

# UNITED STATES HOUSE OF REPRESENTATIVES FINANCIAL DISCLOSURE STATEMENT

FORM B

For use by candidates and new employees

Period covered: January 1, 2013 - December 31, 2013

Name: Bruce Douglas VonCannon

Daytime Telephone:

(Office Use Only)

Filer Status	<input checked="" type="checkbox"/> Candidate for the House of Representatives	State: NC District: 06	Date of Election: 05-06-2014	Check if Amendment <input type="checkbox"/>	A \$200 penalty shall be assessed against any individual who files more than 30 days late.
	<input type="checkbox"/> New officer or employee	Employing Office:			

In all sections, please type or print clearly in blue or black ink.

## 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"/>	IV. Did you hold any reportable positions on or before the date of filing in the current calendar year or in the prior two years? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
II. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule II.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	V. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule V.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
III. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you receive compensation of more than \$5,000 from a single source in the two prior years? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" 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

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 benefiting you, your spouse, or a 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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LEGISLATIVE RESOURCE CENTER  
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OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES  
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**Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.**

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**For additional assets and unearned income, use next page.**

# SCHEDULE II – ASSETS AND “UNEARNED” INCOME

Continuation Sheet (if needed)

Name **Bruce Douglas VonCannon**

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SP, JT, DC	BLOCK A Asset and/or Income Source	BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																													
		A None	B \$1 – \$1,000	C \$1,001 – \$15,000	D \$15,001 – \$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)	Current Year												Preceding Year																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																
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# SCHEDULE II – ASSETS AND “UNEARNED” INCOME

Continuation Sheet (if needed)

Name Bruce Douglas VonCannon

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SP, JT, DC	BLOCK A Asset and/or Income Source	BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														
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## Continuation Sheet (if needed)

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# SCHEDULE III — LIABILITIES

Name **Bruce Douglas VonCannon**

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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 reporting period. **Exclude:** Any mortgage on your personal residence (unless there is rental income); 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 a spouse, or the child, parent, or sibling of you or your spouse. Report **revolving charge accounts** (i.e., credit cards) only if the balance at the close of the previous calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred mo/year	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 Spouse/DC Liability over \$1,000,000
	<i>Example:</i> First Bank of Wilmington, DE	May 1998	Mortgage on 123 Main Street, Dover, DE				X							
	Bank of America - Nevada	04/1998	Mortgage on Rental Property, NV				x							
	Bank of America - Nevada	11/2005	Home Equity Line of Credit			x								

# SCHEDULE IV — POSITIONS

Report all positions, compensated or uncompensated, held on or before the date of filing during the current calendar year and in the two prior years as an officer, director, trustee, partner, proprietor, representative, employee, or consultant of any corporation, company, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

**Exclude:** Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as a political party or campaign organization); and positions solely of an honorary nature.

Position	Name of Organization
Founder/Chairman	Rexmere Associates Inc.
Director	Rexmere International Ltd.

## Bruce & Sandra Von Cannon JTWROS Account Summary

BRUCE D VON CANNON & (EPO)  
SANDERLA C VON CANNON JT/WROS

Account No.

Closing Value \$122,817.65

Raymond James Client Services | 800-547-SERV (7378)  
Monday - Friday 8 a.m. to 6 p.m. ET  
Online Account Access | [raymondjames.com/investoraccess](http://raymondjames.com/investoraccess)

### Investment Objectives

Primary: Growth with a high risk tolerance and a time horizon exceeding 10 years.  
Secondary: Growth with a medium risk tolerance and a time horizon exceeding 10 years.

### Activity

		This Statement		Year to Date
Beginning Balance	\$	120,670.49	\$	0.00
Deposits	\$	0.00	\$	115,978.05
Income	\$	435.62	\$	821.32
Withdrawals	\$	(0.44)	\$	(0.44)
Expenses	\$	(15.90)	\$	(444.82)
Change in Value	\$	1,727.98	\$	8,683.54
Ending Balance	\$	122,817.65	\$	122,817.65

### Value Over Time

### Asset Allocation Analysis

Value Percentage

### Time-Weighted Performance

See Understanding Your Statement for important information about these calculations.

Excludes some limited partnerships, unpriced securities and annuity history prior to the annuity being linked to the account.



18136166-13-1 8/8/11/12

Account served by Raymond James & Associates Inc.  
Member New York Stock Exchange/SIPC

Morningstar asset allocation information is as of 12/31/2013 (mutual funds & annuities) and 12/18/2013 (529a).

Bruce & Sandra Von Cannon JTWROS - Account Summary Page 31 of 58



**RAYMOND JAMES®****Your Portfolio****Cash & Cash Alternatives**

Bruce &amp; Sandra Von Cannon JTWR05 Account No.

**Raymond James Bank Deposit Program \***

Description (Symbol)	Value	Est. Income Yield	Est. Annual Income
Raymond James Bank Deposit Program *		0.01%	\$0.32
Clitbank NA	\$3,156.05		
Raymond James Bank N.A.	\$69.77		
<b>Raymond James Bank Deposit Program Total</b>	<b>\$3,227.82</b>		<b>\$0.32</b>
Your bank priority state: NC			
Participating banks recently added: Park Sterling Bank, added on 12/18/2013			
<b>Cash &amp; Cash Alternatives Total</b>	<b>\$3,227.82</b>		<b>\$0.32</b>

\*Please See the Raymond James Bank Deposit Program on the Understanding Your Statement page.

**Equities****Stocks**

Description (Symbol)	Quantity	Date Acquired	Unit Cost	Total Cost Basis	Price	Value	Est. Income Yield	Est. Annual Income	Gain or (Loss) Pct.	Gain or (Loss)
AT&T INCORPORATED (T)	41,000 <sup>c</sup>	10/07/2013	\$34.088	\$1,397.59	\$35.160	\$1,441.56	5.23%	\$75.44	3.15%	\$43.97
ABBVIE INCORPORATED (ABBV)	20,000 <sup>c</sup>	10/07/2013	\$46.240	\$924.96	\$52.810	\$1,056.20	3.03%	\$32.00	14.19%	\$131.22
ALTRIA GROUP INCORPORATED (MO)	57,000 <sup>c</sup>	10/07/2013	\$34.918	\$1,990.33	\$38.390	\$2,188.23	5.00%	\$109.44	9.94%	\$197.90
AMEREN CORPORATION (AEE)	39,000 <sup>c</sup>	10/07/2013	\$34.358	\$1,340.25	\$38.180	\$1,410.24	4.42%	\$62.40	5.21%	\$69.89
ANHEUSER BUSCH INBEV SA/NV SPONSORED ADR (BELGIUM) (BUD)	7,000 <sup>c</sup>	10/07/2013	\$97.750	\$684.32	\$108.460	\$746.22	2.35%	\$17.53	8.90%	\$60.90
APPLE INCORPORATED (AAPL)	2,000 <sup>c</sup>	10/07/2013	\$488.840	\$977.68	\$581.020	\$1,122.04	2.17%	\$24.40	14.77%	\$144.36

## Equities (continued)

### Stocks (continued)

Description (Symbol)	Quantity	Date Acquired	Unit Cost	Total Cost Basis	Price	Value	Est. Income Yield	Est. Annual Income	Gain or (Loss) Pct.	Gain or (Loss)
ASTRAZENECA PLC SPONSORED ADR (UNITED KINGDOM) (AZN)	39,000 <sup>c</sup>	10/07/2013	\$51.258	\$1,999.06	\$50.370	\$2,315.43	4.72%	\$109.20	15.83%	\$316.37
AUTOMATIC DATA PROCESSING INCORPORATED (ADP)	10,000 <sup>c</sup>	10/07/2013	\$71.240	\$712.40	\$80.799	\$807.99	2.38%	\$19.20	13.42%	\$95.59
BAE SYSTEMS PLC SPONSORED ADR (UNITED KINGDOM) (BAESY)	68,000 <sup>c</sup>	10/07/2013	\$29.020	\$1,973.36	\$28.819	\$1,958.69	4.15%	\$81.33	(0.69)%	\$(13.67)
BASF SE SPONSORED ADR (GERMANY) (BASFY)	15,000 <sup>c</sup>	10/07/2013	\$95.600	\$1,434.00	\$106.777	\$1,601.66	2.31%	\$36.99	11.99%	\$167.66
BCE INCORPORATED COM NEW (CANADA) (BCE)	52,000 <sup>c</sup>		\$42.717	\$2,221.26	\$43.312	\$2,252.22	5.07%	\$114.06	1.39%	\$30.96
LOT 1	45,000	10/07/2013	\$42.490	\$1,912.05	\$43.312	\$1,949.04	5.07%	\$98.72	1.93%	\$36.99
LOT 2	7,000	11/14/2013	\$44.173	\$309.21	\$43.312	\$303.18	5.07%	\$15.36	(1.95)%	\$(6.03)
BHP BILLITON LIMITED SPONSORED ADR (AUSTRALIA) (BHP)	14,000 <sup>c</sup>	10/07/2013	\$58.010	\$812.14	\$58.200	\$814.80	3.40%	\$32.48	3.32%	\$30.66
BRITISH AMERN TOB PLC SPONSORED ADR (UNITED KINGDOM) (BT)	7,000 <sup>c</sup>	10/07/2013	\$103.170	\$722.19	\$107.420	\$751.94	4.03%	\$30.26	4.12%	\$29.75
CME GROUP INCORPORATED (CME)	17,000 <sup>c</sup>		\$78.214	\$1,329.64	\$78.460	\$1,333.82	2.29%	\$30.60	0.31%	\$4.18
LOT 1	9,000	10/07/2013	\$74.718	\$672.46	\$78.460	\$706.14	2.29%	\$18.20	5.01%	\$33.68
LOT 2	3,000	12/13/2013	\$80.853	\$242.55	\$78.460	\$235.38	2.29%	\$5.40	(2.88)%	\$(7.18)
LOT 3	5,000	12/18/2013	\$82.924	\$414.62	\$78.460	\$392.30	2.29%	\$9.00	(5.39)%	\$(22.32)
CENTRICA PLC SPON ADR NEW (UNITED KINGDOM) (CPYY)	57,000 <sup>c</sup>	10/07/2013	\$23.740	\$1,353.18	\$23.035	\$1,313.00	4.45%	\$58.43	(2.97)%	\$(40.18)



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### Equities (continued)

#### Stocks (continued)

Description (Symbol)	Quantity	Date Acquired	Unit Cost	Total Cost Basis	Price	Value	Est. Income Yield	Est. Annual Income	Gain or (Loss) Pct.	Gain or (Loss)
CENTURYLINK INCORPORATED (CTL)	51,000 <sup>c</sup>	10/07/2013	\$31.529	\$1,608.00	\$31.850	\$1,624.35	6.78%	\$110.18	1.02%	\$16.35
COMCAST CORPORATION NEW CLASS A SPL (CMCSK)	17,000 <sup>c</sup>	10/07/2013	\$43.908	\$746.44	\$49.880	\$847.96	1.56%	\$13.28	13.60%	\$101.52
COMMONWEALTH BANK OF AUSTRALIA SPONSORED ADR (AUSTRALIA) (CMWAY)	10,000 <sup>c</sup>	10/07/2013	\$66.810	\$668.10	\$69.604	\$696.04	5.10%	\$35.49	4.18%	\$27.94
COMPASS GROUP PLC SPON ADR NEW (UNITED KINGDOM) (CMPGY)	46,000 <sup>c</sup>	10/07/2013	\$13.670	\$628.82	\$16.033	\$737.52	2.18%	\$16.05	17.29%	\$108.70
CONOCOPHILLIPS (COP)	17,000 <sup>c</sup>	10/07/2013	\$71.018	\$1,207.31	\$70.650	\$1,201.05	3.91%	\$46.92	(0.52)%	\$(5.26)
DEERE & COMPANY (DE)	8,000 <sup>c</sup>	10/07/2013	\$82.670	\$661.36	\$91.330	\$730.64	2.23%	\$16.32	10.48%	\$69.28
DEUTSCHE TELEKOM AG SPONSORED ADR (GERMANY) (DTGTY)	130,000 <sup>b</sup>	10/07/2013	\$15.300	\$1,988.99	\$17.128	\$2,226.64	5.23%	\$116.48	11.95%	\$237.65
DEUTSCHE POST AG SPONSORED ADR (GERMANY) (DPSTY)	21,000 <sup>c</sup>	10/07/2013	\$32.610	\$684.81	\$36.516	\$766.84	2.43%	\$18.63	11.98%	\$82.03
DIAGEO P L C SPON ADR NEW (UNITED KINGDOM) (DEO)	5,000 <sup>c</sup>	10/07/2013	\$125.620	\$628.10	\$132.420	\$662.10	2.26%	\$14.69	5.25%	\$33.00
DIAMOND OFFSHORE DRILLING INCORPORATED (DO)	21,000 <sup>c</sup>	10/07/2013	\$82.840	\$1,719.63	\$56.920	\$1,195.32	0.88%	\$10.50	(9.42)%	\$(124.31)
DOMINION RES INCORPORATED VA NEW (D)	10,000 <sup>c</sup>	10/07/2013	\$81.920	\$819.20	\$84.890	\$848.90	3.48%	\$22.50	4.47%	\$27.70
DONNELLEY R R & SONS COMPANY (RRD)	57,000 <sup>c</sup>	10/07/2013	\$16.935	\$965.30	\$20.280	\$1,155.96	5.13%	\$59.28	27.27%	\$247.66

### Equities (continued)

#### Stocks (continued)

Description (Symbol)	Quantity	Date Acquired	Unit Cost	Total Cost Basis	Price	Value	Est. Income Yield	Est. Annual Income	Gain or (Loss) Pct.	Gain or (Loss)
DOW CHEMICAL COMPANY (DOW)	28,000 °	10/07/2013	\$39.518	\$1,027.47	\$44.400	\$1,154.40	2.88%	\$33.28	12.35%	\$126.93
DU PONT DE NEMOURS & COMPANY (DD)	12,000 °	10/07/2013	\$58.310	\$699.72	\$64.970	\$779.64	2.77%	\$21.60	11.42%	\$79.92
DUKE ENERGY CORPORATION NEW COM NEW (DUK)	29,000 °	10/07/2013	\$69.548	\$1,929.89	\$69.010	\$2,001.29	4.52%	\$90.48	3.70%	\$71.40
ELECTRICITE DE FRANCE ADR (FRANCE) (ECIFY)	253,000 °		\$8.546	\$1,656.19	\$7.019	\$1,775.81	3.36%	\$59.71	7.22%	\$119.62
LOT 1	211,000	10/07/2013	\$8.413	\$1,353.04	\$7.019	\$1,481.01	3.36%	\$49.80	9.46%	\$127.97
LOT 2	42,000	11/18/2013	\$7.218	\$303.15	\$7.019	\$294.80	3.36%	\$9.91	(2.75)%	\$(8.35)
EMERSON ELEC COMPANY (EMR)	14,000 °	10/07/2013	\$63.980	\$895.72	\$70.180	\$982.52	2.45%	\$24.08	9.89%	\$88.80
GALLAGHER ARTHUR J & COMPANY (AJG)	15,000 °	10/07/2013	\$44.035	\$660.53	\$46.930	\$703.95	2.98%	\$21.00	6.57%	\$43.42
GLAXOSMITHKLINE PLC SPONSORED ADR (UNITED KINGDOM) (GSK)	35,000 °	10/07/2013	\$50.290	\$1,760.14	\$53.390	\$1,868.85	4.51%	\$84.92	6.16%	\$108.51
HONEYWELL INTERNATIONAL INCORPORATED (HON)	8,000 °	10/07/2013	\$83.170	\$665.36	\$91.370	\$730.96	1.97%	\$14.40	9.86%	\$65.60
IMPERIAL TOBACCO GROUP PLC SPONSORED ADR (UNITED KINGDOM) (TYBY)	29,000 °		\$72.699	\$2,108.28	\$77.447	\$2,245.96	4.75%	\$106.72	6.53%	\$137.68
LOT 1	24,000	10/07/2013	\$71.500	\$1,716.00	\$77.447	\$1,858.73	4.75%	\$88.32	8.32%	\$142.73
LOT 2	5,000	11/15/2013	\$78.456	\$392.28	\$77.447	\$387.24	4.75%	\$18.40	(1.28)%	\$(5.04)
INTEGRYS ENERGY GROUP INCORPORATED (TEG)	14,000 °	10/07/2013	\$55.030	\$770.42	\$54.410	\$761.74	5.00%	\$38.08	(1.13)%	\$(8.68)
JOHNSON & JOHNSON (JNJ)	8,000 °	10/07/2013	\$86.800	\$694.40	\$91.590	\$732.72	2.88%	\$21.12	5.62%	\$38.32



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**RAYMOND JAMES®****Your Portfolio (continued)**

Bruce &amp; Sandra Von Cannon JTWROS Account No.

**Equities (continued)****Stocks (continued)**

Description (Symbol)	Quantity	Date Acquired	Unit Cost	Total Cost Basis	Price	Value	Est. Income Yield	Est. Annual Income	Gain or (Loss) Pct.	Gain or (Loss)
KLA-TENCOR CORPORATION (KLAC)	16,000 <sup>c</sup>	10/07/2013	\$60.896	\$974.34	\$64.460	\$1,031.36	2.79%	\$28.80	5.85%	\$57.02
KIMBERLY CLARK CORPORATION (KMB)	11,000 <sup>c</sup>	10/07/2013	\$94.170	\$1,035.87	\$104.480	\$1,149.06	3.10%	\$35.84	10.93%	\$113.19
LOCKHEED MARTIN CORPORATION (LMT)	13,000 <sup>c</sup>	10/07/2013	\$124.245	\$1,615.19	\$148.660	\$1,932.58	3.58%	\$69.16	19.65%	\$317.39
LORILLARD INCORPORATED (LO)	38,000 <sup>c</sup>	10/07/2013	\$45.360	\$1,769.04	\$50.680	\$1,976.52	4.34%	\$85.80	11.73%	\$207.48
MATTEL INCORPORATED (MAT)	30,000 <sup>c</sup>	10/07/2013	\$41.367	\$1,241.00	\$47.580	\$1,427.40	3.03%	\$43.20	16.02%	\$186.40
MCDONALDS CORPORATION (MCD)	8,000 <sup>c</sup>	10/07/2013	\$94.580	\$756.64	\$97.030	\$776.24	3.34%	\$25.92	2.59%	\$19.60
MERCK & COMPANY INCORPORATED NEW (MRK)	17,000 <sup>c</sup>	10/07/2013	\$48.040	\$816.68	\$50.060	\$850.85	3.52%	\$29.92	4.18%	\$34.17
MICROSOFT CORPORATION (MSFT)	21,000 <sup>c</sup>	10/07/2013	\$33.330	\$699.93	\$37.410	\$785.61	2.99%	\$23.52	12.24%	\$85.68
MICROCHIP TECHNOLOGY INCORPORATED (MCHP)	21,000 <sup>c</sup>	10/07/2013	\$39.597	\$831.53	\$44.760	\$939.75	3.17%	\$29.78	13.01%	\$108.22
MUNICH RE GROUP ADR (GERMANY) (MURGY)	67,000 <sup>c</sup>	10/07/2013	\$19.600	\$1,313.17	\$22.068	\$1,476.66	2.81%	\$41.54	12.58%	\$165.39
NATIONAL GRID PLC SPON ADR NEW (UNITED KINGDOM) (NGG)	33,000 <sup>c</sup>	10/07/2013	\$60.568	\$1,965.73	\$65.320	\$2,155.66	4.82%	\$103.88	9.66%	\$189.83
NESTLE S A SPONSORED ADR (SWITZERLAND) (NSRGY)	10,000 <sup>c</sup>	10/07/2013	\$66.360	\$663.00	\$73.590	\$735.90	2.47%	\$18.16	7.60%	\$62.00
NOVARTIS A G SPONSORED ADR (SWITZERLAND) (NVS)	15,000 <sup>c</sup>	10/07/2013	\$75.428	\$1,131.42	\$80.360	\$1,205.70	2.58%	\$30.86	8.57%	\$74.28

### Equities (continued)

#### Stocks (continued)

Description (Symbol)	Quantity	Date Acquired	Unit Cost	Total Cost Basis	Price	Value	Est. Income Yield	Est. Annual Income	Gain or (Loss) Pct.	Gain or (Loss)
ORKLA A S SPON ADR A (NORWAY) (ORKLY)	134,000 <sup>c</sup>		\$7.760	\$1,039.90	\$7.800	\$1,045.20	4.36%	\$45.56	0.51%	\$5.30
LOT 1	46,000	11/21/2013	\$7.870	\$362.01	\$7.800	\$358.80	4.36%	\$15.64	(0.80)%	\$(3.21)
LOT 2	39,000	11/21/2013	\$7.885	\$307.53	\$7.800	\$304.20	4.36%	\$13.26	(1.08)%	\$(3.33)
LOT 3	49,000	12/12/2013	\$7.558	\$370.36	\$7.800	\$382.20	4.36%	\$16.66	3.20%	\$11.84
PPL CORPORATION (PPL)	59,000 <sup>c</sup>	10/07/2013	\$30.047	\$1,772.76	\$30.090	\$1,775.31	4.89%	\$86.73	0.14%	\$2.55
PEARSON PLC SPONSORED ADR (UNITED KINGDOM) (PSO)	80,000 <sup>c</sup>	10/07/2013	\$19.910	\$1,194.80	\$22.400	\$1,844.00	3.21%	\$43.08	12.51%	\$149.40
PEPSICO INCORPORATED (PEP)	8,000 <sup>c</sup>	10/07/2013	\$79.330	\$634.64	\$82.940	\$663.52	2.74%	\$18.18	4.55%	\$28.88
PHILIP MORRIS INTERNATIONAL INCORPORATED (PM)	18,000 <sup>c</sup>	10/07/2013	\$86.920	\$1,564.56	\$97.130	\$1,568.34	4.32%	\$67.88	0.24%	\$3.78
PHILIPPINE LONG DISTANCE TEL SPONSORED ADR (PHILIPPINES) (PHI)	11,000 <sup>a</sup>		\$67.982	\$747.80	\$90.080	\$990.88	3.56%	\$23.50	(11.62)%	\$(66.92)
LOT 1	9,000	10/07/2013	\$69.280	\$623.52	\$60.080	\$540.72	3.56%	\$19.23	(13.28)%	\$(82.80)
LOT 2	2,000	12/03/2013	\$82.140	\$124.28	\$60.080	\$120.16	3.56%	\$4.27	(3.32)%	\$(4.12)
POTASH CORPORATION SASK INCORPORATED (CANADA) (POT)	28,000 <sup>c</sup>	12/03/2013	\$31.827	\$891.16	\$32.960	\$922.88	4.04%	\$37.24	3.56%	\$31.72
REGAL ENTERTAINMENT GROUP CLASS A (RGC)	50,000 <sup>c</sup>	10/07/2013	\$18.640	\$927.00	\$19.450	\$972.50	4.32%	\$42.00	4.91%	\$45.50
REYNOLDS AMERICAN INCORPORATED (RAI)	40,000 <sup>a</sup>	10/07/2013	\$49.530	\$1,981.20	\$49.990	\$1,999.60	5.04%	\$100.80	0.93%	\$18.40
ROCHE HLDG LIMITED SPONSORED ADR (SWITZERLAND) (RHHBY)	13,000 <sup>c</sup>	10/07/2013	\$85.580	\$852.67	\$70.051	\$910.66	2.32%	\$21.11	6.80%	\$57.99



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## Equities (continued)

### Stocks (continued)

Description (Symbol)	Quantity	Date Acquired	Unit Cost	Total Cost Basis	Price	Value	Est. Income Yield	Est. Annual Income	Gain or (Loss) Pct.	Gain or (Loss)
ROGERS COMMUNICATIONS INCORPORATED CLASS B (CANADA) (RCI)	25,000 °	10/07/2013	\$43.450	\$1,086.25	\$45.261	\$1,131.53	3.62%	\$40.96	4.17%	\$45.29
ROYAL DUTCH SHELL PLC SPONS ADR A (NETHERLANDS) (RDSA)	26,000 °	10/07/2013	\$64.908	\$1,667.81	\$71.270	\$1,853.02	4.29%	\$79.56	9.80%	\$185.41
SSE PLC SPONSORED ADR (UNITED KINGDOM) (SSEZY)	81,000 °	10/07/2013	\$23.360	\$1,892.12	\$22.691	\$1,837.97	5.88%	\$108.14	(2.86)%	\$(54.16)
SANOFI SPONSORED ADR (FRANCE) (SNY)	19,000 °	10/07/2013	\$50.830	\$965.77	\$53.630	\$1,018.97	2.34%	\$23.85	5.61%	\$53.20
SEVERN TRENT PLC SPONSORED ADR (UNITED KINGDOM) (STRNT)	27,000 °	10/07/2013	\$28.949	\$781.62	\$28.239	\$762.45	4.20%	\$32.00	(2.45)%	\$(19.17)
SHAW COMMUNICATIONS INCORPORATED CLASS B - CONV (CANADA) (SHR)	46,000 °	10/07/2013	\$24.020	\$1,090.90	\$24.339	\$1,095.26	3.95%	\$43.22	1.33%	\$14.36
SOUTHERN COMPANY (SO)	38,000 °		\$40.836	\$1,551.84	\$41.110	\$1,562.18	4.94%	\$77.14	0.87%	\$10.34
LOT 1	23,000	10/07/2013	\$40.620	\$934.26	\$41.110	\$945.53	4.94%	\$46.69	1.21%	\$11.27
LOT 2	8,000	11/13/2013	\$41.444	\$331.55	\$41.110	\$328.88	4.94%	\$16.24	(0.81)%	\$(2.67)
LOT 3	7,000	12/03/2013	\$40.881	\$286.03	\$41.110	\$287.77	4.94%	\$14.21	0.61%	\$1.74
STATOIL ASA SPONSORED ADR (NORWAY) (STO)	39,000 °		\$23.005	\$897.18	\$24.130	\$941.07	3.56%	\$33.50	4.89%	\$43.89
LOT 1	13,000	11/14/2013	\$22.772	\$296.04	\$24.130	\$313.69	3.56%	\$11.17	5.96%	\$17.65
LOT 2	26,000	11/15/2013	\$23.121	\$601.14	\$24.130	\$627.38	3.56%	\$22.33	4.37%	\$26.24
SVENSKA HANDELSBANKEN AB ADR (SWEDEN) (SVNLY)	29,000 °	10/07/2013	\$21.409	\$620.86	\$24.601	\$713.43	2.62%	\$18.71	14.91%	\$92.57

### Equities (continued)

#### Stocks (continued)

Description (Symbol)	Quantity	Date Acquired	Unit Cost	Total Cost Basis	Price	Value	Est. Income Yield	Est. Annual Income	Gain or (Loss) Pct.	Gain or (Loss)
SWISSCOM AG SPONSORED ADR (SWITZERLAND) (SCMWY)	43,000 <sup>c</sup>	10/07/2013	\$47.480	\$2,041.64	\$52.949	\$2,278.81	3.71%	\$84.54	11.52%	\$235.17
TECO ENERGY INCORPORATED (TE)	84,000 <sup>c</sup>		\$16.716	\$1,404.13	\$17.240	\$1,448.16	5.10%	\$73.92	3.14%	\$44.03
LOT 1	58,000	10/07/2013	\$16.528	\$958.62	\$17.240	\$999.92	5.10%	\$51.04	4.31%	\$41.30
LOT 2	26,000	12/03/2013	\$17.135	\$445.51	\$17.240	\$448.24	5.10%	\$22.88	0.81%	\$2.73
TELSTRA CORPORATION LIMITED SPON ADR FINAL (AUSTRALIA) (TLSYY)	72,000 <sup>c</sup>	10/07/2013	\$23.240	\$1,673.28	\$23.485	\$1,690.92	5.73%	\$96.91	1.05%	\$17.64
TURNA RETE ELETTRICA NAZIONALE ADR (ITALY) (TEZNY)	135,000 <sup>c</sup>	10/07/2013	\$14.116	\$1,905.65	\$15.309	\$2,066.72	3.71%	\$76.68	8.45%	\$161.07
TIME WARNER INCORPORATED COM NEW (TWX)	11,000 <sup>c</sup>	10/07/2013	\$65.820	\$725.12	\$69.720	\$766.92	1.65%	\$12.65	5.76%	\$41.80
TOTAL S A SPONSORED ADR (FRANCE) (TOT)	36,000 <sup>c</sup>	10/07/2013	\$58.246	\$2,096.86	\$61.270	\$2,206.72	4.20%	\$94.54	5.19%	\$108.86
UNITED UTILITIES GROUP PLC SPONSORED ADR (UNITED KINGDOM) (UUGRY)	72,000 <sup>d</sup>		\$22.448	\$1,616.23	\$22.244	\$1,601.57	4.72%	\$75.67	(0.91)%	\$(14.66)
LOT 1	64,000	10/07/2013	\$22.550	\$1,443.20	\$22.244	\$1,423.62	4.72%	\$67.26	(1.36)%	\$(19.58)
LOT 2	8,000	12/03/2013	\$21.629	\$173.03	\$22.244	\$177.95	4.72%	\$8.41	2.84%	\$4.92
VERIZON COMMUNICATIONS INCORPORATED (VZ)	29,000 <sup>c</sup>	10/07/2013	\$47.578	\$1,379.76	\$49.140	\$1,425.06	4.31%	\$61.48	3.28%	\$45.30
VINCI S A ADR (FRANCE) (VIGSY)	121,000 <sup>e</sup>	10/07/2013	\$14.880	\$1,800.44	\$16.439	\$1,989.12	2.57%	\$51.06	10.48%	\$188.68



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### Equities (continued)

#### Stocks (continued)

Description (Symbol)	Quantity	Date Acquired	Unit Cost	Total Cost Basis	Price	Value	Est. Income Yield	Est. Annual Income	Gain or (Loss) Pct.	Gain or (Loss)
VIVENDI SA ADR (FRANCE) (VIVHY)	49,000 °	10/07/2013	\$23.317	\$1,142.51	\$28.395	\$1,293.36	3.91%	\$50.57	13.20%	\$150.85
VODAFONE GROUP PLC NEW SPONS ADR NEW (UNITED KINGDOM) (VOD)	65,000 °	10/07/2013	\$35.246	\$2,290.97	\$30.310	\$2,555.15	4.04%	\$103.35	11.53%	\$264.18
WM MORRISON SUPERMARKETS PLC ADR (UNITED KINGDOM) (MRWSY)	31,000 °	10/07/2013	\$22.379	\$693.75	\$21.814	\$670.03	4.06%	\$27.19	(3.42)%	\$(23.72)
WASTE MGMT INCORPORATED DEL (WM)	16,000 °	10/07/2013	\$40.960	\$655.36	\$44.870	\$717.92	3.25%	\$23.36	9.55%	\$62.56
WELLS FARGO & COMPANY NEW (WFC)	21,000 °	10/07/2013	\$40.808	\$856.97	\$45.400	\$953.40	2.84%	\$25.20	11.25%	\$96.43
WESTPAC BKG CORPORATION SPONSORED ADR (AUSTRALIA) (WBK)	30,000 °	10/07/2013	\$30.589	\$917.67	\$29.050	\$871.50	5.67%	\$49.41	(5.03)%	\$(48.17)
YARA INTERNATIONAL ASA SPONSORED ADR (NORWAY) (YARIY)	37,000 °		\$41.095	\$1,520.57	\$43.021	\$1,591.78	4.30%	\$66.49	4.88%	\$71.21
LOT 1	27,000	10/07/2013	\$40.110	\$1,082.97	\$43.021	\$1,161.57	4.30%	\$49.98	7.26%	\$78.60
LOT 2	5,000	11/18/2013	\$43.590	\$217.95	\$43.021	\$215.11	4.30%	\$9.26	(1.30)%	\$(2.84)
LOT 3	5,000	12/06/2013	\$43.930	\$219.65	\$43.021	\$215.11	4.30%	\$9.26	(2.07)%	\$(4.54)
DAIMLER AG REG SHS (GERMANY) (DDAIF)	20,000 °	10/07/2013	\$78.349	\$1,566.98	\$86.764	\$1,735.28	3.49%	\$60.53	10.74%	\$168.30
<b>Stocks Total</b>				<b>\$105,815.43</b>		<b>\$112,566.28</b>	<b>3.89%</b>	<b>\$4,373.84</b>	<b>8.38%</b>	<b>\$6,750.85</b>

### Realized Capital Gains & Losses (continued) °

#### Short Term (continued)

Description (Symbol or CUSIP)	Quantity	Opening Date	Opening Amount	Closing Date	Closing Amount	Gain or (Loss) Pct.	Gain or (Loss)
FRESENIUS MED CARE AG&CO KGAA SPONSORED ADR (GERMANY) (FMS)	51,000 °	02/04/2013	\$1,879.74	10/07/2013	\$1,651.35	(12.15)%	\$(228.39)
HARLEY DAVIDSON INCORPORATED (HOG)	18,000 °	05/10/2013	\$1,114.41	10/07/2013	\$1,158.29	3.75%	\$41.88
BRISTOL MYERS SQUIBB COMPANY (BMY)	7,000 °	10/07/2013	\$330.94	11/13/2013	\$361.99	9.38%	\$31.05
BRISTOL MYERS SQUIBB COMPANY (BMY)	6,000 °	10/07/2013	\$263.66	11/13/2013	\$310.04	9.29%	\$26.38
PHILIP MORRIS INTERNATIONAL INCORPORATED (PM)	8,000 °	10/07/2013	\$521.52	11/20/2013	\$548.45	5.18%	\$26.93
REYNOLDS AMERICAN INCORPORATED (RAI)	8,000 °	10/07/2013	\$395.24	11/20/2013	\$411.50	3.85%	\$15.26
ROGERS COMMUNICATIONS INCORPORATED CLASS B (CANADA) (RCI)	9,000 °	10/07/2013	\$391.05	11/20/2013	\$403.29	3.13%	\$12.24
CONOCOPHILLIPS (COP)	4,000 °	10/07/2013	\$284.07	12/03/2013	\$289.80	2.01%	\$5.73
DEUTSCHE POST AG SPONSORED ADR (GERMANY) (DPSGY)	9,000 °	10/07/2013	\$293.49	12/03/2013	\$309.13	5.32%	\$15.64
KIMBERLY CLARK CORPORATION (KMB)	4,000 °	10/07/2013	\$376.88	12/03/2013	\$424.92	12.80%	\$48.24
LOCKHEED MARTIN CORPORATION (LMT)	3,000 °	10/07/2013	\$372.74	12/03/2013	\$416.89	11.79%	\$43.95
ROCHE HLDG LIMITED SPONSORED ADR (SWITZERLAND) (RHHBY)	5,000 °	10/07/2013	\$327.95	12/03/2013	\$343.48	4.73%	\$15.53
CONOCOPHILLIPS (COP)	3,000 °	10/07/2013	\$213.05	12/04/2013	\$216.39	1.56%	\$3.34
DEUTSCHE POST AG SPONSORED ADR (GERMANY) (DPSGY)	7,000 °	10/07/2013	\$228.27	12/04/2013	\$237.84	4.10%	\$9.37
ROCHE HLDG LIMITED SPONSORED ADR (SWITZERLAND) (RHHBY)	4,000 °	10/07/2013	\$262.36	12/04/2013	\$270.31	3.03%	\$7.95
MUNICH RE GROUP ADR (GERMANY) (MURGY)	12,000 °	10/07/2013	\$235.20	12/12/2013	\$254.39	8.15%	\$19.19
VINCI S A ADR (FRANCE) (VCISY)	15,000 °	10/07/2013	\$223.20	12/12/2013	\$233.34	4.54%	\$10.14
DEUTSCHE POST AG SPONSORED ADR (GERMANY) (DPSGY)	8,000 °	10/07/2013	\$195.66	12/13/2013	\$202.54	3.51%	\$6.88
JOHNSON & JOHNSON (JNJ)	2,000 °	10/07/2013	\$173.60	12/13/2013	\$182.89	5.35%	\$9.29
WASTE MGMT INCORPORATED DEL (WM)	6,000 °	10/07/2013	\$245.76	12/13/2013	\$261.84	6.54%	\$16.08



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### Realized Capital Gains & Losses (continued) °

#### Short Term (continued)

Description (Symbol or CUSIP)	Quantity	Opening Date	Opening Amount	Closing Date	Closing Amount	Gain or (Loss) Pct.	Gain or (Loss)
WASTE MGMT INCORPORATED DEL (WM)	7.000 °	10/07/2013	\$286.72	12/17/2013	\$304.46	6.18%	\$17.74
Net Short-Term Gain / Loss Total			\$11,550.17		\$12,356.20	6.98%	\$806.12

° Please see Cost Basis on the Understanding Your Statement page.

#### Long Term

Description (Symbol or CUSIP)	Quantity	Opening Date	Opening Amount	Closing Date	Closing Amount	Gain or (Loss) Pct.	Gain or (Loss)
BLACKROCK HEALTH SCIENCES OPPORTUNITIES PORT CL C M/F (SHSCX)	55,814	VARIOUS	\$1,434.92	10/03/2013	\$2,167.26	51.03%	\$732.34
BLACKROCK HEALTH SCIENCES OPPORTUNITIES PORT CL C M/F (SHSCX)	595,711	05/24/2010	\$15,000.00	10/03/2013	\$23,131.46	54.20%	\$8,131.46
COLUMBIA SELIGMAN COMM & INFORMATION FUND CLASS C M/F (SCICX)	25,321	12/21/2011	\$849.77	10/03/2013	\$937.64	10.34%	\$87.87
COLUMBIA SELIGMAN COMM & INFORMATION FUND CLASS C M/F (SCICX)	486,066	05/24/2010	\$15,000.00	10/03/2013	\$17,999.02	19.99%	\$2,999.02
IVY SCIENCE & TECHNOLOGY FUND CLASS C M/F (WSTCX)	57,303	VARIOUS	\$1,479.54	10/03/2013	\$2,510.45	69.67%	\$1,030.91
IVY SCIENCE & TECHNOLOGY FUND CLASS C M/F (WSTCX)	591,250	05/24/2010	\$15,000.00	10/03/2013	\$25,902.86	72.68%	\$10,902.86
AIR PRODUCTS & CHEMICALS INCORPORATED (APD)	12,000	01/27/2010	\$1,017.27	10/07/2013	\$1,260.81	23.94%	\$243.54
AMERICAN CAPITAL AGENCY CORPORATION REIT (AGNC)	32,000 °	01/26/2012	\$1,004.47	10/07/2013	\$736.30	(26.69)%	\$(268.17)
BARCLAYS BANK PLC IPATH INDEX LINKED TO GOLDMAN SACHS CRUDE OIL RETURN INDEX DUE 08/14/2036 (08738C788)	46,000	04/03/2008	\$992.77	10/07/2013	\$1,125.14	13.33%	\$132.37
ISHARES MSCI EMG MKT ETF (EEM)	22,000 °	01/30/2012	\$977.07	10/07/2013	\$918.48	(5.99)%	\$(58.59)
MEDTRONIC INCORPORATED (MDT)	30,000	05/29/2009	\$1,079.29	10/07/2013	\$1,585.77	46.92%	\$506.48
NEW YORK CMNTY BANCORP INCORPORATED (NYCB)	72,000 °	01/26/2012	\$991.59	10/07/2013	\$1,100.86	11.01%	\$109.27
POTASH CORPORATION SASK INCORPORATED (CANADA) (POT)	30,000	05/29/2009	\$1,206.45	10/07/2013	\$984.26	(18.41)%	\$(222.17)