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TradeKing.com • MEMBER FINRA/SIPC

CHRISTOPHER R COOPER

818 N QUINCY ST
STE 101Z

ARLINGTON VA 22203-2083

Account Number 07 - 38546576

OFFICE SERVING YOU
TK01 TRADEKING HOUSE REP
TRADEKING

13024 BALLANTYNE CORPORATE PLACE
SUITE 500
CHARLOTTE NC 28277
US
877-495-5464

Transaction Confirmation

THANK YOU... for letting us serve you. As your canceled check is your receipt, no receipt will be forwarded unless requested. Amount due or securities due must be received in our office on or before settlement date shown below. Retain this original for tax purposes.

1. All orders are received and executed subject to the rules, regulations, customs, and usages of the exchange or market (selected by you, your broker, or by PFSI) where the order is entered, clearing house (if any), the provisions of the Securities Exchange Act of 1934, and the rules and regulations of the SEC, FINRA, and MSRB.
2. All securities purchased or received for your account and not paid for in full may be loaned by PFSI, used in making deliveries or substitutions, or may be pledged either separately or together with other securities, either for the sum due thereon, or for a greater sum without retaining for delivery a like amount of similar securities, all without further notice to you and with your consent, which is hereby specially given. In the interim of receiving payment for securities purchased, these securities are or may be hypothecated under circumstances which will permit the commingling thereof with securities carried for the account of other customers.
3. PFSI or your broker may, whenever in the judgment of either it appears necessary for its protection, and without further notice, close your account in whole or in part, through a public or private transaction, by selling the securities therein held, or by buying any securities therein held short, or for which you have failed to make delivery following a sale. You shall at all times be liable for, and shall pay on demand the amount of any debit balance or other obligation owing in any of your accounts with PFSI including any deficiency. If payment is not received by the settlement date shown on the front of the confirm, interest may be charged at the margin interest rate.
4. Execution reports of orders and statements of the account will be conclusive if not objected to by you in writing, the former within five days, and the latter within ten days after forwarding such report or statement to you by mail or otherwise. The time of the execution of these transactions will be furnished upon your written request, and if PFSI or your broker acted as your agent, the name of the other party to the transaction will be furnished upon your written request.
5. From time to time there may be circumstances where either PFSI or your broker receive remuneration for directing orders to particular market participants for execution. When such remuneration is received, it is considered compensation to the firm involved and the source and nature of any compensation received by the firm involved in connection with your transaction will be disclosed upon written request. PFSI, your introducing broker, and their respective officers, directors, representatives and employees may from time to time have a long or short position and buy or sell securities herein this confirmation.
6. All transactions on this confirmation are presumed to be unsolicited unless noted on this trade confirmation.
7. All information given by PFSI, or its representatives as to the financial or other responsibility of individuals, firms or corporations, or as to values or prospects of stocks, bonds or other property, or other similar information, is based on opinion only and neither PFSI nor its representatives assumes responsibility of any kind thereof.
8. You agree to promptly pay or deliver, in good delivery form to PFSI any dividend, interest, or distribution, whether in cash, stock, rights, or other property, received by you after a sale is made before an ex-dividend date, ex-interest, ex-rights, or ex-distribution date applicable to such dividend, interest or distribution.
9. To the extent that the bonds described on the reverse side may have been assigned a rating, an explanation of the significance of such rating should be obtained from the appropriate rating company. A rating reflects only the view of the company assigning the rating and no representation is made as to the appropriateness of such rating. There is no assurance that any rating, if assigned, will continue for any given period of time or that it will not be revised downward or withdrawn entirely, by the rating company, if in the rating company's judgment, circumstances so warrant. To the extent the bonds described herein may be redeemed in whole or in part before maturity, such redemption could affect the yield represented. Additional information is available upon request. Ratings information when provided has been obtained from select ratings services which Penson believes to be reliable. However, Penson cannot guarantee its accuracy or completeness. Ratings are subject to change.
10. The responsibility to cancel an open order resides with you. Any transactions which result from the execution of any order which you have not instructed us to cancel will be entered into your account.
11. For bonds callable and issued in bearer form, it may be difficult for you to determine whether the securities have been called.
12. An asset backed security represents an interest in or is secured by a pool of financial assets that may be subject to continuous prepayment. The actual yield may vary based on prepayment rates of the underlying receivable or other financial assets. Information concerning factors that affect yield will be furnished upon written request.
13. Certain securities, including bonds, preferred stocks, and common stocks may be subject to call or redemption (prior to maturity, if applicable). Call features may exist in addition to those which may appear on the front of the confirmation, early call or redemption could affect yield. Complete information will be provided upon written request to your broker.
14. Customers may obtain transaction price information for TRACE eligible debt securities at www.nasdbondinfo.com. This service is intended for customer's non-commercial use and may be utilized at no charge to the customer. For assistance in determining which debt securities are TRACE eligible, please contact your broker.
15. Information relating to the break down of the additional fee and/or transaction fee fields may be obtained by contacting your broker.
16. *DENOTES REPORTED PRICE IS AN AVERAGE PRICE. INDIVIDUAL EXECUTION DETAILS AVAILABLE UPON WRITTEN REQUEST.
17. This agreement shall be construed in accordance with the laws of the State of Texas.

Account Type:

- 1 - Cash
- 2 - Margin
- 3 - Short
- C - Credit Interest
- E - TEFRA Escrow
- M - Money Market

Buy/Sell Codes:

- B = Buy
- S = Sell
- BTO = Buy to Open
- BTC = Buy to Close
- STO = Sell to Open
- STC = Sell to Close
- BXL = Cancel Buy
- SXL = Cancel Sell

To Wire money to PFSI, send to the following:

Chase Manhattan Bank NYC
ABA# 21000021
Acct. Name: Penson Financial Services
Acct. # : 066-6-00030
Acct. Name: [Your Account Title]
FBO Acct. # : [Your Account #]

MKT = Market in which transaction was executed/cleared:

- 1 - New York Stock Exchange
- 2 - NYSE Amex
- 3 - Chicago Stock Exchange
- 4 - NYSE ARCA Exchange
- 5 - Options - Detail available upon request
- 6 - Option Assignment
- 7 - BATS Exchange
- 8 - Nasdaq OMX PHLX
- 9 - International Securities Exchange
- E - EuroClear Trade
- G - Government Securities Clearing Corp. (GSCC)
- H - Prime Broker Vs. Penson Clearing Correspondent

- I - International Trade
- J - Prime Broker Vs. Street
- K - Canadian Trade
- N - OTC – Through National Securities Clearing Corp
- Q - Ex Clearing
- Q - Toronto
- R - NASDAQ Through National Securities Clearing Corp
- S - Nasdaq OMX BX
- T - Montreal
- V - National Stock Exchange

CAP = Capacity in which the firm acted:

- 1 - As AGENT for you we bought/sold this security
- 2 - As PRINCIPAL we have bought from, or sold to you this security
- 4 - As AGENT for both buyer and seller we are charging a commission, the amount of which will be furnished upon written request
- 6 - Our firm maintains a primary market in this security and our officers, directors, representatives and employees may from time to time have a long or short position in this security
- 8 - As Prime Broker
- 9 - As principal on the exchange floor
- A - Third Market execution
- D - As Agent when bought/sold with Inventory account
- I - As Custodian

Legend:

- 0 - Discretionary Account
- 1 - Ex Dividend
- 2 - With Dividend
- 3 - Unsolicited Order
- 4 - To Cover Short
- 5 - Prospectus Enclosed
- 6 - Odd Lot Differential Charged
- 7 - Ex Rights
- 8 - With Rights
- 9 - Opening Position
- A - Closing Position
- B - Exercise of Option

- C - Opening Position Covered
- D - Prospectus Mailed Separately
- E - When Distributed
- F - Coupon Books
- G - We Make a Market in This Issue
- H - Fully Registered
- I - Discretion Exercised
- J - Discretion Not Exercised
- K - Option Assignment
- M - Customer Directed Order
- P - Employee Stock Option
- Q - Investment Banking

- R - Broker/Dealer Order
- S - Solicited Order
- T - Short Sale
- U - We Make a Market – Solicited
- V - Customer Cross
- W - We Make a Market – Unsolicited
- X - PFSI Acted as Principal
- Y - Rule 144 Sale
- Z - Contains Postage Fee

MUTUAL FUND LEGEND

You may be eligible for breakpoint discounts based on the size of your purchase, current holdings or future purchases. The sales charge you paid may differ slightly from that disclosed in the prospectus due to rounding calculations. Please refer to the prospectus, Statement of Additional Information, or contact your Financial Advisor for further information. On selling your shares, you may pay a sales charge. For this charge and other fees, see the prospectus.

Mutual Fund Indicator:

- 0 - Other - Details available upon request
- 1 - Front-End Load

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Retain this original for your records and tax purposes.

Account cleared by
PENSON FINANCIAL SERVICES, INC.
1700 Pacific Avenue, Suite 1400
Dallas, Texas 75201

Account Number: 07 -38546576**Account Name: CHRISTOPHER R COOPER**

Acct Type	B/S	Trade Date	Settle Date	QTY	SYM	PRICE	Principal	COMM	Tran Fee	Add'l Fees	Inv	Net Amount	Trade #	MKT	CAP
2	B	11/01/10	11/04/10	500.000	CIM	4.0800000	-2040.00	4.95	0.00	0.00		-2044.95	NAC9D	N	1
Desc: CHIMERA INVESTMENT CORP										Interest/STTax: 0.00		CUSIP:	16934Q109		
Currency:	USD		ReportedPX:		MarkUp/Down:		Legend:		3	Trailer:		43405929			
2	B	11/01/10	11/04/10	166.000	PGH	12.0299000	-1996.96	4.95	0.00	0.00		-2001.91	NACVW	N	1
Desc: PENGROWTH ENERGY TRUST CA7069025095										Interest/STTax: 0.00		CUSIP:	706902509		
Currency:	USD		ReportedPX:		MarkUp/Down:		Legend:		3	Trailer:		43406582			

SUMMARY FOR CURRENT TRADE DATE: 11/01/2010

TOTAL SHARES BOUGHT: 666.0000 TOTAL DOLLARS BOUGHT: -4,046.8600

TOTAL SHARES SOLD: 0.0000 TOTAL DOLLARS SOLD: 0.0000