

**UNITED STATES HOUSE OF REPRESENTATIVES  
CALENDAR YEAR 2009 FINANCIAL DISCLOSURE STATEMENT**

Form A  
For use by Members, officers, and employees

Page 1 of 4  
LEGISLATIVE RESOURCE CENTER  
2010 APR 15 PM 5:53

Name:

*Aaron Jon Schock*

Daytime Telephone: *202.225.6201*

**HAND  
DELIVERED**

<b>Filer Status</b>	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <i>IL</i>	District: <i>18</i>	<input type="checkbox"/> Officer or Employee	Employing Office:
<b>Report Type</b>	<input checked="" type="checkbox"/> Annual (May 17, 2010)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Termination Date:	

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

**PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS**

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? <i>If yes, complete and attach Schedule I.</i>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? <i>If yes, complete and attach Schedule VI.</i>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? <i>If yes, complete and attach Schedule II.</i>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? <i>If yes, complete and attach Schedule VII.</i>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? <i>If yes, complete and attach Schedule III.</i>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? <i>If yes, complete and attach Schedule VIII.</i>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? <i>If yes, complete and attach Schedule IV.</i>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? <i>If yes, complete and attach Schedule IX.</i>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? <i>If yes, complete and attach Schedule V.</i>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.		

**EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS**

TRUSTS — Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
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 Standards of Official Conduct.	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>

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

# SCHEDULE V - LIABILITIES

Name

Aaron Jan Shock

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

SP, DC, JT	Creditor	Type of Liability	Amount of Liability															
			B	C	D	E	F	G	H	I	J	K						
			\$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						
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X												
	Bursley Bank, Illinois	Mortgage for Old Orchard Land Trust							X									
	Dunlap Bank, Illinois	Mortgage on 2414 W. Augusta Dr.								X								
	Chase Bank, Illinois	Financing for Roadster Cabarets						X										

# SCHEDULE VI - GIFTS

Report the source, a brief description, and the value of all gifts totaling more than \$335 received by you, your spouse, or a dependent child from any source during the year. **Exclude:** Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be added towards the \$335 disclosure threshold.

**Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	\$345

Name Aaron Jon Schock Page 4 of 4

**Exclude:** Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. §7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

[illegible]



**2009 AMENDED FORMS 1099**

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**Your Financial Advisor :**

KUNKLE, HEMMER, MCRAVEN

INVESTMENT GROUP

2411 W CORNERSTONE COURT

PEORIA, IL 61614

(309) 683-3701

**For Banking Inquiries call:**

1-888-215-3904

**AMENDMENT TO FORMS 1099**

This package contains amendments to your Form 1099. Any changes are usually caused by dividend reclassification information received since your original form, or previously amended form, was printed.

This package contains only updated tax information. Please retain statement information from original tax package.

Corrections are marked with an "X" for your convenience. Please retain this package for tax preparation purposes.

Certain conditions may result in updates not being marked. If there is nothing marked on this Amendment, please compare this form to your original to determine the change(s).

Please consult with your tax advisor concerning the tax reporting requirements of this information. If you have questions, contact your Financial Advisor.

020418 03 MADC 144 \*\*\*AUTO\*\*3-DIGIT 616  
AARON J SCHOCK  
PEORIA, IL 61603

Wells Fargo Advisors (WFA) is the trade name used by two separate, registered broker-dealers and non-bank affiliates of Wells Fargo & Company, providing certain retail securities brokerage services: Wells Fargo Advisors, LLC and Wells Fargo Advisors Financial Network, LLC (WFAFN), Members SIPC. Any other referenced entity is a separate entity from WFA. Accounts carried by First Clearing, LLC.

We are not a legal or tax advisor. However, our advisors will be glad to work with you, your accountant, tax advisor and/or attorney to help you meet your financial goals.

*Investment and Insurance products:*

NOT FDIC-Insured	NO Bank Guarantee	MAY Lose Value
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## 2009 Instructions for Recipient

*Remember, if an IRS Form 1099 includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a separate Form 1099-JIT, 1099-DIV, 1099-CID, 1099-CD, 1099-MISC, or 1099-C for each of the other owners showing the income allocated to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File the applicable Form(s) 1099 with Form 1040, Annual Summary and Transmittal of U.S. Information Returns, with the Internal Revenue Service Center for your area. On Form 1040, list yourself as the "filer." A husband or wife is not required to file a nominee return to show amounts owned by the other.*

### FORM 1099-DIV (OMB No. 1545-0110)

Box 1a. Shows total ordinary dividends that are taxable. Include this amount on line 8a of Form 1040 or 1040A. Also, report it on Schedule B (Form 1040) or Schedule 1 (Form 1040A), if required. The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040/1040A but treat it as a plan distribution. Not as investment income, for any other purpose.

Box 1b. Shows the portion of the amount in box 1a that may be eligible for the 15% or zero capital gains rates. See the Form 1040/1040A instructions for how to determine this amount. Report the eligible amount on line 8b, Form 1040 or 1040A.

Box 2a. Shows total capital gain distributions from a regulated investment company or real estate investment trust. Report the amounts shown in box 2a on Schedule D (Form 1040), line 13. But, if no amount is shown in boxes 2a-2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on line 13 of Form 1040 (line 10 of Form 1040A) rather than Schedule D. See the Form 1040/1040A instructions.

Box 2b. Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. Report this amount on the Unrecaptured Section 1250 Gain Worksheet, Line 18 in the Schedule D instructions (Form 1040).

Box 2c. Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to a 50% exclusion and certain empowerment zone business stock that may be subject to a 60% exclusion. See the Schedule D (Form 1040) instructions.

Box 2d. Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet-Line 18 in the instructions for Schedule D (Form 1040).

Box 3. Shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your stock. But if you get back all or your cost (or other basis), report future distributions as capital gain. See Pub. 550, Investment Income and Expenses.

Box 4. Shows backup withholding. For example, a payer must backup withhold on certain payments at a 28% rate if you did not give your taxpayer identification number to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

Box 5. Shows your share of expenses of a nonpublicly offered regulated investment company, generally a nonpublicly offered mutual fund. If you file Form 1040, you may deduct these expenses on the "Other expenses" line on Schedule A (Form 1040) subject to the 2% limit. This amount is included in box 1a.

Box 6. Shows the foreign tax you may be able to claim as a deduction or a credit on Form 1040. See the Form 1040 instructions.

Box 7. This box should be left blank if a regulated investment company reported the foreign tax shown in box 6.

Boxes 8 and 9. Shows cash and noncash liquidation distributions.

### FORM 1099-INT (OMB No. 1545-0112)

Box 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, Gulf tax credit bonds, qualified forestry conservation bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, and wilderness tax credit bonds that must be included in your interest income. These amounts were treated as paid to you during 2008 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8812, Credit to Holders of Tax Credit Bonds.

Box 2. Shows interest or principal foregone because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the instructions for Form 1040 to see where to take the deduction.

Box 3. Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not be all taxable. See Pub. 550, Investment Income and Expenses. This interest is exempt from state and local income taxes. This interest is not included in box 1.

Box 4. Shows backup withholding. Generally, a payer must backup withhold at a 28% rate if you did not furnish your taxpayer identification number (TIN) or you did not furnish the correct TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

Box 5. Any amount shown is your share of investment expenses of a single-class REMIC. If you file Form 1040, you may deduct these expenses on the "Other expenses" line of Schedule A (Form 1040) subject to the 2% limit. This amount is included in box 1.

Box 6. Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on Form 1040. See your Form 1040 instructions.

Box 8. Shows tax-exempt interest, including exempt-interest dividends from a mutual fund or other regulated investment company, paid to you during the calendar year by the payer. Report this amount on line 8b of Form 1040 or Form 1040A. This amount may be subject to backup withholding. See box 4.

Box 9. Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the instruction for Form 6251, Alternative Minimum Tax-Individuals.

### FORM 1099-CID (OMB No. 1545-0117)

Original issue discount (OID) is the excess of an obligation's stated redemption price at maturity over its issue price (acquisition price for a stripped bond or coupon). OID is taxable as interest over the life of the obligation. If you are the holder of an OID obligation, generally you must include an amount of OID in your gross income each year you hold the obligation. Obligations that may have OID include a bond, debenture, note, certificate, or other evidence of indebtedness having a term of more than 1 year. For example, the OID rules may apply to certificates of deposit (CDs), time deposits, bonus savings plans, and other deposit arrangements, especially if the payment of interest is deferred until maturity. In addition, the OID rules apply to Treasury inflation-protected securities. See Pub. 550, Investment Income and Expenses, for more information. If you bought or sold an obligation during the year and you are and a nominee, you are not required to issue or file Form 1099-CID showing the OID or stated interest allocable to the beneficiary of the obligation.

Box 1. Shows the OID on the obligation for the part of the year you owned it. Report the amount in box 1 as interest income on your income tax return. However, depending on the type of debt instrument, the issue or acquisition date, and other factors (for example, if you paid acquisition or bond premium, or the obligation is a stripped bond or coupon), you may have to figure the correct amount of OID to report on your return. See Pub. 1212, Guide to Original Issue Discount (OID) Instruments, for details on how to figure the correct OID.

Box 2. Shows other interest on this obligation for the year, which is an amount separate from the OID. If you had the obligation the entire year, report this amount as interest income on your tax return if you disposed of the obligation or acquired it from another holder during the year. See Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 6, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes.

Box 3. Shows interest or principal foregone if you withdrew the money before the maturity date of the obligation, such as from a CD. You may deduct this amount to figure your adjusted gross income on your income tax return. See the instructions for Form 1040 to see where to take the deduction.

Box 4. Shows backup withholding. Generally, a payer must backup withhold at a 28% rate if you did not furnish your taxpayer identification number (TIN) or you did not furnish the correct TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

Box 5. Shows the identification number (CUSIP number) or description of the obligation. The description may include the stock exchange, issuer, coupon rate, and year of maturity.

Box 6. Shows OID on a U.S. Treasury obligation for the part of the year you owned it. Report this amount as interest income on your federal income tax return, and see Pub. 1212 to figure any appropriate adjustments to this amount. This OID is exempt from state and local income taxes and is not included in box 1.

Box 7. Any amount shown is your share of investment expenses of a single-class REMIC. If you file Form 1040, you may deduct these expenses on the "Other expenses" line of Schedule A (Form 1040) subject to the 2% limit. This amount is included in box 2.

### FORM 1099-B (OMB No. 1545-0716)

Brokers and transfer agents must report proceeds from transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a change in control or a substantial change in capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock if your broker reported this type of transaction to you. The corporation is identified in the box below your name and address on Form 1099-B.

Box 1a. Shows the trade date of the transaction. For aggregate reporting, no entry will be present.

Box 1b. For broker transactions, may show the CUSIP (Committee on Uniform Securities Identification Procedures) number of the item reported.

Box 2. Shows the aggregate proceeds from transactions involving stocks, bonds, other debt obligations, commodities, or forward contracts. May show the proceeds from the disposition of your interests in a widely held fixed investment trust. Lessens or forward contracts and changes in control or substantial change in capital structure are shown in parentheses. This box does not include proceeds from regulated futures contracts. The broker must indicate whether gross proceeds or gross proceeds less commissions and option premiums were reported to the IRS. Report this amount on Schedule D (Form 1040), Capital Gains and Losses. However, if box 12 is checked, you cannot take a loss on your tax return based on gross proceeds from an acquisition of control or substantial change in capital structure reported in box 2. Do not report the loss on Schedule D (Form 1040). The broker should advise you of any losses on a separate statement.

Box 3. Shows the cash you received, the fair market value of any property or services you received, and/or the fair market value of any trade credits or scrip credited to your account by a barrier exchange. See Pub. 525, Taxable and Nontaxable Income, for information on how to report this income.

Box 4. Shows backup withholding. Generally, a payer must backup withhold at a 28% rate if you did not furnish your taxpayer identification number to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

Box 5. Shows the number of shares of the corporation's stock that you held which were exchanged in the change in control or substantial change in capital structure.

Box 6. Shows the class or classes of the corporation's stock that were exchanged in the change in control or substantial change in capital structure.

Box 7. Shows a brief description of the item or service for which the proceeds or bartering income is being reported. For regulated futures contracts and forward contracts, "R/C" or other appropriate description may be shown.





# 2009 AMENDED FORMS 1099

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**AARON J SCHOCK**  
PEORIA, IL 61603

**Your Financial Advisor :**  
KUNKLE, HEMMER, MCRAVEN  
INVESTMENT GROUP  
2411 W CORNERSTONE COURT  
PEORIA, IL 61614  
(309) 683-3701

**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**Amended Date:** 2/19/10

**For Banking Inquiries call:** 1-888-215-3904

## Summary of Reportable Tax Information

**Your Federal Identification Number:** [REDACTED]

### 1099-DIV Dividends and Distributions for 2009

OMB No. 1545-0110

IRS Box

	Amount
1a Total Ordinary Dividends	490.86
1b Qualified Dividends	278.56
2a Total Capital Gain Distributions	13.92
2b Unrecaptured Sec. 1250 Gain	0.00
2c Section 1202 Gain	0.00
2d Collectibles (28%) Gain	0.00
3 Nondividend Distributions	0.48
4 Federal Income Tax Withheld	0.00
5 Investment Expenses	0.00
6 Foreign Tax Paid	10.82
7 Foreign Country or U.S. Possession	See Detail Section
8 Cash Liquidation Distributions	0.00
9 Noncash Liquidation Distributions	0.00

### 1099-INT Interest Income for 2009

OMB No. 1545-0112

IRS Box

1 Interest Income	0.01
3 Interest on U.S. Savings Bonds and Treasury Obligations	0.00
4 Federal Income Tax Withheld	0.00
5 Investment Expenses	0.00
6 Foreign Tax Paid	0.00
7 Foreign Country or U.S. Possession	See Detail Section
8 Tax-Exempt Interest	1.70
9 Specified Private Activity Bond Interest	0.00

### 1099-B Summary of Proceeds from Broker and Barter Exchange for 2009

IRS Box

	Amount
1a Date of Sale or Exchange	See Detail Section
1b CUSIP Number	See Detail Section
2 Gross Proceeds Less Commissions and Option Premiums	16,422.34
4 Federal Income Tax Withheld	0.00
5 Number of Shares Exchanged	Not Applicable
6 Classes of Stock Exchanged	Not Applicable
7 Description	See Detail Section
12 Cannot Take Loss on Amount in Box 2 if Box is Checked	Not Applicable

The amount in IRS Box 2 is composed of the item(s) reported on the FORM 1099-B on a later page in this package. Each item is reported to the Internal Revenue Service individually.

**THIS PACKAGE INCLUDES YOUR FORMS 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. If you are required to file a return, a negligence penalty or other sanction will be imposed on you if the income is taxable and the IRS determines that it has not been reported.

## 2009 AMENDED FORMS 1099

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Page 4 of 23

AARON J SCHOCK

**Your Financial Advisor:**  
 KUNKLE, HEMMER, MCRAVEN  
 INVESTMENT GROUP  
 2411 W CORNERSTONE COURT  
 PEORIA, IL 61614  
 (309) 683-3701

**Payer:**  
 FIRST CLEARING, LLC  
 2801 MARKET STREET  
 SAINT LOUIS, MO 63103

Amended Date: 2/19/10

For Banking Inquiries call: 1-888-215-3904

Your Federal Identification Number: [REDACTED]

Tax reporting requirements can create differences with the amounts previously reported in monthly statements.

## Reportable Tax Information

## 1099-B Proceeds from Broker and Barter Exchange Transactions for 2009

OMB NO. 1545-0715

Description (Box 7)	Cusip (Box 1b)	Price	Quantity	Trade Date (Box 1a)	Amount	Box	Transaction Description	Reported On	Cost Basis Factor (Not reported to IRS)
BLACKROCK FDS II	091929760	26.01000	44.98800	06/22/2009	1,170.13	2	SALE	1099-B	
US OPORT PORT INSTL CL									
BLACKROCK FDS II	091929760	26.40000	4.36700	06/24/2009	115.29	2	SALE	1099-B	
US OPORT PORT INSTL CL									
DELAWARE GROUP ADVISER	245917802	10.14000	3.11800	06/22/2009	31.62	2	SALE	1099-B	
FDS INC US GROWTH PORT									
CL INSTL CL									
FMI FDS INC	302933106	17.49000	18.76600	06/22/2009	328.21	2	SALE	1099-B	
FOCUS FUND									
GOLDMAN SACHS TR	38141W182	1.00000	73.25000	01/09/2009	73.25	2	SALE	1099-B	
FINL SQUARE TAX FREE									
MONEY MKT INSTL CL									
GOLDMAN SACHS TR	38141W182	1.00000	66.80000	04/09/2009	66.80	2	SALE	1099-B	
FINL SQUARE TAX FREE									
MONEY MKT INSTL CL									
GOLDMAN SACHS TR	38141W182	1.00000	428.17000	06/22/2009	428.17	2	SALE	1099-B	
FINL SQUARE TAX FREE									
MONEY MKT INSTL CL									
GOLDMAN SACHS TR	38141W182	1.00000	80.78000	07/10/2009	80.78	2	SALE	1099-B	
FINL SQUARE TAX FREE									
MONEY MKT INSTL CL									

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

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# 2009 AMENDED FORMS 1099

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**WELLS FARGO ADVISORS**  
**AARON J SCHOCK**

**Your Financial Advisor:**  
KUNKLE, HEMMER, MCRAVEN  
INVESTMENT GROUP  
2411 W CORNERSTONE COURT  
PEORIA, IL 61614  
(309) 683-3701

**Payer:**  
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2801 MARKET STREET  
SAINT LOUIS, MO 63103

**Amended Date: 2/19/10**

**For Banking Inquiries call: 1-888-215-3904**

**Your Federal Identification Number:**

## Reportable Tax Information

### 1099-B Proceeds from Broker and Barter Exchange Transactions for 2009 *Continued*

OMB NO. 1545-0715

Description (Box 7)	Cusip (Box 1b)	Price	Quantity	Trade Date (Box 1a)	Amount	Box Description	Reported On	Cost Basis Factor (Not reported to IRS)
GOLDMAN SACHS TR FINL SQUARE TAX FREE MONEY MKT INSTL CL	38141W182	1.00000	81.04000	10/09/2009	81.04	2 SALE	1099-B	
GROWTH FUND AMERICA CL F1	399874403	22.12000	56.60900	06/22/2009	1,252.20	2 SALE	1099-B	
GROWTH FUND AMERICA CL F1	399874403	22.39000	5.29700	06/24/2009	118.60	2 SALE	1099-B	
HARBOR FUND SMALL CAP VALUE FD INSTL CL	411511843	12.87000	71.15200	06/22/2009	915.72	2 SALE	1099-B	
HARBOR FUND SMALL CAP VALUE FD INSTL CL	411511843	12.88000	9.07500	06/24/2009	116.89	2 SALE	1099-B	
HARRIS ASSOC INVT TR OAKMARK INTL FUND CL I	413838202	12.63000	102.97500	06/22/2009	1,300.57	2 SALE	1099-B	
HARRIS ASSOC INVT TR OAKMARK INTL FUND CL I	413838202	12.94000	8.90700	06/24/2009	115.26	2 SALE	1099-B	
HIGHMARK FUNDS GENEVA CAP GROWTH CL A	431113604	13.67000	135.10000	06/22/2009	1,846.82	2 SALE	1099-B	
HIGHMARK FUNDS GENEVA CAP GROWTH CL A	431113604	13.74000	7.55300	06/24/2009	103.78	2 SALE	1099-B	
HOTCHKIS & WILEY FDS MID CAP VALUE FD CL I	44134R800	13.38000	30.45800	06/22/2009	407.53	2 SALE	1099-B	

**THIS IS YOUR FORMS 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
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## 2009 AMENDED FORMS 1099

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**AARON J SCHOCK**

**Your Financial Advisor:**  
KUNKLE, HEMMER, MCRAVEN  
INVESTMENT GROUP  
2411 W CORNERSTONE COURT  
PEORIA, IL 61614  
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FIRST CLEARING, LLC  
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Amended Date: 2/19/10

For Banking Inquiries call: 1-888-215-3904

Your Federal Identification Number: [REDACTED]

## Reportable Tax Information

1099-B Proceeds from Broker and Barter Exchange Transactions for 2009 *Continued*

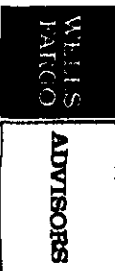
OMB NO. 1545-0715

Description (Box 7)	Cusip (Box 1b)	Price	Quantity	Trade Date (Box 1a)	Amount	IRS Transaction Box Description	Reported On	Cost Basis Factor (Not reported to IRS)
NUVEEN INVNT TR II TRADEWINDS INTL VALUE FD CL I	67065W803	20.52000	52.00100	06/22/2009	1,067.07	2 SALE	1099-B	
NUVEEN INVNT TR II TRADEWINDS INTL VALUE FD CL I	67065W803	20.87000	6.12600	06/24/2009	127.85	2 SALE	1099-B	
PARK AVE PORTFOLIO RS EMERGING MKTS FD CL A	700159833	22.65000	0.65800	10/09/2009	14.90	2 SALE	1099-B	
ROWE T PRICE EQUITY INCOME FD SH BEN INT	779547108	16.53000	78.00100	06/22/2009	1,289.35	2 SALE	1099-B	
ROWE T PRICE EQUITY INCOME FD SH BEN INT	779547108	16.72000	6.70900	06/24/2009	112.17	2 SALE	1099-B	
ROYCE FUND TOTAL RETURN FD CL W	780905444	8.63000	114.57500	06/22/2009	988.78	2 SALE	1099-B	
ROYCE FUND TOTAL RETURN FD CL W	780905444	8.68000	14.26100	06/24/2009	123.79	2 SALE	1099-B	
RS INVNT TR GLOBAL NATL RESOURCE FUND	74972H705	22.66000	26.75600	06/22/2009	606.29	2 SALE	1099-B	
RS INVNT TR GLOBAL NATL RESOURCE FUND	74972H705	23.26000	5.28500	06/24/2009	122.93	2 SALE	1099-B	

**THIS IS YOUR FORMS 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. If you are required to file a return, a negligence penalty or other sanction will be imposed on you if the income is taxable and the IRS determines that it has not been reported.



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2009 AMENDED FORMS 1099

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**AARON J SCHOCK**

**Your Financial Advisor :**  
KUNKLE, HEMMER, MCRAVEN  
INVESTMENT GROUP  
2411 W CORNERSTONE COURT  
PEORIA, IL 61614  
(309) 663-3701

**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**Amended Date: 2/19/10**

**For Banking Inquiries call: 1-888-215-3904**

**Your Federal Identification Number:**

Reportable Tax Information

1099-B Proceeds from Broker and Barter Exchange Transactions for 2009 *Continued*

OMB NO. 1545-0715

Description (Box 7)	Cusip (Box 1b)	Price	Quantity	Trade Date (Box 1a)	Amount	IRS Transaction Box Description	Reported On	Cost Basis Factor (not reported to IRS)
SECURITY EQUITY FD	814219887	21.96000	46.26900	06/22/2009	1,016.06	2 SALE	1099-B	
MID CAP VALUE SER CL A								
SECURITY EQUITY FD	814219887	22.25000	5.63900	06/24/2009	125.47	2 SALE	1099-B	
MID CAP VALUE SER CL A								
TCW FDS INC RELATIVE	87234N385	9.24000	129.64800	06/22/2009	1,197.95	2 SALE	1099-B	
VALUE LRG CAP FD CL I								
TCW FDS INC RELATIVE	87234N385	9.33000	13.32600	06/24/2009	124.33	2 SALE	1099-B	
VALUE LRG CAP FD CL I								
TIAA-CREF INSTITUTIONL	87244W748	6.74000	121.71400	06/22/2009	820.35	2 SALE	1099-B	
INTERNATIONAL EQUITY FD								
CL-R								
TIAA-CREF INSTITUTIONL	87244W748	6.90000	19.18700	06/24/2009	132.39	2 SALE	1099-B	
INTERNATIONAL EQUITY FD								
CL-R								
TOTAL PROCEEDS FROM BROKER AND BARTER EXCHANGE					16,422.34	2		

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# 2009 AMENDED FORMS 1099

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**AARON J SCHOCK**

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**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**Amended Date: 2/19/10**

## Details of Reportable Tax Information

While only the Form 1099 box totals are reported to the IRS, the following specific transaction detail is being provided to you for courtesy purposes. The IRS box numbers referenced for individual items listed below comprise the totals which appear on the actual Forms 1099, shown on the first page of this package. Please consult with your Financial Advisor or tax advisor regarding specific questions.

Tax reporting requirements can create differences with the amounts previously reported in monthly client statements. If you have an investment in a mutual fund, regulated investment company (RIC), real estate investment trust (REIT), or unit investment trust (UIT), some of those issuers provide reclassification information after the original tax form is printed. We will issue an amended form for information received after your original tax forms are generated.

### 1099-DIV Dividends and Distributions

Description	Notes	Payment Date	Ex-Div Date	Activity	Amount	IRS Box	Country
ADV CAMBIAR OPPTY FDI	&	01/04/2010	12/29/2009	QUALIFIED DIVIDEND	10.85	1a, 1b	
AIM GLOBAL REAL ES CL Y	\$	09/22/2009		DIVIDEND	2.57	1a	
AIM GLOBAL REAL ES CL Y	\$	12/14/2009		DIVIDEND	19.39	1a	
ARTIO GBL INTL EQ II I		12/31/2009		DIVIDEND	125.25	1a	
ARTIO GBL INTL EQ II I	*	12/31/2009	12/28/2009	QUALIFIED DIVIDEND	45.54	1a, 1b	
DELAWARE US GRWTH INSTL	*	12/11/2009	12/10/2009	QUALIFIED DIVIDEND	2.22	1a, 1b	
FMI FUNDS INC FOCUS FND		10/30/2009		DIVIDEND	0.09	1a	
FMI FUNDS INC FOCUS FND	*	10/30/2009	10/28/2009	QUALIFIED DIVIDEND	2.65	1a, 1b	
HANCOCK JOHN CLSSC VAL I	*	12/16/2009	12/11/2009	QUALIFIED DIVIDEND	36.19	1a, 1b	
HARBOR CAP APPREC INSTL	*	12/22/2009	12/17/2009	QUALIFIED DIVIDEND	8.55	1a, 1b	
HARBOR FUND INTL INSTL	*	12/22/2009	12/17/2009	QUALIFIED DIVIDEND	48.68	1a, 1b	
HOTCHKISS WILEY MCV VAL I	*	12/21/2009	12/17/2009	QUALIFIED DIVIDEND	18.12	1a, 1b	
LEGG MASON NAV VALUE TR	*	12/11/2009	12/09/2009	QUALIFIED DIVIDEND	19.88	1a, 1b	
OPP INTERNATL GRWTH CL Y	*	12/17/2009	12/11/2009	QUALIFIED DIVIDEND	28.56	1a, 1b	
PARK AVE RS EMERG MKTS A		12/21/2009		DIVIDEND	17.58	1a	

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

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# 2009 AMENDED FORMS 1099

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**AARON J SCHOCK**

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**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**Amended Date: 2/19/10**

## Details of Reportable Tax Information

### 1099-DIV Dividends and Distributions Continued

Description	Notes	Payment Date	Ex-Div Date	Activity	Amount	IRS Box	Country
PARK AVE RS EMERG MKTS A	*	12/21/2009	12/16/2009	QUALIFIED DIVIDEND	10.57	1a, 1b	
PIMCO COMM REAL RET INST		09/21/2009		DIVIDEND	17.26	1a	
PIMCO COMM REAL RET INST	*	09/21/2009	9/16/2009	QUALIFIED DIVIDEND	0.01	1a, 1b	
PIMCO COMM REAL RET INST	&	01/04/2010		DIVIDEND	28.66	1a	
PIMCO COMM REAL RET INST	&	01/04/2010	12/29/2009	QUALIFIED DIVIDEND	0.02	1a, 1b	
PIONEER FUND CL-Y	*	06/29/2009	6/24/2009	QUALIFIED DIVIDEND	11.61	1a, 1b	
PIONEER FUND CL-Y	*	09/28/2009	9/23/2009	QUALIFIED DIVIDEND	7.80	1a, 1b	
PIONEER FUND CL-Y	*	12/23/2009	12/21/2009	QUALIFIED DIVIDEND	10.60	1a, 1b	
ROWE T PRICE EQUITY INCM	*	03/31/2009	3/26/2009	QUALIFIED DIVIDEND	9.25	1a, 1b	
ROYCE TOTAL RETURN FD W		03/13/2009		DIVIDEND	0.75	1a	
ROYCE TOTAL RETURN FD W	*	03/13/2009	3/10/2009	QUALIFIED DIVIDEND	3.72	1a, 1b	
ROYCE TOTAL RETURN FD W		06/12/2009		DIVIDEND	0.75	1a	
ROYCE TOTAL RETURN FD W	*	06/12/2009	6/09/2009	QUALIFIED DIVIDEND	3.74	1a, 1b	
TOTAL ORDINARY DIVIDENDS (INCLUDING QUALIFIED DIVS AND SHORT TERM CAP GAINS)					490.86	1a	
TOTAL QUALIFIED DIVIDENDS					278.56	1b	
PIMCO COMM REAL RET INST		12/11/2009		CAPITAL GAINS	13.92	2a	
TOTAL CAPITAL GAIN DISTRIBUTIONS (INCLUDING BOXES 2B, 2C, AND 2D, IF ANY)					13.92	2a	
PIONEER FUND CL-Y		06/29/2009		RETURN OF CAPITAL	0.20	3	
PIONEER FUND CL-Y		09/28/2009		RETURN OF CAPITAL	0.11	3	
PIONEER FUND CL-Y		12/23/2009		RETURN OF CAPITAL	0.17	3	

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

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# 2009 AMENDED FORMS 1099

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**AARON J SCHOCK**

**Your Financial Advisor :**  
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(309) 683-3701

**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**Amended Date: 2/19/10**

## Details of Reportable Tax Information

### 1099-DIV Dividends and Distributions Continued

Description	Notes	Payment Date	Ex-Div Date	Activity	Amount	IRS Box	Country
<b>TOTAL NONDIVIDEND DISTRIBUTIONS</b>					<b>0.48</b>	<b>3</b>	
ARTIO GBL INTL EQ II I		12/31/2009		FOREIGN TAX	-4.08	6,7	
HARBOR FUND INTL INSTL		12/22/2009		FOREIGN TAX	-6.74	6,7	
<b>TOTAL FOREIGN TAX PAID</b>					<b>-10.82</b>	<b>6</b>	

\* The "ex-dividend" date information displayed for qualified dividends reported on Form 1099-DIV are to assist you with holding period calculations. First Clearing, LLC does not certify all dates are accurate.  
 & This January 2010 distribution is reported as 2009 income according to IRS regulations. This distribution does not appear on your 2009 monthly statements (RiCs).  
 \$ The company has provided tax classification of the income paid by this security. The information reflected here will be marked with an X if there has been a revision from the original figures.

### 1099-INT Interest Income

Date	Description	Notes	Activity	Amount	IRS Box	Country
06/26/09	BANK DEPOSIT SWEEP		INTEREST	0.01	1	
<b>TOTAL INTEREST INCOME NOT INCLUDED IN BOX 3</b>					<b>0.01</b>	<b>1</b>
02/02/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.37	8	
03/02/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.28	8	
03/27/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.04	8	
04/01/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.31	8	
05/01/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.30	8	
06/01/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.31	8	
07/08/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.09	8	
<b>TOTAL FEDERALLY TAX EXEMPT INT/DIV</b>					<b>1.70</b>	<b>8</b>

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

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2009 AMENDED FORMS 1099

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SAINT LOUIS, MO 63103

**Amended Date:** 2/19/10

**Federal Non-Reportable Information**

THE FOLLOWING INFORMATION IS NOT PROVIDED TO THE IRS. THIS IS SUPPLEMENTARY INFORMATION ONLY THAT MIGHT BE USEFUL IN THE PREPARATION OF YOUR FEDERAL, STATE OR LOCAL TAX RETURN. MUCH OF THIS INFORMATION IS BASED ON GENERAL INFORMATION THAT IS PROVIDED BY THE ISSUER. PLEASE REVIEW THIS INFORMATION WITH YOUR TAX ADVISOR.

**Miscellaneous Activity Summary**

Line Ref	Type	Amount
1	Margin Debit Interest	0.00
2	Municipal Bonds - OID Not Subject to AMT	0.00
3	Municipal Bonds - OID Subject to AMT	0.00
4	Expenses Subject to 2% of Adjusted Gross Income	0.00
5	Expenses Not Subject to 2% Adjusted Gross Income	0.00
6	Widely Held Fixed Investment Trusts - Other Items	See Detail
7	Master Limited Partnership Distributions	0.00
8	Investment Expense Withheld from Tax-Exempt Income	0.00
10	Accrued Interest on Purchases	0.00
11	Federal Tax Exempt Accrued Interest on Purchases	0.00
12	Other Supplementary Information	0.00
13	Option Premiums	0.00
14	Advisory Fees	316.78
15	American Depositary Receipt (ADR) Fees	0.00

**IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**

# 2009 AMENDED FORMS 1099

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**AARON J SCHOCK**

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FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**Amended Date: 2/19/10**

## Federal Non-Reportable Information

### Miscellaneous Activity Detail

Description	Notes	Date	Activity	Amount	Line Ref
FUND SOURCE FEE		07/10/2009	ADVISORY FEES	-80.79	14
FUND SOURCE FEE		10/09/2009	ADVISORY FEES	-95.94	14
INV CONSULT FEE		01/09/2009	ADVISORY FEES	-73.25	14
INV CONSULT FEE		04/09/2009	ADVISORY FEES	-66.80	14
<b>TOTAL ADVISORY FEES</b>				<b>-316.78</b>	<b>14</b>

### Purchase Activity Detail

Description	Cusip	Date	Activity	Quantity	Price	Amount
ADV CAMBIAR OPPTY FD I	0075W0825	06/22/2009	PURCHASE	150.00500	11.86000	-1,779.06
ADV CAMBIAR OPPTY FD I	0075W0825	06/25/2009	PURCHASE	45.47600	12.25000	-557.08
AIM GLOBAL REAL ES CL Y	00142C219	06/22/2009	PURCHASE	90.73400	7.13000	-646.93
AIM GLOBAL REAL ES CL Y	00142C219	09/22/2009	REINVEST DIVIDEND	0.27200		-2.57
AIM GLOBAL REAL ES CL Y	00142C219	12/14/2009	REINVEST DIVIDEND	2.11200		-19.39
ARTIO GIBL INTL EQ II I	04315J837	06/22/2009	PURCHASE	52.51200	9.85000	-517.24
ARTIO GIBL INTL EQ II I	04315J837	12/31/2009	REINVEST DIVIDEND	14.05600		-166.71
DELAWARE US GRWTH INSTL	245917802	12/11/2009	REINVEST DIVIDEND	0.17600		-2.22
FMI FUNDS INC FOCUS FND	302933106	10/30/2009	REINVEST DIVIDEND	0.12200		-2.74
GOLDMAN SACHS TR	38141W182	01/02/2009	REINVEST DIVIDEND	0.44000		-0.44
GOLDMAN SACHS TR	38141W182	02/02/2009	REINVEST DIVIDEND	0.37000		-0.37
GOLDMAN SACHS TR	38141W182	03/02/2009	REINVEST DIVIDEND	0.28000		-0.28

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

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**AARON J SCHOCK**

**Payer.**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

Amended Date: 2/19/10

### Federal Non-Reportable Information

**Purchase Activity Detail** *Continued*

Description	Cusip	Date	Activity	Quantity	Price	Amount
GOLDMAN SACHS TR	38141W182	03/27/2009	REINVEST DIVIDEND	0.04000		-0.04
GOLDMAN SACHS TR	38141W182	04/01/2009	REINVEST DIVIDEND	0.31000		-0.31
GOLDMAN SACHS TR	38141W182	05/01/2009	REINVEST DIVIDEND	0.30000		-0.30
GOLDMAN SACHS TR	38141W182	06/01/2009	REINVEST DIVIDEND	0.31000		-0.31
GOLDMAN SACHS TR	38141W182	07/08/2009	REINVEST DIVIDEND	0.09000		-0.09
HANCOCK JOHN CLSSC VAL I	409902756	06/22/2009	PURCHASE	100.85600	11.29000	-1,138.69
HANCOCK JOHN CLSSC VAL I	409902756	12/16/2009	REINVEST DIVIDEND	2.49900		-36.19
HARBOR CAP APPREC INSTL	411511504	06/22/2009	PURCHASE	57.41400	25.92000	-1,488.18
HARBOR CAP APPREC INSTL	411511504	12/22/2009	REINVEST DIVIDEND	0.26500		-8.55
HARBOR FUND INTL INSTL	411511306	06/22/2009	PURCHASE	39.02800	41.44000	-1,617.33
HARBOR FUND INTL INSTL	411511306	06/25/2009	PURCHASE	20.47100	43.07000	-881.67
HARBOR FUND INTL INSTL	411511306	12/22/2009	REINVEST DIVIDEND	0.78400		-41.94
HOTCHKISS&WILEY MC VAL I	44134R800	12/21/2009	REINVEST DIVIDEND	1.01900		-18.12
LEGG MASON NAV VALUE TR	524659208	06/22/2009	PURCHASE	4.51900	32.48000	-146.77
LEGG MASON NAV VALUE TR	524659208	12/11/2009	REINVEST DIVIDEND	0.48100		-19.88
MANAGERS TIMESSQ MC GRW	561709833	06/22/2009	PURCHASE	176.95100	9.14000	-1,617.33
NUVN TRDWNDS INTL VAL I	67065W803	01/02/2009	REINVEST DIVIDEND	0.76200		-14.70
OPP INTERNATL GRWTH CL Y	68380L407	12/17/2009	REINVEST DIVIDEND	1.17500		-28.56
PARK AVE RS EMERG MKTS A	700159833	06/22/2009	PURCHASE	42.49400	16.51000	-701.57
PARK AVE RS EMERG MKTS A	700159833	12/21/2009	REINVEST DIVIDEND	1.26300		-28.15

**IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**

# 2009 AMENDED FORMS 1099

51.626

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**Yours Financial Advisor:**  
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Amended Date: 2/19/10

## Federal Non-Reportable Information

### Purchase Activity Detail Continued

Description	Cusip	Date	Activity	Quantity	Price	Amount
PIMCO COMM REAL RET INST	722005667	06/22/2009	PURCHASE	138.23400	7.02000	-970.40
PIMCO COMM REAL RET INST	722005667	09/21/2009	REINVEST DIVIDEND	2.23100		-17.27
PIMCO COMM REAL RET INST	722005667	12/11/2009	REINVEST CAP GAIN	1.72700		-13.92
PIONEER FUND CL-Y	723682407	06/22/2009	PURCHASE	78.70200	28.77000	-2,264.26
PIONEER FUND CL-Y	723682407	06/29/2009	REINVEST DIVIDEND	0.40000		-11.81
PIONEER FUND CL-Y	723682407	09/28/2009	REINVEST DIVIDEND	0.23900		-7.91
PIONEER FUND CL-Y	723682407	12/23/2009	REINVEST DIVIDEND	0.30100		-10.77
ROWE T PRICE EQUITY INCM	779547108	03/31/2009	REINVEST DIVIDEND	0.62600		-9.25
ROYCE PREMIER FUND CL W	780905451	06/22/2009	PURCHASE	137.69800	12.92000	-1,779.06
ROYCE TOTAL RETURN FD W	780905444	03/13/2009	REINVEST DIVIDEND	0.66900		-4.47
ROYCE TOTAL RETURN FD W	780905444	06/12/2009	REINVEST DIVIDEND	0.48600		-4.49

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

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## Realized Gain/Loss

Amended Date: 2/19/10

**AARON J SCHOCK**

### Important Realized Gain/Loss 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. NO COST BASIS OR REALIZED GAIN/LOSS INFORMATION IS PROVIDED TO THE IRS, NOR IS THIS INFORMATION 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 SCHEDULE D OF YOUR TAX RETURN AND CONSULTING WITH YOUR TAX ADVISOR.

**Federal tax reporting requirements will create differences between the information presented here and what appears on your Form 1099-B, including but not limited to the following situations:**

- Cost basis for many fixed income tax lots has been amortized (for securities purchased at a premium) or accreted (for securities purchased at a discount), when possible, for applicable securities. For securities that were purchased at an Original Issue Discount (OID), only those positions whose cost basis has been adjusted will reflect the impacts of the OID accruals on the original cost basis. The original issue discount amount reported on your Form 1099-OID is not adjusted for market discount, acquisition premium or bond premium. Therefore, the amortization and accretion adjustments used on this statement may not be consistent with the Form 1099-OID amount because the reporting requirements on the Form 1099-OID are different.
- The Original Price represents the unadjusted price of the security. The Original Price can be used to calculate the original unadjusted cost of the security.
- Short sales are reportable on Form 1099-B before the position is closed.
- Implicit redemptions by the issuer of a structured product are reportable on Form 1099-B, but will not appear on the Realized Gain/Loss Statement if that implicit redemption did not result in a closed tax lot at that time.
- Securities subject to marked to market reporting requirements for those investors are not included here nor is that information available on our systems.
- Long-term capital gains reported by a RIC or REIT appear on Form 1099-DIV only, as noted in the instructions for that form.
- Lots closed due to transfers or journals will not be reflected in the Realized Gain/Loss Statement, or on the Form 1099-B.

Realized Gain/Loss Summary	THIS YEAR GAIN	THIS YEAR LOSS	THIS YEAR NET
Short term	76.30	-8.90	67.40
Long term	0.00	-7,976.44	-7,976.44
Total - Realized Gain/Loss	\$76.30	-\$7,985.34	-\$7,909.04

**INFORMATION PROVIDED AS COURTESY ONLY - NOT FURNISHED TO THE IRS**

## Realized Gain/Loss

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Amended Date: 2/19/10

AARON J SCHOCK

## Realized Gain/Loss Detail for Year

Short Term	DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
	BLACKROCK FDS US OPPORTUNITIES INSTL CL	0.0110	21.7300	12/08/08	06/24/09	0.30	0.24	0.06
	GOLDMAN SACHS TR FINL SQUARE TAX FREE MONEY MKT INSTL CL	73.2500	1.0000	06/10/08	01/09/09	73.25	73.25	0.00
		66.8000	1.0000	06/10/08	04/09/09	66.80	66.80	0.00
		1.8900	1.0000	11/03/08	10/09/09	1.89	1.89	0.00
		0.6400	1.0000	12/01/08	10/09/09	0.64	0.64	0.00
		0.0500	1.0000	12/18/08	10/09/09	0.05	0.05	0.00
		0.0400	1.0000	12/18/08	10/09/09	0.04	0.04	0.00
		0.4400	1.0000	01/02/09	10/09/09	0.44	0.44	0.00
		0.3700	1.0000	02/02/09	10/09/09	0.37	0.37	0.00
		0.2800	1.0000	03/02/09	10/09/09	0.28	0.28	0.00
		0.0400	1.0000	03/27/09	10/09/09	0.04	0.04	0.00
		0.3100	1.0000	04/01/09	10/09/09	0.31	0.31	0.00
		0.3000	1.0000	05/01/09	10/09/09	0.30	0.30	0.00
		0.3100	1.0000	06/01/09	10/09/09	0.31	0.31	0.00
		0.0900	1.0000	07/08/09	10/09/09	0.09	0.09	0.00
	GROWTH FUND AMERICA CL F	0.7480	19.6900	12/23/08	06/24/09	16.75	14.73	2.02
	HARBOR SMALL CAP VALUE INSTITUTIONAL	0.3410	12.8000	12/23/08	06/24/09	4.39	4.36	0.03
		0.2240	12.8000	12/23/08	06/24/09	2.89	2.87	0.02

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Realized Gain/Loss

Amended Date: 2/19/10

**AARON J SCHOCK**

Short Term	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
DESCRIPTION								
NUVEEN TRADEWINDS INTL		2.3020	18.6600	12/17/08	06/22/09	47.26	42.96	4.30
NUVEEN INTERNATIONAL		2.0910	18.6600	12/17/08	06/24/09	43.63	39.02	4.61
VALUE FD INSTL SHS CLASS		3.2730	18.6600	12/17/08	06/24/09	68.31	61.07	7.24
		0.7620	19.2800	01/02/09	06/24/09	15.91	14.70	1.21
OAKMARK INTL FD								
HARRIS ASSOC INV TRCL		4.6600	10.8000	12/22/08	06/22/09	58.87	50.33	8.54
		8.0010	10.8000	12/22/08	06/24/09	103.53	86.41	17.12
		0.7110	10.8000	12/22/08	06/24/09	9.20	7.68	1.52
		0.1950	10.8000	12/22/08	06/24/09	2.53	2.11	0.42
ROYCE TOTAL RETURN FD								
CLASS W		0.5830	11.8700	09/12/08	06/24/09	5.06	6.92	-1.86
		1.2960	8.2300	12/11/08	06/24/09	11.26	10.67	0.59
		0.0630	8.2300	12/11/08	06/24/09	0.54	0.52	0.02
		0.6690	6.6800	03/13/09	06/24/09	5.82	4.47	1.35
		0.4860	9.2300	06/12/09	06/24/09	4.23	4.49	-0.26
RS INV TR								
GLOBAL NATURAL RES FD		0.1340	19.1300	12/22/08	06/24/09	3.11	2.56	0.55
CLASS A		0.1120	19.1300	12/22/08	06/24/09	2.61	2.15	0.46
		0.0140	19.1300	12/22/08	06/24/09	0.33	0.26	0.07
SECURITY EQUITY FD								
MID CAP VALUE SER CL A		0.8400	19.1200	12/22/08	06/22/09	18.45	16.07	2.38
		5.3180	19.1200	12/22/08	06/24/09	118.32	101.68	16.64

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**AARON J SCHOCK**

Short Term	Continued								
DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS		
T ROWE PRICE EQUITY	0.3210	19.1200	12/22/08	06/24/09	7.15	6.13	1.02		
INCOME FD	0.4910	23.4800	06/30/08	06/24/09	8.21	11.52	-3.31		
	0.5350	23.2000	09/30/08	06/24/09	8.94	12.41	-3.47		
	0.8070	16.5100	12/16/08	06/24/09	13.49	13.32	0.17		
	0.6260	14.7800	03/31/09	06/24/09	10.48	9.25	1.23		
TCW									
DIVERSIFIED VALUE FD									
CL-I	3.0980	8.7600	12/23/08	06/24/09	28.91	27.14	1.77		
TIAA-CREF INSTITUTIONL									
INTERNATIONAL EQUITY FD									
CL-R	4.6180	6.3100	12/15/08	06/24/09	31.86	29.14	2.72		
	0.3870	6.3100	12/15/08	06/24/09	2.68	2.44	0.24		
<b>Total - Short Term</b>					<b>\$799.83</b>	<b>\$732.43</b>	<b>\$67.40</b>		
<b>Long Term</b>									
DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS		
BLACKROCK FDS									
US OPPORTUNITIES	44.9880	33.5300	04/04/07	06/22/09	1,170.13	1,508.46	-338.33		
INSTL CL	4.3560	33.5300	04/04/07	06/24/09	114.99	146.05	-31.06		
DELAWARE GROUP ADVISER									
FDS INC US GROWTH PORT									
INSTL CL	3.1180	14.8200	06/10/08	06/22/09	31.62	46.21	-14.59		
FMI FDS									
FOCUS FUND	18.7660	34.0500	10/20/05	06/22/09	328.21	638.98	-310.77		

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**AARON J SCHOCK**

Long Term	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
DESCRIPTION								
GOLDMAN SACHS FINL SQR TAX FREE MONEY MKT INSTL CL		80.7800	1.0000	06/10/08	07/10/09	80.78	80.78	0.00
GOLDMAN SACHS TR FINL SQUARE TAX FREE MONEY MKT INSTL CL		428.1700	1.0000	06/10/08	06/22/09	428.17	428.17	0.00
GOLDMAN SACHS TR FINL SQUARE TAX FREE MONEY MKT INSTL CL		71.2600	1.0000	06/10/08	10/09/09	71.26	71.26	0.00
		0.8000	1.0000	07/01/08	10/09/09	0.80	0.80	0.00
		1.1400	1.0000	08/01/08	10/09/09	1.14	1.14	0.00
		1.1000	1.0000	09/02/08	10/09/09	1.10	1.10	0.00
		1.9800	1.0000	10/01/08	10/09/09	1.98	1.98	0.00
GROWTH FUND AMERICA CL F		56.5150	32.8100	03/20/07	06/22/09	1,250.12	1,854.25	-604.13
		0.0940	33.1900	12/20/07	06/22/09	2.08	3.13	-1.05
		0.6130	33.1900	12/20/07	06/24/09	13.72	20.34	-6.62
		3.9360	33.1900	12/20/07	06/24/09	88.13	130.65	-42.52
HARBOR SMALL CAP VALUE INSTITUTIONAL		62.3060	19.0500	10/20/05	06/22/09	801.87	1,186.92	-385.05
		0.1700	19.8100	12/22/05	06/22/09	2.18	3.36	-1.18
		2.2810	19.8100	12/22/05	06/22/09	29.35	45.19	-15.84
		0.2840	19.8100	12/22/05	06/22/09	3.65	5.63	-1.98
		0.1540	21.4900	12/21/06	06/22/09	1.98	3.30	-1.32
		3.7990	21.4900	12/21/06	06/22/09	48.90	81.64	-32.74
		0.8440	19.4700	12/21/07	06/22/09	10.86	16.43	-5.57

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AARON J SCHOCK

Long Term Description	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
HIGHMARK FUNDS								
GENEVA GROTH FD CLASS A								
		133.8390	16.7200	07/18/06	06/22/09	1,829.58	2,237.78	-408.20
		0.5800	18.0200	12/27/06	06/22/09	7.92	10.45	-2.53
		0.6810	19.9300	01/02/08	06/22/09	9.32	13.58	-4.26
		7.5530	19.9300	01/02/08	06/24/09	103.78	150.53	-46.75
HOTCHKIS & WILEY FDS								
MID CAP VALUE FD CL I								
		30.4580	27.5600	10/20/05	06/22/09	407.53	839.43	-431.90
NUVEEN TRADEWINDS INTL								
NUVEEN INTERNATIONAL								
VALUE FD INSTL SHS CLASS								
		39.8380	26.0400	10/20/05	06/22/09	817.48	1,037.37	-219.89
		0.8800	28.3900	01/03/06	06/22/09	18.05	24.97	-6.92
		1.2110	32.8400	12/20/06	06/22/09	24.85	39.77	-14.92
		0.2800	32.8400	12/20/06	06/22/09	5.74	9.19	-3.45
		1.1470	32.5800	01/04/07	06/22/09	23.53	37.38	-13.85
		0.0820	32.5800	01/04/07	06/22/09	1.68	2.67	-0.99
		2.7280	31.8700	12/19/07	06/22/09	55.98	86.93	-30.95
		2.5910	31.8700	12/19/07	06/22/09	53.17	82.59	-29.42
		0.9420	32.2900	12/31/07	06/22/09	19.33	30.42	-11.09
OAKMARK INTL FD								
HARRIS ASSOC INVT TRCL								
		29.0620	22.5700	10/20/05	06/22/09	367.05	655.92	-288.87
		3.6950	22.4900	12/19/05	06/22/09	46.66	83.11	-36.45
		6.0550	22.4900	12/19/05	06/22/09	76.47	136.18	-59.71

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Realized Gain/Loss

Amended Date: 2/19/10

**AARON J SCHOCK**

Long Term DESCRIPTION	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
PARK AVE PORTFOLIO								
RS EMERGING MKTS FD CL A								
ROYCE TOTAL RETURN FD								
CLASS W								
		86.7370	12.3300	10/20/05	06/22/09	748.53	1,069.46	-320.93
		0.7210	12.7800	12/06/05	06/22/09	6.22	9.21	-2.99
		7.3690	12.7800	12/06/05	06/22/09	63.59	94.17	-30.58
		0.8320	12.7800	12/06/05	06/22/09	7.18	10.63	-3.45
		0.4540	13.2600	03/14/06	06/22/09	3.91	6.02	-2.11
		0.7730	13.0200	06/13/06	06/22/09	6.67	10.06	-3.39
		0.6180	13.0700	09/13/06	06/22/09	5.33	8.08	-2.75
		0.5500	13.8500	12/07/06	06/22/09	4.74	7.62	-2.88
		7.4940	13.8500	12/07/06	06/22/09	64.68	103.79	-39.11
		0.0850	13.8500	12/07/06	06/22/09	0.73	1.18	-0.45
		0.6060	13.9000	03/13/07	06/22/09	5.23	8.43	-3.20
		0.7120	14.8400	06/13/07	06/22/09	6.14	10.57	-4.43
		0.7530	14.0700	09/13/07	06/22/09	6.50	10.60	-4.10
		0.6230	13.2000	12/11/07	06/22/09	5.37	8.22	-2.85
		0.6580	26.0500	06/09/08	10/09/09	14.90	17.15	-2.25

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## Realized Gain/Loss

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Amended Date: 2/19/10

AARON J SCHOCK

Long Term DESCRIPTION	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
RS INVT TR GLOBAL NATURAL RES FD CLASS A								
		26.7560	43.7400	06/09/08	06/22/09	606.29	1,170.33	-564.04
		5.0250	43.7400	06/09/08	06/24/09	116.88	219.79	-102.91
SECURITY EQUITY FD MID CAP VALUE SER CL A								
		45.4290	30.6000	06/09/08	06/22/09	997.61	1,390.12	-392.51
T ROWE PRICE EQUITY INCOME FD								
		51.1520	25.5900	10/20/05	06/22/09	845.53	1,308.98	-463.45
		0.7720	26.1900	12/16/05	06/22/09	12.76	20.22	-7.46
		5.2500	26.1900	12/16/05	06/22/09	86.78	137.51	-50.73
		0.5150	26.1900	12/16/05	06/22/09	8.51	13.48	-4.97
		0.5190	27.2200	04/03/06	06/22/09	8.57	14.14	-5.57
		0.3120	27.2200	04/03/06	06/22/09	5.15	8.48	-3.33
		0.1560	27.2200	04/03/06	06/22/09	2.57	4.24	-1.67
		0.6470	26.3800	06/30/06	06/22/09	10.69	17.08	-6.39
		0.6060	28.3100	10/02/06	06/22/09	10.01	17.16	-7.15
		0.7280	29.5800	12/21/06	06/22/09	12.03	21.54	-9.51
		3.0580	29.5800	12/21/06	06/22/09	50.55	90.46	-39.91
		0.3400	29.5800	12/21/06	06/22/09	5.62	10.05	-4.43

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Realized Gain/Loss

Amended Date: 2/19/10

AARON J SCHOCK

Long Term DESCRIPTION	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
		0.5540	29.3400	03/30/07	06/22/09	9.15	16.25	-7.10
		1.8130	29.3400	03/30/07	06/22/09	29.97	53.18	-23.21
		0.7200	31.2800	06/29/07	06/22/09	11.90	22.51	-10.61
		0.7870	30.6800	09/28/07	06/22/09	13.01	24.13	-11.12
		0.8710	27.8500	12/20/07	06/22/09	14.40	24.25	-9.85
		7.6750	27.8500	12/20/07	06/22/09	126.91	213.75	-86.84
		0.3270	27.8500	12/20/07	06/22/09	5.40	9.10	-3.70
		0.8980	25.0300	03/31/08	06/22/09	14.85	22.47	-7.62
		0.3010	25.0300	03/31/08	06/22/09	4.99	7.54	-2.55
		3.9940	25.0300	03/31/08	06/24/09	66.77	99.97	-33.20
		0.2560	25.0300	03/31/08	06/24/09	4.28	6.42	-2.14
TCW DIVERSIFIED VALUE FD CL-I		82.2680	16.4900	03/20/07	06/22/09	760.15	1,356.80	-596.45
		0.7960	15.6300	12/24/07	06/22/09	7.35	12.44	-5.09
		1.7480	15.6300	12/24/07	06/22/09	16.15	27.32	-11.17
		0.1040	15.6300	12/24/07	06/22/09	0.96	1.62	-0.66
		44.7320	14.4000	06/10/08	06/22/09	413.34	644.14	-230.80
		10.2280	14.4000	06/10/08	06/24/09	95.42	147.28	-51.86
TIAA-CREF INSTITUTIONAL INTERNATIONAL EQUITY FD CL-R		121.7140	11.4900	01/23/08	06/22/09	820.35	1,398.50	-578.15
		9.7030	11.4900	01/23/08	06/24/09	66.95	111.48	-44.53
		4.4790	11.6600	06/10/08	06/24/09	30.90	52.22	-21.32
Total - Long Term						\$15,622.51	\$23,598.95	-\$7,976.44

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2009 ENHANCED 1099

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Your Financial Advisor :  
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2411 W CORNERSTONE COURT  
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For Banking Inquiries call:  
1-888-215-3904



AARON J SCHOCK  
PEORIA, IL 61603  
\*\*\*AUTO\*\*\*3-DIGIT 616

This package contains your official IRS Form(s) 1099.  
Please retain this package for tax preparation purposes.

THIS IS NOT FINAL TAX INFORMATION

You have income from securities where final tax information is not currently available. When updated tax information on these securities is received, corrected classification information will be provided. To reduce the possibility of filing an amended return, you should wait to file your income tax return until the updated information is provided to you.

Enclosed within this package

Tax Statement	
Summary of Reportable Tax Information	3
1099-B Proceeds from Broker and Barter Exchange Transactions	4
Details of Reportable Tax Information	8
Federal Non-Reportable Information	11
The information below is for courtesy purposes only, and is not reported to the IRS.	17
Realized Gain/Loss Summary/Detail	17
The activity provided below is for courtesy purposes only, and is not reported to the IRS. If you receive an amended Form 1099, the Annual Statement Information will not be included. BE SURE TO RETAIN THIS FOR FUTURE USE.	
Annual Statement Information	
Summary Page	26
Activity Detail	27

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Investment and Insurance products:

NOT FDIC-Insured NO Bank Guarantee MAY Lose Value

## 2009 Instructions for Recipient

*Nonresidents.* If an IRS Form 1099 includes amounts belonging to another person(s) you are considered a nominee recipient. Complete a separate Form 1099-INT, 1099-DIV, 1099-OD, 1099-B, 1099-MISC, or 1099-EC for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File the applicable Form(s) 1099 with Form 1080, Annual Summary and Transmittal of U.S. Information Returns, with the Internal Revenue Service Center for your area. On Form 1099 list yourself as the "filer." A husband or wife is not required to file a nominee return to show amounts owned by the other.

### FORM 1099-DIV (OMB No. 1545-0119)

Box 1a. Shows total ordinary dividends that are taxable. Include the amount on line 8a of Form 1040 or 1040A. Also, report it on Schedule B (Form 1040) or Schedule 1 (Form 1040A), if required. The amount shown may be dividends, a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040/1040A but treat it as a plan distribution, not as investment income, for any other purpose.

Box 1b. Shows the portion of the amount in box 1a that may be eligible for the 15% or zero capital gains rates. See the Form 1040/1040A instructions for how to determine this amount. Report the eligible amount on line 8b, Form 1040 or 1040A.

Box 2a. Shows total capital gain distributions from a regulated investment company or real estate investment trust. Report the amounts shown in box 2a on Schedule D (Form 1040), line 13. But, if no amount is shown in boxes 2a-2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on line 13 of Form 1040 (line 10 of Form 1040A) rather than Schedule D. See the Form 1040/1040A instructions.

Box 2b. Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. Report this amount on the Unrecaptured Section 1250 Gain Worksheet, Line 19 in the Schedule D instructions (Form 1040).

Box 2c. Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to a 50% exclusion and certain employment zone business stock that may be subject to a 60% exclusion. See the Schedule D (Form 1040) instructions.

Box 2d. Shows 28% rate gain from sales or exchanges of collectibles. If required, use the amount when completing the 28% Rate Gain Worksheet-Line 18 in the instructions for Schedule D (Form 1040).

Box 3. Shows the part of the distribution that is nontaxable because it is a return of your cost (or other basis). You must reduce your cost (or other basis) by this amount for figuring gain or loss when you sell your stock. But if you get back all your cost (or other basis), report future distributions as capital gains. See Pub. 550, Investment Income and Expenses.

Box 4. Shows backup withholding. For example, a payer must backup withhold on certain payments at a 28% rate if you did not give your taxpayer identification number to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

Box 5. Shows your share of expenses of a nonpublicly offered regulated investment company, generally a nonpublicly offered mutual fund. If you file Form 1040, you may deduct these expenses on the "Other expenses" line on Schedule A (Form 1040) subject to the 2% limit. This amount is included in box 1a.

Box 6. Shows the foreign tax you may be able to claim as a deduction or a credit on Form 1040. See the Form 1040 instructions.

Box 7. This box should be left blank if a regulated investment company reported the foreign tax shown in box 6.

Boxes 8 and 9. Shows cash and noncash liquidation distributions.

### FORM 1099-INT (OMB No. 1545-0112)

Box 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean, renewable energy bonds, Gulf tax credit bonds, qualified treasury conservation bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified power academy bonds, and miscellaneous tax credit bonds that must be included in your interest income. These amounts were treated as paid to you during 2008 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912, Credit to Holders of Tax Credit Bonds.

Box 2. Shows interest or principal forgiven because of early withdrawal of true savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the instructions for Form 1040 to see where to take the deduction.

Box 3. Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not be all taxable. See Pub. 550, Investment Income and Expenses. This interest is exempt from state and local income taxes. This interest is not included in box 1.

Box 4. Shows backup withholding. Generally, a payer must backup withhold at a 28% rate if you did not furnish your taxpayer identification number (TIN) or you did not furnish the correct TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include the amount on your income tax return as tax withheld.

Box 5. Any amount shown as your share of investment expenses of a single-class REMIC. If you file Form 1040, you may deduct these expenses on the "Other expenses" line of Schedule A (Form 1040) subject to the 2% limit. This amount is included in box 1.

Box 6. Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040. See your Form 1040 instructions.

Box 8. Shows tax-exempt interest, including exempt-interest dividends from a mutual fund or other regulated investment company, paid to you during the calendar year by the payer. Report this amount on line 8b of Form 1040 or Form 1040A. This amount may be subject to backup withholding. See box 4.

Box 9. Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the instruction for Form 6251, Alternative Minimum Tax-Individuals.

### FORM 1099-OD (OMB No. 1545-0117)

Original issue discount (OID) is the excess of an obligation's stated redemption price at maturity over its issue price (acquisition price for a stripped bond or coupon). OID is taxable as interest over the life of the obligation. If you are the holder of an OID obligation, generally you must include an amount of OID in your gross income each year you hold the obligation. Obligations that may have OID include a bond, debenture, note, certificate, or other evidence of indebtedness bearing a term of more than 1 year. For example, the OID rules may apply to certificates of deposit (CDs), time deposits, bonus savings plans, and other deposit arrangements, especially if the payment of interest is deferred until maturity. In addition, the OID rules apply to Treasury inflation-protected securities. See Pub. 550, Investment Income and Expenses, for more information. If you bought or sold an obligation during the year and you are not a nominee, you are not required to issue or file Form 1099-OD showing the OID or stated interest allocable to the seller/buyer of the obligation.

Box 1. Shows the OID on the obligation for the part of the year you owned it. Report the amount in box 1 as interest income on your income tax return. However, depending on the type of debt instrument, the issue or acquisition date, and other factors (for example, if you paid acquisition or bond premium, or the obligation is a stripped bond or coupon), you may have to figure the correct amount of OID to report on your return. See Pub. 1212, Guide to Original Issue Discount (OID) Instruments, for details on how to figure the correct OID.

Box 2. Shows other interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the year, see Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 4, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes.

Box 3. Shows interest or principal forgiven if you withdrew the money before the maturity date of the obligation, such as from a CD. You may deduct this amount to figure your adjusted gross income on your income tax return. See the instructions for Form 1040 to see where to take the deduction.

Box 4. Shows backup withholding. Generally, a payer must backup withhold at a 28% rate if you did not furnish your taxpayer identification number (TIN) or you did not furnish the correct TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

Box 5. Shows the identification number (CUSIP number) or description of the obligation. The description may include the stock exchange, issuer, coupon rate, and year of maturity.

Box 6. Shows OID on a U.S. Treasury obligation for the part of the year you owned it. Report this amount as interest income on your federal income tax return, and see Pub. 1212 to figure any appropriate adjustments to the amount. This OID is exempt from state and local income taxes and is not included in box 1.

Box 7. Any amount shown as your share of investment expenses of a single-class REMIC. If you file Form 1040, you may deduct these expenses on the "Other expenses" line of Schedule A (Form 1040) subject to the 2% limit. This amount is included in box 2.

### FORM 1099-B (OMB No. 1545-0718)

Brokers and barter exchanges must report proceeds from transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a change in control or a substantial change in capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in the box below your name and address on Form 1099-B.

Box 1a. Shows the trade date of the transaction. For aggregate reporting, no entry will be present.

Box 1b. For broker transactions, may show the CUSIP (Committee on Uniform Securities Identification Procedures) number of the item reported.

Box 2. Shows the aggregate proceeds from transactions involving stocks, bonds, other debt obligations, commodities, or forward contracts. May show the proceeds from the disposition of your interest(s) in a widely held fund investment trust. Losses on forward contracts and changes in control or substantial change in capital structure are shown in parentheses. This box does not include proceeds from regulated futures contracts. The broker must indicate whether gross proceeds or gross proceeds less commissions and option premiums were reported to the IRS. Report the amount on Schedule D (Form 1040), Capital Gains and Losses. However, if box 12 is checked, you cannot take a loss on your tax return based on gross proceeds from an acquisition of control or substantial change in capital structure reported in box 2. Do not report this loss on Schedule D (Form 1040). The broker should advise you of any losses on a separate statement.

Box 3. Shows the cash you received, the fair market value of any property or services you received, and/or the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 523, Taxable and Nontaxable Income, for information on how to report this income.

Box 4. Shows backup withholding. Generally, a payer must backup withhold at a 28% rate if you did not furnish your taxpayer identification number to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

Box 5. Shows the number of shares of the corporation's stock that you held which were exchanged in the change in control or substantial change in capital structure.

Box 6. Shows the class or classes of the corporation's stock that were exchanged in the change in control or substantial change in capital structure.

Box 7. Shows a brief description of the item or service for which the proceeds or barter income is being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown.

WELLS  
FARGO

ADVISORS

## 2009 ENHANCED 1099

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**AARON J SCHOCK**  
PEORIA, IL 61603

**Your Financial Advisor:**  
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2411 W CORNERSTONE COURT  
PEORIA, IL 61614  
309-683-3701 / 800-654-8081

**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**As of Date:** 2/05/10

**For Banking Inquiries call:** 1-888-215-3904

### Summary of Reportable Tax Information

**Your Federal Identification Number** [REDACTED]

You have income from securities where final tax information is not currently available. When updated tax information on these securities is received, corrected classification information will be provided. To reduce the possibility of filing an amended return, you should wait to file your income tax return until the updated information is provided to you.

**1099-DIV Dividends and Distributions for 2009**

OMB No. 1545-0110

**1099-INT Interest Income for 2009**

OMB No. 1545-0112

#### THIS IS NOT FINAL TAX INFORMATION

IRS Box		Amount
1a	Total Ordinary Dividends	490.86
1b	Qualified Dividends	278.56
2a	Total Capital Gain Distributions	13.92
2b	Unrecaptured Sec. 1250 Gain	0.00
2c	Section 1202 Gain	0.00
2d	Collectibles (28%) Gain	0.00
3	Nondividend Distributions	0.48
4	Federal Income Tax Withheld	0.00
5	Investment Expenses	0.00
6	Foreign Tax Paid	10.82
7	Foreign Country or U.S. Possession	See Detail Section
8	Cash Liquidation Distributions	0.00
9	Noncash Liquidation Distributions	0.00

IRS Box		Amount
1	Interest Income	0.01
3	Interest on U.S. Savings Bonds and Treasury Obligations	0.00
4	Federal Income Tax Withheld	0.00
5	Investment Expenses	0.00
6	Foreign Tax Paid	0.00
7	Foreign Country or U.S. Possession	See Detail Section
8	Tax-Exempt Interest	1.70
9	Specified Private Activity Bond Interest	0.00

**1099-B Summary of Proceeds from Broker and Barter Exchange for 2009**

IRS Box		Amount
1a	Date of Sale or Exchange	See Detail Section
1b	CUSIP Number	See Detail Section
2	Gross Proceeds Less Commissions and Option Premiums	16,422.34
4	Federal Income Tax Withheld	0.00
5	Number of Shares Exchanged	Not Applicable
6	Classes of Stock Exchanged	Not Applicable
7	Description	See Detail Section
12	Cannot Take Loss on Amount in Box 2 if Box is Checked	Not Applicable

The amount in IRS Box 2 is composed of the item(s) reported on the FORM 1099-B on a later page in this package. Each item is reported to the Internal Revenue Service Individually.

**THIS PACKAGE INCLUDES YOUR FORMS 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
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## 2009 ENHANCED 1099

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**AARON J SCHOCK**

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**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

As of Date: 2/05/10

For Banking Inquiries call: 1-888-215-3904

Your Federal Identification Number: [REDACTED]

## Reportable Tax Information

Tax reporting requirements can create differences with the amounts previously reported in monthly statements.

## 1099-B Proceeds from Broker and Barter Exchange Transactions for 2009

OMB NO. 1545-0715

Description (Box 7)	Cusip (Box 1b)	Price	Quantity	Trade Date (Box 1a)	Amount	Box	Transaction Description	Reported On	Cost Basis Factor (Not reported to IRS)
BLACKROCK FDS II	091929760	26.01000	44.98800	06/22/2009	1,170.13	2	SALE	1099-B	
US OPORT PORT INSTL CL	091929760	26.40000	4.36700	06/24/2009	115.29	2	SALE	1099-B	
BLACKROCK FDS II	091929760	26.40000	4.36700	06/24/2009	115.29	2	SALE	1099-B	
US OPORT PORT INSTL CL	091929760	26.40000	4.36700	06/24/2009	115.29	2	SALE	1099-B	
DELAWARE GROUP ADVISER FDS INC US GROWTH PORT CL INSTL CL	245917802	10.14000	3.11800	06/22/2009	31.62	2	SALE	1099-B	
FMI FDS INC FOCUS FUND	302933106	17.49000	18.76600	06/22/2009	328.21	2	SALE	1099-B	
GOLDMAN SACHS TR FINL SQUARE TAX FREE MONEY MKT INSTL CL	38141W182	1.00000	73.25000	01/09/2009	73.25	2	SALE	1099-B	
GOLDMAN SACHS TR FINL SQUARE TAX FREE MONEY MKT INSTL CL	38141W182	1.00000	66.80000	04/09/2009	66.80	2	SALE	1099-B	
GOLDMAN SACHS TR FINL SQUARE TAX FREE MONEY MKT INSTL CL	38141W182	1.00000	428.17000	06/22/2009	428.17	2	SALE	1099-B	
GOLDMAN SACHS TR FINL SQUARE TAX FREE MONEY MKT INSTL CL	38141W182	1.00000	80.78000	07/10/2009	80.78	2	SALE	1099-B	

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2009 ENHANCED 1099

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**AARON J SCHOCK**

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**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**As of Date:** 2/05/10

**For Banking Inquiries call:** 1-888-215-3904

**Your Federal Identification Number:** [REDACTED]

### Reportable Tax Information

#### 1099-B Proceeds from Broker and Barter Exchange Transactions for 2009 *Continued*

OMB NO. 1545-0715

Description (Box 7)	Cusip (Box 1b)	Price	Quantity	Trade Date (Box 1a)	Amount	IRS Transaction Box Description	Reported On	Cost Basis Factor (Not reported to IRS)
GOLDMAN SACHS TR FINL SQUARE TAX FREE MONEY MKT INSTL CL	38141W182	1.00000	81.04000	10/09/2009	81.04	2 SALE	1099-B	
GROWTH FUND AMERICA CL F1	399874403	22.12000	56.60900	06/22/2009	1,252.20	2 SALE	1099-B	
GROWTH FUND AMERICA CL F1	399874403	22.39000	5.29700	06/24/2009	118.60	2 SALE	1099-B	
HARBOR FUND SMALL CAP VALUE FD INSTL CL	411511843	12.87000	71.15200	06/22/2009	915.72	2 SALE	1099-B	
HARBOR FUND SMALL CAP VALUE FD INSTL CL	411511843	12.88000	9.07500	06/24/2009	116.89	2 SALE	1099-B	
HARRIS ASSOC INVTR TR OAKMARK INTL FUND CL I	413838202	12.63000	102.97500	06/22/2009	1,300.57	2 SALE	1099-B	
HARRIS ASSOC INVTR TR OAKMARK INTL FUND CL I	413838202	12.94000	8.90700	06/24/2009	115.26	2 SALE	1099-B	
HIGHMARK FUNDS GENEVA CAP GROWTH CL A	431113604	13.67000	135.10000	06/22/2009	1,846.82	2 SALE	1099-B	
HIGHMARK FUNDS GENEVA CAP GROWTH CL A	431113604	13.74000	7.55300	06/24/2009	103.78	2 SALE	1099-B	
HOTCHKISS & WILEY FDS MID CAP VALUE FD CL I	44134R800	13.36000	30.45800	06/22/2009	407.53	2 SALE	1099-B	

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SAINT LOUIS, MO 63103

**As of Date: 2/05/10**

**For Banking Inquiries call: 1-888-215-3904**

**Your Federal Identification Number:**

### Reportable Tax Information

#### 1099-B Proceeds from Broker and Barter Exchange Transactions for 2009 *Continued*

OMB NO. 1545-0715

Description (Box 7)	Cusip (Box 1b)	Price	Quantity	Trade Date (Box 1a)	Amount	Box Description	Reported On	Cost Basis Factor (not reported to IRS)
NUVEEN INVT TR II TRADEWINDS INTL VALUE FD CL I	67065W803	20.52000	52.00100	06/22/2009	1,067.07	2 SALE	1099-B	
NUVEEN INVT TR II TRADEWINDS INTL VALUE FD CL I	67065W803	20.87000	6.12600	06/24/2009	127.85	2 SALE	1099-B	
PARK AVE PORTFOLIO RS EMERGING MKTS FD CL A	700159833	22.65000	0.65800	10/09/2009	14.90	2 SALE	1099-B	
ROWE T PRICE EQUITY INCOME FD SH BEN INT	779547108	16.53000	78.00100	06/22/2009	1,289.35	2 SALE	1099-B	
ROWE T PRICE EQUITY INCOME FD SH BEN INT	779547108	16.72000	6.70900	06/24/2009	112.17	2 SALE	1099-B	
ROYCE FUND TOTAL RETURN FD CL W	780905444	8.63000	114.57500	06/22/2009	988.78	2 SALE	1099-B	
ROYCE FUND TOTAL RETURN FD CL W	780905444	8.68000	14.26100	06/24/2009	123.79	2 SALE	1099-B	
RS INVT TR GLOBAL NATL RESOURCE FUND	74972H705	22.66000	26.75600	06/22/2009	606.29	2 SALE	1099-B	
RS INVT TR GLOBAL NATL RESOURCE FUND	74972H705	23.26000	5.28500	06/24/2009	122.93	2 SALE	1099-B	

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2009 ENHANCED 1099

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**Payer:**  
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**As of Date:** 2/05/10

**For Banking Inquiries call:** 1-888-215-3904

**Your Federal Identification Number:** [REDACTED]

Reportable Tax Information

1099-B Proceeds from Broker and Barter Exchange Transactions for 2009 *Continued*

OMB NO. 1545-0715

Description (Box 7)	Cusip (Box 1b)	Price	Quantity	Trade Date (Box 1a)	Amount	IRS Transaction Box Description	Reported On	Cost Basis Factor (not reported to IRS)
SECURITY EQUITY FD MID CAP VALUE SER CL A	814219887	21.96000	46.26900	06/22/2009	1,016.06	2 SALE	1099-B	
SECURITY EQUITY FD MID CAP VALUE SER CL A	814219887	22.25000	5.63900	06/24/2009	125.47	2 SALE	1099-B	
TCW FDS INC RELATIVE VALUE LRG CAP FD CL I	87234N385	9.24000	129.64800	06/22/2009	1,197.95	2 SALE	1099-B	
TCW FDS INC RELATIVE VALUE LRG CAP FD CL I	87234N385	9.33000	13.32600	06/24/2009	124.33	2 SALE	1099-B	
TIAA-CREF INSTITUTIONL INTERNATIONAL EQUITY FD CL-R	87244W748	6.74000	121.71400	06/22/2009	820.35	2 SALE	1099-B	
TIAA-CREF INSTITUTIONL INTERNATIONAL EQUITY FD CL-R	87244W748	6.90000	19.18700	06/24/2009	132.39	2 SALE	1099-B	
TOTAL PROCEEDS FROM BROKER AND BARTER EXCHANGE					16,422.34	2		

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# 2009 ENHANCED 1099

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**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**As of Date: 2/05/10**

## Details of Reportable Tax Information

While only the Form 1099 box totals are reported to the IRS, the following specific transaction detail is being provided to you for courtesy purposes. The IRS box numbers referenced for individual items listed below comprise the totals which appear on the actual Forms 1099, shown on the first page of this package. Please consult with your Financial Advisor or tax advisor regarding specific questions.

Tax reporting requirements can create differences with the amounts previously reported in monthly client statements. If you have an investment in a mutual fund, regulated investment company (RITC), real estate investment trust (REIT), or unit investment trust (UIT), some of those issuers provide reclassification information after the original tax form is printed. We will issue an amended form for information received after your original tax forms are generated.

## 1099-DIV Dividends and Distributions

Description	Notes	Payment Date	Ex-Div Date	Activity	Amount	IRS Box	Country
ADV CAMBIAR OPTVY FDI	&	01/04/2010	12/29/2009	QUALIFIED DIVIDEND	10.85	1a, 1b	
AIM GLOBAL REAL ES CL Y	\$	09/22/2009		DIVIDEND	2.57	1a	
AIM GLOBAL REAL ES CL Y	\$	12/14/2009		DIVIDEND	19.39	1a	
ARTIO GLBL INTL EQ II I		12/31/2009		DIVIDEND	125.25	1a	
ARTIO GLBL INTL EQ II I	*	12/31/2009	12/30/2009	QUALIFIED DIVIDEND	45.54	1a, 1b	
DELAWARE US GRWTH INSTL	*	12/11/2009	12/10/2009	QUALIFIED DIVIDEND	2.22	1a, 1b	
FMI FUNDS INC FOCUS FND		10/30/2009		DIVIDEND	0.09	1a	
FMI FUNDS INC FOCUS FND	*	10/30/2009	10/28/2009	QUALIFIED DIVIDEND	2.65	1a, 1b	
HANCOCK JOHN CLSSC VAL I	*	12/16/2009	12/11/2009	QUALIFIED DIVIDEND	36.19	1a, 1b	
HARBOR CAP APPREC INSTL	*	12/22/2009	12/17/2009	QUALIFIED DIVIDEND	8.55	1a, 1b	
HARBOR FUND INTL INSTL	*	12/22/2009	12/17/2009	QUALIFIED DIVIDEND	48.68	1a, 1b	
HOTCHKISS WILEY MFC VAL I	*	12/21/2009	12/17/2009	QUALIFIED DIVIDEND	18.12	1a, 1b	
LEGG MASON NAV VALUE TR	*	12/11/2009	12/09/2009	QUALIFIED DIVIDEND	19.88	1a, 1b	
OPP INTERNATL GRWTH CL Y	*	12/17/2009	12/11/2009	QUALIFIED DIVIDEND	28.56	1a, 1b	
PARK AVE RS EMERG MKTSA		12/21/2009		DIVIDEND	17.58	1a	

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

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## 2009 ENHANCED 1099

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**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**As of Date: 2/05/10**

### Details of Reportable Tax Information

#### 1099-DIV Dividends and Distributions Continued

Description	Notes	Payment Date	Ex-Div Date	Activity	Amount	IRS Box	Country
PARK AVE RS EMERG MKTS A	*	12/21/2009	12/16/2009	QUALIFIED DIVIDEND	10.57	1a, 1b	
PIMCO COMM REAL RET INST		09/21/2009		DIVIDEND	17.26	1a	
PIMCO COMM REAL RET INST	*	09/21/2009	9/16/2009	QUALIFIED DIVIDEND	0.01	1a, 1b	
PIMCO COMM REAL RET INST	&	01/04/2010		DIVIDEND	28.66	1a	
PIMCO COMM REAL RET INST	&	01/04/2010	12/29/2009	QUALIFIED DIVIDEND	0.02	1a, 1b	
PIONEER FUND CL-Y	*	06/29/2009	6/24/2009	QUALIFIED DIVIDEND	11.61	1a, 1b	
PIONEER FUND CL-Y	*	09/28/2009	9/23/2009	QUALIFIED DIVIDEND	7.80	1a, 1b	
PIONEER FUND CL-Y	*	12/23/2009	12/21/2009	QUALIFIED DIVIDEND	10.60	1a, 1b	
ROWE T PRICE EQUITY INCM	*	03/31/2009	3/26/2009	QUALIFIED DIVIDEND	9.25	1a, 1b	
ROYCE TOTAL RETURN FD W		03/13/2009		DIVIDEND	0.75	1a	
ROYCE TOTAL RETURN FD W	*	03/13/2009	3/10/2009	QUALIFIED DIVIDEND	3.72	1a, 1b	
ROYCE TOTAL RETURN FD W		06/12/2009		DIVIDEND	0.75	1a	
ROYCE TOTAL RETURN FD W	*	06/12/2009	6/09/2009	QUALIFIED DIVIDEND	3.74	1a, 1b	
TOTAL ORDINARY DIVIDENDS (INCLUDING QUALIFIED DIVS AND SHORT TERM CAP GAINS)					490.86	1a	
TOTAL QUALIFIED DIVIDENDS					278.56	1b	
PIMCO COMM REAL RET INST		12/11/2009		CAPITAL GAINS	13.92	2a	
TOTAL CAPITAL GAIN DISTRIBUTIONS (INCLUDING BOXES 2B, 2C, AND 2D, IF ANY)					13.92	2a	
PIONEER FUND CL-Y		06/29/2009		RETURN OF CAPITAL	0.20	3	
PIONEER FUND CL-Y		09/28/2009		RETURN OF CAPITAL	0.11	3	
PIONEER FUND CL-Y		12/23/2009		RETURN OF CAPITAL	0.17	3	

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

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# 2009 ENHANCED 1099

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**AARON J SCHOCK**

**Your Financial Advisor:**  
KUNKLE, HEMMER, MCRAVEN  
INVESTMENT GROUP  
2411 W CORNERSTONE COURT  
PEORIA, IL 61614  
309-683-3701 / 800-654-8081

**Payer:**  
FIRST CLEARING, LLC  
2801 MARKET STREET  
SAINT LOUIS, MO 63103

**As of Date: 2/05/10**

## Details of Reportable Tax Information

### 1099-DIV Dividends and Distributions Continued

Description	Notes	Payment Date	Ex-Div Date	Activity	Amount	IRS Box	Country
<b>TOTAL NONDIVIDEND DISTRIBUTIONS</b>					<b>0.48</b>	<b>3</b>	
ARTIO GBL INTL EQ II I		12/31/2009		FOREIGN TAX	-4.08	6.7	
HARBOR FUND INTL INSTL		12/22/2009		FOREIGN TAX	-6.74	6.7	
<b>TOTAL FOREIGN TAX PAID</b>					<b>-10.82</b>	<b>6</b>	

\* The "ex-dividend" date information displayed for qualified dividends reported on Form 1099-DIV are to assist you with holding period calculations. First Clearing, LLC does not certify all dates are accurate.  
& This January 2010 distribution is reported as 2009 income according to IRS regulations. This distribution does not appear on your 2009 monthly statements (RUCs).  
\$ The company has not yet provided a final tax classification of the income paid by this security. FCCS will continue to track this security and provide updated information when it becomes available.

### 1099-INT Interest Income

Date	Description	Notes	Activity	Amount	IRS Box	Country
06/26/09	BANK DEPOSIT SWEEP		INTEREST	0.01	1	
<b>TOTAL INTEREST INCOME NOT INCLUDED IN BOX 3</b>					<b>0.01</b>	<b>1</b>
02/02/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.37	8	
03/02/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.28	8	
03/27/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.04	8	
04/01/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.31	8	
05/01/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.30	8	
06/01/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.31	8	
07/08/09	GOLDMAN SACHS TR		FED TAX EXEMPT DIV	0.09	8	
<b>TOTAL FEDERALLY TAX EXEMPT INT/DIV</b>					<b>1.70</b>	<b>8</b>

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES



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2009 ENHANCED 1099

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As of Date: 2/05/10

## Federal Non-Reportable Information

THE FOLLOWING INFORMATION IS NOT PROVIDED TO THE IRS. THIS IS SUPPLEMENTARY INFORMATION ONLY THAT MIGHT BE USEFUL IN THE PREPARATION OF YOUR FEDERAL, STATE OR LOCAL TAX RETURN. MUCH OF THIS INFORMATION IS BASED ON GENERAL INFORMATION THAT IS PROVIDED BY THE ISSUER. PLEASE REVIEW THIS INFORMATION WITH YOUR TAX ADVISOR.

## Miscellaneous Activity Summary

Line Ref	Type	Amount
1	Margin Debit Interest	0.00
2	Municipal Bonds - OID Not Subject to AMT	0.00
3	Municipal Bonds - OID Subject to AMT	0.00
4	Expenses Subject to 2% of Adjusted Gross Income	0.00
5	Expenses Not Subject to 2% Adjusted Gross Income	0.00
6	Widely Held Fixed Investment Trusts - Other Items	See Detail
7	Master Limited Partnership Distributions	0.00
8	Investment Expense Withheld from Tax-Exempt Income	0.00
9	Federally Non-reportable Dividends and Interest	0.00
10	Accrued Interest on Purchases	0.00
11	Federal Tax Exempt Accrued Interest on Purchases	0.00
12	Other Supplementary Information	0.00
13	Option Premiums	0.00
14	Advisory Fees	316.78
15	American Depositary Receipt (ADR) Fees	0.00

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# 2009 ENHANCED 1099

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**[REDACTED]**  
AARON J SCHOCK

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FIRST CLEARING, LLC  
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**[REDACTED]**

**As of Date: 2/05/10**

## Federal Non-Reportable Information

### Miscellaneous Activity Detail

Description	Notes	Date	Activity	Amount	Line Ref
FUND SOURCE FEE		07/10/2009	ADVISORY FEES	-80.79	14
FUND SOURCE FEE		10/09/2009	ADVISORY FEES	-95.94	14
INV CONSULT FEE		01/09/2009	ADVISORY FEES	-73.25	14
INV CONSULT FEE		04/09/2009	ADVISORY FEES	-66.80	14
<b>TOTAL ADVISORY FEES</b>				<b>-316.78</b>	<b>14</b>

### Purchase Activity Detail

Description	Cusip	Date	Activity	Quantity	Price	Amount
ADV CAMBIA OPTY FDI	0075W0825	06/22/2009	PURCHASE	150.00500	11.86000	-1,779.06
ADV CAMBIA OPTY FDI	0075W0825	06/25/2009	PURCHASE	45.47600	12.25000	-557.08
AIM GLOBAL REAL ES CL Y	00142C219	06/22/2009	PURCHASE	90.73400	7.13000	-646.93
AIM GLOBAL REAL ES CL Y	00142C219	09/22/2009	REINVEST DIVIDEND	0.27200		-2.57
AIM GLOBAL REAL ES CL Y	00142C219	12/14/2009	REINVEST DIVIDEND	2.11200		-19.39
ARTIO GBL INTL EQ II I	04315J837	06/22/2009	PURCHASE	52.51200	9.85000	-517.24
ARTIO GBL INTL EQ II I	04315J837	12/31/2009	REINVEST DIVIDEND	14.05600		-166.71
DELAWARE US GRWTH INSTL	245917802	12/11/2009	REINVEST DIVIDEND	0.17600		-2.22
FMI FUNDS INC FOCUS FND	302933106	10/30/2009	REINVEST DIVIDEND	0.12200		-2.74
GOLDMAN SACHS TR	38141W182	01/02/2009	REINVEST DIVIDEND	0.44000		-0.44
GOLDMAN SACHS TR	38141W182	02/02/2009	REINVEST DIVIDEND	0.37000		-0.37
GOLDMAN SACHS TR	38141W182	03/02/2009	REINVEST DIVIDEND	0.28000		-0.28

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## 2009 ENHANCED 1099

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**As of Date: 2/05/10**

### Federal Non-Reportable Information

#### Purchase Activity Detail Continued

Description	Cusip	Date	Activity	Quantity	Price	Amount
GOLDMAN SACHS TR	38141W182	03/27/2009	REINVEST DIVIDEND	0.04000		-0.04
GOLDMAN SACHS TR	38141W182	04/01/2009	REINVEST DIVIDEND	0.31000		-0.31
GOLDMAN SACHS TR	38141W182	05/01/2009	REINVEST DIVIDEND	0.30000		-0.30
GOLDMAN SACHS TR	38141W182	06/01/2009	REINVEST DIVIDEND	0.31000		-0.31
GOLDMAN SACHS TR	38141W182	07/08/2009	REINVEST DIVIDEND	0.09000		-0.09
HANCOCK JOHN CLASS VAL I	409902756	06/22/2009	PURCHASE	100.85800	11.29000	-1,138.69
HANCOCK JOHN CLASS VAL I	409902756	12/16/2009	REINVEST DIVIDEND	2.49900		-36.19
HARBOR CAP APPREC INSTL	411511504	06/22/2009	PURCHASE	57.41400	25.92000	-1,488.18
HARBOR CAP APPREC INSTL	411511504	12/22/2009	REINVEST DIVIDEND	0.26500		-8.55
HARBOR FUND INTL INSTL	411511306	06/22/2009	PURCHASE	39.02800	41.44000	-1,617.33
HARBOR FUND INTL INSTL	411511306	06/25/2009	PURCHASE	20.47100	43.07000	-881.67
HARBOR FUND INTL INSTL	411511306	12/22/2009	REINVEST DIVIDEND	0.78400		-41.94
HOTCHKISS&WILEY MC VAL I	44134R800	12/21/2009	REINVEST DIVIDEND	1.01900		-18.12
LEGG MASON NAV VALUE TR	524659208	06/22/2009	PURCHASE	4.51900	32.48000	-146.77
LEGG MASON NAV VALUE TR	524659208	12/11/2009	REINVEST DIVIDEND	0.48100		-19.88
MANAGERS TIMESSQ MC GRW	561709833	06/22/2009	PURCHASE	176.95100	9.14000	-1,617.33
NUVN TRDWNDS INTL VAL I	67065W803	01/02/2009	REINVEST DIVIDEND	0.76200		-14.70
OPP INTERNATL GRWTH CL Y	68380L407	12/17/2009	REINVEST DIVIDEND	1.17500		-28.56
PARK AVE RS EMERG MKTS A	700159833	06/22/2009	PURCHASE	42.49400	16.51000	-701.57
PARK AVE RS EMERG MKTS A	700159833	12/21/2009	REINVEST DIVIDEND	1.26300		-28.15

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

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**As of Date: 2/05/10**

### Federal Non-Reportable Information

#### Purchase Activity Detail Continued

Description	Cusip	Date	Activity	Quantity	Price	Amount
PIMCO COMM REAL RET INST	722005667	06/22/2009	PURCHASE	138.23400	7.02000	-970.40
PIMCO COMM REAL RET INST	722005667	09/21/2009	REINVEST DIVIDEND	2.23100		-17.27
PIMCO COMM REAL RET INST	722005667	12/11/2009	REINVEST CAP GAIN	1.72700		-13.92
PIONEER FUND CL-Y	723682407	06/22/2009	PURCHASE	78.70200	28.77000	-2,264.26
PIONEER FUND CL-Y	723682407	06/29/2009	REINVEST DIVIDEND	0.40000		-11.81
PIONEER FUND CL-Y	723682407	09/28/2009	REINVEST DIVIDEND	0.23900		-7.91
PIONEER FUND CL-Y	723682407	12/23/2009	REINVEST DIVIDEND	0.30100		-10.77
ROWE I PRICE EQUITY INCM	779547108	03/31/2009	REINVEST DIVIDEND	0.62600		-9.25
ROYCE PREMIER FUND CL W	780905451	06/22/2009	PURCHASE	137.69800	12.92000	-1,779.06
ROYCE TOTAL RETURN FD W	780905444	03/13/2009	REINVEST DIVIDEND	0.66900		-4.47
ROYCE TOTAL RETURN FD W	780905444	06/12/2009	REINVEST DIVIDEND	0.48600		-4.49

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR TAX PREPARATION PURPOSES





## IMPORTANT INFORMATION - PLEASE READ THIS PAGE

The following pages are NOT tax forms and NONE of this information is provided to the Internal Revenue Service. The information is provided to you for courtesy purposes only to assist with completing your federal, state or local tax return. Consult with your Tax Advisor for more information.

If we must issue an amended Form 1099 because of receipt of dividend reclassification or other changes after your original tax package was printed, please note the following:

- \* The amended Form 1099 will include the Realized Gain/Loss Summary and the information may include updates if adjustments are made prior to the amendment being issued.
- \* The Annual Statement Information is provided only for select accounts. This information will NOT be provided again with an amended Form 1099. Be sure to keep the Annual Statement pages for future use when completing your tax return.

Wells Fargo Advisors (WFA) is the trade name used by two separate, registered broker-dealers and non-bank affiliates of Wells Fargo & Company, providing certain retail securities brokerage services: Wells Fargo Advisors, LLC and Wells Fargo Advisors Financial Network, LLC (WFAFN), Members SIPC. Any other referenced entity is a separate entity from WFA. Accounts carried by First Clearing, LLC.

We are not a legal or tax advisor. However, our advisors will be glad to work with you, your accountant, tax advisor and/or attorney to help you meet your financial goals. **Investment and insurance products:**

NOT FDIC-insured	NO Bank Guarantee	MAY Lose Value
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### About this statement

**Clearing services**

First Clearing, LLC ("FCC"), an indirect majority owned subsidiary of Wells Fargo & Company, is a clearing broker-dealer registered with the Securities and Exchange Commission ("SEC") and is a member of the New York Stock Exchange ("NYSE"). The Financial Industry Regulatory Authority ("FINRA") and all principal U.S. exchanges. FCC carries your account and acts as your custodian for funds and securities deposited with us directly by you, through our affiliated broker dealer, Wells Fargo Advisors, LLC ("Wells Fargo Advisors") or as a result of transactions we process for your account. Twice a year, FCC publishes on its web site [www.firstclearingllc.com](http://www.firstclearingllc.com) a statement of the firm's financial condition. Alternatively, a printed statement is available to you upon request. Unless and until we receive written notice from you to the contrary, FCC may, without inquiry or investigation, accept from Wells Fargo Advisors (i) orders for purchase or sale of securities for your account on margin or otherwise, and (ii) any other instructions concerning your account.

**Trade date statement**  
All activity and positions on this statement are shown as of the date a trade is entered on the brokerage trading system (i.e. the trade date). Proceeds from the sale of securities and costs for the trade, which securities are not transacted through your account until the actual settlement date of the trade, which may be up to three business days after the trade date (or longer for certain securities with an extended settlement date).

**Pricing of securities**

Securities prices reflected on your statement may vary from actual liquidation value. Prices shown are provided by outside quotation services which we believe to be reliable but due to the nature of market data the accuracy of such prices cannot be guaranteed, or in the absence of such pricing, are estimated by Wells Fargo Advisors using available information and its judgment. Such estimates may not reflect actual trades and do not reflect a commitment by the firm to buy or sell at those prices. Securities listed on a national exchange such as the NYSE or Nasdaq Stock Market are priced as of the close of the statement period. Unlisted shares may be valued at the current lowest published "bid-price", and, if more exists, the last reported transaction if occurring within the last 45 days. Prices of securities not actively traded may not be available and are indicated by "N/A." 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. Listed options are priced based on the closing "bid-ask" prices and the last reported trade. Mutual fund shares are priced at net asset value. Shares of direct participation program ("DPP") and real estate investment trust ("REIT") securities that are not listed on a national exchange are generally illiquid. Because no formal trading market may exist for these investments, their values are estimated. Unless otherwise indicated, the values shown for DPP and REIT securities have been provided by the management of each program and represent that management's estimate of the investor's interest in the net assets of each program. See statement sections for additional pricing information. Prices for hedge funds and certain managed futures funds are provided on a month delay basis. Other managed futures funds may be priced more frequently. Long-term certificates of deposit (maturity beyond one year from date of issue) are priced using a market value pricing model. Generally, the sale or redemption price of your securities may be higher or lower than the prices shown on your statement. For an actual quote, speak to Your Financial Advisor.

**Estimated annual income/yield** Estimated Annual Income (EAI), when available, reflects the estimated amount you would earn on a security if your current position and its related income remained constant for a year. Estimated Annual Yield (EAY), when available, reflects the current estimated annual income divided by the current value of the security as of the statement closing date. EAI and EAY are estimates and the actual income and yield might be lower or higher than the estimated amounts. EAY reflects only the income generated by an investment, not the increase in its price, which may fluctuate.

The information used to derive these estimates is obtained from various outside vendors; FCC and our investment. It does not reflect changes in its price, which may influence the value of the investment. The information used to derive these estimates is obtained from various outside vendors; FCC and our investment. It does not reflect changes in its price, which may influence the value of the investment. The information used to derive these estimates is obtained from various outside vendors; FCC and our investment. It does not reflect changes in its price, which may influence the value of the investment.

**Income summary** The income summary displays all income as recorded in the tax system as of period end date. The income summary displays all income as recorded in the tax system as of period end date. The income summary displays all income as recorded in the tax system as of period end date.

**Questions and complaints about Your Account**

**Questions and complaints about Your Account** This account statement contains important information about your brokerage account, including recent transactions. All account statements sent to you shall be deemed complete and accurate if not objected to in writing within ten days of receipt. We encourage you to review the details in this statement. If you do not understand any of the information in your statement or if you believe there are any inaccuracies or discrepancies in your statement, you should promptly report them to both FCC and to the manager of the Wells Fargo Advisors office listed on the front of your statement. To further protect your rights, including any rights under the Securities Investor Protection Act, any verbal communications with either your Wells Fargo Advisors office or with FCC should be re-confirmed in writing. Inquiries or complaints about your account statement, including the positions and balances in your account, may be directed to Wells Fargo Advisors Client Services at (866) 867-2402 or First Clearing Client Services at ATTN: MO2630, 1 N. Jefferson Ave, St. Louis, MO 63103, (800)727-0304.

**Public Disclosure:** You may reach FINRA by calling the FINRA Regulation Public Disclosure Program Hotline at (800) 289-9999 or by visiting [www.finra.org](http://www.finra.org). A brochure describing the FINRA Regulation Public Disclosure Program is also available from the FINRA upon request.

**SIPC protection:** Wells Fargo Advisors is a Securities and cash in client accounts have two sources of protection. SIPC protects the clients of its member firms against the loss of their securities in the event of the member's insolvency and liquidation. Each client is insured up to a maximum of \$500,000 (including \$100,000 for claims for cash). For more information on SIPC coverage, please see the explanatory brochure at [www.sipc.org](http://www.sipc.org) or contact SIPC at (202) 371-9300. In addition, Wells Fargo Advisors maintains a program of excess, or contact SIPC at (202) 371-9300. In addition, Wells Fargo Advisors maintains a program of excess, protection. This additional insurance coverage is provided through London Underwriters (led by Lloyd's of London Syndicate) ("Lloyd's"). For clients who have received the full SIPC payout limit, Wells Fargo Advisors' policy with Lloyd's provides additional coverage above the SIPC limits for any missing securities and cash in client brokerage accounts up to a firm aggregate limit of \$1 billion (including up to \$1.9 million for cash per client). SIPC and the additional protection do not insure the (including up to \$1.9 million for cash per client). SIPC and the additional protection do not insure the

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**Free credit balances** Free credit balances are not segregated and may be used by FOC in the operation of its business in accordance with 17CFR Section 240.15c3-2 & 3 under the Securities and Exchange Act of 1934. You have the right to receive from us in the course of normal business operations, subject to any segregation of credit balances to which you are entitled.

**Investment objectives/risk tolerances**  
Please inform your Financial Advisor promptly of any material change that might affect your investment objectives, risk tolerances or financial situation.

**Tax reporting.** We are required by federal law to report annually to you and to the Internal Revenue Service ("IRS") on Form 1099 certain interest, dividend income and sales proceeds credited to your account.





## Realized Gain/Loss

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As of Date: 2/05/10

**AARON J SCHOCK**

## Realized Gain/Loss Detail for Year

Short Term DESCRIPTION	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
BLACKROCK FDS US OPPORTUNITIES INSTL CL	0.0110	21.7300	12/08/08	06/24/09	0.30	0.24	0.06
GOLDMAN SACHS TR FINL SQUARE TAX FREE MONEY MKT INSTL CL	73.2500	1.0000	06/10/08	01/09/09	73.25	73.25	0.00
	66.8000	1.0000	06/10/08	04/09/09	66.80	66.80	0.00
	1.8900	1.0000	11/03/08	10/09/09	1.89	1.89	0.00
	0.6400	1.0000	12/01/08	10/09/09	0.64	0.64	0.00
	0.0500	1.0000	12/18/08	10/09/09	0.05	0.05	0.00
	0.0400	1.0000	12/18/08	10/09/09	0.04	0.04	0.00
	0.4400	1.0000	01/02/09	10/09/09	0.44	0.44	0.00
	0.3700	1.0000	02/02/09	10/09/09	0.37	0.37	0.00
	0.2800	1.0000	03/02/09	10/09/09	0.28	0.28	0.00
	0.0400	1.0000	03/27/09	10/09/09	0.04	0.04	0.00
	0.3100	1.0000	04/01/09	10/09/09	0.31	0.31	0.00
	0.3000	1.0000	05/01/09	10/09/09	0.30	0.30	0.00
	0.3100	1.0000	06/01/09	10/09/09	0.31	0.31	0.00
	0.0900	1.0000	07/08/09	10/09/09	0.09	0.09	0.00
GROWTH FUND AMERICA CL F	0.7480	19.6900	12/23/08	06/24/09	16.75	14.73	2.02
HARBOR SMALL CAP VALUE INSTITUTIONAL	0.3410	12.8000	12/23/08	06/24/09	4.39	4.36	0.03
	0.2240	12.8000	12/23/08	06/24/09	2.89	2.87	0.02

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**Realized Gain/Loss**

**As of Date: 2/05/10**

**AARON J SCHOCK**

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## Realized Gain/Loss

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As of Date: 2/05/10

**AARON J SCHOCK**

Short Term	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
<b>T ROWE PRICE EQUITY</b>								
		0.3210	19.1200	12/22/08	06/24/09	7.15	6.13	1.02
<b>INCOME FD</b>								
		0.4910	23.4800	06/30/08	06/24/09	8.21	11.52	-3.31
		0.5350	23.2000	09/30/08	06/24/09	8.94	12.41	-3.47
		0.8070	16.5100	12/16/08	06/24/09	13.49	13.32	0.17
		0.6260	14.7800	03/31/09	06/24/09	10.48	9.25	1.23
<b>TCW</b>								
		3.0980	8.7600	12/23/08	06/24/09	28.91	27.14	1.77
<b>TIAA-CREF INSTITUTIONAL</b>								
		4.6180	6.3100	12/15/08	06/24/09	31.86	29.14	2.72
		0.3870	6.3100	12/15/08	06/24/09	2.68	2.44	0.24
<b>Total - Short Term</b>								
						\$799.83	\$732.43	\$67.40
<b>Long Term</b>								
<b>BLACKROCK FDS</b>								
		44.9880	33.5300	04/04/07	06/22/09	1,170.13	1,508.46	-338.33
		4.3560	33.5300	04/04/07	06/24/09	114.99	148.05	-31.06
<b>DELAWARE GROUP ADVISER</b>								
		3.1180	14.8200	06/10/08	06/22/09	31.62	46.21	-14.59
<b>FBI FDS</b>								
		18.7660	34.0500	10/20/05	06/22/09	328.21	638.98	-310.77

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Realized Gain/Loss

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As of Date: 2/05/10

**AARON J SCHOCK**

Long Term Description	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
<b>GOLDMAN SACHS FINL SOR</b>								
TAX FREE MONEY MKT INSTL	CL	80.7800	1.0000	06/10/08	07/10/09	80.78	80.78	0.00
<b>GOLDMAN SACHS TR</b>								
FINL SQUARE TAX FREE	CL	428.1700	1.0000	06/10/08	06/22/09	428.17	428.17	0.00
<b>GOLDMAN SACHS TR</b>								
FINL SQUARE TAX FREE	CL	71.2600	1.0000	06/10/08	10/09/09	71.26	71.26	0.00
MONEY MKT INSTL CL		0.8000	1.0000	07/01/08	10/09/09	0.80	0.80	0.00
		1.1400	1.0000	08/01/08	10/09/09	1.14	1.14	0.00
		1.1000	1.0000	09/02/08	10/09/09	1.10	1.10	0.00
		1.9800	1.0000	10/01/08	10/09/09	1.98	1.98	0.00
<b>GROWTH FUND AMERICA</b>								
CL F		56.5150	32.8100	03/20/07	06/22/09	1,250.12	1,854.25	-604.13
		0.0940	33.1900	12/20/07	06/22/09	2.08	3.13	-1.05
		0.6130	33.1900	12/20/07	06/24/09	13.72	20.34	-6.62
		3.9360	33.1900	12/20/07	06/24/09	88.13	130.65	-42.52
<b>HARBOR SMALL CAP VALUE</b>								
INSTITUTIONAL		62.3060	19.0500	10/20/05	06/22/09	801.87	1,186.92	-385.05
		0.1700	19.8100	12/22/05	06/22/09	2.18	3.36	-1.18
		2.2810	19.8100	12/22/05	06/22/09	29.35	45.19	-15.84
		0.2840	19.8100	12/22/05	06/22/09	3.65	5.63	-1.98
		0.1540	21.4900	12/21/06	06/22/09	1.98	3.30	-1.32
		3.7990	21.4900	12/21/06	06/22/09	48.90	81.64	-32.74
		0.8440	19.4700	12/21/07	06/22/09	10.86	16.43	-5.57

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## Realized Gain/Loss

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**[REDACTED]**  
**AARON J SCHOCK**

Long Term Description	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
<b>HIGHMARK FUNDS</b>								
<b>GENEVA GROTH FD CLASS A</b>								
		133.8390	16.7200	07/18/06	06/22/09	1,829.58	2,237.78	-408.20
		0.5800	18.0200	12/27/06	06/22/09	7.92	10.45	-2.53
		0.6810	19.9300	01/02/08	06/22/09	9.32	13.58	-4.26
		7.5530	19.9300	01/02/08	06/24/09	103.78	150.53	-46.75
<b>HOTCHKISS &amp; WILEY FDS</b>								
<b>MID CAP VALUE FD CL I</b>								
		30.4580	27.5600	10/20/05	06/22/09	407.53	839.43	-431.90
<b>NUVEEN TRADEWINDS INTL</b>								
<b>NUVEEN INTERNATIONAL</b>								
<b>VALUE FD INSTL SHS CLASS</b>								
		39.8380	26.0400	10/20/05	06/22/09	817.48	1,037.37	-219.89
		0.8800	28.3900	01/03/06	06/22/09	18.05	24.97	-6.92
		1.2110	32.8400	12/20/06	06/22/09	24.85	39.77	-14.92
		0.2800	32.8400	12/20/06	06/22/09	5.74	9.19	-3.45
		1.1470	32.5800	01/04/07	06/22/09	23.53	37.38	-13.85
		0.0820	32.5800	01/04/07	06/22/09	1.68	2.67	-0.99
		2.7280	31.8700	12/19/07	06/22/09	55.98	86.93	-30.95
		2.5910	31.8700	12/19/07	06/22/09	53.17	82.59	-29.42
		0.9420	32.2900	12/31/07	06/22/09	19.33	30.42	-11.09
<b>OAKMARK INTL FD</b>								
<b>HARRIS ASSOC INV'T TRCL</b>								
		29.0620	22.5700	10/20/05	06/22/09	367.05	655.92	-288.87
		3.6950	22.4900	12/19/05	06/22/09	46.66	83.11	-36.45
		6.0550	22.4900	12/19/05	06/22/09	76.47	136.18	-59.71

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Realized Gain/Loss

As of Date: 2/05/10

**AARON J SCHOCK**

Long Term Description	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
PARK AVE PORTFOLIO								
RS EMERGING MKTS FD CL A								
ROYCE TOTAL RETURN FD CLASS W								
		0.6580	26.0500	06/09/08	10/09/09	14.90	17.15	-2.25
		86.7370	12.3300	10/20/05	06/22/09	748.53	1,069.46	-320.93
		0.7210	12.7800	12/06/05	06/22/09	6.22	9.21	-2.99
		7.3690	12.7800	12/06/05	06/22/09	63.59	94.17	-30.58
		0.8320	12.7800	12/06/05	06/22/09	7.18	10.63	-3.45
		0.4540	13.2600	03/14/06	06/22/09	3.91	6.02	-2.11
		0.7730	13.0200	06/13/06	06/22/09	6.67	10.06	-3.39
		0.6180	13.0700	09/13/06	06/22/09	5.33	8.08	-2.75
		0.5500	13.8500	12/07/06	06/22/09	4.74	7.62	-2.88
		7.4940	13.8500	12/07/06	06/22/09	64.68	103.79	-39.11
		0.0850	13.8500	12/07/06	06/22/09	0.73	1.18	-0.45
		0.6060	13.9000	03/13/07	06/22/09	5.23	8.43	-3.20
		0.7120	14.8400	06/13/07	06/22/09	6.14	10.57	-4.43
		0.7530	14.0700	09/13/07	06/22/09	6.50	10.60	-4.10
		0.6230	13.2000	12/11/07	06/22/09	5.37	8.22	-2.85

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**AARON J SCHOCK**

Long Term DESCRIPTION	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
RS INVT TR								
GLOBAL NATURAL RES FD								
CLASS A								
		26.7560	43.7400	06/09/08	06/22/09	606.29	1,170.33	-564.04
		5.0250	43.7400	06/09/08	06/24/09	116.88	219.79	-102.91
SECURITY EQUITY FD								
MID CAP VALUE SER CL A								
		45.4290	30.6000	06/09/08	06/22/09	997.61	1,390.12	-392.51
T ROWE PRICE EQUITY								
		51.1520	25.5900	10/20/05	06/22/09	845.53	1,308.98	-463.45
		0.7720	26.1900	12/16/05	06/22/09	12.76	20.22	-7.46
		5.2500	26.1900	12/16/05	06/22/09	86.78	137.51	-50.73
		0.5150	26.1900	12/16/05	06/22/09	8.51	13.48	-4.97
		0.5190	27.2200	04/03/06	06/22/09	8.57	14.14	-5.57
		0.3120	27.2200	04/03/06	06/22/09	5.15	8.48	-3.33
		0.1560	27.2200	04/03/06	06/22/09	2.57	4.24	-1.67
		0.6470	26.3800	06/30/06	06/22/09	10.69	17.08	-6.39
		0.6060	28.3100	10/02/06	06/22/09	10.01	17.16	-7.15
		0.7280	29.5800	12/21/06	06/22/09	12.03	21.54	-9.51
		3.0580	29.5800	12/21/06	06/22/09	50.55	90.46	-39.91
		0.3400	29.5800	12/21/06	06/22/09	5.62	10.05	-4.43

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# Realized Gain/Loss

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**AARON J SCHOCK**

Long Term	Continued	QUANTITY	ADJ PRICE/ ORIG PRICE	DATE ACQUIRED	CLOSE DATE	PROCEEDS	ADJ COST/ ORIG COST	GAIN/LOSS
DESCRIPTION								
		0.5540	29.3400	03/30/07	06/22/09	9.15	16.25	-7.10
		1.8130	29.3400	03/30/07	06/22/09	29.97	53.18	-23.21
		0.7200	31.2800	06/29/07	06/22/09	11.90	22.51	-10.61
		0.7870	30.6800	09/28/07	06/22/09	13.01	24.13	-11.12
		0.8710	27.8500	12/20/07	06/22/09	14.40	24.25	-9.85
		7.6750	27.8500	12/20/07	06/22/09	126.91	213.75	-86.84
		0.3270	27.8500	12/20/07	06/22/09	5.40	9.10	-3.70
		0.8980	25.0300	03/31/08	06/22/09	14.85	22.47	-7.62
		0.3010	25.0300	03/31/08	06/22/09	4.99	7.54	-2.55
		3.9940	25.0300	03/31/08	06/24/09	66.77	99.97	-33.20
		0.2560	25.0300	03/31/08	06/24/09	4.28	6.42	-2.14
TCW								
DIVERSIFIED VALUE FD		82.2680	16.4900	03/20/07	06/22/09	760.15	1,356.60	-596.45
CL-I		0.7960	15.6300	12/24/07	06/22/09	7.35	12.44	-5.09
		1.7480	15.6300	12/24/07	06/22/09	16.15	27.32	-11.17
		0.1040	15.6300	12/24/07	06/22/09	0.96	1.62	-0.66
		44.7320	14.4000	06/10/08	06/22/09	413.34	644.14	-230.80
		10.2280	14.4000	06/10/08	06/24/09	95.42	147.28	-51.86
TIAA-CREF INSTITUTIONAL								
INTERNATIONAL EQUITY FD		121.7140	11.4900	01/23/08	06/22/09	820.35	1,398.50	-578.15
CL-R		9.7030	11.4900	01/23/08	06/24/09	66.95	111.48	-44.53
		4.4790	11.6600	06/10/08	06/24/09	30.90	52.22	-21.32
Total - Long Term						\$15,622.51	\$23,598.95	-\$7,976.44

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Annual Statement Information

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**AARON J SCHOCK**

The information on the following pages is from your monthly client statements and is as of the end of the year. This information may not match the information presented on preceding pages due to changes that occur after year end as well as special tax reporting requirements. This information is not reported to the IRS. This section should be retained separately from the preceding pages. If you receive an Amended Form in the future, that package will NOT contain the Annual Statement information pages.

Portfolio summary

Asset type	Value on Dec. 31
Cash and sweep balances	0.00
Stocks and options	0.00
Fixed income securities	40,343.57
Mutual funds	
Asset Value	\$40,343.57

Statement activity detail summary

Other subtractions	Total as of Dec 31
	-316.78
Unrealized gain/loss summary	
Short term	4,494.75
Long term	-3,883.68
Total	\$611.07

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# Annual Statement Information

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**AARON J SCHOCK**

## Activity detail by type

### Other additions

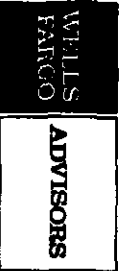
DATE	ACCOUNT TYPE	TRANSACTION	QUANTITY	DESCRIPTION	AMOUNT
3/02	Cash	NAME CHANGE	235.62500	ARTIO GLOBAL INV/ FDS INTL EQUITY FD II CL I	0.00
6/05	Cash	NAME CHANGE	142.65300	HIGHMARK FUNDS GENEVA GROTH FD CLASS A	0.00
Total Other additions:					\$0.00

### Other subtractions

DATE	ACCOUNT TYPE	TRANSACTION	QUANTITY	DESCRIPTION	AMOUNT
1/09	Cash	INV CONS FEE		FUNDSOURCE FEE QUARTERLY FEE	-73.25
3/02	Cash	NAME CHANGE	-235.62500	ARTIO INTERNATIONAL EQUITY FUND II	0.00
4/09	Cash	INV CONS FEE		FUNDSOURCE FEE QUARTERLY FEE	-66.80
6/05	Cash	NAME CHANGE	-142.65300	NORTH TRACK FDS INC GENEVA GROWTH FUND CLASS A	0.00
7/10	Cash	INV CONS FEE		FUNDSOURCE FEE QUARTERLY FEE	-80.79

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**AARON J SCHOCK**

Activity detail by type      Continued

Other subtractions Continued		TRANSACTION	QUANTITY	DESCRIPTION	AMOUNT
DATE	ACCOUNT TYPE				
10/09	Cash	INV CONS FEE		FUNDSOURCE FEE QUARTERLY FEE	-95.94
Total Other subtractions:					- \$316.78

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