

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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

1. Person Reporting (last name, first, middle initial) ROSS, ALLYNE R.	2. Court or Organization U.S.D.C., EDNY	3. Date of Report 10/19/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. DISTRICT COURT, EDNY 225 CADMAN PLAZA EAST ROOM 915 SOUTH BROOKLYN, NY 11201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

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

1. 1/1-12/31

Partner in Strook & Strook & Lavan LLP

2. _____

3. _____

4. _____

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

1. _____

2. _____

3. _____

4. _____

5. _____

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

1.

2.

3.

4.

5.

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

1.

2.

3.

4.

5.

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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. Trust #1									
2. -Life Insurance Policy Issued by Northwestern Mutual		None	J	W					
3. IRA #1	E	Int./Div.	O	T					
4. -Adobe Systems					Buy	10/14/11	J		
5. -BP PLC									
6. -Hartford Financial Services					Sold	03/08/11	K	C	
7. -Cisco Systems									
8. -Google									
9. -Dreyfus Liquid Assets (money market fund)									
10. -Ericsson									
11. -General Electric									
12. -Annaly Capital Mgt.					Buy (add'l)	04/05/11	J		
13. -American Express									
14. -Eli Lilly & Co.									
15. -Citigroup									
16. -Penn West									
17. -Pepsico					Sold	10/21/11	K		

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

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18. -Intel					Buy (add'l)	07/15/11	J		
19. -Microsoft									
20. -Windstream					Sold	01/07/11	K	D	
21. -Viacom									
22. -ishares Short Treas. Bond Fund									
23. -ishares TRFTJE XINHUA HK China 25 Index					Sold	05/03/11	J	A	
24. -Powershares ETF Final PFD Portfolio									
25. -Enterprise Prods Partners									
26. -Provident Energy Trust					Sold	09/21/11	K	D	
27. -Putnam Premier Income Trust									
28. -Enerplus					Buy (add'l)	04/29/11	K		
29. -Enerplus					Buy (add'l)	05/17/11	J		
30. -BlackRock Global Energy & Resources Trust									
31. -Boardwal Pipeline Partners									
32. -Motors Liquidation Corp.						06/30/11			zero value
33. -Procter & Gamble									
34. -New York Community Bancorp					Sold	07/13/11	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -Eaton Vance Limited Duration Income Fund									
36. -Hospitality PPTYS TR									
37. -Johnson & Johnson					Sold	07/20/11	K	B	
38. -Kellogg					Sold	07/06/11	K	A	
39. -Pengrowth Energy									
40. -Dow Chemical									
41. -Conoco Phillips									
42. -Cohen & Steers Infrastructure Fund									
43. -Fiduciary/Claymore Opportunity Fund					Sold	08/05/11	J	A	
44. -Invesco Mortgage Capital					Buy (add'l)	03/22/11	J		
45. -Quest Coomunications					Sold	01/06/11	K	C	
46. -Inshares FTSE NAREIT MTG Index Fund									
47. -Kayne Anderson Energy Dev. Co.									See Part VIII
48. -Novartis					Sold	01/13/11	K	C	
49. -3M					Sold	01/27/11	J	A	
50. -Bristol Myers Squibb					Buy	07/22/11	K		
51. -Capstead Mtg.					Buy	04/14/11	J		

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52. -Centurylink					Buy	03/01/11	K		
53. -Centurylink					Buy (add'l)	05/06/11	J		
54. -Bank of America									See Part VIII
55. -Freeport McMoran Copper & Gold					Buy	05/09/11	K		
56. -Frontier Communications					Buy	02/23/11	K		
57. -Frontier Communications					Buy (add'l)	06/22/11	J		
58. -HJ Heinz Co.					Buy	10/21/11	J		
59. -MFA Financial					Buy	07/25/11	J		
60. -Merck					Buy	09/30/11	J		
61. -Prudential Financial					Buy	09/01/11	J		
62. -Skyworks Solutions					Buy	08/03/11	J		
63. -Skyworks Solutions					Buy (add'l)	08/09/11	J		
64. -Telstra					Buy	01/11/11	K		
65. -Wachovia Cap Tr.					Buy	11/23/11	J		
66. IRA #2	C	Int./Div.	L	T					
67. -Dominion Resources									
68. -Johnson & Johnson									

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69. -Citibank Account									
70. -Keycorp Preferred									
71. -Morgan Stanley Cap TR									
72. -Provident Energy									
73. -John Hancock Bank Fund									
74. -Annaly Capitol Mgt									
75. -Kayne Anderson Energy Fund									
76. -Cohen & Steers Infrastructure Fund									
77. -Powershares ETF									
78. -Bristol Myers Squibb									
79. -Pace Oil & Gas									
80. -Freeport McMoran Copper & Gold					Buy	05/09/11	J		
81. Citibank Accounts	B	Interest	M	T					
82. BNP Paribas Structured Note		None			Matured	07/07/11	N		
83. Citibank NY Tax-Free Reserves	A	Dividend			Redeemed	12/30/11	J		
84. S&P Variable Participation Notes		None	M	T					
85. Astra Five NY		None			Redeemed	01/13/11	J		

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86. Citigroup FDG MTN SR Index Note		None	M	U	Buy	09/09/11	L		See Part VIII
87. Vanguard Limited-Term Tax-Exempt	A	Dividend			Redeemed	01/26/11	O	B	
88. Vanguard Short-Term Investment Grade	E	Dividend	P1	U	Buy	01/26/11	O		See Part VIII
89. Vanguard Short Term Investment Grade					Buy	06/20/11	K		
90. Vanguard Short-Term Investment Grade					Redeemed	09/08/11	L	C	
91. Vanguard Short-Term Investment Grade					Buy	10/14/11	M		
92. Vanguard NY Tax-Exempt Money Market Fund	A				Redeemed	01/26/11	J		
93. Vanguard High-Yield Tax-Exempt Fund	B	Dividend			Redeemed	01/26/11	N		
94. Vanguard Emerging Markets Index Fund	C	Dividend	M	U	Buy	02/28/11	M		See Part VIII
95. Vanguard Mid-Cap Index Fund	D	Dividend	O	U	Buy	07/27/11	M		See Part VIII
96. Vanguard Mmid-Cap Index Fund					Buy	10/14/11	N		
97. Vanguard High-Yield Corporate Fund	E	Dividend	O	U	Buy	01/26/11	N		See Part VIII
98. Western Asset Municipal NY Money Market Fund	A	Dividend			Redeemed	05/06/11	J		
99. Morgan Stanley NY Municipal Money Market Fund	A	Dividend	J	U	Buy	05/06/11	J		See Part VIII
100. Morgan Stanley NY Municipal Money Market Fund					Sold	07/15/11	J		
101. Morgan Stanley NY Municipal Money Market Fund					Sold	10/21/11	J		
102. General American Investors	B	Dividend	L	T	Buy	03/03/11	J		

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103. General American Investors					Buy	03/16/11	J		
104. General American Investors					Buy	03/25/11	J		
105. General American Investors					Buy	04/21/11	J		
106. General American Investors					Buy	05/26/11	J		
107. General American Investors					Buy	06/22/11	J		
108. General American Investors					Buy	08/01/11	J		
109. WFG-WPX Partners LLC		None	N	W					
110. Columbia Acorn Fund	E	Dividend	N	U					See Part VIII
111. JP Morgan Midcap Value Fund	A	Dividend	L	U					See Part VIII
112. Bernstein Global Diversified Strategies		None			Redeemed	10/11/11	N		
113. Bernstein Global Opportunities	E	Dividend			Redeemed	10/11/11	M		
114. Bernstein New York Municipal Portfolio	C	Dividend			Redeemed	03/11/11	P1	E	
115. Cash balance at Sanford C. Bernstein & Co.		None			Redeemed	03/11/11	K		
116. Bernstein Tax-Managed International Portfolio	B	Dividend			Redeemed	03/11/11	O		
117. Bernstein Emerging Markets Portfolio	A	Dividend			Redeemed	03/11/11	M		
118. Agrium		None			Sold	02/04/11	J		
119. Alcoa		None			Sold	03/10/11	J	A	

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120. Astrazeneca		None			Sold	03/10/11	K	B	
121. Cablevision Systems	A	Dividend			Sold	03/10/11	J	A	
122. CenturyLink	A	Dividend	J	T	Sold (part)	03/10/11	J	A	
123. CF Industries Holdings		None			Sold	01/31/11	J	A	
124. Comerica	A	Dividend	J	T	Sold (part)	03/10/11	J		
125. Commerical Metals		None			Sold	03/10/11	J	A	
126. Altria Group		None			Sold	01/31/11	J	A	
127. Delta Air Lines		None			Sold	03/10/11	K		
128. Direct TV		None			Sold	02/08/11	J		
129. Eaton Corp.		None			Sold	03/10/11	J	B	
130. Edison International		None			Sold	03/10/11	J		
131. Hewlett-Packard	A	Dividend			Sold (part)	03/11/11	J		
132. Hewlett-Packard					Sold (part)	06/22/11	J		
133. Hewlett-Packard					Sold	07/05/11	J		
134. Gap		None			Sold	03/10/11	J	A	
135. Cameron International		None			Sold (part)	03/10/11	J	B	
136. Cameron International					Sold (part)	05/18/11	J	B	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Cameron International					Sold (part)	05/24/11	J	A	
138. Cameron International					Sold	06/01/11	J		
139. General Motors		None			Sold	03/10/11	J		
140. Health Net		None			Sold	03/10/11	J	A	
141. Hess	A	Dividend			Sold	03/10/11	J	C	
142. Kimberly Clark	A	Dividend	J	T	Sold (part)	03/10/11	J		
143. Kimberly Clark					Sold (part)	03/11/11	J		
144. Kimberly Clark					Sold (part)	12/11/11	J	A	
145. Kroger	B	Dividend	J	T	Sold (part)	03/11/11	K	A	
146. Aetna		None			Sold	03/10/11	J	A	
147. Lear	A	Dividend			Sold	03/10/11	J	B	
148. Marathon Oil	B	Dividend	J	S	Sold (part)	03/10/11	K	D	
149. Newfield Exploration		None			Sold	03/10/11	J	B	
150. Parker Hannifin		None			Sold	03/10/11	K		
151. Raytheon	A	Dividend	J	T	Buy	03/11/11	J		
152. Raytheon					Buy	05/24/11	J		
153. Royal Caribbean Cruises		None			Sold	03/10/11	J	C	

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

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ROSS, ALLYNE R.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. Safeway		None			Sold	03/10/11			
155. Ford Motor Co.		None			Sold	03/10/11	K	C	
156. Archer-Daniels Midland	A	Dividend			Sold	03/10/11	J	A	
157. Sara Lee Corp.	A	Dividend			Sold	03/10/11	J	B	
158. Accenture PLC Ireland		None			Sold	03/10/11	J	B	
159. Allergan	A	Dividend	J	T	Buy (add'l)	03/11/11	J		
160. Allergan					Sold (part)	05/19/11	J	A	
161. Allergan					Sold (part)	05/24/11	J	A	
162. Carnival Corp.		None			Sold	03/10/11	J	A	
163. Citrix		None	J	T	Sold (part)	05/18/11	J	A	
164. Citrix					Sold (part)	05/19/11	J	A	
165. Citrix					Sold (part)	06/17/11	J	A	
166. Citrix					Sold (part)	08/11/11	J	A	
167. Citrix					Sold (part)	10/27/11	J	A	
168. Dow Chemical	A	Dividend	J	T	Sold (part)	03/10/11	K	D	
169. Dow Chemical					Buy (add'l)	06/11/11	J		
170. Express Scripts Inc.		None	J	T	Sold (part)	05/04/11	J	A	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. Express Scripts Inc.					Sold (part)	06/11/11	J	A	
172. Express Scripts Inc.					Sold (part)	06/14/11	J		
173. Express Scripts Inc.					Sold (part)	10/08/11	J	A	
174. Flowserve	A	Dividend			Sold (part)	05/26/11	J	A	
175. Flowserve					Sold (part)	06/09/11	J		
176. Flowserve					Sold (part)	06/14/11	J		
177. Goodrich Corp.	A	Dividend			Sold	03/10/11	J	A	
178. Intuit		None			Sold	03/10/11	J	A	
179. Juniper Networks		None	J	T					
180. Marvell Technology Group		None			Sold	03/10/11	J		
181. Noble Energy		None			Sold	03/10/11	K	C	
182. Potash Corp. of Saskatchewan	A	Dividend			Sold (part)	03/11/11	J	A	
183. Potash Corp of Saskatchewan					Sold (part)	05/12/11	J	A	
184. Potash Corp of Saskatchewan					Sold (part)	08/22/11	J	A	
185. Rovi Corp.		None			Buy (add'l)	01/13/11	J		
186. Rovi Corp					Sold	03/10/11	J		
187. Southwestern Energy		None			Sold	03/10/11	J	A	

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

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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)
188. Occidental Petroleum	A	Dividend	J	T	Sold (part)	03/10/11	J	A	
189. Stanley Black&Decker	A	Dividend			Sold	03/10/11	J	A	
190. Starbucks	A	Dividend	J	T	Sold (part)	03/10/11	J	B	
191. Starbucks					Sold (part)	03/11/11	J	A	
192. Starbucks					Sold (part)	06/30/11	J	A	
193. Goldman Sachs	A	Dividend			Sold	03/10/11	K	B	
194. Intel	B	Dividend	J	T	Sold (part)	03/10/11	J	A	
195. Intel					Buy (add'l)	05/19/11	J		
196. Intel					Sold (part)	11/04/11	J	A	
197. Bunge Ltd		None			Sold	03/10/11	K	C	
198. Microsoft	B	Dividend	K	T	Sold (part)	03/10/11	J		
199. Microsoft					Sold (part)	03/11/11	J	A	
200. Microsoft					Buy (add'l)	08/10/11	J		
201. Microsoft					Buy (add'l)	08/18/11	J		
202. Microsoft					Sold (part)	12/02/11	J	A	
203. Microsoft					Buy (add'l)	12/07/11	J		
204. Proctor & Gamble	B	Dividend	K	T	Buy	03/11/11	J		

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

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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)
205. Proctor & Gamble					Buy (add'l)	05/12/11	J		
206. Proctor & Gamble					Buy (add'l)	05/17/11	J		
207. Proctor & Gamble					Buy (add'l)	06/22/11	J		
208. Proctor & Gamble					Sold (part)	09/27/11	J	A	
209. Proctor & Gamble					Sold (part)	10/27/11	J	A	
210. Proctor & Gamble					Sold (part)	12/05/11	J	A	
211. Costco	A	Dividend			Sold	03/10/11	J	A	
212. Corning	A	Dividend			Sold	05/20/11	J	B	
213. United Parcel Service	A	Dividend			Sold	03/10/11	K	B	
214. Vertex Pharmaceutical		None			Sold	03/10/11	J	B	
215. Capital One Financial Corp	A	Dividend			Sold	03/10/11	J	B	
216. Gannett	A	Dividend			Sold	03/10/11	J	B	
217. Dell		None			Sold	03/10/11	K	C	
218. Lowes Cos.		None			Sold	03/10/11	K	C	
219. Pepsico	A	Dividend	J	T	Sold (part)	03/10/11	J	A	
220. Pepsico					Buy (add'l)	06/22/11	J		
221. Pepsico					Buy	05/22/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
222. Pepsico					Sold (part)	12/01/11	J		
223. Chevron	A	Dividend	K	T	Buy (add'l)	03/11/11	J		
224. Home Depot	A	Dividend	J	T	Buy	03/11/11	J		
225. J.P. Morgan Chase	B	Dividend	K	T	Sold (part)	03/10/11	L	D	
226. J.P. Morgan Chase					Buy (add'l)	03/11/11	J		
227. J.P. Morgan Chase					Sold (part)	06/23/11	J	A	
228. Medco Health Solutions									See Part VIII
229. Johnson Controls	A	Dividend			Sold	03/10/11	K	D	
230. Target									See Part VIII
231. XL Group									See Part VIII
232. Broadcom	A	Dividend			Sold	03/10/11	J	B	
233. Google		None	K	T	Sold (part)	03/10/11	K	D	
234. Google					Buy (add'l)	04/01/11	J		
235. Google					Buy (add'l)	04/28/11	J		
236. Google					Buy (add'l)	05/05/11	J		
237. Google					Buy (add'l)	08/03/11	J		
238. Google					Buy (add'l)	11/30/11	J		

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

239. Teva Pharmaceutical		None	J	T	Sold	03/10/11	J	B	
240. Teva Pharmaceutical					Buy	12/01/11	J		
241. Teva Pharmaceutical					Buy (add'l)	12/05/11	J		
242. Comcast	A	Dividend			Sold	03/10/11	K	D	
243. Comcast					Buy	03/11/11	K		
244. Cooper Industries		None			Sold	03/10/11	K	D	
245. Credit Suisse		None	J	T	Sold	03/10/11	J	A	
246. Credit Suisse					Buy	04/06/11	J		
247. Credit Suisse					Sold (part)	08/08/11	J		
248. Credit Suisse					Sold (part)	10/03/11	J		
249. Apple Computer		None			Sold (part)	03/10/11	K	E	
250. Apple Computer			K	T	Buy (add'l)	03/11/11	J		
251. Danaher Corp.	A	Dividend	J	T	Sold	03/10/11	K	D	
252. EMC Corp.		None	J	T	Sold (part)	03/10/11	J	C	
253. EMC Corp.					Sold (part)	03/11/11	J	A	
254. EMC Corp.					Sold (part)	06/13/11	J	A	
255. Gilead Sciences		None			Sold (part)	03/10/11	K	D	See Part VIII

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)

256. Limited Brands	B	Dividend	J	T	Buy (add'l)	01/04/11	J		
257. Limited Brands					Buy (add'l)	01/14/11	J		
258. Limited Brands					Sold (part)	03/10/11	J	A	
259. Limited Brands					Buy (add'l)	08/23/11	J		
260. Viacom	A	Dividend			Sold	03/10/11	J	B	
261. Schlumberger		None	K	T	Sold (part)	03/10/11	K	D	
262. Schlumberger					Buy (add'l)	03/11/11	J		
263. Schlumberger					Sold (part)	05/12/11	J	B	
264. Schlumberger					Buy (add'l)	10/26/11	J		
265. Schlumberger					Buy (add'l)	12/01/11	J		
266. Time Warner	A	Dividend	J	T	Sold	03/10/11	J	D	
267. Time Warner					Buy	05/20/11	J		
268. Time Warner Cable	A	Dividend			Sold	03/10/11	K	D	
269. Cisco Systems		None			Sold	03/10/11	K		
270. General Electric	B	Dividend	J	T	Sold (part)	03/10/11	J	A	
271. The Travelers Cos.	A	Dividend	J	T	Sold (part)	03/10/11	J	A	
272. AT&T	A	Dividend	J	T	Buy (add'l)	03/11/11	J		

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

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ROSS, ALLYNE R.

Date of Report

10/19/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. BB&T Corp.		None			Sold	03/10/11	J		
274. Constellation Brands		None			Sold	03/10/11	J	B	
275. Constellation Energy Group	A	Dividend			Sold	03/10/11	J		
276. Amazon.com		None	J	T	Buy (add'l)	02/03/11	J		
277. Amazon.com					Buy (add'l)	03/11/11	J		
278. Amazon.com					Sold (part)	05/19/11	J	C	
279. Amazon.com					Sold (part)	07/27/11	J	A	
280. Amazon.com					Buy (add'l)	08/23/11	J		
281. Amazon.com					Sold (part)	10/26/11	J	B	
282. Amazon.com					Sold (part)	11/22/11	J	A	
283. Northrup Grumman	A	Dividend	J	T	Sold (part)	03/10/11	K	C	
284. Pfizer	A	Dividend	J	T	Sold (part)	03/10/11	K		
285. Kohls	A	Dividend	J	T	Sold (part)	03/10/11	K	C	
286. Kohls					Buy (add'l)	08/11/11	J		
287. Kohls					Buy (add'l)	09/15/11	J		
288. Kohls					Buy (add'l)	09/30/11	J		
289. Kohls					Sold (part)	12/12/11	J	A	

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

ROSS, ALLYNE R.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. Monsanto	A	Dividend	J	T	Buy (add'l)	02/02/11	J		
291. Monsanto					Sold (part)	03/10/11	J	B	
292. Monsanto					Buy (add'l)	05/31/11	J		
293. Monsanto					Buy (add'l)	06/30/11	J		
294. Monsanto					Buy (add'l)	10/14/11	J		
295. Nvidia		None			Sold (part)	03/10/11	J	A	
296. Nvidia					Sold (part)	03/11/11	J	B	
297. Garmin		None			Sold	03/10/11	J	A	
298. Ingersoll-Rand		None			Sold	03/10/11	K	D	
299. Nexen Inc.		None			Sold	03/10/11	J	A	
300. NVR		None			Sold	03/10/11	J	B	
301. Office Depot		None			Sold	03/10/11	J		
302. Morgan Stanley		None			Sold	03/10/11	J		
303. Smithfield Foods		None			Sold	03/10/11	J	C	
304. Oracle	B	Dividend	K	T	Sold (part)	03/10/11	J	A	
305. Oracle					Sold (part)	05/18/11	J	A	
306. Oracle					Sold (part)	05/23/11	J	A	

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

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Name of Person Reporting

ROSS, ALLYNE R.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. Tyco	A	Dividend	J	T	Sold (part)	03/10/11	J	C	
308. Vodafone		None	K	T	Buy (add'l)	03/11/11	J		
309. Vodafone					Buy (add'l)	03/15/11	J		
310. Vodafone					Buy (add'l)	04/15/11	J		
311. Vodafone					Sold (part)	08/12/11	J	A	
312. Celgene		None			Sold	03/10/11			
313. Deere	A	Dividend	J	T	Sold (part)	03/10/11	J	A	
314. EOG Res.	A	Dividend	J	T	Sold (part)	03/10/11	J		
315. EOG Res.					Sold (part)	03/11/11	J		
316. EOG Res.					Sold (part)	05/24/11	J		
317. EOG Res.					Sold (part)	09/22/11	J		
318. EOG Res.					Buy (add'l)	12/06/11	J		
319. Wells Fargo	B	Dividend	J	T	Sold (part)	03/10/11	K	D	
320. Honeywell International	A	Dividend	J	T	Sold	03/10/11	J	C	
321. Honeywell International					Buy (add'l)	04/07/11	J		
322. Devon Energy	A	Dividend			Sold (part)	03/10/11	K	D	
323. Devon Energy					Sold	06/24/11	J		

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

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ROSS, ALLYNE R.

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

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

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

324. Freeport McMoran Copper	A	Dividend			Sold (part)	04/14/11	J	A	
325. Freeport McMoran Copper					Sold (part)	05/05/11	J		
326. Freeport McMoran Copper					Sold (part)	05/12/11	J		
327. Freeport McMoran Copper					Sold (part)	05/23/11	J		
328. Freeport McMoran Copper					Sold (part)	06/23/11	J		
329. Freeport McMoran Copper					Sold (part)	09/22/11	J		
330. Freeport McMoran Copper					Sold	09/28/11	J		
331. General Mills	A	Dividend	J	T	Buy (add'l)	03/11/11	J		
332. Walt Disney		None			Sold	03/10/11	J	C	
333. News Corp.		None			Sold	03/10/11	K	D	
334. CME Corp.	A	Dividend			Sold (part)	03/10/11	J		
335. CME Corp.					Sold	10/24/11	J	A	
336. Fifth Third Bancorp		None			Sold	03/10/11	J	A	
337. Johnson & Johnson	B	Dividend	J	T	Sold (part)	03/10/11	K	A	
338. Johnson & Johnson					Sold (part)	03/11/11	J		
339. Johnson & Johnson					Buy	05/12/11	J		
340. Johnson & Johnson					Buy	06/23/11	J		

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

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ROSS, ALLYNE R.

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

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

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

341. Johnson & Johnson					Buy	07/20/11	J		
342. Johnson & Johnson					Sold (part)	11/04/11	J	A	
343. Johnson & Johnson					Sold (part)	12/05/11	J		
344. Trishield Distressed Securities Fund		None	O	U	Buy (add'l)	04/01/11	M		See Part VIII
345. Abbott Labs	A	Dividend	J	T	Buy	03/11/11	J		
346. Abercrombie & Fitch	A	Dividend	J	T	Buy	09/30/11	J		
347. Abercrombie & Fitch					Buy (add'l)	11/04/11	J		
348. Ace Ltd.		None	J	T	Buy	10/05/11	J		
349. Allianz		None	J	T	Buy	03/15/11	J		
350. Allianz					Buy (add'l)	08/12/11	J		
351. Allianz					Buy (add'l)	07/01/11	J		
352. Allianz					Buy (add'l)	09/02/11	J		
353. Allianz					Buy (add'l)	09/29/11	J		
354. Allianz					Buy (add'l)	10/27/11	J		
355. American Electric Power	A	Dividend	J	T	Buy	05/20/11	J		
356. American Express	A	Dividend	J	T	Buy	03/11/11	J		
357. American Express					Buy (add'l)	10/24/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. ASML Holding		None	J	T	Buy	10/28/11	J		
359. ASML Holding					Buy (add'l)	12/07/11	J		
360. Australia & New Zealand Banking Group		None	J	T	Buy	11/08/11	J		
361. Australia & New Zealand Banking Group					Buy (add'l)	11/21/11	J		
362. Australia & New Zealand Banking Group					Buy (add'l)	11/22/11	J		
363. Australia & New Zealand Banking Group					Buy (add'l)	12/05/11	J		
364. Banco Bilbao Vizcaya Argentaria		None	J	T	Buy	03/15/11	J		
365. Banco Bilbao Vizcaya Argentaria					Buy (add'l)	04/01/11	J		
366. Banco Bilbao Vizcaya Argentaria					Buy (add'l)	12/02/11	J		
367. Bank of Nova Scotia		None	J	T	Buy	03/11/11	J		
368. Barclays PLC		None	J	T	Buy	03/15/11	J		
369. Barclays PLC					Buy (add'l)	08/31/11	J		
370. Barclays PLC					Buy (add'l)	12/05/11	J		
371. BASF		None	J	T	Buy	04/07/11	J		
372. BASF					Buy (add'l)	04/20/11	J		
373. BASF					Buy (add'l)	04/21/11	J		
374. BASF					Buy (add'l)	08/12/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. Bayer		None	J	T	Buy	03/15/11	J		
376. Bayer					Buy (add'l)	06/08/11	J		
377. Bayer					Buy (add'l)	09/06/11	J		
378. BG Group		None	J	T	Buy	04/20/11	J		
379. BG Group					Buy (add'l)	06/30/11	J		
380. BHP Billiton		None	J	T	Buy	03/11/11	K		
381. Biogen Idec		None	J	T	Buy	11/02/11	J		
382. Biogen Idec					Buy (add'l)	11/23/11	J		
383. BNP Paribas		None	J	T	Buy	03/15/11	J		
384. BNP Paribas					Buy (add'l)	05/12/11	J		
385. BNP Paribas					Buy (add'l)	05/27/11	J		
386. BNP Paribas					Buy (add'l)	08/12/11	J		
387. BNP Paribas					Buy (add'l)	12/02/11	J		
388. BNP Paribas					Buy (add'l)	12/05/11	J		
389. Boeing	A	Dividend	J	T	Buy	03/11/11	J		
390. Boeing					Buy (add'l)	12/05/11	J		
391. Borg Warner		None	J	T	Buy	03/11/11	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392. Borg Warner					Buy (add'l)	10/28/11	J		
393. Borg Warner					Buy (add'l)	12/05/11	J		
394. BP		None	J	T	Buy	03/15/11	J		
395. Bristol Myers Squibb	A	Dividend	J	T	Buy	03/11/11	J		
396. British American Tobacco		None	J	T	Buy	03/21/11	J		
397. British American Tobacco					Buy (add'l)	03/29/11	J		
398. British American Tobacco					Buy (add'l)	04/28/11	J		
399. British American Tobacco					Buy (add'l)	05/06/11	J		
400. BT Group		None	J	T	Buy	03/15/11	J		
401. Cameco		None	J	T	Buy	03/11/11	J		
402. Canon		None	J	T	Buy	08/18/11	J		
403. Canon					Buy (add'l)	08/23/11	J		
404. Canon					Buy (add'l)	10/25/11	J		
405. Caterpillar	A	Dividend	J	T	Buy	03/11/11	J		
406. CDN National Railway		None	J	T	Buy	03/11/11	J		
407. Centrica		None	J	T	Buy	03/15/11	J		
408. Centrica					Buy (add'l)	11/21/11	J		

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

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Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

10/19/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
409. Centrica					Buy (add'l)	11/22/11	J		
410. China Construction BK		None	J	T	Buy	08/18/11	J		
411. China Construction BK					Buy (add'l)	11/02/11	J		
412. Chubb	A	Dividend	J	T	Buy	03/11/11	J		
413. CNOOC		None	J	T	Buy	10/24/11	J		
414. Coach	A	Dividend	J	T	Buy	03/11/11	J		
415. Coca Cola	B	Dividend	K	T	Buy	03/11/11	J		
416. Coca Cola					Buy (add'l)	05/18/11	J		
417. Coca Cola					Buy (add'l)	06/22/11	J		
418. Conoco Philips	A	Dividend	J	T	Buy	03/11/11	J		
419. Cons Energy	A	Dividend	J	T	Buy	03/11/11	J		
420. Covidien		None	J	T	Buy	03/11/11	J		
421. Deutsche Telekom		None	J	T	Buy	05/16/11	J		
422. Deutsche Telekom					Buy	07/07/11	J		
423. Diageo PLC		None	J	T	Buy	03/11/11	J		
424. Dominion Resources	A	Dividend	J	T	Buy	03/11/11	J		
425. DuPont	A	Dividend	J	T	Buy	03/11/11	J		

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ROSS, ALLYNE R.

Date of Report

10/19/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
426. EON AG		None	J	T	Buy	09/14/11	J		
427. EON AG					Buy (add'l)	09/30/11	J		
428. Edwards Lifesciences		None	J	T	Buy	12/12/11	J		
429. Enbridge		None	J	T	Buy	03/11/11	J		
430. EQT Corp.	A	Dividend	J	T	Buy	03/11/11	J		
431. Experian		None	J	T	Buy	03/15/11	J		
432. Exxon Mobil	A	Dividend	K	T	Buy	03/11/11	K		
433. Family Dollar Stores		None	J	T	Buy	10/18/11	J		
434. Family Dollar Stores					Buy (add'l)	12/06/11	J		
435. Firstenergy Corp.	A	Dividend	J	T	Buy	03/11/11	J		
436. GDF Suez		None	J	T	Buy	03/15/11	J		
437. GDF Suez					Buy (add'l)	08/12/11	J		
438. General Dynamics	A	Dividend	J	T	Buy	03/11/11	J		
439. Glaxo SmithKline	A	Dividend	J	T	Buy	03/15/11	J		
440. Glaxo SmithKline					Buy (add'l)	04/28/11	J		
441. Glaxo SmithKline					Buy (add'l)	05/12/11	J		
442. Honda Motor		None	J	T	Buy	10/07/11	J		

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

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

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

443. Honda Motor					Buy (add'l)	11/21/11	J		
444. Honda Motor					Buy (add'l)	12/05/11	J		
445. HSBC Holding		None	J	T	Buy	03/15/11	J		
446. HSBC Holdings					Buy (add'l)	10/03/11	J		
447. HSBC Holdings					Buy (add'l)	11/01/11	J		
448. HSBC Holdings					Buy (add'l)	11/21/11	J		
449. HSBC Holdings					Buy (add'l)	11/25/11	J		
450. HSBC Holdings					Buy (add'l)	12/02/11	J		
451. Hutchison Whampoa		None	J	T	Buy	10/13/11	J		
452. Hutchison Whampoa					Buy (add'l)	10/19/11	J		
453. Illumina Inc.		None	J	T	Buy	03/16/11	J		
454. Illumina Inc.					Buy (add'l)	04/29/11	J		
455. Illumina Inc.					Buy (add'l)	07/28/11	J		
456. ING		None	J	T	Buy	03/15/11	J		
457. Intercontinental Hotels		None	J	T	Buy	03/11/11	J		
458. IBM	A	Dividend	J	T	Buy	03/11/11	J		
459. KT Corp.		None	J	T	Buy	12/01/11	J		

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

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

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

460. LM Ericsson Telefon		None	J	T	Buy	05/06/11	J		
461. LM Ericsson Telefon					Buy (add'l)	06/22/11	J		
462. LM Ericsson Telefon					Buy (add'l)	08/12/11	J		
463. LM Ericsson Telefon					Buy (add'l)	11/21/11	J		
464. Las Vegas Sands Corp.		None	J	T	Buy	06/07/11	J		
465. Las Vegas Sands Corp.					Buy (add'l)	08/04/11	J		
466. Las Vegas Sands Corp.					Buy (add'l)	09/27/11	J		
467. Estee Lauder	A	Dividend	J	T	Buy	08/11/11	J		
468. Estee Lauder					Buy (add'l)	08/15/11	J		
469. Lloyds Banking Corp.		None	J	T	Buy	03/15/11	J		
470. Lorillard	A	Dividend	J	T	Buy	03/11/11	J		
471. Lorillard					Buy (add'l)	10/13/11	J		
472. Marathon Petroleum	A	Dividend	J	T	Buy	03/11/11	J		
473. McDonalds	A	Dividend	K	T	Buy	03/11/11	J		
474. McDonalds					Buy (add'l)	05/26/11	J		
475. Mead Johnson Nutrition	A	Dividend	J	T	Buy	03/11/11	J		
476. Mead Johnson Nutrition					Buy (add'l)	12/23/11	J		

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

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

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

477. Meadwestvaco	A	Dividend	J	T	Buy	03/11/11	J		
478. Merck	A	Dividend	J	T	Buy	03/11/11	J		
479. Natl-Oilwellvarco	A	Dividend	J	T	Buy	03/18/11	J		
480. Natl-Oilwellcarco					Buy (add'l)	07/06/11	J		
481. Natl-Oilwellvarco					Buy (add'l)	07/27/11	J		
482. Netflix-Com		None	J	T	Buy	11/04/11	J		
483. Nextera Energy	A	Dividend	J	T	Buy	03/11/11	J		
484. Nippon Tel&tel		None	J	T	Buy	03/15/11	J		
485. Nippon Tel&tel					Buy (add'l)	09/29/11	J		
486. Nissan Motor		None	J	T	Buy	03/15/11	J		
487. Nissan Motor					Buy (add'l)	08/23/11	J		
488. Nissan Motor					Buy (add'l)	09/29/11	J		
489. Northeast Utilities	A	Dividend	J	T	Buy	03/11/11	J		
490. Peabody Energy	A	Dividend	J	T	Buy	03/11/11	J		
491. Philip Morris	A	Dividend	J	T	Buy	03/11/11	J		
492. Praxair	A	Dividend	J	T	Buy	03/11/11	J		
493. Praxair					Buy (add'l)	08/31/11	J		

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

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

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

494. Precision Castparts	A	Dividend	J	T	Buy	03/11/11	J		
495. Prudential Financial	A	Dividend	J	T	Buy	03/11/11	J		
496. Prudential PLC		None	J	T	Buy	03/15/11	J		
497. Prudential PLC					Buy (add'l)	10/26/11	J		
498. Publis Service Enterprise Group	A	Dividend	J	T	Buy	03/11/11	J		
499. Qualcomm	A	Dividend	J	T	Buy	08/02/11	J		
500. Qualcomm					Buy (add'l)	11/18/11	J		
501. Range Resources	A	Dividend	J	T	Buy	03/11/11	J		
502. Repsol		None	J	T	Buy	05/27/11	J		
503. Repsol					Buy (add'l)	07/21/11	J		
504. Repsol					Buy (add'l)	08/12/11	J		
505. Rio Tinto		None	J	T	Buy	03/11/11	J		
506. Rockwell Automation	A	Dividend	J	T	Buy	12/08/11	J		
507. Royal Dutch Shell		None	K	T	Buy	03/15/11	K		
508. Royal Dutch Shell					Buy (add'l)	08/23/11	J		
509. Royal KPN		None	J	T	Buy	03/14/11	J		
510. Royal KPN					Buy (add'l)	09/29/11	J		

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

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

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

511. Salesforce.com		None	J	T	Buy	12/06/11	J		
512. Sandisk		None	J	T	Buy	12/06/11	J		
513. Sandisk					Buy (add'l)	12/23/11	J		
514. Sanofi		None	J	T	Buy (add'l)	03/15/11	J		See Part VIII
515. Schneider Electric		None	J	T	Buy	03/15/11	J		
516. Schneider Electric					Buy (add'l)	03/29/11	J		
517. Schneider Electric					Buy (add'l)	09/01/11	J		
518. Sempra Energy	A	Dividend	J	T	Buy	03/11/11	J		
519. Sigma Aldrich	A	Dividend	J	T	Buy	06/22/11	J		
520. Sigma Aldrich	A	Dividend			Buy (add'l)	07/08/11	J		
521. Southern Co.	A	Dividend	J	T	Buy	03/11/11	J		
522. Starwood Hotels & Resorts	A	Dividend	J	T	Buy	03/11/11	J		
523. Starwood Hotels & Resorts					Buy (add'l)	08/04/11	J		
524. Starwood Hotels & Resorts					Buy (add'l)	08/23/11	J		
525. Stericycle		None	J	T	Buy	08/22/11	J		
526. Sumitomo		None	J	T	Buy	03/11/11	J		
527. Sumitomo					Buy (add'l)	04/15/11	J		

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

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

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

528. Sumitomo Mitsui Financial		None	J	T	Buy	03/15/11			
529. Sumitomo Mitsui Financial					Buy (add'l)	08/01/11			
530. Sumitomo Mitsui Financial					Buy (add'l)	11/01/11			
531. Sumitomo Mitsui Financial					Buy (add'l)	11/02/11			
532. Telecom Corp. New Zealand		None	J	T	Buy	11/08/11	J		
533. Telecom Corp. New Zealand					Buy (add'l)	11/10/11	J		
534. Telecom Corp. New Zealand					Buy (add'l)	12/07/11	J		
535. Toronto Dominion Bank		None	J	T	Buy	07/27/11	J		
536. Total S.A. France		None	J	T	Buy	03/11/11	J		
537. Tullow Oil		None	J	T	Buy	03/15/11	J		
538. Tyson Foods	A	Dividend	J	T	Buy	06/27/11	J		
539. Tyson Foods					Buy (add'l)	08/10/11	J		
540. Unilever		None	J	T	Buy	03/11/11			
541. Union Pacific		None	J	T	Buy	10/05/11	J		
542. Union Pacific					Buy (add'l)	10/07/11	J		
543. United Health Group	A	Dividend	J	T	Buy	03/11/11	J		
544. United Technologies	A	Dividend	K	T	Buy	03/11/11	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	

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

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

545. US Bancorp	A	Dividend	J	T	Buy	03/11/11	J		
546. Verifone Systems		None	J	T	Buy	09/16/11	J		
547. Verifone Systems					Buy (add'l)	11/02/11	J		
548. Verizon Communications	A	Dividend	K	T	Buy	03/11/11	J		
549. VF Corp.	A	Dividend	K	T	Buy	03/11/11	K		
550. Wal Mart	A	Dividend	J	T	Buy	06/22/11	J		
551. Wal Mart					Buy (add'l)	06/29/11	J		
552. Wal Mart					Buy (add'l)	06/30/11	J		
553. Wal Mart					Buy (add'l)	10/04/11	J		
554. Waters Corp.		None	J	T	Buy	03/11/11	J		
555. Waters Corp.					Buy (add'l)	05/29/11	J		
556. Weyerhaeuser Co.	A	Dividend	J	T	Buy	03/11/11	J		
557. YUM! Brands	A	Dividend	J	T	Buy	05/25/11	J		
558. 3M Co.	A	Dividend	J	T	Buy	03/11/11	J		
559. ishares S & P Mid Cap 400 Index fund	B	Dividend	M	T	Buy	03/10/11	K		
560. ishares S & P Mid Cap 400 Index Fund					Buy (add'l)	03/11/11	M		
561. ishares S & P Small Cap 600 Index Fund	A	Dividend	M	T	Buy	03/10/11	J		

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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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562. ishares S&P Small Cap 600 Index Fund					Buy (add'l)	03/11/11	L		
563. ishares S & P Small Cap 600 Index Fund					Buy (add'l)	03/23/11	J		
564. JP Morgan International Value SMA Fund	B	Dividend	M	U	Buy	03/15/11	M		See Part VIII
565. JP Morgan International Value SMA Fund					Buy (add'l)	04/01/11	J		
566. JP Morgan International Value SMA Fund					Buy (add'l)	05/12/11	J		
567. Oppenheimer Developing Markets Fund	B	Dividend	M	U	Buy	03/10/11	K		See Part VIII
568. Oppenheimer Developing Markets Fund					Buy (add'l)	03/11/11	M		
569. New York State Urban Dev. Corp. bond mat. 3/12	B	Interest	L	T	Buy	03/15/11	L		
570. New York ThruwayRevenue bond mat. 4/1/12	C	Interest	L	T	Buy	03/10/11	L		
571. New York Thruway bond mat. 1/22	B	Interest	L	T	Buy	03/16/11	L		
572. NY State Dormitory Authority bond mat. 7/13	B	Interest	L	T	Buy	03/10/11	L		
573. NY State Dormitory Authority bond mat. 7/19	B	Interest	L	T	Buy	04/14/11	L		
574. NY State Dormitory bond mat. 2/20	B	Interest	L	T	Buy	03/15/11	L		
575. Roslyn NY Union Free School District bond	C	Interest	L	T	Buy	03/11/11	L		
576. Arlington NY Cent School bond	C	Interest	L	T	Buy	03/17/11	L		
577. Onondaga County NY bond	B	Interest	L	T	Buy	03/10/11	K		
578. Buffalo NY bond	B	Interest	L	T	Buy	03/17/11	L		

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579. NYC Muni WTR Fin Authority bond	B	Interest	L	T	Buy	03/10/11	L		
580. Massachusetts bond	C	Interest	L	T	Buy	03/29/11	L		
581. Saratoga CTY NY bond	A	Interest	L	T	Buy	03/14/11	L		
582. Town of Babylon NY bond	B	Interest	L	T	Buy	03/11/11	L		
583. Metropolitan Transit Authority bond	B	Interest	L	T	Buy	03/24/11	L		
584. NY Municipal Water Authority bond	C	Interest	L	T	Buy	03/17/11	L		
585. Dormitory Auth of NY bond		None	L	T	Buy	05/13/11	L		
586. South Huntington NY bond	B	Interest	L	T	Buy	03/10/11	L		
587. Triborough Bridge&Tunnel Authority bond	C	Interest	L	T	Buy	04/28/11	L		
588. 34th Street Partnership bond		None	L	T	Buy	10/26/11	L		
589. Tampa Florida bond		None	L	T	Buy	08/31/11	L		
590.									
591.									
592.									

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

Part VII, p.3, l. 13: Listed last year as "Kome" rather than "Kayne" due to typographical error.

Part VII, p. 4, l. 3: Includes both common and preferred.

Part VII, p. 14, l. 8: Should have been reported last year as sold rather than sold (part).

Part VII, p. 14, l. 10: Should have been reported last year as sold rather than sold (part)

Part VII, p. 14, l. 11: Should have been reported last year as sold rather than sold (part).

Part VII, p. 21, l. 5: This asset was originally purchased on April 1, 2010, value code N. It was not included in las year's report due to inadvertence.

Part VII, p.9, lines 86, 88, 95, 97 and 99: With respect to your inquiry, these assets are not publicly traded. All of them (except the one on line 86) are registered mutual funds. The only available price is net assest value, which is book value. Therefore the original entries are correct, and I have not made the requested changes.

Part VII, p. 10, lines 110 and 111: With respect to your inquiry, these assets are not publicly traded. Both are registered mutual funds. The only available price is net assest value, which is book value. Therefore the original entries are correct, and I have not made the requested changes.

Part VII, p. 37, lines 564 and 567: With respect to your inquiry, these assets are not publicly traded. Both are registered mutual funds. The only available price is net assest value, which is book value. Therefore the original entries are correct, and I have not made the requested changes.

Part VII, p. 18, l. 255: This asset should be reported as sold rather than as sold (part).

Part VII, p. 34, l. 514: This assest should be reported as buy rather than as buy (add'l).

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/ ALLYNE R. ROSS**

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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