

PERSONAL FINANCIAL STATEMENT

**FORM PFS
COVER SHEET
PAGE 1**

Filed in accordance with chapter 572 of the Government Code.
For filings required in 2016, covering calendar year ending December 31, 2015.
Use FORM PFS--INSTRUCTION GUIDE when completing this form.

PAGE #
112

ACCOUNT #
00057897

1 NAME

TITLE; FIRST; MI

The Honorable Dan

NICKNAME; LAST; SUFFIX

Patrick

OFFICE USE ONLY

Date Received

ELECTRONICALLY FILED

07/01/2016

2 ADDRESS

ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP

1 E Greenway Plaza Ste 225

Houston, TX 77046

Receipt #

HD / PM

Amount

Date Processed

3 TELEPHONE NUMBER

AREA CODE PHONE NUMBER; EXTENSION

(823) 612-0134

Date Imaged

4 REASON FOR FILING STATEMENT

- CANDIDATE _____ (INDICATE OFFICE)
- ELECTED OFFICER Lt. Governor (INDICATE OFFICE)
- APPOINTED OFFICER _____ (INDICATE AGENCY)
- EXECUTIVE HEAD _____ (INDICATE AGENCY)
- FORMER OR RETIRED JUDGE SITTING BY ASSIGNMENT
- STATE PARTY CHAIR _____ (INDICATE PARTY)
- OTHER _____ (INDICATE POSITION)

5 Family members whose financial activity you are reporting (see instructions).

SPOUSE JanetLea P. Patrick

DEPENDENT CHILD 1. _____

2. _____

3. _____

In Parts 1 through 18, you will disclose your financial activity during the preceding calendar year. In Parts 1 through 14, you are required to disclose not only your own financial activity, but also that of your spouse or a dependent child (see instructions).

SOURCES OF OCCUPATIONAL INCOME

PART 1A

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | | |
|---|--|---------------------------------|--|
| 1 INFORMATION RELATES TO | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| 2 EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD | | |
| | EMPLOYER | | |
| | State of Texas | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | |
| | 1400 Congress | | |
| | Austin, TX 78701 | | |
| | POSITION HELD | | |
| | Lt. Governor | | |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION | | |

| | | | |
|---|--|---------------------------------|--|
| INFORMATION RELATES TO | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD | | |
| | EMPLOYER | | |
| | Houston Broadcasting | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | |
| | 11451 Katy Freeway | | |
| | Suite 215 | | |
| | Houston, TX 77079 | | |
| | POSITION HELD | | |
| | President | | |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION | | |

| | | | |
|---|--|--|--|
| INFORMATION RELATES TO | <input type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD | | |
| | EMPLOYER | | |
| | Houston Broadcasting | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | |
| | 11451 Katy Freeway | | |
| | Suite 215 | | |
| | Houston, TX 77079 | | |
| | POSITION HELD | | |
| | Owner | | |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION | | |

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|---|---|
| 1 INFORMATION RELATES TO | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____ |
| 2 EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | <p style="text-align: center;">NAME AND ADDRESS OF EMPLOYER / POSITION HELD</p> <p style="text-align: center;">EMPLOYER</p> <p>Dallas Broadcasting <small>ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE</small> 11451 Katy Freeway Suite 215 Houston, TX 77079</p> <p style="text-align: center;">POSITION HELD</p> <p style="text-align: center;">President</p> |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION |

| | |
|---|---|
| INFORMATION RELATES TO | <input type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____ |
| EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | <p style="text-align: center;">NAME AND ADDRESS OF EMPLOYER / POSITION HELD</p> <p style="text-align: center;">EMPLOYER</p> <p>Dallas Broadcasting <small>ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE</small> 11451 Katy Freeway Suite 215 Houston, TX 77079</p> <p style="text-align: center;">POSITION HELD</p> <p style="text-align: center;">Owner</p> |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION |

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|---|---|
| INFORMATION RELATES TO | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD ____ |
| EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | <p style="text-align: center;">NAME AND ADDRESS OF EMPLOYER / POSITION HELD</p> <p style="text-align: center;">EMPLOYER</p> <p>Pat Rich LLC <small>ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE</small> 11451 Katy Freeway Suite 215 Houston, TX 77079</p> <p style="text-align: center;">POSITION HELD</p> <p style="text-align: center;">Managing Partner</p> |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION |

SOURCES OF OCCUPATIONAL INCOME

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| 1 INFORMATION RELATES TO | <input type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 2 EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD EMPLOYER Pat Rich LLC ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 11451 Katy Freeway Suite 215 Houston, TX 77079 POSITION HELD Managing Partner |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION |

| | |
|---|---|
| INFORMATION RELATES TO | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD EMPLOYER Dan & Jan Management ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 15035 Hidden Valley Water Dr. Cypress, TX 77429 POSITION HELD Managing Partner |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION |

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|---|---|
| INFORMATION RELATES TO | <input type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD EMPLOYER Dan & Jan Management ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 15035 Hidden Valley Water Dr. Cypress, TX 77429 POSITION HELD Managing Partner |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION |

SOURCES OF OCCUPATIONAL INCOME

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| | | | |
|---|--|---------------------------------|--|
| 1 INFORMATION RELATES TO | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| 2 EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD | | |
| | EMPLOYER | | |
| | Patrick Broadcasting | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | |
| | 11451 Katy Freeway | | |
| | Suite 215 | | |
| | Houston, TX 77079 | | |
| | POSITION HELD | | |
| | President | | |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION | | |

| | | | |
|---|--|--|--|
| INFORMATION RELATES TO | <input type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| EMPLOYMENT <input checked="" type="checkbox"/> EMPLOYED BY ANOTHER | NAME AND ADDRESS OF EMPLOYER / POSITION HELD | | |
| | EMPLOYER | | |
| | Patrick Broadcasting | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | |
| | 11451 Katy Freeway | | |
| | Suite 215 | | |
| | Houston, TX 77079 | | |
| | POSITION HELD | | |
| | Owner | | |
| <input type="checkbox"/> SELF-EMPLOYED | NATURE OF OCCUPATION | | |

STOCK

PART 2

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | | | |
|------------------------------------|--|--|--|---|
| 1 BUSINESS ENTITY | NAME | | | |
| | ISHARES SELECT DIVIDEND ETF | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | POWERSHARES EXCH TR FD | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | VANGUARD INDEX FUNDS | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | ISHARES U S ENERGY ETF | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| | | | | | |
|-----------------------------|--|---|--|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | ISHARES SELECT DIVIDEND ETF | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | ISHARES 1 TO 3 YEAR TREASURY | | | |
| STOCK HELD OR ACQUIRED BY | | <input type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | POWERSHARES EXCHANGE TRADED FD | | | |
| STOCK HELD OR ACQUIRED BY | | <input type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | TATA MOTORS LTD | | | |
| STOCK HELD OR ACQUIRED BY | | <input type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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| | | | | |
|------------------------------------|--|---|--|--|
| 1 BUSINESS ENTITY | NAME | | | |
| | ISHARES SELECT DIVIDEND ETF | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input checked="" type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|----------------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | MERRILL LYNCH 7.28% PFD | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|----------------------------------|--|---|--|--|
| BUSINESS ENTITY | NAME | | | |
| | WEINGARTEN RLTY 6.50%PFD | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|----------------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | ALIBABA GRP HOLDING ADR | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

STOCK

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| | | | | | |
|-----------------------------|--|---|--|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | ALPHABET INC CL A | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | ALPHABET INC CL C | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | AMERICAN INTL GROUP INC | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

| | | | | | |
|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | ANADARKO PETROLEUM CORP | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

STOCK

PART 2

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| | | | | |
|------------------------------------|---|--|--|---|
| 1 BUSINESS ENTITY | NAME | | | |
| | APPLE INC | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | AXA-ADR | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | BAKER HUGHES INC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | BERKSHIRE HATHAWAY INC B | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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|------------------------------------|--|--|--|--|
| 1 BUSINESS ENTITY | NAME | | | |
| | BOEING CO | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|----------------------------------|---|---|--|--|
| BUSINESS ENTITY | NAME | | | |
| | CALATLANTIC GROUP INC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|---|--|--|
| BUSINESS ENTITY | NAME | | | |
| | CARLYLE GROUP LP | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|----------------------------------|--|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | CATERPILLAR INC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| | | | | |
|-----------------------------|--|---|--|--|
| 1 BUSINESS ENTITY | NAME | | | |
| | CELGENE CORP | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input checked="" type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | CHENIERE ENERGY INC NEW | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | CHESAPEAKE ENERGY CORP | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | CHEVRON CORPORATION | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

STOCK

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| | | | | |
|------------------------------------|--|---|--|---|
| 1 BUSINESS ENTITY | NAME | | | |
| | CHICAGO BRIDGE & IRON NY | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input checked="" type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | CONCHO RESOURCES INC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | CONOCOPHILLIPS | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | CORE LABORATORIES INC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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| | | | | |
|------------------------------------|---|--|--|---|
| 1 BUSINESS ENTITY | NAME | | | |
| | CRESTWOOD EQUITY | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | DEERE & CO | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | DISNEY WALT COMPANY | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|---|--|---|
| BUSINESS ENTITY | NAME | | | |
| | DOW CHEMICAL COMPANY | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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| | | | | | |
|-----------------------------|--|---|--|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | DRYSHIPS INC | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

| | | | | | |
|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | ENBRIDGE ENERGY PRTNR LP | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

| | | | | | |
|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | ENERGY SECTOR SPDR ETF | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

| | | | | | |
|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | ENERGY TRANSFER PARTNERS | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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| | | | | |
|------------------------------------|--|--|--|---|
| 1 BUSINESS ENTITY | NAME | | | |
| | ENTERPRISE PRODUCTS | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | EOG RESOURCES INC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | EXXON MOBIL CORP | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | FACEBOOK INC CLASS A | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

STOCK

PART 2

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| | | | | | |
|-----------------------------|--|---|--|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | FEDEX CORPORATION | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | FIRST TR NORTH AMERN ETF | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | FORD MOTOR COMPANY | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | FREEPORT-MCMORAN INC | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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| | | | | | |
|-----------------------------|--|--|---|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | GAMESTOP CORP CLASS A | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input checked="" type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---------------------------|--|--|---|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | GENERAL ELECTRIC COMPANY | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input checked="" type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | GENERAL MOTORS CO | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | GILEAD SCIENCES INC | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

STOCK

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| | | | | |
|------------------------------------|--|--|--|--|
| 1 BUSINESS ENTITY | NAME | | | |
| | GOLDMAN SACHS GROUP INC | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|---|--|--|
| BUSINESS ENTITY | NAME | | | |
| | GOOGLE CL C NON-VOTING | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | HALLIBURTON COMPANY | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|---|--|--|
| BUSINESS ENTITY | NAME | | | |
| | HERBALIFE LTD | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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| | | | | | |
|-----------------------------|--|---|--|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | HOME DEPOT INC | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | INDEPENDENCE CONTRACT | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|---|--|
| BUSINESS ENTITY | | NAME | | | |
| | | INTEL CORP | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | ISHS US OIL&GAS E&P ETF | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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|------------------------------------|---|--|--|---|
| 1 BUSINESS ENTITY | NAME | | | |
| | JOHNSON & JOHNSON | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | JPMORGAN CHASE & CO | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | KINDER MORGAN INC DEL | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | KKR & CO L P DEL | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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| | | | | |
|------------------------------------|--|--|--|---|
| 1 BUSINESS ENTITY | NAME | | | |
| | LINN ENERGY LLC UNITS | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|---|--|---|
| BUSINESS ENTITY | NAME | | | |
| | LULULEMON ATHLETICA INC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | MACY'S INC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | MARATHON PETROLEUM CORP | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

STOCK

PART 2

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| | | | | | |
|-----------------------------|--|---|--|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | MARKET VECTORS OIL ETF | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | MICROSOFT CORP | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | NATIONAL OILWELL VARCO | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | NEWMONT MINING CORP NEW | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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|-----------------------------|--|--|---|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | NOBLE ENERGY INC | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input checked="" type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|---------------------------|--|--|---|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | PENNEY J C CO INC | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input checked="" type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | PFIZER INCORPORATED | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | PHILIP MORRIS INTL INC | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | | <input type="checkbox"/> \$25,000--OR MORE | |

STOCK

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|------------------------------------|---|--|--|--|
| 1 BUSINESS ENTITY | NAME | | | |
| | PIONEER NAT RES CO | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | POTASH CORP OF SASK INC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | POWERSHARES QQQ SER1 ETF | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | POWERSHRS DWA ENERGY ETF | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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|-----------------------------|--|---|--|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | QUALCOMM INC | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|--|
| BUSINESS ENTITY | | NAME | | | |
| | | RS LEGACY CORP | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input checked="" type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | SAN JUAN BASIN RTY RT | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | SCHLUMBERGER LTD | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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|------------------------------------|--|--|--|---|
| 1 BUSINESS ENTITY | NAME | | | |
| | SEVENTY SEVEN ENERGY | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|---|--|---|
| BUSINESS ENTITY | NAME | | | |
| | SMITH & WESSON HOLDING | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | SODASTREAM INTERNATIONAL | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|---|
| BUSINESS ENTITY | NAME | | | |
| | SPDR DOW JONES INDL ETF | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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| 1 BUSINESS ENTITY | | NAME | | | |
| | | SPDR S&P 500 TRUST ETF | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| BUSINESS ENTITY | | NAME | | | |
| | | SPDR S&P OIL & GAS ETF | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | SUBURBN PROPRTNRS LP | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | SYNERGY RESOURCES CORP | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

STOCK

PART 2

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| | | | | | |
|-----------------------------|--|---|--|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | TRANSOCEAN LTD | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | ULTRA PETROLEUM CORP | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|--|
| BUSINESS ENTITY | | NAME | | | |
| | | UNITED RENTALS INC | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input checked="" type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | UNITED STS 12 MONTH ETF | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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| | | | | |
|------------------------------------|--|--|--|--|
| 1 BUSINESS ENTITY | NAME | | | |
| | WAL-MART STORES INC | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | WEATHERFORD INTL PLC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | KKR FINANCIAL7.375%A PFD | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | MERRILL LYNCH 7.28% PFD | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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| | | | | |
|------------------------------------|---|--|---|--|
| 1 BUSINESS ENTITY | NAME | | | |
| | WEINGARTEN RLTY 6.50%PFD | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|---|--|
| BUSINESS ENTITY | NAME | | | |
| | ALPHABET INC CL C | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | APPLE INC | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | BERKSHIRE HATHAWAY INC B | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| | | | | |
|------------------------------------|---|---|--|---|
| 1 BUSINESS ENTITY | NAME | | | |
| | BOEING CO | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input checked="" type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|--|---|--|---|
| BUSINESS ENTITY | NAME | | | |
| | FORD MOTOR COMPANY | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|----------------------------------|---|---|--|---|
| BUSINESS ENTITY | NAME | | | |
| | GOOGLE INC CL A | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|----------------------------------|---|---|--|---|
| BUSINESS ENTITY | NAME | | | |
| | INTL BUSINESS MACH CORP | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

STOCK

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|------------------------------------|---|--|--|--|
| 1 BUSINESS ENTITY | NAME | | | |
| | KKR & CO L P DEL | | | |
| 2 STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|----------------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | POWERSHARES QQQ SER1 ETF | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|----------------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | SPDR DOW JONES INDL ETF | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|----------------------------------|---|--|--|--|
| BUSINESS ENTITY | NAME | | | |
| | SPDR GOLD TRUST ETF | | | |
| STOCK HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

STOCK

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|-----------------------------|--|---|---|--|--|
| 1 BUSINESS ENTITY | | NAME | | | |
| | | SPDR S&P 500 TRUST ETF | | | |
| 2 STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES | | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | | <input checked="" type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---------------------------|--|---|--|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | ALLIANZ SE | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---------------------------|--|--|---|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | RYLAND GROUP INC | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input checked="" type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

| | | | | | |
|---------------------------|--|--|---|--|--|
| BUSINESS ENTITY | | NAME | | | |
| | | SILVER STANDARD INC | | | |
| STOCK HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES | | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> LESS THAN 10K | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

BONDS, NOTES & OTHER COMMERCIAL PAPER

PART 3

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| | | | | |
|------------------------------------|--|--|--|---|
| 1 DESCRIPTION OF INSTRUMENT | CARRINGTON MTG LN TR SER SERIES 2006-NC4 CLASS A2 | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | CARRINGTON MTG LN TRUST SERIES 2006-NC3 CLASS A-2 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | CHASE MORTGAGE FINANCE TRUST MTGPC/SERIES 2007-S5 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | CWALT, INC. ALTERNATIVE LOAN TRUST MTGPC/SERIES | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | HOME EQUITY LN TR SERIES 2007-FRE1 CL 2-AV-1 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | OPTION ONE MORTGAGE LOAN TRUST MTGPC/SERIES 2006-3 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

BONDS, NOTES & OTHER COMMERCIAL PAPER

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| | | | | |
|------------------------------------|--|--|--|---|
| 1 DESCRIPTION OF INSTRUMENT | RALI SERIES TRUST MTGPC/SERIES 2005-QS14I-A-1-FIXED RT | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | RFMSI TRUST MTGPC/SER 2005-S7 A-5-FIXED RT | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | WASHINGTON MUTUAL MORTGAGE PASS THROUGH MTGPC/SER | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | MORGAN STANLEY CAP I INC SERIES 2006-HE2 CLASS A2C | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | RESIDENTIAL ASSET SECURITIZATION TRUST | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | LONG BEACH MORTGAGE LOAN TRUST MTGPC/SERIES 2006-WL2 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| | | | | |
|-----------------------------|--|--|--|---|
| 1 DESCRIPTION OF INSTRUMENT | HSI ASSET SECURITIZATION CORPORATION TRUMTGPC/SERIES | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|--|---|---|
| DESCRIPTION OF INSTRUMENT | ALTERNATIVE LOAN TRUST 2003-12CB MTGPC/SERIES 2003-30 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | CWMBBS INC SERIES 2003-44 CLASS A3 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | CHL MORTGAGE PT TRUST 2004-J2 MTGPC/SERIES 2004-J2 M-FIXED | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | RALI SERIES MTGPC/SER 2004-QS16I-A-1-FIXED RT | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|------------------------------------|--|--|--|---|
| 1 DESCRIPTION OF INSTRUMENT | STRUCTURED ASSET SECS CORP SERIES 2005-10 CLASS 3-A1 | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | CARRINGTON MTG LN TR SER SERIES 2006-NC4 CLASS A2 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | MORGAN STANLEY MORTGAGE LOAN TRUST MTGPC/SERIES 2005-4 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | CWABS ASSET-BACKED CERTIFICATES TRUST | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | RFMSI TRUST MTGPC/SERIES 2005-S7 A-6-FIXED RT | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | GSR MORTGAGE LOAN TRUST MTGPC/SERIES 2005-8F | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| | |
|--|---|
| 1 DESCRIPTION OF INSTRUMENT | FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|
| DESCRIPTION OF INSTRUMENT | STRUCTURED ASSET SECURITIES CORPORATION MTGPC/SERIES |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|
| DESCRIPTION OF INSTRUMENT | POPULAR ABS INC SER 2005-6 CL A-3 |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|
| DESCRIPTION OF INSTRUMENT | LONG BEACH MORTGAGE LOAN TRUST MTGPC/SERIES 2006-WL2 |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|
| DESCRIPTION OF INSTRUMENT | JP MORGAN MORTGAGE TRUST MTGPC/SERIES 2005-S3 |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|
| DESCRIPTION OF INSTRUMENT | INDYMAC ABS INC SERIES 2006-A CLASS A-3 |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|-----------------------------|--|--|--|--|--|
| 1 DESCRIPTION OF INSTRUMENT | CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2006-14 | | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|--|--|
| DESCRIPTION OF INSTRUMENT | OPTION ONE MORTGAGE LOAN TRUST MTGPC/SERIES 2006-3 | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|--|--|
| DESCRIPTION OF INSTRUMENT | FIRST HORIZON MTG PASS- THRU SERIES 2006-4 CLASS I-A-5 | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|--|--|
| DESCRIPTION OF INSTRUMENT | HOME EQUITY LN TR SERIES 2007-FRE1 CL 2-AV-1 | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|--|--|
| DESCRIPTION OF INSTRUMENT | HSI ASSET SECURITIZATION CORP SERIES 2007-NC1 CLASS A-1 | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

| | | | | | |
|---------------------------|--|--|--|--|--|
| DESCRIPTION OF INSTRUMENT | WELLS FARGO MORTGAGE BACKED SECURITIES TMTGPC/SERIES | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|-----------------------------|---|---|--|---|
| 1 DESCRIPTION OF INSTRUMENT | CWMBBS INC SERIES 2003-44 CLASS A3 | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | MASTR ALTERNATIVE LOAN TRUST MTGPC/SERIES 2007-1 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input checked="" type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|--|---|---|
| DESCRIPTION OF INSTRUMENT | CHASEFLEX TRUST MTGPC/SERIES 2005-2 5-A5-FIXED RT | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | CHL MORTGAGE PASS-THROUGH TRUST MTGPC/SERIES 2005-21 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input checked="" type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|---|
| DESCRIPTION OF INSTRUMENT | ALTERNATIVE LOAN TRUST SERIES 2005-28CB CLASS 2-A-5 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | DEUTSCHE TELEK INTL FIN B V | | | |
| HELD OR ACQUIRED BY | <input type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

BONDS, NOTES & OTHER COMMERCIAL PAPER

PART 3

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

List all bonds, notes, and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | | | |
|-----------------------------|--|--|--|---|
| 1 DESCRIPTION OF INSTRUMENT | EAST TEX HSG 0% 3/1/2016 | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | MONT CO TX HLTH 0%23 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | SEMINOLE TX 5.0%02/15/26 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | 8GM NTS 8.10% 06/15/24 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | AMERENENER 6.3% 040120 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | COOPER TIRE 8.0%12/15/19 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

BONDS, NOTES & OTHER COMMERCIAL PAPER

PART 3

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List all bonds, notes, and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

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|------------------------------------|--|--|--|---|
| 1 DESCRIPTION OF INSTRUMENT | FORD HLDGS 9.375%3/01/20 | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | GOODYEAR 8.75% 081520 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | LINN ENERG 6.5% 051519 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|---|
| DESCRIPTION OF INSTRUMENT | PENNEY JC 7.95% 04/01/17 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|---|
| DESCRIPTION OF INSTRUMENT | RYDER SYS 7.2% 09/01/15 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|---|
| DESCRIPTION OF INSTRUMENT | SUBURBAN 7.375% 031520 | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

BONDS, NOTES & OTHER COMMERCIAL PAPER

PART 3

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|-----------------------------|--|--|--|--|--|
| 1 DESCRIPTION OF INSTRUMENT | UNION 7.5% 6/1/25 | | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|--|--|
| DESCRIPTION OF INSTRUMENT | UNITED 6.375% 060118 | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|--|---|--|--|
| DESCRIPTION OF INSTRUMENT | CAPITOL ONE | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | TRAIL OF THE LAKES | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | HOUSTON TEXAS ARPT | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | PASCO CO FLORIDA DISTRICT | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

BONDS, NOTES & OTHER COMMERCIAL PAPER

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List all bonds, notes, and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

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|-----------------------------|---|---|--|--|--|
| 1 DESCRIPTION OF INSTRUMENT | MID WEST CITY OK | | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| 3 IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | PANHANDLE TEXAS INDEPENDENT SCHOOL DISTRICT | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|--|--|---|--|
| DESCRIPTION OF INSTRUMENT | PIMCO HIGH YIELD | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input checked="" type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|--|--|--|--|--|
| DESCRIPTION OF INSTRUMENT | GSR MORTGAGE | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | CSFB MORTGAGE | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | GOLDMAN SACHS | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

BONDS, NOTES & OTHER COMMERCIAL PAPER

PART 3

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List all bonds, notes, and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

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|-----------------------------|---|---|--|--|--|
| 1 DESCRIPTION OF INSTRUMENT | SALLIE MAE UTAH | | | | |
| 2 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| 3 IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | GE MONEY SALT LAKE | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | GENERAL MOTORS NOTES CALLABLE | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | VULCAN MATERIALS SENIOR NOTES | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | INVESCO VAN KAMPEN | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------------|---|---|--|--|--|
| DESCRIPTION OF INSTRUMENT | VULCAN MATERIALS 7% 6/15/18 | | | | |
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

PART 4

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | | | | |
|---|---|---|--|---|--|
| 1 | MUTUAL FUND | NAME | | | |
| | | AB HIGH INC AD | | | |
| 2 | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 | IF SOLD | <input type="checkbox"/> NET GAIN | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

| | | | | | |
|--|---|---|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | AMER FDS GRWTH FD AMR F2 | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|--|---|---|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | AMG-YACKTMAN FUND | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|--|---|---|--|---|--|
| | MUTUAL FUND | NAME | | | |
| | | ARTISAN FDS MID CAP VALU | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

PART 4

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|---|---|--|--|--|
| 1 MUTUAL FUND | NAME | | | |
| | BLACKROCK EQUITY DIV I | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|--|---|--|--|
| MUTUAL FUND | NAME | | | |
| | BLACKROCK GLBL ALLOC I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|---|--|--|--|
| MUTUAL FUND | NAME | | | |
| | CALAMOS GRWTH&INCM CL I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|---|--|--|--|
| MUTUAL FUND | NAME | | | |
| | FIRST EAGLE SOGEN-I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

MUTUAL FUNDS

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| | | | | | |
|---|---|---|--|--|--|
| 1 | MUTUAL FUND | NAME | | | |
| | | FPA CRESCENT PORT INSTL | | | |
| 2 | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|--|---|---|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | FRANKLIN INCOME ADV | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

| | | | | | |
|--|---|---|--|---|--|
| | MUTUAL FUND | NAME | | | |
| | | IVY ASSET STRATEGY I | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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|--|---|---|--|---|--|
| | MUTUAL FUND | NAME | | | |
| | | IVY HIGH INCOME FD I | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

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| | | | | | |
|---|---|--|---|--|--|
| 1 | MUTUAL FUND | NAME | | | |
| | | JANUS PERKINS M/C VAL I | | | |
| 2 | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|---|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | JPMORGAN TR I INCM SELCT | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|---|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | PIMCO FUND RAE FND INSTL | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|---|--|--|
| | MUTUAL FUND | NAME | | | |
| | | PIMCO TOTAL RETURN I | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

MUTUAL FUNDS

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| | | | | |
|--|--|--|--|--|
| 1 MUTUAL FUND | NAME | | | |
| | PRUDNTL GLBL TOTL RTRN Z | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME | | | |
| | PRUDNTL S/T CORP BOND Z | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME | | | |
| | ROYCE PREMIER FUND CL W | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME | | | |
| | RS INVT TR INVS FD CL Y | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|--|--|--|--|
| 1 MUTUAL FUND | NAME | | | |
| | T ROWE PRICE CAP APPR FD | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|--|---|--|--|
| MUTUAL FUND | NAME | | | |
| | TEMPLETON INC GLB BD ADV | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|--|--|--|--|
| MUTUAL FUND | NAME | | | |
| | TETON WESTWD MGHTY MIT I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|--|---|--|--|
| MUTUAL FUND | NAME | | | |
| | THOMPSON IM FDS BD FD | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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| | | | | |
|---|---|--|--|--|
| 1 MUTUAL FUND | NAME | | | |
| | THORNBURG INC BLDR TR I | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

| | | | | |
|---|---|--|--|--|
| MUTUAL FUND | NAME | | | |
| | TOCQUEVILLE TR GOLD FD | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|--|---|--|--|
| MUTUAL FUND | NAME | | | |
| | VIRTUS EMRG MKT OPPTY I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|---|--|--|--|
| MUTUAL FUND | NAME | | | |
| | WELLS FARGO CL ADMIN | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

MUTUAL FUNDS

PART 4

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| | | | | | |
|---|---|--|--|--|--|
| 1 | MUTUAL FUND | NAME | | | |
| | | WELLS FARGO GROWTH ADM | | | |
| 2 | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | WELLS FARGO L/C CO ADMIN | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | WELLS FARGO S/T MUN ADMN | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | WELLS FARGO SHRT CL INST | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

MUTUAL FUNDS

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| | | | | | |
|---|---|--|--|--|--|
| 1 | MUTUAL FUND | NAME | | | |
| | | WESTERN ASSET CORE BD-I | | | |
| 2 | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | AB HIGH INC AD | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | AMER FDS GRWTH FD AMR F2 | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | AMG-YACKTMAN FUND | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

MUTUAL FUNDS

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| | | | | |
|--|---|--|--|---|
| 1 MUTUAL FUND | NAME | | | |
| | ARTISAN INTL VALUE FD | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|--|--|---|
| MUTUAL FUND | NAME | | | |
| | BLACKROCK EQUITY DIV I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|--|--|---|
| MUTUAL FUND | NAME | | | |
| | BURNHAM FINL LONG/SHRT A | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|--|--|---|
| MUTUAL FUND | NAME | | | |
| | COHEN & STEERS RLTY SHS | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

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| | | | | | |
|---|---|--|--|--|--|
| 1 | MUTUAL FUND | NAME | | | |
| | | COLUMBIA ACORN FD CL-Z | | | |
| 2 | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | CONV FD CONV INSTL CL-I | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | FIRST EAGLE SOGEN-I | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | FPA CRESCENT PORT INSTL | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|
| 1 MUTUAL FUND | NAME | | | |
| | FRANKLIN INCOME ADV | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input checked="" type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|---|---|--|--|--|
| MUTUAL FUND | NAME | | | |
| | GLDMN MLP ENERGY INSTL | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|---|---|--|--|--|
| MUTUAL FUND | NAME | | | |
| | HARTFORD MIDCAP I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

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|---|---|--|--|--|
| MUTUAL FUND | NAME | | | |
| | IVA WORLDWIDE FUND CL I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | |

MUTUAL FUNDS

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|--|---|--|--|--|
| 1 MUTUAL FUND | NAME | | | |
| | IVY ASSET STRATEGY I | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|--|---|--|--|
| MUTUAL FUND | NAME | | | |
| | IVY HIGH INCOME FD I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|---|--|--|--|
| MUTUAL FUND | NAME | | | |
| | IVY SCIENCE AND TECH I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|--|---|--|--|
| MUTUAL FUND | NAME | | | |
| | JANUS GLOBAL UNCNSTRND I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | <input type="checkbox"/> \$25,000--OR MORE | | |

MUTUAL FUNDS

PART 4

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| | | | | |
|--|---|--|--|---|
| 1 MUTUAL FUND | NAME | | | |
| | JANUS PERKINS M/C VAL I | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|--|--|---|
| MUTUAL FUND | NAME | | | |
| | JANUS SM CAP VAL FD CL I | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|--|--|---|
| MUTUAL FUND | NAME | | | |
| | JPMORGAN HIGH YLD BD-SEL | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|--|---|--|---|
| MUTUAL FUND | NAME | | | |
| | LOOMIS SYLS STRAT INC Y | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

PART 4

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| | | | | | |
|---|---|--|--|--|--|
| 1 | MUTUAL FUND | NAME | | | |
| | | OAKMARK EQUITY & INCME I | | | |
| 2 | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | PIMCO FUND RAE FND INSTL | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|---|
| | MUTUAL FUND | NAME | | | |
| | | PIMCO LOW DURATION I | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input checked="" type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input checked="" type="checkbox"/> \$5,000 - \$9,999 |
| | | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|---|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | PIMCO TOTAL RETURN I | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input checked="" type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 |
| | | <input checked="" type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE | | |

MUTUAL FUNDS

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| | | | | |
|--|---|--|---|--|
| 1 MUTUAL FUND | NAME | | | |
| | PRUDNTL S/T CORP BOND Z | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input checked="" type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|--|--|--|--|
| MUTUAL FUND | NAME | | | |
| | ROYCE PREMIER FUND CL W | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|--|--|--|--|
| MUTUAL FUND | NAME | | | |
| | ROYCE SPL EQTY FD INVT | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|--|--|--|--|
| MUTUAL FUND | NAME | | | |
| | T ROWE PRICE CAP APPR FD | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

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|---|---|--|--|---|--|
| 1 | MUTUAL FUND | NAME | | | |
| | | TEMPLETON INC GLB BD ADV | | | |
| 2 | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input checked="" type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|---|
| | MUTUAL FUND | NAME | | | |
| | | THOMPSON IM FDS BD FD | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input checked="" type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input checked="" type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|---|---|--|--|
| | MUTUAL FUND | NAME | | | |
| | | TOCQUEVILLE TR GOLD FD | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|---|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | VIRTUS EMRG MKT OPPTY I | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|---|---|--|---|--|--|
| 1 | MUTUAL FUND | NAME | | | |
| | | W/F SHRT TRM H/Y BD ADMI | | | |
| 2 | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|---|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | WELLS FARGO CL ADMIN | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input checked="" type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|---|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | WELLS FARGO GROWTH ADM | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|---|--|--|
| | MUTUAL FUND | NAME | | | |
| | | WESTERN ASSET CORE BD-I | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

MUTUAL FUNDS

PART 4

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| | | | | | |
|---|---|--|---|--|--|
| 1 | MUTUAL FUND | NAME | | | |
| | | DWS RREEF REAL ESTATE FD | | | |
| 2 | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|---|--|--|
| | MUTUAL FUND | NAME | | | |
| | | DWS RREEF RL EST ESC II | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | E VANCE T/M GLBL DIV EQY | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

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|--|---|--|--|--|--|
| | MUTUAL FUND | NAME | | | |
| | | TEMPLETON DRAGON FD INC | | | |
| | SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| | NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| | IF SOLD | <input type="checkbox"/> NET GAIN | | | |
| | | <input checked="" type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 |
| | | | <input type="checkbox"/> \$25,000--OR MORE | | |

MUTUAL FUNDS

PART 4

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| | | | | |
|--|--|--|--|---|
| 1 MUTUAL FUND | NAME | | | |
| | INVESCO HIGH YIELD MUNICIPAL | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|--|--|--|---|
| MUTUAL FUND | NAME | | | |
| | VANGUARD FIXED INCOME SECS | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input checked="" type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|---|
| MUTUAL FUND | NAME | | | |
| | ISHARES SELECT DIVIDEND ETF | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|---|
| MUTUAL FUND | NAME | | | |
| | POWERSHARES EXCHANGE TRADED FUND LOW VOLATILITY | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

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| | | | | |
|--|---|---|--|--|
| 1 MUTUAL FUND | NAME EAGLE MID CAP STOCK I FUND CLASS I | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME KEELEY SMALL CAP VALUE FUND CLASS A | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME AMERICAN FUND THE GROWTH FUND OF AMERICA F-1 | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME VANGUARD TOTAL STOCK MARKET INDEX FUND INVESTOR SHARES | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

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|--|---|---|--|--|
| 1 MUTUAL FUND | NAME JP MORGAN MID CAP VALUE FUND SELECT CLASS | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME PERKINS MID-CAP VALUE FUND | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|--|--|--|--|
| MUTUAL FUND | NAME FRANKLIN CUSTODIAN FDS | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input checked="" type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME PIMCO REAL RETURN | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

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| | | | | |
|---|---|---|--|---|
| 1 MUTUAL FUND | NAME | | | |
| | PIMCO INVESTMENT GRADE CORP | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|---|
| MUTUAL FUND | NAME | | | |
| | ABERDEEN | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|---|
| MUTUAL FUND | NAME | | | |
| | PIMCO SHORT TERM FUND INSTITUTIONAL CLASS | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input checked="" type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input checked="" type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| MUTUAL FUND | NAME | | | |
| | PIMCO FUNDAMENTAL INDEXPLUS AR FUND INSTITUTIONAL CLASS | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

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|--|--|--|--|--|
| 1 MUTUAL FUND | NAME PERKINS SMALL CAP VALUE FUND CLASS I | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input checked="" type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME HEARTLAND VALUE PLUS FUND CLASS INSTITUTUINAL | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input checked="" type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME ALLIANCEBERNSTEIN CORE OPPORTUNITIES FUND ADVISOR CLASS | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input type="checkbox"/> 500 TO 999 | <input checked="" type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---|---|---|--|--|
| MUTUAL FUND | NAME WASATCH WORLD INNOVATORS | | | |
| SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| IF SOLD | <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

MUTUAL FUNDS

PART 4

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | | | |
|---|--|---|--|---|
| 1 MUTUAL FUND | NAME ING VALUE CHOICE FUND CLASS I | | | |
| 2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 NUMBER OF SHARES OF MUTUAL FUND | <input type="checkbox"/> LESS THAN 100 | <input type="checkbox"/> 100 TO 499 | <input checked="" type="checkbox"/> 500 TO 999 | <input type="checkbox"/> 1,000 TO 4,999 |
| | <input type="checkbox"/> 5,000 to 9,999 | <input type="checkbox"/> 10,000 OR MORE | | |
| 4 IF SOLD | <input checked="" type="checkbox"/> NET GAIN | | | |
| | <input type="checkbox"/> NET LOSS | <input checked="" type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | |
|---------------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS Dan & Jan Management ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 15035 Hidden Valley Waters Dr Cypress, TX 77429 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input checked="" type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | |
|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS Goeb Investment ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 15035 Hidden Valley Waters Dr Cypress, TX 77429 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |

| | |
|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS Pat Rich LLC ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 15035 Hidden Valley Waters Dr Cypress, TX 77429 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input checked="" type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | |
|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS John Hancock Profit Sharing ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 11451 Katy Freeway Suite 215 Houston, TX 77079 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input checked="" type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | |
|---------------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS Dain Rauscher ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 2000 Sam Houston Parkway Houston, TX 77079 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input checked="" type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS Wells Fargo Investments ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 909 Fannin Suite 1100 Houston, TX 77010 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input checked="" type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS Dan Patrick IRA c/o Dain Rauscher ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 2000 Sam Houston Parkway Houston, TX 77079 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input checked="" type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS Jan Patrick IRA c/o Dain Rauscher ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 2000 Sam Houston Parkway Houston, TX 77079 |
| RECEIVED BY | <input type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

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| | |
|---------------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS Comerica Bank ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 840 Gessner Suite 100 Houston, TX 77024 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS Memorial City Bank ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 800 Gessner Houston, TX 77024 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS AMERICAN FUNDS GROWT FUND OF AMERICA CL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 2560 Norfolk, VA 23501 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS AMG FUNDS YACKTMAN FUND ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 9769 Providence, RI 02940 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | |
|---------------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS ARTISAN FUNDS INC MI CAP VALUE FD INV ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 8412 Boston, MA 02266 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS BLACKROCK EQUITY DIVIDEND FD CL I ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1221 McKinney Street Suite 3750 Houston, TX 77010 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS BLACKROCK GLOBAL ALL GLOBAL ALLOCATION INSTIT ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1221 McKinney Street Suite 3310 Houston, TX 77010 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS FPA FDS TR FPA CRESCENT PORTFOLIO INSTL CL SHS ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 11601 Wilshire Blvd Suite 1200 Los Angeles, CA 90025 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

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| | |
|---------------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS IVY FDS INC ASSET STRATEGY FD CL I ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 29217 Shawnee Mission, KS 66201 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS KKR & CO L P DEL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 600 Travis St Suite 7200 Houston, TX 77002 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS MERRILL LYNCH CAP TR 7.28% V PERP TOPRS ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 250 Vesey St New York, NY 10281 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS PRUDENTIAL SHORT-TER CORPORATE BD FD INC ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 9658 Providence, RI 02940 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | |
|---------------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS ROYCE FD PREMIER FD CL W ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 745 Fifth Avenue New York, NY 10151 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS SPDR DOW JONES INDL AVERAGE ETF ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1 Lincoln Street Boston, MA 02111 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS T ROWE PRICE CAP APPRECIATION FD ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 17468 Baltimore, MD 21298 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS WELLS FARGO ADVANTAG GROWTH FUND CL-ADMINISTRATOR ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 8266 Boston, MA 02266 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

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|---------------------------|--|--|--|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | WELLS FARGO FDS TR SHORT TERM HIGH YIELD BD FD ADMIN | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | PO Box 8266 | | | |
| | Boston, MA 02266 | | | |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | AB HIGH INCOME FD INC ADVISOR | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | 11345 Avenue of the Americas | | | |
| | New York, NY 10105 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | AMERENENERGY GENERAT SR UNSECURED CPN 6.300% | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | PO Box 88034 | | | |
| | Chicago, IL 60680 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | AMERICAN FUNDS GROWT FUND OF AMERICA | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | PO Box 2280 | | | |
| | Norfolk, VA 23501 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

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| | |
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| 1 SOURCE OF INCOME | NAME AND ADDRESS AMG FUNDS YACKTMAN FUND ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 9769 Providence, RI 02940 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS APPLE INC ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1 Infinite Loop Cupertino, CA 95014 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | |
|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS ARTISAN FDS INC INTERNATIONAL VALUE FD INV SHS ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 8412 Boston, MA 02266 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS BLACKROCK EQUITY DIVIDEND FD CL I ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1221 McKinney Street Suite 3310 Houston, TX 77010 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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|---------------------------|---|--|--|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | BOEING CO ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 3707 Seattle, WA 98124 | | | |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | CALAMOS INVT TR NEW CONVERTIBLE FUND INSTL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 2020 Calamos Court Naperville, IL 60563 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | CARLYLE GROUP LP UNIT LTD PARTNERSHIP INT ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 799060 Dallas, TX 75379 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | CATERPILLAR INC ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 100 NE Adams St Peoria, IL 61629 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

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| 1 SOURCE OF INCOME | NAME AND ADDRESS |
| | CHEVRON CORPORATION ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 6001 Bollinger Canyon Rd San Ramon, CA 94583 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS |
| | COHEN & STEERS RLTY SHARES INC ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 280 Park Ave Fl 10W New York, NY 10017 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS |
| | COLUMBIA ACORN TR FD CLASS Z ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 8081 Boston, MA 02210 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input checked="" type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS |
| | CONOCOPHILLIPS ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 600 N Dairy Ashford Rd Houston, TX 77079 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

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| 1 SOURCE OF INCOME | NAME AND ADDRESS ENBRIDGE ENERGY PARTNERS LP ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1100 Louisiana St #3300 Houston, TX 77002 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS ENERGY SELECT SECTOR SPDR ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1 Lincoln Street Boston, NY 02211 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS ENERGY TRANSFER PART ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 3300 Oak Lawn Avenue Suite 601 Dallas, TX 75219 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS EXXON MOBIL CORP ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 5959 Las Colinas Blvd Irving, TX 75039 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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| 1 SOURCE OF INCOME | NAME AND ADDRESS FORD HOLDING INC DEBENTURE NON CALL LIFE CPN 9.375% ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1 American Rd Dearborn, MI 48126 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS FORD MOTOR COMPANY ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1 American Rd Dearborn, MI 48126 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS FPA FDS TR FPA CRESCENT PORTFOLIO INSTL CL SHS ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 11601 Wilshire Blvd Suite 1200 Los Angeles, CA 90025 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS FRANKLIN CUSTODIAN F INCOME SER ADV CL AD ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE One Franklin Parkway San Mateo, CA 94403 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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| 1 SOURCE OF INCOME | NAME AND ADDRESS GOLDMAN SACHS TR MLP ENERGY INFRASTRUCTURE FD INSTL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 200 West St New York, NY 10282 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS GOODYEAR TIRE & RUBB COMPANY GTD NOTE CPN 8.750% ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1144 E Market St Akron, OH 44316 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS HARRIS ASSOC INVT TR OAKMARK EQUITY&INCOME FD CL I ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 219558 Chicago, IL 60602 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS HARTFORD MUTL FDS IN MIDCAP FUND CLASS I ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 55022 Boston, MA 02205 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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| 1 SOURCE OF INCOME | NAME AND ADDRESS IVA WORLDWIDE FUND CLASS I ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 8077 Boston, MA 02266 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS IVY FDS INC ASSET STRATEGY FD CL I ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 29217 Shawnee Mission, KS 66201 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS IVY FDS INC HIGH INCOME FD CLASS I ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 29217 Shawnee Mission, KS 66201 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS J C PENNEY & CO DEBENTURES NON CALL LIFE CPN 7.950% ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 6501 Legacy Dr Plano, TX 75024 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

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| 1 SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | JANUS INVT FD PERKINS MID CAP VALUE FD CL I | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | 151 Detroit St | | | |
| | Denver, CO 80206 | | | |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | JANUS INVT FD SMALL CAP VALUE FD CL I | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | 151 Detroit St | | | |
| | Denver, CO 80206 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | JOHNSON & JOHNSON | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | 1 Johnson and Johnson Plaza | | | |
| | New Brunswick, NJ 08933 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | JPMORGAN CHASE & CO | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | 270 Park Ave Fl 38 | | | |
| | New York, NY 10017 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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| 1 SOURCE OF INCOME | NAME AND ADDRESS JPMORGAN TR II HIGH YIELD FD SELECT CL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 270 Park Ave Fl 38 New York, NY 10017 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS KKR & CO L P DEL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 9 W 57th St Ste 4200 New York, NY 10019 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS MERRILL LYNCH CAP TR 7.28% V PERP TOPRS CALLABLE 12/05/14 CPN 7.280% ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 601 Lexington Ave New York, NY 10022 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS MICROSOFT CORP ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1 Microsoft Way Redmond, WA 98052 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

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| 1 SOURCE OF INCOME | NAME AND ADDRESS PHILIP MORRIS INTERNATIONAL INC ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 120 Park Ave New York, NY 10017 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS PIMCO FDS PAC INVT MGMT SER LOW DURATION FD INSTL CL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 840 Newport Center Drive Suite 100 Newport Beach, CA 92660 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS PIMCO FDS PAC INVT MGMT SER TOTAL RETURN FD INSTL CL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 840 Newport Center Drive Suite 100 Newport Beach, CA 92660 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input checked="" type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS PIMCO FDS RAE FUNDAMENTAL PLUS FUND INSTL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 840 Newport Center Drive Suite 100 Newport Beach, CA 92660 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

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| 1 SOURCE OF INCOME | NAME AND ADDRESS PRUDENTIAL SHORT-TER CORPORATE BD FD INC CLASS Z ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 9658 Providence, RI 02940 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS ROYCE FD PREMIER FD CL W ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 745 Fifth Avenue New York, NY 10151 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS ROYCE FD SPL EQUITY FUND INVESTMENT CL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 745 Fifth Avenue New York, NY 10151 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS SEMINOLE TX INDPT SC DIST SER A G/O UNLTD B/E PSF-GTD CPN 5.000% ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 207 SW 6th St Seminole, TX 79360 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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| 1 SOURCE OF INCOME | NAME AND ADDRESS SPDR DOW JONES INDL AVERAGE ETF TR ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 11 Wall St New York, NY 10005 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS SUBURBAN PROPANE PARTNERS L.P. ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 240 Route 10 West Whippany, NJ 07981 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS T ROWE PRICE CAP APPRECIATION FD SBI ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 17300 Baltimore, MD 17300 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS TEMPLETON DRAGON FUN INC ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 997152 Sacramento, CA 95899 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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| 1 SOURCE OF INCOME | NAME AND ADDRESS TEMPLETON INCOME TR GLOBAL BD FD ADVISOR CL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 997152 Sacramento, CA 95899 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS THOMPSON IM FDS INC BOND FUND ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 701 Milwaukee, WI 53201 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS UNITED CONTINENTAL H SR UNSECURED CPN 6.375% ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 233 S Whacker Dr Chicago, IL 60606 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS WELLS FARGO ADVANTAG GROWTH FUND CL-ADMINISTRATOR ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 525 Market St San Francisco, CA 94163 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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| 1 SOURCE OF INCOME | NAME AND ADDRESS WELLS FARGO FDS TR SHORT TERM HIGH YIELD BD FD A ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 525 Market St San Francisco, CA 94163 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS WESTERN ASSET FDS IN CORE PLUS BD FUND INSTL CL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 100 International Dr Balitmore, MD 21202 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS ISHARES SELECT DIVIDEND ETF ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 45 Fremont St San Francisco, CA 94105 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS POWERSHARES EXCH TR FD ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 11 Greenway Plaza Ste 1000 Houston, TX 77046 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

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|---------------------------|--|--|--|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | VANGUARD INDEX FUNDS | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | 455 Devon Park Drive | | | |
| | Wayne, PA 19087 | | | |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | CHASE MORTGAGE FINANCE TRUST MTGPC/SERIES 2007-S5 | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | 270 Park Ave Fl 38 | | | |
| | New York, NY 10017 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | RALI SERIES TRUST MTGPC/SERIES 2005-QS14I-A-1-FIXED RT | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | 8400 Normadale Lake Blvd | | | |
| | Minneapolis, MN 55437 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS | | | |
| | RESIDENTIAL ASSET SECURITIZATION TRUST | | | |
| | ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE | | | |
| | 155 North Lake Ave | | | |
| | Pasadena, CA 91101 | | | |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER | <input type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ | |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 | <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

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| 1 SOURCE OF INCOME | NAME AND ADDRESS ALTERNATIVE LOAN TRUST 2003-12CB MTGPC/SERIES 2003-30 ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE One International Place Boston, MA 02110 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS ISHARES U S ENERGY ETF ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 400 Howard St San Francisco, CA 94105 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS ISHARES SELECT DIVIDEND ETF ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 400 Howard St San Francisco, CA 94105 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 100 Barclay Street W New York, NY 10286 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

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| 1 SOURCE OF INCOME | NAME AND ADDRESS ALTERNATIVE LOAN TRUST SERIES 2005-28CB CLASS 2-A-5 ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 11855 Sorrento Valley Dr San Diego, CA 92121 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS CHL MORTGAGE PT TRUST 2004-J2 MTGPC/SERIES 2004-J2 M-FIXED ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 175 Pinelawn Rd #400 Melville, NY 11747 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input checked="" type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS RALI SERIES MTGPC/SER 2004-QS16I-A-1-FIXED RT ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1100 Virginia Dr Fort Washington, PA 19034 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS STRUCTURED ASSET SECS CORP SERIES 2005-10 CLASS 3-A1 ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 745 Avenue of the Americas New York, NY 10019 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

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| 1 SOURCE OF INCOME | NAME AND ADDRESS CARRINGTON MTG LN TR SER SERIES 2006-NC4 CLASS A2 ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1600 South Douglass Road Suite 110 Anaheim, CA 92806 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS MORGAN STANLEY MORTGAGE LOAN TRUST MTGPC/SERIES 2005-4 ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1585 Broadway New York, NY 10036 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS CWABS ASSET-BACKED CERTIFICATES TRUST ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 11855 Sorrento Valley Dr San Diego, CA 92121 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input checked="" type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS RFMSI TRUST MTGPC/SERIES 2005-S7 A-6-FIXED RT ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 8400 Normandale Lake Blvd Suite 250 Minneapolis, MN 55437 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

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| 1 SOURCE OF INCOME | NAME AND ADDRESS FIRST HORIZON ALTERNATIVE MORTGAGE SECURMTGPC/SERIES ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 100 Barclay Street W New York, NY 10286 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS STRUCTURED ASSET SECURITIES CORPORATION MTGPC/SERIES ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 745 Avenue of the Americas New York, NY 10019 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS POPULAR ABS INC SER 2005-6 CL A-3 ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 3411 Silverside Road Wilmington, DE 19803 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | |
|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS CHL MORTGAGE PASS THROUGH TRUST MTGPC/SERIES 2006-14 ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 175 Pinelawn Rd #400 Melville, NY 11747 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | |
|---------------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS FIRST HORIZON MTG PASS- THRU SERIES 2006-4 CLASS I-A-5 ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 100 Barclay Street W New York, NY 10286 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS WELLS FARGO MORTGAGE BACKED SECURITIES TMTGPC/SERIES ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 525 Market St San Francisco, CA 94163 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | |
|------------------|---|
| SOURCE OF INCOME | NAME AND ADDRESS MASTR ALTERNATIVE LOAN TRUST MTGPC/SERIES 2007-1 ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 1285 Avenue of the Americas New York, NY 10019 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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| SOURCE OF INCOME | NAME AND ADDRESS CHASEFLEX TRUST MTGPC/SERIES 2005-2 5-A5-FIXED RT ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 194 Wood Avenue South Floor 3 Iselin, NJ 08830 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS

PART 5

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

List each source of income you, your spouse, or a dependent child received in excess of \$500 that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | |
|---------------------------|--|
| 1 SOURCE OF INCOME | NAME AND ADDRESS CHL MORTGAGE PASS-THROUGH TRUST MTGPC/SERIES 2005-21 ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE 175 Pinelawn Rd #400 Melville, NY 11747 |
| 2 RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 3 AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input checked="" type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | |
|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS INVESCO HIGH YIELD MUNICIPAL ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 219078 Kansas City, MO 64121 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input checked="" type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|------------------|--|
| SOURCE OF INCOME | NAME AND ADDRESS VANGUARD FIXED INCOME SECS ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE PO Box 1110 Valley Forge, PA 19482 |
| RECEIVED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| AMOUNT | <input type="checkbox"/> \$500 - \$4,999 <input type="checkbox"/> \$5,000 - \$9,999 <input checked="" type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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INTERESTS IN REAL PROPERTY

PART 7A

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT include this page in the report.**

Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of "beneficial interest" and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | | |
|--|--|--|--|
| 1 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| 2 STREET ADDRESS <input type="checkbox"/> NOT AVAILABLE | STREET ADDRESS, INCLUDING CITY, COUNTY, AND STATE 201 Vanderpool #141 Houston, TX 77024 | | |
| 3 DESCRIPTION <input checked="" type="checkbox"/> LOTS <input type="checkbox"/> ACRES | NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED 1.00000 lots Harris | | |
| 4 NAMES OF PERSONS RETAINING AN INTEREST <input checked="" type="checkbox"/> NOT APPLICABLE (SEVERED MINERAL INTEREST) | | | |
| 5 IF SOLD <input checked="" type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |

| | | | |
|---|---|--|---|
| HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| STREET ADDRESS <input type="checkbox"/> NOT AVAILABLE | STREET ADDRESS, INCLUDING CITY, COUNTY, AND STATE 15026 Hidden Valley Waters Dr Cypress, TX 77429 | | |
| DESCRIPTION <input checked="" type="checkbox"/> LOTS <input type="checkbox"/> ACRES | NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED 1.00000 lots Harris | | |
| NAMES OF PERSONS RETAINING AN INTEREST <input type="checkbox"/> NOT APPLICABLE (SEVERED MINERAL INTEREST) | Patrick, Dan Patrick, Jan Patrick, Ryan Patrick, Shane | | |
| IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INTERESTS IN REAL PROPERTY

PART 7A

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT include this page in the report.**

Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of "beneficial interest" and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | |
|---|---|
| 1 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 2 STREET ADDRESS <input type="checkbox"/> NOT AVAILABLE | STREET ADDRESS, INCLUDING CITY, COUNTY, AND STATE 15035 Hidden Valley Water Dr. Cypress, TX 77429 |
| 3 DESCRIPTION <input checked="" type="checkbox"/> LOTS <input type="checkbox"/> ACRES | NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED 1.00000 lots Harris |
| 4 NAMES OF PERSONS RETAINING AN INTEREST <input type="checkbox"/> NOT APPLICABLE (SEVERED MINERAL INTEREST) | Patrick, Dan Patrick, Jan Patrick, Ryan Patrick, Shane |
| 5 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INTEREST IN BUSINESS ENTITIES

PART 7B

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

Describe all beneficial interests in business entities held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of "beneficial interest" and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | | | |
|-----------------------|--|--|--|---|
| 1 HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| 2 DESCRIPTION | | NAME AND ADDRESS | | |
| | | Houston Broadcasting 11451 Katy Freeway Suite 215 Houston, TX 77079 | | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|---------------------|--|--|--|---|
| HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| DESCRIPTION | | NAME AND ADDRESS | | |
| | | Patrick Broadcasting 11451 Katy Freeway Suite 215 Houston, TX 77079 | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|---------------------|--|---|--|---|
| HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| DESCRIPTION | | NAME AND ADDRESS | | |
| | | Dallas Broadcasting 11451 Katy Freeway Suite 215 Houston, TX 77079 | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------|--|--|--|---|
| HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| DESCRIPTION | | NAME AND ADDRESS | | |
| | | Plaid Shirt Pictures 11451 Katy Freeway Suite 215 Houston, TX 77079 | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INTEREST IN BUSINESS ENTITIES

PART 7B

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

Describe all beneficial interests in business entities held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of "beneficial interest" and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | | | |
|-----------------------|--|--|--|---|
| 1 HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| 2 DESCRIPTION | | NAME AND ADDRESS | | |
| | | Pat Rich LLC 11451 Katy Freeway Suite 215 Houston, TX 77079 | | |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|---------------------|--|--|--|---|
| HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| DESCRIPTION | | NAME AND ADDRESS | | |
| | | Dan & Jan Management 15035 Hidden Valley Waters Dr Cypress, TX 77429 | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

| | | | | |
|---------------------|--|--|--|---|
| HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| DESCRIPTION | | NAME AND ADDRESS | | |
| | | Goeb Investments 15035 Hidden Valley Waters Dr Cypress, TX 77429 | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

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|---------------------|--|---|--|---|
| HELD OR ACQUIRED BY | | <input checked="" type="checkbox"/> FILER | <input checked="" type="checkbox"/> SPOUSE | <input type="checkbox"/> DEPENDENT CHILD _____ |
| DESCRIPTION | | NAME AND ADDRESS | | |
| | | Patrick and Jan Investments 15035 Hidden Valley Waters Dr Cypress, TX 77429 | | |
| IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS | <input type="checkbox"/> LESS THAN \$5,000 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE |

INTEREST IN BUSINESS ENTITIES

PART 7B

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

Describe all beneficial interests in business entities held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of "beneficial interest" and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | |
|-----------------------|--|
| 1 HELD OR ACQUIRED BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |
| 2 DESCRIPTION | NAME AND ADDRESS Sunbelt Broadcasting 3515 tangley Houston, TX 77005 |
| 3 IF SOLD | <input type="checkbox"/> NET GAIN <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000--OR MORE <input type="checkbox"/> NET LOSS |

ASSETS OF BUSINESS ASSOCIATIONS

PART 11A

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

Describe all assets of each corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | |
|------------------------------|---|--|
| 1 BUSINESS ASSOCIATION | NAME AND ADDRESS Pat Rich LLC 11451 Katy Freeway Suite 215 Houston, TX 77024 | |
| 2 BUSINESS TYPE | Partnership - Broadcasting | |
| 3 HELD, ACQUIRED, OR SOLD BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 4 ASSETS | DESCRIPTION | CATEGORY |
| | Radio Station | <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000 OR MORE |
| | Cash | <input checked="" type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input type="checkbox"/> \$25,000 OR MORE |

ASSETS OF BUSINESS ASSOCIATIONS

PART 11A

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

Describe all assets of each corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | |
|------------------------------|---|--|
| 1 BUSINESS ASSOCIATION | NAME AND ADDRESS Dan & Jan Management 15035 Hidden Valley Water Dr. Cypress, TX 77429 | |
| 2 BUSINESS TYPE | Partnership - Investments | |
| 3 HELD, ACQUIRED, OR SOLD BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 4 ASSETS | DESCRIPTION Cash | CATEGORY <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000 OR MORE |

ASSETS OF BUSINESS ASSOCIATIONS

PART 11A

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

Describe all assets of each corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | |
|-------------------------------------|---|--|
| 1 BUSINESS ASSOCIATION | NAME AND ADDRESS Goeb Investments 15035 Hidden Valley Water Dr. Cypress, TX 77429 | |
| 2 BUSINESS TYPE | Partnership - Investments | |
| 3 HELD, ACQUIRED, OR SOLD BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 4 ASSETS | DESCRIPTION Cash Marketable Securities Investments in Radio Stations Investments in Banks | CATEGORY <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000 OR MORE <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000 OR MORE <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000 OR MORE <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000 OR MORE |

LIABILITIES OF BUSINESS ASSOCIATIONS

PART 11B

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

Describe all liabilities of each corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | | |
|-------------------------------------|--|--|
| 1 BUSINESS ASSOCIATION | NAME AND ADDRESS Houston Broadcasting 11451 Katy Freeway Suite 215 Houston, TX 77079 | |
| 2 BUSINESS TYPE | Radio Broadcasting | |
| 3 HELD, ACQUIRED, OR SOLD BY | <input checked="" type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ | |
| 4 LIABILITIES | DESCRIPTION Loans ----- Accrued Commission ----- Accrued Retirement Plan ----- Accrued Taxes | CATEGORY <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE ----- <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE ----- <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE ----- <input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000 - \$9,999 <input type="checkbox"/> \$10,000 - \$24,999 <input checked="" type="checkbox"/> \$25,000--OR MORE |

BOARDS AND EXECUTIVE POSITIONS

PART 12

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

List all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions you, your spouse, or a dependent child hold in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, other business associations, or proprietorships, stating the name of the organization and the position held. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | |
|--------------------|--|
| 1 ORGANIZATION | Pat Rich LLC |
| 2 POSITION HELD | Managing Partner |
| 3 POSITION HELD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |

| | |
|------------------|--|
| ORGANIZATION | Pat Rich LLC |
| POSITION HELD | Managing Partner |
| POSITION HELD BY | <input type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |

| | |
|------------------|--|
| ORGANIZATION | Goeb Investments |
| POSITION HELD | Managing Partner |
| POSITION HELD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |

| | |
|------------------|--|
| ORGANIZATION | Dan & Jan Management |
| POSITION HELD | Managing Partner |
| POSITION HELD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |

| | |
|------------------|--|
| ORGANIZATION | Houston Broadcasting |
| POSITION HELD | President |
| POSITION HELD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |

| | |
|------------------|--|
| ORGANIZATION | Patrick Broadcasting |
| POSITION HELD | President |
| POSITION HELD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |

BOARDS AND EXECUTIVE POSITIONS

PART 12

If the requested information is not applicable, indicate that on Page 2 of the Cover Sheet, and **DO NOT** include this page in the report.

List all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions you, your spouse, or a dependent child hold in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, other business associations, or proprietorships, stating the name of the organization and the position held. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

| | |
|--------------------|--|
| 1 ORGANIZATION | Dallas Broadcasting |
| 2 POSITION HELD | President |
| 3 POSITION HELD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |

| | |
|------------------|--|
| ORGANIZATION | Be An Angel |
| POSITION HELD | Board Member |
| POSITION HELD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |

| | |
|------------------|--|
| ORGANIZATION | Texas Conservative Coalition Research Institute |
| POSITION HELD | Vice President |
| POSITION HELD BY | <input checked="" type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |

| | |
|------------------|--|
| ORGANIZATION | Dan & Jan Management |
| POSITION HELD | Managing Partner |
| POSITION HELD BY | <input type="checkbox"/> FILER <input checked="" type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____ |

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PERSONAL FINANCIAL STATEMENT

PARTS MARKED "NOT APPLICABLE" BY FILER

FORM PFS
COVER SHEET
PAGE 2

On this page, indicate any Parts of Form PFS that are not applicable to you. If you do not place a check in a box, then pages for that Part must be included in the report. ***If you place a check in a box, do NOT include pages for that Part in the report.***

6 PARTS NOT APPLICABLE TO FILER

- N/A Part 1A - Sources of Occupational Income
- N/A Part 1B - Retainers
- N/A Part 2 - Stock
- N/A Part 3 - Bonds, Notes & Other Commercial Paper
- N/A Part 4 - Mutual Funds
- N/A Part 5 - Income from Interest, Dividends, Royalties & Rents
- N/A Part 6 - Personal Notes and Lease Agreements
- N/A Part 7A - Interests in Real Property
- N/A Part 7B - Interests in Business Entities
- N/A Part 8 - Gifts
- N/A Part 9 - Trust Income
- N/A Part 10A - Blind Trusts
- N/A Part 10B - Trustee Statement
- N/A Part 11A - Assets of Business Associations
- N/A Part 11B - Liabilities of Business Associations
- N/A Part 12 - Boards and Executive Positions
- N/A Part 13 - Expenses Accepted Under Honorarium Exception
- N/A Part 14 - Interest in Business in Common with Lobbyist
- N/A Part 15 - Fees Received for Services Rendered to a Lobbyist or Lobbyist's Employer
- N/A Part 16 - Representation by Legislator Before State Agency
- N/A Part 17 - Benefits Derived from Functions Honoring Public Servant
- N/A Part 18 - Legislative Continuances

PERSONAL FINANCIAL STATEMENT AFFIDAVIT

The law requires the personal financial statement to be verified. Without proper verification, the statement is not considered filed.

The verification page on a personal statement filed electronically with the Texas Ethics Commission must have the electronic signature of the individual required to file the personal financial statement.

The verification page on a personal financial statement filed with an authority other than the Texas Ethics Commission must have the signature of the individual required to file the personal financial statement as well as the signature and stamp or seal of office of a notary public or other person authorized by law to administer oaths and affirmations.

I swear, or affirm, under penalty of perjury, that this financial statement covers calendar year ending December 31, 2015, and is true and correct and includes all information required to be reported by me under chapter 572 of the Government Code.

The Honorable Dan Patrick

Signature of Filer

AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me, by the said _____, this the _____ day of _____, 20_____, to certify which, witness my hand and seal of office.

Signature of officer administering oath

Printed name of officer administering oath

Title of officer administering oath