



See a Social Security Number? Say Something!
Report Privacy Problems to <https://public.resource.org/privacy>
Or call the IRS Identity Theft Hotline at 1-800-908-4490



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.

2011

For calendar year 2011 or tax year beginning

, and ending

Name of foundation HERBERT H. AND BARBARA C. DOW FOUNDATION		A Employer identification number 38-6058513
Number and street (or P.O. box number if mail is not delivered to street address) PO BOX 393		B Telephone number 231-352-6960
City or town, state, and ZIP code FRANKFORT, MI 49635-0393		C If exemption application is pending, check here ☐
G Check all that apply: ☐ Initial return ☐ Final return ☐ Address change ☐ Initial return of a former public charity ☐ Amended return ☐ Name change		D 1. Foreign organizations, check here ☐ 2. Foreign organizations meeting the 85% test, check here and attach computation ☐
H Check type of organization: ☒ Section 501(c)(3) exempt private foundation ☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ☐
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) \$ 16,854,130.	J Accounting method: ☒ Cash ☐ Accrual ☐ Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ☐

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))		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check ☒ If the foundation is not required to attach Sch. B					
3 Interest on savings and temporary cash investments		108,679.	108,679.		STATEMENT 1
4 Dividends and interest from securities		347,410.	347,410.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		1,468,344.			
b Gross sales price for all assets on line 6a 5,773,503.					
7 Capital gain net income (from Part IV, line 2)			1,468,344.		
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)					
11 Other income					
12 Total. Add lines 1 through 11		1,924,433.	1,924,433.		
13 Compensation of officers, directors, trustees, etc		0.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees STMT 3		1,066.	0.		1,066.
b Accounting fees STMT 4		6,975.	3,488.		3,487.
c Other professional fees STMT 5		96,258.	95,101.		1,157.
17 Interest					
18 Taxes STMT 6		77,131.	1,509.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses STMT 7		4,208.	4,111.		97.
24 Total operating and administrative expenses. Add lines 13 through 23		185,638.	104,209.		5,807.
25 Contributions, gifts, grants paid		786,500.			786,500.
26 Total expenses and disbursements. Add lines 24 and 25		972,138.	104,209.		792,307.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		952,295.			
b Net investment income (if negative, enter -0-)			1,820,224.		
c Adjusted net income (if negative, enter -0-)				N/A	

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only		Beginning of year	End of year	
				(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing				
	2	Savings and temporary cash investments		1,024,510.	978,622.	978,622.
	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				
	7	Other notes and loans receivable ▶				
		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				
	b	Investments - corporate stock	STMT 8	10,696,492.	10,965,606.	13,271,631.
	c	Investments - corporate bonds	STMT 9	1,802,401.	2,531,470.	2,603,877.
11	Investments - land, buildings, and equipment basis ▶					
	Less: accumulated depreciation ▶					
12	Investments - mortgage loans					
13	Investments - other					
14	Land, buildings, and equipment: basis ▶					
	Less: accumulated depreciation ▶					
15	Other assets (describe ▶)					
16	Total assets (to be completed by all filers)		13,523,403.	14,475,698.	16,854,130.	
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				
	22	Other liabilities (describe ▶)				
23	Total liabilities (add lines 17 through 22)		0.	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		13,523,403.	14,475,698.	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund		0.	0.	
	29	Retained earnings, accumulated income, endowment, or other funds		0.	0.	
30	Total net assets or fund balances		13,523,403.	14,475,698.		
31	Total liabilities and net assets/fund balances		13,523,403.	14,475,698.		

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	13,523,403.
2	Enter amount from Part I, line 27a	2	952,295.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	14,475,698.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	14,475,698.

Form 990-PF (2011)

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.)
1a			
b SEE ATTACHED STATEMENTS			
c			
d			
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			
b			
c			
d			
e 5,773,503.		4,305,159.	1,468,344.

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			
b			
c			
d			
e			1,468,344.

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	1,468,344.
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). If (loss), enter -0- in Part I, line 8	{ }	3	N/A

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 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			
2009			
2008			
2007			
2006			

2 Total of line 1, column (d)	2	
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	
4 Enter the net value of noncharitable-use assets for 2011 from Part X, line 5	4	
5 Multiply line 4 by line 3	5	
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	
7 Add lines 5 and 6	7	
8 Enter qualifying distributions from Part XII, line 4 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.	8	

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see 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	36,404.
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	0.
3 Add lines 1 and 2		3	36,404.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	36,404.
6 Credits/Payments:			
a 2011 estimated tax payments and 2010 overpayment credited to 2011	6a	48,840.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	48,840.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due If the total of lines 5 and 8 is more than line 7, enter amount owed	9		
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	12,436.	
11 Enter the amount of line 10 to be: Credited to 2012 estimated tax ☐ 12,436. Refunded ☐	11	0.	

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?		X
1b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see instructions for definition)? 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		X
1c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ☐ \$ 0. (2) On foundation managers. ☐ \$ 0.		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ☐ \$ 0.		
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		X
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		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T.		X
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?	X	
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.	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ MI		
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	X	
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)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses		X

N/A

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 instructions)	11		X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12		X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application?	13	X	
Website address ► N/A				
14	The books are in care of ► PAMELA G. DOW Telephone no. ► 231-352-6960			
Located at ► P.O. BOX 393, FRANKFORT, MI		ZIP+4 ► 49635-0393		
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	N/A	
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	Yes	No
See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►				X

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 instructions)? Organizations relying on a current notice regarding disaster assistance check here ► ☐	1b	X
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	X
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 ►			
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 instructions.) N/A	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. ►		
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.) N/A	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
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	X

Form 990-PF (2011)

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)?

☐ 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 instructions)?

N/A

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?

N/A

☐ 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

X

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?

N/A

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.

(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
WILLARD H. DOW, II	PRESIDENT/TRUSTEE			
P.O. BOX 393				
FRANKFORT, MI 49635-0393	2.00	0.	0.	0.
MARGO PRAYTOR	SECRETARY/TRUSTEE			
P.O. BOX 393				
FRANKFORT, MI 49635-0393	2.00	0.	0.	0.
PAMELA G. DOW	TREASURER/TRUSTEE			
P.O. BOX 393				
FRANKFORT, MI 49635-0393	2.00	0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1). 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
NONE				

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

0

Form 990-PF (2011)

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see 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	15,441,583.
b	Average of monthly cash balances	1b	1,448,667.
c	Fair market value of all other assets	1c	
d	Total (add lines 1a, b, and c)	1d	16,890,250.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	0.
2	Acquisition indebtedness applicable to line 1 assets	2	0.
3	Subtract line 2 from line 1d	3	16,890,250.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	4	253,354.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	16,636,896.
6	Minimum investment return. Enter 5% of line 5	6	831,845.

Part XI Distributable Amount (see 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	831,845.
2a	Tax on investment income for 2011 from Part VI, line 5	2a	36,404.
b	Income tax for 2011. (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	36,404.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	795,441.
4	Recoveries of amounts treated as qualifying distributions	4	0.
5	Add lines 3 and 4	5	795,441.
6	Deduction from distributable amount (see instructions)	6	0.
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	795,441.

Part XII Qualifying Distributions (see 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	792,307.
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	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	792,307.
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	5	0.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	792,307.

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.

Form 990-PF (2011)

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2010	(c) 2010	(d) 2011
1 Distributable amount for 2011 from Part XI, line 7				795,441.
2 Undistributed income, if any, as of the end of 2011				
a Enter amount for 2010 only			777,776.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2011:				
a From 2006				
b From 2007				
c From 2008				
d From 2009				
e From 2010				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2011 from Part XII, line 4: ▶ \$ 792,307.				
a Applied to 2010, but not more than line 2a			777,776.	
b Applied to undistributed income of prior years (Election required - see instructions)		0.		
c Treated as distributions out of corpus (Election required - see instructions)	0.			
d Applied to 2011 distributable amount				14,531.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2011 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
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		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 2010. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2011. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2012				780,910.
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3)	0.			
8 Excess distributions carryover from 2006 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2012. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2007				
b Excess from 2008				
c Excess from 2009				
d Excess from 2010				
e Excess from 2011				

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

N/A

- 1 a** 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 foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	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
Name and address (home or business)				
a Paid during the year				
ARIZONA HUMANE SOCIETY 1521 WEST DOBBINS ROAD PHOENIX, AZ 85041	NONE	PUBLIC CHARITY	MEDICAL EQUIPMENT	10,000.
BARROW NEUROLOGICAL - NEURO-ALZHEIMER'S RESEARCH 350 WEST THOMAS ROAD PHOENIX, AZ 85013	NONE	PUBLIC CHARITY	BARROW CENTER FOR NEURO-MODULATION	15,000.
BENZIE COMMUNITY SERVICES 6051 FRANKFORT HIGHWAY, SUITE 100 BENZONIA, MI 49616	NONE	PUBLIC CHARITY	HOME HEALTH CARE	20,000.
BEST KIDS, INC. 5500 MACARTHUR BLVD. N.W. WASHINGTON, DC 20016	NONE	PUBLIC CHARITY	MENTORING INNER CITY CHILDREN	30,000.
CRISIS NURSERY 2334 EAST POLK STREET PHOENIX, AZ 85006	NONE	PUBLIC CHARITY	OPERATIONAL FUNDS	35,000.
Total			SEE CONTINUATION SHEET(S) ▶ 3a	786,500.
b Approved for future payment				
NONE				
Total			▶ 3b	0

▶ 3a

▶ 3b

Form 990-PF (2011)

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) | X |
| | (2) Other assets | 1a(2) | X |
| b | Other transactions: | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | X |
| | (4) Reimbursement arrangements | 1b(4) | X |
| | (5) Loans or loan guarantees | 1b(5) | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | X |
| 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. | | |

[illegible]

- 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
N/A		

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) is based on all information of which preparer has any knowledge.				May the IRS discuss this return with the preparer shown below (see instr.)? ☒ Yes ☐ No	
	Signature of officer or trustee <i>Amela [Signature]</i>		Date <i>5/8/12</i>		Title TREASURER	
Paid Preparer Use Only	Print/Type preparer's name JOSHUA P. HAYES		Preparer's signature <i>[Signature]</i> CPA		Date <i>5/3/2012</i>	
	Check ☐ if self-employed		PTIN P00056669		Firm's name EIDE BAILLY LLP	
	Firm's EIN 45-0250958		Firm's address 1850 N CENTRAL AVE, SUITE 400 PHOENIX, AZ 85004-4527		Phone no. 602-264-5844	

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
DESERT BOTANICAL GARDEN 1201 N. GALVIN PARKWAY PHOENIX, AZ 85008	NONE	PUBLIC CHARITY	GARDENS	15,000.
EAGLE FORUM EDUCATION & LEGAL DEFENSE FUND P.O. BOX 618 ALTON, IL 62002	NONE	PUBLIC CHARITY	OPERATIONAL FUNDS	10,000.
FELLOWSHIP OF CHRISTIAN ATHLETES 11300 N. CENTRAL EXPRESSWAY, SUITE 524 DALLAS, TX 75243	NONE	PUBLIC CHARITY	WEEKEND OF CHAMPIONS	75,000.
FOCUS ON THE FAMILY 8605 EXPLORER DRIVE COLORADO SPRINGS, CO 80920	NONE	PUBLIC CHARITY	OPERATIONAL FUNDS	30,000.
GROW BENZIE P.O. BOX 132 BEULAH, MI 49617	NONE	PUBLIC CHARITY	COMMUNITY SUPPORT	2,000.
GABRIEL'S ANGELS 1550 EAST MARYLAND AVENUE PHOENIX, AZ 85014	NONE	PUBLIC CHARITY	PET THERAPY SERVICES FOR AT-RISK CHILDREN	10,000.
HERITAGE FOUNDATION 214 MASSACHUSETTS AVENUE, N.E. WASHINGTON, DC 200024999	NONE	PUBLIC CHARITY	OPERATIONAL FUNDS	25,000.
HILLSDALE COLLEGE 33 EAST COLLEGE STREET HILLSDALE, MI 49242	NONE	PUBLIC CHARITY	HHD JOURNALISM PROGRAM	50,000.
INTERCESSORS FROM AMERICA P.O. BOX 915 PURCELLVILLE, VA 20134	NONE	PUBLIC CHARITY	OPERATIONAL FUNDS	15,000.
INTERNATIONAL PSORIASIS COUNCIL 25 HIGHLAND PARK VILLAGE, SUITE 100-370 DALLAS, TX 75205	NONE	PUBLIC CHARITY	IPC PEDIATRIC PSORIASIS STUDY	35,000.
Total from continuation sheets				676,500.

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
PURE HOPE 800 COMPTON ROAD, SUITE #9224 CINCINNATI, OH 45231	NONE	PUBLIC CHARITY	OPERATIONAL FUNDS	75,000.
PAUL OLIVER MEMORIAL HOSPITAL FOUNDATION 224 PARK AVENUE FRANKFORT, MI 49635	NONE	PUBLIC CHARITY	DIALYSIS PROJECT AT POMH	40,000.
PHOENIX ART MUSEUM 1625 NORTH CENTRAL AVENUE PHOENIX, AZ 850041685	NONE	PUBLIC CHARITY	ART EDUCATION	30,000.
PHOENIX CHILDREN'S HOSPITAL FOUNDATION 1919 EAST THOMAS ROAD PHOENIX, AZ 85016	NONE	PUBLIC CHARITY	DR. HEIDI DALTON'S BIO MARKER RESEARCH: CRITICAL ILLNESS IN THE PEDIATRIC ICU.	15,000.
SCOTTSDALE HEALTHCARE FOUNDATION 10001 NORTH 92ND STREET, SUITE 121 SCOTTSDALE, AZ 852584530	NONE	PUBLIC CHARITY	CLINICAL TRIALS RESEARCH	25,000.
TGEN FOUNDATION 400 EAST VANBUREN STREET, SUITE #850 PHOENIX, AZ 85004	NONE	PUBLIC CHARITY	LUNG CANCER RESEARCH	50,000.
NRA FOUNDATION 11250 WAPLES MILL ROAD FAIRFAX, VA 22030	NONE	PUBLIC CHARITY	YOUTH HUNTER SAFETY EDUCATION CHALLENGE	25,000.
CITY OF FRANKFORT 412 MAIN STREET, P.O. BOX 351 FRANKFORT, MI 49635	NONE	GOVERNMENT	MINERAL SPRINGS PROJECT	17,000.
ELIZABETH LANE OLIVER CENTER FOR THE ARTS P.O. BOX 1513 FRANKFORT, MI 49635	NONE	PUBLIC CHARITY	BUILDING CAPITAL CAMPAIGN	35,000.
GRAND TRAVERSE REGIONAL COMMUNITY FOUNDATION 250 EAST FRONT STREET, SUITE #310 TRAVERSE CITY, MI 46984	NONE	PUBLIC CHARITY	GRAND TRAVERSE YMCA CAPITAL CAMPAIGN	40,000.
Total from continuation sheets				

Part XV Supplementary Information**3 Grants and Contributions Paid During the Year (Continuation)**

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
GREATER PARADISE VALLEY COMMUNITY ASSISTANCE TEAM 10862 NORTH 22ND STREET PHOENIX, AZ 85028	NONE	PUBLIC CHARITY	BACKPACK PROGRAM	10,000.
SEARCH DOG FOUNDATION 501 EAST OJAI AVENUE OJAI, CA 93023	NONE	PUBLIC CHARITY	TRAINING TWO CANINE DISASTER SEARCH TEAMS	20,000.
UNIVERSITY OF MICHIGAN C.S. MOTT CHILDREN'S HOSPITAL WOMEN'S HOSPITAL 1000 OAKBROOK DRIVE ANN ARBOR, MI 48104	NONE	PUBLIC CHARITY	ARTWORK NAMING PROJECT	15,000.
USA SHOOTING TEAM FOUNDATION 1 OLYMPIC PLAZA COLORADO SPRINGS, CO 80909	NONE	PUBLIC CHARITY	ATHLETE ENDOWMENT 2012 OLYMPICS	5,000.
CINCINNATI HILLS CHRISTIAN ACADEMY 11525 SNIDER ROAD CINCINNATI, OH 45249	NONE	PUBLIC CHARITY	EDUCATION	7,500.
Total from continuation sheets				

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.)
1a	MERRILL LYNCH - ACCT #07051	P	VARIOUS	12/31/11
b	MERRILL LYNCH - ACCT #07051	P	VARIOUS	12/31/11
c	MERRILL LYNCH - ACCT #07051	P	VARIOUS	12/31/11
d	MERRILL LYNCH - ACCT #07052	P	VARIOUS	12/31/11
e	MERRILL LYNCH - ACCT #07052	P	VARIOUS	12/31/11
f	MERRILL LYNCH - ACCT #07052	P	VARIOUS	12/31/11
g	MERRILL LYNCH - ACCT #07053	P	VARIOUS	12/31/11
h	MERRILL LYNCH - ACCT #07053	P	VARIOUS	12/31/11
i	MERRILL LYNCH - ACCT #07053	P	VARIOUS	12/31/11
j	MERRILL LYNCH - ACCT #07006	P	VARIOUS	12/31/11
k	MERRILL LYNCH - ACCT #07006	P	VARIOUS	12/31/11
l	MERRILL LYNCH - ACCT #07046	P	VARIOUS	12/31/11
m	MERRILL LYNCH - ACCT #07046	P	VARIOUS	12/31/11
n	MERRILL LYNCH - ACCT #07046	P	VARIOUS	12/31/11
o	MERRILL LYNCH - ACCT #07046	P	VARIOUS	12/31/11

(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	51,378.	59,510.	-8,132.
b	93,539.	78,742.	14,797.
c	131,097.	111,674.	19,423.
d	367,261.	435,531.	-68,270.
e	82,248.	93,073.	-10,825.
f	472,648.	365,294.	107,354.
g	2,627.	2,124.	503.
h	2,143.	1,774.	369.
i	40,709.	23,196.	17,513.
j	1,136.	1,158.	-22.
k	1,872,079.	551,477.	1,320,602.
l	51.	68.	-17.
m	2,509.	1,643.	866.
n	83,191.	71,366.	11,825.
o	79.		79.

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			-8,132.
b			14,797.
c			19,423.
d			-68,270.
e			-10,825.
f			107,354.
g			503.
h			369.
i			17,513.
j			-22.
k			1,320,602.
l			-17.
m			866.
n			11,825.
o			79.

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

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).
If (loss), enter "-0-" in Part I, line 8

3

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.)
1a	MERRILL LYNCH - ACCT #07047	P	VARIOUS	12/31/11
b	MERRILL LYNCH - ACCT #07047	P	VARIOUS	12/31/11
c	MERRILL LYNCH - ACCT #07047	P	VARIOUS	12/31/11
d	MERRILL LYNCH - ACCT #07047	P	VARIOUS	12/31/11
e	MERRILL LYNCH - ACCT #07049	P	VARIOUS	12/31/11
f	MERRILL LYNCH - ACCT #07049	P	VARIOUS	12/31/11
g	MERRILL LYNCH - ACCT #07049	P	VARIOUS	12/31/11
h	MERRILL LYNCH - ACCT #07049	P	VARIOUS	12/31/11
i	UBS - ACCT # 76940	P	VARIOUS	12/31/11
j	UBS - ACCT # 76940	P	VARIOUS	12/31/11
k	NEUBERGER BERMAN - ACCT #22473	P	VARIOUS	12/31/11
l	NEUBERGER BERMAN - ACCT #22473	P	VARIOUS	12/31/11
m	SHORT-TERM	P	01/01/11	12/31/11
n				
o				

(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	239,699.	279,277.	-39,578.
b	220,852.	194,266.	26,586.
c	1,391.	1,729.	-338.
d	211,569.	163,683.	47,886.
e	295,690.	344,295.	-48,605.
f	126,822.	125,715.	1,107.
g	2,157.	2,566.	-409.
h	348,060.	340,360.	7,700.
i	44,509.	53,331.	-8,822.
j	980,048.	950,009.	30,039.
k		51,124.	-51,124.
l	100,011.		100,011.
m		2,174.	-2,174.
n			
o			

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) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-")
a			-39,578.
b			26,586.
c			-338.
d			47,886.
e			-48,605.
f			1,107.
g			-409.
h			7,700.
i			-8,822.
j			30,039.
k			-51,124.
l			100,011.
m			-2,174.
n			
o			

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	1,468,344.
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). If (loss), enter "-0-" in Part I, line 8 }	3	N/A

FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

SOURCE	AMOUNT
INTEREST INCOME	108,679.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	108,679.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
DIVIDEND INCOME	347,410.	0.	347,410.
TOTAL TO FM 990-PF, PART I, LN 4	347,410.	0.	347,410.

FORM 990-PF LEGAL FEES STATEMENT 3

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
LEGAL FEES	1,066.	0.		1,066.
TO FM 990-PF, PG 1, LN 16A	1,066.	0.		1,066.

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
TAX PREPARATION FEES	6,975.	3,488.		3,487.
TO FORM 990-PF, PG 1, LN 16B	6,975.	3,488.		3,487.

FORM 990-PF	OTHER PROFESSIONAL FEES			STATEMENT 5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
INVESTMENT FEES	95,101.	95,101.		0.
CONSULTING FEES	1,157.	0.		1,157.
TO FORM 990-PF, PG 1, LN 16C	96,258.	95,101.		1,157.

FORM 990-PF	TAXES			STATEMENT 6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FOREIGN TAXES	1,509.	1,509.		0.
EXCISE TAXES	75,622.	0.		0.
TO FORM 990-PF, PG 1, LN 18	77,131.	1,509.		0.

FORM 990-PF	OTHER EXPENSES			STATEMENT 7
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
POSTAGE	77.	0.		77.
MISCELLANEOUS FEES	4,081. 50.	4,081. 30.		0. 20.
TO FORM 990-PF, PG 1, LN 23	4,208.	4,111.		97.

FORM 990-PF	CORPORATE STOCK	STATEMENT	8
-------------	-----------------	-----------	---

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE STOCK	10,965,606.	13,271,631.
TOTAL TO FORM 990-PF, PART II, LINE 10B	10,965,606.	13,271,631.

FORM 990-PF	CORPORATE BONDS	STATEMENT	9
-------------	-----------------	-----------	---

DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE
CORPORATE BONDS	2,531,470.	2,603,877.
TOTAL TO FORM 990-PF, PART II, LINE 10C	2,531,470.	2,603,877.

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

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

PIMCO INVESTMENT GRADE CORPORATE BOND FD CL C .6930 Sale		CUSIP Number 722008406	06/18/10	04/27/11	7.40	7.70	0.00	(0.30)
--	--	------------------------	----------	----------	------	------	------	--------

PIMCO UNCONSTRAINED BOND FUND CL C .6890 Sale		CUSIP Number 72201M297	12/08/10	04/27/11	7.62	7.64	0.00	(0.02)
---	--	------------------------	----------	----------	------	------	------	--------

BLACKROCK GLOBAL ALLOCATION FD INC C .7340 Sale		CUSIP Number 09251T301	12/21/10	04/27/11	13.97	13.25	0.00	0.72
---	--	------------------------	----------	----------	-------	-------	------	------

TEMPLETON GLOBAL BOND FD CLASS C .4930 Sale		CUSIP Number 880208301	08/31/10	04/27/11	6.82	6.53	0.00	0.29
---	--	------------------------	----------	----------	------	------	------	------

BLACKROCK INTL OPP PORT C .0110 Sale		CUSIP Number 091929505	12/15/10	04/27/11	0.36	0.34	0.00	0.02
--------------------------------------	--	------------------------	----------	----------	------	------	------	------

THORNBURG INTERNATIONAL VALUE FD C .7890 Sale		CUSIP Number 885215640	09/24/10	04/27/11	22.16	19.31	0.00	2.85
---	--	------------------------	----------	----------	-------	-------	------	------

Noncovered Short Term Capital Gains and Losses Subtotal

1,136.30 1,157.53 0.00 (21.23)

NET SHORT TERM CAPITAL GAINS AND LOSSES

1,136.30 1,157.53 0.00 (21.23)

LONG TERM CAPITAL GAINS AND LOSSES

NONCOVERED TRANSACTIONS

CD CAPITAL ONE NA MCLEAN, VA 04.000% MAY 09 2011		CUSIP Number 14042ENW6	04/28/08	05/09/11	40,000.00	40,000.00	0.00	0.00
--	--	------------------------	----------	----------	-----------	-----------	------	------

40000.0000 Redemption

HERBERT H AND BARBARA C DOW

Account No.
07006

Taxpayer No. --

Page
9 of 16

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
CD BANCO POP NORTH AMER NEW YORK, NY									
	05 050% AUG 29 2011	08/21/07	08/29/11	05965GJF4	97,000.00	97,000.00	0.00	0.00	
	97000.0000 Redemption								
CD STATE BANK OF INDIA NEW YORK, NY									
	04 700% OCT 24 2011	10/08/07	10/24/11	856284LY8	97,000.00	97,000.00	0.00	0.00	
	97000.0000 Redemption								
KENTUCKY HSG CORP HSG RV O 7DD PUT BPA TAXABLE AUG06 --ADJ%JAN07 36									
	25000.0000 Redemption	02/22/08	12/21/11	49130PJ62	25,000.00	25,001.16	0.00	(1.16)	
BAC CLIRN RIC SV = 2141.73 ROG INTL COMM DUE OCTOBER 4, 2011									
	10000.0000 Redemption	09/24/09	10/04/11	06052E236	136,720.00	100,000.00	0.00	36,720.00	
DOW CHEMICAL CO									
	14670.0000 Sale	01/26/96	01/07/11	260543103	519,890.65	21,804.77	0.00	498,085.88	
	20930.0000 Sale	01/26/96	01/10/11		741,741.29	31,109.32	0.00	710,631.97	
	Security Subtotal				1,261,631.94	52,914.09	0.00	1,208,717.85	
TEMPLETON CHINA WORLD FUND CL C									
	4993.0000 Sale	04/03/09	03/18/11	88018X409	186,134.42	112,996.94	0.00	73,137.48	
	48.0000 Sale	12/22/09	03/18/11		1,789.39	1,559.52	0.00	229.87	
	718.0000 Sale	01/07/10	03/18/11		26,766.38	24,970.21	0.00	1,796.17	
	1.0000 Sale	01/12/10	03/18/11		37.27	34.97	0.00	2.30	
	Security Subtotal				214,727.46	139,561.64	0.00	75,165.82	
Noncovered Long Term Capital Gains and Losses Subtotal					1,872,079.40	551,476.89	0.00	1,320,602.51	
NET LONG TERM CAPITAL GAINS AND LOSSES					1,872,079.40	551,476.89	0.00	1,320,602.51	
TOTAL CAPITAL GAINS AND LOSSES					1,873,215.70				
TOTAL REPORTED SALES PROCEEDS					1,873,215.70				

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

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

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES								
COVERED TRANSACTIONS								
TNT N V	ADR	CUSIP Number 03/18/11	87260W101 04/01/11	51.25	67.53	0.00	(16.28)	
Covered Short Term Capital Gains and Losses Subtotal				51.25	67.53	0.00	(16.28)	
NONCOVERED TRANSACTIONS								
BANCO BRADESCO S A	ADR	CUSIP Number 02/18/11	059460303 02/18/11	29.00	29.00	0.00	0.00	
FANUC LTD-UNSP	80.0000 Sale	CUSIP Number 07/29/10	307305102 07/25/11	2,479.77	1,613.91	0.00	865.86	
Noncovered Short Term Capital Gains and Losses Subtotal				2,508.77	1,642.91	0.00	865.86	
NET SHORT TERM CAPITAL GAINS AND LOSSES				2,560.02	1,710.44	0.00	849.58	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

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

LONG TERM CAPITAL GAINS AND LOSSES

NONCOVERED TRANSACTIONS

AMERICA MOVIL SAB DE CV ADR	35,000	Sale	01/12/09	06/07/11	1,701.90	1,076.52	0.00	625.38	
CUSIP Number 02364W105									
BAYER AG	SP	ADR	09/21/09	072730302	1,085.46	992.60	0.00	92.86	
14,000	Sale		06/23/11		804.35	921.70	0.00	(117.35)	
13,000	Sale		11/04/11		618.73	782.50	0.00	(163.77)	
10,000	Sale		11/04/11		804.36	910.65	0.00	(106.29)	
13,000	Sale		03/18/10						
Security Subtotal					3,312.90	3,607.45	0.00	(294.55)	
BHP BILLITON LTD	ADR		05/21/07	088606108	3,085.52	1,602.07	0.00	1,483.45	
31,000	Sale		04/27/11		1,437.10	1,085.27	0.00	351.83	
21,000	Sale		10/05/11						
Security Subtotal					4,522.62	2,687.34	0.00	1,835.28	
BAYERISCHE MOTORENWERKE AG BMW SHS			02/03/10	072743206	1,491.81	695.64	0.00	796.17	
48,000	Sale		04/28/11		879.99	434.78	0.00	445.21	
30,000	Sale		08/04/11		146.67	73.15	0.00	73.52	
5,000	Sale		03/18/10		1,001.30	541.31	0.00	459.99	
37,000	Sale		11/04/11		27.07	15.75	0.00	11.32	
1,000	Sale		04/06/10		1,788.32	1,291.13	0.00	497.19	
82,000	Sale		12/29/11						
Security Subtotal					5,335.16	3,051.76	0.00	2,283.40	
CANADIAN NATL RAILWAY CO			05/21/07	136375102	1,556.77	1,075.61	0.00	481.16	
20,000	Sale		12/07/11						
CENTRICA PLC			03/02/10	15639K300	1,177.61	1,095.03	0.00	82.58	
SPR ADR NEW			09/21/11						
64,000	Sale								

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
CSL LTD SHS									
85.0000	Sale	02/23/09	12637N105	10/19/11	1,325.81	1,009.94	0.00	315.87	
68.0000	Sale	04/20/09		10/19/11	1,060.65	798.31	0.00	262.34	
14.0000	Sale	09/21/09		10/19/11	218.37	209.58	0.00	8.79	
	Security Subtotal				2,604.83	2,017.83	0.00	587.00	
ENCANA CORP									
11.0000	Sale	05/21/07	292505104	08/04/11	303.94	357.12	0.00	(53.18)	
16.0000	Sale	04/22/09		08/04/11	442.10	366.06	0.00	76.04	
18.0000	Sale	09/21/09		08/04/11	497.36	529.03	0.00	(31.67)	
7.0000	Sale	01/11/10		08/04/11	193.42	239.68	0.00	(46.26)	
10.0000	Sale	03/18/10		08/04/11	276.32	324.40	0.00	(48.08)	
	Security Subtotal				1,713.14	1,816.29	0.00	(103.15)	
FANUC LTD-UNSP									
23.0000	Sale	07/29/10	307305102	08/08/11	648.26	464.00	0.00	184.26	
GRUPO TELEVISION SA ADR									
49.0000	Sale	07/21/08	40049J206	04/11/11	1,119.73	1,174.80	0.00	(55.07)	
HUTCHISON WHAMPOA ADR									
	Cash/Lieu	03/18/10	448415208	07/19/11	10.59	7.30	0.00	3.29	
IMPERIAL TOB GRP SPS ADR									
2.0000	Sale	08/28/08	453142101	08/03/11	136.18	131.95	0.00	4.23	
15.0000	Sale	01/12/09		08/03/11	1,021.36	849.75	0.00	171.61	
	Security Subtotal				1,157.54	981.70	0.00	175.84	
INFOSYS TECH LTD ADR									
12.0000	Sale	09/21/09	456788108	07/13/11	738.50	591.96	0.00	146.54	
INTL POWER PLC SPON ADR									
8.0000	Sale	08/28/08	46018M104	06/24/11	390.91	588.74	0.00	(197.83)	
20.0000	Sale	10/13/08		06/24/11	977.27	936.66	0.00	40.61	
18.0000	Sale	01/12/09		06/24/11	879.56	736.20	0.00	143.36	
13.0000	Sale	01/12/09		08/15/11	629.26	531.70	0.00	97.56	
16.0000	Sale	09/21/09		08/15/11	774.48	783.36	0.00	(8.88)	
	Security Subtotal				3,651.48	3,576.66	0.00	74.82	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	CUSIP Number	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
INDUSTRIAL AND COMMERCL BNK OF CHN									
58.0000	Sale	01/28/10	10/07/11	455807107	585.44	853.60	0.00	(268.16)	
KOMATSU NEW NEW SPNSDADR									
45.0000	Sale	01/12/09	07/07/11	500458401	1,415.24	602.32	0.00	812.92	
KEPPEL LTD SPONS ADR									
55.0000	Sale	01/12/09	04/14/11	492051305	1,100.57	330.00	0.00	770.57	
	Cash/Lieu	03/18/10	05/23/11		9.12	5.73	0.00	3.39	
	Security Subtotal				1,109.69	335.73	0.00	773.96	
NIDEC CORPORATION ADR									
10.0000	Sale	01/12/09	04/14/11	654090109	208.68	102.50	0.00	106.18	
37.0000	Sale	02/23/09	04/14/11		772.13	388.90	0.00	383.23	
27.0000	Sale	02/23/09	05/06/11		593.94	283.79	0.00	310.15	
74.0000	Sale	09/21/09	06/06/11		1,627.85	1,493.65	0.00	134.20	
	Security Subtotal				3,202.60	2,268.84	0.00	933.76	
NOVARTIS ADR									
19.0000	Sale	10/19/09	12/21/11	66987V109	1,068.81	989.03	0.00	79.78	
4.0000	Sale	01/11/10	12/21/11		225.02	212.96	0.00	12.06	
2.0000	Sale	03/18/10	12/21/11		112.51	109.38	0.00	3.13	
	Security Subtotal				1,406.34	1,311.37	0.00	94.97	
NESTLE S A REP RG SH ADR									
15.0000	Sale	02/29/08	01/21/11	641069406	823.08	734.56	0.00	88.52	
9.0000	Sale	02/29/08	01/24/11		495.16	440.73	0.00	54.43	
5.0000	Sale	04/30/08	01/24/11		275.10	217.18	0.00	57.92	
6.0000	Sale	04/30/08	08/31/11		371.71	260.62	0.00	111.09	
11.0000	Sale	02/20/09	08/31/11		681.47	367.57	0.00	313.90	
5.0000	Sale	09/21/09	08/31/11		309.77	214.75	0.00	95.02	
	Security Subtotal				2,956.29	2,235.41	0.00	720.88	
NOVO NORDISK A S ADR									
9.0000	Sale	05/21/07	02/25/11	670100205	1,119.20	463.51	0.00	655.69	
9.0000	Sale	05/21/07	08/04/11		1,011.27	463.50	0.00	547.77	
2.0000	Sale	04/30/08	08/04/11		224.73	136.36	0.00	88.37	
	Security Subtotal				2,355.20	1,063.37	0.00	1,291.83	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
PHILPPNE L D TEL ADR								
	CUSIP Number	718252604						
15.0000	Sale	09/21/09	03/25/11	698.92	728.10	0.00	(29.18)	
4.0000	Sale	09/21/09	03/25/11	186.38	194.16	0.00	(7.78)	
4.0000	Sale	09/21/09	03/25/11	186.38	194.16	0.00	(7.78)	
9.0000	Sale	01/11/10	03/25/11	419.35	532.44	0.00	(113.09)	
16.0000	Sale	03/18/10	03/25/11	745.53	896.16	0.00	(150.63)	
23.0000	Sale	11/11/08	03/30/11	1,066.17	943.96	0.00	122.21	
9.0000	Sale	02/23/09	03/30/11	417.19	407.95	0.00	9.24	
9.0000	Sale	04/09/09	03/30/11	417.20	425.42	0.00	(8.22)	
4.0000	Sale	09/21/09	03/30/11	185.43	194.16	0.00	(8.73)	
Security Subtotal				4,322.55	4,516.51	0.00	(193.96)	
PETROLEO BRAS VTG SPD ADR								
	CUSIP Number	71654V408						
35.0000	Sale	05/21/07	07/11/11	1,143.93	950.96	0.00	192.97	
6.0000	Sale	04/30/08	07/11/11	196.10	352.41	0.00	(156.31)	
27.0000	Sale	09/21/09	07/11/11	882.46	1,218.51	0.00	(336.05)	
10.0000	Sale	01/11/10	07/11/11	326.83	480.10	0.00	(153.27)	
16.0000	Sale	03/18/10	07/11/11	522.95	747.52	0.00	(224.57)	
Security Subtotal				3,072.27	3,749.50	0.00	(677.23)	
ROYAL KPN N V SP ADR								
	CUSIP Number	780641205						
64.0000	Sale	02/24/09	04/27/11	984.77	866.01	0.00	118.76	
51.0000	Sale	04/14/09	04/27/11	784.75	632.00	0.00	152.75	
2.0000	Sale	09/21/09	04/27/11	30.78	33.00	0.00	(2.22)	
72.0000	Sale	09/21/09	05/12/11	1,067.08	1,188.00	0.00	(120.92)	
27.0000	Sale	01/11/10	05/12/11	400.15	470.88	0.00	(70.73)	
43.0000	Sale	03/18/10	05/12/11	637.30	683.27	0.00	(45.97)	
Security Subtotal				3,904.83	3,873.16	0.00	31.67	
ROCHE HLDG LTD SPN ADR								
	CUSIP Number	771195104						
22.0000	Sale	11/15/07	02/02/11	842.25	983.36	0.00	(141.11)	
10.0000	Sale	04/30/08	02/02/11	382.84	414.75	0.00	(31.91)	
4.0000	Sale	01/16/09	02/02/11	153.15	151.52	0.00	1.63	
27.0000	Sale	01/16/09	02/03/11	1,011.82	1,022.76	0.00	(10.94)	
41.0000	Sale	01/16/09	02/10/11	1,485.89	1,553.08	0.00	(67.19)	
7.0000	Sale	09/21/09	02/10/11	253.69	286.37	0.00	(32.68)	
Security Subtotal				4,129.64	4,411.84	0.00	(282.20)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
SHIRE PLC-ADR									
10,000	Sale	01/12/09	82481R106	04/19/11	905.01	449.91	0.00	455.10	
6,000	Sale	04/15/09		04/19/11	543.01	221.30	0.00	321.71	
12,000	Sale	04/15/09		05/13/11	1,136.75	442.59	0.00	694.16	
1,000	Sale	09/21/09		05/13/11	94.73	52.30	0.00	42.43	
17,000	Sale	09/21/09		07/06/11	1,607.00	889.10	0.00	717.90	
18,000	Sale	09/21/09		09/07/11	1,734.45	941.40	0.00	793.05	
	Security Subtotal				6,020.95	2,996.60	0.00	3,024.35	
SHARP CORP ADR									
136,000	Sale	01/12/09	819882200	06/20/11	1,174.30	1,203.60	0.00	(29.30)	
91,000	Sale	09/21/09		06/20/11	785.75	1,051.05	0.00	(265.30)	
33,000	Sale	01/11/10		06/20/11	284.94	425.70	0.00	(140.76)	
51,000	Sale	03/18/10		06/20/11	440.38	610.98	0.00	(170.60)	
	Security Subtotal				2,685.37	3,291.33	0.00	(605.96)	
TESCO PLC SPNRD ADR									
20,000	Sale	02/04/08	881575302	04/21/11	390.24	490.35	0.00	(100.11)	
13,000	Sale	04/30/08		04/21/11	253.65	331.50	0.00	(77.85)	
6,000	Sale	07/01/08		04/21/11	117.08	130.50	0.00	(13.42)	
12,000	Sale	07/01/08		04/25/11	233.93	260.99	0.00	(27.06)	
13,000	Sale	07/01/08		04/26/11	259.36	282.75	0.00	(23.39)	
	Security Subtotal				1,254.26	1,496.09	0.00	(241.83)	
TALISMAN ENERGY INC COM									
16,000	Sale	09/09/09	87425E103	07/22/11	329.91	269.57	0.00	60.34	
53,000	Sale	09/21/09		07/22/11	1,092.83	924.85	0.00	167.98	
20,000	Sale	01/11/10		07/22/11	412.39	386.80	0.00	25.59	
31,000	Sale	03/18/10		07/22/11	639.22	557.69	0.00	81.53	
	Security Subtotal				2,474.35	2,138.91	0.00	335.44	
TEVA PHARMACTCL INDS ADR									
22,000	Sale	11/05/07	881624209	02/08/11	1,129.55	969.32	0.00	160.23	
TAIWAN S MANUFACTURING ADR									
1,000	Sale	08/29/08	874039100	07/19/11	12.09	9.84	0.00	2.25	
81,000	Sale	01/12/09		07/19/11	980.11	588.82	0.00	391.29	
	Security Subtotal				992.20	598.66	0.00	393.54	

HERBERT H AND BARBARA C DOW

Account No.
-07046

Taxpayer No.

Page
13 of 26

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
TREND MICRO INC ADR NEW									
31.0000	Sale	05/21/07	89486M206	06/30/11	963.00	998.10	0.00	(35.10)	
3.0000	Sale	04/30/08		06/30/11	93.19	112.95	0.00	(19.76)	
22.0000	Sale	09/21/09		06/30/11	683.42	809.60	0.00	(126.18)	
8.0000	Sale	01/11/10		06/30/11	248.51	319.60	0.00	(71.09)	
14.0000	Sale	03/18/10		06/30/11	434.92	505.12	0.00	(70.20)	
	Security Subtotal				2,423.04	2,745.37	0.00	(322.33)	
TNT N V ADR									
59.0000	Sale	01/12/09	87260W101	04/01/11	1,511.82	1,196.55	0.00	315.27	
28.0000	Sale	09/21/09		04/01/11	717.48	760.76	0.00	(43.28)	
42.0000	Sale	11/27/09		04/01/11	1,076.22	1,227.69	0.00	(151.47)	
15.0000	Sale	01/11/10		04/01/11	384.36	483.00	0.00	(98.64)	
25.0000	Sale	03/18/10		04/01/11	640.61	698.50	0.00	(57.89)	
	Security Subtotal				4,330.49	4,366.50	0.00	(36.01)	
TOYOTA MOTOR CORP ADR									
12.0000	Sale	01/12/09	892331307	12/13/11	796.98	782.37	0.00	14.61	
5.0000	Sale	09/21/09		12/13/11	332.08	415.45	0.00	(83.37)	
	Security Subtotal				1,129.06	1,197.82	0.00	(68.76)	
VODAFONE GROU PLC SP ADR									
63.0000	Sale	01/12/09	92857W209	05/06/11	1,748.79	1,280.16	0.00	468.63	
8.0000	Sale	09/21/09		05/06/11	222.07	182.56	0.00	39.51	
	Security Subtotal				1,970.86	1,462.72	0.00	508.14	
VOLVO AKTIEBOLAGET ADR									
101.0000	Sale	12/16/10	928856400	12/22/11	1,070.04	1,656.99	0.00	(586.95)	
Noncovered Long Term Capital Gains and Losses Subtotal					83,191.29	71,366.21	0.00	11,825.08	
NET LONG TERM CAPITAL GAINS AND LOSSES					83,191.29	71,366.21	0.00	11,825.08	



Account No.
07046

Taxpayer No.

Page
14 of 26

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

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

OTHER TRANSACTIONS

ROYAL DUTCH SHELL PLC SPONS ADR A	Cash/Lieu	CUSIP Number 04/01/11	780259206 04/01/11	60.16	N/A	0.00	N/A	
--------------------------------------	-----------	--------------------------	-----------------------	-------	-----	------	-----	--

TNT N V	ADR Cash/Lieu	CUSIP Number 03/24/11	87260W101 03/24/11	18.81	N/A	0.00	N/A	
---------	------------------	--------------------------	-----------------------	-------	-----	------	-----	--

Other Transactions Subtotal

78.97

TOTAL CAPITAL GAINS AND LOSSES TOTAL REPORTED SALES PROCEEDS

85,830.28
85,830.28

N/A Results which cannot be calculated because of insufficient data in the Capital Gain (or Loss) Column and are not included in the Realized Capital Gain and Loss summary.

2011 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES (16.28)	NONCOVERED SHORT TERM GAINS/LOSSES 865.86	COVERED LONG TERM GAINS/LOSSES 0.00	NONCOVERED LONG TERM GAINS/LOSSES 11,825.08
---	---	---	---



HERBERT H AND BARBARA C DOW

Account No.
07047

Taxpayer No. _____

Page 7 of 37

2011 ANNUAL STATEMENT SUMMARY

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

1099-B

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Transaction Quantity Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES							
COVERED TRANSACTIONS							
ADOBE SYS DEL PV\$ 0.001 55,000.00 Sale	CUSIP Number 01/14/11	00724F101 04/26/11	1,818.14	1,856.67	0.00	(38.53)	
AMAZON COM INC COM 13,000.00 Sale	CUSIP Number 01/14/11	023135106 11/22/11	2,481.56	2,437.89	0.00	43.67	
AMERICAN TOWER CORP CL A 58,000.00 Sale	CUSIP Number 01/14/11	029912201 04/11/11	2,913.14	2,906.17	0.00	6.97	
ALLEGHENY TECH INC 26,000.00 Sale 35,000.00 Sale	CUSIP Number 01/14/11 01/14/11	01741R102 10/04/11 10/05/11	835.79 1,153.07 <u>1,988.86</u>	1,507.80 2,029.74 <u>3,537.54</u>	0.00 0.00 <u>0.00</u>	(672.01) (876.67) <u>(1,548.68)</u>	
Security Subtotal							
AMGEN INC COM PV \$0.0001 3,000.00 Sale 21,000.00 Sale	CUSIP Number 01/14/11 01/14/11	031162100 04/15/11 04/18/11	166.94 1,154.84 <u>1,321.78</u>	169.82 1,188.73 <u>1,358.55</u>	0.00 0.00 <u>0.00</u>	(2.88) (33.89) <u>(36.77)</u>	
Security Subtotal							
BAKER HUGHES INC 28,000.00 Sale 99,000.00 Sale	CUSIP Number 01/28/11 01/28/11	057224107 08/09/11 09/29/11	1,687.26 4,762.98 <u>6,450.24</u>	1,902.70 6,727.39 <u>8,630.09</u>	0.00 0.00 <u>0.00</u>	(215.44) (1,964.41) <u>(2,179.85)</u>	
Security Subtotal							

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
COGNIZANT TECH SOLUTIONS A								
21,000	Sale	03/22/11	192446102	1,483.57	1,615.59	0.00	(132.02)	
14,000	Sale	03/23/11	06/14/11	989.05	1,068.90	0.00	(79.85)	
15,000	Sale	03/23/11	06/15/11	1,042.66	1,145.25	0.00	(102.59)	
37,000	Sale	03/23/11	08/02/11	2,653.81	2,824.94	0.00	(171.13)	
12,000	Sale	03/24/11	08/02/11	860.70	930.72	0.00	(70.02)	
6,000	Sale	04/25/11	08/02/11	430.35	490.44	0.00	(60.09)	
11,000	Sale	04/25/11	08/09/11	701.07	899.15	0.00	(198.08)	
31,000	Sale	04/26/11	08/09/11	1,975.76	2,537.85	0.00	(562.09)	
	Security Subtotal			10,136.97	11,512.84	0.00	(1,375.87)	
CANADIAN NATURAL RES LTD.								
81,000	Sale	01/14/11	136385101	2,420.78	3,389.15	0.00	(968.37)	
CHECK POINT SOFTWARE TECH								
28,000	Sale	01/14/11	M22465104	1,393.01	1,289.85	0.00	103.16	
20,000	Sale	01/14/11	08/09/11	970.47	921.32	0.00	49.15	
	Security Subtotal			2,363.48	2,211.17	0.00	152.31	
CTRIPO.COM INTL LTD ADR								
28,000	Sale	11/23/10	22943F100	1,134.60	1,316.88	0.00 (Y)	(182.28)	
CATERPILLAR INC DEL								
28,000	Sale	01/14/11	149123101	2,549.37	2,633.40	0.00	(84.03)	
25,000	Sale	02/18/11	08/15/11	2,276.23	2,630.98	0.00	(354.75)	
	Security Subtotal			4,825.60	5,264.38	0.00	(438.78)	
CELGENE CORP COM								
33,000	Sale	05/06/10	151020104	1,680.85	2,200.59	0.00 (Y)	(519.74)	
CAMERON INTL CORP								
32,000	Sale	01/14/11	13342B105	1,507.24	1,655.07	0.00	(147.83)	
CME GROUP INC								
4,000	Sale	01/14/11	12572Q105	1,051.36	1,265.31	0.00	(213.95)	
1,000	Sale	01/14/11	10/26/11	273.33	316.33	0.00	(43.00)	
	Security Subtotal			1,324.69	1,581.64	0.00	(256.95)	
CISCO SYSTEMS INC COM								
62,000	Sale	01/14/11	17275R102	1,163.19	1,313.47	0.00	(150.28)	



HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
CORNING INC								
92.0000	Sale	CUSIP Number 01/14/11	219350105 05/19/11	1,847.19	1,819.37	0.00	27.82	
CUMMINS INC								
7.0000	COM Sale	CUSIP Number 01/14/11	231021106 08/09/11	633.12	786.55	0.00	(153.43)	
19.0000	Sale	01/14/11	08/10/11	1,666.43	2,134.91	0.00	(468.48)	
	Security Subtotal			2,299.55	2,921.46	0.00	(621.91)	
DANAHER CORP DEL COM								
32.0000	Sale	CUSIP Number 01/14/11	235851102 01/31/11	1,472.50	1,508.95	0.00	(36.45)	
DENBURY RES INC								
35.0000	Sale	CUSIP Number 01/14/11	247916208 04/28/11	759.17	670.22	0.00	88.95	
DEVON ENERGY CORP NEW								
46.0000	Sale	CUSIP Number 03/07/11	25179M103 06/23/11	3,535.78	4,153.57	0.00	(617.79)	
4.0000	Sale	03/08/11	06/23/11	307.46	357.10	0.00	(49.64)	
14.0000	Sale	03/08/11	06/24/11	1,084.53	1,249.85	0.00	(165.32)	
24.0000	Sale	03/10/11	06/24/11	1,859.21	2,080.80	0.00	(221.59)	
	Security Subtotal			6,786.98	7,841.32	0.00	(1,054.34)	
EMERSON ELEC CO								
28.0000	Sale	CUSIP Number 01/14/11	291011104 05/12/11	1,520.63	1,632.04	0.00	(111.41)	
FREEMPT-MCMRAN CPR & GLD								
96.0000	Sale	CUSIP Number 01/14/11	35671D857 09/29/11	3,016.10	5,684.46	0.00	(2,668.36)	
FLOWSERVE CORP								
13.0000	Sale	CUSIP Number 02/03/11	34354P105 05/25/11	1,523.70	1,655.79	0.00	(132.09)	
13.0000	Sale	02/04/11	05/25/11	1,523.71	1,679.29	0.00	(155.58)	
7.0000	Sale	02/04/11	06/06/11	787.92	904.23	0.00	(116.31)	
16.0000	Sale	02/04/11	06/07/11	1,799.21	2,066.81	0.00	(267.60)	
9.0000	Sale	02/04/11	06/08/11	997.38	1,162.58	0.00	(165.20)	
3.0000	Sale	02/04/11	06/10/11	319.36	387.53	0.00	(68.17)	
10.0000	Sale	03/03/11	06/10/11	1,064.55	1,297.46	0.00	(232.91)	
8.0000	Sale	03/03/11	06/13/11	842.08	1,037.96	0.00	(195.88)	
13.0000	Sale	03/04/11	06/13/11	1,368.39	1,663.92	0.00	(295.53)	
	Security Subtotal			10,226.30	11,855.57	0.00	(1,629.27)	



HERBERT H AND BARBARA C DOW

Account No.
07047

Taxpayer No.

Page
10 of 37

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
8.0000	F5 NETWORKS INC COM Sale	01/14/11	315616102	03/22/11	748.93	1,145.04	0.00	(396.11)	
28.0000	FIRST SOLAR INC Sale	03/15/11	336433107	05/27/11	3,330.67	4,416.54	0.00	(1,085.87)	
21.0000	Sale	03/15/11		06/23/11	2,555.74	3,312.41	0.00	(756.67)	
23.0000	Sale	03/31/11		06/23/11	2,799.16	3,695.82	0.00	(896.66)	
3.0000	Sale	04/01/11		06/24/11	361.22	485.67	0.00	(124.45)	
	Security Subtotal				9,046.79	11,910.44	0.00	(2,863.65)	
93.0000	GILEAD SCIENCES INC COM Sale	07/21/11	375558103	09/27/11	3,730.15	3,998.57	0.00	(268.42)	
244.0000	HEWLETT PACKARD CO DEL Sale	02/09/11	428236103	06/23/11	8,495.09	11,834.49	0.00	(3,339.40)	
10.0000	ILLUMINA INC COM Sale	01/12/11	452327109	10/03/11	383.05	668.60	0.00	(285.55)	
14.0000	Sale	01/12/11		10/04/11	531.35	936.04	0.00	(404.69)	
6.0000	Sale	01/13/11		10/04/11	227.73	413.68	0.00	(185.95)	
50.0000	Sale	01/13/11		12/12/11	1,357.96	3,447.38	0.00	(2,089.42)	
	Security Subtotal				2,500.09	5,465.70	0.00	(2,965.61)	
62.0000	INTEL CORP Sale	05/18/11	458140100	11/04/11	1,474.46	1,479.89	0.00	(5.43)	
104.0000	Sale	05/19/11		11/04/11	2,473.29	2,444.71	0.00	28.58	
	Security Subtotal				3,947.75	3,924.60	0.00	23.15	
26.0000	JPMORGAN CHASE & CO Sale	01/14/11	46625H100	06/23/11	1,035.71	1,178.06	0.00	(142.35)	
61.0000	JOHNSON AND JOHNSON COM Sale	05/12/11	478160104	11/04/11	3,896.77	4,059.85	0.00	(163.08)	
59.0000	Sale	05/12/11		12/02/11	3,749.62	3,926.75	0.00	(177.13)	
11.0000	Sale	06/23/11		12/02/11	699.09	716.06	0.00	(16.97)	
	Security Subtotal				8,345.48	8,702.66	0.00	(357.18)	
44.0000	KIMBERLY CLARK Sale	09/22/11	494368103	12/05/11	3,099.09	3,028.08	0.00	71.01	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
35.0000	KOHL'S CORP WISC PV 1CT Sale	08/11/11	500255104	12/12/11	1,771.68	1,676.84	0.00	94.84	
16.0000	LABORATORY CP AMER HLDGS Sale	01/14/11	50540R409	01/24/11	1,437.87	1,457.96	0.00	(20.09)	
7.0000	LAS VEGAS SANDS CORP Sale	06/07/11	517834107	10/03/11	259.14	283.45	24.31 (W)	0.00	
30.0000	06/07/11 Sale	06/07/11		10/03/11	1,110.61	1,214.80	104.19 (W)	0.00	
12.0000	06/07/11 Sale	06/07/11		10/03/11	444.25	485.92	0.00	(41.67)	
69.0000	06/07/11 Sale	06/07/11		11/29/11	3,083.43	2,794.03	0.00	289.40	
	Security Subtotal				4,897.43	4,778.20	128.50	247.73	
97.0000	MICROSOFT CORP Sale	08/09/11	594918104	12/02/11	2,449.64	2,444.91	0.00	4.73	
115.0000	NVIDIA Sale	01/07/11	67066G104	02/08/11	2,744.55	2,235.20	0.00	509.35	
122.0000	01/07/11 Sale	01/07/11		02/09/11	2,931.40	2,371.25	0.00	560.15	
87.0000	01/07/11 Sale	01/07/11		03/10/11	1,590.99	1,690.98	0.00	(99.99)	
166.0000	01/07/11 Sale	01/07/11		03/10/11	3,035.68	3,226.46	0.00	(190.78)	
110.0000	01/14/11 Sale	01/14/11		03/10/11	2,011.60	2,617.75	0.00	(606.15)	
	Security Subtotal				12,314.22	12,141.64	0.00	172.58	
19.0000	NETFLIX COM INC Sale	01/14/11	64110L106	09/29/11	2,117.30	3,632.65	0.00	(1,515.35)	
10.0000	04/26/11 Sale	04/26/11		09/29/11	1,114.37	2,329.20	0.00	(1,214.83)	
8.0000	07/26/11 Sale	07/26/11		09/29/11	891.51	2,044.84	0.00	(1,153.33)	
	Security Subtotal				4,123.18	8,006.69	0.00	(3,883.51)	
34.0000	NETAPP INC Sale	01/14/11	64110D104	04/05/11	1,566.41	2,021.85	0.00	(455.44)	
24.0000	NORDSTROM INC Sale	01/14/11	655664100	06/24/11	1,082.53	1,009.31	0.00	73.22	
8.0000	01/14/11 Sale	01/14/11		06/27/11	359.15	336.44	0.00	22.71	
	Security Subtotal				1,441.68	1,345.75	0.00	95.93	
6.0000	PRICELINE COM INC Sale	01/14/11	741503403	02/24/11	2,746.99	2,614.86	0.00	132.13	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
PEPSICO INC									
104.0000	Sale	05/18/11	713448108	12/01/11	6,671.11	7,392.41	0.00	(721.30)	
POTASH CORP SASKATCHEWAN									
6.0000	Sale	01/06/11	737551107	08/19/11	306.40	331.92	0.00	(25.52)	
27.0000	Sale	01/06/11	737551107	08/22/11	1,395.68	1,493.63	0.00	(97.95)	
48.0000	Sale	01/14/11	737551107	08/22/11	2,481.23	2,752.53	0.00	(271.30)	
	Security Subtotal				4,183.31	4,578.08	0.00	(394.77)	
PROCTER & GAMBLE CO									
29.0000	Sale	01/14/11	742718109	12/05/11	1,877.58	1,898.34	0.00	(20.76)	
ROCKWELL AUTOMATION INC									
16.0000	Sale	02/11/11	773903109	06/15/11	1,252.62	1,407.46	0.00	(154.84)	
2.0000	Sale	02/11/11	773903109	06/16/11	156.79	175.93	0.00	(19.14)	
6.0000	Sale	02/14/11	773903109	06/16/11	470.40	530.69	0.00	(60.29)	
30.0000	Sale	02/14/11	773903109	08/23/11	1,653.53	2,653.43	0.00	(999.90)	
34.0000	Sale	02/15/11	773903109	08/23/11	1,874.00	3,010.26	0.00	(1,136.26)	
12.0000	Sale	02/16/11	773903109	08/23/11	661.42	1,083.67	0.00	(422.25)	
	Security Subtotal				6,068.76	8,861.44	0.00	(2,792.68)	
REPUBLIC SERVICES INC									
138.0000	Sale	08/18/11	760759100	12/08/11	3,700.02	3,769.25	0.00	(69.23)	
112.0000	Sale	08/19/11	760759100	12/08/11	3,002.93	3,073.15	0.00	(70.22)	
	Security Subtotal				6,702.95	6,842.40	0.00	(139.45)	
ROCKWELL COLLINS INC									
16.0000	Sale	01/14/11	774341101	08/10/11	740.54	996.57	0.00	(256.03)	
19.0000	Sale	01/14/11	774341101	08/11/11	841.89	1,183.42	0.00	(341.53)	
	Security Subtotal				1,582.43	2,179.99	0.00	(597.56)	
RAYTHEON CO DELAWARE NEW									
29.0000	Sale	05/18/11	755111507	10/28/11	1,257.82	1,429.07	0.00	(171.25)	
14.0000	Sale	05/19/11	755111507	10/28/11	607.23	695.31	0.00	(88.08)	
42.0000	Sale	05/19/11	755111507	12/02/11	1,908.11	2,085.91	0.00	(177.80)	
42.0000	Sale	05/20/11	755111507	12/02/11	1,908.11	2,080.65	0.00	(172.54)	
5.0000	Sale	05/23/11	755111507	12/02/11	227.16	247.12	0.00	(19.96)	
27.0000	Sale	05/23/11	755111507	12/05/11	1,232.33	1,334.43	0.00	(102.10)	
	Security Subtotal				7,140.76	7,872.49	0.00	(731.73)	



Merrill Lynch
Bank of America Corporation

Account No.
-07047

Taxpayer No.

Page
13 of 37

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
SANDISK CORP INC								
21.0000	Sale	01/14/11	80004C101 06/24/11	864.54	1,104.53	0.00	(239.99)	
43.0000	Sale	02/15/11	06/24/11	1,770.25	2,209.74	0.00	(439.49)	
	Security Subtotal			2,634.79	3,314.27	0.00	(679.48)	
STARWOOD HOTELS AND RESORTS WORLDWIDE NE								
26.0000	Sale	01/21/11	05/18/11	1,487.84	1,612.55	0.00	(124.71)	
28.0000	Sale	01/21/11	11/23/11	1,233.86	1,736.60	0.00	(502.74)	
3.0000	Sale	01/24/11	11/23/11	132.20	187.33	0.00	(55.13)	
	Security Subtotal			2,853.90	3,536.48	0.00	(682.58)	
SINA CORPORATION								
19.0000	Sale	01/13/11	G81477104 07/12/11	2,029.41	1,636.62	0.00	392.79	
12.0000	Sale	01/13/11	07/19/11	1,435.14	1,033.66	0.00	401.48	
8.0000	Sale	01/13/11	08/03/11	797.73	689.11	0.00	108.62	
15.0000	Sale	01/13/11	08/04/11	1,433.84	1,292.07	0.00	141.77	
32.0000	Sale	01/14/11	09/29/11	2,335.36	2,777.10	0.00	(441.74)	
21.0000	Sale	01/14/11	09/30/11	1,466.71	1,822.47	0.00	(355.76)	
4.0000	Sale	01/18/11	09/30/11	279.38	348.98	0.00	(69.60)	
	Security Subtotal			9,777.57	9,600.01	0.00	177.56	
SALESFORCE COM INC								
17.0000	Sale	01/14/11	79466L302 07/29/11	2,451.24	2,471.63	0.00	(20.39)	
SOUTHWESTERN ENERGY CO								
2.0000	Sale	01/14/11	845467109 02/09/11	74.77	78.75	0.00	(3.98)	
STRYKER CORP								
42.0000	Sale	05/12/11	863667101 08/04/11	2,142.15	2,639.47	0.00	(497.32)	
11.0000	Sale	05/12/11	08/11/11	509.19	691.29	0.00	(182.10)	
27.0000	Sale	05/13/11	08/11/11	1,249.86	1,707.96	0.00	(458.10)	
48.0000	Sale	05/13/11	08/18/11	2,153.75	3,036.38	0.00	(882.63)	
27.0000	Sale	05/16/11	08/18/11	1,211.49	1,726.36	0.00	(514.87)	
4.0000	Sale	05/16/11	08/19/11	178.40	255.76	0.00	(77.36)	
20.0000	Sale	05/19/11	08/19/11	892.04	1,279.88	0.00	(387.84)	
36.0000	Sale	05/20/11	08/19/11	1,605.68	2,293.17	0.00	(687.49)	
	Security Subtotal			9,942.56	13,630.27	0.00	(3,687.71)	



Account No.
07047

Taxpayer No.

Page
14 of 37

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
TEXAS INSTRUMENTS									
41.0000	Sale	01/14/11	882508104	02/10/11	1,434.80	1,391.34	0.00	43.46	
TEXTRON INC									
90.0000	Sale	04/07/11	883203101	05/18/11	2,124.58	2,504.60	380.02 (W)	0.00	
12.0000	Sale	04/07/11		05/19/11	284.54	333.95	49.41 (W)	0.00	
41.0000	Sale	04/07/11		05/19/11	972.19	1,220.31	248.12 (WY)	0.00	
49.0000	Sale	04/07/11		05/23/11	1,095.72	1,458.41	0.00 (Y)	(362.69)	
12.0000	Sale	04/07/11		05/23/11	268.34	355.90	0.00 (Y)	(87.56)	
41.0000	Sale	04/07/11		05/23/11	916.83	1,316.63	0.00 (Y)	(399.80)	
22.0000	Sale	04/08/11		05/23/11	491.96	604.18	112.22 (W)	0.00	
9.0000	Sale	04/08/11		05/23/11	201.26	247.16	45.91 (W)	0.00	
44.0000	Sale	04/08/11		05/23/11	983.92	1,208.36	0.00	(224.43)	
46.0000	Sale	04/08/11		05/31/11	1,051.72	1,263.29	0.00	(211.57)	
55.0000	Sale	04/08/11		06/01/11	1,238.38	1,510.45	0.00	(272.07)	
22.0000	Sale	04/08/11		06/01/11	495.35	674.13	0.00 (Y)	(178.78)	
9.0000	Sale	04/08/11		06/01/11	202.65	280.46	0.00 (Y)	(77.81)	
4.0000	Sale	04/11/11		06/01/11	90.07	108.78	0.00	(18.71)	
Security Subtotal					10,417.51	13,086.61	835.68	(1,833.42)	
TARGET CORP COM									
31.0000	Sale	01/14/11	87612E106	03/08/11	1,593.93	1,709.54	0.00	(115.61)	
3M COMPANY									
27.0000	Sale	01/14/11	88579Y101	12/05/11	2,192.06	2,372.22	0.00	(180.16)	
WATERS CORP									
18.0000	Sale	02/10/11	941848103	12/12/11	1,320.75	1,425.38	0.00	(104.63)	
25.0000	Sale	02/10/11		12/13/11	1,824.31	1,979.70	0.00	(155.39)	
2.0000	Sale	02/11/11		12/13/11	145.95	159.05	0.00	(13.10)	
Security Subtotal					3,291.01	3,564.13	0.00	(273.12)	
WAL-MART STORES INC									
185.0000	Sale	06/23/11	931142103	12/05/11	10,778.02	9,813.93	0.00	964.09	
YUM BRANDS INC									
55.0000	Sale	05/20/11	988498101	09/30/11	2,723.68	3,096.94	0.00	(373.26)	
3.0000	Sale	05/23/11		09/30/11	148.57	167.75	0.00	(19.18)	
Security Subtotal					2,872.25	3,264.69	0.00	(392.44)	

HERBERT H AND BARBARA C DOW

Account No.
-07047

Taxpayer No.

Page
15 of 37

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

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

Covered Short Term Capital Gains and Losses Subtotal 239,699.03 280,240.85 964.18 (39,577.64)

NONCOVERED TRANSACTIONS

ADOBE SYS DEL PV\$ 0 001		CUSIP Number	00724F101					
29,000	Sale	11/11/10	04/26/11	958.65	865.15	0.00	93.50	
67,000	Sale	11/12/10	04/26/11	2,214.82	1,976.98	0.00	237.84	
Security Subtotal				3,173.47	2,842.13	0.00	331.34	
AMERICAN TOWER CORP CL A		CUSIP Number	029912201					
66,000	Sale	04/08/10	01/18/11	3,268.76	2,767.63	0.00	501.13	
17,000	Sale	04/08/10	01/19/11	832.53	712.88	0.00	119.65	
22,000	Sale	04/08/10	02/18/11	1,188.63	922.54	0.00	266.09	
44,000	Sale	04/09/10	02/18/11	2,377.27	1,872.55	0.00	504.72	
40,000	Sale	04/09/10	04/07/11	2,029.72	1,702.32	0.00	327.40	
5,000	Sale	04/09/10	04/08/11	252.18	212.79	0.00	39.39	
64,000	Sale	06/04/10	04/08/11	3,228.03	2,654.37	0.00	573.66	
3,000	Sale	06/04/10	04/11/11	150.67	124.42	0.00	26.25	
Security Subtotal				13,327.79	10,969.50	0.00	2,358.29	
ALLEGHENY TECH INC		CUSIP Number	01741R102					
5,000	Sale	10/18/10	09/22/11	189.91	238.56	0.00	(48.65)	
5,000	Sale	10/18/10	10/04/11	160.72	238.55	0.00	(77.83)	
58,000	Sale	10/19/10	10/04/11	1,864.44	2,708.03	0.00	(843.59)	
Security Subtotal				2,215.07	3,185.14	0.00	(970.07)	
BORG WARNER INC COM		CUSIP Number	099724106					
17,000	Sale	07/14/10	05/16/11	1,249.01	722.62	0.00	526.39	
27,000	Sale	07/14/10	05/17/11	1,941.61	1,147.70	0.00	793.91	
10,000	Sale	07/14/10	05/24/11	664.73	425.07	0.00	239.66	
33,000	Sale	08/11/10	05/24/11	2,193.62	1,508.22	0.00	685.40	
5,000	Sale	08/11/10	05/25/11	333.69	228.52	0.00	105.17	
Security Subtotal				6,382.66	4,032.13	0.00	2,350.53	
BOEING COMPANY		CUSIP Number	097023105					
21,000	Sale	05/27/10	03/16/11	1,424.21	1,360.60	0.00	63.61	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
CANADIAN NATURAL RES LTD								
68,000	Sale	10/21/10	136385101	2,048.70	2,426.53	0.00	(377.83)	
4,000	Sale	11/15/10	10/06/11	120.52	156.78	0.00	(36.26)	
6,000	Sale	11/15/10	10/07/11	179.31	235.18	0.00	(55.87)	
20,000	Sale	11/16/10	10/07/11	597.72	761.48	0.00	(163.76)	
Security Subtotal				2,946.25	3,579.97	0.00	(633.72)	
CHECK POINT SOFTWARE TECH								
27,000	Sale	07/12/10	M22465104	1,469.91	836.54	0.00	633.37	
7,000	Sale	07/13/10	05/18/11	381.09	226.20	0.00	154.89	
12,000	Sale	07/13/10	05/19/11	656.82	387.77	0.00	269.05	
41,000	Sale	07/13/10	05/25/11	2,179.65	1,324.89	0.00	854.76	
13,000	Sale	07/13/10	06/22/11	697.33	420.09	0.00	277.24	
37,000	Sale	07/13/10	06/23/11	1,983.41	1,195.63	0.00	787.78	
69,000	Sale	09/30/10	08/08/11	3,432.76	2,554.28	0.00	878.48	
Security Subtotal				10,800.97	6,945.40	0.00	3,855.57	
CTRIPO COM INTL LTD ADR								
28,000	Sale	11/23/10	22943F100	1,157.48	1,298.18	140.70 (W)	0.00	
21,000	Sale	11/23/10	02/10/11	868.11	973.64	0.00	(105.53)	
10,000	Sale	11/23/10	02/11/11	414.27	463.64	0.00	(49.37)	
17,000	Sale	11/23/10	02/14/11	688.85	788.18	0.00	(99.33)	
50,000	Sale	11/24/10	02/16/11	1,979.66	2,393.43	0.00	(413.77)	
Security Subtotal				5,108.37	5,917.07	140.70	(668.00)	
CATERPILLAR INC DEL								
23,000	Sale	07/27/10	149123101	2,481.04	1,590.57	0.00	890.47	
1,000	Sale	07/27/10	05/12/11	108.24	69.16	0.00	39.08	
17,000	Sale	07/28/10	05/12/11	1,840.11	1,180.40	0.00	659.71	
37,000	Sale	07/28/10	05/16/11	3,929.56	2,569.12	0.00	1,360.44	
18,000	Sale	07/28/10	06/13/11	1,720.62	1,249.84	0.00	470.78	
Security Subtotal				10,079.57	6,659.09	0.00	3,420.48	
CELGENE CORP COM								
70,000	Sale	05/05/10	151020104	3,542.37	4,203.78	0.00	(661.41)	
33,000	Sale	05/06/10	02/09/11	1,669.97	1,974.46	304.49 (W)	0.00	
11,000	Sale	05/06/10	02/09/11	556.66	658.16	0.00	(101.50)	
11,000	Sale	11/01/10	02/09/11	556.66	680.01	0.00	(123.35)	
23,000	Sale	11/02/10	02/09/11	1,163.93	1,446.83	0.00	(282.90)	

HERBERT H AND BARBARA C DOW

Account No.
07047

Taxpayer No.

Page
17 of 37

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
1.0000	CELGENE CORP COM Sale	11/03/10	151020104	02/09/11	50.61	62.56	0.00	(11.95)	
12.0000	CELGENE CORP COM Sale	11/03/10	151020104	02/10/11	611.23	750.66	0.00	(139.43)	
	Security Subtotal				8,151.43	9,776.46	304.49	(1,320.54)	
75.0000	CAMERON INTL CORP Sale	08/16/10	13342B105	05/18/11	3,605.47	2,875.06	0.00	730.41	
48.0000	CAMERON INTL CORP Sale	08/16/10	13342B105	05/24/11	2,251.46	1,840.04	0.00	411.42	
42.0000	CAMERON INTL CORP Sale	08/16/10	13342B105	06/01/11	1,978.25	1,610.04	0.00	368.21	
	Security Subtotal				7,835.18	6,325.14	0.00	1,510.04	
11.0000	CME GROUP INC Sale	12/01/10	12572Q105	10/25/11	2,876.20	3,289.86	0.00	(413.66)	
9.0000	CME GROUP INC Sale	12/02/10	12572Q105	10/26/11	2,365.53	2,790.28	0.00	(424.75)	
	Security Subtotal				5,241.73	6,080.14	0.00	(838.41)	
112.0000	CISCO SYSTEMS INC COM Sale	03/19/10	17275R102	02/11/11	2,101.23	2,931.74	0.00	(830.51)	
221.0000	CISCO SYSTEMS INC COM Sale	08/10/10	17275R102	02/11/11	4,146.19	5,392.31	0.00	(1,246.12)	
	Security Subtotal				6,247.42	8,324.05	0.00	(2,076.63)	
25.0000	COCA COLA COM Sale	01/11/10	191216100	01/06/11	1,576.80	1,400.24	0.00	176.56	
8.0000	COLGATE PALMOLIVE Sale	01/25/10	194162103	01/07/11	626.20	644.33	18.13 (W)	0.00	
30.0000	COLGATE PALMOLIVE Sale	01/25/10	194162103	01/07/11	2,348.25	2,416.23	0.00	(67.98)	
13.0000	COLGATE PALMOLIVE Sale	03/18/10	194162103	03/18/11	998.78	1,101.88	0.00	(103.10)	
	Security Subtotal				3,973.23	4,162.44	18.13	(171.08)	
210.0000	CORNING INC Sale	05/28/10	219350105	05/18/11	4,268.37	3,662.51	0.00	605.86	
114.0000	CORNING INC Sale	06/11/10	219350105	05/18/11	2,317.12	2,084.98	0.00	232.14	
115.0000	CORNING INC Sale	06/11/10	219350105	05/19/11	2,308.98	2,103.27	0.00	205.71	
	Security Subtotal				8,894.47	7,850.76	0.00	1,043.71	
14.0000	DANAHER CORP DEL COM Sale	03/18/10	235851102	01/31/11	644.21	541.87	0.00	102.34	



HERBERT H AND BARBARA C DOW

Account No.
07047

Taxpayer No.

Page
18 of 37

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
EOG RESOURCES INC									
6.0000	Sale	10/14/10	26875PT01	05/24/11	638.02	593.05	0.00	44.97	
12.0000	Sale	10/15/10		05/24/11	1,276.07	1,200.27	0.00	75.80	
20.0000	Sale	10/15/10		09/22/11	1,554.50	2,000.46	0.00	(445.96)	
	Security Subtotal				3,468.59	3,793.78	0.00	(325.19)	
FREEPORT-MCMURAN CPR & GLD									
43.0000	Sale	10/01/10	35671D857	04/14/11	2,241.27	1,903.73	0.00	337.54	
70.0000	Sale	10/01/10		05/04/11	3,591.77	3,099.10	0.00	492.67	
35.0000	Sale	10/01/10		05/12/11	1,705.56	1,549.55	0.00	156.01	
6.0000	Sale	10/26/10		05/12/11	292.39	288.66	0.00	3.73	
31.0000	Sale	10/26/10		05/23/11	1,454.38	1,491.42	0.00	(27.04)	
21.0000	Sale	10/26/10		06/23/11	1,002.15	1,010.31	0.00	(8.16)	
26.0000	Sale	11/01/10		06/23/11	1,240.76	1,245.57	0.00	(4.81)	
37.0000	Sale	11/01/10		09/22/11	1,208.22	1,772.54	0.00	(564.32)	
91.0000	Sale	11/01/10		09/29/11	2,859.00	4,359.50	0.00	(1,500.50)	
12.0000	Sale	11/09/10		09/29/11	377.01	643.50	0.00	(266.49)	
30.0000	Sale	11/15/10		09/29/11	942.52	1,560.42	0.00	(617.90)	
	Security Subtotal				16,925.03	18,924.30	0.00	(1,999.27)	
F5 NETWORKS INC COM									
30.0000	Sale	08/17/10	315616102	03/22/11	2,808.44	2,631.38	0.00	177.06	
7.0000	Sale	08/18/10		03/22/11	655.30	620.02	0.00	35.28	
	Security Subtotal				3,463.74	3,251.40	0.00	212.34	
LABORATORY CP AMER HLDGS									
54.0000	Sale	05/19/10	50540R409	01/21/11	4,846.18	4,188.38	0.00	657.80	
9.0000	Sale	05/20/10		01/21/11	807.70	686.92	0.00	120.78	
6.0000	Sale	05/20/10		01/24/11	539.20	457.94	0.00	81.26	
	Security Subtotal				6,193.08	5,333.24	0.00	859.84	
MCDONALDS CORP COM									
18.0000	Sale	06/08/10	580135701	01/06/11	1,342.45	1,217.53	0.00	124.92	
29.0000	Sale	06/08/10		01/06/11	2,162.84	1,961.58	0.00	201.26	
21.0000	Sale	06/08/10		01/11/11	1,553.44	1,420.45	0.00	132.99	
51.0000	Sale	06/08/10		01/12/11	3,754.47	3,449.68	0.00	304.79	
29.0000	Sale	06/08/10		01/13/11	2,117.77	1,961.58	0.00	156.19	
	Security Subtotal				10,930.97	10,010.82	0.00	920.15	

HERBERT H AND BARBARA C DOW

Account No.
07047

Taxpayer No.

Page
19 of 37

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
NETFLIX COM INC									
10.0000	Sale	08/06/10	64110L106	02/14/11	2,459.26	1,176.99	0.00	1,282.27	
14.0000	Sale	08/06/10		03/01/11	2,861.92	1,647.78	0.00	1,214.14	
11.0000	Sale	08/06/10		03/09/11	2,121.86	1,294.68	0.00	827.18	
16.0000	Sale	08/06/10		06/07/11	4,248.44	1,883.18	0.00	2,365.26	
8.0000	Sale	08/06/10		06/16/11	2,017.03	941.58	0.00	1,075.45	
2.0000	Sale	08/06/10		07/05/11	574.80	235.40	0.00	339.40	
4.0000	Sale	09/01/10		07/05/11	1,149.61	530.24	0.00	619.37	
7.0000	Sale	09/01/10		07/13/11	2,082.19	927.93	0.00	1,154.26	
5.0000	Sale	12/09/10		09/15/11	853.88	949.02	0.00	(95.14)	
10.0000	Sale	12/09/10		09/29/11	1,114.37	1,898.03	0.00	(783.66)	
	Security Subtotal				19,483.36	11,484.83	0.00	7,998.53	
NETAPP INC									
21.0000	Sale	09/15/10	64110D104	04/04/11	957.72	1,033.10	0.00	(75.38)	
144.0000	Sale	09/15/10		04/05/11	6,634.17	7,084.08	0.00	(449.91)	
	Security Subtotal				7,591.89	8,117.18	0.00	(525.29)	
NORDSTROM INC									
44.0000	Sale	09/14/10	655664100	05/18/11	2,030.10	1,553.77	0.00	476.33	
55.0000	Sale	09/14/10		06/23/11	2,504.28	1,942.22	0.00	562.06	
9.0000	Sale	09/15/10		06/23/11	409.80	318.95	0.00	90.85	
47.0000	Sale	09/15/10		06/24/11	2,119.93	1,665.65	0.00	454.28	
	Security Subtotal				7,064.11	5,480.59	0.00	1,583.52	
PRICELINE COM INC									
5.0000	Sale	07/13/10	741503403	01/11/11	2,163.53	1,064.42	0.00	1,099.11	
9.0000	Sale	07/13/10		02/04/11	3,921.48	1,915.97	0.00	2,005.51	
12.0000	Sale	07/13/10		02/24/11	5,493.96	2,554.62	0.00	2,939.34	
	Security Subtotal				11,578.97	5,535.01	0.00	6,043.96	
POTASH CORP SASKATCHEWAN									
31.0000	Sale	11/04/10	73755L107	03/14/11	1,671.00	1,451.20	0.00	219.80	
48.0000	Sale	11/04/10		05/12/11	2,456.56	2,247.02	0.00	209.54	
50.0000	Sale	11/04/10		08/19/11	2,553.28	2,340.65	0.00	212.63	
63.0000	Sale	12/16/10		08/19/11	3,217.13	2,933.60	0.00	283.53	
	Security Subtotal				9,897.97	8,972.47	0.00	925.50	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
SANDISK CORP INC									
55,000	Sale	12/06/10	80004C101	06/23/11	2,349.85	2,623.30	0.00	(273.45)	
56,000	Sale	12/07/10		06/23/11	2,392.58	2,708.97	0.00	(316.39)	
19,000	Sale	12/07/10		06/24/11	782.20	919.11	0.00	(136.91)	
	Security Subtotal				5,524.63	6,251.38	0.00	(726.75)	
SALESFORCE COM INC									
19,000	Sale	05/21/10	79466L302	05/18/11	2,497.51	1,557.15	0.00	940.36	
12,000	Sale	11/09/10		07/27/11	1,751.09	1,371.05	0.00	380.04	
2,000	Sale	11/09/10		07/28/11	290.35	228.51	0.00	61.84	
2,000	Sale	11/09/10		07/29/11	288.38	228.51	0.00	59.87	
	Security Subtotal				4,827.33	3,385.22	0.00	1,442.11	
SOUTHWESTERN ENERGY CO									
11,000	Sale	03/18/10	845467109	02/09/11	411.22	450.56	0.00	(39.34)	
STARBUCKS CORP									
42,000	Sale	05/10/10	855244109	01/06/11	1,339.62	1,122.01	0.00	217.61	
TEXAS INSTRUMENTS									
95,000	Sale	10/04/10	882508104	02/09/11	3,336.64	2,601.62	0.00	735.02	
111,000	Sale	10/04/10		02/10/11	3,884.43	3,039.79	0.00	844.64	
	Security Subtotal				7,221.07	5,641.41	0.00	1,579.66	
TARGET CORP									
19,000	COM Sale	03/18/10	87612E106	03/07/11	975.99	1,008.14	0.00	(32.15)	
48,000	Sale	07/26/10		03/07/11	2,465.69	2,519.11	0.00	(53.42)	
6,000	Sale	07/26/10		03/08/11	308.50	314.89	0.00	(6.39)	
	Security Subtotal				3,750.18	3,842.14	0.00	(91.96)	
3M COMPANY									
7,000	Sale	03/18/10	88579Y101	01/31/11	614.72	581.77	0.00	32.95	
11,000	Sale	06/10/10		01/31/11	966.00	850.94	0.00	115.06	
	Security Subtotal				1,580.72	1,432.71	0.00	148.01	
VISA INC CL A SHRS									
8,000	Sale	03/18/10	92826C839	01/13/11	573.27	724.16	0.00	(150.89)	
14,000	Sale	05/19/10		01/13/11	1,003.23	1,024.42	0.00	(21.19)	
	Security Subtotal				1,576.50	1,748.58	0.00	(172.08)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Transaction Quantity Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
Noncovered Short Term Capital Gains and Losses Subtotal							
			220,851.81	194,729.76	463.32	26,585.37	
NET SHORT TERM CAPITAL GAINS AND LOSSES							
			460,550.84	474,970.61	1,427.50	(12,992.27)	

LONG TERM CAPITAL GAINS AND LOSSES

COVERED TRANSACTIONS

COLGATE PALMOLIVE 8.0000 Sale	CUSIP Number 02/01/10	194162103 03/17/11	613.77	642.09	0.00 (Y)	(28.32)	
SOUTHWESTERN ENERGY CO 21.0000 Sale	CUSIP Number 01/11/10	845467109 02/10/11	777.10	1,086.97	0.00 (Y)	(309.87)	
Covered Long Term Capital Gains and Losses Subtotal			1,390.87	1,729.06	0.00	(338.19)	

NONCOVERED TRANSACTIONS

ADOBE SYS DEL PV\$ 0.001 58.0000 Sale	CUSIP Number 05/01/09	00724F101 03/15/11	1,920.95	1,601.17	0.00	319.78	
6.0000 Sale	07/20/09	03/15/11	198.72	187.42	0.00	11.30	
70.0000 Sale	07/20/09	04/25/11	2,328.17	2,186.61	0.00	141.56	
18.0000 Sale	01/11/10	04/25/11	598.68	651.42	0.00	(52.74)	
2.0000 Sale	03/18/10	04/25/11	66.52	71.58	0.00	(5.06)	
10.0000 Sale	03/18/10	04/26/11	330.56	357.90	0.00	(27.34)	
Security Subtotal			5,443.60	5,056.10	0.00	387.50	
AMAZON COM INC COM 10.0000 Sale	CUSIP Number 12/04/08	023135106 03/01/11	1,694.34	473.61	0.00	1,220.73	
6.0000 Sale	12/04/08	05/17/11	1,156.52	284.17	0.00	872.35	
7.0000 Sale	12/09/08	05/17/11	1,349.29	360.45	0.00	988.84	
7.0000 Sale	12/09/08	07/13/11	1,504.28	360.45	0.00	1,143.83	
19.0000 Sale	12/09/08	07/27/11	4,253.98	978.36	0.00	3,275.62	
4.0000 Sale	12/09/08	10/26/11	807.73	205.97	0.00	601.76	
15.0000 Sale	07/24/09	10/26/11	3,029.01	1,292.62	0.00	1,736.39	
9.0000 Sale	01/11/10	10/26/11	1,817.40	1,171.35	0.00	646.05	
7.0000 Sale	03/18/10	10/26/11	1,413.54	926.03	0.00	487.51	
15.0000 Sale	09/09/10	10/26/11	3,029.02	2,095.20	0.00	933.82	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
AMAZON COM INC COM									
4,000	Sale	09/14/10	023135106	10/26/11	807.74	584.73	0.00	223.01	
5,000	Sale	09/14/10		11/22/11	954.44	730.92	0.00	223.52	
	Security Subtotal				21,817.29	9,463.86	0.00	12,353.43	
ALLERGAN INC									
2,000	Sale	11/02/09	018490102	05/18/11	167.94	113.49	0.00	54.45	
5,000	Sale	11/04/09		05/18/11	419.88	290.37	0.00	129.51	
29,000	Sale	11/04/09		05/19/11	2,431.93	1,684.15	0.00	747.78	
7,000	Sale	11/04/09		05/24/11	574.89	406.52	0.00	168.37	
10,000	Sale	01/11/10		05/24/11	821.28	604.65	0.00	216.63	
7,000	Sale	02/05/10		05/24/11	574.90	402.69	0.00	172.21	
	Security Subtotal				4,990.82	3,501.87	0.00	1,488.95	
ALLEGHENY TECH INC									
66,000	Sale	05/05/10	01741R102	05/18/11	4,402.35	3,333.01	0.00	1,069.34	
59,000	Sale	05/05/10		05/19/11	3,878.28	2,979.51	0.00	898.77	
32,000	Sale	05/05/10		06/23/11	1,918.24	1,616.01	0.00	302.23	
6,000	Sale	05/05/10		09/22/11	227.87	303.00	0.00	(75.13)	
22,000	Sale	05/10/10		09/22/11	835.55	1,199.17	0.00	(363.62)	
	Security Subtotal				11,262.29	9,430.70	0.00	1,831.59	
AMGEN INC COM PV \$0 0001									
21,000	Sale	06/29/09	031162100	03/31/11	1,125.99	1,108.84	0.00	17.15	
4,000	Sale	01/11/10		03/31/11	214.48	228.28	0.00	(13.80)	
6,000	Sale	01/11/10		04/01/11	320.46	342.41	0.00	(21.95)	
40,000	Sale	01/27/10		04/01/11	2,136.47	2,279.40	0.00	(142.93)	
10,000	Sale	01/27/10		04/15/11	556.44	569.85	0.00	(13.41)	
36,000	Sale	02/09/10		04/15/11	2,003.21	2,073.79	0.00	(70.58)	
12,000	Sale	03/18/10		04/15/11	667.74	698.16	0.00	(30.42)	
	Security Subtotal				7,024.79	7,300.73	0.00	(275.94)	
BOEING COMPANY									
42,000	Sale	05/27/10	097023105	06/23/11	2,993.19	2,721.19	0.00	272.00	
9,000	Sale	06/11/10		06/23/11	641.40	583.52	0.00	57.88	
28,000	Sale	06/11/10		09/22/11	1,622.36	1,815.41	0.00	(193.05)	
58,000	Sale	06/11/10		09/27/11	3,677.76	3,760.49	0.00	(82.73)	
5,000	Sale	07/22/10		09/27/11	317.05	333.76	0.00	(16.71)	
	Security Subtotal				9,251.76	9,214.37	0.00	37.39	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
CITRIX SYSTEMS INC COM									
18,000	Sale	10/09/09	177376700	05/18/11	1,468.54	751.50	0.00	717.04	
30,000	Sale	10/09/09		05/20/11	2,528.95	1,252.50	0.00	1,276.45	
1,000	Sale	10/23/09		05/20/11	84.30	39.38	0.00	44.92	
33,000	Sale	10/23/09		06/17/11	2,454.43	1,299.44	0.00	1,154.99	
6,000	Sale	01/11/10		06/17/11	446.26	257.04	0.00	189.22	
13,000	Sale	01/11/10		08/11/11	807.77	556.92	0.00	250.85	
9,000	Sale	03/18/10		08/11/11	559.22	436.05	0.00	123.17	
18,000	Sale	04/22/10		08/11/11	1,118.47	858.52	0.00	259.95	
11,000	Sale	04/22/10		08/12/11	676.24	524.65	0.00	151.59	
14,000	Sale	04/22/10		10/27/11	1,059.98	667.73	0.00	392.25	
7,000	Sale	04/22/10		10/27/11	526.62	333.87	0.00	192.75	
	Security Subtotal				11,730.78	6,977.60	0.00	4,753.18	
CANADIAN NATURAL RES LTD									
40,000	Sale	01/20/09	136385101	04/14/11	1,772.63	699.35	0.00	1,073.28	
63,000	Sale	01/20/09		05/12/11	2,626.56	1,101.48	0.00	1,525.08	
63,000	Sale	01/20/09		08/11/11	2,256.99	1,101.48	0.00	1,155.51	
12,000	Sale	01/20/09		10/06/11	361.53	209.81	0.00	151.72	
28,000	Sale	01/11/10		10/06/11	843.58	1,009.75	0.00	(166.17)	
24,000	Sale	03/18/10		10/06/11	723.07	872.52	0.00	(149.45)	
	Security Subtotal				8,584.36	4,994.39	0.00	3,589.97	
CHECK POINT SOFTWARE TECH									
29,000	Sale	07/13/10	M22465104	08/05/11	1,523.31	937.11	0.00	586.20	
2,000	Sale	07/13/10		08/08/11	99.50	64.63	0.00	34.87	
	Security Subtotal				1,622.81	1,001.74	0.00	621.07	
CATERPILLAR INC DEL									
17,000	Sale	07/28/10	149123101	08/15/11	1,547.83	1,180.40	0.00	367.43	
COCA COLA COM									
34,000	Sale	01/11/10	191216100	04/28/11	2,286.19	1,904.32	0.00	381.87	
33,000	Sale	01/28/10		04/28/11	2,218.95	1,796.90	0.00	422.05	
17,000	Sale	01/28/10		12/22/11	1,175.19	925.68	0.00	249.51	
32,000	Sale	02/10/10		12/22/11	2,212.14	1,724.48	0.00	487.66	
5,000	Sale	03/05/10		12/22/11	345.65	272.99	0.00	72.66	
	Security Subtotal				8,238.12	6,624.37	0.00	1,613.75	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
27.0000	COLGATE PALMOLIVE Sale	CUSIP Number 01/25/10	194162T03 03/17/11	2,071.45	2,174.60	0.00	(103.15)	
22.0000	CUMMINS INC COM Sale	CUSIP Number 07/21/09	231021T06 05/12/11	2,495.15	895.45	0.00	1,599.70	
16.0000	COM Sale	07/21/09	05/13/11	1,793.75	651.23	0.00	1,142.52	
12.0000	COM Sale	07/21/09	05/16/11	1,326.85	488.43	0.00	838.42	
6.0000	COM Sale	01/11/10	05/16/11	663.42	328.79	0.00	334.63	
9.0000	COM Sale	03/18/10	05/16/11	995.15	534.60	0.00	460.55	
5.0000	COM Sale	04/29/10	05/17/11	544.92	379.87	0.00	165.05	
33.0000	COM Sale	04/29/10	05/23/11	3,419.24	2,507.18	0.00	912.06	
11.0000	COM Sale	04/29/10	08/09/11	994.88	835.72	0.00	159.16	
	Security Subtotal			12,233.36	6,621.27	0.00	5,612.09	
20.0000	DANAHER CORP DEL COM Sale	CUSIP Number 05/21/07	235851T02 01/27/11	931.53	713.00	0.00	218.53	
43.0000	COM Sale	04/18/08	01/27/11	2,002.79	1,627.34	0.00	375.45	
13.0000	COM Sale	04/18/08	01/28/11	599.65	491.99	0.00	107.66	
42.0000	COM Sale	04/30/08	01/28/11	1,937.35	1,653.73	0.00	283.62	
6.0000	COM Sale	01/11/10	01/28/11	276.77	233.07	0.00	43.70	
10.0000	COM Sale	01/11/10	01/31/11	460.15	388.45	0.00	71.70	
	Security Subtotal			6,208.24	5,107.58	0.00	1,100.66	
156.0000	DENBURY RES INC Sale	CUSIP Number 03/10/10	247916208 04/28/11	3,383.68	2,499.01	0.00	884.67	
20.0000	COM Sale	03/18/10	04/28/11	433.80	316.40	0.00	117.40	
	Security Subtotal			3,817.48	2,815.41	0.00	1,002.07	
53.0000	E M C CORPORATION MASS Sale	CUSIP Number 04/09/09	268648T02 06/10/11	1,402.80	700.98	0.00	701.82	
49.0000	COM Sale	06/03/09	06/10/11	1,296.94	611.58	0.00	685.36	
	Security Subtotal			2,699.74	1,312.56	0.00	1,387.18	
37.0000	EXPRESS SCRIPTS INC COM Sale	CUSIP Number 06/14/10	302182T00 08/04/11	1,886.12	1,975.86	0.00	(89.74)	
10.0000	EMERSON ELEC CO Sale	CUSIP Number 04/09/09	291011T04 05/12/11	543.07	319.47	0.00	223.60	
32.0000	COM Sale	04/30/09	05/12/11	1,737.84	1,086.36	0.00	651.48	
57.0000	COM Sale	09/10/09	05/12/11	3,095.54	2,251.31	0.00	844.23	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
EMERSON ELEC CO								
12.0000	Sale	01/11/10	05/12/11	651.69	536.25	0.00	115.44	
14.0000	Sale	03/18/10	05/12/11	760.30	681.66	0.00	78.64	
	Security Subtotal			6,788.44	4,875.05	0.00	1,913.39	
JPMORGAN CHASE & CO								
15.0000	Sale	03/13/09	06/23/11	597.51	357.50	0.00	240.01	
33.0000	Sale	06/10/09	06/23/11	1,314.53	1,165.76	0.00	148.77	
22.0000	Sale	01/11/10	06/23/11	876.35	978.34	0.00	(101.99)	
18.0000	Sale	03/18/10	06/23/11	717.02	783.36	0.00	(66.34)	
65.0000	Sale	04/15/10	06/23/11	2,589.24	3,116.67	0.00	(527.43)	
	Security Subtotal			6,094.65	6,401.63	0.00	(306.98)	
MEAD JOHNSON NUTRITION CO								
6.0000	Sale	12/18/09	09/30/11	414.78	250.24	0.00	164.54	
19.0000	Sale	01/06/10	09/30/11	1,313.50	853.13	0.00	460.37	
	Security Subtotal			1,728.28	1,103.37	0.00	624.91	
NETFLIX COM INC								
3.0000	Sale	09/01/10	09/15/11	512.32	397.68	0.00	114.64	
ORACLE CORP \$0.01 DEL								
10.0000	Sale	04/01/08	05/18/11	337.25	203.62	0.00	133.63	
40.0000	Sale	04/30/08	05/18/11	1,349.01	844.00	0.00	505.01	
64.0000	Sale	04/30/08	05/23/11	2,131.92	1,350.40	0.00	781.52	
37.0000	Sale	01/11/10	05/23/11	1,232.51	904.65	0.00	327.86	
10.0000	Sale	03/18/10	05/23/11	333.12	255.00	0.00	78.12	
	Security Subtotal			5,383.81	3,557.67	0.00	1,826.14	
PROCTER & GAMBLE CO								
16.0000	Sale	07/07/09	09/26/11	1,000.93	835.64	0.00	165.29	
16.0000	Sale	07/07/09	09/27/11	1,008.25	835.64	0.00	172.61	
26.0000	Sale	07/07/09	10/28/11	1,679.07	1,357.91	0.00	321.16	
44.0000	Sale	07/08/09	10/28/11	2,841.52	2,312.82	0.00	528.70	
12.0000	Sale	01/11/10	10/28/11	774.97	721.80	0.00	53.17	
12.0000	Sale	01/11/10	12/05/11	776.92	721.79	0.00	55.13	
20.0000	Sale	03/18/10	12/05/11	1,294.87	1,277.00	0.00	17.87	
	Security Subtotal			9,376.53	8,062.60	0.00	1,313.93	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	CUSIP Number	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
43.0000	RANGE RESOURCES CORP DEL Sale	05/01/08	75281A109 05/18/11		2,271.62	2,765.63	0.00	(494.01)	
31.0000	ROCKWELL COLLINS INC Sale	03/09/10	774341101 03/18/11		1,938.07	1,878.43	0.00	59.64	
15.0000	Sale	03/09/10	03/23/11		951.58	908.92	0.00	42.66	
41.0000	Sale	03/09/10	03/24/11		2,601.89	2,484.39	0.00	117.50	
3.0000	Sale	03/09/10	08/09/11		144.05	181.78	0.00	(37.73)	
13.0000	Sale	03/18/10	08/09/11		624.24	791.31	0.00	(167.07)	
10.0000	Sale	04/29/10	08/09/11		480.20	661.40	0.00	(181.20)	
60.0000	Sale	04/29/10	08/10/11		2,777.02	3,968.37	0.00	(1,191.35)	
	Security Subtotal				9,517.05	10,874.60	0.00	(1,357.55)	
31.0000	SCHLUMBERGER LTD Sale	01/11/10	806857108 05/12/11		2,555.12	2,182.93	0.00	372.19	
19.0000	SALESFORCE COM INC Sale	05/21/10	79466L302 05/23/11		2,764.89	1,557.15	0.00	1,207.74	
23.0000	Sale	05/21/10	07/21/11		3,397.73	1,884.96	0.00	1,512.77	
5.0000	Sale	05/21/10	07/27/11		729.61	409.78	0.00	319.83	
	Security Subtotal				6,892.23	3,851.89	0.00	3,040.34	
85.0000	SOUTHWESTERN ENERGY CO Sale	12/21/09	845467109 02/09/11		3,177.56	4,125.59	0.00	(948.03)	
21.0000	Sale	01/11/10	02/09/11		785.04	1,045.11	260.08 (W)	0.00	
1.0000	Sale	01/11/10	02/09/11		37.38	49.77	0.00	(12.38)	
	Security Subtotal				3,999.98	5,220.47	260.08	(960.41)	
95.0000	STARBUCKS CORP Sale	05/10/10	855244109 05/18/11		3,406.72	2,537.89	0.00	868.83	
14.0000	Sale	05/13/10	05/18/11		502.05	386.78	0.00	115.27	
	Security Subtotal				3,908.77	2,924.67	0.00	984.10	
9.0000	TARGET CORP COM Sale	11/18/09	87612E106 03/07/11		462.31	433.52	0.00	28.79	
13.0000	Sale	01/11/10	03/07/11		667.78	653.25	0.00	14.53	
58.0000	Sale	01/22/10	03/07/11		2,979.35	2,939.44	0.00	39.91	
	Security Subtotal				4,109.44	4,026.21	0.00	83.23	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
3M COMPANY								
41,000	Sale	12/14/09	88579Y101	3,600.50	3,356.63	0.00	243.87	
15,000	Sale	12/14/09	01/31/11	1,317.26	1,228.97	0.00	88.29	
9,000	Sale	01/11/10	01/31/11	790.35	754.01	0.00	36.34	
26,000	Sale	06/10/10	12/02/11	2,078.30	2,011.31	0.00	66.99	
25,000	Sale	06/10/10	12/05/11	2,029.68	1,933.96	0.00	95.72	
Security Subtotal				9,816.09	9,284.88	0.00	531.21	
UNITEDHEALTH GROUP INC								
12,000	Sale	12/16/09	91324P102	607.19	384.43	0.00	222.76	
15,000	Sale	12/16/09	05/19/11	757.23	480.53	0.00	276.70	
22,000	Sale	01/11/10	05/19/11	1,110.62	725.11	0.00	385.51	
10,000	Sale	01/21/10	05/19/11	504.83	341.64	0.00	163.19	
65,000	Sale	01/21/10	11/07/11	2,944.04	2,220.63	0.00	723.41	
19,000	Sale	03/18/10	11/07/11	860.56	629.85	0.00	230.71	
34,000	Sale	06/16/10	11/07/11	1,539.97	1,071.69	0.00	468.28	
Security Subtotal				8,324.44	5,853.88	0.00	2,470.56	
V F CORPORATION								
9,000	Sale	04/22/10	918204108	1,117.55	781.26	0.00	336.29	
10,000	Sale	04/23/10	09/16/11	1,241.73	864.75	0.00	376.98	
10,000	Sale	04/23/10	11/04/11	1,365.10	864.75	0.00	500.35	
4,000	Sale	07/15/10	11/04/11	546.05	302.90	0.00	243.15	
Security Subtotal				4,270.43	2,813.66	0.00	1,456.77	
VISA INC CL A SHRS								
68,000	Sale	04/13/09	92826C839	4,872.79	4,127.33	0.00	745.46	
10,000	Sale	01/11/10	01/13/11	716.58	865.30	0.00	(148.72)	
Security Subtotal				5,589.37	4,992.63	0.00	596.74	
Noncovered Long Term Capital Gains and Losses Subtotal				211,569.41	163,942.86	260.08	47,886.63	
NET LONG TERM CAPITAL GAINS AND LOSSES				212,960.28	165,671.92	260.08	47,548.44	
TOTAL CAPITAL GAINS AND LOSSES				673,511.12				
TOTAL REPORTED SALES PROCEEDS				673,511.12				

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

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

1099-B

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES								
COVERED TRANSACTIONS								
ALLSTATE CORP DEL 10,000 Sale 95,000 Sale	COM	CUSIP Number 01/14/11 03/01/11	020002101 09/30/11 09/30/11	239.79 2,278.08 2,517.87	305.96 3,011.53 3,317.49	0.00 0.00 0.00	(66.17) (733.45) (799.62)	
Security Subtotal								
ADOBE SYS DEL PV\$ 0.001 13,000 Sale 88,000 Sale	COM	CUSIP Number 01/14/11 04/28/11	00724F101 09/30/11 09/30/11	316.97 2,145.66 2,462.63	438.85 2,980.23 3,419.08	0.00 0.00 0.00	(121.88) (834.57) (956.45)	
Security Subtotal								
AFLAC INC 14,000 Sale	COM	CUSIP Number 01/14/11	001055102 09/30/11	491.18	801.92	0.00	(310.74)	
AMERIPRISE FINL INC 75,000 Sale 57,000 Sale	INC	CUSIP Number 03/24/11 08/16/11	03076C106 09/30/11 09/30/11	2,977.79 2,263.13 5,240.92	4,518.33 2,546.45 7,064.78	0.00 0.00 0.00	(1,540.54) (283.32) (1,823.86)	
Security Subtotal								
AMN ELEC POWER CO 17,000 Sale	CO	CUSIP Number 01/14/11	025537101 09/30/11	651.16	600.95	0.00	50.21	
ARCHER DANIELS MIDLD 17,000 Sale	MIDLD	CUSIP Number 01/14/11	039483102 02/02/11	597.40	568.31	0.00	29.09	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
63.0000	SALE HUGHES INC	05/25/11	05/22/11	3,437.80	4,564.88	0.00	(1,127.08)	
9.0000	SALE SOFTWARE INC	01/14/11	05/22/11	434.18	431.28	0.00	2.90	
17.0000	SALE IDEC INC	01/14/11	09/06/11	1,215.52	1,131.35	0.00	84.17	
52.0000	SALE PPTYS INC	08/10/11	10/12/11	4,702.27	4,979.29	0.00	(277.02)	
10.0000	SALE NEW YORK MELLON CORP	01/14/11	06/05/11	285.36	322.05	0.00	(36.69)	
13.0000	SALE COMPANY	01/14/11	09/02/11	793.23	909.92	0.00	(116.69)	
41.0000	SALE	01/27/11	09/30/11	2,501.76	2,903.14	0.00	(401.38)	
	Security Subtotal			3,294.99	3,813.06	0.00	(518.07)	
596.0000	SALE SCIENTIFIC CORP	03/01/11	10/13/11	3,548.87	4,548.91	0.00	(1,000.04)	
525.0000	SALE	05/17/11	09/30/11	3,126.11	3,566.85	0.00	(440.74)	
	Security Subtotal			6,674.98	8,115.76	0.00	(1,440.78)	
52.0000	SALE CORP NEW CL A	01/14/11	20/03/11	1,241.51	1,179.69	0.00	61.82	
136.0000	SALE LINK INC SHS	01/31/11	15/07/11	4,545.64	5,891.97	0.00	(1,346.33)	
17.0000	SALE CAREMARK CORP	01/14/11	12/05/11	573.32	594.75	0.00	(21.43)	



Account No. -07049

Page 9 of 40

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
CHEVRON CORP									
54.0000	Sale	09/23/11	166764100	09/30/11	5,035.62	4,854.70	0.00	180.92	
26.0000	Sale	09/28/11		09/30/11	2,424.56	2,421.24	0.00	3.32	
26.0000	Sale	09/29/11		09/30/11	2,424.56	2,450.51	0.00	(25.95)	
	Security Subtotal				9,884.74	9,726.45	0.00	158.29	
CONOCOPHILLIPS									
43.0000	Sale	03/23/11	20825C104	08/12/11	2,836.54	3,384.99	0.00	(548.45)	
33.0000	Sale	03/23/11		08/15/11	2,216.35	2,597.78	0.00	(381.43)	
30.0000	Sale	03/28/11		08/15/11	2,014.88	2,414.29	0.00	(399.41)	
7.0000	Sale	03/28/11		09/30/11	446.65	563.33	0.00	(116.68)	
38.0000	Sale	03/31/11		09/30/11	2,424.70	3,066.38	0.00	(641.68)	
32.0000	Sale	05/03/11		09/30/11	2,041.87	2,419.20	0.00	(377.33)	
	Security Subtotal				11,980.99	14,445.97	0.00	(2,464.98)	
CELGENE CORP COM									
85.0000	Sale	02/16/11	151020104	09/30/11	5,299.89	4,536.19	0.00	763.70	
74.0000	Sale	05/17/11		09/30/11	4,614.03	4,396.53	0.00	217.50	
	Security Subtotal				9,913.92	8,932.72	0.00	981.20	
CBS CORP NEW CL B									
45.0000	Sale	01/14/11	124857202	08/05/11	1,044.37	893.89	0.00	150.48	
229.0000	Sale	08/08/11		09/30/11	4,718.29	4,941.87	0.00	(223.58)	
	Security Subtotal				5,762.66	5,835.76	0.00	(73.10)	
CAMERON INTL CORP									
98.0000	Sale	03/07/11	13342B105	09/30/11	4,131.60	6,066.08	0.00	(1,934.48)	
CLIFFS NATURAL RESOURCES INC									
22.0000	Sale	01/13/11	18683K101	03/11/11	1,930.11	1,918.28	0.00	11.83	
34.0000	Sale	01/13/11		07/27/11	3,181.99	2,964.62	0.00	217.37	
6.0000	Sale	01/13/11		09/29/11	318.82	523.17	0.00	(204.35)	
7.0000	Sale	01/14/11		09/29/11	371.97	618.38	0.00	(246.41)	
29.0000	Sale	03/01/11		09/29/11	1,541.02	2,799.63	0.00	(1,258.61)	
	Security Subtotal				7,343.91	8,824.08	0.00	(1,480.17)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
Coca Cola Enterprises Inc New									
151.0000	Sale	06/23/11	19122T109	09/30/11	3,775.69	4,312.26	0.00	(536.57)	
Citigroup Inc Com New									
74.0000	Cash/Lieu	04/28/11	172967424	05/16/11	16.80	18.28	0.00	(1.48)	
60.0000	Sale	04/28/11		08/08/11	2,328.47	3,381.43	0.00	(1,052.96)	
102.0000	Sale	05/17/11		09/30/11	1,573.78	2,476.46	0.00	(902.68)	
	Sale	04/28/11		09/30/11	2,675.40	4,660.89	0.00	(1,985.49)	
	Security Subtotal				6,594.45	10,537.06	0.00	(3,942.61)	
Conagra Foods Inc									
112.0000	Sale	08/01/11	205887102	09/30/11	2,732.74	2,841.63	0.00	(108.89)	
55.0000	Sale	08/02/11		09/30/11	1,341.98	1,390.58	0.00	(48.60)	
	Security Subtotal				4,074.72	4,232.21	0.00	(157.49)	
Devon Energy Corp New									
29.0000	Sale	01/21/11	25179M103	08/15/11	2,014.00	2,410.89	0.00	(396.89)	
61.0000	Sale	01/21/11		09/30/11	3,403.98	5,071.17	0.00	(1,667.19)	
32.0000	Sale	01/25/11		09/30/11	1,785.69	2,712.62	0.00	(926.93)	
52.0000	Sale	02/01/11		09/30/11	2,901.76	4,658.37	0.00	(1,756.61)	
35.0000	Sale	03/01/11		09/30/11	1,953.12	3,161.69	0.00	(1,208.57)	
	Security Subtotal				12,058.55	18,014.74	0.00	(5,956.19)	
Dish Network Corporation Class A									
45.0000	Sale	01/14/11	25470M109	09/30/11	1,140.65	961.20	0.00	179.45	
Disney (Walt) Co Com Stk									
317.0000	Sale	07/18/11	254687106	09/30/11	9,611.25	12,325.88	0.00	(2,714.63)	
71.0000	Sale	08/16/11		09/30/11	2,152.68	2,373.95	0.00	(221.27)	
	Security Subtotal				11,763.93	14,699.83	0.00	(2,935.90)	
Dow Chemical Co									
35.0000	Sale	01/14/11	260543103	08/04/11	1,057.53	1,256.65	0.00	(199.12)	

HERBERT H AND BARBARA C DOW

Account No. -07049
Taxpayer No.

Page 11 of 40

1099-B **2011 ANNUAL STATEMENT SUMMARY** **2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS**

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
34.0000	SALE	01/14/11	268648102	09/30/11	721.90	833.88	0.00	(111.98)	
138.0000	SALE	09/14/11		09/30/11	2,930.10	3,039.97	0.00	(109.87)	
	Security Subtotal				3,652.00	3,873.85	0.00	(221.85)	
11.0000	SALE	01/14/11	29364G103	08/02/11	724.20	803.11	0.00	(78.91)	
71.0000	SALE	08/05/11	30231G102	10/03/11	5,145.68	5,353.07	0.00	(207.39)	
35.0000	SALE	08/11/11		10/03/11	2,536.60	2,435.89	0.00	100.71	
36.0000	SALE	08/12/11		10/03/11	2,609.08	2,619.13	0.00	(10.05)	
31.0000	SALE	09/30/11		10/03/11	2,246.71	2,307.92	0.00	(61.21)	
	Security Subtotal				12,538.07	12,716.01	0.00	(177.94)	
5.0000	SALE	01/14/11	G3223R108	09/30/11	399.85	417.45	0.00	(17.60)	
69.0000	SALE	08/18/11	26884L109	09/30/11	3,735.95	3,718.31	0.00	17.64	
42.0000	SALE	09/01/11		09/30/11	2,274.06	2,571.42	0.00	(297.36)	
	Security Subtotal				6,010.01	6,289.73	0.00	(279.72)	
7.0000	SALE	01/14/11	291011104	03/01/11	410.21	408.01	0.00	2.20	
5.0000	SALE	01/14/11	35671D857	01/21/11	551.94	592.13	0.00	(40.19)	
45.0000	SALE	01/14/11	345370860	09/30/11	441.00	840.94	0.00	(399.94)	
190.0000	SALE	07/20/11	316773100	08/10/11	1,885.31	2,357.42	0.00	(472.11)	
462.0000	SALE	07/20/11		09/30/11	4,748.53	5,732.27	0.00	(983.74)	
	Security Subtotal				6,633.84	8,089.69	0.00	(1,455.85)	
7.0000	SALE	01/14/11	354613101	09/30/11	672.02	845.74	0.00	(173.72)	



HERBERT H AND BARBARA C DOW

Account No.
07049

Taxpayer No.

Page
12 of 40

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
103.0000	GENERAL ELECTRIC Sale	CUSIP Number 01/14/11	369604103 09/30/11	1,577.95	1,933.96	0.00	(356.01)	
30.0000	GENERAL MILLS Sale	CUSIP Number 01/14/11	370334104 09/30/11	1,166.98	1,074.74	0.00	92.24	
5.0000	GOOGLE INC CL A Sale	CUSIP Number 01/14/11	38259P508 09/30/11	2,584.12	3,107.00	0.00	(522.88)	
7.0000	GOOGLE INC CL A Sale	CUSIP Number 06/22/11	38259P508 09/30/11	3,617.77	3,423.44	0.00	194.33	
	Security Subtotal			6,201.89	6,530.44	0.00	(328.55)	
12.0000	GENERAL MOTORS CO COMMON SHARES Sale	CUSIP Number 01/14/11	37045V100 09/28/11	247.87	458.70	0.00	(210.83)	
25.0000	HARTFORD FINL SVCS GROUP Sale	CUSIP Number 01/14/11	416515104 09/30/11	411.54	708.12	0.00	(296.58)	
22.0000	HONEYWELL INTL INC DEL Sale	CUSIP Number 01/14/11	438516106 09/30/11	974.59	1,208.56	0.00	(233.97)	
36.0000	HESS CORP Sale	CUSIP Number 02/24/11	42809H107 05/04/11	2,809.89	3,010.69	0.00	(200.80)	
71.0000	HESS CORP Sale	CUSIP Number 02/24/11	42809H107 05/04/11	5,541.75	6,019.04	0.00	(477.29)	
	Security Subtotal			8,351.64	9,029.73	0.00	(678.09)	
8.0000	ILLINOIS TOOL WORKS INC Sale	CUSIP Number 01/14/11	452308109 09/30/11	336.43	447.76	0.00	(111.33)	
178.0000	JUNIPER NETWORKS INC Sale	CUSIP Number 07/27/11	48203R104 09/30/11	3,141.21	4,377.13	0.00	(1,235.92)	
46.0000	JPMORGAN CHASE & CO Sale	CUSIP Number 01/14/11	46625H100 09/30/11	1,404.96	2,084.26	0.00	(679.30)	
15.0000	JOHNSON CONTROLS INC Sale	CUSIP Number 01/14/11	478366107 09/30/11	398.06	606.09	0.00	(208.03)	
68.0000	KLA TENCOR CORP PV\$0 001 Sale	CUSIP Number 07/26/11	482480100 09/30/11	2,614.55	2,998.73	0.00	(384.18)	

HERBERT H AND BARBARA C DOW

Account No.
07049

Taxpayer No.

Page
13 of 40

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Transaction Quantity Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
LIBERTY INTERACTIVE CORP	CUSIP Number	53071M104					
SERIES A							
285.0000 Sale	06/08/11	09/30/11	4,238.90	4,949.00	0.00	(710.10)	
LYONDELLBASELL INDUSTRIE	CUSIP Number	N53745100					
7.0000 Sale	01/14/11	01/21/11	243.65	256.90	0.00	(13.25)	
156.0000 Sale	05/17/11	09/30/11	3,890.56	6,015.63	0.00	(2,125.07)	
86.0000 Sale	08/10/11	09/30/11	2,144.80	2,653.40	0.00	(508.60)	
Security Subtotal			6,279.01	8,925.93	0.00	(2,646.92)	
MERCK AND CO INC SHS	CUSIP Number	58933Y105					
38.0000 Sale	01/14/11	09/30/11	1,262.51	1,300.18	0.00	(37.67)	
122.0000 Sale	05/17/11	09/30/11	4,053.34	4,516.57	0.00	(463.23)	
Security Subtotal			5,315.85	5,816.75	0.00	(500.90)	
MARSH & MCLENNAN COS INC	CUSIP Number	571748102					
14.0000 Sale	01/14/11	09/30/11	374.42	385.84	0.00	(11.42)	
MAXIM INTEGRATED PRODS	CUSIP Number	57772K101					
203.0000 Sale	07/22/11	09/30/11	4,741.99	4,826.61	0.00	(84.62)	
MICROSOFT CORP	CUSIP Number	594918104					
230.0000 Sale	02/18/11	09/30/11	5,766.19	6,212.71	0.00	(446.52)	
142.0000 Sale	04/27/11	09/30/11	3,560.00	3,733.44	0.00	(173.44)	
Security Subtotal			9,326.19	9,946.15	0.00	(619.96)	
NEWFIELD EXPL CO COM	CUSIP Number	651290108					
24.0000 Sale	01/14/11	08/22/11	1,093.82	1,700.64	0.00	(606.82)	
NEWELL RUBBERMAID INC	CUSIP Number	651229106					
29.0000 Sale	01/14/11	06/08/11	414.27	515.46	0.00	(101.19)	
NVIDIA	CUSIP Number	67066G104					
276.0000 Sale	06/22/11	09/30/11	3,461.77	4,421.44	0.00	(959.67)	
NEXTERA ENERGY INC SHS	CUSIP Number	65339F101					
5.0000 Sale	01/14/11	04/15/11	276.58	270.23	0.00	6.35	
NIKE INC CL B	CUSIP Number	654106103					
59.0000 Sale	04/08/11	06/23/11	4,794.62	4,560.17	0.00	234.45	



Account No. 07049
Taxpayer No.

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
22.0000	PETE CORP CAL Sale	01/14/11	674599105	10/03/11	1,546.35	2,132.48	0.00	(586.13)	
27.0000	DEL Sale	04/01/11		10/03/11	1,897.80	2,842.31	0.00	(944.51)	
	Security Subtotal				3,444.15	4,974.79	0.00	(1,530.64)	
11.0000	ORACLE CORP \$0.01 DEL Sale	01/14/11	68389X105	03/01/11	351.39	342.96	0.00	8.43	
20.0000	PG&E CORP Sale	01/14/11	69331C108	09/30/11	853.49	944.80	0.00	(91.31)	
225.0000	PPL CORPORATION Sale	04/13/11	69351T106	09/30/11	6,471.84	6,011.57	0.00	460.27	
102.0000	Security Subtotal	05/17/11		09/30/11	2,933.91	2,857.58	0.00	76.33	
					9,405.75	8,869.15	0.00	536.60	
19.0000	PRUDENTIAL FINANCIAL INC Sale	01/14/11	744320102	09/30/11	900.33	1,164.60	0.00	(264.27)	
10.0000	PNC FINCL SERVICES GROUP Sale	01/14/11	693475105	07/20/11	552.45	640.75	0.00	(88.30)	
14.0000	PEPSICO INC Sale	01/14/11	713448108	09/30/11	873.99	935.14	0.00	(61.15)	
49.0000	Security Subtotal	03/01/11		09/30/11	3,058.98	3,107.53	0.00	(48.55)	
					3,932.97	4,042.67	0.00	(109.70)	
7.0000	PROCTER & GAMBLE CO Sale	01/14/11	742718109	06/22/11	449.57	458.22	0.00	(8.65)	
129.0000	PUB SVC ENTERPRISE GRP Sale	08/03/11	744573106	09/30/11	4,340.05	4,130.59	0.00	209.46	
9.0000	RANGE RESOURCES CORP DEL Sale	01/14/11	75281A109	01/21/11	408.86	434.22	0.00	(25.36)	
33.0000	Security Subtotal	07/28/11		09/28/11	2,015.78	2,159.85	0.00	(144.07)	
17.0000		07/28/11		09/29/11	998.62	1,112.65	0.00	(114.03)	
18.0000		07/28/11		09/30/11	1,065.35	1,178.11	0.00	(112.76)	
46.0000		08/09/11		09/30/11	2,722.58	2,553.26	0.00	169.32	
	Security Subtotal				7,211.19	7,438.09	0.00	(226.90)	



HERBERT H AND BARBARA C DOW

Account No.
17049

Taxpayer No.

Page
15 of 40

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
8.0000	STATE STREET CORP Sale	01/14/11	857477103	09/26/11	250.36	397.52	0.00	(147.16)	
9.0000	SCHLUMBERGER LTD Sale	01/14/11	806857108	09/23/11	551.69	778.10	0.00	(226.41)	
33.0000	Security Subtotal	07/08/11		09/23/11	2,022.88	2,952.67	0.00	(929.79)	
					2,574.57	3,730.77	0.00	(1,156.20)	
33.0000	SIMON PROPERTY GROUP DEL REIT Sale	09/23/11	828806109	09/30/11	3,669.53	3,637.42	0.00	32.11	
57.0000	SLM CORP Sale	01/14/11	78442P106	09/30/11	712.36	811.37	0.00	(99.01)	
204.0000	SPRINT NEXTEL CORP Sale	01/14/11	852061100	09/30/11	631.37	903.50	0.00	(272.13)	
741.0000	Security Subtotal	03/03/11		09/30/11	2,293.37	3,221.35	0.00	(927.98)	
					2,924.74	4,124.85	0.00	(1,200.11)	
25.0000	SUNTRUST BKS INC COM Sale	01/14/11	867914103	09/30/11	453.10	724.37	0.00	(271.27)	
87.0000	Security Subtotal	05/17/11		09/30/11	1,576.81	2,432.39	0.00	(855.58)	
					2,029.91	3,156.76	0.00	(1,126.85)	
22.0000	TEVA PHARMACTCL INDS ADR Sale	01/14/11	881624209	09/30/11	831.23	1,190.15	0.00	(358.92)	
56.0000	Security Subtotal	03/01/11		09/30/11	2,115.87	2,821.64	0.00	(705.77)	
					2,947.10	4,011.79	0.00	(1,064.69)	
12.0000	TEXAS INSTRUMENTS Sale	01/14/11	882508104	07/22/11	378.14	407.22	0.00	(29.08)	
16.0000	TRAVELERS COS INC Sale	01/14/11	89417E109	09/30/11	788.63	870.70	0.00	(82.07)	
65.0000	THE MOSAIC COMPANY COMMON SHARES Sale	07/08/11	61945C103	09/30/11	3,247.67	4,562.64	0.00	(1,314.97)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
UNILEVER NV NY REG SHS									
111.0000	Sale	01/06/11		09/30/11	3,519.75	3,387.62	0.00	132.13	
25.0000	Sale	01/14/11		09/30/11	792.73	761.87	0.00	30.86	
114.0000	Sale	03/01/11		09/30/11	3,614.89	3,441.07	0.00	173.82	
	Security Subtotal				7,927.37	7,590.56	0.00	336.81	
US BANCORP (NEW)									
45.0000	Sale	01/14/11		09/30/11	1,079.28	1,230.60	0.00	(151.32)	
WEATHERFORD INTL LTD REG.									
22.0000	Sale	01/14/11		03/02/11	440.63	523.07	0.00	(82.44)	
123.0000	Sale	01/31/11		03/02/11	2,463.54	2,884.44	0.00	(420.90)	
	Security Subtotal				2,904.17	3,407.51	0.00	(503.34)	
YUM BRANDS INC									
81.0000	Sale	01/10/11		04/12/11	4,038.88	3,994.71	0.00	44.17	
9.0000	Sale	01/14/11		04/12/11	448.77	432.85	0.00	15.92	
	Security Subtotal				4,487.65	4,427.56	0.00	60.09	
WELLS FARGO & CO NEW DEL									
42.0000	Sale	01/14/11		09/30/11	1,033.25	1,371.30	0.00	(338.05)	
WELLPOINT INC									
4.0000	Sale	01/14/11		09/30/11	265.36	254.68	0.00	10.68	
	Covered Short Term Capital Gains and Losses Subtotal				295,689.73	344,294.59	0.00	(48,604.86)	

NONCOVERED TRANSACTIONS

ADOBE SYS DEL PV\$ 0.001									
173.0000	Sale	11/03/10		09/30/11	4,218.15	4,951.99	0.00	(733.84)	
AFLAC INC COM									
4.0000	Sale	03/09/10		03/01/11	232.59	205.36	0.00	27.23	



HERBERT H AND BARBARA C DOW

Account No.
07049

Taxpayer No.

Page
17 of 40

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
59.0000	ARCHER DANIELS MIDLD Sale	05/12/10	039483102	02/02/11	2,073.30	1,621.83	0.00	451.47	
132.0000	ARCHER DANIELS MIDLD Sale	06/15/10	039483102	02/02/11	4,638.59	3,515.56	0.00	1,123.03	
	Security Subtotal				6,711.89	5,137.39	0.00	1,574.50	
28.0000	BMC SOFTWARE INC Sale	04/29/10	055921100	02/23/11	1,350.74	1,124.61	0.00	226.13	
62.0000	BMC SOFTWARE INC Sale	06/16/10	055921100	02/23/11	2,990.94	2,324.36	0.00	666.58	
	Security Subtotal				4,341.68	3,448.97	0.00	892.71	
26.0000	BAXTER INTERNTL INC Sale	03/09/10	071813109	03/01/11	1,356.82	1,537.10	0.00	(180.28)	
48.0000	BAXTER INTERNTL INC Sale	05/07/10	071813109	04/08/11	2,573.69	2,171.61	0.00	402.08	
	Security Subtotal				3,930.51	3,708.71	0.00	221.80	
142.0000	COMCAST CORP NEW CL A Sale	08/12/10	20030N101	07/18/11	3,390.27	2,522.74	0.00	867.53	
27.0000	CBS CORP NEW CL B Sale	12/08/10	124857202	06/03/11	725.53	485.53	0.00	240.00	
119.0000	CBS CORP NEW CL B Sale	12/08/10	124857202	08/03/11	3,143.12	2,139.92	0.00	1,003.20	
2.0000	CBS CORP NEW CL B Sale	12/08/10	124857202	08/05/11	46.41	35.97	0.00	10.44	
110.0000	CBS CORP NEW CL B Sale	12/13/10	124857202	08/05/11	2,552.88	1,978.50	0.00	574.38	
	Security Subtotal				6,467.94	4,639.92	0.00	1,828.02	
103.0000	DOW CHEMICAL CO Sale	10/12/10	260543103	08/04/11	3,112.14	3,044.08	0.00	68.06	
100.0000	E M C CORPORATION MASS Sale	04/30/10	268648102	04/27/11	2,810.42	1,937.54	0.00	872.88	
110.0000	E M C CORPORATION MASS Sale	11/30/10	268648102	09/30/11	2,335.57	2,365.58	0.00	(30.01)	
	Security Subtotal				5,145.99	4,303.12	0.00	842.87	
59.0000	EMERSON ELEC CO Sale	03/09/10	291011104	03/01/11	3,457.44	2,821.97	0.00	635.47	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
	FREEPORT-MCMURAN CPR & GLD	CUSIP Number	35671D857					
30.0000	Sale	10/12/10	01/20/11	3,302.14	2,826.36	0.00	475.78	
22.0000	Sale	10/12/10	01/21/11	2,428.51	2,072.67	0.00	355.84	
	Security Subtotal			5,730.65	4,899.03	0.00	831.62	
	GENERAL ELECTRIC	CUSIP Number	369604103					
178.0000	Sale	10/19/10	09/30/11	2,726.93	2,850.35	0.00	(123.42)	
142.0000	Sale	12/27/10	09/30/11	2,175.42	2,554.64	0.00	(379.22)	
	Security Subtotal			4,902.35	5,404.99	0.00	(502.64)	
	GENERAL MOTORS CO COMMON SHARES	CUSIP Number	37045V100					
142.0000	Sale	11/18/10	09/28/11	2,933.11	5,042.38	0.00	(2,109.27)	
	JPMORGAN CHASE & CO	CUSIP Number	46625H100					
61.0000	Sale	12/13/10	09/30/11	1,863.09	2,547.93	0.00	(684.84)	
	KOHL'S CORP WISC PV 1CT	CUSIP Number	500255104					
74.0000	Sale	11/05/10	01/13/11	3,803.28	3,873.45	0.00	(70.17)	
	LYONDELLBASELL INDUSTRIE	CUSIP Number	N53745100					
71.0000	Sale	11/05/10	01/13/11	2,580.33	1,985.98	0.00	594.35	
75.0000	Sale	11/05/10	01/21/11	2,610.49	2,097.87	0.00	512.62	
	Security Subtotal			5,190.82	4,083.85	0.00	1,106.97	
	NEXTERA ENERGY INC SHS	CUSIP Number	65339F101					
67.0000	Sale	10/14/10	04/15/11	3,706.07	3,716.01	0.00	(9.94)	
	ORACLE CORP \$0.01 DEL	CUSIP Number	68389X105					
88.0000	Sale	03/09/10	03/01/11	2,811.06	2,196.32	0.00	614.74	
	PG&E CORP	CUSIP Number	69331C108					
65.0000	Sale	10/12/10	09/30/11	2,773.82	3,006.62	0.00	(232.80)	
60.0000	Sale	12/03/10	09/30/11	2,560.45	2,871.73	0.00	(311.28)	
	Security Subtotal			5,334.27	5,878.35	0.00	(544.08)	
	POLO RALPH LAUREN CORP A	CUSIP Number	731572103					
31.0000	Sale	10/26/10	01/05/11	3,386.11	2,921.37	0.00	464.74	

HERBERT H AND BARBARA C DOW

Account No.
07049

Taxpayer No.

Page
19 of 40

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
		CUSIP Number	744320102					
	PRUDENTIAL FINANCIAL INC	10/25/10	09/30/11	2,321.90	2,614.05	0.00	(292.15)	
	49.0000 Sale							
		CUSIP Number	693475105					
	PNC FINCL SERVICES GROUP	09/29/10	07/20/11	3,811.85	3,600.79	0.00	211.06	
	69.0000 Sale	10/19/10	07/20/11	2,541.23	2,433.94	0.00	107.29	
	46.0000 Sale	12/13/10	07/20/11	2,320.26	2,525.66	0.00	(205.40)	
	42.0000 Sale			8,673.34	8,560.39	0.00	112.95	
	Security Subtotal							
		CUSIP Number	742718109					
	PROCTER & GAMBLE CO	08/18/10	06/22/11	4,881.00	4,633.97	0.00	247.03	
	76.0000 Sale							
		CUSIP Number	75281A109					
	RANGE RESOURCES CORP DEL	03/09/10	01/21/11	90.85	102.48	0.00	(11.63)	
	2.0000 Sale	04/16/10	01/21/11	2,089.70	2,314.36	0.00	(224.66)	
	46.0000 Sale	05/10/10	01/21/11	1,998.85	2,110.82	0.00	(111.97)	
	44.0000 Sale			4,179.40	4,527.66	0.00	(348.26)	
	Security Subtotal							
		CUSIP Number	806857108					
	SCHLUMBERGER LTD	10/28/10	03/01/11	3,329.45	2,493.40	0.00	836.05	
	36.0000 Sale	10/28/10	08/11/11	1,312.02	1,246.70	0.00	65.32	
	18.0000 Sale	11/01/10	08/11/11	801.80	769.73	0.00	32.07	
	11.0000 Sale	11/01/10	09/23/11	1,471.17	1,679.42	0.00	(208.25)	
	24.0000 Sale			6,914.44	6,189.25	0.00	725.19	
	Security Subtotal							
		CUSIP Number	867914103					
	SUNTRUST BKS INC COM	12/20/10	08/10/11	588.98	864.36	0.00	(275.38)	
	32.0000 Sale	12/20/10	09/30/11	3,044.85	4,537.92	0.00	(1,493.07)	
	168.0000 Sale			3,633.83	5,402.28	0.00	(1,768.45)	
	Security Subtotal							
		CUSIP Number	881624209					
	TEVA PHARMACTCL INDS ADR	11/12/10	09/30/11	4,685.12	6,255.81	0.00	(1,570.69)	
	124.0000 Sale	11/15/10	09/30/11	2,758.18	3,713.74	0.00	(955.56)	
	73.0000 Sale			7,443.30	9,969.55	0.00	(2,526.25)	
	Security Subtotal							
		CUSIP Number	902973304					
	US BANCORP (NEW)	12/13/10	09/30/11	2,926.03	3,207.21	0.00	(281.18)	
	122.0000 Sale							

Account No.
07049

Taxpayer No.

Page
20 of 40

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	CUSIP Number	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
	WEATHERFORD INTL LTD. REG.			H27013103					
126.0000	Sale	12/21/10	02/28/11		2,976.14	2,809.91	0.00	166.23	
110.0000	Sale	12/21/10	03/02/11		2,203.15	2,453.10	0.00	(249.95)	
	Security Subtotal				5,179.29	5,263.01	0.00	(83.72)	
	Noncovered Short Term Capital Gains and Losses Subtotal				126,821.94	125,715.30	0.00	1,106.64	
	NET SHORT TERM CAPITAL GAINS AND LOSSES				422,511.67	470,009.89	0.00	(47,498.22)	

LONG TERM CAPITAL GAINS AND LOSSES

COVERED TRANSACTIONS

BAXTER INTERNTL INC 14.0000 Sale	CUSIP Number 01/13/09	071813109 03/01/11	730.59	744.35	0.00 (Y)	(13.76)
WELLS FARGO & CO NEW DEL 12.0000 Sale 46.0000 Sale	CUSIP Number 04/27/10 04/28/10	949746101 09/30/11 09/30/11	295.21 1,131.63	372.72 1,448.81	0.00 (Y) 0.00 (Y)	(77.51) (317.18)
Security Subtotal			1,426.84	1,821.53	0.00	(394.69)
Covered Long Term Capital Gains and Losses Subtotal			2,157.43	2,565.88	0.00	(408.45)

NONCOVERED TRANSACTIONS

ALLSTATE CORP DEL COM 113.0000 Sale 1.0000 Sale	CUSIP Number 06/23/10 06/23/10	020002101 09/20/11 09/30/11	2,782.26 23.97	3,438.67 30.43	0.00 0.00	(656.41) (6.46)
Security Subtotal			2,806.23	3,469.10	0.00	(662.87)
AFLAC INC 22.0000 Sale 14.0000 Sale 17.0000 Sale	CUSIP Number 08/26/09 09/21/09 01/11/10	001055102 03/01/11 03/01/11 03/01/11	1,279.19 814.03 988.46	903.38 593.38 846.77	0.00 0.00 0.00	375.81 220.65 141.69

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
45.0000	COM	03/09/10	001055102	09/30/11	1,578.76	2,310.30	0.00	(731.54)	
55.0000	Sale	06/16/10		09/30/11	1,929.60	2,434.07	0.00	(504.47)	
	Security Subtotal				6,590.04	7,087.90	0.00	(497.86)	
26.0000	AMN ELEC POWER CO	03/09/10	025537101	09/30/11	995.88	888.62	0.00	107.26	
81.0000	Sale	06/11/10		09/30/11	3,102.57	2,610.23	0.00	492.34	
107.0000	Sale	06/15/10		09/30/11	4,098.47	3,555.42	0.00	543.05	
	Security Subtotal				8,196.92	7,054.27	0.00	1,142.65	
23.0000	BIOGEN IDEC INC	01/22/09	09062X103	02/16/11	1,546.53	1,171.12	0.00	375.41	
37.0000	Sale	03/10/09		02/16/11	2,487.91	1,682.52	0.00	805.39	
34.0000	Sale	08/04/09		02/16/11	2,286.19	1,643.86	0.00	642.33	
10.0000	Sale	09/21/09		02/16/11	672.42	494.20	0.00	178.22	
2.0000	Sale	09/21/09		03/25/11	143.00	98.84	0.00	44.16	
16.0000	Sale	01/11/10		03/25/11	1,144.01	863.68	0.00	280.33	
43.0000	Sale	03/09/10		03/25/11	3,074.52	2,498.50	0.00	576.02	
	Security Subtotal				11,354.58	8,452.72	0.00	2,901.86	
4.0000	BANK NEW YORK MELLON CORP	10/22/09	064058100	05/12/11	114.14	114.26	0.00	(0.12)	
56.0000	Sale	10/28/09		05/12/11	1,597.97	1,563.60	0.00	34.37	
21.0000	Sale	01/11/10		05/12/11	599.24	617.61	0.00	(18.37)	
54.0000	Sale	03/09/10		05/12/11	1,540.90	1,596.09	0.00	(55.19)	
	Security Subtotal				3,852.25	3,891.56	0.00	(39.31)	
14.0000	BAXTER INTERNTL INC	01/12/09	071813109	01/13/11	704.78	744.79	40.01 (W)	0.00	
55.0000	Sale	10/12/09		01/13/11	2,768.80	2,925.98	0.00	(157.18)	
26.0000	Sale	06/08/09		01/13/11	1,308.89	1,231.87	0.00	77.02	
13.0000	Sale	06/08/09		03/01/11	678.40	615.93	0.00	62.47	
16.0000	Sale	09/21/09		03/01/11	834.96	931.04	0.00	(96.08)	
20.0000	Sale	01/11/10		03/01/11	1,043.70	1,179.20	0.00	(135.50)	
39.0000	Sale	03/09/10		04/08/11	2,091.12	2,305.65	0.00	(214.53)	
	Security Subtotal				9,430.65	9,934.46	40.01	(463.80)	



HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
BOEING COMPANY									
8,000	Sale	09/21/09	097023105	09/30/11	488.14	420.33	0.00	67.81	
28,000	Sale	11/17/09	09/30/11	09/30/11	1,708.50	1,474.42	0.00	234.08	
19,000	Sale	01/11/10	09/30/11	09/30/11	1,159.34	1,176.48	0.00	(17.14)	
37,000	Sale	03/09/10	09/30/11	09/30/11	2,257.67	2,509.71	0.00	(252.04)	
44,000	Sale	05/24/10	09/30/11	09/30/11	2,684.79	2,813.33	0.00	(128.54)	
Security Subtotal					8,298.44	8,394.27	0.00	(95.83)	
COMCAST CORP NEW CL A									
228,000	Sale	06/22/10	20030N101	07/18/11	5,443.53	4,170.48	0.00	1,273.05	
191,000	Sale	07/02/10	07/18/11	07/18/11	4,560.15	3,349.20	0.00	1,210.95	
Security Subtotal					10,003.68	7,519.68	0.00	2,484.00	
CVS CAREMARK CORP									
104,000	Sale	03/04/10	126650100	09/30/11	3,507.33	3,619.20	0.00	(111.87)	
42,000	Sale	03/09/10	09/30/11	09/30/11	1,416.42	1,468.65	0.00	(52.23)	
79,000	Sale	05/07/10	09/30/11	09/30/11	2,664.24	2,754.27	0.00	(90.03)	
Security Subtotal					7,587.99	7,842.12	0.00	(254.13)	
CBS CORP NEW CL B									
9,000	Sale	11/17/09	124857202	03/25/11	224.21	124.50	0.00	99.71	
25,000	Sale	01/11/10	03/25/11	03/25/11	622.83	355.25	0.00	267.58	
49,000	Sale	03/08/10	03/25/11	03/25/11	1,220.75	719.08	0.00	501.67	
12,000	Sale	03/09/10	03/25/11	03/25/11	298.96	172.17	0.00	126.79	
86,000	Sale	03/09/10	06/03/11	06/03/11	2,310.91	1,233.89	0.00	1,077.02	
Security Subtotal					4,677.66	2,604.89	0.00	2,072.77	
DISH NETWORK CORPORATION CLASS A									
120,000	Sale	04/23/09	25470M109	03/25/11	2,954.57	1,589.90	0.00	1,364.67	
11,000	Sale	05/18/09	03/25/11	03/25/11	270.84	183.39	0.00	87.45	
60,000	Sale	05/18/09	09/30/11	09/30/11	1,520.86	1,000.34	0.00	520.52	
100,000	Sale	10/28/09	09/30/11	09/30/11	2,534.77	1,715.01	0.00	819.76	
44,000	Sale	01/11/10	09/30/11	09/30/11	1,115.29	930.60	0.00	184.69	
121,000	Sale	03/09/10	09/30/11	09/30/11	3,067.08	2,619.65	0.00	447.43	
Security Subtotal					11,463.41	8,038.89	0.00	3,424.52	

Taxpayer No.

Account No.
07049

Page
22 of 40



HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
DOW CHEMICAL CO									
10.0000	Sale	09/21/09	260543103	05/17/11	370.28	254.00	0.00	106.28	
83.0000	Sale	12/10/09		05/17/11	3,073.39	2,230.21	0.00	843.18	
34.0000	Sale	01/11/10		05/17/11	1,258.98	1,068.96	0.00	190.02	
74.0000	Sale	03/09/10		05/17/11	2,740.14	2,165.23	0.00	574.91	
26.0000	Sale	03/09/10		08/04/11	785.59	760.76	0.00	24.83	
	Security Subtotal				8,228.38	6,489.16	0.00	1,739.22	
E M C CORPORATION MASS									
104.0000	Sale	04/30/10	268648102	09/30/11	2,208.17	2,015.04	0.00	193.13	
145.0000	Sale	07/23/10		09/30/11	3,078.71	2,907.58	0.00	171.13	
	Security Subtotal				5,286.88	4,922.62	0.00	364.26	
ENTERGY CORP NEW									
45.0000	Sale	01/12/09	29364G103	07/01/11	3,073.98	3,624.60	0.00	(550.62)	
12.0000	Sale	01/12/09		08/02/11	790.02	966.56	0.00	(176.54)	
4.0000	Sale	06/04/09		08/02/11	263.34	297.87	0.00	(34.53)	
12.0000	Sale	09/21/09		08/02/11	790.03	963.48	0.00	(173.45)	
11.0000	Sale	01/11/10		08/02/11	724.19	888.47	0.00	(164.28)	
30.0000	Sale	03/09/10		08/02/11	1,975.08	2,378.70	0.00	(403.62)	
	Security Subtotal				7,616.64	9,119.68	0.00	(1,503.04)	
EVEREST RE GROUP LTD									
7.0000	Sale	05/21/07	G3223R108	09/30/11	559.77	744.83	0.00	(185.06)	
10.0000	Sale	04/22/08		09/30/11	799.68	912.61	0.00	(112.93)	
10.0000	Sale	04/25/08		09/30/11	799.68	915.61	0.00	(115.93)	
21.0000	Sale	01/21/09		09/30/11	1,679.34	1,445.05	0.00	234.29	
3.0000	Sale	04/28/09		09/30/11	239.90	216.18	0.00	23.72	
6.0000	Sale	09/21/09		09/30/11	479.81	511.62	0.00	(31.81)	
9.0000	Sale	01/11/10		09/30/11	719.72	761.13	0.00	(41.41)	
25.0000	Sale	03/09/10		09/30/11	1,999.22	2,075.50	0.00	(76.28)	
	Security Subtotal				7,277.12	7,582.53	0.00	(305.41)	
EMERSON ELEC CO									
15.0000	Sale	01/11/10	291011104	03/01/11	879.01	665.70	0.00	213.31	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
FORD MOTOR CO								
297.0000	Sale	10/28/09	09/30/11	2,910.54	2,149.15	0.00	761.39	
44.0000	Sale	01/11/10	09/30/11	431.19	521.40	0.00	(90.21)	
121.0000	Sale	03/09/10	09/30/11	1,185.77	1,561.81	0.00	(376.04)	
	Security Subtotal			4,527.50	4,232.36	0.00	295.14	
FRANKLIN RES INC								
2.0000	Sale	09/21/09	09/30/11	192.00	204.68	0.00	(12.68)	
7.0000	Sale	01/11/10	09/30/11	672.01	769.02	0.00	(97.01)	
21.0000	Sale	03/09/10	09/30/11	2,016.03	2,260.44	0.00	(244.41)	
31.0000	Sale	06/18/10	09/30/11	2,976.04	2,870.87	0.00	105.17	
	Security Subtotal			5,856.08	6,105.01	0.00	(248.93)	
GENERAL ELECTRIC								
36.0000	Sale	11/23/09	09/30/11	551.51	575.54	0.00	(24.03)	
89.0000	Sale	12/03/09	09/30/11	1,363.46	1,447.13	0.00	(83.67)	
150.0000	Sale	12/17/09	09/30/11	2,297.97	2,346.17	0.00	(48.20)	
61.0000	Sale	01/11/10	09/30/11	934.50	1,022.97	0.00	(88.47)	
105.0000	Sale	02/19/10	09/30/11	1,608.58	1,699.62	0.00	(91.04)	
222.0000	Sale	03/09/10	09/30/11	3,400.99	3,647.02	0.00	(246.03)	
84.0000	Sale	04/06/10	09/30/11	1,286.86	1,564.85	0.00	(277.99)	
139.0000	Sale	04/23/10	09/30/11	2,129.45	2,643.47	0.00	(514.02)	
	Security Subtotal			13,573.32	14,946.77	0.00	(1,373.45)	
GENERAL MILLS								
68.0000	Sale	12/12/08	03/01/11	2,505.20	2,051.79	0.00	453.41	
12.0000	Sale	09/21/09	03/01/11	442.09	338.08	0.00	84.01	
2.0000	Sale	01/11/10	03/01/11	73.69	70.81	0.00	2.88	
10.0000	Sale	01/11/10	09/30/11	388.99	354.05	0.00	34.94	
58.0000	Sale	01/22/10	09/30/11	2,256.15	2,071.08	0.00	185.07	
48.0000	Sale	03/09/10	09/30/11	1,867.16	1,738.32	0.00	128.84	
134.0000	Sale	04/30/10	09/30/11	5,212.51	4,800.56	0.00	411.95	
	Security Subtotal			12,745.79	11,444.69	0.00	1,301.10	
GOOGLE INC CL A								
6.0000	Sale	03/31/10	09/14/11	3,174.31	3,387.85	0.00	(213.54)	
3.0000	Sale	03/31/10	09/30/11	1,550.47	1,693.93	0.00	(143.46)	
	Security Subtotal			4,724.78	5,081.78	0.00	(357.00)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
HARTFORD FINL SVCS GROUP									
135.0000	Sale	03/26/10	416515104	09/30/11	2,222.26	3,822.90	0.00	(1,600.64)	
90.0000	Sale	06/23/10		09/30/11	1,481.50	2,201.04	0.00	(719.54)	
	Security Subtotal				3,703.76	6,023.94	0.00	(2,320.18)	
HONEYWELL INTL INC DEL									
12.0000	Sale	07/14/09	438516106	03/01/11	681.20	374.16	0.00	307.04	
17.0000	Sale	09/21/09		03/01/11	965.04	675.58	0.00	289.46	
22.0000	Sale	10/14/09		03/01/11	1,248.88	818.04	0.00	430.84	
16.0000	Sale	10/14/09		09/30/11	708.78	594.94	0.00	113.84	
27.0000	Sale	01/11/10		09/30/11	1,196.07	1,155.60	0.00	40.47	
148.0000	Sale	03/09/10		09/30/11	6,556.28	6,250.78	0.00	305.50	
	Security Subtotal				11,356.25	9,869.10	0.00	1,487.15	
ILLINOIS TOOL WORKS INC									
80.0000	Sale	08/19/10	452308109	09/30/11	3,364.30	3,367.68	0.00	(3.38)	
INVESCO LTD									
105.0000	Sale	01/12/09	G491BT108	03/24/11	2,720.15	1,370.40	0.00	1,349.75	
56.0000	Sale	01/12/09		09/30/11	879.44	730.88	0.00	148.56	
27.0000	Sale	09/21/09		09/30/11	424.01	606.96	0.00	(182.95)	
27.0000	Sale	01/11/10		09/30/11	424.01	623.97	0.00	(199.96)	
89.0000	Sale	03/09/10		09/30/11	1,397.70	1,779.78	0.00	(382.08)	
	Security Subtotal				5,845.31	5,111.99	0.00	733.32	
JPMORGAN CHASE & CO									
93.0000	Sale	05/21/07	46625H100	09/30/11	2,840.43	4,883.44	0.00	(2,043.01)	
45.0000	Sale	10/15/07		09/30/11	1,374.40	2,084.68	0.00	(710.28)	
85.0000	Sale	10/31/07		09/30/11	2,596.09	4,022.24	0.00	(1,426.15)	
29.0000	Sale	11/14/08		09/30/11	885.72	1,050.30	0.00	(164.58)	
7.0000	Sale	05/26/09		09/30/11	213.79	247.80	0.00	(34.01)	
33.0000	Sale	09/21/09		09/30/11	1,007.89	1,472.46	0.00	(464.57)	
40.0000	Sale	09/30/09		09/30/11	1,221.69	1,762.98	0.00	(541.29)	
49.0000	Sale	01/11/10		09/30/11	1,496.57	2,200.59	0.00	(704.02)	
135.0000	Sale	03/09/10		09/30/11	4,123.23	5,723.85	0.00	(1,600.62)	
	Security Subtotal				15,759.81	23,448.34	0.00	(7,688.53)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
JOHNSON CONTROLS INC									
11,000	Sale	04/17/09	478366107	09/30/11	291.90	191.33	0.00	100.57	
15,000	Sale	09/21/09		09/30/11	398.05	403.95	0.00	(5.90)	
14,000	Sale	01/11/10		09/30/11	371.52	404.88	0.00	(33.36)	
52,000	Sale	03/09/10		09/30/11	1,379.93	1,653.46	0.00	(273.53)	
71,000	Sale	05/19/10		09/30/11	1,884.14	2,067.92	0.00	(183.78)	
	Security Subtotal				4,325.54	4,721.54	0.00	(396.00)	
MERCK AND CO INC SHS									
50,000	Sale	12/16/09	58933Y105	09/30/11	1,661.19	1,891.27	0.00	(230.08)	
17,000	Sale	01/11/10		09/30/11	564.80	640.73	0.00	(75.93)	
100,000	Sale	02/23/10		09/30/11	3,322.39	3,651.86	0.00	(329.47)	
85,000	Sale	03/09/11		09/30/11	2,824.04	3,138.92	0.00	(314.88)	
73,000	Sale	03/26/10		09/30/11	2,425.35	2,748.64	0.00	(323.29)	
74,000	Sale	06/28/10		09/30/11	2,458.57	2,642.40	0.00	(183.83)	
	Security Subtotal				13,256.34	14,713.82	0.00	(1,457.48)	
MARSH & MCLENNAN COS INC									
82,000	Sale	09/10/09	571748102	09/30/11	2,192.99	1,893.64	0.00	299.35	
25,000	Sale	01/11/10		09/30/11	668.59	552.25	0.00	116.34	
36,000	Sale	03/09/10		09/30/11	962.78	859.68	0.00	103.10	
	Security Subtotal				3,824.36	3,305.57	0.00	518.79	
NEWFIELD EXPL CO COM									
14,000	Sale	10/05/09	651290108	03/23/11	1,028.85	600.48	0.00	428.37	
42,000	Sale	10/05/09		04/05/11	3,193.45	1,801.42	0.00	1,392.03	
37,000	Sale	10/05/09		04/28/11	2,586.81	1,586.97	0.00	999.84	
9,000	Sale	10/05/09		05/04/11	598.88	386.02	0.00	212.86	
14,000	Sale	01/11/10		05/04/11	931.59	717.08	0.00	214.51	
7,000	Sale	03/09/10		05/04/11	465.80	368.48	0.00	97.32	
34,000	Sale	03/09/10		08/08/11	1,761.43	1,789.74	0.00	(28.31)	
10,000	Sale	07/07/10		08/08/11	518.07	501.25	0.00	16.82	
26,000	Sale	07/07/10		08/22/11	1,184.97	1,303.24	0.00	(118.27)	
	Security Subtotal				12,269.85	9,054.68	0.00	3,215.17	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
NEWELL RUBBERMAID INC									
191,000	Sale	09/28/09	651229706	06/08/11	2,728.40	2,937.92	0.00	(209.52)	
28,000	Sale	01/11/10		06/08/11	399.97	439.60	0.00	(39.63)	
71,000	Sale	03/09/10		06/08/11	1,014.22	1,061.45	0.00	(47.23)	
	Security Subtotal				4,142.59	4,438.97	0.00	(296.38)	
OCCIDENTAL PETE CORP CAL									
18,000	Sale	02/26/09	674599105	01/25/11	1,726.84	953.40	0.00	773.44	
11,000	Sale	03/27/09		01/25/11	1,055.30	640.79	0.00	414.51	
9,000	Sale	01/31/11		01/31/11	860.19	524.28	0.00	335.91	
29,000	Sale	06/25/09		01/31/11	2,771.75	1,877.90	0.00	893.85	
3,000	Sale	06/25/09		02/24/11	311.56	194.27	0.00	117.29	
16,000	Sale	08/13/09		02/24/11	1,661.69	1,118.77	0.00	542.92	
16,000	Sale	09/21/09		02/24/11	1,661.70	1,213.44	0.00	448.26	
20,000	Sale	01/11/10		03/23/11	2,010.04	1,682.60	0.00	327.44	
7,000	Sale	03/09/10		03/23/11	703.52	572.39	0.00	131.13	
29,000	Sale	03/09/10		05/25/11	2,984.17	2,371.33	0.00	612.84	
20,000	Sale	03/09/10		08/19/11	1,655.94	1,635.40	0.00	20.54	
7,000	Sale	05/03/10		08/19/11	579.58	627.98	0.00	(48.40)	
15,000	Sale	05/03/10		09/30/11	1,090.19	1,345.68	0.00	(255.49)	
14,000	Sale	05/27/10		09/30/11	1,017.52	1,129.86	0.00	(112.34)	
12,000	Sale	05/27/10		10/03/11	843.46	968.46	0.00	(125.00)	
	Security Subtotal				20,933.45	16,856.55	0.00	4,076.90	
ORACLE CORP \$0 01 DEL									
23,000	Sale	01/11/10	68389X105	03/01/11	734.70	566.03	0.00	168.67	
PG&E CORP									
99,000	Sale	08/20/10	69331C108	09/30/11	4,224.74	4,497.82	0.00	(273.08)	
PRUDENTIAL FINANCIAL INC									
37,000	Sale	06/03/09	744320102	09/30/11	1,753.26	1,508.66	0.00	244.60	
13,000	Sale	09/21/09		09/30/11	616.01	673.27	0.00	(57.26)	
30,000	Sale	12/23/09		09/30/11	1,421.56	1,554.02	0.00	(132.46)	
17,000	Sale	01/11/10		09/30/11	805.55	917.66	0.00	(112.11)	
49,000	Sale	03/09/10		09/30/11	2,321.89	2,713.99	0.00	(392.10)	
	Security Subtotal				6,918.27	7,367.60	0.00	(449.33)	



HERBERT H AND BARBARA C DOW

Account No.
07049

Taxpayer No.

Page
28 of 40

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
PEPSICO INC								
		CUSIP Number	713448108					
42.0000	Sale	05/07/10	06/22/11	2,901.62	2,721.97	0.00	179.65	
14.0000	Sale	05/07/10	07/08/11	975.95	907.32	0.00	68.63	
33.0000	Sale	07/01/10	07/08/11	2,300.48	2,006.42	0.00	294.06	
44.0000	Sale	07/01/10	08/09/11	2,734.37	2,675.23	0.00	59.14	
10.0000	Sale	07/01/10	09/30/11	624.27	608.01	0.00	16.26	
	Security Subtotal			9,536.69	8,918.95	0.00	617.74	
STATE STREET CORP								
		CUSIP Number	857477103					
31.0000	Sale	12/15/09	08/16/11	1,081.08	1,237.83	0.00	(156.75)	
12.0000	Sale	01/11/10	08/16/11	418.48	551.04	0.00	(132.56)	
25.0000	Sale	03/09/10	08/16/11	871.86	1,143.69	0.00	(271.83)	
9.0000	Sale	03/09/10	09/26/11	281.65	411.73	0.00	(130.08)	
58.0000	Sale	05/19/10	09/26/11	1,815.10	2,372.17	0.00	(557.07)	
	Security Subtotal			4,468.17	5,716.46	0.00	(1,248.29)	
SLM CORP								
		CUSIP Number	78442P106					
211.0000	Sale	01/12/09	05/17/11	3,392.93	2,397.12	0.00	995.81	
5.0000	Sale	09/21/09	05/17/11	80.41	43.75	0.00	36.66	
32.0000	Sale	09/21/09	09/30/11	399.91	280.00	0.00	119.91	
34.0000	Sale	01/11/10	09/30/11	424.91	397.12	0.00	27.79	
226.0000	Sale	01/19/10	09/30/11	2,824.40	2,480.64	0.00	343.76	
143.0000	Sale	03/09/10	09/30/11	1,787.12	1,772.84	0.00	14.28	
	Security Subtotal			8,909.68	7,371.47	0.00	1,538.21	
SPRINT NEXTEL CORP								
		CUSIP Number	852061100					
728.0000	Sale	01/12/09	09/30/11	2,253.11	1,796.49	0.00	456.62	
298.0000	Sale	07/28/09	09/30/11	922.29	1,380.25	0.00	(457.96)	
183.0000	Sale	09/21/09	09/30/11	566.37	755.79	0.00	(189.42)	
222.0000	Sale	01/11/10	09/30/11	687.07	881.34	0.00	(194.27)	
566.0000	Sale	03/09/10	09/30/11	1,751.74	2,036.52	0.00	(284.78)	
	Security Subtotal			6,180.58	6,850.39	0.00	(669.81)	
SUNTRUST BKS INC COM								
		CUSIP Number	867914103					
31.0000	Sale	02/03/10	08/10/11	570.57	719.35	0.00	(148.78)	
59.0000	Sale	03/09/10	08/10/11	1,085.92	1,510.83	0.00	(424.91)	
	Security Subtotal			1,656.49	2,230.18	0.00	(573.69)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
TEXAS INSTRUMENTS									
142.0000	Sale	06/25/10	882508104	07/22/11	4,474.63	3,415.16	0.00	1,059.47	
TRAVELERS COS INC									
38.0000	Sale	01/21/09	89417E109	09/30/11	1,872.98	1,485.81	0.00	387.17	
7.0000	Sale	06/04/09		09/30/11	345.02	300.37	0.00	44.65	
17.0000	Sale	09/21/09		09/30/11	837.91	802.74	0.00	35.17	
17.0000	Sale	01/11/10		09/30/11	837.91	826.71	0.00	11.20	
51.0000	Sale	03/09/10		09/30/11	2,513.75	2,759.47	0.00	(245.72)	
	Security Subtotal				6,407.57	6,175.10	0.00	232.47	
UNILEVER NV NY REG SHS									
54.0000	Sale	01/12/09	904784709	09/30/11	1,712.30	1,252.19	0.00	460.11	
29.0000	Sale	09/21/09		09/30/11	919.57	820.99	0.00	98.58	
21.0000	Sale	01/11/10		09/30/11	665.89	675.36	0.00	(9.47)	
45.0000	Sale	03/09/10		09/30/11	1,426.92	1,396.23	0.00	30.69	
	Security Subtotal				4,724.68	4,144.77	0.00	579.91	
US BANCORP (NEW)									
143.0000	Sale	05/24/10	902973304	09/30/11	3,429.68	3,412.37	0.00	17.31	
283.0000	Sale	06/18/10		09/30/11	6,307.75	6,142.39	0.00	165.36	
	Security Subtotal				9,737.43	9,554.76	0.00	182.67	
WELLS FARGO & CO NEW DEL									
12.0000	Sale	04/08/10	949746101	04/28/11	350.58	382.35	31.77 (W)	0.00	
214.0000	Sale	04/08/10		04/28/11	6,252.10	6,818.65	0.00	(566.55)	
46.0000	Sale	04/09/10		04/28/11	1,343.92	1,485.77	141.85 (W)	0.00	
112.0000	Sale	04/09/10		08/08/11	2,773.69	3,617.52	0.00	(843.83)	
25.0000	Sale	04/21/10		08/08/11	619.13	826.38	0.00	(207.25)	
43.0000	Sale	04/21/10		09/30/11	1,057.83	1,421.36	0.00	(363.53)	
62.0000	Sale	05/17/10		09/30/11	1,525.25	1,972.44	0.00	(447.19)	
	Security Subtotal				13,922.50	16,524.47	173.62	(2,428.35)	
WELLPOINT INC									
48.0000	Sale	05/21/07	94973V107	09/30/11	3,184.21	4,051.69	0.00	(867.48)	
52.0000	Sale	01/12/09		09/30/11	3,449.56	2,126.20	0.00	1,323.36	
5.0000	Sale	06/04/09		09/30/11	331.68	239.40	0.00	92.28	
12.0000	Sale	09/21/09		09/30/11	796.05	651.00	0.00	145.05	



Account No.
-07049

Taxpayer No.

Page
30 of 40

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
17.0000	Sale	01/11/10	09/30/11	1,127.74	1,094.80	0.00	32.94	
53.0000	Sale	03/09/10	09/30/11	3,515.91	3,285.34	0.00	230.57	
Security Subtotal				12,405.15	11,448.43	0.00	956.72	
Noncovered Long Term Capital Gains and Losses Subtotal				348,060.19	340,573.93	213.63	7,699.89	
NET LONG TERM CAPITAL GAINS AND LOSSES				350,217.62	343,139.81	213.63	7,291.44	
TOTAL CAPITAL GAINS AND LOSSES				772,729.29				
TOTAL REPORTED SALES PROCEEDS				772,729.29				

(Y) The gain or loss of this transaction includes an adjustment to basis for the disallowed loss amount on one or more previous "Wash Sales."

(W) This transaction has been identified as a "Wash Sale" based on IRS regulations. The Adjustment column reflects the deferred loss amount. The cost basis of the related transaction(s) has been adjusted by the deferred loss amount for this transaction. Please refer to the instructions for Form 8949 for how to report the deferred loss amount and applicable adjustment code.

2011 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
(48,604.86)	1,106.64	(408.45)	7,699.89



HERBERT H AND BARBARA C DOW

Account No.
07051

Taxpayer No.

Page
7 of 26

2011 ANNUAL STATEMENT SUMMARY

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

1099-B

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

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

SHORT TERM CAPITAL GAINS AND LOSSES

COVERED TRANSACTIONS

		CUSIP Number	026874784					
AMERICAN INTERNATIONAL GROUP INC								
120.0000	Sale	03/21/11	04/25/11	3,785.30	4,378.96	0.00	(593.66)	
11.0000	Sale	03/22/11	04/25/11	346.99	406.36	0.00	(59.37)	
100.0000	Sale	03/22/11	08/01/11	2,854.35	3,694.19	0.00	(839.84)	
112.0000	Sale	03/22/11	08/02/11	3,121.41	4,137.49	0.00	(1,016.08)	
Security Subtotal				10,108.05	12,617.00	0.00	(2,508.95)	
AT&T INC		CUSIP Number	00206R102					
34.0000	Sale	01/14/11	04/05/11	1,048.59	965.47	0.00	83.12	
CENTURYLINK INC SHS		CUSIP Number	156700106					
20.0000	Sale	01/14/11	04/06/11	808.97	879.16	0.00	(70.19)	
	Cash/Lieu	01/14/11	04/19/11	17.24	15.24	0.00	2.00	
Security Subtotal				826.21	894.40	0.00	(68.19)	
CITIGROUP INC COM NEW		CUSIP Number	172967424					
26.0000	Sale	01/14/11	07/18/11	972.40	1,317.78	0.00	(345.38)	
CHUBB CORP		CUSIP Number	171232101					
94.0000	Sale	08/01/11	08/15/11	5,746.89	5,835.93	89.04 (W)	0.00	
COMPUTER SCIENCE CRP		CUSIP Number	205363104					
10.0000	Sale	01/14/11	06/06/11	380.32	531.95	0.00	(151.63)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
CORNING INC									
218.0000	Sale	03/07/11	219350105	09/06/11	3,016.47	4,951.19	0.00	(1,934.72)	
DTE ENERGY COMPANY									
15.0000	Sale	01/14/11	233331107	03/15/11	721.44	702.75	0.00	18.69	
FLUOR CORP NEW DEL COM									
19.0000	Sale	05/09/11	343412102	09/06/11	1,081.55	1,368.20	0.00	(286.65)	
19.0000	Sale	05/10/11		09/06/11	1,081.55	1,374.19	0.00	(292.64)	
19.0000	Sale	05/10/11		09/06/11	1,081.55	1,374.19	0.00	(292.64)	
34.0000	Sale	05/11/11		09/06/11	1,935.43	2,447.98	0.00	(512.55)	
	Security Subtotal				5,180.08	6,564.56	0.00	(1,384.48)	
FORD MOTOR CO NEW									
70.0000	Sale	01/14/11	345370860	02/07/11	1,134.57	1,308.13	0.00	(173.56)	
FIFTH THIRD BANCORP									
72.0000	Sale	01/14/11	316773100	03/22/11	1,008.26	1,072.54	0.00	(64.28)	
HONEYWELL INTL INC DEL									
14.0000	Sale	01/14/11	438516106	03/07/11	788.25	769.08	0.00	19.17	
MACYS INC									
50.0000	Sale	01/14/11	55616P104	05/16/11	1,414.61	1,148.71	0.00	265.90	
MOTOROLA SOLUTIONS INC									
60.0000	Sale	02/07/11	620076307	10/10/11	2,663.43	2,412.34	0.00	251.09	
MARATHON PETROLEUM CORP									
20.0000	Sale	01/14/11	56585A102	07/11/11	800.15	686.33	0.00	113.82	
NEWS CORP CL A									
46.0000	Sale	01/14/11	65248E104	02/08/11	770.28	649.41	0.00	120.87	
PRUDENTIAL FINANCIAL INC									
20.0000	Sale	07/05/11	744320102	11/14/11	1,070.81	1,280.23	0.00	(209.42)	
31.0000	Sale	07/06/11		11/14/11	1,659.76	1,974.65	0.00	(314.89)	
15.0000	Sale	07/07/11		11/14/11	803.12	974.15	0.00	(171.03)	
	Security Subtotal				3,533.69	4,229.03	0.00	(695.34)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
9,0000	PARKER HANNIFIN CORP Sale	01/14/11	701094104	08/29/11	631.05	805.59	0.00	(174.54)	
9,0000	SANDISK CORP INC Sale	01/14/11	80004C101	07/25/11	400.43	473.37	0.00	(72.94)	
36,0000	SARA LEE CORP COM Sale	01/14/11	803111103	12/07/11	676.58	660.24	0.00	16.34	
83,0000	TENET HEALTHCARE CORP Sale	01/14/11	88033G100	10/04/11	301.77	586.43	0.00	(284.66)	
10,0000	TARGET CORP COM Sale	01/14/11	87612E106	08/22/11	501.31	551.46	0.00	(50.15)	
66,0000	TRAVELERS COS INC Sale	05/16/11	89417E109	08/01/11	3,606.55	4,151.94	0.00	(545.39)	
68,0000	Security Subtotal	05/16/11		08/02/11	3,714.89	4,277.75	0.00	(562.86)	
					7,321.44	8,429.69	0.00	(1,108.25)	
25,0000	VERIZON COMMUNICATIONS COM Sale	01/14/11	92343V104	09/12/11	871.72	886.69	0.00	(14.97)	
10,0000	WAL-MART STORES INC Sale	01/14/11	931142103	02/07/11	560.45	548.95	0.00	11.50	
	Covered Short Term Capital Gains and Losses Subtotal				51,378.44	59,599.02	89.04	(8,131.54)	

NONCOVERED TRANSACTIONS

93,0000	BRISTOL-MYERS SQUIBB CO Sale	11/15/10	110122108	09/26/11	2,882.53	2,451.40	0.00	431.13	
78,0000	CENTURYLINK INC SHS Sale	06/28/10	156700106	04/04/11	3,150.65	2,501.81	0.00	648.84	
82,0000		06/28/10		04/05/11	3,294.56	2,630.12	0.00	664.44	
1,0000		06/28/10		04/06/11	40.44	32.07	0.00	8.37	



HERBERT H AND BARBARA C DOW

Account No.
-07051

Taxpayer No.

Page
10 of 26

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
36.0000	CENTURYLINK INC SHS Sale	06/29/10	156700106	04/06/11	1,456.13	1,144.00	0.00	312.13	
35.0000	CL B Sale	06/30/10		04/06/11	1,415.68	1,109.42	0.00	306.26	
	Security Subtotal				9,357.46	7,417.42	0.00	1,940.04	
109.0000	CBS CORP NEW CL B Sale	11/22/10	124857202	07/25/11	3,179.62	1,791.20	0.00	1,388.42	
139.0000	CITIGROUP INC COM NEW Sale	06/28/10	172967424	05/16/11	5,701.38	5,561.25	0.00	140.13	
59.0000	CL B Sale	07/26/10		05/16/11	2,420.02	2,424.67	0.00	(4.65)	
112.0000	CL B Sale	07/26/10		07/18/11	4,188.75	4,602.75	0.00	(414.00)	
16.0000	CL B Sale	07/27/10		07/18/11	598.39	672.29	0.00	(73.90)	
	Security Subtotal				12,908.54	13,260.96	0.00	(352.42)	
30.0000	EDISON INTL CALIF Sale	07/26/10	281020107	03/14/11	1,105.47	988.30	0.00	117.17	
88.0000	CL B Sale	07/26/10		03/15/11	3,161.20	2,899.02	0.00	262.18	
	Security Subtotal				4,266.67	3,887.32	0.00	379.35	
189.0000	FORD MOTOR CO NEW Sale	07/22/10	345370860	01/03/11	3,254.19	2,274.37	0.00	979.82	
272.0000	CL B Sale	07/22/10		02/07/11	4,408.60	3,273.17	0.00	1,135.43	
506.0000	CL B Sale	08/16/10		02/07/11	8,201.29	6,082.58	0.00	2,118.71	
	Security Subtotal				15,864.08	11,630.12	0.00	4,233.96	
271.0000	FIFTH THIRD BANCORP Sale	08/02/10	316773100	03/21/11	3,797.02	3,613.78	0.00	183.24	
151.0000	CL B Sale	08/02/10		03/22/11	2,114.51	2,013.59	0.00	100.92	
185.0000	CL B Sale	08/03/10		03/22/11	2,590.64	2,485.05	0.00	105.59	
166.0000	CL B Sale	08/09/10		03/22/11	2,324.57	2,136.19	0.00	188.38	
33.0000	CL B Sale	08/10/10		03/22/11	462.11	424.03	0.00	38.08	
	Security Subtotal				11,288.85	10,672.64	0.00	616.21	
194.0000	GENERAL ELECTRIC Sale	10/25/10	369604103	09/06/11	2,935.72	3,142.32	0.00	(206.60)	
45.0000	HONEYWELL INTL INC DEL Sale	03/09/10	438516106	03/07/11	2,533.64	1,899.00	0.00	634.64	



Merrill Lynch
Bank of America Corporation

HERBERT H AND BARBARA C DOW

Account No.
07051

Taxpayer No.---

Page
11 of 26

1099-B **2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS** **2011 ANNUAL STATEMENT SUMMARY**

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
HUMANA INC								
18,000	Sale	CUSIP Number 03/09/10	444859102 02/28/11	1,180.22	865.26	0.00	314.96	
INTEL CORP								
87,000	Sale	CUSIP Number 06/28/10	458140100 05/09/11	1,987.16	1,778.94	0.00	208.22	
46,000	Sale	06/28/10	05/10/11	1,059.95	940.59	0.00	119.36	
62,000	Sale	06/28/10	05/11/11	1,451.79	1,267.75	0.00	184.04	
54,000	Sale	06/28/10	05/12/11	1,273.19	1,104.17	0.00	169.02	
	Security Subtotal			5,772.09	5,091.45	0.00	680.64	
NEWS CORP CL A								
372,000	Sale	CUSIP Number 06/28/10	65248E104 02/07/11	6,233.78	4,727.53	0.00	1,506.25	
104,000	Sale	06/28/10	02/08/11	1,741.47	1,321.67	0.00	419.80	
	Security Subtotal			7,975.25	6,049.20	0.00	1,926.05	
QWEST COMM INTL INC COM								
442,000	Sale	CUSIP Number 06/28/10	749121109 01/03/11	3,390.08	2,359.04	0.00	1,031.04	
ROWAN COMPANIES INC								
28,000	Sale	CUSIP Number 01/11/10	779382100 01/10/11	927.90	723.49	0.00	204.41	
49,000	Sale	03/09/10	01/10/11	1,623.84	1,361.09	0.00	262.75	
71,000	Sale	03/09/10	01/11/11	2,428.32	1,972.19	0.00	456.13	
	Security Subtotal			4,980.06	4,056.77	0.00	923.29	
SPRINT NEXTEL CORP								
619,000	Sale	CUSIP Number 08/09/10	852061100 05/31/11	3,622.81	2,810.69	0.00	812.12	
WAL-MART STORES INC								
25,000	Sale	CUSIP Number 03/09/10	931142103 02/07/11	1,401.09	1,357.69	0.00	43.40	
Noncovered Short Term Capital Gains and Losses Subtotal				93,538.71	78,742.48	0.00	14,796.23	
NET SHORT TERM CAPITAL GAINS AND LOSSES				144,917.15	138,341.50	89.04	6,664.69	



Page 12 of 26

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

Security Subtotal

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
HONEYWELL INTL INC DEL									
78.0000	Sale	01/21/09	438516106	03/07/11	4,391.63	2,485.08	0.00	1,906.55	
10.0000	Sale	09/21/09		03/07/11	563.03	395.87	0.00	167.16	
11.0000	Sale	01/11/10		03/07/11	619.33	469.92	0.00	149.41	
	Security Subtotal				5,573.99	3,350.87	0.00	2,223.12	
HUMANA INC									
103.0000	Sale	01/19/10	444859102	02/28/11	6,753.43	5,287.09	0.00	1,466.34	
INTEL CORP									
185.0000	Sale	06/28/10	458140100	09/26/11	4,081.80	3,782.81	0.00	298.99	
INTL PAPER CO									
90.0000	Sale	08/31/09	460146103	01/18/11	2,558.58	2,036.47	0.00	522.11	
58.0000	Sale	09/01/09		01/18/11	1,648.86	1,297.58	0.00	351.28	
24.0000	Sale	09/21/09		01/18/11	682.29	539.76	0.00	142.53	
25.0000	Sale	11/09/09		01/18/11	710.73	623.01	0.00	87.72	
	Security Subtotal				5,600.46	4,496.82	0.00	1,103.64	
LIMITED BRANDS INC									
95.0000	Sale	05/03/10	532716107	07/11/11	3,761.68	2,645.87	0.00	1,115.81	
MARATHON OIL CORP									
75.0000	Sale	01/21/09	565849106	01/31/11	3,402.49	2,131.86	0.00	1,270.63	
MEADWESTVACO CORP									
65.0000	Sale	11/30/09	583334107	11/07/11	1,847.19	1,760.25	0.00	86.94	
22.0000	Sale	12/01/09		11/07/11	625.21	608.07	0.00	17.14	
16.0000	Sale	12/02/09		11/07/11	454.70	446.98	0.00	7.72	
1.0000	Sale	12/02/09		11/08/11	28.78	27.94	0.00	0.84	
45.0000	Sale	12/07/09		11/08/11	1,295.48	1,270.34	0.00	25.14	
7.0000	Sale	12/08/09		11/08/11	201.52	196.29	0.00	5.23	
	Security Subtotal				4,452.88	4,309.87	0.00	143.01	
MACYS INC									
94.0000	Sale	03/01/10	55616P104	05/09/11	2,446.18	1,860.28	0.00	585.90	
45.0000	Sale	03/01/10		05/10/11	1,187.98	890.56	0.00	297.42	
41.0000	Sale	03/01/10		05/11/11	317.75	217.69	0.00	94.06	
41.0000	Sale	03/02/10		05/11/11	1,161.99	815.13	0.00	346.86	
66.0000	Sale	03/02/10		05/12/11	1,878.64	1,312.17	0.00	566.47	

HERBERT H AND BARBARA C DOW

Account No.
-07051

Taxpayer No.

Page
14 of 26

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
MACYS INC								
		CUSIP Number	55616P104					
24,0000	Sale	03/02/10	05/16/11	679.00	477.15	0.00	201.85	
37,0000	Sale	03/03/10	05/16/11	1,046.80	740.82	0.00	305.98	
155,0000	Sale	03/09/10	05/16/11	4,385.28	3,215.83	0.00	1,169.45	
	Security Subtotal			13,097.62	9,529.63	0.00	3,567.99	
MARATHON PETROLEUM CORP								
		CUSIP Number	56585A102					
36,0000	Sale	01/21/09	07/06/11	1,507.41	825.80	0.00	681.61	
9,0000	Sale	09/21/09	07/06/11	376.85	238.03	0.00	138.82	
1,0000	Sale	01/11/10	07/06/11	41.88	26.44	0.00	15.44	
11,0000	Sale	01/11/10	07/07/11	462.59	290.80	0.00	171.79	
37,0000	Sale	03/09/10	07/07/11	1,556.00	922.26	0.00	633.74	
3,0000	Sale	03/09/10	07/08/11	124.70	74.78	0.00	49.92	
45,0000	Sale	05/17/10	07/08/11	1,870.64	1,131.90	0.00	738.74	
7,0000	Sale	05/17/10	07/11/11	280.04	176.07	0.00	103.97	
	Security Subtotal			6,220.11	3,686.08	0.00	2,534.03	
NISOURCE INC								
		CUSIP Number	65473P105					
82,0000	Sale	07/20/09	05/02/11	1,592.04	1,024.52	0.00	567.52	
34,0000	Sale	07/21/09	05/02/11	660.12	431.52	0.00	228.60	
35,0000	Sale	07/22/09	05/02/11	679.54	445.93	0.00	233.61	
22,0000	Sale	07/22/09	05/03/11	433.18	280.30	0.00	152.88	
44,0000	Sale	08/10/09	05/03/11	866.36	579.34	0.00	287.02	
48,0000	Sale	08/11/09	05/03/11	945.12	635.67	0.00	309.45	
40,0000	Sale	08/12/09	05/03/11	787.60	528.21	0.00	259.39	
17,0000	Sale	09/21/09	05/03/11	334.74	229.99	0.00	104.75	
	Security Subtotal			6,298.70	4,155.48	0.00	2,143.22	
PARKER HANFIFIN CORP								
		CUSIP Number	701094104					
41,0000	Sale	05/10/10	08/29/11	2,874.75	2,750.67	0.00	124.08	
50,0000	Sale	05/24/10	08/29/11	3,505.79	3,014.19	0.00	491.60	
	Security Subtotal			6,380.54	5,764.86	0.00	615.68	
ROWAN COMPANIES INC								
		CUSIP Number	779382100					
16,0000	Sale	11/02/09	01/10/11	530.23	376.35	0.00	153.88	
24,0000	Sale	11/03/09	01/10/11	795.34	580.89	0.00	214.45	
	Security Subtotal			1,325.57	957.24	0.00	368.33	



HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
SANDISK CORP INC									
81.0000	Sale	05/03/10	80004CT01	07/25/11	3,603.80	3,501.60	0.00	102.20	
27.0000	Sale	05/04/10		07/25/11	1,201.27	1,122.19	0.00	79.08	
	Security Subtotal				4,805.07	4,623.79	0.00	181.28	
SARA LEE CORP COM									
25.0000	Sale	08/25/09	803111103	12/07/11	469.84	246.43	0.00	223.41	
73.0000	Sale	09/21/09		12/07/11	1,371.94	774.33	0.00	597.61	
88.0000	Sale	01/11/10		12/07/11	1,653.85	1,054.88	0.00	598.97	
235.0000	Sale	03/09/10		12/07/11	4,416.53	3,282.32	0.00	1,134.21	
	Security Subtotal				7,912.16	5,357.96	0.00	2,554.20	
TENET HEALTHCARE CORP									
74.0000	Sale	10/20/09	88033G100	10/03/11	283.71	462.75	0.00	(179.04)	
231.0000	Sale	10/21/09		10/03/11	885.66	1,450.56	0.00	(564.90)	
174.0000	Sale	10/22/09		10/03/11	667.12	1,064.90	0.00	(397.78)	
129.0000	Sale	01/11/10		10/03/11	494.59	793.29	0.00	(298.70)	
19.0000	Sale	03/09/10		10/03/11	72.85	102.55	0.00	(29.70)	
246.0000	Sale	03/09/10		10/04/11	894.39	1,327.79	0.00	(433.40)	
	Security Subtotal				3,298.32	5,201.84	0.00	(1,903.52)	
TARGET CORP COM									
21.0000	Sale	03/01/10	87612E106	08/22/11	1,052.72	1,093.65	0.00	(40.93)	
23.0000	Sale	03/02/10		08/22/11	1,152.98	1,190.17	0.00	(37.19)	
73.0000	Sale	03/09/10		08/22/11	3,659.48	3,883.40	0.00	(223.92)	
	Security Subtotal				5,865.18	6,167.22	0.00	(302.04)	
VERIZON COMMUNICATIONS COM									
69.0000	Sale	11/17/08	92343V104	09/12/11	2,405.92	1,922.25	0.00	483.67	
29.0000	Sale	07/13/09		09/12/11	1,011.18	783.77	0.00	227.41	
24.0000	Sale	07/14/09		09/12/11	836.84	651.45	0.00	185.39	
16.0000	Sale	09/21/09		09/12/11	557.89	447.05	0.00	110.84	
24.0000	Sale	01/11/10		09/12/11	836.85	715.59	0.00	121.26	
65.0000	Sale	03/09/10		09/12/11	2,266.47	1,824.12	0.00	442.35	
	Security Subtotal				7,915.15	6,344.23	0.00	1,570.92	



HERBERT H AND BARBARA C DOW

Account No.
-07051

Taxpayer No.

Page
16 of 26

1099-B 2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
		CUSIP Number	931142103					
15.0000	WAL-MART STORES INC Sale	12/29/09	02/07/11	840.65	811.69	0.00	28.96	
13.0000	Sale	12/30/09	02/07/11	728.56	704.53	0.00	24.03	
13.0000	Sale	12/31/09	02/07/11	728.56	701.24	0.00	27.32	
12.0000	Sale	01/04/10	02/07/11	672.52	649.86	0.00	22.66	
8.0000	Sale	01/11/10	02/07/11	448.34	431.34	0.00	17.00	
	Security Subtotal			3,418.63	3,298.66	0.00	119.97	

Noncovered Long Term Capital Gains and Losses Subtotal

131,097.09

111,674.34

19,422.75

NET LONG TERM CAPITAL GAINS AND LOSSES

131,097.09

111,674.34

19,422.75

TOTAL CAPITAL GAINS AND LOSSES
TOTAL REPORTED SALES PROCEEDS

276,014.24
276,014.24

(W) This transaction has been identified as a "Wash Sale" based on IRS regulations. The Adjustment column reflects the deferred loss amount. The cost basis of the related transaction(s) has been adjusted by the deferred loss amount for this transaction. Please refer to the instructions for Form 8949 for how to report the deferred loss amount and applicable adjustment code.

2011 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
(8,131.54)	14,796.23	0.00	19,422.75



Account No.
-07052

Taxpayer No.

Page
7 of 33

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

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

1099-B

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
SHORT TERM CAPITAL GAINS AND LOSSES								
COVERED TRANSACTIONS								
ADOBE SYS DEL PV\$ 0 001 58.0000 Sale	CUSIP Number 00724F101 01/14/11 09/30/11			1,414.20	1,957.95	0.00	(543.75)	
AMPHENOL CORP CL A NEW 35.0000 Sale	CUSIP Number 032095101 01/14/11 09/30/11			1,452.83	1,819.87	0.00	(367.04)	
AMERICA MOVIL SAB DE CV ADR 8.0000 Sale	CUSIP Number 02364W105 01/14/11 02/11/11			450.57	464.20	0.00	(13.63)	
ANHEUSER-BUSCH INBEV ADR 56.0000 Sale	CUSIP Number 03524A108 01/14/11 07/12/11			3,063.58	3,235.12	0.00	(171.54)	
APPLE INC 40.0000 Sale 18.0000 Sale	CUSIP Number 037833100 01/14/11 09/30/11 06/21/11 09/30/11			15,413.64 6,936.15	13,892.86 5,832.16	0.00 0.00	1,520.78 1,103.99	
Security Subtotal				22,349.79	19,725.02	0.00	2,624.77	
BAKER HUGHES INC 136.0000 Sale 31.0000 Sale 38.0000 Sale	CUSIP Number 057224107 03/21/11 09/30/11 03/22/11 09/30/11 03/23/11 09/30/11			6,299.40 1,435.89 1,760.12	9,562.64 2,200.81 2,677.35	0.00 0.00 0.00	(3,263.24) (764.92) (917.23)	



HERBERT H AND BARBARA C DOW

Account No.
-07052

Taxpayer No.

Page
8 of 33

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
BAKER HUGHES INC								
32.0000	Sale	03/23/11	09/30/11	1,482.21	2,262.18	0.00	(779.97)	
25.0000	Sale	03/24/11	09/30/11	1,157.99	1,786.88	0.00	(628.89)	
	Security Subtotal			12,135.61	18,489.86	0.00	(6,354.25)	
BANCO SANTANDER BRZL SA								
AMERICAN DEPOSITARY SHARES								
REPRESENTING 1 ORDINARY								
15.0000	Sale	01/14/11	07/14/11	154.13	200.05	0.00	(45.92)	
194.0000	Sale	01/14/11	07/15/11	1,967.78	2,587.38	0.00	(619.60)	
	Security Subtotal			2,121.91	2,787.43	0.00	(665.52)	
CROWN CASTLE INTL CORP								
100.0000	Sale	01/14/11	09/30/11	4,098.55	4,110.61	0.00	(12.06)	
CELGENE CORP. COM								
114.0000	Sale	01/14/11	09/30/11	7,108.10	6,550.18	0.00	557.92	
16.0000	Sale	04/13/11	09/30/11	997.62	895.28	0.00	102.34	
53.0000	Sale	04/14/11	09/30/11	3,304.64	2,989.30	0.00	315.34	
53.0000	Sale	04/14/11	09/30/11	3,304.64	2,955.08	0.00	349.56	
30.0000	Sale	04/15/11	09/30/11	1,870.56	1,718.66	0.00	151.90	
34.0000	Sale	04/18/11	09/30/11	2,119.97	1,950.18	0.00	169.79	
	Security Subtotal			18,705.53	17,058.68	0.00	1,646.85	
C.H. ROBINSON WORLDWIDE, INC. NEW								
25.0000	Sale	01/06/11	09/30/11	1,709.22	1,993.78	0.00	(284.56)	
19.0000	Sale	01/07/11	09/30/11	1,299.00	1,512.60	0.00	(213.60)	
8.0000	Sale	01/07/11	09/30/11	546.95	635.69	0.00	(88.74)	
8.0000	Sale	01/10/11	09/30/11	546.95	632.84	0.00	(85.89)	
8.0000	Sale	01/11/11	09/30/11	546.95	636.32	0.00	(89.37)	
37.0000	Sale	01/14/11	09/30/11	2,529.65	2,931.84	0.00	(402.19)	
18.0000	Sale	02/02/11	09/30/11	1,230.64	1,345.36	0.00	(114.72)	
20.0000	Sale	04/13/11	09/30/11	1,367.38	1,482.84	0.00	(115.46)	
	Security Subtotal			9,776.74	11,171.27	0.00	(1,394.53)	
CME GROUP INC								
11.0000	Sale	01/14/11	12572Q105 06/09/11	2,924.12	3,479.61	0.00	(555.49)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
292.0000	CISCO SYSTEMS INC COM Sale	01/14/11	17275R102	04/21/11	4,948.43	6,186.02	0.00	(1,237.59)	
22.0000	COLGATE PALMOLIVE Sale	01/14/11	194162103	02/02/11	1,660.87	1,715.88	0.00	(55.01)	
41.0000	E M C CORPORATION MASS Sale	05/13/11	268648102	09/30/11	870.53	1,137.71	0.00	(267.18)	
41.0000	41.0000 Sale	05/13/11		09/30/11	870.53	1,139.19	0.00	(268.66)	
67.0000	67.0000 Sale	06/28/11		09/30/11	1,422.58	1,806.23	0.00	(383.65)	
42.0000	42.0000 Sale	05/16/11		09/30/11	891.76	1,155.06	0.00	(263.30)	
41.0000	41.0000 Sale	05/16/11		09/30/11	870.53	1,123.04	0.00	(252.51)	
40.0000	40.0000 Sale	05/17/11		09/30/11	849.29	1,094.88	0.00	(245.59)	
69.0000	69.0000 Sale	05/17/11		09/30/11	1,465.04	1,887.02	0.00	(421.98)	
40.0000	40.0000 Sale	05/18/11		09/30/11	849.30	1,112.22	0.00	(262.92)	
40.0000	40.0000 Sale	05/19/11		09/30/11	849.30	1,117.89	0.00	(268.59)	
36.0000	36.0000 Sale	05/20/11		09/30/11	764.37	1,005.96	0.00	(241.59)	
44.0000	44.0000 Sale	05/23/11		09/30/11	934.23	1,203.31	0.00	(269.08)	
41.0000	41.0000 Sale	05/23/11		09/30/11	870.53	1,124.27	0.00	(253.74)	
39.0000	39.0000 Sale	05/24/11		09/30/11	828.06	1,068.75	0.00	(240.69)	
41.0000	41.0000 Sale	05/24/11		09/30/11	870.53	1,119.66	0.00	(249.13)	
37.0000	37.0000 Sale	05/25/11		09/30/11	785.60	1,024.99	0.00	(239.39)	
36.0000	36.0000 Sale	05/26/11		09/30/11	764.37	1,002.43	0.00	(238.06)	
69.0000	69.0000 Sale	05/27/11		09/30/11	1,465.04	1,962.25	0.00	(497.21)	
51.0000	51.0000 Sale	05/31/11		09/30/11	1,082.86	1,437.69	0.00	(354.83)	
40.0000	40.0000 Sale	06/03/11		09/30/11	849.30	1,126.88	0.00	(277.58)	
22.0000	22.0000 Sale	06/03/11		09/30/11	467.11	614.35	0.00	(147.24)	
140.0000	140.0000 Sale	06/21/11		09/30/11	2,972.56	3,752.28	0.00	(779.72)	
93.0000	93.0000 Sale	06/29/11		09/30/11	1,974.63	2,518.65	0.00	(544.02)	
53.0000	53.0000 Sale	06/30/11		09/30/11	1,125.32	1,450.46	0.00	(325.14)	
55.0000	55.0000 Sale	06/30/11		09/30/11	1,167.80	1,501.75	0.00	(333.95)	
Security Subtotal					25,861.17	33,486.92	0.00	(7,625.75)	
272.0000	EXPRESS SCRIPTS INC COM Sale	07/25/11	302182100	09/30/11	10,296.74	15,521.44	0.00	(5,224.70)	
234.0000	EBAY INC COM Sale	01/14/11	278642103	09/30/11	7,048.26	6,776.29	0.00	271.97	
99.0000	99.0000 Sale	02/03/11		09/30/11	2,981.95	3,178.92	0.00	(196.97)	
40.0000	40.0000 Sale	06/17/11		09/30/11	1,204.83	1,152.24	0.00	52.59	
31.0000	31.0000 Sale	06/20/11		09/30/11	933.74	890.72	0.00	43.02	



Merrill Lynch
Bank of America Corporation

Account No.
-07052

Taxpayer No.

Page
10 of 33

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
EBAY INC									
34.0000	COM Sale	06/21/11	278642103	09/30/11	1,024.10	993.06	0.00	31.04	
36.0000	Sale	06/22/11		09/30/11	1,084.35	1,062.60	0.00	21.75	
99.0000	Sale	06/23/11		09/30/11	2,981.96	2,885.76	0.00	96.20	
144.0000	Sale	06/24/11		09/30/11	4,337.40	4,138.32	0.00	199.08	
163.0000	Sale	06/24/11		09/30/11	4,909.70	4,693.65	0.00	216.05	
	Security Subtotal				26,506.29	25,771.56	0.00	734.73	
FORD MOTOR CO									
283.0000	Sale	01/14/11	345370860	09/30/11	2,773.36	5,288.56	0.00	(2,515.20)	
229.0000	Sale	06/21/11		09/30/11	2,244.18	3,068.87	0.00	(824.69)	
	Security Subtotal				5,017.54	8,357.43	0.00	(3,339.89)	
FANUC LTD-UNSP									
140.0000	Sale	01/14/11	307305102	09/30/11	3,221.84	3,619.00	0.00	(397.16)	
45.0000	Sale	04/13/11		09/30/11	1,035.59	1,204.91	0.00	(169.32)	
14.0000	Sale	04/14/11		09/30/11	322.18	373.13	0.00	(50.95)	
63.0000	Sale	04/14/11		09/30/11	1,449.83	1,687.41	0.00	(237.58)	
47.0000	Sale	04/15/11		09/30/11	1,081.62	1,246.94	0.00	(165.32)	
146.0000	Sale	06/28/11		09/30/11	3,359.93	3,973.23	0.00	(613.30)	
18.0000	Sale	06/28/11		09/30/11	414.23	487.98	0.00	(73.75)	
118.0000	Sale	06/29/11		09/30/11	2,715.57	3,256.75	0.00	(541.18)	
	Security Subtotal				13,600.79	15,849.35	0.00	(2,248.56)	
GOOGLE INC CL A									
2.0000	Sale	01/14/11	38259P508	06/24/11	947.77	1,248.07	0.00	(300.30)	
9.0000	Sale	01/14/11		06/27/11	4,308.53	5,616.29	0.00	(1,307.76)	
6.0000	Sale	04/13/11		06/27/11	2,872.36	3,454.14	0.00	(581.78)	
	Security Subtotal				8,128.66	10,318.50	0.00	(2,189.84)	
GENERAL MOTORS CO COMMON SHARES									
10.0000	Sale	01/05/11	37045V100	06/06/11	286.27	377.50	0.00	(91.23)	
1.0000	Sale	01/05/11		06/07/11	28.75	37.75	0.00	(9.00)	
53.0000	Sale	01/14/11		06/07/11	1,523.79	2,025.90	0.00	(502.11)	
1.0000	Sale	01/19/11		06/07/11	28.76	37.45	0.00	(8.69)	
29.0000	Sale	01/19/11		06/21/11	860.28	1,086.01	0.00	(225.73)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
GENERAL MOTORS CO								
COMMON SHARES								
19,000	Sale	01/19/11	06/21/11	563.64	712.19	0.00	(148.55)	
36,000	Sale	01/19/11	06/24/11	1,075.43	1,349.42	0.00	(273.99)	
	Security Subtotal			4,366.92	5,626.22	0.00	(1,259.30)	
HALLIBURTON COMPANY								
COMMON SHARES								
62,000	Sale	04/18/11	09/30/11	1,896.20	2,956.28	0.00	(1,060.08)	
29,000	Sale	04/20/11	09/30/11	886.93	1,439.77	0.00	(552.84)	
60,000	Sale	04/20/11	09/30/11	1,835.04	2,986.84	0.00	(1,151.80)	
80,000	Sale	04/21/11	09/30/11	2,446.72	3,936.84	0.00	(1,490.12)	
39,000	Sale	04/25/11	09/30/11	1,192.78	1,971.10	0.00	(778.32)	
51,000	Sale	04/26/11	09/30/11	1,559.78	2,582.99	0.00	(1,023.21)	
75,000	Sale	04/27/11	09/30/11	2,293.81	3,722.99	0.00	(1,429.18)	
66,000	Sale	04/27/11	09/30/11	2,018.56	3,277.65	0.00	(1,259.09)	
	Security Subtotal			14,129.82	22,874.46	0.00	(8,744.64)	
IRON MOUNTAIN INC NEW								
COMMON SHARES								
88,000	Sale	06/30/11	09/30/11	2,818.58	2,977.69	0.00	(159.11)	
89,000	Sale	07/05/11	09/30/11	2,850.61	3,082.02	0.00	(231.41)	
31,000	Sale	07/06/11	09/30/11	992.91	1,074.89	0.00	(81.98)	
29,000	Sale	07/08/11	09/30/11	928.85	1,021.46	0.00	(92.61)	
32,000	Sale	07/11/11	09/30/11	1,024.94	1,129.55	0.00	(104.61)	
16,000	Sale	07/11/11	09/30/11	512.47	564.55	0.00	(52.08)	
17,000	Sale	07/12/11	09/30/11	544.50	600.78	0.00	(56.28)	
33,000	Sale	07/12/11	09/30/11	1,056.97	1,161.81	0.00	(104.84)	
31,000	Sale	07/13/11	09/30/11	992.91	1,105.26	0.00	(112.35)	
25,000	Sale	07/13/11	09/30/11	800.73	883.43	0.00	(82.70)	
23,000	Sale	07/14/11	09/30/11	736.68	812.41	0.00	(75.73)	
25,000	Sale	07/14/11	09/30/11	800.75	879.47	0.00	(78.72)	
	Security Subtotal			14,060.90	15,293.32	0.00	(1,232.42)	
IVANHOE MINES LTD								
COMMON SHARES								
33,000	Sale	06/10/11	09/30/11	464.57	727.23	0.00	(262.66)	
63,000	Sale	06/14/11	09/30/11	886.90	1,457.52	0.00	(570.62)	
59,000	Sale	06/15/11	09/30/11	830.59	1,352.81	0.00	(522.22)	
96,000	Sale	06/17/11	09/30/11	1,351.48	2,168.68	0.00	(817.20)	
61,000	Sale	06/20/11	09/30/11	858.75	1,382.56	0.00	(523.81)	
55,000	Sale	06/23/11	09/30/11	774.28	1,227.94	0.00	(453.66)	
22,000	Sale	06/27/11	09/30/11	309.71	500.33	0.00	(190.62)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
IVANHOE MINES LTD									
40,000	Sale	07/22/11	46579N103	09/30/11	563.12	1,081.82	0.00	(518.70)	
29,000	Sale	08/02/11		09/30/11	408.26	754.30	0.00	(346.04)	
95,000	Sale	08/31/11		09/30/11	1,337.42	2,148.02	0.00	(810.60)	
114,000	Sale	08/31/11		09/30/11	1,604.91	2,582.10	0.00	(977.19)	
32,000	Sale	08/03/11		09/30/11	450.49	805.45	0.00	(354.96)	
26,000	Sale	08/03/11		09/30/11	366.02	644.21	0.00	(278.19)	
30,000	Sale	08/04/11		09/30/11	422.34	745.58	0.00	(323.24)	
31,000	Sale	08/04/11		09/30/11	436.41	749.50	0.00	(313.09)	
70,000	Sale	08/05/11		09/30/11	985.46	1,540.16	0.00	(554.70)	
35,000	Sale	08/05/11		09/30/11	492.73	797.82	0.00	(305.09)	
	Security Subtotal				12,543.44	20,666.03	0.00	(8,122.59)	
INTUITIVE SURGICAL INC									
	NEW								
8,000	Sale	01/14/11	46120E602	09/30/11	2,928.43	2,310.32	0.00	618.11	
JPMORGAN CHASE & CO									
75,000	Sale	01/14/11	46625H100	02/08/11	3,414.13	3,398.25	0.00	15.88	
LIMITED BRANDS INC									
125,000	Sale	01/14/11	532716107	09/30/11	4,854.66	3,644.33	0.00	1,210.33	
57,000	Sale	04/13/11		09/30/11	2,213.73	2,138.10	0.00	75.63	
46,000	Sale	06/06/11		09/30/11	1,786.51	1,712.34	0.00	74.17	
145,000	Sale	06/21/11		09/30/11	5,631.43	5,465.50	0.00	165.93	
	Security Subtotal				14,486.33	12,960.27	0.00	1,526.06	
MGM RESORTS INTERNATIONAL									
	SHS								
101,000	Sale	07/12/11	552953101	09/30/11	948.19	1,475.52	0.00	(527.33)	
101,000	Sale	07/12/11		09/30/11	948.20	1,466.59	0.00	(518.39)	
99,000	Sale	07/13/11		09/30/11	929.42	1,472.10	0.00	(542.68)	
101,000	Sale	07/15/11		09/30/11	948.20	1,489.04	0.00	(540.84)	
49,000	Sale	07/18/11		09/30/11	460.01	717.41	0.00	(257.40)	
78,000	Sale	07/21/11		09/30/11	732.27	1,219.25	0.00	(486.98)	
142,000	Sale	07/27/11		09/30/11	1,333.12	2,194.01	0.00	(860.89)	
122,000	Sale	08/04/11		09/30/11	1,145.35	1,721.73	0.00	(576.38)	
81,000	Sale	08/09/11		09/30/11	760.45	843.97	0.00	(83.52)	
	Security Subtotal				8,205.21	12,599.62	0.00	(4,394.41)	

HERBERT H AND BARBARA C DOW

Account No.
-07052

Taxpayer No.

Page
13 of 33

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
MORGAN STANLEY									
68.0000	Sale	01/14/11	617446448	09/30/11	942.77	1,962.85	0.00	(1,020.08)	
MARRIOTT INTL INC NEW A									
537.0000	Sale	07/14/11	571903202	09/30/11	14,823.23	18,509.91	0.00	(3,686.68)	
MEDCO HEALTH SOLUTIONS I									
46.0000	Sale	01/14/11	58405U102	09/30/11	2,184.53	2,983.01	0.00	(798.48)	
16.0000	Sale	03/24/11		09/30/11	759.83	838.02	0.00	(78.19)	
8.0000	Sale	03/25/11		09/30/11	379.91	430.14	0.00	(50.23)	
26.0000	Sale	03/29/11		09/30/11	1,234.73	1,435.19	0.00	(200.46)	
48.0000	Sale	03/31/11		09/30/11	2,279.51	2,672.27	0.00	(392.76)	
24.0000	Sale	04/04/11		09/30/11	1,139.75	1,369.75	0.00	(230.00)	
30.0000	Sale	04/04/11		09/30/11	1,424.70	1,707.14	0.00	(282.44)	
13.0000	Sale	04/26/11		09/30/11	617.37	754.33	0.00	(136.96)	
13.0000	Sale	04/26/11		09/30/11	617.37	752.90	0.00	(135.53)	
22.0000	Sale	04/27/11		09/30/11	1,044.78	1,295.55	0.00	(250.77)	
55.0000	Sale	04/28/11		09/30/11	2,611.95	3,345.01	0.00	(733.06)	
37.0000	Sale	05/05/11		09/30/11	1,757.13	2,299.28	0.00	(542.15)	
29.0000	Sale	05/05/11		09/30/11	1,377.21	1,798.30	0.00	(421.09)	
65.0000	Sale	05/06/11		09/30/11	3,086.86	4,083.59	0.00	(996.73)	
Security Subtotal					20,515.63	25,764.48	0.00	(5,248.85)	
MICROSOFT CORP									
80.0000	Sale	01/05/11	594918104	05/12/11	2,011.91	2,232.19	0.00	(220.28)	
30.0000	Sale	01/05/11		05/12/11	758.04	837.07	0.00	(79.03)	
48.0000	Sale	01/06/11		05/12/11	1,212.87	1,344.62	0.00	(131.75)	
73.0000	Sale	01/06/11		05/13/11	1,825.56	2,044.95	0.00	(219.39)	
79.0000	Sale	01/06/11		05/16/11	1,966.15	2,213.03	0.00	(246.88)	
101.0000	Sale	01/07/11		09/30/11	2,532.11	2,863.49	0.00	(331.38)	
20.0000	Sale	01/06/11		09/30/11	501.40	560.26	0.00	(58.86)	
154.0000	Sale	01/10/11		09/30/11	3,860.84	4,325.69	0.00	(464.85)	
91.0000	Sale	01/11/11		09/30/11	2,281.40	2,564.03	0.00	(282.63)	
84.0000	Sale	01/12/11		09/30/11	2,105.91	2,384.88	0.00	(278.97)	
119.0000	Sale	01/13/11		09/30/11	2,983.38	3,348.21	0.00	(364.83)	
303.0000	Sale	01/14/11		09/30/11	7,596.35	8,517.15	0.00	(920.80)	
157.0000	Sale	01/18/11		09/30/11	3,936.07	4,483.06	0.00	(546.99)	
Security Subtotal					33,571.99	37,718.63	0.00	(4,146.64)	
NEWS CORP CL A									
366.0000	Sale	01/14/11	65248E104	09/30/11	5,696.90	5,167.08	0.00	529.82	

HERBERT H AND BARBARA C DOW

Account No.
-07052

Taxpayer No.

Page
14 of 33

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
NIKE INC CL B									
14.0000	Sale	02/02/11	654106103	09/30/11	1,206.27	1,173.91	0.00	32.36	
9.0000	Sale	02/03/11	09/30/11	09/30/11	775.45	753.95	0.00	21.50	
8.0000	Sale	02/03/11	09/30/11	09/30/11	689.29	669.54	0.00	19.75	
37.0000	Sale	02/17/11	09/30/11	09/30/11	3,188.00	3,153.50	0.00	34.50	
24.0000	Sale	02/18/11	09/30/11	09/30/11	2,067.90	2,113.67	0.00	(45.77)	
20.0000	Sale	03/04/11	09/30/11	09/30/11	1,723.25	1,796.45	0.00	(73.20)	
11.0000	Sale	04/13/11	09/30/11	09/30/11	947.79	866.30	0.00	81.49	
Security Subtotal					10,597.95	10,527.32	0.00	70.63	
ORACLE CORP \$0.01 DEL									
162.0000	Sale	01/14/11	68389X105	09/30/11	4,693.36	5,050.82	0.00	(357.46)	
PRECISION CASTPARTS									
19.0000	Sale	01/14/11	740189105	09/30/11	2,958.93	2,746.09	0.00	212.84	
PRUDENTIAL PLC ADR									
153.0000	Sale	01/14/11	74435K204	09/30/11	2,637.71	3,399.66	0.00	(761.95)	
SCHWAB CHARLES CORP NEW									
312.0000	Sale	01/14/11	808513105	09/30/11	3,555.05	5,811.25	0.00	(2,256.20)	
36.0000	Sale	02/04/11	09/30/11	09/30/11	410.19	651.90	0.00	(241.71)	
42.0000	Sale	02/07/11	09/30/11	09/30/11	478.56	776.49	0.00	(297.93)	
53.0000	Sale	02/08/11	09/30/11	09/30/11	603.91	1,004.88	0.00	(400.97)	
68.0000	Sale	02/11/11	09/30/11	09/30/11	774.83	1,289.38	0.00	(514.55)	
Security Subtotal					5,822.54	9,533.90	0.00	(3,711.36)	
TE CONNECTIVITY LTD REG SHS									
79.0000	Sale	01/14/11	H84989104	09/30/11	2,253.69	2,891.01	0.00	(637.32)	
60.0000	Sale	06/21/11	09/30/11	09/30/11	1,711.68	2,105.52	0.00	(393.84)	
Security Subtotal					3,965.37	4,996.53	0.00	(1,031.16)	
UNITED PARCEL SVC CL B									
66.0000	Sale	01/14/11	911312106	09/30/11	4,190.95	4,784.70	0.00	(593.75)	
VERTEX PHARMCTLS INC									
42.0000	Sale	01/14/11	92532F100	09/30/11	1,884.93	1,648.76	0.00	236.17	
31.0000	Sale	06/09/11	09/30/11	09/30/11	1,391.27	1,525.67	0.00	(134.40)	
Security Subtotal					3,276.20	3,174.43	0.00	101.77	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
297.0000	SALE	01/14/11	984332106	04/13/11	4,918.81	4,959.22	0.00	(40.41)	
Covered Short Term Capital Gains and Losses Subtotal					367,261.44	435,530.83	0.00	(68,269.39)	

NONCOVERED TRANSACTIONS

ADOBE SYS DEL PV\$ 0.001									
41.0000	Sale	11/08/10	00724F101	09/30/11	999.68	1,200.69	0.00	(201.01)	
30.0000	Sale	11/11/10		09/30/11	731.47	880.52	0.00	(149.05)	
40.0000	Sale	11/12/10		09/30/11	975.29	1,176.68	0.00	(201.39)	
19.0000	Sale	11/15/10		09/30/11	463.26	564.63	0.00	(101.37)	
29.0000	Sale	11/16/10		09/30/11	707.09	840.68	0.00	(133.59)	
50.0000	Sale	11/17/10		09/30/11	1,219.12	1,454.52	0.00	(235.40)	
77.0000	Sale	12/08/10		09/30/11	1,877.45	2,240.95	0.00	(363.50)	
Security Subtotal					6,973.36	8,358.67	0.00	(1,385.31)	
ANHEUSER-BUSCH INBEV ADR									
18.0000	Sale	12/07/10	03524A108	07/12/11	984.71	1,048.12	0.00	(63.41)	
BANCO SANTANDER BRZL SA									
AMERICAN DEPOSITORY SHARES REPRESENTING 1 ORDINARY									
231.0000	Sale	12/27/10	05967A107	07/11/11	2,463.47	3,038.44	0.00	(574.97)	
45.0000	Sale	12/28/10		07/11/11	479.90	594.18	0.00	(114.28)	
124.0000	Sale	12/28/10		07/12/11	1,328.07	1,637.30	0.00	(309.23)	
184.0000	Sale	12/28/10		07/12/11	1,975.20	2,429.54	0.00	(454.34)	
116.0000	Sale	12/28/10		07/13/11	1,220.95	1,531.66	0.00	(310.71)	
133.0000	Sale	12/29/10		07/13/11	1,399.90	1,783.32	0.00	(383.42)	
48.0000	Sale	12/29/10		07/13/11	505.59	643.60	0.00	(138.01)	
64.0000	Sale	12/29/10		07/14/11	657.61	858.14	0.00	(200.53)	
Security Subtotal					10,030.69	12,516.18	0.00	(2,485.49)	
CROWN CASTLE INTL CORP									
23.0000	Sale	12/07/10	228227104	09/30/11	942.66	995.50	0.00	(52.84)	
CELGENE CORP COM									
40.0000	Sale	12/07/10	151020104	09/30/11	2,494.07	2,290.02	0.00	204.05	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
C H ROBINSON WORLDWIDE, INC. NEW									
27.0000	Sale	12/08/10		09/30/11	1,845.95	2,073.69	0.00	(227.74)	
17.0000	Sale	12/10/10		09/30/11	1,162.26	1,327.86	0.00	(165.60)	
10.0000	Sale	12/13/10		09/30/11	683.68	780.55	0.00	(96.87)	
22.0000	Sale	12/20/10		09/30/11	1,504.11	1,732.95	0.00	(228.84)	
15.0000	Sale	12/22/10		09/30/11	1,025.53	1,200.31	0.00	(174.78)	
7.0000	Sale	12/30/10		09/30/11	478.58	563.01	0.00	(84.43)	
	Security Subtotal				6,700.11	7,678.37	0.00	(978.26)	
CISCO SYSTEMS INC COM									
92.0000	Sale	08/18/10		12/25/10	1,559.09	2,068.83	0.00	(509.74)	
30.0000	Sale	09/21/10		04/21/11	508.40	647.94	0.00	(139.54)	
	Security Subtotal				2,067.49	2,716.77	0.00	(649.28)	
COLGATE PALMOLIVE									
2.0000	Sale	03/18/10		02/02/11	150.98	169.24	0.00	(18.26)	
6.0000	Sale	04/28/10		02/02/11	452.96	510.21	0.00	(57.25)	
13.0000	Sale	04/28/10		02/02/11	981.42	1,104.13	0.00	(122.71)	
9.0000	Sale	04/29/10		02/02/11	679.44	769.00	0.00	(89.56)	
5.0000	Sale	12/07/10		02/02/11	377.47	390.59	0.00	(13.12)	
	Security Subtotal				2,642.27	2,943.17	0.00	(300.90)	
EBAY INC COM									
73.0000	Sale	12/07/10		09/30/11	2,198.81	2,200.98	0.00	(2.17)	
FORD MOTOR CO									
67.0000	Sale	12/07/10		09/30/11	656.59	1,123.30	0.00	(466.71)	
FANUC LTD-UNSP									
40.0000	Sale	12/08/10		09/30/11	920.52	994.83	0.00	(74.31)	
GOLDMAN SACHS GROUP INC									
5.0000	Sale	03/18/10		01/12/11	855.29	885.14	0.00	(29.85)	
2.0000	Sale	12/07/10		01/12/11	342.13	327.05	0.00	15.08	
	Security Subtotal				1,197.42	1,212.19	0.00	(14.77)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
1.0000	Sale	09/21/10	38259P508	06/24/11	473.88	512.55	0.00	(38.67)	
3.0000	Sale	12/07/10		06/24/11	1,421.65	1,769.23	0.00	(347.58)	
	Security Subtotal				1,895.53	2,281.78	0.00	(386.25)	
	GENERAL MOTORS CO COMMON SHARES								
26.0000	Sale	11/18/10	37045V100	05/10/11	819.16	910.00	0.00	(90.84)	
24.0000	Sale	11/18/10		05/10/11	758.76	840.00	0.00	(81.24)	
58.0000	Sale	11/18/10		05/19/11	1,827.14	2,030.00	0.00	(202.86)	
19.0000	Sale	11/18/10		05/23/11	582.17	665.00	0.00	(82.83)	
63.0000	Sale	11/18/10		06/03/11	1,832.79	2,205.00	0.00	(372.21)	
19.0000	Sale	11/18/10		06/06/11	543.89	665.00	0.00	(121.11)	
22.0000	Sale	12/07/10		06/06/11	629.77	762.33	0.00	(132.56)	
	Security Subtotal				6,993.68	8,077.33	0.00	(1,083.65)	
	JPMORGAN CHASE & CO								
31.0000	Sale	03/18/10	46625H100	02/08/11	1,411.17	1,347.51	0.00	63.66	
30.0000	Sale	12/07/10		02/08/11	1,365.64	1,188.35	0.00	177.29	
	Security Subtotal				2,776.81	2,535.86	0.00	240.95	
	LIMITED BRANDS INC								
33.0000	Sale	12/07/10	532716107	09/30/11	1,281.63	1,049.07	0.00	232.56	
	MEDCO HEALTH SOLUTIONS I								
14.0000	Sale	11/23/10	58405U102	09/30/11	664.85	853.20	0.00	(188.35)	
33.0000	Sale	11/23/10		09/30/11	1,567.16	2,003.41	0.00	(436.25)	
30.0000	Sale	11/24/10		09/30/11	1,424.69	1,836.18	0.00	(411.49)	
38.0000	Sale	11/29/10		09/30/11	1,804.61	2,291.34	0.00	(486.73)	
17.0000	Sale	11/30/10		09/30/11	807.32	1,035.63	0.00	(228.31)	
26.0000	Sale	12/01/10		09/30/11	1,234.73	1,625.63	0.00	(390.90)	
10.0000	Sale	12/03/10		09/30/11	474.89	631.68	0.00	(156.79)	
38.0000	Sale	12/08/10		09/30/11	1,804.61	2,420.21	0.00	(615.60)	
	Security Subtotal				9,782.86	12,697.28	0.00	(2,914.42)	
	NEWS CORP CL A								
72.0000	Sale	12/07/10	65248E104	09/30/11	1,120.70	1,031.65	0.00	89.05	
	PRECISION CASTPARTS								
5.0000	Sale	12/07/10	740189105	09/30/11	778.66	714.92	0.00	63.74	



HERBERT H AND BARBARA C DOW

Account No.
07052

Taxpayer No.

Page
18 of 33

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
PRUDENTIAL PLC ADR									
5.0000	Sale	12/09/10	74435K204	09/30/11	86.19	103.46	0.00	(17.27)	
13.0000	Sale	12/07/10		09/30/11	224.11	252.45	0.00	(28.34)	
10.0000	Sale	12/08/10		09/30/11	172.39	201.17	0.00	(28.78)	
Security Subtotal					482.69	557.08	0.00	(74.39)	
SCHWAB CHARLES CORP NEW									
73.0000	Sale	12/07/10	808513105	09/30/11	831.79	1,185.94	0.00	(354.15)	
TE CONNECTIVITY LTD REG SHS									
23.0000	Sale	12/07/10	H84989104	09/30/11	656.13	770.02	0.00	(113.89)	
UNITED PARCEL SVC CL B									
48.0000	Sale	10/13/10	911312106	09/30/11	3,047.96	3,288.16	0.00	(240.20)	
12.0000	Sale	12/07/10		09/30/11	761.99	866.04	0.00	(104.05)	
Security Subtotal					3,809.95	4,154.20	0.00	(344.25)	
VERTEX PHARMCTLS INC									
8.0000	Sale	10/28/10	92532F100	09/30/11	359.03	306.19	0.00	52.84	
12.0000	Sale	10/28/10		09/30/11	538.55	460.04	0.00	78.51	
13.0000	Sale	11/01/10		09/30/11	583.43	495.15	0.00	88.28	
15.0000	Sale	11/01/10		09/30/11	673.18	566.88	0.00	106.30	
30.0000	Sale	11/02/10		09/30/11	1,346.37	1,125.61	0.00	220.76	
Security Subtotal					3,500.56	2,953.87	0.00	546.69	
YAHOO INC									
58.0000	Sale	04/13/10	984332106	03/30/11	974.23	1,051.73	0.00	(77.50)	
23.0000	Sale	04/14/10		03/30/11	386.34	417.48	0.00	(31.14)	
21.0000	Sale	04/14/10		04/01/11	353.51	381.18	0.00	(27.67)	
22.0000	Sale	04/16/10		04/01/11	370.35	405.88	0.00	(35.53)	
39.0000	Sale	04/16/10		04/01/11	659.90	719.51	0.00	(59.61)	
253.0000	Sale	04/16/10		04/13/11	4,190.08	4,667.60	0.00	(477.52)	
42.0000	Sale	04/21/10		04/13/11	695.58	735.00	0.00	(39.42)	
122.0000	Sale	08/18/10		04/13/11	2,020.51	1,707.71	0.00	312.80	
53.0000	Sale	12/07/10		04/13/11	877.76	899.78	0.00	(22.02)	
Security Subtotal					10,528.26	10,985.87	0.00	(457.61)	

HERBERT H AND BARBARA C DOW

Account No.
07052

Taxpayer No.

Page
19 of 33

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

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

Noncovered Short Term Capital Gains and Losses Subtotal				82,247.95	93,072.97	0.00	(10,825.02)	
---	--	--	--	-----------	-----------	------	-------------	--

NET SHORT TERM CAPITAL GAINS AND LOSSES				449,509.39	528,603.80	0.00	(79,094.41)	
---	--	--	--	------------	------------	------	-------------	--

LONG TERM CAPITAL GAINS AND LOSSES

NONCOVERED TRANSACTIONS

AMPHENOL CORP CL A NEW	CUSIP Number	032095101						
7,0000 Sale	12/17/09	09/30/11	290.56	297.83	0.00		(7.27)	
12,0000 Sale	12/18/09	09/30/11	498.11	515.96	0.00		(17.85)	
23,0000 Sale	12/23/09	09/30/11	954.71	1,038.02	0.00		(83.31)	
11,0000 Sale	12/30/09	09/30/11	456.60	513.58	0.00		(56.98)	
69,0000 Sale	01/11/10	09/30/11	2,864.14	3,100.86	0.00		(236.72)	
10,0000 Sale	03/18/10	09/30/11	415.09	441.40	0.00		(26.31)	
Security Subtotal			5,479.21	5,907.65	0.00		(428.44)	

AMERICA MOVIL SAB DE CV
ADR

CUSIP Number 02364W105

8,0000 Sale	12/02/09	02/04/11	463.00	400.77	0.00		62.23	
27,0000 Sale	12/02/09	02/11/11	1,520.64	1,352.59	0.00		168.05	
4,0000 Sale	01/11/10	02/11/11	225.28	198.32	0.00		26.96	
Security Subtotal			2,208.92	1,951.68	0.00		257.24	

ANHEUSER-BUSCH INBEV ADR

CUSIP Number 03524A108

18,0000 Sale	11/20/09	05/04/11	1,098.98	910.34	0.00		188.64	
112,0000 Sale	12/02/09	05/04/11	6,838.12	5,967.99	0.00		870.13	
2,0000 Sale	12/02/09	07/12/11	109.41	106.57	0.00		2.84	
45,0000 Sale	01/11/10	07/12/11	2,461.79	2,318.95	0.00		142.84	
33,0000 Sale	03/18/10	07/12/11	1,805.31	1,708.08	0.00		97.23	
Security Subtotal			12,313.61	11,011.93	0.00		1,301.68	

APPLE INC

CUSIP Number 037833100

10,0000 Sale	05/23/07	01/05/11	3,338.35	1,131.80	0.00		2,206.55	
1,0000 Sale	10/30/08	01/06/11	334.86	109.12	0.00		225.74	
8,0000 Sale	10/30/08	01/06/11	2,678.97	878.33	0.00		1,800.64	
9,0000 Sale	10/30/08	01/06/11	3,010.94	988.12	0.00		2,022.82	
3,0000 Sale	10/30/08	01/06/11	1,002.33	329.37	0.00		672.96	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
APPLE INC.								
17,000	Sale	01/13/09	03/7833100	5,679.93	1,502.24	0.00	4,177.69	
64,000	Sale	01/13/09	01/06/11	21,172.35	5,655.50	0.00	15,516.85	
13,000	Sale	01/13/09	04/11/11	5,009.43	1,148.77	0.00	3,860.66	
7,000	Sale	02/11/09	09/30/11	2,697.38	674.80	0.00	2,022.58	
46,000	Sale	04/14/09	09/30/11	17,725.68	5,456.73	0.00	12,268.95	
24,000	Sale	01/11/10	09/30/11	9,248.18	5,030.94	0.00	4,217.24	
28,000	Sale	03/18/10	09/30/11	10,789.54	6,262.02	0.00	4,527.52	
	Security Subtotal			82,687.94	29,167.74	0.00	53,520.20	
CROWN CASTLE INTL CORP								
144,000	Sale	10/13/08	228227104	5,901.88	3,052.06	0.00	2,849.82	
112,000	Sale	10/30/08	09/30/11	4,590.35	2,342.22	0.00	2,248.13	
19,000	Sale	12/19/08	09/30/11	778.72	335.35	0.00	443.37	
67,000	Sale	04/14/09	09/30/11	2,746.01	1,618.61	0.00	1,127.40	
4,000	Sale	12/02/09	09/30/11	163.94	150.25	0.00	13.69	
43,000	Sale	01/11/10	09/30/11	1,762.37	1,683.84	0.00	78.53	
17,000	Sale	03/18/10	09/30/11	696.75	657.87	0.00	38.88	
28,000	Sale	09/21/10	09/30/11	1,147.59	1,186.55	0.00	(38.96)	
	Security Subtotal			17,787.61	11,026.75	0.00	6,760.86	
CELGENE CORP COM								
253,000	Sale	01/13/09	151020104	15,774.98	12,685.42	0.00	3,089.56	
9,000	Sale	02/11/09	09/30/11	561.16	476.70	0.00	84.46	
51,000	Sale	04/01/09	09/30/11	3,179.93	1,958.82	0.00	1,221.11	
30,000	Sale	04/01/09	09/30/11	1,870.55	1,161.83	0.00	708.72	
97,000	Sale	04/14/09	09/30/11	6,048.11	3,850.56	0.00	2,197.55	
36,000	Sale	03/18/10	09/30/11	2,244.66	2,339.54	0.00	(94.88)	
	Security Subtotal			29,679.39	22,472.87	0.00	7,206.52	
CME GROUP INC								
5,000	Sale	01/13/09	12572Q105	1,453.48	928.45	0.00	525.03	
5,000	Sale	01/13/09	05/24/11	1,463.43	928.45	0.00	534.98	
10,000	Sale	01/13/09	05/26/11	2,838.75	1,856.90	0.00	981.85	
4,000	Sale	01/13/09	05/31/11	1,137.74	742.76	0.00	394.98	
4,000	Sale	04/14/09	05/31/11	1,137.75	1,037.84	0.00	99.91	
2,000	Sale	11/19/09	05/31/11	568.88	642.31	0.00	(73.43)	
3,000	Sale	12/02/09	06/09/11	797.48	1,007.65	0.00	(210.17)	



HERBERT H AND BARBARA C DOW

Account No.
07052

Taxpayer No.

Page
21 of 33

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	CUSIP Number	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
3.0000	Sale	01/11/10	06/09/11	12572Q105	797.48	1,043.27	0.00	(245.79)	
4.0000	Sale	03/18/10	06/09/11		1,063.31	1,245.76	0.00	(182.45)	
	Security Subtotal				11,258.30	9,433.39	0.00	1,824.91	
84.0000	Sale	01/13/09	01/05/11	17275R102	1,744.18	1,364.16	0.00	380.02	
76.0000	Sale	01/13/09	01/06/11		1,583.16	1,234.24	0.00	348.92	
45.0000	Sale	01/13/09	03/16/11		769.55	730.80	0.00	38.75	
39.0000	Sale	01/13/09	03/16/11		670.10	633.36	0.00	36.74	
78.0000	Sale	01/13/09	03/17/11		1,328.04	1,266.72	0.00	61.32	
31.0000	Sale	01/13/09	03/18/11		536.90	503.44	0.00	33.46	
155.0000	Sale	04/14/09	03/18/11		2,684.50	2,794.50	0.00	(110.00)	
6.0000	Sale	04/14/09	03/18/11		103.28	108.17	0.00	(4.89)	
50.0000	Sale	07/17/09	03/18/11		860.67	1,023.69	0.00	(163.02)	
36.0000	Sale	07/17/09	03/18/11		619.68	727.20	0.00	(107.52)	
75.0000	Sale	07/20/09	03/18/11		1,291.03	1,569.41	0.00	(278.38)	
64.0000	Sale	12/02/09	04/15/11		1,087.42	1,541.32	0.00	(453.90)	
12.0000	Sale	07/20/09	04/15/11		203.89	251.10	0.00	(47.21)	
124.0000	Sale	11/19/09	04/15/11		2,106.86	2,936.57	0.00	(829.71)	
18.0000	Sale	01/11/10	04/15/11		305.84	441.32	0.00	(135.48)	
126.0000	Sale	01/11/10	04/20/11		2,123.32	3,089.20	0.00	(965.88)	
216.0000	Sale	01/14/10	04/20/11		3,639.98	5,361.25	0.00	(1,721.27)	
36.0000	Sale	01/14/10	04/20/11		606.66	895.60	0.00	(288.94)	
60.0000	Sale	03/18/10	04/20/11		1,011.12	1,581.60	0.00	(570.48)	
45.0000	Sale	03/18/10	04/21/11		762.60	1,186.20	0.00	(423.60)	
	Security Subtotal				24,038.78	29,239.85	0.00	(5,201.07)	
4.0000	Sale	06/02/09	02/02/11	194162103	301.97	280.19	0.00	21.78	
16.0000	Sale	06/03/09	02/02/11		1,207.89	1,116.24	0.00	91.65	
16.0000	Sale	06/10/09	02/02/11		1,207.89	1,119.97	0.00	87.92	
18.0000	Sale	06/15/09	02/02/11		1,358.88	1,259.91	0.00	98.97	
3.0000	Sale	12/02/09	02/02/11		226.48	258.77	0.00	(32.29)	
7.0000	Sale	01/11/10	02/02/11		528.45	565.74	0.00	(37.29)	
	Security Subtotal				4,831.56	4,600.82	0.00	230.74	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
EBAY INC								
	COM	CUSIP Number	278642103					
63.0000	Sale	08/18/10	09/30/11	1,897.60	1,437.08	0.00	460.52	
72.0000	Sale	08/20/10	09/30/11	2,168.69	1,666.01	0.00	502.68	
124.0000	Sale	08/23/10	09/30/11	3,734.96	2,899.43	0.00	835.53	
120.0000	Sale	08/25/10	09/30/11	3,614.48	2,753.28	0.00	861.20	
107.0000	Sale	08/26/10	09/30/11	3,222.91	2,442.87	0.00	780.04	
17.0000	Sale	09/01/10	09/30/11	512.05	404.36	0.00	107.69	
31.0000	Sale	09/01/10	09/30/11	933.74	734.56	0.00	199.18	
47.0000	Sale	09/02/10	09/30/11	1,415.67	1,128.74	0.00	286.93	
55.0000	Sale	09/03/10	09/30/11	1,656.64	1,340.57	0.00	316.07	
57.0000	Sale	09/03/10	09/30/11	1,716.88	1,378.21	0.00	338.67	
23.0000	Sale	09/03/10	09/30/11	692.77	561.20	0.00	131.57	
46.0000	Sale	09/08/10	09/30/11	1,385.55	1,125.23	0.00	260.32	
30.0000	Sale	09/08/10	09/30/11	903.62	731.67	0.00	171.95	
14.0000	Sale	09/21/10	09/30/11	421.69	346.14	0.00	75.55	
166.0000	Sale	09/22/10	09/30/11	5,000.04	3,975.95	0.00	1,024.09	
	Security Subtotal			29,277.29	22,925.30	0.00	6,351.99	

FORD MOTOR CO								
	COM	CUSIP Number	345370860					
19.0000	Sale	01/11/10	09/30/11	186.19	224.23	0.00	(38.04)	
339.0000	Sale	01/11/10	09/30/11	3,322.13	4,068.00	0.00	(745.87)	
39.0000	Sale	03/18/10	09/30/11	382.19	551.46	0.00	(169.27)	
101.0000	Sale	04/01/10	09/30/11	989.78	1,279.49	0.00	(289.71)	
129.0000	Sale	04/01/10	09/30/11	1,264.17	1,649.76	0.00	(385.59)	
89.0000	Sale	04/09/10	09/30/11	872.18	1,134.60	0.00	(262.42)	
56.0000	Sale	04/15/10	09/30/11	548.79	773.92	0.00	(225.13)	
197.0000	Sale	04/15/10	09/30/11	1,930.56	2,677.33	0.00	(746.77)	
88.0000	Sale	04/16/10	09/30/11	862.38	1,210.36	0.00	(347.98)	
42.0000	Sale	08/18/10	09/30/11	411.59	514.07	0.00	(102.48)	
67.0000	Sale	08/19/10	09/30/11	656.59	807.04	0.00	(150.45)	
24.0000	Sale	09/21/10	09/30/11	235.19	302.58	0.00	(67.39)	
	Security Subtotal			11,661.74	15,192.84	0.00	(3,531.10)	

FANUC LTD-UNSP								
	COM	CUSIP Number	307305102					
525.0000	Sale	09/28/10	09/30/11	12,081.90	11,353.83	0.00	728.07	
GOLDMAN SACHS GROUP INC								
	COM	CUSIP Number	38141G104					
7.0000	Sale	02/06/09	01/06/11	1,209.22	649.87	0.00	559.35	
9.0000	Sale	02/06/09	01/07/11	1,540.44	835.55	0.00	704.89	
3.0000	Sale	02/10/09	01/07/11	513.48	272.56	0.00	240.92	
2.0000	Sale	02/10/09	01/10/11	340.45	181.70	0.00	158.75	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
GOLDMAN SACHS GROUP INC								
10,000	Sale	04/14/09	01/10/11	1,702.28	1,223.00	0.00	479.28	
1,000	Sale	04/14/09	01/12/11	171.05	122.30	0.00	48.75	
5,000	Sale	01/11/10	01/12/11	855.30	855.35	0.00	(0.05)	
	Security Subtotal			6,332.22	4,140.33	0.00	2,191.89	
GOOGLE INC CL A								
5,000	Sale	01/13/09	06/17/11	2,434.76	1,573.90	0.00	860.86	
7,000	Sale	01/13/09	06/20/11	3,374.44	2,203.46	0.00	1,170.98	
8,000	Sale	01/13/09	06/21/11	3,935.21	2,518.24	0.00	1,416.97	
7,000	Sale	01/13/09	06/22/11	3,416.08	2,203.46	0.00	1,212.62	
8,000	Sale	04/14/09	06/23/11	3,808.36	2,970.00	0.00	838.36	
4,000	Sale	03/18/10	06/23/11	1,904.18	2,269.48	0.00	(365.30)	
3,000	Sale	04/15/10	06/23/11	1,428.14	1,789.80	0.00	(361.66)	
9,000	Sale	04/15/10	06/24/11	4,264.95	5,369.38	0.00	(1,104.43)	
	Security Subtotal			24,566.12	20,897.72	0.00	3,668.40	
INTUITIVE SURGICAL INC								
5,000	Sale	02/11/09	07/07/11	1,852.70	533.77	0.00	1,318.93	
1,000	Sale	02/11/09	07/12/11	362.12	106.76	0.00	255.36	
3,000	Sale	04/14/09	07/12/11	1,086.37	358.14	0.00	728.23	
4,000	Sale	04/14/09	07/14/11	1,439.16	477.51	0.00	961.65	
13,000	Sale	04/14/09	09/30/11	4,758.68	1,551.92	0.00	3,206.76	
3,000	Sale	01/11/10	09/30/11	1,098.16	928.92	0.00	169.24	
3,000	Sale	03/18/10	09/30/11	1,098.16	1,063.05	0.00	35.11	
	Security Subtotal			11,695.35	5,020.07	0.00	6,675.28	
JPMORGAN CHASE & CO								
45,000	Sale	12/22/08	02/04/11	1,996.00	1,375.58	0.00	620.42	
33,000	Sale	01/29/09	02/04/11	1,463.74	868.19	0.00	595.55	
19,000	Sale	01/30/09	02/04/11	842.77	494.17	0.00	348.60	
14,000	Sale	01/30/09	02/07/11	634.34	364.12	0.00	270.22	
9,000	Sale	02/02/09	02/07/11	407.79	221.85	0.00	185.94	
51,000	Sale	04/14/09	02/07/11	2,310.83	1,646.79	0.00	664.04	
35,000	Sale	06/02/09	02/07/11	1,585.86	1,221.69	0.00	364.17	
33,000	Sale	06/02/09	02/07/11	1,495.25	1,152.84	0.00	342.41	
29,000	Sale	11/19/09	02/07/11	1,314.00	1,233.12	0.00	80.88	

HERBERT H AND BARBARA C DOW

Account No.
07052

Taxpayer No.

Page
24 of 33

2011 ANNUAL STATEMENT SUMMARY 2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
JPMORGAN CHASE & CO									
1.0000	Sale	01/11/10	46625H100	02/07/11	45.32	44.42	0.00	0.90	
33.0000	Sale	01/11/10		02/08/11	1,502.21	1,465.84	0.00	36.37	
	Security Subtotal				13,598.11	10,088.61	0.00	3,509.50	
LIMITED BRANDS INC									
24.0000	Sale	02/05/10	532716107	09/30/11	932.09	490.58	0.00	441.51	
26.0000	Sale	02/08/10		09/30/11	1,009.76	529.60	0.00	480.16	
29.0000	Sale	02/10/10		09/30/11	1,126.28	581.83	0.00	544.45	
56.0000	Sale	02/17/10		09/30/11	2,174.88	1,170.48	0.00	1,004.40	
41.0000	Sale	02/22/10		09/30/11	1,592.32	883.96	0.00	708.36	
80.0000	Sale	02/24/10		09/30/11	3,106.98	1,687.70	0.00	1,419.28	
56.0000	Sale	03/02/10		09/30/11	2,174.88	1,262.26	0.00	912.62	
71.0000	Sale	03/10/10		09/30/11	2,757.44	1,677.92	0.00	1,079.52	
30.0000	Sale	03/18/10		09/30/11	1,165.11	739.20	0.00	425.91	
54.0000	Sale	04/19/10		09/30/11	2,097.21	1,456.98	0.00	640.23	
60.0000	Sale	09/08/10		09/30/11	2,330.24	1,528.01	0.00	802.23	
	Security Subtotal				20,467.19	12,008.52	0.00	8,458.67	
MORGAN STANLEY									
164.0000	Sale	04/13/09	617446448	09/30/11	2,273.70	4,321.68	0.00	(2,047.98)	
31.0000	Sale	04/14/09		09/30/11	429.78	774.02	0.00	(344.24)	
30.0000	Sale	12/02/09		09/30/11	415.92	929.08	0.00	(513.16)	
28.0000	Sale	01/11/10		09/30/11	388.19	894.04	0.00	(505.85)	
31.0000	Sale	09/21/10		09/30/11	429.78	815.10	0.00	(385.32)	
	Security Subtotal				3,937.37	7,733.92	0.00	(3,796.55)	
NEWS CORP CL A									
12.0000	Sale	10/31/08	65248E104	09/30/11	186.78	120.18	0.00	66.60	
50.0000	Sale	10/31/08		09/30/11	778.26	514.75	0.00	263.51	
100.0000	Sale	11/03/08		09/30/11	1,556.52	1,069.73	0.00	486.79	
294.0000	Sale	11/04/08		09/30/11	4,576.16	3,171.32	0.00	1,404.84	
130.0000	Sale	04/14/09		09/30/11	2,023.47	974.77	0.00	1,048.70	
43.0000	Sale	09/10/09		09/30/11	669.30	496.74	0.00	172.56	
5.0000	Sale	09/11/09		09/30/11	77.82	58.65	0.00	19.17	
3.0000	Sale	09/14/09		09/30/11	46.69	35.13	0.00	11.56	
7.0000	Sale	09/25/09		09/30/11	108.95	82.19	0.00	26.76	
4.0000	Sale	09/29/09		09/30/11	62.26	47.72	0.00	14.54	
20.0000	Sale	09/30/09		09/30/11	311.30	235.91	0.00	75.39	
7.0000	Sale	09/30/09		09/30/11	108.95	82.50	0.00	26.45	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
NEWS CORP CL A									
167,000	Sale	11/19/09	65248E104	09/30/11	2,599.39	2,071.72	0.00	527.67	
52,000	Sale	12/02/09		09/30/11	809.39	618.10	0.00	191.29	
80,000	Sale	12/16/09		09/30/11	1,245.21	1,062.23	0.00	182.98	
161,000	Sale	12/21/09		09/30/11	2,506.00	2,230.25	0.00	275.75	
68,000	Sale	12/22/09		09/30/11	1,058.43	931.46	0.00	126.97	
157,000	Sale	01/11/10		09/30/11	2,443.74	2,201.12	0.00	242.62	
82,000	Sale	09/21/10		09/30/11	1,276.35	1,130.46	0.00	145.89	
99,000	Sale	09/22/10		09/30/11	1,540.96	1,377.35	0.00	163.61	
Security Subtotal					23,985.93	18,512.28	0.00	5,473.65	
ORACLE CORP \$0.01 DEL									
42,000	Sale	04/18/08	68389X105	01/04/11	1,319.57	901.54	0.00	418.03	
16,000	Sale	04/18/08		01/05/11	500.21	343.44	0.00	156.77	
25,000	Sale	04/18/08		01/05/11	781.29	536.63	0.00	244.66	
75,000	Sale	04/18/08		01/05/11	2,325.62	1,609.88	0.00	715.74	
43,000	Sale	04/18/08		01/07/11	1,337.57	923.00	0.00	414.57	
20,000	Sale	05/02/08		01/10/11	621.05	428.05	0.00	193.00	
37,000	Sale	04/18/08		01/10/11	1,148.94	794.21	0.00	354.73	
134,000	Sale	05/02/08		01/12/11	4,164.57	2,867.94	0.00	1,296.63	
117,000	Sale	05/02/08		02/04/11	3,818.91	2,504.09	0.00	1,314.82	
88,000	Sale	10/30/08		02/04/11	2,872.34	1,591.95	0.00	1,280.39	
19,000	Sale	10/30/08		02/04/11	620.16	341.42	0.00	278.74	
28,000	Sale	01/13/09		02/04/11	913.93	476.56	0.00	437.37	
15,000	Sale	02/11/09		02/04/11	489.61	265.09	0.00	224.52	
6,000	Sale	02/11/09		09/30/11	173.82	106.04	0.00	67.78	
180,000	Sale	04/14/09		09/30/11	5,214.82	3,383.68	0.00	1,831.14	
79,000	Sale	01/11/10		09/30/11	2,288.73	1,930.75	0.00	357.98	
79,000	Sale	03/18/10		09/30/11	2,288.73	2,016.55	0.00	272.18	
62,000	Sale	08/18/10		09/30/11	1,796.21	1,438.35	0.00	357.86	
41,000	Sale	09/21/10		09/30/11	1,187.82	1,097.85	0.00	89.97	
Security Subtotal					33,863.90	23,557.02	0.00	10,306.88	
PETROLEO BRAS VTG SPD ADR									
19,000	Sale	02/09/09	71654V408	04/13/11	703.87	574.97	0.00	128.90	
41,000	Sale	02/09/09		04/14/11	1,536.79	1,240.73	0.00	296.06	
10,000	Sale	04/14/09		04/14/11	374.83	355.29	0.00	19.54	
22,000	Sale	04/14/09		04/15/11	819.73	781.64	0.00	38.09	
14,000	Sale	12/02/09		04/15/11	521.64	742.75	0.00	(221.11)	
21,000	Sale	01/11/10		04/15/11	782.47	1,005.69	0.00	(223.22)	

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	CUSIP Number	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
PETROLEO BRAS VTG SPD ADR									
38,000	Sale	01/22/10	71654V408	04/15/11	1,415.90	1,607.22	0.00	(191.32)	
14,000	Sale	03/18/10		04/15/11	521.65	647.32	0.00	(125.67)	
	Security Subtotal				6,676.88	6,955.61	0.00	(278.73)	
PRECISION CASTPARTS									
19,000	Sale	05/20/09	740189105	09/30/11	2,958.90	1,561.09	0.00	1,397.81	
34,000	Sale	05/21/09		09/30/11	5,294.89	2,713.35	0.00	2,581.54	
4,000	Sale	12/02/09		09/30/11	622.92	429.48	0.00	193.44	
12,000	Sale	01/11/10		09/30/11	1,868.78	1,381.92	0.00	486.86	
4,000	Sale	03/18/10		09/30/11	622.93	476.64	0.00	146.29	
3,000	Sale	09/21/10		09/30/11	467.19	389.58	0.00	77.61	
	Security Subtotal				11,835.61	6,952.06	0.00	4,883.55	
PRUDENTIAL PLC ADR									
9,000	Sale	04/21/10	74435K204	07/27/11	196.76	148.51	0.00	48.25	
34,000	Sale	04/28/10		07/27/11	743.35	562.49	0.00	180.86	
70,000	Sale	04/28/10		07/28/11	1,539.83	1,158.07	0.00	381.76	
71,000	Sale	05/12/10		07/28/11	1,561.83	1,192.64	0.00	369.19	
188,000	Sale	05/12/10		08/03/11	4,038.78	3,157.97	0.00	880.81	
3,000	Sale	05/12/10		09/30/11	51.71	50.39	0.00	1.32	
117,000	Sale	05/13/10		09/30/11	2,017.04	1,945.56	0.00	71.48	
70,000	Sale	05/17/10		09/30/11	1,206.77	1,086.12	0.00	120.65	
92,000	Sale	06/04/10		09/30/11	1,586.05	1,477.41	0.00	108.64	
22,000	Sale	09/21/10		09/30/11	379.27	426.60	0.00	(47.33)	
	Security Subtotal				13,321.39	11,205.76	0.00	2,115.63	
SCHWAB CHARLES CORP NEW									
756,000	Sale	01/11/10	808513105	07/08/11	11,741.05	14,408.98	0.00	(2,667.93)	
374,000	Sale	01/11/10		09/30/11	4,261.49	7,128.25	0.00	(2,866.76)	
60,000	Sale	02/10/10		09/30/11	683.66	1,076.98	0.00	(393.32)	
73,000	Sale	03/18/10		09/30/11	831.79	1,364.33	0.00	(532.54)	
35,000	Sale	09/21/10		09/30/11	398.80	488.31	0.00	(89.51)	
	Security Subtotal				17,916.79	24,466.85	0.00	(6,550.06)	
TE CONNECTIVITY LTD REG SHS									
44,000	Sale	05/20/10	H84989104	09/30/11	1,255.21	1,205.40	0.00	49.81	
30,000	Sale	05/21/10		09/30/11	855.83	832.60	0.00	23.23	
36,000	Sale	05/27/10		09/30/11	1,026.99	1,037.58	0.00	(10.59)	

HERBERT H AND BARBARA C DOW

Account No.
17052

Taxpayer No.

Page
27 of 33

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
TE CONNECTIVITY LTD								
REG SHS		CUSIP Number	H84989104					
62,000	Sale	05/28/10	09/30/11	1,768.71	1,796.03	0.00	(27.32)	
43,000	Sale	06/01/10	09/30/11	1,226.69	1,232.68	0.00	(5.99)	
21,000	Sale	06/04/10	09/30/11	599.08	612.10	0.00	(13.02)	
57,000	Sale	06/08/10	09/30/11	1,626.08	1,527.82	0.00	98.26	
31,000	Sale	06/10/10	09/30/11	884.36	859.01	0.00	25.35	
16,000	Sale	06/14/10	09/30/11	456.44	464.00	0.00	(7.56)	
17,000	Sale	06/16/10	09/30/11	484.97	489.61	0.00	(4.64)	
	Security Subtotal			10,184.36	10,056.83	0.00	127.53	
UNITED PARCEL SVC CL B								
		CUSIP Number	911312106					
11,000	Sale	12/22/08	09/30/11	698.48	585.60	0.00	112.88	
13,000	Sale	08/24/10	09/30/11	825.48	831.36	0.00	(5.88)	
14,000	Sale	08/25/10	09/30/11	888.98	881.59	0.00	7.39	
22,000	Sale	12/23/08	09/30/11	1,396.97	1,169.54	0.00	227.43	
16,000	Sale	12/24/08	09/30/11	1,015.98	845.28	0.00	170.70	
5,000	Sale	12/30/08	09/30/11	317.49	268.84	0.00	48.65	
3,000	Sale	01/13/09	09/30/11	190.49	151.83	0.00	38.66	
17,000	Sale	04/14/09	09/30/11	1,079.48	907.75	0.00	171.73	
3,000	Sale	12/02/09	09/30/11	190.49	174.37	0.00	16.12	
11,000	Sale	01/11/10	09/30/11	698.48	690.58	0.00	7.90	
8,000	Sale	03/18/10	09/30/11	507.99	513.68	0.00	(5.69)	
24,000	Sale	08/05/10	09/30/11	1,523.97	1,620.32	0.00	(96.35)	
18,000	Sale	08/18/10	09/30/11	1,142.98	1,195.46	0.00	(52.48)	
23,000	Sale	08/19/10	09/30/11	1,460.47	1,498.58	0.00	(38.11)	
23,000	Sale	08/19/10	09/30/11	1,460.47	1,500.49	0.00	(40.02)	
13,000	Sale	08/20/10	09/30/11	825.48	840.32	0.00	(14.84)	
11,000	Sale	08/23/10	09/30/11	698.48	722.28	0.00	(23.80)	
8,000	Sale	08/23/10	09/30/11	507.99	528.04	0.00	(20.05)	
	Security Subtotal			15,430.15	14,925.91	0.00	504.24	
VERTEX PHARMCTLS INC								
		CUSIP Number	92532F100					
75,000	Sale	02/19/09	09/30/11	3,365.93	2,502.86	0.00	863.07	
18,000	Sale	04/14/09	09/30/11	807.82	495.54	0.00	312.28	
8,000	Sale	01/11/10	09/30/11	359.03	333.92	0.00	25.11	
10,000	Sale	03/18/10	09/30/11	448.79	418.40	0.00	30.39	
	Security Subtotal			4,981.57	3,750.72	0.00	1,230.85	



Merrill Lynch
Bank of America Corporation

Account No.
-07052

Taxpayer No.

Page
28 of 33

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

1099-B

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

Quantity	Transaction Description	Date Acquired Cover of Short	Date Liquidated Short Sale	Amount	Cost Basis	Adjustments	Gain or (Loss)	Remarks
YAHOO INC		CUSIP Number	984332106					
89.0000	Sale	12/18/09	03/18/11	1,432.22	1,415.94	0.00	16.28	
3.0000	Sale	12/22/09	03/18/11	48.28	47.70	0.00	0.58	
68.0000	Sale	12/22/09	03/21/11	1,117.00	1,081.16	0.00	35.84	
25.0000	Sale	12/28/09	03/21/11	410.66	421.49	0.00	(10.83)	
26.0000	Sale	12/30/09	03/21/11	427.08	439.96	0.00	(12.88)	
15.0000	Sale	12/31/09	03/21/11	246.39	253.80	0.00	(7.41)	
43.0000	Sale	01/06/10	03/21/11	706.34	738.16	0.00	(31.82)	
48.0000	Sale	01/07/10	03/21/11	788.48	799.34	0.00	(10.86)	
22.0000	Sale	01/08/10	03/21/11	361.39	367.90	0.00	(6.51)	
53.0000	Sale	01/08/10	03/23/11	853.14	886.30	0.00	(33.16)	
214.0000	Sale	01/11/10	03/23/11	3,444.76	3,560.57	0.00	(115.81)	
37.0000	Sale	03/18/10	03/23/11	595.59	609.66	0.00	(14.07)	
7.0000	Sale	03/18/10	03/30/11	117.58	115.34	0.00	2.24	
	Security Subtotal			10,548.91	10,737.32	0.00	(188.41)	

Noncovered Long Term Capital Gains and Losses Subtotal

472,648.10

365,294.18

0.00

107,353.92

NET LONG TERM CAPITAL GAINS AND LOSSES

472,648.10

365,294.18

0.00

107,353.92

TOTAL CAPITAL GAINS AND LOSSES
TOTAL REPORTED SALES PROCEEDS

922,157.49

922,157.49

2011 REALIZED CAPITAL GAIN AND LOSS SUMMARY

COVERED SHORT TERM GAINS/LOSSES	NONCOVERED SHORT TERM GAINS/LOSSES	COVERED LONG TERM GAINS/LOSSES	NONCOVERED LONG TERM GAINS/LOSSES
(68,269.39)	(10,825.02)	0.00	107,353.92

HERBERT H AND BARBARA C DOW

2011 ANNUAL STATEMENT SUMMARY

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

1099-B

2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

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

SHORT TERM CAPITAL GAINS AND LOSSES

COVERED TRANSACTIONS

PHARM PROD DEV INC	CUSIP Number	717124101						
57.0000 Exchange	06/09/11	12/06/11		1,895.25	1,535.57	0.00	359.68	
22.0000 Exchange	06/10/11	12/06/11		731.51	588.05	0.00	143.46	
Security Subtotal				2,626.76	2,123.62	0.00	503.14	
Covered Short Term Capital Gains and Losses Subtotal				2,626.76	2,123.62	0.00	503.14	

NONCOVERED TRANSACTIONS

CEPHALON INC	CUSIP Number	156708109						
28.0000 Sale	09/23/10	04/27/11		2,142.52	1,774.10	0.00	368.42	
Noncovered Short Term Capital Gains and Losses Subtotal				2,142.52	1,774.10	0.00	368.42	
NET SHORT TERM CAPITAL GAINS AND LOSSES				4,769.28	3,897.72	0.00	871.56	



HERBERT H AND BARBARA C DOW

Account No.
07053

Taxpayer No.

Page
8 of 17

2011 ANNUAL STATEMENT SUMMARY
2011 PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS

1099-B

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

LONG TERM CAPITAL GAINS AND LOSSES

NONCOVERED TRANSACTIONS

BUCYRUS INTL INC NEW		CUSIP Number	118759109					
10.0000	Exchange	03/16/09	07/12/11	919.99	136.77	0.00	783.22	
210.0000	Exchange	09/21/09	07/12/11	19,320.00	7,356.05	0.00	11,963.95	
13.0000	Exchange	01/11/10	07/12/11	1,196.01	865.02	0.00	330.99	
Security Subtotal				21,436.00	8,357.84	0.00	13,078.16	

BECKMAN COULTER INC COM		CUSIP Number	075811109					
5.0000	Exchange	12/26/08	07/26/11	417.50	213.94	0.00	203.56	
95.0000	Exchange	09/21/09	07/26/11	7,932.50	6,655.53	0.00	1,276.97	
12.0000	Exchange	01/11/10	07/26/11	1,002.00	825.48	0.00	176.52	
Security Subtotal				9,352.00	7,694.95	0.00	1,657.05	

CEPHALON INC COM		CUSIP Number	156708109					
1.0000	Sale	11/10/08	04/27/11	76.51	71.49	0.00	5.02	
45.0000	Sale	09/21/09	04/27/11	3,443.32	2,677.05	0.00	766.27	
5.0000	Sale	01/11/10	04/27/11	382.59	320.85	0.00	61.74	
Security Subtotal				3,902.42	3,069.39	0.00	833.03	

PHARM PROD DEV INC		CUSIP Number	717124101					
17.0000	Exchange	05/22/07	12/06/11	565.25	580.25	0.00	(15.00)	
152.0000	Exchange	09/21/09	12/06/11	5,053.99	3,223.27	0.00	1,830.72	
12.0000	Exchange	01/11/10	12/06/11	399.00	270.12	0.00	128.88	
Security Subtotal				6,018.24	4,073.64	0.00	1,944.60	

Noncovered Long Term Capital Gains and Losses Subtotal

NET LONG TERM CAPITAL GAINS AND LOSSES

TOTAL CAPITAL GAINS AND LOSSES
TOTAL REPORTED SALES PROCEEDS