

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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

1. Person Reporting (last name, first, middle initial) Rovner, Ilana D.	2. Court or Organization 7th Circuit Court of Appeals	3. Date of Report 05/13/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States Court of Appeals 219 S. Dearborn Street Chicago, IL 60604		
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.	Member Emeritus, Board of Trustee	
2.	Member, Board of Overseers	
3.	Member, Board of Directors	
4.	Trustee	Trust
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.)*

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
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.	Partial Honorary Membership		\$1,800.00
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.	CitiMortgage	Cosigner on mortgage	L
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. Industrial Development Bank of Israel, Ltd.		None	K	T					
2. IRA Acct #5	B	Distribution	L	T	Distributed (part)	11/30/12	J		
3.	B	Int./Div.							
4. -Fidelity Cash Reserves									
5. -Fidelity Government Income					Buy (add'l)	01/31/12	J		
6.					Buy (add'l)	02/29/12	J		
7.					Buy (add'l)	03/30/12	J		
8.					Buy (add'l)	04/30/12	J		
9.					Buy (add'l)	05/31/12	J		
10.					Buy (add'l)	06/29/12	J		
11.					Buy (add'l)	07/31/12	J		
12.					Buy (add'l)	08/31/12	J		
13.					Buy (add'l)	09/28/12	J		
14.					Buy (add'l)	10/05/12	J		
15.					Buy (add'l)	10/31/12	J		
16.					Sold (part)	11/28/12	J	A	
17.					Buy (add'l)	11/30/12	J		

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

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	(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)
18.					Buy (add'l)	12/14/12	J		
19.					Buy (add'l)	12/31/12	J		
20. -Fidelity Government Money Mkt					Sold (part)	11/27/12	J		
21. -Fidelity Ginnie Mae					Buy (add'l)	01/31/12	J		
22.					Buy (add'l)	02/29/12	J		
23.					Buy (add'l)	03/30/12	J		
24.					Buy (add'l)	04/30/12	J		
25.					Buy (add'l)	05/31/12	J		
26.					Buy (add'l)	06/29/12	J		
27.					Buy (add'l)	07/31/12	J		
28.					Buy (add'l)	08/31/12	J		
29.					Buy (add'l)	09/07/12	J		
30.					Buy (add'l)	09/28/12	J		
31.					Buy (add'l)	10/31/12	J		
32.					Sold (part)	11/28/12	J	A	
33.					Buy (add'l)	11/30/12	J		
34.					Buy (add'l)	12/21/12	J		

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

35.					Buy (add'l)	12/31/12	J		
36.	-Fidelity Canada				Sold (part)	11/28/12	J	A	
37.					Buy (add'l)	12/07/12	J		
38.	Trust #1 - Account No. 2	D	Dividend	P1	T				
39.		A	Royalty						
40.	-Sch AMT TF Money Market Fd (SWFXX)				Buy (add'l)	01/30/12	J		
41.					Redeemed (part)	01/30/12	K		
42.					Buy (add'l)	02/28/12	J		
43.					Redeemed (part)	02/28/12	J		
44.					Buy (add'l)	03/31/12	J		
45.					Redeemed (part)	03/31/12	K		
46.					Buy (add'l)	04/30/12	J		
47.					Redeemed (part)	04/30/12	K		
48.					Buy (add'l)	05/31/12	J		
49.					Redeemed (part)	05/31/12	J		
50.					Buy (add'l)	06/30/12	J		
51.					Redeemed (part)	06/30/12	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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52.					Buy (add'l)	07/31/12	J		
53.					Redeemed (part)	07/31/12	J		
54.					Buy (add'l)	08/30/12	J		
55.					Redeemed (part)	08/30/12	J		
56.					Buy (add'l)	09/30/12	J		
57.					Redeemed (part)	09/30/12	J		
58.					Buy (add'l)	10/31/12	J		
59.					Redeemed (part)	10/31/12	J		
60.					Buy (add'l)	11/30/12	J		
61.					Redeemed (part)	11/30/12	J		
62.					Buy (add'l)	12/31/12	K		
63.					Redeemed (part)	12/31/12	K		
64.					Buy (add'l)	01/17/12	J		
65.					Buy (add'l)	02/15/12	J		
66.					Buy (add'l)	03/15/12	J		
67.					Buy (add'l)	04/16/12	J		
68.					Buy (add'l)	05/15/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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69.					Buy (add'l)	06/15/12	J		
70.					Buy (add'l)	07/16/12	J		
71.					Buy (add'l)	08/15/12	J		
72.					Buy (add'l)	09/17/12	J		
73.					Buy (add'l)	10/15/12	J		
74.					Buy (add'l)	11/15/12	J		
75.					Buy (add'l)	12/31/12	J		
76.					Buy (add'l)	12/31/12	J		
77.					Buy (add'l)	12/31/12	J		
78.	-AT&T Inc. CS								
79.	-Archer-Daniels-Midland Co.								
80.	-Bank of America Corp								
81.	-Comcast Corp New CL A								
82.	-Grupo Televisa SA De CVF								
83.	-Intel Corp. CS								
84.	-Marriott Intl Inc. C1 A CS								
85.	-Medtronic, Inc								

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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86.	-Schnitzer Stl Inds C1 A								
87.	-Teck Cominco Ltd C1 B				Buy (add'l)	1/12/12	J		
88.	-Wynn Resorts								
89.	-Fidelity Govt Income Fund				Buy (add'l)	01/31/12	J		
90.					Buy (add'l)	02/29/12	J		
91.					Buy (add'l)	03/30/12	J		
92.					Buy (add'l)	04/30/12	J		
93.					Buy (add'l)	05/31/12	J		
94.					Buy (add'l)	06/29/12	J		
95.					Buy (add'l)	07/31/12	J		
96.					Buy (add'l)	08/31/12	J		
97.					Buy (add'l)	09/28/12	J		
98.					Buy (add'l)	10/5/12	J		
99.					Buy (add'l)	10/5/12	J		
100.					Buy (add'l)	10/31/12	J		
101.					Buy (add'l)	11/30/12	J		
102.					Buy (add'l)	12/14/12	J		

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103.					Buy (add'l)	12/14/12	J		
104.					Buy (add'l)	12/31/12	J		
105. -Buckeye Partners LP									
106. -Hugoton Royalty Trust									
107. -Plum Creek Timber Co.									
108. -Alcoa Inc									
109. -Citigroup Inc					Buy (add'l)	02/27/12	J		
110.					Buy (add'l)	05/29/12	J		
111.					Buy (add'l)	08/27/12	J		
112.					Buy (add'l)	11/23/12	J		
113. -Wells Fargo 8.00% Pfd									
114. -T Rowe Price Tax Free					Buy (add'l)	01/31/12	J		
115.					Buy (add'l)	02/29/12	J		
116.					Buy (add'l)	03/30/12	J		
117.					Buy (add'l)	04/30/12	J		
118.					Buy (add'l)	05/31/12	J		
119.					Buy (add'l)	06/29/12	J		

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120.					Buy (add'l)	07/31/12	J		
121.					Buy (add'l)	08/31/12	J		
122.					Buy (add'l)	09/28/12	J		
123.					Buy (add'l)	10/31/12	J		
124.					Buy (add'l)	11/30/12	J		
125.					Buy (add'l)	12/07/12	J		
126.					Buy (add'l)	12/31/12	J		
127. -Vanguard GNMA Fund					Buy (add'l)	01/31/12	J		
128.					Buy (add'l)	02/29/12	J		
129.					Buy (add'l)	03/30/12	J		
130.					Buy (add'l)	03/30/12	J		
131.					Buy (add'l)	03/30/12	J		
132.					Buy (add'l)	04/30/12	J		
133.					Buy (add'l)	05/31/12	J		
134.					Buy (add'l)	06/29/12	J		
135.					Buy (add'l)	07/31/12	J		
136.					Buy (add'l)	08/31/12	J		

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

Rovner, Ilana D.

Date of Report

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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.					Buy (add'l)	09/28/12	J		
138.					Buy (add'l)	10/31/12	J		
139.					Buy (add'l)	11/30/12	J		
140.					Buy (add'l)	12/28/12	J		
141.					Buy (add'l)	12/28/12	J		
142.					Buy (add'l)	12/31/12	J		
143. -Wells Fargo Advantage Ult S/T Mun In Inv					Buy (add'l)	01/31/12	J		
144.					Buy (add'l)	02/29/12	J		
145.					Buy (add'l)	03/30/12	J		
146.					Buy (add'l)	04/30/12	J		
147.					Buy (add'l)	05/31/12	J		
148.					Buy (add'l)	06/29/12	J		
149.					Buy (add'l)	07/31/12	J		
150.					Buy (add'l)	08/31/12	J		
151.					Buy (add'l)	09/28/12	J		
152.					Buy (add'l)	10/31/12	J		
153.					Buy (add'l)	11/30/12	J		

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

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Name of Person Reporting

Rovner, Ilana D.

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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.					Buy (add'l)	12/31/12	J		
155. -Wells Fargo Advantage S/T Muni Bd Inv					Buy (add'l)	01/31/12	J		
156.					Buy (add'l)	02/29/12	J		
157.					Buy (add'l)	03/30/12	J		
158.					Buy (add'l)	04/30/12	J		
159.					Buy (add'l)	05/31/12	J		
160.					Buy (add'l)	06/29/12	J		
161.					Buy (add'l)	07/31/12	J		
162.					Buy (add'l)	08/31/12	J		
163.					Buy (add'l)	09/28/12	J		
164.					Buy (add'l)	10/31/12	J		
165.					Buy (add'l)	11/30/12	J		
166.					Buy (add'l)	12/7/12	J		
167.					Buy (add'l)	12/7/12	J		
168.					Buy (add'l)	12/31/12	J		
169. -Teradata Corp									
170. -NCR									

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. -Blackrock Long Term Muni									
172. -Clough Global Oppty Fund									
173. -Eaton Vance Enhanced									
174. -Nuveen Core Equity Fund									
175. -Pimco Global Stocks Plus									
176. -Travelers Companies Inc									
177. -Potash Corp Sask Inc					Buy (add'l)	1/12/12	J		
178. -Prologis Inc New									
179. -Marriott Vacations									
180. -Boeing Co					Buy	01/12/12	J		
181. -Ford Motor Company					Buy	01/12/12	J		
182. IRA Acct #8	E	Int./Div.	O	T					
183.	E	Distribution							
184. -Schwab Bank									
185. -Vanguard Energy					Buy (add'l)	03/21/12	J		
186.					Buy (add'l)	03/21/12	J		
187.					Buy (add'l)	12/28/12	J		

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

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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. -Vanguard GNMA Fund					Buy (add'l)	01/31/12	J		
189.					Buy (add'l)	02/29/12	J		
190.					Buy (add'l)	03/30/12	J		
191.					Buy (add'l)	03/30/12	J		
192.					Buy (add'l)	03/30/12	J		
193.					Buy (add'l)	04/30/12	J		
194.					Buy (add'l)	05/31/12	J		
195.					Buy (add'l)	06/29/12	J		
196.					Buy (add'l)	07/31/12	J		
197.					Buy (add'l)	08/31/12	J		
198.					Buy (add'l)	09/28/12	J		
199.					Buy (add'l)	10/31/12	J		
200.					Buy (add'l)	11/30/12	J		
201.					Buy (add'l)	12/28/12	J		
202.					Buy (add'l)	12/28/12	J		
203.					Buy (add'l)	12/31/12	J		
204. -Vanguard Short Term Invesmt Grade Fd					Buy (add'l)	01/31/12	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.					Buy (add'l)	02/29/12	J		
206.					Buy (add'l)	03/30/12	J		
207.					Buy (add'l)	04/30/12	J		
208.					Buy (add'l)	05/31/12	J		
209.					Buy (add'l)	06/29/12	J		
210.					Buy (add'l)	07/31/12	J		
211.					Buy (add'l)	08/31/12	J		
212.					Buy (add'l)	09/28/12	J		
213.					Buy (add'l)	10/31/12	J		
214.					Buy (add'l)	11/30/12	J		
215.					Buy (add'l)	12/28/12	J		
216.					Buy (add'l)	12/28/12	J		
217.					Buy (add'l)	12/31/12	J		
218.					Buy (add'l)	12/17/12	J		
219.					Buy (add'l)	12/17/12	J		
220.					Buy (add'l)	12/17/12	J		
221.					Buy (add'l)	03/02/12	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)
222.					Buy (add'l)	06/04/12	J		
223.					Buy (add'l)	09/05/12	J		
224.					Buy (add'l)	12/04/12	J		
225. -Intl Business Machines (IBM)									
226. -Sequoia									
227. -Cerner					Sold (part)	11/14/12	J	C	
228. -Citigroup Inc					Buy (add'l)	02/27/12	J		
229.					Buy (add'l)	05/29/12	J		
230.					Buy (add'l)	08/27/12	J		
231.					Buy (add'l)	11/23/12	J		
232. -Devon Energy CP					Buy (add'l)	01/01/12	J		
233.					Buy (add'l)	04/02/12	J		
234.					Buy (add'l)	07/02/12	J		
235.					Buy (add'l)	10/1/12	J		
236. -Dominion Res Inc va					Buy (add'l)	03/21/12	J		
237.					Buy (add'l)	06/21/12	J		
238.					Buy (add'l)	09/21/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 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
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.					Buy (add'l)	12/21/12	J		
240. -Gafisa Adr									
241. -Kinder Morgan Mgmt LLC									
242. -Pimco Corp Income Fund					Buy (add'l)	01/04/12	J		
243.					Buy (add'l)	02/02/12	J		
244.					Buy (add'l)	03/02/12	J		
245.					Buy (add'l)	04/03/12	J		
246.					Buy (add'l)	05/02/12	J		
247.					Buy (add'l)	06/04/12	J		
248.					Buy (add'l)	07/03/12	J		
249.					Buy (add'l)	08/02/12	J		
250.					Buy (add'l)	09/05/12	J		
251.					Buy (add'l)	10/3/12	J		
252.					Buy (add'l)	11/2/12	J		
253.					Buy (add'l)	12/04/12	J		
254. -Randgold Res Ltd Adr									
255. -Tellabs Inc					Buy (add'l)	02/27/12	J		

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

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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.					Buy (add'l)	05/29/12	J		
257.					Buy (add'l)	09/04/12	J		
258.					Buy (add'l)	12/03/12	J		
259. -Verizon Communications									
260. -Frontier Communications									
261. -Warner Chilcott Plc									
262. -Harbor Bond Fund Inst C1					Buy (add'l)	03/29/12	J		
263.					Buy (add'l)	06/28/12	J		
264.					Buy (add'l)	09/27/12	J		
265.					Buy (add'l)	12/17/12	J		
266.					Buy (add'l)	12/17/12	J		
267.					Buy (add'l)	12/17/12	J		
268. -Janus Short Term Bd Fd					Buy (add'l)	01/31/12	J		
269.					Buy (add'l)	02/29/12	J		
270.					Buy (add'l)	03/30/12	J		
271.					Buy (add'l)	04/30/12	J		
272.					Buy (add'l)	05/31/12	J		

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

273.					Buy (add'l)	06/29/12	J		
274.					Buy (add'l)	07/31/12	J		
275.					Buy (add'l)	08/31/12	J		
276.					Buy (add'l)	09/28/12	J		
277.					Buy (add'l)	10/31/12	J		
278.					Buy (add'l)	11/30/12	J		
279.					Buy (add'l)	12/31/12	J		
280.					Buy (add'l)	12/31/12	J		
281.					Buy (add'l)	12/31/12	J		
282.	-Ridgeworth US Gov Sec				Buy (add'l)	01/31/12	J		
283.					Buy (add'l)	02/29/12	J		
284.					Buy (add'l)	03/30/12	J		
285.					Buy (add'l)	04/30/12	J		
286.					Buy (add'l)	05/31/12	J		
287.					Buy (add'l)	06/29/12	J		
288.					Buy (add'l)	07/31/12	J		
289.					Buy (add'l)	08/31/12	J		

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

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Name of Person Reporting

Rovner, Ilana D.

Date of Report

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Buy (add'l)	09/28/12	J		
291.					Buy (add'l)	10/31/12	J		
292.					Buy (add'l)	11/30/12	J		
293.					Buy (add'l)	12/31/12	J		
294. -TCW Total Return Bond					Buy (add'l)	01/31/12	J		
295.					Buy (add'l)	02/29/12	J		
296.					Buy (add'l)	03/30/12	J		
297.					Buy (add'l)	04/30/12	J		
298.					Buy (add'l)	05/31/12	J		
299.					Buy (add'l)	06/29/12	J		
300.					Buy (add'l)	07/31/12	J		
301.					Buy (add'l)	08/31/12	J		
302.					Buy (add'l)	09/28/12	J		
303.					Buy (add'l)	11/1/12	J		
304.					Buy (add'l)	11/30/12	J		
305.					Buy (add'l)	12/28/12	J		
306. -Thompson Plumb Bond Fund					Buy (add'l)	03/27/12	J		

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

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Rovner, Ilana D.

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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.					Buy (add'l)	06/26/12	J		
308.					Buy (add'l)	09/25/12	J		
309.					Buy (add'l)	12/20/12	J		
310.					Buy (add'l)	12/20/12	J		
311. -Vanguard Short Term Bond					Buy (add'l)	01/31/12	J		
312.					Buy (add'l)	02/29/12	J		
313.					Buy (add'l)	03/30/12	J		
314.					Buy (add'l)	03/30/12	J		
315.					Buy (add'l)	03/30/12	J		
316.					Buy (add'l)	04/30/12	J		
317.					Buy (add'l)	05/31/12	J		
318.					Buy (add'l)	06/29/12	J		
319.					Buy (add'l)	07/31/12	J		
320.					Buy (add'l)	08/31/12	J		
321.					Buy (add'l)	09/28/12	J		
322.					Buy (add'l)	10/31/12	J		
323.					Buy (add'l)	11/30/12	J		

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

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Name of Person Reporting

Rovner, Ilana D.

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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.					Buy (add'l)	12/21/12	J		
325.					Buy (add'l)	12/21/12	J		
326.					Buy (add'l)	12/31/12	J		
327. -Annaly Capital Mgmt					Buy (add'l)	01/27/12	J		
328.					Buy (add'l)	04/27/12	J		
329.					Buy (add'l)	07/27/12	J		
330.					Buy (add'l)	10/31/12	J		
331. -Government Ppty Income Tr					Buy (add'l)	02/27/12	J		
332.					Buy (add'l)	05/25/12	J		
333.					Buy (add'l)	08/23/12	J		
334.					Buy (add'l)	11/23/12	J		
335. -Ishares Iboxx Investop									
336. -Ishares Msci Brazil Indx									
337. -National Retail Pptys					Buy (add'l)	02/16/12	J		
338.					Buy (add'l)	05/16/12	J		
339.					Buy (add'l)	08/16/12	J		
340.					Sold (part)	11/14/12	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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Name of Person Reporting

Rovner, Ilana D.

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05/13/2013

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

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

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

341.					Buy (add'l)	11/16/12	J		
342. -Plum Creek Timber Co					Buy (add'l)	03/05/12	J		
343.					Buy (add'l)	06/01/12	J		
344.					Buy (add'l)	09/28/12	J		
345.					Buy (add'l)	12/03/12	J		
346. -Spdr Gold Trust									
347. -Aluminum Corp China ADR									
348. -Bank of America Corp					Buy (add'l)	03/26/12	J		
349.					Buy (add'l)	06/25/12	J		
350.					Buy (add'l)	10/01/12	J		
351.					Buy (add'l)	12/31/12	J		
352. -Blackrock Enhcd Cap & Income									
353. -Eaton Van Tax Adv									
354. -Visa Inc Cl A									
355. -Guggenheim Enhanced Eqty Income Fund									
356. -Potash Corp Sask Inc									
357. -Phillips 66					Spinoff (from line 221)	05/01/12	J		

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

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

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

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

358.					Sold (part)	05/01/12	J		
359. Trust #4	D	Dividend	O	T					
360. -Fidelity Tax-Free Money Market									
361. -AT&T Inc Com									
362. -Agnico Eagle Mines Com NPV									
363. -Alcoa Inc									
364. -Anadarko Pete Corp									
365. -Apple Inc									
366. -Brocade Communications Sys									
367. -Enbridge Energy Partners LP									
368. -Govt Pptys Income Tr Com Shs									
369. -Ishares Inc MSCI Canada Index Fd									
370. -ITC Hldgs Corp									
371. -Pimco Mun Income Fd II									
372. -Range Resources Corp									
373. -SPDR Ser Tr Morgan Stanley Tech									
374. -Tata Motors Limited Adr Ea Rep									

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. -Fidelity Canada (FICDX)					Buy (add'l)	12/07/12	J		
376. -American Century Tax Free Bond (TWTIX)					Buy (add'l)	01/01/12	J		
377.					Buy (add'l)	01/31/12	J		
378.					Buy (add'l)	02/29/12	J		
379.					Buy (add'l)	03/30/12	J		
380.					Buy (add'l)	04/30/12	J		
381.					Buy (add'l)	05/31/12	J		
382.					Buy (add'l)	06/29/12	J		
383.					Buy (add'l)	07/31/12	J		
384.					Buy (add'l)	08/31/12	J		
385.					Buy (add'l)	09/28/12	J		
386.					Buy (add'l)	10/31/12	J		
387.					Buy (add'l)	11/30/12	J		
388.					Buy (add'l)	12/07/12	J		
389. -Baird Intermediate Muni Bond Invs Cl (BMBSX)					Buy (add'l)	01/25/12	J		
390.					Buy (add'l)	02/27/12	J		
391.					Buy (add'l)	03/26/12	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392.					Buy (add'l)	04/25/12	J		
393.					Buy (add'l)	05/25/12	J		
394.					Buy (add'l)	06/25/12	J		
395.					Buy (add'l)	07/25/12	J		
396.					Buy (add'l)	08/27/12	J		
397.					Buy (add'l)	09/25/12	J		
398.					Buy (add'l)	10/25/12	J		
399.					Buy (add'l)	11/26/12	J		
400.					Buy (add'l)	12/26/12	J		
401.					Buy (add'l)	01/01/12	J		Name Changed See Note 1
402.					Buy (add'l)	01/31/12	J		
403.					Buy (add'l)	02/29/12	J		
404.					Buy (add'l)	03/30/12	J		
405.					Buy (add'l)	04/30/12	J		
406.					Buy (add'l)	05/31/12	J		
407.					Buy (add'l)	06/29/12	J		
408.					Buy (add'l)	07/31/12	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)
409.					Buy (add'l)	08/31/12	J		
410.					Buy (add'l)	09/28/12	J		
411.					Buy (add'l)	10/31/12	J		
412.					Buy (add'l)	11/30/12	J		
413.					Buy (add'l)	12/06/12	J		
414.					Buy (add'l)	12/06/12	J		
415. -Pimco Total Return Class D (PTTDX)					Buy (add'l)	01/01/12	J		
416.					Buy (add'l)	01/31/12	J		
417.					Buy (add'l)	02/29/12	J		
418.					Buy (add'l)	03/30/12	J		
419.					Buy (add'l)	04/30/12	J		
420.					Buy (add'l)	05/31/12	J		
421.					Buy (add'l)	06/29/12	J		
422.					Buy (add'l)	07/31/12	J		
423.					Buy (add'l)	08/31/12	J		
424.					Buy (add'l)	09/28/12	J		
425.					Buy (add'l)	10/31/12	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
426.					Buy (add'l)	11/30/12	J		
427.					Buy (add'l)	12/12/12	J		
428.					Buy (add'l)	12/12/12	J		
429.					Buy (add'l)	12/27/12	J		
430. -T Rowe Price Tax Free Short Inter (PRFSX)					Buy (add'l)	01/01/12	J		
431.					Buy (add'l)	01/31/12	J		
432.					Buy (add'l)	02/29/12	J		
433.					Buy (add'l)	03/30/12	J		
434.					Buy (add'l)	04/30/12	J		
435.					Buy (add'l)	05/31/12	J		
436.					Buy (add'l)	06/29/12	J		
437.					Buy (add'l)	07/31/12	J		
438.					Buy (add'l)	08/31/12	J		
439.					Buy (add'l)	09/28/12	J		
440.					Buy (add'l)	10/31/12	J		
441.					Buy (add'l)	11/30/12	J		
442.					Buy (add'l)	12/10/12	J		

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

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

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

443. -Thornburg Ltd Term-Municipal Fund CI A (LTMFX)					Buy (add'l)	01/01/12	J		
444.					Buy (add'l)	01/31/12	J		
445.					Buy (add'l)	02/29/12	J		
446.					Buy (add'l)	03/30/12	J		
447.					Buy (add'l)	04/30/12	J		
448.					Buy (add'l)	05/31/12	J		
449.					Buy (add'l)	06/29/12	J		
450.					Buy (add'l)	07/31/12	J		
451.					Buy (add'l)	08/31/12	J		
452.					Buy (add'l)	09/28/12	J		
453.					Buy (add'l)	10/31/12	J		
454.					Buy (add'l)	11/30/12	J		
455. -Thornburg Strategic Municipal Income C (TSSCX)					Buy (add'l)	01/01/12	J		
456.					Buy (add'l)	01/31/12	J		
457.					Buy (add'l)	02/29/12	J		
458.					Buy (add'l)	03/30/12	J		
459.					Buy (add'l)	04/30/12	J		

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

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

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

460.					Buy (add'l)	05/31/12	J		
461.					Buy (add'l)	06/29/12	J		
462.					Buy (add'l)	07/31/12	J		
463.					Buy (add'l)	08/31/12	J		
464.					Buy (add'l)	09/28/12	J		
465.					Buy (add'l)	10/31/12	J		
466.					Buy (add'l)	11/20/12	J		
467.					Buy (add'l)	11/20/12	J		
468.					Buy (add'l)	11/30/12	J		
469.					Buy (add'l)	01/01/12	J		
470.					Buy (add'l)	01/31/12	J		
471.					Buy (add'l)	02/29/12	J		
472.					Buy (add'l)	03/30/12	J		
473.					Buy (add'l)	04/02/12	J		
474.					Buy (add'l)	04/02/12	J		
475.					Buy (add'l)	04/30/12	J		
476.					Buy (add'l)	05/31/12	J		

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

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

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

477.					Buy (add'l)	06/29/12	J		
478.					Buy (add'l)	07/31/12	J		
479.					Buy (add'l)	08/31/12	J		
480.					Buy (add'l)	09/28/12	J		
481.					Buy (add'l)	10/31/12	J		
482.					Buy (add'l)	11/30/12	J		
483.					Buy (add'l)	12/31/12	J		
484.					Buy (add'l)	12/31/12	J		
485.	-Wells Fargo Ultra Shrt Tm Muni Inc-Adv (SMUAX)				Buy (add'l)	01/01/12	J		
486.					Buy (add'l)	01/31/12	J		
487.					Buy (add'l)	02/29/12	J		
488.					Buy (add'l)	03/30/12	J		
489.					Buy (add'l)	04/30/12	J		
490.					Buy (add'l)	05/31/12	J		
491.					Buy (add'l)	06/29/12	J		
492.					Buy (add'l)	07/31/12	J		
493.					Buy (add'l)	08/31/12	J		

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

494.					Buy (add'l)	09/28/12	J		
495.					Buy (add'l)	10/31/12	J		
496.					Buy (add'l)	11/30/12	J		
497. -Wells Fargo Short Term Muni Bd-Invest (STSMX)					Buy (add'l)	01/01/12	J		
498.					Buy (add'l)	01/31/12	J		
499.					Buy (add'l)	02/29/12	J		
500.					Buy (add'l)	03/30/12	J		
501.					Buy (add'l)	04/30/12	J		
502.					Buy (add'l)	05/31/12	J		
503.					Buy (add'l)	06/29/12	J		
504.					Buy (add'l)	07/31/12	J		
505.					Buy (add'l)	08/31/12	J		
506.					Buy (add'l)	09/28/12	J		
507.					Buy (add'l)	10/31/12	J		
508.					Buy (add'l)	11/30/12	J		
509.					Buy (add'l)	12/10/12	J		
510.					Buy (add'l)	12/10/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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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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	(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. -Hatteras Finl Corp Com (HTS)									

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

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

NOTE 1: Marshall Intermed Tax Free Cl Y (MITFX) changed its name in 2012 to BMO Intermediate Tax Free.

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/ Ilana D. Rovner**

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