

# UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2011 FINANCIAL DISCLOSURE STATEMENT

**FORM A** Page 1 of 7  
For use by Members, officers, and employees

Howard L Berman

202-225-4695

(Full Name)

(Daytime Telephone)

**Filer Status** ☒ Member of the U.S. House of Representative State: CA District: 28

☐ Officer Or Employee Employing Office:

**Report Type** ☒ Annual (May 15) ☐ Amendment ☐ Termination

Termination Date:

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

## PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$350 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$350 from one source)? If yes, complete and attach Schedule VII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
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 III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 V.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

## EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

<b>Trusts--</b> Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Exemptions--</b> Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

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**SCHEDULE I - EARNED INCOME**

Name Howard L Berman

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

Source	Type	Amount
State of California	Legislative Pension	\$5,712

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Howard L Berman

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BLOCK A <b>Asset and/or Income Source</b> <small>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 publicly 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 optional column on the far left.</small>	BLOCK B <b>Year-End Value of Asset</b> <small>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."</small>	BLOCK C <b>Type of Income</b> <small>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</small>	BLOCK D <b>Amount of Income</b> <small>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.</small>	BLOCK E <b>Transaction</b> <small>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</small>
3627 W 104th Street LLC	\$15,001 - \$50,000	None	NONE	
Providence Farming CO	\$100,001 - \$250,000	PARTNERSHIP	\$5,001 - \$15,000	
SP See attached JP Morgan 2011 Forms 1099 & Details (Page 16 of 22) and Dec 2011 Stmt	\$500,001 - \$1,000,000	INTEREST	\$5,001 - \$15,000	
SP See attached JP Morgan 2011 Forms 1099 & Details (Page 20 of 22) and Dec 2011 Stmt	\$500,001 - \$1,000,000	CAPITAL GAINS	\$2,501 - \$5,000	PS(part)
SP See attached JP Morgan 2011 Forms 1099 & Details (Page 9 of 22) and Dec 2011 Stmt	\$500,001 - \$1,000,000	DIVIDENDS	\$15,001 - \$50,000	

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

Name Howard L Berman

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See attached UBS 2011 Consolidated Form 1099 (Page 15 of 20) and Dec Stmt (14 Pages)	\$250,001 - \$500,000	CAPITAL GAINS	\$15,001 - \$50,000	PS(part)
See attached UBS 2011 Consolidated Form 1099 (Page 2 of 20) and Dec Stmt (14 Pages)	\$250,001 - \$500,000	DIVIDENDS	\$5,001 - \$15,000	
See attached UBS 2011 Consolidated Form 1099 (Page 8 of 20) and Dec Stmt (14 Pages)	\$250,001 - \$500,000	INTEREST	\$1 - \$200	

# SCHEDULE IV - TRANSACTIONS

Name Howard L Berman

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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
SP	See Attached J.P. Morgan 2011 Forms 1099 & Details (Page 19 of 22)	P	N/A	Various	\$100,001 - \$250,000
SP	See Attached J.P. Morgan 2011 Forms 1099 & Details, Gross Proceeds (Page 7 of 22)	S(part)	Yes	Various	\$100,001 - \$250,000
	See Attached Listing of UBS 2011 Purchases (1 page)	P	N/A	Various	\$50,001 - \$100,000
	See Attached UBS 2011 Consolidated Form 1099 (pages 9 of 20)	S(part)	Yes	Various	\$100,001 - \$250,000

# SCHEDULE V - LIABILITIES

Name Howard L Berman

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount 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 mortgages on personal residences.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
JT	Bank of America	6/1/09	Mortgage on Principal Residence	\$500,001 - \$1,000,000

**SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS**

Name Howard L Berman

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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, 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 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 sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under 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 spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure-- Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
The American Israel Public Affairs Committee (AICPAC)	Oct. 30	DC-Arizona-DC	N	N	N	None
The Aspen Institute	Apr. 23- May 1	DC-Austria-DC	Y	Y	Y	None
The Aspen Institute	Feb. 22-27	DC-Puerto Rico-DC	Y	Y	Y	None



UBS Financial Services Inc.

2029 Century Park East

Suite 3000

Los Angeles CA 90067-3016

Account Number: [REDACTED]

Tax Identification Number: XXX-XX-0002

**IMPORTANT NOTICE:**

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

UBS Financial Services Inc., 1000 Harbor Boulevard, Weehawken, NJ 07086-6790 (Federal ID 13-2638166)

UBS Financial Services Inc.

## 2011 Consolidated Form 1099

P1201G0001839200685875-

Your Financial Advisor or Contact

CAMPBELLKARMAU 310-772-7000/800-553-9847

HOWARD L BERMAN



Only the forms applicable to your account are shown. Forms which are not applicable and therefore not shown include: Form 1099-MISC,

### Form 1099-B Proceeds from Broker & Barter Exchange

Transactions (OMB No. 1545-0715)

Line#	Category	Amount
1a	Date of sale or exchange	Various
1b	Date of acquisition	Various
2	Stocks, bonds, etc. reported to IRS (gross proceeds less commissions)	\$119,660.6
3	Cost or other basis	See data
4	Federal income tax withheld	\$0.0
5	Wash sale loss disallowed	See data
6	If this box is checked, lines 1b, 3, 5, and 8 may be blank	See data
8	Type of gain or loss	See data
9	Description	See data
10	Profit or (loss) realized on closed futures contracts for 2011	\$0.0
11	Unrealized profit or (loss) on open contracts - 12/31/2010	\$0.0
12	Total unrealized profit or (loss) on open contracts - 12/31/2011	\$0.0
13	Aggregate profit or (loss) (from lines 10, 11 and 12)	\$0.0
14	Bartering	\$0.0
15	If this box is checked, loss based on amount in Line 2 is not allowed	See data

### Form 1099-DIV Dividends and Distributions (OMB No. 1545-0110)

Line#	Category	Amount
1a	Ordinary dividends (includes lines 1b and 5)	\$5,394.33
1b	Qualified dividends	4,227.36
2a	Total capital gain distributions (includes lines 2b, 2c, 2d)	1,273.41
2b	Unrecaptured section 1250 gain	0.00
2c	Section 1202 gain	0.00
2d	28% rate gain (Collectibles)	0.00
3	Nondividend distributions	1.55
4	Federal income tax withheld	0.00
5	Investment expenses	0.00
6	Foreign tax paid	108.94
7	Foreign country or U.S. possession	Various
8	Liquidation distributions - cash	0.00
9	Liquidation distributions - non-cash (fair market value)	0.00

### Form 1099-OID Original Issue Discount (OMB No. 1545-0117)

Line#	Category	Amount
1*	Original issue discount for 2011	\$1,300.82
2	Other periodic interest	0.00
3	Early withdrawal penalty	0.00
4	Federal income tax withheld	0.00
5	Description	See details
6	Original issue discount on U.S. Treasury obligations	0.00
7	Investment expenses	0.00

\* This may not be the correct figure to report on your income tax return. See instructions section.

### Form 1099-INT Interest Income (OMB No. 1545-0112)

Line#	Category	Amount
1	Interest income (not included on line 3)	\$31.52
2	Early withdrawal penalty	0.00
3	Interest on U.S. Savings Bonds and Treasury obligations	0.00
4	Federal income tax withheld	0.00
5	Investment expenses (included on line 1)	0.97
6	Foreign tax paid	0.00
7	Foreign country or U.S. possession	
8	Tax-exempt interest	0.00
9	Specified private activity bond interest (included on line 8)	0.00
10	Tax-exempt bond CUSIP number	Various



Account Number  
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310-772-7000/800-553-9847

UBS Financial Services Inc.

## 2011 Consolidated Form 1099

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### Details for Items Reported on Forms 1099

#### Dividends and Distributions Details Reported on Form 1099-DIV

Transactions shown as "Qualified Dividend" only indicate that the dividend is issuer-qualified. We do not compute the holding period required for a qualified dividend. It is the responsibility of the taxpayer to determine whether the holding period requirements have been met. To assist you, we include the ex-dividend date information if available.

Security description	Cusip	Activity Description	Ex Date	Payment Date	Amount
AT&T INC	00206R102	Qualified Dividend	04/06/11	02/01/11	95.89
		Qualified Dividend	07/06/11	05/02/11	95.89
		Qualified Dividend	10/05/11	08/01/11	95.89
		Qualified Dividend		11/01/11	95.89
		<b>Sub-Total:</b>			<b>\$ 383.56</b>
BARRICK GOLD CORP CAD	067901108	Qualified Foreign Div	02/24/11	03/15/11	12.00
		Foreign Tax Paid		03/15/11	(1.80)
		Qualified Foreign Div	05/26/11	06/15/11	12.00
		Foreign Tax Paid		06/15/11	(1.80)
		Qualified Foreign Div	08/29/11	09/15/11	12.00
		Foreign Tax Paid		09/15/11	(1.80)
		Qualified Foreign Div	11/28/11	12/15/11	15.00
		Foreign Tax Paid		12/15/11	(2.25)
		<b>Sub-Total:</b>			<b>\$ 43.35</b>
BHP BILLITON LTD SPON ADR	088606108	Qualified Foreign Div	03/09/11	03/31/11	\$ 69.00
BLACKROCK ENERGY & RES TR	09250U101	Dividend	09/13/11	09/30/11	8.48
		Short Term Cap Gain	09/13/11	09/30/11	80.93
		Qualified Dividend	09/13/11	09/30/11	11.84
		Dividend	12/16/11	12/30/11	6.67
		Short Term Cap Gain	12/16/11	12/30/11	110.29
		Qualified Dividend	12/16/11	12/30/11	23.50
		<b>Sub-Total:</b>			<b>\$ 241.71</b>
CAMECO CORP CANADA CAD	13321L108	Qualified Foreign Div	06/28/11	07/15/11	20.84
		Foreign Tax Paid		07/15/11	(3.13)
		Qualified Foreign Div	09/28/11	10/14/11	19.65
		Foreign Tax Paid		10/14/11	(2.95)
		<b>Sub-Total:</b>			<b>\$ 34.41</b>

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UBS Financial Services Inc.

## 2011 Consolidated Form 1099

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### Dividends and Distributions Details Reported on Form 1099-DIV (continued)

Security description	Cusip	Activity Description	Ex Date	Payment Date	Amount
CHESSAPEAKE ENERGY CORP OKLA	165167107	Qualified Dividend	12/30/10	01/18/11	16.88
		Qualified Dividend	03/30/11	04/15/11	16.88
				<b>Sub-Total:</b>	<b>\$ 33.76</b>
CISCO SYSTEMS INC	17275R102	Qualified Dividend	03/29/11	04/20/11	4.02
		Qualified Dividend	07/05/11	07/27/11	4.02
		Qualified Dividend	10/04/11	10/26/11	4.02
				<b>Sub-Total:</b>	<b>\$ 12.06</b>
DWS DREMAN INTERNATIONAL VALUE A	23337R650	Qualified Dividend	03/24/11	03/25/11	11.43
		Qualified Dividend	06/22/11	06/23/11	80.12
		Qualified Dividend	09/23/11	09/23/11	11.53
		Qualified Dividend	12/23/11	12/27/11	88.12
				<b>Sub-Total:</b>	<b>\$ 191.20</b>
EL PASO CORP	28336L109	Qualified Dividend	12/01/10	01/03/11	10.00
		Qualified Dividend	03/02/11	04/01/11	5.00
		Qualified Dividend	06/01/11	07/01/11	2.50
		Qualified Dividend	08/31/11	10/03/11	2.50
				<b>Sub-Total:</b>	<b>\$ 20.00</b>
EMERSON ELECTRIC CO	291011104	Qualified Dividend	02/09/11	03/10/11	53.13
		Qualified Dividend	05/11/11	06/10/11	53.13
		Qualified Dividend	08/10/11	09/09/11	53.13
		Qualified Dividend	11/08/11	12/09/11	61.60
				<b>Sub-Total:</b>	<b>\$ 220.99</b>
ENCANA CORP CAD	292505104	Qualified Foreign Div	03/11/11	03/31/11	70.00
		Foreign Tax Paid		03/31/11	(10.50)
		Qualified Foreign Div	06/13/11	06/30/11	70.00
		Foreign Tax Paid		06/30/11	(10.50)
		Qualified Foreign Div	09/13/11	09/30/11	70.00
		Foreign Tax Paid		09/30/11	(10.50)
		Qualified Foreign Div	12/13/11	12/30/11	70.00
		Foreign Tax Paid		12/30/11	(10.50)
				<b>Sub-Total:</b>	<b>\$ 238.00</b>

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# UBS Financial Services Inc.

## 2011 Consolidated Form 1099

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Account Number  
Your Financial Advisor or Contact  
CAMPBELL/KARMAU  
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### Dividends and Distributions Details Reported on Form 1099-DIV (continued)

Security description	Cusip	Activity Description	Ex Date	Payment Date	Amount
EXELON CORP	30161N101	Qualified Dividend	02/11/11	03/10/11	105.00
		Qualified Dividend	05/12/11	06/10/11	105.00
		Qualified Dividend	08/11/11	09/09/11	105.00
		Qualified Dividend	11/10/11	12/09/11	105.00
		<b>Sub-Total:</b>			<b>\$ 420.00</b>
EXXON MOBIL CORP	30231G102	Qualified Dividend	02/08/11	03/10/11	44.00
		Qualified Dividend	05/11/11	06/10/11	47.00
		Qualified Dividend	08/10/11	09/09/11	47.00
		Qualified Dividend	11/08/11	12/09/11	47.00
		<b>Sub-Total:</b>			<b>\$ 185.00</b>
FT-FRANKLIN INCOME A	353496300	Dividend	01/04/11	01/06/11	61.10
		Qualified Dividend	01/04/11	01/06/11	20.37
		Dividend	02/01/11	02/03/11	58.70
		Qualified Dividend	02/01/11	02/03/11	19.80
		<b>Sub-Total:</b>			<b>\$ 159.97</b>
FT-FRANKLIN GOLD & PREC MET A	353535107	Dividend	12/01/11	12/05/11	840.80
		Qualified Dividend	12/01/11	12/05/11	16.36
		Foreign Tax Paid	12/01/11	12/05/11	(18.52)
		<b>Sub-Total:</b>			<b>\$ 838.64</b>
GOLDCORP INC NEW CAD	380956409	Qualified Foreign Div	01/18/11	01/28/11	4.50
		Foreign Tax Paid	02/15/11	02/25/11	(0.68)
		Qualified Foreign Div	02/15/11	02/25/11	4.50
		Foreign Tax Paid	03/15/11	03/25/11	(0.68)
		Qualified Foreign Div	03/15/11	03/25/11	5.10
		Foreign Tax Paid	04/12/11	04/26/11	(0.77)
		Qualified Foreign Div	04/12/11	04/26/11	5.10
		Foreign Tax Paid	05/10/11	05/20/11	(0.77)
		Qualified Foreign Div	05/10/11	05/20/11	5.10
		Foreign Tax Paid	06/14/11	06/24/11	(0.77)
		Qualified Foreign Div	06/14/11	06/24/11	5.10
		Foreign Tax Paid	07/13/11	07/25/11	(0.77)
		Qualified Foreign Div	07/13/11	07/25/11	5.10
		Foreign Tax Paid	08/16/11	08/26/11	(0.77)
		Qualified Foreign Div	08/16/11	08/26/11	5.10

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UBS Financial Services Inc.

## 2011 Consolidated Form 1099

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### Dividends and Distributions Details Reported on Form 1099-DIV (continued)

Security description	Cusip	Activity Description	Ex Date	Payment Date	Amount
GOLD CORP INC NEW CAD	380956409	Foreign Tax Paid	08/26/11	09/23/11	(0.77)
		Qualified Foreign Div	09/14/11	09/23/11	5.10
		Foreign Tax Paid	09/23/11	09/23/11	(0.77)
		Qualified Foreign Div	10/11/11	10/21/11	5.10
		Foreign Tax Paid	10/21/11	10/21/11	(0.77)
		Qualified Foreign Div	11/15/11	11/25/11	5.10
		Foreign Tax Paid	11/25/11	11/25/11	(0.77)
		Qualified Foreign Div	12/14/11	12/23/11	6.75
		Foreign Tax Paid	12/23/11	12/23/11	(1.01)
		Sub-Total:			\$ 52.35
GUGGENHEIM S&P GLOBAL WATER INDEX ETF	18383Q507	Qualified Dividend	12/23/11	12/30/11	222.47
		Foreign Tax Paid	12/23/11	12/30/11	(16.97)
		Sub-Total:			\$ 205.50
INTEL CORP	458140100	Qualified Dividend	02/03/11	03/01/11	18.12
		Qualified Dividend	05/04/11	06/01/11	18.12
		Qualified Dividend	08/03/11	09/01/11	21.00
		Qualified Dividend	11/03/11	12/01/11	21.00
		Sub-Total:			\$ 78.24
JOHNSON & JOHNSON COM	478160104	Qualified Dividend	02/25/11	03/15/11	46.98
		Qualified Dividend	05/26/11	06/14/11	49.59
		Qualified Dividend	08/26/11	09/13/11	49.59
		Qualified Dividend	11/25/11	12/13/11	49.59
		Sub-Total:			\$ 195.75
MARKET VECTORS AGRIBUSINESS ETF	57060U605	Qualified Dividend	12/23/11	12/30/11	46.42
		Foreign Tax Paid	12/23/11	12/30/11	(2.37)
		Sub-Total:			\$ 44.05
MCDONALDS CORP	580135101	Qualified Dividend	02/25/11	03/15/11	56.73
		Qualified Dividend	05/27/11	06/15/11	56.73
		Qualified Dividend	08/30/11	09/16/11	56.73
		Qualified Dividend	11/29/11	12/15/11	65.10
		Sub-Total:			\$ 235.29

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# UBS Financial Services Inc. 2011 Consolidated Form 1099

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## Dividends and Distributions Details Reported on Form 1099-DIV (continued)

Security description	Cusip	Activity Description	Ex Date	Payment Date	Amount
MEDTRONIC INC	585055106	Qualified Dividend	01/05/11	01/28/11	16.65
		Qualified Dividend	04/06/11	04/29/11	16.65
		Qualified Dividend	07/06/11	07/29/11	17.95
		Qualified Dividend	10/05/11	10/28/11	17.95
		<b>Sub-Total:</b>			<b>\$ 69.20</b>
MOSAIC CO	61945C103	Qualified Dividend	08/02/11	08/18/11	5.00
		Qualified Dividend	11/01/11	11/17/11	5.00
		<b>Sub-Total:</b>			<b>\$ 10.00</b>
MOSAIC CO **MERGER EFF: 05/02/01**	61945A107	Qualified Dividend	02/01/11	02/17/11	5.00
		Qualified Dividend	04/20/11	05/02/11	5.00
		<b>Sub-Total:</b>			<b>\$ 10.00</b>
NEWMONT MINING CORP (HOLDING CO)	651639106	Qualified Dividend	03/11/11	03/30/11	22.50
		Qualified Dividend	06/14/11	06/29/11	30.00
		Qualified Dividend	09/06/11	09/29/11	45.00
		Qualified Dividend	12/06/11	12/30/11	52.50
		<b>Sub-Total:</b>			<b>\$ 150.00</b>
POTASH CORP SASK INC CANADA CAD	73755L107	Qualified Foreign Div Foreign Tax Paid	10/13/11	11/07/11	8.75
			11/07/11	11/07/11	(1.31)
		<b>Sub-Total:</b>			<b>\$ 7.44</b>
PROCTER & GAMBLE CO	742718109	Qualified Dividend	01/19/11	02/15/11	35.65
		Qualified Dividend	04/27/11	05/16/11	38.85
		Qualified Dividend	07/20/11	08/15/11	38.85
		Qualified Dividend	10/19/11	11/15/11	38.85
		<b>Sub-Total:</b>			<b>\$ 152.20</b>
RAYTHEON CO NEW	755111507	Qualified Dividend	01/03/11	02/10/11	62.63
		Qualified Dividend	04/04/11	04/28/11	71.81
		Qualified Dividend	07/01/11	08/11/11	71.81
		Qualified Dividend	10/03/11	11/03/11	71.81
		<b>Sub-Total:</b>			<b>\$ 278.06</b>
SILVER WHEATON CORP CAD	828336107	Qualified Foreign Div Foreign Tax Paid Qualified Foreign Div	03/17/11	03/17/11	9.00
			06/16/11	03/31/11	(1.35)
				06/30/11	4.50

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UBS Financial Services Inc.

## 2011 Consolidated Form 1099

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### Dividends and Distributions Details Reported on Form 1099-DIV (continued)

Security Description	Cusip	Activity Description	Ex Date	Payment Date	Amount
SILVER WHEATON CORP CAD	828336107	Foreign Tax Paid	06/30/11		(0.68)
		Qualified Foreign Div	09/16/11	09/30/11	4.50
		Foreign Tax Paid	09/30/11		(0.68)
		Qualified Foreign Div	11/21/11	12/05/11	13.50
		Foreign Tax Paid	12/05/11		(2.03)
		<b>Sub-Total:</b>			<b>\$ 26.76</b>
UNION PACIFIC CORP	907818108	Qualified Dividend	11/26/10	01/03/11	28.50
		Qualified Dividend	02/24/11	04/01/11	28.50
		Qualified Dividend	05/26/11	07/01/11	35.63
		Qualified Dividend	08/29/11	10/03/11	35.63
		<b>Sub-Total:</b>			<b>\$ 128.26</b>
VERIZON COMMUNICATIONS INC	92343V104	Qualified Dividend	01/06/11	02/01/11	121.88
		Qualified Dividend	04/06/11	05/02/11	121.88
		Qualified Dividend	07/06/11	08/01/11	121.88
		Qualified Dividend	10/05/11	11/01/11	125.00
		<b>Sub-Total:</b>			<b>\$ 490.64</b>
WALT DISNEY CO (HOLDING CO) DISNEY COM	254687106	Qualified Dividend	12/09/10	01/18/11	\$ 60.00
<b>Total dividend activity (less foreign tax)</b>					<b>\$ 5,285.39</b>
<b>Total Line 1a Ordinary dividends (less lines 1b and 5)</b>					<b>\$ 1,166.97</b>
<b>Total Line 1b Qualified dividends</b>					<b>\$ 4,227.36</b>
<b>Total Line 6 Foreign tax paid</b>					<b>\$ (108.94)</b>
<b>Total capital gain distributions (less lines 2b, 2c, 2d)</b>					
FT-FRANKLIN GOLD & PREC MET A	353535107		12/01/11	12/05/11	\$ 1,273.41
<b>Total Line 2a Total capital gain distributions (less lines 2b, 2c, 2d)</b>					<b>\$ 1,273.41</b>
<b>Nondividend distributions</b>					
MARKET VECTORS AGRIBUSINESS ETF	57060U605		12/23/11	12/30/11	\$ 1.55
<b>Total Line 3 Nondividend distributions</b>					<b>\$ 1.55</b>

For due 720.86  
Plus: For Tax with 108.94

829.80

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UBS Financial Services Inc.

## 2011 Consolidated Form 1099

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### Original Issue Discount Details Reported on Form 1099-OID

"Amortized Acquisition Premium" and "Deflation adjustments" are provided for informational purposes only and not reported to the IRS. Deflation adjustments have been applied against any interest and OID earned this year with respect to this security. Under certain circumstances, you may be able to apply the remaining deflation adjustment amount in excess of this year's OID and interest (as reflected in the deflation adjustment column) against OID and interest earned on this security in prior and future years. Please consult your tax advisor regarding your specific situation.

Description (Line #5)	Cusip number	Days held	Quantity/face amount	Amortized acquisition premium	Deflation Adjustment	OID Accrual Amount
Original issue discount SUN TRUST BANK CD GLD 5/30/2014	86789VHE0	365	20,000.0000		0.00	1,300.82
<b>Total Line 1 Original issue discount</b>						<b>\$ 1,300.82</b>

### Interest Income Details Reported on Form 1099-INT

In addition to amounts reported in Box 3, income from certain Federal Agency obligations reported in Box 1 may be exempt from state taxes. Please consult your tax advisor concerning your specific tax situation.

Security description	Cusip	Activity Description	Payment Date	Amount
<b>Interest income (less line 3)</b>				
GNMA PL 256119X 09.5000 DUE 09/15/18 FACTOR 0.003092120000	36219QPC1		12/31/11	<b>\$ 3.29**</b>
GNMA PL 323274X 07.5000 DUE 05/15/22 FACTOR 0.015594920000	36224BCK3		12/31/11	<b>\$ 13.25**</b>
UBS BANK USA DEPOSIT ACCOUNT	90499A932			
			01/06/11	0.06
			02/04/11	0.31
			03/04/11	0.56
			04/06/11	0.62
			05/05/11	1.66
			06/06/11	2.51
			07/07/11	2.04
			08/04/11	1.71
			09/07/11	2.06
			10/06/11	0.87
			11/04/11	0.93
			12/06/11	0.90
			12/30/11	0.75
<b>Sub-Total:</b>				<b>\$ 14.98</b>

**Total Line 1 Interest income (less line 3)** **\$ 31.52**

#### Investment expenses

GNMA PL 256119X 09.5000 DUE 09/15/18 FACTOR 0.003092120000 36219QPC1 12/31/11 **\$ 0.12\*\***

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\*\*Indicates corrected item.

Corrected 03/11/2012

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Interest Income Details Reported on Form 1099-INT (continued)

Security description	Cusip	Activity Description	Payment Date	Amount
Investment expenses (continued)				
GNMA PL 323274X 07.5000 DUE 05/15/22 FACTOR 0.015594920000	362248CK3		12/31/11	\$ 0.85 **
Total Line 5 Investment expenses				\$ 0.97

Proceeds from Broker Transactions Details Reported on Form 1099-B

Line 2 reports gross proceeds less commissions and option premiums, EXCEPT where noted with a "±" symbol. On Line 8, ST denotes Short-Term, LT denotes Long-Term. Transactions marked with a "Y" symbol on Line 15 indicate that loss based on the sale amount is not allowed.

A security is a "covered security" and subject to basis reporting requirements if it is acquired on or after its corresponding effective date. For stock in a corporation, the effective date is January 1, 2011 unless the stock is in a mutual fund or is acquired in connection with a dividend reinvestment plan (DRP). UBS is not required to report basis to the IRS for any securities acquired before 2011. UBS only applies wash sale rules to covered lots of identical securities in the same account. You may have other transactions that may adjust or negate the wash sale amount.

Transactions marked with an "X" symbol on Line 6 are "noncovered securities." For these transactions, Lines 1b, 3, 5, and 8 are not reported to the IRS. Date Acquired will be blank when multiple lots with more than one purchase date have been aggregated. An "\*" indicates that multiple tax lots have been combined. Transactions marked with a "3" indicate that cost basis was provided by a source other than UBS Financial Services. See the Realized Gain/Loss section for complete tax lot details.

Previously, UBS reported the gross proceeds of short sales for the year in which a short sale is entered into. IRS regulations now require that brokers report short sales for the year in which the short sale is closed.

Security description (line 9)	Activity Type	Quantity / Face value	Date of sale or exchange (line 1b)	Sale amount (line 2) (S)	Cost or other basis (line 3) (S)	Wash sale loss disallowed (line 5) (S)	Gain / loss type (line 8)	Not covered (line 6) *	Federal income tax withheld (line 4) (S)
GNMA PL 256119X 09.5000 DUE 09/15/18 FACTOR 0.003092120000 CUSIP 36219QPC1	Return of Principal		12/31/11	3.31				X	0.00 **
GNMA PL 323274X 07.5000 DUE 05/15/22 FACTOR 0.015594920000 CUSIP 362248CK3	Return of Principal		12/31/11	13.10				X	0.00 **
ISHARES SILVER TRUST CUSIP 46428Q109	Return of Principal		12/31/11	47.35				X	0.00

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### Proceeds from Broker Transactions Details Reported on Form 1099-B (continued)

Security description (line 9)	Activity type	Quantity / face value	Date of sale or exchange (line 1b)	Sale amount (line 2) (\$)	Cost or other basis (line 3) (\$)	Wash sale loss disallowed (line 5) (\$)	Gain / loss type (line 8)	Not covered (line 6) *	Federal income tax withheld (line 4) (\$)
BHP BILLITON LTD SPON ADR CUSIP 088606108	Sell	75.0000	04/12/11	7,395.27				X	0.00
CHESAPEAKE ENERGY CORP OKLA CUSIP 165167107	Sell	225.0000	04/12/11	6,965.30				X	0.00
COEUR D'ALENE MINES CORP CUSIP 192108504	Sell	100.0000	04/12/11	3,317.10				X	0.00
EL PASO CORP CUSIP 28336L109	Sell	500.0000	02/01/11	7,891.70				X	0.00
	Sell	250.0000	04/12/11	4,081.81				X	0.00
		750.0000		\$ 11,973.51					\$ 0.00
FRONTIER COMMUNICATIONS CORP CUSIP 35906A108	Sell	60.0000	02/01/11	505.16				X	0.00
FT-FRANKLIN INCOME A CUSIP 353496300	Sell	6,826.3790	02/01/11	15,217.58 *				X	0.00
INTL COAL GROUP INC **MERGER EFF: 07/2011** CUSIP 45928H106	Sell	500.0000	05/27/11	7,063.90				X	0.00

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### Proceeds from Broker Transactions Details Reported on Form 1099-B (continued)

Security description (line 9)	Activity Type	Quantity / Face value	Date of sale or exchange (line 1b) (line 1a)	Sale amount (line 2) (\$)	Cost or other basis (line 3) (\$)	Wash sale loss disallowed (line 5) (\$)	Gain / loss type (line 8)	Not covered (line 6) *	Federal income tax withheld (line 4) (\$)
ISHARES SILVER TRUST CUSIP 464280109	Sell	225.0000	04/12/11	8,585.57				X	0.00
KINETICS MIF THE WATER INFRASTRUCTURE FUND ADV A CUSIP 494613714	Sell	2,146.4320	06/21/11	18,132.10 *				X	0.00
MICRON TECHNOLOGY INC CUSIP 595112103	Sell	750.0000	04/12/11	7,575.79				X	0.00
POWERSHARES DB MULTI SECTOR COMMODITY TR DB AGRICULTURE FUND CUSIP 739368408	Sell	400.0000	04/12/11	13,243.78				X	0.00
SILVER WHEATON CORP CAD CUSIP 828336107	Sell	150.0000	04/12/11	6,161.32				X	0.00
VIRTUS FOREIGN OPPORTUNITIES FUND CLASS I CUSIP 92828R834	Sell	583.9450	04/12/11	13,460.52 *				X	0.00
									\$ 119,660.66
									\$ 0.00

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# UBS Financial Services Inc.

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### Other Income Details Not Reported to the Internal Revenue Service

The items in this section are provided to assist you with your tax return preparation. You should discuss the appropriate treatment of these fees and expenses with your tax advisor.  
\* Applicable to Tax-exempt Original Issue Discount information only

Activity	Security Description	Cusip number	*Days held	*Quantity/ Face amount	Payment Date	*Amortized acquisition premium	Amount
Program Fees and Related Services	ANNUAL FEE				12/06/11		150.00
Total Program Fees and Related Services							\$ 150.00
Investment Expenses - Proceeds	ISHARES SILVER TRUST	46428Q109			01/31/11		5.46
					02/28/11		5.05
					03/31/11		6.52
					04/30/11		3.85
					05/31/11		3.66
					06/30/11		3.31
					07/31/11		3.43
					08/31/11		3.77
					09/30/11		3.45
					10/31/11		3.01
					11/30/11		2.98
					12/31/11		2.86
Sub-Total							\$ 47.35
Total Investment Expenses - Proceeds							\$ 47.35

### Other Income Details Not Reported to the Internal Revenue Service

The items in this section are provided to assist you with your tax return preparation. You should discuss with your tax preparer or tax advisor the appropriate tax treatment of these fees and expenses.  
The allocation factors provided here for Widely Held Fixed Investment Trust are to aid in proper computation of cost basis. Sales are reported based on when and for how much the trust sold the asset.  
This may differ both in timing and amount from what is distributed. The enclosed brochure has been prepared to assist you in the interpretation of this information.

Activity	Security Description	Cusip number	Date	Cost Basis Allocation Factor
Allocation Factors	ISHARES SILVER TRUST	46428Q109	01/31/11	0.00043810
		46428Q109	02/28/11	0.00033555
		46428Q109	03/31/11	0.00039608
		46428Q109	04/30/11	0.00040417

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UBS Financial Services Inc.

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### Other Income Details Not Reported to the Internal Revenue Service (continued)

Activity	Security Description	Cusip number	Date	Cost Basis Allocation Factor
Allocation Factors	ISHARES SILVER TRUST			
		46428Q109	05/31/11	0.0004149
		46428Q109	06/30/11	0.00044733
		46428Q109	07/31/11	0.00039509
		46428Q109	08/31/11	0.00041621
		46428Q109	09/30/11	0.00050990
		46428Q109	10/31/11	0.00041865
		46428Q109	11/30/11	0.00041161
		46428Q109	12/31/11	0.00045695

### Supplemental Information for Widely Held Mortgage Trust -- WHMTs

UBS Financial Services Inc. is required by the IRS to provide you the following information, supplied by the issuer(s), for each Widely Held Mortgage Trust you held in 2011. Items of income, deduction, and credit and any other information shown on this statement must be taken into account in computing your taxable income and credits on your income tax return. "Sale/Delivery" in the activity column represents both sales and deliveries. "Buy/Receive" in the activity column represents both purchases and receives. The enclosed brochure has been prepared to assist you in the interpretation of this information.

Description	Record or Settlement Date	Activity	Principal Balance	Quantity or Position	Principal Paid or Proceeds	Interest	Expense	Income Adjustment	Market Discount Fraction
GNMA PL 256119X 09.5000									
DUE 09/15/18									
FACTOR 0.003092120000									
	36219QPC1								
	01/31/11	02/15/11 Distribution	3,481.47	0	0.26	0.29	0.01	0.00	0.02505340
	02/28/11	03/15/11 Distribution	3,455.13	0	0.27	0.28	0.01	0.00	0.02528120
	03/31/11	04/15/11 Distribution	3,428.58	0	0.27	0.28	0.01	0.00	0.02551300
	04/30/11	05/15/11 Distribution	3,401.80	0	0.27	0.28	0.01	0.00	0.02575010
	05/31/11	06/15/11 Distribution	3,374.80	0	0.27	0.28	0.01	0.00	0.02599180
	06/30/11	07/15/11 Distribution	3,347.58	0	0.27	0.28	0.01	0.00	0.02624050
	07/31/11	08/15/11 Distribution	3,320.12	0	0.28	0.27	0.01	0.00	0.02649410
	08/31/11	09/15/11 Distribution	3,292.44	0	0.28	0.27	0.01	0.00	0.02675380
	09/30/11	10/15/11 Distribution	3,264.53	0	0.28	0.27	0.01	0.00	0.02702070
	10/31/11	11/15/11 Distribution	3,236.39	0	0.28	0.27	0.01	0.00	0.02729390
	11/30/11	12/15/11 Distribution	3,208.01	0	0.29	0.26	0.01	0.00	0.02757290
	12/31/11	01/15/12 Distribution	3,179.40	0	0.29	0.26	0.01	0.00	0.02785890
Total Reported to the IRS					\$ 3.31	\$ 3.29	\$ 0.12		
					on 1099-B	on 1099-INT	on 1099-INT		

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## Supplemental Information for Widely Held Mortgage Trust -- WHMTs (continued)

Description	Cusip number/Trade Date	Record or Settlement Date	Activity	Principal Balance	Quantity or Position	Principal Paid or Proceeds	Interest	Expense	Income Adjustment	Market Discount Fraction
GNMA PL 323274X 07 5000										
DUE 05/15/22										
FACTOR 0.015594920000										
36224BCK3		01/31/11	02/15/11	Distribution	17.13278	0	1.05	1.14	0.07	0.00 0.02301150
		02/28/11	03/15/11	Distribution	17.02776	0	1.06	1.11	0.05	0.00 0.02310990
		03/31/11	04/15/11	Distribution	16.92205	0	1.06	1.15	0.09	0.00 0.02321000
		04/30/11	05/15/11	Distribution	16.81563	0	1.07	1.12	0.07	0.00 0.02331150
		05/31/11	06/15/11	Distribution	16.70850	0	1.08	1.12	0.08	0.00 0.02341480
		06/30/11	07/15/11	Distribution	16.60065	0	1.09	1.11	0.07	0.00 0.02351980
		07/31/11	08/15/11	Distribution	16.49209	0	1.09	1.10	0.07	0.00 0.02362670
		08/31/11	09/15/11	Distribution	16.38280	0	1.10	1.08	0.06	0.00 0.02373520
		09/30/11	10/15/11	Distribution	16.27279	0	1.13	1.10	0.08	0.00 0.02384860
		10/31/11	11/15/11	Distribution	16.15991	0	1.12	1.07	0.06	0.00 0.02395800
		11/30/11	12/15/11	Distribution	16.04841	0	1.12	1.07	0.07	0.00 0.02407210
		12/31/11	01/15/12	Distribution	15.93617	0	1.13	1.08	0.08	0.00 0.02418830
Total Reported to the IRS							\$ 13.10 on 1099-B	\$ 13.25 on 1099-INT	\$ 0.85 on 1099-INT	
							\$ 16.41	\$ 16.54	\$ 0.97	



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### 2011 Realized Gain/Loss Summary (Include sale proceeds not reported on Form 1099-B)

This Realized Gain/Loss Summary classifies tax lots into three categories within holding period. Type "A" activity was reported to the IRS on Form 1099-B with cost basis on line 3. Type "B" activity was reported to the IRS on Form 1099-B without cost basis. Type "C" activity was not reported to the IRS on Form 1099-B. Please rely on the confirmations previously provided to you as your official activity record.

Estimated 2011 Gain/Loss for transactions with trade dates through 12/31/11 has been incorporated into this statement. Realized gain/loss is based on the sales amount less the cost basis. Please note that gain or loss recognized on the sale or redemption of certain Structured Products may be ordinary, and not capital, gain or loss. Please check with your tax advisor and/or read the tax-related disclosure materials associated with those products. Note that the Original Cost Basis column is only populated for transactions of securities that have had their basis reduced due to premium amortization or increased due to OID accretion.

The cost basis of the oldest security lot (first-in, first-out or FIFO method of accounting) is assigned to a sale to calculate Gain/Loss unless you identified a specific lot (a "versus purchase" or "VSP" order) when you placed your sell order. An asterisk (\*) indicates a UBS Financial Services adjustment to cost basis. The number "1" indicates cost basis information has been provided by a source other than UBS Financial Services. Gain/Loss may not have been adjusted for all capital changes. Gain/Loss has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction for Type "A" activity only. Although we apply wash sale rules to covered lots of identical securities, there are other circumstances to be considered that can adjust or negate wash sales.

Cost basis for coupon tax-exempt municipal securities (including securities subject to AMT) has been adjusted for mandatory amortization of bond premium. The OID amount reported on your Form 1099-OID is not adjusted for Market Discount, Acquisition Premium, or Bond Premium. Therefore, the amortization and accretion adjustments used here may not be consistent with the Form 1099-OID amount because the reporting requirements are different.

Gain/Loss from short sale closings are reported as short-term regardless of the holding period of property used to close the short position. Clients should consult their tax advisors as to whether exceptions may apply in their particular case to change this classification. The possible application of the "Constructive Sale" provisions (Sec. 1259) for short-against-the box transactions is not considered. Clients should discuss the possible application of these provisions with their tax advisor.

Description	Cost or Other Basis	Sale Amount	Gains	Losses	Net Gain/Loss
<b>Short-term Gain/Loss</b>					
B - Reported to the IRS on Form 1099-B without cost basis	20,005.96	27,959.86	7,953.90		7,953.90
<b>Total Short Term</b>	\$20,005.96	\$27,959.86	\$7,953.90		\$7,953.90
<b>Long-term Gain/Loss</b>					
B - Reported to the IRS on Form 1099-B without cost basis	66,775.99	91,637.04	27,017.09	(2,156.04)	24,861.05
<b>Total Long Term</b>	\$66,775.99	\$91,637.04	\$27,017.09	\$(2,156.04)	\$24,861.05
<b>Sub Total</b>	\$86,781.95	\$119,596.90	\$34,970.99	\$(2,156.04)	\$32,814.95
<b>Unclassified Gain/Loss</b>					
Activity with missing cost basis information		63.76			
<b>Total</b>	\$86,781.95	\$119,660.66	\$34,970.99	\$(2,156.04)	\$32,814.95

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## 2011 Consolidated Form 1099

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### Short-Term Gain/Loss-Cost Basis Not Reported to IRS

This section includes securities held for less than one year. Type "B" activity was reported by UBS to the IRS on Form 1099-B without cost basis; proceeds only, even though cost basis is displayed here.

Security Description	Activity Type	Quantity/ Face Value	Original Cost Basis	Purchase date		Date Sold	Sale Amount	Cost or Other Basis	Gain/Loss	wash sale loss disallowed
				Date Acquired						
EL PASO CORP	Trade	500.0000		04/12/10		02/01/11	7,891.70	5,932.05	1,959.65	
	Trade	250.0000		05/06/10		04/12/11	4,081.81	3,067.99	1,013.82	
	Sub-Total:	750.0000					11,973.51	9,000.04	2,973.47	
FT-FRANKLIN INCOME A	Trade	37.4710		02/03/10		02/01/11	83.53	76.44	7.09	
	Trade	37.8770		03/03/10		02/01/11	84.44	76.89	7.55	
	Trade	36.8330		04/06/10		02/01/11	82.11	77.35	4.76	
	Trade	36.3500		05/05/10		02/01/11	81.03	77.79	3.24	
	Trade	39.5100		06/03/10		02/01/11	88.08	78.23	9.85	
	Trade	39.7470		07/06/10		02/01/11	88.61	78.70	9.91	
	Trade	38.0670		08/04/10		02/01/11	84.86	79.18	5.68	
	Trade	38.8440		09/03/10		02/01/11	86.59	79.63	6.96	
	Trade	37.9620		10/05/10		02/01/11	84.63	80.10	4.53	
	Trade	37.8220		11/03/10		02/01/11	84.31	80.56	3.75	
	Trade	38.3930		12/03/10		02/01/11	85.59	81.01	4.58	
	Trade	37.2010		01/06/11		02/01/11	82.93	81.47	1.46	
	Sub-Total:	456.0770					1,016.71	947.35	69.36	
INTL COAL GROUP INC	Trade	500.0000		12/29/10		05/27/11	7,063.90	3,711.56	3,352.34	
KINETICS OF THE WATER	Trade	11.9600		12/30/10		06/21/11	101.03	99.75	1.28	
INFRASTRUCTURE FUND ADV A	Trade	750.0000		12/29/10		04/12/11	7,575.79	6,025.70	1,550.09	

continued next page



Account Number  
Your Financial Advisor or Contact  
CAMPBELL/KARMALI  
310-772-7000/800-553-9847

UBS Financial Services Inc.

## 2011 Consolidated Form 1099

P1201G0001839200685891-

### Short-Term Gain/Loss-Cost Basis Not Reported to IRS (continued)

This section includes securities held for less than one year. Type "B" activity was reported by UBS to the IRS on Form 1099-B without cost basis; proceeds only, even though cost basis is displayed here.

Security Description	Activity Type	Quantity/ Face value	Original Cost Basis	Purchase date		Date Sold	Sale Amount	Cost or Other Basis	Gain/Loss	wash sale loss disallowed
				date Acquired						
VIRTUS FOREIGN OPPORTUNITIES FUND CLASS 1	Trade	9.9310		12/30/10		04/12/11	228.92	221.56	7.36	
<b>Sub Total</b>							<b>\$27,959.86</b>	<b>\$20,005.96</b>	<b>\$7,953.90</b>	
<b>Total Short-Term Gain/Loss</b>							<b>\$27,959.86</b>	<b>\$20,005.96</b>	<b>\$7,953.90</b>	

### Long-Term Gain/Loss-Cost Basis Not Reported to IRS

This section includes securities held for more than one year. Type "B" activity was reported by UBS to the IRS on Form 1099-B without cost basis.

Security Description	Activity Type	Quantity/ Face value	Original Cost Basis	Purchase date		Date Sold	Sale Amount	Cost or Other Basis	Gain/Loss	wash sale loss disallowed
				date Acquired						
BHP BILLITON LTD SPON ADR	Trade	75.0000		11/28/06		04/12/11	7,395.27	3,038.85	4,356.42	
CHESAPEAKE ENERGY CORP OKLA	Trade	225.0000		09/21/09		04/12/11	6,965.30	6,472.38	492.92	
COEUR D'ALENE MINES CORP	Trade	100.0000		04/12/10		04/12/11	3,317.10	1,810.05	1,507.05	
FRONTIER COMMUNICATIONS CORP	Trade	60.0000		11/02/09		02/01/11	505.16	480.99	24.17	
FT-FRANKLIN INCOME A	Trade	5,813.9530		12/30/08		02/01/11	12,960.65	10,005.25	2,955.40	
	Trade	43.0000		01/07/09		02/01/11	95.86	72.67	23.19	
	Trade	45.4720		02/04/09		02/01/11	101.37	73.21	28.16	

continued next



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Your Financial Advisor or Contact  
CAMPBELL/KARMALI  
310-772-7000/800-553-9847

UBS Financial Services Inc.

## 2011 Consolidated Form 1099

P1201G0001839200685892-X

### Long-Term Gain/Loss-Cost Basis Not Reported to IRS (continued)

This section includes securities held for more than one year. Type "B" activity was reported by UBS to the IRS on Form 1099-B without cost basis.

Security Description	Activity Type	Quantity/ Face value	Original Cost Basis	Purchase		Sale Amount	Cost or Other Basis	Gain/Loss	wash sale loss disallowed
				date Acquired	Date Sold				
FT-FRANKLIN INCOME A	Trade	51.5940		03/04/09	02/01/11	115.01	73.78	41.23	
	Trade	48.3310		04/03/09	02/01/11	107.74	74.43	33.31	
	Trade	45.1990		05/05/09	02/01/11	100.76	75.03	25.73	
	Trade	42.9490		06/03/09	02/01/11	95.74	75.59	20.15	
	Trade	42.5310		07/06/09	02/01/11	94.81	76.13	18.68	
	Trade	40.1360		08/05/09	02/01/11	89.47	76.66	12.81	
	Trade	40.6110		09/03/09	02/01/11	90.53	77.16	13.37	
	Trade	39.6280		10/05/09	02/01/11	88.34	77.67	10.67	
	Trade	39.8830		11/04/09	02/01/11	88.91	78.17	10.74	
	Trade	39.1390		12/03/09	02/01/11	87.25	78.67	8.58	
	Trade	37.8760		01/07/10	02/01/11	84.43	79.16	5.27	
Sub-Total:		6,370,3020				14,200.87	10,993.58	3,207.29	
ISHARES SILVER TRUST	Trade	225.0000		03/18/10	04/12/11	8,585.57	3,941.19	4,644.38	
KINETICS OF THE WATER INFRASTRUCTURE FUND ADV A	Trade	2,134.4720		12/29/09	06/21/11	18,031.07	20,005.24	(1,974.17)	
POWERSHARES DB MULTI SECTOR COMMODITY TR DB	Trade	400.0000		04/12/10	04/12/11	13,243.78	9,983.56	3,260.22	
AGRICULTURE FUND	Trade	150.0000		02/17/09	04/12/11	6,161.32	1,159.89	5,001.43	
SILVER WHEATON CORP CAD	Trade	440.2140		08/31/02	04/12/11	10,147.37	5,958.40	4,188.97	
VIRTUS FOREIGN OPPORTUNITIES FUND CLASS I	Trade	4.9780		Earnings	04/12/11	114.75	78.72	36.03	
	Trade	9.0390		Earnings	04/12/11	208.36	155.91	52.45	
	Trade	10.3650		Earnings	04/12/11	238.92	205.57	33.35	
	Trade	8.0190		05/16/06	04/12/11	184.85	182.28	2.57	
	Trade	5.7950		06/22/06	04/12/11	133.58	120.95	12.63	
	Trade	3.8970		06/22/06	04/12/11	89.83	81.33	8.50	

continued next page



Account Number  
Your Financial Advisor or Contact  
CAMPBELL/KARMAU  
310-772-7000/800-553-9847

UBS Financial Services Inc.

## 2011 Consolidated Form 1099

P1201G0001839200685893-

### Long-Term Gain/Loss-Cost Basis Not Reported to IRS (continued)

This section includes securities held for more than one year. Type "b" activity was reported by UBS to the IRS on Form 1099-B without cost basis.

Security Description VIRTUS FOREIGN OPPORTUNITIES FUND CLASS I	Activity Type	Quantity/ Face value	Original Cost Basis	Purchase		Sale Amount	Cost or Other Basis	Gain/Loss	wash sale loss disallowed
				date Acquired	Date Sold				
Trade	Trade	7.3940		06/22/06	04/12/11	170.44	154.31	16.13	
Trade	Trade	13.9570		12/20/06	04/12/11	321.72	346.54	(24.82)	
Trade	Trade	5.8470		12/20/06	04/12/11	134.78	145.18	(10.40)	
Trade	Trade	1.0410		06/21/07	04/12/11	24.00	28.07	(4.07)	
Trade	Trade	2.6820		06/21/07	04/12/11	61.82	72.33	(10.51)	
Trade	Trade	0.4000		06/21/07	04/12/11	9.22	10.80	(1.58)	
Trade	Trade	8.2610		12/20/07	04/12/11	190.42	231.15	(40.73)	
Trade	Trade	8.0170		12/20/07	04/12/11	184.80	224.32	(39.52)	
Trade	Trade	10.1940		12/20/07	04/12/11	234.98	285.22	(50.24)	
Trade	Trade	16.5360		12/22/08	04/12/11	381.17	267.55	113.62	
Trade	Trade	0.6310		12/22/08	04/12/11	14.55	10.21	4.34	
Trade	Trade	16.7470		12/22/09	04/12/11	386.04	331.42	54.62	
Sub-Total:		574.0140				13,231.60	8,890.26	4,341.34	
Sub Total						\$91,637.04	\$66,775.99	\$24,861.05	
Total Long-Term Gain/Loss						\$91,637.04	\$66,775.99	\$24,861.05	

Account Number  
Your Financial Advisor or Contact  
CAMPBELL/KARMAU  
310-772-7000/800-553-9847

UBS Financial Services Inc.

## 2011 Consolidated Form 1099

P1201G0001839200685894-X1

### Unclassified Gain/Loss

This section includes securities that cannot be classified as short-term or long-term due to missing information or the product is one for which a gain/loss calculation is not provided. This section may also include securities not reported on Form 1099-B, as well as securities classified as a percentage of both short-term and long-term holding periods, the "60/40 rule." Broad-based index options may also be subject to Mark-to-Market rules. Please consult your tax advisor for proper tax treatment of these types of transactions.

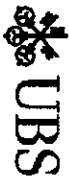
Security Description	Activity Type	Quantity/ Face value	Original Cost Basis	Purchase date		Sale Amount	Cost or Other Basis	Gain/Loss	Remarks
				Acquired	Sold				
GNMA PL 256119X 09.5000 DUE 09/15/18 FACTOR 0.003092120000	Return of Principal			12/31/11	12/31/11	3.31		Unclassified Gain/Loss	
GNMA PL 323274X 07.5000 DUE 05/15/22 FACTOR 0.015594920000	Return of Principal			12/31/11	12/31/11	13.10		Unclassified Gain/Loss	
ISHARES SILVER TRUST	Return of Principal			12/31/11	12/31/11	47.35		Unclassified Gain/Loss	
<b>Total Unclassified Gain/Loss</b>						<b>63.76</b>			

\*\*Indicates corrected item.

Corrected 03/11/2012

2011 1099 / JP 07886 AB

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UBS Financial Services Inc.  
2029 Century Park East  
Suite 3000  
Los Angeles CA 90067-3016  
AP10001002685897 1211 X24 JP 0

## Resource Management Account

December 2011

HOWARD LAWRENCE BERMAN

Account name: HOWARD LAWRENCE BERMAN  
Account number: [REDACTED]

Your Financial Advisor:  
CAMPBELL/KARMAU  
Phone: 310-772-7000/800-553-9847

Questions about your statement?  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000.  
Account 366007886.

Visit our website:  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

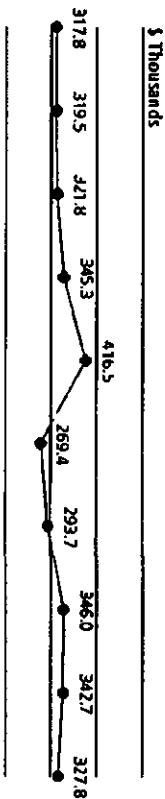
Items for your attention  
• If you use UBS Online Services, consider  
changing your User Name and Password  
regularly to protect your personal data.  
Not enrolled? Go to  
[ubs.com/online-services](http://ubs.com/online-services).

### Value of your account

	on November 30 (\$)	on December 30 (\$)
Your assets	342,676.56	327,842.99
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$342,676.56</b>	<b>\$327,842.99</b>
Accrued interest in value above	\$1.20	\$1.20

As a service to you, your portfolio value of  
\$327,842.99 includes accrued interest.

### Tracking the value of your account



Starting in December 2005, your account values shown in this graph include accrued interest,  
pending return of principal, and other assets that are not held by UBS.

Member SIPC

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Page 1 of 14

#### Sources of your account growth during 2011

Value of your account at year end 2010	\$346,004.76
Net deposits and withdrawals	-\$121.08
Your investment return:	
Dividend and interest income	\$6,620.88
Change in value of accrued interest	-\$0.14
Change in market value	-\$14,561.43
<b>Value of your account on Dec 30, 2011</b>	<b>\$327,842.99</b>



Account name:  
Account number:

HOWARD LAWRENCE BERMAN

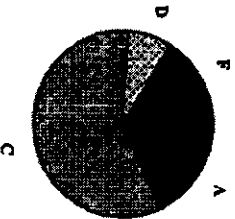
## Your account balance sheet

The value of your account includes assets held at UBS and certain assets held away from UBS. See page 1 for more information.

### Summary of your assets

	Value on December 30 (\$)	Percentage of your account
A Cash and money balances	59,724.68	18.22 %
B Cash alternatives	0.00	0.00 %
C Equities	189,850.72	57.91 %
D Fixed income	25,224.12	7.69 %
E Alternative strategies	0.00	0.00 %
F Broad commodities	53,043.47	16.18 %
G Real estate	0.00	0.00 %
H Other	0.00	0.00 %
Total assets	\$327,842.99	100.00 %
Value of your account	\$327,842.99	

### Your current asset allocation



\* UBS Bank USA deposit account balances are included in the Cash and money balances value, are insured by the FDIC within applicable limits, but are not protected by SIPC. See the Important information about your statement at the end of this document for details about those balances.

### Eye on the markets

Index	Percentage change	
	December 2011	Year to date
S&P 500	1.02 %	2.11 %
Russell 3000	0.82 %	1.03 %
MSCI - Europe, Australia & Far East	-0.94 %	-11.73 %
Barclays Capital Aggregate Bond Index 10+ Yrs.	3.41 %	21.78 %
Interest rates on December 30, 2011		
3-month Treasury bills: 0.02 %		
One-month LIBOR: 0.30 %		



Resource Management Account  
December 2011

Account name:  
Account number:

HOWARD LAWRENCE BERMAN

Your Financial Advisor:  
CAMPBELL KARMAU  
310-772-7000/800-553-9847

## Change in the value of your account

	December 2011 (\$)	Year to date (\$)
Opening account value	\$342,676.56	\$346,004.76
Withdrawals and fees, including investments transferred out	-165.79	-221.08
Dividend and interest income	2,960.46	6,620.88
Change in value of accrued interest	0.00	-0.14
Change in market value	-17,628.24	-24,561.43
Closing account value	\$327,842.99	\$327,842.99

## Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and the Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	December 2011 (\$)	Year to date (\$)
Taxable dividends	2,958.31	6,490.97
Taxable interest	2.15	29.91
Total current year	\$2,960.46	\$6,520.88
Prior year adjustment	0.00	100.00
Total dividend & interest	\$2,960.46	\$6,620.88
Return of capital/principal	1.41	16.30

## Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)	
	December 2011 (\$)	Year to date (\$)		
Short term	0.00	7,953.90	-20,249.65	
Long term	0.00	24,861.06	37,050.38	
Total	\$0.00	\$32,814.96	\$16,800.73	

## Cash activity summary

See the section *Account activity this month* for details. UBS Bank USA deposit account balances are included in the opening and closing balances value, are insured by the FDIC within applicable limits, but are not protected by SIPC. See *Important information about your statement* at the end of this document for details about those balances.

	December 2011 (\$)	Year to date (\$)
Opening balances	\$59,128.77	\$17,862.43
Additions		
Dividend and interest income	2,960.46	6,620.88
Proceeds from investment transactions	1.41	119,613.20
Total additions	\$2,961.87	\$126,234.08
Subtractions		
Annual fee	-150.00	-150.00
Other funds debited	-15.79	-71.08
Funds withdrawn for investments bought	-2,200.17	-84,150.75
Total subtractions	-\$2,365.96	-\$84,371.83
Net cash flow	\$595.91	\$41,862.25
Closing balances	\$59,724.68	\$59,724.68



Account name:  
Account number:

HOWARD LAWRENCE BERMAN

## Withholdings and tax summary

	December 2011 (\$)	Year to date (\$)
Foreign taxes paid	-15.79	-71.08

### UBS Bank USA Deposit Account APY

Interest period Nov 7 - Dec 6

Opening UBS Bank USA Deposit balance Nov 7	\$59,070.48
Closing UBS Bank USA Deposit balance Dec 6	\$59,162.14
Number of days in interest period	30
Average daily balance	\$59,115.08
Interest earned	\$0.90
Annual percentage yield earned	0.02%

### Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

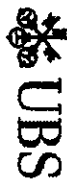
#### Your return objective:

Current income & capital appreciation

#### Your risk profile:

Primary - Moderate

Secondary - None selected



Resource Management Account  
December 2011

Account name:  
Account number:

HOWARD LAWRENCE BERMAN

Your Financial Advisor:  
CAMPEL/KARNAU  
310-772-7000/800-553-9847

## Your assets

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

### Cash

#### Cash and money balances

UBS Bank USA deposit account balances are included in the Cash and money balances value, are insured by the FDIC within applicable limits, but are not protected by SIPC. See the important information about your statement at the end of this document for details about those balances.

Holding	Opening balance on Dec. 1 (S)	Closing balance on Dec. 30 (S)	Price per share on Dec. 30 (S)	Average rate	Dividend/Interest period	Days in period
Cash	0.00	59.50				
UBS BANK USA DEP ACCT	59,128.77	59,665.18				
<b>Total</b>	<b>\$59,128.77</b>	<b>\$59,724.68</b>				

### Equities

#### Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (S)	Cost basis (S)	Price per share on Dec. 30 (S)	Value on Dec. 30 (S)	Unrealized gain/loss (S)	Holding period
ALPHA NATURAL RESOURCES INC Symbol: ANM Exchange: NYSE	May 27, 11 Aug 22, 11	125,000 125,000	54.006 30.802	6,750.77 3,850.25	20.430 20.430	2,553.75 2,553.75	-4,197.02 -1,296.50	ST ST
<b>Security total</b>		250,000	42.404	10,601.02		5,107.50	-5,493.52	
ARENA PHARMACEUTICALS INC Symbol: ARNA Exchange: OTC	Feb 2, 09	250,000	4.280	1,070.14	1.870	467.50	-602.64	LT
AT&T INC Symbol: T Exchange: NYSE EAI: \$392 Current yield: 5.81%	Aug 31, 02 Aug 31, 02	191,000 32,000	24.740 17.600	4,725.34 563.20	30.240 30.240	5,775.84 967.68	1,050.50 404.48	LT LT
<b>Security total</b>		223,000	23.715	5,288.54		6,743.52	1,454.98	
BARICK GOLD CORP CAD Symbol: ABX Exchange: NYSE EAI: \$60 Current yield: 1.33%	Feb 1, 11	100,000	49.203	4,920.38	45.250	4,525.00	-395.38	ST

continued next page





Account name: HOWARD LAWRENCE BERNANI  
Account number: [REDACTED]

Your assets + Equities + Common stock (continued)

Holding	Trade date	Number of shares	Purchase price Average price per share (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized gain or loss (\$)	Holding period
CAMECO CORP CANADA CAD Symbol: CCI Exchange: NYSE EAL \$78 Current yield: 2.16%	Jan 21, 11	200,000	25.088	5,017.77	18.050	3,610.00	-1,407.77	ST
CISCO SYSTEMS INC Symbol: CSCO Exchange: OTC EAL \$16 Current yield: 1.32%	Aug 31, 02	67,000	13.820	925.94	18.080	1,211.36	285.42	LT
CLOUD PEAK ENERGY INC Symbol: CLD Exchange: NYSE	May 27, 11	300,000	21.356	6,407.05	19.320	5,796.00	-611.05	ST
COEUR D'ALENE MINES CORP Symbol: CDE Exchange: NYSE	Apr 12, 10	200,000	18.100	3,620.09	24.140	4,828.00	1,207.91	LT
EL PASO CORP Symbol: EP Exchange: NYSE EAL \$10 Current yield: 0.15%	May 6, 10	250,000	12.271	3,067.99	26.570	6,642.50	3,574.51	LT
EMERSON ELECTRIC CO Symbol: EMR Exchange: NYSE EAL \$246 Current yield: 3.43%	Aug 31, 02	154,000	24.390	3,756.06	46.590	7,174.86	3,418.80	LT
ENCAN CORP CAD Symbol: ECA Exchange: NYSE EAL \$280 Current yield: 4.32%	Apr 12, 10 Nov 12, 10	200,000 150,000	32.946 29.796	6,589.34 4,469.51	18.530 18.530	3,706.00 2,779.50	-2,863.34 -1,690.01	LT LT
Security total		350,000	31.597	11,058.85		6,485.50	-4,573.35	
EXELON CORP Symbol: EXC Exchange: NYSE EAL \$420 Current yield: 4.84%	Aug 3, 10	200,000	43.443	8,688.74	43.370	8,674.00	-14.74	LT
EXXON MOBIL CORP Symbol: XOM Exchange: NYSE EAL \$188 Current yield: 2.22%	Nov 12, 10	100,000	71.693	7,169.38	84.760	8,476.00	1,306.62	LT
GOLD CORP INC NEW CAD Symbol: GG Exchange: NYSE EAL \$81 Current yield: 1.22%	Nov 28, 06	150,000	29.329	4,399.37	44.250	6,637.50	2,238.13	LT
INTEL CORP Symbol: INTC Exchange: OTC EAL \$84 Current yield: 3.46%	Aug 31, 02	100,000	16.670	1,667.00	24.250	2,425.00	758.00	LT

continued next page



Resource Management Account  
December 2011

Account name:  
Account number:

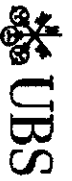
HOWARD LAWRENCE BERMAN

Your Financial Advisor:  
CAMPBELL/KARMAU  
318-772-7000/800-553-9847

Your assets - Equities - Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec. 30 (\$)	Value on Dec. 30 (\$)	Unrealized gain or loss (\$)	Holding period
<b>JOHNSON &amp; JOHNSON COM</b>								
Symbol: JNJ Exchange: NYSE								
EAL: \$198 Current yield: 3.47%	Aug 31, 02	87,000	54.310	4,724.97	65.580	5,705.46	980.49	LT
<b>MCDONALDS CORP</b>								
Symbol: MCD Exchange: NYSE								
EAL: \$260 Current yield: 2.79%	Aug 31, 02	93,000	23.760	2,209.68	100.330	9,330.69	7,121.01	LT
<b>MEDTRONIC INC</b>								
Symbol: MDT Exchange: NYSE								
EAL: \$72 Current yield: 2.54%	Aug 31, 02	74,000	41.180	3,047.32	38.250	2,830.50	-216.82	LT
<b>MOSAC CO</b>								
Symbol: MOS Exchange: NYSE								
EAL: \$20 Current yield: 0.40%	Aug 3, 09	100,000	56.173	5,617.38	50.430	5,043.00	-574.38	LT
<b>NEWMONT MINING CORP (HOLDING CO)</b>								
Symbol: NEM Exchange: NYSE								
EAL: \$210 Current yield: 2.33%	Jul 7, 05	150,000	39.094	5,864.10	60.010	9,001.50	3,137.40	LT
<b>PATRIOT COAL CORP</b>								
Symbol: PCX Exchange: NYSE								
	May 27, 11	300,000	23.338	7,001.57	8.470	2,541.00	-4,460.57	ST
	Aug 22, 11	300,000	13.339	4,001.78	8.470	2,541.00	-1,460.78	ST
		600,000	18.339	11,003.35		5,082.00	-5,921.35	
<b>Security total</b>								
<b>POTASH CORP SASR INC CANADA CAD</b>								
Symbol: POT Exchange: NYSE								
EAL: \$35 Current yield: 0.68%	Aug 22, 11	125,000	53.501	6,687.63	41.280	5,160.00	-1,527.63	ST
<b>PROCTER &amp; GAMBLE CO</b>								
Symbol: PG Exchange: NYSE								
EAL: \$155 Current yield: 3.14%	Aug 31, 02	74,000	44.375	3,280.05	66.710	4,936.54	1,656.49	LT
<b>RAYTHEON CO NEW</b>								
Symbol: RTN Exchange: NYSE								
EAL: \$287 Current yield: 3.55%	Aug 31, 02	167,000	35.000	5,845.00	48.380	8,079.46	2,234.46	LT
<b>SILVER WHEATON CORP CAD</b>								
Symbol: SLW Exchange: NYSE								
EAL: \$54 Current yield: 1.24%	Feb 1, 11	150,000	33.262	4,989.32	28.960	4,344.00	-645.32	ST

continued next page



Account name: HOWARD LAWRENCE BERMAN  
Account number: [REDACTED]

# Your assets, Equities, Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized gain or loss (\$)	Holding period
<b>UNION PACIFIC CORP</b>								
Symbol: UNP Exchange: NYSE								
EAL: \$180 Current yield: 2.27%	Aug 31, 02	75,000	30.250	2,268.75	105.940	7,945.50	5,676.75	LT
<b>UQM TECHNOLOGIES INC</b>								
Symbol: UQM Exchange: AMEX								
	Mar 22, 04	2,000,000	3.427	6,855.70	1.380	2,760.00	-4,095.70	LT
	Jun 21, 11	2,000,000	2.442	4,884.14	1.380	2,760.00	-2,124.14	ST
Security total		4,000,000	2.935	11,739.84		5,520.00	-6,219.84	
<b>VERIZON COMMUNICATIONS INC</b>								
Symbol: VZ Exchange: NYSE								
EAL: \$500 Current yield: 4.99%	Nov 2, 09	250,000	28.547	7,136.89	40.120	10,030.00	2,893.11	LT
<b>WALTDENNEY CO (HOLDING CO)</b>								
DISNEY COM								
Symbol: DIS Exchange: NYSE								
EAL: \$90 Current yield: 1.60%	Aug 31, 02	150,000	15.473	2,321.00	37.500	5,625.00	3,304.00	LT
Total				\$154,383.60		\$167,437.89	\$13,054.29	
Total estimated annual income: \$3,916								

## Closed end funds & Exchange traded products

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

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

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

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

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>BLACKROCK ENERGY &amp; RES TR</b>									
Symbol: BGR Exchange: NYSE									
Trade date: Aug 22, 11	250,000	26.167	6,541.94	6,541.94	24.450	6,112.50	-429.44		ST
Total reinvested	4,000	22.075		88.30	24.450	97.80	9.50		
EAL: \$411 Current yield: 6.62%									
Security total	254,000	26.103	6,541.94	6,630.24		6,210.30	-419.94	-331.64	

MARKET VECTORS AGRI-BUSINESS

continued next page



Resource Management Account  
December 2011

Account name:  
Account number:

HOWARD LAWRENCE BERMAN

Your Financial Advisor:  
CAMPBELL/KARMAU  
310 772-7000/800-553-9847

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

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
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ETF

Symbol: MOO Exchange: NYSE  
Trade date: Dec 29, 09  
EAI: \$46 Current yield: 0.65%

Total  
Total estimated annual income: \$457

Mutual funds

Total/reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.  
Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.  
Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
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DWS DREMAN INTERNATIONAL

VALUE A

Symbol: DNMVAX

Trade date: Aug 3, 10

Total reinvested

EAI: \$194 Current yield: 2.12%

Security total



Account name: HOWARD LAWRENCE BERMAN  
Account number: [REDACTED]

## Your assets (continued)

### Fixed income

#### Asset backed securities

Prices are obtained from independent quotation bureaus that use computerized valuation formulas to calculate current values. Actual market values may vary and thus gains/losses may not be accurately

reflected. The cost basis for asset backed securities has been adjusted automatically for return of principal payments and if issued at a discount, accreted original issue discount (OID).

Holding	Trade date	Total face value at maturity (\$)	Purchase price(\$)	Adjusted cost basis (\$)	Price on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized gain or loss (\$)	Holding period
GNMA PL 256119X RATE 09.5000% MATURES 09/15/78 CURRENT PAR VALUE 32 ACCRUED INTEREST \$0.24 CUSIP 36219QPC1 EAC: 33 Current yield: 9.46%	Aug 31, 02	10,000,000	109,000	34,651	100,448	32,114	-2,51	LT
GNMA PL 323274X RATE 07.5000% MATURES 05/15/22 CURRENT PAR VALUE 159 ACCRUED INTEREST \$0.96 CUSIP 36224BCK3 EAC: \$12 Current yield: 6.52%	Aug 31, 02	10,000,000	106,000	168,921	114,959	182,78	13,86	LT
<b>Total</b>		<b>\$28,000,000</b>		<b>\$203,57</b>		<b>\$214,92</b>	<b>\$11,35</b>	
<b>Total accrued interest: \$1.20</b>								
<b>Total estimated annual income: \$15</b>								

<sup>1</sup> Indicates cost basis information provided by you or another third party. UBS FS has not verified this information and does not guarantee its accuracy.

### Structured products

There may be little or no secondary market for structured products. Prices are estimated values obtained from third parties or issuers and do not reflect adjustments taken by such third parties or issuers for financial reporting purposes arising from changes in the market value of such transactions. The value at which you

would be able to purchase, sell, enter into, assign or terminate any instrument will be impacted by other factors, such as hedging and transaction costs, credit considerations, bid-ask spreads and market liquidity.

Holding	Trade date	Quantity	Purchase price per share (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized gain or loss (\$)	Holding period
SUN TRUST BANK CD GLD 5/30/2014 Original cost basis: \$20,000.00	May 26, 09	20,000,000	116.084	23,216.88	125.040	25,008.00	1,791.12	LT



Resource Management Account  
December 2011

Account name:  
Account number:

HOWARD LAWRENCE BERMAN

Your Financial Advisor:  
CAMPBELL/KARNAU  
310.772.7000/800.553.9847

## Your assets (continued)

### Broad commodities

#### Closed end funds & Exchange traded products

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

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

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

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

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
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#### GUGGENHEIM S&P GLOBAL WATER

##### INDEX ETF

Symbol: CGW Exchange: NYSE

Trade date: Jan 21, 11

EAI: 3206 Current yield: 2.20%

IShares SILVER TRUST

Symbol: SLV Exchange: NYSE

Trade date: Mar 18, 10

Total

Total estimated annual income: \$206

### Mutual funds

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

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

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

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

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
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#### FT-FRANKLIN GOLD & PREC MET A

Symbol: FKRCX

Trade date: Dec 29, 05

Trade date: May 30, 06

Total

continued next page



Account name: HOWARD LAWRENCE BERMAN  
Account number: [REDACTED]

### Your assets , Broad commodities , Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 30 (\$)	Value on Dec 30 (\$)	Unrealized (loss) gain or loss (\$)	Investment return (\$)	Holding period
Total reinvested	356,181	42,227		15,040.70	36.480	12,993.48	-2,047.22		
EAT: \$883 Current yield: 2.35%									
Security total	1,031,030	33,996	20,010.50	35,051.20		37,611.97	2,560.77	17,601.47	

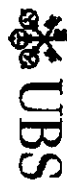
### Your total assets

	Cash and money balances	Value on Dec 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>		58,724.68	18.22%	58,724.68		
<b>Equities</b>						
Common stock	167,437.89			154,393.60	3,916.00	13,044.29
Closed end funds & Exchange traded products	13,282.80			13,439.09	457.00	-156.29
Mutual funds	9,130.03			10,282.73	194.00	-1,152.70
<b>Total equities</b>	189,850.72		57.91%	178,115.42	4,567.00	11,735.30
<b>Fixed income</b>						
Asset backed securities	214.92			203.57	15.00	11.35
Structured products	25,008.00			23,216.88		1,791.12
Total accrued interest	1.20					
<b>Total fixed income</b>	25,224.12		7.69%	23,420.45	15.00	1,802.47
<b>Broad commodities</b>						
Closed end funds & Exchange traded products	15,431.50			14,729.31	206.00	702.19
Mutual funds	37,611.97			35,051.20	883.00	2,560.77
<b>Total broad commodities</b>	53,043.47		16.18%	49,780.51	1,089.00	3,262.96
<b>Total</b>	\$327,842.99		100.00%	\$311,041.06	\$5,671.00	\$16,800.73

### Account activity this month

Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>			
<b>Taxable dividends</b>			
Dec 1	Dividend	INTEL CORP PAID ON 100	21.00
Dec 5	Foreign Dividend	SILVER WHEATON CORP CAD PAID ON 150	13.50
Dec 5	Dividend	FT-FRANKLIN GOLD & PREC MET A	838.65
Dec 5	LI Cap Gain	FT-FRANKLIN GOLD & PREC MET A LONG TERM CAPITAL GAIN	1,273.40
Dec 9	Dividend	EXELON CORP PAID ON 200	105.00

continued next page



Resource Management Account  
December 2011

Account name:  
Account number:

HOWARD LAWRENCE BERMAN

Your Financial Advisor:  
CAMPBELL/KARMAU  
310 772-7000/800-553 9847

# Account activity this month (continued)

## Dividend and interest income (continued)

### Taxable dividends (continued)

Date	Activity	Description	Amount (\$)
Dec 9	Dividend	EXXON MOBIL CORP PAID ON 100	47.00
Dec 9	Dividend	EMERSON ELECTRIC CO PAID ON 154	61.60
Dec 13	Dividend	JOHNSON & JOHNSON COM PAID ON 87	49.59
Dec 15	Dividend	BARICK GOLD CORP CAD PAID ON 100	15.00
Dec 15	Dividend	MCDONALDS CORP PAID ON 93	65.10
Dec 23	Dividend	GOLDCORP INC NEW CAD PAID ON 150	6.75
Dec 27	Dividend	DWS DREMAN INTERNATIONAL VALUE A	88.12
Dec 29	Dividend	GUGGENHEIM S&P GLOBAL WATER INDEX ETF PAID ON 500	205.50
Dec 29	Dividend	MARKET VECTORS AGRI-BUSINESS ETF PAID ON 150	45.60
Dec 29	Dividend	NEWMONT MINING CORP (HOLDING CO) PAID ON 150	52.50
Dec 30	Dividend	BKANA CORP CAD PAID ON 350	70.00

### Total taxable dividends

\$2,956.31

### Taxable interest

Dec 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/06/11	0.90
Dec 15	Interest	GNMA PL 256119X 09/5/08 DUE 09/15/18 FACTOR 0.003179400000 PAID ON 10000	0.25
Dec 15	Interest	GNMA PL 323274X 07/5/00 DUE 05/15/22 FACTOR 0.015936170000 PAID ON 10000	1.00

### Total taxable interest

\$2.15

### Total dividend and interest income

\$2,960.46

### Fees

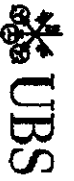
Date	Activity	Description	Amount (\$)
Dec 6	Fee Charge	ANNUAL FEE CHARGE	-150.00
Total annual fees			-\$150.00

### Other funds debited

Date	Activity	Description	Amount (\$)
Dec 5	Foreign Tax Withheld	SILVER WHEATON CORP CAD	-2.03
Dec 15	Foreign Tax Withheld	BARICK GOLD CORP CAD	-2.25
Dec 23	Foreign Tax Withheld	GOLDCORP INC NEW CAD	-1.01

continued next page





Account name: HOWARD LAWRENCE BERMAN  
Account number: [REDACTED]

### Account activity this month (continued)

Date	Activity	Description	Amount (\$)
Dec 30	Foreign Tax Withheld	ENCANA CORP CAD	-10.50
Total other funds debited			-\$15.78

### Investment transactions

For more information about the price/value shown for restricted securities, see *Important Information about your statement* at the end of this document.

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Dec 5	Reinvestment	FT-FRANKLIN GOLD & PREC MET A DIVIDEND REINVESTED AT 41.26 NAV ON 12/01/11	20.326				-838.65	
Dec 5	Reinvestment	FT-FRANKLIN GOLD & PREC MET A LT CAP GAINS REINVESTED AT 41.26 NAV ON 12/01/11	30.863				-1,273.40	
Dec 15	Return Of Principal	GNMA PL 3256139X 09.5000 DUE 09/15/18 FACTOR 0.003179400000 PAID ON 10000				0.29		
Dec 15	Return Of Principal	GNMA PL 323274X 07.5000 DUE 05/15/22 FACTOR 0.015936170000 PAID ON 10000				1.12		
Dec 27	Reinvestment	DWS DREMAN INTERNATIONAL VALUE A DIVIDEND REINVESTED AT 7.91 NAV ON 12/23/11	11.140				-88.12	
Total				\$1.41			-\$2,200.17	

Date	Activity	Description	Amount (\$)
Nov 30	Balance forward		\$58,128.77
Dec 2	Deposit	UBS BANK USA DEPOSIT AC COUNT	21.00
Dec 6	Deposit	UBS BANK USA DEPOSIT AC COUNT	11.47
Dec 7	Deposit	UBS BANK USA DEPOSIT AC COUNT AS OF 12/06/11	0.90
Dec 7	Withdrawal	UBS BANK USA DEPOSIT AC COUNT	-150.00
Dec 12	Deposit	UBS BANK USA DEPOSIT AC COUNT	213.60
Dec 14	Deposit	UBS BANK USA DEPOSIT AC COUNT	49.59
Dec 16	Deposit	UBS BANK USA DEPOSIT AC COUNT	80.51
Dec 27	Deposit	UBS BANK USA DEPOSIT AC COUNT	5.74
Dec 30	Deposit	UBS BANK USA DEPOSIT AC COUNT	303.60
Dec 30	Closing UBS Bank USA Deposit Account		\$58,665.18

The UBS Bank USA Deposit Account is your primary sweep option.

UBS

Generated On: 05/02/2012

Account # in View: [REDACTED]

UBS Financial Services Inc.

Filtered by: Entry Date 01/01/2011-12/31/2011, Bought:

Entry Date	Settle Date	Activity	Description	Symbol / Security#	Type	Quantity	Price/Detail	Amount
08/22/11	08/25/11	BOUGHT	ALPHA NATURAL RESOURCES INC / KIP00599094932451 Trade# 97576 Blot:21	ANR-009AM8	1	125.000	\$29.960	-\$3,850.25
08/22/11	08/25/11	BOUGHT	BLACKROCK ENERGY & RES TR / KIP00599094932415 Trade# 95513 Blot:21	BGR-0501S1	1	250.000	\$25.540	-\$6,541.94
08/22/11	08/25/11	BOUGHT	PATRIOT COAL CORP / KIP00599094935009 Trade# 00164 Blot:21	PCX-353FZ8	1	300.000	\$12.880	-\$4,001.78
08/22/11	08/25/11	BOUGHT	POTASH CORP SASK INC CANADA CAD / KIP00599094932193 Trade# 97296 Blot:21	POT-366242	1	125.000	\$52.300	-\$6,687.63
06/21/11	06/24/11	BOUGHT	CANESCO CORP CANADA CAD Trade# 60732 Blot:60	CCJ-0783A0	1	200.000	\$24.438	-\$5,017.77
06/21/11	06/24/11	BOUGHT	GUGGENHEIM S&P GLOBAL WATER INDEX ETF Trade# 60814 Blot:60	CGW-0928C1	1	900.000	\$21.104	-\$10,788.12
06/21/11	06/24/11	BOUGHT	UCM TECHNOLOGIES INC Trade# 60061 Blot:85	UCM-167472	1	2,000.000	\$2.334	-\$4,884.14
05/27/11	06/02/11	BOUGHT	PATRIOT COAL CORP Trade# 97815 Blot:90	PCX-353FZ8	1	300.000	\$22.776	-\$7,001.57
05/27/11	06/02/11	BOUGHT	ALPHA NATURAL RESOURCES INC Trade# 97677 Blot:60	ANR-009AM8	1	125.000	\$52.858	-\$6,750.77
05/27/11	06/02/11	BOUGHT	CLOUD PEAK ENERGY INC Trade# 97422 Blot:60	CLD-0931J4	1	300.000	\$20.818	-\$6,407.05
02/01/11	02/04/11	BOUGHT	BARRICK GOLD CORP CAD Trade# 33537 Blot:60	ABX-0439G4	1	100.000	\$48.098	-\$4,920.38
02/01/11	02/04/11	BOUGHT	SILVER HAWK CORP CAD Trade# 33049 Blot:60	SLW-423220	1	150.000	\$32.478	-\$4,969.32

Total Bought Amount: -\$71,840.72

1 The "Total" is a sum of the values displayed in the "Amount" column.

2 Displayed as an additional transaction, the above bank card activity is debited from your account on the 28th of each month, assuming this date is a business day. Otherwise, it is debited from your account on the following business day.

Intraday updates for Equity, Fixed Income and Mutual Fund trades, and some cash and security transactions are included on approximately a 20 minute delay. Commission and fees for Equity trades are estimates, and may not match what is charged to the account. Fixed Income agency trades may not include commission and fees. Mutual Fund trades are reflected following price confirmation from the fund company or transfer agent. Mutual Fund direct business, Mutual Fund transfers, some trade corrections and some fees are not included intraday.

This report is for informational purposes only and may or may not include all holdings or client accounts. All information presented is subject to change at any time and is provided only as of the date indicated. The firm's periodic account statements and official tax documents are the only official record of client accounts and are not superseded, replaced, or amended by any of the information presented in these reports. Clients should not rely on this information in making purchase or sell decisions, for tax purposes or otherwise.

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The information contained herein has been obtained from sources believed to be reliable, but we cannot guarantee its accuracy or completeness. Neither the information nor any opinion expressed constitutes a solicitation for the purchase or sale of any security.

The materials being forwarded to you as a courtesy by your broker have not been reviewed or approved by UBS Financial Services Inc. Please note that your confirmations and monthly statements are the official records of the firm and should be the documents on which you conclusively rely.

J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LE9

ORIGINAL: 12/31/11

J.P.Morgan

## 2011 FORMS 1099 & DETAILS

### YEAR-END MESSAGES

PLEASE REFER TO THE FOLLOWING PAGE FOR IMPORTANT MESSAGES REGARDING YOUR 1099.

PLEASE READ THE ENCLOSED TAX GUIDE FOR A COMPLETE EXPLANATION OF THE TAX INFORMATION ON YOUR 2011 CONSOLIDATED 1099. WHILE WE VERIFY THE INFORMATION REPORTED, RECLASSIFICATION OF INCOME BY AN ISSUER SUCH AS A MUTUAL FUND MAY REQUIRE A CORRECTED CONSOLIDATED FORM 1099. KINDLY CONTACT YOUR ACCOUNT EXECUTIVE WITH QUESTIONS CONCERNING THE COST BASIS OR ANY OTHER INFORMATION.

Your Account did not receive the following Forms: 1099 OID

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087099 - 1 of 11 NSP08SRZ-ZZ 010000  
JANIS G BERMAN  
HORIZON  
[REDACTED]



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J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
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ORIGINAL: 12/31/11

**J.P.Morgan**

**SPECIAL INFORMATION REGARDING YOUR 2011 CONSOLIDATED FORMS 1099 AND DETAIL SUMMARY REPORT:**

**\*\*\* IMPORTANT TAX INFORMATION \*\*\***

Additional tax information including income subject to AMT and tax-exempt income by state for shareholders of J.P. Morgan Funds is available at [www.jpmmorganfunds.com](http://www.jpmmorganfunds.com)

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J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: XXX-XX-8356

Account Executive No: LE9

ORIGINAL: 12/31/11

J.P.Morgan

RECIPIENTS Name, Street Address, City, State, and Zip Code  
JANIS G BERMAN  
HORIZON  
5134 TEESDALE AVE  
VALLEY VILLAGE CA 91607-2923

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☐ 2nd TIN Notice

Telephone Number: (212) 272-0495

## 2011 Consolidated 1099 Form

### 2011 FORM 1099-DIV: DIVIDENDS AND DISTRIBUTIONS (OMB NO. 1545-0110)

1a	Total Ordinary Dividends	\$15,584.12	/
1b	Qualified Dividends	\$4,666.58	/
2a	Total Capital Gain Distributions	\$1,199.66	/
2b	Unrecap Sec. 1250 gain	-	/
2c	Section 1202 gain	-	/
2d	Collectibles (28%) gain	\$25.23	/
3	Nondividend Distributions	-	/
4	Federal income tax withheld	-	/
5	Investment Expenses	\$1.27	/
6	Foreign Tax Paid	\$175.40	/
7	Foreign country or US possession	Various	/
8	Cash Liquidation Distributions	-	/
9	Noncash Liquidation Distributions	-	/

### 2011 FORM 1099-INT: INTEREST INCOME (OMB NO. 1545-0112)

1	Interest Income not included in box 3	-	/
2	Early withdrawal penalty	-	/
3	Interest on U.S. Savings Bonds & Treasury obligations	-	/
4	Federal income tax withheld	-	/
5	Investment Expenses	-	/
6	Foreign tax paid	-	/
7	Foreign country or US possession	-	/
8	Tax-Exempt interest	\$6,950.58	/
9	Specified private activity bond interest	\$236.31	/
10	Tax-exempt bond CUSIP no. (see instructions)	09252Y101	/





J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: XXX-XX-8356  
Account Executive No: LEE9

ORIGINAL: 12/31/11

J.P.Morgan

RECIPIENT'S Name, Street Address, City, State, and Zip Code  
JANIS G BERMAN  
HORIZON  
5134 TEESDALE AVE  
VALLEY VILLAGE CA 91607-2923

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2nd TIN Notice

Payer's Federal Identification Number: 13-3604093  
Payer's Name, Street, City, State, Zip Code:  
J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Telephone Number: (212) 272-0495

## 2011 GROSS PROCEEDS

### 2011 FORM 1099-B: PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)


Box 6: Noncovered Box 8: Type of Gain or Loss:

(Box 1a) Date of Sale or Exchange	(Box 1b) Date of Acquisition	(Box 9) Description	CUSIP	QUANTITY	(Box 2) Sales Price less commissions & option premiums	(Box 3) Cost or Other Basis	(Box 5) Wash Sale Loss Disallowed	(Box 4) Federal Income Tax Withheld	(Box 6) Loss No Allow
02/11/11		**BLACKROCK GLOBAL ALLOCATION	092511T103	282.26400	\$5,586.00				-
02/11/11		**BLACKROCK CALIFORNIA	09252Y101	5,329.87700	\$56,550.00				-
02/11/11		ISHARES TR RUSSELL MIDCAP	464287499	75.00000	\$8,027.84				-
03/10/11		**BLACKROCK GLOBAL ALLOCATION	092511T103	363.66900	\$7,157.00				-
03/10/11		**BLACKROCK CALIFORNIA	09252Y101	1,486.94400	\$16,059.00				-
03/10/11		ISHARES TRUST BARCLAYS U S	464287226	63.00000	\$6,653.93				-
11/28/11		**BLACKROCK CALIFORNIA	09252Y101	1,707.49400	\$19,824.00				-
11/28/11		**IVV GLOBAL NATURAL RESOURCES	466897429	684.05100	\$11,539.94				-
11/28/11		ISHARES TRUST RUSSELL 1000	464287622	67.00000	\$4,435.31				-
11/28/11		ISHARES TRUST BARCLAYS U S	464287226	54.00000	\$5,906.40				-
11/28/11		ISHARES TR BARCLAYS TREAS	464287176	33.00000	\$3,843.76				-
11/28/11		**MATTHEWS PACIFIC TIGER FUND	577130107	570.27800	\$11,685.00				-
11/28/11		**PIMCO TOTAL RETURN FUND-CLA	693390445	6,835.00700	\$73,476.33				-
11/28/11		WISDOM TREE EMERGING MARKETS	97717W315	135.00000	\$6,744.47				-
14 ITEMS - Total					\$237,488.98				-

END OF 2011 CONSOLIDATED FORM 1099

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No:   
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: XXX-XX-8356  
Account Executive No: LE9  
ORIGINAL: 12/31/11

J.P.Morgan

RECIPIENT'S Name, Street Address, City, State, and Zip Code  
JANIS G BERMAN  
HORIZON  
5134 TEESDALE AVE  
VALLEY VILLAGE CA 91607-2923

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Payer's Federal Identification Number: 13-3604093  
Payer's Name, Street, City, State, Zip Code:  
J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Telephone Number: (212) 272-0495

2011 MISCELLANEOUS INCOME

2011 FORM 1099-MISC: MISCELLANEOUS INCOME (OMB NO. 1545-0115)

(Box 1) Rents	(Box 2) Royalties	(Box 3) Other Income	(Box 4) Federal Income Tax Withheld	(Box 7) Non-Employee Compensation	(Box 8) Substitute Payments in lieu of Dividends or Interest	(Box 14) Gross Proceeds Paid to an Attorney
						\$1,052.00

END OF 2011 FORM 1099-MISC

Instructions for Recipient - Miscellaneous Income  
Account number. May show an account or other unique number the payer assigned to distinguish your account.

Amounts shown may be subject to self-employment (SE) tax. If your net income from self-employment is \$400 or more, you must file a return and compute your SE tax on Schedule SE (Form 1040). See Pub. 334 for more information. If no income or social security and Medicare taxes were withheld and you are still receiving these payments, see Form 1040-ES. Individuals must report these amounts as explained in the box 7 instructions on this page. Corporations, fiduciaries, or partnerships must report the amounts on the proper line of their tax returns.  
Form 1099-MISC incorrect? If this form is incorrect or has been issued in error, contact the payer. If you cannot get this form corrected, attach an explanation to your tax return and report your income correctly.

Boxes 1 and 2. Report rents from real estate on Schedule E (Form 1040). However, report rents on Schedule C (Form 1040) if you provided significant services to the tenant, sold real estate as a business, or rented personal property as a business. Report royalties from oil, gas, or mineral properties, copyrights, and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the box 7 instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

Box 3. Generally, report this amount on the "Other income" line of Form 1040 and identify the payment. The amount shown may be payments received as the beneficiary of a deceased employee, prizes, awards, taxable damages, Indian gaming profits, or other taxable income. See Pub. 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

Box 4. Shows backup withholding or withholding on Indian gaming profits. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

Box 7. Shows nonemployee compensation. If you are in the trade or business of catching fish, box 7 may show cash you received for the sale of fish. If the amount in this box is SE income, report it on Schedule C or F (Form 1040), and complete Schedule SE (Form 1040). You received this form instead of Form W-2 because the payer did not consider you an employee and did not withhold income tax or social security and Medicare tax. If you believe you are an employee and cannot get the payer to correct this form, report the amount from box 7 on Form 1040, line 7 (or Form 1040NR, line 6). You must also complete Form 8919 and attach it to your return. If you are not an employee but the amount in this box is not SE income (for example, it is income from a sporadic activity or a hobby), report it on Form 1040, line 21 (or Form 1040NR, line 21).

Box 8. Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other income" line of Form 1040.

Box 14. Shows gross proceeds paid to an attorney in connection with legal services. Report only the taxable part as income on your return.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LE9

ORIGINAL: 12/31/11

J.P.Morgan

DETAILS OF 2011 FORM 1099-DIV

2011 DIVIDEND & DISTRIBUTION DETAILS

Date	Security Description	CUSIP	Transaction Description	Amount	Income Tax Withheld	Foreign Tax Paid	Country	Comments
06/01	JPMORGAN TRI PRIME MONEY MKT FD AGY CL		Dividend, Non-Qual	\$0.17	-	-		
07/01	JPMORGAN TRI PRIME MONEY MKT FD AGY CL		Dividend, Non-Qual	\$0.24	-	-		
08/01	JPMORGAN TRI PRIME MONEY MKT FD AGY CL		Dividend, Non-Qual	\$0.16	-	-		
09/01	JPMORGAN TRI PRIME MONEY MKT FD AGY CL		Dividend, Non-Qual	\$0.33	-	-		
10/03	JPMORGAN TRI PRIME MONEY MKT FD AGY CL		Dividend, Non-Qual	\$0.23	-	-		
11/01	JPMORGAN TRI PRIME MONEY MKT FD AGY CL		Dividend, Non-Qual	\$0.19	-	-		
12/01	JPMORGAN TRI PRIME MONEY MKT FD AGY CL		Dividend, Non-Qual	\$0.41	-	-		
12/30	PRIMARY FUND-IN LIQUIDATION **BLACKROCK GLOBAL ALLOCATION FD INC CL A	09251T103	Dividend, Non-Qual	\$0.01	-	-		
07/21	PRIME MONEY MKT FD AGY CL		Dividend, Non-Qual	\$173.80	-	-		
12/19	**BLACKROCK GLOBAL ALLOCATION FD INC CL A	09251T103	Dividend, Non-Qual	\$227.03	-	-		
12/20	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Short S/T Cap Gains	\$4.84	-	-		
12/30	JPMORGAN TRI PRIME MONEY MKT FD AGY CL	100BV2007	Dividend, Non-Qual	\$1.02	-	-		
12/01	**DOUBLELINE FDS TR TOTAL RETURN BD FD CL N	258620202	Dividend, Non-Qual	\$461.05	-	-		
12/29	**DOUBLELINE FDS TR TOTAL RETURN BD FD CL N	258620202	Dividend, Non-Qual	\$540.37	-	-		
02/07	ISHARES TRUST ISHARES BARCLAYS	464287176	Dividend, Non-Qual	\$44.47	-	-		
03/07	ISHARES TR BARCLAYS TREAS	464287176	Dividend, Non-Qual	\$74.36	-	-		
04/07	ISHARES TR BARCLAYS TREAS	464287176	Dividend, Non-Qual	\$157.75	-	-		
05/06	ISHARES TR BARCLAYS TREAS	464287176	Dividend, Non-Qual	\$160.93	-	-		

This statement is not a substitute for Form 1099 and is provided for informational purposes only

J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LE9

ORIGINAL: 12/31/11

J.P.Morgan

## 2011 DIVIDEND & DISTRIBUTION DETAILS

### DETAILS OF 2011 FORM 1099-DIV (continued)

Date	Security Description	CUSIP	Transaction Description	Amount	Income Tax Withheld	Foreign Tax Paid	Country	Comments
06/07	ISHARES TR BARCLAYS TREAS	464287176	Dividend, Non-Qual	\$284.36	-	-	-	
07/08	ISHARES TR BARCLAYS TREAS	464287176	Dividend, Non-Qual	\$204.57	-	-	-	
08/05	ISHARES TR BARCLAYS TREAS	464287176	Dividend, Non-Qual	\$157.54	-	-	-	
09/08	ISHARES TR BARCLAYS TREAS	464287176	Dividend, Non-Qual	\$2.76	-	-	-	
10/07	ISHARES TR BARCLAYS TREAS	464287176	Dividend, Non-Qual	\$46.98	-	-	-	
11/07	ISHARES TR BARCLAYS TREAS	464287176	Dividend, Non-Qual	\$97.57	-	-	-	
12/07	ISHARES TR BARCLAYS TREAS	464287176	Dividend, Non-Qual	\$57.27	-	-	-	
02/07	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$177.04	-	-	-	
03/07	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$159.58	-	-	-	
04/07	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$155.72	-	-	-	
05/06	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$157.10	-	-	-	
05/24	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$174.44	-	-	-	
05/25	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	-\$174.44	-	-	-	
06/07	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$155.42	-	-	-	
07/08	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$150.86	-	-	-	
08/05	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$149.09	-	-	-	
09/08	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$115.35	-	-	-	
10/07	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$109.05	-	-	-	
11/07	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$142.42	-	-	-	
12/07	ISHARES TRUST BARCLAYS U S	464287226	Short S/T Cap Gains	\$111.62	-	-	-	
12/07	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$107.39	-	-	-	
12/29	ISHARES TRUST BARCLAYS U S	464287226	Dividend, Non-Qual	\$12.28	-	-	-	
06/28	ISHARES TRUST MSCI EAFE INDEX	464287465	Dividend, Non-Qual	\$9.84	-	-	-	Foreign Tax Paid
12/29	ISHARES TRUST MSCI EAFE INDEX	464287465	Dividend, Non-Qual	\$0.61	-	-	-	Foreign Tax Paid
07/11	ISHARES TR RUSSELL MIDCAP	464287499	Dividend, Non-Qual	\$9.52	-	-	-	
09/29	ISHARES TR RUSSELL MIDCAP	464287499	Dividend, Non-Qual	\$8.39	-	-	-	
12/29	ISHARES TR RUSSELL MIDCAP	464287499	Dividend, Non-Qual	\$13.08	-	-	-	

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J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LE9

ORIGINAL: 12/31/11

J.P.Morgan

## 2011 DIVIDEND & DISTRIBUTION DETAILS

### DETAILS OF 2011 FORM 1099-DIV (continued)

Date	Security Description	CUSIP	Transaction Description	Amount	Income Tax Withheld	Foreign Tax Paid	Country	Comments
03/30	ISHARES TRUST RUSSELL 2000	464287655	Dividend, Non-Qual	\$19.63	-	-	-	
07/11	ISHARES TRUST RUSSELL 2000	464287655	Dividend, Non-Qual	\$36.52	-	-	-	
09/29	ISHARES TRUST RUSSELL 2000	464287655	Dividend, Non-Qual	\$38.21	-	-	-	
12/29	ISHARES TRUST RUSSELL 2000	464287655	Dividend, Non-Qual	\$54.99	-	-	-	
02/01	JPMORGAN TR I PRIME MONEY MKT FD AGY CL	4812A2504	Dividend, Non-Qual	\$0.85	-	-	-	
03/01	JPMORGAN TR I PRIME MONEY MKT FD AGY CL	4812A2504	Dividend, Non-Qual	\$0.84	-	-	-	
04/01	JPMORGAN TR I PRIME MONEY MKT FD AGY CL	4812A2504	Dividend, Non-Qual	\$0.88	-	-	-	
05/02	JPMORGAN TR I PRIME MONEY MKT FD AGY CL	4812A2504	Dividend, Non-Qual	\$0.59	-	-	-	
05/18	JPMORGAN TR I PRIME MONEY MKT FD AGY CL	4812A2504	Dividend, Non-Qual	\$0.20	-	-	-	
01/25	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$198.33	-	-	-	
02/22	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$314.05	-	-	-	
03/22	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$300.47	-	-	-	
04/26	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$299.57	-	-	-	
05/24	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$302.74	-	-	-	
06/21	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$297.76	-	-	-	
07/26	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$299.57	-	-	-	
08/23	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$303.64	-	-	-	

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J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LE9

J.P.Morgan

ORIGINAL: 12/31/11

## 2011 DIVIDEND & DISTRIBUTION DETAILS

### DETAILS OF 2011 FORM 1099-DIV (continued)

Date	Security Description	CUSIP	Transaction Description	Amount	Income Tax Withheld	Foreign Tax Paid	Country	Comments
09/20	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$293.24	-	-		
10/25	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$282.83	-	-		
11/22	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$381.93	-	-		
12/20	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend, Non-Qual	\$777.89	-	-		
12/12	**OPPENHEIMER DEVELOPING MARKETS FUND-CL A	663974109	Dividend, Non-Qual	\$169.06	-	-\$14.92		Foreign Tax Paid
01/31	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$161.34	-	-		
02/28	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$174.19	-	-		
03/31	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$183.64	-	-		
04/29	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$185.48	-	-		
05/31	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$190.40	-	-		
06/30	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$180.84	-	-		
07/29	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$168.42	-	-		
08/31	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$156.12	-	-		
09/30	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$179.03	-	-		
10/31	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$180.25	-	-		
11/30	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend, Non-Qual	\$183.06	-	-		
12/08	**PERMANENT PORTFOLIO FUND INC	714199106	Short S/T Cap Gains	\$41.10	-	-		
12/08	**PERMANENT PORTFOLIO FUND INC	714199106	Dividend, Non-Qual	\$14.82	-	-		
03/25	WISDOM TREE EMERGING MARKETS	97717WV315	Dividend, Non-Qual	\$39.36	-	-		
12/28	WISDOM TREE EMERGING MARKETS	97717WV315	Dividend, Non-Qual	\$59.76	-	-		
Total Non-Qualified Dividends (Included in Box 1a)				\$10,916.27		-\$16.35		Foreign Tax Paid
07/21	**BLACKROCK GLOBAL ALLOCATION FD INC CL A	08251T103	Dividend	\$344.86	-	-		

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BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LEE9

ORIGINAL: 12/31/11

J.P.Morgan

## 2011 DIVIDEND & DISTRIBUTION DETAILS

### DETAILS OF 2011 FORM 1099-DIV (continued)

Date	Security Description	CUSIP	Transaction Description	Amount	Income Tax Withheld	Foreign Tax Paid	Country	Comments
12/19	**BLACKROCK GLOBAL ALLOCATION FD INC CL A	092511103	Dividend	\$442.27	-	-		
12/29	ISHARES TR DOW JONES SEL DIVID	464287168	Dividend	\$310.12	-	-		
06/28	ISHARES TRUST MSCI EAFE INDEX	464287465	Dividend	\$446.92	-	-\$42.78		Foreign Tax Paid
12/29	ISHARES TRUST MSCI EAFE INDEX	464287465	Dividend	\$216.46	-	-\$10.98		Foreign Tax Paid
03/30	ISHARES TR RUSSELL MIDCAP	464287499	Dividend	\$73.56	-	-		
07/11	ISHARES TR RUSSELL MIDCAP	464287499	Dividend	\$66.52	-	-		
09/29	ISHARES TR RUSSELL MIDCAP	464287499	Dividend	\$58.63	-	-		
12/29	ISHARES TR RUSSELL MIDCAP	464287499	Dividend	\$91.33	-	-		
03/30	ISHARES TRUST RUSSELL 1000	464287622	Dividend	\$144.51	-	-		
07/11	ISHARES TRUST RUSSELL 1000	464287622	Dividend	\$166.28	-	-		
09/29	ISHARES TRUST RUSSELL 1000	464287622	Dividend	\$152.95	-	-		
12/29	ISHARES TRUST RUSSELL 1000	464287622	Dividend	\$176.84	-	-		
03/30	ISHARES TRUST RUSSELL 2000	464287655	Dividend	\$31.56	-	-		
07/11	ISHARES TRUST RUSSELL 2000	464287655	Dividend	\$37.78	-	-		
09/29	ISHARES TRUST RUSSELL 2000	464287655	Dividend	\$37.49	-	-		
12/29	ISHARES TRUST RUSSELL 2000	464287655	Dividend	\$53.95	-	-		
12/08	**IVY FDS INC ASSET STRATEGY FD CL A	466000759	Dividend	\$661.11	-	-		
01/25	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$16.23	-	-		
02/22	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$25.70	-	-		
03/22	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$24.59	-	-		
04/26	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$24.51	-	-		
05/24	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$24.77	-	-		

J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LE9

ORIGINAL: 12/31/11

J.P.Morgan

## 2011 DIVIDEND & DISTRIBUTION DETAILS


### DETAILS OF 2011 FORM 1099-DIV (continued)

Date	Security Description	CUSIP	Transaction Description	Amount	Income Tax Withheld	Foreign Tax Paid	Country	Comments
06/21	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$24.37	-	-		
07/26	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$24.51	-	-		
08/23	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$24.85	-	-		
09/20	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$23.99	-	-		
10/25	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$23.14	-	-		
11/22	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$31.25	-	-		
12/20	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Dividend	\$63.65	-	-		
12/08	**MATTHEWS PACIFIC TIGER FUND **OPENHEIMER DEVELOPING MARKETS FUND-CL A	577130107 683974109	Dividend Dividend	\$150.81 \$331.41	- -	-\$35.86 -\$29.26		Foreign Tax Paid Foreign Tax Paid
01/31	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.16	-	-		
02/28	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.17	-	-		
03/31	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.18	-	-		
04/29	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.19	-	-		
05/31	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.19	-	-		
06/30	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.18	-	-		
07/29	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.17	-	-		
08/31	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.16	-	-		
09/30	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.18	-	-		
10/31	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.18	-	-		
11/30	**PIMCO TOTAL RETURN FUND-CL A	693390445	Dividend	\$0.18	-	-		
12/08	**PERMANENT PORTFOLIO FUND INC	714199106	Dividend	\$190.68	-	-		
03/25	WISDOM TREE EMERGING MARKETS	97717W315	Dividend	\$58.39	-	-		

This statement is not a substitute for form 1099 and is provided for informational purposes only



J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No:   
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LE9

ORIGINAL: 12/31/11

J.P.Morgan

## 2011 DIVIDEND & DISTRIBUTION DETAILS

### DETAILS OF 2011 FORM 1099-DIV (continued)

Date	Security Description	CUSIP	Transaction Description	Amount	Income Tax Withheld	Foreign Tax Paid	Country	Comments
12/28	WISDOM TREE EMERGING MARKETS	97717W315	Dividend	\$88.65	-	\$24.26		Foreign Tax Paid
Total Qualified Dividends (Box 1b included in Box 1a)				\$4,666.58				
12/30	PRIMARY FUND-IN LIQUIDATION		Investment Expense	\$1.27	-	-		
Total Investment Expenses (Box 5 included in Box 1a)				\$1.27				
Total Ordinary Dividends (Box 1a)				\$16,584.12				
12/19	**BLACKROCK GLOBAL ALLOCATION FD INC CL A	09251T103	LT Cap Gains	\$633.44	-	-		
12/07	ISHARES TRUST BARCLAYS U S	464287226	LT Cap Gains	\$37.10	-	-		
12/08	**MATTHEWS PACIFIC TIGER FUND	577130107	LT Cap Gains	\$352.97	-	-		
12/08	**PERMANENT PORTFOLIO FUND INC	714199106	LT Cap Gains	\$150.92	-	-		
Total Capital Gains Distributions (Included in Box 2a)				\$1,174.43				
12/08	**PERMANENT PORTFOLIO FUND INC	714199106	M/T Cap Gains	\$25.23	-	-		
Total Collectibles (28%) Gain (Box 2d included in 2a)				\$25.23				
Total Capital Gains (Box 2a)				\$1,199.66				
Total Foreign Tax Paid (Box 6)						\$175.40		

68,65  
331.41  
150.81  
167,06  
59.96  
446.92  
216.46

J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
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Account Executive No: LE9

ORIGINAL: 12/31/11

J.P. Morgan

## 2011 INTEREST INCOME DETAILS

### DETAILS OF 2011 FORM 1099-INT

Date	Security Description	CUSIP	Transaction Description	Amount	Income Tax Withheld	Foreign Tax Paid	Country	Comments
01/31	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$818.31	-	-		
02/28	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$696.13	-	-		
03/31	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$546.84	-	-		
04/29	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$518.66	-	-		
05/31	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$529.37	-	-		
06/30	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$540.78	-	-		
07/29	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$534.47	-	-		
08/31	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$528.87	-	-		
09/30	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$529.17	-	-		
10/31	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$522.40	-	-		
11/30	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$514.27	-	-		
12/30	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD	\$435.00	-	-		
Sub Total Tax Exempt Interest No AMT included in Box 8				\$6,714.27				
01/31	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$28.80	-	-		
02/28	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$24.50	-	-		
03/31	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$19.25	-	-		

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J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
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Account Executive No: LE9

ORIGINAL: 12/31/11

J.P.Morgan

DETAILS OF 2011 FORM 1099-INT (continued)

2011 INTEREST INCOME DETAILS

Date	Security Description	CUSIP	Transaction Description	Amount	Income Tax Withheld	Foreign Tax Paid	Country	Comments
04/29	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$18.26	-	-		
05/31	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$18.63	-	-		
06/30	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$19.03	-	-		
07/29	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$18.81	-	-		
08/31	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$18.61	-	-		
09/30	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$18.62	-	-		
10/31	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$18.39	-	-		
11/30	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$18.10	-	-		
12/30	**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	09252Y101	Tax Exempt DIVD/AMT	\$15.31	-	-		
Total Specified Private Activity Bond Int (Box 9, Incl in Box 8)				\$236.31				
Total Tax Exempt Interest (Box 8)				\$6,950.58				

J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LE9

ORIGINAL: 12/31/11

J.P.Morgan

## 2011 MISCELLANEOUS INCOME DETAILS

### DETAILS OF 2011 FORM 1099-MISC

Date	Security Description	CUSIP	Transaction Description	Amount	Income Tax Withheld	Comments
06/28	WISDOM TREE EMERGING MARKETS	97717W315	Sub Payment - DIV	\$523.23	-	
09/30	WISDOM TREE EMERGING MARKETS	97717W315	Sub Payment - DIV	\$528.77	-	
Total Sub Payments (Box 8)				\$1,052.00		

J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LEE9

ORIGINAL: 12/31/11

J.P.Morgan

# DETAILS OF 2011 PURCHASES AND SALES


## 2011 INVESTMENT DETAILS

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comment
03/10	**INVESTCO ENERGY FUND CLASS A	00142F204	Bought	340.76	\$43.67	\$14,881.00	
11/28	**DOUBLELINE FDS TR TOTAL RETURN BD FD CL N	258620202	Bought	6,212.29	\$11.15	\$69,267.00	
11/28	ISHARES TR DOW JONES SEL DIVID INDEX FD	464287168	Bought	700.00	\$50.55	\$35,385.00	
02/11	ISHARES TRUST MSCI EAFE INDEX FUND	464287465	Bought	93.00	\$60.29	\$5,606.97	
02/11	ISHARES TRUST RUSSELL 1000 INDEX FUND	464287622	Bought	133.00	\$73.34	\$9,754.22	
03/10	**IVY GLOBAL NATURAL RESOURCES FUND-CL A	465697429	Bought	684.05	\$21.82	\$14,926.00	
02/11	**IVY FDS INC ASSET STRATEGY FD CL A	466000759	Bought	742.73	\$25.11	\$18,650.00	
02/11	**LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A	543487284	Bought	1,772.35	\$15.01	\$26,603.00	
02/11	**PIMCO TOTAL RETURN FUND-CL A	693390445	Bought	372.80	\$10.77	\$4,015.00	
11/28	**PERMANENT PORTFOLIO FUND INC	714199106	Bought	587.14	\$47.19	\$27,707.00	

END OF 2011 DETAILS

199,028

J.P. MORGAN CLEARING CORP.  
3 METROTECH CENTER  
BROOKLYN NY 11245-0001

Account No:   
Account Name: JANIS G BERMAN  
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Account Executive No: LEE9

ORIGINAL: 12/31/11

J.P.Morgan

## 2011 REALIZED GAIN (LOSS) SUMMARY

Total Cost, Realized Gain (Loss), and holding period information may not reflect all adjustments necessary for tax reporting purposes. Taxpayers should verify such information against their own records when calculating reportable gain or loss resulting from a sale, redemption, or exchange. JPMCC does not report such information to the IRS or other taxing authorities and is not responsible for the accuracy of such information taxpayers may be required to report to federal, state or other taxing authorities. JPMCC makes no warranties with respect to, and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information. Unless otherwise noted, JPMCC determines cost basis at the time of sale based on the average cost-single category method for open-end mutual funds and based on the first-in, first-out (FIFO) method for all other securities. Proceeds information excludes accrued income.

### SHORT TERM GAIN(LOSS) DETAILS

Security Description	Symbol CUSIP	Quantity	Date Acquired	Date Realized	Total Cost Original / Adjusted	Proceeds	Realized Gain(Loss)
**BLACKROCK GLOBAL ALLOCATION FD INC CL A	MDLOX	282.26	04/28/10	02/11/11	5,156.96	5,586.00	429.04
**BLACKROCK GLOBAL ALLOCATION FD INC CL A	MDLOX	363.67	04/28/10	03/10/11	6,644.23	7,157.00	512.77
**IVY GLOBAL NATURAL RESOURCES FUND-CL A	IGNAX	684.05	03/10/11	11/28/11	14,926.00	11,539.94	(3,386.06)
**PIMCO TOTAL RETURN FUND-CL A	PTTAX	372.80	02/11/11	11/28/11	4,015.00	4,007.54	(7.46)
<b>Total Short Term Gain(Loss)**</b>					<b>\$30,742.19</b>	<b>\$28,290.48</b>	<b>\$(2,451.71)</b>

### LONG TERM GAIN(LOSS) DETAILS

Security Description	Symbol CUSIP	Quantity	Date Acquired	Date Realized	Total Cost Original / Adjusted	Proceeds	Realized Gain(Loss)
**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	MECMX	1,565.57	03/26/07	02/11/11	18,066.67	16,610.69	(1,455.98)
**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	MECMX	3,764.31	06/27/08	02/11/11	41,633.24	39,939.31	(1,693.93)
**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	MECMX	1,486.94	06/27/08	03/10/11	16,445.60	16,059.00	(386.60)
**BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	MECMX	1,707.49	06/27/08	11/28/11	18,884.89	19,824.00	939.11
**MATTHEWS PACIFIC TIGER FUND	MAPTX	570.28	08/31/09	11/28/11	9,369.67	11,685.00	2,315.33
**PIMCO TOTAL RETURN FUND-CL A	PTTAX	5,649.31	09/25/08	11/28/11	58,526.87	60,730.11	2,203.24
**PIMCO TOTAL RETURN FUND-CL A	PTTAX	812.90	05/08/09	11/28/11	8,381.00	8,738.66	357.66

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3 METROTECH CENTER  
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Account No: [REDACTED]  
Account Name: JANIS G BERMAN  
Taxpayer Identification Number: ON-FILE  
Account Executive No: LE9

ORIGINAL: 12/31/11

J.P.Morgan

## 2011 REALIZED GAIN (LOSS) SUMMARY

### LONG TERM GAIN(LOSS) DETAILS (continued)

Security Description	Symbol CUSIP	Quantity	Date Acquired	Date Realized	Total Cost Original / Adjusted	Proceeds	Realized Gain(Loss)
JHARES TR BARCLAYS TREAS INFLATION PROTECTED SECS FD	TIP	33.00	03/26/07	11/28/11	3,345.54	3,843.76	498.22
ISHARES TR RUSSELL MIDCAP INDEX FD	IWR	75.00	05/08/09	02/11/11	4,938.75	8,027.84	3,089.09
ISHARES TRUST BARCLAYS U S AGGR BOND FUND	AGG	63.00	03/26/07	03/10/11	6,329.11	6,653.93	324.82
ISHARES TRUST BARCLAYS U S AGGR BOND FUND	AGG	54.00	03/26/07	11/28/11	5,424.95	5,906.40	481.45
ISHARES TRUST RUSSELL 1000 INDEX FUND	IWB	67.00	09/18/09	11/28/11	3,964.69	4,435.31	470.62
WISDOM TREE EMERGING MARKETS EQUITY INCOME FUND ETF	DEM	135.00	08/16/10	11/28/11	6,980.85	6,744.47	(236.38)
<b>Total Long Term Gain(Loss)**</b>					<b>\$202,291.83</b>	<b>\$209,198.50</b>	<b>\$6,906.67</b>

### TOTALS

<b>Total Short Term Gain(Loss)**</b>	<b>Total Cost</b>	<b>Proceeds</b>	<b>Realized Gain(Loss)</b>
	\$30,742.19	\$28,290.48	\$(2,451.71)
<b>Total Long Term Gain(Loss)**</b>	\$202,291.83	\$209,198.50	\$6,906.67
<b>TOTAL PROCEEDS FROM ALL REPORTED TRANSACTIONS (total proceeds on Form 1099)***</b>		\$237,488.98	

Blank=FIFO (First in First Out) S=Specific Match (the closing transaction was specifically matched to this lot) A=Average Cost  
 \*\* These totals exclude transactions for which cost basis is not available  
 \*\*\* This figure may differ from the proceeds on form 1099 due to adjustments for accrued interest, cash-in-lieu, exercise or assignment of options, etc.

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# J.P.Morgan

## J.P.Morgan Securities

OFFICE SERVICING YOUR ACCOUNT  
J.P. Morgan Securities LLC  
2029 Century Park East  
Suite 3700  
Los Angeles, CA 90067  
(310) 201-2600

CLEARED THROUGH ITS  
WHOLLY OWNED SUBSIDIARY  
J.P. Morgan Clearing Corp.  
Three Chase Metrotech Center  
Brooklyn, New York 11245-0001

JANIS G BERMAN

Financial Advisor SOLURSH,POLLOCK,SELIG  
VISIT OUR WEBSITE [www.jpmmorgansecurities.com](http://www.jpmmorgansecurities.com)

Month End Closing Method: FIFO

STATEMENT PERIOD December 1, 2011  
THROUGH December 30, 2011

### What's In This Statement

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Your Portfolio Holdings.....	4
Transaction Detail.....	8
Sweep Program Activity.....	12
Your Messages.....	14

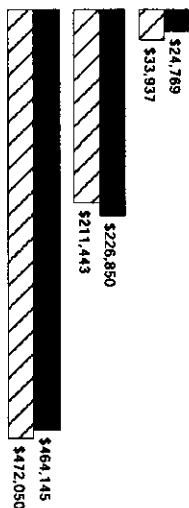
JANIS G BERMAN  
HORIZON

### Your Portfolio at a Glance

TOTAL VALUE OF SECURITIES THIS PERIOD	690,995
SWEEP PROGRAM BALANCE	24,769
NET EQUITY THIS PERIOD	\$715,764
NET EQUITY LAST STATEMENT	717,430
CHANGE SINCE LAST STATEMENT	-1,666

\*This portfolio includes one or more unpriced securities that are not reflected in the Total Value of Securities and the Net Equity This Period. There are no "Stop Loss" orders or other pending buy or sell open orders on file for your account.

### Market Value of Your Portfolio



If any information regarding 2011 interest, dividends, miscellaneous income, gross proceeds or original issue discount is required to be reported to the IRS for this account, a Consolidated Form 1099 will be mailed to you no later than February 15, 2012, or a Form 1042S by March 15, 2012. The economic stimulus legislation (Public Law 110-343) enacted on October 3, 2008, may allow the extension of the 1099 mailing deadline generally from January 31 to February 15.

Please report any difference or non-receipt of checks or stocks, indicated as delivered to you, to Client Services at 800-634-1428, or write to Client Services at J.P. Morgan Clearing Corp., Three Chase Metrotech Center, Brooklyn, N.Y. 11245-0001

**SPC** This summary is for informational purposes only. It is not intended as a tax document. This statement should be retained for your records. See reverse side for important information.

CLEARED THROUGH ITS  
WHOLLY OWNED SUBSIDIARY  
J.P. Morgan Cleaning Corp.  
Three Chase Metrotech Center  
Brooklyn, New York 11245-0001

JANIS GBERMAN

STATEMENT BACKER IS PRINTED ON THIS PAGE

# J.P.Morgan

## J.P.Morgan Securities

OFFICE SERVICING YOUR ACCOUNT  
J.P. Morgan Securities LLC  
2029 Century Park East  
Suite 3700  
Los Angeles, CA 90067  
(310) 201-2600

CLEARED THROUGH ITS  
WHOLLY OWNED SUBSIDIARY  
J.P. Morgan Clearing Corp.  
Three Chase Metrotech Center  
Brooklyn, New York 11245-0001

JANIS G BERMAN

3 of 18

### Portfolio Value

	THIS PERIOD	LAST PERIOD
<b>Assets</b>		
Sweep Program/Money Mkt Fds	24,768.97	33,936.64
Equities	226,850.00	211,443.00
Mutual Funds	464,145.00	472,050.00
<b>Total Assets</b>	<b>\$715,763.97</b>	<b>\$717,429.64</b>
<b>NET PORTFOLIO VALUE</b>	<b>\$715,763.97</b>	<b>\$717,429.64</b>

### Realized Gain/Loss Summary

	THIS PERIOD	YEAR TO DATE
Short-Term Gain	0.00	941.81
Short-Term Loss	0.00	-3,393.52
Short-Term Wash Sale Adjustment	0.00	0.00
Short-Term Net Gain/Loss	0.00	-2,451.71
Long-Term Gain	0.00	10,679.56
Long-Term Loss	0.00	-3,772.89
Long-Term Wash Sale Adjustment	0.00	0.00
Long-Term Net Gain/Loss	0.00	6,906.67

Realized gain/loss information is provided for transactions in your account as of the trade date and excludes transactions where cost basis information has not been provided or is unavailable. Gain/loss calculations do not include adjustments for wash sales that may have occurred on the last business day of this statement period. These wash sale adjustments, if any, will be reflected on your next statement.

### Cash Flow Analysis

	THIS PERIOD	THIS YEAR
Opening Cash/Sweep Prog.	\$33,936.64	\$23,454.40
Securities Sold	20,929.94	238,153.85
Div/Int/Other Inc (Credit)	6,661.37	25,089.18
Sweep Program Div/Int	0.41	5.43
Sweep Program Received	0.00	18,626.19
Amount Credited	\$27,591.72	\$281,874.65
Securities Bought	-35,385.00	-227,113.81
Div/Int/Other Inc (Debit)	0.00	-174.44
Miscellaneous (Debit)	0.00	-9,241.77
Sweep Program Change	0.00	-18,972.44
Funds Paid/Delivered	-1,374.39	-25,057.62
Amount Debited	-\$36,759.39	-\$280,560.08
Net Cash/Sweep Prog. Act.	-9,167.67	1,314.57
Closing Cash/Sweep Prog.	\$24,768.97	\$24,768.97

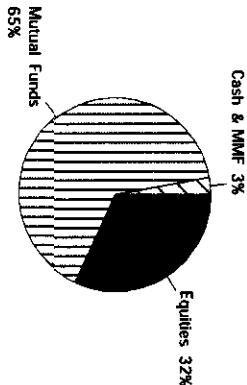
### Income Summary

	THIS PERIOD	YEAR TO DATE
Dividends	6,129.41	16,053.42
Other Dividends	532.37	6,500.27
Substitute Payment	0.00	1,052.00
<b>Total</b>	<b>\$6,661.78</b>	<b>\$23,605.69</b>

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### Your Portfolio Allocation



Unstated portions denote debt balance and/or short market values. The allocation percentage is derived from the absolute market value of your portfolio.

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### Your Portfolio Holdings

The total cost basis for each security position and the unrealized gain/loss are provided solely for your convenience and may not be used for tax purposes or otherwise relied upon. If you have questions related to tax consequences, please consult your tax advisor. Unrealized gain/loss total reflects only those positions for which a cost basis is available or has been provided to J.P. Morgan Clearing Corp. ("JPMCC"). Unless the tax basis provided relates to a position purchased on the books of JPMCC, JPMCC has not and cannot validate the basis provided. Information on this statement related to cost and gain/loss calculations does not include adjustments for wash sales that may have occurred on the last business day of this statement period. These wash sale adjustments, if any, will be reflected on your next statement.

### CASH & MONEY MARKET FUNDS

DESCRIPTION	TYPE	QUANTITY	PRICE	MARKET VALUE	COST	UNREALIZED GAIN/LOSS
JPMORGAN TR I PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMKX CUSIP: 100812007	CASH	24,768.97	1.00	24,769	24,769	

Subtotal of Cash & SweepMoneyMarketFund \$24,769 \$24,769 \$0

PRIMARY FUND-INLIQUIDATION SECURITY NUM: A000C5 THE RESERVE PRIMARY FUND WAS CONSOLIDATED INTO A SINGLE SHARE CLASS BY ITS LIQUIDATING AGENT CREDERIAN. TITLED "PRIMARY FUND IN LIQUIDATION" (SECURITY NUMBER A000C5).	CASH	36.17	Unpriced		36	N/A
--	------	-------	----------	--	----	-----

TOTAL CASH & MONEYMARKET FUNDS \$24,769 \$24,805 \$0

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### Your Portfolio Holdings (continued)

#### EQUITIES

#### Equities & Options

DESCRIPTION	ACCT TYPE	ACQUISITION DATE	QUANTITY	PRICE	MARKET VALUE	UNIT COST	COST	UNREALIZED GAIN/LOSS	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
ISHARES TRUST RUSSELL 2000 INDEX FD SYMBOL: IMM	CASH	05/08/09 10/06/09 04/28/10	303 117 126 60	73.75	22,346 8,629 9,292 4,425	59.08 50.97 60.16 72.61	17,900 5,963 7,580 4,357	4,446 2,665 LT 1,712 LT 68 LT	312	1.40
ISHARES TRUST RUSSELL 1000 INDEX FUND SYMBOL: IMB	CASH	09/18/09 10/06/09 02/11/11	431 159 139 133	69.37	29,898 11,030 9,642 9,226	63.18 59.17 58.05 73.34	27,232 9,409 8,069 9,754	2,666 1,621 LT 1,574 LT -528 ST	578	1.93
ISHARES TR RUSSELL MDCAP INDEX FD SYMBOL: IMR	CASH	05/08/09 10/06/09	206 132 74	98.42	20,275 12,992 7,283	70.18 65.85 77.91	14,458 8,692 5,765	5,817 4,300 LT 1,518 LT	321	1.58
ISHARES TRUST MSCI EAFE INDEX FUND SYMBOL: EFA	CASH	05/08/09 10/06/09 02/11/11	362 130 139 93	49.53	17,930 6,439 6,885 4,606	52.85 45.81 54.45 60.29	19,131 5,955 7,568 5,607	-1,201 484 LT -684 LT -1,001 ST	619	3.45
ISHARES TRUST BARCLAYS U.S. AGGR BOND FUND SYMBOL: ACG	CASH	03/26/07	443	110.25	48,841	100.46	44,505	4,336 LT	1,398	2.86
ISHARES TR DOW JONES SEL DIVID INDEX FD SYMBOL: DIV	CASH	11/28/11	700	53.77	37,639	50.55	35,385	2,254 ST	1,294	3.44
ISHARES TR BARCLAYS TREAS INFLATION PROTECTED SECS FD SYMBOL: TIP	CASH	03/26/07 06/27/08	238 136 102	116.69	27,772 15,870 11,902	104.08 101.38 107.67	24,770 13,788 10,982	3,002 2,082 LT 920 LT	1,139	4.10

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### Your Portfolio Holdings (continued)

#### Equities & Options (Continued)

DESCRIPTION	ACCT TYPE	ACQUISITION DATE	QUANTITY	PRICE	MARKET VALUE	UNIT COST	COST	UNREALIZED GAIN/LOSS	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
WISDOM TREE EMERGING MARKETS EQUITY INCOME FUND ETF	CASH	08/16/10	432	51.27	22,149	51.71	22,339	-190 LT	984	4.44
SYMBOL: DEM										
Total Equities & Options					\$226,850		\$205,720	\$21,130	\$6,645	
TOTAL EQUITIES					\$226,850		\$205,720	\$21,130	\$6,645	

#### MUTUAL FUNDS

A maximum of two tax lots per position will be reported in the mutual funds section. These will be the aggregate totals of the long-term holdings and the short-term holdings respectively. Funds tracked with the Average Cost methodology are denoted with an 'A' next to the Unit Cost number.

DESCRIPTION	ACCT TYPE	ACQUISITION DATE	QUANTITY	PRICE	MARKET VALUE	UNIT COST	COST	UNREALIZED GAIN/LOSS	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
INVESCO ENERGY FUND CLASS A	CASH		340.76	37.98	12,942	43.67	14,881	-1,939		
SYMBOL: IENAX										
BLACKROCK GLOBAL ALLOCATION FD INC CL A	CASH		3,354.341	18.16	60,915	18.27	61,284	-369 LT	1,164	1.91
SYMBOL: MDLOX										
BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	CASH		10,717.753	11.81	126,577	10.68	114,420	12,157 LT	5,627	4.45
SYMBOL: MECMX										
DOUBLELINE FDS TR TOTAL RETURN BD FD CL N	CASH		6,212.287	11.02	68,459	11.15	69,267	-808	5,622	8.21
SYMBOL: DLTXK										

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### Your Portfolio Holdings (continued)

#### MUTUAL FUNDS (continued)

DESCRIPTION	ACCT TYPE	ACQUISITION DATE	QUANTITY	PRICE	MARKET VALUE	UNIT COST	COST	UNREALIZED GAIN/LOSS	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
IVY FDS INC ASSET STRATEGY FD CL A SYMBOL: WASAX	CASH		2,357,754 1,615,022 742,732	22.26	52,484 35,951 16,533	22.81 21.76 25.11	53,785 35,135 18,650	-1,301 816 LT -2,117 ST	660	1.26
LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A SYMBOL: NEFTX	CASH		4,895,529 3,123,177 1,772,352	14.37	70,349 44,880 25,469	14.07 13.53 15.01	68,872 42,269 26,603	1,477 2,611 LT -1,134 ST	4,504	6.40
MATTHEWS PACIFIC TIGER FUND SYMBOL: MAPTX	CASH		1,057,86	20.33	21,506	17.57	18,581	2,925 LT	118	0.55
OPPENHEIMER DEVELOPING MARKETS FUND-CL A SYMBOL: ODMAX	CASH		813,492	29.32	23,852	21.79	17,727	6,125 LT	456	1.91
PERMANENT PORTFOLIO FUND INC SYMBOL: PRPRX	CASH		587,137	46.09	27,061	47.19	27,707	-646	247	0.91
TOTAL MUTUAL FUNDS					\$464,145		\$446,524	\$17,621	\$18,398	

YOUR PORTFOLIO HOLDINGS ESTIMATED ANNUAL INCOME	\$25,043
YOUR PRICED PORTFOLIO HOLDINGS	\$715,764

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### Transaction Detail

#### INVESTMENT ACTIVITY

SETTLEMENT DATE	TRADE DATE	TRANSACTION	DESCRIPTION	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT	TOTAL COST	REALIZED GAIN/LOSS
12/01/11	12/01/11	SOLD	ISHARES TRUST RUSSELL 1000 INDEX FUND	-67	66.20000		4,435.31	3,964.69	470.62
11/28/11	11/28/11		SOLICITED LT GAIN \$470.62 SYMBOL/CUSIP IMB						
12/01/11	12/01/11	SOLD	ISHARES TRUST BARCLAYS U S AGGR BOND FUND	-54	109.38000		5,906.40	5,424.95	481.45
11/28/11	11/28/11		SOLICITED LT GAIN \$481.45 SYMBOL/CUSIP AGG						
12/01/11	12/01/11	BOUGHT	ISHARES TR DOW JONES SEL DIVID INDEX FD	700	50.55000	35,385.00			
11/28/11	11/28/11		SOLICITED OFFERING MATERIALS ENCLOSED OR TO FOLLOW VIA E-MAIL FOR ONLINE DELIVERY OR VIA POSTAL SERVICE SYMBOL/CUSIP DRY						
12/01/11	12/01/11	SOLD	ISHARES TR BARCLAYS TREAS INFLATION PROTECTED SECS FD	-33	116.48000		3,843.76	3,345.54	498.22
11/28/11	11/28/11		SOLICITED LT GAIN \$498.22 SYMBOL/CUSIP TRP						

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### Transaction Detail (continued)

SETTLEMENT DATE	TRANSACTION	DESCRIPTION	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT	TOTAL COST	REALIZED GAIN/LOSS
12/01/11	SOLD	WISDOM TREE EMERGING MARKETS EQUITY INCOME FUND ETF	-135	49.96000		6,744.47	6,980.85	-236.38
11/28/11		SOLICITED						
		LT LOSS \$236.38						
		SYMBOL/CUSIP DEM						

### SECURITIESBOUGHT

\$-35,385.00

### SECURITIES SOLD

\$20,929.94

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### DIVIDENDS / INTEREST / OTHER INCOME

#### DIVIDENDS

DATE	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	RATE(S)	DEBIT AMOUNT	CREDIT AMOUNT
12/01/11	BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A	MECHX				532.37
	RECORD 00/00/00 PAY 11/30/11					
12/01/11	DOUBLELINE FDS TR	DLINX				461.05
	TOTAL RETURN BD FD CL N					
	RECORD 11/29/11 PAY 11/30/11					
12/01/11	PIMCO TOTAL RETURN FUND-CLA	PTAX				183.24
	RECORD 00/00/00 PAY 11/30/11					
12/01/11	ISHARES TRUST BARCLAYS U S AGGR BOND FUND	AGG	443	0.0837		37.10
	L/T CAP GNS 443 SHS					
	REC 12/05/11 PAY 12/07/11					

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### Transaction Detail (continued)

DIVIDENDS / INTEREST / OTHER INCOME (continued)

DIVIDENDS (Continued)

DATE	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	RATE(S)	DEBIT AMOUNT	CREDIT AMOUNT
12/07/11	ISHARES TRUST BARCLAYS U S AGGR BOND FUND REC 12/05/11 PAY 12/07/11	AGG	443	0.2424		107.39
12/07/11	ISHARES TRUST BARCLAYS U S AGGR BOND FUND S/T CAP GNS 443 SHS REC 12/05/11 PAY 12/07/11	AGG	443	0.2519		111.62
12/07/11	ISHARES TR BARCLAYS TREAS INFLATION PROTECTED SECS FD REC 12/05/11 PAY 12/07/11	TIP	238	0.2406		57.27
12/08/11	PERMANENT PORTFOLIO FUND INC LT CAP-GAIN DIV RECORD 12/06/11 PAY 12/07/11	PRPFX				176.14
12/08/11	PERMANENT PORTFOLIO FUND INC RECORD 12/06/11 PAY 12/07/11	PRPFX				246.60
12/09/11	IVY FDS INC ASSET STRATEGY FD CL A RECORD 12/07/11 PAY 12/08/11	WASAX				661.11
12/09/11	MATTHEWS PACIFIC TIGER FUND RECORD 12/07/11 PAY 12/08/11	MAPTX				118.12
12/09/11	MATTHEWS PACIFIC TIGER FUND LT CAP-GAIN DIV RECORD 12/07/11 PAY 12/08/11	MAPTX				349.78
12/12/11	OPPENHEIMER DEVELOPING MARKETS FUND-CL A RECORD 12/08/11 PAY 12/09/11	ODMAX				456.29
12/20/11	BLACKROCK GLOBAL ALLOCATION FD INC CL A RECORD 12/16/11 PAY 12/19/11	MDLOX				646.28

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### Transaction Detail (continued)

DIVIDENDS / INTEREST / OTHER INCOME (continued)

DIVIDENDS (Continued)

DATE	DESCRIPTION	SYMBOL/QUOTE	QUANTITY	RATE(\$)	DEBIT AMOUNT	CREDIT AMOUNT
12/20/11	BLACKROCK GLOBAL ALLOCATION FD INC CL A LT CAP-GAIN DIV RECORD 12/16/11 PAY 12/19/11	MDLOX				656.46
12/20/11	BLACKROCK CALIFORNIA MUNICIPAL BOND FUND INC CL A ST CAP-GAIN DIV RECORD 12/16/11 PAY 12/19/11	MECNK				4.84
12/21/11	LOOMIS SAYLES FDS II STRATEGIC INCOME FD CL A RECORD 12/19/11 PAY 12/20/11	NEFX				841.54
12/28/11	WISDOM TREE EMERGING MARKETS EQUITY INCOME FUND ETF REC 12/23/11 PAY 12/28/11	DEM	432	0.2495		107.80
12/29/11	ISHARES TRUST RUSSELL 2000 INDEX FD REC 12/27/11 PAY 12/29/11	IWM	303	0.3595		108.94
12/29/11	ISHARES TRUST RUSSELL 1000 INDEX FUND REC 12/27/11 PAY 12/29/11	IWB	431	0.4102		176.84
12/29/11	ISHARES TR RUSSELL MIDCAP INDEX FD REC 12/27/11 PAY 12/29/11	IWR	206	0.5068		104.41
12/29/11	ISHARES TRUST MSCI EAFE INDEX FUND REC 12/22/11 PAY 12/29/11	EFA	362	0.5692		206.06

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### Transaction Detail (continued)

DIVIDENDS / INTEREST / OTHER INCOME (continued)

DIVIDENDS (continued)

DATE	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	RATE(S)	DEBIT AMOUNT	CREDIT AMOUNT
12/29/11	ISHARES TR DOW JONES SEL DIVID INDEX FD REC 12/27/11 PAY 12/29/11	DVY	700	0.4430		310.12

TOTAL DIVIDENDS(CREDIT) **\$6,661.37**

### SWEEP PROGRAM ACTIVITY

DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
12/01/11	DIVIDEND	OPENING BALANCE		33,936.64			
12/01/11	DIVIDEND	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX MONTHLY DIVIDEND 11/01-11/3	100BV2007				0.41
12/01/11	REINVEST	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX MONTHLY DIVIDEND REINVESTED	100BV2007	0.41			0.41
12/01/11	FUND	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX INTRA-DAY REDEMPTION	100BV2007	-197.73			197.73
12/01/11	FUND	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX REDEMPTION REQUESTED	100BV2007	-14,455.06			14,455.06
12/07/11	FUND	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX INTRA-DAY PURCHASE	100BV2007	313.38			313.38

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### Transaction Detail (continued)

#### SWEEP PROGRAM ACTIVITY (Continued)

DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
12/08/11	FUND	PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX INTRA-DAY PURCHASE	100BV2007	422.74		422.74	
12/09/11	FUND	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX INTRA-DAY PURCHASE	100BV2007	1,129.01		1,129.01	
12/12/11	FUND	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX INTRA-DAY PURCHASE	100BV2007	456.29		456.29	
12/20/11	FUND	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX INTRA-DAY PURCHASE	100BV2007	1,307.58		1,307.58	
12/21/11	FUND	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX INTRA-DAY PURCHASE	100BV2007	841.54		841.54	
12/28/11	FUND	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX INTRA-DAY PURCHASE	100BV2007	107.80		107.80	
12/29/11	FUND	JPMORGAN TRI PRIME MONEY MKT FD AGY CL SECURITY SYMBOL IS VMXX INTRA-DAY PURCHASE	100BV2007	906.37		906.37	
12/30/11		CLOSING BALANCE		24,768.97			
SWEEP PROGRAM DIVINT							\$0.41
NET SWEEPING ACTIVITY				-9,167.67		\$-5,485.12	\$14,652.79

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WHOLLY OWNED SUBSIDIARY  
J.P. Morgan Clearing Corp.  
Three Chase Metrotech Center  
Brooklyn, New York 11245-0001

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### Transaction Detail (continued)

#### FUNDS PAID / DELIVERED

DATE CLEARED	TRANSACTION DATE	DESCRIPTION	TRANSACTION TYPE	REFERENCE NUMBER	DEBIT AMOUNT
12/01/11	12/01/11	ACH BANK TRF 322271627 876-306777-1 000000001 0000000858	FND WIRED		1,374.39
TOTAL FUNDS PAID / DELIVERED					\$1,374.39

### Your messages



#### Important Information For Clients Holding Restricted Securities:

Restricted Securities (typically noted as "Restricted" or "RSTD" in the security description) have not been registered under the Securities Act of 1933 and may not be "freely traded." Since restricted securities are subject to certain restrictions which may render them illiquid or less liquid than freely-tradeable shares, there can be no assurance a secondary market exists. While we typically use the value of the registered/unrestricted security of the same issuer and same class for statement (and other) reporting purposes, the price realizable in a sale of the securities may be less than the "Market Value" indicated and could be zero. No attempt has been made to independently value the specific security subject to its restriction. Additionally, inclusion of pricing of these holdings will result in the aggregated value of your portfolio as reflected on this report being overstated by an amount equal to the difference (if any) between the value of the freely-traded underlying security and the actual value of your restricted shares. For additional information on pricing, please see "Market Prices" on the back of your account statement.



As part of the Financial Industry Regulatory Authority (FINRA) Investor Education Program, you may obtain information on FINRA's Public Disclosure Program by contacting FINRA at telephone number (800) 289-9999 or via the internet address which is [www.finra.org](http://www.finra.org). In addition, a brochure explaining the Public Disclosure Program is available from FINRA upon request.

# J.P.Morgan

## J.P.Morgan Securities

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### Your messages (continued)



#### Important Notice for Account Holders who Trade Options.

Effective January 3, 2012, The NASDAQ Options Market ("NOM") has implemented an Option Regulatory Fee ("the fee"). This fee is similar to the fee currently in place at the various options exchanges including the Chicago Board Options Exchange, International Securities Exchange, NASDAQ OMX PHLX, and Boston Options Exchange.

The NOM fee is set at \$0.0015 per contract on all customer buy and sell option transactions that are cleared by an OCC member that is a NOM participant. If the customer is not a NOM participant, the ORF will be assessed only on contracts executed on NOM. The fee is assessed to the broker on the trade and, as permitted in the NOM implementation, the fee is being passed-through to account-holders as part of the costs associated with processing individual option trades. The fee will appear on trade confirmations for options trades, identified as "Options Fee". It is anticipated this change in the confirmation will be included starting in or about January 2012.

Also effective January 3, 2012, the NASDAQ OMX PHLX ("PHLX") will increase the ORF from \$0.0035 to \$0.0040 per contract.

Please contact your financial advisor with any questions regarding this fee.



As you may know, the U.S. Securities and Exchange Commission ("SEC") recently adopted Rule 13h-1 Large Trader Reporting System and related Form 13H under Section 13(h) of the Securities Exchange Act of 1934. The Rule requires U.S. and non-U.S. market participants who meet the definition of "Large Trader" as of October 3, 2011 to:

- (i) File an electronic Form 13H with the SEC by December 1, 2011 (via EDGAR) to obtain a large trader identification number (LTID); and
- (ii) By April 30, 2012, disclose to U.S. broker-dealers that execute trades or carry accounts for the Large Trader, their LTIDs and the accounts to which the LTIDs apply.

\*A "Large Trader" is a legal entity or natural person who, directly or indirectly, through the exercise of investment discretion, effects transactions in NMS securities that equal or exceed either: (i) 2 million shares or \$20 million during any calendar day; OR (ii) 20 million shares or \$200 million over any calendar month.

If you are a "Large Trader" and have completed a Form 13H, you will receive an LTID from the SEC. If J.P. Morgan Securities LLC ("JPMS") or J.P. Morgan Clearing Corp. ("JPMC") is among your U.S. executing or clearing broker-dealers, please complete the J.P. Morgan Client LTID Disclosure Form (available at

<http://www.jpmorgan.com/pages/disclosures>) after you receive your LTID and return it via e-mail to: [ib.large.trader.id@jpmchase.com](mailto:ib.large.trader.id@jpmchase.com). Please provide your response by January 31, 2012, if possible.

If you have any questions, please contact your J.P. Morgan sales representative.

STATEMENT PERIOD	December 1, 2011
THROUGH	December 30, 2011
ACCOUNT NUMBER	[REDACTED]
TAXPAYER NUMBER	On File
LAST STATEMENT	November 30, 2011

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### Your messages (continued)

#### Rule 5320 - Prohibition Against Trading Ahead of Customer Orders

FINRA Rule 5320 generally prohibits member firms that accept and hold customer orders from trading for their own account at terms that would satisfy customer orders, unless the member immediately thereafter executes customer orders at the same or better price than it traded for its own account. Described below are certain exceptions to the Rule and an explanation of how J.P. Morgan Securities LLC (JPMS) will handle those exceptions. Please note that consistent with regulatory guidance, not-held orders are outside the scope of the Rule.

Large orders (orders of 10,000 or more shares with a total value of \$100,000 or more) and orders executed on behalf of institutional accounts are accepted from the requirements of Rule 5320. JPMS will generally work such orders in accordance with customer instructions. While working such orders, JPMS may trade for its own account at prices that would satisfy the customer order.

 You are advised to promptly report any inaccuracy or discrepancy in your account to your broker and J.P. Morgan Clearing Corp. ("JPMCC") at the telephone numbers listed on this statement. In order to protect your rights, including any rights under the Securities Investor Protection Act ("SIPA"), any such communications should be reconfirmed in writing to your broker and JPMCC at the addresses which appear on the front of this statement.



In addition, if a firm implements and utilizes an effective system of internal controls, Rule 5320 permits the respective separate units to trade independent of one another for purposes of the Rule. JPMS maintains Rule 5320 internal controls known as information barriers between its trading units. The information barriers are designed to prevent one trading unit from having knowledge of customer orders held by a different trading unit. With these barriers in place, one trading unit may hold a customer order while another trading unit, including the market making trading unit, executes an order for a firm account that would satisfy the customer order.

Clients with questions or who object to the manner in which JPMS handles orders should contact their JPMS Financial Advisor.



#### Compensation Received in Connection With Mutual Fund Transactions.

Advisers, distributors or other affiliates of certain mutual funds (which include money market and non-money market funds) may enter into arrangements to pay brokers that distribute their shares for administrative, technological or other services, including marketing and other support services provided to such funds or their affiliates. These fees, commonly referred to as "revenue sharing," are separate from and in addition to any shareholder servicing or distribution fees that a mutual fund pays out of its own assets pursuant to its Rule 12b-1 plan and other expenses which are described in a fund's prospectus fee table. Revenue sharing fees are paid out of the assets of the fund affiliate and not from the fund's assets and, therefore, have no impact on a fund's expense ratio or yield.



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### Your messages (continued)



With respect to money market funds, J.P. Morgan Clearing Corp. ("JPMCC") negotiates revenue sharing payments separately with each fund family and not all fund families pay the same amount or pay according to the same formula. These payments are calculated based on a percentage of the dollar value of the fund assets held by JPMCC in customer accounts. Pursuant to agreements with the various fund families, JPMCC may receive up to 0.49% per year of the average daily assets of fund shares carried in customers' accounts at JPMCC. Please note, however, that the actual amount received by JPMCC is subject to periodic waivers by fund families and such waivers may significantly reduce the actual amount received by JPMCC. Money market funds whose affiliates do not make revenue sharing payments to JPMCC are generally not offered or recommended by JPMCC to its customers. These money market funds may in some cases have higher yields than money market funds whose affiliates do make revenue sharing payments. There is, therefore, a potential conflict of interest in the form of an additional financial incentive to J.P. Morgan for making available to customers money market funds whose affiliates enter into revenue sharing arrangements. In certain circumstances, a portion of these revenue sharing payments may be passed on as compensation to certain J.P. Morgan Securities Financial Advisors.



With respect to non-money market funds, JPMCC has entered into an arrangement with a financial institution to provide administrative and clearing services. This service provider has distribution or servicing arrangements directly with fund companies, pursuant to which the service provider receives compensation from the fund companies of generally up to 0.45% per year of the average assets of domestic fund shares held by the service provider. Pursuant to its arrangement with JPMCC, the service provider will remit to JPMCC, in an aggregated amount, all of the payments it receives from fund families with respect to non-money fund shares carried in accounts at JPMCC. Since these payments are made on an aggregate basis, JPMCC cannot determine the amount a particular fund company pays or whether all or a portion of any such payment includes revenue sharing from the fund's adviser, distributor or other affiliate. JPMCC does not pay its J.P. Morgan Securities Financial Advisors different amounts based on the payments it receives from the service provider and has not identified any other conflicts of interest that may result from its arrangement with the service provider.

STATEMENT PERIOD December 1, 2011  
THROUGH December 30, 2011

ACCOUNT NUMBER

TAXPAYER NUMBER

On File

LAST STATEMENT November 30, 2011

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### Your messages (continued)



The prospectus and statement of additional information of mutual funds available through J.P. Morgan may contain additional information regarding revenue sharing payments made by affiliates of the fund companies.



Important Information Regarding Auction Rate Securities (ARS). ARS are debt or preferred securities with an interest or dividend rate reset periodically in an auction. Although there may be daily, weekly and monthly resets, there is no guarantee that there will be liquidity. If there are not enough bids at an auction to redeem the securities available for sale, the result may be a failed auction. In the event of a failed auction, there is no assurance that a secondary market will develop or that the security will trade at par or any other price reflected on statements. Accordingly, investors should not rely on pricing information appearing in their statements with respect to ARS. Where J.P. Morgan Clearing Corp. was unable to obtain a price from an outside service for a particular ARS, the price column on your statement will indicate "unpriced."



Please contact your Financial Advisor if there have been any changes in your financial situation or investment objectives, or if you wish to impose any reasonable restrictions on the management of your account or reasonably modify existing restrictions.

A current copy of the applicable J.P. Morgan Securities Form ADV Wrap Fee Program Brochure(s) is available upon request. Please contact your Financial Advisor for a free copy.

\*\*\*\*\* End of Statement \*\*\*\*\*

