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Form **990-PF**

Department of the Treasury
Internal Revenue Service

Return of Private Foundation

or Section 4947(a)(1) Nonexempt Charitable Trust
Treated as a Private Foundation

Note. The foundation may be able to use a copy of this return to satisfy state reporting requirements

OMB No 1545-0052

2011

For calendar year 2011, or tax year beginning 01-01-2011 , and ending 12-31-2011

G Check all that apply ☐ Initial return ☐ Initial return of a former public charity ☐ Final return
☐ Amended return ☐ Address change ☐ Name change

Name of foundation
THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY
FOUNDATION INC
% PAUL F MCLAUGHLIN

A Employer identification number
22-3842614

Number and street (or P O box number if mail is not delivered to street address)
505 OCEAN AVENUE

Room/suite

B Telephone number (see page 10 of the instructions)
(908) 719-3105

City or town, state, and ZIP code
SEA GIRT, NJ 08750

C If exemption application is pending, check here ▶ ☐

D 1. Foreign organizations, check here ▶ ☐

2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

H Check type of organization ☑ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

I Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 630,638

J Accounting method ☑ Cash ☐ Accrual
☐ Other (specify)
(Part I, column (d) must be on cash basis.)

Part I **Analysis of Revenue and Expenses** *(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see page 11 of the instructions))*

			(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1	Contributions, gifts, grants, etc , received (attach schedule)	0			
	2	Check ▶ ☐ if the foundation is **not** required to attach Sch B				
	3	Interest on savings and temporary cash investments				
	4	Dividends and interest from securities.	11,874	11,874		
	5a	Gross rents				
	b	Net rental income or (loss)				
	6a	Net gain or (loss) from sale of assets not on line 10	95,683			
	b	Gross sales price for all assets on line 6a 632,366				
	7	Capital gain net income (from Part IV, line 2) . . .		95,683		
	8	Net short-term capital gain				
	9	Income modifications				
	10a	Gross sales less returns and allowances				
	b	Less Cost of goods sold				
	c	Gross profit or (loss) (attach schedule)				
	11	Other income (attach schedule)	68	68		
	12	**Total.** Add lines 1 through 11	107,625	107,625		
Operating and Administrative Expenses	13	Compensation of officers, directors, trustees, etc	0			
	14	Other employee salaries and wages				
	15	Pension plans, employee benefits				
	16a	Legal fees (attach schedule)				
	b	Accounting fees (attach schedule)	6,750	6,750	0	0
	c	Other professional fees (attach schedule)	7,670	7,670		
	17	Interest				
	18	Taxes (attach schedule) (see page 14 of the instructions)	631	631		
	19	Depreciation (attach schedule) and depletion . . .				
	20	Occupancy				
	21	Travel, conferences, and meetings				
	22	Printing and publications				
	23	Other expenses (attach schedule)				
	24	**Total operating and administrative expenses.** Add lines 13 through 23	15,051	15,051	0	0
	25	Contributions, gifts, grants paid	85,500			85,500
	26	**Total expenses and disbursements.** Add lines 24 and 25	100,551	15,051	0	85,500
	27	Subtract line 26 from line 12				
	a	**Excess of revenue over expenses and disbursements**	7,074			
	b	**Net investment income** (if negative, enter -0-)		92,574		
	c	**Adjusted net income** (if negative, enter -0-) . . .				

Part II **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)

		Beginning of year (a) Book Value	End of year (b) Book Value	End of year (c) Fair Market Value
Assets	1 Cash—non-interest-bearing			
	2 Savings and temporary cash investments	193,435	45,012	45,012
	3 Accounts receivable ▶			
	Less allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)			
	7 Other notes and loans receivable (attach schedule) ▶			
	Less allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments—U S and state government obligations (attach schedule)			
	b Investments—corporate stock (attach schedule)	471,851	633,842	585,626
	c Investments—corporate bonds (attach schedule)			
	11 Investments—land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
	12 Investments—mortgage loans			
	13 Investments—other (attach schedule)			
	14 Land, buildings, and equipment basis ▶			
	Less accumulated depreciation (attach schedule) ▶			
	15 Other assets (describe ▶)			
	16 **Total assets** (to be completed by all filers—see the instructions Also, see page 1, item I)	665,286	678,854	630,638
Liabilities	17 Accounts payable and accrued expenses			
	18 Grants payable			
	19 Deferred revenue			
	20 Loans from officers, directors, trustees, and other disqualified persons			
	21 Mortgages and other notes payable (attach schedule)			
	22 Other liabilities (describe ▶)			
	23 **Total liabilities** (add lines 17 through 22)		0	
Net Assets or Fund Balances	**Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.**			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☑ **and complete lines 27 through 31.**			
	27 Capital stock, trust principal, or current funds			
	28 Paid-in or capital surplus, or land, bldg , and equipment fund			
	29 Retained earnings, accumulated income, endowment, or other funds	665,286	678,854	
	30 **Total net assets or fund balances** (see page 17 of the instructions)	665,286	678,854	
	31 **Total liabilities and net assets/fund balances** (see page 17 of the instructions)	665,286	678,854	

Part III **Analysis of Changes in Net Assets or Fund Balances**

1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	665,286
2	Enter amount from Part I, line 27a	2	7,074
3	Other increases not included in line 2 (itemize) ▶	3	6,494
4	Add lines 1, 2, and 3	4	678,854
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	678,854

Part IV Capital Gains and Losses for Tax on Investment Income

	(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1 a	OPPENHEIMER SHORT TERM	P		
b	OPPENHEIMER LONG TERM			
c	MANNING	P		
d	CAPITAL GAIN DIVIDENDS	P		
e				

	(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a	76,717		77,484	-767
b	546,952		459,199	87,753
c	107			107
d				8,590
e				

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

	(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) **or** Losses (from col (h))
a				-767
b				87,753
c				107
d				
e				

2	Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 }	2	95,683
3	Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see pages 13 and 17 of the instructions) If (loss), enter -0- in Part I, line 8	3	

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income)

If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☑ No
If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see page 18 of the instructions before making any entries

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2010	97,170	700,262	0 138762
2009	90,750	707,883	0 128199
2008	75,062	875,903	0 085697
2007	90,927	1,054,614	0 086218
2006	70,559	1,051,429	0 067108

2	**Total** of line 1, column (d).	2	0 505984
3	Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years . . .	3	0 101197
4	Enter the net value of noncharitable-use assets for 2011 from Part X, line 5.	4	601,070
5	Multiply line 4 by line 3.	5	60,826
6	Enter 1% of net investment income (1% of Part I, line 27b).	6	926
7	Add lines 5 and 6.	7	61,752
8	Enter qualifying distributions from Part XII, line 4.	8	85,500

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate See the Part VI instructions on page 18

Part VI **Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see page 18 of the instructions)**

1a	Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1 Date of ruling or determination letter ____________ **(attach copy of letter if necessary–see instructions)**		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☑ and enter 1% of Part I, line 27b	1	926
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	2	
3	Add lines 1 and 2	3	926
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	
5	**Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0-	5	926
6	Credits/Payments		
a	2011 estimated tax payments and 2010 overpayment credited to 2011 — **6a**		
b	Exempt foreign organizations—tax withheld at source — **6b**		
c	Tax paid with application for extension of time to file (Form 8868) — **6c** — 500		
d	Backup withholding erroneously withheld — **6d**		
7	Total credits and payments Add lines 6a through 6d	7	500
8	Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached	8	10
9	**Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶	9	436
10	**Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶	10	
11	Enter the amount of line 10 to be **Credited to 2012 estimated tax** ▶ 0 **Refunded** ▶	11	

Part VII-A **Statements Regarding Activities**

			Yes	No
1a	During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?	1a		No
b	Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)?	1b		No
	*If the answer is "Yes" to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.*			
c	Did the foundation file **Form 1120-POL** for this year?	1c		No
d	Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year **(1)** On the foundation ▶ $ ____________ **(2)** On foundation managers ▶ $ ____________			
e	Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ ____________			
2	Has the foundation engaged in any activities that have not previously been reported to the IRS? *If "Yes," attach a detailed description of the activities.*	2		No
3	Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes*	3		No
4a	Did the foundation have unrelated business gross income of $1,000 or more during the year?	4a		No
b	If "Yes," has it filed a tax return on **Form 990-T** for this year?	4b		
5	Was there a liquidation, termination, dissolution, or substantial contraction during the year? *If "Yes," attach the statement required by General Instruction T.*	5		No
6	Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	6	Yes	
7	Did the foundation have at least $5,000 in assets at any time during the year? *If "Yes," complete Part II, col (c), and Part XV*	7	Yes	
8a	Enter the states to which the foundation reports or with which it is registered (see page 19 of the instructions) ▶ NJ			
b	If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? *If "No," attach explanation*	8b	Yes	
9	Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2011 or the taxable year beginning in 2011 (see instructions for Part XIV on page 27)? *If "Yes," complete Part XIV*	9		No
10	Did any persons become substantial contributors during the tax year? *If "Yes," attach a schedule listing their names and addresses*	10		No

Part VII-A Statements Regarding Activities *(continued)*

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see page 20 of the instructions)	11		No
12	Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008?	12		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	Yes	

Website address ▶

14 The books are in care of ▶PAUL F MCLAUGHLIN Telephone no ▶(908) 719-3105

Located at ▶505 OCEAN AVENUE SEA GIRT NJ ZIP+4 ▶08750

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** —Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ | 15 |

			Yes	No
16	At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16		

See the instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes", enter the name of the foreign country ▶

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

			Yes	No
1a	During the year did the foundation (either directly or indirectly)			
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☑ No			
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☑ No			
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☑ No			
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☑ No			
	(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☑ No			
	(6) Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days). ☐ Yes ☑ No			
b	If any answer is "Yes" to 1a(1)–(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)?	1b		
	Organizations relying on a current notice regarding disaster assistance check here ▶ ☐			
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011?	1c		No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))			
a	At the end of tax year 2011, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2011? ☐ Yes ☑ No			
	If "Yes," list the years ▶ 20____ , 20____ , 20____ , 20____			
b	Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement—see page 20 of the instructions)	2b		
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ▶ 20____ , 20____ , 20____ , 20____			
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☑ No			
b	If "Yes," did it have excess business holdings in 2011 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2011.)*	3b		
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a		No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2011?	4b		No

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required *(continued)*

5a During the year did the foundation pay or incur any amount to

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☑ No

(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☑ No

(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☑ No

(4) Provide a grant to an organization other than a charitable, etc , organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? (see page 22 of the instructions) ☐ Yes ☑ No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☑ No

b If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see page 22 of the instructions)? **5b**

Organizations relying on a current notice regarding disaster assistance check here ▶ ☐

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☐ No

If "Yes," attach the statement required by Regulations section 53.4945–5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☑ No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? **6b** **No**

If "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☑ No

b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? **7b**

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation (see page 22 of the instructions).

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
See Additional Data Table				

2 Compensation of five highest-paid employees (other than those included on line 1—see page 23 of the instructions). If none, enter "NONE."

(a) Name and address of each employee paid more than $50,000	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances

Total number of other employees paid over $50,000 ▶

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)*

3 Five highest-paid independent contractors for professional services (see page 23 of the instructions). If none, enter "NONE".

(a) Name and address of each person paid more than $50,000	**(b)** Type of service	**(c)** Compensation
DELOITTE 4022 SELLS DR HERMITAGE,TN 37076	0	6,750
Total number of others receiving over $50,000 for professional services. . . . . ▶		

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1	
2	
3	
4	

Part IX-B Summary of Program-Related Investments (see page 23 of the instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments See page 24 of the instructions 3	
Total. Add lines 1 through 3. . . . . ▶	

Part X **Minimum Investment Return** (All domestic foundations must complete this part. Foreign foundations, see page 24 of the instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc , purposes		
a	Average monthly fair market value of securities	1a	560,223
b	Average of monthly cash balances	1b	50,000
c	Fair market value of all other assets (see page 24 of the instructions)	1c	0
d	**Total** (add lines 1a, b, and c)	1d	610,223
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e		
2	Acquisition indebtedness applicable to line 1 assets	2	0
3	Subtract line 2 from line 1d	3	610,223
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see page 25 of the instructions)	4	9,153
5	**Net value of noncharitable-use assets.** Subtract line 4 from line 3 Enter here and on Part V, line 4	5	601,070
6	**Minimum investment return.** Enter 5% of line 5	6	30,054

Part XI **Distributable Amount** (see page 25 of the instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6			1	30,054
2a	Tax on investment income for 2011 from Part VI, line 5	2a	926		
b	Income tax for 2011 (This does not include the tax from Part VI)	2b			
c	Add lines 2a and 2b			2c	926
3	Distributable amount before adjustments Subtract line 2c from line 1			3	29,128
4	Recoveries of amounts treated as qualifying distributions			4	
5	Add lines 3 and 4			5	29,128
6	Deduction from distributable amount (see page 25 of the instructions)			6	
7	**Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1			7	29,128

Part XII **Qualifying Distributions** (see page 25 of the instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26	1a	85,500
b	Program-related investments—total from Part IX-B	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes	2	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required)	3a	0
b	Cash distribution test (attach the required schedule)	3b	0
4	**Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	85,500
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see page 26 of the instructions)	5	926
6	**Adjusted qualifying distributions.** Subtract line 5 from line 4	6	84,574

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years

Part XIII Undistributed Income (see page 26 of the instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				29,128
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only.				
b Total for prior years 2009 , 2008 , 2007				
3 Excess distributions carryover, if any, to 2011				
a From 2006. 6,225				
b From 2007. 38,604				
c From 2008. 32,343				
d From 2009. 55,621				
e From 2010. 63,017				
f **Total** of lines 3a through e.	195,810			
4 Qualifying distributions for 2011 from Part XII, line 4 ▶ $ 85,500				
a Applied to 2010, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see page 26 of the instructions)				
c Treated as distributions out of corpus (Election required—see page 26 of the instructions). . .				
d Applied to 2011 distributable amount.				29,128
e Remaining amount distributed out of corpus	56,372			
5 Excess distributions carryover applied to 2011 *(If an amount appears in column (d), the same amount must be shown in column (a).)*				
6 **Enter the net total of each column as indicated below:**				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	252,182			
b Prior years' undistributed income Subtract line 4b from line 2b				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed.				
d Subtract line 6c from line 6b Taxable amount—see page 27 of the instructions . . .				
e Undistributed income for 2010 Subtract line 4a from line 2a Taxable amount—see page 27 of the instructions				
f Undistributed income for 2011 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2011				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see page 27 of the instructions)				
8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see page 27 of the instructions)	6,225			
9 **Excess distributions carryover to 2012.** Subtract lines 7 and 8 from line 6a	245,957			
10 Analysis of line 9				
a Excess from 2007. . . . 38,604				
b Excess from 2008. . . . 32,343				
c Excess from 2009. . . . 55,621				
d Excess from 2010. . . . 63,017				
e Excess from 2011. . . . 56,372				

Part XIV Private Operating Foundations (see page 27 of the instructions and Part VII-A, question 9)

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2011, enter the date of the ruling. . . . . . . ▶

b Check box to indicate whether the organization is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

	Tax year	Prior 3 years			(e) Total
	(a) 2011	**(b)** 2010	**(c)** 2009	**(d)** 2008	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon **a** "Assets" alternative test—enter **(1)** Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed. . .					
c "Support" alternative test—enter **(1)** Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii). . . .					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the organization had $5,000 or more in assets at any time during the year—see page 27 of the instructions.)

1 Information Regarding Foundation Managers:

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than $5,000) (See section 507(d)(2))

NA

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

NA

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here ▶☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds If the foundation makes gifts, grants, etc (see page 28 of the instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d

a The name, address, and telephone number of the person to whom applications should be addressed

PAUL MCLAUGHLIN
505 OCEAN AVENUE
SEA GIRT,NJ 08750
(908) 719-3105

b The form in which applications should be submitted and information and materials they should include

N/A

c Any submission deadlines

N/A

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors

N/A

Part XV Supplementary Information (continued)

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
See Additional Data Table				
Total . . . . ▶ **3a**				85,500
b *Approved for future payment*				
Total . . . . ▶ **3b**				

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated	Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See page 28 of the instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount	
1 Program service revenue					
a					
b					
c					
d					
e					
f					
g Fees and contracts from government agencies					
2 Membership dues and assessments. . . .					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities. . . .			14	11,874	
5 Net rental income or (loss) from real estate					
a Debt-financed property.					
b Not debt-financed property.					
6 Net rental income or (loss) from personal property					
7 Other investment income.					
8 Gain or (loss) from sales of assets other than inventory			18	95,683	
9 Net income or (loss) from special events					
10 Gross profit or (loss) from sales of inventory. .					
11 Other revenue a MERRILL LYNCH CLASS ACTION SETTLEMENT			14		
b					
c					
d					
e					
12 Subtotal Add columns (b), (d), and (e). .				107,625	

13 **Total.** Add line 12, columns (b), (d), and (e). 13 107,625

(See worksheet in line 13 instructions on page 28 to verify calculations)

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

Line No. ▼	Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the organization's exempt purposes (other than by providing funds for such purposes) (See page 28 of the instructions)

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

			Yes	No
1	Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?			
a	Transfers from the reporting foundation to a noncharitable exempt organization of			
	(1) Cash	1a(1)		No
	(2) Other assets	1a(2)		No
b	Other transactions			
	(1) Sales of assets to a noncharitable exempt organization	1b(1)		No
	(2) Purchases of assets from a noncharitable exempt organization	1b(2)		No
	(3) Rental of facilities, equipment, or other assets	1b(3)		No
	(4) Reimbursement arrangements	1b(4)		No
	(5) Loans or loan guarantees	1b(5)		No
	(6) Performance of services or membership or fundraising solicitations	1b(6)		No
c	Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		No

d If the answer to any of the above is "Yes," complete the following schedule Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received

(a) Line No	(b) Amount involved	(c) Name of noncharitable exempt organization	(d) Description of transfers, transactions, and sharing arrangements

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☑ No

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

Sign Here

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge

******	2012-07-10	******
Signature of officer or trustee	Date	Title

Paid Preparer's Use Only

Preparer's Signature	Date	Check if self-employed ☐	PTIN
Firm's name ▶ ALAN LANGER CPA		Firm's EIN ▶	
Firm's address ▶ 270 MADISON AVE SUITE 1500 NEW YORK, NY 100160601		Phone no (212) 481-2222	

May the IRS discuss this return with the preparer shown above? See instructions ▶ ☑ Yes ☐ No

Additional Data

Software ID:	
Software Version:	
EIN:	22-3842614
Name:	THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

Form 990PF - Special Condition Description:

Special Condition Description

Form 990PF Part VIII Line 1 - List all officers, directors, trustees, foundation managers and their compensation

(a) Name and address	**(b)** Title, and average hours per week devoted to position	**(c)** Compensation **(If not paid, enter -0-)**	**(d)** Contributions to employee benefit plans and deferred compensation	**(e)** Expense account, other allowances
PAUL F MCLAUGHLIN 505 OCEAN AVE SEA GIRT, NJ 08750	PRESIDENT/TREASURER 10 0	0	0	0
MARY ANNE MCLAUGHLIN 505 OCEAN AVENUE SEA GIRT, NJ 08750	VICE PRES/SECRETARY 10 0	0	0	0
SCOTT C MCLAUGHLIN 16 TURNBERRY DRIVE HORSEHEADS, NY 14845	ASST TREASURER 10 0	0	0	0
BETHANY R MCLAUGHLIN 16 TURNBERRY DRIVE HORSEHEADS, NY 14845	DIRECTOR 10 0	0	0	0
LYNNE M MCLAUGHLIN 29 GLOUSTER STREET APT 1-R BOSTON, MA 02115	ASST SECRETARY 10 0	0	0	0
LAURIE A MOORE 34 SCHOOL STREET NEWTON, MA 02485	DIRECTOR 10 0	0	0	0
CHRISTOPHER H MOORE 34 SCHOOL STREET NEWTON, MA 02485	DIRECTOR 10 0	0	0	0

Form 990PF Part XV Line 3 - Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a *Paid during the year*				
CHILDREN'S MIRACLE NETWORK 4525 SOUTH 2300 EAST SALT LAKE CITY, UT 84117	NONE	CHARITABLE	GENERAL / CHARITABLE	3,000
SKIDMORE COLLEGE815 NORTH BROADWAY SARATOGA SPRINGS, NY 12866	NONE	CHARITABLE	GENERAL / CHARITABLE	500
NEWTON WELLESLEY CHARITABLE FOUNDATION2014 WASHINGTON STREET NEWTON, MA 02462	NONE	CHARITABLE	GENERAL / CHARITABLE	10,000
MARANATHA BIBLE CHAPEL774 SING SING ROAD HORSEHEADS, NY 14845	NONE	CHARITABLE	GENERAL / CHARITABLE	12,000
FAMILY LIFE NETWORKPO BOX 506 BATH, NY 148100506	NONE	CHARITABLE	GENERAL / CHARITABLE	2,000
HOSPITAL FOR SPECIAL SURGERY FUND INC535 East 70th Street NEW YORK, NY 10021	NONE	CHARITABLE	GENERAL / CHARITABLE	1,000
SEA GIRT FIRE COMPANY BALTIMORE AND 4TH AVE SEA GIRT, NJ 08750	NONE	CHARITABLE	GENERAL / CHARITABLE	750
AFS-USA INC198 Madison Avenue 8th Floor NEW YORK, NY 10016	NONE	CHARITABLE	GENERAL / CHARITABLE	500
FOOD BANK OF THE SOUTHERN TIER945 County Route 64 Elmira, NY 14903	NONE	CHARITABLE	GENERAL / CHARITABLE	4,000
SOUTHERN TIER PREGNANCY CENTER571 E MARKET STREET SUITE 201 ELMIRA, NY 14901	NONE	CHARITABLE	GENERAL / CHARITABLE	1,000
VILLANOVA UNIVERSITY800 LANCASTER AVE VILLANOVA, PA 19085	NONE	CHARITABLE	GENERAL / CHARITABLE	3,000
ROSIE'S PLACE889 HARRISON AVE BOSTON, MA 02118	NONE	CHARITABLE	GENERAL / CHARITABLE	3,000
MANASQUAN FIRST AID SQUAD INC65 BROAD STREET MANASQUAN, NJ 08736	NONE	CHARITABLE	GENERAL / CHARITABLE	500
FOCUS ON FAMILY8605 EXPLORER DRIVE COLORADO SPRINGS, CO 80920	NONE	CHARITABLE	GENERAL / CHARITABLE	2,000
GEORGIA INSTITUTE OF TECHNOLOGYfifth street Atlanta, GA 30332	NONE	CHARITABLE	GENERAL / CHARITABLE	1,000
EASTER SEALS - NEW JERSEY25 KENNEDY BLVD SUITE 600 EAST BRUNSWICK, NJ 08816	NONE	CHARITABLE	GENERAL / CHARITABLE	8,250
ST MARK'S CATHOLIC CHURCH215 CRESCENT PARKWAY SEA GIRT, NJ 08750	NONE	CHARITABLE	GENERAL / CHARITABLE	1,000
AMERICAN RED CROSS (JAPAN TSUNAMI RELIEFAMERICAN RED CROSS NATIONAL HEADQUA 2025 E STREET NW WASHINGTON, DC 20006	NONE	CHARITABLE	GENERAL / CHARITABLE	10,000
OUR PROMISE TO NICHOLAS FOUNDATION111 AMHERST STREET MANCHESTER, NH 03110	NONE	CHARITABLE	GENERAL / CHARITABLE	1,500
AMERICAN CANCER SOCIETY250 WILLIAMS STREET NW ATLANTA, GA 303031002	NONE	CHARITABLE	GENERAL / CHARITABLE	2,000
HARVARD BUSINESS SCHOOL SOLDIERS FIELD BOSTON, MA 02163	NONE	CHARITABLE	REVERSAL OF 2009 CONTRIBUTION	11,000
BENTLEY UNIVERSITYOFFICE OF DEVELOPMENT LEWIS HAL 175 FOREST ST WALTHAM, MA 024524705	NONE		GENERAL/ CHARITABLE	1,500
SITAR CENTER FOR THE ARTS1700 KALORAMA RD NW WASHINGTON, DC 20009	NONE	CHARITABLE	GENERAL	3,500
LEUKEMIA &LYMPHOMA SOC DONOR SERVICES PO BOX 4072 PITTSFIELD, MA 01202	NONE	CHARITABLE	GENERAL /CHARITABLE	500
ORLEANS HABITAT FOR HUMANITYPO BOX 288 MEDINA, NY 14103	NONE	EXEMPT ORG	GENERAL CHARITABLE	500
STEPHEN'S PANTRY2729 LAWRENCEVILLE HIGHWAY DECATUR, GA 30033	NONE	EXEMPT ORG	GENERAL CHARITABLE	1,000
SEA GIRT LIBRARYRR STATION AT THE PLAZA PO BOX 414 SEA GIRT, NJ 08750	NONE	EXEMPT ORG	GENERAL/CHARITABLE	500
Total . . . . ▶ 3a				85,500

TY 2011 Accounting Fees Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
TAX PREP DELOITTE	6,750			

TY 2011 All Other Program Related Investments Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Category	Amount
NONE	

Note: To capture the full content of this document, please select landscape mode (11" x 8.5") when printing.

TY 2011 Depreciation Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

TY 2011 Investments Corporate Stock Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Name of Stock	End of Year Book Value	End of Year Fair Market Value
COST VALUE OF SECURITIES	633,842	585,626

TY 2011 Land, Etc. Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

TY 2011 Other Expenses Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
CHECK BOOK FEE				

TY 2011 Other Income Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
UNITED STATES OIL FUND, L P (PTP)	68		
CURRENT YEAR DISALLOWED LOSS			

TY 2011 Other Increases Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Description	Amount
US OIL DISTRIBUTION	5,803
OPPENHEINER	85
OTHER	606

TY 2011 Other Professional Fees Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MGMNT	7,670			

TY 2011 Taxes Schedule

Name: THE PAUL F & MARY ANNE MCLAUGHLIN FAMILY FOUNDATION INC

EIN: 22-3842614

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FEDERAL TAX EXPENSE	430			
FOREIGN TAXES PAID	201			

Oppenheimer & Co. Inc.

2011

Account A810750438

Proceeds from Broker and Barter Exchange Transactions

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
AFLAC INC / CUSIP: 001055102 / Symbol AFL						
11/09/11	1 000	43.58	10/28/11	46 81	-3 23	Sale
11/10/11	1 000	43 32	10/28/11	46 81	-3 49	Sale
11/16/11	2.000	88 53	10/28/11	93.63	-5 10	Sale
	Security total	175 43		187 25	-11 82	
AGL RES INC / CUSIP 001204106 / Symbol. GAS						
04/21/11	1.000	40 18	03/22/11	39 35	0 83	Sale
06/17/11	1 000	39 55	03/22/11	39.35	0 20	Sale
11/09/11	1.000	40 49	03/22/11	39 35	1 14	Sale
11/10/11	1.000	40.60	03/22/11	39 35	1 25	Sale
11/16/11	1.000	41.58	03/22/11	39.35	2.23	Sale
	Security total·	202 40		196.75	5 65	
AT&T INC / CUSIP: 00206R102 / Symbol T						
04/21/11	8 000	245 59	03/22/11	225 20	20 39	Sale
06/17/11	8 000	247 03	03/22/11	225 20	21 83	Sale
11/09/11	3 000	86 54	03/22/11	84 45	2.09	Sale
11/10/11	6 000	174 66	03/22/11	168 90	5.76	Sale
11/16/11	5 000	145 34	03/22/11	140 75	4 59	Sale
	Security total	899.16		844.50	54 66	
ABBOTT LABS / CUSIP· 002824100 / Symbol ABT						
04/21/11	4 000	210 91	03/22/11	192 16	18 75	Sale
06/17/11	3 000	155 57	03/22/11	144.12	11 45	Sale
10/28/11	78 000	4,234.25	03/22/11	3,747 12	487 13	Sale
	Security total	4,600.73		4,083.40	517 33	
ADVANCE AUTO PARTS INC / CUSIP· 00751Y106 / Symbol. AAP						
04/21/11	1.000	66 38	03/22/11	65.09	1.29	Sale
06/17/11	1.000	58 65	03/22/11	65 09	-6.44	Sale
11/09/11	1 000	66 33	03/22/11	65 09	1 24	Sale
11/10/11	1 000	69 25	03/22/11	65 09	4 16	Sale
11/11/11	4 000	281 99	03/22/11	260 36	21 63	Sale
11/16/11	1 000	67 46	03/22/11	65 09	2 37	Sale
	Security total	610 06		585 81	24 25	

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
AECOM TECHNOLOGY CORP DELAWARE / CUSIP 00766T100 / Symbol ACM						
04/21/11	2.000	53 97	03/22/11	54.44	-0 47	Sale
06/17/11	2 000	54 93	03/22/11	54.44	0.49	Sale
11/09/11	2.000	40.29	03/22/11	54.44	-14 15	Sale
11/10/11	1 000	19 95	03/22/11	27 22	-7 27	Sale
11/16/11	2.000	43.05	03/22/11	54.44	-11 39	Sale
	Security total:	212.19		244.98	-32 79	
ALEXANDER & BALDWIN INC / CUSIP· 014482103 / Symbol: ALEX						
04/21/11	1.000	52 48	03/22/11	40 99	11 49	Sale
11/09/11	2.000	79 23	03/22/11	81.98	-2 75	Sale
11/10/11	1.000	38 33	03/22/11	40.99	-2 66	Sale
11/16/11	1 000	39.25	03/22/11	40 99	-1 74	Sale
	Security total.	209.29		204 95	4.34	
ALLERGAN INC / CUSIP· 018490102 / Symbol· AGN						
11/10/11	1.000	82.70	09/23/11	82.10	0 60	Sale
11/16/11	1.000	84 03	09/23/11	82 10	1 93	Sale
	Security total:	166 73		164.20	2 53	
ALTRIA GROUP INC / CUSIP 02209S103 / Symbol· MO						
04/21/11	5.000	130 39	03/22/11	127.40	2 99	Sale
06/17/11	5.000	135 99	03/22/11	127 40	8 59	Sale
11/09/11	1 000	27 12	03/22/11	25 48	1.64	Sale
11/10/11	4.000	110 31	03/22/11	101 92	8 39	Sale
11/16/11	3.000	83 54	03/22/11	76 44	7 10	Sale
	Security total:	487 35		458 64	28.71	
AMAZON COM INC / CUSIP: 023135106 / Symbol AMZN						
06/17/11	1.000	185 91	03/22/11	162.37	23 54	Sale
10/27/11	5.000	1,035.65	03/22/11	811 85	223.80	Sale
11/16/11	1 000	214 90	03/22/11	162 37	52 53	Sale
2 tax lots for 12/15/11. Total proceeds (and cost when required) reported to the IRS.						
	3 000	*545.80*	*03/22/11*	*487 11*	*58 69*	*Sale*
	1 000	*181 93*	*06/27/11*	*201 99*	*-20 06*	*Sale*
12/15/11	4.000	727 73	VARIOUS	689.10	38.63	Total of 2 lots

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

(continued)

2011

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP / Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of* stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (not reported to the IRS)	Additional Information (not reported to the IRS)
AMAZON COM INC / CUSIP: 023135106 / Symbol. AMZN (Cont'd)						
2 tax lots for 12/22/11. Total proceeds (and cost when required) reported to the IRS						
	1.000	*178 39*	*06/27/11*	*201.99*	*-23.60*	*Sale*
	1.000	*178 39*	*09/15/11*	*224.68*	*-46 29*	*Sale*
12/22/11	2 000	356.78	VARIOUS	426.67	-69 89	Total of 2 lots
Security total		2,520 97		2,252.36	268 61	
AMERICAN EXPRESS CO / CUSIP· 025816109 / Symbol AXP						
11/09/11	3.000	149 06	05/26/11	152.55	-3 49	Sale
2 tax lots for 11/10/11. Total proceeds (and cost when required) reported to the IRS						
	2.000	*97.71*	*05/26/11*	*101 70*	*-3.99*	*Sale*
	1 000	*48.85*	*06/23/11*	*48 84*	*0 01*	*Sale*
11/10/11	3.000	146 56	VARIOUS	150 54	-3 98	Total of 2 lots
Security total.		295 62		303.09	-7 47	
AMERICAN FINL GROUP INC OHIO / CUSIP 025932104 / Symbol AFG						
04/21/11	2 000	69.47	03/22/11	69.28	0 19	Sale
06/07/11	11.000	379 70	03/22/11	381.04	-1 34	Sale
06/17/11	1 000	34 68	03/22/11	34.64	0.04	Sale
11/10/11	1 000	35 53	03/22/11	34 64	0.89	Sale
11/16/11	1 000	35 96	03/22/11	34.64	1.32	Sale
Security total·		555 34		554.24	1 10	
AMERICAN TOWER CORP CL A / CUSIP. 029912201						
04/07/11	13 000	659 44	03/22/11	628 29	31.15	Sale
06/17/11	1 000	50 40	03/22/11	48.33	2 07	Sale
09/21/11	7 000	381 92	03/22/11	338.31	43 61	Sale
11/16/11	2 000	115 75	03/22/11	96 66	19.09	Sale
Security total		1,207.51		1,111 59	95 92	
ANIXTER INTL INC / CUSIP 035290105 / Symbol AXE						
04/21/11	1 000	73 27	03/22/11	68 37	4.90	Sale
06/17/11	1.000	61 80	03/22/11	68.37	-6 57	Sale
11/16/11	1.000	60 32	03/22/11	68.37	-8.05	Sale
Security total·		195 39		205 11	-9 72	

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
APACHE CORP / CUSIP 037411105 / Symbol· APA						
04/21/11	1 000	123 67	03/22/11	125 42	-1.75	Sale
06/17/11	1 000	116.97	03/22/11	125 42	-8 45	Sale
09/08/11	4 000	392 94	03/22/11	501 68	-108.74	Sale
2 tax lots for 10/04/11 Total proceeds (and cost when required) reported to the IRS						
	1.000	*75.32*	*03/22/11*	*125.42*	*-50.10*	*Sale*
	4.000	*301 31*	*04/05/11*	*524 64*	*-223 33*	*Sale*
10/04/11	5.000	376 63	VARIOUS	650 06	-273.43	Total of 2 lots
Security total·		1,010 21		1,402 58	-392.37	
APPLE INC / CUSIP 037833100 / Symbol AAPL						
04/05/11	5 000	1,704 57	03/22/11	1,700 95	3 62	Sale
04/21/11	1.000	351 61	03/22/11	340.19	11.42	Sale
11/10/11	1 000	383 69	03/22/11	340.19	43.50	Sale
12/01/11	2.000	776 20	03/22/11	680.38	95 82	Sale
Security total.		3,216 07		3,061.71	154.36	
APPLIED MATLS INC / CUSIP 038222105 / Symbol AMAT						
04/21/11	9.000	137.06	03/22/11	136.35	0 71	Sale
06/17/11	9.000	111 59	03/22/11	136 35	-24 76	Sale
11/09/11	4.000	48 79	03/22/11	60 60	-11 81	Sale
11/10/11	6 000	73 13	03/22/11	90 90	-17 77	Sale
11/16/11	6.000	76 13	03/22/11	90 90	-14 77	Sale
Security total		446 70		515 10	-68 40	
ASHLAND INC NEW / CUSIP 044209104 / Symbol. ASH						
04/12/11	23.000	1,301 68	03/22/11	1,331 01	-29 33	Sale
BOK FINL CORP COM NEW / CUSIP. 05561Q201 / Symbol. BOKF						
04/21/11	1 000	50.58	03/22/11	51 69	-1 11	Sale
06/17/11	1 000	52 39	03/22/11	51 69	0 70	Sale
11/10/11	1 000	52 60	03/22/11	51 69	0 91	Sale
11/16/11	1 000	54 06	03/22/11	51 69	2 37	Sale
12/28/11	6 000	329 75	03/22/11	310 14	19 61	Sale
Security total·		539.38		516 90	22 48	

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Proceeds from Broker and Barter Exchange Transactions

(continued)

2011

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	These columns are not reported to the IRS Gain or loss	Additional information
BAIDU INC SPON ADR REP A / CUSIP· 056752108 / Symbol. BIDU						
04/29/11	4.000	598.47	03/22/11	505 92	92.55	Sale
05/16/11	3 000	385 04	03/22/11	379 44	5 60	Sale
10/03/11	5 000	527.82	03/22/11	632 40	-104 58	Sale
12/16/11	3 000	346 55	03/31/11	413 05	-66 50	Sale
	Security total.	1,857 88		1,930.81	-72 93	
BHP BILLITON LTD SPONSORED ADR / CUSIP 088606108 / Symbol BHP						
04/21/11	1.000	101 86	03/22/11	88.57	13 29	Sale
05/13/11	9.000	834 98	03/22/11	797 13	37 85	Sale
	Security total.	936 84		885 70	51 14	
BLACKROCK INC / CUSIP 09247X101 / Symbol. BLK						
11/10/11	1 000	158 94	10/28/11	170.00	-11.06	Sale
11/16/11	1 000	164 40	10/28/11	170 00	-5 60	Sale
	Security total.	323 34		340 00	-16 66	
BOEING CO / CUSIP. 097023105 / Symbol. BA						
04/21/11	1 000	75 50	03/22/11	72 03	3.47	Sale
06/17/11	2 000	148 53	03/22/11	144 06	4 47	Sale
08/08/11	17 000	1,008.93	03/22/11	1,224 51	-215.58	Sale
11/10/11	1 000	64 63	04/29/11	79 97	-15.34	Sale
	Security total	1,297 59		1,520 57	-222.98	
BRISTOL MYERS SQUIBB CO / CUSIP 110122108 / Symbol. BMY						
04/21/11	7.000	195 15	03/22/11	184 45	10 70	Sale
06/17/11	6 000	165 47	03/22/11	158 10	7.37	Sale
08/02/11	137.000	3,850 28	03/22/11	3,609 95	240 33	Sale
	Security total	4,210 90		3,952 50	258 40	
CSX CORP / CUSIP. 126408103 / Symbol CSX						
04/21/11	2 000	149 93	03/22/11	156 38	-6 45	Sale
2 tax lots for 08/25/11 Total proceeds (and cost when required) reported to the IRS						
	17.000	*358 85*	*03/22/11*	*443 08*	*-84 23*	*Sale*
	25.000	*527.72*	*03/22/11*	*651 58*	*-123 86*	*Sale*
08/25/11	42 000	886 57	VARIOUS	1,094 66	-208 09	Total of 2 lots

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Proceeds from Broker and Barter Exchange Transactions

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8 - *SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS*

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots. COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
CSX CORP / CUSIP 126408103 / Symbol CSX (Cont'd)						
09/22/11	23 000	427.79	03/22/11	599 46	-171 67	Sale
09/23/11	10 000	190 99	03/22/11	260 63	-69 64	Sale
	Security total	1,655 28		2,111.13	-455.85	
CVS CAREMARK CORPORATION / CUSIP: 126650100 / Symbol. CVS						
11/09/11	6.000	230 27	06/03/11	228 12	2.15	Sale
11/10/11	3.000	115.01	06/03/11	114.06	0.95	Sale
11/16/11	1.000	38 91	06/03/11	38.02	0 89	Sale
	Security total:	384 19		380 20	3 99	
CAPITAL ONE FINL CORP / CUSIP: 14040H105 / Symbol: COF						
04/21/11	1 000	53 76	03/22/11	50.64	3 12	Sale
06/17/11	2.000	97 55	03/22/11	101 28	-3.73	Sale
08/09/11	8.000	303.20	03/22/11	405 12	-101.92	Sale
09/21/11	5 000	214 09	03/22/11	253 20	-39.11	Sale
11/09/11	1.000	44.60	03/22/11	50.64	-6 04	Sale
	Security total·	713 20		860.88	-147 68	
CARLISLE COS INC / CUSIP 142339100 / Symbol· CSL						
04/21/11	2.000	86.97	03/22/11	86 04	0 93	Sale
05/13/11	6.000	293 03	03/22/11	258.12	34 91	Sale
06/17/11	1.000	46 58	03/22/11	43 02	3 56	Sale
11/10/11	1.000	42 76	03/22/11	43.02	-0 26	Sale
11/16/11	8.000	356 66	03/22/11	344.16	12 50	Sale
	Security total·	826.00		774.36	51 64	
CENTURYLINK INC / CUSIP 156700106 / Symbol CTL						
04/21/11	5.000	198 29	03/22/11	204.60	-6 31	Sale
06/17/11	4.000	158 75	03/22/11	163 68	-4 93	Sale
	Security total·	357 04		368 28	-11 24	
CHEVRON CORP NEW / CUSIP 166764100 / Symbol· CVX						
04/21/11	3.000	323 09	03/22/11	316 92	6 17	Sale
06/17/11	2.000	198 93	03/22/11	211.28	-12 35	Sale
08/09/11	4 000	354 32	04/18/11	416.33	-62 01	Sale
08/10/11	4 000	368 79	04/18/11	416 33	-47 54	Sale

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Proceeds from Broker and Barter Exchange Transactions

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8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional information
CHEVRON CORP NEW / CUSIP 166764100 / Symbol: CVX (Cont'd)						
09/28/11	21 000	1,958 91	03/22/11	2,218 44	-259.53	Sale
11/10/11	1.000	105.14	03/22/11	105 64	-0 50	Sale
11/16/11	1 000	102 91	03/22/11	105 64	-2.73	Sale
	Security total	3,412 09		3,790.58	-378 49	
CHUBB CORP / CUSIP 171232101 / Symbol· CB						
04/21/11	3 000	184 73	03/22/11	178 08	6 65	Sale
06/17/11	3 000	188 36	03/22/11	178.08	10 28	Sale
06/24/11	58 000	3,523.48	03/22/11	3,442 88	80 60	Sale
	Security total:	3,896 57		3,799.04	97 53	
CISCO SYS INC / CUSIP 17275R102 / Symbol. CSCO						
11/09/11	2.000	35 19	10/12/11	34 60	0 59	Sale
11/10/11	2.000	37 25	10/12/11	34 60	2.65	Sale
11/16/11	14.000	267 67	10/12/11	242.23	25 44	Sale
12/22/11	18 000	326 51	10/12/11	311 44	15 07	Sale
	Security total	666 62		622.87	43 75	
CITIGROUP INC / CUSIP. 172967101						
04/21/11	17.000	76 83	03/22/11	75.14	1 69	Sale
CITIGROUP INC COM NEW / CUSIP 172967424 / Symbol C						
05/24/11	0 000	20 81	05/24/11	0 00	20 81	Cash in lieu
06/09/11	15.000	564 58	03/22/11	663 00	-98 42	Sale
06/17/11	1.000	38 18	03/22/11	44 20	-6 02	Sale
11/09/11	1.000	29.27	03/22/11	44 20	-14 93	Sale
11/10/11	2.000	57 05	03/22/11	88 40	-31 35	Sale
11/16/11	2.000	55 31	03/22/11	88 40	-33 09	Sale
	Security total·	765.20		928 20	-163 00	
COACH INC / CUSIP 189754104 / Symbol COH						
11/09/11	1 000	62 79	10/03/11	50 73	12 06	Sale
CONOCOPHILLIPS / CUSIP 20825C104 / Symbol COP						
04/21/11	2.000	161 49	03/22/11	154 78	6 71	Sale
05/04/11	10.000	738 87	03/22/11	773 90	-35 03	Sale

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Proceeds from Broker and Barter Exchange Transactions

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(continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
CONOCOPHILLIPS / CUSIP 20825C104 / Symbol COP (Cont'd)						
2 tax lots for 05/13/11. Total proceeds (and cost when required) reported to the IRS.						
	1 000	*71 42*	*03/22/11*	*77 39*	*-5.97*	*Sale*
	4.000	*285.71*	*03/23/11*	*313.60*	*-27 89*	*Sale*
05/13/11	5 000	357.13	VARIOUS	390.99	-33 86	Total of 2 lots
06/17/11	1 000	71.96	03/23/11	78.40	-6 44	Sale
08/09/11	6 000	366 71	03/23/11	470 40	-103 69	Sale
08/10/11	5.000	319 44	03/23/11	392 00	-72 56	Sale
11/09/11	2 000	140 59	09/28/11	128.48	12 11	Sale
11/10/11	1.000	71 13	09/28/11	64 24	6 89	Sale
11/16/11	1 000	71.03	09/28/11	64 24	6.79	Sale
	Security total	2,298 35		2,517.43	-219.08	
CULLEN FROST BANKERS INC / CUSIP 229899109 / Symbol: CFR						
04/21/11	1 000	59 66	03/22/11	57.97	1 69	Sale
06/17/11	1.000	56 59	03/22/11	57 97	-1 38	Sale
11/09/11	1 000	49 79	03/22/11	57 97	-8 18	Sale
11/16/11	1 000	50 84	03/22/11	57.97	-7 13	Sale
	Security total	216.88		231.88	-15.00	
DST SYS INC DEL / CUSIP· 233326107 / Symbol. DST						
04/21/11	1 000	48 91	03/22/11	50 60	-1 69	Sale
06/17/11	2.000	102.69	03/22/11	101.20	1 49	Sale
11/10/11	1 000	48 16	03/22/11	50.60	-2 44	Sale
11/16/11	1 000	49 43	03/22/11	50 60	-1 17	Sale
	Security total	249 19		253.00	-3 81	
DENBURY RES INC COM NEW / CUSIP 247916208 / Symbol· DNR						
04/21/11	2 000	45.79	03/22/11	47.98	-2 19	Sale
06/17/11	2 000	37 37	03/22/11	47 98	-10 61	Sale
11/07/11	22 000	381 47	03/22/11	527.78	-146 31	Sale
11/09/11	1 000	16.64	10/06/11	11.84	4 80	Sale
11/10/11	2.000	33 27	03/22/11	47 98	-14 71	Sale
11/16/11	2 000	35 11	03/22/11	47 98	-12 87	Sale
	Security total	549 65		731 54	-181 89	

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Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	These columns are not reported to the IRS Gain or loss	Additional Information
DISNEY WALT CO COM DISNEY / CUSIP· 254687106 / Symbol· DIS						
04/21/11	3 000	126 80	03/22/11	124.47	2.33	Sale
06/17/11	2 000	76.41	03/22/11	82.98	-6 57	Sale
08/05/11	22 000	775.48	03/22/11	912.78	-137 30	Sale
10/04/11	11 000	319 65	03/22/11	456.39	-136 74	Sale
	Security total	1,298 34		1,576.62	-278.28	
DIRECTV COM CL A / CUSIP 25490A101 / Symbol: DTV						
04/21/11	3 000	141.30	03/22/11	135 36	5 94	Sale
06/17/11	2 000	93 13	03/22/11	90.24	2 89	Sale
11/09/11	1 000	44 87	03/22/11	45.12	-0 25	Sale
11/10/11	2 000	90.39	03/22/11	90 24	0 15	Sale
11/16/11	2.000	93.97	03/22/11	90.24	3 73	Sale
12/22/11	9 000	385 19	03/22/11	406.08	-20.89	Sale
	Security total:	848 85		857 28	-8.43	
DOW CHEM CO / CUSIP· 260543103 / Symbol. DOW						
04/21/11	2 000	78 59	03/22/11	73 24	5.35	Sale
06/17/11	1.000	34 59	03/22/11	36.62	-2.03	Sale
09/08/11	11 000	293 91	03/22/11	402 82	-108.91	Sale
09/22/11	11 000	251 34	03/22/11	402.82	-151.48	Sale
11/09/11	1 000	27 23	08/10/11	28 73	-1 50	Sale
11/10/11	3 000	81 74	08/10/11	86 18	-4.44	Sale
11/16/11	3 000	82 28	08/10/11	86 18	-3.90	Sale
	Security total	849 68		1,116.59	-266 91	
DU PONT E I DE NEMOURS & CO / CUSIP 263534109 / Symbol DD						
04/21/11	2 000	111 27	03/22/11	107 46	3 81	Sale
05/16/11	8 000	425 99	03/22/11	429.84	-3 85	Sale
06/17/11	1 000	49 69	03/22/11	53 73	-4 04	Sale
09/29/11	12 000	487 77	03/22/11	644 76	-156 99	Sale
	Security total:	1,074 72		1,235 79	-161 07	
E M C CORP MASS / CUSIP 268648102 / Symbol. EMC						
06/17/11	4 000	103 83	04/25/11	113.26	-9 43	Sale
08/19/11	28.000	569 50	04/25/11	792 81	-223 31	Sale
11/09/11	3 000	72 20	04/25/11	84 94	-12 74	Sale

Oppenheimer & Co. Inc.

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Proceeds from Broker and Barter Exchange Transactions

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8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of* stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
E M C CORP MASS / CUSIP 268648102 / Symbol. EMC (Cont'd)						
11/10/11	2.000	47.91	04/25/11	56.63	-8.72	Sale
11/16/11	2.000	48.99	04/25/11	56 63	-7 64	Sale
	Security total.	842 43		1,104.27	-261 84	
EQT CORP / CUSIP· 26884L109 / Symbol: EQT						
04/21/11	1 000	47 20	03/22/11	47.76	-0 56	Sale
06/17/11	1.000	50 39	03/22/11	47 76	2 63	Sale
07/19/11	6 000	361 19	03/22/11	286.56	74 63	Sale
08/03/11	12 000	720.70	03/22/11	573.12	147 58	Sale
	Security total.	1,179 48		955.20	224 28	
ENSCO PLC SPONSORED ADR / CUSIP 29358Q109 / Symbol. ESV						
11/09/11	1.000	51 05	09/29/11	40.79	10 26	Sale
11/10/11	1 000	50 79	09/29/11	40 79	10.00	Sale
11/16/11	1 000	53 08	09/29/11	40.79	12 29	Sale
	Security total	154 92		122 37	32 55	
EXPRESS SCRIPTS INC / CUSIP: 302182100 / Symbol: ESRX						
04/05/11	18.000	1,026 29	03/22/11	956.70	69.59	Sale
04/21/11	1 000	56 21	03/22/11	53.15	3 06	Sale
06/17/11	1 000	55 76	03/22/11	53.15	2 61	Sale
10/12/11	18 000	740.29	03/22/11	956.70	-216 41	Sale
11/10/11	1 000	46 92	03/22/11	53.15	-6 23	Sale
11/16/11	1.000	45 91	08/03/11	51.12	-5 21	Sale
	Security total	1,971 38		2,123 97	-152 59	
EXXON MOBIL CORP / CUSIP 30231G102 / Symbol. XOM						
04/21/11	2 000	171 89	03/22/11	164.92	6 97	Sale
2 tax lots for 06/17/11 Total proceeds (and cost when required) reported to the IRS						
	2 000	*158 31*	*03/22/11*	*164 92*	*-6 61*	*Sale*
	1.000	*79 15*	*04/07/11*	*85 50*	*-6 35*	*Sale*
06/17/11	3 000	237 46	VARIOUS	250 42	-12 96	Total of 2 lots
11/16/11	1.000	79 58	03/22/11	82 46	-2 88	Sale
	Security total	488 93		497 80	-8 87	

Oppenheimer & Co. Inc.

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Proceeds from Broker and Barter Exchange Transactions

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8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional information
F M C CORP COM NEW / CUSIP· 302491303 / Symbol: FMC						
04/21/11	1.000	87.73	03/22/11	79.64	8 09	Sale
06/17/11	1 000	80 07	03/22/11	79.64	0 43	Sale
11/16/11	1.000	82 66	03/22/11	79.64	3 02	Sale
	Security total:	250 46		238.92	11 54	
FEDERATED INVS INC PA CL B / CUSIP. 314211103 / Symbol· FII						
04/21/11	2 000	52.33	03/22/11	52.46	-0 13	Sale
06/17/11	2 000	49 05	03/22/11	52 46	-3 41	Sale
09/26/11	45 000	810 01	03/22/11	1,180 35	-370 34	Sale
	Security total:	911 39		1,285.27	-373.88	
FORD MTR CO DEL COM PAR $0.01 / CUSIP. 345370860 / Symbol F						
04/15/11	40 000	588 38	03/22/11	574 40	13.98	Sale
04/21/11	6.000	92 03	03/22/11	86 16	5.87	Sale
06/17/11	5.000	63 90	03/22/11	71 80	-7 90	Sale
07/11/11	28.000	372.39	03/22/11	402 08	-29.69	Sale
08/05/11	82 000	892 14	03/22/11	1,177.51	-285 37	Sale
	Security total:	2,008.84		2,311 95	-303.11	
FREEPORT-MCMORAN COPPER & GOLD / CUSIP: 35671D857 / Symbol FCX						
04/18/11	12.000	607 54	03/22/11	626 52	-18 98	Sale
06/16/11	17 000	802.72	03/22/11	887 57	-84 85	Sale
	Security total·	1,410 26		1,514 09	-103 83	
FULTON FINL CORP PA / CUSIP. 360271100 / Symbol FULT						
04/21/11	7 000	76.15	03/22/11	76 49	-0 34	Sale
06/17/11	5 000	53 74	03/22/11	54 64	-0 90	Sale
	Security total	129.89		131 13	-1 24	
GENERAL ELECTRIC CO / CUSIP. 369604103 / Symbol GE						
11/16/11	4 000	64.59	10/26/11	65 62	-1 03	Sale
GENERAL MTRS CO / CUSIP 37045V100 / Symbol. GM						
04/21/11	2.000	61 07	03/22/11	61 42	-0 35	Sale

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Proceeds from Broker and Barter Exchange Transactions

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8 - *SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS*

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
GENERAL MTRS CO / CUSIP 37045V100 / Symbol GM (Cont'd)						
2 tax lots for 06/03/11. Total proceeds (and cost when required) reported to the IRS.						
	21.000	*610 40*	*03/22/11*	*644.91*	*-34 51*	*Sale*
	14 000	*406.94*	*04/05/11*	*458 28*	*-51 34*	*Sale*
06/03/11	35 000	1,017 34	VARIOUS	1,103.19	-85 85	Total of 2 lots
11/09/11	1 000	22.63	10/25/11	25.01	-2 38	Sale
11/10/11	2.000	44.53	10/25/11	50.02	-5 49	Sale
	Security total:	1,145.57		1,239.64	-94 07	
GENUINE PARTS CO / CUSIP· 372460105 / Symbol GPC						
04/21/11	3.000	156 83	03/22/11	157 05	-0 22	Sale
06/17/11	3 000	154.67	03/22/11	157 05	-2 38	Sale
10/25/11	62 000	3,538 10	03/22/11	3,245.70	292.40	Sale
	Security total:	3,849 60		3,559.80	289 80	
GILEAD SCIENCES INC / CUSIP: 375558103 / Symbol: GILD						
12/23/11	2.000	78 19	12/06/11	80 00	-1.81	Sale
GOLDMAN SACHS GROUP INC / CUSIP 38141G104 / Symbol GS						
05/16/11	4.000	565 66	03/22/11	642 16	-76 50	Sale
08/09/11	3 000	339.12	03/22/11	481.62	-142 50	Sale
09/06/11	9 000	940 03	03/22/11	1,444.86	-504 83	Sale
	Security total.	1,844 81		2,568 64	-723 83	
GOODRICH CORP / CUSIP: 382388106 / Symbol GR						
04/12/11	10 000	835 24	03/22/11	841 00	-5 76	Sale
GOOGLE INC CL A / CUSIP 38259P508 / Symbol GOOG						
04/07/11	2 000	1,155 68	03/22/11	1,153 40	2 28	Sale
04/18/11	1 000	523 79	03/22/11	576.70	-52 91	Sale
06/21/11	1 000	492 87	03/22/11	576 70	-83 83	Sale
09/02/11	1.000	521 38	03/22/11	576 70	-55 32	Sale
11/09/11	1 000	601 65	03/22/11	576.70	24 95	Sale
	Security total	3,295 37		3,460 20	-164 83	

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Proceeds from Broker and Barter Exchange Transactions

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(continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	These columns are not reported to the IRS Gain or loss	Additional Information
GREAT PLAINS ENERGY INC / CUSIP: 391164100 / Symbol: GXP						
04/21/11	2.000	39.93	03/22/11	38 70	1.23	Sale
06/17/11	2 000	41.73	03/22/11	38 70	3 03	Sale
10/25/11	17 000	351 72	03/22/11	328 95	22 77	Sale
	Security total:	433 38		406.35	27 03	
GREIF INC CL A / CUSIP· 397624107 / Symbol. GEF						
11/10/11	1.000	47 26	08/09/11	49.58	-2 32	Sale
GUESS INC / CUSIP. 401617105 / Symbol GES						
04/21/11	2.000	79 71	03/22/11	75 70	4 01	Sale
06/17/11	1.000	41.06	03/22/11	37 85	3.21	Sale
11/09/11	1.000	29 66	03/22/11	37 85	-8.19	Sale
11/10/11	1 000	29 85	03/22/11	37.85	-8.00	Sale
11/16/11	1 000	30 75	03/22/11	37 85	-7.10	Sale
	Security total·	211 03		227 10	-16.07	
HCC INS HLDGS INC / CUSIP 404132102 / Symbol: HCC						
04/21/11	2 000	64 15	03/22/11	62.32	1 83	Sale
06/17/11	1.000	31 29	03/22/11	31 16	0.13	Sale
11/01/11	33.000	854 07	03/22/11	1,028.28	-174 21	Sale
	Security total·	949 51		1,121 76	-172.25	
HALLIBURTON CO / CUSIP 406216101 / Symbol HAL						
04/21/11	1 000	50 42	03/22/11	45.39	5 03	Sale
06/17/11	2.000	91 67	03/22/11	90 78	0 89	Sale
09/22/11	11 000	361 56	03/22/11	499 29	-137 73	Sale
11/10/11	1.000	37 10	03/22/11	45.39	-8 29	Sale
11/16/11	1.000	40 07	03/22/11	45.39	-5 32	Sale
2 tax lots for 11/25/11 Total proceeds (and cost when required) reported to the IRS						
	6 000	*194.21*	*03/22/11*	*272 34*	*-78 13*	*Sale*
	3 000	*97 10*	*04/26/11*	*152 34*	*-55 24*	*Sale*
11/25/11	9 000	291 31	VARIOUS	424.68	-133 37	Total of 2 lots
12/19/11	5 000	154 35	04/26/11	253 90	-99 55	Sale
	Security total·	1,026 48		1,404 82	-378 34	

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Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
HEWLETT PACKARD CO / CUSIP. 428236103 / Symbol HPQ						
04/21/11	1 000	40 86	03/22/11	41 49	-0 63	Sale
05/18/11	29 000	1,049 19	03/22/11	1,203 21	-154 02	Sale
	Security total.	1,090.05		1,244.70	-154 65	
HOLOGIC INC / CUSIP 436440101 / Symbol· HOLX						
03/23/11	29 000	630.36	03/22/11	637.13	-6.77	Sale
06/17/11	1 000	19 75	03/22/11	21 97	-2 22	Sale
11/09/11	1.000	17.03	03/22/11	21.97	-4.94	Sale
11/10/11	2 000	34 05	03/22/11	43.94	-9 89	Sale
11/16/11	2 000	35 80	03/22/11	43.94	-8 14	Sale
	Security total.	736 99		768 95	-31 96	
HOME DEPOT INC / CUSIP 437076102 / Symbol: HD						
11/10/11	1.000	37 05	10/20/11	35.79	1 26	Sale
11/16/11	1 000	38 45	10/20/11	35 79	2 66	Sale
	Security total:	75 50		71 58	3 92	
ILLINOIS TOOL WKS INC / CUSIP: 452308109 / Symbol ITW						
11/09/11	1 000	46 45	08/11/11	45.13	1 32	Sale
11/10/11	2.000	92 01	08/11/11	90 27	1 74	Sale
11/16/11	2 000	92 17	08/11/11	90 27	1.90	Sale
	Security total	230 63		225 67	4 96	
INTEL CORP / CUSIP. 458140100 / Symbol INTC						
04/21/11	10.000	214 59	03/22/11	200 77	13 82	Sale
06/17/11	12.000	254 27	03/22/11	240.93	13 34	Sale
2 tax lots for 11/09/11 Total proceeds (and cost when required) reported to the IRS						
	3 000	*71 69*	*03/22/11*	*60 23*	*11 46*	*Sale*
	3 000	*71 69*	*09/29/11*	*65 76*	*5 93*	*Sale*
11/09/11	6 000	143.38	VARIOUS	125 99	17 39	Total of 2 lots
2 tax lots for 11/10/11. Total proceeds (and cost when required) reported to the IRS						
	8 000	*191 59*	*03/22/11*	*160 62*	*30 97*	*Sale*
	4 000	*95 79*	*09/29/11*	*87 68*	*8 11*	*Sale*
11/10/11	12 000	287 38	VARIOUS	248 30	39 08	Total of 2 lots

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Proceeds from Broker and Barter Exchange Transactions

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8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	These columns are not reported to the IRS Gain or loss	Additional Information
INTEL CORP / CUSIP: 458140100 / Symbol: INTC (Cont'd)						
2 tax lots for 11/16/11 Total proceeds (and cost when required) reported to the IRS						
	6.000	*151 85*	*03/22/11*	*120 46*	*31 39*	*Sale*
	1 000	*25.30*	*09/29/11*	*21 92*	*3 38*	*Sale*
11/16/11	7 000	177 15	VARIOUS	142.38	34 77	Total of 2 lots
11/23/11	17 000	387 59	09/29/11	372.64	14 95	Sale
Security total:		1,464 36		1,331.01	133 35	
INTERNATIONAL BUSINESS MACHS / CUSIP 459200101 / Symbol· IBM						
04/21/11	1 000	167 82	03/22/11	158.01	9 81	Sale
06/17/11	1 000	164.40	03/22/11	158.01	6 39	Sale
10/20/11	6 000	1,067 49	03/22/11	948 06	119 43	Sale
11/16/11	1.000	189.63	03/22/11	158.01	31.62	Sale
Security total·		1,589 34		1,422 09	167 25	
IRON MTN INC / CUSIP· 462846106 / Symbol. IRM						
04/04/11	43 000	1,395 33	03/22/11	1,247.43	147.90	Sale
JPMORGAN CHASE & CO COM / CUSIP: 46625H100 / Symbol JPM						
04/21/11	2 000	89.33	03/22/11	90.96	-1.63	Sale
05/16/11	10.000	430.49	03/22/11	454 80	-24 31	Sale
06/17/11	1 000	40 78	03/22/11	45.48	-4 70	Sale
11/09/11	1.000	33 05	03/22/11	45 48	-12 43	Sale
2 tax lots for 11/10/11 Total proceeds (and cost when required) reported to the IRS						
	3 000	*97 73*	*03/22/11*	*136 44*	*-38 71*	*Sale*
	3 000	*97 73*	*06/28/11*	*118 34*	*-20 61*	*Sale*
11/10/11	6 000	195.46	VARIOUS	254 78	-59 32	Total of 2 lots
2 tax lots for 11/16/11 Total proceeds (and cost when required) reported to the IRS						
	2.000	*64.63*	*03/22/11*	*90 96*	*-26 33*	*Sale*
	2 000	*64.63*	*06/28/11*	*78 90*	*-14 27*	*Sale*
11/16/11	4 000	129 26	VARIOUS	169 86	-40 60	Total of 2 lots
Security total		918 37		1,061 36	-142 99	

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Proceeds from Broker and Barter Exchange Transactions
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8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS
Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	These columns are not reported to the IRS Gain or loss	Additional information
JOHNSON & JOHNSON / CUSIP 478160104 / Symbol JNJ						
04/21/11	3.000	191 81	03/22/11	176.49	15 32	Sale
2 tax lots for 06/17/11 Total proceeds (and cost when required) reported to the IRS						
	3.000	*199.55*	*03/22/11*	*176 49*	*23 06*	*Sale*
	2.000	*133 03*	*05/04/11*	*131 50*	*1 53*	*Sale*
06/17/11	5.000	332 58	VARIOUS	307 99	24 59	Total of 2 lots
10/27/11	19 000	1,242.92	05/04/11	1,249.22	-6 30	Sale
2 tax lots for 11/10/11. Total proceeds (and cost when required) reported to the IRS.						
	4.000	*256.39*	*03/22/11*	*235 32*	*21 07*	*Sale*
	1.000	*64 09*	*05/04/11*	*65 75*	*-1 66*	*Sale*
11/10/11	5.000	320 48	VARIOUS	301 07	19.41	Total of 2 lots
2 tax lots for 11/16/11. Total proceeds (and cost when required) reported to the IRS.						
	2.000	*129.97*	*03/22/11*	*117.66*	*12 31*	*Sale*
	1 000	*64.98*	*05/13/11*	*66 30*	*-1 32*	*Sale*
11/16/11	3.000	194 95	VARIOUS	183 96	10 99	Total of 2 lots
	Security total	2,282 74		2,218 73	64 01	
JUNIPER NETWORKS INC / CUSIP· 48203R104 / Symbol: JNPR						
06/17/11	1.000	29 45	05/13/11	39.77	-10 32	Sale
09/19/11	21 000	416 73	05/13/11	835 17	-418 44	Sale
	Security total.	446 18		874.94	-428 76	
KELLOGG CO / CUSIP 487836108 / Symbol K						
04/21/11	3 000	165 92	03/22/11	162.00	3 92	Sale
06/17/11	3.000	165 26	03/22/11	162 00	3 26	Sale
07/14/11	59.000	3,268 51	03/22/11	3,186 00	82 51	Sale
	Security total:	3,599 69		3,510.00	89 69	
KOHLS CORP / CUSIP 500255104 / Symbol KSS						
11/10/11	1.000	55 44	09/29/11	48 26	7 18	Sale
11/16/11	1.000	56 14	09/29/11	48 26	7 88	Sale
	Security total	111 58		96 52	15 06	

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Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
KRAFT FOODS INC CL A / CUSIP: 50075N104 / Symbol· KFT						
11/10/11	3.000	105 11	09/08/11	105.48	-0 37	Sale
11/16/11	1.000	35.53	09/08/11	35.16	0.37	Sale
	Security total	140.64		140.64	0 00	
KROGER CO / CUSIP: 501044101 / Symbol KR						
04/21/11	2 000	48 93	03/22/11	47.16	1 77	Sale
06/17/11	2 000	48.11	03/22/11	47 16	0.95	Sale
11/09/11	1.000	22 79	03/22/11	23 58	-0 79	Sale
11/10/11	1 000	22 86	03/22/11	23.58	-0 72	Sale
11/16/11	2.000	45 73	03/22/11	47.16	-1 43	Sale
	Security total	188.42		188 64	-0.22	
LENDER PROCESSING SVCS INC / CUSIP· 52602E102 / Symbol· LPS						
04/21/11	2 000	56.55	03/22/11	65.04	-8 49	Sale
06/17/11	2 000	41 03	03/22/11	65 04	-24 01	Sale
11/09/11	3 000	56 18	03/22/11	97.56	-41 38	Sale
11/10/11	1.000	19 37	03/22/11	32.52	-13.15	Sale
11/16/11	2 000	38 97	03/22/11	65 04	-26 07	Sale
	Security total	212 10		325 20	-113 10	
LIBERTY MEDIA CORPORATION LIB STAR COM A / CUSIP 530322304 / Symbol· LSTZA						
09/29/11	6 000	386 98	03/22/11	462 96	-75 98	Sale
11/10/11	1.000	63 30	03/22/11	77 16	-13 86	Sale
4 tax lots for 11/22/11. Total proceeds (and cost when required) reported to the IRS						
	3 000	*195 44*	*03/22/11*	*231.48*	*-36 04*	*Sale*
	2 000	*130 29*	*08/09/11*	*136.06*	*-5 77*	*Sale*
	4.000	*260 60*	*09/07/11*	*268 10*	*-7.50*	*Sale*
	7 000	*456 05*	*10/14/11*	*448 63*	*7 42*	*Sale*
11/22/11	16 000	1,042 38	VARIOUS	1,084 27	-41 89	Total of 4 lots
	Security total.	1,492 66		1,624 39	-131 73	
LIBERTY MEDIA CORP NEW LIB STAR COM A / CUSIP 53071M708						
04/21/11	1.000	76 46	03/22/11	77 16	-0 70	Sale
06/17/11	1 000	73 81	03/22/11	77 16	-3 35	Sale
08/03/11	5 000	378 04	03/22/11	385 80	-7 76	Sale

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Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	These columns are not reported to the IRS Gain or loss	Additional information
	Security total	528.31		540 12	-11 81	
LIBERTY PPTY TR SH BEN INT / CUSIP 531172104 / Symbol· LRY						
04/21/11	1 000	34 88	03/22/11	32.33	2 55	Sale
06/17/11	3 000	97 07	03/22/11	96.99	0.08	Sale
11/09/11	2 000	63.01	03/22/11	64.66	-1 65	Sale
11/10/11	1 000	31.11	03/22/11	32.33	-1 22	Sale
11/16/11	1 000	31 73	03/22/11	32 33	-0 60	Sale
	Security total·	257.80		258.64	-0 84	
MARSH & MCLENNAN COS INC / CUSIP. 571748102 / Symbol. MMC						
04/21/11	6.000	178 79	03/22/11	175.14	3.65	Sale
06/17/11	5 000	149.49	03/22/11	145.95	3 54	Sale
11/09/11	3.000	90 86	03/22/11	87 57	3 29	Sale
11/10/11	4 000	121 23	03/22/11	116 76	4 47	Sale
11/16/11	3 000	90.71	03/22/11	87 57	3 14	Sale
	Security total.	631 08		612.99	18 09	
MCCORMICK & CO INC COM NON VTG / CUSIP. 579780206 / Symbol MKC						
06/17/11	1 000	49 94	03/22/11	49 02	0.92	Sale
11/10/11	1 000	48 54	03/22/11	49 02	-0 48	Sale
	Security total·	98 48		98 04	0 44	
MCDONALDS CORP / CUSIP 580135101 / Symbol MCD						
06/17/11	1 000	82.63	03/22/11	73.66	8 97	Sale
11/16/11	1.000	94 01	03/22/11	73 66	20 35	Sale
	Security total	176 64		147.32	29 32	
MCGRAW HILL COS INC / CUSIP 580645109 / Symbol· MHP						
04/21/11	1 000	39.68	03/22/11	38 56	1 12	Sale
05/13/11	10 000	418 89	03/22/11	385 60	33 29	Sale
06/17/11	1 000	39 37	03/22/11	38.56	0 81	Sale
08/05/11	9 000	377 54	03/22/11	347 04	30 50	Sale
09/20/11	18 000	830 26	03/22/11	694.08	136 18	Sale
	Security total	1,705 74		1,503 84	201 90	

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Proceeds from Broker and Barter Exchange Transactions

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8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
MERCK & CO INC NEW / CUSIP: 58933Y105 / Symbol MRK						
06/17/11	4 000	141 43	05/19/11	149.06	-7.63	Sale
11/09/11	3.000	101 09	05/19/11	111.79	-10 70	Sale
11/10/11	3.000	104.87	05/19/11	111.79	-6 92	Sale
11/16/11	4 000	141 75	05/19/11	149 06	-7 31	Sale
12/23/11	4 000	151 23	12/20/11	148 28	2 95	Sale
	Security total:	640 37		669.98	-29.61	
METLIFE INC / CUSIP· 59156R108 / Symbol MET						
04/21/11	3.000	132 83	03/22/11	134 73	-1.90	Sale
06/17/11	2.000	80.60	03/22/11	89 82	-9 22	Sale
09/13/11	11.000	337 47	03/22/11	494.01	-156.54	Sale
11/09/11	1 000	32 16	03/22/11	44 91	-12 75	Sale
11/10/11	3.000	96.14	03/22/11	134 73	-38.59	Sale
11/16/11	1.000	32 59	03/22/11	44 91	-12.32	Sale
	Security total.	711.79		943 11	-231.32	
MICROSOFT CORP / CUSIP: 594918104 / Symbol: MSFT						
09/08/11	15.000	394 94	07/12/11	399 40	-4.46	Sale
2 tax lots for 11/10/11 Total proceeds (and cost when required) reported to the IRS						
	3.000	*78.68*	*07/12/11*	*79 88*	*-1 20*	*Sale*
	1.000	*26 22*	*08/08/11*	*24 67*	*1.55*	*Sale*
11/10/11	4.000	104 90	VARIOUS	104 55	0 35	Total of 2 lots
11/16/11	2.000	52.91	07/12/11	53 25	-0 34	Sale
	Security total.	552 75		557 20	-4 45	
MICROCHIP TECHNOLOGY INC / CUSIP 595017104 / Symbol MCHP						
04/21/11	4.000	156 27	03/22/11	144 32	11 95	Sale
06/17/11	4 000	143 03	03/22/11	144.32	-1 29	Sale
11/09/11	2.000	71.01	03/22/11	72 16	-1 15	Sale
11/10/11	2.000	71 35	03/22/11	72 16	-0 81	Sale
11/16/11	3.000	111 47	03/22/11	108 24	3 23	Sale
	Security total:	553 13		541 20	11 93	
MOLEX INC CL A / CUSIP· 608554200 / Symbol. MOLXA						
04/21/11	3 000	63 92	03/22/11	60 96	2 96	Sale

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Proceeds from Broker and Barter Exchange Transactions

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8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
MOLEX INC CL A / CUSIP: 608554200 / Symbol: MOLXA (Cont'd)						
06/17/11	3.000	62 45	03/22/11	60 96	1 49	Sale
11/09/11	2 000	39 33	03/22/11	40.64	-1.31	Sale
11/10/11	2.000	39 75	03/22/11	40 64	-0.89	Sale
11/16/11	2.000	40 37	03/22/11	40 64	-0 27	Sale
	Security total	245 82		243 84	1 98	
MOLSON COORS BREWING CO CL B / CUSIP: 60871R209 / Symbol TAP						
11/10/11	3 000	119 45	07/14/11	133 59	-14.14	Sale
11/16/11	2.000	80 59	07/14/11	89 06	-8.47	Sale
	Security total:	200 04		222 65	-22.61	
MONSANTO CO NEW / CUSIP. 61166W101 / Symbol· MON						
11/16/11	1 000	73.95	11/15/11	74 91	-0.96	Sale
NII HLDGS INC CL B NEW / CUSIP. 62913F201 / Symbol· NIHD						
06/17/11	1.000	39 56	06/07/11	41.20	-1.64	Sale
11/10/11	2.000	46 59	06/07/11	82 39	-35.80	Sale
11/16/11	1 000	23 42	06/07/11	41 20	-17 78	Sale
	Security total	109 57		164.79	-55.22	
NETAPP INC / CUSIP: 64110D104 / Symbol. NTAP						
04/21/11	1 000	50 93	03/22/11	48 05	2 88	Sale
06/17/11	2 000	99 33	03/22/11	96 10	3 23	Sale
08/02/11	13 000	591 30	03/22/11	624 65	-33 35	Sale
2 tax lots for 08/19/11 Total proceeds (and cost when required) reported to the IRS						
	8 000	*286 79*	*03/22/11*	*384 40*	*-97.61*	*Sale*
	9.000	*322.64*	*04/26/11*	*471 69*	*-149 05*	*Sale*
08/19/11	17.000	609.43	VARIOUS	856 09	-246 66	Total of 2 lots
	Security total	1,350 99		1,624.89	-273 90	
NEWS CORP CL A / CUSIP· 65248E104 / Symbol NWSA						
11/09/11	1.000	16 43	07/22/11	16 40	0 03	Sale
11/10/11	5 000	83 54	07/22/11	82 00	1 54	Sale
11/16/11	4 000	68 39	07/22/11	65 60	2 79	Sale
	Security total·	168 36		164 00	4 36	

Oppenheimer & Co. Inc.

Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011

(continued)

8 - *SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS*

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
NOBLE ENERGY INC / CUSIP: 655044105 / Symbol· NBL						
06/17/11	1.000	83 48	03/22/11	96.24	-12 76	Sale
08/16/11	9 000	786.04	03/22/11	866 16	-80.12	Sale
	Security total.	869 52		962 40	-92 88	
NORTHEAST UTILS / CUSIP 664397106 / Symbol NU						
04/21/11	2.000	68.79	03/22/11	68.62	0 17	Sale
06/17/11	1.000	34 73	03/22/11	34.31	0 42	Sale
11/10/11	2.000	68 37	03/22/11	68.62	-0 25	Sale
11/16/11	1.000	34.71	03/22/11	34 31	0 40	Sale
	Security total:	206 60		205.86	0 74	
NOVARTIS A G SPONSORED ADR / CUSIP. 66987V109 / Symbol: NVS						
04/21/11	3 000	170.96	03/22/11	164.64	6.32	Sale
06/17/11	5.000	302 34	03/22/11	274.40	27 94	Sale
11/09/11	1.000	54.67	03/22/11	54.88	-0 21	Sale
11/10/11	3 000	163.91	03/22/11	164.64	-0 73	Sale
11/16/11	2.000	110.87	03/22/11	109.76	1 11	Sale
	Security total.	802.75		768 32	34 43	
NUCOR CORP / CUSIP. 670346105 / Symbol NUE						
04/21/11	4 000	184.63	03/22/11	181 72	2 91	Sale
06/17/11	3 000	118.01	03/22/11	136 29	-18 28	Sale
11/09/11	2.000	75.47	03/22/11	90 86	-15 39	Sale
11/10/11	2.000	76 35	03/22/11	90.86	-14 51	Sale
11/16/11	2 000	79.24	03/22/11	90 86	-11 62	Sale
	Security total	533 70		590 59	-56 89	
OCCIDENTAL PETE CORP DEL / CUSIP· 674599105 / Symbol· OXY						
04/05/11	10 000	1,034 02	03/22/11	1,005 40	28 62	Sale
04/07/11	5 000	505 10	03/22/11	502.70	2 40	Sale
04/13/11	9 000	871 00	03/22/11	904.86	-33 86	Sale
	Security total.	2,410 12		2,412 96	-2 84	
OMNICOM GROUP INC / CUSIP: 681919106 / Symbol OMC						
04/21/11	1 000	48 93	03/22/11	47 44	1 49	Sale
06/17/11	1.000	45 51	03/22/11	47 44	-1 93	Sale

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of* stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (not reported to the IRS)	Additional Information (not reported to the IRS)
OMNICOM GROUP INC / CUSIP 681919106 / Symbol OMC (Cont'd)						
11/09/11	2 000	85 47	03/22/11	94 88	-9 41	Sale
11/10/11	1.000	43 35	03/22/11	47.44	-4 09	Sale
11/16/11	1.000	43 29	03/22/11	47.44	-4.15	Sale
	Security total.	266 55		284.64	-18.09	
ORACLE CORP / CUSIP 68389X105 / Symbol. ORCL						
04/21/11	5 000	173 75	03/22/11	156 09	17 66	Sale
06/17/11	4.000	125 88	03/22/11	124 87	1 01	Sale
08/19/11	31 000	772 57	03/22/11	967 74	-195 17	Sale
11/10/11	3.000	94 85	03/22/11	93 65	1 20	Sale
11/16/11	2 000	65 76	03/22/11	62 43	3 33	Sale
12/19/11	11.000	314 43	03/22/11	343 39	-28.96	Sale
	Security total.	1,547 24		1,748 17	-200 93	
PNC FINL SVCS GROUP INC / CUSIP. 693475105 / Symbol PNC						
2 tax lots for 11/16/11 Total proceeds (and cost when required) reported to the IRS						
	2 000	*108 45*	*08/02/11*	*107 28*	*1.17*	*Sale*
	1.000	*54.22*	*10/27/11*	*56.14*	*-1.92*	*Sale*
11/16/11	3 000	162 67	VARIOUS	163 42	-0 75	Total of 2 lots
PPL CORP / CUSIP 69351T106 / Symbol PPL						
11/09/11	8.000	238 87	09/07/11	226.96	11.91	Sale
11/10/11	5 000	149 25	09/07/11	141 85	7 40	Sale
11/16/11	4 000	118 91	09/07/11	113 48	5 43	Sale
	Security total:	507 03		482 29	24.74	
PALL CORP / CUSIP 696429307 / Symbol PLL						
04/21/11	1 000	57 28	03/22/11	56 55	0 73	Sale
09/02/11	16 000	765 77	03/22/11	904 80	-139.03	Sale
	Security total	823 05		961 35	-138 30	
PATTERSON COMPANIES INC / CUSIP 703395103 / Symbol. PDCO						
04/21/11	2 000	67 69	03/22/11	62 66	5 03	Sale
06/17/11	1 000	32 04	03/22/11	31 33	0 71	Sale
10/18/11	8 000	229 91	03/22/11	250 64	-20 73	Sale

Oppenheimer & Co. Inc.

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Proceeds from Broker and Barter Exchange Transactions

2011

(continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	These columns are not reported to the IRS Gain or loss	Additional Information
PATTERSON COMPANIES INC / CUSIP· 703395103 / Symbol· PDCO (Cont'd)						
11/10/11	1.000	29 90	03/22/11	31 33	-1 43	Sale
11/16/11	1 000	30 15	03/22/11	31 33	-1 18	Sale
	Security total	389 69		407 29	-17.60	
PEABODY ENERGY CORP / CUSIP 704549104 / Symbol BTU						
04/13/11	9 000	581.29	03/22/11	638 01	-56.72	Sale
04/21/11	2 000	131 34	03/22/11	141 78	-10 44	Sale
05/16/11	7.000	411 31	03/22/11	496 23	-84 92	Sale
06/09/11	7 000	392 89	03/22/11	496 23	-103 34	Sale
06/13/11	10 000	536.04	03/22/11	708 90	-172.86	Sale
06/17/11	1 000	53.83	03/22/11	70 89	-17.06	Sale
08/25/11	14 000	657 14	03/22/11	992 46	-335.32	Sale
	Security total.	2,763 84		3,544 50	-780.66	
PEOPLES UNITED FINANCIAL INC / CUSIP· 712704105 / Symbol. PBCT						
04/21/11	4 000	52.83	04/15/11	51 85	0 98	Sale
06/17/11	3.000	39.14	04/15/11	38.88	0 26	Sale
11/09/11	3 000	37.64	04/15/11	38 88	-1 24	Sale
11/10/11	3 000	37.76	04/15/11	38 88	-1 12	Sale
11/16/11	3 000	38 21	04/15/11	38.88	-0 67	Sale
	Security total·	205 58		207 37	-1 79	
PEPSICO INC / CUSIP 713448108 / Symbol. PEP						
04/21/11	2 000	134 73	03/22/11	128 00	6.73	Sale
06/17/11	2 000	137 97	03/22/11	128 00	9 97	Sale
11/09/11	1 000	62.23	03/22/11	64 00	-1 77	Sale
11/10/11	2 000	125.83	03/22/11	128 00	-2 17	Sale
11/16/11	1 000	65 65	03/22/11	64 00	1 65	Sale
	Security total	526 41		512.00	14 41	
PERKINELMER INC / CUSIP 714046109 / Symbol· PKI						
04/21/11	2 000	54 23	03/22/11	51 36	2 87	Sale
06/17/11	2 000	51 89	03/22/11	51 36	0 53	Sale
11/09/11	3 000	57 68	03/22/11	77.04	-19.36	Sale
11/10/11	2 000	38.69	03/22/11	51 36	-12 67	Sale
11/16/11	2 000	39 03	03/22/11	51 36	-12 33	Sale

Oppenheimer & Co. Inc.

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Proceeds from Broker and Barter Exchange Transactions

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2011

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
	Security total	241 52		282 48	-40 96	
PETSMART INC / CUSIP 716768106 / Symbol PETM						
04/21/11	1.000	42.76	03/22/11	40 86	1.90	Sale
06/17/11	1.000	43 74	03/22/11	40 86	2.88	Sale
09/29/11	9 000	384 30	03/22/11	367.74	16 56	Sale
11/16/11	1.000	48 64	03/22/11	40 86	7.78	Sale
	Security total	519 44		490.32	29.12	
PFIZER INC / CUSIP 717081103 / Symbol. PFE						
04/21/11	2.000	39 03	03/22/11	39 70	-0 67	Sale
06/17/11	5 000	100 94	03/22/11	99 25	1 69	Sale
11/10/11	1.000	19 75	03/22/11	19 85	-0.10	Sale
11/16/11	2.000	39 67	03/22/11	39.70	-0 03	Sale
	Security total	199 39		198.50	0.89	
PHILIP MORRIS INTL INC / CUSIP. 718172109 / Symbol· PM						
04/21/11	2 000	135 89	03/22/11	127.22	8.67	Sale
06/17/11	3 000	206 00	03/22/11	190.83	15 17	Sale
11/09/11	1.000	69 36	03/22/11	63 61	5 75	Sale
11/16/11	3.000	218 84	03/22/11	190 83	28 01	Sale
	Security total·	630 09		572 49	57 60	
PITNEY BOWES INC / CUSIP 724479100 / Symbol. PBI						
04/21/11	6.000	153 83	03/22/11	146 16	7 67	Sale
06/17/11	6 000	135 23	03/22/11	146.16	-10 93	Sale
11/09/11	3 000	57 68	03/22/11	73.08	-15 40	Sale
11/10/11	4.000	75 79	03/22/11	97.44	-21 65	Sale
11/16/11	4 000	76 03	03/22/11	97.44	-21 41	Sale
	Security total·	498 56		560 28	-61 72	
PLEXUS CORP / CUSIP 729132100 / Symbol PLXS						
04/21/11	2 000	73 91	03/22/11	59.86	14 05	Sale
04/28/11	6 000	219 06	03/22/11	179.58	39 48	Sale
06/17/11	2 000	62 15	03/22/11	59.86	2 29	Sale
10/27/11	29 000	727 96	03/22/11	867 97	-140 01	Sale
	Security total.	1,083 08		1,167 27	-84 19	

Oppenheimer & Co. Inc.

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Proceeds from Broker and Barter Exchange Transactions

2011

(continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional information
PRECISION CASTPARTS CORP / CUSIP 740189105 / Symbol· PCP						
04/21/11	1 000	150 04	03/22/11	141 13	8.91	Sale
11/10/11	1 000	165 36	03/22/11	141.13	24 23	Sale
	Security total·	315 40		282.26	33.14	
PROCTER & GAMBLE CO / CUSIP 742718109 / Symbol PG						
06/17/11	1 000	64 94	05/16/11	67.08	-2.14	Sale
11/15/11	6 000	382 73	05/16/11	402.48	-19 75	Sale
	Security total·	447 67		469.56	-21.89	
QUALCOMM INC / CUSIP· 747525103 / Symbol. QCOM						
04/21/11	2 000	113 77	03/22/11	104.92	8 85	Sale
06/17/11	2 000	106 03	03/22/11	104 92	1 11	Sale
08/29/11	9.000	456 38	03/22/11	472.14	-15 76	Sale
11/10/11	1 000	55 19	04/18/11	52 82	2 37	Sale
11/16/11	4 000	231 47	03/22/11	209.84	21.63	Sale
	Security total.	962 84		944 64	18 20	
QUEST DIAGNOSTICS INC / CUSIP· 74834L100 / Symbol DGX						
04/21/11	1 000	56 69	03/22/11	53 92	2 77	Sale
06/17/11	1.000	60.78	03/22/11	53.92	6 86	Sale
10/27/11	5 000	282 40	03/22/11	269 60	12 80	Sale
11/10/11	1 000	57 12	03/22/11	53 92	3 20	Sale
2 tax lots for 11/16/11 Total proceeds (and cost when required) reported to the IRS.						
	10 000	*560.67*	*03/22/11*	*539 20*	*21 47*	*Sale*
	5 000	*280 33*	*06/03/11*	*291 09*	*-10 76*	*Sale*
11/16/11	15 000	841 00	VARIOUS	830 29	10 71	Total of 2 lots
	Security total:	1,297 99		1,261 65	36 34	
QUEST SOFTWARE INC / CUSIP. 74834T103 / Symbol QSFT						
11/09/11	3 000	55 61	06/30/11	68 80	-13 19	Sale
11/10/11	1 000	18.92	06/30/11	22 93	-4 01	Sale
11/16/11	2 000	38 91	06/30/11	45.87	-6 96	Sale
	Security total·	113 44		137 60	-24 16	

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional information
REALTY INCOME CORP REIT / CUSIP. 756109104 / Symbol. O						
04/21/11	1.000	35 47	03/22/11	34.44	1.03	Sale
06/17/11	1.000	33.39	03/22/11	34 44	-1 05	Sale
10/03/11	22 000	679 47	03/22/11	757.68	-78 21	Sale
	Security total·	748 33		826.56	-78 23	
RED HAT INC / CUSIP 756577102 / Symbol. RHT						
04/21/11	2 000	95 89	03/22/11	79.10	16.79	Sale
06/17/11	1 000	41 24	03/22/11	39 55	1 69	Sale
06/21/11	15.000	652 95	03/22/11	593 25	59 70	Sale
08/02/11	19 000	765 72	03/22/11	751 45	14.27	Sale
	Security total:	1,555 80		1,463.35	92.45	
REINSURANCE GROUP AMER INC COM NEW / CUSIP 759351604 / Symbol: RGA						
04/13/11	9.000	546 93	03/22/11	559.35	-12 42	Sale
06/17/11	1 000	60 22	03/22/11	62 15	-1 93	Sale
11/09/11	1 000	51.74	03/22/11	62.15	-10.41	Sale
11/16/11	1.000	52 27	03/22/11	62 15	-9.88	Sale
	Security total:	711 16		745.80	-34 64	
RIO TINTO PLC SPONSORED ADR / CUSIP. 767204100 / Symbol RIO						
05/04/11	12 000	830 73	03/22/11	793 20	37 53	Sale
ST JUDE MED INC / CUSIP 790849103 / Symbol: STJ						
06/17/11	2 000	96 33	04/05/11	105 13	-8 80	Sale
09/21/11	6 000	249 18	04/05/11	315 38	-66 20	Sale
2 tax lots for 09/23/11 Total proceeds (and cost when required) reported to the IRS.						
	9 000	*338.03*	*04/05/11*	*473 07*	*-135 04*	*Sale*
	1.000	*37 55*	*05/04/11*	*52 87*	*-15 32*	*Sale*
09/23/11	10 000	375 58	VARIOUS	525 94	-150 36	Total of 2 lots
09/29/11	7 000	255 77	05/04/11	370.09	-114 32	Sale
	Security total	976 86		1,316 54	-339 68	
SCANA CORP NEW / CUSIP 80589M102 / Symbol· SCG						
04/21/11	6 000	237 29	03/22/11	235 38	1 91	Sale
05/24/11	18 000	734 55	03/22/11	706.14	28 41	Sale

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
SCANA CORP NEW / CUSIP. 80589M102 / Symbol. SCG (Cont'd)						
06/17/11	4.000	155.87	03/22/11	156.92	-1.05	Sale
08/25/11	93 000	3,636 86	03/22/11	3,648 38	-11 52	Sale
	Security total	4,764 57		4,746.82	17 75	
SCHLUMBERGER LTD / CUSIP: 806857108 / Symbol· SLB						
04/21/11	1.000	89.95	03/22/11	88.59	1 36	Sale
06/17/11	2 000	164 29	03/22/11	177.18	-12.89	Sale
09/21/11	5 000	331 89	03/22/11	442 95	-111 06	Sale
11/09/11	1 000	73.25	06/07/11	84.05	-10.80	Sale
11/10/11	1 000	73 83	03/22/11	88 59	-14.76	Sale
11/16/11	1 000	76 42	06/07/11	84 05	-7.63	Sale
	Security total·	809 63		965.41	-155 78	
SENSIENT TECHNOLOGIES CORP / CUSIP. 81725T100 / Symbol SXT						
04/21/11	2 000	73 79	03/22/11	69.98	3 81	Sale
06/17/11	1 000	35 62	03/22/11	34.99	0.63	Sale
08/23/11	37 000	1,203 87	03/22/11	1,294.63	-90 76	Sale
	Security total·	1,313 28		1,399.60	-86 32	
SIGMA ALDRICH CORP / CUSIP 826552101 / Symbol· SIAL						
04/21/11	1 000	67 09	03/22/11	63.31	3 78	Sale
06/17/11	1.000	66 99	03/22/11	63.31	3 68	Sale
07/13/11	5 000	370 31	03/22/11	316.55	53 76	Sale
11/09/11	1 000	62.07	03/22/11	63.31	-1 24	Sale
11/16/11	1 000	64 01	03/22/11	63.31	0 70	Sale
	Security total:	630.47		569.79	60 68	
STARWOOD HOTELS&RESORTS WRLDWD / CUSIP 85590A401 / Symbol HOT						
04/21/11	1 000	60.77	03/22/11	56 85	3 92	Sale
06/17/11	1.000	52 23	03/22/11	56.85	-4 62	Sale
08/03/11	22 000	1,098 17	03/22/11	1,250 70	-152 53	Sale
	Security total.	1,211 17		1,364 40	-153 23	
STATE STR CORP / CUSIP: 857477103 / Symbol STT						
11/09/11	2 000	79.03	09/26/11	62 85	16 18	Sale
11/10/11	1 000	39 93	09/26/11	31 43	8 50	Sale

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional information
STATE STR CORP / CUSIP 857477103 / Symbol: STT (Cont'd)						
11/16/11	1.000	40 88	09/26/11	31 43	9.45	Sale
Security total:		159 84		125 71	34 13	
TD AMERITRADE HLDG CORP / CUSIP: 87236Y108 / Symbol AMTD						
04/21/11	2.000	44 61	03/22/11	41.52	3 09	Sale
06/17/11	2 000	37 69	03/22/11	41.52	-3 83	Sale
11/09/11	2 000	33 19	03/22/11	41 52	-8.33	Sale
11/10/11	2 000	33.55	03/22/11	41 52	-7 97	Sale
11/16/11	2 000	33 27	03/22/11	41 52	-8 25	Sale
Security total·		182.31		207.60	-25 29	
TAIWAN SEMICONDUCTOR MFG LTD SPONSORED ADR / CUSIP 874039100 / Symbol: TSM						
04/21/11	10 000	126 00	03/22/11	118 60	7 40	Sale
06/17/11	11.000	141 18	03/22/11	130 46	10 72	Sale
11/09/11	4.000	49 79	03/22/11	47 44	2 35	Sale
11/10/11	7.000	88.60	03/22/11	83 02	5 58	Sale
11/16/11	6.000	77 21	03/22/11	71 16	6 05	Sale
Security total·		482.78		450 68	32.10	
TARGET CORP / CUSIP· 87612E106 / Symbol: TGT						
11/09/11	4 000	207 63	06/21/11	190.10	17.53	Sale
11/10/11	2.000	103 23	06/21/11	95 05	8 18	Sale
11/16/11	2.000	107 91	06/21/11	95.05	12 86	Sale
Security total·		418.77		380 20	38 57	
TOTAL S A SPONSORED ADR / CUSIP 89151E109 / Symbol. TOT						
04/21/11	3 000	183 32	03/22/11	177 54	5 78	Sale
06/17/11	3 000	163 37	03/22/11	177 54	-14 17	Sale
11/09/11	1 000	50.25	03/22/11	59 18	-8 93	Sale
11/10/11	2 000	100 27	03/22/11	118 36	-18 09	Sale
11/16/11	2 000	102 25	03/22/11	118 36	-16 11	Sale
Security total		599 46		650 98	-51 52	
TRAVELERS COMPANIES INC / CUSIP. 89417E109 / Symbol TRV						
04/21/11	2.000	121 87	03/22/11	116.98	4.89	Sale
06/17/11	2 000	115 69	03/22/11	116.98	-1 29	Sale

Oppenheimer & Co. Inc.

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Proceeds from Broker and Barter Exchange Transactions

(continued)

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8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	These columns are not reported to the IRS Gain or loss	Additional Information
TRAVELERS COMPANIES INC / CUSIP: 89417E109 / Symbol. TRV (Cont'd)						
11/09/11	1 000	56.98	03/22/11	58 49	-1.51	Sale
11/10/11	2.000	114.41	03/22/11	116 98	-2 57	Sale
11/16/11	1.000	57 21	03/22/11	58 49	-1.28	Sale
	Security total·	466 16		467.92	-1 76	
UNION PAC CORP / CUSIP 907818108 / Symbol UNP						
04/21/11	1.000	95 89	03/22/11	94.64	1.25	Sale
06/17/11	1 000	100.37	03/22/11	94.64	5 73	Sale
08/03/11	8 000	779 74	03/22/11	757 12	22 62	Sale
11/10/11	1.000	100 17	03/22/11	94 64	5.53	Sale
11/16/11	1.000	103 56	03/22/11	94 64	8 92	Sale
	Security total.	1,179.73		1,135.68	44 05	
UNITED PARCEL SERVICE INC CL B / CUSIP 911312106 / Symbol: UPS						
04/21/11	3.000	220 40	03/22/11	216 42	3 98	Sale
06/17/11	3 000	208 82	03/22/11	216.42	-7 60	Sale
08/02/11	11.000	732 07	03/22/11	793 54	-61 47	Sale
08/09/11	7.000	429.43	03/22/11	504.98	-75 55	Sale
09/29/11	7.000	445 26	03/22/11	504.98	-59 72	Sale
10/12/11	2 000	138 33	03/22/11	144.28	-5 95	Sale
11/10/11	2.000	139 59	03/22/11	144 28	-4 69	Sale
11/16/11	2 000	139 73	03/22/11	144.28	-4 55	Sale
	Security total.	2,453 63		2,669.18	-215 55	
UNITED TECHNOLOGIES CORP / CUSIP 913017109 / Symbol· UTX						
04/21/11	1.000	86 69	03/22/11	80.70	5 99	Sale
06/17/11	1 000	85 01	03/22/11	80 70	4 31	Sale
11/10/11	2 000	154 71	03/22/11	161.40	-6 69	Sale
11/16/11	1 000	78 56	08/16/11	72 51	6 05	Sale
12/07/11	4 000	303 27	03/22/11	322 80	-19 53	Sale
12/14/11	5 000	364 07	03/22/11	403 50	-39 43	Sale
	Security total	1,072 31		1,121.61	-49 30	
UNITEDHEALTH GROUP INC / CUSIP 91324P102 / Symbol· UNH						
06/17/11	2 000	100 19	05/05/11	99 71	0 48	Sale
10/13/11	10 000	463 87	05/05/11	498 53	-34 66	Sale

Oppenheimer & Co. Inc.

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Proceeds from Broker and Barter Exchange Transactions

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(continued)

8 - *SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS*

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional Information
UNITEDHEALTH GROUP INC / CUSIP 91324P102 / Symbol. UNH (Cont'd)						
2 tax lots for 10/20/11. Total proceeds (and cost when required) reported to the IRS						
	6 000	*280.91*	*05/05/11*	*299 12*	*-18 21*	*Sale*
	4 000	*187 27*	*06/03/11*	*197.00*	*-9 73*	*Sale*
10/20/11	10 000	468 18	VARIOUS	496 12	-27.94	Total of 2 lots
11/16/11	1 000	45.31	06/03/11	49 25	-3 94	Sale
Security total:		1,077.55		1,143 61	-66.06	
V F CORP / CUSIP 918204108 / Symbol. VFC						
04/21/11	2 000	206 97	03/22/11	188 26	18 71	Sale
06/17/11	1 000	103 44	03/22/11	94 13	9 31	Sale
08/10/11	31 000	3,278 39	03/22/11	2,918 03	360 36	Sale
Security total		3,588 80		3,200.42	388 38	
VALASSIS COMMUNICATIONS INC / CUSIP: 918866104 / Symbol· VCI						
06/17/11	3 000	85.22	05/02/11	84.81	0 41	Sale
11/10/11	1.000	20 03	05/02/11	28.27	-8 24	Sale
11/16/11	1.000	20 54	05/02/11	28.27	-7 73	Sale
Security total·		125 79		141.35	-15 56	
VALE S A ADR / CUSIP. 91912E105 / Symbol· VALE						
04/07/11	31.000	1,042 16	03/22/11	995.72	46 44	Sale
VALSPAR CORP / CUSIP 920355104 / Symbol: VAL						
10/14/11	13.000	445 49	08/23/11	395.27	50 22	Sale
11/10/11	1 000	34 84	08/23/11	30 41	4 43	Sale
11/16/11	1 000	35 82	08/23/11	30.41	5 41	Sale
Security total		516.15		456 09	60 06	
VARIAN SEMICONDUCTOR EQUIPMNT / CUSIP· 922207105 / Symbol: VSEA						
04/21/11	1 000	45 69	03/22/11	45 76	-0 07	Sale
05/13/11	14 000	856 79	03/22/11	640 64	216 15	Sale
05/24/11	12 000	734 26	03/22/11	549.12	185 14	Sale
Security total		1,636 74		1,235.52	401 22	

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Proceeds from Broker and Barter Exchange Transactions

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8 - SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS

Report on Form 8949, Part I, with Box A checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	Gain or loss (These columns are not reported to the IRS)	Additional information
VECTREN CORP / CUSIP. 92240G101 / Symbol· VVC						
06/17/11	2 000	54.51	05/25/11	56 16	-1.65	Sale
10/11/11	18 000	499 53	05/25/11	505 42	-5.89	Sale
11/10/11	1.000	28 92	05/25/11	28.08	0.84	Sale
11/16/11	2 000	59 03	05/25/11	56.16	2.87	Sale
	Security total:	641 99		645 82	-3.83	
VIACOM INC NEW CL B / CUSIP 92553P201 / Symbol VIAB						
06/17/11	1 000	47 38	05/09/11	51 23	-3 85	Sale
10/04/11	7 000	258 17	05/09/11	358 58	-100.41	Sale
11/16/11	1 000	45.18	05/09/11	51 23	-6.05	Sale
	Security total:	350 73		461 04	-110.31	
WAL MART STORES INC / CUSIP 931142103 / Symbol. WMT						
04/21/11	4.000	213 91	03/22/11	208.24	5 67	Sale
06/17/11	3 000	159 38	03/22/11	156 18	3 20	Sale
06/21/11	64 000	3,395.01	03/22/11	3,331 84	63 17	Sale
	Security total·	3,768 30		3,696 26	72 04	
WEINGARTEN RLTY INVS SH BEN INT / CUSIP 948741103 / Symbol WRI						
04/21/11	1.000	25.68	03/22/11	24 36	1 32	Sale
06/17/11	2.000	48 71	03/22/11	48 72	-0 01	Sale
11/09/11	3 000	64 49	03/22/11	73 08	-8 59	Sale
11/10/11	1 000	20 77	03/22/11	24.36	-3 59	Sale
11/16/11	1 000	21 50	03/22/11	24 36	-2 86	Sale
	Security total	181 15		194.88	-13 73	
WELLPOINT INC / CUSIP 94973V107 / Symbol WLP						
06/17/11	2.000	152 57	03/22/11	134 48	18 09	Sale
10/20/11	7 000	456 11	03/22/11	470.68	-14 57	Sale
11/16/11	1 000	68 62	03/22/11	67 24	1 38	Sale
	Security total	677 30		672 40	4 90	
WELLS FARGO & CO NEW / CUSIP 949746101 / Symbol WFC						
04/18/11	29 000	857.22	03/22/11	916 11	-58 89	Sale
04/25/11	27 000	769 75	03/22/11	852 93	-83 18	Sale
	Security total.	1,626 97		1,769 04	-142 07	

Oppenheimer & Co. Inc.

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Proceeds from Broker and Barter Exchange Transactions

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8 - *SHORT-TERM GAINS AND LOSSES - Cost basis is reported to the IRS*

Report on Form 8949, Part I, with **Box A** checked

6 - Tax lots: COVERED

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	1b - Date of acquisition	3 - Cost or other basis	These columns are not reported to the IRS Gain or loss	Additional Information
ZEBRA TECHNOLOGIES CORP CL A / CUSIP: 989207105 / Symbol: ZBRA						
04/21/11	1.000	37 98	03/22/11	37 03	0 95	Sale
06/17/11	1.000	40 09	03/22/11	37 03	3.06	Sale
11/09/11	1 000	35 80	03/22/11	37.03	-1.23	Sale
11/10/11	1 000	35 96	03/22/11	37.03	-1.07	Sale
11/16/11	1.000	38 27	03/22/11	37 03	1.24	Sale
	Security total	188 10		185 15	2.95	
WILLIS GROUP HOLDINGS PUBLIC L / CUSIP: G96666105 / Symbol· WSH						
04/21/11	1 000	40 57	03/22/11	39.30	1 27	Sale
06/17/11	1 000	40.09	03/22/11	39 30	0.79	Sale
06/21/11	20.000	805.70	03/22/11	786 00	19.70	Sale
	Security total	886 36		864 60	21 76	
WEATHERFORD INTERNATIONAL LTD REG SHS / CUSIP H27013103 / Symbol WFT						
04/21/11	3 000	62 12	03/22/11	62 37	-0 25	Sale
06/17/11	8 000	135.99	03/22/11	166 32	-30 33	Sale
11/09/11	2 000	30.85	03/22/11	41.58	-10.73	Sale
11/10/11	3 000	46 85	03/22/11	62 37	-15 52	Sale
11/16/11	3 000	49 55	03/22/11	62.37	-12 82	Sale
	Security total:	325 36		395.01	-69 65	
TRANSOCEAN LTD REG SHS / CUSIP· H8817H100 / Symbol RIG						
11/10/11	1 000	48 90	10/25/11	55.58	-6 68	Sale
12/15/11	6 000	236 69	10/25/11	333.48	-96 79	Sale
	Security total·	285 59		389 06	-103 47	
	Totals:	150,598.84		156,629.35	-6,030.51	

Oppenheimer & Co. Inc. — Account A810750438

Proceeds from Broker and Barter Exchange Transactions

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2011

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS

Report on Form 8949, Part I, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	Date of acquisition	These columns are not reported to the IRS Cost or other basis	Gain or loss	Additional information
ASTON/MONTAG & CLDWL GRTH-N OPEN END / CUSIP 00078H299 / Symbol MCGFX						
04/21/11	194.400	4,914 43	03/22/11	4,756.97	157 46	Sale
06/17/11	175 884	4,268 70	03/22/11	4,303 88	-35 18	Sale
11/09/11	67.010	1,637 72	03/22/11	1,639 73	-2 01	Sale
11/10/11	117.740	2,896 40	03/22/11	2,881.10	15 30	Sale
11/16/11	116.912	2,887 73	03/22/11	2,860 84	26 89	Sale
	Security total:	16,604 98		16,442 52	162.46	
EAGLE SER SMALL CAP GROWTH FD A / CUSIP· 269858106 / Symbol HRSCX						
04/21/11	68.603	2,886 81	03/22/11	2,709.13	177.68	Sale
06/17/11	62.190	2,483 25	03/22/11	2,455 88	27 37	Sale
11/09/11	24.438	912.27	03/22/11	965 06	-52 79	Sale
11/10/11	41 769	1,569.26	03/22/11	1,649 46	-80 20	Sale
11/16/11	41.954	1,589.22	03/22/11	1,656.76	-67 54	Sale
	Security total·	9,440 81		9,436 29	4 52	
FIDELITY ADV EMERGING MKTS INCM FD CL A / CUSIP· 315920876 / Symbol. FMKAX						
29 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS.						
	3.073	*40 63*	*03/31/10*	*40 35*	*0 28*	*Sale*
	0 293	*3 87*	*04/30/10*	*3 86*	*0.01*	*Sale*
	2 654	*35.09*	*04/30/10*	*35 01*	*0 08*	*Sale*
	0.419	*5 54*	*05/28/10*	*5 36*	*0.18*	*Sale*
	2.622	*34 66*	*05/28/10*	*33.53*	*1 13*	*Sale*
	0.487	*6.44*	*06/30/10*	*6 30*	*0.14*	*Sale*
	2 283	*30.18*	*06/30/10*	*29 55*	*0 64*	*Sale*
	0.604	*7.99*	*07/30/10*	*8 07*	*-0 08*	*Sale*
	2 083	*27 54*	*07/30/10*	*27 83*	*-0 29*	*Sale*
	0 864	*11 42*	*08/31/10*	*11 75*	*-0 33*	*Sale*
	2.396	*31 67*	*08/31/10*	*32 58*	*-0 91*	*Sale*
	0 645	*8 53*	*09/30/10*	*8 88*	*-0 35*	*Sale*
	2 096	*27 71*	*09/30/10*	*28.86*	*-1 15*	*Sale*
	0 674	*8 91*	*10/29/10*	*9 40*	*-0 49*	*Sale*
	2 056	*27 18*	*10/29/10*	*28 69*	*-1 50*	*Sale*
	0.723	*9 56*	*11/30/10*	*9 73*	*-0 17*	*Sale*
	1.980	*26 18*	*11/30/10*	*26 63*	*-0 46*	*Sale*
	0 761	*10 06*	*12/23/10*	*10 13*	*-0 07*	*Sale*

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS

Report on Form 8949, Part I, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	Date of acquisition	These columns are not reported to the IRS Cost or other basis	Gain or loss	Additional information
FIDELITY ADV EMERGING MKTS INCM FD CL A / CUSIP 315920876 / Symbol: FMKAX (Cont'd)						
	2 530	33 44	12/23/10	33 67	-0 23	Sale
	0.173	2 29	12/31/10	2 30	-0 02	Sale
	1 224	16 18	12/31/10	16 30	-0.12	Sale
	2 730	36 09	12/31/10	36.36	-0.27	Sale
	1 463	19 34	01/31/11	19 24	0.10	Sale
	1.646	21 76	01/31/11	21 64	0.11	Sale
	0 849	11 22	02/14/11	11 11	0.11	Sale
	0.121	1 60	02/28/11	1 59	0.01	Sale
	0 809	10 69	02/28/11	10 62	0.07	Sale
	0.849	11 22	02/28/11	11.15	0.07	Sale
	1 000	13 22	02/28/11	13 13	0.09	Sale
03/22/11	40 107	530.21	VARIOUS	533 62	-3.42	Total of 29 lots
WHV INTL EQUITY FUND CLASS A OPEN END / CUSIP· 360873871 / Symbol. WHVAX						
04/21/11	120 133	2,617 15	03/22/11	2,585 26	31.89	Sale
06/17/11	114 911	2,325 80	03/22/11	2,472.89	-147 09	Sale
11/09/11	45.582	828.68	03/22/11	980.92	-152.24	Sale
11/10/11	76 817	1,410.36	03/22/11	1,653.10	-242 74	Sale
11/16/11	75 328	1,383.02	03/22/11	1,621 06	-238.04	Sale
• Security total·		8,565.01		9,313.23	-748.22	
IVY ASSET STRATEGY FD A OPEN END / CUSIP: 466000759 / Symbol WASAX						
04/21/11	53 447	1,425 97	03/22/11	1,313 73	112 24	Sale
06/17/11	48 639	1,191 66	03/22/11	1,195.55	-3 89	Sale
11/09/11	19 484	460 99	03/22/11	478.92	-17 93	Sale
11/10/11	33 602	796.03	03/22/11	825.94	-29 91	Sale
11/16/11	33.086	779.84	03/22/11	813.25	-33 41	Sale
Security total		4,654 49		4,627.39	27 10	
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A / CUSIP: 4812A4385 / Symbol. JSOAX						
25 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	2 242	26 81	04/01/10	26 12	0 69	Sale
	1 806	21 60	05/03/10	21 18	0 42	Sale
	1.116	13 35	06/01/10	12 90	0 45	Sale
	1.475	17.64	06/01/10	17.05	0 59	Sale

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - *SHORT-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS*

Report on Form 8949, Part I, with **Box B** checked

6 - Tax lots. NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	Date of acquisition	These columns are not reported to the IRS Cost or other basis	Gain or loss	Additional Information
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A / CUSIP. 4812A4385 / Symbol· JSOAX (Cont'd)						
	1.057	12 64	07/01/10	12.21	0 44	Sale
	1.758	21.03	07/01/10	20.30	0 72	Sale
	1 184	14 16	08/02/10	13 77	0.39	Sale
	2.049	24 51	08/02/10	23 83	0 68	Sale
	1.535	18.36	09/01/10	17 81	0 55	Sale
	1.714	20 50	09/01/10	19.88	0.62	Sale
	1.335	15 97	10/01/10	15.62	0 35	Sale
	1.895	22 67	10/01/10	22.17	0 50	Sale
	0 920	11 00	11/01/10	10.85	0.16	Sale
	2.186	26.14	11/01/10	25 77	0.37	Sale
	0.489	5.85	12/01/10	5 73	0.12	Sale
	0.520	6 22	12/01/10	6 09	0.13	Sale
	2.666	31.89	12/01/10	31 22	0.67	Sale
	1.216	14.54	12/15/10	14 31	0.23	Sale
	0 139	1.66	01/03/11	1 64	0 02	Sale
	0.855	10.23	01/03/11	10.10	0 13	Sale
	2.450	29.30	01/03/11	28 93	0.37	Sale
	0.572	6 84	02/01/11	6 81	0 03	Sale
	2 103	25 15	02/01/11	25 05	0 10	Sale
	1.216	14 54	03/01/11	14 58	-0 04	Sale
	1 234	14 76	03/01/11	14 79	-0 03	Sale
03/22/11	35.732	427 36	VARIOUS	418 71	8 66	Total of 25 lots
LORD ABBETT INVT TR TOTAL RETURN A / CUSIP 543916845 / Symbol LTRAX						
04/21/11	539.028	5,789 16	03/22/11	5,778.38	10 78	Sale
06/17/11	453 966	4,939 15	03/22/11	4,866.52	72 63	Sale
11/10/11	471 118	5,177 59	03/22/11	5,050 38	127 21	Sale
11/16/11	338.765	3,723 03	03/22/11	3,631 56	91 47	Sale
Security total		19,628 93		19,326 84	302 09	
MANNING & NAPIER FD INC NEW WORLD OPPTYS SER CL A / CUSIP. 563821545 / Symbol EXWAX						
5 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	1.994	17.65	09/15/10	15 93	1 72	Sale
	23 343	206 59	09/15/10	186 51	20 08	Sale
	19 230	170 19	12/15/10	161 92	8 27	Sale

Oppenheimer & Co. Inc.

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Proceeds from Broker and Barter Exchange Transactions

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2011

8 - SHORT-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS

Report on Form 8949, Part I, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	Date of acquisition	These columns are not reported to the IRS Cost or other basis	Gain or loss	Additional Information
MANNING & NAPIER FD INC NEW WORLD OPPTYS SER CL A / CUSIP 563821545 / Symbol: EXWAX (Cont'd)						
	37 259	*329 74*	*12/15/10*	*313.72*	*16 02*	*Sale*
	44 371	*392 68*	*12/15/10*	*373 60*	*19 08*	*Sale*
03/22/11	126 197	1,116.85	VARIOUS	1,051.68	65.17	Total of 5 lots
MERGER FUND-SBI OPEN END SBI/CBI / CUSIP. 589509108 / Symbol MERFX						
04/21/11	80 838	1,284 97	03/22/11	1,298.26	-13.29	Sale
06/17/11	77 980	1,257 82	03/22/11	1,252 36	5.46	Sale
11/09/11	27 979	445 71	03/22/11	449.34	-3 63	Sale
11/10/11	51 214	816 86	03/22/11	822 50	-5.64	Sale
11/16/11	49 773	793 88	03/22/11	799.35	-5 47	Sale
	Security total.	4,599 24		4,621 81	-22.57	
THORNBURG INTL VALUE FD-A OPEN END / CUSIP 885215657 / Symbol TGVAX						
04/21/11	119 486	3,561.74	03/22/11	3,418 49	143 25	Sale
06/17/11	107 892	3,071.69	03/22/11	3,086 79	-15 10	Sale
11/09/11	40 415	1,009 16	03/22/11	1,156 27	-147 11	Sale
11/10/11	71 829	1,781.36	03/22/11	2,055 03	-273 67	Sale
11/16/11	69.759	1,725 14	03/22/11	1,995 80	-270 66	Sale
	Security total	11,149.09		11,712 38	-563 29	
	Totals:	76,716.97		77,484.47	-767.50	

8 - LONG-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS

Report on Form 8949, Part II, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	Date of acquisition	These columns are not reported to the IRS Cost or other basis	Gain or loss	Additional Information
ALPS ETF TR JEFF TRJ CRB GLO / CUSIP 00162Q304 / Symbol CRBQ						
03/22/11	1,030 000	52,919 56	10/30/09	40,484 50	12,435 06	Sale

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions
(continued)

2011

8 - LONG-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS
Report on Form 8949, Part II, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	Date of acquisition	These columns are not reported to the IRS Cost or other basis	Gain or loss	Additional Information
FIDELITY ADV EMERGING MKTS INCM FD CL A / CUSIP 315920876 / Symbol: FMKAX						
11 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS.						
	3.146	41 59	10/30/09	42 35	-0.76	Sale
	3.260	43 10	10/30/09	43.88	-0 78	Sale
	3.291	43 51	10/30/09	44.30	-0 79	Sale
	4 127	54 56	10/30/09	55 55	-0 99	Sale
	9.393	124.18	10/30/09	126 43	-2.25	Sale
	661.924	8,750.63	10/30/09	8,909.50	-158 87	Sale
	2.616	34 58	11/30/09	33 83	0 75	Sale
	0.809	10 69	12/24/09	10.32	0 37	Sale
	9.393	124 18	12/31/09	119 86	4 32	Sale
	3.146	41.59	01/29/10	40 14	1 45	Sale
	2.887	38 17	02/26/10	36.92	1 25	Sale
03/22/11	703.992	9,306 78	VARIOUS	9,463.08	-156 30	Total of 11 lots
ISHARES INC MSCI BRAZIL / CUSIP· 464286400 / Symbol. EWZ						
2 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	128.000	9,520.46	11/25/09	10,047 02	-526 56	Sale
	125 000	9,297 33	12/03/09	10,119.01	-821 68	Sale
03/22/11	253 000	18,817 79	VARIOUS	20,166 03	-1,348 24	Total of 2 lots
ISHARES TR S&P 100 IDX FD / CUSIP 464287101 / Symbol OEF						
2 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	190 000	11,073 00	11/25/09	9,968 04	1,104 96	Sale
	192.000	11,189 56	12/03/09	10,073 78	1,115 78	Sale
03/22/11	382 000	22,262 56	VARIOUS	20,041 82	2,220 74	Total of 2 lots
ISHARES TR FTSE CHINA25 IDX / CUSIP 464287184 / Symbol FXI						
2 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	192 000	8,205 94	11/25/09	8,775 86	-569 92	Sale
	195 000	8,334 15	12/03/09	8,889 88	-555.73	Sale
03/22/11	387.000	16,540 09	VARIOUS	17,665 74	-1,125 65	Total of 2 lots

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Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - LONG-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS

Report on Form 8949, Part II, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis (These columns are not reported to the IRS)	Gain or loss (These columns are not reported to the IRS)	Additional Information (These columns are not reported to the IRS)
ISHARES TR S&P GBL ENER / CUSIP 464287341 / Symbol IXC						
2 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS						
	85.000	*3,683 85*	*11/25/09*	*3,243 70*	*440.15*	*Sale*
	88 000	*3,813.87*	*12/03/09*	*3,264 86*	*549 01*	*Sale*
03/22/11	173 000	7,497 72	VARIOUS	6,508.56	989 16	Total of 2 lots
ISHARES TR MSCI EAFE INDEX / CUSIP· 464287465 / Symbol: EFA						
2 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	395.000	*23,340 14*	*11/25/09*	*22,493.35*	*846.79*	*Sale*
	393.000	*23,221.96*	*12/03/09*	*22,626 49*	*595.47*	*Sale*
03/22/11	788.000	46,562.10	VARIOUS	45,119 84	1,442.26	Total of 2 lots
ISHARES TR RUSSELL MIDCAP / CUSIP 464287499 / Symbol IWR						
2 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	125 000	*13,219 77*	*11/25/09*	*10,067 76*	*3,152 01*	*Sale*
	125.000	*13,219.77*	*12/03/09*	*10,126.51*	*3,093.26*	*Sale*
03/22/11	250 000	26,439 54	VARIOUS	20,194 27	6,245.27	Total of 2 lots
ISHARES TR RUSSELL 1000 / CUSIP: 464287622 / Symbol IWB						
2 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	204 000	*14,736.69*	*11/25/09*	*12,534 83*	*2,201 86*	*Sale*
	205.000	*14,808.93*	*12/03/09*	*12,672 41*	*2,136 52*	*Sale*
03/22/11	409.000	29,545 62	VARIOUS	25,207.24	4,338 38	Total of 2 lots
ISHARES TR RUSSELL 2000 / CUSIP 464287655 / Symbol IWM						
2 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	188.000	*15,199 52*	*11/25/09*	*11,276 10*	*3,923 42*	*Sale*
	188 000	*15,199.52*	*12/03/09*	*11,416 70*	*3,782 82*	*Sale*
03/22/11	376 000	30,399 04	VARIOUS	22,692.80	7,706 24	Total of 2 lots

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - LONG-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS

Report on Form 8949, Part II, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	Date of acquisition	These columns are not reported to the IRS Cost or other basis	Gain or loss	Additional Information
ISHARES TR S&P GLO INFRAS / CUSIP 464288372 / Symbol: IGF						
2 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS.						
	112 000	*4,063.31*	*11/25/09*	*3,999 96*	*63.35*	*Sale*
	114.000	*4,135 87*	*12/03/09*	*4,054 62*	*81.25*	*Sale*
03/22/11	226 000	8,199 18	VARIOUS	8,054.58	144 60	Total of 2 lots
IVY GLOBAL NATURAL RESOURCES-C OPEN END / CUSIP 465897395 / Symbol· IGNCX						
4 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS						
	413 174	*8,255 22*	*07/13/09*	*5,751 38*	*2,503.84*	*Sale*
	1,614 035	*32,248 42*	*08/21/09*	*22,467 37*	*9,781 05*	*Sale*
	2,100.000	*41,958.00*	*09/30/09*	*29,232 00*	*12,726.00*	*Sale*
	1,155 676	*23,090.41*	*10/30/09*	*16,087.01*	*7,003.40*	*Sale*
03/22/11	5,282.885	105,552 05	VARIOUS	73,537 76	32,014 29	Total of 4 lots
JP MORGAN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A / CUSIP: 4812A4385 / Symbol JSOAX						
13 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	3 230	*38 63*	*10/30/09*	*38 60*	*0 03*	*Sale*
	3.249	*38 86*	*10/30/09*	*38 83*	*0 03*	*Sale*
	3 444	*41.19*	*10/30/09*	*41.16*	*0 03*	*Sale*
	3 627	*43.38*	*10/30/09*	*43 34*	*0 04*	*Sale*
	3.675	*43 95*	*10/30/09*	*43.92*	*0.03*	*Sale*
	1,208 465	*14,453.24*	*10/30/09*	*14,441 16*	*12 08*	*Sale*
	2 870	*34 33*	*12/01/09*	*33 09*	*1 24*	*Sale*
	0.530	*6 34*	*12/16/09*	*6 13*	*0 21*	*Sale*
	5.444	*65 11*	*12/16/09*	*62 93*	*2 18*	*Sale*
	3 627	*43 38*	*01/04/10*	*41.97*	*1 41*	*Sale*
	2 666	*31.89*	*02/01/10*	*30.95*	*0 94*	*Sale*
	0 810	*9 69*	*03/01/10*	*9 36*	*0 32*	*Sale*
	2 088	*24 97*	*03/01/10*	*24 14*	*0 84*	*Sale*
03/22/11	1,243 725	14,874 96	VARIOUS	14,855.58	19 38	Total of 13 lots

Oppenheimer & Co. Inc.

Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011

(continued)

8 - LONG-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS

Report on Form 8949, Part II, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	Date of acquisition	These columns are not reported to the IRS Cost or other basis	Gain or loss	Additional information
MANNING & NAPIER FD INC NEW WORLD OPPTYS SER CL A / CUSIP: 563821545 / Symbol. EXWAX						
4 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS.						
	1,579.779	*13,981 04*	*07/13/09*	*11,374.41*	*2,606 63*	*Sale*
	1,353 180	*11,975 64*	*08/21/09*	*9,742.90*	*2,232 74*	*Sale*
	13.288	*117.60*	*09/16/09*	*95.67*	*21 93*	*Sale*
	1,233 046	*10,912.46*	*09/30/09*	*8,877 93*	*2,034 53*	*Sale*
03/22/11	4,179 293	36,986.74	VARIOUS	30,090.91	6,895 83	Total of 4 lots
PLUM CREEK TIMBER CO INC REIT / CUSIP 729251108 / Symbol. PCL						
2 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS						
	95 000	*4,025.08*	*11/25/09*	*3,369.70*	*655.38*	*Sale*
	64 000	*2,711.63*	*12/03/09*	*2,306.19*	*405 44*	*Sale*
03/22/11	159 000	6,736.71	VARIOUS	5,675 89	1,060.82	Total of 2 lots
04/21/11	1.000	42 88	12/03/09	36.03	6 85	Sale
06/17/11	1 000	39 18	12/03/09	36.03	3 15	Sale
11/09/11	1 000	36 67	12/03/09	36.03	0 64	Sale
11/10/11	1 000	36 07	12/03/09	36.03	0 04	Sale
11/16/11	1 000	36.61	12/03/09	36 03	0.58	Sale
	Security total·	6,928 12		5,856 04	1,072 08	
POWERSHARES INDIA ETF TR INDIA PORT / CUSIP: 73935L100 / Symbol PIN						
2 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	457 000	*10,158.91*	*11/25/09*	*10,044 38*	*114 53*	*Sale*
	456 000	*10,136 68*	*12/03/09*	*10,254.87*	*-118 19*	*Sale*
03/22/11	913 000	20,295 59	VARIOUS	20,299 25	-3 66	Total of 2 lots
POWERSHARES ETF TRUST WATER RESOURCE / CUSIP. 73935X575 / Symbol PHO						
2 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS.						
	300.000	*5,881 32*	*11/25/09*	*5,036 93*	*844 39*	*Sale*
	308 000	*6,038 16*	*12/03/09*	*5,137 63*	*900 53*	*Sale*
03/22/11	608 000	11,919.48	VARIOUS	10,174.56	1,744 92	Total of 2 lots

Oppenheimer & Co. Inc. Account A810750438

Proceeds from Broker and Barter Exchange Transactions

2011 (continued)

8 - *LONG-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS*

Report on Form 8949, Part II, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of # stocks, bonds, etc.	Date of acquisition	Cost or other basis (These columns are not reported to the IRS)	Gain or loss	Additional information
SPDR GOLD TRUST GOLD SHS / CUSIP: 78463V107 / Symbol GLD						
2 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS						
	50 000	*6,953.86*	*11/25/09*	*5,924 50*	*1,029 36*	*Sale*
	50 000	*6,953.86*	*12/03/09*	*6,069.00*	*884 86*	*Sale*
03/22/11	100.000	13,907 72	VARIOUS	11,993 50	1,914 22	Total of 2 lots
SPDR INDEX SHS FDS S&P BRIC 40ETF / CUSIP· 78463X798 / Symbol: BIK						
2 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS.						
	287.000	*8,038 80*	*11/25/09*	*7,535.38*	*503 42*	*Sale*
	295 000	*8,262.88*	*12/03/09*	*7,721 69*	*541 19*	*Sale*
03/22/11	582 000	16,301.68	VARIOUS	15,257.07	1,044 61	Total of 2 lots
SPDR SERIES TRUST DJ REIT ETF / CUSIP 78464A607 / Symbol RWR						
2 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS						
	106 000	*6,658 80*	*11/25/09*	*4,991 90*	*1,666 90*	*Sale*
	102 000	*6,407 52*	*12/03/09*	*5,051 29*	*1,356 23*	*Sale*
03/22/11	208.000	13,066.32	VARIOUS	10,043 19	3,023 13	Total of 2 lots
SPDR SERIES TRUST OILGAS EQUIP / CUSIP 78464A748 / Symbol XES						
2 tax lots for 03/22/11 Total proceeds (and cost when required) reported to the IRS						
	178.000	*7,504 38*	*11/25/09*	*5,099 84*	*2,404 54*	*Sale*
	187.000	*7,883 82*	*12/03/09*	*5,217 72*	*2,666 10*	*Sale*
03/22/11	365.000	15,388 20	VARIOUS	10,317 56	5,070 64	Total of 2 lots
SELECT SECTOR SPDR TR SBI MATERIALS / CUSIP: 81369Y100 / Symbol XLB						
2 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS						
	90 000	*3,439.74*	*11/25/09*	*3,082 70*	*357 04*	*Sale*
	92 000	*3,516 18*	*12/03/09*	*3,130 14*	*386 04*	*Sale*
03/22/11	182 000	6,955 92	VARIOUS	6,212 84	743 08	Total of 2 lots

Oppenheimer & Co. Inc.

Account A810750438

Proceeds from Broker and Barter Exchange Transactions

(continued)

2011

8 - *LONG-TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS*

Report on Form 8949, Part II, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	Date of acquisition	These columns are not reported to the IRS Cost or other basis	Gain or loss	Additional Information
SELECT SECTOR SPDR TR TECHNOLOGY / CUSIP 81369Y803 / Symbol. XLK						
2 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS						
	216 000	*5,458.23*	*11/25/09*	*4,863 57*	*594 66*	*Sale*
	219 000	*5,534.04*	*12/03/09*	*4,966 88*	*567 16*	*Sale*
03/22/11	435.000	10,992 27	VARIOUS	9,830.45	1,161 82	Total of 2 lots
UNITED STATES OIL FUND LP UNITS / CUSIP 91232N108 / Symbol USO						
2 tax lots for 03/22/11. Total proceeds (and cost when required) reported to the IRS						
	62 000	*2,584.11*	*11/25/09*	*2,550 16*	*33 95*	*Sale*
	65 000	*2,709.14*	*12/03/09*	*2,582 05*	*127 09*	*Sale*
03/22/11	127 000	5,293.25	VARIOUS	5,132 21	161 04	Total of 2 lots
	Totals:	546,952.28		459,199.38	87,752.90	

8 - *UNDETERMINED TERM GAINS AND LOSSES - Cost basis is NOT reported to the IRS*

Consult your investment records for the cost basis and/or the date of acquisition to determine whether the transactions in this section are long term or short term

Report on Form 8949, either Part I or Part II as appropriate, with **Box B** checked

6 - Tax lots: NONCOVERED**

9 - Description / CUSIP/ Symbol 1a - Date of Sale or exchange	Quantity	2 - Proceeds of# stocks, bonds, etc.	Date of acquisition	These columns are not reported to the IRS Cost or other basis	Gain or loss	Additional Information
MANNING & NAPIER FD INC NEW WORLD OPPTYS SER CL A / CUSIP· 563821545 / Symbol EXWAX						
03/22/11	12 054	106 68	N/A	0 00	0 00	Sale