/28/13                | J                               |                                |                                                                   |
| 192.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/16/13                | J                               | A                              |                                                                   |
| 193.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/21/13                | J                               | A                              |                                                                   |
| 194.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/01/13                | J                               | A                              |                                                                   |
| 195. - Federated Prudent Bear (PBRIX)                                                                                       |                                         | None                                          |                                                 |                                           | Sold                                            | 03/01/13                | J                               | A                              |                                                                   |
| 196. Franklin Incom Fd Adv (FRIAX)                                                                                          |                                         | None                                          | J                                               | T                                         | Buy                                             | 05/07/13                | J                               |                                |                                                                   |
| 197. Honeywell Intl Inc Del (HON)                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/22/13                | J                               |                                |                                                                   |
| 198. Ishares Intl Select (IDV)                                                                                              |                                         | None                                          | J                                               | T                                         | Buy                                             | 08/07/13                | J                               |                                |                                                                   |
| 199.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/14/13                | J                               |                                |                                                                   |
| 200.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/26/13                | J                               | A                              |                                                                   |
| 201. Ishares Nasdaq Biotech (IBB)                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 04/23/13                | J                               |                                |                                                                   |
| 202. Pfizer Inc (PFE)                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/05/13                | J                               |                                |                                                                   |
| 203. - Putnam Diversified (PDVYX)                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 204. -TCW Emerging (TGEIX)                                                                                                  | B                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/29/13                | J                               |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
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| 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    |                                 |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 205.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/07/13                | J                               | A                              |                                                                   |
| 206.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/07/13                | J                               | A                              |                                                                   |
| 207.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 05/29/13                | J                               | A                              |                                                                   |
| 208.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/03/13                | J                               | A                              |                                                                   |
| 209.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/07/13                | J                               | A                              |                                                                   |
| 210.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/12/13                | J                               | A                              |                                                                   |
| 211. Twenty First Century (FOX)                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/09/13                | J                               |                                |                                                                   |
| 212.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/14/13                | J                               |                                |                                                                   |
| 213. The Oakmark INTL Fund (OAKIX)                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/28/13                | J                               |                                |                                                                   |
| 214. Wisdomtree Trust Japan (DXJ)                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/09/13                | J                               |                                |                                                                   |
| 215. - Wisdomtree Emerging Mkt (DEM)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 04/04/13                | J                               | A                              |                                                                   |
| 216.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 04/05/13                | J                               | A                              |                                                                   |
| 217. -Kinder Morgan Energy Partners LP                                                                                      | B                                       | Int./Div.                                     | J                                               | T                                         | Sold<br>(part)                                  | 04/12/13                | J                               | A                              |                                                                   |
| 218. -Energy Transfer PTNRS LP                                                                                              | B                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                | See Note in Part VIII                                             |
| 219. Bank of America - Merrill Lynch Wealth<br>Management                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 220. - Money Manager Checking Sweep Acct                                                                                    | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 221. - ING Groep N.V. PFD (IGK)                                                                                             | C                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

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Name of Person Reporting

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 222. - Bank of America NA Market CD (MAT)                                                                                   | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 223. - AXA Equitable Life INS CO Accumulator 2004                                                                           | B                                       | Int./Div.                                     | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 224. - Altra Group Inc (MO)                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 225. - Apple Inc (AAPL)                                                                                                     | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 226. - First TR S & P REIT Index (FRI)                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 227. - Home Depot Inc (HD)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 228. - IVY Municipal High Income (WYMHX)                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 229. - Pepsico Inc (PEP)                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 230. - Pfizer Inc (PFE)                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 231. - Regions Finl Corp (RF)                                                                                               |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 232. - Salesforce Com Inc (CRM)                                                                                             |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 233. - Alliancebernstein High (ABTYX)                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 234. - Invesco Van Kampen High (ACTDX)                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 235. - Oppenheimer Amt Free (OMFYX)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 236.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 237.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 238.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

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

Part II:

Line 1 - Payments for percentage of collections of fees for work performed and generated by Judge, prior to departure.

Part VII:

Line 124 - Residential Real Property which is currently occupied [REDACTED] No income received.

Line 163 - Investment listed on previous report as a complete disposition of asset. However, was only a partial disposition.

Line 174 - Investment named changed from Sirius XM Radio Inc. to Sirius XM Holdings Inc. Same Trade code (SIRI.)

Line 217/218 - Publicly Traded Partnership that generates interest and dividends.

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Name of Person Reporting

Grandy, Laura K.

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## IX. CERTIFICATION.

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

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

Signature: s/ **Laura K. Grandy**

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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