

**HAND DELIVERED**  
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LEGISLATIVE RECORDING CENTER  
2015 MAY 15 PM 1:56

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U.S. HOUSE OF REPRESENTATIVES  
(Office Use Only) *MC*

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**2014 FINANCIAL DISCLOSURE STATEMENT**

Form A  
For Use by Members, Officers, and Employees

Name: THOMAS A. MARINO Daytime Telephone: 202-225-3731

FILER STATUS	<input checked="" type="checkbox"/> Member of or Candidate for U.S. House of Representatives	State: <u>PA</u> District: <u>10</u>	<input type="checkbox"/> Officer or Employee	Employing Office: _____
REPORT TYPE	<input checked="" type="checkbox"/> 2014 Annual (Due: May 15, 2015)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Date of Termination: _____

**PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS**

A. Did you, your spouse, or your dependent child: a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? <u>or</u> b. Make more than \$200 in unearned income from any reportable asset during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
B. Did you, your spouse, or your dependent child purchase, sell, or exchange any securities or reportable real estate in a transaction exceeding \$1,000 during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$375 in value from a single source during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	H. Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than \$375 in value from a single source during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	I. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"	

**IPO AND EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS**

IPO - Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
TRUSTS - Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust that benefits you, your spouse, or your dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
EXEMPTION - Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or your dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

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Use additional sheets if more space is required.

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: \_\_\_\_\_

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction			
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, S(part), or E	
	None																																			
	\$1-\$1,000																																			
	\$1,001-\$15,000																																			
	\$15,001-\$50,000																																			
	\$50,001-\$100,000																																			
	\$100,001-\$250,000																																			
	\$250,001-\$500,000																																			
	\$500,001-\$1,000,000																																			
	\$1,000,001-\$5,000,000																																			
	\$5,000,001-\$25,000,000																																			
	\$25,000,001-\$50,000,000																																			
	Over \$50,000,000																																			
	Spouse/DC Asset over \$1,000,000*																																			
	OT THE REEF AT INDIAN																																			
	QUADRO ASSN. MONTANA FL																																			
	RENTAL PROP. 1-4550																																			
	WINDRUM CT. ST. CLOUD, MN																																			
	RENTAL PROP. 2-3771																																			
	2500A, HAWKOCK TR.																																			
	ST. CLOUD, MN																																			
	VALUABLE LIFE INS																																			
	(SEE ATTACHMENT 1)																																			
	LP FINANCIAL ACCT																																			
	(SEE ATTACHMENT 2)																																			

Use additional sheets if more space is required.

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\*Column K is for liabilities held solely by your spouse or dependent child

[illegible]

held in any religious, social, fraternal, or political societies (such as political parties and campaign organizations), and positions solely of an honorary nature

[illegible]

Use additional sheets if more space is ~~required~~

FILER NOTES  
(Optional)

Name:

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NOTE NUMBER	NOTES
1.	AXA EQUITABLE LIFE INS. — SEE ATTACHMENT 1
2.	AXA ADVISORS/LPL FINANCIAL IRA Account — SEE ATTACHMENT 2

Use additional sheets if more space is required.

ATTACHMENT 2

# Retirement Account

Statement Period  
October 1 to December 31, 2014

PTC CUST ROLLOVER IRA FBO THOMAS A MARINO  
Investment Objective Growth

Total Value of Your Account as of December 31, 2014 \$47,615.97

## INVESTMENTS HELD AT LPL FINANCIAL

Previous Year-End Value as of December 31, 2013	\$0.00
Beginning Value as of October 1, 2014	\$47,312.71
Additions	—
Withdrawals	—
Dividends, Interest and Capital Gains	2,856.38
Increase/decrease in Market Value <sup>1</sup>	-2,553.12
Ending Value as of December 31, 2014	\$47,615.97

	Year-End Value December 31, 2013	Value on September 30, 2014	Value on December 31, 2014
TOTAL VALUE OF YOUR ACCOUNT	—	\$47,312.71	\$47,615.97

<sup>1</sup> Increase/decrease in Market Value reflects the impact of changes in the value of securities held in your LPL Financial account, as well as the impact of any transfers of securities into or out of your account during the statement period.

**Your Financial Professional:**  
Brian Kennedy (610)660-4427  
40 Monument Road  
Bala Cynwyd, PA 19004

Clearing Through LPL Financial  
Member FINRA/SIPC  
4707 Executive Drive, San Diego, CA 92121-3091  
75 State Street, 24th Floor, Boston, MA 02109-1827  
AXA Advisors, LLC  
Member FINRA/SIPC  
1290 Avenue of the Americas  
New York, NY 10104-2702



Retirement Account

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Retirement Account

Statement Period  
October 1 to December 31, 2014

ACCOUNT INVESTMENT SUMMARY as of December 31, 2014		
Investment Type	Amount	Percent
Cash and Cash Equivalents	\$119.73	0.25%
Equities and Options	—	—
Fixed Income	—	—
Mutual Funds, ETFs and Closed-End Funds	47,496.24	99.75%
Total	\$47,615.97	100.00%

EARNINGS SUMMARY as of December 31, 2014		PURCHASING POWER as of December 31, 2014	
Estimated Annual Income	\$720.00	Available Cash	\$119.73



Retirement Account

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Account Holdings as of December 31, 2014

CASH AND CASH EQUIVALENTS

Description	Current Balance
Cash	\$119.73
<b>TOTAL CASH AND CASH EQUIVALENTS</b>	<b>\$119.73</b>

MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS

Date Acquired	Description/SecurityID	Quantity	Price	Market Value	Unit Cost	Cost Basis/ Purchase Cost <sup>1</sup>	Unrealized Gain or Loss	Estimated Annual Income <sup>2</sup>	Estimated 30-Day Yield <sup>3</sup>
10/16/07*	ALLIANCEBERNSTEIN R INTL VALUE ADVISOR CL ABVX	385.513	\$12.39	\$4,776.50	\$22.60	\$8,713.65	-\$3,937.15	\$256	5.47%
10/16/07*	CAPITAL WORLD R GROWTH & INCOME CL F2 WGIFX	201.628	46.05	9,284.96	46.00	9,275.53	9.43	182	2.15%
10/16/07*	GROWTH FUND OF AMERICA R CL F2 GFFX	646.509	42.60	27,541.28	37.72	24,387.90	3,153.38	151	0.57%
10/16/07	ISHARES MSCI EMERGING MARKETS ETF EEM	150	39.29	5,893.50	51.74	7,761.50	-1,868.00	131	2.23%
<b>TOTAL MUTUAL FUNDS, ETFs AND CLOSED-END FUNDS</b>				<b>\$47,496.24</b>		<b>\$50,136.58</b>	<b>-\$2,642.34</b>	<b>\$720</b>	

\* Date of Earliest Acquisition  
R Dividends and/or capital gains distributed by this security will be reinvested.

Value of Your LPL Financial Account	Market Value	Cost Basis/ Purchase Cost <sup>2</sup>	Unrealized Gain or Loss	Estimated Annual Income
	\$47,615.97	\$50,258.31	-\$2,642.34	\$720
		\$40,781.23		

- 1 Purchase Cost equals Cost Basis of Equities and Mutual Funds less any reinvested dividends and interest.
- 2 Refer to the statement message titled ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY) for information on how this figure is calculated.
- 3 Purchase Cost equals Cost Basis less any reinvested dividends, interest, Fixed Income and Alternative Investments



Questions? Contact Brian Kennedy  
(610)660-4427

Account Holdings / Retirement Account

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Account Activity as of December 31, 2014

ACCOUNT ACTIVITY SUMMARY

	Period Ending September 30, 2014	Period Ending December 31, 2014	Year-to-Date
Securities Purchased	—	—	—
Securities Sold	—	—	—
Additions to Your Account	—	—	—
Withdrawals from Your Account	—	—	-11.61
Dividends, Interest and Capital Gains	39.58	2,856.38	2,947.05
Reinvestments	-39.58	-2,776.13	-2,815.71
Net Change in Insured Cash Account Balance <sup>1</sup>	—	—	—
Net Change in Money Market Fund Balance	—	—	—

DIVIDENDS, INTEREST AND CAPITAL GAINS

Date	Activity Type	Description/SecurityID	Amount
12/15/14	Cash Dividend	CAPITAL WORLD GROWTH & INCOME CL F2 121514	199,570.00
12/18/14	Long-Term Capital Gain	GROWTH FUND OF AMERICA CL F2 121814	581,302.00
12/18/14	Cash Dividend	GROWTH FUND OF AMERICA CL F2 121814	528,413.00
		GFFFX	171.11

DIVIDENDS, INTEREST AND CAPITAL GAINS continue on page 5

<sup>1</sup> Insured Cash Accounts are FDIC insured, are not obligations of LPL Financial or SIPC, and are not available for margin purposes.



Account Activity as of December 31, 2014

**DIVIDENDS, INTEREST AND CAPITAL GAINS (continued)**

Date	Activity Type	Description/SecurityID	Amount
12/23/14	Cash Dividend	ALLIANCEBERNSTEIN INTL VALUE ADVSR CL 122314 372 27000 ABVX	166.07
12/24/14	Cash Dividend	ISHARES MSCI EMERGING MARKETS ETF 122414 150 EEM	80.25

**TOTAL DIVIDENDS, INTEREST AND CAPITAL GAINS \$2,856.38**

**REINVESTMENTS**

Date	Activity Type	Description/SecurityID	Quantity	Amount
12/15/14	Dividend Reinvest	CAPITAL WORLD GROWTH & INCOME CL F2 REINVEST AT 45 600 W/GIFX	1.402	-\$63.95
12/18/14	LT Capital Gain Reinvest	GROWTH FUND OF AMERICA CL F2 REINVEST AT 41.670 GFFX	56.995	-2,375.00

REINVESTMENTS continue on page 6



Questions? Contact Brian Kennedy  
(610)560-4427

Account Activity / Retirement Account

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## Account Activity as of December 31, 2014

REINVESTMENTS (continued)			
Date	Activity Type	Description/Security ID	Amount
12/18/14	Dividend Reinvest	GROWTH FUND OF AMERICA CL F2 REINVEST AT 41.670 GFFX	-171.11
12/23/14	Dividend Reinvest	ALLIANCEBERNSTEIN INTL VALUE ADVISOR CL REINVEST AT 12.540 ABVX	-166.07
TOTAL REINVESTMENTS			-\$2,776.13

 AXA ADVISORS

Account Activity / Retirement Account

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## Account Detail as of December 31, 2014

**RETIREMENT ACCOUNT ANNUAL MAINTENANCE FEE<sup>1</sup>**

Annual Maintenance Fee Due Date	May 31, 2015
Annual Maintenance Fee Amount	\$40.00

**DIVIDEND AND INTEREST SUMMARY**

Description	September 30, 2014	December 31, 2014	Year-to-Date
Mutual Funds	\$39.58	\$481.38	\$572.05
<b>TOTAL DIVIDENDS AND INTEREST</b>	<b>\$39.58</b>	<b>\$481.38</b>	<b>\$572.05</b>

**CAPITAL GAINS AND OTHER DISTRIBUTION SUMMARY**

Description	September 30, 2014	December 31, 2014	Year-to-Date
Long Term Capital Gains	—	\$2,375.00	\$2,375.00
<b>TOTAL CAPITAL GAINS AND OTHER DISTRIBUTIONS</b>	<b>—</b>	<b>\$2,375.00</b>	<b>\$2,375.00</b>

<sup>1</sup> The retirement account annual maintenance fee is charged for providing services to your LPL Financial retirement account for the previous 12 months. For more information please see the statement message titled INFORMATION ABOUT THE RETIREMENT ACCOUNT ANNUAL MAINTENANCE FEE.



Questions? Contact Brian Kennedy  
(610)560-4427

Account Detail / Retirement Account

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## Account Messages as of December 31, 2014

## MESSAGES FROM AXA ADVISORS

Are you prepared? With the prime rate increase in the near future, it has become increasingly important to guard against the risk of outliving your assets, and to protect those assets so that they are available throughout your retirement. Call your AXA Advisors Financial Professional today for information on stocks and corporate bonds, and find out how an annuity from AXA Equitable Life Insurance Company (NY, NY) may be able to help you prepare for your retirement. Equity investments are subject to market risks and falling loss of principal. Annuities are long-term products and contain certain limitations. GE-656466 (1/11) Securities are offered through an affiliate, AXA Advisors, LLC.

## MESSAGES FROM LPL FINANCIAL

## GO GREEN, USE PAPERLESS STATEMENTS

Through Account Access, you can turn off your paper statements to reduce paper clutter and positively impact the environment. Paperless statements include electronic statements and other account information posted online in Account Access. You will receive an email notifying you of the availability of your paperless statements online, which are provided at no cost to you. To go paperless, click on the Account Access link accessible through [www.axa-advisors.com](http://www.axa-advisors.com).

## INFORMATION ABOUT THE RETIREMENT ACCOUNT ANNUAL MAINTENANCE FEE

You may choose to pay the account maintenance fee in one of two ways. The default option is to deduct the fee directly from your account, provided there is sufficient cash available. Alternatively, you may send a check for the amount of the fee prior to the due date. If you are sending a check, please make the check payable to LPL Financial, and in the memo field print your account number and the words "Annual Maintenance Fee" and mail to: LPL Financial, Attn: Dept. M-AAXA, P.O. Box 503707, San Diego, CA 92150-3707.

If you have any further questions on the Retirement Account Annual Maintenance Fee, please contact your AXA Advisors Financial Professional.

## IMPORTANT TAX INFORMATION FOR AXA ADVISORS RETIREMENT ACCOUNTS

Please carefully review all distribution and contribution information, as well as assets listed on this account statement to ensure accuracy. Please immediately report any discrepancies to your AXA Advisors Financial Professional. If you received retirement account distribution for 2014, we will mail your Form 1099-R to you by February 2, 2015. If you made an RMD contribution for 2014, we will mail your Form 5498 to you by June 2, 2015. This account statement reports to you the Fair Market Value of your account as of December 31, 2014.

This information is being furnished to me in general Revenue Service. If you hold a married joint or private placement in your retirement account, the valuation of these assets may not be final. If we receive updated valuations for these assets, you can time the updated fair market value on your current monthly statement. These values are obtained from sources deemed to be reliable, but are not guaranteed. Actual liquidation value received on the open market may be different than the Fair Market Value indicated.

## RMA CONTRIBUTIONS

When contributing to your LPL Financial Individual Retirement Account (IRA), be sure to include the following two items in your check's memo field:

- 1) The year for which you are contributing, and
- 2) Your account number.

If no year is indicated, we will designate the contributions as being made for the current calendar year. For rollover RMA contributions please include a completed RMA contribution form to ensure proper tax reporting.

Investors may contribute each year to a Traditional IRA and a Rollover IRA, however, the contribution for 2014 for all IRAs combined generally must not exceed \$5,500 (\$6,500 for investors 50 years old or older) or 100% of compensation, whichever is less. Married couples may contribute up to \$11,000 (\$13,000 for investors 50 years old or older) or 100% of compensation, whichever is less, provided total contributions to each spouse's IRA do not exceed \$5,500 (\$6,500 for investors 50 years old or older).

For 2015, RMA contributions will remain the same at \$5,500 (\$6,500 for investors 50 years old or older).

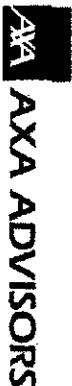
Please consult with a tax adviser regarding eligibility. If you have additional questions, please contact your financial professional.

**AXA**  
**AXA ADVISORS**

Account Messages / Retirement Account

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Questions? Contact Brian Kennedy  
(610)660-4427

## Account Messages as of December 31, 2014

### MESSAGES FROM LPL FINANCIAL (continued)

#### FINRA BROKERCHECK INFORMATION

The Financial Industry Regulatory Authority (FINRA) requires that we provide the following information concerning FINRA's BrokerCheck program. The BrokerCheck program phone number is (800) 289-9299. The BrokerCheck web site address is <http://www.financeinvestorstockcalculator/brokercheck/index.htm>.

Any complaints regarding the handling of your account should be directed to your financial professional and to the AXA Customer Relations Office at 212-314-3941.

#### DECEMBER DIVIDENDS FOR CERTAIN MUTUAL FUNDS

This statement may not reflect all dividends applied to the December 2014 for certain mutual fund shares that may be held in your account. These dividends will be shown on your next month statement. For tax purposes, these dividends will be reported on your annual 1099-DIV statement as income earned during 2014. You will not receive a 1099-DIV statement for any dividends paid to a retirement account as such income is tax-deferred.

#### YEAR-END ACCOUNT STATEMENTS/MULTIPLE FORM 1099s

This statement reflects only business conducted with your AXA Advisors financial professional during the time LPL Financial acted as the clearing broker-dealer. If you transferred an account to AXA Advisors, LLC from another broker-dealer during 2014, your previous firm(s) should send you one or more Form 1099s summarizing any reportable account activity that took place before your account was transferred to AXA Advisors, LLC. Please be sure to include all Form 1099s when compiling your tax returns.

#### NON-TRANSFERABLE SECURITIES THAT ARE WORTHLESS

As part of our continuing effort to provide exceptional service, please be advised that LPL Financial will remove any non-transferable securities that are worthless from customer accounts. Your account may or may not be affected. Should you have any questions or concerns, please contact your financial professional.

#### ESTIMATED ANNUAL INCOME (EAI) AND ESTIMATED YIELD (EY)

EAI is calculated by taking the indicated annualized dividend and multiplying by the number of shares owned. EY is calculated by taking the EAI and dividing by the aggregate value of the shares owned. If no dividend information is available, no EAI or EY figures will be generated. EAI and EY for certain types of securities could include a return of principle or capital gains in which case the EAI and EY would be overstated. EAI and EY are estimates and the actual income and yield might be lower or higher than the estimated amounts. Additionally, the actual dividend or yield may vary depending on the security issuer's approval of paying the dividends. EY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate.

#### ICA INFORMATION

Participants in the FDIC insured bank accounts are currently insured by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000 per depositor per bank and \$500,000 for joint account holders per bank. President Obama signed legislation on May 20, 2009 to extend the temporary increase in FDIC deposit insurance through December 31, 2013. As a result, the FDIC insurance limits are now temporarily increased from \$100,000 to \$250,000 per depositor per bank (\$500,000 for joint accounts). On January 1, 2014, unless the increased coverage is further extended or made permanent, the standard insurance amount will return to \$100,000 per depositor per bank for all accounts (excluding except for IRAs and other certain retirement accounts which will remain a \$250,000 per depositor per bank).

LPL Financial is pleased to announce changes to the method for allocating cash in the ICA Program. LPL Financial now allocates cash in deposit institutions on the same-by-sale priority basis indicated in the insured Cash Account (CCA) Disclosure Booklet in increments of \$200,500 (\$493,000 for joint accounts) until an investor's balance in the ICA Program is allocated up to a total of \$1,500,000 for individual accounts and \$3,000,000 for joint accounts.

As always, you should review your cash position with various deposit institutions to determine whether your cash is within the FDIC insurance coverage limits. For more information about the temporary increase in FDIC insurance limits, please contact your financial professional or go to <http://www.fdic.gov/deposit/depositchanges.html>.

Please be advised that the Priority Bank List for the insured Cash Account Program has some important additions and/or deletions to the participating banks or the sequence of participating banks in the insured Cash Account Program. More information on the ICA Program, including the Priority Bank List, is provided in the ICA Disclosure Booklet which was previously provided to you and is available from your financial professional at any time. Please consult your financial professional if you have any additional questions on the ICA Program, including available investment alternatives.

Account Messages / Retirement Account

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**AXA Advisors, LLC** and its financial professionals are not affiliated with CFI.

**Account Protection** SPC, financial is a member of the Securities Investor Protection Corporation (SIPC). SIPC provides protection for your account up to \$500,000, including \$250,000 in free cash balance, in the unlikely event that CFI fails, including SIPC protection limits apply to all accounts that you hold in a particular capacity. For example, if you held two accounts at CFI, as a sole account holder and as a SIPC member, you would not be able to combine the accounts and protect them under SIPC. The maximum limit of \$500,000 includes cash accounts are not protected by SIPC. More information on SIPC, including Accounts at SIPC brochure may be obtained by calling SIPC directly at (202) 371-3300, at [www.sipc.org](http://www.sipc.org).

**Adjusted Cost** The cost basis of securities sold (matured, redeemed or exercised) is adjusted for return of principal, original issue discount, accreted and partnership distributions for CMO, CDO, REMIC and MLP transactions. Eligible securities on the Realized Gains and Losses Statement have been adjusted for long amortization, return of capital, liquidating distributions, wage sales or similar items. N/A displays when the information is incomplete or missing and is treated as zero when calculating totals.

**Adjustments to Option Contracts** As a general rule, corporate actions can result in an adjustment in the number of shares underlying an option contract or the exercise price of the option. Please refer to the application with respect to option contracts for financial professionals or contact the OCC website at [www.occ.com](http://www.occ.com) for more information.

**Agency IT, AXA Advisors, LLC** or LP acts as your agent, or as agent for both you and another person in a transaction, the transaction details, including the identity of the seller or buyer and the source and amount of any fees or payments will be supplied upon written request.

**Asset-backed Securities** The actual yield from transactions in asset-backed securities (e.g., CMO, FNMMA, FHMCM, RMBS transactions) may vary according to the date at which the underlying assets or receivables are repaid. Information about the yield and factors is available from your financial professional on request.

**Cashed Securities** In the event of a partial call of corporate or municipal bonds, or preferred stock held in bulk, settlement, the securities to be called shall be selected on a pro-rata basis, based on the number of securities held by each account of your holdings relative to the call holdings. A detailed description of the cashing selection procedure is available upon request.

**Change of Address** Please notify your financial professional, AXA Advisors, LLC or LP, promptly in writing of any change of address.

**Client Basis** Transactions are automatically paired against holdings on a "First-In-First-Out" basis unless manually adjusted. Designating liquidations as "excess purchases" on a trade will cause the trade confirmation or other closed tax notification to reflect the selected closed trade. For assets not purchased in the LP account, you or the previous broker-dealer, upon transfer may have provided notice, N/A is listed as the Purchase Cost, and is treated as zero when calculating gain or loss totals. Since the cost basis on certain securities may have been provided by another source, the cost basis information may vary from the information reported by the broker-dealer. Please contact your financial professional for more information about the information reported by the broker-dealer. If applicable, for accounts electing average cost, the total cost may be computed using a combination of averaged and non-averaged unit prices for eligible securities.

**Discrepancies** Please notify your financial advisor and LP, financial immediately if you notice any discrepancies on your statements. If your financial advisor is affiliated with another broker-dealer, you must notify them as well. Please contact your financial advisor for the broker-dealer's contact information.

[illegible]

### Disclosures and Other Information / Retirement Account

**Open Orders** Open Orders are transactions pending execution, i.e., purchase

[illegible]

National Operations Center  
P.O. Box 1047  
Charlotte, NC 28201-1047

ATTACHMENT 1

P1/2

004233 AX468001



THOMAS A MARINO  
COGAN STATION PA 17728

Insured(s): Thomas A Marino  
Policy Number: [REDACTED]  
Plan: Flexible Premium Variable Life Insurance  
Incentive Life  
Face Amount: \$750,000.00  
Death Benefit: \$750,000.00  
Associate Name: Brian Kennedy  
Associate Phone: (610) 660-4427  
Service Center Phone: (800) 777-6510  
Date: January 15, 2015  
Page: 1

## CONFIRMATION NOTICE

Transactions Being Confirmed	Investment Option	Effective Date	Amount	Units	Unit Price
Gross Premium		01/15/2015	\$950.00		
Net Premium	AXA LgCap Val Managed Vol	01/15/2015	\$184.30	0.958	192.377
Net Premium	AXA Mid Cap Value Managed Volatility	01/15/2015	\$184.30	0.669	275.226
Net Premium	IQ/AllBrnstn Small Cap Growth	01/15/2015	\$92.15	0.350	263.025
Net Premium	IQ/Capital Guardian Research	01/15/2015	\$92.15	0.430	214.192
Net Premium	IQ/Common Stock Index	01/15/2015	\$138.22	0.778	177.452
Net Premium	Multimanager Core Bond	01/15/2015	\$230.38	1.408	163.547

## SUMMARY OF ACTIVITY FROM POLICY ANNIVERSARY TO 01/15/2015

Opening Policy Account Value as of 10/10/2014	\$135,707.06
Premiums	\$3,800.00
Withdrawals	\$0.00
Insurance Costs	(\$1,848.21)
Other Charges	(\$146.00)
Investment Gain/(Loss)	\$4,854.65
Ending Policy Account Value as of 01/15/2015	\$142,367.50

## POLICY ACCOUNT VALUE BY INVESTMENT OPTION AS OF 01/15/2015

	Amount	Units	Unit Price	Premiums	Deductions
Guaranteed Interest Account - loaned *	\$52,608.40	N/A	N/A	0%	0%
AXA LgCap Val Managed Vol	\$17,299.41	89.924	192.377	20%	20%
AXA Mid Cap Value Managed Volatility	\$19,834.83	72.067	275.226	20%	20%
AXA LgCap Val Managed Vol	\$17,299.41	89.924	192.377	20%	20%



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## POLICY VALUES 152322515 as of 12/31/2015

POLICY ACCOUNT: 144,090.60

CURR SURR CHRG: 2,999.01

CASH SURR VALU: 141,091.59

LOAN PRINCIPAL: 52,200.98

LOAN INTEREST: 456.96

ACCOUNT VALUES			UNIT PRICE
FUND	VALUE	# OF UNITS	AS OF 12/31/2014
GIA	.00	N/A	N/A
CS	14,869.41	81.134001	183.269799
MM	.00	.000000	125.174310
SMCP	11,061.69	40.293601	274.527173
VBND	17,138.68	106.320922	161.197653
FSCV	20,334.13	71.731864	283.474111
EBDG	17,833.53	89.442131	199.386228
CGR	10,308.63	46.523708	221.578103
CGUE	.00	.000000	144.685893

cs= common stock

smcp=EQ/AllianceBernstein Small Cap Growth

VBND= Multimanager Core Bond