

UNITED STATES HOUSE OF REPRESENTATIVES

CALENDAR YEAR 2011 FINANCIAL DISCLOSURE STATEMENT

FOR HAND DELIVERED
For use by Members, officers, and employees

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David Dreier

(Full Name)

2013 APR 29 PM 2:52
202-225-8191

(Daytime Telephone) (Office Use Only)

(Office Use Only)

Filer Status	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: CA District: 26	<input type="checkbox"/> Officer Or Employee	Employing Office:
Report Type	<input type="checkbox"/> Annual (May 15)	<input type="checkbox"/> Amendment	<input checked="" type="checkbox"/> Termination	Termination Date: 1/3/2013

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

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input 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 \$350 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$350 from one source)? If yes, complete and attach Schedule VII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

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

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 dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Exemptions-- 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"/>

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source	Year-End Value of Asset	Type of Income	Amount of Income	Transaction
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left.</p>	<p>At close of reporting year.</p> <p>If you use a valuation method other than fair market value, please specify the method used.</p> <p>If an asset was sold and is included only because it is generated income, the value should be "None."</p>	<p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p>	<p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p>	<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
3M CO UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
ABBEY CAPITAL MULTIMANAGER FUND LTD	None	None	NONE	S
ABBOT LABS UNSOLICITED	None	CAPITAL GAINS	\$5,001 - \$15,000	PS
ABERDEEN EMERGING MARKETS FUND CLASS A	None	DIVIDENDS	\$2,501 - \$5,000	PS
ACCENTURE PLC IRELAND CL A	None	CAPITAL GAINS	\$5,001 - \$15,000	PS
ACE LIMITED	None	CAPITAL GAINS	\$201 - \$1,000	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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AEON CO LTD UNSPON ADR UNSOLICITED	None	None	NONE	PS
AFFILIATED MANAGERS GROUP	None	CAPITAL GAINS	\$201 - \$1,000	PS
AGEAS SPON ADR UNSOLICITED	None	None	NONE	PS
AGRIUM INC (CANADA) CAD UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
AKAMAI TECHNOLOGIES INC UNSOLICITED	None	None	NONE	PS
ALBEMARLE CORP UNSOLICITED	None	None	NONE	PS
ALLERGAN INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
ALLIANCE DATA SYSTEMS CORP	None	CAPITAL GAINS	\$201 - \$1,000	PS
ALLIANZ SE ADR UNSOLICITED	None	None	NONE	S
ALSTOM ADR UNSOLICITED	None	None	NONE	S
ALUMINA LTD SPON ADR UNSOLICITED	None	None	NONE	S
AMERICAN EXPRESS CO. UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
AMERICAN FUNDS GROWTH FUND OF AMERICA CLASS F	None	CAPITAL GAINS	\$15,001 - \$50,000	S
AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS FUND	None	DIVIDENDS/CAPIT AL GAINS	\$15,001 - \$50,000	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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		DIVIDENDS		
AMERICAN HIGH INCOME TRUST	\$250,001 - \$500,000		\$2,501 - \$5,000	P
AMERICAN SCIENCE & ENGINEERING INC	None	None	NONE	S
AMERICAN STATES WATER CO.	None	None	NONE	S
ANGLOGOLD ASHANTI LTD NEW SPON ADR	None	None	NONE	S
APOGEE ENTERPRISES INC UNSOLICITED	None	None	NONE	PS
APPLE INC UNSOLICITED	None	CAPITAL GAINS	\$50,001 - \$100,000	PS
ARDEN FOCUSED GLOBAL MACRO LP	\$250,001 - \$500,000	Other: (PARTNERSHIP INCOME)	\$5,001 - \$15,000	

ASAHU GLASS ADR	None	None	NONE	PS
ASML HOLDING NV NY REG SHS NEW	None	CAPITAL GAINS	\$201 - \$1,000	PS
ASTRAZENECA PLC SPON ADR UNSOLICITED	None	None	NONE	PS
AT&T INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
AUSTRALIA & NEW ZEALAND BKG GRP LTD SPONSRD ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
AUTOLIV INC	None	None	NONE	PS
AUTONATION INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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AXIS CAPITAL HOLDINGS LTD SHS	None	None	NONE	PS
BAE SYSTEMS PLC SPON ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
BAIDU INC.	None	None	NONE	S
BANCO BRADESCO S.A. NEW SPON ADR	None	None	NONE	PS
BANK OF AMERICA CORP	None	None	NONE	S
BANK OF HAWAII CORP UNSOLICITED	None	None	NONE	S
BANK OF NOVA SCOTIA CANADA CAD	None	None	NONE	PS
BARCLAYS PLC ADR UNSOLICITED	None	None	NONE	PS
BARRICK GOLD CORP CAD UNSOLICITED	None	None	NONE	S
BHP BILLITON LTD SPON ADR	None	None	NONE	PS
BLACKBAUD INC UNSOLICITED	None	None	NONE	S
BOTTOMLINE TECHNOLOGIES INC	None	None	NONE	PS
BRISTOL MYERS SQUIBB CO UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
BRUKER CORP UNSOLICITED	None	None	NONE	S

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C H ROBINSON WORLDWIDE INC NEW	None	None	NONE	PS
CALGON CARBON CORP UNSOLICITED	None	None	NONE	S
CAMECO CORP CANADA CAD UNSOLICITED	None	None	NONE	PS
CANADIAN NATIONAL RAILWAY	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
CANTEL MEDICAL CORP UNSOLICITED	None	NONE	NONE	S
CAP GEMINI SA ADR UNSOLICITED	None	NONE	NONE	PS
CARBO CERAMICS INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
CAREFUSION CORP UNSOLICITED	None	NONE	NONE	PS
CARLSBERG AS SPON ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
CARREFOUR SA SPON ADR UNSOLICITED	None	NONE	NONE	S
CATERPILLAR INC UNSOLICITED	None	NONE	NONE	PS
CBRE GROUP INC CL A UNSOLICITED	None	NONE	NONE	PS
CENTRAIS ELETRICAS BRAS SA SPON ADR REP 50 COM	None	NONE	NONE	S
CENTURYLINK INC UNSOLICITED	None	NONE	NONE	PS

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CERAGON NETWORKS LTD ILS UNSOLICITED	None	NONE	NONE	PS
CERNER CORP.	None	NONE	NONE	S
CHEVRON CORP UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
CHINA PETROLEUM & CHEMICAL CORP SPON ADR	None	NONE	NONE	PS
CHUBB CORP UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
CIA PARANAENSE ENERGI SPON ADR	None	NONE	NONE	P
CLARCOR INC UNSOLICITED	None	NONE	NONE	S
COACH INC UNSOLICITED	None	NONE	NONE	PS
COCA COLA CO COM UNSOLICITED	None	NONE	NONE	PS
COGNIZANT TECH SOLUTIONS CRP	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
COHEN & STEERS INC UNSOLICITED	None	NONE	NONE	PS
COHERENT INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
COINSTAR INC UNSOLICITED	None	NONE	NONE	PS
COMCAST CORP NEW SPECIAL CL A	None	CAPITAL GAINS	\$1,001 - \$2,500	PS

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COMMERCIAL METALS CO UNSOLICITED	None	NONE	NONE	S
COMMVAULT SYSTEMS INC UNSOLICITED	None	NONE	NONE	S
COMPANHIA DE SANEAMENTO BASICO DO ESTADO DE SAO	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
Companhia Paranaense De	None	NONE	NONE	S
COMPUTER PROGRAMS & SYSTEMS INC	None	CAPITAL GAINS	\$201 - \$1,000	PS
CONGRESSIONAL FEDERAL CREDIT UNION CHECKING & SAVINGS ACCOUNT	\$100,001 - \$250,000	INTEREST	\$1 - \$200	
CONOCOPHILLIPS UNSOLICITED	None	NONE	NONE	PS
CONSOL ENERGY INC UNSOLICITED	None	NONE	NONE	PS
CORPORATE OFFICE PPTYS NEW SBI	None	NONE	NONE	S
CREDIT SUISSE GROUP SPON ADR	None	NONE	NONE	PS
CULLEN FROST BANKERS INC UNSOLICITED	None	NONE	NONE	PS
CYPRESS SEMICONDUCTOR CP UNSOLICITED	None	NONE	NONE	PS
DAI NIPPON PRINTING CO SPON ADR	None	NONE	NONE	S
DAICHI SANKYO CO LTD SPON ADR	None	NONE	NONE	S

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DARLING INTL INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
DEERE AND CO UNSOLICITED	None	NONE	NONE	PS
DELHAIZE GROUP SPON ADR UNSOLICITED	None	NONE	NONE	PS
DEUTSCHE BOERSE ADR UNSOLICITED	None	NONE	NONE	PS
DEVRY INC DEL UNSOLICITED	None	NONE	NONE	PS
DIAGEO PLC NEW GB SPON ADR	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
DILLARDS INC CL A UNSOLICITED	None	NONE	NONE	PS
DIME CMNTY BANCSHARES UNSOLICITED	None	NONE	NONE	S
DOLBY LABORATORIES INC CL A	None	NONE	NONE	PS
DOMINION RESOURCES INC VA (NEW)	None	CAPITAL GAINS	\$201 - \$1,000	PS
DORMAN PRODUCTS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
DOW CHEMICAL UNSOLICITED	None	NONE	NONE	PS
DSW INC CL A UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
DU PONT DE NEMOURS UNSOLICITED	None	None	NONE	PS

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DUPONT FABROS TECHNOLOGY INC	None	NONE	NONE	PS
EAGLE MATERIALS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
EAST JAPAN RAILWAY CO ADR	None	NONE	NONE	S
EAST WEST BANCORP INC UNSOLICITED	None	NONE	NONE	PS
EHEALTH INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
ELECTRICITE DE FRANCE ADR	None	NONE	NONE	S
ENBRIDGE INC CAD UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
ENERSYS UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
EQT CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
ERICSSON SEK 10 NEW 2002 ADR	None	NONE	NONE	PS
ESCO TECHNOLOGIES INC UNSOLICITED	None	NONE	NONE	PS
EXPEDIA INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
EXXON MOBIL CORP UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
F5 NETWORKS INC UNSOLICITED	None	NONE	NONE	PS

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FACTSET RESEARCH SYSTEMS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
FEI COMPANY UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
FINANCIAL ENGINES INC UNSOLICITED	None	NONE	NONE	S
FINMECCANICA SPA ADR UNSOLICITED	None	NONE	NONE	S
FIRST EAGLE GLOBAL FUND CLASS A	None	CAPITAL GAINS	\$5,001 - \$15,000	PS
FIRSTENERGY CORP UNSOLICITED	None	NONE	NONE	PS
FLEETCOR TECHNOLOGIES INC	None	CAPITAL GAINS	\$201 - \$1,000	PS
FRANCE TELECOM SA SPON ADR	None	NONE	NONE	PS
FRANKLIN ELECTRIC CO UNSOLICITED	None	NONE	NONE	PS
FRESH MKT INC UNSOLICITED	None	NONE	NONE	PS
FUEL SYSTEMS SOLUTIONS INC	None	NONE	NONE	S
FUJI FILM HOLDINGS CORP ADR	None	NONE	NONE	S
FUJI HEAVY INDUSTRIES LTD ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
GARTNER INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS

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GENERAL DYNAMICS CORP	None	NONE	NONE	PS
GENERAL ELECTRIC CO.	None	CAPITAL GAINS	\$5,001 - \$15,000	PS
GENERAL MILLS INC.	None	NONE	NONE	PS
GENESEE & WYO INC CL A UNSOLICITED	None	NONE	NONE	S
GEN-PROBE INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
GENTHERM INC (FORMERLY NAMED AMERIGON, INC.)	None	NONE	NONE	S
GEOSPACE TECHNOLOGIES CORP	None	NONE	NONE	S
GLAXO SMITHKLINE PLC ADR UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	S
GOLD FIELDS LTD SPON ADR UNSOLICITED	None	NONE	NONE	S
GOOGLE INC CL A UNSOLICITED	None	CAPITAL GAINS	\$5,001 - \$15,000	PS
GREEN DOT CORP UNSOLICITED	None	NONE	NONE	S
GUGGENHEIM FLOATING RATE STRATEGIES FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAP ITAL GAINS	\$2,501 - \$5,000	P
GUGGENHEIM MACRO OPPORTUNITIES FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAP ITAL GAINS	\$5,001 - \$15,000	P
GUGGENHEIM TOTAL RETURN BOND FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAP ITAL GAINS	\$2,501 - \$5,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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HACHIJUNI BANK LTD ADR UNSOLICITED	None	NONE	NONE	S
HAIN CELESTIAL GROUP INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
HANG SENG BK LTD SPONSRD ADR ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
HARMAN INTL INDS INC NEW UNSOLICITED	None	NONE	NONE	PS
HE DREIER IRREVOCABLE TRUST ASSETS	\$500,001 - \$1,000,000	INTEREST	\$5,001 - \$15,000	
HEARTLAND PAYMENT SYSTEMS INC	None	NONE	NONE	PS
HEINEKEN N V ADR NETHERLANDS ADR	None	NONE	NONE	PS
HELMERICH & PAYNE INC UNSOLICITED	None	NONE	NONE	PS
HERBALIFE LTD UNSOLICITED	None	NONE	NONE	PS
HERTZ GLOBAL HOLDINGS INC	None	NONE	NONE	PS
HIBBETT SPORTS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
HITACHI LTD ADR NEW JAPAN	None	NONE	NONE	PS
HOME DEPOT INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
HOME RETAIL GROUP PLC SPON ADR	None	NONE	NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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HONEYWELL INTL INC UNSOLICITED	None	NONE	NONE	PS
HSBC HOLDINGS PLC NEW GB SPON ADR	None	NONE	NONE	PS
HUB GROUP INC CL A UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
IAC INTERACTIVECORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
ICU MEDICAL INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
ILLUMINA INC UNSOLICITED	None	NONE	NONE	PS
IMPALA PLATINUM HLDG LTD SPON ADR	None	NONE	NONE	PS
IMPERIAL TOBACCO GROUP PLC SPON ADR	None	NONE	NONE	PS
INDEPENDENT BANK CORP MASS	None	CAPITAL GAINS	\$201 - \$1,000	S
INFORMATICA CORP UNSOLICITED	None	NONE	NONE	PS
INTEL CORP UNSOLICITED	None	NONE	NONE	PS
INTERDIGITAL INC (PA) UNSOLICITED	None	NONE	NONE	S
INTL BUSINESS MACH UNSOLICITED	None	CAPITAL GAINS	\$15,001 - \$50,000	PS
INTUIT UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS

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INTUITIVE SURGICAL INC NEW	None	CAPITAL GAINS	\$201 - \$1,000	PS
INVESTMENT TECHNOLOGY GROUP NEW	None	NONE	NONE	S
IPG PHOTONICS CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
IROBOT CORP UNSOLICITED	None	NONE	NONE	PS
IRON MTN INC NEW UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
ISHARES TRUST RUSSELL 2000 FUND	None	CAPITAL GAINS	\$2,501 - \$5,000	S
ISRAEL CHEMICALS LTD ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
J2 GLOBAL INC COM UNSOLICITED	None	NONE	NONE	S
JABIL CIRCUIT INC UNSOLICITED	None	NONE	NONE	PS
JANUS CAPITAL GROUP INC UNSOLICITED	None	NONE	NONE	PS
JARDEN CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
JOHN HANCOCK INCOME FUND	\$250,001 - \$500,000	DIVIDENDS/CAPIT AL GAINS	\$1,001 - \$2,500	P
JOHNSON & JOHNSON COM UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
JOHNSON CONTROLS INC UNSOLICITED	None	NONE	NONE	PS

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JONES LANG LASALLE INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
JOYCE Y. DREIER TRUST	\$500,001 - \$1,000,000	INTEREST	\$2,501 - \$5,000	
JPM HIGHBRIDGE DYNAMIC COMMODITIES STRATEGY	None	NONE	NONE	PS
JPMORGAN CHASE & CO UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
KAPSTONE PAPER AND PACKAGING CORP	None	NONE	NONE	PS
KDDI CORP ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
KIMBERLY CLARK CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
KINROSS GOLD CORP NEW CAD	None	NONE	NONE	PS
KOC HOLDINGS ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
KOMATSU LTD SPON ADR NEW	None	NONE	NONE	PS
KOREA ELECTRIC POWER CRP SPONSORED ADR	None	NONE	NONE	S
LANDAUER INC UNSOLICITED	None	NONE	NONE	S
LENDER PROCESSING SERVICES INC	None	CAPITAL GAINS	\$201 - \$1,000	PS
LIFE TIME FITNESS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS

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LIFEWAY FOODS INS UNSOLICITED	None	NONE	NONE	PS
LIMITED BRANDS INC CL A UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
LINDSAY CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
LIQUIDITY SERVICES INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
LKQ CORP NEW UNSOLICITED	None	NONE	NONE	PS
LORD ABBETT INCOME FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPIT AL GAINS	\$5,001 - \$15,000	P
LORD ABBETT SHORT DURATION INCOME FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPIT AL GAINS	\$2,501 - \$5,000	P
LORILLARD INC UNSOLICITED	None	NONE	NONE	PS
LUFKIN INDUSTRIES INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
MAGNA INTL INC CL A SUB VTG CANADA ORD CAD	None	NONE	NONE	PS
MANULIFE FINANCIAL CORP CAD	None	NONE	NONE	PS
MARATHON OIL CORP UNSOLICITED	None	None	NONE	PS
MARATHON PETROLEUM CO UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
MARINE HARVEST ASA ADR UNSOLICITED	None	None	NONE	S

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MARKET/ISSUER	None	CAPITAL GAINS	\$201 - \$1,000	PS
MARKETAXESS HOLDINGS INC UNSOLICITED	None			
MARKS & SPENCER GROUP INC SPON ADR	None	None	NONE	PS
MASS MUTUAL LIFE - WHOLE LIFE POLICY	\$50,001 - \$100,000	None	NONE	
MCDONALDS CORP UNSOLICITED	None	None	NONE	PS
MEADWESTVACO CORP UNSOLICITED	None	None	NONE	PS
MENS WEARHOUSE INC UNSOLICITED	None	None	NONE	S
MERCADOLIBRE INC UNSOLICITED	None	None	NONE	PS
MERCK & CO INC NEW COM UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
MERIDIAN BIOSCIENCE INC UNSOLICITED	None	None	NONE	S
MICROSOFT CORP UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
MICROSTRATEGY INC NEW CL A	None	CAPITAL GAINS	\$201 - \$1,000	PS
MIDDLEBY CORP DELA UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	S
MINERALS TECHNOLOGIES INC	None	CAPITAL GAINS	\$201 - \$1,000	S
MITSUBI & CO LTD ADR JAPAN ADR	None	None	NONE	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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MIZUHO FINANCIAL GROUP INC SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
MS&AD INS GROUP HLDGS ADR	None	None	NONE	S
MYRIAD GENETICS INC NEW UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
NATL INSTRUMENTS CORP UNSOLICITED	None	None	NONE	S
NEOGEN CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
NEUBERGER BERMAN FLOATING RATE INCOME FUND CL A	\$250,001 - \$500,000	DIVIDENDS	\$2,501 - \$5,000	P
NEUBERGER BERMAN HIGH INCOME BOND FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPIT AL GAINS	\$5,001 - \$15,000	P
NEUBERGER BERMAN STRATEGIC INCOME FUND CL A	\$250,001 - \$500,000	DIVIDENDS/CAPIT AL GAINS	\$5,001 - \$15,000	P
NEW JERSEY RESOURCES CRP UNSOLICITED	None	None	NONE	S
NEWCREST MINING LTD SPON AUSTRALIA ADR	None	None	NONE	S
NEXEN INC CAD UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	S
NEXTERA ENERGY INC COM UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
NIC INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
NIKE INC CL B UNSOLICITED	None	None	NONE	PS

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NINTENDO LTD ADR NEW JAPAN ADR	None	None	NONE	S
NIPPON TELEG & TEL CORP SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	S
NITTO DENKO CORP UNSPONS ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
NOKIA CORP SPONS ADR FINLAND ADR	None	None	NONE	S
NORDSON CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
NORTHEAST UTILITIES UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
NORTHROP GRUMMAN CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
NU SKIN ENTERPRISES INC UNSOLICITED	None	None	NONE	PS
NUTRI/SYSTEMS INC UNSOLICITED	None	None	NONE	S
NXP SEMICONDUCTORS N V COM EUR	None	None	NONE	PS
OAO GAZPROM LEVEL 1 ADR PROGRAM (RUSSIA) SPON	None	CAPITAL GAINS	\$201 - \$1,000	S
OCCIDENTAL PETROLEUM CRP UNSOLICITED	None	None	NONE	PS
OCWEN FINANCIAL CORP NEW UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	S
ONYX PHARMACEUTICALS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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ORACLE CORP UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
P.T. TELEKOMUNIKASI INDONESIA SPON ADR	None	None	NONE	S
PANASONIC CORP SPON ADR UNSOLICITED	None	None	NONE	S
PANERA BREAD COMP CL A UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
PAREXEL INTL CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
PEABODY ENERGY CORP UNSOLICITED	None	None	NONE	PS
PENN NATL GAMING INC UNSOLICITED	None	None	NONE	PS
PETROLEO BRASILEIRO SA SPON ADR	None	None	NONE	PS
PETSMART INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
PFIZER INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
PHILIP MORRIS INTL INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
PHILLIPS 66 (SPINOFF FROM CONOCOPHILLIPS)	None	CAPITAL GAINS	\$1,001 - \$2,500	S
PLANTRONICS INC NEW UNSOLICITED	None	None	NONE	S
POLARIS INDUSTRIES INC (MINN)	None	CAPITAL GAINS	\$201 - \$1,000	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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POLYCOM INC UNSOLICITED	None	None	NONE	PS
POLYUS GOLD INTL LTD SPON GDR	None	None	NONE	S
POSCO SPON ADR UNSOLICITED	None	None	NONE	PS
POWER INTEGRATIONS INC UNSOLICITED	None	None	NONE	S
PRAXAIR INC UNSOLICITED	None	None	NONE	PS
PRICE T ROWE GROUP INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
PROCTER & GAMBLE CO UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
PRUDENTIAL FINANCIAL INC UNSOLICITED	None	None	NONE	PS
PUBLIC SERVICE ENTERPRSE GROUP INC	None	CAPITAL GAINS	\$201 - \$1,000	PS
PUTNAM DIVERSIFIED INCOME TRUST-CL A	\$250,001 - \$500,000	DIVIDENDS	\$2,501 - \$5,000	P
PUTNAM GLOBAL INCOME TRUST-CL A	\$250,001 - \$500,000	DIVIDENDS	\$1,001 - \$2,500	P
QUAKER CHEMICAL CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
QUALCOMM INC UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
QUALITY SYSTEMS INC UNSOLICITED	None	None	NONE	PS

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RACKSPACE HOSTING INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
RAYTHEON CO NEW UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
REED ELSELVIER NV NEW REPSTG 2 ORD SHS SPON	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
RENAISSANCERE HOLDINGS LTD	None	None	NONE	PS
RIO TINTO PLC SPON ADR UNSOLICITED	None	None	NONE	PS
RIVERBED TECHNOLOGY INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
RMA MONEY MARKET FUND	\$50,001 - \$100,000	DIVIDENDS	\$1 - \$200	
ROBERT HALF INTL INC UNSOLICITED	None	None	NONE	PS
ROHM CO LTD ADR UNSOLICITED	None	None	NONE	S
ROLLINS INC UNSOLICITED	None	None	NONE	PS
ROYAL DUTCH SHELL PLC CL A SPON ADR	None	None	NONE	PS
RYDER SYSTEM INC UNSOLICITED	None	None	NONE	PS
RYMAN HOSPITALITY PROPERTIES INC (FORMERLY NAMED GAYLORD ENTERTAINMENT)	None	CAPITAL GAINS	\$15,001 - \$50,000	S

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SAGE GROUP PLC ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
SALLY BEAUTY CO INC UNSOLICITED	None	None	NONE	PS
SANDRIDGE ENERGY INC UNSOLICITED	None	None	NONE	PS
SANOFI SPON ADR UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	S
SANOFI-AVENTIS SA SPON ADR	None	DIVIDENDS	\$201 - \$1,000	S
SAPIENT CORP UNSOLICITED	None	None	NONE	S
SASOL LTD SPON ADR UNSOLICITED	None	None	NONE	PS
SCHLUMBERGER LTD NETHERLANDS ANTILLES	None	None	NONE	PS
SEADRILL LTD US LINE UNSOLICITED	None	None	NONE	PS
SEGA SAMMY HLDG INC SPON ADR	None	None	NONE	PS
SEKISUI HOUSE LTD SPON ADR	None	None	NONE	S
SELECT COMFORT CORP UNSOLICITED	None	None	NONE	PS
SEMPRA ENERGY UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
SENSATA TECHNOLOGIES HLDG NV EUR	None	None	NONE	PS

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SEVEN & I HLDGS CO LTD ADR	None	CAPITAL GAINS	\$1,001 - \$2,500	S
SHISEIDO CO LTD SPONS ADR JAPAN	None	None	NONE	S
SIEMENS A G SPON ADR UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
SIGNATURE BANK NEW YORK N Y	None	CAPITAL GAINS	\$201 - \$1,000	S
SIGNET JEWELERS LTD UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
SILGAN HOLDINGS INC UNSOLICITED	None	None	NONE	PS
SIMPSON MANUFACTURING CO INC DELA	None	None	NONE	S
SIRONA DENTAL SYSTEMS INC	None	None	NONE	PS
SK TELECOM CO LTD ADR UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
SOCIETE GENERALE FRANCE SPONS ADR ADR	None	None	NONE	S
SODA STREAM INTL LTD ILS UNSOLICITED	None	None	NONE	PS
SOLARWINDS INC UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
SOUTH JERSEY IND INC UNSOLICITED	None	None	NONE	S
SOUTHERN CO UNSOLICITED	None	N	NONE	PS

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SPDR GOLD TRUST	None	None	NONE	PS
STARBUCKS CORP UNSOLICITED	None	None	NONE	PS
STATOIL ASA SPON ADR UNSOLICITED	None	None	NONE	PS
SUMITOMO MITSUI TRUST HOLDINGS SPON ADR	None	None	NONE	S
SUREWEST	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SVB FINANCIAL GROUP UNSOLICITED	None	None	NONE	PS
SVENSKA CELLULOZA AB (SCA) SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
SWISSCOM AG SPON ADR UNSOLICITED	None	None	NONE	S
TAIWAN SEMICONDUCTOR MFG CO LTD ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
TALISMAN ENERGY INC CAD UNSOLICITED	None	None	NONE	PS
TAMANA GOLD INC CAD UNSOLICITED	None	None	NONE	S
TATA MOTORS LTD SPON ADR UNSOLICITED	None	None	NONE	PS
TEAM INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
TECHNE CORP MINN UNSOLICITED	None	None	NONE	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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TELECOM ITALIA SPA NEW REPSTG 10 SAVINGS SHS	None	None	NONE	PS
TELSTRA CORP LTD (FINAL) ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
TEMPUR-PEDIC INTL INC UNSOLICITED	None	None	NONE	PS
TESCO CORP CAD UNSOLICITED	None	None	NONE	S
TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	None	None	NONE	PS
TEXAS CAPITAL BANCSHARES INC (DELA)	None	CAPITAL GAINS	\$201 - \$1,000	S
THORATEC CORP NEW UNSOLICITED	None	None	NONE	PS
TIBCO SOFTWARE INC UNSOLICITED	None	None	NONE	PS
TNT EXPRESS N V ADR UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	S
TORONTO DOMINION BK NEW CANADA CAD	None	None	NONE	PS
TOTAL S.A. FRANCE SPON ADR	None	None	NONE	PS
TOTAL SYSTEM SERVICES INC	None	None	NONE	PS
TOWERS WATSON & CO CL A UNSOLICITED	None	None	NONE	PS
TOYOTA MOTOR CORP NEW JAPAN SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	S

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TRACTOR SUPPLY COMPANY UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
TRANSOCEAN LTD CHF UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
TRAVELERS COS INC/THE UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
TRIPADVISOR INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
UBS BANK DEPOSIT ACCOUNT	\$500,001 - \$1,000,000	INTEREST	\$1 - \$200	
UBS GS INVESTMENT PARTNERS, LLC	\$100,001 - \$250,000	None	NONE	P
UBS SELECT PRIME INSTITUTIONAL FUND	None	DIVIDENDS/CAPIT AL GAINS	\$15,001 - \$50,000	PS
ULTA SALON COSMETICS & FRAGRANCE INC	None	CAPITAL GAINS	\$201 - \$1,000	PS
UMB FINANCIAL CORP UNSOLICITED	None	None	NONE	PS
UMPQUA HOLDINGS CORP OR UNSOLICITED	None	None	NONE	S
UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
UNIVERSAL HEALTH SVCS INC CL B	None	CAPITAL GAINS	\$201 - \$1,000	PS
UNTD NAT FOODS INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
UNTD OVERSEAS BK LTD SPONS ADR SINGAPORE ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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UNTD RENTALS INC UNSOLICITED	None	None	NONE	PS
UNTD TECHNOLOGIES CORP UNSOLICITED	None	None	NONE	PS
US BANCORP DEL (NEW) UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
V F CORP	None	CAPITAL GAINS	\$201 - \$1,000	PS
VALE SA-SP SPON ADR UNSOLICITED	None	None	NONE	PS
VALMONT INDUSTRIES INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
VARIAN MEDICAL SYSTEMS INC	None	None	NONE	PS
VERIFONE SYSTEMS INC UNSOLICITED	None	None	NONE	PS
VERIZON COMMUNICATIONS INC	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
VIACOM INC	None	None	NONE	S
VITAMIN SHOPPE INC UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
VIVENDI SA ADR UNSOLICITED	None	None	NONE	PS
VMWARE INC CL A	None	CAPITAL GAINS	\$5,001 - \$15,000	S
VODAFONE GROUP PLC NEW SPON ADR	None	CAPITAL GAINS	\$1,001 - \$2,500	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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VOLCANO CORP UNSOLICITED	None	None	NONE	PS
WABTEC INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
WACOAL HOLDINGS CORP ADR UNSOLICITED	None	None	NONE	S
WAL MART STORES INC UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
WATTS WATER TECHNOLOGIES INC CL A	None	None	NONE	S
WELLS FARGO & CO NEW UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
WEST PHARMACEUTICAL SERVICES INC	None	CAPITAL GAINS	\$1,001 - \$2,500	S
WESTERN REFG INC UNSOLICITED	None	CAPITAL GAINS	\$2,501 - \$5,000	PS
WEYERHAEUSER CO UNSOLICITED	None	None	NONE	P
WILEY JOHN & SONS INC	None	None	NONE	PS
WILLIAMS SONOMA INC UNSOLICITED	None	None	NONE	PS
WOLTERS KLUWER NV SPONSORED ADR	None	None	NONE	S
WOLVERINE WORLD WIDE INC UNSOLICITED	None	None	NONE	S
WOORI FIN HOLDINGS ADR UNSOLICITED	None	None	NONE	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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WRIGHT EXPRESS CORP UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	S
WYNDHAM WORLDWIDE CORP UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
XL GROUP PLC SHS UNSOLICITED	None	CAPITAL GAINS	\$201 - \$1,000	PS
YAMANA GOLD INC CAD UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
YANZHOU COAL MINING CO LTD SPON ADR	None	None	NONE	PS
ZOLL MEDICAL CORP UNSOLICITED	None	CAPITAL GAINS	\$1,001 - \$2,500	P
ZURICH INS GROUP LTD SPON ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS

SCHEDULE IV - TRANSACTIONS

Name David Dreier

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	3M CO UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	3M CO UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ABBAY CAPITAL MULTIMANAGER FUND LTD	S	No	11-14-12	\$100,001 - \$250,000
	ABBOT LABS UNSOLICITED	P	N/A	2-13-12 3-12-12 7-27-12	\$15,001 - \$50,000

	ABBOT LABS UNSOLICITED	S	Yes	8-29-12 10-9-12	\$15,001 - \$50,000
	ABERDEEN EMERGING MARKETS FUND CLASS A	P	N/A	2-10-12 4-17-12	\$100,001 - \$250,000
	ABERDEEN EMERGING MARKETS FUND CLASS A	S	No	10-9-12	\$250,001 - \$500,000
	ACCENTURE PLC IRELAND CL A	S	Yes	10-9-12	\$15,001 - \$50,000
	ACCENTURE PLC IRELAND CL A	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000
	ACE LIMITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ACE LIMITED	S	Yes	10-4-12	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	AEON CO LTD UNSPON ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	AEON CO LTD UNSPON ADR UNSOLICITED	P	N/A	4-17-12 4-18-12 6-11-12 6-12-12 6-13-12	\$1,001 - \$15,000
	AEON CO LTD UNSPON ADR UNSOLICITED	P	N/A	4-17-12 4-18-12 6-11-12 6-12-12 6-13-12	\$1,001 - \$15,000
	AFFILIATED MANAGERS GROUP	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	AFFILIATED MANAGERS GROUP	S	Yes	7-17-12 10-4-12	\$1,001 - \$15,000
	AGEAS SPON ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	AGEAS SPON ADR UNSOLICITED	P	N/A	4-10-12	\$1,001 - \$15,000
	AGRIUM INC (CANADA) CAD UNSOLICITED	S	Yes	6-7-12 10-4-12	\$1,001 - \$15,000
	AGRIUM INC (CANADA) CAD UNSOLICITED	P	N/A	4-10-12	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	AKAMAI TECHNOLOGIES INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	AKAMAI TECHNOLOGIES INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ALBEMARLE CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ALBEMARLE CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	ALLERGAN INC UNSOLICITED	S	Yes	10-9-12	\$15,001 - \$50,000
	ALLERGAN INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000
	ALLIANCE DATA SYSTEMS CORP	S	Yes	10-4-12	\$1,001 - \$15,000
	ALLIANCE DATA SYSTEMS CORP	P	N/A	5-24-12	\$1,001 - \$15,000
	ALLIANZ SE ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	ALSTOM ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	ALUMINA LTD SPON ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	AMERICAN EXPRESS CO. UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	AMERICAN EXPRESS CO. UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	AMERICAN FUNDS GROWTH FUND OF AMERICA CLASS F	S	Yes	4-13-12	\$100,001 - \$250,000
	AMERICAN FUNDS WASHINGTON MUTUAL INVESTMENT FUND	S	Yes	10-9-12	\$100,001 - \$250,000
	AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS FUND	P	N/A	3-26-12 6-18-12 9-24-12	\$1,001 - \$15,000
	AMERICAN HIGH INCOME TRUST	P	N/A	10-31-12	\$250,001 - \$500,000
	AMERICAN SCIENCE & ENGINEERING INC	S	No	10-4-12	\$1,001 - \$15,000
	AMERICAN STATES WATER CO.	S	No	10-4-12	\$1,001 - \$15,000
	ANGLOGOLD ASHANTI LTD NEW SPON ADR	S	No	4-17-12	\$1,001 - \$15,000
	APOGEE ENTERPRISES INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	APPLE INC UNSOLICITED	S	Yes	3-28-12 10-16-12	\$100,001 - \$250,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	APPLE INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$50,001 - \$100,000
	ASAH I GLASS ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	ASAH I GLASS ADR	S	No	9-7-12 9-10-12 9-12-12	\$1,001 - \$15,000
	ASML HOLDING NV NY REG SHS NEW	S	Yes	8-6-12	\$1,001 - \$15,000
	ASML HOLDING NV NY REG SHS NEW	P	N/A	4-17-12	\$1,001 - \$15,000
	ASTRAZENECA PLC SPON ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	ASTRAZENECA PLC SPON ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	AT&T INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	AT&T INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	AUSTRALIA & NEW ZEALAND BKG GRP LTD SPONSRD ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	AUSTRALIA & NEW ZEALAND BKG GRP LTD SPONSRD ADR	P	N/A	4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	AUTOLIV INC	S	No	10-4-12	\$1,001 - \$15,000
	AUTOLIV INC	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	AUTONATION INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	AUTONATION INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	AXIS CAPITAL HOLDINGS LTD SHS	S	No	10-4-12	\$1,001 - \$15,000
	AXIS CAPITAL HOLDINGS LTD SHS	P	N/A	4-17-12	\$1,001 - \$15,000
	BAE SYSTEMS PLC SPON ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	BAE SYSTEMS PLC SPON ADR UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	BAIDU INC.	S	No	10-4-12	\$15,001 - \$50,000
	BANCO BRADESCO S.A. NEW SPON ADR	S	No	10-4-12	\$1,001 - \$15,000
	BANCO BRADESCO S.A. NEW SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	BANK OF AMERICA CORP	S	No	10-4-12	\$1,001 - \$15,000
	BANK OF HAWAII CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	BANK OF NOVA SCOTIA CANADA CAD	S	No	10-4-12	\$1,001 - \$15,000
	BANK OF NOVA SCOTIA CANADA CAD	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	BARCLAYS PLC ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	BARCLAYS PLC ADR UNSOLICITED	P	N/A	9-14-12	\$1,001 - \$15,000
	BARRICK GOLD CORP CAD UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	BHP BILLITON LTD SPON ADR	S	No	3-14-12 10-4-12	\$1,001 - \$15,000
	BHP BILLITON LTD SPON ADR	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	BLACKBAUD INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	BOTTOMLINE TECHNOLOGIES INC	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	BRISTOL MYERS SQUIBB CO UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	BRISTOL MYERS SQUIBB CO UNSOLICITED	S	Yes	10-9-12	\$1,001 - \$15,000
	BRUKER CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	C H ROBINSON WORLDWIDE INC NEW	P	N/A	2-13-12 2-27-12 3-12-12	\$15,001 - \$50,000
	C H ROBINSON WORLDWIDE INC NEW	S	No	9-13-12 10-4-12	\$15,001 - \$50,000
	CALGON CARBON CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CAMECO CORP CANADA CAD UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CAMECO CORP CANADA CAD UNSOLICITED	S	No	4-17-12 9-18-12	\$15,001 - \$50,000
	CANADIAN NATIONAL RAILWAY	S	Yes	10-4-12	\$1,001 - \$15,000
	CANADIAN NATIONAL RAILWAY	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CANTEL MEDICAL CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CAP GEMINI SA ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CAP GEMINI SA ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	CARBO CERAMICS INC UNSOLICITED	P	N/A	2-28-12 4-18-12	\$1,001 - \$15,000
	CARBO CERAMICS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	CAREFUSION CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CAREFUSION CORP UNSOLICITED	S	No	3-23-12	\$1,001 - \$15,000
	CARLSBERG AS SPON ADR UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	CARLSBERG AS SPON ADR UNSOLICITED	P	N/A	8-6-12 8-7-12 8-14-12 8-16-12	\$1,001 - \$15,000
	CARREFOUR SA SPON ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	CATERPILLAR INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CATERPILLAR INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CBRE GROUP INC CL A UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CBRE GROUP INC CL A UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CENTRAIS ELETRICAS BRAS SA SPON ADR REP 50 COM	S	No	4-17-12	\$1,001 - \$15,000
	CENTURYLINK INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CENTURYLINK INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CERNER CORP.	S	No	10-4-12	\$50,001 - \$100,000
	CHEVRON CORP UNSOLICITED	S	Yes	10-9-12	\$15,001 - \$50,000
	CHEVRON CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CHINA PETROLEUM & CHEMICAL CORP SPON ADR	S	No	10-4-12	\$1,001 - \$15,000
	CHINA PETROLEUM & CHEMICAL CORP SPON ADR	P	N/A	4-17-12 8-6-12 8-7-12	\$1,001 - \$15,000
	CHUBB CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CHUBB CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CIA PARANAENSE ENERGI SPON ADR	P	N/A	4-17-12 8-21-12	\$1,001 - \$15,000
	CLARCOR INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	COACH INC UNSOLICITED	S	No	2-22-12 7-9-12 7-31-12	\$15,001 - \$50,000
	COACH INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000
	COCA COLA CO COM UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	COCA COLA CO COM UNSOLICITED	S	No	10-9-12	\$1,001 - \$15,000
	COGNIZANT TECH SOLUTIONS CRP	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000
	COGNIZANT TECH SOLUTIONS CRP	S	Yes	10-4-12	\$15,001 - \$50,000
	COHEN & STEERS INC UNSOLICITED	P	N/A	MAR 27-30, 12 APR 3-18, 12 MAY 1-18, 12	\$1,001 - \$15,000
	COHEN & STEERS INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	COHERENT INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	COINSTAR INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	COINSTAR INC UNSOLICITED	P	N/A	3-7-12 3-12-12 3-27-12	\$1,001 - \$15,000
	COMCAST CORP NEW SPECIAL CLA	S	Yes	10-9-12	\$1,001 - \$15,000
	COMCAST CORP NEW SPECIAL CLA	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	COMMERCIAL METALS CO UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	COMMVAULT SYSTEMS INC UNSOLICITED	S	No	9-5-12 9-6-12 10-4-12	\$1,001 - \$15,000
	COMPANHIA DE SANEAMENTO BASICO DO ESTADO DE SAO	S	Yes	6-26-12 8-22-12 9-12-12 9-13-12 9-14-12 10-4-12	\$15,001 - \$50,000
	COMPANHIA DE SANEAMENTO BASICO DO ESTADO DE SAO	P	N/A	4-17-12	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Companhia Paranaense De	S	No	10-4-12	\$1,001 - \$15,000
	COMPUTER PROGRAMS & SYSTEMS INC	S	Yes	10-4-12	\$1,001 - \$15,000
	COMPUTER PROGRAMS & SYSTEMS INC	P	N/A	4-4-12 4-5-12 4-9-12 4-10-12 4-18-12	\$1,001 - \$15,000

	CONOCOPHILLIPS UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CONOCOPHILLIPS UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CONSOL ENERGY INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CONSOL ENERGY INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CORPORATE OFFICE PTYS NEW SBI	S	No	10-4-12	\$1,001 - \$15,000
	CREDIT SUISSE GROUP SPON ADR	P	N/A	2-7-12	\$1,001 - \$15,000
	CREDIT SUISSE GROUP SPON ADR	S	No	4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CULLEN FROST BANKERS INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CULLEN FROST BANKERS INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	CYPRESS SEMICONDUCTOR CP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	CYPRESS SEMICONDUCTOR CP UNSOLICITED	S	No	6-18-12	\$1,001 - \$15,000
	DAI NIPPON PRINTING CO SPON ADR	S	No	4-17-12	\$1,001 - \$15,000
	DAIICHI SANKYO CO LTD SPON ADR	S	No	4-17-12	\$1,001 - \$15,000
	DARLING INTL INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	DEERE AND CO UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	DEERE AND CO UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	DELHAIZE GROUP SPON ADR UNSOLICITED	S	No	6-6-12 6-11-12 6-12-12 6-13-12 6-14-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	DELHAIZE GROUP SPON ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	DEUTSCHE BOERSE ADR UNSOLICITED	P	N/A	4-17-12 4-19-12 6-6-12 6-8-12 6-11-12 6-12-12 6-13-12	\$1,001 - \$15,000

	DEUTSCHE BOERSE ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	DEVRY INC DEL UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	DEVRY INC DEL UNSOLICITED	S	No	6-18-12	\$1,001 - \$15,000
	DIAGEO PLC NEW GB SPON ADR	P	N/A	2-13-12 3-12-12 4-17-12	\$15,001 - \$50,000
	DIAGEO PLC NEW GB SPON ADR	S	Yes	10-9-12	\$15,001 - \$50,000
	DILLARDS INC CL A UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	DILLARDS INC CL A UNSOLICITED	P	N/A	9-21-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	DIME CMNTY BANCSHARES UNSOLICITED	S	No	6-26-12 6-27-12 6-28-12 6-29-12 7-2-12 10-4-12	\$1,001 - \$15,000
	DOLBY LABORATORIES INC CL A	S	No	10-4-12	\$1,001 - \$15,000
	DOLBY LABORATORIES INC CL A	P	N/A	2-13-12 3-12-12 5-24-12	\$1,001 - \$15,000
	DOMINION RESOURCES INC VA (NEW)	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	DOMINION RESOURCES INC VA (NEW)	S	Yes	10-4-12	\$1,001 - \$15,000
	DORMAN PRODUCTS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	DORMAN PRODUCTS INC UNSOLICITED	P	N/A	JUN 20-28, 12 9-19-12 9-20-12 9-21-12	\$1,001 - \$15,000
	DOW CHEMICAL UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	DOW CHEMICAL UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	DSW INC CL A UNSOLICITED	P	N/A	6-18-12	\$1,001 - \$15,000
	DSW INC CL A UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	DU PONT DE NEMOURS UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	DU PONT DE NEMOURS UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	DUPONT FABROS TECHNOLOGY INC	P	N/A	1-3-12 4-18-12 8-21-12 9-19-12	\$1,001 - \$15,000
	DUPONT FABROS TECHNOLOGY INC	S	No	10-4-12	\$1,001 - \$15,000
	EAGLE MATERIALS INC UNSOLICITED	P	N/A	7-17-12	\$1,001 - \$15,000
	EAGLE MATERIALS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	EAST JAPAN RAILWAY CO ADR	S	No	4-17-12	\$1,001 - \$15,000
	EAST WEST BANCORP INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	EHEALTH INC UNSOLICITED	S	Yes	May 30-31, 12 Jun 1-29, 12 7-2-12	\$1,001 - \$15,000
	ELECTRICITE DE FRANCE ADR	S	No	4-17-12	\$1,001 - \$15,000
	ENBRIDGE INC CAD UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ENBRIDGE INC CAD UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ENERSYS UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ENERSYS UNSOLICITED	P	N/A	2-13-12 7-17-12	\$1,001 - \$15,000
	EQT CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	EQT CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ERICSSON SEK 10 NEW 2002 ADR	S	No	4-17-12	\$1,001 - \$15,000
	ERICSSON SEK 10 NEW 2002 ADR	P	N/A	2-8-12	\$1,001 - \$15,000
	ESCO TECHNOLOGIES INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	EXPEDIA INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	EXPEDIA INC UNSOLICITED	P	N/A	2-13-12 3-12-12 5-4-12	\$1,001 - \$15,000
	EXXON MOBIL CORP UNSOLICITED	S	Yes	10-4-12	\$15,001 - \$50,000
	EXXON MOBIL CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	F5 NETWORKS INC UNSOLICITED	P	N/A	2-13-12	\$1,001 - \$15,000
	F5 NETWORKS INC UNSOLICITED	S	No	3-7-12	\$1,001 - \$15,000
	FACTSET RESEARCH SYSTEMS INC UNSOLICITED	S	Yes	7-17-12 10-4-12	\$15,001 - \$50,000
	FACTSET RESEARCH SYSTEMS INC UNSOLICITED	P	N/A	2-13-12 3-12-12 3-27-12	\$15,001 - \$50,000
	FEI COMPANY UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	FEI COMPANY UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	FINANCIAL ENGINES INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	FINMECCANICA SPA ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	FIRST EAGLE GLOBAL FUND CLASS A	P	N/A	2-10-12 4-17-12	\$100,001 - \$250,000
	FIRST EAGLE GLOBAL FUND CLASS A	S	Yes	10-4-12	\$100,001 - \$250,000
	FIRSTENERGY CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	FIRSTENERGY CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	FLEETCOR TECHNOLOGIES INC	P	N/A	5-8-12	\$1,001 - \$15,000
	FLEETCOR TECHNOLOGIES INC	S	Yes	10-4-12	\$1,001 - \$15,000
	FRANCE TELECOM SA SPON ADR	S	No	6-6-12 10-4-12	\$1,001 - \$15,000
	FRANCE TELECOM SA SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	FRANKLIN ELECTRIC CO UNSOLICITED	P	N/A	Jul 11-31, 12 Sep 19-21, 12	\$1,001 - \$15,000
	FRANKLIN ELECTRIC CO UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	FRESH MKT INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	FUEL SYSTEMS SOLUTIONS INC	S	No	10-4-12	\$1,001 - \$15,000
	FUJI FILM HOLDINGS CORP ADR	S	No	4-17-12	\$1,001 - \$15,000
	FUJI HEAVY INDUSTRIES LTD ADR UNSOLICITED	S	Yes	6-27-12 10-4-12	\$1,001 - \$15,000
	FUJI HEAVY INDUSTRIES LTD ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	GARTNER INC UNSOLICITED	P	N/A	6-14-12 7-17-12	\$1,001 - \$15,000
	GARTNER INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	GENERAL DYNAMICS CORP	S	No	10-4-12	\$1,001 - \$15,000
	GENERAL DYNAMICS CORP	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	GENERAL ELECTRIC CO.	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	GENERAL ELECTRIC CO.	S	Yes	10-4-12	\$50,001 - \$100,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	GENERAL MILLS INC.	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	GENERAL MILLS INC.	S	No	10-4-12	\$1,001 - \$15,000
	GENESEE & WYO INC CL A UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	GEN-PROBE INC UNSOLICITED	P	N/A	2-13-12 3-12-12 4-18-12	\$1,001 - \$15,000
	GEN-PROBE INC UNSOLICITED	S	Yes	4-30-12 5-8-12	\$1,001 - \$15,000
	GENTHERM INC (FORMERLY NAMED AMERIGON, INC.)	S	No	10-4-12	\$1,001 - \$15,000
	GEOSPACE TECHNOLOGIES CORP	S	No	10-4-12	\$1,001 - \$15,000
	GLAXO SMITHKLINE PLC ADR UNSOLICITED	S	Yes	4-17-12	\$1,001 - \$15,000
	GOLD FIELDS LTD SPON ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	GOOGLE INC CL A UNSOLICITED	S	Yes	10-16-12	\$15,001 - \$50,000
	GOOGLE INC CL A UNSOLICITED	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	GUGGENHEIM FLOATING RATE STRATEGIES FUND CL A	P	N/A	10-9-12 12-5-12 12-10-12 1-3-13	\$250,001 - \$500,000
	GUGGENHEIM MACRO OPPORTUNITIES FUND CL A	P	N/A	11-1-12 12-3-12 12-10-12 1-2-13	\$250,001 - \$500,000
	GUGGENHEIM TOTAL RETURN BOND FUND CL A	P	N/A	10-9-12 12-5-12 12-10-12 1-3-13	\$250,001 - \$500,000
	HACHIUNI BANK LTD ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	HAIN CELESTIAL GROUP INC UNSOLICITED	S	Yes	5-24-12 8-29-12 9-18-12 10-4-12	\$1,001 - \$15,000
	HANG SENG BK LTD SPONSRD ADR ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	HANG SENG BK LTD SPONSRD ADR ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	HARMAN INTL INDS INC NEW UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	HARMAN INTL INDS INC NEW UNSOLICITED	S	No	6-14-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	HEARTLAND PAYMENT SYSTEMS INC	S	No	10-4-12	\$1,001 - \$15,000
	HEARTLAND PAYMENT SYSTEMS INC	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	HEINEKEN N V ADR NETHERLANDS ADR	S	No	8-7-12 8-8-12 8-9-12	\$1,001 - \$15,000
	HEINEKEN N V ADR NETHERLANDS ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	HELMERICH & PAYNE INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	HELMERICH & PAYNE INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	HERBALIFE LTD UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	HERBALIFE LTD UNSOLICITED	S	No	5-3-12 7-17-12	\$1,001 - \$15,000
	HERTZ GLOBAL HOLDINGS INC	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	HERTZ GLOBAL HOLDINGS INC	S	No	10-4-12	\$1,001 - \$15,000
	HIBBETT SPORTS INC UNSOLICITED	S	Yes	9-12-12 9-13-12 9-14-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	HITACHI LTD ADR NEW JAPAN	P	N/A	4-17-12	\$1,001 - \$15,000
	HITACHI LTD ADR NEW JAPAN	S	No	10-4-12	\$1,001 - \$15,000
	HOME DEPOT INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	HOME DEPOT INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	HOME RETAIL GROUP PLC SPON ADR	S	No	1-27-12 4-17-12	\$1,001 - \$15,000
	HONEYWELL INTL INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	HONEYWELL INTL INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	HSBC HOLDINGS PLC NEW GB SPON ADR	S	No	10-4-12	\$1,001 - \$15,000
	HSBC HOLDINGS PLC NEW GB SPON ADR	P	N/A	9-7-12 9-10-12 9-14-12 9-18-12	\$1,001 - \$15,000
	HUB GROUP INC CL A UNSOLICITED	P	N/A	FEB 7-10, 12 4-18-12 MAY 18-23, 12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	HUB GROUP INC CL A UNSOLITICED	S	Yes	10-4-12	\$1,001 - \$15,000
	IAC INTERACTIVECORP UNSOLICITED	P	N/A	2-13-12 3-12-12 6-14-12	\$1,001 - \$15,000
	IAC INTERACTIVECORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ICU MEDICAL INC UNSOLICITED	P	N/A	4-18-12 5-8-12 5-9-12 5-10-12 5-11-12	\$1,001 - \$15,000
	ICU MEDICAL INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ILLUMINA INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	ILLUMINA INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	IMPALA PLATINUM HLDG LTD SPON ADR	S	No	4-17-12	\$1,001 - \$15,000
	IMPALA PLATINUM HLDG LTD SPON ADR	P	N/A	2-22-12 3-6-12	\$1,001 - \$15,000
	IMPERIAL TOBACCO GROUP PLC SPON ADR	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	IMPERIAL TOBACCO GROUP PLC SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	INDEPENDENT BANK CORP MASS	S	Yes	10-4-12	\$1,001 - \$15,000
	INFORMATICA CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	INFORMATICA CORP USOLICITED	S	No	6-14-12 10-4-12	\$1,001 - \$15,000
	INTEL CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	INTEL CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	INTERDIGITAL INC (PA) UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	INTL BUSINESS MACH UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	INTL BUSINESS MACH UNSOLICITED	S	Yes	10-9-12	\$250,001 - \$500,000
	INTUIT UNSOLICITED	P	N/A	2-13-12 3-12-12 3-23-12 9-19-12	\$15,001 - \$50,000
	INTUIT UNSOLICITED	S	Yes	10-4-12	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	INTUITIVE SURGICAL INC NEW	S	Yes	10-4-12	\$15,001 - \$50,000
	INTUITIVE SURGICAL INC NEW	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000
	IPG PHOTONICS CORP UNSOLICITED	P	N/A	JUN 20-27, 12 7-20-12 7-23-12	\$1,001 - \$15,000
	IPG PHOTONICS CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	IROBOT CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	IRON MTN INC NEW UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	IRON MTN INC NEW UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ISHARES TRUST RUSSELL 2000 FUND	S	Yes	10-4-12	\$15,001 - \$50,000
	ISRAEL CHEMICALS LTD ADR UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ISRAEL CHEMICALS LTD ADR UNSOLICITED	P	N/A	6-7-12 6-13-12 6-14-12 6-18-12 6-19-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	J2 GLOBAL INC COM UNSOLICITED	S	No	APR 4-16, 12 10-4-12	\$1,001 - \$15,000
	JABIL CIRCUIT INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	JABIL CIRCUIT INC UNSOLICITED	P	N/A	2-13-12 3-7-12 3-12-12	\$1,001 - \$15,000
	JANUS CAPITAL GROUP INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	JANUS CAPITAL GROUP INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	JARDEN CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	JARDEN CORP UNSOLICITED	P	N/A	3-19-12 5-4-12	\$1,001 - \$15,000
	JOHN HANCOCK INCOME FUND	P	N/A	10-31-12	\$250,001 - \$500,000
	JOHNSON & JOHNSON COM UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	JOHNSON & JOHNSON COM UNSOLICITED	P	N/A	2-13-12 3-12-12 8-29-12	\$1,001 - \$15,000
	JOHNSON CONTROLS INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	JOHNSON CONTROLS INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	JONES LANG LASALLE INC UNSOLICITED	S	Yes	2-22-12 2-23-12 3-23-12 3-26-12 3-27-12 3-28-12 3-29-12 5-1-12 5-2-12	\$1,001 - \$15,000
	JPM HIGHBRIDGE DYNAMIC COMMODITIES STRATEGY	P	N/A	2-10-12 4-17-12	\$100,001 - \$250,000
	JPMORGAN CHASE & CO UNOLICITED	S	Yes	10-4-12	\$15,001 - \$50,000
	JPMORGAN CHASE & CO UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	JPMORGAN TR I HIGHBRIDGE	S	No	10-4-12	\$100,001 - \$250,000
	KAPSTONE PAPER AND PACKAGING CORP	S	No	10-4-12	\$1,001 - \$15,000
	KDDI CORP ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	KIDDI CORP ADR UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	KIMBERLY CLARK CORP UNSOLICITED	S	Yes	3-14-12 10-4-12	\$1,001 - \$15,000
	KIMBERLY CLARK CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	KINROSS GOLD CORP NEW CAD	P	N/A	1-17-12	\$1,001 - \$15,000
	KINROSS GOLD CORP NEW CAD	S	No	4-17-12	\$1,001 - \$15,000
	KOC HOLDINGS ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	KOC HOLDINGS ADR UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	KOMATSU LTD SPON ADR NEW	S	No	10-4-12	\$1,001 - \$15,000
	KOMATSU LTD SPON ADR NEW	P	N/A	4-17-12	\$1,001 - \$15,000
	KOREA ELECTRIC POWER CRP SPONSORED ADR	S	No	4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	LANDAUER INC UNSOLICITED	S	No	2-8-12 2-9-12 2-14-12 2-16-12 2-17-12 2-21-12 2-22-12 10-4-12	\$1,001 - \$15,000
	LENDER PROCESSING SERVICES INC	S	Yes	10-4-12	\$1,001 - \$15,000
	LENDER PROCESSING SERVICES INC	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	LIFE TIME FITNESS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	LIMITED BRANDS INC CL A UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	LIMITED BRANDS INC CL A UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	LINDSAY CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	LIQUIDITY SERVICES INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	LKQ CORP NEW UNSOLICITED	P	N/A	6-18-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	LKQ CORP NEW UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	LORD ABBETT INCOME FUND CL A	P	N/A	10-4-12 10-31-12 12-13-12 12-19-12 1-3-13	\$250,001 - \$500,000
	LORD ABBETT SHORT DURATION INCOME FUND CL A	P	N/A	10-4-12 10-31-12 12-13-12 12-19-12 1-2-13	\$250,001 - \$500,000
	LORILLARD INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	LORILLARD INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	LUFKIN INDUSTRIES INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	LUFKIN INDUSTRIES INC UNSOLICITED	P	N/A	3-27-12 3-28-12 3-29-12 4-17-12 4-18-12 8-10-12	\$1,001 - \$15,000
	MAGNA INTL INC CLA SUB VTG CANADA ORG CAD	S	No	10-9-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	MANULIFE FINANCIAL CORP CAD	P	N/A	4-17-12	\$1,001 - \$15,000
	MANULIFE FINANCIAL CORP CAD	S	No	10-4-12	\$1,001 - \$15,000
	MARATHON OIL CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	MARATHON OIL CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	MARATHON PETROLEUM CO UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	MARATHON PETROLEUM CO UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	MARINE HARVEST ASA ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	MARKETAXESS HOLDINGS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	MARKETAXESS HOLDINGS INC UNSOLICITED	P	N/A	4-18-12 9-5-12 9-6-12 9-18-12 9-19-12 9-20-12 9-21-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	MARKS & SPENCER GROUP INC SPON ADR	S	No	10-4-12	\$1,001 - \$15,000
	MARKS & SPENCER GROUP INC SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	MCDONALDS CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	MCDONALDS CORP UNSOLICITED	S	No	10-9-12	\$1,001 - \$15,000
	MEADWESTVACO CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	MEADWESTVACO CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	MENS WEARHOUSE INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	MERCADOLIBRE INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	MERCADOLIBRE INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	MERCK & CO INC NEW COM UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	MERCK & CO INC NEW COM UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	MERIDIAN BIOSCIENCE INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	MICROSOFT CORP UNSOLICITED	P	N/A	2-13-12 3-12-12 8-21-12	\$15,001 - \$50,000
	MICROSOFT CORP UNSOLICITED	S	Yes	10-4-12	\$50,001 - \$100,000
	MICROSTRATEGY INC NEW CL A	S	Yes	10-4-12	\$1,001 - \$15,000
	MIDDLEBY CORP DELA UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	MINERALS TECHNOLOGIES INC	S	Yes	10-4-12	\$1,001 - \$15,000
	MINERALS TECHNOLOGIES INC	S	Yes	10-4-12	\$1,001 - \$15,000
	MINERALS TECHNOLOGIES INC	S	Yes	10-4-12	\$1,001 - \$15,000
	MINERALS TECHNOLOGIES INC	S	Yes	10-4-12	\$1,001 - \$15,000
	MITSUI & CO LTD ADR JAPAN ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	MITSUI & CO LTD ADR JAPAN ADR	S	No	10-4-12	\$1,001 - \$15,000
	MITSUI & CO LTD ADR JAPAN ADR	S	No	10-4-12	\$1,001 - \$15,000
	MIZUHO FINANCIAL GROUP INC SPON ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	MIZUHO FINANCIAL GROUP INC SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	MIZUHO FINANCIAL GROUP INC SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	MS&AD INS GROUP HLDGS ADR	S	No	2-27-12 4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	MYRIAD GENETICS INC NEW UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	MYRIAD GENETICS INC NEW UNSOLICITED	P	N/A	MAR 13-28, 12 4-18-12 7-17-12	\$1,001 - \$15,000
	NATL INSTRUMENTS CORP UNSOLICITED	S	No	4-4-12 4-5-12 4-9-12 5-24-12 5-25-12	\$1,001 - \$15,000
	NEOGEN CORP UNSOLICITED	S	Yes	7-13-12 7-16-12 7-17-12 7-18-12 7-19-12 10-4-12	\$1,001 - \$15,000
	NEUBERGER BERMAN FLOATING RATE INCOME FUND CL A	P	N/A	10-4-12 10-31-12 12-3-12 12-24-12	\$250,001 - \$500,000
	NEUBERGER BERMAN HIGH INCOME BOND FUND CL A	P	N/A	10-4-12 10-31-12 12-3-12 12-24-12	\$250,001 - \$500,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	NEUBERGER BERMAN STRATEGIC INCOME FUND CL A	P	N/A	10-4-12 10-31-12 12-3-12 12-24-12	\$250,001 - \$500,000
	NEW JERSEY RESOURCES CRP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	NEWCREST MINING LTD SPON AUSTRALIA ADR	S	No	4-17-12	\$1,001 - \$15,000
	NEXEN INC CAD UNSOLICITED	S	Yes	4-17-12 10-4-12	\$1,001 - \$15,000
	NEXTERA ENERGY INC COM UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	NEXTERA ENERGY INC COM UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NIC INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	NIKE INC CL B UNSOLICITED	S	No	10-4-12	\$15,001 - \$50,000
	NIKE INC CL B UNSOLICITED	P	N/A	6-5-12 8--10-12	\$15,001 - \$50,000
	NINTENDO LTD ADR NEW JAPAN ADR	S	No	4-17-12	\$1,001 - \$15,000
	NIPPON TELEG & TEL CORP SPON ADR	S	Yes	4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	NITTO DENKO CORP UNSPONS ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	NITTO DENKO CORP UNSPONS ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	NOKIA CORP SPONS ADR FINLAND ADR	S	No	4-17-12	\$1,001 - \$15,000
	NORDSON CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NORDSON CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	NORTHEAST UTILITIES UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NORTHEAST UTILITIES UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	NORTHROP GRUMMAN CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NORTHROP GRUMMAN CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	NU SKIN ENTERPRISES INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NU SKIN ENTERPRISES INC UNSOLICITED	S	No	5-3-12 7-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	NXP SEMICONDUCTORS N V COM EUR	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	NXP SEMICONDUCTORS N V COM EUR	S	No	10-4-12	\$1,001 - \$15,000
	AOO GAZPROM LEVEL 1 ADR PROGRAM (RUSSIA) SPON	S	Yes	1-20-12 4-17-12	\$1,001 - \$15,000
	OCCIDENTAL PETROLEUM CRP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	OCCIDENTAL PETROLEUM CRP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	OCWEN FINANCIAL CORP NEW UNSOLICITED	S	Yes	7-17-12 8-21-12 9-12-12 9-19-12 9-20-12 10-4-12	\$1,001 - \$15,000
	ONYX PHARMACEUTICALS INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	ORACLE CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000
	ORACLE CORP UNSOLICITED	S	Yes	10-4-12	\$15,001 - \$50,000
	P.T. TELEKOMUNIKASI INDONESIA SPON ADR	S	No	4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	PANASONIC CORP SPON ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	PANERA BREAD COMP CL A UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PANERA BREAD COMP CL A UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	PAREXEL INTL CORP UNSOLICITED	P	N/A	6-21-12	\$1,001 - \$15,000
	PAREXEL INTL CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	PEABODY ENERGY CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	PEABODY ENERGY CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PENN NATL GAMING INC UNSOLICITED	P	N/A	6-18-12	\$1,001 - \$15,000
	PENN NATL GAMING INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	PETROLEO BRASILEIRO SA SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	PETROLEO BRASILEIRO SA SPON ADR	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	PETSMART INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	PETSMART INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PFIZER INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PFIZER INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	PHILIP MORRIS INTL INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PHILIP MORRIS INTL INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	PHILLIPS 66 (SPINOFF FROM CONOCOPHILLIPS)	S	Yes	10-4-12	\$1,001 - \$15,000
	PLANTRONICS INC NEW UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	POLARIS INDUSTRIES INC (MINN)	S	Yes	10-4-12	\$1,001 - \$15,000
	POLARIS INDUSTRIES INC (MINN)	P	N/A	2-13-12 3-12-12 5-4-12	\$1,001 - \$15,000
	POLYCOM INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	POLYCOM INC UNSOLICITED	P	N/A	6-6-12 6-7-12 6-15-12 6-18-12 6-19-12	\$1,001 - \$15,000
	POLYUS GOLD INTL LTD SPON GDR	S	No	4-17-12	\$1,001 - \$15,000
	POSCO SPON ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	POSCO SPON ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	POWER INTEGRATIONS INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	PRAXAIR INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PRAXAIR INC UNSOLICITED	S	No	3-14-12 10-4-12	\$1,001 - \$15,000
	PRICE T ROWE GROUP INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000
	PRICE T ROWE GROUP INC UNSOLICITED	S	Yes	10-4-12	\$15,001 - \$50,000
	PROCTER & GAMBLE CO UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	PROCTER & GAMBLE CO UNSOLICITED	S	Yes	10-4-12	\$15,001 - \$50,000
	PRUDENTIAL FINANCIAL INC UNSOLICITED	P	N/A	2-13-12 3-12-12 8-29-12	\$1,001 - \$15,000
	PRUDENTIAL FINANCIAL INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	PUBLIC SERVICE ENTERPRISE GROUP INC	S	Yes	10-4-12	\$1,001 - \$15,000
	PUBLIC SERVICE ENTERPRISE GROUP INC	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	PUTNAM DIVERSIFIED INCOME TRUST-CL A	P	N/A	10-4-12 10-31-12 1-3-12	\$250,001 - \$500,000
	PUTNAM GLOBAL INCOME TRUST-CL A	P	N/A	10-4-12 10-31-12 1-3-12	\$250,001 - \$500,000
	QUAKER CHEMICAL CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	QUALCOMM INC UNSOLICITED	S	Yes	10-4-12	\$50,001 - \$100,000
	QUALCOMM INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	QUALITY SYSTEMS INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	QUALITY SYSTEMS INC UNSOLICITED	P	N/A	4-18-12 7-13-12 7-16-12	\$1,001 - \$15,000
	RACKSPACE HOSTING INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	RACKSPACE HOSTING INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	RAYTHEON CO NEW UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	RAYTHEON CO NEW UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	REED ELSERVIER NV NEW REPSTG 2 ORD SHS SPON	S	Yes	10-4-12	\$1,001 - \$15,000
	REED ELSERVIER NV NEW REPSTG 2 ORD SHS SPON	P	N/A	4-17-12	\$1,001 - \$15,000
	RENAISSANCERE HOLDINGS LTD	S	No	10-4-12	\$1,001 - \$15,000
	RENAISSANCERE HOLDINGS LTD	P	N/A	4-17-12	\$1,001 - \$15,000
	RIO TINTO PLC SPON ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	RIO TINTO PLC SPON ADR UNSOLICITED	P	N/A	2-13-12 3-12-12 4-17-12 8-22-12	\$1,001 - \$15,000
	RIVERBED TECHNOLOGY INC UNSOLICITED	S	Yes	3-21-12 10-4-12	\$1,001 - \$15,000
	RIVERBED TECHNOLOGY INC UNSOLICITED	P	N/A	2-13-12 3-12-12 6-15-12 6-18-12	\$1,001 - \$15,000
	ROBERT HALF INTL INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	ROBERT HALF INTL INC UNSOLICITED	P	N/A	7-17-12	\$1,001 - \$15,000
	ROHM CO LTD ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	ROLLINS INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	ROLLINS INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ROYAL DUTCH SHELL PLC CL A SPON ADR	S	No	10-9-12	\$1,001 - \$15,000
	ROYAL DUTCH SHELL PLC CL A SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	RYDER SYSTEM INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	RYDER SYSTEM INC UNSOLICITED	S	No	6-18-12	\$1,001 - \$15,000
	RYMAN HOSPITALITY PROPERTIES INC (FORMERLY GAYLORD ENTERTAINMENT)	S	Yes	10-16-12	\$50,001 - \$100,000
	SAGE GROUP PLC ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	SAGE GROUP PLC ADR UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	SALLY BEAUTY CO INC UNSOLICITED	P	N/A	6-14-12	\$1,001 - \$15,000
	SALLY BEAUTY CO INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	SANDRIDGE ENERGY INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	SANDRIDGE ENERGY INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SANOFI SPON ADR UNSOLICITED	S	Yes	3-8-12 4-17-12 10-9-12	\$1,001 - \$15,000
	SANOFI-AVENTIS SA SPON ADR	S	No	10-9-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SAPIENT CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	SASOL LTD SPON ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	SASOL LTD SPON ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	SCHLUMBERGER LTD NETHERLANDS ANTILLES	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SCHULMBERGER LTD NETHERLANDS ANTILLES	S	No	10-4-12	\$1,001 - \$15,000
	SEADRILL LTD US LINE UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	SEADRILL LTD US LINE UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	SEGA SAMMY HLDG INC SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	SEGA SAMMY HLDG INC SPON ADR	S	No	10-4-12	\$1,001 - \$15,000
	SEKISUI HOUSE LTD SPON ADR	S	No	4-17-12	\$1,001 - \$15,000
	SELECT COMFORT CORP UNSOLICITED	P	N/A	4-18-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SELECT COMFORT CORP UNSOLICITED	S	No	7-13-12 10-4-12	\$1,001 - \$15,000
	SEMPRA ENERGY UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	SEMPRA ENERGY UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SENSATA TECHNOLOGIES HLDG NV EUR	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SENSATA TECHNOLOGIES HLDG NV EUR	S	No	7-17-12	\$1,001 - \$15,000
	SEVEN & I HLDGS CO LTD ADR	S	Yes	4-17-12	\$1,001 - \$15,000
	SHISEIDO CO LTD SPONS ADR JAPAN	S	No	4-17-12	\$1,001 - \$15,000
	SIEMENS A G SPON ADR UNSOLICITED	P	N/A	7-27-12 7-30-12	\$1,001 - \$15,000
	SIEMENS A G SPON ADR UNSOLICITED	S	Yes	4-17-12 10-4-12	\$15,001 - \$50,000
	SIGNATURE BANK NEW YORK NY	S	Yes	6-6-12 10-4-12	\$1,001 - \$15,000
	SIGNET JEWELERS LTD UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SIGNET JEWELERS LTD UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	SILGAN HOLDINGS INC UNSOLICITED	S	No	6-22-12 10-4-12	\$1,001 - \$15,000
	SILGAN HOLDINGS INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SIMPSON MANUFACTURING CO INC DELA	S	No	7-20-12 7-23-12 7-24-12 7-25-12 7-26-12 10-4-12	\$1,001 - \$15,000
	SIRONA DENTAL SYSTEMS INC	S	No	7-17-12	\$1,001 - \$15,000
	SIRONA DENTAL SYSTEMS INC	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SK TELECOM CO LTD ADR UNSOLICITED	S	Yes	4-17-12 10-4-12	\$1,001 - \$15,000
	SOCIETE GENERALE FRANCE SPONS ADR ADR	S	No	2-8-12	\$1,001 - \$15,000
	SODA STREAM INTL LTD ILS UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SODA STREAM INTL LTD ILS UNSOLICITED	P	N/A	4-18-12 8-21-12 9-12-12 9-13-12	\$1,001 - \$15,000

	SOLARWINDS INC UNSOLICITED	S	Yes	9-14-12 10-4-12	\$1,001 - \$15,000
	SOLARWINDS INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SOUTH JERSEY IND INC UNSOLICITED	S	No	2-28-12 2-29-12 3-1-12 10-4-12	\$1,001 - \$15,000

	SOUTHERN CO UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	SOUTHERN CO UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	SPDR GOLD TRUST	S	No	10-16-12	\$100,001 - \$250,000
	SPDR GOLD TRUST	P	N/A	2-10-12	\$15,001 - \$50,000
	STARBUCKS CORP UNSOLICITED	S	No	2-21-12 10-4-12	\$15,001 - \$50,000
	STARBUCKS CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	STATOIL ASA SPON ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	STATOIL ASA SPON ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	SUMITOMO MITSUI TRUST HOLDINGS SPON ADR	S	No	4-17-12	\$1,001 - \$15,000
	SVB FINANCIAL GROUP UNSOLICITED	P	N/A	1-4-12 1-5-12 1-6-12 2-7-12 2-8-12 3-23-12 3-26-12 3-27-12 4-18-12	\$1,001 - \$15,000
	SVB FINANCIAL GROUP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	SVENSKA CELLULOSA AB (SCA) SPON ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	SVENSKA CELLULOSA AB (SCA) SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	SWISSCOM AG SPON ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	TAIWAN SEMICONDUCTOR MFG CO LTD ADR	P	N/A	4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	TAIWAN SEMICONDUCTOR MFG CO LTD ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	TALISMAN ENERGY INC CAD UNSOLICITED	P	N/A	1-19-12	\$1,001 - \$15,000
	TALISMAN ENERGY INC CAD UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000
	TAMANA GOLD INC CAD UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	TATA MOTORS LTD SPON ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	TATA MOTORS LTD SPON ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	TEAM INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	TECHNE CORP MINN UNSOLICITED	P	N/A	2-15-12 2-16-12 2-17-12 3-13-12 3-14-12 4-18-12 5-8-12 5-9-12 5-10-12	\$1,001 - \$15,000
	TECHNE CORP MINN UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	TELECOM ITALIA SPA NEW REPSTG 10 SAVINGS SHS	P	N/A	4-13-12	\$1,001 - \$15,000
	TELECOM ITALIA SPA NEW REPSTG 10 SAVINGS SHS	S	No	4-17-12	\$1,001 - \$15,000
	TELSTRA CORP LTD (FINAL) ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	TELSTRA CORP LTD (FINAL) ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	TEMPUR-PEDIC INTL INC UNSOLICITED	P	N/A	2-13-12 3-12-12 7-13-12	\$1,001 - \$15,000
	TEMPUR-PEDIC INTL INC UNSOLICITED	S	No	9-4-12 10-4-12	\$1,001 - \$15,000
	TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	S	No	10-4-12	\$1,001 - \$15,000
	TEVA PHARMACEUTICALS IND LTD ISRAEL ADR	P	N/A	4-17-12 8-6-12 8-7-12	\$1,001 - \$15,000
	TEXAS CAPITAL BANCSHARES INC (DELA)	S	Yes	10-4-12	\$1,001 - \$15,000
	THORATEC CORP NEW UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	THORATEC CORP NEW UNSOLICITED	P	N/A	8-29-12 8-30-12 8-31-12 9-4-12 9-5-12 9-6-12 9-7-12 9-10-12 9-12-12 9-13-12	\$1,001 - \$15,000
	TIBCO SOFTWARE INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	TIBCO SOFTWARE INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	TNT EXPRESS N V ADR UNSOLICITED	S	Yes	1-18-12 1-19-12 2-21-12 2-23-12 2-27-12	\$1,001 - \$15,000

	TORONTO DOMINION BK NEW CANADA CAD	S	No	10-4-12	\$1,001 - \$15,000
	TORONTO DOMINION BK NEW CANADA CAD	P	N/A	2-13-12 3-12-12 4-17-12 8-29-12	\$1,001 - \$15,000
	TOTAL S.A. FRANCE SPON ADR	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	TOTAL S.A. FRANCE SPON ADR	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	TOTAL SYSTEM SERVICES INC	S	No	10-4-12	\$1,001 - \$15,000
	TOTAL SYSTEM SERVICES INC	P	N/A	7-17-12	\$1,001 - \$15,000
	TOWERS WATSON & CO CL A UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	TOWERS WATSON & CO CL A UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	TOYOTA MOTOR CORP NEW JAPAN SPON ADR	S	Yes	2-16-12 4-17-12	\$1,001 - \$15,000
	TRACTOR SUPPLY COMPANY UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	TRACTOR SUPPLY COMPANY UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	TRANSOCEAN LTD CHF UNSOLICITED	S	Yes	4-3-12 4-17-12	\$1,001 - \$15,000
	TRAVELERS COS INC/THE UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	TRAVELERS COS INC/THE UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	TRIPADVISOR INC UNSOLICITED	S	Yes	7-17-12	\$1,001 - \$15,000
	TRIPADVISOR INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	UBS GS INVESTMENT PARTNERS, LLC	P	N/A	3-28-12	\$250,001 - \$500,000
	UBS SELECT PRIME INSTITUTIONAL FUND	P	N/A	1-5-12	\$500,001 - \$1,000,000
	UBS SELECT PRIME INSTITUTIONAL FUND	S	Yes	3-8-12 3-26-12 4-16-12 11-20-12	\$1,000,001 - \$5,000,000
	ULTA SALON COSMETICS & FRAGRANCE INC	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	ULTA SALON COSMETICS & FRAGRANCE INC	S	Yes	10-4-12	\$1,001 - \$15,000
	UMB FINANCIAL CORP UNSOLICITED	P	N/A	4-18-12	\$1,001 - \$15,000
	UMB FINANCIAL CORP UNSOLICITED	S	No	6-26-12 10-4-12	\$1,001 - \$15,000
	UMPQUA HOLDINGS CORP OR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR	S	Yes	8-7-12 8-8-12 10-4-12	\$15,001 - \$50,000
	UNILEVER NV N Y SHS NEW NETHERLANDS SPON ADR	P	N/A	2-13-12 3-12-12 4-17-12	\$15,001 - \$50,000
	UNIVERSAL HEALTH SVCS INC CL B	S	Yes	10-4-12	\$1,001 - \$15,000
	UNIVERSAL HEALTH SVCS INC CL B	P	N/A	7-17-12	\$1,001 - \$15,000
	UNTD NAT FOODS INC UNSOLICITED	S	Yes	6-20-12 6-21-12 6-22-12 9-19-12 10-4-12	\$1,001 - \$15,000
	UNTD OVERSEAS BK LTD SPONS ADR SINGAPORE ADR	S	Yes	10-4-12	\$1,001 - \$15,000
	UNTD OVERSEAS BK LTD SPONS ADR SINGAPORE ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	UNTD RENTALS INC UNSOLICITED	S	No	7-17-12 10-4-12	\$1,001 - \$15,000
	UNTD RENTALS INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	UNTD TECHNOLOGIES CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	UNTD TECHNOLOGIES CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	US BANCORP DEL (NEW) UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	US BANCORP DEL (NEW) UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	V F CORP	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	V F CORP	S	Yes	10-4-12	\$1,001 - \$15,000
	VALE SA-SP SPON ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	VALE SA-SP SPON ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	VALMONT INDUSTRIES INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	VALMONT INDUSTRIES INC UNSOLICITED	P	N/A	5-4-12 7-17-12	\$1,001 - \$15,000
	VARIAN MEDICAL SYSTEMS INC	S	No	5-11-12 10-4-12	\$15,001 - \$50,000
	VARIAN MEDICAL SYSTEMS INC	P	N/A	2-13-12 3-12-12	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	VERIFONE SYSTEMS INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	VERIFONE SYSTEMS INC UNSOLICITED	S	No	7-17-12	\$1,001 - \$15,000
	VERIZON COMMUNICATIONS INC	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	VERIZON COMMUNICATIONS INC	S	Yes	3-14-12 10-9-12	\$15,001 - \$50,000
	VIACOM INC	S	No	11-2-12	\$100,001 - \$250,000
	VITAMIN SHOPPE INC UNSOLICITED	P	N/A	3-9-12 4-4-12 4-5-12 4-9-12 4-10-12 4-18-12	\$1,001 - \$15,000
	VITAMIN SHOPPE INC UNSOLICITED	S	Yes	7-13-12 7-16-12 7-17-12 10-4-12	\$1,001 - \$15,000
	VIVENDI SA ADR UNSOLICITED	P	N/A	3-8-12 4-10-12	\$1,001 - \$15,000
	VIVENDI SA ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	VMWARE INC CLA	S	Yes	10-4-12	\$50,001 - \$100,000
	VODAFONE GROUP PLC NEW SPON ADR	S	Yes	1-5-12 4-17-12 10-9-12	\$15,001 - \$50,000
	VODAFONE GROUP PLC NEW SPON ADR	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	VOLCANO CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	VOLCANO CORP UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	WABTEC INC UNSOLICITED	P	N/A	2-13-12 3-12-12 4-18-12	\$1,001 - \$15,000
	WABTEC INC UNSOLICITED	S	Yes	2-7-12 2-8-12 3-27-12 3-28-12 4-4-12 4-20-12 JUL 10-24, 12 8-9-12 10-4-12	\$1,001 - \$15,000
	WACOAL HOLDINGS CORP ADR UNSOLICITED	S	No	4-17-12	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	WAL MART STORES INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	WAL MART STORES INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	WATTS WATER TECHNOLOGIES INC CL A	S	No	10-4-12	\$1,001 - \$15,000
	WELLS FARGO & CO NEW UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	WELLS FARGO & CO NEW UNSOLICITED	S	Yes	10-9-12	\$1,001 - \$15,000
	WEST PHARMACEUTICAL SERVICES INC	S	Yes	10-4-12	\$1,001 - \$15,000
	WESTERN REFG INC UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	WESTERN REFG INC UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	WEYERHAEUSER CO UNSOLICITED	P	N/A	3-12-12	\$1,001 - \$15,000
	WILLIAMS SONOMA INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	WILLIAMS SONOMA INC UNSOLICITED	P	N/A	9-21-12	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	WOLTERS KLUWER NV SPONSORED ADR	S	No	4-17-12	\$1,001 - \$15,000
	WOLVERINE WORLD WIDE INC UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	WOORI FIN HOLDINGS ADR UNSOLICITED	S	No	10-4-12	\$1,001 - \$15,000
	WOORI FIN HOLDINGS ADR UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000
	WRIGHT EXPRESS CORP UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	WYNDHAM WORLDWIDE CORP UNSOLICITED	S	Yes	9-17-12 10-4-12	\$1,001 - \$15,000
	WYNDHAM WORLDWIDE CORP UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	XL GROUP PLC SHS UNSOLICITED	S	Yes	10-04-12	\$1,001 - \$15,000
	XL GROUP PLC SHS UNSOLICITED	P	N/A	2-13-12 3-12-12	\$1,001 - \$15,000
	YAMANA GOLD INC CAD UNSOLICITED	S	Yes	10-4-12	\$1,001 - \$15,000
	YAMANA GOLD INC CAD UNSOLICITED	P	N/A	4-17-12	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	YANZHOU COAL MINING CO LTD SPON ADR	S	No	10-4-12	\$1,001 - \$15,000
	YANZHOU COAL MINING CO LTD SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	ZOLL MEDICAL CORP UNSOLICITED	S	Yes	3-13-12	\$1,001 - \$15,000
	ZURICH INS GROUP LTD SPON ADR	P	N/A	4-17-12	\$1,001 - \$15,000
	ZURICH INS GROUP LTD SPON ADR	S	Yes	10-4-12	\$1,001 - \$15,000

SCHEDULE V - LIABILITIES

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000. NOTE: Pending legislation may require Members to report mortgages on personal residences.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	Bank of America	Oct. 2013	Mortgage on personal residence in Los Angeles, CA.	\$500,001 - \$1,000,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

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Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$350 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure-- Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
International Republican Institute	Sep. 26- Oct. 3	Los Angeles, CA-Tbilisi, Georgia-DC	Y	Y	N	None
International Republican Institute	Oct. 25-30	Seoul, South Korea-Kyiv, Ukraine-Los Angeles, CA	Y	Y	N	None

SCHEDULE VIII - POSITIONS

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

Position	Name of Organization
Secretary (Uncompensated)	The Dreier Foundation
Member (Uncompensated)	Board of Trustees of Claremont McKenna College
Member (Uncompensated)	Board of Visitors of Claremont Graduate University School of Politics and Economics
Member (Uncompensated)	Board of Advisors of the Los Angeles Mission
Member (Uncompensated)	Advisory Council for the Center for Strategic and International Studies
Member (Uncompensated)	Council of Foreign Relations
Member (Uncompensated)	National Endowment for Democracy's Congressional Advisory Board
Member (Uncompensated)	Board of Directors of the International Republican Institute

Additional Detail for Schedule III related to:

Assets held by H.E. Dreier Trust (*Figures for year-end values & amount of transaction reflect filer's 1/3 ownership interest in trust.)

Ironstone Bank Money Market	\$100,001 - \$250,000	None**	None**		
Northern Inst. Diversified Asst Port Money Market	\$100,001 - \$250,000	None**	None**		
Note Receivable from Tiffany Heights	\$250,000 - \$500,000	None	None		

Additional Detail for Schedule III Related to:

Assets held by Joyce Y Dreier Trust (*Figures for year-end values & amount of transaction reflect filer's 1/3 ownership interest in trust.)

52 Mayfair, Riverside County, CA residence	\$100,001 - \$250,000	None	None	
Bank America Corp Bond	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000	
Ironstone Bank Money Market	\$100,001 - \$250,000	Interest	\$1 - \$200	

** Any amounts fell below the reportable level.

FOOTNOTES

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Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	Listed for consistency with prior filing. Both purchase and sale fall below reporting threshold and are not reported on schedule IV.	CERAGON NETWORKS LTD ILS UNSOLICITED
2	Schedule III	Purchase falls below the reportable level and is not reported on schedule III or IV.	COHERENT INC UNSOLICITED
3	Schedule III	Purchases for 2012 and prior years fall below the reportable level and are not reported on schedule IV.	DARLING INTL INC UNSOLICITED
4	Schedule III	Listed for consistency with prior filing. Both purchase and sale fall below reporting level and are not reported on schedule IV.	GREEN DOT CORP UNSOLICITED
5	Schedule III	Sale amount falls below the reportable level and is not reported on schedule IV.	INVESTMENT TECHNOLOGY GROUP NEW
6	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	IROBOT CORP UNSOLICITED
7	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	KAPSTONE PAPER AND PACKAGING CORP
8	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	LIFE TIME FITNESS INC UNSOLICITED
9	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	MICROSTRATEGY INC NEW CL A
10	Schedule III	Sale amount falls below the reportable level and is not reported on schedule IV.	NUTRI/SYSTEMS INC UNSOLICITED
11	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	ONYX PHARMACEUTICALS INC UNSOLICITED
12	Schedule III	Sale amount falls below the reportable level and is not reported on schedule IV.	TESCO CORP CAD UNSOLICITED

FOOTNOTES

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Number	Section / Schedule	Footnote	This note refers to the following item
13	Schedule III	Filer owns 1/3 of trust. Values represent filer's share of the trust. For details on trust assets, see attachment.	JOYCE Y. DREIER TRUST
14	Schedule III	Filer owns 1/3 of trust. Values represent filer's share of the trust. For details on trust assets, see attachment.	HE DREIER IRREVOCABLE TRUST ASSETS
15	Schedule III	Listed for consistency with prior filing. Both purchase and sale fall below reporting level and are not reported on schedule IV.	WILEY JOHN & SONS INC
16	Schedule III	Purchase amount for 2012 and prior years falls below the reportable level and is not reported on schedule IV.	ESCO TECHNOLOGIES INC UNSOLICITED
17	Schedule III	Purchase amount for 2012 and prior years falls below the reportable level and is not reported on schedule IV.	FRESH MKT INC UNSOLICITED
18	Schedule III	Purchase amount for 2012 and prior years falls below the reportable level and is not reported on schedule IV.	HAIN CELESTIAL GROUP INC UNSOLICITED
19	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	APOGEE ENTERPRISES INC UNSOLICITED
20	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	BOTTOMLINE TECHNOLOGIES INC
21	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	EAST WEST BANCORP INC UNSOLICITED
22	Schedule III	Purchase amount falls below the reportable level and is not reported on schedule IV.	NIC INC UNSOLICITED