

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2011 FINANCIAL DISCLOSURE STATEMENT**

Form A  
 For use by Members, officers, and employees

**HAND DELIVERED**

Name: **DAVID PHILLIP ROE**

Daytime Telephone: **(423) 929-7671**

LEGISLATIVE RESOURCE CENTER

2012 JUN 14 AM 10:50

HOUSE OF REPRESENTATIVES

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

|              |                                                                                 |           |                          |             |                          |                     |                          |                   |  |                   |  |
|--------------|---------------------------------------------------------------------------------|-----------|--------------------------|-------------|--------------------------|---------------------|--------------------------|-------------------|--|-------------------|--|
| Filer Status | <input checked="" type="checkbox"/> Member of the U.S. House of Representatives | State:    | TN                       | District:   | 01                       | Officer or Employee | <input type="checkbox"/> | Employing Office: |  | Termination Date: |  |
| Report Type  | <input checked="" type="checkbox"/> Annual (May 15, 2012)                       | Amendment | <input type="checkbox"/> | Termination | <input type="checkbox"/> |                     |                          |                   |  |                   |  |

**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 type="checkbox"/>            | No <input checked="" 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 a 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"/> |
| EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics. | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> |

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

**For payments to charity in lieu of honoraria, use Schedule II.**

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics. A green envelope for transmitting the list is included in each Member's filing package.

[illegible]

## 4, 11

[illegible]

## Continuation Sheet (if needed)

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

of 11

| 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 |
| SP,                         | A None                        | NONE                                                                             | I None                      | P, S, E     |
| DC,                         | B \$1 - \$1,000               | DIVIDENDS                                                                        | II \$1 - \$200              |             |
| JT                          | C \$1,001 - \$15,000          | RENT X                                                                           | III \$201 - \$1,000         |             |
|                             | D \$15,001 - \$50,000         | INTEREST                                                                         | IV \$1,001 - \$2,500        |             |
| JT RESIDENTIAL REAL ESTATE- | E \$50,001 - \$100,000 X      | CAPITAL GAINS                                                                    | V \$2,501 - \$5,000         |             |
| JOHNSON CITY, TN            | F \$100,001 - \$250,000       | EXCEPTED/BIND TRUST                                                              | VI \$5,001 - \$15,000       |             |
| FIDELITY INVESTMENT         | G \$250,001 - \$500,000 X     | TAX-DEFERRED                                                                     | VII \$15,001 - \$50,000     |             |
| RETIREMENT ACCOUNT          | H \$500,001 - \$1,000,000     | Other Type of Income<br>(Specify: e.g.,<br>Partnership Income or<br>Farm Income) | VIII \$50,001 - \$100,000   | SEE ATTACH  |
|                             | I \$1,000,001 - \$5,000,000   |                                                                                  | IX \$100,001 - \$1,000,000  | SCHEDU      |
|                             | J \$5,000,001 - \$25,000,000  |                                                                                  | X \$1,000,001 - \$5,000,000 | 5           |
|                             | K \$25,000,001 - \$50,000,000 |                                                                                  | XI Over \$5,000,000         |             |
|                             | L Over \$50,000,000           |                                                                                  |                             |             |



# SCHEDULE V— LIABILITIES

Name DAVID PHILLIP ROE

Page 8 of 11

Report liabilities of over \$10,000 owed to any one creditor **at any time** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report revolving charge accounts (i.e., credit cards) only if the balance at the close of the 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 Mo/Year | Type of Liability                   | Amount of Liability |                   |                    |                     |                     |                       |                         |                          |                           |                   |  |
|------------|----------------------------------------------|---------------------------------|-------------------------------------|---------------------|-------------------|--------------------|---------------------|---------------------|-----------------------|-------------------------|--------------------------|---------------------------|-------------------|--|
|            |                                              |                                 |                                     | A                   | B                 | C                  | D                   | E                   | F                     | G                       | H                        | I                         | J                 |  |
|            | <i>Example:</i> First Bank of Wilmington, DE | May 1998                        | Mortgage on 123 Main St., Dover, DE | \$10,001-\$15,000   | \$15,001-\$50,000 | \$50,001-\$100,000 | \$100,001-\$250,000 | \$250,001-\$500,000 | \$500,001-\$1,000,000 | \$1,000,001-\$5,000,000 | \$5,000,001-\$25,000,000 | \$25,000,001-\$50,000,000 | Over \$50,000,000 |  |
|            | GMAC MORTGAGE                                | 10/96                           | MORTGAGE ON CONDO IN FRISCO, CO     |                     |                   | X                  |                     |                     |                       |                         |                          |                           |                   |  |
|            | BANK OF TENNESSEE                            | 7/08                            | LINE OF CREDIT                      |                     |                   | X                  |                     |                     |                       |                         |                          |                           |                   |  |
|            | SUNTRUST MORTGAGE, INC                       | 2/08                            | MORTGAGE ON CONDO IN WASHINGTON DC  |                     |                   |                    | X                   |                     |                       |                         |                          |                           |                   |  |

# SCHEDULE VI— GIFTS

Report the source, a brief description, and the value of all gifts totalling more than \$350 received by you, your spouse, or a dependent child from any source during the year. **Exclude:** Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$140 or less need not be added towards the \$350 disclosure threshold. **Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

| Source                                                 | Description                                                                             | Value |
|--------------------------------------------------------|-----------------------------------------------------------------------------------------|-------|
| <i>Example:</i> Mr. Joseph H. Smith, Anytown, Anystate | Silver Platter (determination on personal friendship received from Committee on Ethics) | \$375 |
|                                                        |                                                                                         |       |
|                                                        |                                                                                         |       |
|                                                        |                                                                                         |       |
|                                                        |                                                                                         |       |
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|                                                        |                                                                                         |       |
|                                                        |                                                                                         |       |

Use additional sheets if more space is required.

# **SCHEDULE V— LIABILITIES**

Name **DAVID PHILLIP ROE**

Page **9** of **11**

Report liabilities of over \$10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report *revolving charge accounts* (i.e., credit cards) only if the balance at the close of the 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 Mo/Year | Type of Liability                            | Amount of Liability |                   |                    |                     |                     |                       |                         |                          |                           |                   |
|------------|----------------------------------------------|---------------------------------|----------------------------------------------|---------------------|-------------------|--------------------|---------------------|---------------------|-----------------------|-------------------------|--------------------------|---------------------------|-------------------|
|            |                                              |                                 |                                              | A                   | B                 | C                  | D                   | E                   | F                     | G                       | H                        | I                         | J                 |
|            | <i>Example:</i> First Bank of Wilmington, DE | May 1998                        | Mortgage on 123 Main St., Dover, DE          | \$10,001-\$15,000   | \$15,001-\$50,000 | \$50,001-\$100,000 | \$100,001-\$250,000 | \$250,001-\$500,000 | \$500,001-\$1,000,000 | \$1,000,001-\$5,000,000 | \$5,000,001-\$25,000,000 | \$25,000,001-\$50,000,000 | Over \$50,000,000 |
|            | PEOPLES COMMUNITY BANK                       | 10/00                           | MORTGAGE ON REAL ESTATE IN JOHNSON CITY, TN. |                     |                   | X                  |                     |                     |                       |                         |                          |                           |                   |
|            |                                              |                                 |                                              |                     |                   |                    |                     |                     |                       |                         |                          |                           |                   |
|            |                                              |                                 |                                              |                     |                   |                    |                     |                     |                       |                         |                          |                           |                   |
|            |                                              |                                 |                                              |                     |                   |                    |                     |                     |                       |                         |                          |                           |                   |
|            |                                              |                                 |                                              |                     |                   |                    |                     |                     |                       |                         |                          |                           |                   |
|            |                                              |                                 |                                              |                     |                   |                    |                     |                     |                       |                         |                          |                           |                   |

# **SCHEDULE VI— GIFTS**

Report the source, a brief description, and the value of all gifts totalling more than \$350 received by you, your spouse, or a dependent child from any source during the year. **Exclude:** Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$140 or less need not be added towards the \$350 disclosure threshold. **Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

| Source                                                 | Description                                                                             | Value |
|--------------------------------------------------------|-----------------------------------------------------------------------------------------|-------|
| <i>Example:</i> Mr. Joseph H. Smith, Anytown, Anystate | Silver Platter (determination on personal friendship received from Committee on Ethics) | \$375 |
|                                                        |                                                                                         |       |
|                                                        |                                                                                         |       |
|                                                        |                                                                                         |       |
|                                                        |                                                                                         |       |
|                                                        |                                                                                         |       |
|                                                        |                                                                                         |       |
|                                                        |                                                                                         |       |

Use additional sheets if more space is required.

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling 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 paid directly by the sponsor or were paid by you and reimbursed 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.

[illegible]

# **SCHEDULE VIII—POSITIONS**

Name **DAVID PHILLIP ROE**

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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 other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

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

| Position | Name of Organization              |
|----------|-----------------------------------|
| PARTNER  | SOPHA REAL ESTATE PARTNERSHIP LLC |
|          |                                   |
|          |                                   |
|          |                                   |
|          |                                   |
|          |                                   |
|          |                                   |
|          |                                   |

# **SCHEDULE IX—AGREEMENTS**

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

| Date | Parties To | Terms of Agreement |
|------|------------|--------------------|
|      |            |                    |
|      |            |                    |
|      |            |                    |
|      |            |                    |
|      |            |                    |
|      |            |                    |
|      |            |                    |
|      |            |                    |

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**DAVID PHILLIP ROE**

**SCHEDULE 1**

Online at: [www.mymerrill.com](http://www.mymerrill.com)

24-Hour Assistance: (800) MERRILL

DR DAVID PHILIP ROE TTEE  
U/A DTD 08/08/2007  
DAVID PHILIP ROE CRUT  
#2 N CROSSBOW LN  
JOHNSON CITY TN 37604-3639

**Net Portfolio Value:**

**\$432,470.75**

Your Financial Advisor:  
SMITH/CONKIN/HAUSMAN  
206 PRINCETON RD SUITE NO 1  
JOHNSON CITY TN 37601  
1-423-282-5191

## Trust

This account is enrolled in the Personal Investment Advisory Program

December 01, 2011 - December 30, 2011

### ASSETS

|                            | December 30         | November 30         |
|----------------------------|---------------------|---------------------|
| Cash/Money Accounts        | 50,149.00           | 34,221.00           |
| Fixed Income               | 59,800.62           | 68,457.85           |
| Equities                   | 122,211.22          | 137,174.00          |
| Mutual Funds               | 200,763.67          | 191,994.40          |
| Options                    | -                   | -                   |
| Other                      | -                   | -                   |
| Alternative Investments    | 4,675.61            | 5,237.42            |
| Subtotal (Long Portfolio)  | 437,600.12          | 437,084.67          |
| Estimated Accrued Interest | 959.73              | 925.49              |
| <b>TOTAL ASSETS</b>        | <b>\$438,559.85</b> | <b>\$438,010.16</b> |

### LIABILITIES

|                            |                     |                     |
|----------------------------|---------------------|---------------------|
| Debit Balance              | (5,897.10)          | (209.59)            |
| Short Market Value         | (192.00)            | -                   |
| <b>TOTAL LIABILITIES</b>   | <b>(6,089.10)</b>   | <b>(209.59)</b>     |
| <b>NET PORTFOLIO VALUE</b> | <b>\$432,470.75</b> | <b>\$437,800.57</b> |

### CASH FLOW

|                                   | This Statement      | Year to Date         |
|-----------------------------------|---------------------|----------------------|
| Opening Cash/Money Accounts       | \$34,011.41         | -                    |
| <b>CREDITS</b>                    |                     |                      |
| Funds Received                    | -                   | -                    |
| Electronic Transfers              | -                   | -                    |
| Other Credits                     | -                   | -                    |
| Subtotal                          | -                   | -                    |
| <b>DEBITS</b>                     |                     |                      |
| Electronic Transfers              | -                   | -                    |
| Margin Interest Charged           | -                   | -                    |
| Other Debits                      | -                   | -                    |
| Visa Purchases (debits)           | (6,132.80)          | (31,286.95)          |
| ATM/Cash Advances                 | -                   | -                    |
| Checks Written/Bill Payment       | -                   | -                    |
| Subtotal                          | (6,132.80)          | (31,286.95)          |
| <b>Net Cash Flow</b>              | <b>(\$6,132.80)</b> | <b>(\$31,286.95)</b> |
| Dividends/Interest Income         | 3,021.99            | 11,813.07            |
| Dividend Reinvestments            | (1,866.80)          | (3,665.29)           |
| Security Purchases/Debits         | (23,615.36)         | (328,161.36)         |
| Security Sales/Credits            | 38,833.26           | 349,870.24           |
| Closing Cash/Money Accounts       | \$44,251.90         | -                    |
| Securities You Transferred In/Out | 133.63              | 625.80               |

Merrill Lynch Wealth Management makes available products and services offered by Merrill Lynch, Pierce, Fenner & Smith Incorporated (MLPF&S) and other subsidiaries of Bank of America Corporation. MLPF&S is a registered broker-dealer, Member Securities Investor Protection Corporation (SIPC) and a wholly owned subsidiary of Bank of America Corporation. Investment products: ☐ Are Not FDIC Insured ☐ Are Not Bank Guaranteed ☐ May Lose Value

Trust

Account Number

24-Hour Assistance: (800) MERRILL

## YOUR TAA BANK DEPOSIT INTEREST SUMMARY

December 01, 2011 - December 30, 2011

| Money Account Description                           | Opening Balance | Average Deposit Balance | Current Yield% | Interest on Deposits | Closing Balance |
|-----------------------------------------------------|-----------------|-------------------------|----------------|----------------------|-----------------|
| FIA Card Services, N.A.<br>Bank of America RI, N.A. | 34,217<br>4     | 40,780<br>4             | .15<br>.15     | 5.02<br>0.00         | 50,145<br>4     |
| <b>TOTAL ML Bank Deposit Program</b>                | <b>34,221</b>   |                         |                | <b>5.02</b>          | <b>50,149</b>   |

## ITEMS FOR ATTENTION

| Security           | Message         | Date     | Security           | Message         | Date     |
|--------------------|-----------------|----------|--------------------|-----------------|----------|
| CALL DEF 00059.000 | Option Expiring | 01/21/12 | CALL MRO 00029.000 | Option Expiring | 01/21/12 |
| CALL MS 00017.500  | Option Expiring | 01/21/12 |                    |                 |          |

## YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

| GOVERNMENT AND AGENCY SECURITIES <sup>1</sup>  |          |               |                           |                        |                        |                        |                                |
|------------------------------------------------|----------|---------------|---------------------------|------------------------|------------------------|------------------------|--------------------------------|
| Description                                    | Acquired | Quantity      | Adjusted/Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Income Yield% |
| Δ FEDERAL HOME LOAN BANK                       | 03/11/09 | 10,000        | 10,037.79                 | 100.9370               | 10,093.70              | 55.91                  | 100.00                         |
| CALLABLE BONDS 04.000% MAR 30 2012             |          |               |                           |                        |                        |                        |                                |
| MOODY'S: AAA S&P: AA+ CUSIP: 3133X5H43         |          |               |                           |                        |                        |                        |                                |
| PAR CALL DATE: 03/30/05 PAR CALL PRICE: 100.00 |          |               |                           |                        |                        |                        |                                |
| ORIGINAL UNIT/TOTAL COST: 104,5205/10,452.05   |          |               |                           |                        |                        |                        |                                |
| <b>TOTAL</b>                                   |          | <b>10,000</b> | <b>10,037.79</b>          |                        | <b>10,093.70</b>       | <b>55.91</b>           | <b>100.00</b>                  |

| CORPORATE BONDS                             |          |              |                           |                        |                        |                        |                                |
|---------------------------------------------|----------|--------------|---------------------------|------------------------|------------------------|------------------------|--------------------------------|
| Description                                 | Acquired | Quantity     | Adjusted/Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Income Yield% |
| Δ MORGAN ST DEAN WITTER                     | 12/06/11 | 1,000        | 1,005.89                  | 100.8320               | 1,008.32               | 2.43                   | 16.32                          |
| GLB 06.600% APR 01 2012                     |          |              |                           |                        |                        |                        |                                |
| MOODY'S: A2 S&P: A- CUSIP: 617446HC6        |          |              |                           |                        |                        |                        |                                |
| ORIGINAL UNIT/TOTAL COST: 100.7320/1,007.32 |          |              |                           |                        |                        |                        |                                |
| <b>TOTAL</b>                                |          | <b>1,000</b> | <b>1,005.89</b>           |                        | <b>1,008.32</b>        | <b>2.43</b>            | <b>16.32</b>                   |

005

3062

Trust

Account Number:

# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

December 01, 2011 - December 30, 2011

| CORPORATE BONDS (continued)                                                                                                           |          |               |                           |                        |                        |                        |                  |                         |                |
|---------------------------------------------------------------------------------------------------------------------------------------|----------|---------------|---------------------------|------------------------|------------------------|------------------------|------------------|-------------------------|----------------|
| Description                                                                                                                           | Acquired | Quantity      | Adjusted/Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Accrued Interest | Estimated Annual Income | Current Yield% |
| GENERAL ELECTRIC COMPANY<br>GLB 05.000% FEB 01 2013<br>MOODY'S: A-2 S&P: A+ CUSIP: 369604AY9                                          | 10/11/07 | 15,000        | 14,916.33                 | 104.2100               | 15,631.50              | 715.17                 | 310.42           | 750                     | 4.79           |
| GOLDMAN SACHS GROUP LP<br>GLB 05.000% OCT 01 2014<br>MOODY'S: A-1 S&P: A- CUSIP: 38143UAW1                                            | 10/11/07 | 10,000        | 9,670.00                  | 102.7600               | 10,276.00              | 606.00                 | 123.61           | 500                     | 4.86           |
| WAL-MART STORES<br>04.500% JUL 01 2015<br>MOODY'S: A-2 S&P: A- CUSIP: 931142BY8<br>ORIGINAL UNIT/TOTAL COST: 103.4230/10.342.30       | 06/12/09 | 10,000        | 10,207.94                 | 111.9880               | 11,198.80              | 990.86                 | 223.75           | 450                     | 4.01           |
| CISCO SYSTEMS INC<br>GLB 04.950% FEB 15 2019<br>MOODY'S: A-1 S&P: A+ CUSIP: 17275RAE2<br>ORIGINAL UNIT/TOTAL COST: 107.4870/10.748.70 | 03/02/11 | 10,000        | 10,681.60                 | 115.9230               | 11,592.30              | 910.70                 | 185.63           | 495                     | 4.27           |
| <b>TOTAL</b>                                                                                                                          |          | <b>46,000</b> | <b>46,481.76</b>          |                        | <b>49,706.92</b>       | <b>3,225.16</b>        | <b>859.73</b>    | <b>2,261</b>            | <b>4.55</b>    |

PLEASE REFER TO NOTES BELOW FOR INFORMATION REGARDING CREDIT RATINGS.

| EQUITIES                 |        |          |          |                 |                  |                        |                        |                        |                         |
|--------------------------|--------|----------|----------|-----------------|------------------|------------------------|------------------------|------------------------|-------------------------|
| Description              | Symbol | Acquired | Quantity | Unit Cost Basis | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Income |
| ABBOTT LABS              | ABT    | 09/22/11 | 50       | 50.2034         | 2,510.17         | 56.2300                | 2,811.50               | 301.33                 | 96                      |
| AIR PRODUCTS&CHEM        | APD    | 08/11/11 | 33       | 78.6757         | 2,596.30         | 85.1900                | 2,811.27               | 214.97                 | 77                      |
| AMERICAN TOWER CORP CL A | AMT    | 11/04/11 | 28       | 57.4489         | 1,608.57         | 60.0100                | 1,680.28               | 71.71                  | 8                       |
| ANADARKO PETE CORP       | APC    | 12/05/11 | 20       | 82.0500         | 1,641.00         | 76.3300                | 1,526.60               | (114.40)               | 8                       |
| AUTOMATIC DATA PROC      | ADP    | 08/09/11 | 55       | 46.6225         | 2,564.24         | 54.0100                | 2,970.55               | 406.31                 | 87                      |

+

005

3062

Trust

Account Numbr

24-Hour Assistance: (800) MERRILL

December 01, 2011 - December 30, 2011

# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

| EQUITIES (continued)       | Symbol | Acquired | Quantity | Unit Cost Basis | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Current Yield% |
|----------------------------|--------|----------|----------|-----------------|------------------|------------------------|------------------------|------------------------|-------------------------|----------------|
| <b>BAKTER INTERNL INC</b>  | BAX    | 11/22/11 | 39       | 48.8848         | 1,906.51         | 49.4800                | 1,929.72               | 23.21                  | 53                      | 2.70           |
|                            |        | 12/05/11 | 12       | 51.9766         | 623.72           | 49.4800                | 593.76                 | (29.96)                | 17                      | 2.70           |
| <b>Subtotal</b>            |        |          | 51       |                 | 2,530.23         |                        | 2,523.48               | (6.75)                 | 70                      | 2.70           |
| <b>CAPITAL ONE FINL</b>    | COF    | 11/04/11 | 36       | 46.0000         | 1,656.00         | 42.2900                | 1,522.44               | (133.56)               | 8                       | .47            |
|                            |        | 11/17/11 | 42       | 41.4635         | 1,741.47         | 42.2900                | 1,776.18               | 34.71                  | 9                       | .47            |
| <b>Subtotal</b>            |        |          | 78       |                 | 3,397.47         |                        | 3,298.62               | (98.85)                | 17                      | .47            |
| <b>CARMAX INC</b>          | KMX    | 11/03/11 | 54       | 30.5644         | 1,650.48         | 30.4800                | 1,645.92               | (4.56)                 |                         |                |
| <b>CENTURYLINK INC SHS</b> | CTL    | 06/03/11 | 91       | 41.5358         | 3,779.76         | 37.2000                | 3,385.20               | (394.56)               | 264                     | 7.79           |
| <b>CHEVRON CORP</b>        | CWK    | 08/18/11 | 27       | 93.0596         | 2,512.61         | 106.4000               | 2,872.80               | 360.19                 | 88                      | 3.04           |
| <b>COCA COLA COM</b>       | KO     | 08/10/11 | 39       | 65.3953         | 2,550.42         | 69.9700                | 2,728.83               | 178.41                 | 74                      | 2.68           |
| <b>CSX CORP</b>            | CSX    | 10/04/11 | 134      | 18.0976         | 2,425.09         | 21.0600                | 2,822.04               | 396.95                 | 65                      | 2.27           |
| <b>DEERE CO</b>            | DE     | 03/11/11 | 19       | 85.9689         | 1,633.41         | 77.3500                | 1,469.65               | (163.76)               | 32                      | 2.12           |
|                            |        | 03/16/11 | 23       | 86.4300         | 1,987.89         | 77.3500                | 1,779.05               | (208.84)               | 38                      | 2.12           |
| <b>Subtotal</b>            |        |          | 42       |                 | 3,621.30         |                        | 3,248.70               | (372.60)               | 70                      | 2.12           |
| <b>DISCOVER FINL SVCS</b>  | DFS    | 11/04/11 | 68       | 24.1500         | 1,642.20         | 24.0000                | 1,632.00               | (10.20)                | 28                      | 1.66           |
| <b>DOVER CORP</b>          | DOW    | 09/15/11 | 37       | 52.8948         | 1,957.11         | 58.0500                | 2,147.85               | 190.74                 | 47                      | 2.17           |
|                            |        | 10/07/11 | 13       | 49.9692         | 649.60           | 58.0500                | 754.65                 | 105.05                 | 17                      | 2.17           |
| <b>Subtotal</b>            |        |          | 50       |                 | 2,606.71         |                        | 2,902.50               | 295.79                 | 64                      | 2.17           |
| <b>EATON CORP</b>          | ETN    | 11/01/11 | 58       | 45.0841         | 2,614.88         | 43.5300                | 2,524.74               | (90.14)                | 79                      | 3.12           |
| <b>EMERSON ELEC CO</b>     | EMR    | 08/10/11 | 59       | 43.1854         | 2,547.94         | 46.5900                | 2,748.81               | 200.87                 | 95                      | 3.43           |
| <b>EXXON MOBIL CORP</b>    | XOM    | 08/18/11 | 36       | 70.7983         | 2,548.74         | 84.7600                | 3,051.36               | 502.62                 | 68                      | 2.21           |
| <b>FLUOR CORP NEW DEL</b>  | FLR    | 09/16/11 | 54       | 60.7838         | 3,282.33         | 50.2500                | 2,713.50               | (568.83)               | 27                      | .99            |
| <b>FORD MOTOR CO</b>       | F      | 08/14/09 | 53       | 7.8522          | 416.17           | 10.7600                | 570.28                 | 154.11                 | 11                      | 1.85           |
|                            |        | 08/25/09 | 273      | 7.6000          | 2,074.80         | 10.7600                | 2,937.48               | 862.68                 | 55                      | 1.85           |
|                            |        | 09/18/09 | 60       | 6.9900          | 419.40           | 10.7600                | 645.60                 | 226.20                 | 12                      | 1.85           |
| <b>Subtotal</b>            |        |          | 386      |                 | 2,910.37         |                        | 4,153.36               | 1,242.99               | 78                      | 1.85           |

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# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

December 01, 2011 - December 30, 2011

| EQUITIES (continued)     |     | Symbol |          | Acquired |  | Quantity   |  | Unit            |  | Total           |  | Estimated       |  | Estimated       |  | Unrealized      |               | Estimated  |             |
|--------------------------|-----|--------|----------|----------|--|------------|--|-----------------|--|-----------------|--|-----------------|--|-----------------|--|-----------------|---------------|------------|-------------|
| Description              |     |        |          |          |  |            |  | Cost Basis      |  | Cost Basis      |  | Market Price    |  | Market Value    |  | Gain/(Loss)     | Annual Income | Current    |             |
| GENL DYNAMICS CORP COM   | COM | GD     | 09/07/11 |          |  | 43         |  | 61,5700         |  | 2,647.51        |  | 66,4100         |  | 2,855.63        |  | 208.12          |               | 81         | 2.83        |
| GOOGLE INC CL A          |     | GOOG   | 09/06/11 |          |  | 3          |  | 514,8033        |  | 1,544.41        |  | 645,9000        |  | 1,937.70        |  | 393.29          |               |            |             |
|                          |     |        | 09/07/11 |          |  | 1          |  | 533,3700        |  | 533.37          |  | 645,9000        |  | 645.90          |  | 112.53          |               |            |             |
| <b>Subtotal</b>          |     |        |          |          |  | <b>4</b>   |  | <b>2,077.78</b> |  | <b>2,077.78</b> |  | <b>2,583.60</b> |  | <b>2,583.60</b> |  | <b>505.82</b>   |               |            |             |
| HESS CORP                |     | HES    | 09/06/11 |          |  | 56         |  | 56,0267         |  | 3,137.50        |  | 56,8000         |  | 3,180.80        |  | 43.30           |               | 23         | .70         |
| HONEYWELL INTL INC DEL   |     | HON    | 10/27/11 |          |  | 24         |  | 54,0000         |  | 1,296.00        |  | 54,3500         |  | 1,304.40        |  | 8.40            |               | 36         | 2.74        |
|                          |     |        | 10/31/11 |          |  | 26         |  | 52,9150         |  | 1,375.79        |  | 54,3500         |  | 1,413.10        |  | 37.31           |               | 39         | 2.74        |
| <b>Subtotal</b>          |     |        |          |          |  | <b>50</b>  |  | <b>2,671.79</b> |  | <b>2,671.79</b> |  | <b>2,717.50</b> |  | <b>2,717.50</b> |  | <b>45.71</b>    |               | <b>75</b>  | <b>2.74</b> |
| JACOBS ENGN GRP INC DELA |     | JEC    | 12/09/10 |          |  | 26         |  | 42,2000         |  | 1,097.20        |  | 40,5800         |  | 1,055.08        |  | (42.12)         |               |            |             |
|                          |     |        | 12/10/10 |          |  | 51         |  | 42,3374         |  | 2,159.21        |  | 40,5800         |  | 2,069.58        |  | (89.63)         |               |            |             |
| <b>Subtotal</b>          |     |        |          |          |  | <b>77</b>  |  | <b>3,256.41</b> |  | <b>3,256.41</b> |  | <b>3,124.66</b> |  | <b>3,124.66</b> |  | <b>(131.75)</b> |               |            |             |
| JOHNSON AND JOHNSON COM  | COM | JNJ    | 08/10/11 |          |  | 42         |  | 61,3800         |  | 2,577.96        |  | 65,5800         |  | 2,754.36        |  | 176.40          |               | 96         | 3.47        |
| JPMORGAN CHASE & CO      |     | JPM    | 08/10/11 |          |  | 129        |  | 34,6834         |  | 4,474.17        |  | 33,2500         |  | 4,289.25        |  | (184.92)        |               | 129        | 3.00        |
|                          |     |        | 09/22/11 |          |  | 20         |  | 29,2900         |  | 585.80          |  | 33,2500         |  | 665.00          |  | 79.20           |               | 20         | 3.00        |
| <b>Subtotal</b>          |     |        |          |          |  | <b>149</b> |  | <b>5,059.97</b> |  | <b>5,059.97</b> |  | <b>4,954.25</b> |  | <b>4,954.25</b> |  | <b>(105.72)</b> |               | <b>149</b> | <b>3.00</b> |
| KIMBERLY CLARK           |     | KMB    | 08/09/11 |          |  | 40         |  | 63,4022         |  | 2,536.09        |  | 73,5600         |  | 2,942.40        |  | 406.31          |               | 112        | 3.80        |
| MARATHON OIL CORP        |     | MRO    | 11/12/10 |          |  | 88         |  | 20,2238         |  | 1,779.70        |  | 29,2700         |  | 2,575.76        |  | 796.06          |               | 53         | 2.04        |
|                          |     |        | 07/07/11 |          |  | 43         |  | 33,0400         |  | 1,420.72        |  | 29,2700         |  | 1,258.61        |  | (162.11)        |               | 26         | 2.04        |
| <b>Subtotal</b>          |     |        |          |          |  | <b>131</b> |  | <b>3,200.42</b> |  | <b>3,200.42</b> |  | <b>3,834.37</b> |  | <b>3,834.37</b> |  | <b>633.95</b>   |               | <b>79</b>  | <b>2.04</b> |
| MARATHON PETROLEUM CORP  |     | MPC    | 12/06/11 |          |  | 50         |  | 34,5102         |  | 1,725.51        |  | 33,2900         |  | 1,664.50        |  | (61.01)         |               | 50         | 3.00        |
| MCDONALDS CORP COM       | COM | MCD    | 09/22/11 |          |  | 29         |  | 85,5572         |  | 2,481.16        |  | 100,3300        |  | 2,909.57        |  | 428.41          |               | 82         | 2.79        |
| MEDTRONIC INC COM        | COM | MDT    | 08/29/11 |          |  | 57         |  | 34,4894         |  | 1,966.90        |  | 38,2500         |  | 2,180.25        |  | 214.35          |               | 56         | 2.53        |
|                          |     |        | 10/07/11 |          |  | 20         |  | 32,7270         |  | 654.54          |  | 38,2500         |  | 765.00          |  | 110.46          |               | 20         | 2.53        |
| <b>Subtotal</b>          |     |        |          |          |  | <b>77</b>  |  | <b>2,620.44</b> |  | <b>2,620.44</b> |  | <b>2,945.25</b> |  | <b>2,945.25</b> |  | <b>324.81</b>   |               | <b>76</b>  | <b>2.53</b> |
| MICROSOFT CORP           |     | MSFT   | 08/03/11 |          |  | 130        |  | 26,6138         |  | 3,459.80        |  | 25,9600         |  | 3,374.80        |  | (85.00)         |               | 104        | 3.08        |

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Account Number:

24-Hour Assistance: (800) MERRILL

# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

December 01, 2011 - December 30, 2011

| EQUITIES (continued)   | Symbol | Acquired | Quantity | Unit Cost Basis | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Current Yield% |
|------------------------|--------|----------|----------|-----------------|------------------|------------------------|------------------------|------------------------|-------------------------|----------------|
| MORGAN STANLEY         | MS     | 08/25/11 | 148      | 17.5900         | 2,603.32         | 15.1300                | 2,239.24               | (364.08)               | 30                      | 1.32           |
|                        |        | 08/26/11 | 6        | 16.5700         | 99.42            | 15.1300                | 90.78                  | (8.64)                 | 2                       | 1.32           |
| Subtotal               |        |          | 154      |                 | 2,702.74         |                        | 2,330.02               | (372.72)               | 32                      | 1.32           |
| NOBLE CORP NAME/NAKT   | NE     | 10/05/11 | 109      | 28.6710         | 3,125.14         | 30.2200                | 3,293.98               | 168.84                 | 65                      | 1.95           |
| PAYCHEX INC            | PAYX   | 08/09/11 | 98       | 26.2746         | 2,574.92         | 30.1100                | 2,950.78               | 375.86                 | 126                     | 4.25           |
| PEPSICO INC            | PEP    | 09/12/11 | 43       | 59.8286         | 2,572.63         | 66.3500                | 2,853.05               | 280.42                 | 89                      | 3.10           |
| PROCTER & GAMBLE CO    | PG     | 08/09/11 | 43       | 59.5500         | 2,560.65         | 66.7100                | 2,868.53               | 307.88                 | 91                      | 3.14           |
| QUEST DIAGNOSTICS INC  | DCX    | 09/16/11 | 67       | 49.0200         | 3,284.34         | 58.0600                | 3,890.02               | 605.68                 | 46                      | 1.17           |
| TERADATA CORP DEL      | TDC    | 09/15/11 | 38       | 51.1968         | 1,945.48         | 48.5100                | 1,843.38               | (102.10)               |                         |                |
|                        |        | 10/07/11 | 20       | 53.9160         | 1,078.32         | 48.5100                | 970.20                 | (108.12)               |                         |                |
| Subtotal               |        |          | 58       |                 | 3,023.80         |                        | 2,813.58               | (210.22)               |                         |                |
| UNITED TECHS CORP COM  | UTX    | 08/14/09 | 4        | 56.6875         | 226.75           | 73.0900                | 292.36                 | 65.61                  | 8                       | 2.62           |
|                        |        | 08/28/09 | 32       | 59.5984         | 1,907.15         | 73.0900                | 2,338.88               | 431.73                 | 62                      | 2.62           |
| Subtotal               |        |          | 36       |                 | 2,133.90         |                        | 2,631.24               | 497.34                 | 70                      | 2.62           |
| VALERO ENERGY CORP NEW | VLO    | 12/05/11 | 75       | 22.9834         | 1,723.76         | 21.0500                | 1,578.75               | (145.01)               | 45                      | 2.85           |
| WAL-MART STORES INC    | WMT    | 08/10/11 | 52       | 49.4357         | 2,570.66         | 59.7600                | 3,107.52               | 536.86                 | 76                      | 2.44           |
| TOTAL                  |        |          |          |                 | 115,265.69       |                        | 122,211.22             | 6,945.53               | 2,922                   | 2.39           |

| MUTUAL FUNDS/CLOSED END FUNDS/UIT              | Quantity | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Total Client Investment | Cumulative Investment Return (\$) | Estimated Annual Current Income | Current Yield% |
|------------------------------------------------|----------|------------------|------------------------|------------------------|------------------------|-------------------------|-----------------------------------|---------------------------------|----------------|
| AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 | 360      | 3,354.16         | 10.6600                | 3,837.60               | 483.44                 | 3,192                   | 645                               | 304                             | 7.89           |
| SYMBOL: AHIFX Initial Purchase: 05/12/09       |          |                  |                        |                        |                        |                         |                                   |                                 |                |
| Fixed Income 100%                              |          |                  |                        |                        |                        |                         |                                   |                                 |                |
| .7700 Fractional Share                         |          | 8.20             | 10.6600                | 8.21                   | .01                    |                         |                                   | 1                               | 7.89           |

|                     |     |          |         |          |        |       |       |     |      |
|---------------------|-----|----------|---------|----------|--------|-------|-------|-----|------|
| BLACKROCK INFLATION | 735 | 7,966.60 | 11.6800 | 8,584.80 | 618.20 | 7,516 | 1,068 | 327 | 3.80 |
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# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT Description | Quantity | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Total Client Investment | Cumulative Investment Return (%) | Estimated Annual Current Income Yield% |
|-----------------------------------------------|----------|------------------|------------------------|------------------------|------------------------|-------------------------|----------------------------------|----------------------------------------|
| <b>PROTECTED BD FD INST CL</b>                |          |                  |                        |                        |                        |                         |                                  |                                        |
| SYMBOL: BPRIX Initial Purchase: 08/20/09      |          |                  |                        |                        |                        |                         |                                  |                                        |
| Fixed Income 100%                             |          | 3.88             | 11.6800                | 3.87                   | (0.01)                 |                         |                                  | 1 3.80                                 |
| .3310 Fractional Share                        |          |                  |                        |                        |                        |                         |                                  |                                        |
| <b>EMERGING GLOBAL SHARES</b>                 |          |                  |                        |                        |                        |                         |                                  |                                        |
| DOW JONES                                     | 178      | 3,983.57         | 21.9800                | 3,912.44               | (71.13)                | 3,983                   | (71)                             | 22 .55                                 |
| SYMBOL: ECON Initial Purchase: 08/15/11       |          |                  |                        |                        |                        |                         |                                  |                                        |
| Equity 100%                                   |          |                  |                        |                        |                        |                         |                                  |                                        |
| <b>FIRST EAGLE</b>                            |          |                  |                        |                        |                        |                         |                                  |                                        |
| OVERSEAS CL I                                 | 858      | 17,607.77        | 20.6500                | 17,717.70              | 109.93                 | 15,695                  | 2,022                            | 388 2.18                               |
| SYMBOL: SGOIX Initial Purchase: 09/25/08      |          |                  |                        |                        |                        |                         |                                  |                                        |
| Equity 100%                                   |          |                  |                        |                        |                        |                         |                                  |                                        |
| .4870 Fractional Share                        |          | 10.01            | 20.6500                | 10.06                  | .05                    |                         |                                  | 1 2.18                                 |
| <b>GUGGENHEIM BULLETSHARES</b>                |          |                  |                        |                        |                        |                         |                                  |                                        |
| 2016 CORPORATE BOND ETF                       | 192      | 4,042.27         | 21.2600                | 4,081.92               | 39.65                  | 4,042                   | 39                               | 117 2.85                               |
| SYMBOL: BSCG Initial Purchase: 09/16/10       |          |                  |                        |                        |                        |                         |                                  |                                        |
| Fixed Income 100%                             |          |                  |                        |                        |                        |                         |                                  |                                        |
| <b>GUGGENHEIM BULLETSHARES</b>                |          |                  |                        |                        |                        |                         |                                  |                                        |
| 2014 HY CORP                                  | 151      | 3,888.25         | 25.3000                | 3,820.30               | (67.95)                | 3,888                   | (67)                             | 190 4.96                               |
| SYMBOL: BSJE Initial Purchase: 06/01/11       |          |                  |                        |                        |                        |                         |                                  |                                        |
| Fixed Income 100%                             |          |                  |                        |                        |                        |                         |                                  |                                        |
| <b>GUGGENHEIM BULLETSHARES</b>                |          |                  |                        |                        |                        |                         |                                  |                                        |
| 2015 HY CORP                                  | 185      | 4,723.05         | 25.1700                | 4,656.45               | (66.60)                | 4,723                   | (66)                             | 252 5.41                               |

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Account Number:

24-Hour Assistance: (800) MERRILL

# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT Description | (continued) Quantity       | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Total Client Investment | Cumulative Investment Return (\$) | Estimated Annual Current Income Yield% |
|-----------------------------------------------|----------------------------|------------------|------------------------|------------------------|------------------------|-------------------------|-----------------------------------|----------------------------------------|
| SYMBOL: BSIF<br>Fixed Income 100%             | Initial Purchase: 06/14/11 |                  |                        |                        |                        |                         |                                   |                                        |
| INVENCO CONVERTIBLE SECURITIES FUND CL Y      | 274                        | 5,119.83         | 18.8100                | 5,163.94               | 34.11                  | 5,119                   | 34                                | 121 2.33                               |
| SYMBOL: CNSDX<br>Fixed Income 20% Equity 80%  | Initial Purchase: 08/09/11 |                  |                        |                        |                        |                         |                                   |                                        |
| .6580 Fractional Share                        |                            | 12.30            | 18.8100                | 12.38                  | .08                    |                         |                                   | 1 2.33                                 |
| ISHARES TRUST S&P MIDCAP 400 INDEX FUND       | 179                        | 15,765.72        | 87.6100                | 15,682.19              | (83.53)                | 15,765                  | (83)                              | 200 1.27                               |
| SYMBOL: IJH<br>Equity 100%                    | Initial Purchase: 11/16/10 |                  |                        |                        |                        |                         |                                   |                                        |
| ISHARES MSCI EMERGING MKTS INDEX FUND         | 232                        | 9,055.76         | 37.9400                | 8,802.08               | (253.68)               | 9,055                   | (253)                             | 188 2.12                               |
| SYMBOL: EEM<br>Equity 100%                    | Initial Purchase: 02/11/10 |                  |                        |                        |                        |                         |                                   |                                        |
| ISHARES TR DOW JONES US                       | 113                        | 6,578.00         | 58.7600                | 6,639.88               | 61.88                  | 6,578                   | 61                                | 18 26                                  |
| SYMBOL: JHI<br>Equity 100%                    | Initial Purchase: 10/10/07 |                  |                        |                        |                        |                         |                                   |                                        |
| ISHARES BARCLAYS INTERME                      | 39                         | 4,060.75         | 107.1800               | 4,180.02               | 119.27                 | 4,060                   | 119                               | 156 3.71                               |
| SYMBOL: CIU<br>Fixed Income 100%              | Initial Purchase: 05/12/10 |                  |                        |                        |                        |                         |                                   |                                        |

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Account Number:

# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT Description                                                                                     | (continued)<br>Quantity | Total<br>Cost Basis | Estimated<br>Market Price | Estimated<br>Market Value | Unrealized<br>Gain/(Loss) | Total Client<br>Investment | Cumulative<br>Investment<br>Return (%) | Estimated<br>Annual Current<br>Income Yield% |
|-----------------------------------------------------------------------------------------------------------------------------------|-------------------------|---------------------|---------------------------|---------------------------|---------------------------|----------------------------|----------------------------------------|----------------------------------------------|
| ISHARES TR DOW JONES US<br>TECHNOLOGY SECTOR INDX F<br>SYMBOL: ITW Initial Purchase: 05/13/09<br>Equity 100%                      | 325                     | 17,503.31           | 63.9000                   | 20,767.50                 | 3,264.19                  | 17,503                     | 3,264                                  | 127 .60                                      |
| ISHARES TR RUSSELL 2000<br>INDEX FD<br>SYMBOL: IWM Initial Purchase: 12/23/11<br>Equity 100%                                      | 44                      | 3,274.92            | 73.7500                   | 3,245.00                  | (29.92)                   | 3,274                      | (29)                                   | 46 1.39                                      |
| ISHARES S&P 100 INDEX<br>FUND<br>SYMBOL: OEF Initial Purchase: 10/19/11<br>Equity 100%                                            | 232                     | 13,024.44           | 57.0300                   | 13,230.96                 | 206.52                    | 13,024                     | 206                                    | 274 2.06                                     |
| KAYNE ANDERSON MLP<br>SYMBOL: KYN Initial Purchase: 08/19/10<br>Equity 100%                                                       | 158                     | 4,207.29            | 30.3700                   | 4,798.46                  | 591.17                    | 4,207                      | 591                                    | 323 6.71                                     |
| LORD ABBETT FLOATING<br>RATE FUND CL F<br>SYMBOL: LFRFX Initial Purchase: 03/29/10<br>Fixed Income 100%<br>.5630 Fractional Share | 277                     | 2,567.41            | 9.0000                    | 2,493.00                  | (74.41)                   | 2,512                      | (19)                                   | 130 5.21                                     |
| OPPENHEIMER<br>INTERNATIONAL BOND FD Y                                                                                            | 1.166<br>1              | 7,663.90<br>N/A     | 6.2000<br>6.2000          | 7,229.20<br>6.20          | (434.70)<br>N/A           | 7,325                      | (95)                                   | 315 4.35<br>1 4.35                           |

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Trust

Account Number

24-Hour Assistance: (800) MERRILL

# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT         |     |          |         |           |            |              | (continued)  | Total       | Estimated  | Estimated   | Unrealized     | Total Client | Cumulative | Estimated |
|-------------------------------------------|-----|----------|---------|-----------|------------|--------------|--------------|-------------|------------|-------------|----------------|--------------|------------|-----------|
| Description                               |     |          |         | Quantity  | Cost Basis | Market Price | Market Value | Gain/(Loss) | Investment | Return (\$) | Annual Current | Income       | Yield%     |           |
| SYMBOL: OIBYX Initial Purchase: 11/23/07  |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| Fixed Income 100%                         |     |          |         |           | 0.99       | 6.2000       | .99          |             |            |             | 1              | 4.35         |            |           |
| .1600 Fractional Share                    |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| PENNSYLVANIA MUTUAL FD                    |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| SYMBOL: PENIXX Initial Purchase: 07/22/09 | 945 | 8,336.79 | 10.7600 | 10,168.20 | 1,831.41   | 7,947        | 2,220        | 18          | .17        |             |                |              |            |           |
| Equity 100%                               |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| .0930 Fractional Share                    |     | 0.99     | 10.7600 | 1.00      | .01        |              |              |             |            |             |                |              | .17        |           |
| PIMCO TOTAL RETURN FUND                   |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| CL P                                      | 311 | 3,456.01 | 10.8700 | 3,380.57  | (75.44)    | 3,138        | 241          | 109         | 3.20       |             |                |              |            |           |
| SYMBOL: PTPPX Initial Purchase: 05/21/10  |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| Fixed Income 100%                         |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| .3410 Fractional Share                    |     | 3.69     | 10.8700 | 3.71      | .02        |              |              | 1           | 3.20       |             |                |              |            |           |
| POWERSHARES BUILD AMERIC                  |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| BOND ETF                                  | 301 | 7,698.55 | 28.7000 | 8,638.70  | 940.15     | 7,698        | 940          | 450         | 5.20       |             |                |              |            |           |
| SYMBOL: BAB Initial Purchase: 02/12/10    |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| Fixed Income 100%                         |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| RS FLOATING RATE FUND                     |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| CL Y                                      | 380 | 3,945.32 | 9.8600  | 3,746.80  | (198.52)   | 3,894        | (147)        | 212         | 5.63       |             |                |              |            |           |
| SYMBOL: RSFYX Initial Purchase: 02/18/11  |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| Fixed Income 100%                         |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| .3250 Fractional Share                    |     | 3.16     | 9.8600  | 3.20      | .04        |              |              | 1           | 5.63       |             |                |              |            |           |
| RS LOW DURATION BOND FD                   |     |          |         |           |            |              |              |             |            |             |                |              |            |           |
| CL Y                                      | 431 | 4,404.27 | 10.2100 | 4,400.51  | (3.76)     | 4,404        | (3)          | 113         | 2.55       |             |                |              |            |           |

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Trust

Account Number:

# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT               | (continued) |                  |                        |                        |                        |                         |                                   |                                        |      |
|-------------------------------------------------|-------------|------------------|------------------------|------------------------|------------------------|-------------------------|-----------------------------------|----------------------------------------|------|
| Description                                     | Quantity    | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Total Client Investment | Cumulative Investment Return (\$) | Estimated Annual Current Income Yield% |      |
| <b>SYMBOL: RSDYX Initial Purchase: 11/16/11</b> |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| Fixed Income 100%                               |             | 5.45             | 10.2100                | 5.44                   | (0.01)                 |                         |                                   | 1                                      | 2.55 |
| .5330 Fractional Share                          |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| <b>SECTOR SPDR CONSMRS STPL</b>                 |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| SYMBOL: XLP Initial Purchase: 12/09/11          | 164         | 5,241.44         | 32.4900                | 5,328.36               | 86.92                  | 5,241                   | 86                                | 146                                    | 2.72 |
| Equity 100%                                     |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| <b>SPDR DB INTL GOV INFL</b>                    |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| SYMBOL: WIP Initial Purchase: 04/23/08          | 90          | 5,471.32         | 56.7500                | 5,107.50               | (363.82)               | 5,471                   | (363)                             | 238                                    | 4.64 |
| Fixed Income 100%                               |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| <b>SUNAMERICA SENIOR</b>                        |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| FLOATING RATE FUND CL A                         | 298         | 2,405.65         | 7.9600                 | 2,372.08               | (33.57)                | 2,372                   |                                   | 108                                    | 4.54 |
| SYMBOL: SASFX Initial Purchase: 05/24/10        |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| Fixed Income 100%                               |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| .8280 Fractional Share                          |             | 6.57             | 7.9600                 | 6.59                   | .02                    |                         |                                   | 1                                      | 4.54 |
| <b>TCW TOTAL RETURN</b>                         |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| BOND FD CL I                                    | 579         | 5,862.39         | 9.6400                 | 5,581.56               | (280.83)               | 5,663                   | (82)                              | 383                                    | 6.84 |
| SYMBOL: TGLMX Initial Purchase: 06/29/10        |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| Fixed Income 100%                               |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| .3470 Fractional Share                          |             | 3.35             | 9.6400                 | 3.35                   |                        |                         |                                   | 1                                      | 6.84 |
| <b>TEMPLETON GLBL BOND FD</b>                   |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| ADV CL                                          | 357         | 4,343.44         | 12.3700                | 4,416.09               | 72.65                  | 4,136                   | 279                               | 226                                    | 5.11 |
| SYMBOL: TGBAX Initial Purchase: 06/30/09        |             |                  |                        |                        |                        |                         |                                   |                                        |      |
| Fixed Income 100%                               |             |                  |                        |                        |                        |                         |                                   |                                        |      |

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Account Number

24-Hour Assistance: (800) MERRILL

# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT |                            | (continued) | Total        | Estimated    | Estimated   | Unrealized | Total Client | Cumulative | Estimated |
|-----------------------------------|----------------------------|-------------|--------------|--------------|-------------|------------|--------------|------------|-----------|
| Description                       | Quantity                   | Cost Basis  | Market Price | Market Value | Gain/(Loss) | Investment | Return (\$)  | Income     | Current   |
| .4620 Fractional Share            |                            | 5.66        | 12.3700      | 5.71         | .05         |            |              | 1          | 5.11      |
| TORTOISE MLP FD INC               |                            |             |              |              |             |            |              |            |           |
| SYMBOL: NTGI                      | Initial Purchase: 12/02/11 | 106         | 2,657.48     | 25,7700      | 2,731.62    | 74.14      | 2,657        | 74         | 175       |
| Equity 100%                       |                            |             |              |              |             |            |              |            | 6.40      |
| VANGUARD FINANCIALS ETF           |                            |             |              |              |             |            |              |            |           |
| SYMBOL: VFH                       | Initial Purchase: 12/02/11 | 100         | 2,751.71     | 27,6199      | 2,761.99    | 10.28      | 2,751        | 10         | 56        |
| Equity 100%                       |                            |             |              |              |             |            |              |            | 2.02      |
| Subtotal (Fixed Income)           |                            |             |              | 77,612.70    |             |            |              |            |           |
| Subtotal (Equities)               |                            |             |              | 119,930.50   |             |            |              |            |           |
| TOTAL                             |                            |             | 191,030.69   | 197,543.20   | 6,506.31    | 10,621     | 5,745        | 2,91       |           |

**Total Client Investment:** Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.

**Cumulative Investment Return:** Estimated Market Value minus Total Client Investment.

**Cumulative Investment Return:** is the dollar value of the capital appreciation (depreciation) of all shares purchased and still held, including shares acquired through reinvestment of dividends and distributions, which may be greater or less than the actual income distributed.

**Unrealized Gain or (Loss):** Estimated Market Value minus Total Cost Basis (total cost of shares directly purchased and still held, as well as cost of shares acquired through reinvestment). Provided for Tax Planning purposes only and is not applicable to retirement accounts.

**Initial Purchase:** Date of your initial investment in this fund.

**Market Timing:** Merrill Lynch's policies prohibit mutual fund market timing, which involves the purchase and sale of mutual fund shares within short periods of time with the intention of capturing short-term profits resulting from market volatility. Market timing may result in lower returns for long-term fund shareholders because market timers capture short-term gains that would otherwise pass to all shareholders and due to increased transaction costs and fewer assets for investment due to the need to retain cash to satisfy redemptions.

| ALTERNATIVE INVESTMENTS |          | Acquired | Quantity | Unit       | Total      | Estimated    | Estimated    | Unrealized  | Estimated     |
|-------------------------|----------|----------|----------|------------|------------|--------------|--------------|-------------|---------------|
| Description             |          |          |          | Cost Basis | Cost Basis | Market Price | Market Value | Gain/(Loss) | Annual Income |
| ISHARES GOLD TR         | 10/04/11 | 302      | 16.1300  | 4,871.26   | 15,2300    | 4,599.46     | (271.80)     |             |               |
| ISHARES GOLD TR         | 10/04/11 | 5        | 15.9160  | 79.58      | 15,2300    | 76.15        | (3.43)       |             |               |
| Subtotal                |          | 307      |          | 4,950.84   |            | 4,675.61     | (275.23)     |             |               |

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Account Number:

# YOUR TAA STATEMENT OF PRINCIPAL INVESTMENTS

December 01, 2011 - December 30, 2011

| ALTERNATIVE INVESTMENTS (continued) |  | Acquired | Quantity | Unit | Cost Basis | Total      | Estimated    | Estimated    | Unrealized  | Estimated     | Current |
|-------------------------------------|--|----------|----------|------|------------|------------|--------------|--------------|-------------|---------------|---------|
| Description                         |  |          |          |      |            | Cost Basis | Market Price | Market Value | Gain/(Loss) | Annual Income | Yield%  |
| <b>TOTAL</b>                        |  |          |          |      |            | 4,950.84   |              | 4,675.61     | (275.23)    |               |         |
| <b>TOTAL PRINCIPAL INVESTMENTS</b>  |  |          |          |      |            | 367,766.77 |              | 384,230.65   | 16,457.68   | 11,328        | 2.95    |

## Notes

A Debt Instruments purchased at a premium show amortization      B Debt Instruments purchased at a discount show accretion  
 Some agency securities are not backed by the full faith and credit of the United States government.  
 Total values exclude N/A items  
 For Credit Ratings: S&P and Moody's provide credit ratings on the credit quality of certain bonds and preferred stocks. For a credit enhanced security, Moody's and S&P publish and provide third party vendors the higher of the rating on the credit enhancer (guarantor) or the stand alone rating on the underlying security.

# YOUR TAA STATEMENT OF INCOME INVESTMENTS

| CASH/MONEY ACCOUNTS     |  | Quantity  | Total      | Estimated    | Estimated    | Estimated     | Estimated | Estimated | Est. Annual |
|-------------------------|--|-----------|------------|--------------|--------------|---------------|-----------|-----------|-------------|
| Description             |  |           | Cost Basis | Market Price | Market Value | Annual Income | Yield%    |           |             |
| CASH                    |  | 68.20     | 68.20      |              | 68.20        |               |           |           |             |
| ML BANK DEPOSIT PROGRAM |  | 50,149.00 | 50,149.00  | 1.0000       | 50,149.00    | 75            | .15       |           |             |
| <b>TOTAL</b>            |  |           | 50,217.20  |              | 50,217.20    | 75            | .15       |           |             |

| MUTUAL FUNDS/CLOSED END FUNDS/UIT |                            | Quantity | Total      | Estimated    | Estimated    | Unrealized  | Total Client | Cumulative            | Estimated      |
|-----------------------------------|----------------------------|----------|------------|--------------|--------------|-------------|--------------|-----------------------|----------------|
| Description                       |                            |          | Cost Basis | Market Price | Market Value | Gain/(Loss) | Investment   | Investment Return(\$) | Annual Current |
| AMER FUNDS AMERICAN HIGH          |                            | 61       | 661.78     | 10.6600      | 650.26       | (11.52)     | 8            | 641                   | 52             |
| INCOME TRUST FD CL F2             |                            |          |            |              |              |             |              |                       | 7.89           |
| SYMBOL: AHIFX                     | Initial Purchase: 05/12/09 |          |            |              |              |             |              |                       |                |
| Fixed Income 100%                 |                            |          |            |              |              |             |              |                       |                |
| BLACKROCK INFLATION               |                            | 8        | 91.66      | 11.6800      | 93.44        | 1.78        |              | 93                    | 4              |
|                                   |                            |          |            |              |              |             |              |                       | 3.80           |

Trust

Account Number:

24-Hour Assistance: (800) MERRILL

# YOUR TAA STATEMENT OF INCOME INVESTMENTS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT (continued) |                            | Total      | Estimated    | Estimated    | Unrealized  | Total Client | Cumulative             | Estimated                    |
|-----------------------------------------------|----------------------------|------------|--------------|--------------|-------------|--------------|------------------------|------------------------------|
| Description                                   | Quantity                   | Cost Basis | Market Price | Market Value | Gain/(Loss) | Investment   | Investment Return (\$) | Annual Current Income Yield% |
| PROTECTED BD FD INST CL                       |                            |            |              |              |             |              |                        |                              |
| SYMBOL: BPRIX                                 | Initial Purchase: REINV    |            |              |              |             |              |                        |                              |
| Fixed Income 100%                             |                            |            |              |              |             |              |                        |                              |
| FIRST EAGLE                                   | 29                         | 617.68     | 20.6500      | 598.85       | (18.83)     |              | 598                    | 14 2.18                      |
| OVERSEAS CL I                                 |                            |            |              |              |             |              |                        |                              |
| SYMBOL: SGOIX                                 | Initial Purchase: 12/17/10 |            |              |              |             |              |                        |                              |
| Equity 100%                                   |                            |            |              |              |             |              |                        |                              |
| LORD ABBETT FLOATING                          | 20                         | 184.32     | 9.0000       | 180.00       | (4.32)      |              | 180                    | 10 5.21                      |
| RATE FUND CL F                                |                            |            |              |              |             |              |                        |                              |
| SYMBOL: LFRFX                                 | Initial Purchase: REINV    |            |              |              |             |              |                        |                              |
| Fixed Income 100%                             |                            |            |              |              |             |              |                        |                              |
| OPPENHEIMER                                   | 78                         | 502.17     | 6.2000       | 483.60       | (18.57)     |              | 483                    | 22 4.35                      |
| INTERNATIONAL BOND FD Y                       |                            |            |              |              |             |              |                        |                              |
| SYMBOL: OIBYX                                 | Initial Purchase: REINV    |            |              |              |             |              |                        |                              |
| Fixed Income 100%                             |                            |            |              |              |             |              |                        |                              |
| PENNSYLVANIA MUTUAL FD                        | 4                          | 44.85      | 10.7600      | 43.04        | (1.81)      |              | 43                     | 1 .17                        |
| SYMBOL: PENNX                                 | Initial Purchase: REINV    |            |              |              |             |              |                        |                              |
| Equity 100%                                   |                            |            |              |              |             |              |                        |                              |
| PIMCO TOTAL RETURN FUND                       | 2                          | 22.00      | 10.8700      | 21.74        | (0.26)      |              | 21                     | 1 3.20                       |
| CL P                                          |                            |            |              |              |             |              |                        |                              |
| SYMBOL: PTPPX                                 | Initial Purchase: REINV    |            |              |              |             |              |                        |                              |
| Fixed Income 100%                             |                            |            |              |              |             |              |                        |                              |
| RS FLOATING RATE FUND                         | 12                         | 120.22     | 9.8600       | 118.32       | (1.90)      |              | 118                    | 7 5.63                       |
| CL Y                                          |                            |            |              |              |             |              |                        |                              |
| SYMBOL: RSFX                                  | Initial Purchase: REINV    |            |              |              |             |              |                        |                              |
| Fixed Income 100%                             |                            |            |              |              |             |              |                        |                              |
| SUNAMERICA SENIOR                             | 16                         | 130.21     | 7.9600       | 127.36       | (2.85)      |              | 127                    | 6 4.54                       |
| FLOATING RATE FUND CL A                       |                            |            |              |              |             |              |                        |                              |

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Trust

Account Number:

# YOUR TAA STATEMENT OF INCOME INVESTMENTS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT (continued) | Quantity | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Total Client Investment | Cumulative Investment Return (\$) | Estimated Annual Current Income Yield% |
|-----------------------------------------------|----------|------------------|------------------------|------------------------|------------------------|-------------------------|-----------------------------------|----------------------------------------|
| <b>SYMBOL: SASFX</b> Initial Purchase: REINV  |          |                  |                        |                        |                        |                         |                                   |                                        |
| Fixed Income 100%                             |          |                  |                        |                        |                        |                         |                                   |                                        |
| TCW TOTAL RETURN                              | 45       | 448.00           | 9.6400                 | 433.80                 | (14.20)                |                         | 433                               | 30 6.84                                |
| BOND FD CL I                                  |          |                  |                        |                        |                        |                         |                                   |                                        |
| <b>SYMBOL: TGLMX</b> Initial Purchase: REINV  |          |                  |                        |                        |                        |                         |                                   |                                        |
| Fixed Income 100%                             |          |                  |                        |                        |                        |                         |                                   |                                        |
| TEMPLETON GBL BOND FD                         | 38       | 497.21           | 12.3700                | 470.06                 | (27.15)                |                         | 470                               | 24 5.11                                |
| ADV CL                                        |          |                  |                        |                        |                        |                         |                                   |                                        |
| <b>SYMBOL: TGBAX</b> Initial Purchase: REINV  |          |                  |                        |                        |                        |                         |                                   |                                        |
| Fixed Income 100%                             |          |                  |                        |                        |                        |                         |                                   |                                        |
| Subtotal (Fixed Income)                       |          |                  |                        | 2,578.58               |                        |                         |                                   |                                        |
| Subtotal (Equities)                           |          |                  |                        | 641.89                 |                        |                         |                                   |                                        |
| <b>TOTAL</b>                                  |          | 3,320.10         |                        | 3,220.47               | (99.63)                |                         | 3,207                             | 171 5.31                               |
| <b>TOTAL INCOME INVESTMENTS</b>               |          | 53,537.30        |                        | 53,437.67              | (99.63)                |                         |                                   | 246 .46                                |

**Total Client Investment:** Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment. Does not apply to income investments "denoted by N/A".

**Cumulative Investment Return:** Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the dollar value of the capital appreciation (depreciation) of all shares purchased and still held, including shares acquired through reinvestment of dividends and distributions, which may be greater or less than the actual income distributed.

**Market Timing:** Merrill Lynch's policies prohibit mutual fund market timing, which involves the purchase and sale of mutual fund shares within short periods of time with the intention of capturing short-term profits resulting from market volatility. Market timing may result in lower returns for long-term fund shareholders because market timers capture short-term gains that would otherwise pass to all shareholders and due to increased transaction costs and fewer assets for investment due to the need to retain cash to satisfy redemptions.

Trust

Account Number:

24-Hour Assistance: (800) MERRILL

# YOUR TAA STATEMENT OF INCOME INVESTMENTS

December 01, 2011 - December 30, 2011

| LONG PORTFOLIO                     | Adjusted/Total<br>Cost Basis | Estimated<br>Market Value | Unrealized<br>Gain/(Loss) | Estimated<br>Accrued Interest | Estimated<br>Annual Income | Current<br>Yield% |
|------------------------------------|------------------------------|---------------------------|---------------------------|-------------------------------|----------------------------|-------------------|
| TOTAL PRINCIPAL/INCOME INVESTMENTS | 421,304.07                   | 437,668.32                | 16,358.05                 | 959.73                        | 11,574                     | 2.64              |

|       |         |           |           |                                                                                                                                                                                                                                                                                       |       |      |         |           |
|-------|---------|-----------|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|------|---------|-----------|
| Trust | Settled | 1/10/2011 | 1/13/2011 | Sale<br>MCDONALDS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                              | MCD   | -59  | 73.9457 | 4,362.73  |
| Trust | Settled | 1/12/2011 | 1/18/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PRODUCT DESCRIPTION ENCL ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                                                                                                            | IJH   | 7    | 92.339  | -646.37   |
| Trust | Settled |           | 1/21/2011 | Divd Reinv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$19.51 REINV PRICE \$13.51000 QUANTITY<br>BOT 1.4440 AS OF 01/18                                                                                                                                                       | TGBAX | 1    |         | 0         |
| Trust | Settled |           | 1/21/2011 | Journal Entry<br>TEMPLETON GBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$13.39                                                                                                                                                                                                    | TGBAX | 1    |         | 0         |
| Trust | Settled | 1/21/2011 | 1/26/2011 | Sale<br>HESS CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                                          | HES   | -69  | 79.0036 | 5,451.15  |
| Trust | Settled | 1/21/2011 | 1/26/2011 | Sale<br>VALERO ENERGY CORP NEW PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                          | VLO   | -221 | 24.1728 | 5,342.09  |
| Trust | Settled | 1/25/2011 | 1/26/2011 | Purchase<br>ASTON/OPTIMUM MID CAP FD CL I FRAC SHR QUANTITY .439 FUND SUBJECT TO RED FEE. PER THE PIA<br>AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/<br>UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE<br>PROSPECTUS | ABMX  | 21   | 32.79   | -702.98   |
| Trust | Settled | 1/25/2011 | 1/28/2011 | Purchase<br>HEWLETT PACKARD CO DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                      | HPQ   | 96   | 46.9886 | -4,510.91 |
| Trust | Settled | 1/25/2011 | 1/28/2011 | Sale<br>ISHARES TR DOW JONES US TECHNOLOGY SECTOR INDEX F PER THE PIA AGREEMENT EXECUTED<br>100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                               | IYW   | -67  | 66.7145 | 4,469.78  |

|                    |         |           |           |                                                                                                                                                                                                                                                                                       |       |    |       |         |
|--------------------|---------|-----------|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|----|-------|---------|
| Trust              | Settled | 1/28/2011 | 1/31/2011 | Purchase<br>ASTON/OPTIMUM MID CAP FD CL I FRAC SHR QUANTITY .720 FUND SUBJECT TO RED FEE. PER THE PIA<br>AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/<br>UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE<br>PROSPECTUS | ABMX  | 21 | 32.55 | -706.99 |
| Trust              | Settled |           | 1/31/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$14.97 REINV PRICE<br>\$11.47000 QUANTITY BOT 1.3050 AS OF 01/28                                                                                                                                     | AHIFX | 1  |       | 0       |
| 728-11096<br>Trust | Settled |           | 1/31/2011 | Journal Entry<br>ASTON/OPTIMUM MID CAP FD CL I FULL SHARE ACCUM SHARE VALUE \$32.71                                                                                                                                                                                                   | ABMX  | 1  |       | 0       |
| Trust              | Settled |           | 2/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$22.61 REINV PRICE \$9.94000 QUANTITY<br>BOT 2.2750 AS OF 01/31                                                                                                                                                       | TGLMX | 2  |       | 0       |
| Trust              | Settled |           | 2/1/2011  | Divd Reinv<br>BR INF PTD BD FD INST CL AGENT REINV AMOUNT \$8.92 REINV PRICE \$10.87000 QUANTITY BOT .8210<br>AS OF 01/31                                                                                                                                                             | BPRIX |    |       | 0       |
| 728-1<br>Trust     | Settled |           | 2/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$17.03 REINV PRICE \$6.46000<br>QUANTITY BOT 2.6360 AS OF 01/31                                                                                                                                                 | OIBYX | 2  |       | 0       |
| Trust              | Settled |           | 2/1/2011  | Divd Reinv<br>SUNAM SR FLT G RATE CL A AGENT REINV AMOUNT \$8.28 REINV PRICE \$8.37000 QUANTITY BOT .9890<br>AS OF 01/31                                                                                                                                                              | SASFX |    |       | 0       |
| Trust              | Settled |           | 2/1/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$10.76 REINV PRICE \$9.42000<br>QUANTITY BOT 1.1420 AS OF 01/31                                                                                                                                                 | LFRFX | 1  |       | 0       |
| Trust              | Settled |           | 2/1/2011  | Divd Reinv<br>PIMCO TOT RTN FD CL P AGENT REINV AMOUNT \$8.45 REINV PRICE \$10.85000 QUANTITY BOT .7790 AS<br>OF 01/31                                                                                                                                                                | PTTPX |    |       | 0       |

|       |         |  |           |                                                                                                                                                                                                                                     |       |     |          |           |
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| Trust | Settled |  | 2/1/2011  | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$10.85                                                                                                                                   | BPRX  | 1   |          | 0         |
| Trust | Settled |  | 2/1/2011  | Journal Entry<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A FULL SHARE ACCUM SHARE VALUE \$8.38                                                                                                                                      | SASF  | 1   |          | 0         |
| Trust | Settled |  | 2/1/2011  | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.84                                                                                                                                                  | PTPX  | 1   |          | 0         |
| Trust | Settled |  | 1/28/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PRODUCT DESCRIPTION ENCL ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                                                          | IH    | 9   | 91.7972  | -826.17   |
| Trust | Settled |  | 2/8/2011  | Purchase<br>APPLE INC PER THE PIA AGREEMENT WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                                                                                                                | AAPL  | 6   | 341.2408 | -2,047.44 |
| Trust | Settled |  | 2/8/2011  | Purchase<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON<br>REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | 90  | 40.9396  | -3,684.56 |
| Trust | Settled |  | 2/8/2011  | Purchase<br>E TRADE FINL CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                  | ETFC  | 215 | 16.9827  | -3,651.28 |
| Trust | Settled |  | 2/8/2011  | Purchase<br>KIMBERLY CLARK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                            | KMB   | 57  | 64.6912  | -3,687.40 |
| Trust | Settled |  | 2/8/2011  | Purchase<br>METLIFE INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                           | MET   | 100 | 46.3493  | -4,634.93 |

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|       |         |           |           | Sale<br>MCKESSON CORPORATION COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                    |            |      |         |           |  |
| Trust | Settled | 2/3/2011  | 2/8/2011  |                                                                                                                                                                                                                                                                                   | MCK        | -67  | 76.3443 | 5,114.97  |  |
|       |         |           |           | Purchase<br>NEXTERA ENERGY INC SHS PER THE PIA AGREEMENT ML ACTED AS AGENT                                                                                                                                                                                                        |            |      |         |           |  |
| Trust | Settled | 2/3/2011  | 2/8/2011  |                                                                                                                                                                                                                                                                                   | NEE        | 80   | 54.7173 | -4,377.38 |  |
|       |         |           |           | Sale<br>SECTOR SPDR UTILITIES PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                       |            |      |         |           |  |
| Trust | Settled | 2/3/2011  | 2/8/2011  |                                                                                                                                                                                                                                                                                   | XLU        | -365 | 31.7421 | 11,585.65 |  |
|       |         |           |           | Purchase<br>STANDARD&POORS DEEP RCPT ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML<br>ACTED ARE AVAILABLE UPON REQUEST.                                                                                                                                                |            |      |         |           |  |
| Trust | Settled | 2/3/2011  | 2/8/2011  |                                                                                                                                                                                                                                                                                   | SPY        | 65   | 130.3   | -8,469.50 |  |
|       |         |           |           | Sale<br>CISCO SYSTEMS INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                                                                |            |      |         |           |  |
| Trust | Settled | 2/4/2011  | 2/8/2011  |                                                                                                                                                                                                                                                                                   | CSCO       | -218 | 21.9186 | 4,778.38  |  |
|       |         |           |           | Sale<br>TEVA PHARMACTCL INDS ADR PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                                                             |            |      |         |           |  |
| Trust | Settled | 2/9/2011  | 2/14/2011 |                                                                                                                                                                                                                                                                                   | TEVA       | -74  | 51.8873 | 3,839.59  |  |
|       |         |           |           | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$19.48 REINV PRICE \$13.50000 QUANTITY<br>BOT 1.4430 AS OF 02/15                                                                                                                                                  |            |      |         |           |  |
| Trust | Settled |           | 2/18/2011 |                                                                                                                                                                                                                                                                                   | TGBAX      | 1    |         | 0         |  |
|       |         |           |           | Purchase<br>RS FLOATING RATE FUND CL Y FRAC SHR QUANTITY 481 FUND SUBJECT TO RED FEE. PER THE PIA<br>AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/<br>UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE<br>PROSPECTUS |            |      |         |           |  |
| Trust | Settled | 2/18/2011 | 2/22/2011 |                                                                                                                                                                                                                                                                                   | RSFTX      | 255  | 10.4    | -2,657.00 |  |
|       |         |           |           | Redeemed<br>CISCO SYSTEMS INC GLB 05.250% FEB 22 2011 GLB 05.250% FEB 22 2011 PAY DATE 02/22/2011                                                                                                                                                                                 |            |      |         |           |  |
| Trust | Settled |           | 2/22/2011 |                                                                                                                                                                                                                                                                                   | CSCO1##### |      |         | 10,000.00 |  |

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| Trust | Settled | 2/18/2011 | 2/24/2011 | Sale<br>HONEYWELL INTL INC DEL PER THE PLA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | HON   | -88 | 57.9197 | 5,096.83 |
| Trust | Settled |           | 3/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL 1 AGENT REINV AMOUNT \$22.74 REINV PRICE \$9.94000 QUANTITY<br>BOT 2.2880 AS OF 02/28                                                              | TGLMX | 2   |         | 0        |
| Trust | Settled |           | 3/1/2011  | Divd Reinv<br>RS FLOATING RATE FD CL Y AGENT REINV AMOUNT \$2.19 REINV PRICE \$10.38000 QUANTITY BOT .2110<br>AS OF 02/28                                                                    | RSFYX |     |         | 0        |
| Trust | Settled |           | 3/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$17.07 REINV PRICE<br>\$10.96000 QUANTITY BOT 1.5570 AS OF 02/28                                               | BPRIX | 1   |         | 0        |
| Trust | Settled |           | 3/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$16.05 REINV PRICE \$6.48000<br>QUANTITY BOT 2.4770 AS OF 02/28                                                        | OIBYX | 2   |         | 0        |
| Trust | Settled |           | 3/1/2011  | Divd Reinv<br>SUNAM SR FLT G RATE CL A AGENT REINV AMOUNT \$7.84 REINV PRICE \$8.41000 QUANTITY BOT .9320<br>AS OF 02/28                                                                     | SASFX |     |         | 0        |
| Trust | Settled |           | 3/1/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$10.76 REINV PRICE \$9.41000<br>QUANTITY BOT 1.1430 AS OF 02/28                                                        | LFREX | 1   |         | 0        |
| Trust | Settled |           | 3/1/2011  | Divd Reinv<br>PIMCO TOT RTN FD CL P AGENT REINV AMOUNT \$8.80 REINV PRICE \$10.88000 QUANTITY BOT .8080 AS<br>OF 02/28                                                                       | PTTPX |     |         | 0        |
| Trust | Settled |           | 3/1/2011  | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$29.12 REINV PRICE<br>\$11.55000 QUANTITY BOT 2.5210 AS OF 02/28                                            | AHIFX | 2   |         | 0        |

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| Trust | Settled |  | 3/1/2011  | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$10.99                                                                                                                           | BPRIX  | 1      |         | 0          |
| Trust | Settled |  | 3/1/2011  | Journal Entry<br>OPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.47                                                                                                                                     | OIBYX  | 1      |         | 0          |
| Trust | Settled |  | 3/1/2011  | Journal Entry<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A FULL SHARE ACCUM SHARE VALUE \$8.41                                                                                                                              | SASFX  | 1      |         | 0          |
| Trust | Settled |  | 3/1/2011  | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.88                                                                                                                                          | PTTPX  | 1      |         | 0          |
| Trust | Settled |  | 3/1/2011  | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$11.55                                                                                                                        | AHIFX  | 1      |         | 0          |
| Trust | Settled |  | 2/25/2011 | Purchase<br>SALESFORCE COM INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                | CRM    | 26     | 142,324 | -3,700.42  |
| Trust | Settled |  | 3/2/2011  | Purchase<br>CISCO SYSTEMS INC GLB 04.950% FEB 16 2018 RATINGS ARE SUBJ. TO CHG PER THE PIA AGREEMENT<br>MOODY'S A1 S&P A+ DETAILS UPON REQUEST YLD TO MATURITY 3.84% MATURITY DATE 2/15/19. 22<br>DAYS INTEREST             | CSC016 | 10,000 | 107,487 | -10,778.95 |
| Trust | Settled |  | 3/6/2011  | Purchase<br>LINCOLN NTL CORP IND NPV PER THE PIA AGREEMENT EXECUTED 100% AGENCY EXECUTED ON<br>MULTIPLE MAR ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT | LNC    | 72     | 30,6635 | -2,207.77  |
| Trust | Settled |  | 3/3/2011  | Sale<br>QUEST DIAGNOSTICS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                 | DGX    | -85    | 56,136  | 4,771.47   |

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| Trust | Settled | 3/11/2011 | 3/16/2011 | Purchase<br>DEERE CO PER THE PIA AGREEMENT ML ACTED AS AGENT                                                                                                                                                                        | DE    | 26   | 85.969   | -2,235.19 |
| Trust | Settled | 3/14/2011 | 3/17/2011 | Sale<br>COCA COLA COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 | KO    | -78  | 63.5836  | 4,959.42  |
| Trust | Settled | 3/15/2011 | 3/18/2011 | Purchase<br>APPLE INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY EXECUTED ON MULTIPLE MAR ACTUAL<br>PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.<br>WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | AAPL  | 7    | 342.2632 | -2,395.84 |
| Trust | Settled | 3/15/2011 | 3/18/2011 | Sale<br>WALGREEN CO PER THE PIA AGREEMENT ML ACTED AS AGENT                                                                                                                                                                         | WAG   | -42  | 40.84    | 1,715.25  |
| Trust | Settled | 3/18/2011 | 3/18/2011 | Divd Retrv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$19.67 REINV PRICE \$13.37000 QUANTITY<br>BOT 1.4710 AS OF 03/15                                                                                                     | TGBAX | 1    |          | 0         |
| Trust | Settled |           | 3/18/2011 | Journal Entry<br>TEMPLETON GBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$13.41                                                                                                                                                  | TGBAX | 1    |          | 0         |
| Trust | Settled | 3/16/2011 | 3/21/2011 | Purchase<br>DEERE CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND<br>THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                     | DE    | 23   | 86.43    | -1,987.89 |
| Trust | Settled | 3/16/2011 | 3/21/2011 | Purchase<br>LINCOLN NTL CORP IND NPV PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                  | LNC   | 76   | 28.6016  | -2,173.72 |
| Trust | Settled | 3/21/2011 | 3/24/2011 | Sale<br>KAYNE ANDERSON MLP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                            | KYN   | -119 | 31.5162  | 3,750.36  |

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| Trust | Settled |  | 3/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$29.27 REINV PRICE<br>\$11.50000 QUANTITY BOT 2.5450 AS OF 03/28 | AHIFX   | 2     |           | 0        |
| Trust | Settled |  | 4/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$22.86 REINV PRICE \$9.90000 QUANTITY<br>BOT 2.3090 AS OF 03/31                   | TGLMX   | 2     |           | 0        |
| Trust | Settled |  | 4/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$11.26 REINV PRICE \$10.35000 QUANTITY BOT<br>1.0880 AS OF 03/31                     | RSFYX   | 1     |           | 0        |
| Trust | Settled |  | 4/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$38.60 REINV PRICE<br>\$11.03000 QUANTITY BOT 3.5000 AS OF 03/31    | BPRIX   | 3     |           | 0        |
| Trust | Settled |  | 4/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$17.17 REINV PRICE \$8.55000<br>QUANTITY BOT 2.6210 AS OF 03/31             | OIBYX   | 2     |           | 0        |
| Trust | Settled |  | 4/1/2011  | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$9.04 REINV PRICE \$8.38000<br>QUANTITY BOT 1.0790 AS OF 03/31        | SASFX   | 1     |           | 0        |
| Trust | Settled |  | 4/1/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$10.99 REINV PRICE \$9.36000<br>QUANTITY BOT 1.1720 AS OF 03/31             | LFREX   | 1     |           | 0        |
| Trust | Settled |  | 4/1/2011  | Divd Reinv<br>PIMCO TOT RTN FD CL P AGENT REINV AMOUNT \$9.13 REINV PRICE \$10.88000 QUANTITY BOT .8390 AS<br>OF 03/31                            | PTTPX   |       |           | 0        |
| Trust | Settled |  | 4/1/2011  | Sale<br>U.S. TREASURY NOTE 3.250% MAY 31 2016 PER THE PIA AGREEMENT YLD TO MATURITY 2.32%<br>MATURITY DATE 5/31/16. 125 DAYS INTEREST             | 9128284 | 4.000 | 104.45313 | 4,222.77 |

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| Trust | Settled | 4/1/2011  | 4/4/2011  | Purchase<br>TCW TOTAL RETURN BOND FD CL I FRAC SHR QUANTITY .456 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS       | TGLMX | 174 | 9.9      | -1,727.11 |
| Trust | Settled | 4/1/2011  | 4/4/2011  | Purchase<br>RS FLOATING RATE FUND CL Y FRAC SHR QUANTITY .501 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS          | RSFYX | 120 | 10.36    | -1,248.39 |
| Trust | Settled | 4/1/2011  | 4/4/2011  | Purchase<br>OPPENHEIMER INTERNATIONAL BOND FD Y FRAC SHR QUANTITY .340 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | OIBYX | 419 | 6.56     | -2,750.87 |
| Trust | Settled |           | 4/4/2011  | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.91                                                                                                                                                                                                 | TGLMX | 1   |          | 0         |
| Trust | Settled |           | 4/4/2011  | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$10.36                                                                                                                                                                                                   | RSFYX | 1   |          | 0         |
| Trust | Settled |           | 4/4/2011  | Journal Entry<br>OPPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.57                                                                                                                                                                                           | OIBYX | 1   |          | 0         |
| Trust | Settled |           | 4/20/2011 | Divd Reinv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$19.71 REINV PRICE \$13.85000 QUANTITY BOT 1.4230 AS OF 04/15                                                                                                                                                       | TGBAX | 1   |          | 0         |
| Trust | Settled | 4/18/2011 | 4/21/2011 | Purchase<br>JOHNSON CONTROLS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                           | JCI   | 57  | 38.2748  | -2,181.66 |
| Trust | Settled | 4/20/2011 | 4/26/2011 | Purchase<br>SALESFORCE COM INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                             | CRM   | 6   | 141.2971 | -847.78   |

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| Trust | Settled |  | 4/28/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$29.54 REINV PRICE<br>\$11.59000 QUANTITY BOT 2.5490 AS OF 04/28 | AHIFX | 2 |  | 0 |
| Trust | Settled |  | 4/28/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$11.60                                              | AHIFX | 1 |  | 0 |
| Trust | Settled |  | 5/2/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$32.58 REINV PRICE \$9.94000 QUANTITY<br>BOT 3.2780 AS OF 04/29                   | TGLMX | 3 |  | 0 |
| Trust | Settled |  | 5/2/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$15.50 REINV PRICE \$10.39000 QUANTITY BOT<br>1.4920 AS OF 04/29                     | RSFYX | 1 |  | 0 |
| Trust | Settled |  | 5/2/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$37.78 REINV PRICE<br>\$11.20000 QUANTITY BOT 3.3730 AS OF 04/29    | BPRUX | 3 |  | 0 |
| Trust | Settled |  | 5/2/2011  | Divd Reinv<br>OPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$26.39 REINV PRICE \$6.80000<br>QUANTITY BOT 3.8810 AS OF 04/29              | OIBYX | 3 |  | 0 |
| Trust | Settled |  | 5/2/2011  | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$9.19 REINV PRICE \$8.39000<br>QUANTITY BOT 1.0950 AS OF 04/29        | SASFX | 1 |  | 0 |
| Trust | Settled |  | 5/2/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$9.72 REINV PRICE \$9.40000<br>QUANTITY BOT 1.0340 AS OF 04/29              | LFRFX | 1 |  | 0 |
| Trust | Settled |  | 5/2/2011  | Divd Reinv<br>PIMCO TOT RTN FD CL P AGENT REINV AMOUNT \$9.24 REINV PRICE \$11.03000 QUANTITY BOT 8.380 AS<br>OF 04/28                            | PTTPX |   |  | 0 |

|       |         |  |           |                                                                                                                                                                                               |       |     |         |           |
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| Trust | Settled |  | 5/2/2011  | Journal Entry<br>OPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.80                                                                                                       | OIBYX | 1   |         | 0         |
| Trust | Settled |  | 5/2/2011  | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$11.03                                                                                                            | PTTPX | 1   |         | 0         |
| Trust | Settled |  | 5/3/2011  | Purchase<br>KAYNE ANDERSON MLP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT     | KYN   | 7   | 30.4799 | -213.36   |
| Trust | Settled |  | 5/3/2011  | Purchase<br>HEWLETT PACKARD CO DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | HPQ   | 15  | 39.91   | -598.65   |
| Trust | Settled |  | 5/10/2011 | Sale<br>MARATHON OIL CORP PER THE PIA AGREEMENT ML ACTED AS AGENT                                                                                                                             | MRO   | -40 | 49.4719 | 1,978.84  |
| Trust | Settled |  | 5/19/2011 | Divd Reinv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$19.86 REINV PRICE \$13.75000 QUANTITY BOT 1.4440 AS OF 05/16                                                                  | TGBAX | 1   |         | 0         |
| Trust | Settled |  | 5/19/2011 | Journal Entry<br>TEMPLETON GBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$13.86                                                                                                            | TGBAX | 1   |         | 0         |
| Trust | Settled |  | 5/20/2011 | Purchase<br>JOHNSON CONTROLS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT   | JCI   | 57  | 38.1392 | -2,173.93 |
| Trust | Settled |  | 5/26/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$28.79 REINV PRICE \$11.55000 QUANTITY BOT 2.4930 AS OF 05/25                                                | AHIFX | 2   |         | 0         |

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| Trust | Settled |          | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$32.76 REINV PRICE \$9.97000 QUANTITY<br>BOT 3.2880 AS OF 05/31                | TGLMX | 3 |  | 0 |
| Trust | Settled |          | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$16.96 REINV PRICE \$10.36000 QUANTITY BOT<br>1.6370 AS OF 05/31                  | RSFYX | 1 |  | 0 |
| Trust | Settled |          | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$69.91 REINV PRICE<br>\$11.11000 QUANTITY BOT 6.2930 AS OF 05/31 | BPRIX | 6 |  | 0 |
| Trust | Settled |          | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$26.20 REINV PRICE \$6.72000<br>QUANTITY BOT 3.8990 AS OF 05/31          | OIBYX | 3 |  | 0 |
| Trust | Settled |          | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$8.92 REINV PRICE \$8.36000<br>QUANTITY BOT 1.0670 AS OF 05/31     | SASFX | 1 |  | 0 |
| Trust | Settled |          | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$12.06 REINV PRICE \$9.36000<br>QUANTITY BOT 1.2880 AS OF 05/31          | LFNFX | 1 |  | 0 |
| Trust | Settled |          | Divd Reinv<br>PIMCO TOT RTN FD CL P AGENT REINV AMOUNT \$9.33 REINV PRICE \$11.06000 QUANTITY BOT 8.440 AS<br>OF 05/31                         | PTTPX |   |  | 0 |
| Trust | Settled |          | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$10.36                                                               | RSFYX | 1 |  | 0 |
| Trust | Settled | 6/1/2011 | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$11.15                                              | BPRIX | 1 |  | 0 |

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| Trust | Settled |  | 6/1/2011 | Journal Entry<br>OPPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.71                                                                                                       | OIBYX | 1    |          | 0         |
| Trust | Settled |  | 6/1/2011 | Journal Entry<br>LORD ABBETT FLOATING RATE FUND CL F FULL SHARE ACCUM SHARE VALUE \$9.36                                                                                                       | LFREX | 1    |          | 0         |
| Trust | Settled |  | 6/1/2011 | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$11.06                                                                                                             | PTTPX | 1    |          | 0         |
| Trust | Settled |  | 6/1/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PRODUCT DESCRIPTION ENCL ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                     | LH    | 24   | 97.5521  | -2,341.25 |
| Trust | Settled |  | 6/6/2011 | Purchase<br>GUGGENHEIM BULLETSHARES 2014 H Y CORP ACTUAL PRICES, REMUNERATION AND THE CAPACITY<br>IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                                                | BSJE  | 151  | 25.75    | -3,888.25 |
| Trust | Settled |  | 6/3/2011 | Purchase<br>APACHE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT             | APA   | 35   | 119.7386 | -4,190.85 |
| Trust | Settled |  | 6/3/2011 | Purchase<br>CENTURYLINK INC SHS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT  | CTL   | 103  | 41.5358  | -4,278.19 |
| Trust | Settled |  | 6/3/2011 | Sale<br>CORNING INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                 | GLW   | -236 | 19.1014  | 4,507.84  |
| Trust | Settled |  | 6/3/2011 | Purchase<br>GOODYEAR TIRE RUBBER PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | GT    | 260  | 16.6302  | -4,323.85 |

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| Trust | Settled | 6/3/2011  | 6/8/2011  | Sale<br>HEWLETT PACKARD CO DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                             | HPQ   | -111 | 36.29    | 4,028.11  |
| Trust | Settled | 6/3/2011  | 6/8/2011  | Sale<br>KIMBERLY CLARK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                     | KMB   | -57  | 65.9427  | 3,758.66  |
| Trust | Settled | 6/3/2011  | 6/8/2011  | Sale<br>NEXTERA ENERGY INC SHS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                             | NEE   | -80  | 54.772   | 4,381.68  |
| Trust | Settled | 6/3/2011  | 6/8/2011  | Sale<br>SALESFORCE COM INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                 | CRM   | -32  | 145.7953 | 4,665.36  |
| Trust | Settled | 6/3/2011  | 6/8/2011  | Purchase<br>WESTN DIGITAL CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                         | WDC   | 122  | 35.31    | -4,307.82 |
| Trust | Settled | 6/10/2011 | 6/15/2011 | Sale<br>ISHARES IBOX\$ HIGH YEL CORPORATE BOND FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                        | HYG   | -46  | 89.78    | 4,129.80  |
| Trust | Settled | 6/14/2011 | 6/17/2011 | Purchase<br>GUGGENHEIM BULLETSHARES 2015 H Y CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | BSJF  | 185  | 25.53    | -4,723.05 |
| Trust | Settled | 6/15/2011 | 6/20/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                  | IJH   | 17   | 93.4999  | -1,589.50 |
| Trust | Settled |           | 6/20/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$19.90 REINV PRICE \$13.79000 QUANTITY BOT 1.4430 AS OF 06/15                                                                                                                         | TGBAX | 1    |          | 0         |

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| Trust | Settled |  | 6/24/2011 | Divd Reinv<br>RS FLOATING RATE FD CL Y AGENT REINV AMOUNT \$.04 REINV PRICE \$10.26000 QUANTITY BOT .0040<br>AS OF 06/22                                                                                       | RSFYX |      |         | 0        |
| Trust | Settled |  | 6/24/2011 | Divd Reinv<br>RS FLOATING RATE FD CL Y AGENT REINV AMOUNT \$4.53 REINV PRICE \$10.26000 QUANTITY BOT .4420<br>AS OF 06/22                                                                                      | RSFYX |      |         | 0        |
| Trust | Settled |  | 6/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$28.81 REINV PRICE<br>\$11.33000 QUANTITY BOT 2.5430 AS OF 06/28                                                              | AHIFX | 2    |         | 0        |
| Trust | Settled |  | 6/29/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$11.36                                                                                                           | AHIFX | 1    |         | 0        |
| Trust | Settled |  | 7/1/2011  | Sale<br>E TRADE FINL CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT | ETFC  | -215 | 13.4722 | 2.896.46 |
| Trust | Settled |  | 7/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$32.94 REINV PRICE \$9.86000 QUANTITY<br>BOT 3.3410 AS OF 06/30                                                                                | TGLMX | 3    |         | 0        |
| Trust | Settled |  | 7/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$16.77 REINV PRICE \$10.27000 QUANTITY BOT<br>1.6330 AS OF 06/30                                                                                  | RSFYX | 1    |         | 0        |
| Trust | Settled |  | 7/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$50.95 REINV PRICE<br>\$11.11000 QUANTITY BOT 4.5880 AS OF 06/30                                                                 | BPRIX | 4    |         | 0        |
| Trust | Settled |  | 7/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$26.79 REINV PRICE \$6.74000<br>QUANTITY BOT 3.9750 AS OF 06/30                                                                          | OIBYX | 3    |         | 0        |

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| Trust | Settled |          | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$9.03 REINV PRICE \$8.30000<br>QUANTITY BOT 1.0860 AS OF 06/30 | SASFX | 1  |  | 0 |
| Trust | Settled |          | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$11.27 REINV PRICE \$9.30000<br>QUANTITY BOT 1.2120 AS OF 06/30      | LFRFX | 1  |  | 0 |
| Trust | Settled |          | Divd Reinv<br>PIMCO TOT RTN FD CL P AGENT REINV AMOUNT \$8.92 REINV PRICE \$10.99000 QUANTITY BOT .8120 AS<br>OF 06/30                     | PTFPX |    |  | 0 |
| Trust | Settled | 7/1/2011 | Journal Entry<br>ICW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.86                                                         | TGLMX | 1  |  | 0 |
| Trust | Settled | 7/1/2011 | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$10.28                                                           | RSFYX | 1  |  | 0 |
| Trust | Settled | 7/1/2011 | Journal Entry<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A FULL SHARE ACCUM SHARE VALUE \$8.30                                             | SASFX | 1  |  | 0 |
| Trust | Settled | 7/1/2011 | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$11.00                                                         | PTFPX | 1  |  | 0 |
| Trust | Settled | 7/5/2011 | DUBB<br>MARATHON PETROLEUM CORP                                                                                                            | MPC   | 44 |  | 0 |
| Trust | Settled | 7/7/2011 | Stock Dividend<br>MARATHON PETROLEUM CORP HOLDING 88,0000 PAID BY MARATHON OIL CORP PAY DATE 07/07/2011                                    | MPC   | 44 |  | 0 |

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| Trust | Settled |  | 7/7/2011  | DUBB<br>MARATHON PETROLEUM CORP                                                                                                                                                                        |  | MPC  | -44  |          | 0         |
| Trust | Settled |  | 7/6/2011  | Sale<br>ANADARKO PETE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT               |  | APC  | -66  | 78.5     | 5,180.90  |
| Trust | Settled |  | 7/11/2011 | Sale<br>APACHE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                         |  | APA  | -35  | 123.5    | 4,322.42  |
| Trust | Settled |  | 7/6/2011  | Sale<br>APPLE INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND<br>THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML<br>ACTED AS AGENT |  | AAPL | -13  | 348.4501 | 4,529.76  |
| Trust | Settled |  | 7/11/2011 | Purchase<br>EMC CORPORATION MASS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT         |  | EMC  | 155  | 27.7491  | -4,301.11 |
| Trust | Settled |  | 7/6/2011  | Purchase<br>JABIL CIRCUIT INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT            |  | JBL  | 208  | 20.9113  | -4,349.55 |
| Trust | Settled |  | 7/11/2011 | Purchase<br>RANGE RESOURCES CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     |  | RRC  | 75   | 57.0542  | -4,279.07 |
| Trust | Settled |  | 7/7/2011  | Purchase<br>MARATHON OIL CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT            |  | MRO  | 43   | 33.04    | -1,420.72 |
| Trust | Settled |  | 7/13/2011 | Sale<br>ISHARES S&P 500 VALUE INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL<br>PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.<br>ML ACTED AS AGENT |  | IVE  | -193 | 62.4043  | 12,043.80 |

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| Trust | Settled | 7/8/2011  | 7/13/2011 | Sale<br>MARATHON PETROLEUM CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                           | MPC   | -44 | 41.25     | 1,814.97  |
| Trust | Settled | 7/8/2011  | 7/13/2011 | Sale<br>WAL-MART STORES INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                               | WMT   | -78 | 54.2315   | 4,229.98  |
| Trust | Settled | 7/11/2011 | 7/14/2011 | Purchase<br>GENUINE PARTS CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                              | GPC   | 76  | 56.7876   | -4,316.62 |
| Trust | Settled | 7/14/2011 | 7/19/2011 | Purchase<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT             | SLF   | 362 | 15.0997   | -5,466.09 |
| Trust | Settled | 7/15/2011 | 7/20/2011 | Sale<br>15 SHARES BARCLAYS AGGRGT AGGREGATE BD FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                       | AGG   | -67 | 107.44    | 7,198.34  |
| Trust | Settled | 7/15/2011 | 7/20/2011 | Purchase<br>POWERSHARES BUILD AMERIC BOND ETF PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | BAB   | 112 | 26.551283 | -2,973.74 |
| Trust | Settled | 7/20/2011 | 7/20/2011 | Divd Reinv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$20.01 REINV PRICE \$13.84000 QUANTITY BOT 1,4460 AS OF 07/15                                                                                                                      | TGBAX | 1   |           | 0         |
| Trust | Settled | 7/20/2011 | 7/20/2011 | Journal Entry<br>TEMPLETON GBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$13.89                                                                                                                                                                | TGBAX | 1   |           | 0         |
| Trust | Settled | 7/29/2011 | 7/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$29.45 REINV PRICE \$11.41000 QUANTITY BOT 2.5810 AS OF 07/28                                                                                                    | AHIFX | 2   |           | 0         |

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| Trust | Settled | 7/27/2011 | 8/1/2011 | Purchase<br>KAYNE ANDERSON MLP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | KVN   | 41 | 27.7493 | -1,137.72 |
| Trust | Settled |           | 8/1/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$33.13 REINV PRICE \$9.80000 QUANTITY<br>BOT 3.3480 AS OF 07/29                                                              | TGLMX | 3  |         | 0         |
| Trust | Settled |           | 8/1/2011 | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$18.39 REINV PRICE \$10.26000 QUANTITY BOT<br>1.7920 AS OF 07/29                                                                | RSPFX | 1  |         | 0         |
| Trust | Settled |           | 8/1/2011 | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$41.38 REINV PRICE<br>\$11.45000 QUANTITY BOT 3.6140 AS OF 07/29                                               | BPRIX | 3  |         | 0         |
| Trust | Settled |           | 8/1/2011 | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$27.78 REINV PRICE \$6.80000<br>QUANTITY BOT 4.0850 AS OF 07/29                                                        | OIBYX | 4  |         | 0         |
| Trust | Settled |           | 8/1/2011 | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$8.77 REINV PRICE \$8.28000<br>QUANTITY BOT 1.0590 AS OF 07/29                                                   | SASFX | 1  |         | 0         |
| Trust | Settled |           | 8/1/2011 | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$10.85 REINV PRICE \$9.29000<br>QUANTITY BOT 1.1680 AS OF 07/29                                                        | LFRFX | 1  |         | 0         |
| Trust | Settled |           | 8/1/2011 | Divd Reinv<br>PIMCO TOT RTN FD CL P AGENT REINV AMOUNT \$8.42 REINV PRICE \$11.10000 QUANTITY BOT .7590 AS<br>OF 07/29                                                                       | PTTPX |    |         | 0         |
| Trust | Settled |           | 8/1/2011 | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$10.26                                                                                                             | RSPFX | 1  |         | 0         |

|       |         |  |           |                                                                                                                                                                                                                                         |       |      |          |           |
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| Trust | Settled |  | 8/1/2011  | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$11.48                                                                                                                                       | BPIX  | 1    |          | 0         |
| Trust | Settled |  | 8/1/2011  | Journal Entry<br>OPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.80                                                                                                                                                 | OIBYX | 1    |          | 0         |
| Trust | Settled |  | 8/1/2011  | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$11.12                                                                                                                                                      | PTTFX | 1    |          | 0         |
| Trust | Settled |  | 7/29/2011 | Purchase<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | SPY   | 39   | 128.144  | -5,036.62 |
| Trust | Settled |  | 8/2/2011  | Purchase<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | SPY   | 23   | 126.8975 | -2,914.04 |
| Trust | Settled |  | 8/3/2011  | Purchase<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                           | AMZN  | 10   | 211.1333 | -2,111.33 |
| Trust | Settled |  | 8/3/2011  | Sale<br>FEDERATED INVESTRS B PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                    | FII   | -177 | 20.8973  | 3,663.35  |
| Trust | Settled |  | 8/3/2011  | Purchase<br>FIFTH THIRD BANCORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                          | FTB   | 345  | 11.8647  | -4,093.32 |
| Trust | Settled |  | 8/3/2011  | Purchase<br>MICROSOFT CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                               | MSFT  | 165  | 26.6139  | -4,125.15 |

|       |         |          |           |                                                                                                                                                                                                                                                                                         |       |      |         |           |
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| Trust | Settled | 8/8/2011 | 8/9/2011  | Sale<br>ASTON/FAIRPOINTE MID CAP FD CL I FRAC SHR QUANTITY .392 PER THE PIA AGREEMENT THIS SALE CONSTITUTES A REDEMPTION.                                                                                                                                                               | ABMX  | -219 | 25.9    | 5,882.25  |
| Trust | Settled | 8/9/2011 | 8/10/2011 | Purchase<br>FIRST EAGLE OVERSEAS CL I FRAC SHR QUANTITY .284 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS                | SGOIX | 152  | 22.88   | -3,453.80 |
| Trust | Settled | 8/9/2011 | 8/10/2011 | Purchase<br>INVESCO CONVERTIBLE SECURITIES FUND CL Y FRAC SHR QUANTITY .658 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | CNSDX | 274  | 18.69   | -5,133.36 |
| Trust | Settled | 8/8/2011 | 8/11/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT DESCRIPTION ENCL. ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                   | IJH   | 37   | 81.7991 | -3,028.57 |
| Trust | Settled | 8/8/2011 | 8/11/2011 | Sale<br>ISHARES S&P GBL HEALTH CARE SECTOR INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                           | IXJ   | -115 | 50.6774 | 5,827.79  |
| Trust | Settled | 8/8/2011 | 8/11/2011 | Sale<br>ISHARES S&P GBL TELECOM- MUNICATIONS SECTOR INDEX PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                       | IXP   | -107 | 54.4686 | 5,828.03  |
| Trust | Settled | 8/9/2011 | 8/12/2011 | Purchase<br>AUTOMATIC DATA PROC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                                          | ADP   | 55   | 46.6226 | -2,564.24 |
| Trust | Settled | 8/9/2011 | 8/12/2011 | Purchase<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                                 | BAX   | 50   | 51.2    | -2,560.00 |
| Trust | Settled | 8/9/2011 | 8/12/2011 | Sale<br>VANGUARD FTSE ALL WORLD EX US PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                           | VEU   | -137 | 42.3459 | 5,801.28  |

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| Trust | Settled | 8/9/2011  | 8/12/2011 | Sale<br>SPDR BARCLAYS CAPTL CONV PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT               | CWB  | -132 | 36.32   | 4,794.15  |
| Trust | Settled | 8/9/2011  | 8/12/2011 | Purchase<br>KIMBERLY CLARK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                     | KMB  | 40   | 63.4022 | -2,536.09 |
| Trust | Settled | 8/9/2011  | 8/12/2011 | Purchase<br>PAYCHEX INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE<br>ML ACTED AS AGENT | PAYX | 98   | 26.2747 | -2,574.92 |
| Trust | Settled | 8/9/2011  | 8/12/2011 | Purchase<br>PROCTER & GAMBLE CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                | PG   | 43   | 59.55   | -2,560.65 |
| Trust | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>COCA COLA COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                      | KO   | 39   | 65.3954 | -2,560.42 |
| Trust | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>EMERSON ELEC CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                    | EMR  | 69   | 43.1855 | -2,547.94 |
| Trust | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>JPMORGAN CHASE & CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                | JPM  | 129  | 34.8835 | -4,474.17 |
| Trust | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>JOHNSON AND JOHNSON COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT            | JNJ  | 42   | 61.38   | -2,577.96 |
| Trust | Settled | 8/10/2011 | 8/15/2011 | Sale<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                  | XLF  | -934 | 12.3382 | 11,523.66 |

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| Trust | Settled | 8/10/2011 | 8/15/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                        |  | SPY  | -83  | 115,9673 | 9,625.11  |
| Trust | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>WAL-MART STORES INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                        |  | WMT  | 52   | 49,4357  | -2,570.66 |
| Trust | Settled | 8/11/2011 | 8/16/2011 | Purchase<br>AIR PRODUCTS&CHEM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                          |  | APD  | 33   | 78,5757  | -2,596.30 |
| Trust | Settled | 8/11/2011 | 8/16/2011 | Purchase<br>GENERAL MILLS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                              |  | GIS  | 73   | 35,1188  | -2,563.67 |
| Trust | Settled | 8/11/2011 | 8/16/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                        |  | SPY  | -34  | 114,1567 | 3,881.26  |
| Trust | Settled | 8/11/2011 | 8/16/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                        |  | SPY  | -11  | 115,5744 | 1,272.40  |
| Trust | Settled | 8/11/2011 | 8/16/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                        |  | SPY  | -23  | 117.3    | 2,697.85  |
| Trust | Settled | 8/12/2011 | 8/17/2011 | Sale<br>SECTOR SPDR ENERGY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                             |  | XLE  | -104 | 66,9016  | 6,957.64  |
| Trust | Settled | 8/15/2011 | 8/18/2011 | Purchase<br>FIFTH THIRD BANCORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT |  | FTTB | 57   | 9,7499   | -555.74   |

|       |         |           |           |                                                                                                                                                                                                                                                  |       |      |          |           |
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| Trust | Settled | 8/15/2011 | 8/18/2011 | Sale<br>ISHARES MSCI EMERGING MKTS INDEX FD PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                              | EEM   | -66  | 42.0521  | 2,775.39  |
| Trust | Settled | 8/15/2011 | 8/18/2011 | Purchase<br>EMERGING GLOBAL SHARES DOW JONES PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | ECON  | 123  | 22.4957  | -2,766.97 |
| Trust | Settled | 8/18/2011 | 8/18/2011 | Divd Reinv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$20.05 REINV PRICE \$13.89000 QUANTITY BOT 1.4650 AS OF 08/15                                                                                                                     | TGBAX | 1    |          | 0         |
| Trust | Settled | 8/17/2011 | 8/22/2011 | Purchase<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                    | AMZN  | 4    | 186.1818 | -780.73   |
| Trust | Settled | 8/18/2011 | 8/23/2011 | Purchase<br>CHEVRON CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                 | CVX   | 27   | 93.0595  | -2,512.61 |
| Trust | Settled | 8/18/2011 | 8/23/2011 | Purchase<br>EXXON MOBIL CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                         | XOM   | 36   | 70.7984  | -2,548.74 |
| Trust | Settled | 8/18/2011 | 8/23/2011 | Sale<br>SECTOR SPDR ENERGY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                               | XLE   | -67  | 64.0323  | 4,290.08  |
| Trust | Settled | 8/19/2011 | 8/24/2011 | Purchase<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                    | AMZN  | 7    | 184.62   | -1,292.34 |
| Trust | Settled | 8/22/2011 | 8/25/2011 | Sale<br>ISHARES TR DOW JONES US TECHNOLOGY SECTOR INDX F PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                 | IYW   | -126 | 56.8182  | 7,159.95  |

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|       | Settled |  | 8/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$27.77 REINV PRICE<br>\$10.70000 QUANTITY BOT 2.5950 AS OF 08/26                                           | AHIFX | 2   |         | 0         |
| Trust | Settled |  | 8/29/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$10.73                                                                                        | AHIFX | 1   |         | 0         |
| Trust | Settled |  | 8/26/2011 | Purchase<br>MORGAN STANLEY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | MS    | 148 | 17.59   | -2,803.32 |
| Trust | Settled |  | 8/26/2011 | Purchase<br>MORGAN STANLEY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | MS    | 6   | 16.57   | -99.42    |
| Trust | Settled |  | 8/1/2011  | Purchase<br>MEDTRONIC INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | MDT   | 57  | 34.4894 | -1,965.90 |
| Trust | Settled |  | 9/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL 1 AGENT REINV AMOUNT \$33.31 REINV PRICE \$9.91000 QUANTITY<br>BOT 3.3610 AS OF 08/31                                                             | TGLMX | 3   |         | 0         |
| Trust | Settled |  | 9/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$19.47 REINV PRICE \$9.70000 QUANTITY BOT<br>2.0070 AS OF 08/31                                                                | RSFYX | 2   |         | 0         |
| Trust | Settled |  | 9/1/2011  | Divd Reinv<br>BR INF PTD BD FD INST CL AGENT REINV AMOUNT \$1.36 REINV PRICE \$11.53000 QUANTITY BOT .1180<br>AS OF 08/31                                                                   | BPRIX |     |         | 0         |
| Trust | Settled |  | 9/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$25.63 REINV PRICE \$6.77000<br>QUANTITY BOT 3.7860 AS OF 08/31                                                       | QIBYX | 3   |         | 0         |

|       |         |  |           |                                                                                                                                                                                                                                 |       |      |          |          |
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| Trust | Settled |  |           | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$9.07 REINV PRICE \$7.85000<br>QUANTITY BOT 1,1550 AS OF 08/31                                                                                      | SASF  | 1    |          | 0        |
| Trust | Settled |  | 9/1/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$11.71 REINV PRICE \$8.83000<br>QUANTITY BOT 1,3280 AS OF 08/31                                                                                           | LPFRX | 1    |          | 0        |
| Trust | Settled |  | 9/1/2011  | Divd Reinv<br>PIMCO TOT RTN FD CL P AGENT REINV AMOUNT \$7.88 REINV PRICE \$11.07000 QUANTITY BOT .7160 AS OF 08/31                                                                                                             | PTTPX |      |          | 0        |
| Trust | Settled |  | 9/1/2011  | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.92                                                                                                                                              | TGLMX | 1    |          | 0        |
| Trust | Settled |  | 8/30/2011 | Sale<br>DISNEY (WALT) CO COM STK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                  | DIS   | -113 | 33       | 3,728.93 |
| Trust | Settled |  | 9/8/2011  | Sale<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                 | AMZN  | -5   | 207.8902 | 1,039.43 |
| Trust | Settled |  | 9/8/2011  | Sale<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON<br>REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | -9   | 40.6223  | 365.59   |
| Trust | Settled |  | 9/8/2011  | Sale<br>DEERE CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND<br>THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                     | DE    | -7   | 77.9982  | 545.98   |
| Trust | Settled |  | 9/8/2011  | Sale<br>GENUINE PARTS CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                          | GPC   | -15  | 53.92    | 808.78   |

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| Trust | Settled | 9/2/2011 | 9/8/2011  | Sale<br>WALGREEN CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                               | WAG   | -12 | 35,180.1 | 422.15    |
| Trust | Settled | 9/6/2011 | 9/9/2011  | Sale<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | -25 | 39.99    | 999.73    |
| Trust | Settled | 9/6/2011 | 9/9/2011  | Purchase<br>GOOGLE INC CL A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                | GOOG  | 3   | 514.8025 | -1,544.41 |
| Trust | Settled | 9/6/2011 | 9/9/2011  | Purchase<br>HES CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                              | HES   | 56  | 56.0268  | -3,137.50 |
| Trust | Settled | 9/7/2011 | 9/12/2011 | Sale<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | -56 | 39.9924  | 2,239.53  |
| Trust | Settled | 9/7/2011 | 9/12/2011 | Purchase<br>GENL DYNAMICS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                | GD    | 43  | 61.57    | -2,647.51 |
| Trust | Settled | 9/7/2011 | 9/12/2011 | Purchase<br>GOOGLE INC CL A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                | GOOG  | 1   | 533.37   | -633.37   |
| Trust | Settled | 9/7/2011 | 9/12/2011 | Sale<br>PRUDENTIAL FINANCIAL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                  | PRU   | -82 | 47,308.1 | 3,879.19  |
| Trust | Settled | 9/7/2011 | 9/12/2011 | Sale<br>UNITED TECHS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                     | UTX   | -20 | 72,392.5 | 1,447.82  |

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| Trust | Settled | 9/12/2011 | 9/15/2011 | Purchase<br>PEPSICO INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT               | PEP   | 43   | 59,8286 | -2,572.63 |
| Trust | Settled | 9/15/2011 | 9/20/2011 | Purchase<br>DOVER CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                | DOV   | 37   | 52,8949 | -1,957.11 |
| Trust | Settled | 9/15/2011 | 9/20/2011 | Sale<br>GENUINE PARTS CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT           | GPC   | -61  | 54,2552 | 3,309.51  |
| Trust | Settled | 9/15/2011 | 9/20/2011 | Sale<br>GOODYEAR TIRE RUBBER PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT       | GT    | -260 | 11,1007 | 2,886.12  |
| Trust | Settled | 9/15/2011 | 9/20/2011 | Sale<br>JABIL CIRCUIT INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT          | JBL   | -208 | 17,5218 | 3,644.46  |
| Trust | Settled | 9/15/2011 | 9/20/2011 | Purchase<br>TERADATA CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT      | TDC   | 38   | 51,1969 | -1,945.48 |
| Trust | Settled | 9/20/2011 | 9/20/2011 | Divd Reinv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$20.08 REINV PRICE \$13.27000 QUANTITY<br>BOT 1,5140 AS OF 09/15                                                                  | TGBAX | 1    |         | 0         |
| Trust | Settled | 9/18/2011 | 9/21/2011 | Purchase<br>FLUOR CORP NEW DEL COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | FLR   | 54   | 60,7838 | -3,282.33 |
| Trust | Settled | 9/18/2011 | 9/21/2011 | Purchase<br>QUEST DIAGNOSTICS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT  | DGX   | 67   | 49,02   | -3,284.34 |

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| Trust | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>ABBOTT LABS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT               | ABT   | 50   | 50.2034 | -2,510.17 |
| Trust | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>DARDEN RESTAURANTS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT    | DRI   | 58   | 43.947  | -2,548.93 |
| Trust | Settled | 9/22/2011 | 9/27/2011 | Sale<br>VANGUARD FTSE ALL WORLD EX US PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | VEU   | -310 | 37.7914 | 11,715.11 |
| Trust | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>JPMORGAN CHASE & CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT       | JPM   | 20   | 29.29   | -585.8    |
| Trust | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>MCDONALDS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT        | MCD   | 29   | 85.5573 | -2,481.16 |
| Trust | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>TARGET CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT           | TGT   | 52   | 49.8503 | -2,540.22 |
| Trust | Settled | 9/29/2011 | 9/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$32.39 REINV PRICE \$10.48000 QUANTITY BOT 3.0910 AS OF 09/28                                                | AHIFX | 3    |         | 0         |
| Trust | Settled | 10/3/2011 | 10/3/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL 1 AGENT REINV AMOUNT \$33.50 REINV PRICE \$9.87000 QUANTITY BOT 3.3940 AS OF 09/30                                                                  | TGLMX | 3    |         | 0         |
| Trust | Settled | 10/3/2011 | 10/3/2011 | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$19.00 REINV PRICE \$9.68000 QUANTITY BOT 1.9630 AS OF 09/30                                                                     | RSFVX | 1    |         | 0         |

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| Trust | Settled | 10/3/2011 | Divd Reinv<br>BR INF PTD BD FD INST CL AGENT REINV AMOUNT \$8.39 REINV PRICE \$11.49000 QUANTITY BOT .7300<br>AS OF 09/30                  | BPRIX |   | 0 |
| Trust | Settled | 10/3/2011 | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$27.96 REINV PRICE \$6.29000<br>QUANTITY BOT 4.4450 AS OF 09/30      | OIBYX | 4 | 0 |
| Trust | Settled | 10/3/2011 | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$9.89 REINV PRICE \$7.85000<br>QUANTITY BOT 1.2600 AS OF 09/30 | SASFY | 1 | 0 |
| Trust | Settled | 10/3/2011 | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$11.22 REINV PRICE \$8.83000<br>QUANTITY BOT 1.2710 AS OF 09/30      | LFRFX | 1 | 0 |
| Trust | Settled | 10/3/2011 | Divd Reinv<br>PIMCO TOT RTN FD CL F AGENT REINV AMOUNT \$8.98 REINV PRICE \$10.79000 QUANTITY BOT .8300 AS<br>OF 09/30                     | PTTPX |   | 0 |
| Trust | Settled | 10/3/2011 | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$9.65                                                            | RSFYX | 1 | 0 |
| Trust | Settled | 10/3/2011 | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$11.62                                          | BPRIX | 1 | 0 |
| Trust | Settled | 10/3/2011 | Journal Entry<br>OPPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.27                                                   | OIBYX | 1 | 0 |
| Trust | Settled | 10/3/2011 | Journal Entry<br>LORD ABBETT FLOATING RATE FUND CL F FULL SHARE ACCUM SHARE VALUE \$8.80                                                   | LFRFX | 1 | 0 |

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| Trust | Settled |           | 10/3/2011  | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.80                                                                                                                                                    | PTT FX | 1    |         | 0         |
| Trust | Settled | 10/4/2011 | 10/7/2011  | Sale<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                             | BAX    | -50  | 53.0466 | 2,652.28  |
| Trust | Settled | 10/4/2011 | 10/7/2011  | Purchase<br>CSX CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND<br>THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                       | CSX    | 134  | 18.0977 | -2,425.09 |
| Trust | Settled | 10/4/2011 | 10/7/2011  | Purchase<br>ISHARES GOLD TR PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR<br>UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED<br>ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IAU    | 302  | 16.13   | -4,871.26 |
| Trust | Settled | 10/4/2011 | 10/7/2011  | Purchase<br>ISHARES GOLD TR PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR<br>UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED<br>ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IAU    | 5    | 15.9167 | -79.59    |
| Trust | Settled | 10/6/2011 | 10/11/2011 | Sale<br>JOHNSON CONTROLS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                            | JCI    | -114 | 27.7662 | 3,165.29  |
| Trust | Settled | 10/6/2011 | 10/11/2011 | Purchase<br>NOBLE CORP NAMEN-AKT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                        | NE     | 109  | 28.671  | -3,125.14 |
| Trust | Settled | 10/6/2011 | 10/12/2011 | Sale<br>WALGREEN CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                        | WAG    | -83  | 33.1589 | 3,083.72  |
| Trust | Settled | 10/7/2011 | 10/13/2011 | Purchase<br>DOVER CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                     | DOV    | 13   | 49.989  | -649.6    |

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| Trust | Settled | 10/7/2011  | 10/13/2011 | Purchase<br>MEDTRONIC INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                | MDT   | 20  | 32.7268 | -654.54   |
| Trust | Settled | 10/7/2011  | 10/13/2011 | Purchase<br>TERADATA CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                | TDC   | 20  | 53.9161 | -1,078.32 |
| Trust | Settled | 10/11/2011 | 10/14/2011 | Purchase<br>NOVELLUS SYS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT          | NVLS  | 52  | 30.4362 | -1,562.89 |
| Trust | Settled | 10/17/2011 | 10/20/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                              | SPY   | -23 | 121.92  | 2,804.11  |
| Trust | Settled |            | 10/20/2011 | Divd Reinv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$20.13 REINV PRICE \$12.94000 QUANTITY BOT 1.5560 AS OF 10/17                                                                                            | TGBAX | 1   |         | 0         |
| Trust | Settled |            | 10/20/2011 | Journal Entry<br>TEMPLETON GBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$12.88                                                                                                                                      | TGBAX | 1   |         | 0         |
| Trust | Settled | 10/18/2011 | 10/21/2011 | Sale<br>RANGE RESOURCES CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                             | RRC   | -75 | 71.9151 | 5,393.53  |
| Trust | Settled | 10/19/2011 | 10/24/2011 | Purchase<br>ISHARES S&P 100 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT DESCRIPTION ENCL ACTUAL PRICES. REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | OEF   | 94  | 55.5421 | -5,220.96 |
| Trust | Settled | 10/25/2011 | 10/28/2011 | Purchase<br>NOVELLUS SYS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT          | NVLS  | 48  | 32.81   | -1,574.88 |

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| Trust | Settled | 10/26/2011 | 10/31/2011 | Purchase<br>SHARES S&P 100 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT<br>DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                   | OEF   | 69  | 56.0342 | -3,866.36 |
| Trust | Settled |            | 10/31/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$26.74 REINV PRICE<br>\$10.91000 QUANTITY BOT 2.7260 AS OF 10/28                                                                                                                              | AHIFX | 2   |         | 0         |
| Trust | Settled |            | 10/31/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$10.88                                                                                                                                                                           | AHIFX | 1   |         | 0         |
| Trust | Settled |            | 11/1/2011  | Purchase<br>HONEYWELL INTL INC DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                               | HON   | 24  | 54      | -1,296.00 |
| Trust | Settled | 10/27/2011 | 11/1/2011  | Purchase<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS<br>ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN<br>WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                    | XLF   | 191 | 14.0678 | -2,686.95 |
| Trust | Settled | 10/31/2011 | 11/1/2011  | Purchase<br>PENNSYLVANIA MUTUAL FD FRAC SHR QUANTITY .451 FUND SUBJECT TO RED FEE. PER THE PIA<br>AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/<br>UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE<br>PROSPECTUS | PENN  | 134 | 11.34   | -1,524.67 |
| Trust | Settled |            | 11/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$20.23 REINV PRICE \$9.95000 QUANTITY BOT<br>2.0330 AS OF 10/31                                                                                                                                                   | RSFYX | 2   |         | 0         |
| Trust | Settled |            | 11/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$26.27 REINV PRICE<br>\$11.69000 QUANTITY BOT 2.2470 AS OF 10/31                                                                                                                                 | BPRIX | 2   |         | 0         |
| Trust | Settled |            | 11/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$25.70 REINV PRICE \$6.45000<br>QUANTITY BOT 3.9840 AS OF 10/31                                                                                                                                          | OIBYX | 3   |         | 0         |

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| Trust | Settled | 11/1/2011 | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$9.58 REINV PRICE \$8.00000<br>QUANTITY BOT 1.1950 AS OF 10/31                                                                  | SASFX | 1   |         | 0         |
| Trust | Settled | 11/1/2011 | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$11.70 REINV PRICE \$9.08000<br>QUANTITY BOT 1.2890 AS OF 10/31                                                                       | LERFX | 1   |         | 0         |
| Trust | Settled | 11/1/2011 | Divd Reinv<br>PIMCO TOT RTN FD CL P AGENT REINV AMOUNT \$8.94 REINV PRICE \$10.91000 QUANTITY BOT .8190 AS OF 10/31                                                                                         | PTTPX |     |         | 0         |
| Trust | Settled | 11/1/2011 | Journal Entry<br>OPPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.40                                                                                                                    | OIBYX | 1   |         | 0         |
| Trust | Settled | 11/1/2011 | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.95                                                                                                                          | PTTPX | 1   |         | 0         |
| Trust | Settled | 11/2/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$33.68 REINV PRICE \$9.78000 QUANTITY BOT 3.4440 AS OF 11/01                                                                                | TGLMX | 3   |         | 0         |
| Trust | Settled | 11/3/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | LIH   | 22  | 89.32   | -1,965.04 |
| Trust | Settled | 11/3/2011 | Purchase<br>HONEYWELL INTL INC DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                  | HON   | 26  | 52.9149 | -1,375.79 |
| Trust | Settled | 11/3/2011 | Sale<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FRAC SHR QUANTITY .831 PER THE PIA AGREEMENT THIS SALE CONSTITUTES A REDEMPTION.                                                                        | BPRIX | -21 | 11.82   | 258.04    |

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| Trust | Settled |           | 11/3/2011 | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$11.77                                                                                                          | BPRIX | -1   |          |           | 0         |
| Trust | Settled | 11/1/2011 | 11/4/2011 | Purchase<br>EATON CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                             | ETN   | 58   | 45.0841  | -2,614.88 |           |
| Trust | Settled | 11/2/2011 | 11/7/2011 | Sale<br>POWERSHARES BUILD AMERIC BOND ETF PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT          | BAB   | -54  | 28.3     | 1,528.17  |           |
| Trust | Settled | 11/3/2011 | 11/8/2011 | Sale<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT  | AMZN  | -18  | 215.8052 | 3,449.61  |           |
| Trust | Settled | 11/3/2011 | 11/8/2011 | Purchase<br>CARMAX INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                             | KMX   | 54   | 30.5844  | -1,650.48 |           |
| Trust | Settled | 11/3/2011 | 11/8/2011 | Sale<br>FIFTH THIRD BANCORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | FITB  | -402 | 11.7104  | 4,707.49  |           |
| Trust | Settled | 11/3/2011 | 11/8/2011 | Sale<br>WSTN DIGITAL CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                      | WDC   | -122 | 27.8659  | 3,375.18  |           |
| Trust | Settled | 11/4/2011 | 11/9/2011 | Purchase<br>AMERICAN TOWER CORP CL A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT               | AMT   | 28   | 57.4488  | -1,608.57 |           |
| Trust | Settled | 11/4/2011 | 11/9/2011 | Purchase<br>CAPITAL ONE FINL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                       | COF   | 36   |          | 46        | -1,656.00 |

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| Trust | Settled | 11/4/2011  | 11/9/2011  | Purchase<br>DISCOVER FINL SVCS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                         | DFS   | 66  | 24.15   | -1,642.20 |
| Trust | Settled | 11/7/2011  | 11/10/2011 | Sale<br>METLIFE INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                                | MET   | -11 | 34.1    | 375.09    |
| Trust | Settled | 11/8/2011  | 11/14/2011 | Sale<br>METLIFE INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                                | MET   | -89 | 34.2    | 3,043.74  |
| Trust | Settled | 11/11/2011 | 11/16/2011 | Sale<br>ISHARES TR DOW JONES US PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                        | IHI   | -61 | 58.8661 | 3,590.76  |
| Trust | Settled | 11/11/2011 | 11/16/2011 | Purchase<br>ISHARES S&P 100 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT<br>DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                        | OEF   | 69  | 57.0597 | -3,937.12 |
| Trust | Settled | 11/16/2011 | 11/17/2011 | Purchase<br>RS LOW DURATION BOND FD CL Y FRAC SHR QUANTITY .533 FUND SUBJECT TO RED FEE. PER THE PIA<br>AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/<br>UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE<br>PROSPECTUS | RSDYX | 431 | 10.22   | -4,410.27 |
| Trust | Settled |            | 11/18/2011 | Divd Rahnv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$20.21 REINV PRICE \$12.81000 QUANTITY<br>BOT 1,5780 AS OF 11/15                                                                                                                                                      | TGBAX | 1   |         | 0         |
| Trust | Settled |            | 11/18/2011 | Journal Entry<br>TEMPLETON GBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$12.73                                                                                                                                                                                                   | TGBAX | 1   |         | 0         |
| Trust | Settled | 11/17/2011 | 11/22/2011 | Purchase<br>CAPITAL ONE FINL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                           | COF   | 42  | 41.4636 | -1,741.47 |

|       |         |            |            |                                                                                                                                                                                               |       |    |         |           |
|-------|---------|------------|------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|----|---------|-----------|
| Trust | Settled | 11/22/2011 | 11/28/2011 | Purchase<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | BAX   | 39 | 48,8849 | -1,906.51 |
| Trust | Settled |            | 11/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$29.74 REINV PRICE<br>\$10.48000 QUANTITY BOT 2.8380 AS OF 11/28                                             | AHIFX | 2  |         | 0         |
| Trust | Settled |            | 11/29/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$10.46                                                                                          | AHIFX | 1  |         | 0         |
| Trust | Settled |            | 12/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$33.87 REINV PRICE \$9.70000 QUANTITY<br>BOT 3.4820 AS OF 11/30                                                               | TGLMX | 3  |         | 0         |
| Trust | Settled |            | 12/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$20.04 REINV PRICE \$9.82000 QUANTITY BOT<br>2.0410 AS OF 11/30                                                                  | RSFYX | 2  |         | 0         |
| Trust | Settled |            | 12/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$16.90 REINV PRICE<br>\$11.72000 QUANTITY BOT 1.3570 AS OF 11/30                                                | BPRIX | 1  |         | 0         |
| Trust | Settled |            | 12/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$26.36 REINV PRICE \$8.29000<br>QUANTITY BOT 4.1910 AS OF 11/30                                                         | OIBYX | 4  |         | 0         |
| Trust | Settled |            | 12/1/2011  | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$9.13 REINV PRICE \$7.94000<br>QUANTITY BOT 1.1500 AS OF 11/30                                                    | SASFX | 1  |         | 0         |
| Trust | Settled |            | 12/1/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$11.04 REINV PRICE \$8.97000<br>QUANTITY BOT 1.2310 AS OF 11/30                                                         | LFRFX | 1  |         | 0         |

|       |         |  |           |                                                                                                                                                                                                                                               |       |      |         |           |
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| Trust | Settled |  | 12/1/2011 | Divd Reinv<br>PIMCO TOT RTN FD CL P AGENT REINV AMOUNT \$9.73 REINV PRICE \$10.78000 QUANTITY BOT .9030 AS<br>OF 11/30                                                                                                                        | PTTPX |      |         | 0         |
| Trust | Settled |  | 12/1/2011 | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.69                                                                                                                                                            | TGLMX | 1    |         | 0         |
| Trust | Settled |  | 12/1/2011 | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$11.69                                                                                                                                             | BPRIX | 1    |         | 0         |
| Trust | Settled |  | 12/1/2011 | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.79                                                                                                                                                            | PTTPX | 1    |         | 0         |
| Trust | Settled |  | 12/2/2011 | Purchase<br>VANGUARD FINANCIALS ETF PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS<br>ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN<br>WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | VFH   | 100  | 27.5171 | -2,751.71 |
| Trust | Settled |  | 12/2/2011 | Purchase<br>TORTOISE MLP FD INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 | NTG   | 86   | 25.0637 | -2,155.48 |
| Trust | Settled |  | 12/2/2011 | Sale<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                   | XLF   | -191 | 13.1056 | 2,503.12  |
| Trust | Settled |  | 12/5/2011 | Purchase<br>ANADARKO PETE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                  | APC   | 20   | 82.05   | -1,641.00 |
| Trust | Settled |  | 12/5/2011 | Purchase<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 | BAX   | 12   | 51.9764 | -623.72   |

|       |         |            |            |                                                                                                                                                                                                                                           |         |       |          |           |
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| Trust | Settled | 12/9/2011  | 12/9/2011  | Journal Entry<br>PENNSYLVANIA MUTUAL FD FULL SHARE ACCUM SHARE VALUE \$10.91                                                                                                                                                              | PENNX   | 1     |          | 0         |
| Trust | Settled | 12/7/2011  | 12/12/2011 | Sale<br>CENTURYLINK INC SHS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 | CTL     | -12   | 36,3365  | 436.03    |
| Trust | Settled | 12/7/2011  | 12/12/2011 | Sale<br>E M C CORPORATION MASS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                              | EMC     | -14   | 23,3429  | 326.79    |
| Trust | Settled | 12/7/2011  | 12/12/2011 | Sale<br>JACOBS ENGN GRP INC DELA PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                            | JEC     | -24   | 42,606   | 1,022.52  |
| Trust | Settled | 12/7/2011  | 12/12/2011 | Sale<br>MICROSOFT CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                               | MSFT    | -25   | 25,5525  | 638.8     |
| Trust | Settled | 12/9/2011  | 12/12/2011 | Sale<br>CALL MRO 00028 000 MARATHON OIL CORP EXP 12-17-11 OPEN TRAN MRO DEC 28,00000                                                                                                                                                      | MRO111  | -1    | 0.61     | 60.99     |
| Trust | Settled | 12/9/2011  | 12/12/2011 | Sale<br>CALL OEF 00059 000 ISHARES S&P 100 INDEX EXP 01-21-12 OPEN TRAN OEF JAN 59,00000                                                                                                                                                  | OEF122  | -2    | 0.626824 | 125.35    |
| Trust | Settled | 12/12/2011 | 12/12/2011 | Redeemed<br>FEDERAL HOME LN MTG CORP CALLABLE NOTES 04.250% DEC 12 2018 CALLABLE NOTES 04.250% DEC<br>12 2018 PAY DATE 12/12/2011                                                                                                         | 3128X77 | ##### |          | 10,000.00 |
| Trust | Settled | 12/9/2011  | 12/14/2011 | Purchase<br>ISHARE BARLCYS 20+ YR TREAS INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML<br>ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | TLT     | 15    | 116.66   | -1,749.90 |

|       |         |           |           |                                                                                                                                                                                                                   |      |       |         |           |
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| Trust | Settled | 12/5/2011 | 12/8/2011 | Purchase<br>TORTOISE MLP FD INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                     | NTG  | 20    | 25.1    | -502      |
| Trust | Settled | 12/5/2011 | 12/8/2011 | Sale<br>SECTOR SPDR ENERGY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                          | XLE  | -51   | 71.6253 | 3,652.82  |
| Trust | Settled | 12/5/2011 | 12/8/2011 | Purchase<br>VALERO ENERGY CORP NEW PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                  | VLO  | 75    | 22.9835 | -1,723.76 |
| Trust | Settled | 12/6/2011 | 12/9/2011 | Purchase<br>MORGAN ST DEAN WITTER GLB 06.600% APR 01 2012 RATINGS ARE SUBJ. TO CHG PER THE PIA<br>AGREEMENT MOODYS A2 S&P A DETAILS UPON REQUEST YLD TO MATURITY 4.16% MATURITY DATE<br>4/01/12. 68 DAYS INTEREST | MS12 | 1,000 | 100.732 | -1,019.79 |
| Trust | Settled | 12/6/2011 | 12/9/2011 | Sale<br>DARDEN RESTAURANTS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                      | DRI  | -58   | 43.02   | 2,485.11  |
| Trust | Settled | 12/6/2011 | 12/9/2011 | Purchase<br>MARATHON PETROLEUM CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                 | MPC  | 50    | 34.5102 | -1,725.51 |
| Trust | Settled | 12/9/2011 | 12/9/2011 | Divd Reinv<br>PENNSYLVANIA MUTUAL FD AGENT REINV AMOUNT \$17.75 REINV PRICE \$10.62000 QUANTITY BOT<br>1,6710 AS OF 12/08                                                                                         | PENN | 1     |         | 0         |
| Trust | Settled | 12/9/2011 | 12/9/2011 | Divd Reinv<br>PENNSYLVANIA MUTUAL FD AGENT REINV AMOUNT \$34.32 REINV PRICE \$10.62000 QUANTITY BOT<br>32,7040 AS OF 12/08                                                                                        | PENN | 32    |         | 0         |
| Trust | Settled | 12/9/2011 | 12/9/2011 | Journal Entry<br>PENNSYLVANIA MUTUAL FD FULL SHARE ACCUM SHARE VALUE \$10.91                                                                                                                                      | PENN | 1     |         | 0         |

|       |         |            |            |                                                                                                                                                                                                                                                  |       |     |           |           |
|-------|---------|------------|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-----|-----------|-----------|
| Trust | Settled | 12/29/2011 | 12/14/2011 | Sale<br>GENERAL MILLS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                    | GIS   | -73 | 40,3625   | 2,946.40  |
| Trust | Settled | 12/29/2011 | 12/14/2011 | Purchase<br>EMERGING GLOBAL SHARES DOW JONES PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | ECON  | 65  | 22.12     | -1,216.60 |
| Trust | Settled | 12/29/2011 | 12/14/2011 | Purchase<br>SECTOR SPDR CONSUMERS STPL PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT       | SLP   | 164 | 31.96     | -5,241.44 |
| Trust | Settled | 12/29/2011 | 12/14/2011 | Sale<br>TARGET CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                  | TGT   | -52 | 53.6714   | 2,790.86  |
| Trust | Settled | 12/15/2011 | 12/15/2011 | Divd Reinv<br>FIRST EAGLE OVERSEAS CL I AGENT REINV AMOUNT \$380.91 REINV PRICE \$20.56000 QUANTITY BOT 18,5270 AS OF 12/13                                                                                                                      | SGOIX | 18  |           | 0         |
| Trust | Settled | 12/15/2011 | 12/15/2011 | Divd Reinv<br>FIRST EAGLE OVERSEAS CL I AGENT REINV AMOUNT \$538.50 REINV PRICE \$20.56000 QUANTITY BOT 26,1920 AS OF 12/13                                                                                                                      | SGOIX | 26  |           | 0         |
| Trust | Settled | 12/15/2011 | 12/15/2011 | Divd Reinv<br>FIRST EAG OVERSEAS I AGENT REINV AMOUNT \$.84 REINV PRICE \$20.56000 QUANTITY BOT .0410 AS OF 12/13                                                                                                                                | SGOIX |     |           | 0         |
| Trust | Settled | 12/15/2011 | 12/15/2011 | Journal Entry<br>FIRST EAGLE OVERSEAS CL I FULL SHARE ACCUM SHARE VALUE \$20.27                                                                                                                                                                  | SGOIX | 1   |           | 0         |
| Trust | Settled | 12/14/2011 | 12/19/2011 | Sale<br>ISHARE BARCLYS 20+ YR TREAS INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                           | TLT   | -15 | 121.25152 | 1,818.74  |

|       |         |            |            |                                                                                                                                                                                                         |        |      |          |          |
|-------|---------|------------|------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|------|----------|----------|
| Trust | Settled | 12/16/2011 | 12/19/2011 | Purchase<br>CALL MRO 00028.000 MARATHON OIL CORP EXP 12-17-11 CLOSE TRAN MRO DEC 28.00000                                                                                                               | MRO11  | 1    | 0.02     | -2       |
| Trust | Settled | 12/16/2011 | 12/19/2011 | Sale<br>CALL MRO 00029.000 MARATHON OIL CORP EXP 01-21-12 OPEN TRAN MRO JAN 29.00000                                                                                                                    | MRO12  | -1   | 0.56     | 55.99    |
| Trust | Settled | 12/15/2011 | 12/20/2011 | Sale<br>NOVELLUS SYS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | NVLS   | -100 | 42.1474  | 4,214.66 |
| Trust | Settled |            | 12/20/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$96.24 REINV PRICE \$12.26000 QUANTITY BOT 7.8500 AS OF 12/15                                                                           | TGBAX  | 7    |          | 0        |
| Trust | Settled |            | 12/20/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$30.43 REINV PRICE \$12.26000 QUANTITY BOT 2.4820 AS OF 12/15                                                                           | TGBAX  | 2    |          | 0        |
| Trust | Settled |            | 12/20/2011 | Journal Entry<br>TEMPLETON GLBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$12.39                                                                                                                     | TGBAX  | 1    |          | 0        |
| Trust | Settled | 12/19/2011 | 12/22/2011 | Sale<br>LINCOLN NTL CORP IND NPV PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                | LNC    | -148 | 17.9229  | 2,652.54 |
| Trust | Settled | 12/22/2011 | 12/23/2011 | Sale<br>CALL MS 00017.500 MORGAN STANLEY EXP 01-21-12 OPEN TRAN MS JAN 17.50000                                                                                                                         | MS1221 | -1   | 0.344275 | 34.42    |
| Trust | Settled |            | 12/23/2011 | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$38.39 REINV PRICE \$11.73000 QUANTITY BOT 3.2730 AS OF 12/21                                                             | BPRIX  | 3    |          | 0        |

|       |         |            |            |                                                                                                                                                                                                                                     |       |      |         |           |
|-------|---------|------------|------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|------|---------|-----------|
| Trust | Settled | 12/23/2011 | 12/29/2011 | Sale<br>E M C CORPORATION MASS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                        | EMC   | -141 | 21.6992 | 3,058.12  |
| Trust | Settled | 12/23/2011 | 12/29/2011 | Purchase<br>ISHARES TR RUSSELL 2000 INDEX FD PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT<br>DESCRIPTION ENCL ACTUAL PRICES. REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IWM   | 44   | 74.43   | -3,274.92 |
| Trust | Settled |            | 12/29/2011 | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$20.26 REINV PRICE \$10.83000 QUANTITY<br>BOT 1.8710 AS OF 12/28                                                                                                     | PTTPX | 1    |         | 0         |
| Trust | Settled |            | 12/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$30.64 REINV PRICE<br>\$10.65000 QUANTITY BOT 2.8770 AS OF 12/28                                                                                   | AHIFX | 2    |         | 0         |
| Trust | Settled |            | 12/29/2011 | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.84                                                                                                                                                  | PTTPX | 1    |         | 0         |
| Trust | Settled |            | 12/30/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$34.07 REINV PRICE \$9.65000 QUANTITY<br>BOT 3.5310 AS OF 12/29                                                                                                     | TGLMX | 3    |         | 0         |
| Trust | Settled |            | 12/30/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND I AGENT REINV AMOUNT \$7.74 REINV PRICE \$9.65000 QUANTITY BOT .8020<br>AS OF 12/29                                                                                                             | TGLMX |      |         | 0         |
| Trust | Settled |            | 12/30/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND I AGENT REINV AMOUNT \$6.19 REINV PRICE \$9.65000 QUANTITY BOT .6410<br>AS OF 12/29                                                                                                             | TGLMX |      |         | 0         |
| Trust | Settled |            | 12/30/2011 | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$134.20 REINV PRICE \$6.19000<br>QUANTITY BOT 21.6900 AS OF 12/29                                                                                             | OIBYX | 21   |         | 0         |

|       |         |  |            |                                                                                                                          |       |   |  |   |
|-------|---------|--|------------|--------------------------------------------------------------------------------------------------------------------------|-------|---|--|---|
| Trust | Settled |  | 12/30/2011 | Divd Reinv<br>AMERICAN HIGH INC TR F2 AGENT REINV AMOUNT \$8.36 REINV PRICE \$10.65000 QUANTITY BOT .7860<br>AS OF 12/28 | AHIFX |   |  | 0 |
| Trust | Settled |  | 12/30/2011 | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.64                                       | TGLMX | 1 |  | 0 |
| Trust | Settled |  | 12/30/2011 | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.64                                       | TGLMX | 1 |  | 0 |
| Trust | Settled |  | 12/30/2011 | Journal Entry<br>OPPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$8.20                                 | OIBYX | 1 |  | 0 |
| Trust | Settled |  | 12/30/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$10.66                     | AHIFX | 1 |  | 0 |



Account No.

Taxpayer No.  
20-7505841

DR DAVID PHILIP ROE TTEE  
U/A DTD 08/08/2007  
DAVID PHILIP ROE CRUT  
#2 N CROSSBOW LN  
JOHNSON CITY TN 37604-3639

ORIGINAL 1099 02/10/2012  
Your Financial Advisor 3062  
SMITH/CONKIN/HAUSMAN  
206 PRINCETON RD SUITE NO 1  
JOHNSON CITY, TN 37601-4960US

Payer:  
Merrill Lynch, Pierce, Fenner & Smith Inc  
1800 Merrill Lynch Drive, MSC 0803  
Pennington, NJ 08534-4129  
Federal Identification Number 13-5674085

## 2011 TAX REPORTING STATEMENT

| 1099-DIV | 2011 Dividends and Distributions                       | (OMB NO. 1545-0110) |
|----------|--------------------------------------------------------|---------------------|
| 1a       | Total Ordinary Dividends                               | Amount              |
| 1b       | Qualified Dividends                                    | 7,734.46            |
| 2a       | Total Capital Gain Distributions                       | 3,772.44            |
| 2b       | Unrecap. Sec. 1250 Gain                                | 1,014.73            |
| 2c       | Section 1202 Gain                                      | 0.00                |
| 2d       | Collectibles (28%) Gain                                | 0.00                |
| 3        | Nondividend Distributions                              | 80.74               |
| 4        | Federal Income Tax Withheld                            | 124.94              |
| 5        | Investment Expenses                                    | 0.00                |
| 6        | Foreign Tax Paid                                       | 0.00                |
| 7        | Foreign Country or U.S. Possession                     | 93.34               |
| 8        | Liquidation Distributions Cash                         | Various             |
| 9        | Liquidation Distributions Non-Cash (Fair Market Value) | 0.00                |

| 1099-INT | 2011 Interest Income                                    | (OMB NO. 1545-0112) |
|----------|---------------------------------------------------------|---------------------|
| 1        | Interest Income                                         | Amount              |
| 2        | Early Withdrawal Penalty                                | 3,171.17            |
| 3        | Interest On U.S. Savings Bonds and Treasury Obligations | 0.00                |
| 4        | Federal Income Tax Withheld                             | 44.64               |
| 5        | Investment Expenses                                     | 0.00                |
| 6        | Foreign Tax Paid                                        | 0.00                |
| 7        | Foreign Country or U.S. Possession                      | 0.00                |
| 8        | Tax-Exempt Interest                                     | 0.00                |
| 9        | Specified Private Activity Bond Interest                | 0.00                |
| 10       | Tax-Exempt Bond Cusip Number                            | 0.00                |

| Summary of 2011 Original Issue Discount Items        |        |
|------------------------------------------------------|--------|
| Original Issue Discount                              | Amount |
| Original Issue Discount on U.S. Treasury Obligations | 0.00   |
| 0.00                                                 |        |

| Summary of 2011 Sales Proceeds |            |
|--------------------------------|------------|
| Sales Proceeds                 | Amount     |
| Federal Income Tax Withheld    | 352,834.90 |
| 0.00                           |            |

Gross Proceeds from each of your 2011 securities trades are individually reported to the IRS. Refer to the 2011 Proceeds from Broker and Barter Exchange Transactions detail section of this statement.

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

You may reach a Tax Representative at 1-800-637-6326.

Merrill Lynch, Pierce, Fenner & Smith Incorporated (MLPF&S) is a registered broker-dealer and wholly owned subsidiary of Bank of America Corporation Member, Securities Investor Protection Corporation (SIPC)

DR DAVID PHILIP ROE TTEE

# 2011 TAX REPORTING STATEMENT

In the past, under the Proceeds from Broker and Barter Exchange Transactions section, only the gross proceeds of the sale was reported to the IRS. However, beginning with the 2011 tax reporting year for all sales of positions considered covered securities, new legislation also requires reporting to the IRS the adjusted cost basis for each tax lot transactional sale. Any sale of a security that is not considered a covered security will still be included in this section with its adjusted cost basis (where available) but will not be transmitted to the IRS. In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that you have made an election to amortize the premium paid on the purchase of taxable bonds. The gain (loss) information may not include return of capital, sales load deferral or wash sales adjustments. RICs (which may include mutual funds and unit investment trusts) may reclassify principal distributions as capital gains after the mailing of this statement. The Cost Basis for these securities may not have yet been adjusted on your statement to reflect such reclassifications. Please refer to information provided by the RIC and discuss with your tax advisor. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount ("OID") obligations includes the accretion of OID. For purposes of allocating original purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

## 1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

| Quantity | Transaction Description | Date Acquired | Cover of Short | Date Liquidated | Short Sale | Amount | Cost Basis | Adjustments | Gain or (Loss) | Remarks |
|----------|-------------------------|---------------|----------------|-----------------|------------|--------|------------|-------------|----------------|---------|
|----------|-------------------------|---------------|----------------|-----------------|------------|--------|------------|-------------|----------------|---------|

### SHORT TERM CAPITAL GAINS AND LOSSES COVERED TRANSACTIONS

|                    |      |          |  |          |  |          |          |           |        |  |
|--------------------|------|----------|--|----------|--|----------|----------|-----------|--------|--|
| AMAZON COM INC COM |      |          |  |          |  |          |          |           |        |  |
| REDEEMED           |      |          |  |          |  |          |          |           |        |  |
| 4.0000             | Sale | 08/03/11 |  | 09/02/11 |  | 831.54   | 844.54   | 12.99 (M) | 0.00   |  |
| 1.0000             | Sale | 08/03/11 |  | 09/02/11 |  | 207.89   | 211.13   | 3.25 (M)  | 0.00   |  |
| 5.0000             | Sale | 08/03/11 |  | 11/03/11 |  | 1,078.00 | 1,055.66 | 0.00      | 22.34  |  |
| 4.0000             | Sale | 08/03/11 |  | 11/03/11 |  | 862.40   | 793.72   | 0.00 (Y)  | 68.68  |  |
| 1.0000             | Sale | 08/03/11 |  | 11/03/11 |  | 215.60   | 187.87   | 0.00 (Y)  | 27.73  |  |
| 6.0000             | Sale | 08/19/11 |  | 11/03/11 |  | 1,293.61 | 1,107.72 | 0.00      | 185.89 |  |
| Security Subtotal  |      |          |  |          |  | 4,489.04 | 4,200.64 | 16.24     | 304.64 |  |
| APACHE CORP        |      |          |  |          |  |          |          |           |        |  |
| REDEEMED           |      |          |  |          |  |          |          |           |        |  |
| 35.0000            | Sale | 06/03/11 |  | 07/06/11 |  | 4,322.42 | 4,190.85 | 0.00      | 131.57 |  |
| APPLE INC          |      |          |  |          |  |          |          |           |        |  |
| REDEEMED           |      |          |  |          |  |          |          |           |        |  |
| 6.0000             | Sale | 02/03/11 |  | 07/06/11 |  | 2,090.65 | 2,047.44 | 0.00      | 43.21  |  |
| 7.0000             | Sale | 03/15/11 |  | 07/06/11 |  | 2,439.11 | 2,395.84 | 0.00      | 43.27  |  |
| Security Subtotal  |      |          |  |          |  | 4,529.76 | 4,443.28 | 0.00      | 86.48  |  |
| BAXTER INTERNL INC |      |          |  |          |  |          |          |           |        |  |
| REDEEMED           |      |          |  |          |  |          |          |           |        |  |
| 50.0000            | Sale | 08/09/11 |  | 10/04/11 |  | 2,652.28 | 2,560.00 | 0.00      | 92.28  |  |



Account No.

Taxpayer No.  
20-7505841

DR DAVID PHILIP ROE TTEE

## 2011 TAX REPORTING STATEMENT

1099-B

2011 PROCEEDS FROM BROKER &amp; BARTER EXCHANGE TRANSACTIONS

(OMB NO. 1545-0715)

| Transaction<br>Quantity Description                                                              | Date Acquired<br>Cover of Short                  | Date Liquidated<br>Short Sale                 | Amount                       | Cost Basis                     | Adjustments          | Gain or (Loss)               | Remarks |
|--------------------------------------------------------------------------------------------------|--------------------------------------------------|-----------------------------------------------|------------------------------|--------------------------------|----------------------|------------------------------|---------|
| CENTURYLINK INC SHS<br>REDEEMED<br>12.0000 Sale                                                  | CUSIP Number<br>06/03/11                         | 156700706<br>12/07/11                         | 436.03                       | 498.43                         | 0.00                 | (62.40)                      |         |
| DARDEN RESTAURANTS INC<br>REDEEMED<br>58.0000 Sale                                               | CUSIP Number<br>09/22/11                         | 237194105<br>12/06/11                         | 2,495.11                     | 2,548.93                       | 0.00                 | (53.82)                      |         |
| DISCOVERY COMMUNICATN<br>INC SERIES A<br>REDEEMED<br>9.0000 Sale<br>25.0000 Sale<br>56.0000 Sale | CUSIP Number<br>02/03/11<br>02/03/11<br>02/03/11 | 25470F104<br>09/02/11<br>09/06/11<br>09/07/11 | 365.59<br>999.73<br>2,239.53 | 368.46<br>1,023.49<br>2,292.61 | 0.00<br>0.00<br>0.00 | (2.87)<br>(23.76)<br>(53.08) |         |
| Security Subtotal                                                                                |                                                  |                                               | 3,604.85                     | 3,684.56                       | 0.00                 | (79.71)                      |         |
| DEERE CO<br>REDEEMED<br>7.0000 Sale                                                              | CUSIP Number<br>03/11/11                         | 244199105<br>09/02/11                         | 545.98                       | 601.78                         | 0.00                 | (55.80)                      |         |
| DISNEY (WALT) CO COM STK<br>REDEEMED<br>113.0000 Sale                                            | CUSIP Number<br>07/10/11                         | 254687106<br>08/30/11                         | 3,728.93                     | 4,452.13                       | 0.00                 | (723.20)                     |         |
| E M C CORPORATION MASS<br>REDEEMED<br>14.0000 Sale<br>141.0000 Sale                              | CUSIP Number<br>07/06/11<br>07/06/11             | 268648102<br>12/07/11<br>12/23/11             | 326.79<br>3,058.12           | 388.49<br>3,912.62             | 0.00<br>0.00         | (61.70)<br>(854.50)          |         |
| Security Subtotal                                                                                |                                                  |                                               | 3,384.91                     | 4,301.11                       | 0.00                 | (916.20)                     |         |
| E TRADE FINL CORP<br>REDEEMED<br>215.0000 Sale                                                   | CUSIP Number<br>02/03/11                         | 269246401<br>06/28/11                         | 2,896.46                     | 3,651.28                       | 0.00                 | (754.82)                     |         |
| FIFTH THIRD BANCORP<br>REDEEMED<br>345.0000 Sale<br>57.0000 Sale                                 | CUSIP Number<br>08/03/11<br>08/15/11             | 316773100<br>11/03/11                         | 4,040.01<br>667.48           | 4,093.32<br>555.74             | 0.00<br>0.00         | (53.31)<br>111.74            |         |
| Security Subtotal                                                                                |                                                  |                                               | 4,707.49                     | 4,649.06                       | 0.00                 | 58.43                        |         |

DR DAVID PHILIP ROE TTEE

**2011 TAX REPORTING STATEMENT**

**1099-B** **2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS** (OMB NO. 1545-0715)

| Transaction<br>Quantity Description          | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount          | Cost Basis      | Adjustments | Gain or (Loss)    | Remarks |
|----------------------------------------------|---------------------------------|-------------------------------|-----------------|-----------------|-------------|-------------------|---------|
| <b>GENERAL MILLS<br/>REDEEMED</b>            |                                 |                               |                 |                 |             |                   |         |
| 73,0000 Sale                                 | 08/11/11                        | 12/09/11                      | 2,946.40        | 2,563.67        | 0.00        | 382.73            |         |
|                                              | CUSIP Number                    | 370334104                     |                 |                 |             |                   |         |
| <b>GENUINE PARTS CO<br/>REDEEMED</b>         |                                 |                               |                 |                 |             |                   |         |
| 15,0000 Sale                                 | 07/11/11                        | 09/02/11                      | 808.78          | 851.96          | 0.00        | (43.18)           |         |
| 61,0000 Sale                                 | 07/11/11                        | 09/15/11                      | 3,309.51        | 3,464.66        | 0.00        | (155.15)          |         |
| <b>Security Subtotal</b>                     |                                 |                               | <b>4,118.29</b> | <b>4,316.62</b> | <b>0.00</b> | <b>(198.33)</b>   |         |
| <b>GOODYEAR TIRE RUBBER<br/>REDEEMED</b>     |                                 |                               |                 |                 |             |                   |         |
| 260,0000 Sale                                | 06/03/11                        | 09/15/11                      | 2,886.12        | 4,323.85        | 0.00        | (1,437.73)        |         |
|                                              | CUSIP Number                    | 382550107                     |                 |                 |             |                   |         |
| <b>HEWLETT PACKARD CO DEL<br/>REDEEMED</b>   |                                 |                               |                 |                 |             |                   |         |
| 96,0000 Sale                                 | 01/25/11                        | 06/03/11                      | 3,483.77        | 4,510.91        | 0.00        | (1,027.14)        |         |
| 15,0000 Sale                                 | 05/03/11                        | 06/03/11                      | 544.34          | 598.65          | 0.00        | (54.31)           |         |
| <b>Security Subtotal</b>                     |                                 |                               | <b>4,028.11</b> | <b>5,109.56</b> | <b>0.00</b> | <b>(1,081.45)</b> |         |
| <b>JABIL CIRCUIT INC<br/>REDEEMED</b>        |                                 |                               |                 |                 |             |                   |         |
| 208,0000 Sale                                | 07/06/11                        | 09/15/11                      | 3,644.46        | 4,349.55        | 0.00        | (705.09)          |         |
|                                              | CUSIP Number                    | 466313103                     |                 |                 |             |                   |         |
| <b>JOHNSON CONTROLS INC<br/>REDEEMED</b>     |                                 |                               |                 |                 |             |                   |         |
| 57,0000 Sale                                 | 04/18/11                        | 10/05/11                      | 1,582.64        | 2,181.66        | 0.00        | (599.02)          |         |
| 57,0000 Sale                                 | 05/17/11                        | 10/05/11                      | 1,582.65        | 2,173.93        | 0.00        | (591.28)          |         |
| <b>Security Subtotal</b>                     |                                 |                               | <b>3,165.29</b> | <b>4,355.59</b> | <b>0.00</b> | <b>(1,190.30)</b> |         |
| <b>KIMBERLY CLARK<br/>REDEEMED</b>           |                                 |                               |                 |                 |             |                   |         |
| 57,0000 Sale                                 | 02/03/11                        | 06/03/11                      | 3,758.66        | 3,687.40        | 0.00        | 71.26             |         |
|                                              | CUSIP Number                    | 494368103                     |                 |                 |             |                   |         |
| <b>LINCOLN NTL CORP IND NPV<br/>REDEEMED</b> |                                 |                               |                 |                 |             |                   |         |
| 72,0000 Sale                                 | 03/03/11                        | 12/19/11                      | 1,290.42        | 2,207.77        | 0.00        | (917.35)          |         |
| 76,0000 Sale                                 | 03/16/11                        | 12/19/11                      | 1,362.12        | 2,173.72        | 0.00        | (811.60)          |         |
| <b>Security Subtotal</b>                     |                                 |                               | <b>2,652.54</b> | <b>4,381.49</b> | <b>0.00</b> | <b>(1,728.95)</b> |         |



DR DAVID PHILIP ROE TTEE

Account No. [REDACTED]

Taxpayer No. 20-7505841

## 2011 TAX REPORTING STATEMENT

1099-B

### 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

(OMB NO. 1545-0715)

| Quantity                        | Transaction Description | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount          | Cost Basis      | Adjustments | Gain or (Loss)    | Remarks |
|---------------------------------|-------------------------|---------------------------------|-------------------------------|-----------------|-----------------|-------------|-------------------|---------|
| <b>METLIFE INC</b>              |                         |                                 |                               |                 |                 |             |                   |         |
| REDEEMED                        | COM                     | CUSIP Number                    | 59156R108                     |                 |                 |             |                   |         |
| 11,000                          | Sale                    | 02/03/11                        | 11/07/11                      | 375.09          | 509.84          | 0.00        | (134.75)          |         |
| 89,000                          | Sale                    | 02/03/11                        | 11/08/11                      | 3,043.74        | 4,125.09        | 0.00        | (1,081.35)        |         |
| <b>Security Subtotal</b>        |                         |                                 |                               | <b>3,418.83</b> | <b>4,634.93</b> | <b>0.00</b> | <b>(1,216.10)</b> |         |
| <b>MICROSOFT CORP</b>           |                         |                                 |                               |                 |                 |             |                   |         |
| REDEEMED                        | COM                     | CUSIP Number                    | 594918104                     |                 |                 |             |                   |         |
| 25,000                          | Sale                    | 08/03/11                        | 12/07/11                      | 638.80          | 665.35          | 0.00        | (26.55)           |         |
| <b>NEXTERA ENERGY INC SHS</b>   |                         |                                 |                               |                 |                 |             |                   |         |
| REDEEMED                        | COM                     | CUSIP Number                    | 65339F101                     |                 |                 |             |                   |         |
| 80,000                          | Sale                    | 02/03/11                        | 06/03/11                      | 4,381.68        | 4,377.38        | 0.00        | 4.30              |         |
| <b>NOVELLUS SYS INC</b>         |                         |                                 |                               |                 |                 |             |                   |         |
| REDEEMED                        | COM                     | CUSIP Number                    | 670008101                     |                 |                 |             |                   |         |
| 52,000                          | Sale                    | 10/11/11                        | 12/15/11                      | 2,191.62        | 1,582.68        | 0.00        | 608.94            |         |
| 48,000                          | Sale                    | 10/25/11                        | 12/15/11                      | 2,023.04        | 1,574.88        | 0.00        | 448.16            |         |
| <b>Security Subtotal</b>        |                         |                                 |                               | <b>4,214.66</b> | <b>3,157.56</b> | <b>0.00</b> | <b>1,057.10</b>   |         |
| <b>RANGE RESOURCES CORP DEL</b> |                         |                                 |                               |                 |                 |             |                   |         |
| REDEEMED                        | COM                     | CUSIP Number                    | 75281A109                     |                 |                 |             |                   |         |
| 75,000                          | Sale                    | 07/06/11                        | 10/18/11                      | 5,393.53        | 4,279.07        | 0.00        | 1,114.46          |         |
| <b>SALESFORCE COM INC</b>       |                         |                                 |                               |                 |                 |             |                   |         |
| REDEEMED                        | COM                     | CUSIP Number                    | 79466L302                     |                 |                 |             |                   |         |
| 26,000                          | Sale                    | 02/25/11                        | 06/03/11                      | 3,790.60        | 3,700.42        | 0.00        | 90.18             |         |
| 6,000                           | Sale                    | 04/20/11                        | 06/03/11                      | 874.76          | 847.78          | 0.00        | 26.98             |         |
| <b>Security Subtotal</b>        |                         |                                 |                               | <b>4,665.36</b> | <b>4,548.20</b> | <b>0.00</b> | <b>117.16</b>     |         |
| <b>TARGET CORP</b>              |                         |                                 |                               |                 |                 |             |                   |         |
| REDEEMED                        | COM                     | CUSIP Number                    | 87612E106                     |                 |                 |             |                   |         |
| 52,000                          | Sale                    | 09/22/11                        | 12/09/11                      | 2,790.86        | 2,540.22        | 0.00        | 250.64            |         |
| <b>WSTN DIGITAL CORP DEL</b>    |                         |                                 |                               |                 |                 |             |                   |         |
| REDEEMED                        | COM                     | CUSIP Number                    | 958102105                     |                 |                 |             |                   |         |
| 122,000                         | Sale                    | 06/03/11                        | 11/03/11                      | 3,375.18        | 4,307.82        | 0.00        | (932.64)          |         |

Account No. XXXXXXXXXX

Taxpayer No. 20-7505841

DR DAVID PHILIP ROE TTEE

## 2011 TAX REPORTING STATEMENT

1099-B 2011 PROCEEDS FROM BROKER &amp; BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

| Transaction<br>Quantity Description                  | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount    | Cost Basis | Adjustments | Gain or (Loss) | Remarks |
|------------------------------------------------------|---------------------------------|-------------------------------|-----------|------------|-------------|----------------|---------|
| Covered Short Term Capital Gains and Losses Subtotal |                                 |                               | 93,872.03 | 101,380.31 | 16.24       | (7,492.04)     |         |

## NONCOVERED TRANSACTIONS

|                                                                            |                                      |                                   |                    |                    |              |                 |                     |
|----------------------------------------------------------------------------|--------------------------------------|-----------------------------------|--------------------|--------------------|--------------|-----------------|---------------------|
| CALL MRO DEC 00028.00<br>1.0000 Short Sale *                               | CUSIP Number<br>12/16/11             | 12/09/11(S)                       | 60.99              | 2.00               | 0.00         | 58.99           | NOT 1099 REPORTABLE |
| ANADARKO PETE CORP<br>REDEEMED<br>63.0000 Sale<br>3.0000 Sale              | CUSIP Number<br>12/16/10<br>12/16/10 | 032517107<br>07/06/11<br>07/06/11 | 4,945.40<br>235.50 | 4,198.75<br>196.76 | 0.00<br>0.00 | 746.65<br>38.74 |                     |
| Security Subtotal                                                          |                                      |                                   | 5,180.90           | 4,395.51           | 0.00         | 785.39          |                     |
| C.H. ROBINSON WORLDWIDE<br>INC. NEW<br>REDEEMED<br>71.0000 Sale            | CUSIP Number<br>05/05/10             | 12541W209<br>01/04/11             | 5,715.73           | 4,327.69           | 0.00         | 1,388.04        |                     |
| CISCO SYSTEMS INC COM<br>REDEEMED<br>64.0000 Sale                          | CUSIP Number<br>12/06/10             | 17275R102<br>02/04/11             | 1,402.88           | 1,249.28           | 0.00         | 153.60          |                     |
| CORNING INC<br>REDEEMED<br>236.0000 Sale                                   | CUSIP Number<br>07/06/10             | 219350705<br>06/03/11             | 4,507.84           | 3,932.44           | 0.00         | 575.40          |                     |
| ISHARE BARCLAYS 20+ YR<br>TREAS INDEX FUND<br>REDEEMED<br>15.0000 Sale     | CUSIP Number<br>12/09/11             | 464287432<br>12/14/11             | 1,818.74           | 1,749.90           | 0.00         | 68.84           |                     |
| ISHARES IBOX\$ HIGH YEL<br>CORPORATE BOND FUND<br>REDEEMED<br>46.0000 Sale | CUSIP Number<br>06/29/10             | 464288513<br>06/10/11             | 4,129.80           | 3,909.71           | 0.00         | 220.09          |                     |

DR DAVID PHILIP ROE TTEE

# 2011 TAX REPORTING STATEMENT

1099-B

## 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

(OMB NO. 1545-0715)

| Transaction<br>Quantity Description           | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount          | Cost Basis      | Adjustments | Gain or (Loss)  | Remarks |
|-----------------------------------------------|---------------------------------|-------------------------------|-----------------|-----------------|-------------|-----------------|---------|
| <b>HESS CORP<br/>REDEEMED</b>                 | <b>CUSIP Number</b>             | <b>42809H107</b>              |                 |                 |             |                 |         |
| 16,000 Sale                                   | 10/05/10                        | 01/21/11                      | 1,264.03        | 972.71          | 0.00        | 291.32          |         |
| 53,000 Sale                                   | 10/07/10                        | 01/21/11                      | 4,187.12        | 3,272.75        | 0.00        | 914.37          |         |
| <b>Security Subtotal</b>                      |                                 |                               | <b>5,451.15</b> | <b>4,245.46</b> | <b>0.00</b> | <b>1,205.69</b> |         |
| <b>ISHARES TR RUSSELL 2000<br/>INDEX FD</b>   | <b>CUSIP Number</b>             | <b>464287655</b>              |                 |                 |             |                 |         |
| 44,000 Sale                                   | 12/23/11                        | 12/28/11                      | 3,241.41        | 3,274.92        | 0.00        | (33.51)         |         |
| <b>JACOBS ENGN GRP, INC DELA<br/>REDEEMED</b> | <b>CUSIP Number</b>             | <b>469814107</b>              |                 |                 |             |                 |         |
| 24,000 Sale                                   | 12/09/10                        | 12/07/11                      | 1,022.52        | 1,012.80        | 0.00        | 9.72            |         |
| <b>KAYNE ANDERSON MLP<br/>REDEEMED</b>        | <b>CUSIP Number</b>             | <b>486606106</b>              |                 |                 |             |                 |         |
| 104,000 Sale                                  | 08/18/10                        | 03/21/11                      | 3,277.62        | 2,662.36        | 0.00        | 615.26          |         |
| 15,000 Sale                                   | 08/19/10                        | 03/21/11                      | 472.74          | 385.69          | 0.00        | 87.05           |         |
| <b>Security Subtotal</b>                      |                                 |                               | <b>3,750.36</b> | <b>3,048.05</b> | <b>0.00</b> | <b>702.31</b>   |         |
| <b>MCKESSON CORPORATION COM<br/>REDEEMED</b>  | <b>CUSIP Number</b>             | <b>58155Q103</b>              |                 |                 |             |                 |         |
| 67,000 Sale                                   | 08/05/10                        | 02/03/11                      | 5,114.97        | 4,175.40        | 0.00        | 939.57          |         |
| <b>MARATHON OIL CORP<br/>REDEEMED</b>         | <b>CUSIP Number</b>             | <b>565849106</b>              |                 |                 |             |                 |         |
| 40,000 Sale                                   | 11/12/10                        | 05/05/11                      | 1,978.84        | 1,356.18        | 0.00        | 622.66          |         |
| <b>MARATHON PETROLEUM CORP<br/>REDEEMED</b>   | <b>CUSIP Number</b>             | <b>56585A102</b>              |                 |                 |             |                 |         |
| 44,000 Sale                                   | 11/12/10                        | 07/08/11                      | 1,814.97        | 1,203.87        | 0.00        | 611.10          |         |
| <b>PRUDENTIAL FINANCIAL INC<br/>REDEEMED</b>  | <b>CUSIP Number</b>             | <b>744320102</b>              |                 |                 |             |                 |         |
| 20,000 Sale                                   | 11/03/10                        | 09/07/11                      | 946.15          | 1,064.00        | 0.00        | (117.85)        |         |
| <b>QUEST DIAGNOSTICS INC<br/>REDEEMED</b>     | <b>CUSIP Number</b>             | <b>74834L100</b>              |                 |                 |             |                 |         |
| 85,000 Sale                                   | 11/03/10                        | 03/03/11                      | 4,771.47        | 4,301.32        | 0.00        | 470.15          |         |



Account No.  
[REDACTED]

Taxpayer No.  
20-7505841

DR DAVID PHILIP ROE TTEE

# 2011 TAX REPORTING STATEMENT

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

| Quantity                           | Transaction Description | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount    | Cost Basis | Adjustments | Gain or (Loss) | Remarks |
|------------------------------------|-------------------------|---------------------------------|-------------------------------|-----------|------------|-------------|----------------|---------|
| <b>SECTOR SPDR ENERGY</b>          |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                           |                         | CUSIP Number                    | 81369Y506                     |           |            |             |                |         |
| 104,000                            | Sale                    | 11/23/10                        | 08/12/11                      | 6,957.64  | 6,487.37   | 0.00        | 470.27         |         |
| 67,000                             | Sale                    | 11/23/10                        | 08/18/11                      | 4,290.08  | 4,179.36   | 0.00        | 110.72         |         |
|                                    |                         |                                 |                               | 11,247.72 | 10,666.73  | 0.00        | 580.99         |         |
| <b>Security Subtotal</b>           |                         |                                 |                               |           |            |             |                |         |
| <b>SECTOR SPDR FINANCIAL</b>       |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                           |                         | CUSIP Number                    | 81369Y605                     |           |            |             |                |         |
| 362,000                            | Sale                    | 07/14/11                        | 08/10/11                      | 4,466.36  | 5,466.09   | 0.00        | (999.73)       |         |
| 191,000                            | Sale                    | 10/27/11                        | 12/02/11                      | 2,503.12  | 2,686.95   | 0.00        | (183.83)       |         |
|                                    |                         |                                 |                               | 6,969.48  | 8,153.04   | 0.00        | (1,183.56)     |         |
| <b>Security Subtotal</b>           |                         |                                 |                               |           |            |             |                |         |
| <b>SECTOR SPDR UTILITIES</b>       |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                           |                         | CUSIP Number                    | 81369Y886                     |           |            |             |                |         |
| 4,000                              | Sale                    | 04/30/10                        | 02/03/11                      | 126.97    | 122.04     | 0.00        | 4.93           |         |
| <b>Security Subtotal</b>           |                         |                                 |                               |           |            |             |                |         |
| <b>STANDARD&amp;POORS DEF RCPT</b> |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                           |                         | CUSIP Number                    | 78462F103                     |           |            |             |                |         |
| 39,000                             | Sale                    | 11/23/10                        | 08/10/11                      | 4,522.64  | 4,634.37   | 111.73 (M)  | 0.00           |         |
| 8,000                              | Sale                    | 11/23/10                        | 08/10/11                      | 927.72    | 950.64     | 22.92 (M)   | 0.00           |         |
| 15,000                             | Sale                    | 02/03/11                        | 08/10/11                      | 1,739.48  | 1,954.50   | 215.02 (M)  | 0.00           |         |
| 21,000                             | Sale                    | 02/03/11                        | 08/10/11                      | 2,435.27  | 2,736.30   | 0.00        | (301.03)       |         |
| 34,000                             | Sale                    | 11/23/10                        | 08/11/11                      | 3,881.26  | 4,488.30   | 0.00 (M)    | (607.04)       |         |
| 5,000                              | Sale                    | 11/23/10                        | 08/11/11                      | 578.36    | 660.05     | 0.00 (M)    | (81.69)        |         |
| 6,000                              | Sale                    | 11/23/10                        | 08/11/11                      | 694.04    | 777.38     | 0.00 (M)    | (83.34)        |         |
| 2,000                              | Sale                    | 11/23/10                        | 08/11/11                      | 234.59    | 259.12     | 0.00 (M)    | (24.53)        |         |
| 21,000                             | Sale                    | 02/03/11                        | 08/11/11                      | 2,463.26  | 2,736.30   | 0.00        | (273.04)       |         |
| 8,000                              | Sale                    | 02/03/11                        | 10/17/11                      | 975.34    | 1,042.40   | 0.00        | (67.06)        |         |
| 15,000                             | Sale                    | 02/03/11                        | 10/17/11                      | 1,828.77  | 2,115.48   | 0.00 (M)    | (286.71)       |         |
|                                    |                         |                                 |                               | 20,280.73 | 22,354.84  | 349.67      | (1,724.44)     |         |
| <b>Security Subtotal</b>           |                         |                                 |                               |           |            |             |                |         |
| <b>TEVA PHARMACEUTICALS ADR</b>    |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                           |                         | CUSIP Number                    | 881624209                     |           |            |             |                |         |
| 3,000                              | Sale                    | 06/17/10                        | 02/09/11                      | 155.66    | 161.54     | 0.00        | (5.88)         |         |
| <b>Security Subtotal</b>           |                         |                                 |                               |           |            |             |                |         |
| <b>VALERO ENERGY CORP NEW</b>      |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                           |                         | CUSIP Number                    | 91913Y100                     |           |            |             |                |         |
| 201,000                            | Sale                    | 04/22/10                        | 01/21/11                      | 4,858.64  | 3,841.35   | 0.00        | 1,017.29       |         |
| 20,000                             | Sale                    | 06/23/10                        | 01/21/11                      | 483.45    | 362.53     | 0.00        | 120.92         |         |
|                                    |                         |                                 |                               | 5,342.09  | 4,203.88   | 0.00        | 1,138.21       |         |
| <b>Security Subtotal</b>           |                         |                                 |                               |           |            |             |                |         |



DR DAVID PHILIP ROE TTEE

Account No.

Taxpayer No.  
20-7505841

## 2011 TAX REPORTING STATEMENT

1099-B

### 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

(OMB NO. 1545-0715)

| Transaction Description                                 | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount     | Cost Basis | Adjustments | Gain or (Loss) | Remarks |
|---------------------------------------------------------|---------------------------------|-------------------------------|------------|------------|-------------|----------------|---------|
| <b>WALGREEN CO</b>                                      |                                 |                               |            |            |             |                |         |
| REDEEMED                                                | 08/04/10                        | 03/15/11                      | 1,715.25   | 1,199.15   | 0.00        | 516.10         |         |
| <b>ASTON/FAIRPOINT MID CAP</b>                          |                                 |                               |            |            |             |                |         |
| FD CL 1                                                 | CUSIP Number 931422109          |                               |            |            |             |                |         |
| REDEEMED                                                | CUSIP Number 00078H158          |                               |            |            |             |                |         |
| 118,000 Sale                                            | 11/16/10                        | 08/08/11                      | 3,056.20   | 3,478.40   | 0.00        | (422.20)       |         |
| 33,000 Sale                                             | 12/06/10                        | 08/08/11                      | 854.69     | 1,044.29   | 0.00        | (189.60)       |         |
| 1,000 Sale                                              | 12/21/10                        | 08/08/11                      | 25.90      | 31.61      | 0.00        | (5.71)         |         |
| 23,000 Sale                                             | 12/21/10                        | 08/08/11                      | 595.70     | 753.88     | 0.00        | (158.18)       |         |
| 1,000 Sale                                              | 12/29/10                        | 08/08/11                      | 25.90      | 32.57      | 0.00        | (6.67)         |         |
| 21,000 Sale                                             | 01/25/11                        | 08/08/11                      | 543.90     | 687.17     | 0.00        | (143.27)       |         |
| 1,000 Sale                                              | 01/28/11                        | 08/08/11                      | 25.90      | 32.58      | 0.00        | (6.68)         |         |
| .3920 Sale                                              | 01/28/11                        | 08/08/11                      | 10.15      | 12.72      | 0.00        | (2.57)         |         |
| 21,000 Sale                                             | 01/28/11                        | 08/08/11                      | 543.91     | 681.28     | 0.00        | (137.37)       |         |
| Security Subtotal                                       |                                 |                               | 5,682.25   | 6,754.50   | 0.00        | (1,072.25)     |         |
| <b>BLACKROCK INFLATION</b>                              |                                 |                               |            |            |             |                |         |
| PROTECTED BD FD INST CL                                 | CUSIP Number 091937748          |                               |            |            |             |                |         |
| REDEEMED                                                |                                 |                               |            |            |             |                |         |
| 2,000 Sale                                              | 06/30/11                        | 11/02/11                      | 23.65      | 22.22      | 0.00        | 1.43           |         |
| .5320 Sale                                              | 10/31/11                        | 11/02/11                      | 6.28       | 6.16       | 0.00        | 0.12           |         |
| 1,000 Sale                                              | 12/31/10                        | 11/02/11                      | 11.82      | 10.88      | 0.00        | 0.94           |         |
| 1,000 Sale                                              | 02/28/11                        | 11/02/11                      | 11.82      | 10.96      | 0.00        | 0.86           |         |
| 3,000 Sale                                              | 03/31/11                        | 11/02/11                      | 35.45      | 33.09      | 0.00        | 2.36           |         |
| 3,000 Sale                                              | 04/29/11                        | 11/02/11                      | 35.45      | 33.59      | 0.00        | 1.87           |         |
| 6,000 Sale                                              | 05/31/11                        | 11/02/11                      | 70.92      | 66.66      | 0.00        | 4.26           |         |
| Security Subtotal                                       |                                 |                               | 195.40     | 183.56     | 0.00        | 11.84          |         |
| Noncovered Short Term Capital Gains and Losses Subtotal |                                 |                               | 102,624.27 | 97,047.81  | 349.67      | 5,926.13       |         |
| NET SHORT TERM CAPITAL GAINS AND LOSSES                 |                                 |                               | 196,496.30 | 198,428.12 | 365.91      | (1,565.91)     |         |



Account No.

Taxpayer No.  
20-7505841

DR DAVID PHILIP ROE TTEE

## 2011 TAX REPORTING STATEMENT

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

| Quantity | Transaction Description | Date Acquired | Cover of Short | Date Liquidated | Short Sale | Amount | Cost Basis | Adjustments | Gain or (Loss) | Remarks |
|----------|-------------------------|---------------|----------------|-----------------|------------|--------|------------|-------------|----------------|---------|
|----------|-------------------------|---------------|----------------|-----------------|------------|--------|------------|-------------|----------------|---------|

### LONG TERM CAPITAL GAINS AND LOSSES

#### NONCOVERED TRANSACTIONS

CISCO SYSTEMS INC CUSIP Number 17275RAB8

GLB 05.250% FEB 22 2011 10/10/07 02/22/11 10,000.00 10,000.00 0.00 0.00

10000.0000 Redemption 10,000.00 0.00

U.S. TREASURY NOTE CUSIP Number 912828KW9

REDEEMED 3.250% MAY 31 2016 06/11/09 04/01/11 2,089.06 1,962.81 0.00 126.25

2000.0000 Sale 02/12/10 04/01/11 2,089.07 2,037.75 0.00 51.32

2000.0000 Sale 4,178.13 4,000.56 0.00 177.57

Security Subtotal

FEDERAL HOME LN MTG CORP CUSIP Number 3128X7TG3

CALLABLE NOTES 03/23/10 12/12/11 10,000.00 10,124.44 0.00 (124.44)

04.250% DEC 12 2018 10000.0000 Redemption 10,000.00 0.00

CISCO SYSTEMS INC COM CUSIP Number 17275R102

REDEEMED 29,0000 Sale 10/10/07 02/04/11 635.65 965.42 0.00 (329.77)

12,0000 Sale 10/19/07 02/04/11 263.03 382.56 0.00 (119.53)

7,0000 Sale 11/27/07 02/04/11 153.43 192.57 0.00 (39.14)

14,0000 Sale 12/12/07 02/04/11 306.86 399.70 0.00 (92.84)

13,0000 Sale 12/13/07 02/04/11 284.95 378.95 0.00 (94.00)

9,0000 Sale 12/26/07 02/04/11 197.27 255.15 0.00 (57.88)

5,0000 Sale 01/04/08 02/04/11 109.59 130.75 0.00 (21.16)

5,0000 Sale 01/10/08 02/04/11 109.59 130.75 0.00 (21.16)

5,0000 Sale 01/22/08 02/04/11 21.91 23.51 0.00 (1.60)

1,0000 Sale 01/31/08 02/04/11 109.59 122.95 0.00 (13.36)

5,0000 Sale 07/01/08 02/04/11 87.67 92.00 0.00 (4.33)

4,0000 Sale 08/04/08 02/04/11 635.66 635.09 0.00 0.57

29,0000 Sale 02/24/09 02/04/11 372.63 249.22 0.00 123.41

17,0000 Sale 04/09/09 02/04/11 87.67 71.96 0.00 15.71

4,0000 Sale 3,375.50 4,030.58 0.00 (655.08)

Security Subtotal



Account No.

Taxpayer No.  
20-7505841

DR DAVID PHILIP ROE TTEE

## 2011 TAX REPORTING STATEMENT

1099-B

## 2011 PROCEEDS FROM BROKER &amp; BARTER EXCHANGE TRANSACTIONS

(OMB NO. 1545-0715)

| Quantity                                                    | Transaction Description | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount    | Cost Basis | Adjustments | Gain or (Loss) | Remarks |
|-------------------------------------------------------------|-------------------------|---------------------------------|-------------------------------|-----------|------------|-------------|----------------|---------|
| <b>COCA COLA COM</b>                                        |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                                                    |                         | CUSIP Number 191216100          |                               |           |            |             |                |         |
| 72.0000                                                     | Sale                    | 03/02/09                        | 03/14/11                      | 4,577.92  | 2,915.21   | 0.00        | 1,662.71       |         |
| 6.0000                                                      | Sale                    | 08/27/09                        | 03/14/11                      | 381.50    | 293.88     | 0.00        | 87.62          |         |
| Security Subtotal                                           |                         |                                 |                               | 4,959.42  | 3,209.09   | 0.00        | 1,750.33       |         |
| <b>FEDERATED INVESTRS B</b>                                 |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                                                    |                         | CUSIP Number 314211103          |                               |           |            |             |                |         |
| 66.0000                                                     | Sale                    | 09/23/09                        | 08/03/11                      | 1,365.99  | 1,788.73   | 0.00        | (422.74)       |         |
| 13.0000                                                     | Sale                    | 09/25/09                        | 08/03/11                      | 269.06    | 332.18     | 0.00        | (63.12)        |         |
| 70.0000                                                     | Sale                    | 11/03/09                        | 08/03/11                      | 1,448.78  | 1,875.07   | 0.00        | (426.29)       |         |
| 9.0000                                                      | Sale                    | 11/05/09                        | 08/03/11                      | 186.27    | 237.67     | 0.00        | (51.40)        |         |
| 19.0000                                                     | Sale                    | 04/30/10                        | 08/03/11                      | 393.25    | 464.54     | 0.00        | (71.29)        |         |
| Security Subtotal                                           |                         |                                 |                               | 3,663.35  | 4,698.19   | 0.00        | (1,034.84)     |         |
| <b>ISHARES S&amp;P 500 VALUE INDEX FUND</b>                 |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                                                    |                         | CUSIP Number 464287408          |                               |           |            |             |                |         |
| 54.0000                                                     | Sale                    | 09/08/09                        | 07/08/11                      | 3,369.76  | 2,689.49   | 0.00        | 680.27         |         |
| 98.0000                                                     | Sale                    | 01/14/10                        | 07/08/11                      | 6,115.51  | 5,388.46   | 0.00        | 727.05         |         |
| 41.0000                                                     | Sale                    | 04/30/10                        | 07/08/11                      | 2,558.53  | 2,367.66   | 0.00        | 190.87         |         |
| Security Subtotal                                           |                         |                                 |                               | 12,043.80 | 10,445.61  | 0.00        | 1,598.19       |         |
| <b>ISHARES S&amp;P GBL HEALTH CARE SECTOR INDEX FUND</b>    |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                                                    |                         | CUSIP Number 464287325          |                               |           |            |             |                |         |
| 93.0000                                                     | Sale                    | 01/22/09                        | 08/08/11                      | 4,712.90  | 4,029.46   | 0.00        | 683.44         |         |
| 22.0000                                                     | Sale                    | 02/12/09                        | 08/08/11                      | 1,114.89  | 950.40     | 0.00        | 164.49         |         |
| Security Subtotal                                           |                         |                                 |                               | 5,827.79  | 4,979.86   | 0.00        | 847.93         |         |
| <b>ISHARES S&amp;P GBL TELECOM-MUNICATIONS SECTOR INDEX</b> |                         |                                 |                               |           |            |             |                |         |
| REDEEMED                                                    |                         | CUSIP Number 464287275          |                               |           |            |             |                |         |
| 2.0000                                                      | Sale                    | 10/19/07                        | 08/08/11                      | 108.93    | 159.14     | 0.00        | (50.21)        |         |
| 5.0000                                                      | Sale                    | 11/27/07                        | 08/08/11                      | 272.33    | 385.05     | 0.00        | (112.72)       |         |
| 1.0000                                                      | Sale                    | 01/22/08                        | 08/08/11                      | 54.46     | 69.20      | 0.00        | (14.74)        |         |
| 9.0000                                                      | Sale                    | 12/12/07                        | 08/08/11                      | 490.20    | 720.90     | 0.00        | (230.70)       |         |
| 9.0000                                                      | Sale                    | 12/13/07                        | 08/08/11                      | 490.21    | 717.48     | 0.00        | (227.27)       |         |
| 6.0000                                                      | Sale                    | 12/26/07                        | 08/08/11                      | 326.80    | 469.56     | 0.00        | (142.76)       |         |
| 3.0000                                                      | Sale                    | 01/04/08                        | 08/08/11                      | 163.40    | 227.10     | 0.00        | (63.70)        |         |

Account No. XXXXXXXXXX

Taxpayer No. 20-7505841

DR DAVID PHILIP ROE TTEE

## 2011 TAX REPORTING STATEMENT

1099-B 2011 PROCEEDS FROM BROKER &amp; BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

| Quantity                                                                      | Transaction Description  | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount           | Cost Basis       | Adjustments | Gain or (Loss)    | Remarks |
|-------------------------------------------------------------------------------|--------------------------|---------------------------------|-------------------------------|------------------|------------------|-------------|-------------------|---------|
| <b>ISHARES S&amp;P GIB TELECOM-<br/>MUNICATIONS SECTOR INDEX<br/>REDEEMED</b> |                          |                                 |                               |                  |                  |             |                   |         |
| 3,0000                                                                        | Sale                     | 01/10/08                        | 08/08/11                      | 163.40           | 233.79           | 0.00        | (70.39)           |         |
| 3,0000                                                                        | Sale                     | 01/31/08                        | 08/08/11                      | 163.40           | 213.33           | 0.00        | (49.93)           |         |
| 1,0000                                                                        | Sale                     | 07/01/08                        | 08/08/11                      | 54.46            | 63.34            | 0.00        | (8.88)            |         |
| 65,0000                                                                       | Sale                     | 01/22/09                        | 08/08/11                      | 3,540.44         | 2,910.54         | 0.00        | 629.90            |         |
|                                                                               | <b>Security Subtotal</b> |                                 |                               | <b>5,828.03</b>  | <b>6,169.43</b>  | <b>0.00</b> | <b>(341.40)</b>   |         |
| <b>ISHARES MSCI EMERGING<br/>MKTS INDEX FD<br/>REDEEMED</b>                   |                          |                                 |                               |                  |                  |             |                   |         |
| 66,0000                                                                       | Sale                     | 02/11/10                        | 08/15/11                      | 2,775.39         | 2,517.01         | 0.00        | 258.38            |         |
|                                                                               | <b>Security Subtotal</b> |                                 |                               |                  |                  |             |                   |         |
| <b>ISHARES BARCLAYS AGGRGT<br/>AGGREGATE BD FUND<br/>REDEEMED</b>             |                          |                                 |                               |                  |                  |             |                   |         |
| 35,0000                                                                       | Sale                     | 01/23/09                        | 07/15/11                      | 3,760.32         | 3,577.32         | 0.00        | 183.00            |         |
| 18,0000                                                                       | Sale                     | 02/04/09                        | 07/15/11                      | 1,933.88         | 1,817.81         | 0.00        | 116.07            |         |
| 14,0000                                                                       | Sale                     | 03/04/09                        | 07/15/11                      | 1,504.14         | 1,397.74         | 0.00        | 106.40            |         |
|                                                                               | <b>Security Subtotal</b> |                                 |                               | <b>7,198.34</b>  | <b>6,792.87</b>  | <b>0.00</b> | <b>405.47</b>     |         |
| <b>ISHARES TR DOW JONES US<br/>REDEEMED</b>                                   |                          |                                 |                               |                  |                  |             |                   |         |
| 61,0000                                                                       | Sale                     | 10/10/07                        | 11/11/11                      | 3,590.76         | 3,770.41         | 0.00        | (179.65)          |         |
|                                                                               | <b>Security Subtotal</b> |                                 |                               |                  |                  |             |                   |         |
| <b>VANGUARD FTSE ALL WORLD<br/>EX US<br/>REDEEMED</b>                         |                          |                                 |                               |                  |                  |             |                   |         |
| 122,0000                                                                      | Sale                     | 12/04/09                        | 08/09/11                      | 5,166.10         | 5,523.54         | 0.00        | (357.44)          |         |
| 15,0000                                                                       | Sale                     | 01/14/10                        | 08/09/11                      | 635.18           | 681.27           | 0.00        | (46.09)           |         |
| 109,0000                                                                      | Sale                     | 01/14/10                        | 09/22/11                      | 4,119.18         | 4,950.56         | 0.00        | (831.38)          |         |
| 133,0000                                                                      | Sale                     | 04/29/10                        | 09/22/11                      | 5,026.16         | 5,866.19         | 0.00        | (840.03)          |         |
| 5,0000                                                                        | Sale                     | 04/30/10                        | 09/22/11                      | 188.95           | 218.65           | 0.00        | (29.70)           |         |
| 31,0000                                                                       | Sale                     | 08/09/10                        | 09/22/11                      | 1,171.51         | 1,361.41         | 0.00        | (189.90)          |         |
| 32,0000                                                                       | Sale                     | 08/11/10                        | 09/22/11                      | 1,209.31         | 1,337.82         | 0.00        | (128.51)          |         |
|                                                                               | <b>Security Subtotal</b> |                                 |                               | <b>17,516.39</b> | <b>19,939.44</b> | <b>0.00</b> | <b>(2,423.05)</b> |         |



Account No. [REDACTED]

Taxpayer No. 20-7505841

DR DAVID PHILIP ROE TTEE

## 2011 TAX REPORTING STATEMENT

1099-B

### 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

(OMB NO. 1545-0715)

| Quantity                                                                 | Transaction Description | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount           | Cost Basis      | Adjustments | Gain or (Loss)  | Remarks |
|--------------------------------------------------------------------------|-------------------------|---------------------------------|-------------------------------|------------------|-----------------|-------------|-----------------|---------|
| <b>SPDR BARCLAYS CAPTL CONV<br/>REDEEMED</b>                             |                         |                                 |                               |                  |                 |             |                 |         |
| 45,000                                                                   | Sale                    | 09/11/09                        | 08/09/11                      | 1,634.36         | 1,808.75        | 0.00        | 25.61           |         |
| 21,000                                                                   | Sale                    | 10/23/09                        | 08/09/11                      | 762.70           | 772.80          | 0.00        | (10.10)         |         |
| 66,000                                                                   | Sale                    | 12/15/09                        | 08/09/11                      | 2,397.09         | 2,492.61        | 0.00        | (95.52)         |         |
| <b>Security Subtotal</b>                                                 |                         |                                 |                               | <b>4,794.15</b>  | <b>4,874.16</b> | <b>0.00</b> | <b>(80.01)</b>  |         |
| <b>HONEYWELL INTL INC DEL<br/>REDEEMED</b>                               |                         |                                 |                               |                  |                 |             |                 |         |
| 74,000                                                                   | Sale                    | 10/13/08                        | 02/18/11                      | 4,285.97         | 2,443.44        | 0.00        | 1,842.53        |         |
| 14,000                                                                   | Sale                    | 02/23/09                        | 02/18/11                      | 810.86           | 404.88          | 0.00        | 405.98          |         |
| <b>Security Subtotal</b>                                                 |                         |                                 |                               | <b>5,096.83</b>  | <b>2,848.32</b> | <b>0.00</b> | <b>2,248.51</b> |         |
| <b>ISHARES TR DOW JONES US<br/>TECHNOLOGY SECTOR INDX F<br/>REDEEMED</b> |                         |                                 |                               |                  |                 |             |                 |         |
| 4,000                                                                    | Sale                    | 03/12/08                        | 01/25/11                      | 266.85           | 212.81          | 0.00        | 54.04           |         |
| 6,000                                                                    | Sale                    | 07/01/08                        | 01/25/11                      | 400.27           | 321.48          | 0.00        | 78.79           |         |
| 57,000                                                                   | Sale                    | 01/16/09                        | 01/25/11                      | 3,802.66         | 1,968.73        | 0.00        | 1,833.93        |         |
| 29,000                                                                   | Sale                    | 01/16/09                        | 08/22/11                      | 1,647.69         | 1,001.64        | 0.00        | 646.05          |         |
| 76,000                                                                   | Sale                    | 01/22/09                        | 08/22/11                      | 4,318.10         | 2,622.91        | 0.00        | 1,695.19        |         |
| 21,000                                                                   | Sale                    | 05/13/09                        | 08/22/11                      | 1,193.16         | 848.81          | 0.00        | 344.35          |         |
| <b>Security Subtotal</b>                                                 |                         |                                 |                               | <b>11,628.73</b> | <b>6,976.38</b> | <b>0.00</b> | <b>4,652.35</b> |         |
| <b>POWERSHARES BUILD AMERIC<br/>BOND ETF<br/>REDEEMED</b>                |                         |                                 |                               |                  |                 |             |                 |         |
| 54,000                                                                   | Sale                    | 02/12/10                        | 11/02/11                      | 1,528.17         | 1,328.04        | 0.00        | 200.13          |         |
| <b>MCDONALDS CORP<br/>REDEEMED</b>                                       |                         |                                 |                               |                  |                 |             |                 |         |
| 57,000                                                                   | Sale                    | 06/03/08                        | 01/10/11                      | 4,214.84         | 3,284.03        | 0.00        | 930.81          |         |
| 2,000                                                                    | Sale                    | 07/01/08                        | 01/10/11                      | 147.89           | 111.60          | 0.00        | 36.29           |         |
| <b>Security Subtotal</b>                                                 |                         |                                 |                               | <b>4,362.73</b>  | <b>3,395.63</b> | <b>0.00</b> | <b>967.10</b>   |         |



Account No.

Taxpayer No.  
20-7505841

DR DAVID PHILIP ROE TTEE

### 2011 TAX REPORTING STATEMENT

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (OMB NO. 1545-0715)

| Transaction Description         | Quantity | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount           | Cost Basis       | Adjustments | Gain or (Loss)    | Remarks |
|---------------------------------|----------|---------------------------------|-------------------------------|------------------|------------------|-------------|-------------------|---------|
| <b>PRUDENTIAL FINANCIAL INC</b> |          |                                 |                               |                  |                  |             |                   |         |
| REDEEMED                        |          | CUSIP Number                    | 744320102                     |                  |                  |             |                   |         |
| 38,000 Sale                     |          | 06/03/10                        | 09/07/11                      | 1,797.67         | 2,273.16         | 0.00        | (475.49)          |         |
| 22,000 Sale                     |          | 06/08/10                        | 09/07/11                      | 1,040.76         | 1,207.80         | 0.00        | (167.04)          |         |
| 2,000 Sale                      |          | 06/08/10                        | 09/07/11                      | 94.61            | 108.51           | 0.00        | (13.90)           |         |
| <b>Security Subtotal</b>        |          |                                 |                               | <b>2,933.04</b>  | <b>3,589.47</b>  | <b>0.00</b> | <b>(656.43)</b>   |         |
| <b>SECTOR SPDR ENERGY</b>       |          |                                 |                               |                  |                  |             |                   |         |
| REDEEMED                        |          | CUSIP Number                    | 81369Y506                     |                  |                  |             |                   |         |
| 51,000 Sale                     |          | 11/23/10                        | 12/05/11                      | 3,652.82         | 3,181.30         | 0.00        | 471.52            |         |
| <b>SECTOR SPDR FINANCIAL</b>    |          |                                 |                               |                  |                  |             |                   |         |
| REDEEMED                        |          | CUSIP Number                    | 81369Y605                     |                  |                  |             |                   |         |
| 170,000 Sale                    |          | 05/10/10                        | 08/10/11                      | 2,097.45         | 2,700.59         | 0.00        | (603.14)          |         |
| 188,000 Sale                    |          | 05/25/10                        | 08/10/11                      | 2,319.53         | 2,619.70         | 0.00        | (300.17)          |         |
| 214,000 Sale                    |          | 07/02/10                        | 08/10/11                      | 2,640.32         | 2,884.72         | 0.00        | (244.40)          |         |
| <b>Security Subtotal</b>        |          |                                 |                               | <b>7,057.30</b>  | <b>8,205.01</b>  | <b>0.00</b> | <b>(1,147.71)</b> |         |
| <b>SECTOR SPDR UTILITIES</b>    |          |                                 |                               |                  |                  |             |                   |         |
| REDEEMED                        |          | CUSIP Number                    | 81369Y886                     |                  |                  |             |                   |         |
| 92,000 Sale                     |          | 09/25/08                        | 02/03/11                      | 2,920.21         | 3,189.43         | 0.00        | (269.22)          |         |
| 90,000 Sale                     |          | 10/08/08                        | 02/03/11                      | 2,856.73         | 2,615.28         | 0.00        | 241.45            |         |
| 90,000 Sale                     |          | 10/09/08                        | 02/03/11                      | 2,856.74         | 2,507.13         | 0.00        | 349.61            |         |
| 89,000 Sale                     |          | 10/23/08                        | 02/03/11                      | 2,825.00         | 2,492.00         | 0.00        | 333.00            |         |
| <b>Security Subtotal</b>        |          |                                 |                               | <b>11,458.68</b> | <b>10,803.84</b> | <b>0.00</b> | <b>654.84</b>     |         |
| <b>TEVA PHARMACTCL INDS ADR</b> |          |                                 |                               |                  |                  |             |                   |         |
| REDEEMED                        |          | CUSIP Number                    | 881624209                     |                  |                  |             |                   |         |
| 63,000 Sale                     |          | 06/24/08                        | 02/09/11                      | 3,268.84         | 2,827.27         | 0.00        | 441.57            |         |
| 2,000 Sale                      |          | 07/01/08                        | 02/09/11                      | 103.77           | 92.54            | 0.00        | 11.23             |         |
| 6,000 Sale                      |          | 02/05/09                        | 02/09/11                      | 311.32           | 254.34           | 0.00        | 56.98             |         |
| <b>Security Subtotal</b>        |          |                                 |                               | <b>3,683.93</b>  | <b>3,174.15</b>  | <b>0.00</b> | <b>509.78</b>     |         |
| <b>UNITED TECHS CORP COM</b>    |          |                                 |                               |                  |                  |             |                   |         |
| REDEEMED                        |          | CUSIP Number                    | 913017109                     |                  |                  |             |                   |         |
| 20,000 Sale                     |          | 08/14/09                        | 09/07/11                      | 1,447.82         | 1,133.72         | 0.00        | 314.10            |         |

DR DAVID PHILIP ROE TTEE

**2011 TAX REPORTING STATEMENT**

1099-B

**2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS**

(OMB NO. 1545-0715)

| Transaction<br>Quantity Description                           | Date Acquired<br>Cover of Short | Date Liquidated<br>Short Sale | Amount            | Cost Basis        | Adjustments | Gain or (Loss)  | Remarks |
|---------------------------------------------------------------|---------------------------------|-------------------------------|-------------------|-------------------|-------------|-----------------|---------|
| <b>WAL-MART STORES INC</b>                                    |                                 |                               |                   |                   |             |                 |         |
| <b>REDEEMED</b>                                               | <b>CUSIP Number</b>             | <b>931142103</b>              |                   |                   |             |                 |         |
| 45,000 Sale                                                   | 12/29/08                        | 07/08/11                      | 2,440.37          | 2,473.22          | 0.00        | (32.85)         |         |
| 14,000 Sale                                                   | 01/08/09                        | 07/08/11                      | 759.22            | 717.50            | 0.00        | 41.72           |         |
| 18,000 Sale                                                   | 08/25/09                        | 07/08/11                      | 976.15            | 935.44            | 0.00        | 40.71           |         |
| 1,000 Sale                                                    | 04/30/10                        | 07/08/11                      | 54.24             | 53.86             | 0.00        | 0.38            |         |
| <b>Security Subtotal</b>                                      |                                 |                               | <b>4,229.98</b>   | <b>4,180.02</b>   | <b>0.00</b> | <b>49.96</b>    |         |
| <b>WALGREEN CO</b>                                            |                                 |                               |                   |                   |             |                 |         |
| <b>REDEEMED</b>                                               | <b>CUSIP Number</b>             | <b>931422109</b>              |                   |                   |             |                 |         |
| 12,000 Sale                                                   | 08/04/10                        | 09/02/11                      | 422.15            | 342.61            | 0.00        | 79.54           |         |
| 93,000 Sale                                                   | 08/04/10                        | 10/06/11                      | 3,083.72          | 2,655.25          | 0.00        | 428.47          |         |
| <b>Security Subtotal</b>                                      |                                 |                               | <b>3,505.87</b>   | <b>2,997.86</b>   | <b>0.00</b> | <b>508.01</b>   |         |
| <b>BLACKROCK INFLATION<br/>PROTECTED BD FD INST CL</b>        |                                 |                               |                   |                   |             |                 |         |
| <b>REDEEMED</b>                                               | <b>CUSIP Number</b>             | <b>091937748</b>              |                   |                   |             |                 |         |
| 2,990 Sale                                                    | 08/20/09                        | 11/02/11                      | 3.54              | 3.17              | 0.00        | 0.37            |         |
| 2,000 Sale                                                    | 05/28/10                        | 11/02/11                      | 23.64             | 22.02             | 0.00        | 1.62            |         |
| 1,000 Sale                                                    | 06/30/10                        | 11/02/11                      | 11.82             | 11.12             | 0.00        | 0.70            |         |
| 1,000 Sale                                                    | 06/30/10                        | 11/02/11                      | 11.82             | 11.08             | 0.00        | 0.74            |         |
| 1,000 Sale                                                    | 10/29/10                        | 11/02/11                      | 11.82             | 11.65             | 0.00        | 0.17            |         |
| <b>Security Subtotal</b>                                      |                                 |                               | <b>62.64</b>      | <b>59.04</b>      | <b>0.00</b> | <b>3.60</b>     |         |
| <b>Noncovered Long Term Capital Gains and Losses Subtotal</b> |                                 |                               | <b>156,399.59</b> | <b>147,424.43</b> | <b>0.00</b> | <b>8,975.16</b> |         |
| <b>NET LONG TERM CAPITAL GAINS AND LOSSES</b>                 |                                 |                               | <b>156,399.59</b> | <b>147,424.43</b> | <b>0.00</b> | <b>8,975.16</b> |         |
| <b>TOTAL CAPITAL GAINS AND LOSSES</b>                         |                                 |                               | <b>352,895.89</b> |                   |             |                 |         |
| <b>TOTAL REPORTED SALES PROCEEDS</b>                          |                                 |                               | <b>352,834.90</b> |                   |             |                 |         |
| <b>DIFFERENCE</b>                                             |                                 |                               | <b>60.99</b>      |                   |             |                 |         |

\*\* Difference results from our inclusion of items within the Proceeds from Broker and Barter Exchange Transactions Section that are not subject to 1099-B reporting (e.g., realized gains and losses from option trading). Although we are not required to report these items to the IRS, we have included them because the gains and losses are relevant to your tax return preparation.

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**DAVID PHILLIP ROE**

**SCHEDULE 2**

Online at: [www.mymerrill.com](http://www.mymerrill.com)

Account Number: [REDACTED]

24Hour Assistance: (800) MERRILL

MLPF&S CUST FPO  
PAMELA A ROE IRA  
FBO PAMELA A ROE  
2 N CROSSBOW LN  
JOHNSON CITY TN 37604-3639

**Net Portfolio Value:**

**\$194,571.36**

Your Financial Advisor:  
SMITH/CONKIN/HAUSMAN  
206 PRINCETON RD SUITE NO 1  
JOHNSON CITY TN 37601  
1-423-282-5191

**Pam's IRA**

This account is enrolled in the Personal Investment Advisory Program

December 01, 2011 - December 30, 2011

| ASSETS                    |  | December 30  | November 30  |
|---------------------------|--|--------------|--------------|
| Cash/Money Accounts       |  | 16,430.95    | 14,094.30    |
| Fixed Income              |  |              |              |
| Equities                  |  | 90,334.72    | 98,807.00    |
| Mutual Funds              |  | 84,662.78    | 78,210.62    |
| Options                   |  |              |              |
| Other                     |  |              |              |
| Alternative Investments   |  | 3,304.91     | 3,702.02     |
| Subtotal (Long Portfolio) |  | 194,733.36   | 194,813.94   |
| TOTAL ASSETS              |  | \$194,733.36 | \$194,813.94 |

| CASH FLOW                         |  | This Statement | Year to Date |
|-----------------------------------|--|----------------|--------------|
| Operating Cash/Money Accounts     |  | \$14,094.30    |              |
| CREDITS                           |  |                |              |
| Funds Received                    |  |                |              |
| Electronic Transfers              |  |                |              |
| Other Credits                     |  |                |              |
| Subtotal                          |  | 1.95           | 67.21        |
| DEBITS                            |  |                |              |
| Electronic Transfers              |  |                |              |
| Other Debits                      |  |                |              |
| Subtotal                          |  |                | (2,383.85)   |
| Net Cash Flow                     |  | 1.95           | (\$2,316.64) |
| Dividends/Interest Income         |  | 1,480.71       | 3,402.24     |
| Dividend Reinvestments            |  | (927.11)       | (927.11)     |
| Security Purchases/Debits         |  | (15,720.15)    | (203,692.72) |
| Security Sales/Credits            |  | 17,501.25      | 208,392.36   |
| Closing Cash/Money Accounts       |  | \$16,430.95    |              |
| Securities You Transferred In/Out |  | 31.18          | 63.89        |

**LIABILITIES**

|                     |              |  |              |
|---------------------|--------------|--|--------------|
| Debit Balance       |              |  |              |
| Short Market Value  | (162.00)     |  | (40.00)      |
| TOTAL LIABILITIES   | (162.00)     |  | (40.00)      |
| NET PORTFOLIO VALUE | \$194,571.36 |  | \$194,773.94 |

Merrill Lynch Wealth Management makes available products and services offered by Merrill Lynch, Pierce, Fenner & Smith Incorporated (MLPF&S) and other subsidiaries of Bank of America Corporation. MLPF&S is a registered broker-dealer, Member Securities Investor Protection Corporation (SIPC) and a wholly owned subsidiary of Bank of America Corporation. Investment products: ☐ Are Not FDIC Insured ☐ Are Not Bank Guaranteed ☐ May Lose Value

Pam's IRA

Account Number [REDACTED]

24-Hour Assistance: (800) MERRILL

## ACCOUNT INVESTMENT OBJECTIVE

December 01, 2011 - December 30, 2011

**TOTAL RETURN:** Objective is to strike a balance between fixed-income instruments for current income and equities for growth. Despite the relatively balanced nature of the portfolio, the investor should be willing to assume the risk of price volatility and principal loss.

If you have changes to your investment objective, please contact your Financial Advisor(s).

## ITEMS FOR ATTENTION

| Security           | Message         | Date     | Security           | Message         | Date     |
|--------------------|-----------------|----------|--------------------|-----------------|----------|
| CALL OEF 00059.000 | Option Expiring | 01/21/12 | CALL MRO 00029.000 | Option Expiring | 01/21/12 |
| CALL MS 00017.500  | Option Expiring | 01/21/12 |                    |                 |          |

## YOUR RETIREMENT ACCOUNT ASSETS

| CASH/MONEY ACCOUNTS       |  | Quantity  |  | Total      |       | Estimated    |  | Estimated    |  | Estimated     |  | Est Annual |  |
|---------------------------|--|-----------|--|------------|-------|--------------|--|--------------|--|---------------|--|------------|--|
| Description               |  |           |  | Cost Basis | 17.03 | Market Price |  | Market Value |  | Annual Income |  | Yield%     |  |
| CASH                      |  |           |  |            |       |              |  |              |  |               |  |            |  |
| FIA CARD SERVICES NA RASP |  | 16,413.92 |  | 16,413.92  |       | 1,0000       |  | 16,413.92    |  | 25            |  | .15        |  |
| <b>TOTAL</b>              |  |           |  | 16,430.95  |       |              |  | 16,430.95    |  | 25            |  | .15        |  |

| EQUITIES                 |        | Quantity |          | Unit       |  | Total      |              | Estimated    |  | Estimated    |  | Unrealized  |               | Estimated Current |  |
|--------------------------|--------|----------|----------|------------|--|------------|--------------|--------------|--|--------------|--|-------------|---------------|-------------------|--|
| Description              | Symbol | Acquired | Quantity | Cost Basis |  | Cost Basis | Market Price | Market Price |  | Market Value |  | Gain/(Loss) | Annual Income | Yield%            |  |
| ABBOTT LABS              | ABT    | 09/22/11 | 35       | 50.2034    |  | 1,757.12   | 56.2300      | 1,968.05     |  | 210.93       |  | 68          | 3.41          |                   |  |
| AIR PRODUCTS&CHEM        | APD    | 08/11/11 | 23       | 78.6756    |  | 1,809.54   | 85.1900      | 1,959.37     |  | 149.83       |  | 54          | 2.72          |                   |  |
| AMERICAN TOWER CORP CL A | AMT    | 11/04/11 | 21       | 57.4485    |  | 1,206.42   | 60.0100      | 1,260.21     |  | 53.79        |  |             |               |                   |  |
| ANADARKO PETE CORP       | APC    | 12/05/11 | 15       | 82.0500    |  | 1,230.75   | 76.3300      | 1,144.95     |  | (85.80)      |  | 6           | .47           |                   |  |
| AUTOMATIC DATA PROC      | ADP    | 08/09/11 | 39       | 46.6225    |  | 1,818.28   | 54.0100      | 2,106.39     |  | 288.11       |  | 62          | 2.92          |                   |  |
| BAXTER INTERNTL INC      | BAX    | 11/22/11 | 28       | 48.8850    |  | 1,368.78   | 49.4800      | 1,385.44     |  | 16.66        |  | 38          | 2.70          |                   |  |
|                          |        | 12/05/11 | 10       | 51.9760    |  | 519.76     | 49.4800      | 494.80       |  | (24.96)      |  | 14          | 2.70          |                   |  |
| <b>Subtotal</b>          |        |          | 38       |            |  | 1,888.54   |              | 1,880.24     |  | (8.30)       |  | 52          | 2.70          |                   |  |

Pam's IRA

Account Number [REDACTED]

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| EQUITIES (continued)   |  | Symbol | Acquired | Quantity | Unit | Cost Basis | Total      | Estimated    | Estimated    | Unrealized  | Estimated     |
|------------------------|--|--------|----------|----------|------|------------|------------|--------------|--------------|-------------|---------------|
| Description            |  |        |          |          |      |            | Cost Basis | Market Price | Market Value | Gain/(Loss) | Annual Income |
| CAPITAL ONE FINL       |  | COF    | 11/04/11 | 26       |      | 46.0000    | 1,196.00   | 42.2900      | 1,099.54     | (96.46)     | 6 .47         |
|                        |  |        | 11/17/11 | 32       |      | 41.4637    | 1,326.84   | 42.2900      | 1,353.28     | 26.44       | 7 .47         |
| Subtotal               |  |        |          | 58       |      |            | 2,522.84   |              | 2,452.82     | (70.02)     | 13 .47        |
| CARMAX INC             |  | KMX    | 11/03/11 | 40       |      | 30.5645    | 1,222.58   | 30.4800      | 1,219.20     | (3.38)      |               |
| CENTURYLINK INC SHS    |  | CTL    | 06/03/11 | 67       |      | 41.5358    | 2,782.90   | 37.2000      | 2,492.40     | (290.50)    | 195 7.79      |
| CHEVRON CORP           |  | CWV    | 08/18/11 | 19       |      | 93.0594    | 1,768.13   | 106.4000     | 2,021.60     | 253.47      | 62 3.04       |
| COCA COLA COM          |  | KO     | 06/10/11 | 28       |      | 65.3953    | 1,831.07   | 69.9700      | 1,959.16     | 128.09      | 53 2.68       |
| CSX CORP               |  | CSX    | 10/04/11 | 94       |      | 18.0976    | 1,701.18   | 21.0600      | 1,979.64     | 278.46      | 46 2.27       |
| DEERE CO               |  | DE     | 03/11/11 | 14       |      | 85.9692    | 1,203.57   | 77.3500      | 1,082.90     | (120.67)    | 23 2.12       |
|                        |  |        | 03/16/11 | 16       |      | 86.4300    | 1,382.88   | 77.3500      | 1,237.60     | (145.28)    | 27 2.12       |
| Subtotal               |  |        |          | 30       |      |            | 2,586.45   |              | 2,320.50     | (265.95)    | 50 2.12       |
| DISCOVER FINL SVCS     |  | DFS    | 11/04/11 | 50       |      | 24.1500    | 1,207.50   | 24.0000      | 1,200.00     | (7.50)      | 20 1.66       |
| DOVER CORP             |  | DVV    | 09/15/11 | 27       |      | 52.8948    | 1,428.16   | 58.0500      | 1,567.35     | 139.19      | 35 2.17       |
|                        |  |        | 10/07/11 | 9        |      | 49.9688    | 449.72     | 58.0500      | 522.45       | 72.73       | 12 2.17       |
| Subtotal               |  |        |          | 36       |      |            | 1,877.88   |              | 2,089.80     | 211.92      | 47 2.17       |
| EATON CORP             |  | ETN    | 11/01/11 | 42       |      | 45.0840    | 1,893.53   | 43.5300      | 1,828.26     | (65.27)     | 58 3.12       |
| EMERSON ELEC CO        |  | EMR    | 08/10/11 | 42       |      | 43.1854    | 1,813.79   | 46.5900      | 1,956.78     | 142.99      | 68 3.43       |
| EXXON MOBIL CORP COM   |  | XOM    | 08/18/11 | 25       |      | 70.7984    | 1,769.96   | 84.7600      | 2,119.00     | 349.04      | 47 2.21       |
| FLUOR CORP NEW DEL COM |  | FLR    | 09/16/11 | 39       |      | 60.7838    | 2,370.57   | 50.2500      | 1,958.75     | (410.82)    | 20 .99        |
| FORD MOTOR CO          |  | F      | 08/14/09 | 47       |      | 7.8523     | 369.06     | 10.7600      | 505.72       | 136.66      | 10 1.85       |
|                        |  |        | 08/25/09 | 171      |      | 7.6000     | 1,299.60   | 10.7600      | 1,839.96     | 540.36      | 35 1.85       |
|                        |  |        | 09/18/09 | 40       |      | 6.9900     | 279.60     | 10.7600      | 430.40       | 150.80      | 8 1.85        |
| Subtotal               |  |        |          | 258      |      |            | 1,948.26   |              | 2,776.08     | 827.82      | 53 1.85       |
| GENL DYNAMICS CORP COM |  | GD     | 09/07/11 | 31       |      | 61.5700    | 1,908.67   | 66.4100      | 2,058.71     | 150.04      | 59 2.83       |
| GOOGLE INC CL A        |  | GOOG   | 09/06/11 | 2        |      | 514.8050   | 1,029.61   | 645.9000     | 1,291.80     | 262.19      |               |
|                        |  |        | 09/07/11 | 1        |      | 533.3700   | 533.37     | 645.9000     | 645.90       | 112.53      |               |
| Subtotal               |  |        |          | 3        |      |            | 1,562.98   |              | 1,937.70     | 374.72      |               |

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3062

Pam's IRA

Account Number [REDACTED]

24-Hour Assistance: (800) MERRILL

# YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| EQUITIES (continued)     |  | Symbol |          | Acquired |  | Quantity |  | Unit       |  | Total      |  | Estimated    |  | Estimated    |  | Unrealized  |               | Estimated Current |      |
|--------------------------|--|--------|----------|----------|--|----------|--|------------|--|------------|--|--------------|--|--------------|--|-------------|---------------|-------------------|------|
| Description              |  |        |          |          |  |          |  | Cost Basis |  | Cost Basis |  | Market Price |  | Market Value |  | Gain/(Loss) | Annual Income | Yield%            |      |
| HESS CORP                |  | HES    | 09/06/11 |          |  | 40       |  | 56.0267    |  | 2,241.07   |  | 56.8000      |  | 2,272.00     |  | 30.93       |               | 16                | .70  |
| HONEYWELL INTL INC DEL   |  | HON    | 10/27/11 |          |  | 18       |  | 54.0000    |  | 972.00     |  | 54.3500      |  | 978.30       |  | 6.30        |               | 27                | 2.74 |
|                          |  |        | 10/31/11 |          |  | 20       |  | 52.9150    |  | 1,058.30   |  | 54.3500      |  | 1,087.00     |  | 28.70       |               | 30                | 2.74 |
|                          |  |        |          |          |  | 38       |  |            |  | 2,030.30   |  |              |  | 2,065.30     |  | 35.00       |               | 57                | 2.74 |
| JACOBS ENGN GRP INC DELA |  | JEC    | 12/09/10 |          |  | 22       |  | 42.2000    |  | 928.40     |  | 40.5800      |  | 892.76       |  | (35.64)     |               |                   |      |
|                          |  |        | 12/10/10 |          |  | 36       |  | 42.3375    |  | 1,524.15   |  | 40.5800      |  | 1,460.88     |  | (63.27)     |               |                   |      |
|                          |  |        |          |          |  | 58       |  |            |  | 2,452.55   |  |              |  | 2,353.64     |  | (98.91)     |               |                   |      |
| JOHNSON AND JOHNSON COM  |  | JNJ    | 08/10/11 |          |  | 30       |  | 61.3800    |  | 1,841.40   |  | 65.5800      |  | 1,967.40     |  | 126.00      |               | 69                | 3.47 |
| JPMORGAN CHASE & CO      |  | JPM    | 08/10/11 |          |  | 91       |  | 34.6835    |  | 3,156.20   |  | 33.2500      |  | 3,025.75     |  | (130.45)    |               | 91                | 3.00 |
|                          |  |        | 09/22/11 |          |  | 15       |  | 29.2900    |  | 439.35     |  | 33.2500      |  | 498.75       |  | 59.40       |               | 15                | 3.00 |
|                          |  |        |          |          |  | 106      |  |            |  | 3,595.55   |  |              |  | 3,524.50     |  | (71.05)     |               | 106               | 3.00 |
| KIMBERLY CLARK           |  | KMB    | 08/09/11 |          |  | 29       |  | 63.4020    |  | 1,838.66   |  | 73.5600      |  | 2,133.24     |  | 294.58      |               | 82                | 3.80 |
| LINCOLN NTL CORP IND NPV |  | LNC    | 03/03/11 |          |  | 54       |  | 30.6635    |  | 1,655.83   |  | 19.4200      |  | 1,048.68     |  | (607.15)    |               | 18                | 1.64 |
|                          |  |        | 03/16/11 |          |  | 54       |  | 28.6016    |  | 1,544.49   |  | 19.4200      |  | 1,048.68     |  | (495.81)    |               | 18                | 1.64 |
|                          |  |        |          |          |  | 108      |  |            |  | 3,200.32   |  |              |  | 2,097.36     |  | (1,102.96)  |               | 36                | 1.64 |
| MARATHON OIL CORP        |  | MRO    | 11/12/10 |          |  | 67       |  | 20.2238    |  | 1,355.00   |  | 29.2700      |  | 1,961.09     |  | 606.09      |               | 41                | 2.04 |
|                          |  |        | 07/07/11 |          |  | 33       |  | 33.0400    |  | 1,090.32   |  | 29.2700      |  | 965.91       |  | (124.41)    |               | 20                | 2.04 |
|                          |  |        |          |          |  | 100      |  |            |  | 2,445.32   |  |              |  | 2,927.00     |  | 481.68      |               | 61                | 2.04 |
| MARATHON PETROLEUM CORP  |  | MPC    | 12/06/11 |          |  | 37       |  | 34.5102    |  | 1,276.88   |  | 33.2900      |  | 1,231.73     |  | (45.15)     |               | 37                | 3.00 |
| MCDONALDS CORP COM       |  | MCD    | 09/22/11 |          |  | 21       |  | 85.5571    |  | 1,796.70   |  | 100.3300     |  | 2,106.93     |  | 310.23      |               | 59                | 2.79 |
| MEDTRONIC INC COM        |  | MDT    | 08/29/11 |          |  | 41       |  | 34.4895    |  | 1,414.07   |  | 38.2500      |  | 1,568.25     |  | 154.18      |               | 40                | 2.53 |
|                          |  |        | 10/07/11 |          |  | 14       |  | 32.7271    |  | 458.18     |  | 38.2500      |  | 535.50       |  | 77.32       |               | 14                | 2.53 |
|                          |  |        |          |          |  | 55       |  |            |  | 1,872.25   |  |              |  | 2,103.75     |  | 231.50      |               | 54                | 2.53 |
| MICROSOFT CORP           |  | MSFT   | 08/03/11 |          |  | 96       |  | 26.6138    |  | 2,554.93   |  | 25.9600      |  | 2,492.16     |  | (62.77)     |               | 77                | 3.08 |
| MORGAN STANLEY           |  | MS     | 08/25/11 |          |  | 106      |  | 17.5900    |  | 1,864.54   |  | 15.1300      |  | 1,603.78     |  | (260.76)    |               | 22                | 1.32 |
|                          |  |        | 08/26/11 |          |  | 4        |  | 16.5700    |  | 66.28      |  | 15.1300      |  | 60.52        |  | (5.76)      |               | 1                 | 1.32 |
|                          |  |        |          |          |  | 710      |  |            |  | 1,930.82   |  |              |  | 1,664.30     |  | (266.52)    |               | 23                | 1.32 |
| NOBLE CORP NAMEN-AKT     |  | NE     | 10/05/11 |          |  | 79       |  | 28.6710    |  | 2,265.01   |  | 30.2200      |  | 2,387.38     |  | 122.37      |               | 47                | 1.95 |

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Pam's IRA

Account Number: [REDACTED]

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| EQUITIES (continued)   |        |          |          |      |            |                  |                        |                        |                        |                                 |
|------------------------|--------|----------|----------|------|------------|------------------|------------------------|------------------------|------------------------|---------------------------------|
| Description            | Symbol | Acquired | Quantity | Unit | Cost Basis | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Current Yield% |
| PAYCHEX INC            | PAYX   | 08/09/11 | 70       |      | 26,274.7   | 1,839.23         | 30.1100                | 2,107.70               | 268.47                 | 90 4.25                         |
| PEPSICO INC            | PEP    | 09/12/11 | 31       |      | 59,828.7   | 1,854.69         | 66.3500                | 2,056.85               | 202.16                 | 64 3.10                         |
| PROCTER & GAMBLE CO    | PG     | 08/09/11 | 30       |      | 59,550.0   | 1,786.50         | 66.7100                | 2,001.30               | 214.80                 | 63 3.14                         |
| QUEST DIAGNOSTICS INC  | DGX    | 09/16/11 | 49       |      | 49,020.0   | 2,401.98         | 58.0600                | 2,844.94               | 442.96                 | 34 1.17                         |
| TERADATA CORP DEL      | TDC    | 09/15/11 | 27       |      | 51,197.0   | 1,382.32         | 48.5100                | 1,309.77               | (72.55)                | (72.55)                         |
|                        |        | 10/07/11 | 15       |      | 53,916.0   | 808.74           | 48.5100                | 727.65                 | (81.09)                | (81.09)                         |
| Subtotal               |        |          | 42       |      |            | 2,191.06         |                        | 2,037.42               | (153.64)               |                                 |
| UNITED TECHS CORP COM  | UTX    | 08/14/09 | 6        |      | 56,686.6   | 340.12           | 73.0900                | 438.54                 | 98.42                  | 12 2.62                         |
|                        |        | 08/28/09 | 20       |      | 59,598.5   | 1,191.97         | 73.0900                | 1,461.80               | 269.83                 | 39 2.62                         |
| Subtotal               |        |          | 26       |      |            | 1,532.09         |                        | 1,900.34               | 368.25                 | 51 2.62                         |
| VALERO ENERGY CORP NEW | VLO    | 12/05/11 | 55       |      | 22,983.4   | 1,264.09         | 21.0500                | 1,157.75               | (106.34)               | 33 2.85                         |
| WAL-MART STORES INC    | WMT    | 08/10/11 | 37       |      | 49,435.6   | 1,829.12         | 59.7600                | 2,211.12               | 382.00                 | 55 2.44                         |
| <b>TOTAL</b>           |        |          |          |      |            | 86,519.46        |                        | 90,334.72              | 3,815.26               | 2,147 2.38                      |

| MUTUAL FUNDS/CLOSED END FUNDS/UIT |                            |                     |                           |                           |                           |                            |                                         |                                              |
|-----------------------------------|----------------------------|---------------------|---------------------------|---------------------------|---------------------------|----------------------------|-----------------------------------------|----------------------------------------------|
| Description                       | Quantity                   | Total<br>Cost Basis | Estimated<br>Market Price | Estimated<br>Market Value | Unrealized<br>Gain/(Loss) | Total Client<br>Investment | Cumulative<br>Investment<br>Return (\$) | Estimated<br>Annual Current<br>Income Yield% |
| EMERGING GLOBAL SHARES            | 132                        | 2,951.40            | 21.9800                   | 2,901.36                  | (50.04)                   | 2,951                      | (50)                                    | 17 .55                                       |
| DOW JONES                         |                            |                     |                           |                           |                           |                            |                                         |                                              |
| SYMBOL: ECON                      | Initial Purchase: 08/15/11 |                     |                           |                           |                           |                            |                                         |                                              |
| Equity 100%                       |                            |                     |                           |                           |                           |                            |                                         |                                              |

|                        |                            |           |         |           |        |        |       |          |
|------------------------|----------------------------|-----------|---------|-----------|--------|--------|-------|----------|
| FIRST EAGLE            | 632                        | 12,936.52 | 20.6500 | 13,050.80 | 114.28 | 10,862 | 2,188 | 286 2.18 |
| OVERSEAS CL I          |                            |           |         |           |        |        |       |          |
| SYMBOL: SGOIX          | Initial Purchase: 09/18/08 |           |         |           |        |        |       |          |
| Equity 100%            |                            |           |         |           |        |        |       |          |
| .8740 Fractional Share | 17.96                      | 20,650.0  |         | 18.05     | .09    |        |       | 1 2.18   |

|                          |     |           |         |           |         |        |      |          |
|--------------------------|-----|-----------|---------|-----------|---------|--------|------|----------|
| ISHARES TRUST S&P MIDCAP | 133 | 11,732.13 | 87.6100 | 11,652.13 | (80.00) | 11,732 | (80) | 149 1.27 |
|--------------------------|-----|-----------|---------|-----------|---------|--------|------|----------|

Pam's IRA

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

# YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT                |                            | (continued) | Total        | Estimated    | Estimated   | Unrealized | Total      | Cumulative  | Estimated                    |
|--------------------------------------------------|----------------------------|-------------|--------------|--------------|-------------|------------|------------|-------------|------------------------------|
| Description                                      | Quantity                   | Cost Basis  | Market Price | Market Value | Gain/(Loss) | Investment | Investment | Return (\$) | Annual Current Income Yield% |
| 400 INDEX FUND                                   |                            |             |              |              |             |            |            |             |                              |
| SYMBOL: IJH                                      | Initial Purchase: 11/16/10 |             |              |              |             |            |            |             |                              |
| Equity 100%                                      |                            |             |              |              |             |            |            |             |                              |
| ISHARES MSCI EMERGING MKTS INDEX FD              | 158                        | 6,181.61    | 37.9400      | 5,994.52     | (187.09)    | 6,181      | (187)      | 128         | 2.12                         |
| SYMBOL: EEM                                      | Initial Purchase: 02/11/10 |             |              |              |             |            |            |             |                              |
| Equity 100%                                      |                            |             |              |              |             |            |            |             |                              |
| ISHARES TR DOW JONES US                          | 83                         | 4,687.94    | 58.7600      | 4,877.08     | 189.14      | 4,687      | 189        | 13          | .26                          |
| SYMBOL: IJH                                      | Initial Purchase: 04/21/08 |             |              |              |             |            |            |             |                              |
| Equity 100%                                      |                            |             |              |              |             |            |            |             |                              |
| ISHARES TR DOW JONES US TECHNOLOGY SECTOR INDX F | 230                        | 10,873.23   | 63.9000      | 14,697.00    | 3,823.77    | 10,873     | 3,823      | 90          | .60                          |
| SYMBOL: IYW                                      | Initial Purchase: 01/16/09 |             |              |              |             |            |            |             |                              |
| Equity 100%                                      |                            |             |              |              |             |            |            |             |                              |
| ISHARES TR RUSSELL 2000 INDEX FD                 | 33                         | 2,456.19    | 73.7500      | 2,433.75     | (22.44)     | 2,456      | (22)       | 34          | 1.39                         |
| SYMBOL: INM                                      | Initial Purchase: 12/23/11 |             |              |              |             |            |            |             |                              |
| Equity 100%                                      |                            |             |              |              |             |            |            |             |                              |
| ISHARES S&P 100 INDEX FUND                       | 173                        | 9,713.28    | 57.0300      | 9,866.19     | 152.91      | 9,713      | 152        | 205         | 2.06                         |
| SYMBOL: OEF                                      | Initial Purchase: 10/19/11 |             |              |              |             |            |            |             |                              |
| Equity 100%                                      |                            |             |              |              |             |            |            |             |                              |

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3062

Pam's IRA

Account Number [REDACTED]

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT (continued) |  | Description                |  | Quantity | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Total Client Investment | Cumulative Investment Return (%) | Estimated Annual Current Income Yield% |
|-----------------------------------------------|--|----------------------------|--|----------|------------------|------------------------|------------------------|------------------------|-------------------------|----------------------------------|----------------------------------------|
| KAYNE ANDERSON MLP                            |  | SYMBOL: KYN                |  | 118      | 3,168.21         | 30.3700                | 3,583.66               | 415.45                 | 3,168                   | 415                              | 241 6.71                               |
| Equity 100%                                   |  | Initial Purchase: 08/18/10 |  |          |                  |                        |                        |                        |                         |                                  |                                        |
| PENNYSYLVANIA MUTUAL FD                       |  | SYMBOL: PENMX              |  | 704      | 6,268.03         | 10.7600                | 7,575.04               | 1,307.01               | 5,950                   | 1,625                            | 14 .17                                 |
| Equity 100%                                   |  | Initial Purchase: 07/22/09 |  |          |                  |                        |                        |                        |                         |                                  |                                        |
| 2050 Fractional Share                         |  |                            |  |          | 2.17             | 10.7600                | 2.21                   | .04                    |                         |                                  | .17                                    |
| SECTOR SPDR CONSMRS STPL                      |  | SYMBOL: XLP                |  | 121      | 3,867.16         | 32.4900                | 3,931.29               | 64.13                  | 3,867                   | 64                               | 108 2.72                               |
| Equity 100%                                   |  | Initial Purchase: 12/09/11 |  |          |                  |                        |                        |                        |                         |                                  |                                        |
| TORTOISE MLP FD INC                           |  | SYMBOL: NTG                |  | 79       | 1,980.58         | 25.7700                | 2,035.83               | 55.25                  | 1,980                   | 55                               | 131 6.40                               |
| Equity 100%                                   |  | Initial Purchase: 12/02/11 |  |          |                  |                        |                        |                        |                         |                                  |                                        |
| VANGUARD FINANCIALS ETF                       |  | SYMBOL: VFH                |  | 74       | 2,036.27         | 27.6199                | 2,043.87               | 7.60                   | 2,036                   | 7                                | 42 2.02                                |
| Equity 100%                                   |  | Initial Purchase: 12/02/11 |  |          |                  |                        |                        |                        |                         |                                  |                                        |
| Subtotal (Equities)                           |  |                            |  |          |                  |                        | 84,662.78              |                        |                         |                                  |                                        |

Pam's IRA

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT (continued) |          |                  |                        |                        |                        |                         |                                   |                         |                |
|-----------------------------------------------|----------|------------------|------------------------|------------------------|------------------------|-------------------------|-----------------------------------|-------------------------|----------------|
| Description                                   | Quantity | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Total Client Investment | Cumulative Investment Return (\$) | Estimated Annual Income | Current Yield% |
| <b>TOTAL</b>                                  |          | <b>78,872.68</b> |                        | <b>84,662.78</b>       | <b>5,790.10</b>        |                         | <b>8,179</b>                      | <b>1,459</b>            | <b>1.72</b>    |

**Total Client Investment:** Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.

**Cumulative Investment Return:** Estimated Market Value minus Total Client Investment.

**Cumulative Investment Return** is the dollar value of the capital appreciation (depreciation) of all shares purchased and still held, including shares acquired through reinvestment of dividends and distributions, which may be greater or less than the actual income distributed.

**Market Timing:** Merrill Lynch's policies prohibit mutual fund market timing, which involves the purchase and sale of mutual fund shares within short periods of time with the intention of capturing short-term profits resulting from market volatility. Market timing may result in lower returns for long-term fund shareholders because market timers capture short-term gains that would otherwise pass to all shareholders and due to increased transaction costs and fewer assets for investment due to the need to retain cash to satisfy redemptions.

| ALTERNATIVE INVESTMENTS |          |            |                 |                  |                        |                        |                        |                         |                |
|-------------------------|----------|------------|-----------------|------------------|------------------------|------------------------|------------------------|-------------------------|----------------|
| Description             | Acquired | Quantity   | Unit Cost Basis | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Current Yield% |
| ISHARES GOLD TR         | 10/04/11 | 213        | 16.1300         | 3,435.69         | 15.2300                | 3,243.99               | (191.70)               |                         |                |
| ISHARES GOLD TR         | 10/04/11 | 4          | 15.9175         | 63.67            | 15.2300                | 60.92                  | (2.75)                 |                         |                |
| <i>Subtotal</i>         |          | <i>217</i> |                 | <i>3,499.36</i>  |                        | <i>3,304.91</i>        | <i>(194.45)</i>        |                         |                |
| <b>TOTAL</b>            |          |            |                 | <b>3,499.36</b>  |                        | <b>3,304.91</b>        | <b>(194.45)</b>        |                         |                |

| LONG PORTFOLIO |  |                           |                        |                        |                            |                         |                |  |  |
|----------------|--|---------------------------|------------------------|------------------------|----------------------------|-------------------------|----------------|--|--|
|                |  | Adjusted/Total Cost Basis | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Accrued Interest | Estimated Annual Income | Current Yield% |  |  |
| <b>TOTAL</b>   |  | <b>185,322.45</b>         | <b>194,733.36</b>      | <b>9,410.91</b>        |                            | <b>3,630</b>            | <b>1.86</b>    |  |  |

|            |         |           |           |                                                                                                                                                                                                                             |      |     |         |           |
|------------|---------|-----------|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|-----|---------|-----------|
| Part's IRA | Settled | 1/4/2011  | 1/7/2011  | Sale<br>C.H. ROBINSON WORLDWIDE, INC. NEW PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.<br>WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | CHRW | -49 | 80.5047 | 3,944.66  |
| Part's IRA | Settled | 1/10/2011 | 1/13/2011 | Purchase<br>DISNEY (WALT) CO COM STK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                | DIS  | 83  | 39.3994 | -3,270.15 |
| Part's IRA | Settled | 1/10/2011 | 1/13/2011 | Sale<br>MCDONALDS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                          | MCD  | -41 | 73.9457 | 3,031.72  |
| Part's IRA | Settled | 1/12/2011 | 1/18/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                                                     | IJH  | 6   | 92.339  | -554.03   |

|            |         |           |           |                                                                                                                                                                                                                                                                              |        |      |          |           |
|------------|---------|-----------|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|------|----------|-----------|
| Part's IRA | Settled | 1/21/2011 | 1/24/2011 | Sale<br>CALL F 00019.000 FORD MOTOR CO NEW EXP 03-19-11 OPEN TRAN F MAR 19.00000                                                                                                                                                                                             | F1119C | -2   | 0.52     | 103.89    |
| Part's IRA | Settled | 1/21/2011 | 1/24/2011 | Purchase<br>CALL F 00017.500 FORD MOTOR CO NEW EXP 01-22-11 CLOSE TRAN F JAN 17.50000                                                                                                                                                                                        | F1122A | 2    | 0.448582 | -89.72    |
| Part's IRA | Settled | 1/21/2011 | 1/28/2011 | Sale<br>HESS CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                                    | HES    | -48  | 79.0036  | 3,792.10  |
| Part's IRA | Settled | 1/21/2011 | 1/26/2011 | Sale<br>VALERO ENERGY CORP NEW PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                       | VLO    | -140 | 24.1728  | 3,384.13  |
| Part's IRA | Settled | 1/25/2011 | 1/26/2011 | Purchase<br>ASTON/OPTIMUM MID CAP FD CL I FRAC SHR QUANTITY .183 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | ABMIX  | 19   | 32.79    | -629.01   |
| Part's IRA | Settled | 1/28/2011 | 1/31/2011 | Purchase<br>ASTON/OPTIMUM MID CAP FD CL I FULL SHARE ACCUM SHARE VALUE \$32.71                                                                                                                                                                                               | ABMIX  | 16   | 32.55    | -540      |
| Part's IRA | Settled |           | 1/31/2011 | Journal Entry                                                                                                                                                                                                                                                                | ABMIX  | 1    |          | 0         |
| Part's IRA | Settled | 1/28/2011 | 2/2/2011  | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PRODUCT DESCRIPTION ENCL. ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                                                                                                     | IUH    | 8    | 91.7972  | -734.38   |
| Part's IRA | Settled | 2/3/2011  | 2/8/2011  | Purchase<br>APPLE INC PER THE PIA AGREEMENT WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                                                                                                                                                         | AAPL   | 4    | 341.2408 | -1,364.96 |

|           |         |          |          |                                                                                                                                                                                                                               |       |      |          |           |
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| Sam's IRA | Settled | 2/3/2011 | 2/8/2011 | Purchase<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | 67   | 40.8396  | -2,742.95 |
| Sam's IRA | Settled | 2/3/2011 | 2/8/2011 | Purchase<br>E TRADE FINL CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                  | ETFC  | 160  | 16.9827  | -2,717.23 |
| Sam's IRA | Settled | 2/3/2011 | 2/8/2011 | Purchase<br>KIMBERLY CLARK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                            | KMB   | 42   | 64.6912  | -2,717.03 |
| Sam's IRA | Settled | 2/3/2011 | 2/8/2011 | Purchase<br>METLIFE INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                           | MET   | 73   | 46.3493  | -3,383.50 |
| Sam's IRA | Settled | 2/3/2011 | 2/8/2011 | Sale<br>MCKESSON CORPORATION COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                      | MCK   | -46  | 76.3443  | 3,511.77  |
| Sam's IRA | Settled | 2/3/2011 | 2/8/2011 | Sale<br>SECTOR SPDR UTILITIES PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                         | XLU   | -257 | 31.7421  | 8,157.56  |
| Sam's IRA | Settled | 2/3/2011 | 2/8/2011 | Purchase<br>STANDARD&POORS DEP RCPT ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                                                                                                | SPY   | 49   | 130.3    | -6,384.70 |
| Sam's IRA | Settled | 2/7/2011 | 2/8/2011 | Purchase<br>CALL F 00019.000 FORD MOTOR CO NEW EXP 03-19-11 CLOSE TRAN F MAR 19.00000                                                                                                                                         | F119C | 2    | 0.068745 | -13.75    |
| Sam's IRA | Settled | 2/4/2011 | 2/9/2011 | Sale<br>CISCO SYSTEMS INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                  | CSCO  | -156 | 21.9196  | 3,419.39  |

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|           |         |           |           | Sale<br>TEVA PHARMACTCL INDS ADR PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT               | TEVA | -50 | 51,8873  | 2,594.32  |
| Pam's IRA | Settled | 2/9/2011  | 2/14/2011 |                                                                                                                                                                                                                                     |      |     |          |           |
|           |         |           |           | Sale<br>HONEYWELL INTL INC DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                        | HON  | -61 | 57,9197  | 3,533.03  |
| Pam's IRA | Settled | 2/18/2011 | 2/24/2011 |                                                                                                                                                                                                                                     |      |     |          |           |
|           |         |           |           | Purchase<br>SALESFORCE COM INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                        | CRM  | 20  | 142,324  | -2,846.48 |
| Pam's IRA | Settled | 2/25/2011 | 3/2/2011  |                                                                                                                                                                                                                                     |      |     |          |           |
|           |         |           |           | Purchase<br>LINCOLN NTL CORP IND NPV PER THE PIA AGREEMENT EXECUTED 100% AGENCY EXECUTED ON<br>MULTIPLE MAR ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED/ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT         | LNC  | 54  | 30,6636  | -1,655.83 |
| Pam's IRA | Settled | 3/3/2011  | 3/8/2011  |                                                                                                                                                                                                                                     |      |     |          |           |
|           |         |           |           | Sale<br>QUEST DIAGNOSTICS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                         | DGX  | -60 | 56,136   | 3,368.10  |
| Pam's IRA | Settled | 3/3/2011  | 3/8/2011  |                                                                                                                                                                                                                                     |      |     |          |           |
|           |         |           |           | Purchase<br>DEERE CO PER THE PIA AGREEMENT ML ACTED AS AGENT                                                                                                                                                                        | DE   | 19  | 85,989   | -1,633.41 |
| Pam's IRA | Settled | 3/11/2011 | 3/16/2011 |                                                                                                                                                                                                                                     |      |     |          |           |
|           |         |           |           | Sale<br>COCA COLA COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 | KO   | -54 | 63,5836  | 3,433.44  |
| Pam's IRA | Settled | 3/14/2011 | 3/17/2011 |                                                                                                                                                                                                                                     |      |     |          |           |
|           |         |           |           | Purchase<br>APPLE INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY EXECUTED ON MULTIPLE MAR ACTUAL<br>PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.<br>WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | AAPL | 6   | 342,2832 | -2,053.58 |
| Pam's IRA | Settled | 3/15/2011 | 3/18/2011 |                                                                                                                                                                                                                                     |      |     |          |           |
|           |         |           |           | Sale<br>WALGREEN CO PER THE PIA AGREEMENT ML ACTED AS AGENT                                                                                                                                                                         | WAG  | -22 | 40,84    | 898.46    |
| Pam's IRA | Settled | 3/15/2011 | 3/18/2011 |                                                                                                                                                                                                                                     |      |     |          |           |

|           |         |           |           |                                                                                                                                                                                              |     |     |          |           |
|-----------|---------|-----------|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|-----|----------|-----------|
| Sam's IRA | Settled | 3/16/2011 | 3/21/2011 | Purchase<br>DEERE CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                 | DE  | 16  | 86.43    | -1,382.88 |
| Sam's IRA | Settled | 3/16/2011 | 3/21/2011 | Purchase<br>LINCOLN NTL CORP IND NPV PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | LNC | 54  | 28.8016  | -1,544.49 |
| Sam's IRA | Settled | 4/18/2011 | 4/21/2011 | Purchase<br>JOHNSON CONTROLS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT     | JCI | 42  | 38.2748  | -1,607.54 |
| Sam's IRA | Settled | 4/20/2011 | 4/26/2011 | Purchase<br>SALESFORCE COM INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT       | CRM | 4   | 141.2971 | -565.19   |
| Sam's IRA | Settled | 4/28/2011 | 5/3/2011  | Purchase<br>KAYNE ANDERSON MLP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT       | KYN | 17  | 30.4799  | -518.16   |
| Sam's IRA | Settled | 5/3/2011  | 5/6/2011  | Purchase<br>HEWLETT PACKARD CO DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT   | HPQ | 16  | 39.91    | -638.56   |
| Sam's IRA | Settled | 5/5/2011  | 5/10/2011 | Sale<br>MARATHON OIL CORP PER THE PIA AGREEMENT ML ACTED AS AGENT                                                                                                                            | MRO | -24 | 49.4719  | 1,187.31  |
| Sam's IRA | Settled | 5/17/2011 | 5/20/2011 | Purchase<br>JOHNSON CONTROLS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT     | JCI | 43  | 38.1392  | -1,639.99 |
| Sam's IRA | Settled | 6/1/2011  | 6/6/2011  | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                      | IJH | 18  | 97.5521  | -1,755.94 |

|            |         |          |          |                                                                                                                                                                                                 |     |      |          |           |
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| Part's IRA | Settled | 6/3/2011 | 6/8/2011 | Purchase<br>APACHE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT              | APA | 26   | 119,7386 | -3,113.20 |
| Part's IRA | Settled | 6/3/2011 | 6/8/2011 | Purchase<br>CENTURYLINK INC SHS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT   | CTL | 77   | 41,5368  | -3,198.26 |
| Part's IRA | Settled | 6/3/2011 | 6/8/2011 | Sale<br>CORNING INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                  | GLW | -157 | 19,1014  | 2,998.86  |
| Part's IRA | Settled | 6/3/2011 | 6/8/2011 | Purchase<br>GOODYEAR TIRE RUBBER PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT  | GT  | 193  | 16,6302  | -3,209.63 |
| Part's IRA | Settled | 6/3/2011 | 6/8/2011 | Sale<br>HEWLETT PACKARD CO DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | HPQ | -84  | 36.29    | 3,048.30  |
| Part's IRA | Settled | 6/3/2011 | 6/8/2011 | Sale<br>KIMBERLY CLARK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT            | KMB | -42  | 65,9427  | 2,769.54  |
| Part's IRA | Settled | 6/3/2011 | 6/8/2011 | Sale<br>NEXTERA ENERGY INC SHS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | NEE | -55  | 54,772   | 3,012.40  |
| Part's IRA | Settled | 6/3/2011 | 6/8/2011 | Sale<br>SALESFORCE COM INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT        | CRM | -24  | 145,7953 | 3,499.02  |
| Part's IRA | Settled | 6/3/2011 | 6/8/2011 | Purchase<br>WSTN DIGITAL CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | WDC | 90   | 35.31    | -3,177.90 |

|            |         |           |           |                                                                                                                                                                                                                                            |        |      |          |           |
|------------|---------|-----------|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|------|----------|-----------|
| Part's IRA | Settled | 6/15/2011 | 6/20/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML<br>ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | UJH    | 11   | 93.4998  | -1,028.50 |
| Part's IRA | Settled | 6/24/2011 | 6/27/2011 | Sale<br>CALL GT 00018.000 GOODYEAR TIRE RUBBER EXP 08-20-11 OPEN TRAN GT AUG 18.00000                                                                                                                                                      | GT1120 | -1   | 0.35     | 34.99     |
| Part's IRA | Settled | 6/28/2011 | 7/1/2011  | Sale<br>E TRADE FINL CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                             | ETFC   | -160 | 13.4722  | 2,155.51  |
| Part's IRA | Settled |           | 7/6/2011  | DUBB<br>MARATHON PETROLEUM CORP                                                                                                                                                                                                            | MPC    | 33   |          | 0         |
| Part's IRA | Settled |           | 7/7/2011  | Stock Dividend<br>MARATHON PETROLEUM CORP HOLDING 67.0000 PAID BY MARATHON OIL COR PAY DATE 07/07/2011                                                                                                                                     | MPC    | 33   |          | 0         |
| Part's IRA | Settled |           | 7/7/2011  | DUBB<br>MARATHON PETROLEUM CORP                                                                                                                                                                                                            | MPC    | -33  |          | 0         |
| Part's IRA | Settled | 7/6/2011  | 7/11/2011 | Sale<br>ANADARKO PETE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                   | APC    | -47  | 78.5     | 3,688.43  |
| Part's IRA | Settled | 7/6/2011  | 7/11/2011 | Sale<br>APACHE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                             | APA    | -26  | 123.5    | 3,210.94  |
| Part's IRA | Settled | 7/6/2011  | 7/11/2011 | Sale<br>APPLE INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND<br>THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML<br>ACTED AS AGENT                                     | AAPL   | -10  | 348.4501 | 3,484.43  |

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|------------|---------|-----------|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----|------|----------|-----------|
| Part's IRA | Settled | 7/6/2011  | 7/1/2011  | Purchase<br>E M C CORPORATION MASS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                            |  | EMC | 117  | 27,749.1 | -3,246.64 |
| Part's IRA | Settled | 7/6/2011  | 7/1/2011  | Purchase<br>JABIL CIRCUIT INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 |  | JBL | 158  | 20,911.3 | -3,303.99 |
| Part's IRA | Settled | 7/6/2011  | 7/1/2011  | Purchase<br>RANGE RESOURCES CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                          |  | RRC | 57   | 57,054.2 | -3,262.09 |
| Part's IRA | Settled | 7/7/2011  | 7/12/2011 | Purchase<br>MARATHON OIL CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 |  | MRO | 33   | 33.04    | -1,090.32 |
| Part's IRA | Settled | 7/8/2011  | 7/13/2011 | Sale<br>ISHARES S&P 500 VALUE INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL<br>PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.<br>ML ACTED AS AGENT                                      |  | IVE | -134 | 62,404.3 | 8,362.02  |
| Part's IRA | Settled | 7/8/2011  | 7/13/2011 | Sale<br>MARATHON PETROLEUM CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                               |  | MPC | -33  | 41.25    | 1,361.22  |
| Part's IRA | Settled | 7/8/2011  | 7/13/2011 | Sale<br>WAL-MART STORES INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                   |  | WMT | -64  | 54,231.5 | 2,928.44  |
| Part's IRA | Settled | 7/11/2011 | 7/14/2011 | Purchase<br>GENUINE PARTS CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                  |  | GPC | 57   | 56,797.6 | -3,237.46 |
| Part's IRA | Settled | 7/14/2011 | 7/19/2011 | Purchase<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS<br>ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN<br>WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT |  | XLF | 251  | 15,099.7 | -3,790.02 |

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| 3am's IRA | Settled | 7/27/2011 | 8/1/2011 | Purchase<br>KAYNE ANDERSON MLP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                  | KYN    | 30   | 27.7493  | -832.48   |
| 3am's IRA | Settled | 7/29/2011 | 8/3/2011 | Purchase<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS<br>ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN<br>WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | SPY    | 30   | 129.144  | -3,874.32 |
| 3am's IRA | Settled | 8/2/2011  | 8/3/2011 | Purchase<br>CALL GT 00018.000 GOODYEAR TIRE RUBBER EXP 08-20-11 CLOSE TRAN GT AUG 18.00000                                                                                                                                                    | GT1120 | 1    | 0.057451 | -5.75     |
| 3am's IRA | Settled | 8/2/2011  | 8/5/2011 | Purchase<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS<br>ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN<br>WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | SPY    | 16   | 126.6975 | -2,027.16 |
| 3am's IRA | Settled | 8/3/2011  | 8/8/2011 | Purchase<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                           | AMZN   | 7    | 211.1333 | -1,477.93 |
| 3am's IRA | Settled | 8/3/2011  | 8/8/2011 | Sale<br>FEDERATED INVESTRS B PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                    | FII    | -122 | 20.6973  | 2,525.02  |
| 3am's IRA | Settled | 8/3/2011  | 8/8/2011 | Purchase<br>FIFTH THIRD BANCORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                          | FTB    | 254  | 11.8647  | -3,013.63 |
| 3am's IRA | Settled | 8/3/2011  | 8/8/2011 | Purchase<br>MICROSOFT CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                               | MSFT   | 114  | 26.6139  | -3,033.98 |
| 3am's IRA | Settled | 8/8/2011  | 8/9/2011 | Sale<br>ASTON/FAIRPOINTE MID CAP FD CL I FRAC SHR QUANTITY 216 PER THE PIA AGREEMENT THIS SALE<br>CONSTITUTES A REDEMPTION.                                                                                                                   | ABMX   | -163 | 25.9     | 4,227.29  |

|            |         |          |           |                                                                                                                                                                                                                                                                          |       |     |         |           |
|------------|---------|----------|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-----|---------|-----------|
| Part's IRA | Settled | 8/9/2011 | 8/10/2011 | Purchase<br>FIRST EAGLE OVERSEAS CL I FRAC SHR QUANTITY .876 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | SGOIX | 114 | 22.68   | -2,605.39 |
| Part's IRA | Settled | 8/8/2011 | 8/11/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                     | IJH   | 26  | 81.7991 | -2,126.78 |
| Part's IRA | Settled | 8/8/2011 | 8/11/2011 | Sale<br>ISHARES S&P GBL HEALTH CARE SECTOR INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                            | IJX   | -77 | 50.6774 | 3,902.09  |
| Part's IRA | Settled | 8/8/2011 | 8/11/2011 | Sale<br>ISHARES S&P GBL TELECOM- MUNICATIONS SECTOR INDEX PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                        | IXP   | -75 | 54.4686 | 4,085.07  |
| Part's IRA | Settled | 8/9/2011 | 8/12/2011 | Purchase<br>AUTOMATIC DATA PROC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                           | ADP   | 39  | 46.6226 | -1,918.28 |
| Part's IRA | Settled | 8/9/2011 | 8/12/2011 | Purchase<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                  | BAX   | 35  | 51.2    | -1,792.00 |
| Part's IRA | Settled | 8/9/2011 | 8/12/2011 | Sale<br>VANGUARD FTSE ALL WORLD EX US PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                            | VEU   | -87 | 42.3459 | 3,684.02  |
| Part's IRA | Settled | 8/9/2011 | 8/12/2011 | Purchase<br>KIMBERLY CLARK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                       | KMB   | 29  | 63.4022 | -1,938.66 |
| Part's IRA | Settled | 8/9/2011 | 8/12/2011 | Purchase<br>PAYCHEX INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                                   | PAYX  | 70  | 26.2747 | -1,839.23 |

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| 2ant's IRA | Settled | 8/9/2011  | 8/12/2011 | Purchase<br>PROCTOR & GAMBLE CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | PG  | 30   | 59.55    | -1,786.50 |
| 2ant's IRA | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>COCA COLA COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT           | KO  | 28   | 65.3954  | -1,831.07 |
| 2ant's IRA | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>EMERSON ELEC CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT         | EMR | 42   | 43.1855  | -1,813.79 |
| 2ant's IRA | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>JPMORGAN CHASE & CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | JPM | 91   | 34.6835  | -3,156.20 |
| 2ant's IRA | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>JOHNSON AND JOHNSON COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | JNJ | 30   | 61.38    | -1,841.40 |
| 2ant's IRA | Settled | 8/10/2011 | 8/15/2011 | Sale<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT       | XLF | -632 | 12.3382  | 7,797.59  |
| 2ant's IRA | Settled | 8/10/2011 | 8/15/2011 | Sale<br>STANDARD&POORS DEPRCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT      | SPY | -64  | 115.9673 | 7,421.77  |
| 2ant's IRA | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>WAL-MART STORES INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | WMT | 37   | 49.4357  | -1,829.12 |
| 2ant's IRA | Settled | 8/11/2011 | 8/16/2011 | Purchase<br>AIR PRODUCTS&CHEM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT       | APD | 23   | 78.6757  | -1,809.54 |

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| Pam's IRA | Settled | 8/11/2011 | 8/16/2011 | Purchase<br>GENERAL MILLS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                | GIS     | 52  | 35.1188  | -1,826.18 |
| Pam's IRA | Settled | 8/11/2011 | 8/16/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                          | SPY     | -25 | 114.1567 | 2,853.87  |
| Pam's IRA | Settled | 8/11/2011 | 8/16/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                          | SPY     | -7  | 115.6744 | 809.7     |
| Pam's IRA | Settled | 8/11/2011 | 8/16/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                          | SPY     | -16 | 117.3    | 1,876.76  |
| Pam's IRA | Settled | 8/15/2011 | 8/16/2011 | Sale<br>CALL JBL 00016.000 JABIL CIRCUIT INC EXP 09-17-11 OPEN TRAN JBL SEP 16.00000                                                                                                                                                                   | JBL1117 | -1  | 1.25     | 124.99    |
| Pam's IRA | Settled | 8/12/2011 | 8/17/2011 | Sale<br>SECTOR SPDR ENERGY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                               | XLE     | -72 | 66.9016  | 4,816.83  |
| Pam's IRA | Settled | 8/15/2011 | 8/18/2011 | Purchase<br>FIFTH THIRD BANCORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                                   | FTB     | 37  | 9.7499   | -360.75   |
| Pam's IRA | Settled | 8/15/2011 | 8/18/2011 | Sale<br>ISHARES MSCI EMERGING MKTS INDEX FD PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON<br>REQUEST. ML ACTED AS AGENT                                              | EEM     | -45 | 42.0521  | 1,892.30  |
| Pam's IRA | Settled | 8/15/2011 | 8/18/2011 | Purchase<br>EMERGING GLOBAL SHARES DOW JONES PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE<br>CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | ECON    | 84  | 22.4957  | -1,889.64 |

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| 2ant's IRA | Settled | 8/17/2011 | 8/22/2011 | Purchase<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT    | AMZN | 3   | 195.1818 | -585.55   |
| 2ant's IRA | Settled | 8/18/2011 | 8/23/2011 | Purchase<br>CHEVRON CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                 | CVX  | 19  | 93.0595  | -1,768.13 |
| 2ant's IRA | Settled | 8/18/2011 | 8/23/2011 | Purchase<br>EXXON MOBIL CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                         | XOM  | 25  | 70.7984  | -1,769.96 |
| 2ant's IRA | Settled | 8/18/2011 | 8/23/2011 | Sale<br>SECTOR SPDR ENERGY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                               | XLE  | -49 | 64.0323  | 3,137.52  |
| 2ant's IRA | Settled | 8/19/2011 | 8/24/2011 | Purchase<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT    | AMZN | 5   | 184.62   | -923.1    |
| 2ant's IRA | Settled | 8/22/2011 | 8/25/2011 | Sale<br>ISHARES TR DOW JONES US TECHNOLOGY SECTOR INDX F PER THE PIA AGREEMENT EXECUTED<br>100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IYW  | -73 | 56.8182  | 4,147.65  |
| 2ant's IRA | Settled | 8/25/2011 | 8/30/2011 | Purchase<br>MORGAN STANLEY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                               | MS   | 106 | 17.59    | -1,864.54 |
| 2ant's IRA | Settled | 8/26/2011 | 8/31/2011 | Purchase<br>MORGAN STANLEY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                               | MS   | 4   | 16.57    | -66.28    |
| 2ant's IRA | Settled | 8/29/2011 | 9/1/2011  | Purchase<br>MEDTRONIC INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                            | MDT  | 41  | 34.4894  | -1,414.07 |

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| Part's IRA | Settled | 8/30/2011 | 9/2/2011 | Sale<br>DISNEY (WALT) CO COM STK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                  | DIS   | -83 | 33       | 2,738.95  |
| Part's IRA | Settled | 9/2/2011  | 9/8/2011 | Sale<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                 | AMZN  | -4  | 207.8902 | 831.54    |
| Part's IRA | Settled | 9/2/2011  | 9/8/2011 | Sale<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | -9  | 40.6223  | 365.59    |
| Part's IRA | Settled | 9/2/2011  | 9/8/2011 | Sale<br>DEERE CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                  | DE    | -5  | 77.9982  | 369.98    |
| Part's IRA | Settled | 9/2/2011  | 9/8/2011 | Sale<br>GENUINE PARTS CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                          | GPC   | -13 | 53.92    | 700.95    |
| Part's IRA | Settled | 9/2/2011  | 9/8/2011 | Sale<br>WALGREEN CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                               | WAG   | -11 | 35.1801  | 386.97    |
| Part's IRA | Settled | 9/6/2011  | 9/9/2011 | Sale<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | -18 | 39.99    | 719.81    |
| Part's IRA | Settled | 9/6/2011  | 9/9/2011 | Purchase<br>GOOGLE INC CL A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                | GOOG  | 2   | 514.8025 | -1,029.61 |
| Part's IRA | Settled | 9/6/2011  | 9/9/2011 | Purchase<br>HESS CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                             | HES   | 40  | 56.0268  | -2,241.07 |

|            |         |           |           |                                                                                                                                                                                                                           |         |     |         |           |
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| Part's IRA | Settled | 9/7/2011  | 9/12/2011 | Sale<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA   | -40 | 39,9924 | 1,599.67  |
| Part's IRA | Settled | 9/7/2011  | 9/12/2011 | Purchase<br>GENL DYNAMICS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                | GD      | 31  | 61.57   | -1,908.67 |
| Part's IRA | Settled | 9/7/2011  | 9/12/2011 | Purchase<br>GOOGLE INC CL A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                | GOOG    | 1   | 533.37  | -533.37   |
| Part's IRA | Settled | 9/7/2011  | 9/12/2011 | Sale<br>PRUDENTIAL FINANCIAL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                  | PRU     | -58 | 47,3081 | 2,743.82  |
| Part's IRA | Settled | 9/7/2011  | 9/12/2011 | Sale<br>UNITED TECHS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                     | UTX     | -12 | 72,3925 | 888.69    |
| Part's IRA | Settled | 9/12/2011 | 9/15/2011 | Purchase<br>PEPSICO INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                           | PEP     | 31  | 59,8286 | -1,854.69 |
| Part's IRA | Settled |           | 9/19/2011 | Exerc Options<br>CALL JBL 00016.000 JABIL CIRCUIT INC EXP 09-17-11 VS 01900801 UNIT OAK BATCH # = 00567023894                                                                                                             | JBL1117 | .1  |         | 0         |
| Part's IRA | Settled | 9/15/2011 | 9/20/2011 | Purchase<br>DOVER CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                            | DOV     | 27  | 52,8949 | -1,428.16 |
| Part's IRA | Settled |           | 9/20/2011 | Sale<br>GENUINE PARTS CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                          | GPC     | -44 | 54,2552 | 2,387.18  |

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| Part's IRA | Settled | 9/15/2011 | 9/20/2011 | Sale<br>GOODYEAR TIRE RUBBER PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT          | GT  | -193 | 11.1007 | 2,142.40  |
| Part's IRA | Settled | 9/15/2011 | 9/20/2011 | Purchase<br>TERADATA CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT         | TDC | 27   | 51.1969 | -1,382.32 |
| Part's IRA | Settled | 9/16/2011 | 9/21/2011 | Purchase<br>FLUOR CORP NEW DEL COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | FLR | 39   | 60.7838 | -2,370.57 |
| Part's IRA | Settled | 9/16/2011 | 9/21/2011 | Purchase<br>QUEST DIAGNOSTICS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | DGX | 49   | 49.02   | -2,401.98 |
| Part's IRA | Settled | 9/19/2011 | 9/21/2011 | Sale<br>JABIL CIRCUIT INC AC CALL ZDOU1 JBL PER THE PIA AGREEMENT AS OF 09/16 UNSOLICITED ORDER                                                                                                     | JBL | -100 | 16      | 1,599.97  |
| Part's IRA | Settled | 9/20/2011 | 9/23/2011 | Sale<br>JABIL CIRCUIT INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT             | JBL | -58  | 17.4769 | 1,013.64  |
| Part's IRA | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>ABBOTT LABS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                  | ABT | 35   | 50.2034 | -1,757.12 |
| Part's IRA | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>DARDEN RESTAURANTS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | DRI | 40   | 43.947  | -1,757.88 |
| Part's IRA | Settled | 9/22/2011 | 9/27/2011 | Sale<br>VANGUARD FTSE ALL WORLD EX US PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL<br>PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.<br>ML ACTED AS AGENT | VEU | -218 | 37.7914 | 8,238.37  |

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| Sam's IRA | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>JPMORGAN CHASE & CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                         | JPM     | 15  | 29.29   | -439.35   |
| Sam's IRA | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>MCDONALDS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                          | MCD     | 21  | 85.5573 | -1,796.70 |
| Sam's IRA | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>TARGET CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                             | TGT     | 36  | 48.8503 | -1,758.61 |
| Sam's IRA | Settled | 9/27/2011 | 9/28/2011 | Sale<br>CALL MS 00018.000 MORGAN STANLEY EXP 11-19-11 OPEN TRAN MS NOV 18.00000                                                                                                                                                       | MS1119  | -1  | 0.58    | 57.39     |
| Sam's IRA | Settled | 10/4/2011 | 10/5/2011 | Sale<br>CALL FITB 00011.000 FIFTH THIRD BANCORP EXP 11-19-11 OPEN TRAN FITB NOV 11.00000                                                                                                                                              | FITB111 | -2  | 0.55778 | 111.55    |
| Sam's IRA | Settled | 10/4/2011 | 10/7/2011 | Sale<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                             | BAX     | -35 | 53.0468 | 1,856.59  |
| Sam's IRA | Settled | 10/4/2011 | 10/7/2011 | Purchase<br>CSX CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND<br>THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                       | CSX     | 94  | 18.0977 | -1,701.18 |
| Sam's IRA | Settled | 10/4/2011 | 10/7/2011 | Purchase<br>ISHARES GOLD TR PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR<br>UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED<br>ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IAU     | 213 | 16.13   | -3,435.69 |
| Sam's IRA | Settled | 10/4/2011 | 10/7/2011 | Purchase<br>ISHARES GOLD TR PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR<br>UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED<br>ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IAU     | 4   | 15.9187 | -63.67    |

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| Pam's IRA | Settled | 10/5/2011  | 10/1/2011  | Sale<br>JOHNSON CONTROLS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | JCI     | -85 | 27.7662 | 2,360.08  |
| Pam's IRA | Settled | 10/5/2011  | 10/1/2011  | Purchase<br>NOBLE CORP NAMEN-AKT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | NE      | 79  | 28.671  | -2,265.01 |
| Pam's IRA | Settled | 10/6/2011  | 10/12/2011 | Sale<br>WALGREEN CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                 | WAG     | -67 | 33.1589 | 2,221.61  |
| Pam's IRA | Settled | 10/10/2011 | 10/12/2011 | Sale<br>CALL MS 00019.000 MORGAN STANLEY EXP 01-21-12 OPEN TRAN MS JAN 19.00000                                                                                                                | MS1221  | -1  | 0.99    | 98.99     |
| Pam's IRA | Settled | 10/10/2011 | 10/12/2011 | Sale<br>CALL IAU 00019.000 ISHARES GOLD TR EXP 01-21-12 OPEN TRAN IAU JAN 19.00000                                                                                                             | IAU1221 | -2  | 0.3     | 59.99     |
| Pam's IRA | Settled | 10/10/2011 | 10/12/2011 | Purchase<br>CALL MS 00018.000 MORGAN STANLEY EXP 11-19-11 CLOSE TRAN MS NOV 18.00000                                                                                                           | MS1119  | 1   | 0.62    | -62       |
| Pam's IRA | Settled | 10/7/2011  | 10/13/2011 | Purchase<br>DOVER CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT              | DOV     | 9   | 49.969  | -449.72   |
| Pam's IRA | Settled | 10/7/2011  | 10/13/2011 | Purchase<br>MEDTRONIC INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | MDT     | 14  | 32.7268 | -458.18   |
| Pam's IRA | Settled | 10/7/2011  | 10/13/2011 | Purchase<br>TERADATA CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | TDC     | 15  | 53.9161 | -608.74   |

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| Sam's IRA | Settled | 10/11/2011 | 10/14/2011 | Purchase<br>NOVELLUS SYS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT             | NVLS   | 38  | 30.4362 | -1,156.58 |
| Sam's IRA | Settled | 10/17/2011 | 10/20/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                 | SPY    | -17 | 121.92  | 2,072.60  |
| Sam's IRA | Settled | 10/18/2011 | 10/21/2011 | Sale<br>RANGE RESOURCES CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                | RRC    | -57 | 71.9151 | 4,099.08  |
| Sam's IRA | Settled | 10/19/2011 | 10/24/2011 | Purchase<br>ISHARES S&P 100 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT<br>DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT | OEF    | 69  | 55.5421 | -3,832.40 |
| Sam's IRA | Settled | 10/26/2011 | 10/27/2011 | Sale<br>CALL LNC 00023.000 LINCOLN NTL CORP IND NPV EXP 12-17-11 OPEN TRAN LNC DEC 23.00000                                                                                                                                   | LNC111 | -1  | 0.44    | 43.99     |
| Sam's IRA | Settled | 10/26/2011 | 10/27/2011 | Sale<br>CALL OEF 00058.000 ISHARES S&P 100 INDEX EXP 11-19-11 OPEN TRAN OEF NOV 58.00000                                                                                                                                      | OEF111 | -1  | 0.45    | 44.99     |
| Sam's IRA | Settled | 10/26/2011 | 10/28/2011 | Purchase<br>NOVELLUS SYS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT             | NVLS   | 36  | 32.9175 | -1,185.03 |
| Sam's IRA | Settled | 10/26/2011 | 10/31/2011 | Purchase<br>ISHARES S&P 100 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT<br>DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT | OEF    | 52  | 56.0342 | -2,913.78 |
| Sam's IRA | Settled | 10/27/2011 | 11/1/2011  | Purchase<br>HONEYWELL INTL INC DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                              | HON    | 18  | 54      | -972      |

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| Part's IRA | Settled | 10/27/2011 | 11/1/2011 | Purchase<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                  | XLF   | 142 | 14.0678  | -1,997.63 |
| Part's IRA | Settled | 10/31/2011 | 11/1/2011 | Purchase<br>PENNYSYLVANIA MUTUAL FD FRAC SHR QUANTITY .149 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | PENNX | 124 | 11.34    | -1,407.85 |
| Part's IRA | Settled | 10/31/2011 | 11/3/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                   | IJH   | 19  | 89.32    | -1,897.08 |
| Part's IRA | Settled | 10/31/2011 | 11/3/2011 | Purchase<br>HONEYWELL INTL INC DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                             | HON   | 20  | 52.9149  | -1,058.30 |
| Part's IRA | Settled | 11/1/2011  | 11/4/2011 | Purchase<br>EATON CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                         | ETN   | 42  | 45.0841  | -1,893.53 |
| Part's IRA | Settled | 11/3/2011  | 11/8/2011 | Sale<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                              | AMZN  | -11 | 215.6052 | 2,371.61  |
| Part's IRA | Settled | 11/3/2011  | 11/8/2011 | Purchase<br>CARMAX INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                         | KMX   | 40  | 30.5644  | -1,222.58 |
| Part's IRA | Settled | 11/3/2011  | 11/8/2011 | Sale<br>FIFTH THIRD BANCORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                             | FTB   | -81 | 11.7104  | 1,065.63  |
| Part's IRA | Settled | 11/3/2011  | 11/8/2011 | Sale<br>WSTN DIGITAL CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                  | WDC   | -90 | 27.6659  | 2,489.88  |

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| am's IRA | Settled | 11/4/2011  | 11/9/2011  | Purchase<br>AMERICAN TOWER CORP CL A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                            | AMT    | 21  | 57,4488 | -1,206.42 |
| am's IRA | Settled | 11/4/2011  | 11/9/2011  | Purchase<br>CAPITAL ONE FINL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                    | COF    | 26  | 46      | -1,196.00 |
| am's IRA | Settled | 11/4/2011  | 11/9/2011  | Purchase<br>DISCOVER FINL SVCS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                  | DFS    | 50  | 24.15   | -1,207.50 |
| am's IRA | Settled | 11/7/2011  | 11/10/2011 | Sale<br>METLIFE INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                         | MET    | -8  | 34.1    | 272.79    |
| am's IRA | Settled | 11/8/2011  | 11/14/2011 | Sale<br>METLIFE INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                         | MET    | -65 | 34.2    | 2,222.96  |
| am's IRA | Settled | 11/11/2011 | 11/16/2011 | Sale<br>ISHARES TR DOW JONES US PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                 | IHI    | -39 | 58.8681 | 2,285.74  |
| am's IRA | Settled | 11/11/2011 | 11/16/2011 | Purchase<br>ISHARES S&P 100 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT<br>DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT | OEF    | 52  | 57.0597 | -2,967.10 |
| am's IRA | Settled | 11/21/2011 | 11/21/2011 | Expired Options<br>CALL OEF 00058.000 ISHARES TRUST SHS S&P 10 EXP 11-19-11 NOCC                                                                                                                                              | OEF111 | 1   |         | 0         |
| am's IRA | Settled | 11/21/2011 | 11/21/2011 | Exec Options<br>CALL FTB 00011.000 FIFTH THIRD BANCORP SHS EXP 11-19-11 NOCC                                                                                                                                                  | FTB111 | 2   |         | 0         |

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| Part's IRA | Settled | 11/17/2011 | 11/22/2011 | Purchase<br>CAPITAL ONE FINL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                    | COF     | 32   | 41.4636  | -1,326.84 |
| Part's IRA | Settled | 11/21/2011 | 11/23/2011 | Sale<br>FIFTH THIRD BANCORP AC CALL ZG968 FTB PER THE PIA AGREEMENT WE MAKE A MKT IN ISSUE AS<br>OF 11/18 UNSOLICITED ORDER                                                                                                                   | FTB     | -200 | 11       | 2,199.96  |
| Part's IRA | Settled | 11/23/2011 | 11/26/2011 | Purchase<br>CALL LNC 00023.000 LINCOLN NTL CORP IND NPV EXP 12-17-11 CLOSE TRAN LNC DEC 23.00000                                                                                                                                              | LNC111  | 1    | 0.06     | -6        |
| Part's IRA | Settled | 11/22/2011 | 11/28/2011 | Purchase<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 | BAX     | 28   | 48.8949  | -1,368.78 |
| Part's IRA | Settled | 12/22/2011 | 12/27/2011 | Purchase<br>VANGUARD FINANCIALS ETF PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS<br>ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN<br>WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | VFH     | 74   | 27.5171  | -2,036.27 |
| Part's IRA | Settled | 12/22/2011 | 12/27/2011 | Purchase<br>TORTOISE MLP FD INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 | NTG     | 64   | 25.0637  | -1,604.08 |
| Part's IRA | Settled | 12/22/2011 | 12/27/2011 | Sale<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                   | XLFF    | -142 | 13.1058  | 1,860.96  |
| Part's IRA | Settled | 12/6/2011  | 12/27/2011 | Purchase<br>CALL IAU 00019.000 ISHARES GOLD TR EXP 01-21-12 CLOSE TRAN IAU JAN 19.00000                                                                                                                                                       | IAU1221 | 2    | 0.088541 | -17.71    |
| Part's IRA | Settled | 12/6/2011  | 12/8/2011  | Purchase<br>ANADARKO PETE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                  | APC     | 15   | 82.05    | -1,230.75 |

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| Part's IRA | Settled | 12/5/2011 | 12/8/2011 | Purchase<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | BAX   | 10  | 51,9784 | -519.76   |
| Part's IRA | Settled | 12/5/2011 | 12/8/2011 | Purchase<br>TORTOISE MLP FD INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | NTG   | 15  | 25.1    | -376.5    |
| Part's IRA | Settled | 12/5/2011 | 12/8/2011 | Sale<br>SECTOR SPDR ENERGY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT          | XLE   | -36 | 71.6253 | 2,578.46  |
| Part's IRA | Settled | 12/5/2011 | 12/8/2011 | Purchase<br>VALERO ENERGY CORP NEW PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT  | VLO   | 55  | 22.9836 | -1,264.09 |
| Part's IRA | Settled | 12/5/2011 | 12/8/2011 | Sale<br>DARDEN RESTAURANTS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT      | DRI   | -40 | 43.02   | 1,720.77  |
| Part's IRA | Settled | 12/8/2011 | 12/9/2011 | Purchase<br>MARATHON PETROLEUM CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | MPC   | 37  | 34.5102 | -1,276.88 |
| Part's IRA | Settled | 12/8/2011 | 12/9/2011 | Divd Reinv<br>PENNSYLVANIA MUTUAL FD AGENT REINV AMOUNT \$13.17 REINV PRICE \$10.62000 QUANTITY BOT                                                                                               | PENNX | 1   |         | 0         |
| Part's IRA | Settled | 12/9/2011 | 12/9/2011 | Divd Reinv<br>PENNSYLVANIA MUTUAL FD AGENT REINV AMOUNT \$257.70 REINV PRICE \$10.62000 QUANTITY BOT                                                                                              | PENNX | 24  |         | 0         |
| Part's IRA | Settled | 12/9/2011 | 12/9/2011 | Journal Entry<br>PENNSYLVANIA MUTUAL FD FULL SHARE ACCUM SHARE VALUE \$10.91                                                                                                                      | PENNX | 1   |         | 0         |

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| Part's IRA | Settled | 12/27/2011 | 12/12/2011 | Sale<br>CENTURYLINK INC SHS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                              | CTL    | -10 | 36.3365  | 363.36    |
| Part's IRA | Settled | 12/27/2011 | 12/12/2011 | Sale<br>E M C CORPORATION MASS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                           | EMC    | -12 | 23.3429  | 280.1     |
| Part's IRA | Settled | 12/27/2011 | 12/12/2011 | Sale<br>JACOBS ENGR GRP INC DELA PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                         | JEC    | -14 | 42.606   | 596.47    |
| Part's IRA | Settled | 12/27/2011 | 12/12/2011 | Sale<br>MICROSOFT CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                                            | MSFT   | -18 | 25.5525  | 459.94    |
| Part's IRA | Settled | 12/29/2011 | 12/12/2011 | Sale<br>CALL MRO 00028.000 MARATHON OIL CORP EXP 12-17-11 OPEN TRAN MRO DEC 28.00000                                                                                                                                                                   | MRO11  | -1  | 0.61     | 60.99     |
| Part's IRA | Settled | 12/29/2011 | 12/12/2011 | Sale<br>CALL OEF 00059.000 ISHARES S&P 100 INDEX EXP 01-21-12 OPEN TRAN OEF JAN 59.00000                                                                                                                                                               | OEF122 | -1  | 0.626824 | 62.67     |
| Part's IRA | Settled | 12/29/2011 | 12/14/2011 | Sale<br>GENERAL MILLS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                    | GIS    | -52 | 40.3625  | 2,098.81  |
| Part's IRA | Settled | 12/29/2011 | 12/14/2011 | Purchase<br>EMERGING GLOBAL SHARES DOW JONES PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE<br>CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | ECON   | 48  | 22.12    | -1,061.76 |
| Part's IRA | Settled | 12/29/2011 | 12/14/2011 | Purchase<br>SECTOR SPDR CONSUMERS STPL PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS<br>ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN<br>WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT       | XLP    | 121 | 31.96    | -3,987.16 |

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| Sam's IRA | Settled | 12/9/2011  | 12/14/2011 | Sale<br>TARGET CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                         | TGT    | -36 | 53,6714 | 1,932.13 |
| Sam's IRA | Settled |            | 12/15/2011 | Divd Reinv<br>FIRST EAGLE OVERSEAS CL I AGENT REINV AMOUNT \$271.63 REINV PRICE \$20.56000 QUANTITY BOT<br>13.2120 AS OF 12/13                                                                                | SGOIX  | 13  |         | 0        |
| Sam's IRA | Settled |            | 12/15/2011 | Divd Reinv<br>FIRST EAGLE OVERSEAS CL I AGENT REINV AMOUNT \$384.01 REINV PRICE \$20.56000 QUANTITY BOT<br>18.6780 AS OF 12/13                                                                                | SGOIX  | 18  |         | 0        |
| Sam's IRA | Settled |            | 12/15/2011 | Divd Reinv<br>FIRST EAG OVERSEAS I AGENT REINV AMOUNT \$.60 REINV PRICE \$20.56000 QUANTITY BOT .0290 AS<br>OF 12/13                                                                                          | SGOIX  |     |         | 0        |
| Sam's IRA | Settled |            | 12/15/2011 | Journal Entry<br>FIRST EAGLE OVERSEAS CL I FULL SHARE ACCUM SHARE VALUE \$20.27                                                                                                                               | SGOIX  | 1   |         | 0        |
| Sam's IRA | Settled | 12/16/2011 | 12/19/2011 | Purchase<br>CALL MRO 00028.000 MARATHON OIL CORP EXP 12-17-11 CLOSE TRAN MRO DEC 28.00000                                                                                                                     | MRO11  | 1   | 0.02    | -2       |
| Sam's IRA | Settled | 12/16/2011 | 12/19/2011 | Sale<br>CALL MRO 00029.000 MARATHON OIL CORP EXP 01-21-12 OPEN TRAN MRO JAN 29.00000                                                                                                                          | MRO12  | -1  | 0.56    | 55.99    |
| Sam's IRA | Settled | 12/15/2011 | 12/20/2011 | Sale<br>NOVELLUS SYS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT | NMLS   | -74 | 42.1474 | 3,118.85 |
| Sam's IRA | Settled | 12/19/2011 | 12/20/2011 | Purchase<br>CALL MS 00019.000 MORGAN STANLEY EXP 01-21-12 CLOSE TRAN MS JAN 19.00000                                                                                                                          | MS1221 | 1   | 0.07    | -7       |

|            |         |            |            |                                                                                                                                                                                                                               |        |      |          |           |
|------------|---------|------------|------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|------|----------|-----------|
| Part's IRA | Settled | 12/22/2011 | 12/23/2011 | Sale<br>CALL MS 00017.500 MORGAN STANLEY EXP 01-21-12 OPEN TRAN MS JAN 17.50000                                                                                                                                               | MS1221 | -1   | 0.344275 | 34.42     |
| Part's IRA | Settled | 12/23/2011 | 12/29/2011 | Sale<br>E M C CORPORATION MASS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                        | EMC    | -106 | 21.6892  | 2,277.33  |
| Part's IRA | Settled | 12/23/2011 | 12/29/2011 | Purchase<br>ISHARES TR RUSSELL 2000 INDEX FD PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IWM    | 33   | 74.43    | -2,456.19 |
| <EOF>      |         |            |            |                                                                                                                                                                                                                               |        |      |          |           |

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**DAVID PHILLIP ROE**

**SCHEDULE 3**

Online at: [www.mymerrill.com](http://www.mymerrill.com)

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

MLPF& S CUST FPO  
DR DAVID PHILIP ROE IRRA  
FBO DR DAVID PHILIP ROE  
2 N CROSSBOW LN  
JOHNSON CITY TN 37604-3639

## Net Portfolio Value:

**\$298,832.89**

### Your Financial Advisor:

SMITH/CONKIN/HAUSMAN  
206 PRINCETON RD SUITE NO 1  
JOHNSON CITY TN 37601  
1-423-282-5191

## Alt Investments

December 01, 2011 - December 30, 2011

| ASSETS                    | December 30         | November 30         |
|---------------------------|---------------------|---------------------|
| Cash/Money Accounts       | 17,435.66           | 17,434.20           |
| Fixed Income              | -                   | -                   |
| Equities                  | 103,600.00          | 97,250.00           |
| Mutual Funds              | -                   | -                   |
| Options                   | -                   | -                   |
| Other                     | -                   | -                   |
| Alternative Investments   | 177,797.23          | 179,454.68          |
| Subtotal (Long Portfolio) | 298,832.89          | 294,138.88          |
| <b>TOTAL ASSETS</b>       | <b>\$298,832.89</b> | <b>\$294,138.88</b> |

## LIABILITIES

|                            |                     |                     |
|----------------------------|---------------------|---------------------|
| Debit Balance              | -                   | -                   |
| <b>TOTAL LIABILITIES</b>   | <b>-</b>            | <b>-</b>            |
| <b>NET PORTFOLIO VALUE</b> | <b>\$298,832.89</b> | <b>\$294,138.88</b> |

## CASH FLOW

This Statement

Year to Date

### Operating Cash/Money Accounts

**\$17,434.20**

### CREDITS

Funds Received  
Electronic Transfers  
Other Credits

### Subtotal

### DEBITS

Electronic Transfers  
Other Debits

### Subtotal

### Net Cash Flow

Dividends/Interest Income  
Security Purchases/Debits  
Security Sales/Credits

### Closing Cash/Money Accounts

### Securities You Transferred In/Out

16.85

(49,455.35)

65,444.65

**\$17,435.66**

-

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Alt Investments

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

## ACCOUNT INVESTMENT OBJECTIVE

December 01, 2011 - December 30, 2011

**TOTAL RETURN:** Objective is to strike a balance between fixed-income instruments for current income and equities for growth. Despite the relatively balanced nature of the portfolio, the investor should be willing to assume the risk of price volatility and principal loss.

If you have changes to your investment objective, please contact your Financial Advisor(s).

## YOUR RETIREMENT ACCOUNT ASSETS

| CASH/MONEY ACCOUNTS       |  | Quantity  |  | Total      |  | Estimated    |  | Estimated    |  | Estimated     |                    |
|---------------------------|--|-----------|--|------------|--|--------------|--|--------------|--|---------------|--------------------|
| Description               |  |           |  | Cost Basis |  | Market Price |  | Market Value |  | Annual Income | Est. Annual Yield% |
| CASH                      |  | 0.54      |  | 0.54       |  |              |  | .54          |  |               |                    |
| FIA CARD SERVICES NA RASP |  | 17,435.12 |  | 17,435.12  |  | 1.0000       |  | 17,435.12    |  | 17            | .10                |
| <b>TOTAL</b>              |  |           |  | 17,435.66  |  |              |  | 17,435.66    |  | 17            | .10                |

| EQUITIES                 |        | Quantity |          | Unit       |  | Total      |              | Estimated              |  | Estimated              |                          |
|--------------------------|--------|----------|----------|------------|--|------------|--------------|------------------------|--|------------------------|--------------------------|
| Description              | Symbol | Acquired | Quantity | Cost Basis |  | Cost Basis | Market Price | Estimated Market Value |  | Unrealized Gain/(Loss) | Estimated Current Yield% |
| DJIA MITS ISSUER BAC     | MLGF   | 11/11/11 | 5,000    | 9.8910     |  | 49,455.35  | 9.2200       | 46,100.00              |  | (3,355.35)             |                          |
| CAP 47.69% SV 10060.06   |        |          |          |            |  |            |              |                        |  |                        |                          |
| DUE 09/01/2015 PROT 100% |        |          |          |            |  |            |              |                        |  |                        |                          |
| SP500 CLIRN ISSUER BAC   | CDK    | 07/29/10 | 5,000    | 10.0000    |  | 50,000.00  | 11.5000      | 57,500.00              |  | 7,500.00               |                          |
| CAP 25.92% SV 1101.53    |        |          |          |            |  |            |              |                        |  |                        |                          |
| DUE 07/27/12 BUF 10%     |        |          |          |            |  |            |              |                        |  |                        |                          |
| <b>TOTAL</b>             |        |          |          |            |  | 99,455.35  |              | 103,600.00             |  | 4,144.65               |                          |

| ALTERNATIVE INVESTMENTS                  |          |          |                 |                  |                        |                        |                        |                         |                |
|------------------------------------------|----------|----------|-----------------|------------------|------------------------|------------------------|------------------------|-------------------------|----------------|
| Description                              | Acquired | Quantity | Unit Cost Basis | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Current Yield% |
| ELEMENTS - ROGERS TR                     | 09/24/08 | 2,007    | 10.9859         | 22,048.84        | 8.5100                 | 17,079.57              | (4,969.27)             |                         |                |
| SV=4126.81 - ROG TR DUE OCTOBER 24, 2022 |          |          |                 |                  |                        |                        |                        |                         |                |
| ELEMENTS - ROGERS TR                     | 09/24/08 | 301      | 10.9797         | 3,304.89         | 8.5100                 | 2,561.51               | (743.38)               |                         |                |
| Subtotal                                 |          | 2,308    |                 | 25,353.73        |                        | 19,641.08              | (5,712.65)             |                         |                |
| THE ENDOWMENT TEL FUND                   | 01/01/07 | 1,814    | 55.1040         | 99,958.73        | 55.7870                | 101,197.62             | 1,238.89               |                         |                |
| LP EST MKT PRICE AS OF 11/30/11          |          |          |                 |                  |                        |                        |                        |                         |                |
| THE ENDOWMENT TEL FUND                   | 11/01/08 | 1,021    | 48.9421         | 49,969.93        | 55.7870                | 56,958.53              | 6,988.60               |                         |                |

Alt Investments

Account Number: [REDACTED]

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| ALTERNATIVE INVESTMENTS (continued) |          |          |                           |                  |                        |                        |                         |                         |                |
|-------------------------------------|----------|----------|---------------------------|------------------|------------------------|------------------------|-------------------------|-------------------------|----------------|
| Description                         | Acquired | Quantity | Unit Cost Basis           | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss)  | Estimated Annual Income | Current Yield% |
| Subtotal                            |          | 2,835    |                           | 149,928.66       |                        | 158,156.15             | 8,227.49                |                         |                |
| TOTAL                               |          |          |                           | 175,282.39       |                        | 177,797.23             | 2,514.84                |                         |                |
| LONG PORTFOLIO                      |          |          |                           |                  |                        |                        |                         |                         |                |
|                                     |          |          | Adjusted/Total Cost Basis |                  | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Income |                         | Current Yield% |
| TOTAL                               |          |          | 292,173.40                |                  | 298,832.89             | 6,659.49               |                         | 17                      | .01            |

## YOUR RETIREMENT ACCOUNT TRANSACTIONS

| DIVIDENDS/INTEREST INCOME TRANSACTIONS |                                 |          |                           |        |              |  |  |  |  |
|----------------------------------------|---------------------------------|----------|---------------------------|--------|--------------|--|--|--|--|
| Date                                   | Transaction Type                | Quantity | Description               | Income | Year To Date |  |  |  |  |
|                                        | Income Total                    |          | FIA CARD SERVICES NA RASP | 1.46   | 16.85        |  |  |  |  |
|                                        | Subtotal (Tax-Exempt Dividends) |          |                           | 1.46   | 16.85        |  |  |  |  |
|                                        | NET TOTAL                       |          |                           | 1.46   | 16.85        |  |  |  |  |

## REALIZED GAINS/(LOSSES)

| Description          | Quantity | Acquired Date | Liquidation Date | Sale Amount | Cost Basis | This Statement | Gains/(Losses) * | Year to Date |
|----------------------|----------|---------------|------------------|-------------|------------|----------------|------------------|--------------|
| Subtotal (Long-Term) |          |               |                  |             |            |                |                  | 15,444.65    |
| TOTAL                |          |               |                  |             |            |                |                  | 15,444.65    |

\* - Excludes transactions for which we have insufficient data  
The capital gains and losses shown above may not reflect all transactions which must be reported on your 2011 tax return. These reportable transactions will appear on your January statement.

## YOUR RETIREMENT ACCOUNT CONTRIBUTIONS AND DISTRIBUTIONS

Year-End Plan Value as of December 31, 2011: \$298,832.89

Contributions after December 31, 2010 for 2010: \$.00

Alt Investments

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

**YOUR RETIREMENT ACCOUNT  
CONTRIBUTIONS AND DISTRIBUTIONS** (continued)

December 01, 2011 - December 30, 2011

For IRA, IRRA, SEP/IRA, SIMPLE/IRA ROTH IRA and ESA accounts, the Year-End Plan Value represents the valuation we must furnish to you and the Internal Revenue Service as part of the IRS Form 5498 reporting requirements.

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|                |         |            |            |                                                                                   |       |        |       |            |
|----------------|---------|------------|------------|-----------------------------------------------------------------------------------|-------|--------|-------|------------|
| it Investments | Settled | 9/2/2011   | 9/8/2011   | Sale<br>DUJBS MPD ISSUER BANA CAP 95% SV 121,449 DUE 06/03/14 PROT 100%           | MLNBM | -5,000 | 13.09 | 65,444.65  |
| it Investments | Settled | 11/11/2011 | 11/16/2011 | Purchase<br>DUJA MITTS ISSUER BAC CAP 47.89% SV 10060.08 DUE 09/01/2015 PROT 100% | MLGFI | 5,000  | 9.89  | -49,455.35 |

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**DAVID PHILLIP ROE**

**SCHEDULE 4**

Online at: [www.mymerrill.com](http://www.mymerrill.com)

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

MLPF&S CUST FPO  
DR DAVID PHILIP ROE IRRA  
FBO DR DAVID PHILIP ROE  
2 N CROSSBOW LN  
JOHNSON CITY TN 37604-3639

Your Financial Advisor:  
SMITH/CONKIN/HAUSMAN  
206 PRINCETON RD SUITE NO 1  
JOHNSON CITY TN 37601  
1-423-282-5191

**Net Portfolio Value:**

**\$1,468,463.20**

## PIA

This account is enrolled in the Personal Investment Advisory Program

December 01, 2011 - December 30, 2011

### ASSETS

|                            | December 30           | November 30           |
|----------------------------|-----------------------|-----------------------|
| Cash/Money Accounts        | 83,523.43             | 91,158.19             |
| Fixed Income               | 249,849.02            | 242,541.00            |
| Equities                   | 427,864.77            | 470,041.29            |
| Mutual Funds               | 689,726.73            | 652,600.18            |
| Options                    | -                     | -                     |
| Other                      | -                     | -                     |
| Alternative Investments    | 15,945.81             | 17,861.82             |
| Subtotal (Long Portfolio)  | 1,466,909.76          | 1,474,202.48          |
| Estimated Accrued Interest | 2,641.44              | 2,827.39              |
| <b>TOTAL ASSETS</b>        | <b>\$1,469,551.20</b> | <b>\$1,477,029.87</b> |

### CASH FLOW

|                                    | This Statement      | Year to Date          |
|------------------------------------|---------------------|-----------------------|
| Operating Cash/Money Accounts      | \$91,158.19         |                       |
| <b>CREDITS</b>                     |                     |                       |
| Funds Received                     | -                   | -                     |
| Electronic Transfers               | -                   | -                     |
| Other Credits                      | 19.70               | 374.28                |
| Subtotal                           | 19.70               | 374.28                |
| <b>DEBITS</b>                      |                     |                       |
| Electronic Transfers               | -                   | -                     |
| Other Debits                       | (10,000.00)         | (163,695.24)          |
| Subtotal                           | (10,000.00)         | (163,695.24)          |
| <b>Net Cash Flow</b>               | <b>(\$9,980.30)</b> | <b>(\$163,320.96)</b> |
| Dividends/Interest Income          | 10,627.44           | 41,329.70             |
| Dividend Reinvestments             | (6,395.33)          | (12,631.24)           |
| Security Purchases/Debits          | (83,161.56)         | (1,167,719.67)        |
| Security Sales/Credits             | 81,274.99           | 1,258,754.85          |
| <b>Closing Cash/Money Accounts</b> | <b>\$83,523.43</b>  |                       |
| Securities You Transferred In/Out  | 113.01              | 667.68                |

### LIABILITIES

|                            |                       |                       |
|----------------------------|-----------------------|-----------------------|
| Debit Balance              | -                     | -                     |
| Short Market Value         | (1,088.00)            | (1,470.00)            |
| <b>TOTAL LIABILITIES</b>   | <b>(1,088.00)</b>     | <b>(1,470.00)</b>     |
| <b>NET PORTFOLIO VALUE</b> | <b>\$1,468,463.20</b> | <b>\$1,475,559.87</b> |

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PIA

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

## ACCOUNT INVESTMENT OBJECTIVE

December 01, 2011 - December 30, 2011

**TOTAL RETURN:** Objective is to strike a balance between fixed-income instruments for current income and equities for growth. Despite the relatively balanced nature of the portfolio, the investor should be willing to assume the risk of price volatility and principal loss.

If you have changes to your investment objective, please contact your Financial Advisor(s).

## ITEMS FOR ATTENTION

| Security           | Message         | Date     | Security           | Message         | Date     |
|--------------------|-----------------|----------|--------------------|-----------------|----------|
| CALL OEF 00059.000 | Option Expiring | 01/21/12 | CALL MRO 00029.000 | Option Expiring | 01/21/12 |
| CALL MS 00017.500  | Option Expiring | 01/21/12 | CALL HES 00057.500 | Option Expiring | 01/21/12 |

## YOUR RETIREMENT ACCOUNT ASSETS

| CASH/MONEY ACCOUNTS       |           | Total      | Estimated    | Estimated    | Estimated     | Estimated | Est Annual |
|---------------------------|-----------|------------|--------------|--------------|---------------|-----------|------------|
| Description               | Quantity  | Cost Basis | Market Price | Market Value | Annual Income | Yield%    |            |
| CASH                      | 226.79    | 226.79     |              | 226.79       |               |           |            |
| FIA CARD SERVICES NA RASP | 83,296.64 | 83,296.64  | 1.0000       | 83,296.64    | 125           | .15       |            |
| <b>TOTAL</b>              |           | 83,523.43  |              | 83,523.43    | 125           | .15       |            |

| GOVERNMENT AND AGENCY SECURITIES <sup>1</sup>                                                 |          | Adjusted/Total | Estimated    | Estimated    | Unrealized  | Estimated        | Estimated     | Estimated      |
|-----------------------------------------------------------------------------------------------|----------|----------------|--------------|--------------|-------------|------------------|---------------|----------------|
| Description                                                                                   | Quantity | Cost Basis     | Market Price | Market Value | Gain/(Loss) | Accrued Interest | Annual Income | Current Yield% |
| FEDERAL HOME LOAN BANK<br>BONDS 03.625% OCT 18 2013<br>MOODY'S: AAA S&P: AA+ CUSIP: 3133XSAE8 | 10,000   | 10,277.71      | 105.6880     | 10,568.80    | 291.09      | 72.50            | 363           | 3.42           |
| FEDERAL HOME LOAN BANK<br>BONDS 04.125% MAR 13 2015<br>MOODY'S: AAA S&P: AA+ CUSIP: 3133XQBC5 | 25,000   | 27,082.85      | 110.4450     | 27,611.25    | 528.40      | 306.51           | 1,032         | 3.73           |
| FEDERAL HOME LOAN BANK<br>BONDS 03.500% DEC 09 2016<br>MOODY'S: AAA S&P: AA+ CUSIP: 3133XVRL2 | 10,000   | 10,143.10      | 110.5070     | 11,050.70    | 907.60      | 20.42            | 350           | 3.16           |

PIA

Account Number: [REDACTED]

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| GOVERNMENT AND AGENCY SECURITIES <sup>1</sup> (continued) |          |          |                           |                        |                        |                        |                            |                         |                |
|-----------------------------------------------------------|----------|----------|---------------------------|------------------------|------------------------|------------------------|----------------------------|-------------------------|----------------|
| Description                                               | Acquired | Quantity | Adjusted/Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Accrued Interest | Estimated Annual Income | Current Yield% |
| FEDERAL HOME LOAN BANK                                    | 10/20/11 | 25,000   | 25,382.50                 | 100.9040               | 25,226.00              | (156.50)               | 32.55                      | 782                     | 3.09           |
| CALLABLE BONDS 03.125% JUN 15 2018                        |          |          |                           |                        |                        |                        |                            |                         |                |
| MOODY'S: AAA S&P: AA+ CUSIP: 3133743U2                    |          |          |                           |                        |                        |                        |                            |                         |                |
| PAR CALL DATE: 06/15/12 PAR CALL PRICE: 100.00            |          |          |                           |                        |                        |                        |                            |                         |                |
| <b>TOTAL</b>                                              |          | 70,000   | 72,886.16                 |                        | 74,456.75              | 1,570.59               | 431.98                     | 2,527                   | 3.39           |
| <b>CORPORATE BONDS</b>                                    |          |          |                           |                        |                        |                        |                            |                         |                |
| Description                                               | Acquired | Quantity | Adjusted/Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Accrued Interest | Estimated Annual Income | Current Yield% |
| HEWLETT-PACKARD CO                                        | 06/05/08 | 25,000   | 25,733.75                 | 100.6560               | 25,164.00              | (569.75)               | 433.85                     | 1,313                   | 5.21           |
| GLB 05.250% MAR 01 2012                                   |          |          |                           |                        |                        |                        |                            |                         |                |
| MOODY'S: A2 S&P: BBB+ CUSIP: 428236AL7                    |          |          |                           |                        |                        |                        |                            |                         |                |
| MORGAN ST DEAN WITTER                                     | 12/06/11 | 6,000    | 6,043.92                  | 100.8320               | 6,049.92               | 6.00                   | 97.90                      | 396                     | 6.54           |
| GLB 06.600% APR 01 2012                                   |          |          |                           |                        |                        |                        |                            |                         |                |
| MOODY'S: A2 S&P: A CUSIP: 617446HC6                       |          |          |                           |                        |                        |                        |                            |                         |                |
| GENERAL ELECTRIC COMPANY                                  | 05/19/08 | 25,000   | 25,785.75                 | 104.2100               | 26,052.50              | 266.75                 | 517.36                     | 1,260                   | 4.79           |
| GLB 05.000% FEB 01 2013                                   |          |          |                           |                        |                        |                        |                            |                         |                |
| MOODY'S: AA2 S&P: AA+ CUSIP: 369604AY9                    |          |          |                           |                        |                        |                        |                            |                         |                |
| MORGAN STANLEY                                            | 10/19/11 | 25,000   | 25,212.25                 | 101.2240               | 25,306.00              | 93.75                  | 437.99                     | 1,325                   | 5.23           |
| GLB 05.300% MAR 01 2013                                   |          |          |                           |                        |                        |                        |                            |                         |                |
| MOODY'S: A2 S&P: A CUSIP: 617446HR3                       |          |          |                           |                        |                        |                        |                            |                         |                |
| E.I. DU PONT DE NEMOURS                                   | 05/19/08 | 25,000   | 25,367.25                 | 109.2300               | 27,307.50              | 1,940.25               | 203.13                     | 1,219                   | 4.46           |
| GLB 04.875% APR 30 2014                                   |          |          |                           |                        |                        |                        |                            |                         |                |
| MOODY'S: A2 S&P: A CUSIP: 263534BN8                       |          |          |                           |                        |                        |                        |                            |                         |                |
| PROCTER & GAMBLE CO                                       | 05/22/08 | 25,000   | 25,830.00                 | 114.2880               | 28,572.00              | 2,742.00               | 50.52                      | 1,213                   | 4.24           |
| GLB 04.850% DEC 15 2015                                   |          |          |                           |                        |                        |                        |                            |                         |                |
| MOODY'S: AA3 S&P: AA- CUSIP: 742718BZ1                    |          |          |                           |                        |                        |                        |                            |                         |                |

PIA

Account Number [REDACTED]

24-Hour Assistance: (800) MERRILL

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| CORPORATE BONDS (continued)                                                                |          |          |                           |                        |                        |                        |                            |                         |                |
|--------------------------------------------------------------------------------------------|----------|----------|---------------------------|------------------------|------------------------|------------------------|----------------------------|-------------------------|----------------|
| Description                                                                                | Acquired | Quantity | Adjusted/Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Accrued Interest | Estimated Annual Income | Current Yield% |
| GOLDMAN SACHS GROUP INC<br>GLB 05/750% OCT 01 2016<br>MOODY'S: A1 S&P: A- CUSIP: 38141GER1 | 06/18/10 | 10,000   | 10,505.80                 | 103.6860               | 10,368.60              | (137.20)               | 142.15                     | 575                     | 5.54           |
| JPMORGAN CHASE & CO<br>04.950% MAR 25 2020<br>MOODY'S: A3 S&P: A- CUSIP: 46625HH06         | 05/26/11 | 25,000   | 26,082.00                 | 106.2870               | 26,571.75              | 489.75                 | 326.56                     | 1,238                   | 4.65           |
| <b>TOTAL</b>                                                                               |          | 166,000  | 170,560.72                |                        | 175,392.27             | 4,831.55               | 2,209.46                   | 8,529                   | 4.86           |

PLEASE REFER TO NOTES BELOW FOR INFORMATION REGARDING CREDIT RATINGS.

| EQUITIES                 |        |          |          |                 |                  |                        |                        |                        |                         |
|--------------------------|--------|----------|----------|-----------------|------------------|------------------------|------------------------|------------------------|-------------------------|
| Description              | Symbol | Acquired | Quantity | Unit Cost Basis | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Income |
| ABBOTT LABS              | ABT    | 09/22/11 | 171      | 50.2033         | 8,584.78         | 56.2300                | 9,615.33               | 1,030.55               | 329                     |
| AIR PRODUCTS&CHEM        | APD    | 08/11/11 | 112      | 78.6757         | 8,811.68         | 85.1900                | 9,541.28               | 729.60                 | 260                     |
| AMERICAN TOWER CORP CL A | AMT    | 11/04/11 | 96       | 57.4487         | 5,515.08         | 60.0100                | 5,760.96               | 245.88                 | 26                      |
| ANADARKO PETE CORP       | APC    | 12/05/11 | 70       | 82.0500         | 5,743.50         | 76.3300                | 5,343.10               | (400.40)               | 298                     |
| AUTOMATIC DATA PROC      | ADP    | 08/09/11 | 188      | 46.6226         | 8,765.05         | 54.0100                | 10,153.88              | 1,388.83               | 177                     |
| BAKTER INTERNTL INC      | BAX    | 11/22/11 | 132      | 48.8849         | 6,452.81         | 49.4800                | 6,531.36               | 78.55                  | 54                      |
|                          |        | 12/05/11 | 40       | 51.9765         | 2,079.06         | 49.4800                | 1,979.20               | (99.86)                | 231                     |
| <b>Subtotal</b>          |        |          | 172      |                 | 8,531.87         |                        | 8,510.56               | (21.31)                | 25                      |
| CAPITAL ONE FINL         | COF    | 11/04/11 | 122      | 46.0000         | 5,612.00         | 42.2900                | 5,159.38               | (452.62)               | 29                      |
|                          |        | 11/17/11 | 143      | 41.4635         | 5,929.29         | 42.2900                | 6,047.47               | 118.18                 | 254                     |
| <b>Subtotal</b>          |        |          | 265      |                 | 11,541.29        |                        | 11,206.85              | (334.44)               | 54                      |
| CARMAX INC               | KMX    | 11/03/11 | 182      | 30.5643         | 5,562.72         | 30.4800                | 5,547.36               | (15.36)                | 891                     |
| CENTURYLINK INC SHS      | CTL    | 06/03/11 | 307      | 41.5357         | 12,751.49        | 37.2000                | 11,420.40              | (1,331.09)             | 305                     |
| CHEVRON CORP             | CVX    | 08/18/11 | 94       | 93.0594         | 8,747.59         | 106.4000               | 10,001.60              | 1,254.01               | 254                     |
| COCA COLA COM            | KO     | 08/10/11 | 135      | 65.3954         | 8,828.38         | 69.9700                | 9,445.95               | 617.57                 | 221                     |
| CSX CORP                 | CSX    | 10/04/11 | 459      | 18.0976         | 8,306.84         | 21.0600                | 9,666.54               | 1,359.70               | 2.27                    |

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## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| EQUITIES (continued)     |        |          |          |                 |                  |                        |                        |                        |                                 |                |  |
|--------------------------|--------|----------|----------|-----------------|------------------|------------------------|------------------------|------------------------|---------------------------------|----------------|--|
| Description              | Symbol | Acquired | Quantity | Unit Cost Basis | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Current Annual Income | Current Yield% |  |
| DEERE CO                 | DE     | 03/11/11 | 62       | 85.9690         | 5,330.08         | 77.3500                | 4,795.70               | (534.38)               | 102                             | 2.12           |  |
|                          |        | 03/16/11 | 81       | 86.4300         | 7,000.83         | 77.3500                | 6,265.35               | (735.48)               | 133                             | 2.12           |  |
| Subtotal                 |        |          | 143      |                 | 12,330.91        |                        | 11,061.05              | (1,269.86)             | 235                             | 2.12           |  |
| DISCOVER FINL SVCS       | DFS    | 11/04/11 | 232      | 24.1500         | 5,602.80         | 24.0000                | 5,568.00               | (34.80)                | 93                              | 1.66           |  |
| DOVER CORP               | DOV    | 09/15/11 | 127      | 52.8948         | 6,717.65         | 58.0500                | 7,372.35               | 654.70                 | 161                             | 2.17           |  |
|                          |        | 10/07/11 | 45       | 49.9691         | 2,248.61         | 58.0500                | 2,612.25               | 363.64                 | 57                              | 2.17           |  |
| Subtotal                 |        |          | 172      |                 | 8,966.26         |                        | 9,984.60               | 1,018.34               | 218                             | 2.17           |  |
| EATON CORP               | ETN    | 11/01/11 | 197      | 45.0841         | 8,881.57         | 43.5300                | 8,575.41               | (306.16)               | 268                             | 3.12           |  |
| EMERSON ELEC CO          | EMR    | 08/10/11 | 203      | 43.1855         | 8,766.66         | 46.5900                | 9,457.77               | 691.11                 | 325                             | 3.43           |  |
| EXXON MOBIL CORP         | XOM    | 08/18/11 | 124      | 70.7983         | 8,779.00         | 84.7600                | 10,510.24              | 1,731.24               | 234                             | 2.21           |  |
| FLUOR CORP NEW DEL       | FLR    | 09/16/11 | 185      | 60.7837         | 11,245.00        | 50.2500                | 9,296.25               | (1,948.75)             | 93                              | .99            |  |
| FORD MOTOR CO            | F      | 08/14/09 | 175      | 7.8522          | 1,374.14         | 10.7600                | 1,883.00               | 508.86                 | 35                              | 1.85           |  |
|                          |        | 08/25/09 | 975      | 7.6000          | 7,410.00         | 10.7600                | 10,491.00              | 3,081.00               | 195                             | 1.85           |  |
|                          |        | 09/18/09 | 204      | 6.9900          | 1,425.96         | 10.7600                | 2,195.04               | 769.08                 | 41                              | 1.85           |  |
| Subtotal                 |        |          | 1,354    |                 | 10,210.10        |                        | 14,569.04              | 4,358.94               | 271                             | 1.85           |  |
| GENL DYNAMICS CORP       | GD     | 09/07/11 | 145      | 61.5700         | 8,927.65         | 66.4100                | 9,629.45               | 701.80                 | 273                             | 2.83           |  |
| GOOGLE INC CL A          | GOOG   | 09/06/11 | 12       | 514.8025        | 6,177.63         | 645.9000               | 7,750.80               | 1,573.17               |                                 |                |  |
|                          |        | 09/07/11 | 1        | 533.3700        | 533.37           | 645.9000               | 645.90                 | 112.53                 |                                 |                |  |
| Subtotal                 |        |          | 13       |                 | 6,711.00         |                        | 8,396.70               | 1,685.70               |                                 |                |  |
| HESS CORP                | HES    | 09/06/11 | 191      | 56.0268         | 10,701.12        | 56.8000                | 10,848.80              | 147.68                 | 77                              | .70            |  |
|                          |        | 09/27/11 | 9        | 57.6200         | 518.58           | 56.8000                | 511.20                 | (7.38)                 | 4                               | .70            |  |
| Subtotal                 |        |          | 200      |                 | 11,219.70        |                        | 11,360.00              | 140.30                 | 81                              | .70            |  |
| HONEYWELL INTL INC DEL   | HON    | 10/27/11 | 83       | 54.0000         | 4,482.00         | 54.3500                | 4,511.05               | 29.05                  | 124                             | 2.74           |  |
|                          |        | 10/31/11 | 87       | 52.9149         | 4,603.60         | 54.3500                | 4,728.45               | 124.85                 | 130                             | 2.74           |  |
| Subtotal                 |        |          | 170      |                 | 9,085.60         |                        | 9,239.50               | 153.90                 | 254                             | 2.74           |  |
| JACOBS ENGN GRP INC DELA | JEC    | 12/09/10 | 83       | 42.2000         | 3,502.60         | 40.5800                | 3,368.14               | (134.46)               |                                 |                |  |
|                          |        | 12/10/10 | 178      | 42.3374         | 7,536.06         | 40.5800                | 7,223.24               | (312.82)               |                                 |                |  |
| Subtotal                 |        |          | 261      |                 | 11,038.66        |                        | 10,591.38              | (447.28)               |                                 |                |  |

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## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| EQUITIES (continued)     |  | Symbol | Acquired | Quantity | Unit Cost Basis | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Estimated Annual Income | Current Yield% |
|--------------------------|--|--------|----------|----------|-----------------|------------------|------------------------|------------------------|------------------------|-------------------------|----------------|
| JOHNSON AND JOHNSON COM  |  | JNJ    | 08/10/11 | 145      | 61.3800         | 8,900.10         | 65.5600                | 9,509.10               | 609.00                 | 331                     | 3.47           |
| JPMORGAN CHASE & CO      |  | JPM    | 08/10/11 | 441      | 34.6834         | 15,295.42        | 33.2500                | 14,663.25              | (632.17)               | 441                     | 3.00           |
|                          |  |        | 09/22/11 | 63       | 29.2900         | 1,845.27         | 33.2500                | 2,094.75               | 249.48                 | 63                      | 3.00           |
| Subtotal                 |  |        |          | 504      |                 | 17,140.69        |                        | 16,758.00              | (382.69)               | 504                     | 3.00           |
| KIMBERLY CLARK           |  | KMB    | 08/09/11 | 139      | 63.4022         | 8,812.91         | 73.5600                | 10,224.84              | 1,411.93               | 390                     | 3.80           |
| LINCOLN NTL CORP IND NPV |  | LNC    | 03/03/11 | 248      | 30.6635         | 7,604.55         | 19.4200                | 4,816.16               | (2,788.39)             | 80                      | 1.64           |
|                          |  |        | 03/16/11 | 262      | 28.6016         | 7,493.62         | 19.4200                | 5,088.04               | (2,405.58)             | 84                      | 1.64           |
| Subtotal                 |  |        |          | 510      |                 | 15,098.17        |                        | 9,904.20               | (5,193.97)             | 164                     | 1.64           |
| MARATHON OIL CORP        |  | MRO    | 11/12/10 | 305      | 20.2239         | 6,168.31         | 29.2700                | 8,927.35               | 2,759.04               | 183                     | 2.04           |
|                          |  |        | 07/07/11 | 148      | 33.0400         | 4,889.92         | 29.2700                | 4,331.96               | (557.96)               | 89                      | 2.04           |
| Subtotal                 |  |        |          | 453      |                 | 11,058.23        |                        | 13,259.31              | 2,201.08               | 272                     | 2.04           |
| MARATHON PETROLEUM CORP  |  | MPC    | 12/06/11 | 169      | 34.5101         | 5,832.22         | 33.2900                | 5,626.01               | (206.21)               | 169                     | 3.00           |
| MCDONALDS CORP           |  | MCD    | 09/22/11 | 100      | 85.5573         | 8,555.73         | 100.3300               | 10,033.00              | 1,477.27               | 280                     | 2.79           |
| MEDTRONIC INC            |  | MDT    | 08/29/11 | 194      | 34.4893         | 6,690.94         | 38.2500                | 7,420.50               | 729.56                 | 189                     | 2.53           |
|                          |  |        | 10/07/11 | 69       | 32.7268         | 2,258.15         | 38.2500                | 2,639.25               | 381.10                 | 67                      | 2.53           |
| Subtotal                 |  |        |          | 263      |                 | 8,949.09         |                        | 10,059.75              | 1,110.66               | 256                     | 2.53           |
| MICROSOFT CORP           |  | MSFT   | 08/03/11 | 436      | 26.6138         | 11,603.66        | 25.9600                | 11,318.56              | (285.10)               | 349                     | 3.08           |
| MORGAN STANLEY           |  | MS     | 08/25/11 | 505      | 17.5900         | 8,882.95         | 15.1300                | 7,640.65               | (1,242.30)             | 101                     | 1.32           |
|                          |  |        | 08/26/11 | 17       | 16.5700         | 281.69           | 15.1300                | 257.21                 | (24.48)                | 4                       | 1.32           |
| Subtotal                 |  |        |          | 522      |                 | 9,164.64         |                        | 7,897.86               | (1,266.78)             | 105                     | 1.32           |
| NOBLE CORP NAMENAKT      |  | NE     | 10/05/11 | 374      | 28.6709         | 10,722.95        | 30.2200                | 11,302.28              | 579.33                 | 222                     | 1.95           |
| PAYCHEX INC              |  | PAYX   | 08/09/11 | 335      | 26.2746         | 8,802.02         | 30.1100                | 10,086.85              | 1,284.83               | 429                     | 4.25           |
| PEPSICO INC              |  | PEP    | 09/12/11 | 146      | 59.8286         | 8,734.98         | 66.3500                | 9,687.10               | 952.12                 | 301                     | 3.10           |
| PROCTER & GAMBLE CO      |  | PG     | 08/09/11 | 148      | 59.5500         | 8,813.40         | 66.7100                | 9,873.08               | 1,059.68               | 311                     | 3.14           |
| QUEST DIAGNOSTICS INC    |  | DGX    | 09/16/11 | 228      | 49.0200         | 11,176.56        | 58.0600                | 13,237.68              | 2,061.12               | 156                     | 1.17           |
| TERADATA CORP DEL        |  | TDC    | 09/15/11 | 131      | 51.1968         | 6,706.79         | 48.5100                | 6,354.81               | (351.98)               |                         |                |
|                          |  |        | 10/07/11 | 69       | 53.9160         | 3,720.21         | 48.5100                | 3,347.19               | (373.02)               |                         |                |
| Subtotal                 |  |        |          | 200      |                 | 10,427.00        |                        | 9,702.00               | (725.00)               |                         |                |

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## YOUR RETIREMENT ACCOUNT ASSETS

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| EQUITIES (continued)   |        |          |          |          |            |            |              |              |             |
|------------------------|--------|----------|----------|----------|------------|------------|--------------|--------------|-------------|
| Description            | Symbol | Acquired | Quantity | Unit     | Cost Basis | Total      | Estimated    | Estimated    | Unrealized  |
|                        |        |          |          |          |            | Cost Basis | Market Price | Market Value | Gain/(Loss) |
| UNITED TECHS CORP COM  | UTX    | 08/14/09 | 10       | 56.68860 | 566.86     | 73.0900    | 730.90       | 164.04       | 20          |
|                        |        | 08/28/09 | 113      | 59.5984  | 6,734.62   | 73.0900    | 8,259.17     | 1,524.55     | 217         |
| Subtotal               |        |          | 123      |          | 7,301.48   |            | 8,990.07     | 1,688.59     | 237         |
| VALERO ENERGY CORP NEW | VLO    | 12/05/11 | 252      | 22.9834  | 5,791.84   | 21.0500    | 5,304.60     | (487.24)     | 152         |
| WAL-MART STORES INC    | WMT    | 08/10/11 | 178      | 49.4356  | 8,799.55   | 59.7600    | 10,637.28    | 1,837.73     | 260         |
| TOTAL                  |        |          |          |          | 409,140.40 |            | 427,864.77   | 18,724.37    | 10,102      |
|                        |        |          |          |          |            |            |              |              | 2.36        |

### MUTUAL FUNDS/CLOSED END FUNDS/UIT

| Description                              | Quantity | Total      | Estimated    | Estimated    | Unrealized  | Total             | Cumulative             | Estimated      |
|------------------------------------------|----------|------------|--------------|--------------|-------------|-------------------|------------------------|----------------|
|                                          |          | Cost Basis | Market Price | Market Value | Gain/(Loss) | Client Investment | Investment Return (\$) | Annual Current |
|                                          |          |            |              |              |             |                   |                        | Income Yield%  |
| AMER FUNDS AMERICAN HIGH                 | 1,438    | 13,636.21  | 10.6600      | 15,329.08    | 1,692.87    | 10,800            | 4,528                  | 1,211          |
|                                          |          |            |              |              |             |                   |                        | 7.89           |
| INCOME TRUST FD CL F2                    |          |            |              |              |             |                   |                        |                |
| SYMBOL: AHIFX Initial Purchase: 05/12/09 |          |            |              |              |             |                   |                        |                |
| Fixed Income 100%                        |          |            |              |              |             |                   |                        |                |
| .4130 Fractional Share                   |          | 4.40       | 10.6600      | 4.40         |             |                   |                        | 1              |
|                                          |          |            |              |              |             |                   |                        | 7.89           |

|                                          |       |           |         |           |          |        |       |       |
|------------------------------------------|-------|-----------|---------|-----------|----------|--------|-------|-------|
| BLACKROCK INFLATION                      | 2,519 | 27,331.63 | 11.6800 | 29,421.92 | 2,090.29 | 24,693 | 4,728 | 1,121 |
|                                          |       |           |         |           |          |        |       | 3.80  |
| PROTECTED BD FD INST CL                  |       |           |         |           |          |        |       |       |
| SYMBOL: BPRIX Initial Purchase: 08/20/09 |       |           |         |           |          |        |       |       |
| Fixed Income 100%                        |       |           |         |           |          |        |       |       |
| .3970 Fractional Share                   |       | 4.65      | 11.6800 | 4.64      | (0.01)   |        |       | 1     |
|                                          |       |           |         |           |          |        |       | 3.80  |

|                                         |     |           |         |           |          |        |       |     |
|-----------------------------------------|-----|-----------|---------|-----------|----------|--------|-------|-----|
| EMERGING GLOBAL SHARES                  | 602 | 13,477.42 | 21.9800 | 13,231.96 | (245.46) | 13,477 | (245) | 74  |
|                                         |     |           |         |           |          |        |       | .56 |
| DOW JONES                               |     |           |         |           |          |        |       |     |
| SYMBOL: ECON Initial Purchase: 08/15/11 |     |           |         |           |          |        |       |     |
| Equity 100%                             |     |           |         |           |          |        |       |     |

|                                          |       |           |         |           |          |        |        |       |
|------------------------------------------|-------|-----------|---------|-----------|----------|--------|--------|-------|
| FIRST EAGLE                              | 3,031 | 62,930.29 | 20.6500 | 62,590.15 | (340.14) | 51,792 | 10,797 | 1,370 |
|                                          |       |           |         |           |          |        |        | 2.18  |
| OVERSEAS CL I                            |       |           |         |           |          |        |        |       |
| SYMBOL: SGOIX Initial Purchase: 07/28/08 |       |           |         |           |          |        |        |       |

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24-Hour Assistance: (800) MERRILL

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT        | (continued) | Total      | Estimated    | Estimated    | Unrealized  | Total             | Cumulative             | Estimated                    |
|------------------------------------------|-------------|------------|--------------|--------------|-------------|-------------------|------------------------|------------------------------|
| Description                              | Quantity    | Cost Basis | Market Price | Market Value | Gain/(Loss) | Client Investment | Investment Return (\$) | Annual Current Income Yield% |
| Equity 100%                              |             |            |              |              |             |                   |                        |                              |
| .6570 Fractional Share                   |             | 13.50      | 20.6500      | 13.57        | .07         |                   |                        | 1 2.18                       |
| GUGGENHEIM BULLETSHARES                  |             |            |              |              |             |                   |                        |                              |
| 2016 CORPORATE BOND ETF                  | 677         | 14,253.22  | 21.2600      | 14,393.02    | 139.80      | 14,253            | 139                    | 411 2.85                     |
| SYMBOL: BSCG Initial Purchase: 09/16/10  |             |            |              |              |             |                   |                        |                              |
| Fixed Income 100%                        |             |            |              |              |             |                   |                        |                              |
| GUGGENHEIM BULLETSHARES                  |             |            |              |              |             |                   |                        |                              |
| 2014 HY CORP                             | 519         | 13,364.25  | 25.3000      | 13,130.70    | (233.55)    | 13,364            | (233)                  | 652 4.96                     |
| SYMBOL: BSJE Initial Purchase: 06/01/11  |             |            |              |              |             |                   |                        |                              |
| Fixed Income 100%                        |             |            |              |              |             |                   |                        |                              |
| GUGGENHEIM BULLETSHARES                  |             |            |              |              |             |                   |                        |                              |
| 2015 HY CORP                             | 639         | 16,313.67  | 25.1700      | 16,083.63    | (230.04)    | 16,313            | (230)                  | 871 5.41                     |
| SYMBOL: BSJF Initial Purchase: 06/14/11  |             |            |              |              |             |                   |                        |                              |
| Fixed Income 100%                        |             |            |              |              |             |                   |                        |                              |
| INVESCO CONVERTIBLE                      |             |            |              |              |             |                   |                        |                              |
| SECURITIES FUND CL Y                     | 960         | 20,304.00  | 18.8100      | 18,057.60    | (2,246.40)  | 20,304            | (2,246)                | 422 2.33                     |
| SYMBOL: CNSDX Initial Purchase: 04/01/11 |             |            |              |              |             |                   |                        |                              |
| Fixed Income 20% Equity 80%              |             |            |              |              |             |                   |                        |                              |
| .5040 Fractional Share                   |             | 10.66      | 18.8100      | 9.48         | (1.18)      |                   |                        | 1 2.33                       |
| ISHARES TRUST S&P MIDCAP                 |             |            |              |              |             |                   |                        |                              |
| 400 INDEX FUND                           | 606         | 53,312.16  | 87.6100      | 53,091.66    | (220.50)    | 53,312            | (220)                  | 676 1.27                     |
| SYMBOL: IJH Initial Purchase: 11/16/10   |             |            |              |              |             |                   |                        |                              |
| Equity 100%                              |             |            |              |              |             |                   |                        |                              |

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## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT<br>Description                                   | (continued)<br>Quantity             | Total      |              | Estimated    |              | Estimated<br>Market Value | Unrealized<br>Gain/(Loss) | Total Client<br>Investment | Cumulative                |             | Estimated<br>Annual Current<br>Income Yield% |
|------------------------------------------------------------------------------------|-------------------------------------|------------|--------------|--------------|--------------|---------------------------|---------------------------|----------------------------|---------------------------|-------------|----------------------------------------------|
|                                                                                    |                                     | Cost Basis | Market Price | Market Price | Market Value |                           |                           |                            | Investment<br>Return (\$) | Income (\$) |                                              |
| ISHARES MSCI EMERGING<br>MKTS INDEX FD<br>SYMBOL: EEM<br>Equity 100%               | 814<br>Initial Purchase: 02/11/10   | 31,750.02  | 37.9400      |              | 30,883.16    | (866.86)                  |                           | 31,750                     | (866)                     | 657         | 2.12                                         |
| ISHARES TR DOW JONES US<br>SYMBOL: IH1<br>Equity 100%                              | 381<br>Initial Purchase: 10/05/07   | 21,192.34  | 58.7600      |              | 22,387.56    | 1,195.22                  |                           | 21,192                     | 1,195                     | 60          | .26                                          |
| ISHARES BARCLAYS INTERME<br>SYMBOL: CIU<br>Fixed Income 100%                       | 138<br>Initial Purchase: 05/12/10   | 14,368.82  | 107.1800     |              | 14,790.84    | 422.02                    |                           | 14,368                     | 422                       | 551         | 3.71                                         |
| ISHARES TR DOW JONES US<br>TECHNOLOGY SECTOR INDEX F<br>SYMBOL: ITW<br>Equity 100% | 1,111<br>Initial Purchase: 01/22/09 | 53,249.71  | 63.9000      |              | 70,992.90    | 17,743.19                 |                           | 53,249                     | 17,743                    | 432         | .60                                          |
| ISHARES TR RUSSELL 2000<br>INDEX FD<br>SYMBOL: IWM<br>Equity 100%                  | 149<br>Initial Purchase: 12/23/11   | 11,090.07  | 73.7500      |              | 10,988.75    | (101.32)                  |                           | 11,090                     | (101)                     | 154         | 1.39                                         |
| ISHARES S&P 100 INDEX<br>FUND<br>SYMBOL: OEF<br>Equity 100%                        | 800<br>Initial Purchase: 10/19/11   | 44,917.36  | 57.0300      |              | 45,624.00    | 706.64                    |                           | 44,917                     | 706                       | 944         | 2.06                                         |

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24-Hour Assistance: (800) MERRILL

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT                                            |          | (continued) | Total        | Estimated    | Estimated   | Unrealized | Total Client           | Cumulative     | Estimated     |
|------------------------------------------------------------------------------|----------|-------------|--------------|--------------|-------------|------------|------------------------|----------------|---------------|
| Description                                                                  | Quantity | Cost Basis  | Market Price | Market Value | Gain/(Loss) | Investment | Investment Return (\$) | Annual Current | Income Yield% |
| KAYNE ANDERSON MLP<br>SYMBOL: KYM<br>Equity 100%                             | 544      | 14,498.18   | 30.3700      | 16,521.28    | 2,023.10    | 14,498     | 2,023                  | 1,110          | 6.71          |
| Initial Purchase: 08/19/10                                                   |          |             |              |              |             |            |                        |                |               |
| LORD ABBETT FLOATING<br>RATE FUND CL F<br>SYMBOL: LFRFX<br>Fixed Income 100% | 1,054    | 9,765.77    | 9.0000       | 9,486.00     | (279.77)    | 8,927      | 559                    | 495            | 5.21          |
| Initial Purchase: 08/29/10                                                   |          |             |              |              |             |            |                        |                |               |
| .6420 Fractional Share                                                       |          | 5.79        | 9.0000       | 5.78         | (0.01)      |            |                        | 1              | 5.21          |
| OPPENHEIMER<br>INTERNATIONAL BOND FD Y<br>SYMBOL: OIBYX<br>Fixed Income 100% | 4,326    | 27,965.78   | 6.2000       | 26,821.20    | (1,144.58)  | 22,943     | 3,877                  | 1,168          | 4.35          |
| Initial Purchase: 07/07/08                                                   |          |             |              |              |             |            |                        |                |               |
| .4580 Fractional Share                                                       |          | 2.85        | 6.2000       | 2.84         | (0.01)      |            |                        | 1              | 4.35          |
| PENNSYLVANIA MUTUAL FD<br>SYMBOL: PENNX<br>Equity 100%                       | 3,205    | 28,013.57   | 10.7600      | 34,485.80    | 6,472.23    | 26,597     | 7,888                  | 61             | 1.17          |
| Initial Purchase: 07/22/09                                                   |          |             |              |              |             |            |                        |                |               |
| .9010 Fractional Share                                                       |          | 9.57        | 10.7600      | 9.69         | .12         |            |                        | 1              | 1.17          |
| PIMCO TOTAL RETURN FUND<br>CL P<br>SYMBOL: PTRFX<br>Fixed Income 100%        | 1,099    | 12,211.80   | 10.8700      | 11,946.13    | (265.67)    | 11,029     | 916                    | 383            | 3.20          |
| Initial Purchase: 05/21/10                                                   |          |             |              |              |             |            |                        |                |               |
| .3740 Fractional Share                                                       |          | 4.05        | 10.8700      | 4.07         | .02         |            |                        | 1              | 3.20          |
| POWERSHARES BUILD AMERIC                                                     | 1,020    | 26,087.05   | 28.7000      | 29,274.00    | 3,186.95    | 26,087     | 3,186                  | 1,524          | 5.20          |

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3062

PIA

Account Number: [REDACTED]

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT (continued) |          | Total      | Estimated    | Estimated    | Unrealized  | Total             | Cumulative             | Estimated                    |
|-----------------------------------------------|----------|------------|--------------|--------------|-------------|-------------------|------------------------|------------------------------|
| Description                                   | Quantity | Cost Basis | Market Price | Market Value | Gain/(Loss) | Client Investment | Investment Return (\$) | Annual Current Income Yield% |
| <b>BOND ETF</b>                               |          |            |              |              |             |                   |                        |                              |
| SYMBOL: BAB Initial Purchase: 02/12/10        |          |            |              |              |             |                   |                        |                              |
| Fixed Income 100%                             |          |            |              |              |             |                   |                        |                              |
| RS FLOATING RATE FUND                         | 1.363    | 14,139.03  | 9.8600       | 13,439.18    | (699.85)    | 13,555            | (116)                  | 758 5.63                     |
| CL Y                                          |          |            |              |              |             |                   |                        |                              |
| SYMBOL: RSFYX Initial Purchase: 02/18/11      |          |            |              |              |             |                   |                        |                              |
| Fixed Income 100%                             |          |            |              |              |             |                   |                        |                              |
| .1210 Fractional Share                        |          | 1.19       | 9.8600       | 1.19         |             |                   |                        | 1 5.63                       |
| RS LOW DURATION BOND FD                       | 1.462    | 14,941.64  | 10.2100      | 14,927.02    | (14.62)     | 14,941            | (14)                   | 382 2.55                     |
| CL Y                                          |          |            |              |              |             |                   |                        |                              |
| SYMBOL: RSDYX Initial Purchase: 11/16/11      |          |            |              |              |             |                   |                        |                              |
| Fixed Income 100%                             |          |            |              |              |             |                   |                        |                              |
| .7630 Fractional Share                        |          | 7.80       | 10.2100      | 7.79         | (0.01)      |                   |                        | 1 2.55                       |
| SECTOR SPDR CONSMRS STPL                      | 553      | 17,673.88  | 32.4900      | 17,966.97    | 293.09      | 17,673            | 293                    | 490 2.72                     |
| SYMBOL: XLP Initial Purchase: 12/09/11        |          |            |              |              |             |                   |                        |                              |
| Equity 100%                                   |          |            |              |              |             |                   |                        |                              |
| SPDR DB INTL GOV INFL                         | 324      | 19,289.13  | 56.7500      | 18,387.00    | (902.13)    | 19,289            | (902)                  | 855 4.64                     |
| SYMBOL: WIP Initial Purchase: 05/19/08        |          |            |              |              |             |                   |                        |                              |
| Fixed Income 100%                             |          |            |              |              |             |                   |                        |                              |
| SUNAMERICA SENIOR                             | 1.104    | 8,915.87   | 7.9600       | 8,787.84     | (128.03)    | 8,336             | 451                    | 400 4.54                     |
| FLOATING RATE FUND CL A                       |          |            |              |              |             |                   |                        |                              |
| SYMBOL: SASFX Initial Purchase: 05/24/10      |          |            |              |              |             |                   |                        |                              |
| Fixed Income 100%                             |          |            |              |              |             |                   |                        |                              |

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PIA

Account Number: [REDACTED]

24-Hour Assistance: (800) MERRILL

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT Description                                                                    | (continued) Quantity | Total Cost Basis | Estimated Market Price | Estimated Market Value | Unrealized Gain/(Loss) | Total Client Investment | Cumulative Investment Return (\$) | Estimated Annual Current Income Yield% |
|------------------------------------------------------------------------------------------------------------------|----------------------|------------------|------------------------|------------------------|------------------------|-------------------------|-----------------------------------|----------------------------------------|
| .4090 Fractional Share                                                                                           |                      | 3.87             | 7.9600                 | 3.89                   | .02                    |                         |                                   | 1 4.54                                 |
| TCW TOTAL RETURN BOND FD CL / SYMBOL: TGLMAX Initial Purchase: 06/29/10 Fixed Income 100% .1860 Fractional Share | 2.169                | 21,933.06        | 9,6400                 | 20,909.16              | (1,023.90)             | 19,705                  | 1,203                             | 1,432 6.84                             |
| TEMPLETON GLBL BOND FD ADV CL SYMBOL: TGBAX Initial Purchase: 06/30/09 Fixed Income 100% .7830 Fractional Share  | 1.381                | 16,867.83        | 12.3700                | 17,082.97              | 215.14                 | 14,467                  | 2,615                             | 875 5.11                               |
| TORTOISE MLP FD INC SYMBOL: NTG Initial Purchase: 12/02/11 Equity 100%                                           | 358                  | 8,975.24         | 25.7700                | 9,225.66               | 250.42                 | 8,975                   | 250                               | 591 6.40                               |
| VANGUARD FINANCIALS ETF SYMBOL: VFH Initial Purchase: 12/02/11 Equity 100%                                       | 340                  | 9,355.81         | 27.6199                | 9,390.77               | 34.96                  | 9,355                   | 34                                | 190 2.02                               |
| Subtotal (Fixed Income)                                                                                          |                      |                  |                        | 277,869.19             |                        |                         |                                   |                                        |
| Subtotal (Equities)                                                                                              |                      |                  |                        | 411,857.54             |                        |                         |                                   |                                        |

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PIA

Account Number: [REDACTED]

## YOUR RETIREMENT ACCOUNT ASSETS

December 01, 2011 - December 30, 2011

| MUTUAL FUNDS/CLOSED END FUNDS/UIT (continued) |          | Total      | Estimated    | Estimated    | Unrealized  | Total Client | Cumulative             | Estimated                    |
|-----------------------------------------------|----------|------------|--------------|--------------|-------------|--------------|------------------------|------------------------------|
| Description                                   | Quantity | Cost Basis | Market Price | Market Value | Gain/(Loss) | Investment   | Investment Return (\$) | Annual Current Income Yield% |
| <b>TOTAL</b>                                  |          | 662,204.54 |              | 689,726.73   | 27,522.19   |              | 58,380                 | 20,333                       |
|                                               |          |            |              |              |             |              |                        | 2.95                         |

**Total Client Investment:** Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.

**Cumulative Investment Return:** Estimated Market Value minus Total Client Investment.

Cumulative Investment Return is the dollar value of the capital appreciation (depreciation)

of all shares purchased and still held, including shares acquired through reinvestment of

dividends and distributions, which may be greater or less than the actual income distributed.

**Unrealized Gain or (Loss):** Estimated Market Value minus Total Cost Basis (total cost of shares directly purchased and still held, as well as cost of shares acquired through reinvestment). Provided for Tax Planning purposes only and is not applicable to retirement accounts.

**Initial Purchase:** Date of your initial investment in this fund.

**Market Timing:** Merrill Lynch's policies prohibit mutual fund market timing, which involves the purchase and sale of mutual fund shares within short periods of time with the intention of capturing short-term profits resulting from market volatility. Market timing may result in lower returns for long-term fund shareholders because market timers capture short-term gains that would otherwise pass to all shareholders and due to increased transaction costs and fewer assets for investment due to the need to retain cash to satisfy redemptions.

| ALTERNATIVE INVESTMENTS |          | Acquired | Quantity | Unit       | Total      | Estimated    | Estimated    | Unrealized  | Estimated     | Current |
|-------------------------|----------|----------|----------|------------|------------|--------------|--------------|-------------|---------------|---------|
| Description             |          |          |          | Cost Basis | Cost Basis | Market Price | Market Value | Gain/(Loss) | Annual Income | Yield%  |
| ISHARES GOLD TR         | 10/04/11 | 1,033    | 16,1300  | 16,662.29  | 15,2300    | 15,732.59    | (929.70)     |             |               |         |
| ISHARES GOLD TR         | 10/04/11 | 14       | 15,9164  | 222.83     | 15,2300    | 213.22       | (9.61)       |             |               |         |
| <i>Subtotal</i>         |          | 1,047    |          | 16,885.12  |            | 15,945.81    | (939.31)     |             |               |         |
| <b>TOTAL</b>            |          |          |          | 16,885.12  |            | 15,945.81    | (939.31)     |             |               |         |

| LONG PORTFOLIO |  | Adjusted/Total | Estimated    | Unrealized  | Estimated        | Estimated     | Estimated | Current |
|----------------|--|----------------|--------------|-------------|------------------|---------------|-----------|---------|
|                |  | Cost Basis     | Market Value | Gain/(Loss) | Accrued Interest | Annual Income | Yield%    |         |
| <b>TOTAL</b>   |  | 1,415,200.37   | 1,466,909.76 | 51,709.39   | 2,641.44         | 41,615        | 2.84      |         |

### Notes

\* Some agency securities are not backed by the full faith and credit of the United States government.

For Credit Ratings: S&P and Moody's provide credit ratings on the credit quality of certain bonds and preferred stocks. For a credit enhanced security,

Moody's and S&P publish and provide third party vendors the higher of the rating on the credit enhancer (guarantor) or the stand alone rating on

the underlying security.

|     |         |  |          |                                                                                                                                                |       |   |  |   |
|-----|---------|--|----------|------------------------------------------------------------------------------------------------------------------------------------------------|-------|---|--|---|
| PIA | Settled |  | 1/3/2011 | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$49.93 REINV PRICE<br>\$10.89000 QUANTITY BOT 4.5850 AS OF 12/31 | BPRIX | 4 |  | 0 |
| PIA | Settled |  | 1/3/2011 | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$44.02 REINV PRICE \$8.27000<br>QUANTITY BOT 5.3230 AS OF 12/31    | SASFX | 5 |  | 0 |

|     |         |  |           |                                                                                                                                                                                              |        |      |          |            |
|-----|---------|--|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|------|----------|------------|
| PIA | Settled |  | 1/3/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$39.52 REINV PRICE \$9.32000<br>QUANTITY BOT 4.2400 AS OF 12/31                                                        | LFRFX  | 4    |          | 0          |
| PIA | Settled |  | 1/3/2011  | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$35.83 REINV PRICE \$10.85000 QUANTITY<br>BOT 3.3020 AS OF 12/31                                                              | PTTPX  | 3    |          | 0          |
| PIA | Settled |  | 1/3/2011  | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD PD INST CL FULL SHARE ACCUM SHARE VALUE \$10.87                                                                                            | BPRIX  | 1    |          | 0          |
| PIA | Settled |  | 1/3/2011  | Journal Entry<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A FULL SHARE ACCUM SHARE VALUE \$8.27                                                                                               | SASFX  | 1    |          | 0          |
| PIA | Settled |  | 1/4/2011  | Sale<br>CALL APC 00090.000 ANADARKO PETE CORP EXP 02-19-11 OPEN TRAN APC FEB 90.00000                                                                                                        | APC111 | -2   | 0.987857 | 197.56     |
| PIA | Settled |  | 1/5/2011  | Purchase<br>CALL CHRW 00080.000 C.H. ROBINSON WORLDWIDE, EXP 02-19-11 CLOSE TRAN CHRW FEB 80.00000                                                                                           | CHRW1  | 2    | 3        | -600       |
| PIA | Settled |  | 1/4/2011  | Sale<br>C.H. ROBINSON WORLDWIDE, INC. NEW PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.              | CHRW   | -247 | 80.5047  | 19,884.32  |
| PIA | Settled |  | 1/10/2011 | Purchase<br>DISNEY (WALT) CO COM STK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | DIS    | 400  | 39.3994  | -15,759.76 |
| PIA | Settled |  | 1/13/2011 | Sale<br>MCDONALDS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT           | MCD    | -208 | 73.9457  | 15,380.45  |

|     |         |           |           |                                                                                                                                                                           |        |      |          |           |
|-----|---------|-----------|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|------|----------|-----------|
| PIA | Settled | 1/13/2011 | 1/14/2011 | Sale<br>CALL HON 00055.000 HONEYWELL INTL INC DEL EXP 02-19-11 OPEN TRAN HON FEB 55.00000                                                                                 | HON111 | -3   | 1.33     | 398.99    |
| PIA | Settled | 1/12/2011 | 1/18/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.   | IJH    | 26   | 92.339   | -2,400.81 |
| PIA | Settled | 1/20/2011 | 1/21/2011 | Purchase<br>CALL JEC 00048.000 JACOBS ENGN GRP INC DELA EXP 01-22-11 CLOSE TRAN JEC JAN 48.00000                                                                          | JEC112 | 3    | 1.947834 | -584.38   |
| PIA | Settled | 1/21/2011 | 1/21/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$68.19 REINV PRICE \$13.51000 QUANTITY BOT 5.0470 AS OF 01/18                                             | TGBAX  | 5    |          | 0         |
| PIA | Settled | 1/21/2011 | 1/21/2011 | Journal Entry<br>TEMPLETON GLBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$13.39                                                                                       | TGBAX  | 1    |          | 0         |
| PIA | Settled | 1/21/2011 | 1/24/2011 | Sale<br>CALL F 00019.000 FORD MOTOR CO NEW EXP 03-19-11 OPEN TRAN F MAR 19.00000                                                                                          | F1119C | -13  | 0.52     | 675.99    |
| PIA | Settled | 1/21/2011 | 1/24/2011 | Purchase<br>CALL F 00017.500 FORD MOTOR CO NEW EXP 01-22-11 CLOSE TRAN F JAN 17.50000                                                                                     | F1122A | 13   | 0.448582 | -583.16   |
| PIA | Settled | 1/24/2011 | 1/25/2011 | Purchase<br>CALL HES 00086.000 HESS CORP EXP 02-19-11 CLOSE TRAN HES FEB 86.00000                                                                                         | HES111 | 2    | 0.577419 | -115.48   |
| PIA | Settled | 1/21/2011 | 1/26/2011 | Sale<br>HESS CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | HES    | -244 | 79.0036  | 19,276.51 |

|     |         |           |           |                                                                                                                                                                                                                                                                              |       |      |         |           |
|-----|---------|-----------|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|------|---------|-----------|
| PIA | Settled | 1/21/2011 | 1/26/2011 | Sale<br>VALERO ENERGY CORP NEW PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                       | VLO   | -760 | 24.1728 | 18,370.98 |
| PIA | Settled | 1/25/2011 | 1/26/2011 | Purchase<br>ASTON/OPTIMUM MID CAP FD CL I FRAC SHR QUANTITY .023 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS. YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | ABMIX | 75   | 32.79   | -2,460.00 |
| PIA | Settled | 1/29/2011 | 1/31/2011 | Purchase<br>ASTON/OPTIMUM MID CAP FD CL I FRAC SHR QUANTITY .370 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS. YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | ABMIX | 69   | 32.55   | -2,257.99 |
| PIA | Settled |           | 1/31/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$51.07 REINV PRICE \$11.47000 QUANTITY BOT 4.4520 AS OF 01/28                                                                                                                               | AHIFX | 4    |         | 0         |
| PIA | Settled |           | 2/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$77.64 REINV PRICE \$9.94000 QUANTITY BOT 7.8110 AS OF 01/31                                                                                                                                                 | TGLMX | 7    |         | 0         |
| PIA | Settled |           | 2/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$30.66 REINV PRICE \$10.87000 QUANTITY BOT 2.8210 AS OF 01/31                                                                                                                                  | BPRIX | 2    |         | 0         |
| PIA | Settled |           | 2/1/2011  | Divd Reinv<br>OPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$59.91 REINV PRICE \$6.46000 QUANTITY BOT 9.2740 AS OF 01/31                                                                                                                                            | OIBYX | 9    |         | 0         |
| PIA | Settled |           | 2/1/2011  | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$29.06 REINV PRICE \$8.37000 QUANTITY BOT 3.4720 AS OF 01/31                                                                                                                                     | SASFX | 3    |         | 0         |
| PIA | Settled |           | 2/1/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$38.14 REINV PRICE \$9.42000 QUANTITY BOT 4.0690 AS OF 01/31                                                                                                                                           | LFRFX | 4    |         | 0         |

|     |         |           |          |                                                                                                                                                                                                                                     |       |     |          |            |
|-----|---------|-----------|----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-----|----------|------------|
| PIA | Settled |           | 2/1/2011 | Divd Refny<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$29.64 REINV PRICE \$10.85000 QUANTITY<br>BOT 2.7320 AS OF 01/31                                                                                                     | PPTPX | 2   |          | 0          |
| PIA | Settled |           | 2/1/2011 | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.93                                                                                                                                                  | TGLMX | 1   |          | 0          |
| PIA | Settled |           | 2/1/2011 | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$10.85                                                                                                                                   | BPRIX | 1   |          | 0          |
| PIA | Settled |           | 2/1/2011 | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.84                                                                                                                                                  | PPTPX | 1   |          | 0          |
| PIA | Settled | 1/28/2011 | 2/2/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PRODUCT DESCRIPTION ENCL ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                                                          | IJH   | 29  | 91.7972  | -2,062.12  |
| PIA | Settled | 2/3/2011  | 2/8/2011 | Purchase<br>APPLE INC PER THE PIA AGREEMENT WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                                                                                                                | AAPL  | 20  | 341.2408 | -6,824.82  |
| PIA | Settled | 2/3/2011  | 2/8/2011 | Purchase<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON<br>REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | 310 | 40.9396  | -12,691.23 |
| PIA | Settled | 2/3/2011  | 2/8/2011 | Purchase<br>E TRADE FINL CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                  | ETFC  | 744 | 16.9827  | -12,635.13 |
| PIA | Settled | 2/3/2011  | 2/8/2011 | Purchase<br>KIMBERLY CLARK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                            | KMB   | 196 | 64.6912  | -12,679.48 |

|     |         |          |           |                                                                                                                                                                                                                    |              |        |          |            |
|-----|---------|----------|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|--------|----------|------------|
| PIA | Settled | 2/3/2011 | 2/8/2011  | Purchase<br>METLIFE INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                             | MET          | 339    | 48.3483  | -15,712.41 |
| PIA | Settled | 2/3/2011 | 2/8/2011  | Sale<br>MCKESSON CORPORATION COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                        | MCK          | -232   | 76.3443  | 17,711.54  |
| PIA | Settled | 2/3/2011 | 2/8/2011  | Sale<br>SECTOR SPDR UTILITIES PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                           | XLU          | -1,280 | 31.7421  | 40,629.11  |
| PIA | Settled | 2/3/2011 | 2/8/2011  | Purchase<br>STANDARD&POORS DEP RCPT ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                                                                                     | SPY          | 223    | 130.3    | -29,056.90 |
| PIA | Settled | 2/7/2011 | 2/8/2011  | Purchase<br>CALL F 00019.000 FORD MOTOR CO NEW EXP 03-19-11 CLOSE TRAN F MAR 19.00000                                                                                                                              | F1190C       | 13     | 0.068745 | -89.37     |
| PIA | Settled | 2/4/2011 | 2/9/2011  | Sale<br>CISCO SYSTEMS INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT    | CSCO         | -760   | 21.9196  | 16,658.58  |
| PIA | Settled | 2/9/2011 | 2/14/2011 | Sale<br>TEVA PHARMACTCL INDS ADR PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | TEVA         | -255   | 51.8873  | 13,231.01  |
| PIA | Settled |          | 2/15/2011 | Redeemed<br>WAL-MART STORES GLB 04.125% FEB 16 2011 GLB 04.125% FEB 15 2011 PAY DATE 02/15/2011                                                                                                                    | 931142B##### |        |          | 25,000.00  |
| PIA | Settled |          | 2/16/2011 | Exec Options<br>CALL HON 00055.000 HONEYWELL INTERNATIONAL EXP 02-19-11 NOCC                                                                                                                                       | HON111       | 3      |          | 0          |

|     |         |           |           |                                                                                                                                                                                                                                                                           |        |      |         |           |
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| PIA | Settled | 2/18/2011 | 2/18/2011 | Sale<br>HONEYWELL INTL INC DEL AC CALL ZB2J5 HON PER THE PIA AGREEMENT AS OF 02/15 UNSOLICITED ORDER                                                                                                                                                                      | HON    | -300 | 55      | 16,499.68 |
| PIA | Settled | 2/17/2011 | 2/18/2011 | Sale<br>CALL APC 00090.000 ANADARKO PETE CORP EXP 03-19-11 OPEN TRAN APC MAR 90.00000                                                                                                                                                                                     | APC111 | -2   | 0.88    | 175.99    |
| PIA | Settled | 2/17/2011 | 2/18/2011 | Purchase<br>CALL APC 00090.000 ANADARKO PETE CORP EXP 02-19-11 CLOSE TRAN APC FEB 90.00000                                                                                                                                                                                | APC111 | 2    | 0.05    | -10       |
| PIA | Settled |           | 2/18/2011 | Divd Reinv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$68.07 REINV PRICE \$13.50000 QUANTITY BOT 5.0420 AS OF 02/15                                                                                                                                              | TGBAX  | 5    |         | 0         |
| PIA | Settled |           | 2/22/2011 | Purchase<br>RS FLOATING RATE FUND CL Y FRAC SHR QUANTITY .923 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS. YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | RSFTX  | 866  | 10.4    | -9,224.00 |
| PIA | Settled | 2/18/2011 | 2/24/2011 | Sale<br>HONEYWELL INTL INC DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                    | HON    | -8   | 57.9197 | 463.36    |
| PIA | Settled |           | 3/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$78.07 REINV PRICE \$9.94000 QUANTITY BOT 7.8540 AS OF 02/28                                                                                                                                              | TGLMX  | 7    |         | 0         |
| PIA | Settled |           | 3/1/2011  | Divd Reinv<br>RS FLOATING RATE FD CL Y AGENT REINV AMOUNT \$7.62 REINV PRICE \$10.38000 QUANTITY BOT .7340 AS OF 02/28                                                                                                                                                    | RSFTX  |      |         | 0         |
| PIA | Settled |           | 3/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$58.66 REINV PRICE \$10.96000 QUANTITY BOT 5.3520 AS OF 02/28                                                                                                                               | BPRIX  | 5    |         | 0         |

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| PIA | Settled |  | 3/1/2011 | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$56.46 REINV PRICE \$6.48000<br>QUANTITY BOT 8.7130 AS OF 02/28             | OIBYX  | 8 |  | 0 |
| PIA | Settled |  | 3/1/2011 | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$27.49 REINV PRICE \$6.41000<br>QUANTITY BOT 3.2690 AS OF 02/28       | SASFYX | 3 |  | 0 |
| PIA | Settled |  | 3/1/2011 | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$38.13 REINV PRICE \$9.41000<br>QUANTITY BOT 4.0620 AS OF 02/28             | LERFYX | 4 |  | 0 |
| PIA | Settled |  | 3/1/2011 | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$30.87 REINV PRICE \$10.88000 QUANTITY<br>BOT 2.8370 AS OF 02/28                   | PTTPYX | 2 |  | 0 |
| PIA | Settled |  | 3/1/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$99.32 REINV PRICE<br>\$11.55000 QUANTITY BOT 8.5890 AS OF 02/28 | AHIFX  | 8 |  | 0 |
| PIA | Settled |  | 3/1/2011 | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.93                                                                | TGLMYX | 1 |  | 0 |
| PIA | Settled |  | 3/1/2011 | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$10.38                                                                  | RSFYX  | 1 |  | 0 |
| PIA | Settled |  | 3/1/2011 | Journal Entry<br>OPPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.47                                                          | OIBYX  | 1 |  | 0 |
| PIA | Settled |  | 3/1/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$11.55                                              | AHIFX  | 1 |  | 0 |

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| PIA | Settled | 2/25/2011 | 3/22/2011 | Purchase<br>SALESFORCE COM INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                        | CRM    | 90   | 142,324  | -12,809.16 |
| PIA | Settled | 3/3/2011  | 3/8/2011  | Purchase<br>LINCOLN NTL CORP IND NPV PER THE PIA AGREEMENT EXECUTED 100% AGENCY EXECUTED ON<br>MULTIPLE MAR ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT         | LNC    | 248  | 30,635   | -7,604.55  |
| PIA | Settled | 3/3/2011  | 3/8/2011  | Sale<br>QUEST DIAGNOSTICS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                         | DGX    | -301 | 56,136   | 16,896.62  |
| PIA | Settled | 3/10/2011 | 3/11/2011 | Purchase<br>CALL APC 00090.000 ANADARKO PETE CORP EXP 03-19-11 CLOSE TRAN APC MAR 90.00000                                                                                                                                          | APC111 | 2    | 0.05     | -10        |
| PIA | Settled | 3/11/2011 | 3/18/2011 | Purchase<br>DEERE CO PER THE PIA AGREEMENT ML ACTED AS AGENT                                                                                                                                                                        | DE     | 88   | 85,989   | -7,565.27  |
| PIA | Settled | 3/14/2011 | 3/17/2011 | Sale<br>COCA COLA COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 | KO     | -273 | 63,5636  | 17,357.99  |
| PIA | Settled | 3/15/2011 | 3/18/2011 | Purchase<br>APPLE INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY EXECUTED ON MULTIPLE MAR ACTUAL<br>PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.<br>WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | AAPL   | 24   | 342,2632 | -8,214.32  |
| PIA | Settled | 3/15/2011 | 3/18/2011 | Sale<br>WALGREEN CO PER THE PIA AGREEMENT ML ACTED AS AGENT                                                                                                                                                                         | WAG    | -144 | 40.84    | 5,880.85   |
| PIA | Settled | 3/18/2011 | 3/18/2011 | Divd Reinv<br>TEMPLETON GBLB BOND FD ADV CL AGENT REINV AMOUNT \$88.72 REINV PRICE \$13.37000 QUANTITY<br>BOT 5,1400 AS OF 03/15                                                                                                    | TGBAX  | 5    |          | 0          |

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| PIA | Settled | 3/16/2011 | 3/21/2011 | Purchase<br>DEERE CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                 | DE           | 81     | 86.43     | -7,000.83  |
| PIA | Settled | 3/16/2011 | 3/21/2011 | Purchase<br>LINCOLN NTL CORP IND NPV PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | LNC          | 262    | 28.8016   | -7,493.62  |
| PIA | Settled |           | 3/22/2011 | Redeemed<br>FEDERAL HOME LOAN BANK CALLABLE BONDS 03.300% MAR 17 2016 CALLABLE BONDS 03.300% MAR 17 2016 PAY DATE 03/22/2011                                                                 | 3133XX/##### |        |           | 10,000.00  |
| PIA | Settled |           | 3/23/2011 | Redeemed<br>FEDERAL NATL MTG ASSOC CALLABLE NOTES 02.375% MAR 23 2012 CALLABLE NOTES 02.375% MAR 23 2012 PAY DATE 03/23/2011                                                                 | 3136FH#####  |        |           | 20,000.00  |
| PIA | Settled | 3/21/2011 | 3/24/2011 | Sale<br>KAYNE ANDERSON MLP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT           | KYN          | -435   | 31.5162   | 13,709.29  |
| PIA | Settled |           | 3/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$89.83 REINV PRICE \$11.50000 QUANTITY BOT 8.8810 AS OF 03/28                                               | AHIFX        | 8      |           | 0          |
| PIA | Settled | 3/30/2011 | 3/31/2011 | Purchase<br>FEDERAL HOME LOAN BANK BONDS 04.125% MAR 13 2015 ENCLSR PREVIOUSLY MAILED YLD TO MATURITY 1.92% MATURITY DATE 3/13/15.                                                           | 3133XQI      | 25,000 | 108.33139 | -27,134.41 |
| PIA | Settled |           | 4/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$78.51 REINV PRICE \$9.90000 QUANTITY BOT 7.9300 AS OF 03/31                                                                 | TGLMX        | 7      |           | 0          |
| PIA | Settled |           | 4/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$39.09 REINV PRICE \$10.35000 QUANTITY BOT 3.7770 AS OF 03/31                                                                   | RSFYX        | 3      |           | 0          |

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| PIA | Settled |  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$132.66 REINV PRICE<br>\$11.03000 QUANTITY BOT 12.0270 AS OF 03/31 | BPRIX | 12 |  | 0 |
| PIA | Settled |  | Divd Reinv<br>OPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$60.41 REINV PRICE \$6.55000<br>QUANTITY BOT 9.2230 AS OF 03/31             | OIBYX | 9  |  | 0 |
| PIA | Settled |  | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$31.72 REINV PRICE \$8.38000<br>QUANTITY BOT 3.7850 AS OF 03/31      | SASFX | 3  |  | 0 |
| PIA | Settled |  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$38.94 REINV PRICE \$9.38000<br>QUANTITY BOT 4.1510 AS OF 03/31            | LFRFX | 4  |  | 0 |
| PIA | Settled |  | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$32.04 REINV PRICE \$10.88000 QUANTITY<br>BOT 2.9450 AS OF 03/31                  | PTIPX | 2  |  | 0 |
| PIA | Settled |  | Journal Entry<br>TCW TOTAL RETURN BOND FD CL J FULL SHARE ACCUM SHARE VALUE \$9.90                                                               | TGLMX | 1  |  | 0 |
| PIA | Settled |  | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$10.36                                                                 | RSFTX | 1  |  | 0 |
| PIA | Settled |  | Journal Entry<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A FULL SHARE ACCUM SHARE VALUE \$8.38                                                   | SASFX | 1  |  | 0 |
| PIA | Settled |  | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.89                                                               | PTIPX | 1  |  | 0 |

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| PIA | Settled | 4/1/2011 | 4/4/2011  | Sale<br>U.S. TREASURY NOTE 3.250% MAY 31 2016 PER THE PIA AGREEMENT YLD TO MATURITY 2.32%<br>MATURITY DATE 5/31/16. 125 DAYS INTEREST                                                                                                                                                   | 8128284 | ##### | 104.45313 | 14.779.69  |
| PIA | Settled | 4/1/2011 | 4/4/2011  | Purchase<br>TCW TOTAL RETURN BOND FD CL I FRAC SHR QUANTITY .975 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS            | TGLMX   | 622   | 9.9       | -6.167.45  |
| PIA | Settled | 4/1/2011 | 4/4/2011  | Purchase<br>RS FLOATING RATE FUND CL Y FRAC SHR QUANTITY .418 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS               | RSFYX   | 419   | 10.36     | -4.345.15  |
| PIA | Settled | 4/1/2011 | 4/4/2011  | Purchase<br>INVESCO CONVERTIBLE SECURITIES FUND CL Y FRAC SHR QUANTITY .504 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | CNSDX   | 960   | 21.15     | -20.314.66 |
| PIA | Settled | 4/1/2011 | 4/4/2011  | Purchase<br>OPPENHEIMER INTERNATIONAL BOND FD Y FRAC SHR QUANTITY .506 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS      | OIBYX   | 1.423 | 6.56      | -9.338.20  |
| PIA | Settled | 4/1/2011 | 4/4/2011  | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.91                                                                                                                                                                                                      | TGLMX   | 1     |           | 0          |
| PIA | Settled | 4/1/2011 | 4/4/2011  | Journal Entry<br>OPPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.57                                                                                                                                                                                                | OIBYX   | 1     |           | 0          |
| PIA | Settled | 4/1/2011 | 4/6/2011  | Sale<br>SPDR BARCLAYS CAPTL CONV PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                                | CWB     | -473  | 42.1001   | 19.912.97  |
| PIA | Settled | 4/1/2011 | 4/20/2011 | Divd Reinv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$68.86 REINV PRICE \$13.85000 QUANTITY BOT 4.9720 AS OF 04/15                                                                                                                                                            | TGBAX   | 4     |           | 0          |

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| PIA | Settled |  | 4/20/2011 | Journal Entry<br>TEMPLETON GLBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$13.89                                                                                                            | TGBAX  | 1   |          | 0         |
| PIA | Settled |  | 4/18/2011 | Purchase<br>JOHNSON CONTROLS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | JCI    | 200 | 38,2748  | -7,654.96 |
| PIA | Settled |  | 4/21/2011 | Sale<br>CALL APC 00090.000 ANADARKO PETE CORP EXP 06-18-11 OPEN TRAN APC JUN 90.00000                                                                                                          | APC111 | -2  | 0.92     | 183.99    |
| PIA | Settled |  | 4/21/2011 | Sale<br>CALL CRM 00165.000 SALESFORCE COM INC EXP 05-21-11 OPEN TRAN CRM MAY 165.00000                                                                                                         | CRM112 | -1  | 0.8      | 79.99     |
| PIA | Settled |  | 4/26/2011 | Purchase<br>SALESFORCE COM INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT   | CRM    | 19  | 141,2971 | -2,684.64 |
| PIA | Settled |  | 4/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$100.73 REINV PRICE<br>\$11.59000 QUANTITY BOT 8.6910 AS OF 04/28                                             | AHIFX  | 8   |          | 0         |
| PIA | Settled |  | 4/29/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$11.60                                                                                           | AHIFX  | 1   |          | 0         |
| PIA | Settled |  | 5/2/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$113.21 REINV PRICE \$9.94000 QUANTITY<br>BOT 11.3890 AS OF 04/29                                                              | TGLMX  | 11  |          | 0         |
| PIA | Settled |  | 5/2/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$53.87 REINV PRICE \$10.39000 QUANTITY BOT<br>5.1850 AS OF 04/29                                                                  | RSFYX  | 5   |          | 0         |

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| PIA | Settled |  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$129.86 REINV PRICE<br>5/2/2011 \$11.20000 QUANTITY BOT 11.5940 AS OF 04/29 | BPRIX | 11 |  | 0 |
| PIA | Settled |  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$91.78 REINV PRICE \$6.80000<br>5/2/2011 QUANTITY BOT 13.4970 AS OF 04/29           | OIBYX | 13 |  | 0 |
| PIA | Settled |  | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$32.26 REINV PRICE \$8.39000<br>5/2/2011 QUANTITY BOT 3.8450 AS OF 04/29      | SASFX | 3  |  | 0 |
| PIA | Settled |  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$34.45 REINV PRICE \$9.40000<br>5/2/2011 QUANTITY BOT 3.6650 AS OF 04/29            | LEFRX | 3  |  | 0 |
| PIA | Settled |  | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$32.42 REINV PRICE \$11.03000 QUANTITY<br>5/2/2011 BOT 2.9390 AS OF 04/29                  | PTTPX | 2  |  | 0 |
| PIA | Settled |  | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$10.39<br>5/2/2011                                                              | RSFTX | 1  |  | 0 |
| PIA | Settled |  | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$11.21<br>5/2/2011                                             | BPRIX | 1  |  | 0 |
| PIA | Settled |  | Journal Entry<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A FULL SHARE ACCUM SHARE VALUE \$8.39<br>5/2/2011                                                | SASFX | 1  |  | 0 |
| PIA | Settled |  | Journal Entry<br>LORD ABBETT FLOATING RATE FUND CL F FULL SHARE ACCUM SHARE VALUE \$9.40<br>5/2/2011                                                      | LEFRX | 1  |  | 0 |

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| PIA | Settled |  | 5/2/2011  | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$11.03                                                                                                               | PTTPX  | 1     |         | 0         |
| PIA | Settled |  | 4/28/2011 | Purchase<br>KAYNE ANDERSON MLP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | KYN    | 24    | 30.4789 | -731.52   |
| PIA | Settled |  | 5/3/2011  | Purchase<br>HEWLETT PACKARD CO DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | HPQ    | 40    | 39.91   | -1,596.40 |
| PIA | Settled |  | 5/5/2011  | Sale<br>MARATHON OIL CORP PER THE PIA AGREEMENT ML ACTED AS AGENT                                                                                                                                | MRO    | -146  | 49.4719 | 7,222.76  |
| PIA | Settled |  | 5/18/2011 | Redeemed<br>TOYOTA MOTOR CREDIT CORP GLB 05.450% MAY 18 2011 GLB 05.450% MAY 18 2011 PAY DATE<br>05/18/2011                                                                                      | TM11   | ##### |         | 25,000.00 |
| PIA | Settled |  | 5/19/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$89.39 REINV PRICE \$13.75000 QUANTITY<br>BOT 5.0470 AS OF 05/16                                                                 | TGBAX  | 5     |         | 0         |
| PIA | Settled |  | 5/20/2011 | Purchase<br>JOHNSON CONTROLS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT   | JCI    | 193   | 38.1392 | -7,380.87 |
| PIA | Settled |  | 5/23/2011 | Expired Options<br>CALL CRM 00165.000 SALESFORCE.COM INC SHS EXP 05-21-11 NOCC                                                                                                                   | CRM112 | 1     |         | 0         |
| PIA | Settled |  | 5/24/2011 | Sale<br>CALL CRM 00170.000 SALESFORCE.COM INC EXP 06-18-11 OPEN TRAN CRM JUN 170.00000                                                                                                           | CRM111 | -1    | 0.75    | 74.99     |

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| PIA | Settled |           | 5/26/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$98.20 REINV PRICE \$11.55000 QUANTITY BOT 8.5020 AS OF 05/25                                          | AHIFX  | 8      |         | 0          |
| PIA | Settled |           | 5/26/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$11.55                                                                                    | AHIFX  | 1      |         | 0          |
| PIA | Settled | 5/26/2011 | 6/1/2011  | Purchase<br>JPMORGAN CHASE & CO - 04.950% MAR 25 2020 RATINGS ARE SUBJ. TO CHG PER THE PIA AGREEMENT<br>MOODYS AA3 S&P A+ YLD TO MATURITY 4.35% MATURITY DATE 3/25/20. 66 DAYS INTEREST | JPM 20 | 25,000 | 104.328 | -26,308.88 |
| PIA | Settled |           | 6/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$113.83 REINV PRICE \$9.97000 QUANTITY BOT 11.4170 AS OF 05/31                                                          | TGLMX  | 11     |         | 0          |
| PIA | Settled |           | 6/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$58.94 REINV PRICE \$10.36000 QUANTITY BOT 5.6890 AS OF 05/31                                                              | RSFYX  | 5      |         | 0          |
| PIA | Settled |           | 6/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$240.26 REINV PRICE \$11.1000 QUANTITY BOT 21.6280 AS OF 05/31                                            | BPRIX  | 21     |         | 0          |
| PIA | Settled |           | 6/1/2011  | Divd Reinv<br>OPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$91.02 REINV PRICE \$6.72000 QUANTITY BOT 13.5450 AS OF 05/31                                                      | OIBYX  | 13     |         | 0          |
| PIA | Settled |           | 6/1/2011  | Divd Reinv<br>SLIAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$31.30 REINV PRICE \$8.36000 QUANTITY BOT 3.7440 AS OF 05/31                                                | SASFX  | 3      |         | 0          |
| PIA | Settled |           | 6/1/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$42.76 REINV PRICE \$9.36000 QUANTITY BOT 4.5680 AS OF 05/31                                                      | LFRFX  | 4      |         | 0          |

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| PIA | Settled |  | 6/1/2011 | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$32.73 REINV PRICE \$11.06000 QUANTITY BOT 2.9590 AS OF 05/31                                            | PTTPX  | 2   |         | 0          |
| PIA | Settled |  | 6/1/2011 | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.99                                                                                      | TGLMX  | 1   |         | 0          |
| PIA | Settled |  | 6/1/2011 | Journal Entry<br>OPPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.71                                                                                | OIBYX  | 1   |         | 0          |
| PIA | Settled |  | 6/1/2011 | Journal Entry<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A FULL SHARE ACCUM SHARE VALUE \$8.35                                                                          | SASEX  | 1   |         | 0          |
| PIA | Settled |  | 6/1/2011 | Journal Entry<br>LORD ABBETT FLOATING RATE FUND CL F FULL SHARE ACCUM SHARE VALUE \$9.36                                                                                | LFRFX  | 1   |         | 0          |
| PIA | Settled |  | 6/1/2011 | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$11.06                                                                                      | PTTPX  | 1   |         | 0          |
| PIA | Settled |  | 6/1/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. | IJH    | 81  | 97.5521 | -7,901.72  |
| PIA | Settled |  | 6/1/2011 | Purchase<br>GUGGENHEIM BULLETSHARES 2014 H Y CORP ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.                            | BSJE   | 519 | 25.75   | -13,364.25 |
| PIA | Settled |  | 6/3/2011 | Purchase<br>CALL CRM 00170.000 SALESFORCE COM INC EXP 06-18-11 CLOSE TRAN CRM JUN 170.00000                                                                             | CRM111 | 1   | 0.25    | -25        |

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| PIA | Settled | 6/6/2011 | 6/7/2011 | Purchase<br>CALL APC 00090.000 ANADARKO PETE CORP EXP 06-18-11 CLOSE TRAN APC JUN 90.00000                                                                                               | APC111 | 2    | 0.04     | -8         |
| PIA | Settled | 6/3/2011 | 6/8/2011 | Purchase<br>APACHE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT          | APA    | 123  | 119.7386 | -14,727.85 |
| PIA | Settled | 6/3/2011 | 6/8/2011 | Purchase<br>CENTURYLINK INC SHS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT  | CTL    | 356  | 41.5358  | -14,786.74 |
| PIA | Settled | 6/3/2011 | 6/8/2011 | Sale<br>CORNING INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT              | GLW    | -817 | 19.1014  | 15,805.54  |
| PIA | Settled | 6/3/2011 | 6/8/2011 | Purchase<br>GOODYEAR TIRE RUBBER PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | GT     | 895  | 16.6302  | -14,884.03 |
| PIA | Settled | 6/3/2011 | 6/8/2011 | Sale<br>HEWLETT PACKARD CO DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT   | HPC    | -383 | 36.29    | 13,896.80  |
| PIA | Settled | 6/3/2011 | 6/8/2011 | Sale<br>KIMBERLY CLARK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT           | KMB    | -196 | 65.9427  | 12,924.52  |
| PIA | Settled | 6/3/2011 | 6/8/2011 | Sale<br>NEXTERA ENERGY INC SHS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT   | NEE    | -278 | 54.772   | 15,226.33  |
| PIA | Settled | 6/3/2011 | 6/8/2011 | Sale<br>SALESFORCE COM INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT       | CRM    | -109 | 145.7963 | 15,891.38  |

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| PIA | Settled | 6/3/2011  | 6/8/2011  | Purchase<br>WSTN DIGITAL CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES.<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                            | WDC   | 420  | 35.31    | -14,830.20 |
| PIA | Settled | 6/10/2011 | 6/15/2011 | Sale<br>ISHARES IBOX\$ HIGH YEL CORPORATE BOND FUND PER THE PIA AGREEMENT EXECUTED 100%<br>AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE<br>UPON REQUEST. ML ACTED AS AGENT                                          | HYG   | -159 | 89.78    | 14,274.75  |
| PIA | Settled | 6/14/2011 | 6/17/2011 | Purchase<br>GUGGENHEIM BULLESHARES 2015 H Y CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE<br>CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | BSJF  | 639  | 25.53    | -16,313.67 |
| PIA | Settled | 6/15/2011 | 6/20/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML<br>ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                 | IJH   | 56   | 93.4999  | -5,235.99  |
| PIA | Settled |           | 6/20/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL Y AGENT REINV AMOUNT \$89.52 REINV PRICE \$13.79000 QUANTITY<br>BOT 5.0410 AS OF 06/15                                                                                                                         | TGBAX | 5    |          | 0          |
| PIA | Settled | 6/21/2011 | 6/22/2011 | Sale<br>CALL WDC 00040.000 WSTN DIGITAL CORP CE,EXP 08-20-11 OPEN TRAN WDC AUG 40.00000                                                                                                                                                                    | WDC11 | -1   | 0.520471 | 208.18     |
| PIA | Settled |           | 6/24/2011 | Divd Reinv<br>RS FLOATING RATE FD CL Y AGENT REINV AMOUNT \$.13 REINV PRICE \$10.26000 QUANTITY BOT .0130<br>AS OF 06/22                                                                                                                                   | RSFYX |      |          | 0          |
| PIA | Settled |           | 6/24/2011 | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$15.73 REINV PRICE \$10.26000 QUANTITY BOT<br>1.5330 AS OF 06/22                                                                                                                              | RSFYX | 1    |          | 0          |
| PIA | Settled |           | 6/24/2011 | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$10.25                                                                                                                                                                           | RSFYX | 1    |          | 0          |

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| PIA | Settled | 6/24/2011 | 6/27/2011 | Sale<br>CALL GT 00018.000 GOODYEAR TIRE RUBBER EXP 08-20-11 OPEN TRAN GT AUG 18.00000                                                                                                                    | GT1120  | -8   | 0.35    | 279.99    |
| PIA | Settled |           | 6/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$98.26 REINV PRICE \$11.33000 QUANTITY BOT 8.6730 AS OF 06/28                                                           | AHIFX   | 8    |         | 0         |
| PIA | Settled | 6/29/2011 | 6/30/2011 | Sale<br>CALL JCI 00044.000 JOHNSON CONTROLS INC EXP 08-20-11 OPEN TRAN JCI AUG 44.00000                                                                                                                  | JCI1120 | -3   | 0.55    | 164.99    |
| PIA | Settled | 6/28/2011 | 7/1/2011  | Sale<br>E TRADE FINL CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | ETFC    | -744 | 13.4722 | 10,023.13 |
| PIA | Settled | 6/30/2011 | 7/1/2011  | Sale<br>CALL MET 00047.000 METLIFE INC COM EXP 08-20-11 OPEN TRAN MET AUG 47.00000                                                                                                                       | MET112  | -3   | 0.46    | 137.99    |
| PIA | Settled |           | 7/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL 1 AGENT REINV AMOUNT \$114.46 REINV PRICE \$9.86000 QUANTITY BOT 11.8090 AS OF 06/30                                                                           | TGLMX   | 11   |         | 0         |
| PIA | Settled |           | 7/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$58.27 REINV PRICE \$10.27000 QUANTITY BOT 5.6740 AS OF 06/30                                                                               | RSFYX   | 5    |         | 0         |
| PIA | Settled |           | 7/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$175.10 REINV PRICE \$11.11000 QUANTITY BOT 15.7610 AS OF 06/30                                                            | BPRIX   | 15   |         | 0         |
| PIA | Settled |           | 7/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$93.09 REINV PRICE \$6.74000 QUANTITY BOT 13.8120 AS OF 06/30                                                                      | OIBYX   | 13   |         | 0         |

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| PIA | Settled |  | 7/1/2011 | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$31.66 REINV PRICE \$8.30000<br>QUANTITY BOT 3,8140 AS OF 06/30 | SASFX  | 3    |  | 0 |
| PIA | Settled |  | 7/1/2011 | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$39.93 REINV PRICE \$9.30000<br>QUANTITY BOT 4,2940 AS OF 06/30       | LFREFX | 4    |  | 0 |
| PIA | Settled |  | 7/1/2011 | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$31.31 REINV PRICE \$10.99000 QUANTITY<br>BOT 2,8490 AS OF 06/30             | PTTPX  | 2    |  | 0 |
| PIA | Settled |  | 7/1/2011 | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$11.09                                           | BPRIX  | 1    |  | 0 |
| PIA | Settled |  | 7/1/2011 | Journal Entry<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A FULL SHARE ACCUM SHARE VALUE \$8.30                                              | SASFX  | 1    |  | 0 |
| PIA | Settled |  | 7/1/2011 | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$11.00                                                          | PTTPX  | 1    |  | 0 |
| PIA | Settled |  | 7/5/2011 | DUBB<br>MARATHON PETROLEUM CORP                                                                                                             | MPC    | 152  |  | 0 |
| PIA | Settled |  | 7/7/2011 | Stock Dividend<br>MARATHON PETROLEUM CORP HOLDING 305,0000 PAID BY MARATHON OIL COR PAY DATE 07/07/2011                                     | MPC    | 152  |  | 0 |
| PIA | Settled |  | 7/7/2011 | DUBB<br>MARATHON PETROLEUM CORP                                                                                                             | MPC    | -152 |  | 0 |

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| PIA | Settled | 7/6/2011 | 7/11/2011 | Sale<br>ANADARKO PETE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT               | APC  | -230 | 78.5     | 18,054.65  |
| PIA | Settled | 7/6/2011 | 7/11/2011 | Sale<br>APACHE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                      | APA  | -123 | 123.5    | 15,190.21  |
| PIA | Settled | 7/6/2011 | 7/11/2011 | Sale<br>APPLE INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | AAPL | -44  | 348,4501 | 15,331.51  |
| PIA | Settled | 7/6/2011 | 7/11/2011 | Purchase<br>E M C CORPORATION MASS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT       | EMC  | 537  | 27,7491  | -14,901.27 |
| PIA | Settled | 7/6/2011 | 7/11/2011 | Purchase<br>JABIL CIRCUIT INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT            | JBL  | 721  | 20,9113  | -15,077.05 |
| PIA | Settled | 7/6/2011 | 7/11/2011 | Purchase<br>RANGE RESOURCES CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT     | RRC  | 260  | 57,0542  | -14,834.09 |
| PIA | Settled | 7/7/2011 | 7/12/2011 | Purchase<br>MARATHON OIL CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT            | MRO  | 148  | 33.04    | -4,889.92  |
| PIA | Settled | 7/8/2011 | 7/13/2011 | Sale<br>ISHARES S&P 500 VALUE INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IVE  | -677 | 62,4043  | 42,246.90  |
| PIA | Settled | 7/8/2011 | 7/13/2011 | Sale<br>MARATHON PETROLEUM CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT          | MPC  | -152 | 41.25    | 6,269.88   |

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| PIA | Settled | 7/8/2011  | 7/13/2011 | Sale<br>WAL-MART STORES INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                               | WMT    | -272  | 54.2315   | 14,750.69  |
| PIA | Settled | 7/11/2011 | 7/14/2011 | Purchase<br>GENUINE PARTS CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                              | GPC    | 262   | 56.7976   | -14,880.97 |
| PIA | Settled | 7/15/2011 | 7/18/2011 | Sale<br>CALL RRC 00067.500 RANGE RESOURCES CORP DEL EXP 09-17-11 OPEN TRAN RRC SEP 67.50000                                                                                                                                                             | RRC111 | -2    | 1         | 199.99     |
| PIA | Settled | 7/14/2011 | 7/19/2011 | Purchase<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS<br>ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN<br>WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT             | XLF    | 1,256 | 15.0997   | -18,965.22 |
| PIA | Settled | 7/15/2011 | 7/20/2011 | Sale<br>ISHARES BARCLAYS AGGREGT AGGREGATE BD FUND PER THE PIA AGREEMENT EXECUTED 100%<br>AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE<br>UPON REQUEST. ML ACTED AS AGENT                                        | AGG    | -247  | 107.44    | 26,537.17  |
| PIA | Settled | 7/15/2011 | 7/20/2011 | Purchase<br>POWERSHARES BUILD AMERIC BOND ETF PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE<br>CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | BAB    | 382   | 26.551283 | -10,142.59 |
| PIA | Settled |           | 7/20/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$69.92 REINV PRICE \$13.84000 QUANTITY<br>BOT 5.0520 AS OF 07/15                                                                                                                        | TGBAX  | 5     |           | 0          |
| PIA | Settled | 7/20/2011 | 7/21/2011 | Purchase<br>CALL MET 00047.000 METLIFE INC COM EXP 08-20-11 CLOSE TRAN MET AUG 47.00000                                                                                                                                                                 | MET112 | 3     | 0.05      | -15        |
| PIA | Settled | 7/21/2011 | 7/22/2011 | Sale<br>CALL MET 00044.000 METLIFE INC COM EXP 08-20-11 OPEN TRAN MET AUG 44.00000                                                                                                                                                                      | MET112 | -3    | 0.51      | 152.99     |

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| PIA | Settled | 7/26/2011 | 7/27/2011 | Purchase<br>CALL JCI 00044.000 JOHNSON CONTROLS INC EXP 08-20-11 CLOSE TRAN JCI AUG 44.00000                                                                                           | JCI1120 | 3   | 0.05    | -15       |
| PIA | Settled |           | 7/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$100.43 REINV PRICE \$11.41000 QUANTITY BOT 8.8020 AS OF 07/28                                        | AHIFX   | 8   |         | 0         |
| PIA | Settled |           | 7/29/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$11.40                                                                                   | AHIFX   | 1   |         | 0         |
| PIA | Settled | 7/27/2011 | 8/1/2011  | Purchase<br>KAYNE ANDERSON MLP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | KYN     | 142 | 27.7493 | -3,940.40 |
| PIA | Settled |           | 8/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$115.10 REINV PRICE \$9.90000 QUANTITY BOT 11.6260 AS OF 07/29                                                         | TGLMX   | 11  |         | 0         |
| PIA | Settled |           | 8/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$63.91 REINV PRICE \$10.26000 QUANTITY BOT 6.2290 AS OF 07/29                                                             | RSFYX   | 6   |         | 0         |
| PIA | Settled |           | 8/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$142.22 REINV PRICE \$11.45000 QUANTITY BOT 12.4210 AS OF 07/29                                          | BPRIX   | 12  |         | 0         |
| PIA | Settled |           | 8/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$96.52 REINV PRICE \$6.80000 QUANTITY BOT 14.1940 AS OF 07/29                                                    | OIBYX   | 14  |         | 0         |
| PIA | Settled |           | 8/1/2011  | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$30.76 REINV PRICE \$8.28000 QUANTITY BOT 3.7150 AS OF 07/29                                               | SASFX   | 3   |         | 0         |

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| PIA | Settled | 8/1/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$38.46 REINV PRICE \$9.29000<br>QUANTITY BOT 4.1400 AS OF 07/29                                                                                                         | LFRRFX | 4   |         | 0          |
| PIA | Settled | 8/1/2011  | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$29.53 REINV PRICE \$11.10000 QUANTITY<br>BOT 2.6600 AS OF 07/29                                                                                                               | PTTPX  | 2   |         | 0          |
| PIA | Settled | 8/1/2011  | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.92                                                                                                                                                            | TGLMX  | 1   |         | 0          |
| PIA | Settled | 8/1/2011  | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$10.26                                                                                                                                                              | RSFYX  | 1   |         | 0          |
| PIA | Settled | 8/1/2011  | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$11.48                                                                                                                                             | BPRIX  | 1   |         | 0          |
| PIA | Settled | 8/1/2011  | Journal Entry<br>OPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.80                                                                                                                                                       | OIBYX  | 1   |         | 0          |
| PIA | Settled | 8/1/2011  | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$11.12                                                                                                                                                            | PTTPX  | 1   |         | 0          |
| PIA | Settled | 7/29/2011 | Purchase<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS<br>ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN<br>WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | SPY    | 132 | 129.144 | -17,047.01 |
| PIA | Settled | 8/2/2011  | Purchase<br>CALL WDC 00040.000 WSTN DIGITAL CORP DEL EXP 08-20-11 CLOSE TRAN WDC AUG 40.00000                                                                                                                                                 | WDC11  | 4   | 0.05    | -20        |

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| PIA | Settled | 8/2/2011 | 8/3/2011  | Purchase<br>CALL GT 00018.000 GOODYEAR TIRE RUBBER EXP 08-20-11 CLOSE TRAN GT AUG 18.00000                                                                                                                                                                               | GT1120 | 8     | 0.057451 | -45.96     |
| PIA | Settled | 8/2/2011 | 8/5/2011  | Purchase<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                  | SPY    | 81    | 126.6975 | -10,262.50 |
| PIA | Settled | 8/3/2011 | 8/8/2011  | Purchase<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                            | AMZN   | 34    | 211.1333 | -7,178.53  |
| PIA | Settled | 8/3/2011 | 8/8/2011  | Sale<br>FEDERATED INVESTRS B PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                                     | FII    | -619  | 20.6973  | 12,811.38  |
| PIA | Settled | 8/3/2011 | 8/8/2011  | Purchase<br>FIFTH THIRD BANCORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                           | FTTB   | 1,187 | 11.8847  | -14,083.40 |
| PIA | Settled | 8/3/2011 | 8/8/2011  | Purchase<br>MICROSOFT CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                                                | MSFT   | 532   | 26.6139  | -14,158.59 |
| PIA | Settled | 8/8/2011 | 8/9/2011  | Purchase<br>CALL MET 00044.000 METLIFE INC COM EXP 08-20-11 CLOSE TRAN MET AUG 44.00000                                                                                                                                                                                  | MET112 | 3     | 0.06     | -18        |
| PIA | Settled | 8/8/2011 | 8/9/2011  | Sale<br>ASTON/FAIRPOINTE MID CAP FD CL I FRAC SHR QUANTITY .712 PER THE PIA AGREEMENT THIS SALE CONSTITUTES A REDEMPTION.                                                                                                                                                | ABMIX  | -758  | 25.9     | 19,650.64  |
| PIA | Settled | 8/9/2011 | 8/10/2011 | Purchase<br>FIRST EAGLE OVERSEAS CL I FRAC SHR QUANTITY .847 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | SGOIX  | 460   | 22.68    | -10,452.01 |

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| PIA | Settled |  | 8/10/2011 | Journal Entry<br>FIRST EAGLE OVERSEAS CL I FULL SHARE ACCUM SHARE VALUE \$22.29                                                                                                                                                            | SGOIX | 1    |         | 0          |
| PIA | Settled |  | 8/8/2011  | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML<br>ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IJH   | 127  | 81.7991 | -10,388.49 |
| PIA | Settled |  | 8/11/2011 | Sale<br>ISHARES S&P GBL HEALTH CARE SECTOR INDEX FUND PER THE PIA AGREEMENT EXECUTED 100%<br>AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE<br>UPON REQUEST. ML ACTED AS AGENT                        | IXJ   | -392 | 50.3913 | 19,753.01  |
| PIA | Settled |  | 8/8/2011  | Sale<br>ISHARES S&P GBL TELECOM- MUNICATIONS SECTOR INDEX PER THE PIA AGREEMENT EXECUTED<br>100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT                    | IXP   | -374 | 54.1789 | 20,262.52  |
| PIA | Settled |  | 8/9/2011  | Purchase<br>AUTOMATIC DATA PROC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                       | ADP   | 188  | 46.6226 | -8,765.05  |
| PIA | Settled |  | 8/12/2011 | Purchase<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                              | BAX   | 172  | 51.2    | -8,806.40  |
| PIA | Settled |  | 8/9/2011  | Sale<br>VANGUARD FTSE ALL WORLD EX US PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL<br>PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.<br>ML ACTED AS AGENT                                        | VEU   | -503 | 42.3459 | 21,299.56  |
| PIA | Settled |  | 8/12/2011 | Purchase<br>KIMBERLY CLARK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                   | KMB   | 139  | 63.4022 | -8,812.91  |
| PIA | Settled |  | 8/9/2011  | Purchase<br>PAYCHEX INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE<br>ML ACTED AS AGENT                               | PAYX  | 335  | 26.2747 | -8,802.02  |

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| PIA | Settled | 8/9/2011  | 8/12/2011 | Purchase<br>PROCTER & GAMBLE CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | PG  | 148    | 59.55    | -8,813.40  |
| PIA | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>COCA COLA COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT           | KO  | 135    | 65.3954  | -8,828.38  |
| PIA | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>EMERSON ELEC CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT         | EMR | 203    | 43.1855  | -8,766.66  |
| PIA | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>JPMORGAN CHASE & CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | JPM | 441    | 34.6835  | -15,295.42 |
| PIA | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>JOHNSON AND JOHNSON COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | JNJ | 145    | 61.38    | -8,900.10  |
| PIA | Settled | 8/10/2011 | 8/15/2011 | Sale<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT       | XLF | -3,234 | 12.3382  | 39,900.97  |
| PIA | Settled | 8/10/2011 | 8/15/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | SPY | -292   | 115.9673 | 33,861.80  |
| PIA | Settled | 8/10/2011 | 8/15/2011 | Purchase<br>WAL-MART STORES INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | WMT | 178    | 49.4357  | -8,799.55  |
| PIA | Settled | 8/11/2011 | 8/16/2011 | Purchase<br>AIR PRODUCTS&CHEM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT       | APD | 112    | 78.6757  | -8,811.68  |

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| PIA | Settled | 8/11/2011 | 8/16/2011 | Purchase<br>GENERAL MILLS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                             | GIS     | 249  | 36,1188  | -8,744.58 |
| PIA | Settled | 8/11/2011 | 8/16/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                       | SPY     | -115 | 114,1567 | 13,127.77 |
| PIA | Settled | 8/11/2011 | 8/16/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                       | SPY     | -38  | 115,8744 | 4,395.55  |
| PIA | Settled | 8/11/2011 | 8/16/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                       | SPY     | -79  | 117.3    | 9,286.52  |
| PIA | Settled | 8/15/2011 | 8/16/2011 | Sale<br>CALL JBL 00016,000 JABIL CIRCUIT INC EXP 09-17-11 OPEN TRAN JBL SEP 16,00000                                                                                                                                                             | JBL1117 | -7   | 1.25     | 874.98    |
| PIA | Settled | 8/12/2011 | 8/17/2011 | Sale<br>SECTOR SPDR ENERGY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                            | XLE     | -375 | 66,9016  | 25,087.62 |
| PIA | Settled | 8/15/2011 | 8/18/2011 | Purchase<br>FIFTH THIRD BANCORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                                | FTB     | 190  | 9,7499   | -1,852.48 |
| PIA | Settled | 8/15/2011 | 8/18/2011 | Sale<br>ISHARES MSCI EMERGING MKTS INDEX FD PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                              | EEM     | -229 | 42,0521  | 9,629.75  |
| PIA | Settled | 8/15/2011 | 8/18/2011 | Purchase<br>EMERGING GLOBAL SHARES DOW JONES PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | ECON    | 429  | 22,4957  | -9,650.66 |

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| PIA | Settled |  | 8/18/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$70.06 REINV PRICE \$13.69000 QUANTITY<br>BOT 5.1180 AS OF 08/15                                                                                       | TGBAX | 5    |          | 0         |
| PIA | Settled |  | 8/22/2011 | Purchase<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT    | AMZN  | 14   | 195.1618 | -2,732.55 |
| PIA | Settled |  | 8/23/2011 | Purchase<br>CHEVRON CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                 | CVX   | 94   | 93.0595  | -8,747.59 |
| PIA | Settled |  | 8/23/2011 | Purchase<br>EXXON MOBIL CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                         | XOM   | 124  | 70.7984  | -8,779.00 |
| PIA | Settled |  | 8/23/2011 | Sale<br>SECTOR SPDR ENERGY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                               | XLE   | -232 | 64.0323  | 14,855.20 |
| PIA | Settled |  | 8/24/2011 | Purchase<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT    | AMZN  | 23   | 184.62   | -4,246.26 |
| PIA | Settled |  | 8/25/2011 | Sale<br>ISHARES TR DOW JONES US TECHNOLOGY SECTOR INDX F PER THE PIA AGREEMENT EXECUTED<br>100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IYW   | -435 | 56.8182  | 24,715.45 |
| PIA | Settled |  | 8/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$94.72 REINV PRICE<br>\$10.70000 QUANTITY BOT 8.9520 AS OF 08/26                                                                      | AHIFX | 8    |          | 0         |
| PIA | Settled |  | 8/29/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$10.73                                                                                                                   | AHIFX | 1    |          | 0         |

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| PIA | Settled | 8/25/2011 | 8/30/2011 | Purchase<br>MORGAN STANLEY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | MS      | 505   | 17.59   | -9,882.95 |
| PIA | Settled | 8/26/2011 | 8/31/2011 | Purchase<br>MORGAN STANLEY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | MS      | 17    | 16.57   | -281.69   |
| PIA | Settled | 8/31/2011 | 8/31/2011 | Redeemed<br>FEDERAL HOME LOAN BANK CALLABLE BONDS 03.250% MAY 26 2020 CALLABLE BONDS 03.250% MAY 26<br>2020 PAY DATE 08/31/2011                                                             | 313370N | ##### |         | 10,000.00 |
| PIA | Settled | 8/29/2011 | 9/1/2011  | Purchase<br>MEDTRONIC INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | MDT     | 194   | 34.4894 | -6,690.94 |
| PIA | Settled |           | 9/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$115.74 REINV PRICE \$9.91000 QUANTITY<br>BOT 11.8790 AS OF 08/31                                                           | TGLMX   | 11    |         | 0         |
| PIA | Settled |           | 9/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$67.66 REINV PRICE \$9.70000 QUANTITY BOT<br>6.9750 AS OF 08/31                                                                | RSFTX   | 6     |         | 0         |
| PIA | Settled |           | 9/1/2011  | Divd Reinv<br>BR INF PTD BD FD INST CL AGENT REINV AMOUNT \$4.67 REINV PRICE \$11.53000 QUANTITY BOT .4050<br>AS OF 08/31                                                                   | BPRIX   |       |         | 0         |
| PIA | Settled |           | 9/1/2011  | Divd Reinv<br>OPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$89.04 REINV PRICE \$6.77000<br>QUANTITY BOT 13.1520 AS OF 08/31                                                       | QIBYX   | 13    |         | 0         |
| PIA | Settled |           | 9/1/2011  | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$31.81 REINV PRICE \$7.85000<br>QUANTITY BOT 4.0520 AS OF 08/31                                                 | SASFX   | 4     |         | 0         |

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| PIA | Settled |  | 9/1/2011 | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$41.49 REINV PRICE \$8.83000<br>QUANTITY BOT 4.6890 AS OF 08/31                                                                                           | LFRFX | 4    |          | 0         |
| PIA | Settled |  | 9/1/2011 | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$27.66 REINV PRICE \$11.01000 QUANTITY<br>BOT 2.5120 AS OF 08/31                                                                                                 | PTTPX | 2    |          | 0         |
| PIA | Settled |  | 9/1/2011 | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.92                                                                                                                                              | TGLMX | 1    |          | 0         |
| PIA | Settled |  | 9/1/2011 | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$9.74                                                                                                                                                 | RSTPX | 1    |          | 0         |
| PIA | Settled |  | 9/1/2011 | Journal Entry<br>LORD ABBETT FLOATING RATE FUND CL F FULL SHARE ACCUM SHARE VALUE \$8.86                                                                                                                                        | LFRFX | 1    |          | 0         |
| PIA | Settled |  | 9/2/2011 | Sale<br>DISNEY (WALT) CO COM STK PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                  | DIS   | -400 | 33       | 13,189.75 |
| PIA | Settled |  | 9/8/2011 | Sale<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT                 | AMZN  | -18  | 207,8902 | 3,741.95  |
| PIA | Settled |  | 9/8/2011 | Sale<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON<br>REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | -35  | 40,8223  | 1,421.75  |
| PIA | Settled |  | 9/8/2011 | Sale<br>DEERE CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND<br>THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                     | DE    | -26  | 77,9982  | 2,027.91  |

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| PIA | Settled | 9/2/2011 | 9/8/2011  | Sale<br>GENUINE PARTS CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                          | GPC   | -55  | 53.92    | 2,965.54   |
| PIA | Settled | 9/2/2011 | 9/8/2011  | Sale<br>WALGREEN CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                               | WAG   | -43  | 35,180.1 | 1,512.71   |
| PIA | Settled | 9/8/2011 | 9/9/2011  | Sale<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | -85  | 39.99    | 3,398.08   |
| PIA | Settled | 9/6/2011 | 9/9/2011  | Purchase<br>GOOGLE INC CL A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                | GOOG  | 12   | 514.8025 | -6,177.63  |
| PIA | Settled | 9/6/2011 | 9/9/2011  | Purchase<br>HESS CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                             | HES   | 191  | 56,0268  | -10,701.12 |
| PIA | Settled | 9/7/2011 | 9/12/2011 | Sale<br>DISCOVERY COMMUNICATN INC SERIES A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | DISCA | -190 | 39.9924  | 7,598.41   |
| PIA | Settled | 9/7/2011 | 9/12/2011 | Purchase<br>GENL DYNAMICS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                | GD    | 145  | 61.57    | -8,927.65  |
| PIA | Settled | 9/7/2011 | 9/12/2011 | Purchase<br>GOOGLE INC CL A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT                | GOOG  | 1    | 533.37   | -533.37    |
| PIA | Settled | 9/7/2011 | 9/12/2011 | Sale<br>PRUDENTIAL FINANCIAL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                  | PRU   | -287 | 47,308.1 | 13,577.16  |

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| PIA | Settled | 9/7/2011  | 9/12/2011 | Sale<br>UNITED TECHS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | UTX     | -72  | 72.3925 | 5,212.16  |
| PIA | Settled | 9/12/2011 | 9/15/2011 | Purchase<br>PEPSICO INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT       | PEP     | 146  | 59.8286 | -8,734.98 |
| PIA | Settled | 9/14/2011 | 9/15/2011 | Purchase<br>CALL RRC 00067.500 RANGE RESOURCES CORP DEL EXP 09-17-11 CLOSE TRAN RRC SEP 67.50000                                                                                      | RRC111  | 2    | 0.1     | -20       |
| PIA | Settled | 9/16/2011 | 9/16/2011 | Sale<br>CALL RRC 00070.000 RANGE RESOURCES CORP DEL EXP 10-22-11 OPEN TRAN RRC OCT 70.00000 AS OF 09/15                                                                               | RRC112  | -2   | 1.3     | 259.99    |
| PIA | Settled |           | 9/19/2011 | Exec Options<br>CALL JBL 00016.000 JABIL CIRCUIT INC EXP 09-17-11 VS 01900801 UNIT OAK BATCH # = 00567023845                                                                          | JBL1117 | 7    |         | 0         |
| PIA | Settled | 9/15/2011 | 9/20/2011 | Purchase<br>DOVER CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT        | DOV     | 127  | 52.8949 | -6,717.65 |
| PIA | Settled | 9/15/2011 | 9/20/2011 | Sale<br>GENUINE PARTS CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT      | GPC     | -207 | 54.2562 | 11,230.61 |
| PIA | Settled | 9/15/2011 | 9/20/2011 | Sale<br>GOODYEAR TIRE RUBBER PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT  | GT      | -895 | 11.1007 | 9,934.94  |
| PIA | Settled | 9/15/2011 | 9/20/2011 | Purchase<br>TERADATA CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | TDC     | 131  | 51.1969 | -6,706.79 |

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| PIA | Settled |  | 9/20/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$70.19 REINV PRICE \$13.27000 QUANTITY<br>BOT 5.2890 AS OF 09/15                                                                    | TGBAX | 5      |         | 0          |
| PIA | Settled |  | 9/16/2011 | Purchase<br>FLUOR CORP NEW DEL COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | FLR   | 185    | 60.7838 | -11,176.00 |
| PIA | Settled |  | 9/16/2011 | Purchase<br>QUEST DIAGNOSTICS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT     | DGX   | 228    | 49.02   | -11,176.56 |
| PIA | Settled |  | 9/19/2011 | Sale<br>JABIL CIRCUIT INC A/C CALL ZDOU1 JBL PER THE PIA AGREEMENT AS OF 09/16 UNSOLICITED ORDER                                                                                                    | JBL   | -700   | 16      | 11,199.78  |
| PIA | Settled |  | 9/20/2011 | Sale<br>JABIL CIRCUIT INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT             | JBL   | -21    | 17.4769 | 367        |
| PIA | Settled |  | 9/22/2011 | Purchase<br>ABBOTT LABS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                  | ABT   | 171    | 50.2034 | -8,584.78  |
| PIA | Settled |  | 9/22/2011 | Purchase<br>DARDEN RESTAURANTS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | DRI   | 195    | 43.947  | -8,569.67  |
| PIA | Settled |  | 9/22/2011 | Sale<br>VANGUARD FTSE ALL WORLD EX US PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL<br>PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST.<br>ML ACTED AS AGENT | VEU   | -1,056 | 37.7914 | 39,906.95  |
| PIA | Settled |  | 9/22/2011 | Purchase<br>JPMORGAN CHASE & CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT       | JPM   | 63     | 29.29   | -1,845.27  |

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| PIA | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>MCDONALDS CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | MCD     | 100 | 85.5573 | -8.555.73 |
| PIA | Settled | 9/22/2011 | 9/27/2011 | Purchase<br>TARGET CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT    | TGT     | 175 | 48.8503 | -8.548.80 |
| PIA | Settled | 9/27/2011 | 9/28/2011 | Sale<br>CALL HES 00065.000 HESS CORP EXP 10-22-11 OPEN TRAN HES OCT 65.00000                                                                                                                 | HES112  | -2  | 0.62    | 123.99    |
| PIA | Settled | 9/27/2011 | 9/28/2011 | Sale<br>CALL XLE 00070.000 SECTOR SPDR ENERGY EXP 11-19-11 OPEN TRAN XLE NOV 70.00000                                                                                                        | XLE1119 | -1  | 1.08    | 107.99    |
| PIA | Settled | 9/27/2011 | 9/28/2011 | Sale<br>CALL MS 00018.000 MORGAN STANLEY EXP-11-19-11 OPEN TRAN MS NOV 18.00000                                                                                                              | MS1119  | -5  | 0.58    | 289.99    |
| PIA | Settled |           | 9/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$110.46 REINV PRICE<br>\$10.48000 QUANTITY BOT 10.5400 AS OF 09/28                                          | AHIFX   | 10  |         | 0         |
| PIA | Settled | 9/27/2011 | 9/30/2011 | Purchase<br>HESS CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION<br>AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT             | HES     | 9   | 57.62   | -518.58   |
| PIA | Settled |           | 10/3/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$116.38 REINV PRICE \$9.67000 QUANTITY<br>BOT 11.7910 AS OF 09/30                                                            | TGLMX   | 11  |         | 0         |
| PIA | Settled |           | 10/3/2011 | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$66.01 REINV PRICE \$9.68000 QUANTITY BOT<br>6.8190 AS OF 09/30                                                                 | RSFYX   | 6   |         | 0         |

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| PIA | Settled |  | 10/3/2011 | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$28.82 REINV PRICE<br>\$11.49000 QUANTITY BOT 2.5080 AS OF 09/30 | BPRIX  | 2  |     | 0    |
| PIA | Settled |  | 10/3/2011 | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$97.13 REINV PRICE \$6.29000<br>QUANTITY BOT 15.4420 AS OF 09/30         | OIBYX  | 15 |     | 0    |
| PIA | Settled |  | 10/3/2011 | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$34.69 REINV PRICE \$7.85000<br>QUANTITY BOT 4.4190 AS OF 09/30    | SASFX  | 4  |     | 0    |
| PIA | Settled |  | 10/3/2011 | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$39.77 REINV PRICE \$8.83000<br>QUANTITY BOT 4.5040 AS OF 09/30          | LFREX  | 4  |     | 0    |
| PIA | Settled |  | 10/3/2011 | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$31.43 REINV PRICE \$10.79000 QUANTITY<br>BOT 2.9130 AS OF 09/30                | PTTPX  | 2  |     | 0    |
| PIA | Settled |  | 10/3/2011 | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$11.62                                              | BPRIX  | 1  |     | 0    |
| PIA | Settled |  | 10/3/2011 | Journal Entry<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A FULL SHARE ACCUM SHARE VALUE \$7.83                                                 | SASFX  | 1  |     | 0    |
| PIA | Settled |  | 10/3/2011 | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.80                                                             | PTTPX  | 1  |     | 0    |
| PIA | Settled |  | 10/4/2011 | Purchase<br>CALL RRC 00070.000 RANGE RESOURCES CORP DEL EXP 10-22-11 CLOSE TRAN RRC OCT 70.00000                                               | RRC112 | 2  | 0.5 | -100 |

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| PIA | Settled | 10/4/2011 | 10/5/2011 | Purchase<br>CALL HES 00065.000 HESS CORP EXP 10-22-11 CLOSE TRAN HES OCT 65.00000                                                                                                         | HES112  | 2    | 0.07    | -14      |
| PIA | Settled | 10/4/2011 | 10/5/2011 | Sale<br>CALL RRC 00060.000 RANGE RESOURCES CORP DEL EXP 11-19-11 OPEN TRAN RRC NOV 60.00000                                                                                               | RRC111  | -2   | 3.4     | 679.99   |
| PIA | Settled | 10/4/2011 | 10/5/2011 | Sale<br>CALL XLE 00060.000 SECTOR SPDR ENERGY EXP 11-19-11 OPEN TRAN XLE NOV 60.00000                                                                                                     | XLE115  | -1   | 2.17    | 216.99   |
| PIA | Settled | 10/4/2011 | 10/5/2011 | Purchase<br>CALL XLE 00070.000 SECTOR SPDR ENERGY EXP 11-19-11 CLOSE TRAN XLE NOV 70.00000                                                                                                | XLE115  | 1    | 0.23    | -23      |
| PIA | Settled | 10/4/2011 | 10/5/2011 | Sale<br>CALL MET 00030.000 METLIFE INC COM EXP 11-19-11 OPEN TRAN MET NOV 30.00000                                                                                                        | MET111  | -3   | 1.08    | 323.99   |
| PIA | Settled | 10/4/2011 | 10/5/2011 | Sale<br>CALL FITB 00011.000 FIFTH THIRD BANCORP EXP 11-19-11 OPEN TRAN FITB NOV 11.00000                                                                                                  | FITB111 | -13  | 0.55778 | 725.1    |
| PIA | Settled | 10/4/2011 | 10/5/2011 | Sale<br>CALL HES 00055.000 HESS CORP EXP 11-19-11 OPEN TRAN HES NOV 55.00000                                                                                                              | HES111  | -2   | 2.26    | 451.99   |
| PIA | Settled | 10/5/2011 | 10/6/2011 | Sale<br>CALL WDC 00031.000 WSTN DIGITAL CORP DEL EXP 11-19-11 OPEN TRAN WDC NOV 31.00000                                                                                                  | WDC11   | -4   | 0.58    | 231.99   |
| PIA | Settled | 10/4/2011 | 10/7/2011 | Sale<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | BAX     | -172 | 53.0466 | 9,123.84 |

|     |         |            |            |                                                                                                                                                                                                                                 |         |       |         |            |
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| PIA | Settled | 10/4/2011  | 10/7/2011  | Purchase<br>CSX CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                    | CSX     | 459   | 18.0977 | -8,306.84  |
| PIA | Settled | 10/4/2011  | 10/7/2011  | Purchase<br>ISHARES GOLD TR PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IAU     | 1,033 | 16.13   | -16,662.29 |
| PIA | Settled | 10/4/2011  | 10/7/2011  | Purchase<br>ISHARES GOLD TR PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IAU     | 14    | 15.9167 | -222.83    |
| PIA | Settled | 10/5/2011  | 10/11/2011 | Sale<br>JOHNSON CONTROLS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                            | JCI     | -393  | 27.7662 | 10,911.91  |
| PIA | Settled | 10/5/2011  | 10/11/2011 | Purchase<br>NOBLE CORP NAMEN-AKT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                        | NE      | 374   | 28.671  | -10,722.95 |
| PIA | Settled | 10/6/2011  | 10/12/2011 | Sale<br>WALGREEN CO PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                     | WAG     | -317  | 33.1589 | 10,511.17  |
| PIA | Settled | 10/10/2011 | 10/12/2011 | Sale<br>CALL MS 00019.000 MORGAN STANLEY EXP 01-21-12 OPEN TRAN MS JAN 19.00000                                                                                                                                                 | MS1221  | -5    | 0.99    | 494.99     |
| PIA | Settled | 10/10/2011 | 10/12/2011 | Sale<br>CALL IAU 00019.000 ISHARES GOLD TR EXP 01-21-12 OPEN TRAN IAU JAN 19.00000                                                                                                                                              | IAU1221 | -10   | 0.3     | 299.99     |
| PIA | Settled | 10/10/2011 | 10/12/2011 | Sale<br>CALL NE 00034.000 NOBLE CORP NAMEN-AKT EXP 11-19-11 OPEN TRAN NE NOV 34.00000                                                                                                                                           | NE11199 | -3    | 0.81    | 242.99     |

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| PIA | Settled | 10/10/2011 | 10/12/2011 | Purchase<br>CALL MS 00018.000 MORGAN STANLEY EXP 11-19-11 CLOSE TRAN MS NOV 18.00000                                                                                                                        | MS1119  | 5     | 0.62     | -310      |
| PIA | Settled | 10/7/2011  | 10/13/2011 | Purchase<br>DOVER CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                              | DOV     | 45    | 49.969   | -2,248.61 |
| PIA | Settled | 10/7/2011  | 10/13/2011 | Purchase<br>MEDTRONIC INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                       | MDT     | 69    | 32.7268  | -2,258.15 |
| PIA | Settled | 10/7/2011  | 10/13/2011 | Purchase<br>TERADATA CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                       | TDC     | 69    | 53.9161  | -3,720.21 |
| PIA | Settled | 10/11/2011 | 10/14/2011 | Purchase<br>NOVELLUS SYS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | NVLS    | 179   | 30.4362  | -5,448.08 |
| PIA | Settled |            | 10/14/2011 | Redeemed<br>FEDERAL HOME LN MTG CORP CALLABLE NOTES 03.500% OCT 14 2011 CALLABLE NOTES 03.500% OCT 14 2011 PAY DATE 10/14/2011                                                                              | 3128X7F | ##### |          | 20,000.00 |
| PIA | Settled |            | 10/17/2011 | Redeemed<br>WACHOVIA CORPORATION GLB 05.300% OCT 15 2011 GLB 05.300% OCT 15 2011 PAY DATE 10/17/2011                                                                                                        | 929903C | ##### |          | 20,000.00 |
| PIA | Settled | 10/17/2011 | 10/18/2011 | Sale<br>CALL HES 00057.500 HESS CORP EXP 01-21-12 OPEN TRAN HES JAN 57.50000                                                                                                                                | HES122  | -2    | 5.099796 | 1,019.94  |
| PIA | Settled |            | 10/18/2011 | Purchase<br>CALL HES 00055.000 HESS CORP EXP 11-19-11 CLOSE TRAN HES NOV 55.00000                                                                                                                           | HES111  | 2     | 4.52     | -904      |

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| PIA | Settled | 10/18/2011 | 10/19/2011 | Purchase<br>CALL WDC 00031.000 WSTN DIGITAL CORP DEL EXP 11-19-11 CLOSE TRAN WDC NOV 31.00000                                                                                                                                             | WDC11   | 4      | 0.22    | -86        |
| PIA | Settled | 10/18/2011 | 10/19/2011 | Sale<br>CALL WDC 00026.000 WSTN DIGITAL CORP DEL EXP 10-22-11 OPEN TRAN WDC OCT 26.00000                                                                                                                                                  | WDC11   | -4     | 1.12    | 447.99     |
| PIA | Settled | 10/17/2011 | 10/20/2011 | Sale<br>STANDARD&POORS DEP RCPT PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                   | SPY     | -77    | 121.92  | 9,387.66   |
| PIA | Settled | 10/20/2011 | 10/20/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$70.34 REINV PRICE \$12.94000 QUANTITY BOT 5.4360 AS OF 10/17                                                                                                             | TGBAX   | 5      |         | 0          |
| PIA | Settled | 10/20/2011 | 10/20/2011 | Journal Entry<br>TEMPLETON GLBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$12.88                                                                                                                                                       | TGBAX   | 1      |         | 0          |
| PIA | Settled | 10/18/2011 | 10/21/2011 | Sale<br>RANGE RESOURCES CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                  | RRC     | -60    | 71.9151 | 4,314.83   |
| PIA | Settled | 10/20/2011 | 10/21/2011 | Purchase<br>FEDERAL HOME LOAN BANK CALLABLE BONDS 03.125% JUN 15 2018 PER THE PIA AGREEMENT CALLABLE-MAY AFFECT YLD DETAILS UPON REQUEST FIRST COUPON 12/15/11 YLD TO CALL 0.76% CALL DATE 6/15/12 CALL PRICE \$100.00. 126 DAYS INTEREST | 3133743 | 25,000 | 101.53  | -25,655.94 |
| PIA | Settled | 10/19/2011 | 10/24/2011 | Purchase<br>MORGAN STANLEY GLB 06.300% MAR 01 2013 RATINGS ARE SUBJ. TO CHG PER THE PIA AGREEMENT MOODY'S A2 S&P A DETAILS UPON REQUEST YLD TO MATURITY 4.64% MATURITY DATE 3/01/13. 53 DAYS INTEREST                                     | MS13A   | 25,000 | 100.849 | -25,407.32 |
| PIA | Settled | 10/19/2011 | 10/24/2011 | Purchase<br>ISHARES S&P 100 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                   | OEF     | 320    | 55.5421 | -17,773.47 |

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| PIA | Settled |  | 10/24/2011 | Exerc Options<br>CALL WDC 00026.000 WESTERN DIGITAL CORP SHS EXP 10-22-11 NOCC                                                                                                                                          | WDC11  | 4    |         | 0          |
| PIA | Settled |  | 10/24/2011 | Sale<br>WSTN DIGITAL CORP DEL AC CALL ZV06 WDC PER THE PIA AGREEMENT AS OF 10/21 UNSOLICITED ORDER                                                                                                                      | WDC    | -400 | 28      | 10,399.80  |
| PIA | Settled |  | 10/25/2011 | Sale<br>CALL NVLS 00036.000 NOVELLUS SYS INC EXP 12-17-11 OPEN TRAN NVLS DEC 36.00000                                                                                                                                   | NVLS11 | -3   | 0.9     | 269.99     |
| PIA | Settled |  | 10/25/2011 | Sale<br>CALL DGX 00060.000 QUEST DIAGNOSTICS INC EXP 11-19-11 OPEN TRAN DGX NOV 60.00000                                                                                                                                | DGX111 | -2   | 0.6     | 119.99     |
| PIA | Settled |  | 10/27/2011 | Sale<br>CALL LNC 00023.000 LINCOLN NTL CORP IND NPV EXP 12-17-11 OPEN TRAN LNC DEC 23.00000                                                                                                                             | LNC111 | -5   | 0.44    | 219.99     |
| PIA | Settled |  | 10/26/2011 | Sale<br>CALL OEF 00058.000 ISHARES S&P 100 INDEX EXP 11-19-11 OPEN TRAN OEF NOV 58.00000                                                                                                                                | OEF111 | -5   | 0.45    | 224.99     |
| PIA | Settled |  | 10/25/2011 | Purchase<br>NOVELLUS SYS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT             | NVLS   | 162  | 32.9175 | -5,332.64  |
| PIA | Settled |  | 10/31/2011 | Purchase<br>ISHARES S&P 100 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | OEF    | 234  | 56.0342 | -13,112.00 |
| PIA | Settled |  | 10/31/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$101.41 REINV PRICE \$10.91000 QUANTITY BOT 9.2960 AS OF 10/28                                                                         | AHIFX  | 9    |         | 0          |

|     |         |            |                                                                                                                                                                                                                                                                       |        |     |         |           |
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| PIA | Settled | 10/31/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$10.88                                                                                                                                                                  | AHIFX  | 1   |         | 0         |
| PIA | Settled | 10/27/2011 | Purchase<br>HONEYWELL INTL INC DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                            | HON    | 83  | 54      | -4,482.00 |
| PIA | Settled | 10/27/2011 | Purchase<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                 | XLF    | 647 | 14,0678 | -9,101.87 |
| PIA | Settled | 11/1/2011  | Purchase<br>PENNSYLVANIA MUTUAL FD FRAC SHR QUANTITY .668 FUND SUBJECT TO RED FEE. PER THE PIA AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/ UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE PROSPECTUS | PENIX  | 357 | 11.34   | -4,055.96 |
| PIA | Settled | 11/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$70.28 REINV PRICE \$9.95000 QUANTITY BOT 7.0630 AS OF 10/31                                                                                                                                             | RSFYX  | 7   |         | 0         |
| PIA | Settled | 11/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$90.29 REINV PRICE \$11.69000 QUANTITY BOT 7.7240 AS OF 10/31                                                                                                                           | BPRIX  | 7   |         | 0         |
| PIA | Settled | 11/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$89.30 REINV PRICE \$8.45000 QUANTITY BOT 13.8450 AS OF 10/31                                                                                                                                   | OIBYX  | 13  |         | 0         |
| PIA | Settled | 11/1/2011  | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$33.55 REINV PRICE \$8.00000 QUANTITY BOT 4.1940 AS OF 10/31                                                                                                                              | SASFYX | 4   |         | 0         |
| PIA | Settled | 11/1/2011  | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$41.46 REINV PRICE \$9.08000 QUANTITY BOT 4.5660 AS OF 10/31                                                                                                                                    | LFRFX  | 4   |         | 0         |

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| PIA | Settled |            | 11/1/2011 | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$31.36 REINV PRICE \$10.91000 QUANTITY<br>BOT 2.8740 AS OF 10/31                                                                                                            | PTTPX  | 2  |       | 0         |
| PIA | Settled |            | 11/1/2011 | Journal Entry<br>RS FLOATING RATE FUND CL Y FULL SHARE ACCUM SHARE VALUE \$9.91                                                                                                                                                            | RSTFX  | 1  |       | 0         |
| PIA | Settled |            | 11/1/2011 | Journal Entry<br>OPPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.40                                                                                                                                                   | OIBYX  | 1  |       | 0         |
| PIA | Settled |            | 11/1/2011 | Journal Entry<br>LORD ABBETT FLOATING RATE FUND CL F FULL SHARE ACCUM SHARE VALUE \$9.04                                                                                                                                                   | LERFX  | 1  |       | 0         |
| PIA | Settled |            | 11/1/2011 | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.95                                                                                                                                                         | PTTPX  | 1  |       | 0         |
| PIA | Settled | 11/1/2011  | 11/2/2011 | Purchase<br>CALL DGX 00060.000 QUEST DIAGNOSTICS INC EXP 11-19-11 CLOSE TRAN DGX NOV 60.00000                                                                                                                                              | DGX111 | 2  | 0.15  | -30       |
| PIA | Settled |            | 11/2/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$117.03 REINV PRICE \$9.78000 QUANTITY<br>BOT 11.9660 AS OF 11/01                                                                                                          | TGLMX  | 11 |       | 0         |
| PIA | Settled |            | 11/2/2011 | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.78                                                                                                                                                         | TGLMX  | 1  |       | 0         |
| PIA | Settled | 10/31/2011 | 11/3/2011 | Purchase<br>ISHARES TRUST S&P MIDCAP 400 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML<br>ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | LH     | 68 | 89.32 | -6,073.76 |

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| PIA | Settled | 10/31/2011 | 11/3/2011 | Purchase<br>HONEYWELL INTL INC DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                 | HON    | 87   | 52.9149  | -4,603.60 |
| PIA | Settled | 11/2/2011  | 11/3/2011 | Sale<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FRAC SHR QUANTITY .055 PER THE PIA AGREEMENT THIS SALE CONSTITUTES A REDEMPTION;                                                                       | BPRIX  | -110 | 11.82    | 1,300.85  |
| PIA | Settled | 11/1/2011  | 11/4/2011 | Purchase<br>EATON CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                             | ETN    | 197  | 45.0841  | -8,881.57 |
| PIA | Settled | 11/2/2011  | 11/7/2011 | Sale<br>POWERSHARES BUILD AMERIC BOND ETF PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT          | BAB    | -211 | 28.3     | 5,971.19  |
| PIA | Settled | 11/7/2011  | 11/7/2011 | Exerc Options<br>CALL MET 00030.000 METLIFE INC SHS EXP 11-19-11 NOCC                                                                                                                                      | MET111 | 3    |          | 0         |
| PIA | Settled | 11/3/2011  | 11/8/2011 | Sale<br>AMAZON COM INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT  | AMZN   | -53  | 215.6052 | 11,426.86 |
| PIA | Settled | 11/3/2011  | 11/8/2011 | Purchase<br>CARMAX INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                             | KMX    | 182  | 30.5644  | -5,562.72 |
| PIA | Settled | 11/3/2011  | 11/8/2011 | Sale<br>FIFTH THIRD BANCORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE A MKT IN ISSUE ML ACTED AS AGENT | FTTB   | -77  | 11.7104  | 901.68    |
| PIA | Settled | 11/3/2011  | 11/8/2011 | Sale<br>WSTN DIGITAL CORP DEL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                      | WDC    | -20  | 27.6659  | 553.31    |

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| PIA | Settled | 11/4/2011  | 11/9/2011  | Purchase<br>AMERICAN TOWER CORP CL A PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                   | AMT   | 96    | 57.4488 | -5,515.08  |
| PIA | Settled | 11/4/2011  | 11/9/2011  | Purchase<br>CAPITAL ONE FINL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                           | COF   | 122   | 46      | -5,612.00  |
| PIA | Settled | 11/4/2011  | 11/9/2011  | Purchase<br>DISCOVER FINL SVCS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                         | DFS   | 232   | 24.15   | -5,602.80  |
| PIA | Settled | 11/7/2011  | 11/9/2011  | Sale<br>METLIFE INC COM A/C CALL ZDRA1 MET PER THE PIA AGREEMENT AS OF 11/04 UNSOLICITED ORDER                                                                                                                                                                                       | MET   | -300  | 30      | 8,999.83   |
| PIA | Settled | 11/7/2011  | 11/10/2011 | Sale<br>METLIFE INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                                | MET   | -4    | 34.1    | 136.39     |
| PIA | Settled | 11/8/2011  | 11/14/2011 | Sale<br>METLIFE INC COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                                | MET   | -35   | 34.2    | 1,196.98   |
| PIA | Settled | 11/11/2011 | 11/16/2011 | Sale<br>ISHARES TR DOW JONES US PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                                                        | IMI   | -229  | 58.8661 | 13,480.08  |
| PIA | Settled | 11/11/2011 | 11/16/2011 | Purchase<br>ISHARES S&P 100 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT<br>DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                        | OEF   | 234   | 57.0597 | -13,351.97 |
| PIA | Settled | 11/16/2011 | 11/17/2011 | Purchase<br>RS LOW DURATION BOND FD CL Y FRAC SHR QUANTITY .763 FUND SUBJECT TO RED FEE. PER THE PIA<br>AGREEMENT PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ON SELLING YOUR SHARES/<br>UNITS, YOU MAY PAY A SALES CHARGE AND/OR OTHER FEES. FOR INFORMATION, SEE THE<br>PROSPECTUS | RSDYX | 1,462 | 10.22   | -14,949.44 |

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| PIA | Settled |  | 11/18/2011 | 11/18/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$70.63 REINV PRICE \$12.81000 QUANTITY<br>BOT 5,5140 AS OF 11/15                                                           | TGBAX   | 5      |          | 0         |
| PIA | Settled |  | 11/18/2011 | 11/21/2011 | Purchase<br>CALL NE 00034.000 NOBLE CORP NAMEN-AKT EXP 11-19-11 CLOSE TRAN NE NOV 34.00000                                                                                                 | NE1119  | 3      | 1.212092 | -363.63   |
| PIA | Settled |  | 11/21/2011 | 11/21/2011 | Exerc Options<br>CALL RRC 00060.000 RANGE RESOURCES CORP SHS EXP 11-19-11 NOCC                                                                                                             | RRC111  | 2      |          | 0         |
| PIA | Settled |  | 11/21/2011 | 11/21/2011 | Exerc Options<br>CALL XLE 00060.000 SELECT SECTOR SPDR TRUST EXP 11-19-11 NOCC                                                                                                             | XLE111  | 1      |          | 0         |
| PIA | Settled |  | 11/21/2011 | 11/21/2011 | Expired Options<br>CALL OEF 00058.000 ISHARES TRUST SHS S&P 10 EXP 11-19-11 NOCC                                                                                                           | OEF111  | 5      |          | 0         |
| PIA | Settled |  | 11/21/2011 | 11/21/2011 | Exerc Options<br>CALL FITB 00011.000 FIFTH THIRD BANCORP SHS EXP 11-19-11 NOCC                                                                                                             | FITB111 | 13     |          | 0         |
| PIA | Settled |  | 11/17/2011 | 11/22/2011 | Purchase<br>CAPITAL ONE FINL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT | COF     | 143    | 41.4636  | -5,929.29 |
| PIA | Settled |  | 11/21/2011 | 11/23/2011 | Sale<br>FIFTH THIRD BANCORP AC CALL ZG968 FITB PER THE PIA AGREEMENT WE MAKE A MKT IN ISSUE AS<br>OF 11/18 UNSOLICITED ORDER                                                               | FITB    | -1,300 | 11       | 14,299.73 |
| PIA | Settled |  | 11/21/2011 | 11/23/2011 | Sale<br>RANGE RESOURCES CORP DEL AC CALL VZYB RRC PER THE PIA AGREEMENT AS OF 11/18<br>UNSOLICITED ORDER                                                                                   | RRC     | -200   | 80       | 11,999.77 |

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| PIA | Settled | 11/21/2011 | 11/23/2011 | Sale<br>SECTOR SPDR ENERGY AC CALL V6ME7 XLE PER THE PIA AGREEMENT AS OF 11/1/8 UNSOLICITED ORDER                                                                                       | XLE    | -100 | 60      | 5,999.88  |
| PIA | Settled | 11/23/2011 | 11/25/2011 | Purchase<br>CALL LNC 00023.000 LINCOLN NTL CORP IND NPV EXP 12-17-11 CLOSE TRAN LNC DEC 23.000000                                                                                       | LNC111 | 5    | 0.06    | -30       |
| PIA | Settled | 11/22/2011 | 11/28/2011 | Purchase<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | BAX    | 132  | 48.8849 | -6,452.81 |
| PIA | Settled | 11/29/2011 | 11/29/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$101.44 REINV PRICE \$10.48000 QUANTITY BOT 9.6790 AS OF 11/28                                         | AHIFX  | 9    |         | 0         |
| PIA | Settled | 11/30/2011 | 12/1/2011  | Sale<br>CALL EMR 00056.000 EMERSON ELEC CO EXP 01-21-12 OPEN TRAN EMR JAN 55.00000                                                                                                      | EMR122 | -2   | 0.9     | 179.89    |
| PIA | Settled | 12/1/2011  | 12/1/2011  | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$117.69 REINV PRICE \$9.70000 QUANTITY BOT 12.1330 AS OF 11/30                                                          | TGLMX  | 12   |         | 0         |
| PIA | Settled | 12/1/2011  | 12/1/2011  | Divd Reinv<br>RS FLOATING RATE FUND CL Y AGENT REINV AMOUNT \$89.63 REINV PRICE \$9.82000 QUANTITY BOT 7.0910 AS OF 11/30                                                               | RSFYX  | 7    |         | 0         |
| PIA | Settled | 12/1/2011  | 12/1/2011  | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$53.94 REINV PRICE \$11.72000 QUANTITY BOT 4.6020 AS OF 11/30                                             | BPRIX  | 4    |         | 0         |
| PIA | Settled | 12/1/2011  | 12/1/2011  | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$91.60 REINV PRICE \$6.29000 QUANTITY BOT 14.5630 AS OF 11/30                                                     | OIBYX  | 14   |         | 0         |

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| PIA | Settled | 12/1/2011 | Divd Reinv<br>SUNAMERICA SENIOR FLOATING RATE FUND CL A AGENT REINV AMOUNT \$32.04 REINV PRICE \$7.94000<br>QUANTITY BOT 4.0350 AS OF 11/30                                                                                                   | SASFX  | 4   |         | 0         |
| PIA | Settled | 12/1/2011 | Divd Reinv<br>LORD ABBETT FLOATING RATE FUND CL F AGENT REINV AMOUNT \$39.12 REINV PRICE \$8.97000<br>QUANTITY BOT 4.3610 AS OF 11/30                                                                                                         | LFRFX  | 4   |         | 0         |
| PIA | Settled | 12/1/2011 | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL F AGENT REINV AMOUNT \$34.13 REINV PRICE \$10.78000 QUANTITY<br>BOT 3.1660 AS OF 11/30                                                                                                               | PTTPX  | 3   |         | 0         |
| PIA | Settled | 12/1/2011 | Journal Entry<br>BLACKROCK INFLATION PROTECTED BD FD INST CL FULL SHARE ACCUM SHARE VALUE \$11.69                                                                                                                                             | BPRIX  | 1   |         | 0         |
| PIA | Settled | 12/1/2011 | Journal Entry<br>OPPENHEIMER INTERNATIONAL BOND FD Y FULL SHARE ACCUM SHARE VALUE \$6.31                                                                                                                                                      | OIBYX  | 1   |         | 0         |
| PIA | Settled | 12/1/2011 | Sale<br>CALL DGX 00060.000 QUEST DIAGNOSTICS INC EXP 12-17-11 OPEN TRAN DGX DEC 60.00000                                                                                                                                                      | DGX111 | -2  | 0.6     | 119.99    |
| PIA | Settled | 12/2/2011 | Purchase<br>VANGUARD FINANCIALS ETF PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS<br>ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN<br>WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | VFH    | 340 | 27.5171 | -9,355.81 |
| PIA | Settled | 12/2/2011 | Purchase<br>ISHARES S&P 100 INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT<br>DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT                 | OEF    | 12  | 56.66   | -679.92   |
| PIA | Settled | 12/2/2011 | Purchase<br>TORTOISE MLP FD INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                                 | NTG    | 291 | 25.0637 | -7,283.54 |

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| PIA | Settled | 12/2/2011 | 12/7/2011 | Sale<br>SECTOR SPDR FINANCIAL PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                        | XLFF    | -647  | 13.1056  | 8,479.16  |
| PIA | Settled | 12/6/2011 | 12/7/2011 | Purchase<br>CALL IAU 00019.000 ISHARES GOLD TR EXP 01-21-12 CLOSE TRAN IAU JAN 19.00000                                                                                                                            | IAU1221 | 10    | 0.088541 | -88.54    |
| PIA | Settled | 12/5/2011 | 12/8/2011 | Purchase<br>ANADARKO PETE CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                       | APC     | 70    | 82.05    | -5,743.50 |
| PIA | Settled | 12/5/2011 | 12/8/2011 | Purchase<br>BAXTER INTERNTL INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                      | BAX     | 40    | 51.9764  | -2,079.06 |
| PIA | Settled | 12/5/2011 | 12/8/2011 | Purchase<br>TORTOSE MLP FD INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                       | NTG     | 67    | 25.1     | -1,681.70 |
| PIA | Settled | 12/5/2011 | 12/8/2011 | Sale<br>SECTOR SPDR ENERGY PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                           | XLE     | -72   | 71.6253  | 5,156.92  |
| PIA | Settled | 12/5/2011 | 12/8/2011 | Purchase<br>VALERO ENERGY CORP NEW PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                   | VLO     | 252   | 22.9835  | -5,791.84 |
| PIA | Settled | 12/6/2011 | 12/9/2011 | Purchase<br>MORGAN ST DEAN WITTER GLB 06.600% APR 01 2012 RATINGS ARE SUBJ. TO CHG PER THE PIA<br>AGREEMENT MOODYS A2 S&P A- DETAILS UPON REQUEST YLD TO MATURITY 4.16% MATURITY DATE<br>4/01/12. 68 DAYS INTEREST | MS12    | 6,000 | 100.732  | -6,118.72 |
| PIA | Settled | 12/6/2011 | 12/9/2011 | Sale<br>DARDEN RESTAURANTS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                       | DRI     | -195  | 43.02    | 8,388.74  |

|     |         |           |            |                                                                                                                                                                                                             |        |     |         |           |
|-----|---------|-----------|------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|-----|---------|-----------|
| PIA | Settled | 12/8/2011 | 12/9/2011  | Purchase<br>MARATHON PETROLEUM CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT           | MPC    | 169 | 34.5102 | -5,832.22 |
| PIA | Settled |           | 12/9/2011  | Divd Reinv<br>PENNSYLVANIA MUTUAL FD AGENT REINV AMOUNT \$59.94 REINV PRICE \$10.62000 QUANTITY BOT<br>5.6440 AS OF 12/08                                                                                   | PENNX  | 5   |         | 0         |
| PIA | Settled |           | 12/9/2011  | Divd Reinv<br>PENNSYLVANIA MUTUAL FD AGENT REINV AMOUNT \$1173.19 REINV PRICE \$10.62000 QUANTITY BOT<br>110.4700 AS OF 12/08                                                                               | PENNX  | 110 |         | 0         |
| PIA | Settled |           | 12/9/2011  | Journal Entry<br>PENNSYLVANIA MUTUAL FD FULL SHARE ACCUM SHARE VALUE \$10.91                                                                                                                                | PENNX  | 1   |         | 0         |
| PIA | Settled | 12/7/2011 | 12/12/2011 | Sale<br>CENTURYLINK INC SHS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                   | CTL    | -49 | 36.3365 | 1,780.46  |
| PIA | Settled | 12/7/2011 | 12/12/2011 | Sale<br>E M C CORPORATION MASS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                | EMC    | -37 | 23.3429 | 863.67    |
| PIA | Settled | 12/7/2011 | 12/12/2011 | Sale<br>JACOBS ENGN GRP INC DELA PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT              | JEC    | -90 | 42.606  | 3,834.47  |
| PIA | Settled | 12/7/2011 | 12/12/2011 | Sale<br>MICROSOFT CORP PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT | MSFT   | -96 | 25.5525 | 2,452.99  |
| PIA | Settled | 12/9/2011 | 12/12/2011 | Sale<br>CALL MRO 00028.000 MARATHON OIL CORP EXP 12-17-11 OPEN TRAN MRO DEC 28.00000                                                                                                                        | MRO111 | -4  | 0.61    | 243.98    |

|     |         |            |            |                                                                                                                                                                                                                                                  |        |      |          |            |
|-----|---------|------------|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|------|----------|------------|
| PIA | Settled | 12/9/2011  | 12/12/2011 | Sale<br>CALL OEF 00059.000 ISHARES S&P 100 INDEX EXP 01-21-12 OPEN TRAN OEF JAN 59.000000                                                                                                                                                        | OEF122 | -8   | 0.526624 | 501.45     |
| PIA | Settled | 12/12/2011 | 12/13/2011 | Purchase<br>CALL DGX 00060.000 QUEST DIAGNOSTICS INC EXP 12-17-11 CLOSE TRAN DGX DEC 60.00000                                                                                                                                                    | DGX111 | 2    | 0.05     | -10        |
| PIA | Settled | 12/9/2011  | 12/14/2011 | Purchase<br>ISHARE BARLCYS 20+ YR TREAS INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT              | TLT    | 50   | 116.66   | -5,833.00  |
| PIA | Settled | 12/9/2011  | 12/14/2011 | Sale<br>GENERAL MILLS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED AS AGENT                                                                                                         | GIS    | -249 | 40.3625  | 10,050.07  |
| PIA | Settled | 12/9/2011  | 12/14/2011 | Purchase<br>EMERGING GLOBAL SHARES DOW JONES PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT | ECON   | 173  | 22.12    | -3,826.76  |
| PIA | Settled | 12/9/2011  | 12/14/2011 | Purchase<br>SECTOR SPDR CONSUMERS STPL PER THE PIA AGREEMENT EXECUTED 100% AGENCY PROSPECTUS ENCLOSED OR UNDER SEPARATE COVER ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT       | XLP    | 553  | 31.96    | -17,673.88 |
| PIA | Settled | 12/9/2011  | 12/14/2011 | Sale<br>TARGET CORP COM PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED AS AGENT                                                                  | TGT    | -175 | 53.6714  | 9,392.32   |
| PIA | Settled | 12/15/2011 | 12/15/2011 | Divd Reinv<br>FIRST EAGLE OVERSEAS CL I AGENT REINV AMOUNT \$1301.20 REINV PRICE \$20.56000 QUANTITY BOT 63.2880 AS OF 12/13                                                                                                                     | SGOIX  | 63   |          | 0          |
| PIA | Settled | 12/15/2011 | 12/15/2011 | Divd Reinv<br>FIRST EAGLE OVERSEAS CL I AGENT REINV AMOUNT \$1839.53 REINV PRICE \$20.56000 QUANTITY BOT 89.4710 AS OF 12/13                                                                                                                     | SGOIX  | 89   |          | 0          |

|     |         |            |                                                                                                                                                                                                               |        |     |           |          |
|-----|---------|------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|-----|-----------|----------|
| PIA | Settled | 12/15/2011 | Divd Reinv<br>FIRST EAG OVERSEAS I AGENT REINV AMOUNT \$2.88 REINV PRICE \$20.56000 QUANTITY BOT .1400 AS<br>OF 12/13                                                                                         | SGOIX  |     |           | 0        |
| PIA | Settled | 12/15/2011 | Journal Entry<br>FIRST EAGLE OVERSEAS CL I FULL SHARE ACCUM SHARE VALUE \$20.27                                                                                                                               | SGOIX  | 1   |           | 0        |
| PIA | Settled | 12/14/2011 | Sale<br>ISHARE BARLCYS 20+ YR TREAS INDEX FUND PER THE PIA AGREEMENT EXECUTED 100% AGENCY<br>ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON<br>REQUEST. ML ACTED AS AGENT  | TLT    | -50 | 121.25152 | 6,062.46 |
| PIA | Settled | 12/16/2011 | Purchase<br>CALL MRO 00028.000 MARATHON OIL CORP EXP 12-17-11 CLOSE TRAN MRO DEC 28.00000                                                                                                                     | MRO11  | 4   | 0.02      | -8       |
| PIA | Settled | 12/16/2011 | Sale<br>CALL MRO 00029.000 MARATHON OIL CORP EXP 01-21-12 OPEN TRAN MRO JAN 29.00000                                                                                                                          | MRO12  | -4  | 0.56      | 223.99   |
| PIA | Settled | 12/19/2011 | Exerc Options<br>CALL NVLS 00036.000 NOVELLUS SYSTEMS INC SHS EXP 12-17-11 NOCC                                                                                                                               | NVLS11 | 3   |           | 0        |
| PIA | Settled | 12/15/2011 | Sale<br>NOVELLUS SYS INC PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. WE MAKE<br>A MKT IN ISSUE ML ACTED AS AGENT | NVLS   | -41 | 42.1474   | 1,728.01 |
| PIA | Settled | 12/19/2011 | Purchase<br>CALL MS 00019.000 MORGAN STANLEY EXP 01-21-12 CLOSE TRAN MS JAN 19.00000                                                                                                                          | MS1221 | 5   | 0.07      | -35      |
| PIA | Settled | 12/20/2011 | Divd Reinv<br>TEMPLETON GLBL BOND FD ADV CL AGENT REINV AMOUNT \$336.29 REINV PRICE \$12.26000 QUANTITY<br>BOT 27.4300 AS OF 12/15                                                                            | TGBAX  | 27  |           | 0        |

|     |         |  |            |                                                                                                                                                                                                                                     |        |      |          |            |
|-----|---------|--|------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|------|----------|------------|
| PIA | Settled |  | 12/20/2011 | Divd Reinv<br>TEMPLETON GBL BOND FD ADV CL AGENT REINV AMOUNT \$106.31 REINV PRICE \$12.26000 QUANTITY<br>BOT 8.6710 AS OF 12/15                                                                                                    | TGBAX  | 8    |          | 0          |
| PIA | Settled |  | 12/20/2011 | Journal Entry<br>TEMPLETON GBL BOND FD ADV CL FULL SHARE ACCUM SHARE VALUE \$12.39                                                                                                                                                  | TGBAX  | 1    |          | 0          |
| PIA | Settled |  | 12/19/2011 | Sale<br>NOVELLUS SYS INC AC CALL V98L8 NVLS PER THE PIA AGREEMENT WE MAKE A MKT IN ISSUE AS OF<br>12/16 UNSOLICITED ORDER                                                                                                           | NVLS   | -300 | 36       | 10,799.79  |
| PIA | Settled |  | 12/21/2011 | Purchase<br>CALL EMR 00055.000 EMERSON ELEC CO EXP 01-21-12 CLOSE TRAN EMR JAN 55.00000                                                                                                                                             | EMR122 | 2    | 0.1      | -20        |
| PIA | Settled |  | 12/23/2011 | Sale<br>CALL MS 00017.500 MORGAN STANLEY EXP 01-21-12 OPEN TRAN MS JAN 17.50000                                                                                                                                                     | MS1221 | -5   | 0.344275 | 172.13     |
| PIA | Settled |  | 12/23/2011 | Divd Reinv<br>BLACKROCK INFLATION PROTECTED BD FD INST CL AGENT REINV AMOUNT \$130.12 REINV PRICE<br>\$11.73000 QUANTITY BOT 11.0930 AS OF 12/21                                                                                    | BPRIX  | 11   |          | 0          |
| PIA | Settled |  | 12/29/2011 | Sale<br>E M C CORPORATION MASS PER THE PIA AGREEMENT EXECUTED 100% AGENCY ACTUAL PRICES,<br>REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE AVAILABLE UPON REQUEST. ML ACTED<br>AS AGENT                                        | EMC    | -500 | 21.6892  | 10,844.39  |
| PIA | Settled |  | 12/29/2011 | Purchase<br>ISHARES TR RUSSELL 2000 INDEX FD PER THE PIA AGREEMENT EXECUTED 100% AGENCY PRODUCT<br>DESCRIPTION ENCL ACTUAL PRICES, REMUNERATION AND THE CAPACITY IN WHICH ML ACTED ARE<br>AVAILABLE UPON REQUEST. ML ACTED AS AGENT | IWM    | 149  | 74.43    | -11,090.07 |
| PIA | Settled |  | 12/29/2011 | Divd Reinv<br>PIMCO TOTAL RETURN FUND CL P AGENT REINV AMOUNT \$71.10 REINV PRICE \$10.83000 QUANTITY<br>BOT 6.5850 AS OF 12/28                                                                                                     | PTTPX  | 6    |          | 0          |

|     |         |            |                                                                                                                                                 |       |    |  |   |
|-----|---------|------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-------|----|--|---|
| PIA | Settled |            | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$104.49 REINV PRICE \$10.65000 QUANTITY BOT 9.8110 AS OF 12/28 | AHIFX | 9  |  | 0 |
| PIA | Settled |            | Journal Entry<br>PIMCO TOTAL RETURN FUND CL P FULL SHARE ACCUM SHARE VALUE \$10.84                                                              | PTPX  | 1  |  | 0 |
| PIA | Settled | 12/29/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$10.66                                            | AHIFX | 1  |  | 0 |
| PIA | Settled | 12/30/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$118.35 REINV PRICE \$9.65000 QUANTITY BOT 12.2640 AS OF 12/29                  | TGLMX | 12 |  | 0 |
| PIA | Settled | 12/30/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$26.90 REINV PRICE \$9.65000 QUANTITY BOT 2.7880 AS OF 12/29                    | TGLMX | 2  |  | 0 |
| PIA | Settled | 12/30/2011 | Divd Reinv<br>TCW TOTAL RETURN BOND FD CL I AGENT REINV AMOUNT \$21.52 REINV PRICE \$9.65000 QUANTITY BOT 2.2300 AS OF 12/29                    | TGLMX | 2  |  | 0 |
| PIA | Settled | 12/30/2011 | Divd Reinv<br>OPPENHEIMER INTERNATIONAL BOND FD Y AGENT REINV AMOUNT \$466.28 REINV PRICE \$6.19000 QUANTITY BOT 75.3280 AS OF 12/29            | OIBYX | 75 |  | 0 |
| PIA | Settled | 12/30/2011 | Divd Reinv<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 AGENT REINV AMOUNT \$28.62 REINV PRICE \$10.65000 QUANTITY BOT 2.6780 AS OF 12/28  | AHIFX | 2  |  | 0 |
| PIA | Settled | 12/30/2011 | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.64                                                              | TGLMX | 1  |  | 0 |

|     |         |  |            |                                                                                                      |       |   |  |   |
|-----|---------|--|------------|------------------------------------------------------------------------------------------------------|-------|---|--|---|
| PIA | Settled |  | 12/30/2011 | Journal Entry<br>TCW TOTAL RETURN BOND FD CL I FULL SHARE ACCUM SHARE VALUE \$9.64                   | TGLMX | 1 |  | 0 |
| PIA | Settled |  | 12/30/2011 | Journal Entry<br>AMER FUNDS AMERICAN HIGH INCOME TRUST FD CL F2 FULL SHARE ACCUM SHARE VALUE \$10.66 | AHIFX | 1 |  | 0 |

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DAVID PHILLIP ROE

SCHEDULE 5

Total Vested Balance      \$141,691.83      \$183,915.65      \$12,122.90

## Your Account Activity

Statement Period: 01/01/2011 to 12/31/2011

Use this section as a summary of transactions that occurred in your account during the statement period.

### Detailed Transaction History

| Activity               | Drey SM Cap Stk Idx | Drey Basic S&P 500 | Httf Capital Appr RS | Blkrk Cap Appr I |
|------------------------|---------------------|--------------------|----------------------|------------------|
| Beginning Balance      | \$2,476.85          | \$1,308.14         | \$90,695.37          | \$84,947.46      |
| Administrative Fees    | -\$2.97             | -\$1.59            | -\$101.75            | -\$98.89         |
| Change in Market Value | \$20.29             | \$25.84            | -\$13,583.00         | -\$7,495.72      |
| Ending Balance         | \$2,494.17          | \$1,332.39         | \$77,010.62          | \$77,352.85      |
| Dividends & Interest   | \$102.24            | \$24.55            | \$1,610.75           | \$0.00           |

| Activity               | Mainstay MAP I | FTD Ret Govt NM | FA Mid Cap II I | FA Intl Discovery I |
|------------------------|----------------|-----------------|-----------------|---------------------|
| Beginning Balance      | \$2,312.66     | \$47,242.47     | \$1,809.27      | \$83,911.39         |
| Administrative Fees    | -\$2.79        | -\$56.67        | -\$2.13         | -\$96.73            |
| Change in Market Value | -\$46.23       | \$4.76          | -\$186.54       | -\$12,769.15        |
| Ending Balance         | \$2,263.64     | \$47,190.56     | \$1,620.60      | \$71,045.51         |
| Dividends & Interest   | \$32.04        | \$4.76          | \$0.00          | \$1,051.76          |

| Activity               | FA GOV Income Inst | Total        |
|------------------------|--------------------|--------------|
| Beginning Balance      | \$53,331.57        | \$368,035.18 |
| Administrative Fees    | -\$66.51           | -\$430.03    |
| Change in Market Value | \$4,154.98         | -\$29,874.77 |
| Ending Balance         | \$57,420.04        | \$337,730.38 |
| Dividends & Interest   | \$2,410.45         | \$5,236.55   |

Questions? Call (800) 294-4015

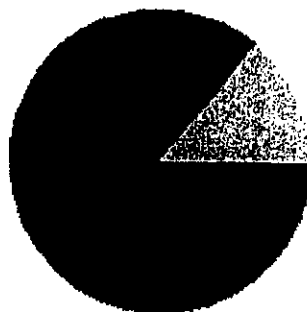
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- 69.03% Stock Investments: \$233,119.78
- 17.00% Bond Investments: \$57,420.04
- 13.97% Short-Term Investments: \$47,190.56

Questions? Call (800) 284-4016

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Your account is allocated among the asset classes specified above as of 12/31/2011. Percentages and totals may not be exact due to rounding.

### Market Value of Your Account

Statement Period: 01/01/2011 to 12/31/2011

Displayed in this section is the value of your account for the statement period, in both shares and dollars.

| Investment               | Shares as of 12/31/2010 | Shares as of 12/31/2011 | Price as of 12/31/2010 | Price as of 12/31/2011 | Market Value as of 12/31/2010 | Market Value as of 12/31/2011 |
|--------------------------|-------------------------|-------------------------|------------------------|------------------------|-------------------------------|-------------------------------|
| <b>Stock Investments</b> |                         |                         |                        |                        | <b>\$267,461.14</b>           | <b>\$233,119.78</b>           |
| Large Cap                |                         |                         |                        |                        |                               |                               |
| Blick Cap Appr I         | 3,572.223               | 3,567.896               | \$23.78                | \$21.88                | \$84,947.46                   | \$77,352.85                   |
| Drey Basic S&P 500       | 50,980                  | 51,844                  | \$25.67                | \$25.70                | \$1,308.14                    | \$1,332.39                    |
| Hind Capital Appr R5     | 2,423,714               | 2,472,251               | \$37.42                | \$31.15                | \$90,695.37                   | \$77,010.62                   |
| Maharaj MAP I            | 72,487                  | 73,447                  | \$31.90                | \$30.82                | \$2,312.86                    | \$2,263.84                    |
| Mid-Cap                  |                         |                         |                        |                        |                               |                               |
| FA Mid Cap III           | 99,849                  | 99,729                  | \$18.12                | \$16.25                | \$1,808.27                    | \$1,620.80                    |
| Small Cap                |                         |                         |                        |                        |                               |                               |
| Drey SM Cap S&P Idx      | 121,295                 | 126,351                 | \$20.42                | \$19.74                | \$2,478.85                    | \$2,494.17                    |
| International            |                         |                         |                        |                        |                               |                               |
| FA Int'l International   | 2,543,540               | 2,577,840               | \$17.00                | \$17.56                | \$43,041.90                   | \$45,045.51                   |