<b>₹</b>	Yes 🔲	ependent child	ities of a spouse or de committee on Ethics.	me, transactions, or liabili first consulted with the C	'unearned" inco inless you have	her assets, " nswer "yes" u	<b>EXEMPTION</b> —Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	MPTION—Have you use they meet all thre	<b>EXE</b> beca
No X	Yes 🔲	ot be	cepted trusts" need n	thics and certain other "exu our spouse, or a depender	ommittee on Et	red by the Co	<b>TRUSTS</b> —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 benefiting you, your spouse, or a dependent child?	STS-Details regardir sed. Have you exclud	TRU
-	EACH OF THESE QUESTIONS	OF THESE (	WER	RMATION ANS	UST INFO	; OR TRI	EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION	LUSION OF SI	EXC
	esponse.	each "Yes" re	lule attached for each "Yes" response.	appropriate sched	red and the	oe answe	Each question in this part must be answered and the appropriate schedu	Each qu	
No X	Yes	\$5,000 from	pensation of more than to prior years? tach Schedule VI.	VI. Did you receive compensation of more than \$5,000 from a single source in the two prior years?  If yes, complete and attach Schedule VI.	N <sub>o</sub> ⊠	Yes	III. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?  If yes, complete and attach Schedule III.	d you, your spouse, or a ability (more than \$10,00 , complete and attach \$	III. Di able ii If yes
× ×	Yes	rrangement	ortable agreement or ar tach Schedule V.	V. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule V.	No C	Yes 🔀	II. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule II.	II. Did you, your spouse, or a dependent income of more than \$200 in the reporting reportable asset worth more than \$1,000; If yes, complete and attach Schedule II.	II. Dic incom report <b>If yes</b>
S	Yes	before the date or two years?	ortable positions on or t lendar year or in the pric tach Schedule IV.	IV. Did you hold any reportable positions on or before the date of filing in the current calendar year or in the prior two years?  If yes, complete and attach Schedule IV.	S C	Yes 🔀	I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period?  If yes, complete and attach Schedule I.	I. Did you or your spouse have "earned" ifees) of \$200 or more from any source in if yes, complete and attach Schedule I.	I. Did fees) o
				ANSWER EACH OF THESE QUESTIONS	H OF THE	'ER EAC	1	PRELIMINARY INFORMATION	PRE
							In all sections, please type or print clearly in blue or black ink.	ections, please type or	in all s
assessed who files	\ <b>P</b>	A \$200 penalty shall be against any individual more than 30 days late.	Check if Amendment	s of tion: 06/03/2014	Date of Election:	Office:	Candidate for the State: lowa House of Representatives District: 3 New officer or Employing Office:	Filer X Candidate House of Status New office employee	Ste
	(Office Use Only)	()							
		>		Daytime Telephone:	Daytim		V	Name: Monte Shaw	Nan
OF REPRESENTATIV	ייביייטטאַר								
2014 HAY -8 PM 12: 38	2014 H		B ind new employees	<b>FORM B</b> For use by candidates and new employees		ATIVES	UNITED STATES HOUSE OF REPRESENTATIVES FINANCIAL DISCLOSURE STATEMENT Period covered: January 1, 2013 - May 1, 2014	UNITED STATES HOUSE OF FINANCIAL DISCLOSURE S Period covered: January 1, 2013	UNI: Perio
Tive	LEGIST A								

# SCHEDULE I — EARNED INCOME (INCLUDING HONORARIA)

Name Monte Shaw	
Page 2 of 6	

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

Source (include date of receipt for honoraria)	Type	Amount	nt
The state of the s	٠٩٤٠	Current Year to Filing	Preceding Year
XYZ Corporation, Houston, TX	Salary	\$6,300	\$28,450
First Bank & Trust, Houston, TX	Director's Fee	\$400	\$3,200
_	Honorarium	0	\$1,000
Harris County, Texas Public Schools	Spouse Salary	NA	NA
lowa Corn Growers Association	Salary	\$ 51,925	\$146,071
			·

"INCOME	
UNEARNED	
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SCHED	

Page 3 of 6

Name Monte Shaw

BLOCK D Amount of Income	For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.  * This column is for income derived from assets solely held by your spouse or dependent child.	Current Year Preceding Year	1 X X 20 III/A (4A IA A) A) 1 II II II	\$5,501 - \$15,000 \$15,001 - \$15,000 \$15,001 - \$100,000 \$50,001 - \$100,000 \$1,000,001 - \$5,000,000 \$1,000,001 - \$5,000,000 \$1,000,001 - \$5,000 \$1,001 - \$2,500 \$1,001 - \$2,500 \$1,001 - \$1,000 \$1,001 - \$1,000 \$1,001 - \$1,000 \$1,001 - \$1,000 \$1,000,001 - \$1,000 \$1,000,001 - \$1,000 \$1,000,000 - \$1,000,000 \$1,000,000 - \$1,000,000	×	().	<b>X</b>		×	×	×		
BLOCK C  Type of income	Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 407(k) plans or IRAs), you may check the Income. Classed as Income. Check "None" if reinvested, must be discioused as income. Check "None" if the asset generated no income during the reporting period.		T me or Farm Income)	Spouse/DC Asset over \$1  NONE  NONE  MATHERET  CAPITAL CAINS  SEOT — \$1,000  STORT TYPE OF Income  CAPITAL CAINS  MATHERET  CAPITAL CAINS  TAX-DEFERRED  CAPITAL CAINS  TAX-DEFERRED  CAPITAL CAINS  TAX-DEFERRED  STORT  S	ŊŠ.	Royaties	X		×	×	×	See Attachment	See Attachment
BLOCK B Value of Asset	Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used.  If an asset was sold during the reporting year and is included only because it generated income, the value should be "None."  *This column is for assets solely held by your spouse or dependent child	A B C D E F G H I J K L M	) (***	000,1\$ - 1\$ 000,21\$ - 100,1\$ 000,03\$ - 100,31\$ 000,001\$ - 100,00\$ 000,000\$ - 100,001\$ 000,000,1\$ - 100,003\$ 000,000,1\$ - 100,003\$ 000,000,2\$ - 100,000,1\$ 000,000,3\$ - 100,000,1\$	× (1)	Indefinite	X		×	×	×	×	<b>X</b>
BLOCK A Asset and/or Income Source	Identify (a) each asset held for investment or production of income with a fair marker value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.  Provide complete names of stocks and mutual funds (do not use ticker symbols).  For all IMAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.  For rental or other real property held for investment, provides a property and parameters.	"rental property," and the city and state.  For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic.	Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in personal drecking or savings accounts; and any financial interest in or income derived from, a federal retirement program, including the Thrift Savings Plan.	If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held with your spouse (JT), in the optional column on the far left.  For a detailed discussion of Schedule II requirements, please refer to the instruction booket.	SP, SP Mega Corp. Stock	DC, Examples: Simon & Schuster	JT 1st Bank of Paducah, KY accounts	WGMS Enterprises LC Real Estate Leasing, Shenandoah, IA	Ankeny, IA Property	Ottumwa, IA Property	US Senate Federal Credit Union	UBS Financial Services JT Joint Account	UBS Financial Services Monte Rollover IRA

For additional assets and unearned income, use next page.

# SCHEDULE II — ASSETS AND "UNEARNED" INCOME

Conti	Continuation Sheet (if needed)			Name Monte Shaw	Page 4 of 6
	BLOCK A	ВГОСК В	ВГОСК С	BLOCK D	
	Asset and/or income Source	Value of Asset	Type of income	Amount of income	
SP		E & G H   J K		Current Year P	Preceding Year
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Ļ		000 000'(	<b>1</b> S)	.00	
2		000 000'( 000'00 00'00	AT C	000	000
		000,001 00,001 000,008 0,008 0,008 0,008 0,008 0,009 00,000	AINS VBLIN	000 000,00 000,00 000,00 000,00 000,00 000,00 000,00	000, 000,0 000,00 000,00 000,3
		000,000 1,000,01 1,000,01 1,000,001 1,00	RENT NTEREST CAPITAL G EXCEPTED MAY DEFER MAY	003 - 18 005 - 18 006 - 18 007 - 1028 007 -	2,52 - 100,18 312 - 100,38 312 - 100,38 32 - 100,38 32 - 100,00,18 33 - 100,00,18 34 - 100,00,18 35 - 100,00,18 36 - 100,00,18 37 - 100,00,18 38 - 1
S G	UBS Financial Services Tina SEP IRA	×	See Attach		
	UBS Financial Services Monte Roth IRA	× ×	See Attachment		
	Shaw Irrevocable Trust FBO Montgomery Shaw owns units			7	
	of BShaw Farms LLC Fremont Co, lowa	×	Farm	× ×	×
DC1	Robert Baird Brokerage Statement	×	See Attachment		
DC2	2 Robert Baird Brokerage Statement	*	See Attachment		
DC:	College Savings lowa Sponsered by Tina Shaw		×	×	
DC1	ပိ	×	×	* X	
DC2	College Savings Iowa Sponsered by Tina Shaw	×	×	×	
DC2	တ	X	×		
			7.2		2.
					733
					,

# This page may be copied if more space is required.

Name Monte Shaw

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# SCHEDULE III — LIABILITIES

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount ture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report revolving charge accounts (i.e., credit cards) only if the balance at the close of the previous calendar year exceeded \$10,000. owed during the reporting period. Exclude: Any mortgage on your personal residence (unless there is rental income); loans secured by automobiles, household furni-

_	,	***************************************				<b>y</b> • 30 300		,
	¥	Spouse/DC Lability over 11.000.000				,,	,c	
	r	19VC \$50,000,000	3					
		-100,000,055 \$26,000,000,000		7 7 4 5,				
λ	I	-100,000,85 000,000,85			.,,			
Liabi	g	-100,000,12 -100,000,12		113			37	
Amount of Liability	4	000,000,1\$		······································				·
Amo	m)		-				,	3 3
$\prod$	0	\$250,000 \$250,000	J			**************************************		
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	<u>m</u>	000,031						
П	¥	_100,01 <b>\$</b>					(s)	
	. 4.	Type of Liability	Mortgage on 123 Main Street, Dover, DE					
<u> </u>	Date Liability	Incurred	May 1998					
		Creditor	Example: First Bank of Wilmington, DE					
	S	ე <u>ი</u> ენ						

## SCHEDULE IV - POSITIONS

Report all positions, compensated or uncompensated, held on or before the date of filing during the current calendar year and in the two prior years as an officer, director, trustee, partner, proprietor, representative, employee, or consultant of any corporation, company, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as a political party or campaign organization); and positions solely of an honorary nature.

Position	Name of Organization
Vice President	WGMS Enterprises LC
Executive Director	lowa Renewable Fuels Association Board of Directors (ex-officio, non-voting)

Use additional sheets if more space is required.

Name Monte Shaw Page 6 of 6

# SCHEDULE V — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deternal of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Terms of Agreement			
Parties To			
Date			

# SCHEDULE VI — COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

Report sources of such compensation received by you or your business affiliation for services provided directly by you during the *two* prior years. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any nonprofit organization if you directly provided the services generating a fee or payment of more than \$5,000. Exclude: Payments by the U.S. Government and any information considered confidential as a result of a privileged relationship recognized by law. Do not repeat information listed on Schedule I.

	Source (Name and Address)	Brief Description of Duties
Example:	Example: Doe Jones & Smith, Hometown, Homestate	Accounting services

Resource Management Account December 2013

MONTGOMERY SHAW Account name:

Friendly account name; Joint Account Account number.

### Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *important information about your statement* at the end of this document for more information.

#### Cash

### Cash and money balances

Gash and money balances may include analiddle cash balances, UBS Bank, USA deposit account belances, UBS AG Stanford Branch deposit account belances and money market mutual fund sweep balances.

UBS Bank USA deposit account belances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Starnford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC, but are not insured by the FDIC. See the important information about your statement at the end of this obcurrent for details about those balances.

Holding	Opening balance	Closing balance	Price per share	Average	Dividend interest
	on Dec 1 (\$)	on Dec 31 (\$)	on Dec 31 (\$)	rate	period
UBS BANK USA DEP ACCT	181	1.81			

Cap arrount (S)

Days in period

### Fixed income

### Mutual funds

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends, it is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividencis. The cost basis may reed to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss fray need to be adjusted for return of capital pelyments in order to determine the realized gain or loss for tax reporting purposes.

investment return is the current value minus the amount you invested. It does not include shates that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividencts that were not reinvested.

		Purchase price						
	Number	Average price	Client	COST	Price per share	Value on		investment Holding
Hotoling	of shares	per share (\$)	investment (\$)	Darsis (\$)	on Dec 31 (\$)	Dec 31 (5)	gen or loss (\$)	return (\$) perioc
EATON VANCE SHORT							ł	
DURATION GOVERNMENT								
INCOME FUND CLASS C								
Symbol: ECLDX								
Trade date: Jan 30, 12	1,806.402	8.982	16,226.69	16,226.69	8.610	15,553.12	673.57	ה
Total reinvested	87.544	8.900		779.152	8.610	753.75	-25.40	į
FAI: \$425 Current vield: 2.61%								

continued next page



Resource Management Account December 2013

Account name: MONTGOMERY SHAW Friendly account name: Joint Account Account namber:

Your assets , Fixed income , Mutual funds (continued)

		Purchase price						
Holding	Number of shares	Average price per share (\$)	Client investment (\$)	Cost besis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment Holding return (\$) perioc
Security total	1,893.946	8.979	16,226.69	17,005.84		16,306.87	-698.97	80.18
JP MORGAN SHORT DURATION								
BOND FUND CLASS C								
Symbol: OSTCX								
Trade date: Jan 30, 12	1,468.574	11.053	16,232.95	16,232.95	10.940	15,066,19	-166.76	17
Total reinvested	11.723	11.034		129.362	10.940	128.25	-1.11	
EAI: \$34 Current yield: 0.21%								
Security total	1,480.297	11.053	16,232.95	16,362.31		16,194,44	-167.87	-38.51
Total			\$32,459.64	\$33,368.15		\$32,501.31	-\$866.84	\$41.67
Total estimated annual income: \$460								

<sup>2</sup> Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction.

#### Other

Mutual funds

Unrealized (tax) gain or kas is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for	tak reporting purposes.	investment return is the current value minus the amount you invested it does not include shares that are not	reference on your answersers, including a reason that here exert registed as entired a grant of a reason was controlled to the controlled of the were not reinvested.
Total reinvested is the total of all reinvested dividends. It does not include any cash dividends, it is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you retinest dividends become a separate tax lot.	Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need	to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting	recoding

BLACKROCK GLOBAL ALLOCATION FUND INC C Symbol: MCLOX Trade date: Dec 15, 08 Trade date: Lot 12, 09 Trade date: Lot	Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (5)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment Holding return (5) perioc	Holding
488.514 13.485 6,587.65 6,587.65 19.770 9,657.92 3,070.27 10.962 13.500 147.99 19.770 216.72 88.73 17.775 15.090 268.23 19.770 351.41 83.18 17.230 16.489 284.12 284.12 19.770 340.64 56.52 65.077 18.097 1,177.71 19.770 1,286.57 108.86 656 656 657 658 658 658 658 658 658 658 658 658 658	BLĄCKROCK GLOBAL			Maria de la Caracida						
488.514 13.485 6,587.65 19,770 9,657.92 3,070.27 10.962 13.500 147.99 19,770 216.72 88.73 17.775 15.090 268.23 19,770 340.64 56.52 17.230 16,489 284.12 19,770 1,286.57 108.86 56.077 18.097 1,177.71 19,770 1,286.57 108.86 599.558 14.120 7,287.99 8,465.70 11,853.26 3,387.56	ALLOCATION FUND INC C									
488.514     13.485     6,587.65     19.770     9,657.92     3,00.27       10.962     13.500     147.99     19.770     216.72     88.73       17.775     15.090     268.23     268.23     19.770     351.41     83.18       17.230     16.489     284.12     19.770     340.64     56.52       65.077     18.097     1,177.71     19.770     1,286.57     108.86       599.558     14.120     7,287.99     8,465.70     11,853.26     3,387.56	Symbol: MCLOX	•								
3     10.962     13.500     147.99     147.99     19.700     216.72     98.73       17.775     15.090     268.23     268.23     19.770     351.41     83.18       17.230     16.489     284.12     284.12     19.770     340.64     56.52       65.077     18.097     1,177.71     19.770     1,286.57     108.86       0.66%     599.558     14.120     7,287.99     8,465.70     11,853.26     3,387.56	Trade date: Dec 15, 08	488.514	13.485	6,587.65	6,587.65	19,770	9,657.92	3,070,27		5
17.775 15.090 268.23 268.23 19.770 351.41 83.18 17.230 16.489 284.12 284.12 19.770 340.64 56.52 65.077 18.097 1,177.71 19.770 1,286.57 108.86 0.66% 599.558 14.120 7,287.99 8,465.70 11,853.26 3,387.56	Trade date: Mar 23, 09	10.962	13.500	147.99	147.99	19.770	216.72	68.73		Ħ
17.230 16.489 284.12 284.12 19.770 340.64 56.52 65.077 18.097 1,177.71 19.770 1,286.57 108.86 0.66% 599.558 14.120 7,287.99 8,465.70 11,853.26 3,387.56	Trade date: Jun 12, 09	17.775	15.090	268.23	268.23	19.770	351.41	83.18		5
65.077 18.097 1,177.71 19.770 1,286.57 108.86 yield: 0.66% 599.558 14.120 7,287.99 8,465.70 11,853.26 3,387.56	Trade date: Oct 7, 09	17,230	16.489	284.12	284.12	19.770	340.64	56.52		Π
ent yield: 0.66% 599.558 14.120 7,287.99 8,465.70 11,853.26 3,387.56	Total reinvested	65.077	18.097		1,177.71	19.770	1,286.57	108.86		
599.558 14.120 7,287.99 8,465.70 11,853.26 3,387.56	EAI: \$78 Current yield: 0.66%									
	Security total	599.558	14.120	7,287.99	8,465.70		11,853.26	3,387.56	4,565.27	

Resource Management Account December 2013

Account name: MONTGOMERY SHAW Priendly account name: Joint Account Account number:

Your Financial Advisor:

(continued)
funds
► Mutual
Other
assets ,
₹o⊑

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Specific Cost	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment Hoding return (\$) certoc
IVY ASSET STRATEGY FUND								
CLASS C								
Symbol: WASCX								
Trade date: May 25, 10	438.061	19.631	8,600.00	8,600.00	31.140	13,641.21	5,041.21	5
Total reinvested	8.987	24.224		217.71	31 140	279.86	62.15	
EAI: \$4 Current yield; 0.03%								
Security total	447.048	19.724	8,600.00	8,817.71		13,921.07	5,103.36	5,321.07
Total			\$15,887.99	\$17,283.41		\$25,774,33	\$8,490.92	\$9,896.34
Total estimated annual income: \$82								

MONTGOMERY D SHAW Friendly account name: Monte Rollover Account name: Account type:

Account number:

### Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See important information about your statement at the end of this document for more information.

#### Cash

### Cash and money balances

Oash and money features may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stanford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Starnford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. UBDs market sweep balances are protected by SIPC but are not insured by the FDIC. See the Important information about your statement at the end of this document for details about those balances.

Holding	Opening balance on Dec 1 (\$)	Closing balance on Dec 31 (\$)	Price per share on Dec 31 (S)	Average	Dividend interest period
UBS BANK USA DEP ACCT	2,476.52	2,595.58			

Cap arrount (\$)

Days in period

### Equities

## Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends, it does not include any cash dividends, it is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you relinest dividends become a separate tax lot.

Unrealized (tax) gain or tost is the difference between the current value and the cost basis and would perietly by by virt laxable gain or loss if the security was sold on titis date. The unredized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

investment return is the current value minus the arrount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividencts that were not reinvested.

Coat basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

		Purchase pricer						
	PICTURE	Average price	Cient	ğ	Price per share	Value on	Unrealized (tag)	Investment Holding
Holding	of shares	per share (\$)	investment (\$)	basis (\$)	on Dec 31 (\$)	(€) IE 34	gan or loss (\$)	return (\$) Derioc
SHARES RUSSELL MIDCAP ETF								
Sembol: MAR								

32.000 ISHARES RUSSELL MID-CAP GROWTH EAI: \$63 Current yield: 1.31% Trade date: Apr 2, 13

Symbol: MP

continued next page

5

763.20

763.20

4,799.36

149.980

4,036.16

4,036.16

126.130

Page 23 of 50

Account name: MONTGOMERY D SHAW Friendly account name: Monte Rollover Account type: IRA Rollover Account number:

Your Financial Achisor:

Your assets , Equities , Gosed end funds & Exchange traded products (continued)

Trade date: Aug 20, 13 EAI: \$71 Current yield: 0.79% SPOR S&P 500 ETF TR Symbol: SPY Trade date: Jun 27, 12	106.000						943.40		3
AI: \$71 Curent yield: 0.79% POR 5&P 500 ETF TR ymbol: SPY rade date: Jun 27, 12		75.460	7 998.76	7,998.76	84.360	8,942.16	! !	943.40	15
APR S&P 500 ETF TR ymbol: SPY rade date: Jun 27, 12									١
ymbol: SPY rade date: Jun 27, 12									
rade date: Jun 27, 12									
A to be to be the state of the	107.000	132.987	14,229.62	14,229.62	184.690	19,761.83	5,532.21		5
Hadde Gatte. Oct 17, 13	15.000	173.023	2,595.35	2,595.35	184.690	2,770.35	175.00		ᅜ
EA): \$409 Current yield: 1.82%									
Security total	122.000	137.910	16,824.97	16,824.97		22,532,18	5,707,21	5,707.21	
VANGUARD FISE EUROPE ETF									
Symbol: VGK									
Trade date: Oct 17, 13	64.000	56.189	3,596.15	3,596.15	28.800	3,763.20	167.05	167.05	15
EAI: \$104 Current yield: 2,76%								÷	
Total			\$32,456.04	\$32,456.04		\$40,036.90	\$7,580.86	\$7,580.86	
Total estimated annual income: \$647									
intal reinvested is the total of all reinvested dwidencs. It does not tot for the purposes of determining holding periods or cost basis. reinvest dividence become a separate law for.	<b>+</b>	include any cash dwidends. It is not a tax The shares you receive each time you	it is not a tax time you	Unresized (fi generally be may need to	ax) gain or loss is the your tavable gain or label adjusted for return	difference between to so if the security was of capital payments	Unrealized (fax) gain or loss is the difference between the current value and the cost basis and would. generally be your taxable gain or loss if the security was sold on titis date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax	cost basis and would nealized (tax) gain or to a realized gain or toss fo	s s E
Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.	g reinvested dividential sections with the sections of the section of the sections of the section of the sect	dends. The cost to ted cost basis for	asts may neec tax reporting	reporting purposes.  Investment return I: reflected on your st not include cash div	rposes. etum is the current va your statement, incluicath discounts that we	lue minus the amoun ding shares that have are not reinvested.	reporting purposes.  Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or alloss. It also does not include cash dividents that were not retirestied.	xindude shares that en gain or aloss. It also d	es Ges Ges
Links	Number	Purchase price Average price nor chare (1)	Client (4)	Cost (5)	Pice per share	Value on Dec 31 (5)	Unrealized (tag)	Investment Ho	Holding
FMI LARGE CAP									1
FUND									
Symbol: FMIHX									
Trade date: Jun 27, 12	690.647	16.139	11,147.04	11,147.04	20.860	14,406.89	3,259,85		Ħ
Trade date: Jun 6, 13	168.095	19.850	3,336.69	3,336.69	20,860	3,506.46	169.77		ĸ
Total reinvested	77.812	19.632		1,527.66	20.860	1,623.16	95.50		
EAI: \$166 Current yield: 0.85%									
Security total	936.554	17.096	14,483.73	16,011.39		19,536.51	3,525.12	5,052.78	

Account name: MONTGOMERY D SHAW
Friendly account name: Monte Rollover
Account type: IRA Rollover
Account number:

Your assets . Equities . Mutual funds (continued)

Holdng	Nurther of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on: Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	investment Holding return (\$) perioc
VALUE MID CAP FUND CLASS								
⋖								
Symbol: JVMAX								
Trade date: Jun 27, 12	550,757	11 479	6,322.69	6,322.69	17.590	9,687.81	3,365,12	5
Total reinvested	13.543	16.442		222.68	17.590	238.22	15.54	
Security total	564.300	11.599	6,322.69	6,545,37		9,926.03	3,380.66	3,503.34
MAINSTAY KAP								
INTERNATIONAL FUND A								
Symbol: KEVX								
Trade date: Jun 27, 12	399,005	25.750	10,274.38	10,274.38	35.860	14,308.32	4,033.94	17
Trade date: Jun 25, 13	72.022	30.420	2,190.91	2,190.91	35.860	2,582.71	391.80	Ş
Total reinvested	10.902	31 015		338.13	35.860	390.95	22.82	
EAI: \$133 Current yield: 0.77%								
Security total	481.929	26.567	12,465.29	12,803.42	í	17,281.97	4,478.56	4,816.69
MANNING & NAPIER FD,								
INC. WORLD OPPORTUNITIES								
SRS								
Symbol: EXWAX								
Trade date: Jun 27, 12	1,648.988	6.710	11,064.71	11,064.71	9.050	14,923.33	3,858.62	בז
Total reinvested	55.984	8.229		460,70	9.050	506.65	45.95	
EAI: \$176 Current yield: 1.14%								
Security total	1,704.972	6.760	11,064.71	11,525.41		15,429.99	3,904.57	4,365.27
RIVERPARVWEDGEWOOD								
RETAIL FUNDS								
Symbol: RWGFX								
Trade date: Jun 27, 12	913.859	12.450	11,377,55	11,377.55	17.520	16,010.81	4,633.26	5
Trade date: Jun 6, 13	242.358	15.009	3,637.79	3,637.79	17.520	4,246,11	608.32	55
Total reinvested	20.612	16.450		339.08	17.520	361.12	22.04	
Security total	1,176.829	13.047	15,015.34	15,354.42		20,618.04	5,263.62	5,602.70
TOUCHSTONE SMALL CAP								
CORE FUND CLASS A								
							•	continued next page

Your Financial Advisor:

Account name: MONTGOMERY D SHAW
Friendly account name: Monte Rollover
Account type: IRA Rollover
Account number.

Your assets . Equities . Mutual funds (continued)

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (5)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tad) gain or loss (\$)	Investment Holding return (\$) period
Symbol: TSFAX							:	
Trade date: Jun 27, 12	252.787	14.459	3,655.30	3,655.30	21.000	5,308.52	1,653,22	IJ
Total reinvested	12.221	18.982		231.98	21.000	256.64	24.66	
EAI: \$81 Current yield: 1,46%								
Security total	265.008	14.669	3,655.30	3,887.28		5,565.16	1,677.88	1,909.86
Total			\$63,007.06	\$66,127.29		\$88,357.70	\$22,230.41	\$25,350.64
Total estimated annual income: \$556								

### Fixed income

# Closed end funds & Exchange traded products

not a tax <i>Unrealized (tax) gain or loss</i> is the difference between the current value and the cost basis and would you generally be your favable gain or loss if the security was soid on this date. The unrealized (tax) gain or loss in you may need to be adjusted for return of capital payments in order to cheterraine the realized gain or loss for tax		Client Cost Price per share Value on Unrealized (tad) bruvestment Holding investment (\$) basis (\$) on Dec 31 (\$) Dec 31 (\$) gain or loss (\$) return (\$) perior	
Ch tême	#£		
ry cash dividends. It is i you receive each time	dends. The cost t sted cost basis fo	Purchase parce Average parce per share (\$)	
Total reinested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax for the purposes of determining holding pelhods or cost basis. The shares you receive teach time you retire to separate tax lot.	Cost basis is the total purchase cost of the security, including relinvested chickends. The cost basis may neec to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.	Purchase price Number Average price of shares per share (\$)	

:	Number	Purchase price Average price	Client	S S	Price per share	value on	Unrealized (tag)	investment Holding	tolana
Holding		per share (3)	investment (3)	Casts (3)	On Dec 31 (3)	(c) (c)	gan or loss (3)	return (3)	<u>8</u>
ISHARES 1-3 YEAR CREDIT BOND									
ETF									
Symbol: CSI									
Trade date: Oct 17, 13	100.000	105.339	10,533,94	10,533.94	105,460	10,546.00	12.06	12.06	S
EAI: \$123 Current yield: 1.17%									
VANGUARD BD INDEX FD INC TOTAL									
BOND MKT ETF									
Symbol: BND									
Trade date: Nov 13, 12	35.000	85.030	7,822.76	7,822.76	80.050	7,364.60	458.16	458.16	5
EAI: \$187 Current yield: 2.54%								•	
Total			\$18,356.70	\$18,356.70		\$17,910.60	-\$446.10	<b>\$446.</b> 10	
Total estimated annual income: \$310									

Account name: MONTGOMERY D SHAW Friendly account name: Monte Rollover Account type: IRA Rollover Account number:

### Your assets , Fixed income (continued)

reinnest dividends became a separate fax ldt.  Cost basis is the total purchase cost of the security, including reinnested dividends. The cost basis may reed to be adulted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.  Purchase price of starter purposes.  Purchase price of shares price of shares price of shares price investmen OPPENHEIMER SENIOR  FLOATING RATE FUND  CLASS A  Symbol: OOSAX  Trade date: Jun 6, 13  Trade date: Jun 6, 13  Total reinvested  EAI: \$283 Current yield: 4,65%  Security total  Non-traditional  Murtual funds  Murtual funds  Murtual funds  Murtual funds  Notal reinvested is the total of all reinvested dividends. It is not a tax in the purpose of the pur	greinvested dw o determine the			cenerally be your tauble dain or loss if the security was sold on this date. The littlessiped flash out or loss may				
Holding OPPENHEIMER SENIOR ELOATING RATE FUND CLASS A Symbol: OOSAX Trade date: Jun 6, 13 Trade date: Jun 25, 13 Trade date: Jun 25, 13 Trade date: Jun 25, 13 Wurtual funds Mutual funds Non-traditional		idends. The cost bar e adjusted cost bar	ans may	need to be adjusted reporting purposes. Investment return is reflected on your staindlude cash divider	greed to be adjusted for return of capital payment procring purposes.  Investment return is the current value minus the refected on your statement, including shares the include cash dividents that were not retivested.	tel payments in order minus the amount y jshares that have be envested.	need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.  Immestiment purposes.  Immestiment put at the current value minus the amount you invested. It does not include shares that are reflected on your statement, including shares that have been realized as either a gain or a loss. It also directed anyour statement, that were not reinvested.	need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.  Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain on a loss. It also does not include cash dividends that were not reflected.
OPPENHEIMER SENIOR ELOATING RATE FUND CLASS A Symbol: OOSAX Trade date: Jun 6, 13 Trade date: Jun 25, 13 Total reinvested EAI: \$283 Current yield: 4.65% Security total  Non-traditional  Mutual funds  Total reinvested dividends. It the total of all reinvested dividends.	Number of shares	Purchase pricel Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Umestized (tax) gain or loss (5)	Investment Holding return (\$) perioc
FLOATING RATE FUND CLASS A Symbol: OOSAX Trade date: Jun 6, 13 Trade date: Jun 25, 13 Total reinvested EAI: \$283 Current yield: 4.65% Security total  Non-traditional  Mutual funds  Notal reinvested dividends it the total of all reinvested dividends. It the total of all reinvested dividends it the total of all reinvested dividends it the total of all reinvested dividends.								
CLASS A Symbol: OOSAX Trade date: Jun 6, 13 Trade date: Jun 25, 13 Total reinvested EAI: \$283 Current yield: 4.65% Security total  Non-traditional  Mutual funds Total reinvested dividends. It the total of all reinvested dividends. It the total of all reinvested dividends it the total of all reinvested dividends. It the total of all reinvested dividends it the total of all reinvested dividends.								
Symbol: OOSAX Trade date: Jun 6, 13 Trade date: Jun 25, 13 Trade date: Jun 25, 13 Total reinvested EAI: \$283 Current yield: 4.65% Security total  Non-traditional  Mutual funds Total reinvested dividends it the								
Trade date: Jun 6, 13  Trade date: Jun 25, 13  Trade date: Jun 25, 13  Total reinvested  EAI: \$283 Current yield: 4.65%  Security total  Non-traditional  Mutual funds  Total reinvested is the total of all reinvested dividends. It the total of all reinvested dividends it the total of all reinvested dividends.								
Trade date: Jun 25, 13  Total reinvested  EAI: \$283 Current yield: 4.65%  Security total  Non-traditional  Mutual funds  Total reinested dividends it does to the contraditional date date to the contraditional d	489.720	8.379	4,103.85	4,103.85	8.430	4,128.34	24.49	ST
Total reinvested  EAI: \$283 Current yield: 4.65%  Security total  Non-traditional  Mutual funds  Note: the contract of the total of all reinvested dividends. It toes to to the contract of th	214.647	8.360	1,794.45	1,794.45	8.430	1,809.47	15.02	T2
EAI: \$283 Current yield: 4.65% Security total Non-traditional Mutual funds National funds Note: the control of all reference of depends it operated to the control of the c	17.580	8.389		147.48	8.430	148.20	0.72	
Security total  Non-traditional  Mutual funds  Total remested dividends it the total of all remested dividends. It the								
Non-traditional Mutual funds Total remested of the total of all remested dividends it the	721.947	8.374	5,898.30	6,045.78		6,086.01	40.23	187.71
Mutual funds  Total reinested is the total of all reinested dividence. It does not be to the total of all reinested dividence of detailed to the total of the tot								
Total reinvested is the total of all reinvested dividends. It does								
for or my purpose to destinating industry princip or controps, in strains you receive each of the you retirused dividentity become a suppared text (of. Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.	es not include a pasis. The share: greinvested div erraine the adju	Include any cash dividends. It is not a The shares you receive each time you wested dividends. The cost basis may in wette adjusted cost basis for tax repor	it is not a tak time you esis may neec tak reporting	Unealized (tax) gain generally be your ta may need to be adireporting purposes. Innestment return is reflected on your streflected on your streflected cash offn not induced cash offn not induced cash offn not induced cash offn.	Invesized (tax) gain or loss is the difference betwee generally be your deadler gain or loss if the security ving need to be adjusted for return of capital payme eporting purposes. Investment return is the current value minus the arm effected on your statement, including shares that ha rid include cash dividence that were not refinested.	Afficience between the security was of capital payments of capital payments in the arround shares that have a not reinvested.	Unesized (tax) gain or loss is the difference between the current value and the tost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or may need to be adjusted for return of capital payments in order to determine the realized gain or loss reporting purposes.  Insection of the contract security was sold on this security that is the current value minus the arrount you invested. It does not include shares that need no your statement, including shares that have been realized as either a gain or a loss. It also not inducted can discherus that were not reinvested.	Unrealized (tax) gain or loss is the difference between the cument value and the tost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss from the need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.  The interpretation of the current value minus the amount you invested it does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or alloss. It also does not include that were not relined as either a gain or alloss.
Holding	Number of shares	Purchase pricel Average pricel per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment Holding return (\$) period
AQR MANAGED FUTURES STRATEGY FUND CLASS N								
Symbol: AQMINX								
Trade date: Jun 27, 12	342.621	9.749	3,340.55	3,340.55	10.510	3,600.95	260.40	LT continued next page
· · · · · · · · · · · · · · · · · · ·					***************************************			

# Your assets - Non-traditional - Mutual funds (continued)

Holding	Number of shares	Average price per share (5)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on	Unrealized (tax) gain or loss (\$)	investment Holding return (\$) perioc
Trade date: Jun 6, 13		9.970	3,489.89	3,489,89	10.510	3,678.91	189.02	IS
Total reinvested	9.909	10.120		100.28	10.510	104.14	3.86	
Security total	702.569	9.865	6,830.44	6,930.72		7,384.00	453.28	553.56
ARBITRAGE FUND NO LOAD								
CLASS								
Symbol: ARBFX								
Trade date; Jun 27, 12	687.874	12.829	8,825,42	8,825.42	12,600	8,667.21	-158.21	ĽI
Total reinvested	22.676	12.477		282.94	12.600	285.72	2.78	
Security total	710.550	12.819	8,825.42	9,108.36		8,952.93	-155.43	127.51
BLACKROCK GLOBAL								
LONG/SHORT CREDIT FUND A								
Symbol: BGCAX								
Trade date: Jun 6, 13	931.964	10.640	9,916.10	9,916.10	10.790	10,055.89	139.79	ST
otal reinvested	3.614	10.666	,	38.55	10.790	39.00	0.45	
EAI: \$111 Current yield: 1.10%						,		
Security total	935.578	10,640	9,916.10	9,954.65		10,094.88	140.24	178.79
JHANCOCK2 GLOBAL								
ABSOLUTE RETURN								
STRATEGIES FUND CLASS A								
Symbol: JHAAX								
Trade date: Jun 27, 12	924.398	10.420	9,632.23	9,632.23	11.060	10,223.84	591.61	LT
Total reinwested	18.727	10.855		203.29	11.060	207.12	3.83	
EAI: \$116 Current yield: 1,11%								
Security total	943.125	10.429	9,632.23	9,835.52		10,430.96	595.44	798.73
MAINSTAY MARKETFIELD								
FUND CLASS!								
Symbol: MFLDX								
Trade date: Jun 27, 12	363.578	14.989	5,450.03	5,450.03	18.520	6,733.46	1,283.43	ū
Total reinvested	1.723	15.577		26.84	18.520	31.91	5.07	
EAI: \$1 Current yield: 0.01%								
	35.35					r [		Ve Site i

Account name: MONTGOMERY D SHAW
Friendly account name: Monte Rollover
Account type: IRA Rollover
Account number:

Your Financial Advisor:

# Your assets - Non-traditional - Mutual funds (continued)

Total estimated annual income: \$228	date: Jun 6, 13 482.201 9.819 4,735.21 4,735.21	Symbol: RLSFX	RETAIL	OPPORTUNITY FUND CLASS	RIVERPARK LONGSHORT	Purchase price Purchase price Purchase price Purchase price Purchase price Purchase price Client Cost Price per share Client Cost Price per share Cost Price per share (\$) investment (\$) basis (\$) on Dec 31 (\$)
	_					Purcha Avera per
	6186					sse price share (\$)
\$45,389.43	4,735.21					Client investment (\$)
\$46,041.33	4,735.21					Cost basis (\$)
	10.870					Price per share on Dec 31 (\$)
\$48,869.66	5,241.52					· Value on Dec 31 (\$)
\$2,828.34	506.31					ue on Unreslized (tad) 31 (\$) gain or loss (\$)
\$3,480.23	506.31					investment Holding return (\$) perioc
	15					Holding period

Account type: Account number:

### Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *important information about your statement* at the end of this document for more information.

### Cash and money balances

Gash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stanford Branch deposit account balances and money market mutual fund sweep balances.

protected by SPC. UBS AG Starnford Branch deposit account balances are not insured by FDIC and are not protected by SPC. Money market sweep balances are protected by SPC but are not insured by the FDIC. See the important information about your statement at the end of this document for details about those UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not

UBS BANK USA DEP ACCT	Holding
1,454,63	Opening balance on Dec 1 (5)
1,722.23	Closing balance on Dec 31 (\$)
	Price per share on Dec 31 (\$)
	Average rate:
	Dividend Interest period
	Days in period
250,000.00	Cap amount (\$)

### Equities

### Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends, it is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividencis. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for law reporting

Ubrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unredized (tax) gain or loss may need to be adjusted for return or capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

	Number	Average price	Clent	Cost	Price per share	Value on	Unirealized (tax)	investment Holding
Holding	of shares	per share (\$)	investment (\$)	besis (\$)	on Dec 31 (\$)	Dec 31 (\$)	gain or loss (5)	return (\$) perioc
ISHARES MSCI BAFE ETF								
Symbol: EFA								
Trade date: Aug 1, 12	125,000	50.086	6,310.84	6,310.84	67.095	8,453.97	2,143.13	ᄓ
Trade date: Sep 18, 12	21.000	54.650	1,147.65	1,147.65	67.095	1,409.00	261.35	ᄓ
Trade date: Oct 17, 13	33.000	65.678	2,167.40	2,167.40	67.095	2,214,14	46.74	TZ
Trade date: Dec 23, 13	36,000	65.670	2,364.12	2,364.12	67.095	2,415.42	51.30	ST
EAI: \$368 Current yield: 2.54%								

continued next page

Account name: TRNA KONG-HILDEBRAND SHAW Friendly account name: Tina SEP IRA Account type: Simplified Employee Pension Account number:

Your financial Advisor:

# Your assets , Equities , Closed end funds & Exchange traded products (continued)

Holding	Number of shares	Purchase pricer Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tag) gain or loss (\$)	investment Holding return (\$) period	ion,
Security total	216.000	55.509	11,990.01	11,990.01		14,492.52	2,502.52	2,502.52	
VANGUARD TOTAL STOCK MKT ETF									i
Symbol: VTI									
Trade date: Aug 1, 12	64.000	70.188	4,492.09	4,492.09	95.920	6,138.88	1,646.79		<b>5</b>
Trade date: Sep 18, 12	13.000	75.000	975.00	975.00	95.920	1,246.96	271.96		5
Trade date: Jan 24, 13	30.000	77.200	2,316.00	2,316.00	95.920	2,877.60	561.60		₹
Trade date: Oct 17, 13	140.000	90.250	12,635.00	12,635.00	95.920	13,428.80	793.80		21
EAI: \$413 Current yield: 1.74%									
Security total	247.000	82.664	20,418.09	20,418.09		23,692.24	3,274.15	3,274.15	
VANGUARD INDEX FUNDS VANGUARD			,						
GROWTH ETF									
Symbol: VUG									
Trade date: Aug 1, 12	65,000	68.666	4,463.33	4,463.33	93.050	6,048.25	1,584.92	1,584.92 LT	5
EAI: \$72 Current yield: 1.19%									
VANGUARD DIVID APPRECIATION									
ETF									
Symbol: ViG									
Trade date: Aug 1, 12	80.000	<i>57.67</i> 9	4,614.39	4,614.39	75.240	6,019.20	1,404.81	1,404.81	<b>=</b>
EAI: \$111 Current yield: 1.84%									1
Total			\$41,485.82	\$41,485.82		\$50,252.21	\$8,766.40	\$8,766.39	

Total estimated annual income: \$964

### Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

#### Other

### Mutual funds

Total reinvested is the total of all reinvested dividencis. It does not include any cash dividencis, it is not a tax iot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividencia become a separate tax iot.

Ost basis is the total purchase cost of the security, including reinvested dividencis. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the arrount you invested, it does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Average price per share (3)	Client (5)	Cost basis (\$)	Cost Price per share basis (\$) on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tad) gain or loss (\$)	investment Holding return (5) periox
TRANSAMERICA ASSET								
ALLOCATION GROWTH								
PORTFOLIO CL C								
Symbol: IAALX						,		
Trade date: Feb 23,05	178.277	11.105	1,979.90	1,979.90	15.390	2,743.68	763.78	
Trade date: Mar 16, 05	357,318	11.114	3,971.48	3,971.48	15.390	5,499,12	1,527.64	
Total reinvested	92,954	12.488		1,160.82	15.390	1,430.56	269.74	
EAI: \$137 Current yield: 1.42%								
Security total	628,549	11.315	5,951.38	7,112.20		9,673.36	2,561.16	3,721.98

Account number:

Your assets (continued)

### Fixed income

## Closed end funds & Exchange traded products

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends, it is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividencis. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for lax reporting purposes.

Investment return is the current value rithrus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been restized as either a gain or alloss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unregized (tag) gain or loss (\$)	investment Holding return (\$) period	loiding perioc
POWERSHARES ETF TRUST II									
Symbol: BKLN									
Trade date: Apr 2, 13	73.000	25.120	1,833.76	1,833.76	24.880	1,816.24	-17.52		ST
Trade date: Jun 6, 13	84,000	24.950	2,095.80	2,095.80	24.880	2,089.92	-5.88		7
EAI: \$172 Current yield: 4.40%						-			
Security total	157,000	25.029	3,929.56	3,929.56		3,906.16	-23.40	-23,40	
SPOR BARCLAYS INTER TERM CORP									
BOND ETF									
Symbol: ITR						-			
Trade date: Oct 17, 13	49,000	33.820	1,657.18	1,657.18	33.600	1,646.40	-10.78	-10.78	SŢ
EAI: \$46 Current yield: 2.79%									
Total			\$5,586.74	\$5,586.74		\$5,552.56	\$34.18	-\$34.18	
Total estimated armual income: \$218									

### WILLIAM E SHAW CUST FOR SHAW UNDER IA UNIFORM TRANSFER TO MINORS ACT

Statement Period: DECEMBER 1 - DECEMBER 31, 2013
Account Number:



This section shows the cash, cash site makes and/or securifies in your account. It reflects matter values as of the close of business, December 31, 2013. Any balances reflected in this section held in a bank deposit account or in shapes of another matter than the projects returned to your account or remitted to you. cluding removement activity. Performance may be missiated if any cost information is inascurate or if you have sold part of your position since your original investment. the party, unresident gravities is being prepared for informational purposes only to assist you in comparing the total current value of your position with your total amount invested,

### CASH AND CASHALI MOVATIVES

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	,871.94	Value	Current	
	9,871.94	Cost		
		Gain/(-)Loss*	Unrealized	
	0.99	Income Yield %	Annualized	Anticipated
	0.99 0.01%	Yeld %	Current	

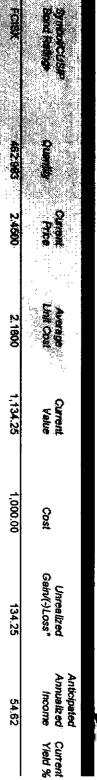
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### PORTFOLIO ASSETS

	Quantity	Current Price	Average Unit Cost	Current Value	Cost	Unrealized Gain/(-)Loss*	Annualized	Current Yield %
	100	4 8900	2 1850	488 OO	216 50	374 FO	N/A	Z A
	100	4.8800	2.1650	488.00	216.50	271.50	× ×	N N
	410	5.7100	6.9495	2,341.10	2,849.30	-508.20	52.90	2.26%
	73.314	19.2000	13.6400	1,407.63	1,000.00	407.62	6.44	
	3,270	19.2000	16.9327	62.78	55.37	7.39	0.29	
	76.584	19.2000	13,7806	1,470.41 1,470.41	1,055.37 1,000.00	415,01	6.73	6.73 0.46%
Symbol Band R SPXCF SPXCF PMBC)	leting*		Quantity 73.314 19 3.270 19 76.584 19	Current Quantity Price 100 4.8800 410 5.7100 73.314 19.2000 76.584 19.2000	Current Quantity         Average Price         Unit Cost           100         4.8800         2.1650           410         5.7100         6.9495         2           73.314         19.2000         13.6400         1           76.584         19.2000         16.9327         1           76.584         19.2000         13.7806         1	Current Quantity         Average Price         Current Unit Cost         Current Value           100         4.8800         2.1650         488.00           410         5.7100         6.9495         2,341.10           73.314         19.2000         13.6400         1,407.63           3.270         19.2000         16.9327         62.78           76.584         19.2000         13.7806         1,470.41           1,470.41         1,470.41	Current Quantity         Average Price         Current Unit Cost         Current Value         Cost           100         4.8800         2.1650         488.00         216.50           410         5.7100         6.9495         2,341.10         2,849.30           73.314         19.2000         13.6400         1,407.63         1,000.00           3.270         19.2000         16.9327         62.78         55.37           76.584         19.2000         13.7806         1,470.41         1,000.00	Current Quantity         Average Price         Current Unit Cost         Current Value         Cost         Unrealized Gaint(-)Loss*         Annualized Income           100         4.8800         2.1650         488.00         216.50         271.50         N/A           410         5.7100         6.9495         2,341.10         2,849.30         -508.20         52.90           73.314         19.2000         13.6400         1,407.63         1,000.00         407.62         6.44           3.270         19.2000         16.9327         62.78         55.37         7.39         0.29           76.584         19.2000         13.7806         1,470.41         1,000.00         415.01         6.73

# WILLIAM E SHAW CUST FOR SHAW UNDER IA UNIFORM TRANSFER TO MINORS ACT

Statement Period: **DECEMBER 1 - DECEMBER 31, 2013**Account Number: '



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35,507

24500

2.3021

87.00 1,221.25 1,221.25

81.74 1,081.74 1,000.00

139.41

58.81

4.82%

4.19

5.16

ENERGY TRANSFER PARTNERS ETP WITH TO PARTNERSHIP Accumulated Paydown: 179.89	RESENCY ENERGY PARTNERS RGP  IF COM UNITS REPRIGITE PARTNER INTEREST ACCIDINATED INTEREST	EVERED A PARTHERA  IMITED A TRIBESIAN DAILT  RESEARCH DE PARTIER INT  ACCUMUNICATE SOOM 155.90	Other in) excitating
100	100	700	
100 57.2500	100 26.2800	100 33:9300	<
45.8361	24:3178	69.2020	
5,725.00	2,626.00	3,393.00	
4,583.61***	2,431.78***	6,920.20***	
1,141.39	194.22	-3,527.20	
362.00	188.00	308.00	
362.00 6.32%	188.00 7.16%	308.00 9.08%	

Bond ratings of securities displayed on your statement were obtained from various rating services. There is no guarantee with respect to the accuracy of this information.

Please note, "Unrealized Gain/(-)Loss" does not equal the total current value minus the total cost if any value or cost amounts are missing.

<sup>\*\*\*</sup> The original cost of this security has been adjusted to reflect principal payments, return of capital or amortization/accretion based on our records and/or provided by you.

### UNIFORM TRANSFER TO MINORS ACT WILLIAM E SHAW CUSTODIAN FOR SHAW UNDER IA

Account Number: Statement Period: DECEMBER 1 - DECEMBER 31, 2013



This section shows the cash, cash alternatives and/or securities in your account it reflects market values as of the close of business. December 31, 2013. Any balances reflected in this section held in a bank deposit account or so share of money market mutual funds may be inquidated on your order and the proceeds returned to your account or remitted to you.

Please note, unrealized gain/has in being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Performance on funds and main introduced to provided for informational purposes only to assist you in comparing the total current value of your position with your total amount invested,

selections, cost information is insecurate or if you have sold part of your position since your original investment.

TOTAL PERFORMANCE: \$470.41	PRINCIPAL MID CAP CL C REINVESTMENTS	Spock Funds	EBAY IXC	ASSOCIATED ESTATES RUTY	ROKUBOLIO ASSEIS Stockedoptions	Net yield from 12/01/03 - 32/30/13 was 0.01% (Compounded). Deposits held at US Bank was insured by the FDIC up to \$250,000.	MSURED DEPOSIT US BANK	CASH AND CASH ALT DINATIVES
	PMBCX	8	EBAY	AEC	SymboliCUSIP Bond Reting+	eas (0.01% (Compounded extry the FDICup to \$25		CIVE
76.584	73.31 <b>4</b> 3.270	ice	100	100	Quantity	0,000		
19.2000	19.2000 19.2000	#3. F700	54.8650	16.0500	Current Price			
13.7806	13.6400 16.9327	40.2023	41.3849	17.4633	Average Unit Cost			
1,470.41 1,470.41	1,407.63 62.78	4,111.00	5,486,50	1,605.00	Current Value		6,333.60	Current Value
1,055,37 1,000.00	1,000.00 55,37	4,020.33	4,138.49	1,743.45***	Cost		6,333,60	Cost
415.01	407.62 7.39	-2117,300	1,348,01	-138.45	Unrealized Gain/(-)Loss*			Unrealized Gain(-)Loss*
6.73	6.44 0.29	700,000	N/A	76.00	Anticipated Annualized Income		0.63	Anticipated Annualized Income
0.46%		.t. 34 24 26		4.74%	Current Yield %		0.01%	Current Yield %

### UNIFORM TRANSFER TO MINORS ACT WILLIAM E SHAW CUSTODIAN FOR SHAW UNDER IA

Account Number: Statement Period: DECEMBER 1 - DECEMBER 31, 2013



188.00 7.16%	195.05	2,430.95***	2,626.00	24,3095	26.2600	REGENCY ENERGY PARTNERS RGP (00 LF COMUNITS REPSTG LTD PARTNER INTEREST Accumulated Psyclosor 95:59
Anticipated Annualized Current Income Yield %	Unrealized Gain/(-)Loss*	Cost	Current Value	Average Unit Cost	Current Price	Sympotous in Colored Sympotous

- Please note, "Unrealized Gaini(-) Loss" does not equal the total current value minus the total cost if any value or cost amounts are missing. Bond ratings of securities displayed on your statement were obtained from various rating services. There is no guarantee with respect to the accuracy of this information.
- \*\*\* The original cost of this security has been adjusted to reflect principal payments, return of capital or amortization/accretion based on our records and/or provided by you.