

MAY 2 2014

UNITED STATES HOUSE OF REPRESENTATIVES  
FINANCIAL DISCLOSURE STATEMENT

FORM B

For use by candidates and new employees

Period covered: January 1, 2013 - May 1, 2014

Name: Monte Shaw

Daytime Telephone:

(Office Use Only)

Filer Status	<input checked="" type="checkbox"/> Candidate for the House of Representatives	State: Iowa District: 3	Date of Election: 06/03/2014	Check if Amendment <input type="checkbox"/>	A \$200 penalty shall be assessed against any individual who files more than 30 days late.
	<input type="checkbox"/> New officer or employee	Employing Office:			

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

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

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

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

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

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

Page 2 of 6

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

**Exclude:** Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

[illegible]

## Page 3 of 6

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

## Continuation Sheet (if needed)

Page 4 of 6

**This page may be copied if more space is required.**

# **SCHEDULE III — LIABILITIES**

Name **Monte Shaw**

Page **5** of **6**

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

SP, DC, JT	Creditor	Date Liability Incurred mo/year	Type of Liability	Amount of Liability										
				A	B	C	D	E	F	G	H	I	J	K
	Example: First Bank of Wilmington, DE	May 1998	Mortgage on 123 Main Street, Dover, DE	\$10,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$100,000	\$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	\$50,000,001 - \$1,000,000,000	Spouse/DC Liability over \$1,000,000

# **SCHEDULE IV — POSITIONS**

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

Position	Name of Organization
Vice President	WGMS Enterprises LC
Executive Director	Iowa Renewable Fuels Association Board of Directors (ex-officio, non-voting)

# **SCHEDULE V – AGREEMENTS**

Name **Monte Shaw**

Page **6** of **6**

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

# **SCHEDULE VI – COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE**

Report sources of such compensation received by you or your business affiliation for services provided directly by you during the *two* prior years. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any nonprofit organization if you directly provided the services generating a fee or payment of more than \$5,000. **Exclude:** Payments by the U.S. Government and any information considered confidential as a result of a privileged relationship recognized by law. **Do not repeat information listed on Schedule I.**

Source (Name and Address)		Brief Description of Duties
<i>Example:</i>	Doe Jones & Smith, Hometown, Homestate	Accounting services



Resource Management Account  
December 2013

Account name: MONTGOMERY SHAW  
Friendly account name: Joint Account  
Account number:

Your Financial Advisor:

## Your assets

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

### Cash

#### Cash and money balances

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

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

Holding	Opening balance on Dec 1 (\$)	Closing balance on Dec 31 (\$)	Price per share on Dec 31 (\$)	Average rate	Dividend interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	1.81	1.81					

## Fixed income

### Mutual funds

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

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

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

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

Holding	Number of shares	Purchase price or average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
EATON VANCE SHORT DURATION GOVERNMENT INCOME FUND CLASS C	1,806.402	8.982	16,226.69	16,226.69	8.610	15,553.12	-673.57		LT
Symbol: ECLDX				779.153	8.610	753.75	-25.40		
Trade date: Jan 30, 12	87.544	8.900							
Total reinvested									
EAI: \$426 Current yield: 2.61%									

continued next page



Resource Management Account  
December 2013

Account name: MONTGOMERY SHAW  
Friendly account name: Joint Account  
Account number:

Your Financial Advisor:

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

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Security total	1,893.946	8.979	16,226.69	17,005.84		16,306.87	-698.97	80.18	
JP MORGAN SHORT DURATION BOND FUND CLASS C									
Symbol: OSTCX									
Trade date: Jan 30, 12	1,468.574	11.053	16,232.95	16,232.95	10.940	16,066.19	-166.76		LT
Total reinvested	11.723	11.034		129.36 <sup>2</sup>	10.940	128.25	-1.11		
EAI: \$34 Current yield: 0.21%									
Security total	1,480.297	11.053	16,232.95	16,362.31		16,194.44	-167.87	-38.51	
<b>Total</b>			<b>\$32,459.64</b>	<b>\$33,368.15</b>		<b>\$32,501.31</b>	<b>-\$866.84</b>	<b>\$41.67</b>	
<b>Total estimated annual income: \$460</b>									

<sup>2</sup> Value has been adjusted to include the amount of the disallowed loss as a result of a Wash Sale transaction.

### Other

#### Mutual funds

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

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

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

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

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
BLACKROCK GLOBAL ALLOCATION FUND INC C									
Symbol: MCLOX									
Trade date: Dec 15, 08	488.514	13.485	6,587.65	6,587.65	19.770	9,657.92	3,070.27		LT
Trade date: Mar 23, 09	10.962	13.500	147.99	147.99	19.770	216.72	68.73		LT
Trade date: Jun 12, 09	17.775	15.090	268.23	268.23	19.770	351.41	83.18		LT
Trade date: Oct 7, 09	17.230	16.489	284.12	284.12	19.770	340.64	56.52		LT
Total reinvested	65.077	18.097		1,177.71	19.770	1,286.57	108.86		
EAI: \$78 Current yield: 0.66%									
Security total	599.558	14.120	7,287.99	8,465.70		11,853.26	3,387.56	4,565.27	

continued next page





Resource Management Account  
December 2013

Account name: MONTGOMERY SHAW  
Friendly account name: Joint Account  
Account number:

Your Financial Advisor:

Your assets > Other > Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (raw) gain or loss (\$)	Investment return (\$)	Holding period
IVY ASSET STRATEGY FUND									
CLASS C									
Symbol: WASCX									
Trade date: May 25, 10	438.061	19.631	8,600.00	8,600.00	31.140	13,641.21	5,041.21		LT
Total reinvested	8.987	24.224		217.71	31.140	279.86	62.15		
EAI: \$4 Current yield: 0.03%									
Security total	447.048	19.724	8,600.00	8,817.71		13,921.07	5,103.36	5,321.07	
<b>Total</b>			<b>\$15,887.99</b>	<b>\$17,285.41</b>		<b>\$25,774.33</b>	<b>\$8,490.92</b>	<b>\$9,886.34</b>	
<b>Total estimated annual income: \$82</b>									



## Managed Portfolio of Funds December 2013

**Account name:** MONTGOMERY D SHAW  
**Friendly account name:** Monte Rollover  
**Account type:** IRA Rollover  
**Account number:**

**Your Financial Advisor:**

## Your assets

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

### Cash

#### Cash and money balances

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

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

Holding	Opening balance on Dec 1 (\$)	Closing balance on Dec 31 (\$)	Price per share on Dec 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	2,476.52	2,595.58					

### Equities

#### Closed end funds & Exchange traded products

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

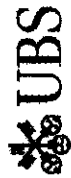
*Cost basis* is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

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

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

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
ISHARES RUSSELL MIDCAP ETF									
Symbol: IWR									
Trade date: Apr 2, 13	32,000	126.130	4,036.16	4,036.16	149.980	4,799.36	763.20	763.20	5Y
EAI: \$63 Current yield: 1.31%									
ISHARES RUSSELL MID-CAP GROWTH									
ETF									
Symbol: IWP									

*continued next page*



Managed Portfolio of Funds  
December 2013

Account name: MONTGOMERY D SHAW  
Friendly account name: Monte Rollover  
Account type: IRA Rollover  
Account number:

Your Financial Advisor:

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

Holding	Trade date	Aug 20, 13	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
SPDR S&P 500 ETF TR	EAI: \$71	Current yield: 0.79%	106,000	75.460	7,998.76	7,998.76	84.360	8,942.16	943.40	943.40	ST
Symbol: SPY											
Trade date: Jun 27, 12			107,000	132.987	14,229.62	14,229.62	184.690	19,761.83	5,532.21		LT
Trade date: Oct 17, 13			15,000	173.023	2,595.35	2,595.35	184.690	2,770.35	175.00		ST
EAI: \$409	Current yield: 1.82%										
Security total			122,000	137.910	16,824.97	16,824.97		22,532.18	5,707.21	5,707.21	
VANGUARD FTSE EUROPE ETF											
Symbol: VEG											
Trade date: Oct 17, 13			64,000	56.189	3,596.15	3,596.15	58.800	3,763.20	167.05	167.05	ST
EAI: \$104	Current yield: 2.76%										
<b>Total</b>					<b>\$32,456.04</b>	<b>\$32,456.04</b>		<b>\$40,036.90</b>	<b>\$7,580.86</b>	<b>\$7,580.86</b>	

Total estimated annual income: \$647

## Mutual funds

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

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

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

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

Holding	Trade date	Jun 27, 12	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
FMI LARGE CAP FUND											
Symbol: FMILX											
Trade date: Jun 27, 12			690,647	16.139	11,147.04	11,147.04	20.860	14,406.89	3,259.85		LT
Trade date: Jun 6, 13			168,095	19.850	3,336.69	3,336.69	20.860	3,506.46	169.77		ST
Total reinvested			77,812	19.632	1,527.66	1,527.66	20.860	1,623.16	95.50		
EAI: \$166	Current yield: 0.85%										
Security total			936,554	17.096	14,483.73	14,483.73		19,536.51	3,525.12	5,052.78	

JOHN HANCOCK DISCIPLINED

continued next page



Managed Portfolio of Funds  
December 2013

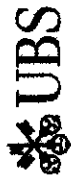
Account names: MONTGOMERY D SHAW  
Friendly account name: Monte Rollover  
Account type: IRA Rollover  
Account number:

Your Financial Advisor:

Your assets • Equities • Mutual funds (continued)

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
VALUE MID CAP FUND CLASS									
A									
Symbol: JWMAX									
Trade date: Jun 27, 12	550.757	11.479	6,322.69	6,322.69	17.590	9,687.81	3,365.12		LT
Total reinvested	13.543	16.442		222.68	17.590	238.22	15.54		
Security total	564.300	11.599	6,322.69	6,545.37		9,926.03	3,380.66	3,603.34	
MAINSTAY ICAP									
INTERNATIONAL FUND A									
Symbol: KEVX									
Trade date: Jun 27, 12	399.005	25.750	10,274.38	10,274.38	35.860	14,308.32	4,033.94		LT
Trade date: Jun 25, 13	72.022	30.420	2,190.91	2,190.91	35.860	2,582.71	391.80		ST
Total reinvested	10.902	31.015		338.13	35.860	390.95	52.82		
Eat: \$133 Current yield: 0.77%									
Security total	481.929	26.567	12,465.29	12,803.42		17,281.97	4,478.56	4,816.69	
MANNING & NAPER FD,									
INC. WORLD OPPORTUNITIES									
SRS									
Symbol: EXWAX									
Trade date: Jun 27, 12	1,648.988	6.710	11,064.71	11,064.71	9.050	14,923.33	3,858.62		LT
Total reinvested	55.984	8.229		460.70	9.050	506.65	45.95		
Eat: \$176 Current yield: 1.14%									
Security total	1,704.972	6.760	11,064.71	11,525.41		15,429.99	3,904.57	4,365.27	
RIVERPARK WEDGEWOOD									
RETAIL FUNDS									
Symbol: RWGFX									
Trade date: Jun 27, 12	913.859	12.450	11,377.55	11,377.55	17.520	16,010.81	4,633.26		LT
Trade date: Jun 6, 13	242.358	15.009	3,637.79	3,637.79	17.520	4,246.11	608.32		ST
Total reinvested	20.612	16.450		339.08	17.520	361.12	22.04		
Security total	1,176.829	13.047	15,015.34	15,354.42		20,618.04	5,263.62	5,602.70	
TOUCHSTONE SMALL CAP									
CORE FUND CLASS A									

continued next page



Managed Portfolio of Funds  
December 2013

Account name: MONTGOMERY D SHAW  
Friendly account name: Monte Rollover  
Account type: IRA Rollover  
Account number:

Your Financial Advisor:

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

Holding	Symbol	Number of shares	Purchase price/ Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
	TSFAX									
	Trade date: Jun 27, 12	252.787	14.459	3,655.30	3,655.30	21.000	5,308.52	1,653.22		LT
	Total reinvested	12.221	18.982		231.98	21.000	256.64	24.66		
	EAI: \$81 Current yield: 1.46%									
	Security total	265.008	14.669	3,655.30	3,887.28		5,565.16	1,677.88	1,909.86	
	<b>Total</b>			<b>\$63,007.06</b>	<b>\$66,127.29</b>		<b>\$88,357.70</b>	<b>\$22,230.41</b>	<b>\$25,350.64</b>	
	<b>Total estimated annual income: \$556</b>									

## Fixed income

### Closed end funds & Exchange traded products

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

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

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

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

Holding	Symbol	Number of shares	Purchase price/ Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
	ISHARES 1-3 YEAR CREDIT BOND ETF									
	Trade date: Oct 17, 13	100.000	105.339	10,533.94	10,533.94	105.460	10,546.00	12.06	12.06	ST
	EAI: \$123 Current yield: 1.17%									
	VANGUARD BD INDEX FD INC TOTAL BOND MKT ETF									
	Trade date: Nov 13, 12	92.000	85.030	7,822.76	7,822.76	80.050	7,364.60	-458.16	-458.16	LT
	EAI: \$187 Current yield: 2.54%									
	<b>Total</b>			<b>\$18,356.70</b>	<b>\$18,356.70</b>		<b>\$17,910.60</b>	<b>-\$446.10</b>	<b>-\$446.10</b>	
	<b>Total estimated annual income: \$310</b>									



Managed Portfolio of Funds  
December 2013

Account name: MONTGOMERY D SHAW  
Friendly account name: Monte Rollover  
Account type: IRA Rollover  
Account number:

Your Financial Advisor:

Your assets > **Fixed income** (continued)

**Mutual funds**

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

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

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A									
Symbol: OOSAX									
Trade date: Jun 6, 13	489,720	8.379	4,103.85	4,103.85	8.430	4,128.34	24.49		ST
Trade date: Jun 25, 13	214,647	8.360	1,794.45	1,794.45	8.430	1,809.47	15.02		ST
Total reinvested	17,580	8.389		147.48	8.430	148.20	0.72		
EAI: \$283 Current yield: 4.65%									
Security total	721,947	8.374	5,898.30	6,045.78		6,086.01	40.23	187.71	

**Non-traditional**

**Mutual funds**

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

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

Holding	Number of shares	Purchase price/ Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
AQR MANAGED FUTURES STRATEGY FUND CLASS N									
Symbol: AQMNX									
Trade date: Jun 27, 12	342,621	9.749	3,340.55	3,340.55	10.510	3,600.95	260.40		LT

continued next page



# Managed Portfolio of Funds

December 2013

Account name: MONTGOMERY D SHAW  
 Friendly account name: Monte Rollover  
 Account type: IRA Rollover  
 Account number:

Your Financial Advisor:

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

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Investment return (%)	Holding period
Trade date: Jun 6, 13	350.039	9.970	3,483.89	3,483.89	10.510	3,678.91	189.02		ST
Total reinvested	9.909	10.120		100.28	10.510	104.14	3.86		
Security total	702.569	9.865	6,830.44	6,930.72		7,384.00	453.28		553.56
ARBITRAGE FUND NO LOAD CLASS									
Symbol: ARBX									
Trade date: Jun 27, 12	687.874	12.829	8,825.42	8,825.42	12.600	8,667.21	-158.21		LT
Total reinvested	22.676	12.477		282.94	12.600	285.72	2.78		
Security total	710.550	12.819	8,825.42	9,108.36		8,952.93	-155.43		127.51
BLACKROCK GLOBAL LONGSHORT CREDIT FUND A									
Symbol: BGCAX									
Trade date: Jun 6, 13	931.964	10.640	9,916.10	9,916.10	10.790	10,055.89	139.79		ST
Total reinvested	3.614	10.666		38.55	10.790	39.00	0.45		
EAI: \$111 Current yield: 1.10%									
Security total	935.578	10.640	9,916.10	9,954.65		10,094.88	140.24		178.79
JHANCOCZ GLOBAL ABSOLUTE RETURN STRATEGIES FUND CLASS A									
Symbol: JHAAX									
Trade date: Jun 27, 12	924.398	10.420	9,632.23	9,632.23	11.060	10,223.84	591.61		LT
Total reinvested	18.727	10.855		203.29	11.060	207.12	3.83		
EAI: \$116 Current yield: 1.11%									
Security total	943.125	10.429	9,632.23	9,835.52		10,430.96	595.44		798.73
MAINSTAY MARKETFIELD FUND CLASS I									
Symbol: MFLDX									
Trade date: Jun 27, 12	363.578	14.989	5,450.03	5,450.03	18.520	6,733.46	1,283.43		LT
Total reinvested	1.723	15.577		26.84	18.520	31.91	5.07		
EAI: \$1 Current yield: 0.01%									
Security total	365.301	14.993	5,450.03	5,476.87		6,765.37	1,288.50		1,315.34

continued next page



Managed Portfolio of Funds  
December 2013

Account name: MONTGOMERY D SHAW  
Friendly account name: Monte Rollover  
Account type: IRA Rollover  
Account number:

Your Financial Advisor:

Your assets • Non-traditional • Mutual funds (continued)

Holding	Number of shares	Purchase price Average price Per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
RIVERPARK LONG SHORT OPPORTUNITY FUND CLASS RETAIL									
Symbol: RLSPX									
Trade date: Jun 6, 13	482,201	9.819	4,735.21	4,735.21	10.870	5,241.52	506.31	506.31	ST
Total			\$45,389.43	\$46,041.33		\$48,869.86	\$2,828.34	\$3,480.23	
Total estimated annual income:			\$228						

continued next page





## Managed Portfolio of Funds

December 2013

Account name: TINA KONG-HILDBRAND SHAW  
 Friendly account name: Tina SEP IRA  
 Account type: Simplified Employee Pension  
 Account number:

Your Financial Advisor:

## Your assets

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

### Cash

#### Cash and money balances

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

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

Holding	Opening balance on Dec 1 (\$)	Closing balance on Dec 31 (\$)	Price per share on Dec 31 (\$)	Average rate	Dividend interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	1,454.63	1,722.23					250,000.00

### Equities

#### Closed end funds & Exchange traded products

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

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

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

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

Holding	Number of shares	Purchase price Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
ISHARES MSCI EAFE ETF									
Symbol: EFA									
Trade date: Aug 1, 12	125,000	50.086	6,310.84	6,310.84	67.095	8,453.97	2,143.13		LT
Trade date: Sep 18, 12	21,000	54.650	1,147.65	1,147.65	67.095	1,409.00	261.35		LT
Trade date: Oct 17, 13	33,000	65.678	2,167.40	2,167.40	67.095	2,214.14	46.74		ST
Trade date: Dec 23, 13	36,000	65.670	2,364.12	2,364.12	67.095	2,415.42	51.30		ST
EAI: \$368 Current yield: 2.54%									

continued next page



**Managed Portfolio of Funds**  
December 2013

**Account name:** TINA KONG-HILDEBRAND SHAW  
**Friendly account name:** Tina SEP IRA  
**Account type:** Simplified Employee Pension  
**Account number:**

**Your Financial Advisor:**

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

Holding	Number of shares	Purchase price Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (real gain or loss (\$)	Investment return (\$)	Holding period
<b>Security total</b>	<b>216,000</b>	<b>55.509</b>	<b>11,990.01</b>	<b>11,990.01</b>		<b>14,492.52</b>	<b>2,502.52</b>	<b>2,502.52</b>	
<b>VANGUARD TOTAL STOCK MKT ETF</b>									
Symbol: VTI									
Trade date: Aug 1, 12	64,000	70.188	4,492.09	4,492.09	95.920	6,138.88	1,646.79		LT
Trade date: Sep 18, 12	13,000	75.000	975.00	975.00	95.920	1,246.96	271.96		LT
Trade date: Jan 24, 13	30,000	77.200	2,316.00	2,316.00	95.920	2,877.60	561.60		ST
Trade date: Oct 17, 13	140,000	90.250	12,635.00	12,635.00	95.920	13,428.80	793.80		ST
EAI: \$413 Current yield: 1.74%									
Security total	247,000	82.664	20,418.09	20,418.09		23,692.24	3,274.15	3,274.15	
<b>VANGUARD INDEX FUNDS VANGUARD GROWTH ETF</b>									
Symbol: VUG									
Trade date: Aug 1, 12	65,000	68.666	4,463.33	4,463.33	93.050	6,048.25	1,584.92	1,584.92	LT
EAI: \$72 Current yield: 1.19%									
<b>VANGUARD DIVID APPRECIATION ETF</b>									
Symbol: VIG									
Trade date: Aug 1, 12	80,000	57.679	4,614.39	4,614.39	75.240	6,019.20	1,404.81	1,404.81	LT
EAI: \$111 Current yield: 1.84%									
<b>Total</b>			<b>\$41,485.82</b>	<b>\$41,485.82</b>		<b>\$50,252.21</b>	<b>\$8,766.40</b>	<b>\$8,766.39</b>	
<b>Total estimated annual income: \$964</b>									



# Retirement Account

December 2013

Account name: MONTGOMERY D SHAW  
 Friendly account name: Monte Roth IRA  
 Account type: Roth IRA  
 Account number:

Your Financial Advisor:

## Your assets

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

### Other

### Mutual funds

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

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

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

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

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
TRANSAMERICA ASSET ALLOCATION GROWTH PORTFOLIO CL C									
Symbol: IAAIX									
Trade date: Feb 23, 05	178,277	11.105	1,979.90	1,979.90	15.390	2,743.68	763.78		LT
Trade date: Mar 16, 05	357,318	11.114	3,971.48	3,971.48	15.390	5,499.12	1,527.64		LT
Total reinvested	92,954	12.488		1,160.82	15.390	1,430.56	269.74		
EAI: \$137 Current yield: 1.42%									
Security total	628,549	11.315	5,951.38	7,112.20		9,673.36	2,561.16	3,721.98	



# Managed Portfolio of Funds

December 2013

Account name: TINA KONG-HILDEBRAND SHAW  
 Friendly account name: Tina SEP IRA  
 Account type: Simplified Employee Pension  
 Account number:

Your Financial Advisor:

## Your assets (continued)

### Fixed income

#### Closed end funds & Exchange traded products

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

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

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

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

Holding	Number of shares	Purchase price Average price per share (\$)	Client Investment (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
<b>POWERSHARES ETF TRUST II</b>									
Symbol: BKLN									
Trade date: Apr 2, 13	73,000	25.120	1,833.76	1,833.76	24.880	1,816.24	-17.52		ST
Trade date: Jun 6, 13	84,000	24.950	2,095.80	2,095.80	24.880	2,089.92	-5.88		ST
EAI: \$172 Current yield: 4.40%									
Security total	157,000	25.029	3,929.56	3,929.56		3,906.16	-23.40	-23.40	
<b>SPDR BARCLAYS INTER TERM CORP BOND ETF</b>									
Symbol: ITR									
Trade date: Oct 17, 13	49,000	33.820	1,657.18	1,657.18	33.600	1,646.40	-10.78	-10.78	ST
EAI: \$46 Current yield: 2.79%									
<b>Total</b>			<b>\$5,586.74</b>	<b>\$5,586.74</b>		<b>\$5,552.56</b>	<b>-\$34.18</b>	<b>-\$34.18</b>	
<b>Total estimated annual income: \$218</b>									

WILLIAM E SHAW CUST FOR  
SHAW UNDER IA  
UNIFORM TRANSFER TO MINORS ACT

Statement Period: DECEMBER 1 - DECEMBER 31, 2013  
Account Number:

This section shows the cash, cash alternatives and securities in your account. It reflects market values as of the close of business, December 31, 2013. Any balances reflected in this section held in a bank deposit account or in shares of money market funds may be liquidated on your order and the proceeds returned to your account or remitted to you. Please note, unrealized gain/loss is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor. Performance on funds and unit investment trusts is provided for informational purposes only to assist you in comparing the total current value of your position with your total amount invested, excluding reinvestment activity. Performance may be misstated if any cost information is inaccurate or if you have sold part of your position since your original investment.

CASH AND CASH ALTERNATIVES

	Current Value	Cost	Unrealized Gain/(-)Loss*	Anticipated Annualized Income	Current Yield %
INSURED DEPOSIT (US BANK)	9,871.94	9,871.94		0.99	0.01%

Net yield from 12/01/13 - 12/31/13 was 0.01% (Compounded).  
Deposits held at US Bank are insured by the FDIC up to \$250,000.

PORTFOLIO ASSETS

Stock/Options	Symbol/CUSIP Bond Rating*	Quantity	Current Price	Average Unit Cost	Current Value	Cost	Unrealized Gain/(-)Loss*	Anticipated Annualized Income	Current Yield %
BYD COMPANY LTD	BYDDF	100	4.8800	2.1650	488.00	216.50	271.50	N/A	N/A
SINGAPORE EXCHANGE LTD	SPXCF	410	5.7100	6.9495	2,341.10	2,849.30	-508.20	52.90	2.26%

Stock Funds

PRINCIPAL	PMBCX	73.314	19.2000	13.6400	1,407.63	1,000.00	407.62	6.44	
MID CAP									
CL C									
REINVESTMENTS		3.270	19.2000	16.9327	62.78	55.37	7.39	0.29	
TOTAL		76.584	19.2000	13.7806	1,470.41	1,055.37	415.01	6.73	0.46%
PERFORMANCE \$470.41					1,470.41	1,000.00			

WILLIAM E SHAW CUST FOR  
SHAW UNDER IA  
UNIFORM TRANSFER TO MINORS ACT

Statement Period: DECEMBER 1 - DECEMBER 31, 2013  
Account Number: 1000000

Balanced Funds	Symbol/CLIP Bond Rating	Quantity	Current Price	Average Unit Cost	Current Value	Cost	Unrealized Gain/(-)Loss*	Anticipated Annualized Income	Current Yield %
SPARKLIN ANCOPIRE CLIP	FOISX	462.983	2.4500	2.1800	1,134.25	1,000.00	134.25	54.62	
REINVESTMENTS		26.507	2.4500	2.3021	87.00	81.74	5.16	4.19	
TOTAL		489.470	2.4500	2.1701	1,221.25	1,081.74	139.41	58.81	4.82%
PERFORMANCE 1/21/26					1,221.25	1,000.00			
<b>Other Investments</b>									
EVER ENERGY PARTNERS UNITED PARTNERSHIP UNIT REPTO, LTD PARTER INT Accumulated Paydown: 153.90	EVER	100	33.9300	69.2020	3,393.00	6,920.20****	-3,527.20	308.00	9.08%
RENEWABLE ENERGY PARTNERS LP COM UNITS REPTIG LTD PARTNER INTEREST Accumulated Paydown: 93.50	RGP	100	26.2800	24.3178	2,628.00	2,431.78****	194.22	188.00	7.16%
ENERGY TRANSFER PARTNERS UNIT LTD PARTNERSHIP Accumulated Paydown: 179.89	ETP	100	57.2500	45.8361	5,725.00	4,583.61****	1,141.39	362.00	6.32%

- + Bond ratings of securities displayed on your statement were obtained from various rating services. There is no guarantee with respect to the accuracy of this information.
- \* Please note, "Unrealized Gain/(-)Loss" does not equal the total current value minus the total cost if any value or cost amounts are missing.
- \*\*\* The original cost of this security has been adjusted to reflect principal payments, return of capital or amortization/depletion based on our records and/or provided by you.

WILLIAM E SHAW CUSTODIAN FOR  
SHAW UNDER LIA  
UNIFORM TRANSFER TO MINORS ACT

Statement Period: DECEMBER 1 - DECEMBER 31, 2013  
Account Number:

This section shows the cash, cash alternatives and/or securities in your account. It reflects market values as of the close of business, December 31, 2013. Any balances reflected in this section held in a bank deposit account or in shape of money market funds may be liquidated on your order and the proceeds returned to your account or reinvested to you.

Please note, unrealized gains/losses is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Performance on funds and real investment trusts is provided for informational purposes only to assist you in comparing the total current value of your position with your total amount invested, excluding reinvestment activity. Performance may be misstated if any cost information is inaccurate or if you have sold part of your position since your original investment.

CASH AND CASH ALTERNATIVES

INSURED DEPOSIT US BANK	Current Value	Cost	Unrealized Gain/(-)Loss*	Anticipated Annualized Income	Current Yield %
Net yield from 12/01/13 - 12/31/13 was 0.01% (Compounded).	6,333.60	6,333.60		0.63	0.01%
Deposits held at US Bank are insured by the FDIC up to \$250,000.					

PORTFOLIO ASSETS

Stocks/Options	Symbol/CUSIP Bond Rating*	Quantity	Current Price	Average Unit Cost	Current Value	Cost	Unrealized Gain/(-)Loss*	Anticipated Annualized Income	Current Yield %
ASSOCIATED ESTATES RLTY	AEC	100	16.0500	17.4633	1,605.00	1,743.45***	-138.45	76.00	4.74%
EBAY INC	EBAY	100	54.8650	41.3849	5,486.50	4,138.49	1,348.01	N/A	N/A
SOUTHERN COMPANY	SO	100	41.1100	46.2833	4,111.00	4,628.33	-517.33	203.00	4.94%

Stock Funds

PRINCIPAL	PMBGX	73.314	19.2000	13.6400	1,407.63	1,000.00	407.62	6.44	
MID CAP									
CL C									
REINVESTMENTS		3.270	19.2000	16.9327	62.78	55.37	7.39	0.29	
TOTAL		76.584	19.2000	13.7806	1,470.41	1,055.37	415.01	6.73	0.46%
PERFORMANCE: \$470.41					1,470.41	1,000.00			

WILLIAM E SHAW CUSTODIAN FOR  
SHAW UNDER 1A  
UNIFORM TRANSFER TO MINORS ACT

Statement Period: DECEMBER 1 - DECEMBER 31, 2013  
Account Number:

(BAPD)

Other Investments	Symbol/CUSIP Bond Rating	Quantity	Current Price	Average Unit Cost	Current Value	Cost	Unrealized Gain/(-)Loss*	Anticipated Annualized Income	Current Yield %
REGENCY ENERGY PARTNERS LP/COMMON UNITS/REPOS LTD PARTNER INTEREST	RGP	100	26.2600	24.3095	2,626.00	2,430.95***	195.05	188.00	7.16%
Accumulated Paydown: 93.89									

- + Bond ratings of securities displayed on your statement were obtained from various rating services. There is no guarantee with respect to the accuracy of this information.
- \* Please note, "Unrealized Gain/(-)Loss" does not equal the total current value minus the total cost if any value or cost amounts are missing.
- \*\*\* The original cost of this security has been adjusted to reflect principal payments, return of capital or amortization/accretion based on our records and/or provided by you.