DRFI MINARY INFORMATION CALENDAR YEAR 2011 FINANCIAL DISCLOSURE STATEMENT UNITED STATES HOUSE OF REPRESENTATIVES Report Status Filer Type \$ House of Representatives Member of the U.S. Annual (May 15) **David Dreier** (Full Name) ANSWED FACH OF Amendment State: District: 26 S 5 SNOITS HID AS AHT Termination Officer Or Employee For use by Termination Date: **Employing Office:** 1/3/2013 rs, officers, and employees LEGISENTIFIE RESUURDE GERI (Daythie telephorie) COLERY (Office Use Only) 2013 APR 29 PH 2: 52 anyone who files more than 30 days A \$200 penalty shall be assessed against Page 1 of 102

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Exemptions-	Trusts-	CLUSION OF	If yes, complete ar	Did you, your spouse (more than \$10,000)	if yes, complete ar	Did you, your spouse reportable asset in a	If yes, complete ar	Did you, your spouse more than \$200 in the more than \$1,000 at 1	If yes, complete ar	Did any individual or paying you for a spec	If yes, complete ar	Did you or your spou or more from any so	/ECHMINAN
Have you excluded from this report any other assets, "unearmed" income, transactions, or liabil because they meet all three tests for exemption? Do not answer "yes" unless you have first co	Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" ned disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION ANSWER	If yes, complete and attach Schedule V.	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 IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting	If yes, complete and attach Schedule III.	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.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?	If yes, complete and attach Schedule 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?	TRELIMINARY INFORMATION - ANSWER EACH OF THESE GOESTIONS
Do ;	ed by	ITS!	ļ	Yes 🗸 No		Yes ☑ No		Yes 🗹 No 🗌		Yes 🗆 No 🗸		Yes	5
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Ities of a spouse or dependent child nsulted with the Committee on Ethics.	ed not be	ON - ANSWER EACH OF THESE QUESTIONS	schedule attached for each "Yes" response.	Each question in this part must be answered and the appropriate	If yes, complete and attach Schedule IX.	Did you have any reportable agreement or arrangement with an outside entity?	If yes, complete and attach Schedule VIII.	Did you hold any reportable positions on or before the date of filing in the VIII. current calendar year?	1350 from one source)? If yes, complete and attach Schedule VII.	Did you, your spouse, or a dependent child receive any reportable travel VII. or reimbursements for travel in the reporting period (worth more than	if yes, complete and attach Schedule VI.	our spouse, or a dependent child receive any reportable gift in ing period (i.e., aggregating more than \$350 and not otherwise	BITONS
Yes □ No ☑	Yes 🗌 No 🗸			app		ĕ		Yes		Yes		Yes ☐ No 🗹	
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PS	\$201 - \$1,000	CAPITAL GAINS	None	ACE LIMITED
PS	\$5,001 - \$15,000	CAPITAL GAINS	None	ACCENTURE PLC IRELAND CL A
PS	\$2,501 - \$5,000	DIVIDENDS	None	ABERDEEN EMERGING MARKETS FUND CLASS A
PS	\$5,001 - \$15,000	CAPITAL GAINS	None	ABBOT LABS UNSOLICITED
S	NONE	None	None	ABBEY CAPITAL MULTIMANAGER FUND LTD
PS	\$201 - \$1,000	CAPITAL GAINS	None	3M CO UNSOLICITED
Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.	For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or iRAs), 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.		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 and is included only because it is generated income, the value should be "None."	identify (a) each asset held for investment or production of income with a fair market 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 IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period. For rental or other real property held for investment, provide a complete address. For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A. 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 a personal checking or saving 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
BLOCK E Transaction	Amount of Income	Type of Income	BLOCK B Year-End	Asset and/or Income Source
Page 2 of 102			101	SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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CHEDULE III - ASSETS AND "UNEARNED" INCOME	AE Name David Dreier	ier	Ъ	Page 3 of 102 .
AEON CO LTD UNSPON ADR UNSOLICITED	None	None	NONE	PS
AFFILIATED MANAGERS GROUP	None	CAPITAL GAINS	\$201 - \$1,000	PS
AGEAS SPON ADR UNSOLICITED	None	None	NONE	PS
AGRIUM INC (CANADA) CAD UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
AKAMAI TECHNOLOGIES INC UNSOLICITED	None	None	NONE	PS
ALBEMARLE CORP UNSOLICITED	None	None	NONE	PS
ALLERGAN INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
ALLIANCE DATA SYSTEMS CORP	None	CAPITAL GAINS	\$201 - \$1,000	PS
ALLIANZ SE ADR UNSOLICITED	None	None	NONE	S
ALSTOM ADR UNSOLICITED	None	None	NONE	w
ALUMINA LTD SPON ADR UNSOLICITED	None	None	NONE	v
AMERICAN EXPRESS CO. UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
AMERICAN FUNDS GROWTH FUND OF AMERICA CLASS F	None	CAPITAL GAINS	\$15,001 - \$50,000	Ø
AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS FUND	None	DIVIDENDS/CAPI TAL GAINS	\$15,001 - \$50,000	S S

Name David Dru	SCHEDULE III - ASSETS AND "UNEARNED" INCOME

SCHEDULE III - ASSETS AND "UNEARNED" INCOME	ME Name David Dreier	eier	Pa	Page 4 of 102
AMERICAN HIGH INCOME TRUST	\$250,001 - \$500,000	DIVIDENDS	\$2,501 - \$5,000	ס
AMERICAN SCIENCE & ENGINEERING INC	None	None	NONE	S
AMERICAN STATES WATER CO.	None	None	NONE	8
ANGLOGOLD ASHANTI LTD NEW SPON ADR	None	None	NONE	Ø
APOGEE ENTERPRISES INC UNSOLICITED	None	None	NONE	PS
APPLE INC UNSOLICITED	None	CAPITAL GAINS	\$50,001 - \$100,000	PS
ARDEN FOCUSED GLOBAL MACRO LP	\$250,001 - \$500,000	Other: (PARTNERSHIP INCOME)	\$5,001 - \$15,000	
ASAHI GLASS ADR	None	None	NONE	PS
ASML HOLDING NV NY REG SHS NEW	None	CAPITAL GAINS	\$201 - \$1,000	PS
ASTRAZENECA PLC SPON ADR UNSOLICITED	None	None	NONE	PS
AT&T INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
AUSTRALIA & NEW ZEALAND BKG GRP LTD SPONSRD ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
AUTOLIV INC	None	None	NONE	PS
AUTONATION INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

SCHEDULE III - ASSETS AND "UNEARNED" INCOME	Name David Dreier	ier	Pa	Page 5 of 102
AXIS CAPITAL HOLDINGS LTD SHS	None	None	NONE	PS
BAE SYSTEMS PLC SPON ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
BAIDU INC.	None	None	NONE	တ
BANCO BRADESCO S.A. NEW SPON ADR	None	None	NONE	PS
BANK OF AMERICA CORP	None	None	NONE	Ø
BANK OF HAWAII CORP UNSOLICITED	None	None	NONE	ဟ
BANK OF NOVA SCOTIA CANADA CAD	None	None	NONE	PS
BARCLAYS PLC ADR UNSOLICITED	None	None	NONE	PS
BARRICK GOLD CORP CAD UNSOLICITED	None	None	NONE	Ø
BHP BILLITON LTD SPON ADR	None	None	NONE	PS
BLACKBAUD INC UNSOLICITED	None	None	NONE	Ø
BOTTOMLINE TECHNOLOGIES INC	None	None	NONE	PS
BRISTOL MYERS SQUIBB CO UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
BRUKER CORP UNSOLICITED	None	None	NONE	Ø
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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	Name David Dreier	reier	अ	Page 6 of 102
C H ROBINSON WORLDWIDE INC NEW	None	None	NONE	PS
CALGON CARBON CORP UNSOLICITED	None	None	NONE	S
CAMECO CORP CANADA CAD UNSOLICITED	None	None	NONE	PS
CANADIAN NATIONAL RAILWAY	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
CANTEL MEDICAL CORP UNSOLICITED	None	NONE	NONE	Ø
CAP GEMINI SA ADR UNSOLICITED	None	NONE	NONE	PS
CARBO CERAMICS INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
CAREFUSION CORP UNSOLICITED	None	NONE	NONE	PS
CARLSBERG AS SPON ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
CARREFOUR SA SPON ADR UNSOLICITED	None	NONE	NONE	Ø
CATERPILLAR INC UNSOLICITED	None	NONE	NONE	PS
CBRE GROUP INC CL A UNSOLICITED	None	NONE	NONE	PS
CENTRAIS ELETRICAS BRAS SA SPON ADR REP 50 COM	None	NONE	NONE	Ø
CENTURYLINK INC	None	NONE	NONE	PS

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III - ASSET
SCHEDULE II

CHEDULE III - ASSETS AND "UNEARNED" INCOME	Name David Dreier	jer jer	Pa	Page 7 of 102
CERAGON NETWORKS LTD ILS UNSOLICITED	None	NONE	NONE	PS
CERNER CORP.	None	NONE	NONE	S
CHEVRON CORP UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
CHINA PETROLEUM & CHEMICAL CORP SPON ADR	None	NONE	NONE	PS
CHUBB CORP UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
CIA PARANAENSE ENERGI SPON ADR	None	NONE	NONE	a
CLARCOR INC UNSOLICITED	None	NONE	NONE	S
COACH INC UNSOLICITED	None	NONE	NONE	PS
COCA COLA CO COM UNSOLICITED	None	NONE	NONE	PS
COGNIZANT TECH SOLUTIONS CRP	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
COHEN & STEERS INC UNSOLICITED	None	NONE	NONE	PS
COHERENT INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	Ø
COINSTAR INC UNSOLICITED	None	NONE	NONE	PS
COMCAST CORP NEW SPECIAL CL A	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	Name David Dreier	eier	Pa	Page 8 of 102
COMMERCIAL METALS CO UNSOLICITED	None	NONE	NONE	S
COMMVAULT SYSTEMS INC UNSOLICITED	None	NONE	NONE	S
COMPANHIA DE SANEAMENTO BASICO DO ESTADO DE SAO	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
Companhia Paranaense De	None	NONE	NONE	S
COMPUTER PROGRAMS & SYSTEMS INC	None	CAPITAL GAINS	\$201 - \$1,000	PS
CONGRESSIONAL FEDERAL CREDIT UNION CHECKING & SAVINGS ACCOUNT	\$100,001 - \$250,000	INTEREST	\$1 - \$200	
CONOCOPHILLIPS UNSOLICITED	None	NONE	NONE	PS
CONSOL ENERGY INC	None	NONE	NONE	PS
CORPORATE OFFICE PPTYS NEW SBI	None	NONE	NONE	S
CREDIT SUISSE GROUP SPON ADR	None	NONE	NONE	PS
CULLEN FROST BANKERS INC UNSOLICITED	None	NONE	NONE	PS
CYPRESS SEMICONDUCTOR CP UNSOLICITED	None	NONE	NONE	PS
DAI NIPPON PRINTING CO SPON ADR	None	NONE	NONE	တ
DAIICHI SANKYO CO LTD SPON ADR	None	NONE	NONE	S

Name David Dreier
SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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DARLING INTL INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
DEERE AND CO UNSOLICITED	None	NONE	NONE	PS
DELHAIZE GROUP SPON ADR UNSOLICITED	None	NONE	NONE	PS
DEUTSCHE BOERSE ADR UNSOLICITED	None	NONE	NONE	PS
DEVRY INC DEL UNSOLICITED	None	NONE	NONE	PS
DIAGEO PLC NEW GB SPON ADR	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
DILLARDS INC CL A UNSOLICITED	None	NONE	NONE	PS
DIME CMNTY BANCSHARES UNSOLICITED	None	NONE	NONE	S
DOLBY LABORATORIES INC CL A	None	NONE	NONE	PS
DOMINION RESOURCES INC VA (NEW)	None	CAPITAL GAINS	\$201 - \$1,000	PS
DORMAN PRODUCTS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
DOW CHEMICAL UNSOLICITED	None	NONE	NONE	PS
DSW INC CL A UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
DU PONT DE NEMOURS UNSOLICITED	None	None	NONE	PS

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	Name David Dreier	reier	Page	e 10 of 102
DUPONT FABROS TECHNOLOGY INC	None	NONE	NONE	PS
EAGLE MATERIALS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
EAST JAPAN RAILWAY CO ADR	None	NONE	NONE	S
EAST WEST BANCORP INC UNSOLICITED	None	NONE	NONE	PS
EHEALTH INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
ELECTRICITE DE FRANCE ADR	None	NONE	NONE	S
ENBRIDGE INC CAD UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
ENERSYS UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
EQT CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
ERICSSON SEK 10 NEW 2002 ADR	None	NONE	NONE	PS
ESCO TECHNOLOGIES INC	None	NONE	NONE	PS
EXPEDIA INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
EXXON MOBIL CORP UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
F5 NETWORKS INC	None	NONE	NONE	PS

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TOTAL THE ACCUTE AND "INDEADNED" INCOME	EDULE III - ASSETS AND UNEARNED INCOME
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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	E Name David Dreier	ijer	Page	Page 11 of 102
FACTSET RESEARCH SYSTEMS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
FEI COMPANY UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
FINANCIAL ENGINES INC UNSOLICITED	None	NONE	NONE	S
FINMECCANICA SPA ADR UNSOLICITED	None	NONE	NONE	S
FIRST EAGLE GLOBAL FUND CLASS A	None	CAPITAL GAINS	\$5,001 - \$15,000	PS
FIRSTENERGY CORP UNSOLICITED	None	NONE	NONE	PS
FLEETCOR TECHNOLOGIES INC	None	CAPITAL GAINS	\$201 - \$1,000	PS
FRANCE TELECOM SA SPON ADR	None	NONE	NONE	PS
FRANKLIN ELECTRIC CO UNSOLICITED	None	NONE	NONE	PS
FRESH MKT INC UNSOLICITED	None	NONE	NONE	PS
FUEL SYSTEMS SOLUTIONS INC	None	NONE	NONE	v
FUJI FILM HOLDINGS CORP ADR	None	NONE	NONE	S
FUJI HEAVY INDUSTRIES LTD ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
GARTNER INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS

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	Name David Dreier	eier	r dge	30 TV 01 TOV
GENERAL DYNAMICS CORP	None	NONE	NONE	PS
GENERAL ELECTRIC CO.	None	CAPITAL GAINS	\$5,001 - \$15,000	PS
GENERAL MILLS INC.	None	NONE	NONE	PS
GENESEE & WYO INC CL A UNSOLICITED	None	NONE	NONE	S
GEN-PROBE INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
GENTHERM INC (FORMERLY NAMED AMERIGON, INC.)	None	NONE	NONE	S
GEOSPACE TECHNOLOGIES CORP	None	NONE	NONE	S
GLAXO SMITHKLINE PLC ADR UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	Ø
GOLD FIELDS LTD SPON ADR UNSOLICITED	None	NONE	NONE	Ø
GOOGLE INC CL A UNSOLICITED	None	CAPITAL GAINS	\$5,001 - \$15,000	PS
GREEN DOT CORP UNSOLICITED	None	NONE	NONE	Ø
GUGGENHEIM FLOATING RATE STRATEGIES FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPI TAL GAINS	\$2,501 - \$5,000	ס
GUGGENHEIM MACRO OPPORTUNITIES FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPI TAL GAINS	\$5,001 - \$15,000	ס
GUGGENHEIM TOTAL RETURN BOND FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPI TAL GAINS	\$2,501 - \$5,000	ס

Name David Dreier
SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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HACHIJUNI BANK LTD ADR UNSOLICITED	None	NONE	NONE	S
HAIN CELESTIAL GROUP INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
HANG SENG BK LTD SPONSRD ADR ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
HARMAN INTL INDS INC NEW UNSOLICITED	None	NONE	NONE	PS
HE DREIER IRREVOCABLE TRUST ASSETS	\$500,001 - \$1,000,000	INTEREST	\$5,001 - \$15,000	
HEARTLAND PAYMENT SYSTEMS INC	None	NONE	NONE	PS
HEINEKEN N V ADR NETHERLANDS ADR	None	NONE	NONE	PS S
HELMERICH & PAYNE INC UNSOLICITED	None	NONE	NONE	PS
HERBALIFE LTD UNSOLICITED	None	NONE	NONE	PS
HERTZ GLOBAL HOLDINGS INC	None	NONE	NONE	PS
HIBBETT SPORTS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
HITACHI LTD ADR NEW JAPAN	None	NONE	NONE	PS
HOME DEPOT INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	S
HOME RETAIL GROUP PLC SPON ADR	None	NONE	NONE	S

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RNED" INCOM	None None None None None None None	NONE CAPITAL GAINS CAPITAL GAINS CAPITAL GAINS NONE	Page 14 of NONE PS NONE PS \$201 - \$1,000 PS \$1,001 - \$2,500 PS NONE PS
INC	one	CAPITAL GAINS	\$1,001 - \$2,500
	one	NONE	NONE
IMPALA PLATINUM HLDG LTD SPON ADR	None	NONE	NONE
IMPERIAL TOBACCO GROUP PLC SPON ADR	None	NONE	NONE
INDEPENDENT BANK CORP NASS	None	CAPITAL GAINS	\$201 - \$1,000
INFORMATICA CORP UNSOLICITED	None	NONE	NONE
INTEL CORP UNSOLICITED N	None	NONE	NONE
INTERDIGITAL INC (PA) UNSOLICITED	None	NONE	NONE
INTL BUSINESS MACH UNSOLICITED	None	CAPITAL GAINS	\$15,001 - \$50,000
INTUIT UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	

INTUITIVE SURGICAL INC NONE INVESTMENT TECHNOLOGY GROUP NEW IPG PHOTONICS CORP UNSOLICITED IROBOT CORP UNSOLICITED IROBOT CORP UNSOLICITED IROBOT CORP UNSOLICITED ISHARES TRUST RUSSELL 2000 FUND			
}	CAPITAL GAINS	\$201 - \$1,000	PS
Q	NONE	NONE	S
a	CAPITAL GAINS	\$201 - \$1,000	PS
	NONE	NONE	PS
	CAPITAL GAINS	\$201 - \$1,000	PS
	CAPITAL GAINS	\$2,501 - \$5,000	S
ISRAEL CHEMICALS LTD ADR UNSOLICITED	CAPITAL GAINS	\$201 - \$1,000	PS
J2 GLOBAL INC COM UNSOLICITED	NONE	NONE	S
JABIL CIRCUIT INC UNSOLICITED	NONE	NONE	PS
JANUS CAPITAL GROUP INC UNSOLICITED	NONE	NONE	PS
JARDEN CORP UNSOLICITED None	CAPITAL GAINS	\$201 - \$1,000	PS
JOHN HANCOCK INCOME \$250,001 FUND	,001 - DIVIDENDS/CAPI ,000 TAL GAINS	\$1,001 - \$2,500	a .
JOHNSON & JOHNSON COM UNSOLICITED	CAPITAL GAINS	\$201 - \$1,000	PS
JOHNSON CONTROLS INC UNSOLICITED	NONE	NONE	PS

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JONES LANG LASA UNSOLICITED JOYCE Y. DREIER JPM HIGHBRIDGE I COMMODITIES STF JPMORGAN CHASE UNSOLICITED KAPSTONE PAPER PACKAGING CORP KDDI CORP ADR	JONES LANG LASALLE INC UNSOLICITED JOYCE Y. DREIER TRUST JPM HIGHBRIDGE DYNAMIC COMMODITIES STRATEGY JPMORGAN CHASE & CO UNSOLICITED KAPSTONE PAPER AND PACKAGING CORP KDDI CORP ADR	E	CAPITAL GAINS INTEREST NONE CAPITAL GAINS	Page \$201 - \$1,000 S \$2,501 - \$5,000 S NONE F
JPMORGAN UNSOLICITE	CHASE & CO ED	None	CAPITAL GAINS	\$201 - \$1,000
KAPSTONE PACKAGING	PAPER AND CORP	None	NONE	NONE
KDDI CORP ADR UNSOLICITED	ADR ED	None	CAPITAL GAINS	\$201 - \$1,000
KIMBERLY CL UNSOLICITED	KIMBERLY CLARK CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000
KINROSS GO	KINROSS GOLD CORP NEW	None	NONE	NONE
KOC HOLDINGS ADR	NGS ADR ED	None	CAPITAL GAINS	\$201 - \$1,000
KOMATSU L NEW	KOMATSU LTD SPON ADR NEW	None	NONE	NONE
KOREA ELECTRIC CRP SPONSORED	KOREA ELECTRIC POWER CRP SPONSORED ADR	None	NONE	NONE
LANDAUER INC	INC INC	None	NONE	NONE
LENDER PROCESSING SERVICES INC	NC	None	CAPITAL GAINS	\$201 - \$1,000
LIFE TIME FITNESS INC	ITNESS INC ED	None	CAPITAL GAINS	\$201 - \$1,000

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- ASSETS AND "UNEARNED" INCOME	
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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	Name David Dreier	yier	Pag	Page 17 of 102
LIFEWAY FOODS INS UNSOLICITED	None	NONE	NONE	PS
LIMITED BRANDS INC CL A UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
LINDSAY CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	တ
LIQUIDITY SERVICES INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	ဟ
LKQ CORP NEW UNSOLICITED	None	NONE	NONE	PS
LORD ABBETT INCOME FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPI TAL GAINS	\$5,001 - \$15,000	a
LORD ABBETT SHORT DURATION INCOME FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPI TAL GAINS	\$2,501 - \$5,000	<u>с</u>
LORILLARD INC UNSOLICITED	None	NONE	NONE	PS
LUFKIN INDUSTRIES INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
MAGNA INTL INC CL A SUB VTG CANADA ORD CAD	None	NONE	NONE	PS
MANULIFE FINANCIAL CORP	None	NONE	NONE	PS
MARATHON OIL CORP UNSOLICITED	None	None	NONE	PS
MARATHON PETROLEUM CO UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
MARINE HARVEST ASA ADR UNSOLICITED	None	None	NONE	S

Name David Dreie	SCHEDULE III - ASSETS AND "UNEARNED" INCOME

SCHEDULE III - ASSETS AND "UNEARNED" INCOME	_		ರಿಸಿದ	Page 18 of 102
	Name David Dreier	eler		3
MARKETAXESS HOLDINGS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
MARKS & SPENCER GROUP INC SPON ADR	None	None	NONE	PS
MASS MUTUAL LIFE - WHOLE LIFE POLICY	\$50,001 - \$100,000	None	NONE	
MCDONALDS CORP UNSOLICITED	None	None	NONE	PS
MEADWESTVACO CORP UNSOLICITED	None	None	NONE	PS
MENS WEARHOUSE INC UNSOLICITED	None	None	NONE	S
MERCADOLIBRE INC UNSOLICITED	None	None	NONE	PS
MERCK & CO INC NEW COM UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
MERIDIAN BIOSCIENCE INC UNSOLICITED	None	None	NONE	Ø
MICROSOFT CORP UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
MICROSTRATEGY INC NEW CL A	None	CAPITAL GAINS	\$201 - \$1,000	PS
MIDDLEBY CORP DELA UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	Ø
MINERALS TECHNOLOGIES INC	None	CAPITAL GAINS	\$201 - \$1,000	Ø
MITSUI & CO LTD ADR JAPAN ADR	None	None	NONE	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME	OME Name David Dreier	eier eier	Page 1	Page 19 of 102
MIZUHO FINANCIAL GROUP INC SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000 PS	· o
MS&AD INS GROUP HLDGS ADR	None	None	NONE	
MYRIAD GENETICS INC NEW UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000 PS	(O
NATL INSTRUMENTS CORP UNSOLICITED	None	None	NONE	
NEOGEN CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	
NEUBERGER BERMAN FLOATING RATE INCOME FUND CL A	\$250,001 - \$500,000	DIVIDENDS	\$2,501 - \$5,000 P	
NEUBERGER BERMAN HIGH INCOME BOND FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPI TAL GAINS	\$5,001 - \$15,000 P	
NEUBERGER BERMAN STRATEGIC INCOME FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPI TAL GAINS	\$5,001 - \$15,000 P	
NEW JERSEY RESOURCES CRP UNSOLICITED	None	None	NONE	
NEWCREST MINING LTD SPON AUSTRALIA ADR	None	None	NONE	
NEXEN INC CAD UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	
NEXTERA ENERGY INC COM UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500 PS	S
NIC INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000 PS	S
NIKE INC CL B UNSOLICITED	None	None	NONE	Ø
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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	ME Name David Dreier	70ior	Pa	Page 20 of 102
NINTENDO LTD ADR NEW JAPAN ADR	None	None	NONE	S
NIPPON TELEG & TEL CORP SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	S
NITTO DENKO CORP UNSPONS ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
NOKIA CORP SPONS ADR FINLAND ADR	None	None	NONE	S
NORDSON CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
NORTHEAST UTILITIES UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
NORTHROP GRUMMAN CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
NU SKIN ENTERPRISES INC UNSOLICITED	None	None	NONE	PS
NUTRI/SYSTEMS INC UNSOLICITED	None	None	NONE	တ
NXP SEMICONDUCTORS N V COM EUR	None	None	NONE	PS
OAO GAZPROM LEVEL 1 ADR PROGRAM (RUSSIA) SPON	None	CAPITAL GAINS	\$201 - \$1,000	Ø
OCCIDENTAL PETROLEUM CRP UNSOLICITED	None	None	NONE	PS
OCWEN FINANCIAL CORP	None	CAPITAL GAINS	\$1,001 - \$2,500	S
ONYX PHARMACEUTICALS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS

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CHEDULE III - ASSETS AND "UNEARNED" INCOME	COME Name David Dreier	Dreier	<u> </u>	Page 21 of 102
ORACLE CORP UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
P.T. TELEKOMUNIKASI INDONESIA SPON ADR	None	None	NONE	Ø
PANASONIC CORP SPON ADR UNSOLICITED	None	None	NONE	Ø
PANERA BREAD COMP CL A UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S S
PAREXEL INTL CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
PEABODY ENERGY CORP UNSOLICITED	None	None	NONE	PS
PENN NATL GAMING INC UNSOLICITED	None	None	NONE	PS
PETROLEO BRASILEIRO SA SPON ADR	None	None	NONE	S
PETSMART INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
PFIZER INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
PHILIP MORRIS INTL INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	S
PHILLIPS 66 (SPINOFF FROM CONOCOPHILLIPS)	None	CAPITAL GAINS	\$1,001 - \$2,500	Ø
PLANTRONICS INC NEW UNSOLICITED	None	None	NONE	ဟ
POLARIS INDUSTRIES INC (MINN)	None	CAPITAL GAINS	\$201 - \$1,000	PS
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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	ME Name David Dreier	eier	Pag	Page 22 of 102
POLYCOM INC UNSOLICITED	None	None	NONE	PS
POLYUS GOLD INTL LTD SPON GDR	None	None	NONE	S
POSCO SPON ADR UNSOLICITED	None	None	NONE	PS
POWER INTEGRATIONS INC UNSOLICITED	None	None	NONE	<i>σ</i>
PRAXAIR INC UNSOLICITED	None	None	NONE	PS
PRICE T ROWE GROUP INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
PROCTER & GAMBLE CO UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
PRUDENTIAL FINANCIAL INC UNSOLICITED	None	None	NONE	PS
PUBLIC SERVICE ENTERPRSE GROUP INC	None	CAPITAL GAINS	\$201 - \$1,000	PS
PUTNAM DIVERSIFIED INCOME TRUST-CL A	\$250,001 - \$500,000	DIVIDENDS	\$2,501 - \$5,000	י ס
PUTNAM GLOBAL INCOME TRUST-CL A	\$250,001 - \$500,000	DIVIDENDS	\$1,001 - \$2,500	ס
QUAKER CHEMICAL CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
QUALCOMM INC UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
QUALITY SYSTEMS INC UNSOLICITED	None	None	NONE	PS

Name David Dreier
SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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RACKSPACE HOSTING INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
RAYTHEON CO NEW UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
REED ELSERVIER NV NEW REPSTG 2 ORD SHS SPON	None	CAPITAL GAINS	\$1,001 - \$2,500	S S
RENAISSANCERE HOLDINGS LTD	None	None	NONE	PS
RIO TINTO PLC SPON ADR UNSOLICITED	None	None	NONE	PS
RIVERBED TECHNOLOGY INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
RMA MONEY MARKET FUND	\$50,001 - \$100,000	DIVIDENDS	\$1 - \$200	
ROBERT HALF INTL INC UNSOLICITED	None	None	NONE	PS
ROHM CO LTD ADR UNSOLICITED	None	None	NONE	S
ROLLINS INC UNSOLICITED	None	None	NONE	PS
ROYAL DUTCH SHELL PLC CL A SPON ADR	None	None	NONE	S.
RYDER SYSTEM INC UNSOLICITED	None	None	NONE	PS
RYMAN HOSPITALITY PROPERTIES INC (FORMERLY NAMED GAYLORD ENTERTAINMENT)	None	CAPITAL GAINS	\$15,001 - \$50,000	· σ

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	ME Name David Dreier	reier	Pag	Page 24 of 102
SAGE GROUP PLC ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
SALLY BEAUTY CO INC UNSOLICITED	None	None	NONE	PS
SANDRIDGE ENERGY INC UNSOLICITED	None	None	NONE	PS
SANOFI SPON ADR UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	Ø
SANOFI-AVENTIS SA SPON ADR	None	DIVIDENDS	\$201 - \$1,000	Ø
SAPIENT CORP UNSOLICITED	None	None	NONE	Ø
SASOL LTD SPON ADR UNSOLICITED	None	None	NONE	PS
SCHLUMBERGER LTD NETHERLANDS ANTILLES	None	None	NONE	PS
SEADRILL LTD US LINE UNSOLICITED	None	None	NONE	PS
SEGA SAMMY HLDG INC SPON ADR	None	None	NONE	PS
SEKISUI HOUSE LTD SPON ADR	None	None	NONE	Ø
SELECT COMFORT CORP UNSOLICITED	None	None	NONE	PS
SEMPRA ENERGY UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
SENSATA TECHNOLOGIES HLDG NV EUR	None	None	NONE	PS

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SCHEDULE III - ASSETS AND "UNEARNED" INCO	OME Name David Dreier	yier.	Pg	Page 25 of 102
SEVEN & I HLDGS CO LTD ADR	None	CAPITAL GAINS	\$1,001 - \$2,500	ဖ
SHISEIDO CO LTD SPONS ADR JAPAN	None	None	NONE	ဖ
SIEMENS A G SPON ADR UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
SIGNATURE BANK NEW YORK N Y	None	CAPITAL GAINS	\$201 - \$1,000	S
SIGNET JEWELERS LTD UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
SILGAN HOLDINGS INC UNSOLICITED	None	None	NONE	PS
SIMPSON MANUFACTURING CO INC DELA	None	None	NONE	တ
SIRONA DENTAL SYSTEMS INC	None	None	NONE	PS
SK TELECOM CO LTD ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	Ø
SOCIETE GENERALE FRANCE SPONS ADR	None	None	NONE	ဟ
SODA STREAM INTL LTD ILS UNSOLICITED	None	None	NONE	PS
SOLARWINDS INC UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
SOUTH JERSEY IND INC UNSOLICITED	None	None	NONE	· w
SOUTHERN CO UNSOLICITED	None	z	NONE	- BS
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SCHEDULE III - ASSETS AND "UNEARNED" INCOM	
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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	OME Name David Dreier	reier	Pag	Page 26 of 102
SPDR GOLD TRUST	None	None	NONE	PS
STARBUCKS CORP UNSOLICITED	None	None	NONE	PS
STATOIL ASA SPON ADR UNSOLICITED	None	None	NONE	PS
SUMITOMO MITSUI TRUST HOLDINGS SPON ADR	None	None	NONE	S
SUREWEST	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SVB FINANCIAL GROUP UNSOLICITED	None	None	NONE	PS
SVENSKA CELLULOSA AB (SCA) SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
SWISSCOM AG SPON ADR	None	None	NONE	S
TAIWAN SEMICONDUCTOR MFG CO LTD ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
TALISMAN ENERGY INC CAD UNSOLICITED	None	None	NONE	PS
TAMANA GOLD INC CAD UNSOLICITED	None	None	NONE	S
TATA MOTORS LTD SPON ADR UNSOLICITED	None	None	NONE	PS
TEAM INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
TECHNE CORP MINN UNSOLICITED	None	None	NONE	PS

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CHEDULE III - ASSETS AND "UNEARNED" INCOME
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CHEDULE III - ASSETS AND "UNEARNED" INCOME	Name David Dreier)reier	Pag	Page 27 of 102
TELECOM ITALIA SPA NEW REPSTG 10 SAVINGS SHS	None	None	NONE	PS
TELSTRA CORP LTD (FINAL) ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
TEMPUR-PEDIC INTL INC UNSOLICITED	None	None	NONE	PS
TESCO CORP CAD UNSOLICITED	None	None	NONE	ဟ
TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	None	None	NONE	PS
TEXAS CAPITAL BANCSHARES INC (DELA)	None	CAPITAL GAINS	\$201 - \$1,000	S
THORATEC CORP NEW UNSOLICITED	None	None	NONE	PS
TIBCO SOFTWARE INC UNSOLICITED	None	None	NONE	PS
TNT EXPRESS N V ADR UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	တ
TORONTO DOMINION BK NEW CANADA CAD	None	None	NONE	PS
TOTAL S.A. FRANCE SPON ADR	None	None	NONE	PS
TOTAL SYSTEM SERVICES INC	None	None	NONE	PS
TOWERS WATSON & CO CL A UNSOLICITED	None	None	NONE	PS
TOYOTA MOTOR CORP NEW JAPAN SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	Ø
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HEDULE III
I - ASSETS AND "UNEARNED" INCOME

SCHEDULE III - ASSETS AND "UNEARNED" INCOME	ME Name David Dreier	reier	Рад	Page 28 of 102
TRACTOR SUPPLY COMPANY UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
TRANSOCEAN LTD CHF UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	Ø
TRAVELERS COS INC/THE UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
TRIPADVISOR INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
UBS BANK DEPOSIT ACCOUNT	\$500,001 - \$1,000,000	INTEREST	\$1 - \$200	
UBS GS INVESTMENT PARTNERS, LLC	\$100,001 - \$250,000	None	NONE	ס
UBS SELECT PRIME INSTITUTIONAL FUND	None	DIVIDENDS/CAPI TAL GAINS	\$15,001 - \$50,000	PS
ULTA SALON COSMETICS & FRAGRANCE INC	None	CAPITAL GAINS	\$201 - \$1,000	PS
UMB FINANCIAL CORP UNSOLICITED	None	None	NONE	PS
UMPQUA HOLDINGS CORP OR UNSOLICITED	None	None	NONE	Ø
UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
UNIVERSAL HEALTH SVCS	None	CAPITAL GAINS	\$201 - \$1,000	PS
UNTD NAT FOODS INC	None	CAPITAL GAINS	\$201 - \$1,000	Ø
UNTD OVERSEAS BK LTD SPONS ADR SINGAPORE ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS

CHEDULE III - ASSETS AND "UNEARNED" INCOME	COME Name David Dreier	eier	Pag	Page 29 of 102
UNTD RENTALS INC UNSOLICITED	None	None	NONE	PS
UNTD TECHNOLOGIES CORP UNSOLICITED	None	None	NONE	PS
US BANCORP DEL (NEW) UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
V F CORP	None	CAPITAL GAINS	\$201 - \$1,000	PS
VALE SA-SP SPON ADR UNSOLICITED	None	None	NONE	PS
VALMONT INDUSTRIES INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
VARIAN MEDICAL SYSTEMS INC	None	None	NONE	PS
VERIFONE SYSTEMS INC UNSOLICITED	None	None	NONE	PS
VERIZON COMMUNICATIONS INC	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
VIACOM INC	None	None	NONE	S
VITAMIN SHOPPE INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
VIVENDI SA ADR UNSOLICITED	None	None	NONE	PS
VMWARE INC CL A	None	CAPITAL GAINS	\$5,001 - \$15,000	တ
VODAFONE GROUP PLC NEW SPON ADR	None	CAPITAL GAINS	\$1,001 - \$2,500	PS

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME	OME Name David Dreier	heier	Pag	Page 30 of 102
VOLCANO CORP UNSOLICITED	None	None	NONE	PS
WABTEC INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
WACOAL HOLDINGS CORP ADR UNSOLICITED	None	None	NONE	S
WAL MART STORES INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
WATTS WATER TECHNOLOGIES INC CL A	None	None	NONE	Ø
WELLS FARGO & CO NEW UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
WEST PHARMACEUTICAL SERVICES INC	None	CAPITAL GAINS	\$1,001 - \$2,500	Ø
WESTERN REFNG INC	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
WEYERHAEUSER CO UNSOLICITED	None	None	NONE	סי
WILEY JOHN & SONS INC	None	None	NONE	PS
WILLIAMS SONOMA INC	None	None	NONE	PS
WOLTERS KLUWER NV SPONSORED ADR	None	None	NONE	Ø
WOLVERINE WORLD WIDE	None	None	NONE	S
WOORI FIN HOLDINGS ADR	None	None	NONE	PS

Name David Dreier
SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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WRIGHT EXPRESS CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
WYNDHAM WORLDWIDE CORP UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
XL GROUP PLC SHS UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
YAMANA GOLD INC CAD UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
YANZHOU COAL MINING CO LTD SPON ADR	None	None	NONE	PS
ZOLL MEDICAL CORP UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	۵
ZURICH INS GROUP LTD SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS

SCHEDULE IV - TRANSACTIONS

Name David Dreier

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	3M CO UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	3M CO UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ABBEY CAPITAL MULTIMANAGER FUND LTD	S	No	11-14-12	\$100,001 - \$250,000
	ABBOT LABS UNSOLICITED	P	N/A	2-13-12 3-12-12 7-27-12	\$15,001 - \$50,000
	ABBOT LABS UNSOLICITED	S	Yes	8-29-12 10-9-12	\$15,001 - \$50,000
	ABERDEEN EMERGING MARKETS FUND CLASS A	Р	N/A	2-10-12 4-17-12	\$100,001 - \$250,000
	ABERDEEN EMERGING MARKETS FUND CLASS A	S	No	10-9-12	\$250,001 - \$500,000
	ACCENTURE PLC IRELAND CL A	Ø	Yes	10-9-12	\$15,001 - \$50,000
	ACCENTURE PLC IRELAND CL A	ס	N/A	2-13-12 3-12-12	\$15,001 - \$50,000
	ACE LIMITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ACE LIMITED	S	Yes	10-4-12	\$1,001 - \$15,000

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures,

Name David Dreier

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	AEON CO LTD UNSPON ADR UNSOLICITED	S	N _O	10-4-12	\$1,001 - \$15,000
	AEON CO LTD UNSPON ADR UNSOLICITED	۵ـ	Ϋ́Ν Σ	4-17-12 4-18-12 6-11-12 6-12-12	\$1,001 - \$15,000
	AEON CO LTD UNSPON ADR UNSOLICITED	<u>a</u>	A A	4-17-12 4-18-12 6-11-12 6-12-12 6-13-12	\$1,001 - \$15,000
	AFFILIATED MANAGERS GROUP	a	A/A	2-13-12 3-12-12	\$1,001 - \$15,000
	AFFILIATED MANAGERS GROUP	S	Yes	7-17-12 10-4-12	\$1,001 - \$15,000
	AGEAS SPON ADR UNSOLICITED	S	S S	4-17-12	\$1,001 - \$15,000
	AGEAS SPON ADR UNSOLICITED	a	N/A	4-10-12	\$1,001 - \$15,000
	AGRIUM INC (CANADA) CAD UNSOLICITED	S	Yes	6-7-12 10-4-12	\$1,001 - \$15,000
	AGRIUM INC (CANADA) CAD UNSOLICITED		N/A	4-10-12	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name David Dreier

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC,		Type of	Capital Gain in Excess		
JT	Asset	Transaction	of \$200?	Date	Amount of Transaction
	AKAMAI TECHNOLOGIES INC UNSOLICITED	တ	N _O	10-4-12	\$1,001 - \$15,000
	AKAMAI TECHNOLOGIES INC	ס	Z >	2-13-12 3-12-12	\$1,001 - \$15,000
	ALBEMARLE CORP UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ALBEMARLE CORP UNSOLICITED	Ø	No	10-4-12	\$1,001 - \$15,000
 -	ALLERGAN INC UNSOLICITED	S	Yes	10-9-12	\$15,001 - \$50,000
	ALLERGAN INC UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$15,001 - \$50,000
	ALLIANCE DATA SYSTEMS CORP	S	Yes	10-4-12	\$1,001 - \$15,000
	ALLIANCE DATA SYSTEMS CORP	ס	NA	5-24-12	\$1,001 - \$15,000
	ALLIANZ SE ADR UNSOLICITED	Ø	S	4-17-12	\$1,001 - \$15,000
	ALSTOM ADR UNSOLICITED	8	N _o	4-17-12	\$1,001 - \$15,000
	ALUMINA LTD SPON ADR UNSOLICITED	S	N _o	4-17-12	\$1,001 - \$15,000

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures.

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	AMERICAN EXPRESS CO. UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	AMERICAN EXPRESS CO. UNSOLICITED	۵	Υ V	2-13-12 3-12-12	\$1,001 - \$15,000
:	AMERICAN FUNDS GROWTH FUND OF AMERICA CLASS F	S	Yes	4-13-12	\$100,001 - \$250,000
· · ·	AMERICAN FUNDS WASHINGTON MUTUAL INVESTMENT FUND	S	Yes	10-9-12	\$100,001 - \$250,000
	AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS FUND	a .	A/A	3-26-12 6-18-12 9-24-12	\$1,001 - \$15,000
	AMERICAN HIGH INCOME TRUST	a	N/A	10-31-12	\$250,001 - \$500,000
	AMERICAN SCIENCE & ENGINEERING INC	S	o Z	10-4-12	\$1,001 - \$15,000
	AMERICAN STATES WATER CO.	Ø	S O	10-4-12	\$1,001 - \$15,000
	ANGLOGOLD ASHANTI LTD NEW SPON ADR	Ø	S S	4-17-12	\$1,001 - \$15,000
	APOGEE ENTERPRISES INC UNSOLICITED	S	N _O	10-4-12	\$1,001 - \$15,000
	APPLE INC UNSOLICITED	S	Yes	3-28-12 10-16-12	\$100,001 - \$250,000

SCHEDULE IV - TRANSACTIONS

Name David Dreier

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transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below. Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange

JT C,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	APPLE INC UNSOLICITED	P	A/N	2-13-12 3-12-12	\$50,001 - \$100,000
	ASAHI GLASS ADR	ס	NA	4-17-12	\$1,001 - \$15,000
	ASAHI GLASS ADR	S	No	9-7-12 9-10-12 9-12-12	\$1,001 - \$15,000
	ASML HOLDING NV NY REG SHS NEW	S	Yes	8-6-12	\$1,001 - \$15,000
	ASML HOLDING NV NY REG SHS NEW	ס	N/A	4-17-12	\$1,001 - \$15,000
:	ASTRAZENECA PLC SPON ADR UNSOLICITED	ס	N/A	4-17-12	\$1,001 - \$15,000
	ASTRAZENECA PLC SPON ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	AT&T INC UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	AT&T INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
:	AUSTRALIA & NEW ZEALAND BKG GRP LTD SPONSRD ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	AUSTRALIA & NEW ZEALAND BKG GRP LTD SPONSRD ADR	סי	N	4-17-12	\$1,001 - \$15,000

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SCHE	SCHEDULE IV - TRANSACTIONS	Name David Dreier			Page 37 of 102
Report ar or other a transaction	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	ndent child during the rep 10. Include transactions th 17 your dependent child, or al sale"). See example be	orting year of hat resulted the purchast low.	of any real property, stc in a loss. Provide a bri se or sale of your perso	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, led \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange souse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented e., "partial sale"). See example below.
SP, JT,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	AUTOLIV INC	S	No	10-4-12	\$1,001 - \$15,000
	AUTOLIV INC	۵	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	AUTONATION INC UNSOLICITED	တ	Yes	10-4-12	\$1,001 - \$15,000
	AUTONATION INC UNSOLICITED	a .	N A M	2-13-12 3-12-12	\$1,001 - \$15,000
	AXIS CAPITAL HOLDINGS LTD SHS	S	°Z	10-4-12	\$1,001 - \$15,000
	AXIS CAPITAL HOLDINGS LTD SHS	۵	N/A	4-17-12	\$1,001 - \$15,000
	BAE SYSTEMS PLC SPON ADR UNSOLICITED	۵	N/A	4-17-12	\$1,001 - \$15,000
	BAE SYSTEMS PLC SPON ADR UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	BAIDU INC.	S	° N	10-4-12	\$15,001 - \$50,000
	BANCO BRADESCO S.A. NEW SPON ADR	ဟ	S	10-4-12	\$1,001 - \$15,000
	BANCO BRADESCO S.A. NEW SPON ADR	<u>a</u>	A/N	4-17-12	\$1,001 - \$15,000
	_	_	_	_	•

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	BANK OF AMERICA CORP	S	No	10-4-12	\$1,001 - \$15,000
	BANK OF HAWAII CORP UNSOLICITED	S	S _O	10-4-12	\$1,001 - \$15,000
	BANK OF NOVA SCOTIA CANADA CAD	Ø	No	10-4-12	\$1,001 - \$15,000
	BANK OF NOVA SCOTIA CANADA CAD	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	BARCLAYS PLC ADR UNSOLICITED	S	N _o	10-4-12	\$1,001 - \$15,000
	BARCLAYS PLC ADR UNSOLICITED	Р	N/A	9-14-12	\$1,001 - \$15,000
	BARRICK GOLD CORP CAD UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	BHP BILLITON LTD SPON ADR	Ø	No	3-14-12 10-4-12	\$1,001 - \$15,000
	BHP BILLITON LTD SPON ADR	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	BLACKBAUD INC UNSOLICITED	S	N _o	10-4-12	\$1,001 - \$15,000
	BOTTOMLINE TECHNOLOGIES INC	S T	No	10-4-12	\$1,001 - \$15,000

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SC, C	A cook	Type of Transaction	Capital Gain in Excess	o te C	Amount of Transaction
	BRISTOL MYERS SQUIBB CO UNSOLICITED	d	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
••	BRISTOL MYERS SQUIBB CO	S	Yes	10-9-12	\$1,001 - \$15,000
	BRUKER CORP UNSOLICITED	S	° Z	10-4-12	\$1,001 - \$15,000
	C H ROBINSON WORLDWIDE INC NEW	<u>a</u>	N/A	2-13-12 2-27-12 3-12-12	\$15,001 - \$50,000
	C H ROBINSON WORLDWIDE INC NEW	S	0 Z	9-13-12 10-4-12	\$15,001 - \$50,000
!	CALGON CARBON CORP UNSOLICITED	S	o N	10-4-12	\$1,001 - \$15,000
	CAMECO CORP CANADA CAD UNSOLICITED	a	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
! !	CAMECO CORP CANADA CAD UNSOLICITED	S	8	4-17-12 9-18-12	\$15,001 - \$50,000
	CANADIAN NATIONAL RAILWAY	တ	Yes	10-4-12	\$1,001 - \$15,000
	CANADIAN NATIONAL RAILWAY	d	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CANTEL MEDICAL CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
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transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below. Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange

J D SP,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CAP GEMINI SA ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CAP GEMINI SA ADR UNSOLICITED	ס	N/A	4-17-12	\$1,001 - \$15,000
	CARBO CERAMICS INC UNSOLICITED	ס	N/A	2-28-12 4-18-12	\$1,001 - \$15,000
	CARBO CERAMICS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
··· <u>·</u>	CAREFUSION CORP UNSOLICITED	ס	NA	2-13-12 3-12-12	\$1,001 - \$15,000
	CAREFUSION CORP UNSOLICITED	S	No	3-23-12	\$1,001 - \$15,000
	CARLSBERG AS SPON ADR UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	CARLSBERG AS SPON ADR UNSOLICITED	O	NA	8-6-12 8-7-12 8-14-12 8-16-12	\$1,001 - \$15,000
	CARREFOUR SA SPON ADR UNSOLICITED	Ø	N _O	4-17-12	\$1,001 - \$15,000
	CATERPILLAR INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CATERPILLAR INC UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000

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Report ar or other s transaction	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	ndent child during the rep 00. Include transactions t r your dependent child, or al sale"). See example be	orting year of hat resulted the purchastlow.	of any real property, st in a loss. Provide a b se or sale of your pers	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, ded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange bouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented e., "partial sale"). See example below.
SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CBRE GROUP INC CL A UNSOLICITED	<u>a</u>	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CBRE GROUP INC CL A UNSOLICITED	S	°Z	10-4-12	\$1,001 - \$15,000
	CENTRAIS ELETRICAS BRAS SA SPON ADR REP 50 COM	S	%	4-17-12	\$1,001 - \$15,000
	CENTURYLINK INC UNSOLICITED	Ø	S N	10-4-12	\$1,001 - \$15,000
	CENTURYLINK INC UNSOLICITED	<u>a</u>	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CERNER CORP.	S	N _O	10-4-12	\$50,001 - \$100,000
	CHEVRON CORP UNSOLICITED	S	Yes	10-9-12	\$15,001 - \$50,000
	CHEVRON CORP UNSOLICITED	۵	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CHINA PETROLEUM & CHEMICAL CORP SPON ADR	%	8	10-4-12	\$1,001 - \$15,000
	CHINA PETROLEUM & CHEMICAL CORP SPON ADR	d	N/A	4-17-12 8-6-12 8-7-12	\$1,001 - \$15,000
	CHUBB CORP UNSOLICITED	ر س	Yes	10-4-12	\$1,001 - \$15,000

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SP,		Type of	Capital Gain in		
JT	Asset	Transaction	of \$200?		Date
	CHUBB CORP UNSOLICITED	ס	N/A	ωΝ	2-13-12 3-12-12
	CIA PARANAENSE ENERGI SPON ADR	ס	N/A		4-17-12 8-21-12
	CLARCOR INC UNSOLICITED	S	No		10-4-12
	COACH INC UNSOLICITED	S	Z		2-22-12 7-9-12 7-31-12
	COACH INC UNSOLICITED	ס	N/A		2-13-12 3-12-12
	COCA COLA CO COM UNSOLICITED	P	N/A		2-13-12 3-12-12
	COCA COLA CO COM UNSOLICITED	S	N _o		10-9-12
	COGNIZANT TECH SOLUTIONS CRP	ס	N/A		2-13-12 3-12-12
	COGNIZANT TECH SOLUTIONS CRP	S	Yes		10-4-12
	COHEN & STEERS INC UNSOLICITED	ס	N/A		MAR 27-30, 12 APR 3-18, 12 MAY 1-18, 12
	COHEN & STEERS INC UNSOLICITED	S	o N		10-4-12

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SCHE	SCHEDULE IV - TRANSACTIONS	Name David Dreier			Page 43 of 102
Report a or other transacti	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	lent child during the rep . Include transactions ti /our dependent child, or sale"). See example be	orting year of hat resulted the purchas low.	of any real property, sin a loss. Provide a be or sale of your pers	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, and \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange bouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented e., "partial sale"). See example below.
SP,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	COHERENT INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	COINSTAR INC UNSOLICITED	Ø	8	10-4-12	\$1,001 - \$15,000
	COINSTAR INC UNSOLICITED	a.	N/A	3-7-12 3-12-12 3-27-12	\$1,001 - \$15,000
	COMCAST CORP NEW SPECIAL CL A	S	Yes	10-9-12	\$1,001 - \$15,000
	COMCAST CORP NEW SPECIAL CL A	a	NA	2-13-12 3-12-12	\$1,001 - \$15,000
	COMMERCIAL METALS CO UNSOLICITED	S	0 Z	10-4-12	\$1,001 - \$15,000
	COMMVAULT SYSTEMS INC UNSOLICITED	တ	N _O	9-5-12 9-6-12 10-4-12	\$1,001 - \$15,000
	COMPANHIA DE SANEAMENTO BASICO DO ESTADO DE SAO	S	Yes	6-26-12 8-22-12 9-12-12 9-13-12 9-14-12	\$15,001 - \$50,000
	COMPANHIA DE SANEAMENTO BASICO DO ESTADO DE SAO	Q	N/A	4-17-12	\$15,001 - \$50,000

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JT .	Asset	Type of Transaction	Gain in Excess of \$2007	Date	Amount of Transaction
	Companhia Paranaense De	S	No	10-4-12	\$1,001 - \$15,000
	COMPUTER PROGRAMS & SYSTEMS INC	S	Yes	10-4-12	\$1,001 - \$15,000
	COMPUTER PROGRAMS & SYSTEMS INC	ד	NA	4-4-12 4-5-12	\$1,001 - \$15,000
			_	4-9-12 4-10-12 4-18-12	
	CONOCOPHILLIPS UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CONOCOPHILLIPS UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CONSOL ENERGY INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CONSOL ENERGY INC UNSOLICITED	Ū	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CORPORATE OFFICE PPTYS NEW SBI	S	No	10-4-12	\$1,001 - \$15,000
	CREDIT SUISSE GROUP SPON ADR	P	N/A	2-7-12	\$1,001 - \$15,000
	CREDIT SUISSE GROUP SPON ADR	Ø	N _O	4-17-12	\$1,001 - \$15,000

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SCHE	SCHEDULE IV - TRANSACTIONS	Name David Dreier		:	Page 45 of 102
Report and or other transaction	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	dent child during the reportin J. Include transactions that r your dependent child, or the I sale"). See example below.	orting year of hat resulted the purchast low.	of any real property, st in a loss. Provide a bi se or sale of your pers	r dependent child during the reporting year of any real property, stocks, bonds, commodities futures, ed \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange buse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented, "partial sale"). See example below.
SP, DC, ⊢	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CULLEN FROST BANKERS INC UNSOLICITED	۵	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CULLEN FROST BANKERS INC UNSOLICITED	S	٥ ک	10-4-12	\$1,001 - \$15,000
	CYPRESS SEMICONDUCTOR CP UNSOLICITED	Q.	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CYPRESS SEMICONDUCTOR CP UNSOLICITED	S	8	6-18-12	\$1,001 - \$15,000
	DAI NIPPON PRINTING CO SPON ADR	Ø	٥ ٧	4-17-12	\$1,001 - \$15,000
	DAIICHI SANKYO CO LTD SPON ADR	S	8	4-17-12	\$1,001 - \$15,000
	DARLING INTL INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	DEERE AND CO UNSOLICITED	Ø	^o Z	10-4-12	\$1,001 - \$15,000
	DEERE AND CO UNSOLICITED	<u>a</u>	A/N	2-13-12 3-12-12	\$1,001 - \$15,000
	DELHAIZE GROUP SPON ADR UNSOLICITED	σ	o Z	6-6-12 6-11-12 6-12-12 6-13-12 6-14-12	\$1,001 - \$15,000

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	SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
		DELHAIZE GROUP SPON ADR UNSOLICITED	P	A/N	4-17-12	\$1,001 - \$15,000
		DEUTSCHE BOERSE ADR UNSOLICITED	ס	NA	4-17-12 4-19-12 6-6-12 6-8-12 6-11-12	\$1,001 - \$15,000
-					6-13-12	
		DEUTSCHE BOERSE ADR UNSOLICITED	Ø	S O	10-4-12	\$1,001 - \$15,000
'т		DEVRY INC DEL UNSOLICITED	ּס	A/N	2-13-12 3-12-12	\$1,001 - \$15,000
-		DEVRY INC DEL UNSOLICITED	S	N _o	6-18-12	\$1,001 - \$15,000
		DIAGEO PLC NEW GB SPON ADR	ס	N/A	2-13-12 3-12-12 4-17-12	\$15,001 - \$50,000
		DIAGEO PLC NEW GB SPON ADR	S	Yes	10-9-12	\$15,001 - \$50,000
		DILLARDS INC CL A UNSOLICITED	Ø	No	10-4-12	\$1,001 - \$15,000
 -		DILLARDS INC CL A UNSOLICITED	ס	N/A	9-21-12	\$1,001 - \$15,000

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Report ar or other s transactiv out. If on	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	dent child during the rep 0. Include transactions t your dependent child, or il sale"). See example be	orting year chat resulted the purchas	of any real property, st in a loss. Provide a bi ie or sale of your pers	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, led \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange bouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented e., "partial sale"). See example below.	
SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction	
	DIME CMNTY BANCSHARES UNSOLICITED	S	° Z	6-26-12 6-27-12 6-28-12 6-29-12 7-2-12	\$1,001 - \$15,000	
	DOLBY LABORATORIES INC CL A	S	o N	10-4-12	\$1,001 - \$15,000	
	DOLBY LABORATORIES INC CL A	۵	A/N	2-13-12 3-12-12 5-24-12	\$1,001 - \$15,000	
	DOMINION RESOURCES INC VA (NEW)	d	A/N	2-13-12 3-12-12	\$1,001 - \$15,000	
	DOMINION RESOURCES INC VA (NEW)	S	Yes	10-4-12	\$1,001 - \$15,000	
	DORMAN PRODUCTS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000	
	DORMAN PRODUCTS INC UNSOLICITED	a .	A/N	JUN 20-28, 12 9-19-12 9-20-12 9-21-12	\$1,001 - \$15,000	
	DOW CHEMICAL UNSOLICITED	a	A/N	2-13-12 3-12-12	\$1,001 - \$15,000	
	DOW CHEMICAL UNSOLICITED	S	0 Z	10-4-12	\$1,001 - \$15,000	

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J C S	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	DSW INC CL A UNSOLICITED	P	N/A	6-18-12	\$1,001 - \$15,000
	DSW INC CL A UNSOLICITED	W	Yes	10-4-12	\$1,001 - \$15,000
	DU PONT DE NEMOURS UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	DU PONT DE NEMOURS UNSOLICITED	S	N _o	10-4-12	\$1,001 - \$15,000
	DUPONT FABROS TECHNOLOGY INC	v	N/A	1-3-12 4-18-12 8-21-12 9-19-12	\$1,001 - \$15,000
	DUPONT FABROS TECHNOLOGY INC	S	No	10-4-12	\$1,001 - \$15,000
	EAGLE MATERIALS INC UNSOLICITED	יס	N N	7-17-12	\$1,001 - \$15,000
i	EAGLE MATERIALS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	EAST JAPAN RAILWAY CO ADR	Ø	N _o	4-17-12	\$1,001 - \$15,000
	EAST WEST BANCORP INC UNSOLICITED	S	N _o	10-4-12	\$1,001 - \$15,000

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SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	EHEALTH INC UNSOLICITED	S	Yes	May 30-31, 12 Jun 1-29, 12 7-2-12	\$1,001 - \$15,000
	ELECTRICITE DE FRANCE ADR	S	N _o	4-17-12	\$1,001 - \$15,000
	ENBRIDGE INC CAD UNSOLICITED	တ	Yes	10-4-12	\$1,001 - \$15,000
	ENBRIDGE INC CAD UNSOLICITED	a	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ENERSYS UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ENERSYS UNSOLICITED		N/A	2-13-12 7-17-12	\$1,001 - \$15,000
	EQT CORP UNSOLICITED	C	∀	2-13-12 3-12-12	\$1,001 - \$15,000
	EQT CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ERICSSON SEK 10 NEW 2002 ADR	S	<u>0</u>	4-17-12	\$1,001 - \$15,000
	ERICSSON SEK 10 NEW 2002 ADR	a	A/N	2-8-12	\$1,001 - \$15,000
	ESCO TECHNOLOGIES INC UNSOLICITED	S	No No	10-4-12	\$1,001 - \$15,000

Name David Dreier

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J C,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	EXPEDIA INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	EXPEDIA INC UNSOLICITED	ס	N/A	2-13-12 3-12-12 5-4-12	\$1,001 - \$15,000
	EXXON MOBIL CORP UNSOLICITED	S	Yes	10-4-12	\$15,001 - \$50,000
	EXXON MOBIL CORP UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	F5 NETWORKS INC UNSOLICITED	ס	N/A	2-13-12	\$1,001 - \$15,000
	F5 NETWORKS INC UNSOLICITED	S	N _o	3-7-12	\$1,001 - \$15,000
!	FACTSET RESEARCH SYSTEMS INC UNSOLICITED	S	Yes	7-17-12 10-4-12	\$15,001 - \$50,000
	FACTSET RESEARCH SYSTEMS INC UNSOLICITED	ס	N/A	2-13-12 3-12-12 3-27-12	\$15,001 - \$50,000
	FEI COMPANY UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
-	FEI COMPANY UNSOLICITED	တ	Yes	10-4-12	\$1,001 - \$15,000
	FINANCIAL ENGINES INC UNSOLICITED	Ø	N _o	10-4-12	\$1,001 - \$15,000

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Report ar or other s transactic out. If on	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	ident child during the rep 10. Include transactions to your dependent child, or al sale"). See example be	orting year or hat resulted the purchas low.	f any real property, st in a loss. Provide a bi e or sale of your pers	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, ted \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange souse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented e., "partial sale"). See example below.
SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	FINMECCANICA SPA ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	FIRST EAGLE GLOBAL FUND CLASS A	۵	N/A	2-10-12 4-17-12	\$100,001 - \$250,000
	FIRST EAGLE GLOBAL FUND CLASS A	S	Yes	10-4-12	\$100,001 - \$250,000
	FIRSTENERGY CORP UNSOLICITED		A/A	2-13-12 3-12-12	\$1,001 - \$15,000
	FIRSTENERGY CORP UNSOLICITED	S	°Z	10-4-12	\$1,001 - \$15,000
	FLEETCOR TECHNOLOGIES INC	a	A/A	5-8-12	\$1,001 - \$15,000
	FLEETCOR TECHNOLOGIES INC	S	Yes	10-4-12	\$1,001 - \$15,000
	FRANCE TELECOM SA SPON ADR	S	No	6-6-12 10-4-12	\$1,001 - \$15,000
	FRANCE TELECOM SA SPON ADR	<u>a</u>	A/A	4-17-12	\$1,001 - \$15,000
	FRANKLIN ELECTRIC CO UNSOLICITED	d	A/N	Jul 11-31, 12 Sep 19-21, 12	\$1,001 - \$15,000
	FRANKLIN ELECTRIC CO UNSOLICITED	S	8	10-4-12	\$1,001 - \$15,000

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GEN		GEN	GEN	GAF	GAF	UNS	FUJ	FUJ	FUE	FRE	SP, DC,
GENERAL ELECTRIC CO	GENERAL ELECTRIC CO.	GENERAL DYNAMICS CORP	GENERAL DYNAMICS CORP	GARTNER INC UNSOLICITED	GARTNER INC UNSOLICITED	FUJI HEAVY INDUSTRIES LTD ADR UNSOLICITED	FUJI HEAVY INDUSTRIES LTD ADR UNSOLICITED	FUJI FILM HOLDINGS CORP ADR	FUEL SYSTEMS SOLUTIONS INC	FRESH MKT INC UNSOLICITED	Asset
n	ּס	ט	S	S	ס	סי	S	Ø	S)	S	Type of Transaction
\	N/A	N/A	N _o	Yes	N/A	N/A	Yes	N _o	N _o	N _o	Capital Gain in Excess of \$200?
10.4.12	2-13-12 3-12-12	2-13-12 3-12-12	10-4-12	10-4-12	6-14-12 7-17-12	4-17-12	6-27-12 10-4-12	4-17-12	10-4-12	10-4-12	Date
-	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	Amount of Transaction

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out I fouly a nortion of an asset is sold please so indicate (i.e., "nartial sale"). See example below.

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OUT. IT ON	out. It only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	ai saie"). See example Di	elow.		
SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	GENERAL MILLS INC.	Ь	A/A	2-13-12 3-12-12	\$1,001 - \$15,000
	GENERAL MILLS INC.	S	°Z	10-4-12	\$1,001 - \$15,000
	GENESEE & WYO INC CL A UNSOLICITED	တ	o N	10-4-12	\$1,001 - \$15,000
	GEN-PROBE INC UNSOLICITED	<u>a</u>	A/A	2-13-12 3-12-12 4-18-12	\$1,001 - \$15,000
	GEN-PROBE INC UNSOLICITED	Ø	Yes	4-30-12 5-8-12	\$1,001 - \$15,000
	GENTHERM INC (FORMERLY NAMED AMERIGON, INC.)	Ø	N _O	10-4-12	\$1,001 - \$15,000
	GEOSPACE TECHNOLOGIES CORP	Ø	S O	10-4-12	\$1,001 - \$15,000
	GLAXO SMITHKLINE PLC ADR UNSOLICITED	တ	Yes	4-17-12	\$1,001 - \$15,000
i :	GOLD FIELDS LTD SPON ADR UNSOLICITED	Ø	0 2	4-17-12	\$1,001 - \$15,000
	GOOGLE INC CL A UNSOLICITED	S	Yes	10-16-12	\$15,001 - \$50,000
	GOOGLE INC CL A UNSOLICITED	<u>a</u>	N/A	2-13-12 3-12-12	\$15,001 - \$50,000

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transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below. Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange

SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	GUGGENHEIM FLOATING RATE STRATEGIES FUND CL A	Р	N/A	10-9-12 12-5-12	\$250,001 - \$500,000
_		 		12-10-12 1-3-13	<u> </u>
	GUGGENHEIM MACRO OPPORTUNITIES FUND CL A	['] ק	N/A	11-1-12 12-3-12	\$250,001 - \$500,000
-		_	_	12-10-12 1-2-13	
	GUGGENHEIM TOTAL RETURN BOND FUND CL A	ס	NA	10-9-12 12-5-12	\$250,001 - \$500,000
-		-	_	12-10-12 1-3-13	
	HACHIJUNI BANK LTD ADR UNSOLICITED	တ	N _o	4-17-12	\$1,001 - \$15,000
	HAIN CELESTIAL GROUP INC UNSOLICITED	Ø	Yes	5-24-12 8-29-12 9-18-12 10-4-12	\$1,001 - \$15,000
	HANG SENG BK LTD SPONSRD ADR ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	HANG SENG BK LTD SPONSRD ADR ADR	ס	N N	4-17-12	\$1,001 - \$15,000
	HARMAN INTL INDS INC NEW UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
"	HARMAN INTL INDS INC NEW UNSOLICITED	S	Z _o	6-14-12	\$1,001 - \$15,000

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange

out. If on	out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	al sale"). See example be	slow.		
SP, C,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	HEARTLAND PAYMENT SYSTEMS INC	S	8	10-4-12	\$1,001 - \$15,000
	HEARTLAND PAYMENT SYSTEMS INC	۵	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	HEINEKEN N V ADR NETHERLANDS ADR	w	0 2	8-7-12 8-8-12 8-9-12	\$1,001 - \$15,000
	HEINEKEN N V ADR NETHERLANDS ADR	<u>a</u>	N/A	4-17-12	\$1,001 - \$15,000
; ;	HELMERICH & PAYNE INC UNSOLICITED	S	<u>o</u>	10-4-12	\$1,001 - \$15,000
	HELMERICH & PAYNE INC UNSOLICITED	d.	A/N	2-13-12 3-12-12	\$1,001 - \$15,000
	HERBALIFE LTD UNSOLICITED	۵	A/N	2-13-12 3-12-12	\$1,001 - \$15,000
	HERBALIFE LTD UNSOLICITED	S	<u>0</u>	5-3-12 7-17-12	\$1,001 - \$15,000
	HERTZ GLOBAL HOLDINGS INC	! 0	Ą Ż	2-13-12 3-12-12	\$1,001 - \$15,000
	HERTZ GLOBAL HOLDINGS INC	တ	<u>8</u>	10-4-12	\$1,001 - \$15,000
	HIBBETT SPORTS INC UNSOLICITED	S	Yes	9-12-12 9-13-12 9-14-12	\$1,001 - \$15,000

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_							:			SP, DC, JT
HUB GROUP INC CL A UNSOLICITED	HSBC HOLDINGS PLC NEW GB SPON ADR	HSBC HOLDINGS PLC NEW GB SPON ADR	HONEYWELL INTL INC UNSOLICITED	HONEYWELL INTL INC UNSOLICITED	HOME RETAIL GROUP PLC SPON ADR	HOME DEPOT INC UNSOLICITED	HOME DEPOT INC UNSOLICITED	HITACHI LTD ADR NEW JAPAN	HITACHI LTD ADR NEW JAPAN	Asset
ס	ס	S	S	ס	S	ס	S	Ø	ס	Type of Transaction
N/A	N	No	No	N/A	No	N/A	Yes	N _o	N/A	Capital Gain in Excess of \$200?
FEB 7-10, 12 4-18-12 MAY 18-23, 12	9-7-12 9-10-12 9-14-12 9-18-12	10-4-12	10-4-12	2-13-12 3-12-12	1-27-12 4-17-12	2-13-12 3-12-12	10-4-12	10-4-12	4-17-12	Date
\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	Amount of Transaction

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange Page 57 of 102 Name David Dreier

SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	HUB GROUP INC CL A UNSOLITICED	S	Yes	10-4-12	\$1,001 - \$15,000
	IAC INTERACTIVECORP UNSOLICITED	۵	A/N	2-13-12 3-12-12 6-14-12	\$1,001 - \$15,000
	IAC INTERACTIVECORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ICU MEDICAL INC UNSOLICITED	۵	A/A	4-18-12 5-8-12 5-9-12 5-10-12 5-11-12	\$1,001 - \$15,000
	ICU MEDICAL INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ILLUMINA INC UNSOLICITED	S	0 Z	10-4-12	\$1,001 - \$15,000
	ILLUMINA INC UNSOLICITED	۵	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	IMPALA PLATINUM HLDG LTD SPON ADR	S	o N	4-17-12	\$1,001 - \$15,000
:	IMPALA PLATINUM HLDG LTD SPON ADR	۵	A/N	2-22-12 3-6-12	\$1,001 - \$15,000
	IMPERIAL TOBACCO GROUP PLC SPON ADR	S	<u>0</u>	10-4-12	\$1,001 - \$15,000

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		-							-		SP, DC,
INTUIT UNSOLICITED	INTUIT UNSOLICITED	INTL BUSINESS MACH UNSOLICITED	INTL BUSINESS MACH UNSOLICITED	INTERDIGITAL INC (PA) UNSOLICITED	INTEL CORP UNSOLICITED	INTEL CORP UNSOLICITED	INFORMATICA CORP USOLICITED	INFORMATICA CORP UNSOLICITED	INDEPENDENT BANK CORP MASS	IMPERIAL TOBACCO GROUP PLC SPON ADR	Asset
S	70	Ø	יסי	S	ס	တ	S	ס	Ø	ס	Type of Transaction
Yes	AN	Yes	NA	No	A/N	N _O	Z	NA	Yes	NA	Capital Gain in Excess of \$200?
10-4-12	2-13-12 3-12-12 3-23-12 9-19-12	10-9-12	2-13-12 3-12-12	10-4-12	2-13-12 3-12-12	10-4-12	6-14-12 10-4-12	2-13-12 3-12-12	10-4-12	4-17-12	Date
\$15,001 - \$50,000	\$15,001 - \$50,000	\$250,001 - \$500,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	Amount of Transaction

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5		Name David Dreier	<u>.</u>		1486 53 OL 108	
Report or oth transa	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	dent child during the rep 0. Include transactions i your dependent child, o al sale"). See example bo	oorting year of that resulted rethe burchaselow.	of any real property, st in a loss. Provide a bi se or sale of your pers	ocks, bonds, commodities futures, ief description of any exchange onal residence, unless it is rented	
SP, DC,⊤	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction	
	INTUITIVE SURGICAL INC NEW	S	Yes	10-4-12	\$15,001 - \$50,000	
	INTUITIVE SURGICAL INC NEW	<u>a</u>	A/N	2-13-12 3-12-12	\$15,001 - \$50,000	
i	IPG PHOTONICS CORP UNSOLICITED	Q	A/N	JUN 20-27, 12 7-20-12 7-23-12	\$1,001 - \$15,000	
	IPG PHOTONICS CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000	
	IROBOT CORP UNSOLICITED	တ	°Z	10-4-12	\$1,001 - \$15,000	
	IRON MTN INC NEW UNSOLICITED	۵	Ą Ż	2-13-12 3-12-12	\$1,001 - \$15,000	
	IRON MTN INC NEW UNSOLICITED	ග	Yes	10-4-12	\$1,001 - \$15,000	
	ISHARES TRUST RUSSELL 2000 FUND	တ	Yes	10-4-12	\$15,001 - \$50,000	
	ISRAEL CHEMICALS LTD ADR UNSOLICITED	Ø	Yes	10-4-12	\$1,001 - \$15,000	
	ISRAEL CHEMICALS LTD ADR UNSOLICITED	۵_	N/A	6-7-12 6-13-12 6-14-12 6-18-12 6-19-12	\$1,001 - \$15,000	

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transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below. Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange

											SP, DC,
JOHNSON CONTROLS INC UNSOLICITED	JOHNSON & JOHNSON COM UNSOLICITED	JOHNSON & JOHNSON COM UNSOLICITED	JOHN HANCOCK INCOME FUND	JARDEN CORP UNSOLICITED	JARDEN CORP UNSOLICITED	JANUS CAPITAL GROUP INC UNSOLICITED	JANUS CAPITAL GROUP INC UNSOLICITED	JABIL CIRCUIT INC UNSOLICITED	JABIL CIRCUIT INC UNSOLICITED	J2 GLOBAL INC COM UNSOLICITED	Asset
P	U	Ø	ָּס	ס	S	P	S	P	S	σ [°]	Type of Transaction
N/A	NA	Yes	N/A	N/A	Yes	NA	N _O	N/A	S _o	8	Capital Gain in Excess of \$200?
2-13-12 3-12-12	2-13-12 3-12-12 8-29-12	10-4-12	10-31-12	3-19-12 5-4-12	10-4-12	2-13-12 3-12-12	10-4-12	2-13-12 3-7-12 3-12-12	10-4-12	APR 4-16, 12 10-4-12	Date
\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$250,001 - \$500,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	Amount of Transaction

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Report an or other stransactic out. If on	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	dent child during the reportir). Include transactions that r your dependent child, or the I sale"). See example below.	orting year o hat resulted the purchas low.	f any real property, st n a loss. Provide a br e or sale of your pers	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, ed \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange ouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented "partial sale"). See example below.
SP, JC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	JOHNSON CONTROLS INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	JONES LANG LASALLE INC UNSOLICITED	Ø	×es	2-22-12 2-23-12 3-23-12 3-26-12 3-27-12 3-28-12 5-1-12	\$1,001 - \$15,000
	JPM HIGHBRIDGE DYNAMIC COMMODITIES STRATEGY	a	∀ Z	2-10-12 4-17-12	\$100,001 - \$250,000
	JPMORGAN CHASE & CO UNOLICITED	S	Yes	10-4-12	\$15,001 - \$50,000
: : 	JPMORGAN CHASE & CO UNSOLICITED	<u> </u>	∀	2-13-12 3-12-12	\$1,001 - \$15,000
	JPMORGAN TR I HIGHBRIDGE	S	No	10-4-12	\$100,001 - \$250,000
	KAPSTONE PAPER AND PACKAGING CORP	S	N _O	10-4-12	\$1,001 - \$15,000
	KDDI CORP ADR UNSOLICITED	d	N/A	4-17-12	\$1,001 - \$15,000
	KIDDI CORP ADR UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000

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SP,		Type of	Capital Gain in		
4	Asset	Transaction	of \$2007	Date	Amount of Transaction
	KIMBERLY CLARK CORP UNSOLICITED	S	Yes	3-14-12 10-4-12	\$1,001 - \$15,000
	KIMBERLY CLARK CORP UNSOLICITED	סי	NA	2-13-12 3-12-12	\$1,001 - \$15,000
	KINROSS GOLD CORP NEW CAD	Р	N/A	1-17-12	\$1,001 - \$15,000
	KINROSS GOLD CORP NEW CAD	S	No	4-17-12	\$1,001 - \$15,000
·	KOC HOLDINGS ADR UNSOLICITED	ס	N/A	4-17-12	\$1,001 - \$15,000
	KOC HOLDINGS ADR UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	KOMATSU LTD SPON ADR NEW	S	No	10-4-12	\$1,001 - \$15,000
	KOMATSU LTD SPON ADR NEW	ס	N/A	4-17-12	\$1,001 - \$15,000
	KOREA ELECTRIC POWER CRP SPONSORED ADR	S	N _O	4-17-12	\$1,001 - \$15,000

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LENDER PRC LENDER PRC LIFE TIME FI	LANDAUER INC UNSOLICITED		Gain in Excess of \$200?	Date	Amount of Transaction
LENDER PRC LENDER PRC		S	No	2-8-12 2-9-12	\$1,001 - \$15,000
LENDER PRC LENDER PRC			_	2-14-12 2-16-12 2-17-12	
LENDER PRC LENDER PRC LIFE TIME FI				2-21-12 2-22-12 10-4-12	
LENDER PRC	LENDER PROCESSING SERVICES INC	S	Yes	10-4-12	\$1,001 - \$15,000
LIFE TIME FIT	LENDER PROCESSING SERVICES INC	a.	A A	2-13-12 3-12-12	\$1,001 - \$15,000
	LIFE TIME FITNESS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
LIMITED BRA	LIMITED BRANDS INC CL A UNSOLICITED	a .	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
LIMITED BRA	LIMITED BRANDS INC CL A UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
LINDSAY CO	LINDSAY CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
LIQUIDITY SE	LIQUIDITY SERVICES INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
LKQ CORP N	LKQ CORP NEW UNSOLICITED	a	A/N	6-18-12	\$1,001 - \$15,000

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Sp			Capital		
JT,	Asset	Type of Transaction	Gain in Excess of \$200?	Date	
	LKQ CORP NEW UNSOLICITED	S	No	10-4-12	
	LORD ABBETT INCOME FUND CL A	ט	N/A	10-4-12 10-31-12	
-		-	_	12-13-12 12-19-12 1-3-13	
	LORD ABBETT SHORT DURATION INCOME FUND CL A	ס	N/A	10-4-12 10-31-12 12-13-12 12-19-12 1-2-13	:
	LORILLARD INC UNSOLICITED	S	No	10-4-12	
	LORILLARD INC UNSOLICITED	ס	N/A	2-13-12 3-12-12	
7	LUFKIN INDUSTRIES INC UNSOLICITED	S	Yes	10-4-12	
	LUFKIN INDUSTRIES INC UNSOLICITED	ס	N/A	3-27-12 3-28-12	
; ; , - -		-		3-29-12 4-17-12 4-18-12 8-10-12	
0.7	MAGNA INTL INC CLA SUB VTG CANADA ORG CAD	S	No	10-9-12	

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures,

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SP, CC, C,					
	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	MANULIFE FINANCIAL CORP CAD	d.	N/A	4-17-12	\$1,001 - \$15,000
	MANULIFE FINANCIAL CORP CAD	S	<u>8</u>	10-4-12	\$1,001 - \$15,000
	MARATHON OIL CORP UNSOLICITED	S	2	10-4-12	\$1,001 - \$15,000
	MARATHON OIL CORP UNSOLICITED	a .	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	MARATHON PETROLEUM CO UNSOLICITED	Ø	Yes	10-4-12	\$1,001 - \$15,000
	MARATHON PETROLEUM CO UNSOLICITED	d	¥/N	2-13-12 3-12-12	\$1,001 - \$15,000
	MARINE HARVEST ASA ADR UNSOLICITED	S	8	4-17-12	\$1,001 - \$15,000
	MARKETAXESS HOLDINGS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	MARKETAXESS HOLDINGS INC UNSOLICITED	<u>a</u>	N/A	4-18-12 9-5-12 9-6-12 9-18-12 9-19-12 9-20-12	\$1,001 - \$15,000

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transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below. Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange

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SP,		Type of	Capital Gain in Excess	D	Amount of Transaction
,	MARKS & SPENCER GROUP INC SPON ADR	S	No	10-4-12	\$1,001 - \$15,000
	MARKS & SPENCER GROUP INC SPON ADR	ס	N/A	4-17-12	\$1,001 - \$15,000
	MCDONALDS CORP UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	MCDONALDS CORP UNSOLICITED	S	S	10-9-12	\$1,001 - \$15,000
··	MEADWESTVACO CORP UNSOLICITED	Ø	S _o	10-4-12	\$1,001 - \$15,000
-	MEADWESTVACO CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	MENS WEARHOUSE INC UNSOLICITED	S	N _O	10-4-12	\$1,001 - \$15,000
	MERCADOLIBRE INC UNSOLICITED	ס	A/N	2-13-12 3-12-12	\$1,001 - \$15,000
	MERCADOLIBRE INC UNSOLICITED	Ø	o o	10-4-12	\$1,001 - \$15,000
	MERCK & CO INC NEW COM UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	MERCK & CO INC NEW COM UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000

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SP, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction	
	MERIDIAN BIOSCIENCE INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000	
	MICROSOFT CORP UNSOLICITED	۵	4 / Z	2-13-12 3-12-12 8-21-12	\$15,001 - \$50,000	
	MICROSOFT CORP UNSOLICTED	S	Yes	10-4-12	\$50,001 - \$100,000	
	MICROSTRATEGY INC NEW CL A	S	Yes	10-4-12	\$1,001 - \$15,000	
	MIDDLEBY CORP DELA UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000	
	MINERALS TECHNOLOGIES INC	S	Yes	10-4-12	\$1,001 - \$15,000	
	MITSUI & CO LTD ADR JAPAN ADR	a .	¥ X	4-17-12	\$1,001 - \$15,000	
	MITSUI & CO LTD ADR JAPAN ADR	S	8	10-4-12	\$1,001 - \$15,000	
	MIZUHO FINANCIAL GROUP INC SPON ADR	S	Yes	10-4-12	\$1,001 - \$15,000	1
	MIZUHO FINANCIAL GROUP INC SPON ADR		N A N	4-17-12	\$1,001 - \$15,000	
	MS&AD INS GROUP HLDGS ADR	w	S	2-27-12 4-17-12	\$1,001 - \$15,000	

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			-			
JT , SP,						
Asset	MYRIAD GENETICS INC NEW UNSOLICITED	MYRIAD GENETICS INC NEW UNSOLICITED	NATL INSTRUMENTS CORP UNSOLICITED	NEOGEN CORP UNSOLICITED	NEUBERGER BERMAN FLOATING RATE INCOME FUND CL A	NEUBERGER BERMAN HIGH INCOME BOND FUND CL A
Type of Transaction	S	ד	S	S	ס	7
Capital Gain in Excess of \$200?	Yes	NA	No	Yes	N/A	NA
Date	10-4-12	MAR 13-28, 12 4-18-12 7-17-12	4-4-12 4-5-12 4-9-12 5-24-12 5-25-12	7-13-12 7-16-12 7-17-12 7-18-12 7-19-12 10-4-12	10-4-12 10-31-12 12-3-12 12-24-12	10-4-12 10-31-12 12-3-12 12-24-12
Amount of Transaction	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$250,001 - \$500,000	\$250,001 - \$500,000

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SP, C,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	NEUBERGER BERMAN STRATEGIC INCOME FUND CL A	۵	N/A	10-4-12 10-31-12 12-3-12 12-24-12	\$250,001 - \$500,000
	NEW JERSEY RESOURCES CRP UNSOLICITED	S	<u>8</u>	10-4-12	\$1,001 - \$15,000
	NEWCREST MINING LTD SPON AUSTRALIA ADR	S	ON O	4-17-12	\$1,001 - \$15,000
	NEXEN INC CAD UNSOLICITED	S	Yes	4-17-12 10-4-12	\$1,001 - \$15,000
	NEXTERA ENERGY INC COM UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	NEXTERA ENERGY INC COM UNSOLICITED	۵	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NIC INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	NIKE INC CL B UNSOLICITED	Ø	S S	10-4-12	\$15,001 - \$50,000
	NIKE INC CL B UNSOLICITED	۵	N/A	6-5-12 810-12	\$15,001 - \$50,000
	NINTENDO LTD ADR NEW JAPAN ADR	S	N _O	4-17-12	\$1,001 - \$15,000
	NIPPON TELEG & TEL CORP SPON ADR	S	Yes	4-17-12	\$1,001 - \$15,000

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SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	NITTO DENKO CORP UNSPONS ADR	P	A/N	4-17-12	\$1,001 - \$15,000
	NITTO DENKO CORP UNSPONS ADR	Ø	Yes	10-4-12	\$1,001 - \$15,000
	NOKIA CORP SPONS ADR FINLAND ADR	S	No	4-17-12	\$1,001 - \$15,000
	NORDSON CORP UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NORDSON CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	NORTHEAST UTILITIES UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
-	NORTHEAST UTILITIES UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	NORTHROP GRUMMAN CORP UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NORTHROP GRUMMAN CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	NU SKIN ENTERPRISES INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NU SKIN ENTERPRISES INC UNSOLICITED	S	No	5-3-12 7-17-12	\$1,001 - \$15,000

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Report a or other transactiont. If or	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	or dependent child during the reportir ed \$1,000. Include transactions that r ouse, or your dependent child, or the ., "partial sale"). See example below.	orting year hat resulted the purchasilow.	of any real property, s in a loss. Provide a b se or sale of your pers	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, ed \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange ouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented ", "partial sale"). See example below.
SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	NXP SEMICONDUCTORS N V COM EUR	a	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NXP SEMICONDUCTORS N V COM EUR	Ø	o N	10-4-12	\$1,001 - \$15,000
	OAO GAZPROM LEVEL 1 ADR PROGRAM (RUSSIA) SPON	, ග	Yes	1-20-12 4-17-12	\$1,001 - \$15,000
	OCCIDENTAL PETROLEUM CRP UNSOLICITED	L	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	OCCIDENTAL PETROLEUM CRP UNSOLICITED	S	o N	10-4-12	\$1,001 - \$15,000
	OCWEN FINANCIAL CORP NEW UNSOLICITED	S	Yes	7-17-12 8-21-12 9-12-12 9-19-12 10-4-12	\$1,001 - \$15,000
	ONYX PHARMACEUTICALS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ORACLE CORP UNSOLICITED	L	Ą V	2-13-12 3-12-12	\$15,001 - \$50,000
	ORACLE CORP UNSOLICITED	S	Yes	10-4-12	\$15,001 - \$50,000
	P.T. TELEKOMUNIKASI INDONESIA SPON ADR	S	<u>8</u>	4-17-12	\$1,001 - \$15,000

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SP, DC,	Asset	Type of	Capital Gain in Excess of \$2007	Date	Amount of Transaction
	PANASONIC CORP SPON ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	PANERA BREAD COMP CL A UNSOLICITED	ּס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PANERA BREAD COMP CL A UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	PAREXEL INTL CORP UNSOLICITED	"ס	N/A	6-21-12	\$1,001 - \$15,000
	PAREXEL INTL CORP UNSOLICITED	Ø	Yes	10-4-12	\$1,001 - \$15,000
	PEABODY ENERGY CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	PEABODY ENERGY CORP UNSOLICITED	Р	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PENN NATL GAMING INC UNSOLICITED	Р	N/A	6-18-12	\$1,001 - \$15,000
	PENN NATL GAMING INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	PETROLEO BRASILEIRO SA SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	PETROLEO BRASILERIO SA SPON ADR	S	No	10-4-12	\$1,001 - \$15,000

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Report or other transact out. If o	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	ndent child during the rep 30. Include transactions t r your dependent child, or al sale"). See example be	orting year c hat resulted the purchas low.	of any real property, st in a loss. Provide a br e or sale of your perse	ocks, bonds, commodities futures, ief description of any exchange onal residence, unless it is rented
SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	PETSMART INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	PETSMART INC UNSOLICITED	۵	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PFIZER INC UNSOLICITED	<u> </u>	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PFIZER INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	PHILIP MORRIS INTL INC UNSOLICITED	۵	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PHILIP MORRIS INTL INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	PHILLIPS 66 (SPINOFF FROM CONOCOPHILLIPS)	Ø	Yes	10-4-12	\$1,001 - \$15,000
	PLANTRONICS INC NEW UNSOLICITED	ဟ	N S	10-4-12	\$1,001 - \$15,000
	POLARIS INDUSTRIES INC (MINN)	S	Yes	10-4-12	\$1,001 - \$15,000
	POLARIS INDUSTRIES INC (MINN)	۵	N/A	2-13-12 3-12-12 5-4-12	\$1,001 - \$15,000
	POLYCOM INC UNSOLICITED	Ø	N _O	10-4-12	\$1,001 - \$15,000

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POSCO SPON ADR UNSOLICITED POWER INTEGRATIONS INC UNSOLICITED	Asset POLYCOM INC UNSOLICITED POLYUS GOLD INTL LTD SPON GDR POSCO SPON ADR UNSOLICITED	
U	Type of Transaction P	
NA	Capital Gain in Excess of \$200?	
4-17-12	Date 6-6-12 6-7-12 6-15-12 6-18-12 6-19-12 4-17-12	
\$1,001 - \$15,000	Amount of Transaction \$1,001 - \$15,000 \$1,001 - \$15,000 \$1,001 - \$15,000	

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Report all or other transaction out. If or	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	dent child during the rep. Include transactions tyour dependent child, ol sale"). See example be	orting year or that resulted the purchastlow.	of any real property, so in a loss. Provide a b se or sale of your pers	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, ded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange pouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented e., "partial sale"). See example below.
SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	PROCTER & GAMBLE CO UNSOLICITED	S	Yes	10-4-12	\$15,001 - \$50,000
	PRUDENTIAL FINANCIAL INC UNSOLICITED	a .	K/A	2-13-12 3-12-12 8-29-12	\$1,001 - \$15,000
	PRUDENTIAL FINANCIAL INC UNSOLICITED	S	oN .	10-4-12	\$1,001 - \$15,000
	PUBLIC SERVICE ENTERPRISE GROUP INC	S	Yes	10-4-12	\$1,001 - \$15,000
	PUBLIC SERVICE ENTERPRSE GROUP INC	a	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PUTNAM DIVERSIFIED INCOME TRUST-CL A	Q .	N/A	10-4-12 10-31-12 1-3-12	\$250,001 - \$500,000
	PUTNAM GLOBAL INCOME TRUST-CL A	a .	Ψ/Z	10-4-12 10-31-12 1-3-12	\$250,001 - \$500,000
	QUAKER CHEMICAL CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	QUALCOMM INC UNSOLICITED	S	Yes	10-4-12	\$50,001 - \$100,000
	QUALCOMM INC UNSOLICITED	a.	N/A	2-13-12 3-12-12	\$15,001 - \$50,000

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SP,	A 99	Type of	Capital Gain in Excess	Date	Amount of Transaction
	QUALITY SYSTEMS INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	QUALITY SYSTEMS INC UNSOLICITED	ט	N/A	4-18-12 7-13-12 7-16-12	\$1,001 - \$15,000
	RACKSPACE HOSTING INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	RACKSPACE HOSTING INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	RAYTHEON CO NEW UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
İ	RAYTHEON CO NEW UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	REED ELSERVIER NV NEW REPSTG 2 ORD SHS SPON	Ø	Yes	10-4-12	\$1,001 - \$15,000
	REED ELSERVIER NV NEW REPSTG 2 ORD SHS SPON	ד	NA	4-17-12	\$1,001 - \$15,000
	RENAISSANCERE HOLDINGS LTD	S	N _o	10-4-12	\$1,001 - \$15,000
·	RENAISSANCERE HOLDINGS LTD	ד	NA	4-17-12	\$1,001 - \$15,000
	RIO TINTO PLC SPON ADR UNSOLICITED	S	N _o	10-4-12	\$1,001 - \$15,000

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Report a or other transaction. If o	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	dent child during the rep I. Include transactions I your dependent child, or I sale"). See example be	oorting year of that resulted rethe burchaselow.	of any real property, st in a loss. Provide a br ie or sale of your perse	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, ded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange bouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented e., "partial sale"). See example below.
SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	RIO TINTO PLC SPON ADR UNSOLICITED	Q .	N/A	2-13-12 3-12-12 4-17-12 8-22-12	\$1,001 - \$15,000
	RIVERBED TECHNOLOGY INC UNSOLICITED	S	Yes	3-21-12 10-4-12	\$1,001 - \$15,000
	RIVERBED TECHNOLOGY INC UNSOLICITED	d .	N/A	2-13-12 3-12-12 6-15-12 6-18-12	\$1,001 - \$15,000
	ROBERT HALF INTL INC UNSOLICITED	S	0 2	10-4-12	\$1,001 - \$15,000
	ROBERT HALF INTL INC UNSOLICITED	a	A/Z	7-17-12	\$1,001 - \$15,000
	ROHM CO LTD ADR UNSOLICITED	S	°Z	4-17-12	\$1,001 - \$15,000
	ROLLINS INC UNSOLICITED	S	o Z	10-4-12	\$1,001 - \$15,000
	ROLLINS INC UNSOLICITED	۵	∀X X	2-13-12 3-12-12	\$1,001 - \$15,000
	ROYAL DUTCH SHELL PLC CL A SPON ADR	S	O N	10-9-12	\$1,001 - \$15,000
	ROYAL DUTCH SHELL PLC CL A SPON ADR		A/A	4-17-12	\$1,001 - \$15,000

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

J C S	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	RYDER SYSTEM INC UNSOLICITED	d	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	RYDER SYSTEM INC UNSOLICITED	S	N _o	6-18-12	\$1,001 - \$15,000
	RYMAN HOSPITALITY PROPERTIES INC (FORMERLY GAYLORD ENTERTAINMENT)	ග	Yes	10-16-12	\$50,001 - \$100,000
	SAGE GROUP PLC ADR UNSOLICITED	ָ ס י	N/A	4-17-12	\$1,001 - \$15,000
	SAGE GROUP PLC ADR UNSOLICITED	G	Yes	10-4-12	\$1,001 - \$15,000
	SALLY BEAUTY CO INC UNSOLICITED	ס	N/A	6-14-12	\$1,001 - \$15,000
	SALLY BEAUTY CO INC UNSOLICITED	S	oN	10-4-12	\$1,001 - \$15,000
	SANDRIDGE ENERGY INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	SANDRIDGE ENERGY INC UNSOLICITED		NA	2-13-12 3-12-12	\$1,001 - \$15,000
	SANOFI SPON ADR UNSOLICITED	Ø	Yes	3-8-12 4-17-12 10-9-12	\$1,001 - \$15,000
	SANOFI-AVENTIS SA SPON ADR	σ	S _O	10-9-12	\$1,001 - \$15,000

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Report ar or other s transactic out. If on	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	dent child during the rep ndent child transactions t your dependent child, or al sale"). See example be	orting year of hat resulted the purchastlow.	of any real property, s' in a loss. Provide a b ie or sale of your pers	ocks, bonds, commodities futures, rief description of any exchange onal residence, unless it is rented
SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SAPIENT CORP UNSOLICITED	S	N _O	10-4-12	\$1,001 - \$15,000
	SASOL LTD SPON ADR UNSOLICITED	۵	A/A	4-17-12	\$1,001 - \$15,000
	SASOL LTD SPON ADR UNSOLICITED	S	Š	10-4-12	\$1,001 - \$15,000
	SCHLUMBERGER LTD NETHERLANDS ANTILLES	۵	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SCHULMBERGER LTD NETHERLANDS ANTILLES	S	٥ ٧	10-4-12	\$1,001 - \$15,000
	SEADRILL LTD US LINE UNSOLICITED	<u>a</u>	N/A	4-17-12	\$1,001 - \$15,000
	SEADRILL LTD US LINE UNSOLICITED	· σ	8	10-4-12	\$1,001 - \$15,000
	SEGA SAMMY HLDG INC SPON ADR	a.	A/N	4-17-12	\$1,001 - \$15,000
	SEGA SAMMY HLDG INC SPON ADR	v	8 8	10-4-12	\$1,001 - \$15,000
	SEKISUI HOUSE LTD SPON ADR	S	S S	4-17-12	\$1,001 - \$15,000
:	SELECT COMFORT CORP UNSOLICITED	<u>a</u>	A/N	4-18-12	\$1,001 - \$15,000

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SP,			Capital Gain in		
ָד לָ	Asset	Transaction	Excess of \$200?	Date	Amount of Transaction
	SELECT COMFORT CORP UNSOLICITED	S	No	7-13-12 10-4-12	\$1,001 - \$15,000
	SEMPRA ENERGY UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	SEMPRA ENERGY UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SENSATA TECHNOLOGIES HLDG NV EUR	Р	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
-	SENSATA TECHNOLOGIES HLDG NV EUR	S	No	7-17-12	\$1,001 - \$15,000
	SEVEN & I HLDGS CO LTD ADR	S	Yes	4-17-12	\$1,001 - \$15,000
	SHISEIDO CO LTD SPONS ADR JAPAN	S	No	4-17-12	\$1,001 - \$15,000
	SIEMENS A G SPON ADR UNSOLICITED	P	N/A	7-27-12 7-30-12	\$1,001 - \$15,000
_	SIEMENS A G SPON ADR UNSOLICITED	Ø	Yes	4-17-12 10-4-12	\$15,001 - \$50,000
	SIGNATURE BANK NEW YORK N Y	S	Yes	6-6-12 10-4-12	\$1,001 - \$15,000
	SIGNET JEWELERS LTD UNSOLICITED	ד	N/A	2-13-12 3-12-12	\$1,001 - \$15,000

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Name David Dreier

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction	ľ
	SIGNET JEWELERS LTD UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000	
	SILGAN HOLDINGS INC UNSOLICITED	S	8	6-22-12 10-4-12	\$1,001 - \$15,000	
	SILGAN HOLDINGS INC UNSOLICITED	d	N/A	2-13-12 3-12-12	\$1,001 - \$15,000	;
	SIMPSON MANUFACTURING CO INC DELA	S	<u>o</u>	7-20-12 7-23-12 7-24-12 7-25-12 10-4-12	\$1,001 - \$15,000	
	SIRONA DENTAL SYSTEMS INC	S	<u>°</u>	7-17-12	\$1,001 - \$15,000	_
	SIRONA DENTAL SYSTEMS INC	a	A/N	2-13-12 3-12-12	\$1,001 - \$15,000	
	SK TELECOM CO LTD ADR UNSOLICITED	S	Yes	4-17-12 10-4-12	\$1,001 - \$15,000	
	SOCIETE GENERALE FRANCE SPONS ADR ADR	S	N _o	2-8-12	\$1,001 - \$15,000	
	SODA STREAM INTL LTD ILS UNSOLICITED	S	٥ ٧	10-4-12	\$1,001 - \$15,000	
_			_			-

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SODA STREAM INTL LTD ILS UNSOLICITED	P	N/A	4-18-12 8-21-12	\$1,001 - \$15,000
•			-	9-12-12 9-13-12	
	SOLARWINDS INC UNSOLICITED	ω	Yes	9-14-12 10-4-12	\$1,001 - \$15,000
	SOLARWINDS INC UNSOLICITED	ָ פ ר	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SOUTH JERSEY IND INC UNSOLICITED	S	No	2-28-12 2-29-12 3-1-12 10-4-12	\$1,001 - \$15,000
	SOUTHERN CO UNSOLICITED	တ	2 0	10-4-12	\$1,001 - \$15,000
	SOUTHERN CO UNSOLICITED	סר	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SPDR GOLD TRUST	S	N 0	10-16-12	\$100,001 - \$250,000
	SPDR GOLD TRUST	ָּט ּ	N/A	2-10-12	\$15,001 - \$50,000
	STARBUCKS CORP UNSOLICITED	S	No	2-21-12 10-4-12	\$15,001 - \$50,000
	STARBUCKS CORP UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$15,001 - \$50,000

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Report a or other transacti out. If or	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	ndent child during the rep 00. Include transactions the ryour dependent child, or al sale"). See example be	orting year orting year orting year or the purchastow.	of any real property, si in a loss. Provide a b se or sale of your pers	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, led \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange louse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented 3., "partial sale"). See example below.
SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	STATOIL ASA SPON ADR UNSOLCITED	S	No	10-4-12	\$1,001 - \$15,000
	STATOIL ASA SPON ADR UNSOLICITED	۵	N/A	4-17-12	\$1,001 - \$15,000
	SUMITOMO MITSUI TRUST HOLDINGS SPON ADR	S	8	4-17-12	\$1,001 - \$15,000
	SVB FINANCIAL GROUP UNSOLICITED	۵	N/A	1-4-12	\$1,001 - \$15,000
•	-		_	1-6-12 2-7-12 2-8-12	•
				3-23-12 3-26-12 3-27-12	
:	SVB FINANCIAL GROUP UNSOLICITED	S	Š.	4-18-12 10-4-12	\$1,001 - \$15,000
	SVENSKA CELLULOSA AB (SCA) SPON	S	Yes	10-4-12	\$1,001 - \$15,000
·	SVENSKA CELLULOSA AB (SCA) SPON ADR	<u>a</u>	N/A	4-17-12	\$1,001 - \$15,000
	SWISSCOM AG SPON ADR UNSOLICITED	S	N _O	4-17-12	\$1,001 - \$15,000
	TAIWAN SEMICONDUCTOR MFG CO LTD ADR	<u>a</u>	A/N	4-17-12	\$1,001 - \$15,000

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	•									SP, DC,
TECHNE CORP MINN UNSOLICITED		TECHNE CORP MINN UNSOLICITED	TEAM INC UNSOLICITED	TATA MOTORS LTD SPON ADR UNSOLICITED	TATA MOTORS LTD SPON ADR UNSOLICITED	TAMANA GOLD INC CAD UNSOLICITED	TALISMAN ENERGY INC CAD UNSOLICITED	TALISMAN ENERGY INC CAD UNSOLICITED	TAIWAN SEMICONDUCTOR MFG CO LTD ADR	Asset
S		ס	Ø	S	ס	Ø	Ø	ט	S	Type of Transaction
N _o		NA	Yes	N _o	N	Yes	N _o	N/A	Yes	Capital Gain in Excess of \$2007
10-4-12	2-17-12 3-13-12 3-14-12 4-18-12 5-8-12 5-9-12 5-10-12	2-15-12 2-16-12	10-4-12	10-4-12	4-17-12	10-4-12	4-17-12	1-19-12	10-4-12	Date
\$1,001 - \$15,000		\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	Amount of Transaction

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SCHE	SCHEDULE IV - TRANSACTIONS	Name David Dreier			Page 85 of 102
Report are or other transaction	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	lent child during the repositions the constructions the construction of sale"). See example belief	orting year on the salted the purchastow.	f any real property, st in a loss. Provide a b e or sale of your pers	or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, led \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange louse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented e., "partial sale"). See example below.
SP, JC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	TELECOM ITALIA SPA NEW REPSTG 10 SAVINGS SHS	d.	N/A	4-13-12	\$1,001 - \$15,000
	TELECOM ITALIA SPA NEW REPSTG 10 SAVINGS SHS	တ	8	4-17-12	\$1,001 - \$15,000
 - - -	TELSTRA CORP LTD (FINAL) ADR		N/A	4-17-12	\$1,001 - \$15,000
	TELSTRA CORP LTD (FINAL) ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	TEMPUR-PEDIC INTL INC UNSOLICITED	۵	N/A	2-13-12 3-12-12 7-13-1 <u>2</u>	\$1,001 - \$15,000
	TEMPUR-PEDIC INTL INC UNSOLICITED	Ø	٥ ٧	9-4-12 10-4-12	\$1,001 - \$15,000
	TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	တ	S S	10-4-12	\$1,001 - \$15,000
	TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	Q .	A/N	4-17-12 8-6-12 8-7-12	\$1,001 - \$15,000
	TEXAS CAPITAL BANCSHARES INC (DELA)	S	Yes	10-4-12	\$1,001 - \$15,000
:	THORATEC CORP NEW UNSOLICITED	S	2	10-4-12	\$1,001 - \$15,000

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transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented
or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange
Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures,

			•				-		6 5 6
									SP, DC, JT
TOTAL S.A. FRANCE SPON ADR	TORONTO DOMINION BK NEW CANADA CAD	TORONTO DOMINION BK NEW CANADA CAD		TNT EXPRESS N V ADR UNSOLICITED	TIBCO SOFTWARE INC UNSOLICITED	TIBCO SOFTWARE INC UNSOLICITED		THORATEC CORP NEW UNSOLICITED	Asset
S	ס	S	-	S	ס	S		ס	4
			_				_		Type of Transaction
N _o	N/A	No	' 	Yes	N/A	N _O		N/A	Capital Gain in Excess of \$200?
10-4-12	2-13-12 3-12-12 4-17-12 8-29-12	10-4-12	2-21-12 2-23-12 2-27-12	1-18-12 1-19-12	2-13-12 3-12-12	10-4-12	8-31-12 9-4-12 9-5-12 9-6-12 9-7-12 9-10-12 9-12-12 9-13-12	8-29-12 8-30-12	Date
\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000		\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	_	\$1,001 - \$15,000	Amount of Transaction

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Report an or other set transactic out. If on	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.	dent child during the rep 0. Include transactions t your dependent child, or 1 sale"). See example be	orting year of hat resulted the purchas low.	f any real property, s' in a loss. Provide a b e or sale of your pers	tocks, bonds, commodities futures, rief description of any exchange onal residence, unless it is rented
SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	TOTAL S.A. FRANCE SPON ADR	۵	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	TOTAL SYSTEM SERVICES INC	S	N _O	10-4-12	\$1,001 - \$15,000
	TOTAL SYSTEM SERVICES INC	۵	N/A	7-17-12	\$1,001 - \$15,000
	TOWERS WATSON & CO CL A UNSOLICITED	S	N	10-4-12	\$1,001 - \$15,000
	TOWERS WATSON & CO CL A UNSOLICITED	۵	A/A	2-13-12 3-12-12	\$1,001 - \$15,000
	TOYOTA MOTOR CORP NEW JAPAN SPON ADR	ဟ	Yes	2-16-12 4-17-12	\$1,001 - \$15,000
	TRACTOR SUPPLY COMPANY UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
_	TRACTOR SUPPLY COMPANY UNSOLICITED	d	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	TRANSOCEAN LTD CHF UNSOLICITED	S	Yes	4-3-12 4-17-12	\$1,001 - \$15,000
	TRAVELERS COS INC/THE UNSOLICITED	d	Κ K	2-13-12 3-12-12	\$1,001 - \$15,000
	TRAVELERS COS INC/THE UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Name David Dreier

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SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	TRIPADVISOR INC UNSOLICITED	S	Yes	7-17-12	\$1,001 - \$15,000
	TRIPADVISOR INC UNSOLICITED	<u>a</u>	A/N	2-13-12 3-12-12	\$1,001 - \$15,000
	UBS GS INVESTMENT PARTNERS, LLC	a .	N/A	3-28-12	\$250,001 - \$500,000
	UBS SELECT PRIME INSTITUTIONAL FUND	۵	A/N	1-5-12	\$500,001 - \$1,000,000
	UBS SELECT PRIME INSTITUTIONAL FUND	S	Yes	3-8-12 3-26-12 4-16-12	\$1,000,001 - \$5,000,000
				11-20-12	
	ULTA SALON COSMETICS & FRAGRANCE INC	a .	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ULTA SALON COSMETICS & FRAGRANCE INC	S	Yes	10-4-12	\$1,001 - \$15,000
	UMB FINANCIAL CORP UNSOLICITED	a	N/A	4-18-12	\$1,001 - \$15,000
	UMB FINANCIAL CORP UNSOLICITED	S	No No	6-26-12 10-4-12	\$1,001 - \$15,000
	UMPQUA HOLDINGS CORP OR UNSOLICITED	S	S O	10-4-12	\$1,001 - \$15,000

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

	=				
SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR	S	Yes	8-7-12 8-8-12 10-4-12	\$15,001 - \$50,000
	UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR	ס	N/A	2-13-12 3-12-12 4-17-12	\$15,001 - \$50,000
	UNIVERSAL HEALTH SVCS INC CL B	S	Yes	10-4-12	\$1,001 - \$15,000
	UNIVERSAL HEALTH SVCS INC CL B	יס	NA	7-17-12	\$1,001 - \$15,000
	UNTD NAT FOODS INC UNSOLICITED	S	Yes	6-20-12 6-21-12 6-22-12 9-19-12 10-4-12	\$1,001 - \$15,000
	UNTD OVERSEAS BK LTD SPONS ADR SINGAPORE ADR	Ø	Yes	10-4-12	\$1,001 - \$15,000
	UNTD OVERSEAS BK LTD SPONS ADR SINGAPORE ADR	ס	N/A	4-17-12	\$1,001 - \$15,000
	UNTD RENTALS INC UNSOLICITED	Ø	N _o	7-17-12 10-4-12	\$1,001 - \$15,000
	UNTD RENTALS INC UNSOLICITED	ָ יס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	UNTD TECHNOLOGIES CORP UNSOLICITED	Ø	N _o	10-4-12	\$1,001 - \$15,000

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented

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SP, DC,	**************************************	Type of	Capital Gain in Excess	,	Amount of Transaction
	UNTD TECHNOLOGIES CORP UNSOLICITED	4	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	US BANCORP DEL (NEW) UNSOLICITED	တ	Yes	10-4-12	\$1,001 - \$15,000
	US BANCORP DEL (NEW) UNSOLICITED	۵	NA	2-13-12 3-12-12	\$1,001 - \$15,000
	V F CORP	a	∀	2-13-12 3-12-12	\$1,001 - \$15,000
	V F CORP	S	Yes	10-4-12	\$1,001 - \$15,000
:	VALE SA-SP SPON ADR UNSOLICITED	S	N _O	10-4-12	\$1,001 - \$15,000
	VALE SA-SP SPON ADR UNSOLICITED	a	N/A	4-17-12	\$1,001 - \$15,000
	VALMONT INDUSTRIES INC UNSOLICITED	ဟ	Yes	10-4-12	\$1,001 - \$15,000
	VALMONT INDUSTRIES INC UNSOLICITED	۵	NA	5-4-12 7-17-12	\$1,001 - \$15,000
	VARIAN MEDICAL SYSTEMS INC	S	Š	5-11-12 10-4-12	\$15,001 - \$50,000
	VARIAN MEDICAL SYSTEMS INC	۵	N/A	2-13-12 3-12-12	\$15,001 - \$50,000
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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

										SP, DC, JT
VIVENDI SA ADR UNSOLICITED	VIVENDI SA ADR UNSOLICITED	VITAMIN SHOPPE INC UNSOLICITED		VITAMIN SHOPPE INC UNSOLICITED	VIACOM INC	VERIZON COMMUNICATIONS INC	VERIZON COMMUNICATIONS INC	VERIFONE SYSTEMS INC UNSOLICITED	VERIFONE SYSTEMS INC UNSOLICITED	Asset
S	ס	S		ס	S	S	"ס 	S	P	Type of Transaction
N _O	N/A	Yes		N/A	S O	Yes	N/A	O	N/A	Capital Gain in Excess of \$200?
4-17-12	3-8-12 4-10-12	7-13-12 7-16-12 7-17-12 10-4-12	4-5-12 4-9-12 4-10-12 4-18-12	3-9-12 4-4-12	11-2-12	3-14-12 10-9-12	2-13-12 3-12-12	7-17-12	2-13-12 3-12-12	Date
\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000		\$1,001 - \$15,000	\$100,001 - \$250,000	\$15,001 - \$50,000	\$1,001 - \$15,000	\$1,001 - \$15,000	\$1,001 - \$15,000	Amount of Transaction

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures. Page 92 of 102 Name David Dreier

VODAFONE GROUP PLC NEW SPON ADR S VODAFONE GROUP PLC NEW SPON ADR P VOLCANO CORP UNSOLICITED S VOLCANO CORP UNSOLICITED RWABTEC INC UNSOLICITED S WABTEC INC UNSOLICITED S WAGOAL HOLDINGS CORP ADR S		Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
EW SPON ADR TED TED ADR	S		Yes	10-4-12	\$50,001 - \$100,000
EW SPON ADR TED ADR			≺es	1-5-12 4-17-12 10-9-12	\$15,001 - \$50,000
TED	Ä		A/N	2-13-12 3-12-12	\$1,001 - \$15,000
TED			A/N	2-13-12 3-12-12	\$1,001 - \$15,000
ADR			Š	10-4-12	\$1,001 - \$15,000
UNSOLICITED DINGS CORP ADR			N/A	2-13-12 3-12-12 4-18-12	\$1,001 - \$15,000
DINGS CORP ADR			\ \ \	2-7-12 2-8-12 3-27-12 3-28-12 4-4-12 4-20-12 JUL 10-24, 12 8-9-12	\$1,001 - \$15,000
UNSOLICITED			<u>8</u>	4-17-12	\$1,001 - \$15,000

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transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below. Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	WAL MART STORES INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	WAL MART STORES INC UNSOLICITED	Ø	Yes	10-4-12	\$1,001 - \$15,000
	WATTS WATER TECHNOLOGIES INC CL A	Ø	N _o	10-4-12	\$1,001 - \$15,000
	WELLS FARGO & CO NEW UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	WELLS FARGO & CO NEW UNSOLICITED	S	Yes	10-9-12	\$1,001 - \$15,000
	WEST PHARMACEUTICAL SERVICES INC	S	Yes	10-4-12	\$1,001 - \$15,000
	WESTERN REFNG INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	WESTERN REFNG INC UNSOLICITED	ס	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	WEYERHAEUSER CO UNSOLICITED	ס	N/A	3-12-12	\$1,001 - \$15,000
	WILLIAMS SONOMA INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
į	WILLIAMS SONOMA INC UNSOLICITED	ס	N/A	9-21-12	\$1,001 - \$15,000

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented

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SP,		Type of	Capital Gain in Excess	Č	
5	Asset	Iransaction	of \$200?	Date	Amount of Iransaction
	WOLTERS KLUWER NV SPONSORED ADR	S	o _N	4-17-12	\$1,001 - \$15,000
	WOLVERINE WORLD WIDE INC UNSOLICITED	W	Š	10-4-12	\$1,001 - \$15,000
	WOORI FIN HOLDINGS ADR UNSOLICITED	S	S O	10-4-12	\$1,001 - \$15,000
	WOORI FIN HOLDINGS ADR UNSOLICITED	C	A/A	4-17-12	\$1,001 - \$15,000
	WRIGHT EXPRESS CORP UNSOLICITED	Ø	Yes	10-4-12	\$1,001 - \$15,000
	WYNDHAM WORLDWIDE CORP UNSOLICITED	S	Yes	9-17-12 10-4-12	\$1,001 - \$15,000
	WYNDHAM WORLDWIDE CORP UNSOLICITED	<u>a</u>	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	XL GROUP PLC SHS UNSOLICITED	S	Yes	10-04-12	\$1,001 - \$15,000
	XL GROUP PLC SHS UNSOLICITED	۵	A/N	2-13-12 3-12-12	\$1,001 - \$15,000
	YAMANA GOLD INC CAD UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
:	YAMANA GOLD INC CAD UNSOLICITED	۵	N/A	4-17-12	\$1,001 - \$15,000
_		_	_		

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	YANZHOU COAL MINING CO LTD SPON ADR	S	No	10-4-12	\$1,001 - \$15,000
	YANZHOU COAL MINING CO LTD SPON ADR	ס	N/A	4-17-12	\$1,001 - \$15,000
	ZOLL MEDICAL CORP UNSOLICITED	Ø	Yes	3-13-12	\$1,001 - \$15,000
	ZURICH INS GROUP LTD SPON ADR	"	N A	4-17-12	\$1,001 - \$15,000
	ZURICH INS GROUP LTD SPON ADR	S	Yes	10-4-12	\$1,001 - \$15,000

SCHEDULE V - LIABILITIES

Page 96 of 102 amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; 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 preceding calendar year exceeded \$10,000. NOTE: Pending legislation may require Members to report mortgates on 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 Name David Dreier personal residences.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	Bank of America	Oct. 2013	Mortgage on personal residence in Los Angeles, CA.	\$500,001 - \$1,000,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

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spouse or dependent child that is totally independent of his or her relationship to you. the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$350 received by you, sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the

Source	Date(s)	Point of Departure DestinationPoint of Return		Food? (Y/N)	Was a Family Lodging? Food? Member Included? (Y/N) (Y/N) (Y/N)	Days not at sponsor's expense
International Republican Institute	Sep. 26- Oct. 3	Los Angeles, CA-Tiblisi, Georgia-DC	~	Υ	Z	None
International Republican Institute	Oct. 25-30	Oct. 25-30 Seoul, South Korea-Kyiv, Ukraine-Los Angeles, CA	~	~	Z	None

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

Position	Name of Organization
Secretary (Uncompensated)	The Dreier Foundation
Member (Uncompensated)	Board of Trustees of Claremont McKenna College
Member (Uncompensated)	Board of Visitors of Claremont Graduate University School of Politics and Economics
Member (Uncompensated)	Board of Advisors of the Los Angeles Mission
Member (Uncompensated)	Advisory Council for the Center for Strategic and International Studies
Member (Uncompensated)	Council of Foreign Relations
Member (Uncompensated)	National Endowment for Democracy's Congressional Advisory Board
Member (Uncompensated)	Board of Directors of the International Republican Institute

NAME: David Dreier

Additional Detail for Schedule III related to:

Assets held by H.E. Dreier Trust (*Figures for year-end values & amount of transaction reflect filer's 1/3 ownership interest in trust.)

\$100,001 - None** \$250,000 \$100,001 - None** \$250,000 - None	0 1 1 1	None** None** None
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Additional Detail for Schedule III Related to:

Assets held by Joyce Y Dreier Trust ("Figures for year-end values & amount of transaction reflect filer's $\frac{1}{3}$ ownership interest in trust.)

52 Mayfair, Riverside County, CA residence	\$100,001 - \$250,000	None	None	
Bank America Corp Bond	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000	
Ironstone Bank Money Market	\$100,001 - \$250,000	Interest	\$1 - \$200	

^{**} Any amounts fell below the reportable level.

schedule	Number Set			80									<u> </u>
Listed for consistency wit fall below reporting thresl IV. Purchase falls below the schedule III or IV.	Section / Schedule Schedule III		Schedule III		Schedule III								
: 고 포트 P P	Name David Dreier Footnote Listed for consistency with prior filing. Both purchase and sale	Listed for consistency with prior filing. Bot fall below reporting threshold and are not IV.	Purchase falls below the reportable level schedule III or IV.	חיייים לאר ממלים האל היי	level and are not reported on schedule IV.	level and are not reported on schedule IV. Listed for consistency with prior filing. Both purchase and sale fall below reporting level and are not reported on schedule IV.	Listed for consistency with prior filing. Both purchase and sale fall below reporting level and are not reported on schedule IV. Sale amount falls below the reportable level and is not reported on schedule IV.	Listed for consistency with prior filing. Both purchase and s fall below reporting level and are not reported on schedule IV. Listed for consistency with prior filing. Both purchase and s fall below reporting level and are not reported on schedule. Sale amount falls below the reportable level and is not report on schedule IV. Puchase amount falls below the reportable level and is not reported on schedule IV.	Listed for consistency with prior filling. Both purchase and safall below reporting level and are not reported on schedule IV. Sale amount falls below the reportable level and is not reported on schedule IV. Puchase amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV.	Listed for consistency with prior filling. Both purchase and safall below reporting level and are not reported on schedule IV. Sale amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV.	Listed for consistency with prior filing. Both purchase and sa fall below reporting level and are not reported on schedule IV. Sale amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV. Purchase amount falls below the reportable level and is not reported on schedule IV.	Listed for consistency with prior years rail be level and are not reported on schedule IV. Listed for consistency with prior filling. Both fall below reporting level and are not reported in schedule IV. Sale amount falls below the reportable level on schedule IV. Purchase amount falls below the reportable reported on schedule IV. Purchase amount falls below the reportable reported on schedule IV. Purchase amount falls below the reportable reported on schedule IV. Sale amount falls below the reportable reported on schedule IV. Sale amount falls below the reportable level on schedule IV.	Listed for consistency with prior years rail be level and are not reported on schedule IV. Listed for consistency with prior filling. Both fall below reporting level and are not reported on schedule IV. Purchase amount falls below the reportable reported on schedule IV. Purchase amount falls below the reportable reported on schedule IV. Purchase amount falls below the reportable reported on schedule IV. Purchase amount falls below the reportable reported on schedule IV. Sale amount falls below the reportable reported on schedule IV. Sale amount falls below the reportable reportable amount falls below the reportable levent on schedule IV.
sale ble ted c		(D)	and is not reported on COH										
	This note refers to the following item CERAGON	CERAGON NETWORKS LTD ILS UNSOLICITED	COHERENT INC UNSOLICITED	DARLING INTL INC	1: 704 000	UNSOLICITED	UNSOLICITED INVESTMENT TECHNOLOGY GROUP NEW	UNSOLICITED INVESTMENT TECHNOLOGY GROUP NEW IROBOT CORP UNSOLICITED	UNSOLICITED INVESTMENT TECHNOLOGY GROUP NEW IROBOT CORP UNSOLICITED KAPSTONE PAPER AND PACKAGING CORP	INVESTMENT TECHNOLOGY GROUP NEW IROBOT CORP UNSOLICITED KAPSTONE PAPER AND PACKAGING CORP LIFE TIME FITNESS INC UNSOLICITED	INVESTMENT TECHNOLOGY GROUP NEW IROBOT CORP UNSOLICITED KAPSTONE PAPER AND PACKAGING CORP LIFE TIME FITNESS INC UNSOLICITED MICROSTRATEGY INC NEW CL A	INVESTMENT TECHNOLOGY GROUP NEW IROBOT CORP UNSOLICITED KAPSTONE PAPER AND PACKAGING CORP LIFE TIME FITNESS INC UNSOLICITED MICROSTRATEGY INC NEW CL A NUTRI/SYSTEMS INC UNSOLICITED	INVESTMENT TECHNOLOGY GROUP NEW IROBOT CORP UNSOLICITED KAPSTONE PAPER AND PACKAGING CORP LIFE TIME FITNESS INC UNSOLICITED MICROSTRATEGY INC NEW CL A NUTRI/SYSTEMS INC UNSOLICITED ONYX PHARMACEUTICALS INC UNSOLICITED

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FOOTNOTES	ES	Name David Dreier	Page 102 of 102
Number	Section / Schedule	Footnote	This note refers to the following item
13	Schedule III	Filer owns 1/3 of trust. Values represent filer's share of the trust. For details on trust assets, see attachment.	JOYCE Y. DREIER TRUST
14	Schedule III	Filer owns 1/3 of trust. Values represent filer's share of the trust. For details on trust assets, see attachment.	HE DREIER IRREVOCABLE TRUST ASSETS
15	Schedule III	Listed for consistency with prior filing. Both purchase and sale fall below reporting level and are not reported on schedule IV.	WILEY JOHN & SONS INC
16	Schedule III	Purchase amount for 2012 and prior years falls below the reportable level and is not reported on schedule IV.	ESCO TECHNOLOGIES INC UNSOLICITED
17	Schedule III	Purchase amount for 2012 and prior years falls below the reportable level and is not reported on schedule IV.	FRESH MKT INC UNSOLICITED
18	Schedule III	Purchase amount for 2012 and prior years falls below the reportable level and is not reported on schedule IV.	HAIN CELESTIAL GROUP INC UNSOLICITED
19	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	APOGEE ENTERPRISES INC UNSOLICITED
20	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	BOTTOMLINE TECHNOLOGIES INC
21	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	EAST WEST BANCORP INC UNSOLICITED
22	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	NIC INC UNSOLICITED