

# UNITED STATES HOUSE OF REPRESENTATIVES 2013 FINANCIAL DISCLOSURE STATEMENT

Form A  
For Use by Members, Officers, and Employees

**HAND  
DELIVERED**  
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LEGISLATIVE RESOURCE CENTER

2014 AUG 13 PM 4: 03

OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

Name: Nick Joe Rahall, II

Daytime Telephone: 202-225-3452

FILER STATUS	<input checked="" type="checkbox"/> Member of or Candidate for U.S. House of Representatives	State: <u>WV</u> District: <u>3rd</u>	<input type="checkbox"/> Officer or Employee	Employing Office: _____
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REPORT TYPE	<input checked="" type="checkbox"/> 2013 Annual (Due: May 15, 2014)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination Date: _____
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## PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

A. Did you, your spouse, or your dependent child: a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? <u>or</u> b. Make more than \$200 in unearned income from any reportable asset during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
B. Did you, your spouse, or your dependent child purchase, sell, or exchange any securities or reportable real estate in a transaction exceeding \$1,000 during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	G. Did you, your spouse, or your dependent child receive any reportable gifts totaling more than \$350 in value from a single source during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	H. Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than \$350 in value from a single source during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	I. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"	

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

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

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**Use additional sheets if more space is required.**

# **SCHEDULE A – ASSETS & “UNEARNED INCOME”**

Name: **Nick Joe Rahall, II**

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction			
SP, DC, JT	ASSET NAME	BF	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	REIT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, S(part), or E		
	Hilton Head, SC				X													X						X													
	Timeshare Property - 2 week peak season																																				
	Wells Fargo Advisors Account - See Attachment #1									X								X	X																		
	5.38% Interest SNI				X																																
	Development Company Partnership - Real Estate Rental, NY																																				
	2.80% Interest Cambridge Heights Apts Partnership- Real Estate Rental, MS																																				

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

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BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source	Value of Asset	Type of Income	Amount of Income	Transaction
P.S. (Spouse) or E JT	A None B \$1-\$7,000 C \$1,001-\$15,000 D \$16,001-\$50,000 E \$50,001-\$100,000 F \$100,001-\$250,000 G \$250,001-\$500,000 H \$500,001-\$1,000,000 I \$1,000,001-\$5,000,000 J \$5,000,001-\$25,000,000 K \$25,000,001-\$50,000,000 L Over \$50,000,000 M Spouse/DC Asset over \$1,000,000*	NONE DIVIDENDS RENT INTEREST CAPITAL GAINS EXCEPTED BLIND TRUST TAX DEFERRED Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None II \$1-\$200 III \$201-\$1,000 IV \$1,001-\$2,500 V \$2,501-\$5,000 VI \$5,001-\$15,000 VII \$15,001-\$50,000 VIII \$50,001-\$100,000 IX \$100,001-\$180,000 X \$180,001-\$1,000,000 XI \$1,000,001-\$5,000,000 XII Over \$5,000,000 Spouse/DC Asset with income over \$1,000,000*	P S (Spouse), or E Attachment #8 & #9
ASSET NAME	EF	JT	X	S
Nick Rahall Charitable Remainder Unit Trust (5% Unitrust Interest) - See Attachment #4				
Tracts - Samson Co.	X Sold 2/22/13			
Honeycuts Township, Salemburg, NC				
006449% interest SB Partners Limited Partnership - Real Estate Rental FL MO SC MN & PA	X	Partnership	X	

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**Use additional sheets if more space is required.**



# SCHEDULE B - TRANSACTIONS

Name: Nick Joe Rahall, II

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SP, DC, JT		Type of Transaction				Check Box if Capital Gain Exceeded \$200	Date (MO/DA/YR) or Quarterly, Monthly, or Bi-weekly, if applicable	Amount of Transaction									
SP	Example	Purchase	Sale	Partial Sale	Exchange			A	B	C	D	E	F	G	H	I	J
	Wells Fargo Advisors Account - See Attachment #6		X			X	See Attached				X						
	Wells Fargo Advisors Account - See Attachment #6	X				N/A	See Attached		X								
	Wells Fargo SEP IRA - See See Attachment #7		X			X	See Attached		X								
	Wells Fargo SEP IRA - See See Attachment #7					N/A	See Attached	X									
	Wells Fargo Advisors NUR Charitable			X		X	See Attached			X							
	Remainder Unit Trust - See Attachment #8						See Attached										
	Wells Fargo Advisors NUR Charitable	X				N/A	See Attached			X							
	Remainder Unit Trust - See Attachment #9						Attached										

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**Use additional sheets if more space is required.**



# **SCHEDULE D – LIABILITIES**

Name: **Nick Joe Rahall, II**

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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 your dependent child. Mark the highest amount owed during the reporting period. **Members:** Members are required to report all liabilities secured by real property including mortgages on their personal residence. **Exclude:** Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a *revolving charge account* (i.e., credit card) only if the balance at the close of reporting period exceeded \$10,000. \*Column K is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A \$0-\$15,000	B \$15,001-\$50,000	C \$50,001-\$100,000	D \$100,001-\$250,000	E \$250,001-\$500,000	F \$500,001-\$1,000,000	G \$1,000,001-\$5,000,000	H \$5,000,001-\$25,000,000	I \$25,000,001-\$50,000,000	J Over \$50,000,000	K Over \$1,000,000 (Spouse or Dependent Liability)
Example	First Bank of Wilmington, DE	5/98	Mortgage on Rental Property, Dover, DE				X							
	Bank of America	12/13	Credit Charges		X									
	Chase Home Finance LLC	06/01	Mortgage on 3533 Marathon				X							
	Columbus, OH		Avenue, Castle Hayne, NC											

# **SCHEDULE E – POSITIONS**

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

Position	Name of Organization
Vice President & Secretary (Uncompensated)	EGR Industries, Inc.
Member (Uncompensated)	Professional Advisory Board of ALSAC/St. Jude's Children's Research Hospital
Member (Uncompensated)	American Task Force for Lebanon Board of Directors
Partner (Uncompensated)	Atlantic Equine Services, LLC (Family Partnership)

# **SCHEDULE D - LIABILITIES**

Name: **Nick Joe Rahall, II**

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SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A	B	C	D	E	F	G	H	I	J	K
	Example First Bank of Wilmington, DE	5/98	Mortgage on Rental Property, Dover, DE	\$10,001- \$15,000	\$15,001- \$50,000	\$50,001- \$100,000	\$100,001- \$250,000	\$250,001- \$500,000	\$500,001- \$1,000,000	\$1,000,001- \$5,000,000	\$5,000,001- \$25,000,000	\$25,000,001- \$50,000,000	Over \$50,000,000	Over \$1,000,000 (Spouse/DC Liability)
	American Express	12/13	Credit Charges		X									
	Chase #2130	12/13	Credit Charges	X										
	Discover	12/13	Credit Charges	X										

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Position	Name of Organization

# **SCHEDULE D - LIABILITIES**

Name: **Nick Joe Rahall, II**

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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 your dependent child. Mark the highest amount owed during the reporting period. **Members:** Members are required to report all liabilities secured by real property including mortgages on their personal residence. **Exclude:** Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of reporting period exceeded \$10,000. \*Column K is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A \$0-\$10,000	B \$10,001-\$15,000	C \$15,001-\$50,000	D \$50,001-\$100,000	E \$100,001-\$250,000	F \$250,001-\$500,000	G \$500,001-\$1,000,000	H \$1,000,001-\$5,000,000	I \$5,000,001-\$25,000,000	J \$25,000,001-\$50,000,000	K Over \$50,000,000 (Spouse/DC Liability)
Example	First Bank of Wilmington, DE	5/98	Mortgage on Rental Property, Dover, DE				X							
	Morgan Stanley, Ft. Worth, TX	01/07	Home Equity Loan on personal residence at Beckley, WV					X						
	Quicken Loans, Inc. (Formerly GMAC Mortgage), Detroit, MI	10/06	Mortgage on Washington, DC personal residence						X					

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Position	Name of Organization

# **SCHEDULE D - LIABILITIES**

Name: **Nick Joe Rahall, II**

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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 your dependent child. Mark the highest amount owed during the reporting period. **Members:** Members are required to report all liabilities secured by real property including mortgages on their personal residence. **Exclude:** Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of reporting period exceeded \$10,000. \*Column K is for liabilities held solely by your spouse or dependent child.

SP DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A \$10,001- \$15,000	B \$15,001- \$50,000	C \$50,001- \$100,000	D \$100,001- \$250,000	E \$250,001- \$500,000	F \$500,001- \$1,000,000	G \$1,000,001- \$5,000,000	H \$5,000,001- \$25,000,000	I \$25,000,001- \$50,000,000	J Over \$50,000,000	K Over \$1,000,000- Spouse/DC (Only)
Example	First Bank of Wilmington, DE	5/99	Mortgage on Rental Property, Dover, DE				X							
	Citi Cards	12/13	Credit Charges		X									

# **SCHEDULE E - POSITIONS**

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

Position	Name of Organization



# SNAPSHOT

NICK JOE RAHALL II

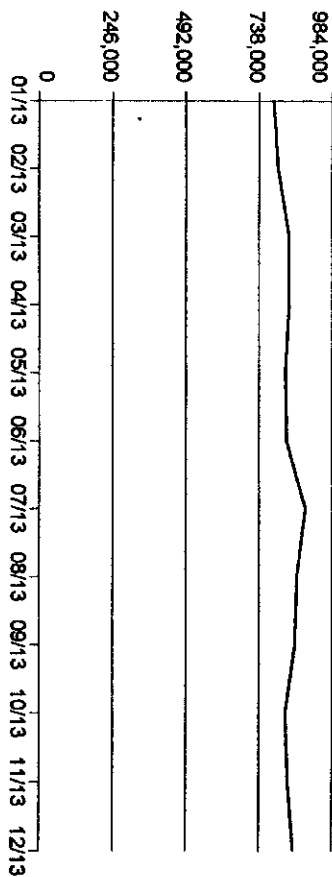
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DECEMBER 1 - DECEMBER 31, 2013

## Progress summary

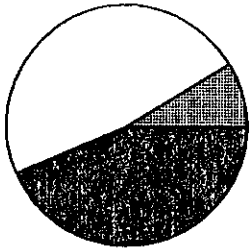
	THIS PERIOD	THIS YEAR
Opening value	\$833,326.40	\$778,964.03
Cash deposited	22,500.00	100,303.46
Securities deposited	0.00	0.00
Cash withdrawn	0.00	-115,000.00
Securities withdrawn	0.00	0.00
Income earned	1,447.59	9,451.27
Change in value	-4,914.00	78,641.23
Closing value	\$852,359.99	\$852,359.99

## Value over time



## Portfolio summary

CURRENT



### ASSETS



ASSET TYPE	Asset value	PREVIOUS VALUE ON NOV 30	%	CURRENT VALUE ON DEC 31	%	ESTIMATED ANN. INCOME
Cash and sweep balances	\$833,326.40	346,650.40	41.60	370,597.99	43.48	37
Stocks, options & ETFs		413,398.00	49.61	408,418.00	47.92	10,294
Fixed income securities		73,278.00	8.79	73,344.00	8.60	0
Mutual funds		0.00	0.00	0.00	0.00	0
Asset value	\$833,326.40		100%	\$852,359.99	100%	\$10,331

DECEMBER 1 - DECEMBER 31, 2013

## Additional information

Gross proceeds	THIS PERIOD 0.00	THIS YEAR 117,032.30
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## Portfolio detail

## Cash and Sweep Balances

Sweep Balances - You have the right, in the course of normal business operations, to withdraw balances in the Bank Deposit Sweep or redeem shares of the money market mutual fund, used in the sweep, subject to any open commitments in any of your accounts and have the proceeds returned to your accounts or remitted to you. Note, however, that as required by federal banking regulations, the banks in the Bank Deposit Sweep reserve the right to require seven days prior notice before permitting a transfer out of the Bank Deposit Sweep. In addition, the money market mutual funds in the sweep reserve the right to require one or more day's prior notice before permitting withdrawals.

Bank Deposit Sweep - Consists of monies held at Wells Fargo Bank, N.A. and (if amounts exceed \$250,000) at one or more other Wells Fargo affiliated banks. These assets are not covered by SIPC, but are instead eligible for FDIC insurance of up to \$250,000 per depositor, per institution, in accordance with FDIC rules. For additional information on the Bank Deposit Sweep for your account, please contact Your Financial Advisor.

DESCRIPTION	ACCOUNT	% OF ACCOUNT	ANNUAL PERCENTAGE YIELD EARNED*	CURRENT MARKET VALUE	ESTIMATED ANNUAL INCOME
BANK DEPOSIT SWEEP		43.48	0.01	370,597.99	37.05
Interest Period 12/01/13 - 12/31/13					
<b>Total Cash and Sweep Balances</b>		<b>43.48</b>		<b>\$370,597.99</b>	<b>\$37.05</b>

\* APY\* measures the total amount of the interest paid on an account based on the interest rate and the frequency of the compounding during the interest period. The annual percentage yield earned is expressed as an annualized rate, based on a 365 day year.

## Stocks, options &amp; ETFs

## Stocks and ETFs

DESCRIPTION	ACCOUNT	% OF ACCOUNT	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED	
									ANNUAL INCOME	ANNUAL YIELD (%)
AMGEN INC										
Acquired 01/01/01 L nc		18.07	1,350	63.94	86,319.00	114.0800	154,008.00	67,689.00	3,294.00	2.13
MCDONALDS CORP										
Acquired 08/22/94 L nc		11.38	1,000	13.18	13,352.58	97.0300	97,030.00	83,677.42	3,240.00	3.33







NICK JOE RAHALL II

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DECEMBER 1 - DECEMBER 31, 2013

## Stocks, options & ETFs

### Stocks and ETFs continued

DESCRIPTION	% OF ACCOUNT	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED	
								ANNUAL INCOME	ANNUAL YIELD (%)
WAL-MART STORES INC									
WMT									
Acquired 01/15/85 L nc	18.46	2,000	1.27	2,587.37	78.6900	157,380.00	154,792.63	3,760.00	2.38
Total Stocks and ETFs	47.92			\$102,258.95		\$408,418.00	\$306,159.05	\$10,294.00	2.52
Total Stocks, options & ETFs	47.92			\$102,258.95		\$408,418.00	\$306,159.05	\$10,294.00	2.52

nc Cost information for this tax lot is not covered by IRS reporting requirements. Unless indicated, cost for all other lots will be reported to the IRS.

## Fixed Income Securities

Corporate and municipal bonds and other fixed income securities are priced by a computerized pricing service or, for less actively traded issues, by utilizing a yield-based matrix system to arrive at an estimated market value.

### Municipal Bonds

DESCRIPTION	% OF ACCOUNT	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED		
								ACCRUED INTEREST	ANNUAL INCOME	ANNUAL YIELD (%)
KANAWHA PUTNAM CNTY										
HUNTINGTON CHARLESTON WV										
S/F MTG 84A OY=11.5%										
CPN 0.000% DUE 12/01/16										
DTD 09/19/84										
Moody AAA , S&P NR										
CUSIP 483686BF7										
Acquired 01/15/96 L nc		50,000	84.54	42,271.83		48,896.00	6,624.17			
			31.25	15,628.00						
			84.33	21,084.35		24,448.00	3,363.65			
Acquired 05/23/96 L nc		25,000	30.93	7,734.25						
Total	8.60	75,000		\$63,356.18	97.7920	\$73,344.00	\$9,987.82	N/A	N/A	
				\$23,362.25						
Total Municipal Bonds	8.60	75,000		\$63,356.18		\$73,344.00	\$9,987.82			
				\$23,362.25						
Total Fixed Income Securities	8.60			\$63,356.18		\$73,344.00	\$9,987.82			
				\$23,362.25						

nc Cost information for this tax lot is not covered by IRS reporting requirements. Unless indicated, cost for all other lots will be reported to the IRS.



# SNAPSHOT

MELINDA ROSS (IRA)  
FCC AS CUSTODIAN

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OCTOBER 1 - DECEMBER 31, 2013

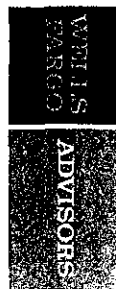
## Progress summary

	THIS PERIOD	THIS YEAR
Opening value	\$17,477.59	\$15,713.08
Cash deposited	0.00	0.00
Securities deposited	0.00	0.00
Cash withdrawn	0.00	0.00
Securities withdrawn	0.00	0.00
Income earned	151.43	324.91
Change in value	1,339.41	2,930.44
Closing value	\$18,968.43	\$18,968.43

As a Wells Fargo Advisors Client, you can easily simplify your finances by combining all your investing and banking into a single, easy-to-manage relationship. By upgrading to the Command Asset Program, you'll have access to many more features and benefits to help you manage your finances. You'll see all your investing and banking activity on one comprehensive monthly statement. It's as simple as talking with Your Financial Advisor. Ask them today about the Command Asset Program.

## Portfolio summary

ASSET TYPE	PREVIOUS VALUE ON SEP 30	%	CURRENT VALUE ON DEC 31	%	ESTIMATED ANN. INCOME
<b>ASSETS</b>					
Cash and sweep balances	330.06	1.89	387.98	2.05	0
Stocks, options & ETFs	7,874.91	45.06	8,604.42	45.36	231
Fixed income securities	0.00	0.00	0.00	0.00	0
Mutual funds	9,272.62	53.05	9,976.03	52.59	57
<b>Asset value</b>	<b>\$17,477.59</b>	<b>100%</b>	<b>\$18,968.43</b>	<b>100%</b>	<b>\$288</b>



MELINDA ROSS (IRA)  
FCC AS CUSTODIAN

OCTOBER 1 - DECEMBER 31, 2013

## Portfolio detail

### Cash and Sweep Balances

Cash Balances - You have the right, in the course of normal business operations, to withdraw balances in the Bank Deposit Sweep or redeem shares of the money market mutual fund used in the sweep, subject to any open commitments in any of your accounts and have the proceeds returned to your accounts or remitted to you. Note, however, that as required by federal banking regulations, the banks in the Bank Deposit Sweep reserve the right to require seven days prior notice before permitting a transfer out of the Bank Deposit Sweep. In addition, the money market mutual funds in the sweep reserve the right to require one or more days prior notice before permitting withdrawals.

Bank Deposit Sweep - Consists of monies held at Wells Fargo Bank, N.A. and (if amounts exceed \$250,000) at one or more other Wells Fargo affiliated banks. These assets are not covered by SIPC, but are instead eligible for FDIC insurance of up to \$250,000 per depositor, per institution, in accordance with FDIC rules. For additional information on the Bank Deposit Sweep for your account, please contact Your Financial Advisor.

DESCRIPTION	ANNUAL PERCENTAGE YIELD EARNED*	CURRENT MARKET VALUE	ESTIMATED ANNUAL INCOME
BANK DEPOSIT SWEEP	0.00	387.98	0.00
Interest Period 12/01/13 - 12/31/13			

Total Cash and Sweep Balances

\* APYE measures the total amount of the interest paid on an account based on the interest rate and the frequency of the compounding during the interest period. The annual percentage yield earned is expressed as an annualized rate, based on a 365 day year.

### Stocks, options & ETFs

#### Stocks and ETFs

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED	
							ANNUAL INCOME	ANNUAL YIELD (%)
BEAM INC BEAM								
Acquired 11/09/11	75	49.19	3,714.25	68.0600	5,104.50	1,390.25	67.50	1.32
BP PLC SPONS ADR BP								
Acquired 05/31/12	72	36.71	2,678.12	48.6100	3,499.92	821.80	164.16	4.69
Total Stocks and ETFs			\$6,392.37		\$8,604.42	\$2,212.05	\$231.66	2.69
Total Stocks, options & ETFs			\$6,392.37		\$8,604.42	\$2,212.05	\$231.66	2.69

MELINDA ROSS (IRA)  
FCC AS CUSTODIAN

OCTOBER 1 - DECEMBER 31, 2013

## Mutual Funds

If a portion of your fund position was converted, the 'Client Investment' value may include reinvestments from previously held positions.

### Open End Mutual Funds

Open End Mutual Fund shares are priced at net asset value. Estimated Annual Income and Yield refer to Dividends and Interest Income only, and typically do not reflect Total return.

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED	
							ANNUAL INCOME	ANNUAL YIELD (%)
<b>FRANKLIN TEMPLETON FD ALLOCATOR SER COREFOLIO ALLOCN FD CL C FTCLX</b>								
Acquired 12/17/10 nc Reinvestments m	273.56900 2.78100	12.24 13.66	3,348.48 38.00		4,771.04 48.50	1,422.56 10.50		
<b>Total</b>	<b>276.35000</b>		<b>\$3,386.48</b>	<b>17.4400</b>	<b>\$4,819.54</b>	<b>\$1,433.06</b>	<b>\$14.72</b>	<b>0.31</b>
<b>JOHN HANCOCK II LIFESTYLE GROWTH FUND CL-C</b>								
Acquired 03/27/07 nc Reinvestments m	266.13400 53.74800	15.03 11.65	4,007.50 626.47		4,290.07 866.42	282.57 239.95		
<b>Total</b>	<b>319.88200</b>		<b>\$4,633.97</b>	<b>16.1200</b>	<b>\$5,156.49</b>	<b>\$522.52</b>	<b>\$42.54</b>	<b>0.82</b>
<b>Client Investment (Excluding Reinvestments)</b>								
<b>Gain/Loss on Client Investment (Including Reinvestments)</b>								
<b>Total Open End Mutual Funds</b>			<b>\$8,020.45</b>		<b>\$9,976.03</b>	<b>\$1,955.58</b>	<b>\$57.26</b>	<b>0.57</b>
<b>Total Mutual Funds</b>			<b>\$8,020.45</b>		<b>\$9,976.03</b>	<b>\$1,955.58</b>	<b>\$57.26</b>	<b>0.57</b>

m This security contains multiple tax lots that may or may not include cost information that is reportable to the IRS.  
nc Cost information for this tax lot is not covered by IRS reporting requirements. Unless indicated, cost for all other lots will be reported to the IRS.

ADVISORS

# SNAPSHOT

NICK JOE RAHALL (SEP IRA)  
FCC AS CUSTODIAN

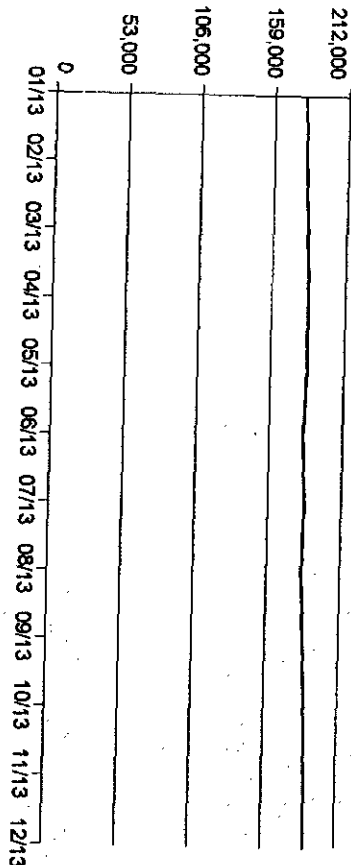
Page 1 of 9

DECEMBER 1 - DECEMBER 31, 2013

## Progress summary

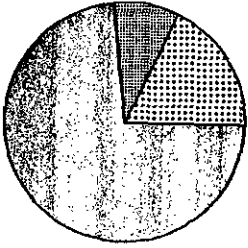
	THIS PERIOD	THIS YEAR
Opening value	\$189,334.11	\$180,024.83
Cash deposited	0.00	0.00
Securities deposited	0.00	0.00
Cash withdrawn	0.00	0.00
Securities withdrawn	0.00	0.00
Income earned	2,265.49	4,432.73
Change in value	-1,666.33	5,475.71
Closing value	\$189,933.27	\$189,933.27

## Value over time



## Portfolio summary

CURRENT



ASSETS



ASSET TYPE	PREVIOUS VALUE ON NOV 30	%	CURRENT VALUE ON DEC 31	%	ESTIMATED ANN. INCOME
Cash and sweep balances	139,011.80	73.42	139,012.98	73.19	13
Stocks, options & ETFs	0.00	0.00	0.00	0.00	0
Fixed income securities	16,954.20	8.95	16,717.97	8.80	1,203
Mutual funds	33,368.11	17.62	34,202.32	18.01	231
<b>Asset value</b>	<b>\$189,334.11</b>	<b>100%</b>	<b>\$189,933.27</b>	<b>100%</b>	<b>\$1,447</b>

NICK JOE RAHALL (SEP IRA)  
FCC AS CUSTODIAN

DECEMBER 1 - DECEMBER 31, 2013

## Additional information

Accrued interest on sales

THIS PERIOD	THIS YEAR	Gross proceeds	THIS PERIOD	THIS YEAR
0.00	89.38		0.00	31,578.43

## Portfolio detail

### Cash and Sweep Balances

Sweep Balances - You have the right, in the course of normal business operations, to withdraw balances in the Bank Deposit Sweep or redeem shares of the money market mutual fund used in the sweep, subject to any open commitments in any of your accounts and have the proceeds returned to your accounts or remitted to you. Note, however, that as required by federal banking regulations, the banks in the Bank Deposit Sweep reserve the right to require seven days prior notice before permitting a transfer out of the Bank Deposit Sweep. In addition, the money market mutual funds in the sweep reserve the right to require one or more day's prior notice before permitting withdrawals.

Bank Deposit Sweep - Consists of monies held at Wells Fargo Bank, N.A. and (if amounts exceed \$250,000) at one or more other Wells Fargo affiliated banks. These assets are not covered by SIPC, but are instead eligible for FDIC insurance of up to \$250,000 per depositor, per institution, in accordance with FDIC rules. For additional information on the Bank Deposit Sweep for your account, please contact Your Financial Advisor.

DESCRIPTION	ACCOUNT	% OF ACCOUNT	ANNUAL PERCENTAGE YIELD EARNED	CURRENT MARKET VALUE	ESTIMATED ANNUAL INCOME
BANK DEPOSIT SWEEP		73.19	0.01	139,012.98	13.90
Interest Period 12/01/13 - 12/31/13					

### Total Cash and Sweep Balances

73.19

\$139,012.98

\$13.90

\* APYE measures the total amount of the interest paid on an account based on the interest rate and the frequency of the compounding during the interest period. The annual percentage yield earned is expressed as an annualized rate, based on a 365 day year.

### Fixed Income Securities

Corporate and municipal bonds and other fixed income securities are priced by a computerized pricing service or, for less actively traded issues, by utilizing a yield-based matrix system to arrive at an estimated market value.

### Corporate Bonds

DESCRIPTION	ACCOUNT	% OF ACCOUNT	QUANTITY	CURRENT PRICE	CURRENT MARKET VALUE	ACCRUED INTEREST	ESTIMATED ANNUAL INCOME	ANNUAL YIELD (%)
FIRST DATA CORPORATION COMPANY GTD CALLABLE CPN 11.250% DUE 03/31/16 DTD 03/31/09 FC 09/30/09 Moody CAA2, S&P CCC+ CUSIP 319863AY6	1.58	3.000		100.2300	3,006.90	85.31	337.50	11.22



DECEMBER 1 - DECEMBER 31, 2013

## Fixed Income Securities

### Corporate Bonds continued

DESCRIPTION	% OF ACCOUNT	QUANTITY	CURRENT PRICE	CURRENT MARKET VALUE	ESTIMATED	
					ACCRUED INTEREST	ANNUAL INCOME ANNUAL YIELD (%)
UNION CARBIDE GLOBAL NOTES NON CALL LIFE CPN 7.875% DUE 04/01/23 DTD 04/01/93 FC 10/01/93 Moody BAA2, S&P BBB CUSIP 905572AD5	3.15	5,000	119.5200	5,976.00	98.44	393.75 6.58
GOLDMAN SACHS GROUP INC SUBORDINATE NOTES CPN 6.750% DUE 10/01/37 DTD 10/03/07 FC 04/01/08 Moody BAA2, S&P BBB+ CUSIP 38141GFD1	4.07	7,000	110.5010	7,735.07	118.13	472.50 6.10
<b>Total Corporate Bonds</b>	<b>8.80</b>	<b>15,000</b>		<b>\$16,717.97</b>	<b>\$301.88</b>	<b>\$1,203.75</b> <b>7.20</b>
<b>Total Fixed Income Securities</b>	<b>8.80</b>			<b>\$16,717.97</b>	<b>\$301.88</b>	<b>\$1,203.75</b> <b>7.20</b>

## Mutual Funds

### Open End Mutual Funds

Open End Mutual Fund shares are priced at net asset value. Estimated Annual Income and Yield refer to Dividends and Interest Income only, and typically do not reflect Total return.

DESCRIPTION	% OF ACCOUNT	QUANTITY	CURRENT PRICE	CURRENT MARKET VALUE	ESTIMATED	
					ANNUAL INCOME	ANNUAL YIELD (%)
ASTON FUNDS MONTAG & CALDWELL GROWTH FD CL N MCGFX On Reinvestment	4.03	271.20100	28.2100	7,650.58	44.47	0.58
ALLIANCEBERNSTEIN FDS SMALL CAP GROWTH FUND CLASS A QUASX On Reinvestment	4.68	174.10200	51.0700	8,891.38	N/A	N/A
AMF LARGE CAP EQUITY FUND CLASS AMF HCAX On Reinvestment	9.30	1,626.18500	10.8600	17,660.36	187.01	1.05



NICK JOE RAHALL (SEP IRA)  
FCC AS CUSTODIAN

DECEMBER 1 - DECEMBER 31, 2013

**Mutual Funds**

**Open End Mutual Funds continued**

DESCRIPTION	% OF ACCOUNT	QUANTITY	CURRENT PRICE	CURRENT MARKET VALUE	ESTIMATED	
					ANNUAL INCOME	ANNUAL YIELD (%)
<b>Total Open End Mutual Funds</b>	<b>18.01</b>			<b>\$34,202.32</b>	<b>\$231.48</b>	<b>0.66</b>
<b>Total Mutual Funds</b>	<b>18.01</b>			<b>\$34,202.32</b>	<b>\$231.48</b>	<b>0.66</b>



## Progress summary

	THIS PERIOD	THIS YEAR
Opening value	\$335,226.07	\$327,039.36
Cash deposited	0.00	0.00
Securities deposited	0.00	0.00
Cash withdrawn	-1,600.00	-19,628.25
Securities withdrawn	0.00	0.00
Income earned	84.31	2,572.94
Change in value	2,573.32	26,299.65
Closing value	\$336,283.70	\$336,283.70

## SNAPSHOT

NICK RAHALL CHARITABLE  
REMAINDER UNIT TR  
NICK J RAHALL II TTEE  
UIA DTD 12/16/99  
DECEMBER 1 - DECEMBER 31, 2013

Page 1 of 8

As a Wells Fargo Advisors Client, you can easily simplify your finances by combining all your investing and banking into a single, easy-to-manage relationship. By upgrading to the Command Asset Program, you'll have access to many more features and benefits to help you manage your finances. You'll see all your investing and banking activity on one comprehensive monthly statement. It's as simple as talking with Your Financial Advisor. Ask them today about the Command Asset Program.

Attachment 4 - p. 1

## Portfolio summary

ASSET TYPE	PREVIOUS VALUE ON NOV 30	%	CURRENT VALUE ON DEC 31	%	ESTIMATED ANN. INCOME
<b>ASSETS</b>					
Cash and sweep balances	269,480.37	80.39	275,112.40	81.81	27
Stocks, options & ETFs	65,745.70	19.61	61,171.30	18.19	1,298
Fixed income securities	0.00	0.00	0.00	0.00	0
Mutual funds	0.00	0.00	0.00	0.00	0
Asset value	\$335,226.07	100%	\$336,283.70	100%	\$1,325

NICK RAHALL CHARITABLE  
REMAINDER UNIT TR  
NICK J RAHALL II TTEE  
U/A DTD 12/16/99  
DECEMBER 1 - DECEMBER 31, 2013

### Additional information

	THIS PERIOD	THIS YEAR	Gross proceeds	THIS PERIOD	THIS YEAR
Accrued interest on sales	0.00	93.82		9,712.22	344,794.73
Return of principal	0.00	136.74	Foreign withholding	0.00	-28.25

### Portfolio detail

#### Cash and Sweep Balances

Sweep Balances - You have the right, in the course of normal business operations, to withdraw balances in the Bank Deposit Sweep or redeem shares of the money market mutual fund used in the sweep, subject to any open commitments in any of your accounts and have the proceeds returned to your accounts or remitted to you. Note, however, that as required by federal banking regulations, the banks in the Bank Deposit Sweep reserve the right to require seven days prior notice before permitting a transfer out of the Bank Deposit Sweep. In addition, the money market mutual funds in the sweep reserve the right to require one or more days prior notice before permitting withdrawals.

Bank Deposit Sweep - Consists of monies held at Wells Fargo Bank, N.A. and (if amounts exceed \$250,000) at one or more other Wells Fargo affiliated banks. These assets are not covered by SIPC, but are instead eligible for FDIC insurance of up to \$250,000 per depositor, per institution, in accordance with FDIC rules. For additional information on the Bank Deposit Sweep for your account, please contact Your Financial Advisor.

DESCRIPTION	ANNUAL PERCENTAGE YIELD EARNED*	CURRENT MARKET VALUE	ESTIMATED ANNUAL INCOME
BANK DEPOSIT SWEEP	0.01	275,112.40	27.51
Interest Period 12/01/13 - 12/31/13			

#### Total Cash and Sweep Balances

\$275,112.40

\$27.51

\* APYE measures the total amount of the interest paid on an account based on the interest rate and the frequency of the compounding during the interest period. The annual percentage yield earned is expressed as an annualized rate, based on a 365 day year.

#### Stocks, options & ETFs

##### Stocks and ETFs

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED ANNUAL INCOME	ANNUAL YIELD (%)
CANADIAN NATURAL RESOURCES LTD CNO	235	35.24	8,407.83		7,952.40	-455.43		
Acquired 03/20/12	65	32.35	2,162.75		2,199.60	36.85		
Acquired 04/20/12								
Total	300		\$10,570.58	33.8400	\$10,152.00	-\$418.58	\$221.28	2.18





NICK RAHALL CHARITABLE  
REMAINDER UNIT TR  
NICK J RAHALL II TTEE  
U/A DTD 12/16/99  
DECEMBER 1 - DECEMBER 31, 2013

# Stocks, options & ETFs Stocks and ETFs continued

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED	
							ANNUAL INCOME	ANNUAL YIELD (%)
ANESE CORPORATION								
SERIES A								
CE								
Acquired 11/29/13	135	56.20	7,688.00	55.3100	7,466.85	-221.15	97.20	1.30
CITIGROUP INC NEW								
C								
Acquired 11/06/07 nc	5,421.05	351.80	1,953.51		282.49	-1,671.02		
Acquired 11/06/07 nc	7,421.05	351.90	2,669.36		386.71	-2,282.65		
Acquired 01/08/08 nc	12,368.42	279.33	3,562.38		644.52	-2,917.86		
Acquired 10/09/08 nc	19,789.48	148.56	3,047.50		1,031.23	-2,016.27		
Total	45		\$11,232.75	52.1100	\$2,344.95	-\$8,887.80	\$1.80	0.08
GANNETT CO INC DEL								
GCI								
Acquired 09/29/04 nc	100	84.30	8,515.50		2,958.00	-5,557.50		
Acquired 04/20/05 nc	100	77.08	7,793.50		2,958.00	-4,835.50		
Acquired 03/27/06 nc	100	58.64	5,958.00		2,958.00	-3,000.00		
Acquired 09/26/07 nc	75	44.23	3,394.85		2,218.50	-1,176.35		
Total	375		\$25,661.85	29.5800	\$11,092.50	-\$14,569.35	\$300.00	2.70
GENERAL ELECTRIC COMPANY								
GE								
Acquired 04/11/08 nc	200	32.54	6,645.07	28.0300	5,606.00	-1,039.07	176.00	3.13
-WILETT-PACKARD COMPANY								
HPQ								
Acquired 03/04/11	175	42.44	7,539.23		4,896.50	-2,642.73		
Acquired 08/17/11	125	31.59	4,020.81		3,497.50	-523.31		
Total	300		\$11,560.04	27.9800	\$8,394.00	-\$3,166.04	\$174.30	2.08
MASTEC INC								
MTZ								
Acquired 08/26/13	175	33.25	5,825.75	32.7200	5,726.00	-99.75	N/A	N/A
MEDIA GENERAL INC CL A								
MEG								
Acquired 10/23/07 nc	50	27.25	1,395.62	22.6000	1,130.00	-265.62	N/A	N/A
OTTER TAIL CORPORATION								
OTTR								
Acquired 09/18/08 nc	200	34.82	7,091.74	29.2700	5,854.00	-1,237.74	238.00	4.06

NICK RAHALL CHARITABLE  
REMAINDER UNIT TR  
NICK J RAHALL II TTEE  
U/A DTD 12/16/99  
DECEMBER 1 - DECEMBER 31, 2013

**Stocks, options & ETFs**  
**Stocks and ETFs continued**

DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	ADJ COST/ ORIG COST	CURRENT PRICE	CURRENT MARKET VALUE	UNREALIZED GAIN/LOSS	ESTIMATED	
							ANNUAL INCOME	ANNUAL YIELD (%)
'ELLS FARGO COMPANY								
FC								
Acquired 10/24/07 nc	25.62500	229.10	5,946.00		1,163.38	-4,782.62		
Acquired 01/04/08 nc	19.75000	180.84	3,644.69		896.65	-2,748.04		
Acquired 06/24/08 nc	29.62500	90.27	2,759.42		1,344.97	-1,414.45		
Total	75		\$12,350.11	45.4000	\$3,405.00	-\$8,945.11	\$90.00	2.64
Total Stocks and ETFs			\$100,021.31		\$61,171.30	-\$38,850.01	\$1,298.58	2.12
Total Stocks, options & ETFs			\$100,021.31		\$61,171.30	-\$38,850.01	\$1,298.58	2.12

nc Cost information for this tax lot is not covered by IRS reporting requirements. Unless indicated, cost for all other lots will be reported to the IRS.





Portfolio Management Program  
December 2013

Account name: NICK J RAHALL JR.  
Account type: IRA Rollover

Your Financial Advisor:  
THE HANDO FELDMAN ADAMS GROUP  
301-718-5000/800-638-2909

## Your account balance sheet

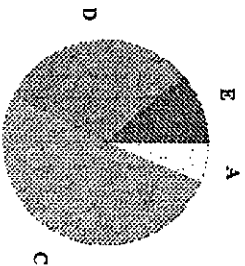
### Summary of your assets

	Value on December 31 (\$)	Percentage of your account
A Cash and money balances	3,076.95	6.31%
B Cash alternatives	0.00	0.00%
C Equities	25,044.63	51.38%
D Fixed income	15,171.56	31.12%
E Non-traditional	5,452.51	11.19%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$48,745.65	100.00%

Value of your account

\$48,745.65

### Your current asset allocation



1 Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

## Eye on the markets

Index	Percentage change	
	December 2013	Year to date
S&P 500	2.53%	32.39%
Russell 3000	2.64%	33.55%
MSCI - Europe, Australia & Far East	1.51%	23.29%
Barclays Capital U.S. Aggregate Bond Index	-0.57%	-2.02%

**Interest rates on December 31, 2013**  
3-month Treasury bills: 0.07%  
One-month LIBOR: 0.17%



# Portfolio Management Program

Account name: NICK J RAHALL JR.  
Account type: IRA Rollover

Your Financial Advisor:  
THE HANDO FELDMAN ADAMS GROUP  
301-718-5000/800-638-2909

December 2013

## 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

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

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

Holding	Opening balance on Dec 1 (\$)	Closing balance on Dec 31 (\$)	Price per share on Dec 31 (\$)	Average rate	Dividend/interest period	Days in period	Cap amount (\$)
Cash	0.00	38.15					
UBS BANK USA DEP ACCT	2,922.61	3,038.80					250,000.00
<b>Total</b>	<b>\$2,922.61</b>	<b>\$3,076.95</b>					

### Equities

#### Closed end funds & Exchange traded products

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

Cost basis is the total purchase cost of the security, including reinvested 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 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
ISHARES S&P 500 VALUE ETF									
Symbol: IVE									
Trade date: Aug 12, 11	15,000	54.160	812.40	812.40	85.460	1,281.90	469.50	469.50	LT
EAI: \$26 Current yield: 2.03%									
ISHARES S&P 500 GROWTH ETF									

continued next page



# Portfolio Management Program

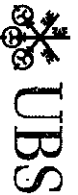
December 2013

Account name: NICK J RAHALL JR.  
Account type: IRA Rollover

Your Financial Advisor:  
THE HANDO FELDMAN ADAMS GROUP  
301-718-5000/800-638-2909

## 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 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>Symbol: VW</b>									
Trade date: Aug 12, 11	17,000	63.820	1,084.94	1,084.94	98.750	1,678.75	593.81	593.81	LT
EAI: \$24 Current yield: 1.43%									
<b>SPDR S&amp;P 600 SMALL CAP ETF</b>									
<b>Symbol: SLY</b>									
Trade date: Jul 15, 13	22,000	92.450	2,033.90	2,033.90	102.690	2,259.18	225.28	225.28	ST
EAI: \$21 Current yield: 0.93%									
<b>SPDR S&amp;P MIDCAP 400 ETF TR</b>									
<b>Symbol: MDY</b>									
Trade date: Jul 12, 13	15,000	221.584	3,323.76	3,323.76	244.200	3,663.00	339.24	339.24	ST
EAI: \$39 Current yield: 1.06%									
<b>VANGUARD RET ETF</b>									
<b>Symbol: VNO</b>									
Trade date: Aug 12, 11	8,000	54.790	438.32	438.32	64.560	516.48	78.16	78.16	LT
EAI: \$22 Current yield: 4.26%									
<b>VANGUARD FTSE EUROPE ETF</b>									
<b>Symbol: VGK</b>									
Trade date: Aug 12, 11	10,000	45.480	454.80	454.80	58.800	588.00	133.20		LT
Trade date: Sep 21, 12	8,000	48.058	384.47	384.47	58.800	470.40	85.93		LT
Trade date: Jul 12, 13	36,000	50.259	1,809.35	1,809.35	58.800	2,116.80	307.45		ST
EAI: \$88 Current yield: 2.77%									
Security total	54,000	49.049	2,648.62	2,648.62		3,175.20	526.58	526.58	
<b>VANGUARD FTSE EMERGING MARKETS ETF</b>									
<b>Symbol: VWO</b>									
Trade date: Aug 12, 11	47,000	42.220	1,984.34	1,984.34	41.140	1,933.58	-50.76	-50.76	LT
EAI: \$53 Current yield: 2.74%									
<b>Total</b>			<b>\$12,326.28</b>	<b>\$12,326.28</b>		<b>\$14,508.09</b>	<b>\$2,181.81</b>	<b>\$2,181.81</b>	
<b>Total estimated annual income: \$273</b>									



# Portfolio Management Program

December 2013

Account name:  
Account type:

NICK J RAHALL JR.  
IRA Rollover

Your Financial Advisor  
THE HANDO FELDMAN ADAMS GROUP  
301-718-5000/800-638-2909

## Your assets • Equities (continued)

### 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.

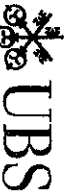
Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

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 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>ABERDEEN INTERNATIONAL EQUITY FUND CLASS A</b>									
Symbol: GIGAX									
Trade date: Aug 12, 11	16,178	12.690	205.30	205.30	15.170	245.42	40.12		LT
Total reinvested	0.828	13.514		11.19	15.170	12.56	1.37		
EAI: \$5 Current yield: 1.94%									
Security total	17,006	12.730	205.30	216.49		257.98	41.49	52.68	
<b>ALLIANCE BERNSTEIN SMALL CAP GROWTH FUND ADVISOR CLASS</b>									
Symbol: QUAYX									
Trade date: Sep 21, 12	10,623	42.118	447.43	447.43	53.800	571.51	124.08		LT
Total reinvested	1,050	47.095		49.45	53.800	56.49	7.04		
Security total	11,673	42.567	447.43	496.88		628.00	131.12	180.57	
<b>CAMBIAR SMALL CAP FUND INVESTOR CLASS</b>									
Symbol: CAMSX									
Trade date: Aug 12, 11	13,326	15.788	210.39	210.39	22.700	302.49	92.10		LT
Total reinvested	2,404	20.123		48.38	22.700	54.58	6.20		
Security total	15,730	16.451	210.39	258.77		357.07	98.30	146.68	
<b>FIRST EAGLE OVERSEAS FUND CLASS I</b>									
Symbol: SGOIX									
Trade date: Sep 21, 12	38,958	22.969	894.86	894.86	23.500	915.51	20.65		LT

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# Portfolio Management Program

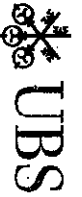
Account name: NICK J RAHALL JR.  
Account type: IRA Rollover

Your Financial Advisor:  
THE HANDO FELDMAN ADAMS GROUP  
301-718-5000/800-638-2909

## Your assets, Equities, Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Investment return (\$)	Holding period
Total reinvested	4,801	22.497		108.01	23.500	112.82	4.81		
Security total	43,759	22.918	894.86	1,002.87		1,028.33	25.46		133.47
GABELL EQUITY INCOME									
FUND CLASS I									
Symbol: GCIEX									
Trade date: Aug 12, 11	40,253	19,619	789.76	789.76	29,060	1,169.75	379.99		LT
Total reinvested	3,092	24.191		74.80	29,060	89.85	15.05		
EAI: \$34 Current yield: 2.70%									
Security total	43,345	19,946	789.76	864.56		1,259.60	395.04		469.84
GOLDMAN SACHS GROWTH OPPORTUNITES FUND I									
Symbol: GGOIX									
Trade date: Aug 12, 11	18,800	22.128	416.02	416.02	30,450	572.46	156.44		LT
Total reinvested	4,117	25.698		105.80	30,450	125.36	19.56		
Security total	22,917	22.770	416.02	521.82		697.82	176.00		281.80
ING GLOBAL REAL ESTATE FUND CLASS I									
Symbol: IGLIX									
Trade date: Aug 12, 11	27,561	15,500	427.21	427.21	18,320	504.91	77.70		LT
Total reinvested	2,185	17.029		37.21	18,320	40.03	2.82		
EAI: \$12 Current yield: 2.20%									
Security total	29,746	15,613	427.21	464.42		544.94	80.52		117.73
JP MORGAN MID CAP VALUE FUND CLASS S									
Symbol: JMV SX									
Trade date: Oct 11, 11	9,349	21,949	205.21	205.21	34,810	325.43	120.22		LT
Total reinvested	0,738	31.260		23.07	34,810	25.69	2.62		
EAI: \$2 Current yield: 0.57%									
Security total	10,087	22,631	205.21	228.28		351.12	122.84		145.91
OPENHEIMER DEVELOPING MARKETS CLASS Y									

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# Portfolio Management Program

December 2013

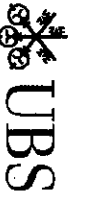
Account name: NICK J RAHALL JR.  
Account type: IRA Rollover

Your Financial Advisor:  
THE HANDO FELDMAN ADAMS GROUP  
301-718-5000/800-638-2909

## Your assets , Equities , Mutual funds (continued)

Holding	Number of Shares	Purchase price/ Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>Symbol: ODVX</b>									
Trade date: Aug 12, 11	52,113	31.549	1,644.15	1,644.15	37.560	1,957.36	313.21		LT
Total reinvested	2,118	32.247		68.30	37.560	79.55	11.25		
EAI: \$9 Current yield: 0.44%									
Security total	54,231	31.577	1,644.15	1,712.45		2,036.91	324.46	392.76	
<b>THORNBURG INTL VALUE FUND I</b>									
Symbol: TGVX									
Trade date: Aug 12, 11	8,392	26.140	219.37	219.37	32.060	269.05	49.68		LT
Total reinvested	0,327	26.330		8.61	32.060	10.48	1.87		
EAI: \$3 Current yield: 1.07%									
Security total	8,719	26.147	219.37	227.98		279.53	51.55	60.16	
<b>VIRTUS PREMIUM ALPHA SECTOR FUND A</b>									
Symbol: VAPAX									
Trade date: Jul 10, 13	82,401	15.200	1,252.50	1,252.50	16.560	1,364.56	112.06	112.06	ST
EAI: \$6 Current yield: 0.44%									
<b>WELLS FARGO ADVANTAGE FUNDS GROWTH - ADM</b>									
Symbol: SGRGX									
Trade date: Aug 12, 11	30,285	34.533	1,045.86	1,045.86	54.030	1,636.29	590.43		LT
Total reinvested	1,747	46.204		80.72	54.030	94.39	13.67		
Security total	32,032	35.170	1,045.86	1,126.58		1,730.68	604.10	684.82	
<b>Total</b>			<b>\$7,758.06</b>	<b>\$8,373.60</b>		<b>\$10,536.54</b>	<b>\$2,162.94</b>	<b>\$2,778.48</b>	
<b>Total estimated annual income: \$71</b>									





# Portfolio Management Program

December 2013

Account name:  
Account type:

NICK J RAHALL JR.  
IRA Rollover

Your Financial Advisor:  
THE HANCO FELDMAN ADAMS GROUP  
301-718-5000/800-638-2909

## Your assets (continued)

### Fixed income

### Mutual funds

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

Cost basis is the total purchase cost of the security, including reinvested 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 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>ABERDEEN GLOBAL HIGH INCOME FUND CLASS I</b>									
Symbol: JHYX									
Trade date: Sep 15, 11	134,751	9.563	1,288.63	1,288.63	10.050	1,354.25	65.62		LT
Total reinvested	29,490	9.769		288.09	10.050	296.37	8.28		
EAI: \$119 Current yield: 7.21%									
Security total	164,241	9.600	1,288.63	1,576.72		1,650.62	73.90	361.99	
<b>BLACKROCK STRATEGIC INCOME A</b>									
Symbol: BASIX									
Trade date: Jun 26, 13	179,226	9.969	1,786.88	1,786.88	10.160	1,820.93	34.05	34.05	ST
EAI: \$44 Current yield: 2.42%									
<b>FEDERATED FLOATING RATE STRATEGIC INCOME FD CL A</b>									
Symbol: FR5AX									
Trade date: Jun 27, 13	89,784	10.000	897.84	897.84	10.080	905.02	7.18	7.18	ST
EAI: \$30 Current yield: 3.31%									
<b>GOLDMAN SACHS STRATEGIC INCOME CL I</b>									
Symbol: GS2IX									
Trade date: Aug 12, 11	182,683	9.789	1,788.41	1,788.41	10.660	1,947.40	158.99		LT
Trade date: Sep 15, 11	0.721	9.694	6.99	6.99	10.660	7.69	0.70		LT
Total reinvested	15,825	10.133		160.36	10.660	168.69	8.33		

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# Portfolio Management Program

December 2013

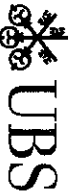
Account name: NICK J RAHALL JR.  
Account type: IRA Rollover

Your Financial Advisor:  
THE HANDO FELDMAN ADAMS GROUP  
301-718-5000/800-638-2909

## Your assets , Fixed income , Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Investment return (\$)	Holding period
<b>JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS S</b>									
Symbol: JSOSX									
Trade date: Aug 12, 11	153,712	11.539	1,773.83	1,773.83	11.890	1,827.63	53.80		LT
Total reinvested	13,662	11.632		158.93	11.890	162.44	3.51		
EAI: \$52 Current yield: 2.61%									
Security total	167,374	11.548	1,773.83	1,932.76		1,990.07	57.31	216.24	
<b>METROPOLITAN WEST TOTAL RETURN BOND FUND CLASS I</b>									
Symbol: MWMTX									
Trade date: Sep 15, 11	129,743	10.499	1,362.30	1,362.30	10.550	1,368.79	6.49		LT
Trade date: Oct 11, 11	57,971	10.370	601.16	601.16	10.550	611.59	10.43		LT
Total reinvested	22,020	10.717		235.99	10.550	232.31	-3.68		
EAI: \$72 Current yield: 3.25%									
Security total	209,734	10.487	1,963.46	2,199.45		2,212.69	13.24	249.23	
<b>PIMCO SENIOR FLOATING RATE FUND A</b>									
Symbol: PSRZX									
Trade date: Jun 26, 13	87,091	10.259	893.55	893.55	10.240	891.81	-1.74	-1.74	ST
EAI: \$29 Current yield: 3.25%									
<b>TEMPLETON GLOBAL BOND ADV</b>									
Symbol: TGBAX									
Trade date: Sep 15, 11	95,480	13.278	1,267.81	1,267.81	13.090	1,249.83	-17.98		LT
Total reinvested	15,581	12.960		201.93	13.090	203.95	2.02		
EAI: \$57 Current yield: 3.92%									
Security total	111,061	13.234	1,267.81	1,469.74		1,453.78	-15.96	185.97	
<b>WESTERN ASSET CORE PLUS BOND FUND CLASS I</b>									

continued next page



# Portfolio Management Program

December 2013

Account name: NICK J RAHAL JR.  
Account type: IRA Rollover

Your Financial Advisor:  
THE HANDO FELDMAN ADAMS GROUP  
301-718-5000/800-638-2909

## Your assets , Fixed income , Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Symbol: WACPX									
Trade date: Sep 15, 11	123.062	11.070	1,362.30	1,362.30	11.190	1,377.06	14.76		LT
Trade date: Oct 11, 11	54,514	10.969	598.01	598.01	11.190	610.01	12.00		LT
Total reinvested	12.135	11.409		138.46	11.190	135.79	-2.67		
EAI: \$67 Current yield: 3.16%									
Security total	189.711	11.063	1,960.31	2,098.77		2,122.86	24.09	162.55	
Total			\$13,627.71	\$14,811.47		\$15,171.56	\$360.09	\$1,543.85	
Total estimated annual income: \$552									

## Non-traditional

### 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 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
DIAMOND HILL LONG SHORT FUND CLASS I									
Symbol: DHIISX									
Trade date: Sep 21, 12	66.511	18.499	1,230.45	1,230.45	22.520	1,497.82	267.37		LT
Total reinvested	0.234	18.205		4.26	22.520	5.27	1.01		
EAI: \$6 Current yield: 0.40%									
Security total	66.745	18.499	1,230.45	1,234.71		1,503.09	268.38	272.64	
GATEWAY FUND CLASS Y									
Symbol: GTEYX									
Trade date: Aug 12, 11	27.914	25.329	707.06	707.06	28.990	809.22	102.16		LT
Trade date: Sep 21, 12	16.307	27.610	450.24	450.24	28.990	472.74	22.50		LT
Total reinvested	1.514	27.371		41.44	28.990	43.89	2.45		

continued next page



# Portfolio Management Program

December 2013

Account name: NICK J RAHALL JR.  
Account type: IRA Rollover

Your Financial Advisor:  
THE HANDO FELDMAN ADAMS GROUP  
301-718-5000/800-638-2909

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

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Investment return (\$)	Holding period
Security total	45,735	26.211	1,157.30	1,198.74		1,325.85	127.11	168.55	
MAINSTAY MARKETFIELD FUND CLASS I									
Symbol: MFLDX									
Trade date: Jul 10, 13	72,035	17.389	1,252.68	1,252.68	18.520	1,334.08	81.40	81.40	ST
MERGER FUND SBI									
Symbol: MERFX									
Trade date: Sep 21, 12	77,048	15.969	1,230.45	1,230.45	16.010	1,233.54	3.09		LT
Total reinvested	3,495	15.891		55.54	16.010	55.95	0.41		
EAI: \$25 Current yield: 1.94%									
Security total	80,543	15.967	1,230.45	1,285.99		1,289.49	3.50	59.04	
Total			\$4,870.88	\$4,972.12		\$5,452.51	\$480.39	\$581.63	
Total estimated annual income: \$51									

## Your total assets

	Cash and money balances	Value on Dec 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash		3,076.95	6.31%	3,076.95		
Equities						
	Closed end funds & Exchange traded products	14,508.09			273.00	2,181.81
	Mutual funds	10,536.54		8,373.60	71.00	2,162.94
	Total equities	25,044.63	51.38%	20,699.88	344.00	4,344.75
Fixed income	Mutual funds	15,171.56	31.12%	14,811.47	552.00	360.09
Non-traditional	Mutual funds	5,452.51	11.19%	4,972.12	51.00	480.39
Total		\$48,745.65	100.00%	\$43,560.42	\$947.00	\$5,185.23



## 2013 ENHANCED 1099

92.783

Page 5 of 14

NICK JOE RAHALL II  
109 MAIN STREET  
BECKLEY WV 25801-4610

Your Financial Advisor :  
EDWARD G RAHALL  
122 MAIN STREET  
POST OFFICE BOX 1328  
BECKLEY, WEST VIRGINIA 25802  
(304) 252-6221

Payer:  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103  
Payer ID #: 23-2384840  
As of Date: 1/24/14

### Reportable Tax Information

The information provided below is in accordance with Federal tax regulations and the IRS instructions that govern our reporting requirements. Where available, we have also provided additional information for courtesy purposes that is not provided to the IRS. You should review this information carefully when completing your Form 8949 and Schedule D. There may be instances where our reporting requirements will not be consistent with your particular tax accounting position or elections. For these reasons, the IRS requires us to provide you with this reminder: TAXPAYERS ARE ULTIMATELY RESPONSIBLE FOR THE ACCURACY OF THEIR TAX RETURNS.

The 1099-B data shown is reported to the IRS. Individual tax lots for each trade, where applicable, have been broken out and shown in italics. This detailed information is not reported to the IRS, but may be helpful in completing Form 8949 of Schedule D of your tax return.

#### SHORT TERM GAINS/LOSSES (COVERED)-BASIS REPORTED TO THE IRS. REPORT ON FORM 8949 WITH BOX A CHECKED 1099-B Proceeds from Broker and Barter Exchange Transactions for 2013 OMB NO. 1545-0715

8-Description / CUSIP	1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information not reported to the IRS
BUFFALO WILD WINGS INC / 119848109	02/04/13	125.0000	01/29/13	9,556.03	9,422.50	Gain or Loss Amount Additional Information
					133.53	SALE

TOTAL SHORT TERM GAINS OR LOSSES FOR BASIS  
REPORTED TO IRS 9,556.03 9,422.50 133.53

#### LONG TERM GAINS/LOSSES (NONCOVERED)-BASIS NOT REPORTED TO THE IRS. REPORT ON FORM 8949 WITH BOX E CHECKED\*\* 1099-B Proceeds from Broker and Barter Exchange Transactions for 2013 OMB NO. 1545-0715

8-Description / CUSIP	1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Supplemental Information not reported to the IRS
AMGEN INC / 031162100	05/23/13	250.0000	01/01/01	26,199.54	15,985.00	Gain or Loss Amount Additional Information
					10,214.54	SALE
	05/30/13	150.0000	01/01/01	15,574.83	9,591.00	5,983.83 SALE
	05/30/13	100.0000	01/01/01	10,377.72	6,394.00	3,983.72 SALE
	08/26/13	150.0000	01/01/01	16,558.91	9,591.00	6,967.91 SALE

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.

## 2013 ENHANCED 1099

Page 6 of 14

NICK JOE RAHALL II  
109 MAIN STREET  
BECKLEY WV 25801-4610

Your Financial Advisor :  
EDWARD G RAHALL  
122 MAIN STREET  
POST OFFICE BOX 1328  
BECKLEY, WEST VIRGINIA 25802  
(304) 252-6221

Payer:  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103  
Payer ID #: 23-2384840

As of Date: 1/24/14

## Reportable Tax Information

## LONG TERM GAINS/LOSSES (NONCOVERED)-BASIS NOT REPORTED TO THE IRS. REPORT ON FORM 8949 WITH BOX E CHECKED\*\* continued

## 1099-B Proceeds from Broker and Barter Exchange Transactions for 2013

OMB NO. 1545-0715

8-Description / CUSIP					Supplemental Information not reported to the IRS	
1a-Date of Sale or Exchange	1e-Quantity Sold	1b-Date of Acquisition	2a-Sales Price*	3-Cost or Other Basis	Gain or Loss Amount	Additional Information
WAL-MART STORES INC / 931142103						
04/17/13	100.0000	02/12/10	7,725.82	5,313.60	2,412.22	SALE
04/23/13	150.0000	10/23/09	11,665.45	7,667.50	3,997.95	SALE
05/03/13	200.0000	11/03/09	15,571.57	10,054.60	5,516.97	SALE
05/22/13	50.0000	01/15/85	3,802.43	64.69	3,737.74	SALE
TOTAL LONG TERM GAINS OR LOSSES FOR NONCOVERED SECURITIES			107,476.27	64,661.39	42,814.88	

\*Box 2a: Sales price less commissions and option premiums

\*\*For noncovered securities, the following information is not reported to the IRS: COST OR OTHER BASIS (Box 3), DATE OF ACQUISITION (Box 1b), TYPE OF GAIN OR LOSS (Box 1c), WASH SALE LOSS AMOUNT DISALLOWED (Box 5).

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

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



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2013 ENHANCED 1099

92.787

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NICK JOE RAHALL II  
109 MAIN STREET  
BECKLEY WV 25801-4610

Your Financial Advisor :  
EDWARD G RAHALL  
122 MAIN STREET  
POST OFFICE BOX 1328  
BECKLEY, WEST VIRGINIA 25802  
(304) 252-6221

Payer:  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103  
Payer ID #: 23-2384840

As of Date: 1/24/14

Federal Non-Reportable Information

This information is provided for courtesy purposes only. Each individual taxpayer should consult with a Tax Advisor as to any additional reporting requirements or adjustments. THIS INFORMATION IS NOT VERIFIED OR GUARANTEED BY FIRST CLEARING, LLC TO BE ACCURATE FOR EACH TAXPAYER'S UNIQUE REPORTING REQUIREMENTS. THEREFORE, YOU SHOULD NEVER ASSUME THIS STATEMENT IS ACCURATE IN LIEU OF COMPLETING YOUR TAX RETURN AND CONSULTING WITH YOUR TAX ADVISOR.

Option activity is not reportable on the Form 1099-B, but this information is being provided for clients that may need to include this information on their tax return.

Option Activity Gain/Loss Detail for Year  
SHORT TERM OPTIONS

Check box C on Form 8949

Description	Quantity Sold	Date of Acquisition	Date of Sale or Exchange	Sales Price	Cost or Other Basis	Gain or Loss Amount
P TSLA 092113 125	1.00000	05/31/13	06/03/13	3,798.89	3,321.04	477.85
	1.00000	06/05/13	09/16/13	2.01	3,921.04	-3,919.03
	1.00000	06/27/13	09/16/13	2.01	2,487.04	-2,485.03
	3.00000	08/19/13	09/16/13	6.04	752.40	-746.36
TOTAL SHORT TERM OPTIONS				\$3,808.95	\$10,481.52	-\$6,672.57

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

## **Wells Fargo Advisors Account**

### **2013 Purchases**

<b>Date</b>	<b>Description</b>	<b>Amount</b>
01/29	125 Buffalo Wild Wings Inc	\$9,422.50
05/31	1 Put Tesla Motors \$125 Exp 09/21/13	3,321.04
06/04	1 Put Tesla Motors \$125 Ex[ 09/21/13	3,921.04
06/27	1 Put Tesla Motors \$125 Exp 09/21/13	<u>2,487.04</u>
		<u><b>\$19,151.62</b></u>



## **Wells Fargo SEP IRA**

### **2013 Transactions**

<b>Date</b>	<b>Description</b>	<b>Amount</b>
<b><u>Purchases</u></b>		
12/30	107,562 AMF Large Cap Equity Fund Reinvestment	<u>\$1,163.82</u>
 <b><u>Sales</u></b>		
01/22	100 IShares S&P Global Utilities Index Fund	\$4,103.31
01/22	25 IShares S&P Global Utilities Index Fund	1,020.26
03/07	5,000 Chiquita Brands Intl Senior Notes Due 11/01/14	5,000.00
03/21	477.078 John Hancock II Lifestyle Growth Fund CI-C	6,798.36
04/12	160.777 AMF Large Cap Equity Fund Class AMF	1,656.00
04/24	209.728 AMF Large Cap Equity Fund Class AMF	2,156.00
04/24	5,000 Edison Mission Energy Sr Notes Due 06/15/16	2,714.00
07/19	5,000 Anglogold Holdings PLC Senior Notes Due 04/15/40	4,130.50
11/29	4,000 First Data Corporation Partial Call Due 11/29/13	<u>4,000.00</u>
		 <u>\$31,578.43</u>

## **CRUT Account**

### **2013 Sales**

<b>Date</b>	<b>Description</b>	<b>Amount</b>
01/02	153 Citigroup Inc New	6,208.27
01/03	25 BP Plc Spons Adr	1,068.48
01/09	150 BP Plc Spons Adr	6,562.95
01/14	125 Hewlett-Packard Company	2,066.83
01/24	100 Brunswick Corp	3,459.92
01/25	25,000 GNMA Remic Multiclass CMO Due 04/20/34	11,534.48
01/25	25,000 GNMA Remic Multiclass CMO Due 07/20/34	11,618.54
01/29	100 Brunswick Corp	3,579.27
01/29	175 Verizon Communications Com	7,530.46
02/07	110 Advance Auto Parts	8,836.00
02/13	200 Lorillard Inc	8,254.11
02/13	175 Applied Indl Tech Inc	7,680.73
02/13	110 Advance Auto Parts	8,622.11
02/13	135 Omnicom Group	7,611.09
02/20	105 Exxon Mobil Corp	9,361.76
03/05	135 Caseys Genl Stores Inc	7,730.00
03/05	150 Otter Tail Corporation	4,357.60
03/07	300 Kronos Worldwide Inc	5,202.08
03/11	200 Ryder System Inc	11,738.73
03/12	115 ConocoPhillips	6,740.23
03/22	170 BP Plc Spons Adr	7,067.72
03/26	200 Lorillard Inc	7,969.76
05/03	200 Cardinal Health Inc	9,223.79
05/03	100 Omnicom Group	6,066.88
05/14	200 CST Brands Inc	6,297.86
07/15	110 IAC/InteractiveCorp	5,637.08
07/15	10,000 American Gen Fin Corp CPN 6.750% Due 07/15/13	10,000.00
07/18	200 Carnival Corp	7,302.27
07/19	110 United Rentals Inc	6,108.81
07/24	105 Phillips 66	6,131.92
08/13	100 Ebay Inc	5,419.41
09/04	200 Marathon Oil Corp	7,007.88
09/10	110 Agco Corp	6,445.39
09/10	300 Masco Corp	6,161.36
09/10	105 Omnicom Group	6,647.33
10/17	105 Marathon Petroleum Corp	7,263.60
10/17	200 Microsoft Corp	6,912.48
10/18	105 Agrium Inc	9,005.49
10/18	110 Omnicom Group	7,161.69
10/21	105 Celanese Corporation Series A	5,886.94

## **CRUT Account**

### **2013 Sales**

<b>Date</b>	<b>Description</b>	<b>Amount</b>
10/23	105 Procter & Gamble Co	8,356.29
10/23	155 Waste Mgmt Inc Del	6,571.63
10/24	115 Exxon Mobil Corp	10,031.33
11/04	110 Yum Brands Inc	7,514.17
11/11	100 CME Group Inc	7,763.86
11/21	200 Hillshire Brands Co	6,669.68
11/22	105 Varian Medical Systems Inc	7,810.71
12/06	250 Media General Inc Cl A	4,751.42
12/26	125 Gannett Co Inc Del	3,608.32
12/26	50 Hewlett-Packard Company	<u>1,352.48</u>
		<u><b>\$301,391.72</b></u>

## CRUT Account

### 2013 Purchases

Date	Description	Amount
01/16	200 Lorillard Inc	7,880.00
01/16	175 Verizon Communications Com	7,420.55
01/29	110 Advance Auto Parts	8,306.33
02/05	125 Ryder System Inc	7,384.50
02/05	135 Omnicom Group	7,396.08
02/05	115 ConocoPhillips	6,742.80
02/06	175 Applied Indl Tech Inc	7,917.00
02/07	105 Exxon Mobil Corp	9,321.68
02/07	110 Advance Auto Parts	8,500.14
02/11	75 Ryder System Inc	4,361.25
02/19	200 Carnival Corp	7,374.00
02/22	135 Caseys Genl Stores Inc	7,658.25
02/27	200 Lorillard Inc	7,831.00
02/28	170 BP Plc Spons Adr	7,002.84
03/15	115 Cardinal Health Inc	5,488.22
03/15	100 Omnicom Group	6,045.10
03/19	85 Cardinal Health Inc	3,692.20
05/10	200 CST Brands Inc	6,058.48
05/10	110 IAC/InteractiveCorp	5,432.34
07/10	105 Phillips 66	6,051.25
07/10	110 United Rentals Inc	5,843.00
08/02	100 Ebay Inc	5,276.00
08/15	105 Omnicom Group	6,429.25
08/19	200 Hillshire Brands Co	6,630.00
08/19	200 Marathon Oil Corp	6,627.54
08/21	110 Agco Corp	6,340.77
08/26	200 Masco Corp	4,003.98
08/26	175 Mastec Inc	5,825.75
08/27	100 Masco Corp	1,898.47
09/20	105 Marathon Petroleum Corp	6,875.10
09/30	105 Procter & Gamble Co	8,022.20
10/03	115 Exxon Mobil Corp	9,959.64
10/08	200 Microsoft Corp	6,700.98
10/08	155 Waste Mgmt Inc Del	6,386.25
10/09	110 Omnicom Group	6,877.00
10/09	110 Yum Brands Inc	7,333.10
10/10	105 Agrium Inc	8,806.55
10/15	105 Celanese Corporation Series A	5,671.25

## **CRUT Account**

### **2013 Purchases**

<b>Date</b>	<b>Description</b>	<b>Amount</b>
10/24	105 Varian Medical Systems Inc	7,796.24
11/05	100 CME Group Inc	7,551.00
11/29	135 Celanese Corporation Series A	7,688.00
12/09	100 Gannett Co Inc Del	<u>2,564.50</u>
		<u><b>\$263,670.03</b></u>

## USB Financial Services IRA

### 2013 Transactions

Date	Description	Amount
<b><u>Purchases</u></b>		
07/01	179.226 Blackrock Strategic Income A	\$1,786.88
07/11	72.035 Mainstay Marketfield Fund Class I	1,252.68
07/15	82.401 Virtus Premium Alpha Sector Fund A	1,252.50
07/17	15 Spdr S&P Midcap 400 Etf Tr	3,323.76
07/17	36 Vanguard Ftse Europe Etf	1,809.35
07/18	22 Spdr S&P 600 Small Cap Etf	<u>2,033.90</u>
		<b><u>\$11,459.07</u></b>
<b><u>Sales</u></b>		
05/13	52 Wisdomtree Trust Futre Strat Fd De	\$2,112.73
06/27	268.59 Ivy Limited Term Bd Fd Cl I Fboid	2,933.00
06/28	9 Spdr Gold Trust De	1,110.71
07/01	23 IShares Tr Core Total US Bond Mkt Etf De	2,451.01
07/15	126.734 IQ Alpha Hedge Strategy Instl Class	1,296.49
07/17	12 IShares S&P 500 Growth Etf	1,056.05
07/17	22.188 Wells Fargo Advantage Funds Growth Adm	<u>1,084.76</u>
		<b><u>\$12,044.75</u></b>