

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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

1. Person Reporting (last name, first, middle initial) Collyer, Rosemary M.	2. Court or Organization District Court - Washington DC	3. Date of Report 08/05/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Dist. Ct. Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address E Barrett Prettyman Courthouse 333 Constitution Avenue, NW Washington, DC 20001		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

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

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

☒ NONE (No reportable agreements.)

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

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

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1.

2.

3.

4.

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

DATE

SOURCE AND TYPE

1. 2013

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.

Throughout 2013

Within U.S.

Business travel

2.

3.

4.

5.

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	U.S. Courts Judicial Information Technology Committee	Crystal Bowl (Waterford Killarney Footed Centerpiece)	\$700.00
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.			
2.			
3.			
4.			
5.			

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. BROKERAGE ACCOUNT #1 (H)									
2. - BRKA - Common Class A		None	M	T					
3. - BRKB - Common Class B (X)		None	M	T	Spinoff (from line 2)	02/04/13	M		See Part VIII (j)
4. - Schwab Cash Equivalent Accounts	A	Int./Div.	M	T					
5. - DVY - ETF		None			Sold	02/19/13	K		
6. - Anne Arundel County, MD Muni Bonds	B	Interest	K	T					
7. - Baltimore, MD Proj Muni Bonds	B	Interest	K	T					
8. - Maryland State Muni Bonds	B	Interest	L	T					
9. - T Rowe Price Maryland Tax Free Bond Fund (MDXBX)	C	Dividend	M	T	Sold (part)	02/19/13	K	C	
10. - NAVB - Common		None	K	T					
11. - TSLA - Put Option Jan13 40.00		None			Closed	01/11/13	J	C	
12. - TSLA - Put Option Jun13 40.00		None			Sell Short	01/11/13	J		
13.					Closed	02/11/13	J	C	
14. - TSLA - Put Option Jan14 40.00		None			Sell Short	03/26/13	J		
15. - TSLA - Put Option Jan14 60.00		None			Sell Short	05/10/13	J		
16. - TSLA - Put Option Jan14 150.00		None			Sell Short	10/02/13	J		
17. IRA #1	E	Int./Div.	O	T					

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

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18. - Schwab Cash Equivalent Accounts									
19. - UST Inflation Index Notes 3.625% TIPS									
20. - IWF - ETF									
21. - Marsico Growth Fund (MGRX)					Sold	01/22/13	K		
22. - GOV - Common					Sold	02/01/13	L	B	
23. - JNJ - Common					Sold	02/21/13	L	D	
24. - ATRS - Common									
25. - NLY - Common					Sold	05/30/13	K		
26. - AGNC - Common					Sold	05/30/13	K		
27. - MCD - Common									
28. - Weitz Short-Intermediate Income Fund (WSHNX)									
29. - ATRS - Call Option Feb13 5.00					Expired	02/16/13	J	D	
30. - BP - ADR					Sold	03/16/13	L		
31. - JNJ - Call Option Mar13 72.50					Sell Short	02/06/13	J		
32.					Redeemed	02/21/13	J	B	
33. - BP - Call Option Mar13 41.00					Sell Short	02/25/13	J		
34.					Redeemed	03/16/13	J	B	

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

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35. - ATRS - Call Option Nov13 5.00					Sell Short	04/29/13	J		
36.					Expired	11/15/13	J	D	
37. - ATRS - Call Option May14 5.00					Sell Short	12/11/13	J		
38. - BP - ADR					Buy	04/12/13	L		
39. - BP - Call Option Jan14 45.00					Sell Short	04/12/13	J		
40. - PGF - ETF					Buy	10/15/13	M		
41. - MCD - Call Option Dec13 100.00					Sell Short	05/11/13	J		
42.					Expired	12/21/13	J	B	
43. IRA #2	C	Int./Div.	N	T					
44. - Schwab Cash Equivalent Accounts									
45. - GNVC - Common					Sold	05/13/13	J		
46. - BOE - Closed End Fund					Sold	02/01/13	K		
47. - NEM - Common					Buy (add'l)	06/20/13	K		
48. - NAVB - Common									
49. - XLU - ETF									
50. - TSLA - Common					Buy	05/20/13	K		
51. - TSLA - Call Option Jan14 175.00					Sell Short	08/09/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. QUALIFIED RETIREMENT PLAN #3	B	Int./Div.	L	T					
53. - Vanguard Variable Insurance Fund International Portfolio					Buy (add'l)	12/31/13	J		See Part VIII (e)
54. IRA #4	D	Int./Div.	N	T					
55. - Schwab Cash Equivalent Accounts									
56. - XOM - Common					Sold	02/06/13	L	E	
57. - FNFG - Common					Sold	12/03/13	L		
58. - RDS/B - ADR									
59. - WLP - Common					Sold	01/18/13	L	D	
60. - WLP - Call Option Jan13 60.00					Redeemed	01/18/13	J	B	
61. - DUK - Common					Sold	12/30/13	L	D	
62. - SO - Common									
63. - XOM - Call Option Feb13 87.50					Sell Short	01/04/13	J		
64.					Redeemed	02/06/13	J	C	
65. - ESD - Closed End Fund					Buy	09/04/13	L		
66. - CAG - Common					Buy	12/03/13	K		
67. IRA #5	E	Int./Div.	N	T					
68. - Schwab Cash Equivalent Accounts									

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69. - CET - Closed End Fund					Sold	10/16/13	L	D	
70. - Wells Fargo Advantage High Income Trust (STHYX)					Buy	02/18/13	M		
71. - VEQ - ETF					Buy	10/08/13	K		
72. - DXJ - ETF					Buy	12/12/13	K		
73. - GE - Common					Buy	12/17/13	L		
74. - DEM - ETF					Buy	12/02/13	L		
75. IRA #6		None			Closed	04/02/13	J		See Part VIII (f)
76. IRA #7		None			Closed	04/02/13	J		See Part VIII (f)
77. Merrill Lynch Cash Management Account	A	Int./Div.	L	T					See Part VIII (g)
78. Citibank Checking Account	A	Interest	K	T					
79. Trust #1 (H)									See Part VIII (h)
80. Trust #2 (H)	E	Int./Div.	O	T					See Part VIII (i)
81. - GATEWAY TR GATEWAY FD A					Buy	01/09/13	K		
82.					Sold	03/14/13	K	A	
83. - HIGHMARK GENEVA SMALL CAP GROWTH FUND					Buy	01/09/13	K		
84.					Sold	03/14/13	K	A	
85. - MAINSTAY FDS TR EPOCH GBL EQT I					Buy	01/09/13	K		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86.					Sold	03/14/13	K	A	
87. - PIMCO FDS PAC INVT MGMT SER INV GR BOND I					Buy	01/09/13	K		
88.					Sold	03/14/13	K		
89. - ALGER SPECTRA FUND CLASS I					Buy	06/18/13	K		
90.					Sold	10/23/13	K	B	
91. - ALLIANCE BERNSTEIN HIGH INCOME FD ADVISOR CLASS					Buy	06/18/13	K		
92.					Sold	10/23/13	K		
93. - ALLIANZ NFJ INTL VALUE FD INSTL CL					Buy	06/18/13	K		
94.					Sold	11/07/13	K	B	
95. - ARBITRAGE FD CL I					Buy	06/18/13	K		
96.					Sold (part)	10/23/13	J	A	
97.					Buy (add'l)	11/11/13	J		
98. - COLUMBIA THERMOSTAT FUND CLASS Z					Buy	06/18/13	K		
99.					Sold	11/07/13	K	A	
100. - DELAWARE POOLED TR DIVERSIFIED INC FD INSTL CL					Buy	06/18/13	L		
101.					Sold	11/07/13	L		
102. - DREYFUS INTL BOND FUND CL I					Buy	06/18/13	K		

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103.					Sold	11/07/13	K		
104. - FIRST EAGLE SOGEN OVERSEAS FUND CL I					Buy	06/18/13	K		
105.					Sold (part)	10/23/13	J	A	
106.					Buy (add'l)	11/11/13	K		
107. - FIRST EAGLE US VALUE FUND CL I					Buy	06/18/13	L		
108.					Sold	11/07/13	L	C	
109. - FORUM ABSOLUTE STRATEGIES FD INSTL SHS					Buy	06/18/13	K		
110.					Sold	11/07/13	K		
111. - FORWARD FUNDS CREDIT ANALYSIS LNG/SHRT FD ADVISOR CLASS					Buy	06/18/13	K		
112.					Sold	11/07/13	K		
113. - INVESCO BALANCED-RISK ALLOCATION CL Y					Buy	06/18/13	K		
114.					Sold	11/07/13	K	A	
115. - IVY FDS INC MID CAP GROWTH FD CL I					Buy	06/18/13	K		
116.					Sold	11/07/13	K	B	
117. - MAINSTAY FDS TR/MARKETFIELD FD CL I					Buy	06/18/13	K		
118.					Sold (part)	10/23/13	J	A	

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
119.					Buy (add'l)	11/11/13	J		
120. - OPPENHEIMER DEV MKTS CL Y					Buy	06/18/13	K		
121.					Sold	11/07/13	K	B	
122. - OPPENHEIMER INTL BD FD CLASS Y					Buy	06/18/13	K		
123.					Sold	11/07/13	K		
124. - PERMANENT PORTFOLIO FD/PERM PORTFOLIO					Buy	06/18/13	K		
125.					Sold	11/07/13	K	A	
126. - PIMCO ALL ASSET ALL AUTHORIT FD CL I					Buy	06/18/13	K		
127.					Sold	11/07/13	K		
128. - PIMCO EMERGING MKT CURRENCY FD CL I					Buy	06/18/13	K		
129.					Sold	11/07/13	K		
130. - PIONEER GLOBAL HIGH YIELD CL Y					Buy	06/18/13	K		
131.					Sold	11/07/13	K		
132. - PIONEER STRATEGIC INCOME FD CLASS Y					Buy	06/18/13	L		
133.					Sold	11/07/13	L		
134. - SCOUT FUNDS CORE BOND FUND INSTL CL					Buy	06/18/13	L		
135.					Sold	11/07/13	L		

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

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Name of Person Reporting

Collyer, Rosemary M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
136. - TCW FDS INC EMERGING MKTS INCOME FD CL I					Buy	06/18/13	K		
137.					Sold	11/07/13	K		
138. - TEMPLETON INCOME TR/GLOBAL FD FD ADVISOR CL					Buy	06/18/13	J		
139.					Sold	11/07/13	J	A	
140. - TFS CAP INVESTMENT TRUST MARKET NEUTRAL FUND					Buy	06/18/13	K		
141.					Sold	11/07/13	K	A	
142. - THORNBURGH INV MGMT INTL GROWTH FUND CL I					Buy	06/18/13	K		
143.					Sold	11/07/13	K	C	
144. - TOCQUEVILLE TR/ DELAFIELD FD					Buy	06/18/13	K		
145.					Sold	11/07/13	K	B	
146. - ADVISORS INNER CIRCLE ACADIAN EMERGING MKTS INSTL CL					Buy	01/08/13	K		
147.					Sold	06/17/13	K		
148. - ADVISORS INNER CIRCLE CAMBIAR OPPORTUNITY INV CL					Buy	01/08/13	K		
149.					Sold	06/17/13	K	C	
150. - ARBITRAGE EVENT DRIVEN FUND					Buy	01/08/13	K		
151.					Sold	06/17/13	K	A	
152. - ASTON FUNDS SMALL CAP GROWTH FUND CLASS I					Buy	03/12/13	K		

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

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Collyer, Rosemary M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
153.					Sold	06/17/13	K	A	
154. - DIAMOND HILL LONG-SHORT FUND CL A					Buy	01/08/13	K		
155.					Sold	06/17/13	K	C	
156. - DOUBLELINE FDS TR TOTAL RETURN BD FD CL I					Buy	01/08/13	K		
157.					Sold	06/17/13	K		
158. - DRIEHAUS MUTUAL FUNDS ACTIVE INCOME FUND					Buy	01/08/13	K		
159.					Sold (part)	03/14/13	K	A	
160.					Sold	06/17/13	K	A	
161. - FEDERATED EQUITY FDS STRATEGIC VALUE DIVID FD INSTL					Buy	01/08/13	K		
162.					Sold	06/17/13	K	B	
163. - HARBOR FD INTL FD INSTL CL					Buy	01/08/13	L		
164.					Sold	06/17/13	L	B	
165. - HARDING LOEVNER FDS INC INTL EQUITY PORTFOLIO					Buy	03/12/13	K		
166.					Sold	06/17/13	K		
167. - HARDING LOEVNER FDS INC GLOBAL EQUITY PORTFOLIO					Buy	03/14/13	K		
168.					Sold	06/17/13	K	A	
169. - ING GLOBAL REAL ESTATE FUND CL I					Buy	01/08/13	K		

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

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Collyer, Rosemary M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
170.					Sold	06/17/13	K	A	
171. - JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATEGIES FD CL I					Buy	01/08/13	K		
172.					Sold	06/17/13	K	A	
173. - NATIXIS FUNDS TRUST II VAUGHAN NELSON VALUE CLASS Y					Buy	01/08/13	K		
174.					Sold	06/17/13	K	B	
175. - PIMCO ALL ASSET FND INST CL					Buy	01/08/13	M		
176.					Sold (part)	03/14/13	J		
177.					Sold	06/17/13	L		
178. - PIMCO FDS FUNDAMENTAL ADVTG ABSLT RETURN STRT FD INSTL CL					Buy	01/08/13	K		
179.					Sold	06/17/13	K	A	
180. - PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL					Buy	01/08/13	M		
181.					Sold	06/17/13	M		
182. - PIMCO FDS PAC INVT MGMT SER - COMMOD REAL RETURN STRAT FD INSTL CL					Buy	01/08/13	K		
183.					Sold	06/17/13	K		
184. - PIMCO FUNDS EMERGING LOCAL BOND FUND					Buy	01/08/13	L		
185.					Sold	06/17/13	K		

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

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Name of Person Reporting

Collyer, Rosemary M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
186. - RBB FUND INC/ROBECO BOSTON PARTNERS LONG/SHORT RESEARCH INSTL					Buy	01/08/13	K		
187.					Buy (add'l)	03/14/13	K		
188.					Sold	06/17/13	L	C	
189. - RIDGEWORTH FUNDS SEIX FLT RT HIGH IND FND CLASS I					Buy	01/08/13	K		
190.					Sold	06/17/13	K	A	
191. - RIVERPARK FUNDS TRUST/ WEDGEWOOD FUND INSTL CL					Buy	01/08/13	L		
192.					Sold	06/17/13	L	C	
193. - TEMPLETON INCOME TR GLOBAL BD FD ADVISOR CL					Buy	03/12/13	K		
194.					Sold (part)	07/23/13	J		
195.					Sold (part)	10/23/13	J		
196.					Sold	11/08/13	K		
197. - UBS AG JERSEY BRH E-TRACS LKD TO ALERIAN MLP INFRSTRE INDEX					Buy	01/08/13	K		
198.					Sold	06/17/13	K	C	
199. - UBS AG LONGON BRH ETRACS ALERIAN MLP INDEX					Buy	01/08/13	K		
200.					Sold	06/17/13	K	C	
201. - VIRTUS EMERGING MARKETS OPPORTUNITIES FND CL I					Buy	01/08/13	K		

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

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Name of Person Reporting

Collyer, Rosemary M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
202.					Sold	06/17/13	K		
203. - ARTISAN FUNDS IND MID CAP VALUE FD INV SHS					Buy	11/11/13	K		
204. - CREDIT SUISSE HIGH INCOME FUND COMMON CLASS					Buy	11/11/13	K		
205. - DRIEHAUS MUTUAL FUNDS ACTIVE INCOME FUND					Buy	11/11/13	K		
206. - NORTHERN LTS FD TR III GOOD HARBOR US TACTICAL CORE FD					Buy	11/11/13	L		
207. - JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATS FD					Buy	11/11/13	K		
208. - HIGHLAND LONG/SHORT EQUITY FUND CLASS Z					Buy	11/11/13	K		
209. - JOHN HANCOCK FUNDS II CURRENCY STRATEGIES FD CL I					Buy	11/11/13	K		
210. - LORD ABBETT INVESTMENT TR SHORT DURATION INCM CLASS F					Buy	11/11/13	L		
211. - MANAGERS AMG FUNDS YACKTMAN FUND SERVICE CLASS					Buy	11/11/13	L		
212. - VIRTUS ALPHASECTOR ROTATION FD CLASS I					Buy	11/11/13	L		
213. - ALGER FDS II SPECTRA FD CL I					Buy	06/18/13	K		
214.					Buy (add'l)	11/11/13	J		
215. - STEELPATH MLP FDS TR OPPENHEIMER STEELPATH MLP INCOME FD CL Y					Buy	11/11/13	K		
216. - STRATTON FDS INC SMALL-CAP VALUE FD					Buy	11/11/13	K		
217. - WELLS FARGO CASH EQUIVALENT ACCOUNTS									See Part VIII (k)

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

218. Trust #3 (H)	E	Int./Div.	O	T					See Part VIII (i)
219. - GATEWAY TR GATEWAY FD A					Buy	01/09/13	K		
220.					Sold	03/12/13	K	A	
221. - HIGHMARK GENEVA SMALL CAP GROWTH FUND					Buy	01/09/13	K		
222.					Sold	03/12/13	K	A	
223. - PIMCO FDS PAC INVT MGMT SER INV GR BOND I					Buy	01/09/13	K		
224.					Sold	03/12/13	K		
225. - ALGER SPECTRA FUND CLASS I					Buy	06/18/13	K		
226.					Sold	10/23/13	K	B	
227. - ALLIANCE BERNSTEIN HIGH INCOME FD ADVISOR CLASS					Buy	06/18/13	K		
228.					Sold	10/23/13	K		
229. - ALLIANZ NFJ INTL VALUE FD INSTL CL					Buy	06/18/13	K		
230.					Sold	11/07/13	K	B	
231. - ARBITRAGE FD CL I					Buy	06/18/13	K		
232.					Sold (part)	10/23/13	J	A	
233.					Buy (add'l)	11/08/13	J		
234. - COLUMBIA THERMOSTAT FUND CLASS Z					Buy	06/18/13	K		

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

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Collyer, Rosemary M.

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

235.					Sold	11/07/13	K	A	
236. - DELAWARE POOLED TR DIVERSIFIED INC FD INSTL CL					Buy	06/18/13	K		
237.					Sold	11/07/13	K		
238. - DREYFUS INTL BOND FUND CL I					Buy	06/18/13	K		
239.					Sold	11/07/13	K		
240. - FIRST EAGLE SOGEN OVERSEAS FUND CL I					Buy	06/18/13	L		
241.					Sold (part)	10/23/13	J	A	
242.					Buy (add'l)	11/08/13	K		
243. - FIRST EAGLE US VALUE FUND CL I					Buy	06/18/13	L		
244.					Sold	11/07/13	L	B	
245. - FORUM ABSOLUTE STRATEGIES FD INSTL SHS					Buy	06/18/13	K		
246.					Sold	11/07/13	K		
247. - FORWARD FUNDS CREDIT ANALYSIS LNG/SHRT FD ADVISOR CLASS					Buy	06/18/13	K		
248.					Sold	11/07/13	K		
249. - INVESCO BALANCED-RISK ALLOCATION CL Y					Buy	06/18/13	K		
250.					Sold	11/07/13	K	A	

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

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Name of Person Reporting

Collyer, Rosemary M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
251. - IVY FDS INC MID CAP GROWTH FD CL I					Buy	06/18/13	K		
252.					Sold	11/07/13	K	B	
253. - MAINSTAY FDS TR/MARKETFIELD FD CL I					Buy	06/18/13	K		
254.					Sold (part)	10/23/13	J	A	
255.					Buy (add'l)	11/08/13	J		
256. - OPPENHEIMER DEV MKTS CL Y					Buy	06/18/13	K		
257.					Sold	11/07/13	K	C	
258. - OPPENHEIMER INTL BD FD CLASS Y					Buy	06/18/13	K		
259.					Sold	11/07/13	K		
260. - PERMANENT PORTFOLIO FD/PERM PORTFOLIO					Buy	06/18/13	K		
261.					Sold	11/07/13	K	A	
262. - PIMCO ALL ASSET ALL AUTHORIT FD CL I					Buy	06/18/13	K		
263.					Sold	11/07/13	K		
264. - PIMCO EMERGING MKT CURRENCY FD CL I					Buy	06/18/13	L		
265.					Sold	11/07/13	L		
266. - PIONEER GLOBAL HIGH YIELD CL Y					Buy	06/18/13	K		
267.					Sold	11/07/13	K		

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

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

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

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

268. - PIONEER STRATEGIC INCOME FD CLASS Y					Buy	06/18/13	L		
269.					Sold	11/07/13	L		
270. - SCOUT FUNDS CORE BOND FUND INSTL CL					Buy	06/18/13	L		
271.					Sold	11/07/13	L		
272. - TCW FDS INC EMERGING MKTS INCOME FD CL I					Buy	06/18/13	K		
273.					Sold	11/07/13	K		
274. - TEMPLETON INCOME TR/GLOBAL FD FD ADVISOR CL					Buy	06/18/13	J		
275.					Sold	11/07/13	J	A	
276. - TFS CAP INVESTMENT TRUST MARKET NEUTRAL FUND					Buy	06/18/13	K		
277.					Sold	11/07/13	K	A	
278. - THORNBURGH INV MGMT INTL GROWTH FUND CL I					Buy	06/18/13	K		
279.					Sold	11/07/13	K	C	
280. - TOCQUEVILLE TR/ DELAFIELD FD					Buy	06/18/13	K		
281.					Sold	11/07/13	K	B	
282. - ADVISORS INNER CIRCLE ACADIAN EMERGING MKTS INSTL CL					Buy	01/08/13	K		
283.					Sold	06/17/13	K		
284. - ADVISORS INNER CIRCLE CAMBIAR OPPORTUNITY INV CL					Buy	01/08/13	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
285.					Sold (part)	03/12/13	J	A	
286.					Sold	06/17/13	K	C	
287. - ARBITRAGE EVENT DRIVEN FUND					Buy	01/08/13	K		
288.					Sold (part)	03/12/13	J		
289.					Sold	06/17/13	K	A	
290. - ASTON FUNDS SMALL CAP GROWTH FUND CLASS I					Buy	03/12/13	K		
291.					Sold	06/17/13	K	B	
292. - DIAMOND HILL LONG-SHORT FUND CL A					Buy	01/08/13	K		
293.					Sold	06/17/13	K	C	
294. - DOUBLELINE FDS TR TOTAL RETURN BD FD CL I					Buy	01/08/13	K		
295.					Sold	06/17/13	K		
296. - DRIEHAUS MUTUAL FUNDS ACTIVE INCOME FUND					Buy	01/08/13	L		
297.					Sold (part)	03/14/13	K	A	
298.					Sold	06/17/13	K	A	
299. - FEDERATED EQUITY FDS STRATEGIC VALUE DIVID FD INSTL					Buy	01/08/13	K		
300.					Sold (part)	03/12/13	J	A	
301.					Sold	06/17/13	K	B	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
302. - HARBOR FD INTL FD INSTL CL					Buy	01/08/13	L		
303.					Sold	06/17/13	L	B	
304. - HARDING LOEVNER FDS INC INTL EQUITY PORTFOLIO					Buy	03/12/13	K		
305.					Sold	06/17/13	K	A	
306. - HARDING LOEVNER FDS INC GLOBAL EQUITY PORT ADV CL					Buy	03/12/13	K		
307.					Sold	06/17/13	K	A	
308. - ING GLOBAL REAL ESTATE FUND CL I					Buy	01/08/13	K		
309.					Sold	06/17/13	K	A	
310. - JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATEGIES FD CL I					Buy	01/08/13	K		
311.					Sold (part)	03/12/13	J	A	
312.					Sold	06/17/13	K	A	
313. - NATIXIS FUNDS TRUST II VAUGHAN NELSON VALUE CLASS Y					Buy	01/08/13	K		
314.					Sold	06/17/13	K	B	
315. - PIMCO ALL ASSET FND INST CL					Buy	01/08/13	M		
316.					Sold	06/17/13	L		
317. - PIMCO FDS FUNDAMENTAL ADVTG ABSLT RETURN STRT FD INSTL CL					Buy	01/08/13	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
318.					Sold	06/17/13	K	A	
319. - PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL					Buy	01/08/13	M		
320.					Sold	06/17/13	M		
321. - PIMCO FDS PAC INVT MGMT SER - COMMODOREAL RETURN STRAT FD INSTL CL					Buy	01/08/13	K		
322.					Sold	06/17/13	K		
323. - PIMCO FUNDS EMERGING LOCAL BOND FUND					Buy	01/08/13	L		
324.					Sold	06/17/13	K		
325. - RBB FUND INC/ROBECO BOSTON PARTNERS LONG/SHORT RESEARCH INSTL					Buy	01/08/13	K		
326.					Buy (add'l)	03/12/13	K		
327.					Sold	06/17/13	L	C	
328. - RIDGEWORTH FUNDS SEIX FLT RT HIGH IND FND CLASS I					Buy	01/08/13	K		
329.					Sold	06/17/13	K	A	
330. - RIVERPARK FUNDS TRUST/ WEDGEWOOD FUND INSTL CL					Buy	01/08/13	L		
331.					Sold (part)	03/12/13	J	A	
332.					Sold	06/17/13	L	C	
333. - TEMPLETON INCOME TR GLOBAL BD FD ADVISOR CL					Buy	03/13/13	J		

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

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

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

334.					Buy (add'l)	06/18/13	J		
335.					Sold (part)	10/23/13	J		
336.					Sold	11/07/13	J		
337. - UBS AG JERSEY BRH E-TRACS LKD TO ALERIAN MLP INFRSTRE INDEX					Buy	01/08/13	K		
338.					Sold	06/17/13	K	C	
339. - UBS AG LONGON BRH ETRACS ALERIAN MLP INDEX					Buy	01/08/13	K		
340.					Sold	06/17/13	K	C	
341. - VIRTUS EMERGING MARKETS OPPORTUNITIES FND CL I					Buy	01/08/13	L		
342.					Sold (part)	03/12/13	K	A	
343.					Sold	06/17/13	K		
344. - ARTISAN FUNDS IND MID CAP VALUE FD INV SHS					Buy	11/08/13	L		
345. - CREDIT SUISSE HIGH INCOME FUND COMMON CLASS					Buy	11/08/13	K		
346. - DRIEHAUS MUTUAL FUNDS ACTIVE INCOME FUND					Buy	11/08/13	K		
347. - NORTHERN LTS FD TR III GOOD HARBOR US TACTICAL CORE FD					Buy	11/08/13	L		
348. - JOHN HANCOCK FDS II GLOBAL ABSOLUTE RETURN STRATS FD					Buy	11/08/13	K		
349. - HIGHLAND LONG/SHORT EQUITY FUND CLASS Z					Buy	11/08/13	K		
350. - JOHN HANCOCK FUNDS II CURRENCY STRATEGIES FD CL I					Buy	11/08/13	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
351. - LORD ABBETT INVESTMENT TR SHORT DURATION INCM CLASS F					Buy	11/08/13	L		
352. - MANAGERS AMG FUNDS YACKTMAN FUND SERVICE CLASS					Buy	11/08/13	L		
353. - VIRTUS ALPHASECTOR ROTATION FD CLASS I					Buy	11/08/13	L		
354. - ALGER FDS II SPECTRA FD CL I					Buy	06/18/13	K		
355.					Buy (add'l)	11/08/13	J		
356. - STEELPATH MLP FDS TR OPPENHEIMER STEELPATH MLP INCOME FD CL Y					Buy	11/08/13	K		
357. - STRATTON FDS INC SMALL-CAP VALUE FD					Buy	11/08/13	K		
358. - WELLS FARGO CASH EQUIVALENT ACCOUNTS									See Part VIII (k)
359.									

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

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

Part I

(a) Line 1 refers to a Trust that is unfunded and has no assets (this Trust is also listed in Part VII, Line 79). Lines 2 and 3 refer to Trusts established on 12/28/12; both are documented in detail in Part VII.

PART VII:

(b) In the description of assets the abbreviation ADR refers to American Depositary Receipts (shares of foreign companies trading on U.S. exchanges); ETF refers to Exchange Traded Funds (index funds that trade as common stocks).

(c) Put options sold short and later redeemed (i.e. exercised by owner) are shown as having zero gain because the amount received for the short sale is subtracted from the basis for the underlying security that was purchased and is therefore reflected in the gain/loss incurred when that security is ultimately sold.

(d) Lines 4, 18, 44, 55 and 68 are aggregated Schwab cash equivalent accounts containing one or more of the following: Schwab Municipal Money Fund Value Advantage; Schwab Money Fund Value Advantage, Schwab One Cash Account, Charles Schwab Bank Deposit Accounts, and/or Schwab Cash Reserves. They are aggregated here per the 2013 Filing Instructions. These account balances change frequently as a result of securities purchases or sales, cash transfers, and dividends or interest received. The income received and ending values are shown as required in the non-retirement plan account (Line 4).

(e) Line 53: Purchases of this fund are made on a monthly basis. Individual purchases are below the minimum reporting requirement but are aggregated for the entire year with a date shown of 12/31/13.

(f) The accounts identified as IRAs #6 (Line 75) and #7 (Line 76) were Roth conversion IRAs with a zero balance in both accounts throughout 2013. Both accounts are now closed.

(g) Line 77 refers to an aggregated cash equivalent account at Merrill Lynch that pays both dividends (for Merrill Lynch CMA Money Fund) and interest (for Merrill Lynch Bank Deposit Program). This is not a brokerage account, and no individual stocks, bonds or other assets are held.

(h) Line 79 refers to a Trust that is unfunded and has no assets (this Trust is also listed in Part I, Line 1).

(i) Trusts #2 and #3 (lines 80 and 218) were established on 12/28/12. (Both Trusts are also listed in Part I).

(j) Line 3 represents a partial conversion of Berkshire Hathaway Class A shares (BRKA) to Class B shares (BRKB) on 02/04/13. No shares were purchased or sold during 2013.

(k) Lines 217 and 358 refer to aggregated Wells Fargo cash equivalent accounts including Bank Deposit Sweep, Wells Fargo Essential Checking, and Wells Fargo Regular Savings. They are aggregated here per the 2013 Filing Instructions. These account balances change frequently as a result of securities purchases or sales, cash transfers, and dividends or interest received.

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08/05/2014

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/ Rosemary M. Collyer**

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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Washington, D.C. 20544