Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

**2011**

For calendar year 2011, or tax year beginning , 2011, and ending ,

Catalyst Foundation
c/o Charles H. Still
1301 McKinney Street #5100
Houston, TX 77010

A Employer identification number 76-0383386

B Telephone number (see the instructions) 713-654-4640

C If exemption application is pending, check here ► [ ]

D 1 Foreign organizations, check here ► [ ]

2 Foreign organizations meeting the 85% test, check here and attach computation ► [ ]

E If private foundation status was terminated under section 507(b)(1)(A), check here ► [ ]

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

G Check all that apply: [ ] Initial return [ ] Initial Return of a former public charity [ ] Final return [ ] Amended return [ ] Address change [ ] Name change

H Check type of organization: [X] Section 501(c)(3) exempt private foundation [ ] Section 4947(a)(1) nonexempt charitable trust [ ] Other taxable private foundation

I Fair market value of all assets at end of year (from Part II, column (c), line 16) ► $ 4,089,887.

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

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

| | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| REVENUE | 1 Contributions, gifts, grants, etc, received (att sch) | | | | |
| | 2 Ck ► [X] if the foundn is not req to att Sch B | | | | |
| | 3 Interest on savings and temporary cash investments | 52. | 52. | N/A | |
| | 4 Dividends and interest from securities | 107,865. | 107,865. | | |
| | 5a Gross rents | | | | |
| | b Net rental income or (loss) | | | | |
| | 6a Net gain/(loss) from sale of assets not on line 10 | 134,893. | | | |
| | b Gross sales price for all assets on line 6a 1,427,596. | | | | |
| | 7 Capital gain net income (from Part IV, line 2) | | 134,893. | | |
| | 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/(loss) (att sch) | | | | |
| | 11 Other income (attach schedule) | | | | |
| | 12 Total. Add lines 1 through 11 | 242,810. | 242,810. | | |
| ADMINISTRATIVE EXPENSES | 13 Compensation of officers, directors, trustees, etc | 42,000. | 8,000. | | 34,000. |
| | 14 Other employee salaries and wages | | | | |
| | 15 Pension plans, employee benefits | | | | |
| | 16a Legal fees (attach schedule) See St 1 | 952. | 476. | | 476. |
| | b Accounting fees (attach sch) See St 2 | 2,521. | 1,260. | | 1,261. |
| | c Other prof fees (attach sch) See St 3 | 54,389. | 44,489. | | 9,900. |
| | 17 Interest | | | | |
| | 18 Taxes (attach schedule)(see instrs) See Stm 4 | 2,924. | | | |
| | 19 Depreciation (attach sch) and depletion | | | | |
| | 20 Occupancy | | | | |
| | 21 Travel, conferences, and meetings | 3,309. | | | 3,309. |
| | 22 Printing and publications | | | | |
| | 23 Other expenses (attach schedule) See Statement 5 | 1,990. | 843. | | 1,147. |
| | 24 **Total operating and administrative expenses.** Add lines 13 through 23 | 108,085. | 55,068. | | 50,093. |
| | 25 Contributions, gifts, grants paid Part XV | 167,096. | | | 167,096. |
| | 26 **Total expenses and disbursements.** Add lines 24 and 25 | 275,181. | 55,068. | | 217,189. |
| | 27 Subtract line 26 from line 12: | | | | |
| | a **Excess of revenue over expenses and disbursements** | -32,371. | | | |
| | b **Net investment income** (if negative, enter -0-) | | 187,742. | | |
| | c **Adjusted net income** (if negative, enter -0-) | | | | |

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## Part II Balance Sheets

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

| | | Beginning of year | End of year | |
|---|---|---|---|---|
| | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| **ASSETS** | 1 Cash – non-interest-bearing | 13,153. | 10,103. | 10,103. |
| | 2 Savings and temporary cash investments | 178,075. | 213,196. | 213,196. |
| | 3 Accounts receivable ► 2,178. | | | |
| | Less allowance for doubtful accounts ► | 6,156. | 2,178. | 2,178. |
| | 4 Pledges receivable ► | | | |
| | Less. allowance for doubtful accounts ► | | | |
| | 5 Grants receivable | | | |
| | 6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) | | | |
| | 7 Other notes and loans receivable (attach sch) ► | | | |
| | Less allowance for doubtful accounts ► | | | |
| | 8 Inventories for sale or use | | | |
| | 9 Prepaid expenses and deferred charges | | | |
| | 10a Investments – U S. and state government obligations (attach schedule) Statement 6 | 977,707. | 799,746. | 829,924. |
| | b Investments – corporate stock (attach schedule) Statement 7 | 2,678,889. | 2,798,976. | 3,034,486. |
| | c Investments – corporate bonds (attach schedule) | | | |
| | 11 Investments – land, buildings, and equipment basis ► | | | |
| | Less. accumulated depreciation (attach schedule) ► | | | |
| | 12 Investments – mortgage loans | | | |
| | 13 Investments – other (attach schedule) | | | |
| | 14 Land, buildings, and equipment: basis ► | | | |
| | Less accumulated depreciation (attach schedule) ► | | | |
| | 15 Other assets (describe ► ) | | | |
| | 16 **Total assets** (to be completed by all filers – see the instructions. Also, see page 1, item I) | 3,853,980. | 3,824,199. | 4,089,887. |
| **LIABILITIES** | 17 Accounts payable and accrued expenses | | | |
| | 18 Grants payable | | | |
| | 19 Deferred revenue | | | |
| | 20 Loans from officers, directors, trustees, & other disqualified persons | | | |
| | 21 Mortgages and other notes payable (attach schedule) | | | |
| | 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 ► [X] and complete lines 27 through 31.** | | | |
| | 27 Capital stock, trust principal, or current funds | 3,853,980. | 3,824,199. | |
| | 28 Paid-in or capital surplus, or land, building, and equipment fund | | | |
| | 29 Retained earnings, accumulated income, endowment, or other funds | | | |
| | 30 **Total net assets or fund balances** (see instructions) | 3,853,980. | 3,824,199. | |
| | 31 **Total liabilities and net assets/fund balances** (see instructions) | 3,853,980. | 3,824,199. | |

## 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 | 3,853,980. |
| 2 | Enter amount from Part I, line 27a | 2 | -32,371. |
| 3 | Other increases not included in line 2 (itemize) ► See Statement 8 | 3 | 2,590. |
| 4 | Add lines 1, 2, and 3 | 4 | 3,824,199. |
| 5 | Decreases not included in line 2 (itemize) ► | 5 | |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) – Part II, column (b), line 30 | 6 | 3,824,199. |

## 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 shares MLC Company) | (b) How acquired P — Purchase D — Donation | (c) Date acquired (month, day, year) | (d) Date sold (month, day, year) |
|---|---|---|---|---|
| 1a | Publicly -traded securities | P | Various | Various |
| b | | | | |
| 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 | 1,427,596. | | 1,292,703. | 134,893. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

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

| | (i) Fair Market Value as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of column (i) over column (j), if any | (l) Gains (Column (h) gain minus column (k), but not less than -0 ) or Losses (from column (h)) |
|---|---|---|---|---|
| a | | | | 134,893. |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) — If gain, also enter in Part I, line 7; If (loss), enter -0- in Part I, line 7 | 2 | 134,893. |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8 | 3 | 0. |

## 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 the instructions before making any entries

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (column (b) divided by column (c)) |
|---|---|---|---|
| 2010 | 104,032. | 3,980,118. | 0.026138 |
| 2009 | 113,680. | 3,513,824. | 0.032352 |
| 2008 | 149,167. | 4,118,873. | 0.036215 |
| 2007 | 275,656. | 4,730,152. | 0.058276 |
| 2006 | 257,262. | 4,549,769. | 0.056544 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | 0.209525 |
| 3 | Average distribution ratio for the 5-year base period — divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | 0.041905 |
| 4 | Enter the net value of noncharitable-use assets for 2011 from Part X, line 5 | 4 | 4,213,226. |
| 5 | Multiply line 4 by line 3 | 5 | 176,555. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 1,877. |
| 7 | Add lines 5 and 6 | 7 | 178,432. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 217,189. |

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.

## Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 – see instructions)

| | | | |
|---|---|---|---|
| 1 a 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 instrs) | | | |
| b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ► [X] and enter 1% of Part I, line 27b | | 1 | 1,877. |
| c All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, column (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 | 1,877. |
| 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 | 1,877. |
| 6 Credits/Payments | | | |
| a 2011 estimated tax pmts and 2010 overpayment credited to 2011 | 6a 2,080. | | |
| 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 | 2,080. |
| 8 Enter any **penalty** for underpayment of estimated tax. Check here [X] 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 | 0. |
| 10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid ► | | 10 | 203. |
| 11 Enter the amount of line 10 to be: Credited to 2012 estimated tax ► 203. Refunded ► | | 11 | 0. |

## Part VII-A Statements Regarding Activities

| | | Yes | No |
|---|---|---|---|
| 1 a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| b Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see the instructions for definition)? | 1b | | X |
| *If the answer is 'Yes' to **1a** or **1b**, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.* | | | |
| c Did the foundation file **Form 1120-POL** for this year? | 1c | | 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? | 2 | | X |
| *If 'Yes,' attach a detailed description of the activities.* | | | |
| 3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If 'Yes,' attach a conformed copy of the changes* | 3 | | X |
| 4a Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b If 'Yes,' has it filed a tax return on **Form 990-T** for this year? | 4b | N/A | |
| 5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? | 5 | | X |
| *If 'Yes,' attach the statement required by General Instruction T.* | | | |
| 6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>• By language in the governing instrument, or<br>• By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 Did the foundation have at least $5,000 in assets at any time during the year? *If 'Yes,' complete Part II, column (c), and Part XV* | 7 | X | |
| 8a Enter the states to which the foundation reports or with which it is registered (see instructions) ► NY TX | | | |
| b If the answer is 'Yes' to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If 'No,' attach explanation* | 8b | 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* | 9 | | X |
| 10 Did any persons become substantial contributors during the tax year? *If 'Yes,' attach a schedule listing their names and addresses* | 10 | | X |

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

| | | | Yes | No |
|---|---|---|---|---|
| 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 ► www.catalyst-foundation.org

14 The books are in care of ► Blazek & Vetterling Telephone no ► 713-439-5739

Located at ► 2900 Weslayan, Suite 200 Houston TX ZIP + 4 ► 77027

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** – Check here N/A ► ☐

and enter the amount of tax-exempt interest received or accrued during the year ► 15 N/A

| | | | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 2011, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | X |
| | See the instructions for exceptions and filing requirements for Form TD F 90-22 1 If 'Yes,' enter the name of the foreign country ► | | | |

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

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

| | | | | Yes | No |
|---|---|---|---|---|---|
| 1 a | 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)? | | 1 b | | X |
| | Organizations relying on a current notice regarding disaster assistance check here ► ☐ | | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2011? | | 1 c | | 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? If 'Yes,' list the years ► 20__ , 20__ , 20__ , 20__ . | ☐ Yes ☒ No | | | |
| 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.) | | 2b | N/A | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ► 20__ , 20__ , 20__ , 20__ | | | | |
| 3 a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | ☐ Yes ☒ No | | | |
| b | If 'Yes,' did it have excess business holdings in 2011 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969, **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2011 )* | | 3b | N/A | |
| 4 a | 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 |

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

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

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

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

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

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

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

b If any answer is 'Yes' to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53 4945 or in a current notice regarding disaster assistance (see instructions)? — 5b N/A

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 No: 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 (see instructions).**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| See Statement 9 | | 42,000. | 0. | 0. |
| | | | | |
| | | | | |
| | | | | |

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

| (a) Name and address of each employee paid more than $50,000 | (b) Title, and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| None | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Total number of other employees paid over $50,000 ► 0

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

**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter 'NONE.'**

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| None | | |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ► | | 0 |

## Part IX-A Summary of Direct Charitable Activities

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

## Part IX-B Summary of Program-Related Investments (see instructions)

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2 | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments See instructions<br>3 | |
| **Total.** Add lines 1 through 3 ► | 0. |

**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 | 4,049,493. |
| b Average of monthly cash balances | | 1b | 227,894. |
| c Fair market value of all other assets (see instructions) | | 1c | |
| d **Total** (add lines 1a, b, and c) | | 1d | 4,277,387. |
| 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 | 4,277,387. |
| 4 Cash deemed held for charitable activities Enter 1-1/2% of line 3 (for greater amount, see instructions) | | 4 | 64,161. |
| 5 **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | | 5 | 4,213,226. |
| 6 **Minimum investment return.** Enter 5% of line 5 | | 6 | 210,661. |

**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 | 210,661. |
| 2a Tax on investment income for 2011 from Part VI, line 5 | 2a 1,877. | | |
| b Income tax for 2011 (This does not include the tax from Part VI ) | 2b | | |
| c Add lines 2a and 2b | | 2c | 1,877. |
| 3 Distributable amount before adjustments Subtract line 2c from line 1 | | 3 | 208,784. |
| 4 Recoveries of amounts treated as qualifying distributions | | 4 | 2,590. |
| 5 Add lines 3 and 4. | | 5 | 211,374. |
| 6 Deduction from distributable amount (see instructions) | | 6 | |
| 7 **Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1 | | 7 | 211,374. |

**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 | 217,189. |
| b Program-related investments – total from Part IX-B | 1b | |
| 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 | 217,189. |
| 5 Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b (see instructions) | 5 | 1,877. |
| 6 **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 215,312. |

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

## Part XIII Undistributed Income (see instructions)

| | (a) Corpus | (b) Years prior to 2010 | (c) 2010 | (d) 2011 |
|---|---|---|---|---|
| 1 Distributable amount for 2011 from Part XI, line 7 | | | | 211,374. |
| 2 Undistributed income, if any, as of the end of 2011 | | | | |
| a Enter amount for 2010 only | | | 106,264. | |
| b Total for prior years. 20___, 20___, 20___ | | 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. ► $ 217,189. | | | | |
| a Applied to 2010, but not more than line 2a | | | 106,264. | |
| 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 | | | | 110,925. |
| 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 instructions | | | 0. | |
| f Undistributed income for 2011. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2012 | | | | 100,449. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions) | 0. | | | |
| 8 Excess distributions carryover from 2006 not applied on line 5 or line 7 (see instructions) | 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)

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

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

1 **Information Regarding Foundation Managers:**

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

None

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

None

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

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

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

See Statement 10

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

See Statement for Line 2a

c Any submission deadlines

See Statement for Line 2a

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

See Statement for Line 2a

**Part XV Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| See Statement 11 | | | | |
| **Total** | | | ► 3a | 167,096. |
| **b** *Approved for future payment* | | | | |
| **Total** | | | ► 3b | |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income (See instructions) |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 52. | |
| 4 Dividends and interest from securities | | | 14 | 107,865. | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 134,893. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | | | 242,810. | |

13 **Total.** Add line 12, columns (b), (d), and (e) 13 242,810.

(See worksheet in line 13 instructions to verify calculations )

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

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

## 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

| (a) Line no. | (b) Amount involved | (c) Name of noncharitable exempt organization | (d) Description of transfers, transactions, and sharing arrangements |
|---|---|---|---|
| N/A | | | |

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

Ven Suyanne — 4/29/2012 — President.

Signature of officer or trustee | Date | Title

May the IRS discuss this return with the preparer shown below (see instructions)? ☒ Yes ☐ No

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☒ if self-employed | PTIN |
|---|---|---|---|---|
| Jody Blazek | CPA | 4.26.12 | | P00072674 |

Firm's name ► Blazek & Vetterling — Firm's EIN ► 76-0269860

Firm's address ► 2900 Weslayan, Suite 200, Houston, TX 77027-5132 — Phone no (713) 439-5739

**Statement 1**
**Form 990-PF, Part I, Line 16a**
**Legal Fees**

| | (a) Expenses Per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Assist in non-profit matters | $ 952. | $ 476. | | $ 476. |
| Total | $ 952. | $ 476. | | $ 476. |

**Statement 2**
**Form 990-PF, Part I, Line 16b**
**Accounting Fees**

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Tax compliance | $ 2,521. | $ 1,260. | | $ 1,261. |
| Total | $ 2,521. | $ 1,260. | | $ 1,261. |

**Statement 3**
**Form 990-PF, Part I, Line 16c**
**Other Professional Fees**

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Administrative fees | $ 2,400. | | | $ 2,400. |
| Grant reviewer fees | 7,500. | | | 7,500. |
| Investment management fees | 44,489. | $ 44,489. | | |
| Total | $ 54,389. | $ 44,489. | | $ 9,900. |

**Statement 4**
**Form 990-PF, Part I, Line 18**
**Taxes**

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Excise tax | $ 2,924. | | | |
| Total | $ 2,924. | $ 0. | | $ 0. |

**Statement 5**
**Form 990-PF, Part I, Line 23**
**Other Expenses**

| | (a) Expenses per Books | (b) Net Investment Income | (c) Adjusted Net Income | (d) Charitable Purposes |
|---|---|---|---|---|
| Bank charges | $ 106. | $ 106. | | |
| Insurance | 1,475. | 737. | | $ 738. |
| Office expense | 159. | | | 159. |
| State filing fee | 250. | | | 250. |
| Total | $ 1,990. | $ 843. | | $ 1,147. |

**Statement 6**
**Form 990-PF, Part II, Line 10a**
**Investments - U.S. and State Government Obligations**

| U.S. Government Obligations | Valuation Method | Book Value | Fair Market Value |
|---|---|---|---|
| U.S. Treasury securities | Cost | $ 349,692. | $ 361,372. |
| FNMA Asset-backed securities | Cost | 404,556. | 422,376. |
| U.S. Government bonds | Cost | 45,498. | 46,176. |
| | | $ 799,746. | $ 829,924. |
| | Total | $ 799,746. | $ 829,924. |

**Statement 7**
**Form 990-PF, Part II, Line 10b**
**Investments - Corporate Stocks**

| Corporate Stocks | Valuation Method | Book Value | Fair Market Value |
|---|---|---|---|
| Equities - See attached pgs 1-57 | Cost | $ 2,142,445. | $ 2,307,405. |
| Mutual Funds - See attached pgs 58-59 | Cost | 656,531. | 727,081. |
| | Total | $ 2,798,976. | $ 3,034,486. |

**Statement 8**
**Form 990-PF, Part III, Line 3**
**Other Increases**

| | |
|---|---|
| Returned grants | $ 2,590. |
| Total | $ 2,590. |

**Statement 9**
**Form 990-PF, Part VIII, Line 1**
**List of Officers, Directors, Trustees, and Key Employees**

| Name and Address | Title and Average Hours Per Week Devoted | Compen-sation | Contri-bution to EBP & DC | Expense Account/ Other |
|---|---|---|---|---|
| Ken Suyama<br>220 White Plains Dr, Ste 330<br>Tarrytown, NY 10591 | President<br>2.00 | $ 24,000. | $ 0. | $ 0. |
| Yoshihiko Horio<br>220 White Plains Dr, Ste 330<br>Tarrytown, NY 10591 | Vice Pres.<br>2.00 | 18,000. | 0. | 0. |
| Charles H. Still<br>220 White Plains Dr, Ste 330<br>Tarrytown, NY 10591 | Secretary<br>1.00 | 0. | 0. | 0. |
| Hatsumi Suyama<br>220 White Plains Dr, Ste 330<br>Tarrytown, NY 10591 | Treasurer<br>1.00 | 0. | 0. | 0. |
| Shigeko Woolfalk<br>220 White Plains Dr, Ste 330<br>Tarrytown, NY 10591 | Director<br>1.00 | 0. | 0. | 0. |
| | Total | $ 42,000. | $ 0. | $ 0. |

**Statement 10**
**Form 990-PF, Part XV, Line 2a-d**
**Application Submission Information**

Name of Grant Program: Research projects
See website: www.catalyst-foundation.org
for more information.

**Statement 11**
**Form 990-PF, Part XV, Line 3a**
**Recipient Paid During the Year**

| Name and Address | Donee Relationship | Foundation Status | Purpose of Grant | Amount |
|---|---|---|---|---|
| Oregon State University<br>220 Dept/Elec & Comp Eng.<br>Corvallis, OR 97331 | N/A | Govt | Research grant - Multiplexed Incremental Data Converters for EEG Monitoring and Recording | $ 80,518. |
| GeoHazards International<br>200 Town & Country Village<br>Palo Alto, CA 94301 | N/A | 509(a)(1) | Satoru Oya Memorial Fund and General Support | 5,000. |
| Tufts University<br>136 Harrison Avenue<br>Boston, MA 02111 | N/A | School | Research grant - Mixed-Signal VLSI Interface for High Aspect Ratio Optical/Electrochemical Hybrid Sensor Array | 15,000. |
| Regents of the University of Michigan<br>3003 S. State Street G395<br>Ann Arbor, MI 48109 | N/A | 509(a)(1) | Research grant - Brain stimulation for treatment of Parkinson's Disease | 51,578. |
| Regents of the University of Michigan<br>3003 S. State Street G395<br>Ann Arbor, MI 48109 | N/A | 509(a)(1) | In honor of Professor Michael Flynn | 15,000. |
| | | | Total | $ 167,096. |

[redacted]

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities 57.00% of Portfolio** | | | | | | | | |
| **Common Stocks** | | | | | | | | |
| **ABBOTT LABS COM** | | | *Security Identifier* ABT | | | | | |
| CUSIP: 002824100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA: 3 | | | | | | | | |
| 258 000 | 12/09/09* | 53.5780 | 13,823 13 | 56.2300 | 14,507.34 | 684.21 | 495.36 | 3 41% |
| **ABM INDUSTRIES INC** | | | *Security Identifier*: ABM | | | | | |
| CUSIP. 000957100 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 40 000 | 03/18/11 | 24.5900 | 983.60 | 20.6200 | 824.80 | -158 80 | 22 40 | 2 71% |
| **ACE LIMITED SHS** | | | *Security Identifier*: ACE | | | | | |
| ISIN#CH0044328745 | | | | | | | | |
| CUSIP. H0023R105 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings CITI-CIRA: 1M | | | | | | | | |
| 198 000 | 11/23/11 | 65 4790 | 12,964 86 | 70.1200 | 13,883.76 | 918.90 | 277.20 | 1.99% |
| **ACTUANT CORP CL A NEW** | | | *Security Identifier*: ATU | | | | | |
| CUSIP: 00508X203 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings. CITI-CIRA. 1 | | | | | | | | |
| 62.000 | 06/16/11 | 24 0280 | 1,489 74 | 22 6900 | 1,406.78 | -82 96 | 2.48 | 0.17% |
| **AEGION CORP COM** | | | *Security Identifier* AEGN | | | | | |
| CUSIP 00770F104 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 95.000 | 03/18/11 | 26.0820 | 2,477.79 | 15.3400 | 1,457.30 | -1,020 49 | | |

C0C00021CSF841B: CPWM STMT go paperless #1 Brokerage Statement. 2009, 2010 DALBAR RATED Accounts carried by Pershing LLC, member FINRA NYSE SIPC.

Citi Personal Wealth Management

citi

[redacted]

East Coast Capital Advisors

**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **AERCAP HOLDING N V SHS** | | | *Security Identifier:* AER | | | | | |
| CUSIP. N00985106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA. 1 | | | | | | | | |
| 317 000 | 05/03/10* | 14.2120 | 4,505.30 | 11.2900 | 3,578.93 | -926.37 | | |
| 223.000 | 05/04/10* | 14.0110 | 3,124.50 | 11.2900 | 2,517 67 | -606 83 | | |
| 80.000 | 03/25/11 | 13.2800 | 1,062.40 | 11.2900 | 903.20 | -159.20 | | |
| **620.000** | **Total** | | **$8,692.20** | | **$6,999.80** | **-$1,692.40** | **$0.00** | |
| **AEROPOSTALE COM** | | | *Security Identifier* ARO | | | | | |
| CUSIP: 007865108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2M | | | | | | | | |
| 37 000 | 06/07/11 | 17.4700 | 646.39 | 15.2500 | 564.25 | -82.14 | | |
| **AFFILIATED MANAGERS GROUP INC COM** | | | *Security Identifier* AMG | | | | | |
| CUSIP: 008252108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings CITI-CIRA: 1 | | | | | | | | |
| 57.000 | 12/09/09* | 63 6900 | 3,630.33 | 95 9500 | 5,469 15 | 1,838.82 | | |
| 18.000 | 09/02/10* | 68 8700 | 1,239.66 | 95.9500 | 1,727.10 | 487.44 | | |
| 19 000 | 03/18/11 | 100 1600 | 1,903.04 | 95 9500 | 1,823 05 | -79 99 | | |
| **94.000** | **Total** | | **$6,773.03** | | **$9,019.30** | **$2,246.27** | **$0.00** | |
| **AFLAC INC COM** | | | *Security Identifier* AFL | | | | | |
| CUSIP: 001055102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2H | | | | | | | | |
| 192.000 | 09/27/10* | 52.0450 | 9,992.68 | 43.2600 | 8,305.92 | -1,686 76 | 253 44 | 3 05% |
| 133 000 | 12/20/10* | 55.8400 | 7,426 72 | 43.2600 | 5,753.58 | -1,673.14 | 175.56 | 3 05% |
| **325.000** | **Total** | | **$17,419.40** | | **$14,059.50** | **-$3,359.90** | **$429.00** | |

[redacted]

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **AGCO CORP DEL COM** | | | *Security Identifier* AGCO | | | | | |
| CUSIP: 001084102 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 33.000 | 12/09/09* | 30 8300 | [3]1,017 39 | 42.9700 | 1,418 01 | 400.62 | | |
| 42.000 | 09/02/10* | 35.6340 | [3]1,496.62 | 42.9700 | 1,804 74 | 308.12 | | |
| 6.000 | 03/25/11 | 54 4600 | 326.76 | 42 9700 | 257.82 | -68 94 | | |
| **81.000** | **Total** | | **$2,840.77** | | **$3,480.57** | **$639.80** | **$0.00** | |
| **AIRGAS INC** | | | *Security Identifier* ARG | | | | | |
| CUSIP: 009363102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 80.000 | 12/09/09* | 47.7170 | [3]3,817.35 | 78 0800 | 6,246.40 | 2,429 05 | 102.40 | 1 63% |
| **ALBEMARLE CORP** | | | *Security Identifier:* ALB | | | | | |
| CUSIP: 012653101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA. 1 | | | | | | | | |
| 9.000 | 12/09/09* | 35.1820 | [3]316 64 | 51.5100 | 463.59 | 146 95 | 6.30 | 1.35% |
| 211.000 | 02/07/11 | 58.0830 | [3]12,255 41 | 51.5100 | 10,868.61 | -1,386 80 | 147.70 | 1.35% |
| **220.000** | **Total** | | **$12,572.05** | | **$11,332.20** | **-$1,239.85** | **$154.00** | |
| **ALLEGHENY TECHNOLOGIES INC COM** | | | *Security Identifier* ATI | | | | | |
| CUSIP: 01741R102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA: 2 | | | | | | | | |
| 23.000 | 03/18/11 | 61.2400 | 1,408.52 | 47.8000 | 1,099 40 | -309.12 | 16.56 | 1.50% |
| **ALLIED WORLD ASSURANCE COMPANY** | | | *Security Identifier* AWH | | | | | |
| HOLDINGS AG SHS | | | | | | | | |
| CUSIP: H01531104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 74 000 | 10/31/07* | 47 9270 | [3]3,546.59 | 62 9300 | 4,656.82 | 1,110.23 | 111 00 | 2.38% |
| 59 000 | 12/09/09* | 46.1700 | [3]2,724 03 | 62.9300 | 3,712.87 | 988 84 | 88.50 | 2.38% |
| **133.000** | **Total** | | **$6,270.62** | | **$8,369.69** | **$2,099.07** | **$199.50** | |
| **ALTERRA CAP HLDGS LTD COM** | | | *Security Identifier* ALTE | | | | | |
| ISIN#BMG0229R1088 | | | | | | | | |
| CUSIP: G0229R108 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 48 000 | 03/18/11 | 21 6700 | 1,040.16 | 23.6300 | 1,134.24 | 94.08 | 26.88 | 2.36% |

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**Investment**
**Account Statement**

**Statement Period: 12/01/2011 - 12/31/2011**

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **AMERICA MOVIL SAB DE C V SPONSORED ADR** REPSTG SER L SHS ISIN#US02364W1053 CUSIP: 02364W105 Dividend Option: Cash Ratings: CITI-CIRA: 1 | | | *Security Identifier:* AMX | | | | | |
| 294.000 | 12/09/09* | 23.5230 | $6,915.83 | 22.6000 | 6,644.40 | -271.43 | 84.00 | 1.26% |
| **AMERICAN EAGLE OUTFITTERS INC NEW COM** CUSIP: 02553E106 Dividend Option: Cash Ratings: CITI-CIRA: 1M | | | *Security Identifier:* AEO | | | | | |
| 85.000 | 03/18/11 | 14.8700 | 1,263.95 | 15.2900 | 1,299.65 | 35.70 | 37.40 | 2.87% |
| 33.000 | 05/25/11 | 13.0500 | 430.65 | 15.2900 | 504.57 | 73.92 | 14.52 | 2.87% |
| **118.000** | **Total** | | **$1,694.60** | | **$1,804.22** | **$109.62** | **$51.92** | |
| **AMERIPRISE FINL INC COM** CUSIP: 03076C106 Dividend Option: Cash Ratings: CITI-CIRA: 2 | | | *Security Identifier:* AMP | | | | | |
| 224.000 | 11/09/10* | 54.0750 | $12,112.85 | 49.6400 | 11,119.36 | -993.49 | 250.88 | 2.25% |
| 31.000 | 08/04/11 | 57.8000 | 1,791.79 | 49.6400 | 1,538.84 | -252.95 | 34.72 | 2.25% |
| 279 day(s) added to your holding period as a result of a wash sale. | | | | | | | | |
| 117.000 | 08/04/11 | 49.2240 | 5,759.17 | 49.6400 | 5,807.88 | 48.71 | 131.04 | 2.25% |
| **372.000** | **Total** | | **$19,663.81** | | **$18,466.08** | **-$1,197.73** | **$416.64** | |
| **AMSURG CORP COM** CUSIP: 03232P405 Dividend Option: Cash Ratings: CITI-CIRA 1 | | | *Security Identifier:* AMSG | | | | | |
| 23.000 | 03/18/11 | 25.1200 | 577.76 | 26.0400 | 598.92 | 21.16 | | |
| **ANALOG DEVICES INC** CUSIP: 032654105 Dividend Option: Cash Ratings: CITI-CIRA: 1 | | | *Security Identifier:* ADI | | | | | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **ANALOG DEVICES INC** *(continued)* | | | | | | | | |
| 429.000 | 12/09/09* | 30 4160 | 313,048 51 | 35.7800 | 15,349 62 | 2,301 11 | 429.00 | 2.79% |
| **APACHE CORP** | | | *Security Identifier* APA | | | | | |
| CUSIP. 037411105 | | | | | | | | |
| Dividend Option· Cash | | | | | | | | |
| Ratings. CITI-CIRA. 1 | | | | | | | | |
| 31 000 | 06/23/11 | 115.9050 | 3,593.04 | 90.5800 | 2,807.98 | -785 06 | 18 60 | 0 66% |
| **ARROW ELECTRS INC COM** | | | *Security Identifier* ARW | | | | | |
| CUSIP: 042735100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings· CITI-CIRA. 1 | | | | | | | | |
| 93 000 | 03/18/11 | 39.5530 | 3,678 41 | 37 4100 | 3,479 13 | -199.28 | | |
| 26 000 | 08/18/11 | 30 4000 | 790.40 | 37.4100 | 972.66 | 182.26 | | |
| **119.000** | **Total** | | **$4,468.81** | | **$4,451.79** | **-$17.02** | **$0.00** | |
| **ASBURY AUTOMOTIVE GROUP INC COM** | | | *Security Identifier:* ABG | | | | | |
| CUSIP: 043436104 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 81 000 | 03/18/11 | 17.5680 | 1,422 97 | 21.5600 | 1,746.36 | 323.39 | | |
| **ASCENA RETAIL GROUP INC COM** | | | *Security Identifier:* ASNA | | | | | |
| CUSIP: 04351G101 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 80 000 | 03/18/11 | 30.3100 | 2,424.80 | 29.7200 | 2,377 60 | -47.20 | | |
| **ASHLAND INC NEW COM** | | | *Security Identifier:* ASH | | | | | |
| CUSIP: 044209104 | | | | | | | | |
| Dividend Option· Cash | | | | | | | | |
| 17.000 | 03/18/11 | 57.3800 | 975.46 | 57.1600 | 971.72 | -3.74 | 11.90 | 1.22% |
| **ASML HOLDING N V HOLDING N V NY** | | | *Security Identifier* ASML | | | | | |
| REGISTERED SHS | | | | | | | | |
| CUSIP: N07059186 | | | | | | | | |
| Dividend Option· Cash | | | | | | | | |
| 190 000 | 03/09/11 | 43.0950 | 8,188 00 | 41.7900 | 7,940.10 | -247.90 | 94 45 | 1.18% |
| **ASSURANT INC COM ISIN#US04621X1081** | | | *Security Identifier:* AIZ | | | | | |
| CUSIP: 04621X108 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 23 000 | 03/18/11 | 39.1500 | 900.45 | 41.0600 | 944.38 | 43.93 | 16.56 | 1.75% |
| **ASTRAZENECA PLC SPONSORED ADR** | | | *Security Identifier* AZN | | | | | |
| CUSIP: 046353108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 158 000 | 12/09/09* | 45.3580 | 37,166 63 | 46.2900 | 7,313.82 | 147.19 | 426 60 | 5 83% |

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East Coast Capital Advisors

**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **ASTRAZENECA PLC SPONSORED ADR** *(continued)* | | | | | | | | |
| 20.000 | 03/25/11 | 46.2600 | 925.20 | 46.2900 | 925.80 | 0.60 | | |
| **178.000** | **Total** | | **$8,091.83** | | **$8,239.62** | **$147.79** | 54.00 | 5.83% |
| | | | | | | | **$480.60** | |
| **AT&T INC COM** | | *Security Identifier: T* | | | | | | |
| CUSIP: 00206R102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 568.000 | 12/09/09* | 27.4460 | [3]15,589.33 | 30.2400 | 17,176.32 | 1,586.99 | 976.96 | 5.68% |
| 58.000 | 07/09/10* | 24.6990 | [3]1,432.57 | 30.2400 | 1,753.92 | 321.35 | 99.76 | 5.68% |
| **626.000** | **Total** | | **$17,021.90** | | **$18,930.24** | **$1,908.34** | **$1,076.72** | |
| **ATWOOD OCEANICS INC** | | *Security Identifier: ATW* | | | | | | |
| CUSIP: 050095108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 94.000 | 05/06/10* | 31.7990 | [3]2,989.11 | 39.7900 | 3,740.26 | 751.15 | | |
| **AUTOLIV INC COM** | | *Security Identifier: ALV* | | | | | | |
| CUSIP: 052800109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 6.000 | 12/09/09* | 40.6200 | [3]243.72 | 53.4900 | 320.94 | 77.22 | 10.80 | 3.36% |
| 107.000 | 11/03/10* | 72.0390 | [3]7,708.21 | 53.4900 | 5,723.43 | -1,984.78 | 192.60 | 3.36% |
| 11.000 | 08/04/11 | 57.0200 | 627.22 | 53.4900 | 588.39 | -38.83 | 19.80 | 3.36% |
| **124.000** | **Total** | | **$8,579.15** | | **$6,632.76** | **-$1,946.39** | **$223.20** | |
| **AUTOMATIC DATA PROCESSING INC COM** | | *Security Identifier: ADP* | | | | | | |
| CUSIP: 053015103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 236.000 | 12/09/09* | 43.1180 | [3]10,175.84 | 54.0100 | 12,746.36 | 2,570.52 | 372.88 | 2.92% |
| 273.000 | 01/06/11 | 47.5380 | [3]12,977.74 | 54.0100 | 14,744.73 | 1,766.99 | 431.34 | 2.92% |
| **509.000** | **Total** | | **$23,153.58** | | **$27,491.09** | **$4,337.51** | **$804.22** | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **AVNET INC COM** | | | *Security Identifier* AVT | | | | | |
| CUSIP: 053807103 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings: CITI-CIRA. 1 | | | | | | | | |
| 61 000 | 03/18/11 | 32.1100 | 1,958 71 | 31.0900 | 1,896.49 | -62.22 | | |
| 37 000 | 06/03/11 | 33.2600 | 1,230 62 | 31 0900 | 1,150.33 | -80.29 | | |
| **98.000** | **Total** | | **$3,189.33** | | **$3,046.82** | **-$142.51** | **$0.00** | |
| **AXIS CAPITAL HLDGS LTD SHS** | | | *Security Identifier* AXS | | | | | |
| ISIN#BMG0692U1099 | | | | | | | | |
| CUSIP: G0692U109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 35 000 | 07/20/11 | 31.2500 | 1,093 75 | 31.9600 | 1,118 60 | 24 85 | 33.60 | 3.00% |
| **BAE SYS PLC SPONSORED ADR** | | | *Security Identifier:* BAESY | | | | | |
| ISIN#US05523R1077 | | | | | | | | |
| CUSIP: 05523R107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 326.000 | 12/09/09* | 22 0700 | 7,194 82 | 17.7230 | 5,777.70 | -1,417.12 | 364.45 | 6.30% |
| 68 000 | 03/25/11 | 20 8100 | 1,415.08 | 17.7230 | 1,205.16 | -209.92 | 76 02 | 6.30% |
| **394.000** | **Total** | | **$8,609.90** | | **$6,982.86** | **-$1,627.04** | **$440.47** | |
| **BAIDU COM INC SPONS ADR REPSTG ORD SHS** | | | *Security Identifier* BIDU | | | | | |
| CL A | | | | | | | | |
| CUSIP: 056752108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 50 000 | 08/30/11 | 148.7920 | 7,439.62 | 116.4700 | 5,823 50 | -1,616 12 | | |
| **BASF SE SPONS ADR** | | | *Security Identifier:* BASFY | | | | | |
| ISIN#US0552625057 | | | | | | | | |
| CUSIP: 055262505 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 99.000 | 12/09/09* | 61.3900 | 6,077 61 | 69.9570 | 6,925 74 | 848 13 | 226.95 | 3.27% |
| **BAXTER INTL INC COM** | | | *Security Identifier:* BAX | | | | | |
| CUSIP: 071813109 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings: CITI-CIRA. 3 | | | | | | | | |
| 134 000 | 11/23/11 | 48.1920 | 6,457.68 | 49.4800 | 6,630.32 | 172.64 | 179.56 | 2 70% |
| **BAYER AG SPONSORED ADR** | | | *Security Identifier* BAYRY | | | | | |
| CUSIP: 072730302 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 101.000 | 06/09/11 | 81.1200 | 8,193 12 | 64.1280 | 6,476.93 | -1,716.19 | 162 66 | 2.51% |

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**Investment Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **BEACON ROOFING SUPPLY INC COM**<br>CUSIP: 073685109<br>Dividend Option: Cash | | | *Security Identifier:* BECN | | | | | |
| 50.000 | 03/18/11 | 20.1700 | 1,008.50 | 20.2300 | 1,011.50 | 3.00 | | |
| **BECTON DICKINSON & CO**<br>CUSIP: 075887109<br>Dividend Option: Cash<br>Ratings: CITI-CIRA: 2 | | | *Security Identifier:* BDX | | | | | |
| 199.000 | 12/09/09* | 76.8370 | [1]15,290.66 | 74.7200 | 14,869.28 | -421.38 | 358.20 | 2.40% |
| **BELDEN INC NEW COM**<br>CUSIP: 077454106<br>Dividend Option: Cash | | | *Security Identifier:* BDC | | | | | |
| 32.000 | 03/18/11 | 35.5600 | 1,137.92 | 33.2800 | 1,064.96 | -72.96 | 6.40 | 0.60% |
| **BERKSHIRE HATHAWAY INC DEL CL B NEW**<br>CUSIP: 084670702<br>Dividend Option: Cash | | | *Security Identifier:* BRK B | | | | | |
| 265.000 | 12/09/09* | 65.8000 | [1]17,437.00 | 76.3000 | 20,219.50 | 2,782.50 | | |
| **BIOMARIN PHARMACEUTICALS INC**<br>CUSIP: 09061G101<br>Dividend Option: Cash<br>Ratings: CITI-CIRA: 1 | | | *Security Identifier:* BMRN | | | | | |
| 175.000 | 12/09/09* | 16.8980 | [1]2,957.20 | 34.3800 | 6,016.50 | 3,059.30 | | |
| **BRADY CORPORATION CL A**<br>CUSIP: 104674106<br>Dividend Option: Cash | | | *Security Identifier:* BRC | | | | | |
| 45.000 | 03/18/11 | 35.3600 | 1,591.20 | 31.5700 | 1,420.65 | -170.55 | 33.30 | 2.34% |
| **BRINKS CO COM**<br>CUSIP: 109696104<br>Dividend Option: Cash | | | *Security Identifier:* BCO | | | | | |
| 50.000 | 04/08/09* | 28.9700 | [1]1,448.50 | 26.8800 | 1,344.00 | -104.50 | 20.00 | 1.48% |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **BRISTOW GROUP INC COM** | | | *Security Identifier* BRS | | | | | |
| CUSIP 110394103 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 30 000 | 03/18/11 | 46.7000 | 1,401.00 | 47 3900 | 1,421.70 | 20 70 | 18 00 | 1.26% |
| **BUNZL PLC SPONS ADR NEW** | | | *Security Identifier* BZLFY | | | | | |
| CUSIP: 120738406 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 93 000 | 12/02/11 | 67 0000 | 6,231 00 | 68 6910 | 6,388.26 | 157.26 | 175 72 | 2 75% |
| **CALLAWAY GOLF CO COM** | | | *Security Identifier* ELY | | | | | |
| CUSIP 131193104 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 69.000 | 03/18/11 | 6 7600 | 466.44 | 5.5300 | 381.57 | -84.87 | 2.76 | 0 72% |
| **CANADIAN NATL RY CO COM** | | | *Security Identifier* CNI | | | | | |
| ISIN#CA1363751027 | | | | | | | | |
| CUSIP. 136375102 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings CITI-CIRA: 2 | | | | | | | | |
| 107.000 | 07/20/11 | 78.0900 | 8,355 62 | 78.5600 | 8,405 92 | 50.30 | 136.65 | |
| **CATALYST HEALTH SOLUTIONS INC COM** | | | *Security Identifier* CHSI | | | | | |
| CUSIP 14888B103 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings CITI-CIRA: 1 | | | | | | | | |
| 40 000 | 01/07/10* | 36.6500 | 31,465.99 | 52.0000 | 2,080 00 | 614.01 | | |
| 44 000 | 03/26/10* | 42.5500 | 31,872.20 | 52 0000 | 2,288 00 | 415 80 | | |
| **84.000** | **Total** | | **$3,338.19** | | **$4,368.00** | **$1,029.81** | **$0.00** | |
| **CATERPILLAR INC** | | | *Security Identifier* CAT | | | | | |
| CUSIP: 149123101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings CITI-CIRA: 2 | | | | | | | | |
| 15.000 | 06/21/10* | 66.5380 | 3998.07 | 90.6000 | 1,359.00 | 360 93 | 27.60 | 2 03% |
| 161.000 | 07/12/10* | 64.4500 | 310,376.45 | 90.6000 | 14,586 60 | 4,210 15 | 296.24 | 2.03% |
| **176.000** | **Total** | | **$11,374.52** | | **$15,945.60** | **$4,571.08** | **$323.84** | |
| **CATO CORP NEW CL A** | | | *Security Identifier* CATO | | | | | |
| CUSIP: 149205106 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 26.000 | 05/27/11 | 26.2500 | 682.50 | 24.2000 | 629.20 | -53.30 | 23.92 | 3 80% |

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **CELANESE CORP DEL COM SER A** | | | *Security Identifier:* CE | | | | | |
| CUSIP: 150870103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 131.000 | 03/07/11 | 41.1250 | 5,387.44 | 44.2700 | 5,799.37 | 411.93 | 31.44 | 0.54% |
| 53.000 | 03/10/11 | 39.8260 | 2,110.78 | 44.2700 | 2,346.31 | 235.53 | 12.72 | 0.54% |
| **184.000** | **Total** | | **$7,498.22** | | **$8,145.68** | **$647.46** | **$44.16** | |
| **CENTENE CORP DEL COM** | | | *Security Identifier:* CNC | | | | | |
| CUSIP: 15135B101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 34.000 | 03/18/11 | 29.7300 | 1,010.82 | 39.5900 | 1,346.06 | 335.24 | | |
| **CERNER CORP** | | | *Security Identifier:* CERN | | | | | |
| CUSIP: 156782104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 56.000 | 03/31/11 | 55.6450 | 3,116.12 | 61.2500 | 3,430.00 | 313.88 | | |
| 13.000 | 10/27/11 | 64.0400 | 832.52 | 61.2500 | 796.25 | -36.27 | | |
| **69.000** | **Total** | | **$3,948.64** | | **$4,226.25** | **$277.61** | **$0.00** | |
| **CGI GROUP INC** | | | *Security Identifier:* GIB | | | | | |
| CUSIP: 39945C109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 394.000 | 06/08/10* | 15.5010 | 6,107.23 | 18.8500 | 7,426.90 | 1,319.67 | | |
| **CHARMING SHOPPES INC COM** | | | *Security Identifier:* CHRS | | | | | |
| CUSIP: 161133103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 132.000 | 03/18/11 | 3.0080 | 397.06 | 4.9000 | 646.80 | 249.74 | | |
| **CHECK POINT SOFTWARE TECHNOLOGIES LTD SHS** | | | *Security Identifier:* CHKP | | | | | |
| ISIN#IL0010824113 | | | | | | | | |
| CUSIP: M22465104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |

[redacted]

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **CHECK POINT SOFTWARE TECHNOLOGIES LTD SHS** *(continued)* | | | | | | | | |
| 243.000 | 12/09/09* | 33.2050 | [3]8,068.84 | 52.5400 | 12,767.22 | 4,698.38 | | |
| **CHICAGO BRIDGE & IRON CO N V** | | | *Security Identifier:* CBI | | | | | |
| ISIN#US1672501095 | | | | | | | | |
| CUSIP: 167250109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1H | | | | | | | | |
| 204.000 | 02/04/10* | 20.9000 | [3]4,263.60 | 37.8000 | 7,711.20 | 3,447.60 | 40.80 | 0.52% |
| **CHILDRENS PLACE RETAIL STORES INC** | | | *Security Identifier:* PLCE | | | | | |
| CUSIP: 168905107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 26.000 | 12/09/09* | 27.5600 | [3]716.56 | 53.1200 | 1,381.12 | 664.56 | | |
| 10.000 | 08/18/11 | 40.4400 | 404.40 | 53.1200 | 531.20 | 126.80 | | |
| **36.000** | **Total** | | **$1,120.96** | | **$1,912.32** | **$791.36** | **$0.00** | |
| **CHINA MOBILE LTD SPON ADR S A** | | | *Security Identifier:* CHL | | | | | |
| ISIN#US16941M099 | | | | | | | | |
| CUSIP: 16941M109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 154.000 | 12/09/09* | 46.5080 | [3]7,162.28 | 48.4900 | 7,467.46 | 305.18 | 282.80 | 3.78% |
| 27.000 | 03/25/11 | 45.3400 | 1,224.18 | 48.4900 | 1,309.23 | 85.05 | 49.58 | 3.78% |
| **181.000** | **Total** | | **$8,386.46** | | **$8,776.69** | **$390.23** | **$332.38** | |
| **CHINA PETE & CHEM CORP SPONSORED ADR** | | | *Security Identifier:* SNP | | | | | |
| REPSTG H SHS | | | | | | | | |
| CUSIP: 16941R108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 81.000 | 12/03/10* | 93.8570 | [3]7,602.40 | 105.0500 | 8,509.05 | 906.65 | 256.20 | 3.01% |
| **CHINA SOUTHN AIRLS LTD SPON ADR REP 50** | | | *Security Identifier:* ZNH | | | | | |
| SHS CL H | | | | | | | | |
| CUSIP: 169409109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 223.000 | 12/21/11 | 25.5520 | 5,698.05 | 25.4500 | 5,675.35 | -22.70 | | |
| **CHURCH & DWIGHT CO INC** | | | *Security Identifier:* CHD | | | | | |
| CUSIP: 171340102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 132.000 | 12/09/09* | 30.4580 | [3]4,020.45 | 45.7600 | 6,040.32 | 2,019.87 | 89.76 | 1.48% |
| **CINEMARK HOLDINGS INC COM** | | | *Security Identifier:* CNK | | | | | |
| CUSIP: 17243V102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 185.000 | 08/31/10* | 14.5660 | [3]2,694.62 | 18.4900 | 3,420.65 | 726.03 | 155.40 | 4.54% |

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#1 Brokerage Statement, 2009, 2010 DALBAR RATED FOR COMMUNICATION

Accounts carried by Pershing LLC, member FINRA, NYSE, SIPC.

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **CINEMARK HOLDINGS INC COM** *(continued)* | | | | | | | | |
| 65.000 | 05/13/11 | 20.5380 | 1,334.97 | 18 4900 | 1,201.85 | -133.12 | 54 60 | 4 54% |
| **250.000** | **Total** | | **$4,029.59** | | **$4,622.50** | **$592.91** | **$210.00** | |
| **CISCO SYSTEMS INC** | | | *Security Identifier:* CSCO | | | | | |
| CUSIP: 17275R102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 319.000 | 04/24/07* | 26.3150 | $8,394.33 | 18.0800 | 5,767.52 | -2,626 81 | 76.56 | 1.32% |
| 467.000 | 12/09/09* | 23.8800 | $11,151.87 | 18 0800 | 8,443.36 | -2,708.51 | 112.08 | 1.32% |
| 266.000 | 12/01/10* | 19.3590 | $5,149.57 | 18.0800 | 4,809.28 | -340.29 | 63 84 | 1.32% |
| 7.000 | 12/07/10* | 19.6760 | $137 73 | 18.0800 | 126.56 | -11.17 | 1.68 | 1.32% |
| 1·000 | 12/22/10* | 19.5300 | $19.53 | 18.0800 | 18.08 | -1.45 | 0.24 | 1.32% |
| **1,060.000** | **Total** | | **$24,853.03** | | **$19,164.80** | **-$5,688.23** | **$254.40** | |
| **CNOOC LTD SPONSORED ADR** | | | *Security Identifier:* CEO | | | | | |
| ISIN#US1261321095 | | | | | | | | |
| CUSIP: 126132109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 34 000 | 12/09/09* | 153.8500 | $5,230 90 | 174.6800 | 5,939.12 | 708.22 | 196.46 | 3.30% |
| **COGNIZANT TECHNOLOGY SOLUTIONS CORP CL A** | | | *Security Identifier:* CTSH | | | | | |
| CUSIP: 192446102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 94.000 | 12/09/09* | 44.0080 | $4,136.75 | 64.3100 | 6,045.14 | 1,908.39 | | |
| **COLUMBIA BKG SYS INC COM** | | | *Security Identifier:* COLB | | | | | |
| CUSIP: 197236102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 27 000 | 03/18/11 | 18.6600 | 503 82 | 19.2700 | 520.29 | 16.47 | 8 64 | 1.66% |
| **COMCAST CORP NEW CL A SPL** | | | *Security Identifier:* CMCSK | | | | | |
| CUSIP: 20030N200 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 5.000 | 04/24/07* | 27.0360 | $135.18 | 23.5600 | 117.80 | -17.38 | 2.25 | 1.91% |
| 800 000 | 02/14/08* | 18 8890 | $15,111.20 | 23.5600 | 18,848 00 | 3,736 80 | 360 00 | 1.91% |
| **805.000** | **Total** | | **$15,246.38** | | **$18,965.80** | **$3,719.42** | **$362.25** | |

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# Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **COMERICA INC COM** | | | *Security Identifier:* CMA | | | | | |
| CUSIP· 200340107 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings. CITI-CIRA. 2 | | | | | | | | |
| 33 000 | 07/20/11 | 32 9700 | 1,088 01 | 25 8000 | 851 40 | -236 61 | 13.20 | 1.55% |
| **COMMERCE BANCSHARES** | | | *Security Identifier:* CBSH | | | | | |
| CUSIP. 200525103 | | | | | | | | |
| Dividend Option· Cash | | | | | | | | |
| 367 000 | 12/20/10* | 37.7550 | 313,856 00 | 38 1200 | 13,990 04 | 134 04 | 337 64 | 2 41% |
| **COMPANHIA DE BEBIDAS DAS AMERS AMBEV** | | | *Security Identifier:* ABV | | | | | |
| SPONSORED ADR REPSTG PFD SHS | | | | | | | | |
| CUSIP: 20441W203 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings· CITI-CIRA. 1 | | | | | | | | |
| 220 000 | 12/09/09* | 19 4320 | 34,274.93 | 36 0900 | 7,939 80 | -3,664.87 | 169 42 | 2.13% |
| **COMPANHIA ENERGÉTICA DE MINAS GERAIS ADR** | | | *Security Identifier* CIG | | | | | |
| ISIN#US2044096012 | | | | | | | | |
| CUSIP: 204409601 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 418 000 | 07/20/11 | 19.9690 | 8,346 97 | 17 7900 | 7,436.22 | -910 75 | 393 52 | 5.29% |
| **COMPANHIA PARANAESE DE ENERGIA COPEL** | | | *Security Identifier:* ELP | | | | | |
| SPONSORED ADR REPSTG PFD SHS | | | | | | | | |
| ISIN#US20441B4077 | | | | | | | | |
| CUSIP: 20441B407 | | | | | | | | |
| Dividend Option· Cash | | | | | | | | |
| 305 000 | 09/22/10* | 22.9020 | 36,985 08 | 20.9800 | 6,398 90 | -586 18 | 57 99 | 0.90% |
| **COMPLETE PRODTN SVCS INC COM** | | | *Security Identifier:* CPX | | | | | |
| CUSIP· 20453E109 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 125 000 | 08/25/11 | 27.2300 | 3,403.74 | 33.5600 | 4,195 00 | 791 26 | | |
| **CONOCOPHILLIPS COM** | | | *Security Identifier* COP | | | | | |
| CUSIP: 20825C104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2H | | | | | | | | |
| 181 000 | 04/11/11 | 80.9900 | 14,659.19 | 72.8700 | 13,189.47 | -1,469 72 | 477 84 | 3 62% |
| **COOPER COS INC COM NEW** | | | *Security Identifier:* COO | | | | | |
| CUSIP: 216648402 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 58.000 | 09/30/11 | 80.2900 | 4,656.81 | 70.5200 | 4,090.16 | -566 65 | 3 48 | 0.08% |

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **CORE LABORATORIES NV** | | | *Security Identifier* CLB | | | | | |
| CUSIP: N22717107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 38.000 | 12/09/09* | 54.2950 | [1]2,063.21 | 113.9500 | 4,330.10 | 2,266.89 | 38.00 | 0.87% |
| **COVANTA HLDG CORP COM** | | | *Security Identifier* CVA | | | | | |
| CUSIP: 22282E102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 58.000 | 03/18/11 | 16.7500 | 971.50 | 13.6900 | 794.02 | -177.48 | 17.40 | 2.19% |
| **CROWN HLDGS INC COM** | | | *Security Identifier* CCK | | | | | |
| CUSIP: 228368106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 178.000 | 12/09/09* | 25.5590 | [1]4,549.42 | 33.5800 | 5,977.24 | 1,427.82 | | |
| **CULLEN FROST BANKERS** | | | *Security Identifier* CFR | | | | | |
| CUSIP: 229899109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 254.000 | 12/15/09* | 49.2000 | [1]12,496.90 | 52.9100 | 13,439.14 | 942.24 | 467.36 | 3.47% |
| 115.000 | 01/20/10* | 52.3120 | [1]6,015.85 | 52.9100 | 6,084.65 | 68.80 | 211.60 | 3.47% |
| **369.000** | **Total** | | **$18,512.75** | | **$19,523.79** | **$1,011.04** | **$678.96** | |
| **CURTISS WRIGHT CORP** | | | *Security Identifier* CW | | | | | |
| CUSIP: 231561101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 19.000 | 08/30/11 | 30.5900 | 581.21 | 35.3300 | 671.27 | 90.06 | 6.08 | 0.90% |
| 24.000 | 11/29/11 | 30.7600 | 738.24 | 35.3300 | 847.92 | 109.68 | 7.68 | 0.90% |
| **43.000** | **Total** | | **$1,319.45** | | **$1,519.19** | **$199.74** | **$13.76** | |
| **CYS INVTS INC COM** | | | *Security Identifier* CYS | | | | | |
| CUSIP: 12673A108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 124.000 | 03/18/11 | 12.5800 | 1,559.92 | 13.1400 | 1,629.36 | 69.44 | 248.00 | 15.22% |
| 58.000 | 05/11/11 | 12.4900 | 724.41 | 13.1400 | 762.12 | 37.71 | 116.00 | 15.22% |
| 71.000 | 07/21/11 | 12.9600 | 920.16 | 13.1400 | 932.94 | 12.78 | 142.00 | 15.22% |
| **253.000** | **Total** | | **$3,204.49** | | **$3,324.42** | **$119.93** | **$506.00** | |

[redacted]

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **DAVITA INC COM** | | | *Security Identifier:* DVA | | | | | |
| CUSIP: 23918K108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2H | | | | | | | | |
| 48 000 | 12/09/09* | 58.3300 | [3]2,799 84 | 75 8100 | 3,638.88 | 839 04 | | |
| 29 000 | 03/18/11 | 80.4300 | 2,332.47 | 75 8100 | 2,198 49 | -133.98 | | |
| **77.000** | **Total** | | **$5,132.31** | | **$5,837.37** | **$705.06** | **$0.00** | |
| **DENBURY RES INC COM NEW** | | | *Security Identifier* DNR | | | | | |
| CUSIP 247916208 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 47 000 | 04/29/09* | 16.5180 | [3]776.34 | 15 1000 | 709 70 | -66 64 | | |
| 10.000 | 05/05/09* | 17.1200 | [3]171.20 | 15.1000 | 151.00 | -20.20 | | |
| 25.000 | 05/28/09* | 16.6980 | [3]417.45 | 15 1000 | 377.50 | -39 95 | | |
| 141 000 | 06/18/09* | 14 8280 | [3]2,090.75 | 15.1000 | 2,129 10 | 38.35 | | |
| **223.000** | **Total** | | **$3,455.74** | | **$3,367.30** | **-$88.44** | **$0.00** | |
| **DENTSPLY INTL INC NEW COM** | | | *Security Identifier:* XRAY | | | | | |
| CUSIP. 249030107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 141 000 | 12/15/11 | 34 8790 | 4,917 91 | 34.9900 | 4,933.59 | 15.68 | 31 02 | 0.62% |
| **DIAGEO PLC SPONSORED ADR NEW** | | | *Security Identifier* DEO | | | | | |
| CUSIP: 25243Q205 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 83 000 | 11/28/11 | 82.1110 | 6,815.21 | 87 4200 | 7,255.86 | 440 65 | 215.38 | 2 96% |
| **DIANA SHIPPING INC COM** | | | *Security Identifier:* DSX | | | | | |
| CUSIP Y2066G104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 70.000 | 03/18/11 | 11.7900 | 825.30 | 7.4800 | 523.60 | -301 70 | | |
| **DIEBOLD INC COM** | | | *Security Identifier:* DBD | | | | | |
| CUSIP: 253651103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 26.000 | 03/18/11 | 34 4400 | 895 44 | 30.0700 | 781 82 | -113.62 | 29.12 | 3 72% |
| **DISNEY WALT CO DISNEY COM** | | | *Security Identifier:* DIS | | | | | |
| CUSIP: 254687106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 473.000 | 12/09/09* | 30 7480 | [3]14,544 04 | 37.5000 | 17,737.50 | 3,193 46 | 283 80 | 1.60% |

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **DOLE FOOD CO INC NEW** | | | *Security Identifier* DOLE | | | | | |
| CUSIP: 256603101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 166 000 | 03/18/11 | 13 7430 | 2,281.28 | 8 6500 | 1,435 90 | -845.38 | | |
| **DOMTAR CORP COM NEW** | | | *Security Identifier:* UFS | | | | | |
| CUSIP. 257559203 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 93.000 | 04/29/10* | 76 4560 | [3]7,110.37 | 79 9600 | 7,436.28 | 325.91 | 130.20 | 1.75% |
| **DU PONT E I DE NEMOURS & CO COM** | | | *Security Identifier:* DD | | | | | |
| CUSIP: 263534109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings CITI-CIRA: 2 | | | | | | | | |
| 400 000 | 12/09/09* | 31.5480 | [3]12,619.36 | 45.7800 | 18,312.00 | 5,692.64 | 656 00 | 3.58% |
| **DUKE ENERGY CORP NEW COM** | | | *Security Identifier* DUK | | | | | |
| CUSIP 26441C105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA: 2 | | | | | | | | |
| 674 000 | 12/09/09* | 17.4500 | [3]11,761.23 | 22.0000 | 14,828.00 | 3,066.77 | 674.00 | 4.54% |
| **EARTHLINK INC COM** | | | *Security Identifier:* ELNK | | | | | |
| CUSIP: 270321102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 103.000 | 03/18/11 | 7.9000 | 813 68 | 6 4400 | 663.32 | -150 36 | 20.60 | 3.10% |
| **EAST WEST BANCORP INC COM** | | | *Security Identifier:* EWBC | | | | | |
| CUSIP: 27579R104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 18 000 | 06/14/10* | 16.8090 | [3]302.56 | 19.7500 | 355.50 | 52.94 | 3.60 | 1.01% |
| 15.000 | 01/24/11 | 20.2280 | [3]303.42 | 19.7500 | 296 25 | -7 17 | 3.00 | 1.01% |
| **33.000** | **Total** | | **$605.98** | | **$651.75** | **$45.77** | **$6.60** | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **EATON CORP COM** | | | *Security Identifier* ETN | | | | | |
| CUSIP 278058102 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings CITI-CIRA 1 | | | | | | | | |
| 76.000 | 06/09/11 | 46 8490 | 3,560.50 | 43.5300 | 3,308.28 | -252.22 | 103.36 | 3 12% |
| 37.000 | 06/16/11 | 46 8560 | 1,733 68 | 43 5300 | 1,610.61 | -123 07 | 50.32 | 3 12% |
| 37.000 | 06/17/11 | 47 4890 | 1,757 09 | 43.5300 | 1,610.61 | -146 48 | 50 32 | 3.12% |
| **150.000** | **Total** | | **$7,051.27** | | **$6,529.50** | **-$521.77** | **$204.00** | |
| **EBAY INC COM** | | | *Security Identifier* EBAY | | | | | |
| CUSIP 278642103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2H | | | | | | | | |
| 121 000 | 06/23/11 | 29 0080 | 3,510.02 | 30.3300 | 3,669 93 | 159 91 | | |
| 95 000 | 07/21/11 | 34 1090 | 3,240.31 | 30.3300 | 2,881.35 | -358.96 | | |
| 94.000 | 10/04/11 | 28.5380 | 2,682.61 | 30.3300 | 2,851.02 | 168.41 | | |
| 32 000 | 12/20/11 | 30.3500 | 971.20 | 30.3300 | 970.56 | -0.64 | | |
| **342.000** | **Total** | | **$10,404.14** | | **$10,372.86** | **-$31.28** | **$0.00** | |
| **ECOLAB INC** | | | *Security Identifier* ECL | | | | | |
| CUSIP 278865100 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings CITI-CIRA 2 | | | | | | | | |
| 101 000 | 06/16/11 | 54.2280 | 5,477.03 | 57.8100 | 5,838 81 | 361 78 | 80 80 | 1.38% |
| **ELECTRONICS FOR IMAGING INC** | | | *Security Identifier* EFII | | | | | |
| CUSIP: 286082102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 46.000 | 12/09/09* | 12.6000 | 579 60 | 14.2500 | 655.50 | 75.90 | | |
| **EMC CORP (MASS) COM** | | | *Security Identifier* EMC | | | | | |
| CUSIP 268648102 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings CITI-CIRA 1 | | | | | | | | |
| 945.000 | 12/09/09* | 16.9080 | 15,978 06 | 21.5400 | 20,355.30 | 4,377.24 | | |
| **EMERSON ELEC CO COM** | | | *Security Identifier* EMR | | | | | |
| CUSIP: 291011104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings CITI-CIRA 1 | | | | | | | | |
| 320 000 | 08/10/07* | 45 8810 | 14,681.83 | 46 5900 | 14,908.80 | 226.97 | 512.00 | 3 43% |
| 32.000 | 12/09/09* | 41.3370 | 1,322.79 | 46 5900 | 1,490 88 | 168 09 | 51.20 | 3 43% |
| 60 000 | 09/29/11 | 44.2400 | 2,654.40 | 46.5900 | 2,795 40 | 141.00 | 96 00 | 3.43% |
| **412.000** | **Total** | | **$18,659.02** | | **$19,195.08** | **$536.06** | **$659.20** | |

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**Investment**
**Account Statement**

**Statement Period: 12/01/2011 - 12/31/2011**

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **ENERGY XXI BERMUDA USD UNRESTRICTED SHS** | | | *Security Identifier:* EXXI | | | | | |
| NEW ISIN#BMG100821401 | | | | | | | | |
| CUSIP: G10082140 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 233.000 | 12/21/11 | 29 8760 | 6,961.19 | 31.8800 | 7,428.04 | 466.85 | | |
| **ENERSIS S A SPON ADR ISIN#US29274F1049** | | | *Security Identifier:* ENI | | | | | |
| CUSIP: 29274F104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA. 1 | | | | | | | | |
| 315.000 | 09/22/10* | 24 0330 | [3]7,570.49 | 17 6300 | 5,553.45 | -2,017.04 | 170.91 | 3.07% |
| 80.000 | 03/25/11 | 20.8200 | 1,665 60 | 17.6300 | 1,410.40 | -255.20 | 43 40 | 3.07% |
| **395.000** | **Total** | | **$9,236.09** | | **$6,963.85** | **-$2,272.24** | **$214.31** | |
| **ENERSYS COM** | | | *Security Identifier:* ENS | | | | | |
| CUSIP: 29275Y102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 49 000 | 03/18/11 | 35.6300 | 1,745 87 | 25.9700 | 1,272 53 | -473.34 | | |
| 41.000 | 08/11/11 | 18 6890 | 766.26 | 25.9700 | 1,064.77 | 298.51 | | |
| **90.000** | **Total** | | **$2,512.13** | | **$2,337.30** | **-$174.83** | **$0.00** | |
| **EQT CORPORATION COM** | | | *Security Identifier:* EQT | | | | | |
| CUSIP. 26884L109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings· CITI-CIRA: 2M | | | | | | | | |
| 66 000 | 12/09/09* | 40.7990 | [3]2,692.74 | 54 7900 | 3,616 14 | 923.40 | 58 08 | 1.60% |
| **EQUIFAX INC** | | | *Security Identifier:* EFX | | | | | |
| CUSIP: 294429105 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 61.000 | 03/18/11 | 35.8900 | 2,189.29 | 38.7400 | 2,363 14 | 173.85 | 39.04 | 1 65% |
| **ESTALISSEMENTS DELHAIZE FRERES ET** | | | *Security Identifier:* DEG | | | | | |
| CIE LE LION S A SPONSORED ADR | | | | | | | | |
| CUSIP: 29759W101 | | | | | | | | |
| Dividend Option· Cash | | | | | | | | |
| 97 000 | 12/09/09* | 76.1980 | [3]7,391.21 | 56.3500 | 5,465.95 | -1,925.26 | 182.15 | 3.33% |

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#1 Brokerage Statement, 2009, 2010
DALBAR RATED

Accounts carried by Pershing LLC, member FINRA, NYSE, SIPC.

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **ESTALISSEMENTS DELHAIZE FRERES ET** *(continued)* | | | | | | | | |
| 4 000 | 03/25/11 | 81.3600 | 325 44 | 56.3500 | 225.40 | -100.04 | 7.51 | 3.33% |
| **101.000** | **Total** | | **$7,716.65** | | **$5,691.35** | **-$2,025.30** | **$189.66** | |
| **EXIDE TECHNOLOGIES COM NEW** | | | *Security Identifier:* XIDE | | | | | |
| CUSIP. 302051206 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 90.000 | 07/19/11 | 7.2000 | 647 97 | 2.6300 | 236.70 | -411.27 | | |
| **EXPEDITORS INTL WASH INC** | | | *Security Identifier:* EXPD | | | | | |
| CUSIP. 302130109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 62.000 | 04/25/11 | 53.5370 | 3,319.29 | 40 9600 | 2,539 52 | -779 77 | 31.00 | 1.22% |
| **EXPRESS INC COM** | | | *Security Identifier* EXPR | | | | | |
| CUSIP. 30219E103 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 33.000 | 03/18/11 | 16.9500 | 559.35 | 19.9400 | 658 02 | 98.67 | | |
| **EXXON MOBIL CORP COM** | | | *Security Identifier:* XOM | | | | | |
| CUSIP: 30231G102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 527.000 | 12/09/09* | 72.9180 | 38,427.79 | 84.7600 | 44,668.52 | 6,240.73 | 990.76 | 2.21% |
| 164 000 | 08/06/10* | 61.3840 | 10,067.03 | 84.7600 | 13,900 64 | 3,833.61 | 308.32 | 2.21% |
| **691.000** | **Total** | | **$48,494.82** | | **$58,569.16** | **$10,074.34** | **$1,299.08** | |
| **EZCORP INC CL A NON VTG** | | | *Security Identifier* EZPW | | | | | |
| CUSIP: 302301106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 124 000 | 08/02/10* | 20.2510 | 2,511.12 | 26.3700 | 3,269.88 | 758 76 | | |
| **FACTSET RESEARCH SYSTEMS INC** | | | *Security Identifier* FDS | | | | | |
| CUSIP: 303075105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 19 000 | 12/09/09* | 73.6100 | 1,398.59 | 87.2800 | 1,658 32 | 259 73 | 20.52 | 1.23% |
| **FAMILY DOLLAR STORES** | | | *Security Identifier* FDO | | | | | |
| CUSIP. 307000109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA 1 | | | | | | | | |
| 89 000 | 09/13/11 | 51 4370 | 4,577.91 | 57.6600 | 5,131.74 | 553 83 | 64.08 | 1.24% |
| **FEDERATED INVS INC PA CL B** | | | *Security Identifier:* FII | | | | | |
| CUSIP: 314211103 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings CITI-CIRA: 3 | | | | | | | | |

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#1 Brokerage Statement 2009, 2010 DALBAR RATED FOR COMMUNICATION

Accounts carried by Pershing LLC, member FINRA, NYSE, SIPC.

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **FEDERATED INVS INC PA CL B** *(continued)* | | | | | | | | |
| 72.000 | 03/18/11 | 25.7900 | 1,856.88 | 15.1500 | 1,090 80 | -766.08 | 69 12 | 6.33% |
| **FIDELITY NATL FINL INC CL A COM** | | | *Security Identifier:* FNF | | | | | |
| CUSIP: 31620R105 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 3 000 | 03/18/11 | 13.7000 | 41.10 | 15.9300 | 47.79 | 6.69 | 1.44 | 3 01% |
| 103.000 | 04/15/11 | 14.9680 | 1,541.70 | 15.9300 | 1,640.79 | 99.09 | 49.44 | 3.01% |
| 44 000 | 09/01/11 | 17.1700 | 755.48 | 15.9300 | 700.92 | -54.56 | 21.12 | 3 01% |
| **150.000** | **Total** | | **$2,338.28** | | **$2,389.50** | **$51.22** | **$72.00** | |
| **FIFTH ST FIN CORP COM** | | | *Security Identifier* FSC | | | | | |
| CUSIP: 31678A103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 101 000 | 03/18/11 | 13.0860 | 1,321.73 | 9.5700 | 966.57 | -355.16 | 116.10 | 12.01% |
| **FIFTH THIRD BANCORP COM** | | | *Security Identifier:* FITB | | | | | |
| CUSIP. 316773100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 309.000 | 01/27/10* | 12.1620 | $3,758.12 | 12.7200 | 3,930.48 | 172.36 | 98.88 | 2.51% |
| 65 000 | 07/15/11 | 11.9200 | 774 80 | 12.7200 | 826.80 | 52.00 | 20 80 | 2.51% |
| **374.000** | **Total** | | **$4,532.92** | | **$4,757.28** | **$224.36** | **$119.68** | |
| **FINISH LINE INC CL A** | | | *Security Identifier* FINL | | | | | |
| CUSIP: 317923100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 50.000 | 12/09/09* | 8.9080 | $445.40 | 19.2850 | 964.25 | 518.85 | 10.00 | 1.03% |
| **FIRST AMERN FINL CORP COM** | | | *Security Identifier:* FAF | | | | | |
| CUSIP: 31847R102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 71.000 | 03/18/11 | 16.7690 | 1,190.60 | 12.6700 | 899.57 | -291.03 | 17.04 | 1.89% |
| 54.000 | 09/01/11 | 15.3900 | 831.05 | 12.6700 | 684 18 | -146.87 | 12.96 | 1.89% |
| **125.000** | **Total** | | **$2,021.65** | | **$1,583.75** | **-$437.90** | **$30.00** | |

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#1 Brokerage Statement, 2009, 2010
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Accounts carried by Pershing LLC, member FINRA, NYSE, SIPC.

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **FIRST CITIZENS BANCSHARES NC CL A** | | | *Security Identifier* FCNCA | | | | | |
| CUSIP 31946M103 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 5 000 | 03/18/11 | 201 8800 | 1,009 40 | 174 9900 | 874 95 | -134.45 | 6 00 | 0 68% |
| **FIRST NIAGARA FINL GROUP INC NEW COM** | | | *Security Identifier* FNFG | | | | | |
| CUSIP 33582V108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 193 000 | 09/20/11 | 10.4380 | 2,014.53 | 8 6300 | 1,665.59 | -348.94 | 123.52 | 7.41% |
| 139 000 | 12/07/11 | 8.9600 | 1,245.43 | 8 6300 | 1,199.57 | -45.86 | 88.96 | 7 41% |
| **332.000** | **Total** | | **$3,259.96** | | **$2,865.16** | **-$394.80** | **$212.48** | |
| **FISERV INC COM** | | | *Security Identifier* FISV | | | | | |
| CUSIP 337738108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings CITI-CIRA: 1 | | | | | | | | |
| 59.000 | 12/09/09* | 46.7500 | 32,758.25 | 58 7400 | 3,465 66 | 707 41 | | |
| **FLEXTRONICS INTL LTD ORD SHS** | | | *Security Identifier*: FLEX | | | | | |
| ISIN#SG9999000020 | | | | | | | | |
| CUSIP: Y2573F102 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 1,008 000 | 03/16/10* | 7.5900 | 37,650.22 | 5.6600 | 5,705.28 | -1,944.94 | | |
| 114 000 | 03/25/11 | 7.3380 | 836.58 | 5.6600 | 645.24 | -191.34 | | |
| 157 000 | 05/27/11 | 7 1080 | 1,116.02 | 5.6600 | 888 62 | -227.40 | | |
| 81 000 | 08/18/11 | 5.2180 | 422 69 | 5.6600 | 458.46 | 35.77 | | |
| **1,360.000** | **Total** | | **$10,025.51** | | **$7,697.60** | **-$2,327.91** | **$0.00** | |
| **FOMENTO ECONOMICO MEX S A B DE C V NEW** | | | *Security Identifier* FMX | | | | | |
| ISIN#US3444191064 SPON ADR REP UNIT1 SER B SH & 2 SER D B SHS & 2 SER D L SHS | | | | | | | | |
| CUSIP: 344419106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 133.000 | 12/09/09* | 47.3480 | 36,297.28 | 69.7100 | 9,271.43 | 2,974.15 | 145.70 | 1.57% |
| **FOOT LOCKER INC COM** | | | *Security Identifier* FL | | | | | |
| CUSIP 344849104 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 27 000 | 03/18/11 | 18.8700 | 509 49 | 23.8400 | 643.68 | 134 19 | 17.82 | 2.76% |

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**Investment Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **FOREST CITY ENTERPRISES INC** CL A | | | *Security Identifier:* FCE A | | | | | |
| CUSIP: 345550107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 392 000 | 06/10/11 | 17.9890 | 7,051.51 | 11.8200 | 4,633 44 | -2,418.07 | | |
| **FOSSIL INC COM** | | | *Security Identifier:* FOSL | | | | | |
| CUSIP 349882100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 4 000 | 02/11/11 | 82.8800 | 331.52 | 79.3600 | 317.44 | -14 08 | | |
| 49 000 | 03/01/11 | 74.9900 | 3,674.51 | 79.3600 | 3,888 64 | 214 13 | | |
| **53.000** | **Total** | | **$4,006.03** | | **$4,206.08** | **$200.05** | **$0.00** | |
| **FRESH DELMONTE PRODUCE INC SHS** | | | *Security Identifier:* FDP | | | | | |
| ISIN#KYG367381053 | | | | | | | | |
| CUSIP: G36738105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 46.000 | 03/18/11 | 25 0900 | 1,154.14 | 25.0100 | 1,150.46 | -3.68 | 18.40 | 1.59% |
| **FTI CONSULTING INC COM** | | | *Security Identifier:* FCN | | | | | |
| CUSIP: 302941109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 54 000 | 03/18/11 | 36.1500 | 1,952.10 | 42.4200 | 2,290.68 | 338.58 | | |
| **G & K SVCS INC CL A** | | | *Security Identifier:* GKSR | | | | | |
| CUSIP: 361268105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 20.000 | 03/18/11 | 31.2300 | 624.60 | 29 1100 | 582.20 | -42 40 | 10.40 | 1.78% |
| **GAMESTOP CORP NEW CLASS A** | | | *Security Identifier:* GME | | | | | |
| CUSIP: 36467W109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 48 000 | 03/18/11 | 20.9300 | 1,004.64 | 24.1300 | 1,158.24 | 153 60 | | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **GAZPROM O A O SPON ADR REG S** | | *Security Identifier* OGZPY | | | | | | |
| RESTRICTION LIFTED ISIN#US3682872078 | | | | | | | | |
| CUSIP 368287207 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 514 000 | 04/28/11 | 16 8700 | 8,671 18 | 10.6650 | 5,481.81 | -3,189 37 | 105.80 | 1.93% |
| **GENERAC HLDGS INC COM** | | *Security Identifier:* GNRC | | | | | | |
| CUSIP. 368736104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 43 000 | 03/18/11 | 18.6100 | 800.23 | 28 0300 | 1,205.29 | 405 06 | | |
| **GENERAL ELECTRIC CO COM** | | *Security Identifier* GE | | | | | | |
| CUSIP 369604103 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 405.000 | 04/02/07* | 17.4420 | [3]7,064.01 | 17 9100 | 7,253.55 | 189.54 | 275.40 | 3.79% |
| **GENERAL MILLS INC COM** | | *Security Identifier* GIS | | | | | | |
| CUSIP: 370334104 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings CITI-CIRA: 1 | | | | | | | | |
| 466 000 | 12/09/09* | 34.3040 | [3]15,985 66 | 40.4100 | 18,831 06 | 2,845 40 | 568.52 | 3 01% |
| 19 000 | 12/02/10* | 35 6100 | [3]676.59 | 40.4100 | 767.79 | 91.20 | 23.18 | 3 01% |
| 4 000 | 12/06/10* | 35.5000 | [3]142 00 | 40 4100 | 161 64 | 19.64 | 4 88 | 3 01% |
| 244.000 | 12/05/11 | 40.3400 | 9,842.94 | 40 4100 | 9,860.04 | 17.10 | 297 68 | 3 01% |
| **733.000** | **Total** | | **$26,647.19** | | **$29,620.53** | **$2,973.34** | **$894.26** | |
| **GENTEX CORP COM** | | *Security Identifier:* GNTX | | | | | | |
| CUSIP 371901109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 162.000 | 11/01/10* | 20.2780 | [3]3,285.04 | 29 5900 | 4,793.58 | 1,508.54 | 77.76 | 1 62% |
| 9 000 | 03/25/11 | 30.1400 | 271.26 | 29.5900 | 266.31 | -4.95 | 4.32 | 1.62% |
| **171.000** | **Total** | | **$3,556.30** | | **$5,059.89** | **$1,503.59** | **$82.08** | |
| **GENWORTH FINL INC COM CL A** | | *Security Identifier* GNW | | | | | | |
| CUSIP: 37247D106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings CITI-CIRA 1H | | | | | | | | |
| 90.000 | 12/08/11 | 6.5460 | 589.17 | 6.5500 | 589.50 | 0.33 | | |
| **GEO GROUP INC COM** | | *Security Identifier* GEO | | | | | | |
| CUSIP. 36159R103 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 38 000 | 03/18/11 | 24.3900 | 926.82 | 16 7500 | 636.50 | -290.32 | | |

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**Investment Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **GLAXOSMITHKLINE PLC SPONS ADR** | | | *Security Identifier:* GSK | | | | | |
| CUSIP. 37733W105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 346.000 | 11/26/10* | 39 4500 | $13,649 67 | 45 6300 | 15,787.98 | 2,138.31 | 763 17 | 4.83% |
| **GLOBAL PMTS INC COM** | | | *Security Identifier* GPN | | | | | |
| CUSIP: 37940X102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA: 1 | | | | | | | | |
| 16.000 | 03/18/11 | 46.0200 | 736.32 | 47.3800 | 758 08 | 21.76 | 1.28 | 0.16% |
| **GLOBE SPECIALTY METALS INC COM** | | | *Security Identifier:* GSM | | | | | |
| CUSIP: 37954N206 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 53.000 | 03/18/11 | 22.4100 | 1,187.73 | 13.3900 | 709.67 | -478.06 | 10.60 | 1 49% |
| 17.000 | 06/03/11 | 21.8600 | 371 62 | 13.3900 | 227.63 | -143.99 | 3 40 | 1.49% |
| 31 000 | 08/08/11 | 17.5200 | 543.12 | 13.3900 | 415.09 | -128.03 | 6.20 | 1.49% |
| 35 000 | 08/24/11 | 16 0000 | 560.00 | 13.3900 | 468.65 | -91.35 | 7 00 | 1.49% |
| **136.000** | **Total** | | **$2,662.47** | | **$1,821.04** | **-$841.43** | **$27.20** | |
| **GOOGLE INC CL A** | | | *Security Identifier:* GOOG | | | | | |
| CUSIP: 38259P508 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA. 1 | | | | | | | | |
| 7.000 | 07/06/10* | 446.5430 | $3,125.80 | 645.9000 | 4,521.30 | 1,395.50 | | |
| 14.000 | 04/15/11 | 541.4500 | 7,580.30 | 645.9000 | 9,042.60 | 1,462.30 | | |
| **21.000** | **Total** | | **$10,706.10** | | **$13,563.90** | **$2,857.80** | **$0.00** | |
| **GRANITE CONSTR INC COM** | | | *Security Identifier:* GVA | | | | | |
| CUSIP: 387328107 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 14 000 | 03/18/11 | 28.3900 | 397.46 | 23.7200 | 332 08 | -65.38 | 7.28 | 2.19% |
| **GRAPHIC PACKAGING HLDG CO COM** | | | *Security Identifier:* GPK | | | | | |
| CUSIP: 388689101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 125.000 | 03/18/11 | 4 9960 | 624.55 | 4.2600 | 532.50 | -92.05 | | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **GRIFFON CORP COM** | | | *Security Identifier* GFF | | | | | |
| CUSIP: 398433102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 65 000 | 03/18/11 | 12.8050 | 832.32 | 9.1300 | 593 45 | -238.87 | 5 20 | 0 87% |
| **GROUP I AUTOMOTIVE INC COM** | | | *Security Identifier* GPI | | | | | |
| CUSIP: 398905109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 19.000 | 03/18/11 | 39.5500 | 751 45 | 51 8000 | 984.20 | 232.75 | 9 88 | 1 00% |
| **HANGER ORTHOPEDIC GROUP NEW** | | | *Security Identifier* HGR | | | | | |
| CUSIP: 41043F208 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 32.000 | 03/18/11 | 24.7100 | 790 72 | 18 6900 | 598.08 | -192.64 | | |
| 40.000 | 10/27/11 | 17 1500 | 686 00 | 18 6900 | 747.60 | 61.60 | | |
| **72.000** | **Total** | | **$1,476.72** | | **$1,345.68** | **-$131.04** | **$0.00** | |
| **HANOVER INS GROUP INC COM** | | | *Security Identifier* THG | | | | | |
| CUSIP: 410867105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 16 000 | 03/18/11 | 46 0800 | 737.28 | 34 9500 | 559.20 | -178 08 | 19.20 | 3 43% |
| **HANSEN NAT CORP** | | | *Security Identifier:* HANS | | | | | |
| CUSIP: 411310105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 64.000 | 06/01/11 | 72.4090 | 4,634 17 | 92.1400 | 5,896 96 | 1,262 79 | | |
| **HARRIS CORP DEL** | | | *Security Identifier:* HRS | | | | | |
| CUSIP: 413875105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 44.000 | 03/18/11 | 46.6700 | 2,053.48 | 36 0400 | 1,585 76 | -467.72 | 49.28 | 3.10% |
| 15 000 | 05/25/11 | 48.3000 | 724.50 | 36 0400 | 540.60 | -183 90 | 16 80 | 3 10% |
| **59.000** | **Total** | | **$2,777.98** | | **$2,126.36** | **-$651.62** | **$66.08** | |
| **HASBRO INC COM** | | | *Security Identifier* HAS | | | | | |
| CUSIP: 418056107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 211.000 | 08/04/11 | 38.1990 | 8,059.91 | 31.8900 | 6,728.79 | -1,331 12 | 253.20 | 3.76% |
| **HEALTH MANAGEMENT ASSOCIATES INC CL A** | | | *Security Identifier:* HMA | | | | | |
| CUSIP: 421933102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 504.000 | 06/06/11 | 10 6200 | 5,352.43 | 7.3700 | 3,714.48 | -1,637.95 | | |

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Citi Personal Wealth Management

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East Coast Capital Advisors

**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **HEALTHSOUTH CORP COM NEW** | | | *Security Identifier:* HLS | | | | | |
| CUSIP: 421924309 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 168.000 | 05/31/11 | 28.0300 | 4,709.04 | 17.6700 | 2,968.56 | -1,740.48 | | |
| 56.000 | 09/16/11 | 20.7990 | 1,164.74 | 17.6700 | 989.52 | -175.22 | | |
| **224.000** | **Total** | | **$5,873.78** | | **$3,958.08** | **-$1,915.70** | **$0.00** | |
| **HEIDRICK & STRUGGLES INTL INC COM** | | | *Security Identifier:* HSII | | | | | |
| CUSIP: 422819102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 54.000 | 03/18/11 | 25.0000 | 1,350.00 | 21.5400 | 1,163.16 | -186.84 | 28.08 | 2.41% |
| **HELIX ENERGY SOLUTIONS GROUP INC COM** | | | *Security Identifier:* HLX | | | | | |
| CUSIP: 42330P107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 61.000 | 03/18/11 | 15.0450 | 917.75 | 15.8000 | 963.80 | 46.05 | | |
| **HELMERICH & PAYNE INC COM** | | | *Security Identifier:* HP | | | | | |
| CUSIP: 423452101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 275.000 | 06/21/10* | 42.5200 | [3]11,692.95 | 58.3600 | 16,049.00 | 4,356.05 | 77.00 | 0.47% |
| 21.000 | 10/24/11 | 49.4800 | 1,039.08 | 58.3600 | 1,225.56 | 186.48 | 5.88 | 0.47% |
| **296.000** | **Total** | | **$12,732.03** | | **$17,274.56** | **$4,542.53** | **$82.88** | |
| **HERBALIFE LTD USD COM SHS** | | | *Security Identifier:* HLF | | | | | |
| ISIN#KYG4412G1010 | | | | | | | | |
| CUSIP: G4412G101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 203.000 | 12/17/09* | 20.6490 | [3]4,191.75 | 51.6700 | 10,489.01 | 6,297.26 | 147.17 | 1.40% |
| 6.000 | 12/15/10* | 34.3000 | [3]205.80 | 51.6700 | 310.02 | 104.22 | 4.35 | 1.40% |
| 60.000 | 01/05/11 | 34.4250 | [3]2,065.50 | 51.6700 | 3,100.20 | 1,034.70 | 43.50 | 1.40% |
| 24.000 | 05/11/11 | 53.6650 | 1,287.96 | 51.6700 | 1,240.08 | -47.88 | 17.40 | 1.40% |
| **293.000** | **Total** | | **$7,751.01** | | **$15,139.31** | **$7,388.30** | **$212.42** | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **HILLENBRAND INC COM** | | | *Security Identifier* HI | | | | | |
| CUSIP: 431571108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 55 000 | 03/18/11 | 21.3600 | 1,174.80 | 22.3200 | 1,227.60 | 52.80 | 42.35 | 3.44% |
| **HITACHI LTD ADR 10 COM NEW** | | | *Security Identifier:* HIT | | | | | |
| CUSIP: 433578507 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 148 000 | 05/05/11 | 55.5960 | 8,228.21 | 52 1400 | 7,716.72 | -511 49 | 96 35 | 1.24% |
| **HONEYWELL INTL INC COM** | | | *Security Identifier* HON | | | | | |
| ISIN#US4385161066 | | | | | | | | |
| CUSIP: 438516106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 63.000 | 11/30/10* | 49.7420 | ³3,133.76 | 54.3500 | 3,424 05 | 290.29 | 93 87 | 2 74% |
| 4.000 | 12/07/10* | 51.6500 | ³206 60 | 54.3500 | 217 40 | 10.80 | 5.96 | 2 74% |
| 65 000 | 03/02/11 | 55.6490 | 3,617.18 | 54.3500 | 3,532.75 | -84 43 | 96 85 | 2.74% |
| 24.000 | 06/16/11 | 56 1400 | 1,347.36 | 54.3500 | 1,304.40 | -42.96 | 35 76 | 2 74% |
| 6 000 | 12/07/11 | 53.7800 | 322.68 | 54.3500 | 326.10 | 3.42 | 8 94 | 2.74% |
| **162.000** | **Total** | | **$8,627.58** | | **$8,804.70** | **$177.12** | **$241.38** | |
| **HUNTINGTON BANCSHARES INC** | | | *Security Identifier* HBAN | | | | | |
| CUSIP: 446150104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 170 000 | 07/20/11 | 6.3600 | 1,081.16 | 5 4900 | 933.30 | -147.86 | 27 20 | 2.91% |
| **HUNTINGTON INGALLS INDS INC COM** | | | *Security Identifier:* HII | | | | | |
| CUSIP: 446413106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA: 1 | | | | | | | | |
| 18.000 | 06/07/11 | 36 4600 | 656.28 | 31.2800 | 563 04 | -93.24 | | |
| 11.000 | 06/09/11 | 37 1300 | 408.43 | 31.2800 | 344.08 | -64.35 | | |
| **29.000** | **Total** | | **$1,064.71** | | **$907.12** | **-$157.59** | **$0.00** | |
| **ICON PUB LTD CO SPONSORED ADR** | | | *Security Identifier* ICLR | | | | | |
| CUSIP: 45103T107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 91 000 | 03/18/11 | 20.4200 | 1,858.20 | 17.1100 | 1,557 01 | -301.19 | | |
| **IHS INC COM CL A** | | | *Security Identifier* IHS | | | | | |
| CUSIP: 451734107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 50 000 | 12/09/09* | 51.5400 | ³2,577 00 | 86.1600 | 4,308.00 | 1,731.00 | | |

Citi Personal Wealth Management

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East Coast Capital Advisors

**Investment Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **INFINITY PPTY & CAS CORP COM** | | | *Security Identifier* IPCC | | | | | |
| CUSIP: 45665Q103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 12.000 | 12/09/09* | 39 9000 | $478.80 | 56.7400 | 680 88 | 202.08 | 8 64 | 1.26% |
| **INGRAM MICRO INC CL A** | | | *Security Identifier*: IM | | | | | |
| CUSIP: 457153104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 85.000 | 03/18/11 | 19 8600 | 1,688.10 | 18.1900 | 1,546.15 | -141.95 | | |
| 22.000 | 08/18/11 | 16.6100 | 365.42 | 18.1900 | 400.18 | 34.76 | | |
| **107.000** | **Total** | | **$2,053.52** | | **$1,946.33** | **-$107.19** | **$0.00** | |
| **INSIGHT ENTERPRISES, INC** | | | *Security Identifier*. NSIT | | | | | |
| CUSIP: 45765U103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 33.000 | 03/18/11 | 16 5600 | 546 48 | 15.2900 | 504.57 | -41.91 | | |
| **INTEGRA LIFESCIENCES HLDGS CORP COM NEW** | | | *Security Identifier*: IART | | | | | |
| CUSIP: 457985208 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 23.000 | 07/25/11 | 47.0700 | 1,082.61 | 30.8300 | 709.09 | -373.52 | | |
| 9 000 | 08/04/11 | 42.0900 | 378 81 | 30 8300 | 277.47 | -101.34 | | |
| **32.000** | **Total** | | **$1,461.42** | | **$986.56** | **-$474.86** | **$0.00** | |
| **INTEGRATED DEVICE TECHNOLOGY INC COM** | | | *Security Identifier* IDTI | | | | | |
| CUSIP: 458118106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1H | | | | | | | | |
| 136 000 | 03/18/11 | 6 9600 | 946.53 | 5.4600 | 742 56 | -203.97 | | |
| **INTERNATIONAL BUSINESS MACHS CORP COM** | | | *Security Identifier*: IBM | | | | | |
| CUSIP: 459200101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA: 1 | | | | | | | | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **INTERNATIONAL BUSINESS MACHS CORP** *(continued)* | | | | | | | | |
| 267.000 | 12/09/09* | 127.1160 | [3]33,939 97 | 183 8800 | 49,095.96 | 15,155 99 | 801 00 | 1 63% |
| **INTERNATIONAL SPEEDWAY CORP CL A** | | | *Security Identifier* ISCA | | | | | |
| CUSIP: 460335201 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings: CITI-CIRA 2 | | | | | | | | |
| 39 000 | 03/18/11 | 29.0500 | 1,132 95 | 25.3500 | 988 65 | -144.30 | 7 02 | 0.71% |
| **INTUITIVE SURGICAL INC COM NEW** | | | *Security Identifier:* ISRG | | | | | |
| CUSIP: 46120E602 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 8 000 | 12/09/09* | 286.9800 | [3]2,295 84 | 463.0100 | 3,704 08 | 1,408 24 | | |
| 5 000 | 03/25/11 | 332.4700 | 1,662.35 | 463 0100 | 2,315 05 | 652.70 | | |
| **13.000** | **Total** | | **$3,958.19** | | **$6,019.13** | **$2,060.94** | $0.00 | |
| **INVESCO LTD ORD SHS** | | | *Security Identifier* IVZ | | | | | |
| ISIN#BMG491BT11088 | | | | | | | | |
| CUSIP: G491BT108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA. 1 | | | | | | | | |
| 213 000 | 02/28/11 | 26 8400 | 5,716.90 | 20 0900 | 4,279.17 | -1,437.73 | 104.37 | 2.43% |
| **IRON MTN INC PA COM** | | | *Security Identifier:* IRM | | | | | |
| CUSIP. 462846106 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings CITI-CIRA. 2 | | | | | | | | |
| 129 000 | 10/11/11 | 30.3000 | 3,908.70 | 30.8000 | 3,973.20 | 64.50 | 129 00 | 3.24% |
| **ITC HLDGS CORP COM** | | | *Security Identifier:* ITC | | | | | |
| ISIN#US4656851056 | | | | | | | | |
| CUSIP 465685105 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 70 000 | 12/09/09* | 48.2300 | [3]3,376.10 | 75 8800 | 5,311.60 | 1,935.50 | 98.70 | 1.85% |
| **JANUS CAP GROUP INC COM** | | | *Security Identifier:* JNS | | | | | |
| CUSIP 47102X105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA 2 | | | | | | | | |
| 93 000 | 11/21/11 | 6.2390 | 580.24 | 6.3100 | 586 83 | 6.59 | 18 60 | 3.16% |
| **JOHNSON & JOHNSON COM** | | | *Security Identifier:* JNJ | | | | | |
| CUSIP: 478160104 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings CITI-CIRA: 1 | | | | | | | | |
| 568 000 | 12/09/09* | 64.3180 | [3]36,532 68 | 65.5800 | 37,249.44 | 716.76 | 1,295.04 | 3.47% |
| 81.000 | 11/09/10* | 64.3310 | [3]5,210.78 | 65.5800 | 5,311.98 | 101.20 | 184 68 | 3 47% |

Citi Personal Wealth Management

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East Coast Capital Advisors

**Investment Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **JOHNSON & JOHNSON COM** *(continued)* | | | | | | | | |
| 9.000 | 12/07/10* | 62.5400 | [3]562.86 | 65.5800 | 590.22 | 27.36 | 20.52 | 3.47% |
| 117.000 | 06/13/11 | 66.8100 | 7,816.76 | 65.5800 | 7,672.86 | -143.90 | 266.76 | 3.47% |
| **775.000** | **Total** | | **$50,123.08** | | **$50,824.50** | **$701.42** | **$1,767.00** | |
| **JOY GLOBAL INC COM** | | | *Security Identifier:* JOY | | | | | |
| CUSIP: 481165108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 37.000 | 09/02/10* | 62.6000 | [3]2,316.20 | 74.9700 | 2,773.89 | 457.69 | 25.90 | 0.93% |
| 17.000 | 03/29/11 | 94.7400 | 1,610.58 | 74.9700 | 1,274.49 | -336.09 | 11.90 | 0.93% |
| **54.000** | **Total** | | **$3,926.78** | | **$4,048.38** | **$121.60** | **$37.80** | |
| **JP MORGAN CHASE & CO COM** | | | *Security Identifier:* JPM | | | | | |
| ISIN#US46625H1005 | | | | | | | | |
| CUSIP: 46625H100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 208.000 | 05/25/07* | 51.6070 | [3]10,734.32 | 33.2500 | 6,916.00 | -3,818.32 | 208.00 | 3.00% |
| 25.000 | 07/19/07* | 48.3110 | [3]1,207.78 | 33.2500 | 831.25 | -376.53 | 25.00 | 3.00% |
| 85.000 | 01/11/08* | 41.1760 | [3]3,499.92 | 33.2500 | 2,826.25 | -673.67 | 85.00 | 3.00% |
| 66.000 | 12/09/09* | 40.7980 | [3]2,692.67 | 33.2500 | 2,194.50 | -498.17 | 66.00 | 3.00% |
| 48.000 | 06/10/11 | 41.1000 | 1,972.80 | 33.2500 | 1,596.00 | -376.80 | 48.00 | 3.00% |
| **432.000** | **Total** | | **$20,107.49** | | **$14,364.00** | **-$5,743.49** | **$432.00** | |
| **KANSAS CITY SOUTHN COM NEW** | | | *Security Identifier:* KSU | | | | | |
| CUSIP: 485170302 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 32.000 | 05/06/10* | 37.9820 | [3]1,215.42 | 68.0100 | 2,176.32 | 960.90 | | |
| 61.000 | 09/02/10* | 36.1250 | [3]2,203.61 | 68.0100 | 4,148.61 | 1,945.00 | | |
| **93.000** | **Total** | | **$3,419.03** | | **$6,324.93** | **$2,905.90** | **$0.00** | |
| **KAR AUCTION SVCS INC COM** | | | *Security Identifier:* KAR | | | | | |
| CUSIP: 48238T109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 80.000 | 03/18/11 | 14.5760 | 1,166.11 | 13.5000 | 1,080.00 | -86.11 | | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **KENNAMETAL INC CAP STK** | | | *Security Identifier* KMT | | | | | |
| CUSIP: 489170100 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 27 000 | 05/16/11 | 40 8400 | 1,102.68 | 36 5200 | 986 04 | -116 64 | 15 12 | 1.53% |
| **KIMBERLY CLARK CORP** | | | *Security Identifier* KMB | | | | | |
| CUSIP 494368103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 249.000 | 12/09/09* | 64 0420 | 315,946.51 | 73.5600 | 18,316 44 | 2,369 93 | 697 20 | 3 80% |
| **KINDRED HEALTHCARE INC COM** | | | *Security Identifier:* KND | | | | | |
| CUSIP: 494580103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 80 109 | 03/18/11 | 23.1000 | 1,850.52 | 11.7700 | 942.88 | -907.64 | | |
| 9.891 | 06/01/11 | 24.9250 | 246.53 | 11 7700 | 116.42 | -130.11 | | |
| **90.000** | **Total** | | **$2,097.05** | | **$1,059.30** | **-$1,037.75** | **$0.00** | |
| **KINGFISHER PLC SPONSORED ADR** | | | *Security Identifier:* KGFHY | | | | | |
| ISIN#US4957244035 | | | | | | | | |
| CUSIP: 495724403 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 1,022.000 | 07/20/11 | 8.2200 | 8,400 94 | 7.7920 | 7,963.42 | -437 52 | 220.37 | 2.76% |
| **KNIGHT CAP GROUP INC CL A COM** | | | *Security Identifier* KCG | | | | | |
| CUSIP: 499005106 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 114 000 | 03/18/11 | 12.7100 | 1,448.94 | 11.8200 | 1,347.48 | -101.46 | | |
| **KNOLL INC COM NEW** | | | *Security Identifier* KNL | | | | | |
| CUSIP: 498904200 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 57.000 | 07/07/10* | 12.0590 | 3687.37 | 14 8500 | 846.45 | 159 08 | 22 80 | 2.69% |
| 3.000 | 03/18/11 | 18.5400 | 55 62 | 14.8500 | 44.55 | -11 07 | 1.20 | 2.69% |
| **60.000** | **Total** | | **$742.99** | | **$891.00** | **$148.01** | **$24.00** | |
| **LANDSTAR SYSTEMS INC COM** | | | *Security Identifier* LSTR | | | | | |
| CUSIP. 515098101 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 25 000 | 03/18/11 | 43.5600 | 1,089 00 | 47.9200 | 1,198.00 | 109 00 | 5 50 | 0.45% |
| **LEAR CORP COM NEW** | | | *Security Identifier:* LEA | | | | | |
| CUSIP: 521865204 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings: CITI-CIRA. 1M | | | | | | | | |
| 22.000 | 08/04/11 | 44.4300 | 977 46 | 39 8000 | 875.60 | -101.86 | 11 00 | 1.25% |

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **LENNAR CORP CL A COM STK** | | | *Security Identifier:* LEN | | | | | |
| CUSIP: 526057104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA: 2 | | | | | | | | |
| 102.000 | 03/18/11 | 19 7590 | 2,015.38 | 19 6500 | 2,004.30 | -11.08 | 16.32 | 0.81% |
| **LIBERTY MEDIA CORP NEW LIBERTY CAP COM SER A** | | | *Security Identifier:* LMCA | | | | | |
| CUSIP: 530322106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 35.594 | 12/03/09* | 56.1560 | 1,998.80 | 78.0500 | 2,778.08 | 779.28 | | |
| 4.406 | 12/09/09* | 54.7840 | 241.40 | 78.0500 | 343.92 | 102.52 | | |
| 71.000 | 12/13/10* | 62.5390 | 4,440.25 | 78.0500 | 5,541.55 | 1,101.30 | | |
| 10.000 | 03/25/11 | 74.4900 | 744.90 | 78.0500 | 780.50 | 35.60 | | |
| **121.000** | **Total** | | **$7,425.35** | | **$9,444.05** | **$2,018.70** | **$0.00** | |
| **LIFEPOINT HOSPS INC COM** | | | *Security Identifier* LPNT | | | | | |
| CUSIP: 53219L109 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings. CITI-CIRA: 1 | | | | | | | | |
| 34.000 | 03/18/11 | 39 0200 | 1,326.68 | 37 1500 | 1,263.10 | -63.58 | | |
| **LIMITED BRANDS INC** | | | *Security Identifier:* LTD | | | | | |
| CUSIP: 532716107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2L | | | | | | | | |
| 84 000 | 08/30/11 | 38.0550 | 3,196 65 | 40.3500 | 3,389.40 | 192.75 | 67.20 | 1.98% |
| 36 000 | 12/06/11 | 43.2400 | 1,556 64 | 40.3500 | 1,452.60 | -104.04 | 28.80 | 1.98% |
| **120.000** | **Total** | | **$4,753.29** | | **$4,842.00** | **$88.71** | **$96.00** | |
| **LINCARE HLDGS INC** | | | *Security Identifier:* LNCR | | | | | |
| CUSIP: 532791100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 97.000 | 03/18/11 | 29.6010 | 2,871.27 | 25.7100 | 2,493 87 | -377.40 | 77.60 | 3.11% |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **LINCOLN NATL CORP IND** | | | *Security Identifier* LNC | | | | | |
| CUSIP. 534187109 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings: CITI-CIRA. 2H | | | | | | | | |
| 171 000 | 12/09/09* | 22.6460 | 3,872.46 | 19.4200 | 3,320 82 | -551 64 | 54 72 | 1 64% |
| 83 000 | 09/02/10* | 24.8300 | 2,060.89 | 19 4200 | 1,611 86 | -449 03 | 25.56 | 1 64% |
| **254.000** | **Total** | | **$5,933.35** | | **$4,932.68** | **-$1,000.67** | **$81.28** | |
| **LINEAR TECHNOLOGY CORP** | | | *Security Identifier* LLTC | | | | | |
| CUSIP: 535678106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 220 000 | 09/29/11 | 29 4400 | 6,476 80 | 30 0300 | 6,606.60 | 129.80 | 211.20 | 3.19% |
| 198.000 | 10/28/11 | 32.9800 | 6,530.04 | 30.0300 | 5,945 94 | -584 10 | 190 08 | 3 19% |
| **418.000** | **Total** | | **$13,006.84** | | **$12,552.54** | **-$454.30** | **$401.28** | |
| **LIVE NATION ENTMT INC COM** | | | *Security Identifier:* LYV | | | | | |
| CUSIP 538034109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 167.000 | 03/18/11 | 10.1760 | 1,699.46 | 8.3100 | 1,387.77 | -311.69 | | |
| **LKQ CORP COM** | | | *Security Identifier* LKQX | | | | | |
| CUSIP 501889208 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 240 000 | 12/09/09* | 18 4790 | 4,434.99 | 30.0800 | 7,219.20 | 2,784.21 | | |
| **LVMH MOET HENNESSY LOUIS VUITTON ADR** | | | *Security Identifier:* LVMUY | | | | | |
| CUSIP: 502441306 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 228.000 | 08/22/11 | 31.3000 | 7,136 40 | 28 4030 | 6,475 88 | -660.52 | 102 86 | 1.58% |
| **LYONDELLBASELL INDUSTRIES N V ORD** | | | *Security Identifier:* LYB | | | | | |
| SHS CL A | | | | | | | | |
| CUSIP: N53745100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 159 000 | 11/01/10* | 26 0730 | 4,145.67 | 32.4900 | 5,165.91 | 1,020.24 | 159.00 | 3 07% |
| 5 000 | 03/25/11 | 40.3400 | 201 70 | 32.4900 | 162.45 | -39.25 | 5 00 | 3.07% |
| **164.000** | **Total** | | **$4,347.37** | | **$5,328.36** | **$980.99** | **$164.00** | |
| **MANPOWER GROUP COM** | | | *Security Identifier:* MAN | | | | | |
| CUSIP: 56418H100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 21 000 | 03/18/11 | 60.0300 | 1,260 63 | 35.7500 | 750.75 | -509 88 | 16.80 | 2.23% |

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#1 Brokerage Statement. 2009, 2010 DALBAR RATED

Accounts carried by Pershing LLC, member FINRA, NYSE, SIPC.

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**Investment Account Statement**

**Statement Period: 12/01/2011 - 12/31/2011**

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **MANPOWER GROUP COM** *(continued)* | | | | | | | | |
| 29.000 | 11/29/11 | 33.8500 | 981.65 | 35.7500 | 1,036 75 | 55.10 | 23.20 | 2.23% |
| **50.000** | **Total** | | **$2,242.28** | | **$1,787.50** | **-$454.78** | **$40.00** | |
| **MARRIOTT INTL INC NEW CL A** | | | *Security Identifier:* MAR | | | | | |
| CUSIP: 571903202 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA: 1 | | | | | | | | |
| 156.000 | 07/19/11 | 32.5260 | 5,074.02 | 29.1700 | 4,550 52 | -523.50 | 62.40 | 1.37% |
| **MATTHEWS INTL CORP CL A COM** | | | *Security Identifier:* MATW | | | | | |
| CUSIP: 577128101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 19.000 | 03/18/11 | 35 8700 | 681.53 | 31.4300 | 597.17 | -84.36 | 6.84 | 1.14% |
| **MAXIMUS INC COM** | | | *Security Identifier:* MMS | | | | | |
| CUSIP: 577933104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 14.000 | 03/18/11 | 37.1850 | 520.59 | 41.3500 | 578 90 | 58.31 | 5 04 | 0 87% |
| **MCDONALDS CORP** | | | *Security Identifier* MCD | | | | | |
| CUSIP: 580135101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 185.000 | 04/30/10* | 71 0260 | [3]13,139.72 | 100.3300 | 18,561.05 | 5,421.33 | 518 00 | 2 79% |
| 99.000 | 09/27/10* | 75.0200 | [3]7,426.98 | 100.3300 | 9,932.67 | 2,505.69 | 277.20 | 2.79% |
| **284.000** | **Total** | | **$20,566.70** | | **$28,493.72** | **$7,927.02** | **$795.20** | |
| **MENS WEARHOUSE INC COM** | | | *Security Identifier:* MW | | | | | |
| CUSIP: 587118100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 29 000 | 12/09/09* | 20.3800 | [3]591 02 | 32.4100 | 939.89 | 348 87 | 13.92 | 1 48% |
| 2.000 | 08/18/10* | 19.3300 | [3]38.66 | 32 4100 | 64.82 | 26 16 | 0.96 | 1 48% |
| **31.000** | **Total** | | **$629.68** | | **$1,004.71** | **$375.03** | **$14.88** | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **METTLER-TOLEDO INTL INC COM** | | | *Security Identifier:* MTD | | | | | |
| CUSIP: 592688105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 31.000 | 06/04/10* | 112.6260 | $3,491.40 | 147.7100 | 4,579.01 | 1,087.61 | | |
| **MGIC INVESTMENT CORPORATION** | | | *Security Identifier:* MTG | | | | | |
| CUSIP: 552848103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 235.000 | 03/18/11 | 8.7680 | 2,060.48 | 3.7300 | 876.55 | -1,183.93 | | |
| **MICRO SYS INC** | | | *Security Identifier:* MCRS | | | | | |
| CUSIP: 594901100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 105.000 | 12/09/09* | 29.8030 | $3,129.32 | 46.5800 | 4,890.90 | 1,761.58 | | |
| **MICROCHIP TECHNOLOGY INC COM** | | | *Security Identifier:* MCHP | | | | | |
| CUSIP: 595017104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 132.000 | 12/09/09* | 28.0680 | $3,704.98 | 36.6300 | 4,835.16 | 1,130.18 | 183.74 | 3.80% |
| **MICROSOFT CORP COM** | | | *Security Identifier:* MSFT | | | | | |
| CUSIP: 594918104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 1,438.000 | 12/09/09* | 29.7580 | $42,792.00 | 25.9600 | 37,330.48 | -5,461.52 | 1,150.40 | 3.08% |
| 109.000 | 09/21/10* | 25.2090 | $2,747.73 | 25.9600 | 2,829.64 | 81.91 | 87.20 | 3.08% |
| 2.000 | 09/27/10* | 24.7900 | $49.58 | 25.9600 | 51.92 | 2.34 | 1.60 | 3.08% |
| 34.000 | 10/05/10* | 24.0390 | $817.31 | 25.9600 | 882.64 | 65.33 | 27.20 | 3.08% |
| **1,583.000** | **Total** | | **$46,406.62** | | **$41,094.68** | **-$5,311.94** | **$1,266.40** | |
| **MITSUI & CO LTD ADR** | | | *Security Identifier:* MITSY | | | | | |
| ISIN#US6068272029 | | | | | | | | |
| CUSIP: 606827202 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 23.000 | 03/28/11 | 361.8430 | 8,322.40 | 311.1520 | 7,156.50 | -1,165.90 | 290.01 | 4.05% |
| **MONSANTO CO NEW COM** | | | *Security Identifier:* MON | | | | | |
| CUSIP: 61166W101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 154.000 | 12/09/09* | 83.2660 | $12,823.04 | 70.0700 | 10,790.78 | -2,032.26 | 184.80 | 1.71% |
| 48.000 | 09/28/11 | 62.8790 | 3,018.18 | 70.0700 | 3,363.36 | 345.18 | 57.60 | 1.71% |
| **202.000** | **Total** | | **$15,841.22** | | **$14,154.14** | **-$1,687.08** | **$242.40** | |

Citi Personal Wealth Management

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **MONSTER WORLDWIDE INC COM** | | | *Security Identifier:* MWW | | | | | |
| CUSIP: 611742107 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2H | | | | | | | | |
| 92 000 | 03/18/11 | 15.2160 | 1,399 91 | 7.9300 | 729.56 | -670.35 | | |
| **MSCI INC CL A** | | | *Security Identifier:* MSCI | | | | | |
| CUSIP: 55354G100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 140.000 | 04/07/10* | 37 3230 | 5,225.22 | 32.9300 | 4,610.20 | -615 02 | | |
| **MUELLER INDUSTRIES INC** | | | *Security Identifier* MLI | | | | | |
| CUSIP: 624756102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 13 000 | 04/28/11 | 39.6000 | 514.80 | 38.4200 | 499 46 | -15.34 | 5.20 | 1 04% |
| **NAVIGANT CONSULTING INC** | | | *Security Identifier:* NCI | | | | | |
| CUSIP: 63935N107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 76.000 | 03/18/11 | 9.1800 | 697 68 | 11.4100 | 867.16 | 169.48 | | |
| 56.000 | 05/19/11 | 10.2700 | 575.11 | 11 4100 | 638.96 | 63.85 | | |
| **132.000** | **Total** | | **$1,272.79** | | **$1,506.12** | **$233.33** | **$0.00** | |
| **NEWFIELD EXPL CO COMMON** | | | *Security Identifier:* NFX | | | | | |
| CUSIP: 651290108 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 146.000 | 12/09/09* | 39.7150 | 5,798.39 | 37.7300 | 5,508.58 | -289.81 | | |
| **NEXTERA ENERGY INC COM** | | | *Security Identifier* NEE | | | | | |
| CUSIP: 65339F101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 148.000 | 08/15/11 | 54 4920 | 8,064.78 | 60.8800 | 9,010.24 | 945 46 | 325.60 | 3 61% |
| 32.000 | 10/24/11 | 56 0600 | 1,793.92 | 60.8800 | 1,948 16 | 154.24 | 70.40 | 3.61% |
| **180.000** | **Total** | | **$9,858.70** | | **$10,958.40** | **$1,099.70** | **$396.00** | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **NIKE INC CLASS B** | | | *Security Identifier* NKE | | | | | |
| CUSIP. 654106103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA. 1 | | | | | | | | |
| 72 000 | 10/28/11 | 95.6800 | 6,888.96 | 96.3700 | 6,938 64 | 49.68 | 103 68 | 1 49% |
| 70 000 | 11/23/11 | 90 8780 | 6,361 49 | 96.3700 | 6,745.90 | 384 41 | 100 80 | 1.49% |
| **142.000** | **Total** | | **$13,250.45** | | **$13,684.54** | **$434.09** | **$204.48** | |
| **NIPPON TELEG & TELEPHONE CORP** | | | *Security Identifier* NTT | | | | | |
| SPONSORED ADR | | | | | | | | |
| CUSIP: 654624105 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 354 000 | 04/24/07* | 25.6200 | 9,069 48 | 25.3300 | 8,966.82 | -102.66 | 268.23 | 2 99% |
| **NISOURCE INC COM** | | | *Security Identifier* NI | | | | | |
| CUSIP 65473P105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA. 2M | | | | | | | | |
| 241 000 | 02/15/11 | 19 0540 | 4,592.04 | 23 8100 | 5,738.21 | 1,146 17 | 221.72 | 3 86% |
| 5.000 | 03/25/11 | 19.1760 | 95.88 | 23 8100 | 119 05 | 23.17 | 4.60 | 3 86% |
| 37 day(s) added to your holding period as a result of a wash sale. | | | | | | | | |
| 23.000 | 03/25/11 | 18.9000 | 434 70 | 23.8100 | 547.63 | 112 93 | 21 16 | 3.86% |
| **269.000** | **Total** | | **$5,122.62** | | **$6,404.89** | **$1,282.27** | **$247.48** | |
| **NISSAN MOTOR LTD SPON ADR** | | | *Security Identifier:* NSANY | | | | | |
| CUSIP: 654744408 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 404.000 | 11/11/10* | 19.3280 | 7,808 43 | 17.9880 | 7,267 15 | -541.28 | 123 97 | 1 70% |
| 92.000 | 03/25/11 | 16 8600 | 1,551.12 | 17 9880 | 1,654.90 | 103.78 | 28 23 | 1 70% |
| **496.000** | **Total** | | **$9,359.55** | | **$8,922.05** | **-$437.50** | **$152.20** | |
| **NORFOLK SOUTHERN CORP** | | | *Security Identifier:* NSC | | | | | |
| CUSIP 655844108 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings: CITI-CIRA. 1 | | | | | | | | |
| 220.000 | 11/26/10* | 61.0320 | 13,426.97 | 72.8600 | 16,029.20 | 2,602.23 | 378 40 | 2.36% |
| **NORTHEAST UTILITIES** | | | *Security Identifier:* NU | | | | | |
| CUSIP: 664397106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 145 000 | 12/09/09* | 24.5980 | 3,566.78 | 36 0700 | 5,230.15 | 1,663.37 | 159.50 | 3 04% |

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Citi Personal Wealth Management

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **NORTHERN OIL & GAS INC NEV COM** | | | *Security Identifier:* NOG | | | | | |
| CUSIP: 665531109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 161 000 | 03/25/11 | 27.3130 | 4,397 36 | 23 9800 | 3,860 78 | -536.58 | | |
| 89.000 | 06/14/11 | 18.8000 | 1,673.20 | 23.9800 | 2,134 22 | 461.02 | | |
| **250.000** | **Total** | | **$6,070.56** | | **$5,995.00** | **-$75.56** | **$0.00** | |
| **NORTHWESTERN CORP COM NEW** | | | *Security Identifier:* NWE | | | | | |
| CUSIP: 668074305 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 129.000 | 12/09/09* | 25.5960 | ³3,301.88 | 35 7900 | 4,616.91 | 1,315.03 | 185 76 | 4.02% |
| **NOVARTIS AG SPONSORED ADR** | | | *Security Identifier:* NVS | | | | | |
| CUSIP: 66987V109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 66 000 | 03/08/11 | 55.5400 | 3,665 63 | 57.1700 | 3,773.22 | 107.59 | 132.35 | 3.50% |
| 234.000 | 07/29/11 | 61.3600 | 14,358.21 | 57.1700 | 13,377.78 | -980.43 | 469.25 | 3.50% |
| 51.000 | 09/23/11 | 53.5370 | 2,730.39 | 57.1700 | 2,915.67 | 185.28 | 102.27 | 3.50% |
| **351.000** | **Total** | | **$20,754.23** | | **$20,066.67** | **-$687.56** | **$703.87** | |
| **NU SKIN ENTERPRISES INC CL A** | | | *Security Identifier:* NUS | | | | | |
| CUSIP: 67018T105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 21.000 | 03/18/11 | 29.0200 | 609.42 | 48.5700 | 1,019.97 | 410.55 | 13 44 | 1.31% |
| **OCCIDENTAL PETE CORP COM** | | | *Security Identifier:* OXY | | | | | |
| CUSIP: 674599105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 159 000 | 02/22/10* | 79 9080 | ³12,705.38 | 93 7000 | 14,898.30 | 2,192.92 | 292.56 | 1.96% |
| 1 000 | 10/24/11 | 87.4600 | 87 46 | 93.7000 | 93 70 | 6.24 | 1.84 | 1.96% |
| **160.000** | **Total** | | **$12,792.84** | | **$14,992.00** | **$2,199.16** | **$294.40** | |
| **OCWEN FINL CORP COM NEW** | | | *Security Identifier:* OCN | | | | | |
| CUSIP: 675746309 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 222 000 | 03/18/11 | 10.5590 | 2,344.09 | 14.4800 | 3,214.56 | 870 47 | | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **OIL STS INTL INC COM** | | | *Security Identifier:* OIS | | | | | |
| CUSIP 678026105 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 30.000 | 06/28/11 | 75.4600 | 2,263 80 | 76.3700 | 2,291 10 | 27.30 | | |
| 33 000 | 07/13/11 | 83.5500 | 2,757 15 | 76 3700 | 2,520.21 | -236 94 | | |
| **63.000** | **Total** | | **$5,020.95** | | **$4,811.31** | **-$209.64** | **$0.00** | |
| **OMNICARE INC COM** | | | *Security Identifier* OCR | | | | | |
| CUSIP 681904108 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 80 000 | 03/18/11 | 28.8270 | 2,306 12 | 34.4500 | 2,756.00 | 449.88 | 12.80 | 0 46% |
| **ORACLE CORP COM** | | | *Security Identifier* ORCL | | | | | |
| CUSIP. 68389X105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 167.000 | 03/07/11 | 31.9870 | 5,341 86 | 25.6500 | 4,283.55 | -1,058.31 | 40.08 | 0.93% |
| 60.000 | 03/10/11 | 31.9600 | 1,917.60 | 25 6500 | 1,539.00 | -378.60 | 14.40 | 0.93% |
| 53.000 | 06/10/11 | 31 4500 | 1,666 85 | 25.6500 | 1,359.45 | -307.40 | 12 72 | 0 93% |
| **280.000** | **Total** | | **$8,926.31** | | **$7,182.00** | **-$1,744.31** | **$67.20** | |
| **OSHKOSH TRUCK CORP COM** | | | *Security Identifier* OSK | | | | | |
| CUSIP: 688239201 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 24 000 | 03/18/11 | 33 6500 | 807.60 | 21.3800 | 513 12 | -294 48 | | |
| **OWENS AND MINOR INC HLDGS CO INC** | | | *Security Identifier* OMI | | | | | |
| CUSIP 690732102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 46 000 | 04/12/10* | 30.9820 | 1,425.19 | 27.7900 | 1,278.34 | -146.85 | 36.80 | 2.87% |
| **PAN AMERN SILVER CORP COM FORMERLY** | | | *Security Identifier* PAAS | | | | | |
| PAN AMERN MINERALS CORP | | | | | | | | |
| ISIN#CA6979001089 | | | | | | | | |
| CUSIP: 697900108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 220 000 | 02/02/11 | 34.2760 | 7,540.64 | 21.8100 | 4,798.20 | -2,742.44 | 22.00 | |
| **PAREXEL INTL CORP COM** | | | *Security Identifier:* PRXL | | | | | |
| CUSIP: 699462107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 53 000 | 03/18/11 | 23.5900 | 1,250.27 | 20.7400 | 1,099.22 | -151.05 | | |

Citi Personal Wealth Management

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **PARTNERRE LTD SHS** | | | *Security Identifier:* PRE | | | | | |
| ISIN#BMG6852T1053 | | | | | | | | |
| CUSIP: G6852T105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 20.000 | 03/18/11 | 74.0500 | 1,481.00 | 64.2100 | 1,284.20 | -196.80 | 48.00 | 3.73% |
| **PEABODY ENERGY CORP COM** | | | *Security Identifier:* BTU | | | | | |
| CUSIP: 704549104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 110.000 | 06/22/11 | 57.0590 | 6,276.46 | 33.1100 | 3,642.10 | -2,634.36 | 37.40 | 1.02% |
| **PEPSICO INC COM** | | | *Security Identifier:* PEP | | | | | |
| CUSIP: 713448108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 508.000 | 12/09/09* | 61.8390 | [3]31,414.36 | 66.3500 | 33,705.80 | 2,291.44 | 1,046.48 | 3.10% |
| 31.000 | 06/03/10* | 63.1800 | [3]1,958.58 | 66.3500 | 2,056.85 | 98.27 | 63.86 | 3.10% |
| 1.000 | 09/28/10* | 65.9800 | [3]65.98 | 66.3500 | 66.35 | 0.37 | 2.06 | 3.10% |
| 4.000 | 11/10/10* | 64.7830 | [3]259.13 | 66.3500 | 265.40 | 6.27 | 8.24 | 3.10% |
| **544.000** | **Total** | | **$33,698.05** | | **$36,094.40** | **$2,396.35** | **$1,120.64** | |
| **PFIZER INC COM** | | | *Security Identifier:* PFE | | | | | |
| CUSIP: 717081103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 179.000 | 04/16/08* | 21.0000 | [3]3,759.00 | 21.6400 | 3,873.56 | 114.56 | 157.52 | 4.06% |
| 190.000 | 06/18/08* | 18.0210 | [3]3,423.97 | 21.6400 | 4,111.60 | 687.63 | 167.20 | 4.06% |
| 245.000 | 05/21/10* | 15.2750 | [3]3,742.45 | 21.6400 | 5,301.80 | 1,559.35 | 215.60 | 4.06% |
| **614.000** | **Total** | | **$10,925.42** | | **$13,286.96** | **$2,361.54** | **$540.32** | |
| **PHH CORP COM NEW** | | | *Security Identifier:* PHH | | | | | |
| CUSIP: 693320202 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 134.000 | 03/18/11 | 21.4760 | 2,877.83 | 10.7000 | 1,433.80 | -1,444.03 | | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **PHILIP MORRIS INTL INC COM** | | *Security Identifier:* PM | | | | | | |
| CUSIP: 718172109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 239.000 | 10/24/11 | 69.9890 | 16,727.42 | 78.4800 | 18,756.72 | 2,029.30 | 736.12 | 3.92% |
| **PLATINUM UNDERWRITERS HLDGS** | | *Security Identifier:* PTP | | | | | | |
| LTD SHS | | | | | | | | |
| CUSIP: G7127P100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 43.000 | 12/09/09* | 37.0150 | [3]1,591.65 | 34.1100 | 1,466.73 | -124.92 | 13.76 | 0.93% |
| 22.000 | 07/20/11 | 33.7100 | 741.62 | 34.1100 | 750.42 | 8.80 | 7.04 | 0.93% |
| **65.000** | **Total** | | **$2,333.27** | | **$2,217.15** | **-$116.12** | **$20.80** | |
| **PNM RES INC COM** | | *Security Identifier:* PNM | | | | | | |
| CUSIP: 69349H107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 127.000 | 03/18/11 | 14.2260 | 1,806.76 | 18.2300 | 2,315.21 | 508.45 | 63.50 | 2.74% |
| **POTASH CORP OF SASKATCHEWAN INC** | | *Security Identifier:* POT | | | | | | |
| COM ISIN#CA73755L1076 | | | | | | | | |
| CUSIP: 73755L107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 144.000 | 10/17/11 | 48.8050 | 7,027.98 | 41.2800 | 5,944.32 | -1,083.66 | 40.32 | |
| **PPG INDUSTRIES INC** | | *Security Identifier:* PPG | | | | | | |
| CUSIP: 693506107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 268.000 | 12/09/09* | 59.3600 | [3]15,908.48 | 83.4900 | 22,375.32 | 6,466.84 | 611.04 | 2.73% |
| **PRAXAIR INC** | | *Security Identifier:* PX | | | | | | |
| CUSIP: 74005P104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 140.000 | 12/09/09* | 82.4750 | [3]11,546.55 | 106.9000 | 14,966.00 | 3,419.45 | 280.00 | 1.87% |
| **PRECISION CASTPARTS CORP** | | *Security Identifier:* PCP | | | | | | |
| CUSIP: 740189105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 17.000 | 12/09/09* | 109.9520 | [3]1,869.18 | 164.7900 | 2,801.43 | 932.25 | 2.04 | 0.07% |

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Citi Personal Wealth Management

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East Coast Capital Advisors

**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **PRICE T ROWE GROUP INC COM** | | | *Security Identifier:* TROW | | | | | |
| CUSIP: 74144T108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 244.000 | 12/09/09* | 48.6360 | [3]11,867.26 | 56.9500 | 13,895.80 | 2,028.54 | 302.56 | 2.17% |
| 126.000 | 08/04/11 | 53.2450 | 6,708.82 | 56.9500 | 7,175.70 | 466.88 | 156.24 | 2.17% |
| **370.000** | **Total** | | **$18,576.08** | | **$21,071.50** | **$2,495.42** | **$458.80** | |
| **PROCTER & GAMBLE CO COM** | | | *Security Identifier:* PG | | | | | |
| CUSIP: 742718109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 246.000 | 12/09/09* | 62.3280 | [3]15,332.81 | 66.7100 | 16,410.66 | 1,077.85 | 516.60 | 3.14% |
| 208.000 | 02/01/10* | 62.1770 | [3]12,932.86 | 66.7100 | 13,875.68 | 942.82 | 436.80 | 3.14% |
| 60.000 | 06/03/10* | 61.8320 | [3]3,709.93 | 66.7100 | 4,002.60 | 292.67 | 126.00 | 3.14% |
| 11.000 | 07/09/10* | 61.7300 | [3]679.03 | 66.7100 | 733.81 | 54.78 | 23.10 | 3.14% |
| 92.000 | 07/12/10* | 61.4500 | [3]5,653.40 | 66.7100 | 6,137.32 | 483.92 | 193.20 | 3.14% |
| 2.000 | 09/28/10* | 60.7800 | [3]121.56 | 66.7100 | 133.42 | 11.86 | 4.20 | 3.14% |
| **619.000** | **Total** | | **$38,429.59** | | **$41,293.49** | **$2,863.90** | **$1,299.90** | |
| **PULTE GROUP INC COM** | | | *Security Identifier:* PHM | | | | | |
| CUSIP: 745867101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2H | | | | | | | | |
| 116.000 | 03/18/11 | 7.1200 | 825.92 | 6.3100 | 731.96 | -93.96 | | |
| **QUALCOMM INC** | | | *Security Identifier:* QCOM | | | | | |
| CUSIP: 747525103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 384.000 | 12/09/09* | 44.7280 | [3]17,175.55 | 54.7000 | 21,004.80 | 3,829.25 | 330.24 | 1.57% |
| **RAYMOND JAMES FINL INC COM** | | | *Security Identifier:* RJF | | | | | |
| CUSIP: 754730109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 33.000 | 07/20/11 | 32.5600 | 1,074.48 | 30.9600 | 1,021.68 | -52.80 | 17.16 | 1.67% |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **RAYTHEON CO COM NEW** | | | *Security Identifier:* RTN | | | | | |
| CUSIP: 755111507 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings: CITI-CIRA. 1 | | | | | | | | |
| 115.000 | 04/24/07* | 54.6400 | [3]6,283 60 | 48.3800 | 5,563 70 | -719.90 | 197.80 | 3.55% |
| 196 000 | 12/09/09* | 51.7020 | [3]10,133 63 | 48.3800 | 9,482 48 | -651.15 | 337.12 | 3.55% |
| **311.000** | **Total** | | **$16,417.23** | | **$15,046.18** | **-$1,371.05** | **$534.92** | |
| **RED HAT INC COM** | | | *Security Identifier:* RHT | | | | | |
| CUSIP: 756577102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 74.000 | 08/12/11 | 37.5660 | 2,779.88 | 41.2900 | 3,055.46 | 275.58 | | |
| 24.000 | 09/09/11 | 37.3100 | 895 44 | 41.2900 | 990.96 | 95.52 | | |
| **98.000** | **Total** | | **$3,675.32** | | **$4,046.42** | **$371.10** | **$0.00** | |
| **REINSURANCE GROUP AMER INC COM NEW** | | | *Security Identifier:* RGA | | | | | |
| CUSIP: 759351604 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 18.000 | 01/05/11 | 55.8800 | [3]1,005 84 | 52.2500 | 940.50 | -65.34 | 12.96 | 1.37% |
| 47.000 | 01/21/11 | 58.2020 | [3]2,735 49 | 52.2500 | 2,455 75 | -279.74 | 33.84 | 1.37% |
| 51.000 | 03/18/11 | 59.8300 | 3,051.33 | 52.2500 | 2,664.75 | -386.58 | 36 72 | 1.37% |
| **116.000** | **Total** | | **$6,792.66** | | **$6,061.00** | **-$731.66** | **$83.52** | |
| **RENAISSANCE RE HOLDINGS LTD COM** | | | *Security Identifier* RNR | | | | | |
| ISIN#BMG7496G1033 | | | | | | | | |
| CUSIP: G7496G103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 13 000 | 03/18/11 | 63.6200 | 827 06 | 74.3700 | 966.81 | 139.75 | 13.52 | 1.39% |
| 60 000 | 06/16/11 | 70.0290 | 4,201.76 | 74.3700 | 4,462.20 | 260.44 | 62.40 | 1.39% |
| **73.000** | **Total** | | **$5,028.82** | | **$5,429.01** | **$400.19** | **$75.92** | |
| **RENT A CENTER INC COM** | | | *Security Identifier:* RCII | | | | | |
| CUSIP: 76009N100 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 56.000 | 03/18/11 | 33.2100 | 1,859 76 | 37.0000 | 2,072.00 | 212.24 | 35.84 | 1.72% |
| **RESMED INC COM** | | | *Security Identifier* RMD | | | | | |
| CUSIP: 761152107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 161 000 | 12/09/09* | 25.9850 | [3]4,183.59 | 25 4000 | 4,089 40 | -94.19 | | |

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Citi Personal Wealth Management

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East Coast Capital Advisors

**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **RIO TINTO PLC SPONSORED ADR** | | | *Security Identifier:* RIO | | | | | |
| ISIN#US7672041008 | | | | | | | | |
| CUSIP: 767204100 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 120.000 | 12/17/09* | 50 8960 | 6,107.57 | 48.9200 | 5,870 40 | -237 17 | 140.16 | 2.38% |
| **ROCK-TENN CO CL A** | | | *Security Identifier:* RKT | | | | | |
| CUSIP: 772739207 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 10.000 | 03/18/11 | 65.8600 | 658.60 | 57 7000 | 577.00 | -81.60 | 8 00 | 1.38% |
| **ROSETTA RES INC COM** | | | *Security Identifier:* ROSE | | | | | |
| CUSIP: 777779307 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2H | | | | | | | | |
| 27 000 | 03/18/11 | 45.0000 | 1,215.00 | 43.5000 | 1,174.50 | -40.50 | | |
| 13 000 | 09/14/11 | 42.5200 | 552.76 | 43.5000 | 565 50 | 12 74 | | |
| **40.000** | **Total** | | **$1,767.76** | | **$1,740.00** | **-$27.76** | **$0.00** | |
| **ROYAL DUTCH SHELL PLC SPONSORED ADR** | | | *Security Identifier* RDS A | | | | | |
| RESPTG A SHS | | | | | | | | |
| CUSIP: 780259206 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 208 000 | 12/09/09* | 59.5240 | 12,380.99 | 73.0900 | 15,202.72 | 2,821.73 | 594 05 | 3 90% |
| 130.000 | 06/21/10* | 54 6610 | 7,105.89 | 73.0900 | 9,501 70 | 2,395.81 | 371.28 | 3.90% |
| 112 000 | 08/22/11 | 63.2190 | 7,080.49 | 73.0900 | 8,186.08 | 1,105.59 | 319.87 | 3.90% |
| **450.000** | **Total** | | **$26,567.37** | | **$32,890.50** | **$6,323.13** | **$1,285.20** | |
| **SBA COMMUNICATIONS CORP CL A COM** | | | *Security Identifier* SBAC | | | | | |
| CUSIP: 78388J106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 124.000 | 05/23/11 | 39.3080 | 4,874.19 | 42.9600 | 5,327.04 | 452.85 | | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **SCHLUMBERGER LTD COM ISIN#AN8068571086** | | | *Security Identifier* SLB | | | | | |
| CUSIP: 806857108 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 156.000 | 12/09/09* | 60.2880 | 39,404 93 | 68.3100 | 10,656.36 | 1,251.43 | 156 00 | 1.46% |
| **SEAGATE TECHNOLOGY PLC SHS** | | | *Security Identifier* STX | | | | | |
| ISIN#IE00B58JVZ52 | | | | | | | | |
| CUSIP: G7945M107 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| Ratings: CITI-CIRA. 1 | | | | | | | | |
| 142 000 | 03/18/11 | 13.1680 | 1,869 91 | 16 4000 | 2,328 80 | 458 89 | 102.24 | 4.39% |
| **SELECT MED HLDGS CORP COM** | | | *Security Identifier:* SEM | | | | | |
| CUSIP: 81619Q105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 170.000 | 03/18/11 | 7.6600 | 1,302.18 | 8 4800 | 1,441.60 | 139.42 | | |
| **SEMGROUP CORP CL A** | | | *Security Identifier* SEMG | | | | | |
| CUSIP: 81663A105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 60 000 | 04/15/11 | 27.0390 | 1,622.34 | 26.0600 | 1,563.60 | -58.74 | | |
| 22.000 | 08/18/11 | 19 6900 | 433.18 | 26 0600 | 573.32 | 140 14 | | |
| **82.000** | **Total** | | **$2,055.52** | | **$2,136.92** | **$81.40** | **$0.00** | |
| **SENSIENT TECHNOLOGIES CORP** | | | *Security Identifier* SXT | | | | | |
| COM | | | | | | | | |
| CUSIP: 81725T100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 16.000 | 03/18/11 | 34 0100 | 544.16 | 37.9000 | 606.40 | 62.24 | 13 44 | 2.21% |
| **SERVICE CORP INTL** | | | *Security Identifier:* SCI | | | | | |
| CUSIP: 817565104 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 108.000 | 12/09/09* | 7.7780 | 840 03 | 10 6500 | 1,150.20 | 310.17 | 21 60 | 1.87% |
| 10.000 | 01/24/11 | 8 6980 | 86.98 | 10.6500 | 106.50 | 19.52 | 2 00 | 1.87% |
| **118.000** | **Total** | | **$927.01** | | **$1,256.70** | **$329.69** | **$23.60** | |
| **SHIRE PLC SPONS ADR** | | | *Security Identifier:* SHPGY | | | | | |
| ISIN#US82481R1068 | | | | | | | | |
| CUSIP: 82481R106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 78 000 | 05/12/11 | 96.4030 | 7,519 47 | 103.9000 | 8,104.20 | 584.73 | 31.19 | 0.38% |

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East Coast Capital Advisors

**Investment Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **SIGNATURE BK NEW YORK N Y COM** | | | *Security Identifier* SBNY | | | | | |
| CUSIP: 82669G104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 74.000 | 12/09/09* | 30.7300 | [3]2,274.02 | 59.9900 | 4,439.26 | 2,165.24 | | |
| 31.000 | 02/08/10* | 34.1600 | [3]1,058.96 | 59.9900 | 1,859.69 | 800.73 | | |
| **105.000** | **Total** | | **$3,332.98** | - | **$6,298.95** | **$2,965.97** | **$0.00** | |
| **SIGNET JEWELERS LIMITED** | | | *Security Identifier:* SIG | | | | | |
| SHS ISIN#BMG812761002 | | | | | | | | |
| CUSIP: G81276100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 184.000 | 12/09/09* | 23.8010 | [3]4,379.45 | 43.9600 | 8,088.64 | 3,709.19 | 73.60 | 0.90% |
| **SIRONA DENTAL SYS INC COM** | | | *Security Identifier:* SIRO | | | | | |
| CUSIP: 82966C103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 103.000 | 12/21/11 | 43.5060 | 4,481.10 | 44.0400 | 4,536.12 | 55.02 | | |
| **SKECHERS U S A INC CL A** | | | *Security Identifier:* SKX | | | | | |
| CUSIP: 830566105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 53.000 | 03/18/11 | 18.5100 | 981.03 | 12.1200 | 642.36 | -338.67 | | |
| **SKYWORKS SOLUTIONS INC COM** | | | *Security Identifier* SWKS | | | | | |
| CUSIP: 83088M102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 254.000 | 11/18/10* | 23.7700 | [3]6,037.66 | 16.2200 | 4,119.88 | -1,917.78 | | |
| **SLM CORP COM** | | | *Security Identifier:* SLM | | | | | |
| CUSIP: 78442P106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 132.000 | 03/18/11 | 14.7560 | 1,947.83 | 13.4000 | 1,768.80 | -179.03 | 52.80 | 2.98% |
| **SM ENERGY CO COM** | | | *Security Identifier* SM | | | | | |
| CUSIP: 78454L100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 12.000 | 08/19/11 | 71.9200 | 863.04 | 73.1000 | 877.20 | 14.16 | 1.20 | 0.13% |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **SOHU.COM INC COMMON STOCK** | | | *Security Identifier* SOHU | | | | | |
| CUSIP: 83408W103 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 97.000 | 06/09/11 | 68.8510 | 6,678.56 | 50 0000 | 4,850 00 | -1,828.56 | | |
| **SOLERA HOLDING INC COM** | | | *Security Identifier* SLH | | | | | |
| CUSIP 83421A104 | | | | | | | | |
| Dividend Option· Cash | | | | | | | | |
| 113 000 | 12/09/09* | 35.9780 | 34,065.52 | 44.5400 | 5,033 02 | 967.50 | 45.20 | 0 89% |
| **SOLUTIA INC COM NEW** | | | *Security Identifier* SOA | | | | | |
| CUSIP· 834376501 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 43.000 | 03/18/11 | 23.0500 | 991.15 | 17.2800 | 743 04 | -248.11 | | |
| **SOUTHWESTERN ENERGY CO COM** | | | *Security Identifier:* SWN | | | | | |
| CUSIP· 845467109 | | | | | | | | |
| Dividend Option· Cash | | | | | | | | |
| Ratings. CITI-CIRA: 2 | | | | | | | | |
| 22.000 | 06/04/09* | 42.9080 | 3943 97 | 31.9400 | 702.68 | -241.29 | | |
| 54.000 | 12/09/09* | 40 7480 | 32,200.39 | 31.9400 | 1,724.76 | -475.63 | | |
| **76.000** | **Total** | | **$3,144.36** | | **$2,427.44** | **-$716.92** | **$0.00** | |
| **SPECTRA ENERGY CORP COM** | | | *Security Identifier:* SE | | | | | |
| CUSIP· 847560109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA. 2M | | | | | | | | |
| 549 000 | 12/09/09* | 19.7060 | 310,818 65 | 30.7500 | 16,881.75 | 6,063.10 | 614 88 | 3.64% |
| **STANCORP FINL GROUP INC COM** | | | *Security Identifier:* SFG | | | | | |
| CUSIP: 852891100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA: 2M | | | | | | | | |
| 33.000 | 09/28/11 | 26.8800 | 887 04 | 36.7500 | 1,212.75 | 325 71 | 29.37 | 2 42% |
| **STANLEY BLACK & DECKER INC COM** | | | *Security Identifier:* SWK | | | | | |
| CUSIP: 854502101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 196 000 | 04/11/11 | 74.8500 | 14,670.60 | 67.6000 | 13,249.60 | -1,421 00 | 321 44 | 2.42% |
| 57.000 | 04/19/11 | 76 1590 | 4,341.08 | 67 6000 | 3,853.20 | -487.88 | 93.48 | 2 42% |
| 54.000 | 06/29/11 | 70 1770 | 3,789.55 | 67.6000 | 3,650.40 | -139.15 | 88.56 | 2.42% |
| **307.000** | **Total** | | **$22,801.23** | | **$20,753.20** | **-$2,048.03** | **$503.48** | |

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **STATOIL ASA SPONSORED ADR** ISIN#US85771P1021 CUSIP: 85771P102 Dividend Option: Cash | | | *Security Identifier:* STO | | | | | |
| 297 000 | 12/09/09* | 24.2480 | 7,201.51 | 25.6100 | 7,606 17 | 404.66 | 289.31 | 3.80% |
| **STERICYCLE INC COM** CUSIP: 858912108 Dividend Option: Cash | | | *Security Identifier:* SRCL | | | | | |
| 61.000 | 12/09/09* | 57.9180 | 3,532.97 | 77.9200 | 4,753 12 | 1,220.15 | | |
| **SVB FINL GROUP COM** CUSIP: 78486Q101 Dividend Option: Cash | | | *Security Identifier:* SIVB | | | | | |
| 24 000 | 09/28/11 | 38.0000 | 912.00 | 47.6900 | 1,144.56 | 232.56 | | |
| **SWIFT ENERGY CO COM** CUSIP: 870738101 Dividend Option: Cash | | | *Security Identifier:* SFY | | | | | |
| 43 000 | 09/14/11 | 30.2210 | 1,299.50 | 29 7200 | 1,277.96 | -21 54 | | |
| **SYKES ENTERPRISES INC COM** CUSIP: 871237103 Dividend Option: Cash | | | *Security Identifier* SYKE | | | | | |
| 53.000 | 03/18/11 | 18.3000 | 969.90 | 15.6600 | 829.98 | -139.92 | | |
| **SYMETRA FINL CORP COM** CUSIP: 87151Q106 Dividend Option: Cash | | | *Security Identifier:* SYA | | | | | |
| 95.000 | 03/18/11 | 13.2160 | 1,255.56 | 9.0700 | 861.65 | -393 91 | 22.80 | 2 64% |
| **SYMMETRY MED INC COM** CUSIP: 871546206 Dividend Option: Cash | | | *Security Identifier* SMA | | | | | |
| 127.000 | 03/18/11 | 9.1060 | 1,156.46 | 7.9900 | 1,014.73 | -141.73 | | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **SYNNEX CORP COM** | | | *Security Identifier:* SNX | | | | | |
| CUSIP: 87162W100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 51.000 | 03/18/11 | 34.0500 | 1,736.55 | 30.4600 | 1,553.46 | -183.09 | | |
| 1.000 | 03/25/11 | 31.9400 | 31.94 | 30.4600 | 30.46 | -1.48 | | |
| 6 day(s) added to your holding period as a result of a wash sale. | | | | | | | | |
| **52.000** | **Total** | | **$1,768.49** | | **$1,583.92** | **-$184.57** | **$0.00** | |
| **TELEFONICA BRASIL SA SPONSORED ADR** | | | *Security Identifier:* VIV | | | | | |
| ISIN#US87936R1068 | | | | | | | | |
| CUSIP: 87936R106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 294.000 | 12/28/10* | 21.2110 | 6,236.17 | 27.3300 | 8,035.02 | 1,798.85 | 676.36 | 8.41% |
| **TELENOR ASA ADS ISIN#US87944W1053** | | | *Security Identifier:* TELNY | | | | | |
| CUSIP: 87944W105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 170.000 | 12/09/09* | 41.7100 | [3]7,090.70 | 49.3130 | 8,383.21 | 1,292.51 | 304.70 | 3.63% |
| **TELETECH HLDGS INC COM** | | | *Security Identifier:* TTEC | | | | | |
| CUSIP: 879939106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 35.000 | 06/07/11 | 18.2900 | 640.15 | 16.2000 | 567.00 | -73.15 | | |
| **TERADATA CORP DEL COM** | | | *Security Identifier:* TDC | | | | | |
| CUSIP: 88076W103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 38.000 | 12/09/09* | 30.0500 | [3]1,141.90 | 48.5100 | 1,843.38 | 701.48 | | |
| 24.000 | 02/18/10* | 30.0280 | [3]720.67 | 48.5100 | 1,164.24 | 443.57 | | |
| 27.000 | 12/22/10* | 41.7640 | [3]1,127.63 | 48.5100 | 1,309.77 | 182.14 | | |
| **89.000** | **Total** | | **$2,990.20** | | **$4,317.39** | **$1,327.19** | **$0.00** | |
| **TERADYNE INC** | | | *Security Identifier:* TER | | | | | |
| CUSIP: 880770102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1H | | | | | | | | |
| 97.000 | 03/18/11 | 17.0900 | 1,657.73 | 13.6300 | 1,322.11 | -335.62 | | |
| **TEREX CORP NEW .01 PV** | | | *Security Identifier:* TEX | | | | | |
| CUSIP: 880779103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 132.000 | 08/16/10* | 19.0740 | [3]2,517.74 | 13.5100 | 1,783.32 | -734.42 | | |
| 70.000 | 09/02/10* | 19.7890 | [3]1,385.22 | 13.5100 | 945.70 | -439.52 | | |

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**Investment**
**Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **TEREX CORP NEW .01 PV** *(continued)* | | | | | | | | |
| 38 000 | 08/19/11 | 14.0900 | 535.42 | 13.5100 | 513.38 | -22.04 | | |
| **240.000** | **Total** | | **$4,438.38** | | **$3,242.40** | **-$1,195.98** | **$0.00** | |
| **TEXAS INSTRUMENTS INC** | | | *Security Identifier:* TXN | | | | | |
| CUSIP: 882508104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 285.000 | 02/18/10* | 24 6200 | [3]7,016.70 | 29.1100 | 8,296.35 | 1,279.65 | 193 80 | 2.33% |
| 248.000 | 11/09/10* | 31 4780 | [3]7,806.52 | 29.1100 | 7,219.28 | -587 24 | 168.64 | 2.33% |
| **533.000** | **Total** | | **$14,823.22** | | **$15,515.63** | **$692.41** | **$362.44** | |
| **THOR INDS INC** | | | *Security Identifier:* THO | | | | | |
| CUSIP: 885160101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 45.000 | 03/18/11 | 31.6600 | 1,424.70 | 27.4300 | 1,234.35 | -190.35 | 27.00 | 2.18% |
| **TIFFANY & COMPANY** | | | *Security Identifier:* TIF | | | | | |
| CUSIP: 886547108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 79.000 | 10/20/10* | 49 9500 | [3]3,946 05 | 66.2600 | 5,234.54 | 1,288 49 | 91.64 | 1.75% |
| **TIM PARTICIPACOES S A** | | | *Security Identifier* TSU | | | | | |
| SPONSORED ADR ISIN#US88706P2056 | | | | | | | | |
| CUSIP: 88706P205 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 319 000 | 12/07/10* | 20.2440 | 6,457.94 | 25.8000 | 8,230.20 | 1,772.26 | 197.09 | 2.39% |
| **TJX COMPANIES INC (NEW)** | | | *Security Identifier:* TJX | | | | | |
| CUSIP: 872540109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 3M | | | | | | | | |
| 296.000 | 12/09/09* | 37.1070 | [3]10,983.70 | 64.5500 | 19,106.80 | 8,123.10 | 224 96 | 1.17% |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **TOLL BROS INC** | | | *Security Identifier* TOL | | | | | |
| CUSIP: 889478103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 56.000 | 03/18/11 | 20 7500 | 1,162.00 | 20 4200 | 1,143.52 | -18.48 | | |
| **TOWERS WATSON & CO CL A** | | | *Security Identifier:* TW | | | | | |
| CUSIP: 891894107 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 46.000 | 03/18/11 | 55.7500 | 2,564.50 | 59.9300 | 2,756 78 | 192.28 | 18.40 | 0 66% |
| **TRAVELERS COS INC COM** | | | *Security Identifier:* TRV | | | | | |
| CUSIP: 89417E109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 497.000 | 12/09/09* | 50.1380 | [3]24,918.79 | 59.1700 | 29,407.49 | 4,488.70 | 815.08 | 2.77% |
| 14 000 | 07/08/10* | 49.8140 | [3]697 40 | 59.1700 | 828.38 | 130 98 | 22.96 | 2.77% |
| **511.000** | **Total** | | **$25,616.19** | | **$30,235.87** | **$4,619.68** | **$838.04** | |
| **TREEHOUSE FOODS INC COM** | | | *Security Identifier:* THS | | | | | |
| CUSIP: 89469A104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 61 000 | 07/12/10* | 47.2840 | [3]2,884.31 | 65.3800 | 3,988.18 | 1,103 87 | | |
| **TUPPERWARE BRANDS CORP COM** | | | *Security Identifier* TUP | | | | | |
| CUSIP: 899896104 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 99.000 | 12/09/09* | 47 8620 | [3]4,738.34 | 55 9700 | 5,541.03 | 802.69 | 118 80 | 2.14% |
| 5.000 | 04/29/10* | 52.8900 | [3]264.45 | 55.9700 | 279.85 | 15.40 | 6 00 | 2.14% |
| **104.000** | **Total** | | **$5,002.79** | | **$5,820.88** | **$818.09** | **$124.80** | |
| **TUTOR PERINI CORP COM** | | | *Security Identifier* TPC | | | | | |
| CUSIP: 901109108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 73 000 | 03/18/11 | 22.9900 | 1,678.27 | 12.3400 | 900 82 | -777 45 | | |
| **UNITED PARCEL SVC INC CL B** | | | *Security Identifier:* UPS | | | | | |
| CUSIP: 911312106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 19 000 | 07/24/08* | 62.9880 | [3]1,196 77 | 73.1900 | 1,390.61 | 193 84 | 39.52 | 2 84% |
| 252 000 | 12/09/09* | 57.7580 | [3]14,555 12 | 73.1900 | 18,443.88 | 3,888 76 | 524.16 | 2 84% |
| **271.000** | **Total** | | **$15,751.89** | | **$19,834.49** | **$4,082.60** | **$563.68** | |

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Citi Personal Wealth Management

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**Investment Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **UNITED TECHNOLOGIES CORP COM** | | *Security Identifier* UTX | | | | | | |
| CUSIP: 913017109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2M | | | | | | | | |
| 386.000 | 12/09/09* | 67.3460 | [3]25,995.60 | 73.0900 | 28,212.74 | 2,217.14 | 741.12 | 2.62% |
| **UNIVERSAL CORP VA COM** | | *Security Identifier:* UVV | | | | | | |
| CUSIP: 913456109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 20.000 | 03/18/11 | 42.0500 | 841.00 | 45.9600 | 919.20 | 78.20 | 39.20 | 4.26% |
| **UTI WORLDWIDE INC SHS** | | *Security Identifier:* UTIW | | | | | | |
| ISIN#VGG872101032 | | | | | | | | |
| CUSIP: G87210103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 66.000 | 03/18/11 | 18.9000 | 1,247.40 | 13.2900 | 877.14 | -370.26 | 3.96 | 0.45% |
| **V F CORP** | | *Security Identifier:* VFC | | | | | | |
| CUSIP: 918204108 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 3.000 | 07/29/10* | 79.4430 | [3]238.33 | 126.9900 | 380.97 | 142.64 | 8.64 | 2.26% |
| 98.000 | 08/31/10* | 71.2050 | [3]6,978.13 | 126.9900 | 12,445.02 | 5,466.89 | 282.24 | 2.26% |
| **101.000** | **Total** | | **$7,216.46** | | **$12,825.99** | **$5,609.53** | **$290.88** | |
| **VALE SA ADR** | | *Security Identifier:* VALE | | | | | | |
| ISIN#US91912E1055 | | | | | | | | |
| CUSIP: 91912E105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 252.000 | 03/28/11 | 32.5380 | 8,199.48 | 21.4500 | 5,405.40 | -2,794.08 | 7.13 | 0.13% |
| **VALEO SPON ADR** | | *Security Identifier:* VLEEY | | | | | | |
| CUSIP: 919134304 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 273.000 | 12/02/10* | 28.9190 | [3]7,895.02 | 19.9330 | 5,441.71 | -2,453.31 | 194.63 | 3.57% |
| 5.000 | 03/25/11 | 29.2420 | 146.21 | 19.9330 | 99.67 | -46.54 | 3.56 | 3.57% |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **VALEO SPON ADR** *(continued)* | | | | | | | | |
| 112 day(s) added to your holding period as a result of a wash sale. | | | | | | | | |
| 7.000 | 03/25/11 | 28.8200 | 201.74 | 19 9330 | 139.53 | -62.21 | 4.99 | 3 57% |
| **285.000** | **Total** | | **$8,242.97** | | **$5,680.91** | **-$2,562.06** | **$203.18** | |
| **VALIDUS HLDGS LTD COM SHS** | | | *Security Identifier* VR | | | | | |
| ISIN#BMG9319H1025 | | | | | | | | |
| CUSIP: G9319H102 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 56.000 | 12/09/09* | 26 6000 | [3]1,489.60 | 31.5000 | 1,764.00 | 274 40 | 56.00 | 3.17% |
| 52 000 | 03/18/11 | 30.0400 | 1,562 08 | 31.5000 | 1,638.00 | 75.92 | 52.00 | 3.17% |
| **108.000** | **Total** | | **$3,051.68** | | **$3,402.00** | **$350.32** | **$108.00** | |
| **VCA ANTECH INC COM** | | | *Security Identifier:* WOOF | | | | | |
| CUSIP. 918194101 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 73.000 | 03/18/11 | 24.5200 | 1,789.96 | 19.7500 | 1,441 75 | -348.21 | | |
| **VISA INC COM CL A** | | | *Security Identifier* V | | | | | |
| CUSIP. 92826C839 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 38 000 | 06/09/10* | 75 0280 | [3]2,851.08 | 101.5300 | 3,858.14 | 1,007.06 | 33.44 | 0 86% |
| 22.000 | 06/21/10* | 76.6230 | [3]1,685.70 | 101.5300 | 2,233.66 | 547.96 | 19.36 | 0.86% |
| 26 000 | 06/29/10* | 71.8470 | [3]1,868 03 | 101.5300 | 2,639.78 | 771 75 | 22.88 | 0 86% |
| 19 000 | 07/06/10* | 73 6600 | [3]1,399.54 | 101.5300 | 1,929.07 | 529.53 | 16.72 | 0.86% |
| 13.000 | 02/04/11 | 72.7110 | [3]945.24 | 101.5300 | 1,319.89 | 374.65 | 11.44 | 0 86% |
| **118.000** | **Total** | | **$8,749.59** | | **$11,980.54** | **$3,230.95** | **$103.84** | |
| **VOLKSWAGEN A G ADR (SPONS)** | | | *Security Identifier:* VLKAY | | | | | |
| CUSIP 928662303 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 278.000 | 12/28/10* | 27.8350 | [3]7,738 02 | 26.9110 | 7,481.26 | -256 76 | 133.70 | 1.78% |
| **WABCO HLDGS INC COM** | | | *Security Identifier* WBC | | | | | |
| CUSIP. 92927K102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 35 000 | 02/10/11 | 57 7320 | [3]2,020.61 | 43.4000 | 1,519.00 | -501.61 | | |
| 45.000 | 03/25/11 | 60.5400 | 2,724.30 | 43.4000 | 1,953.00 | -771.30 | | |
| **80.000** | **Total** | | **$4,744.91** | | **$3,472.00** | **-$1,272.91** | **$0.00** | |
| **WAL MART STORES INC COM** | | | *Security Identifier:* WMT | | | | | |
| CUSIP: 931142103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings CITI-CIRA: 1 | | | | | | | | |
| 437.000 | 12/09/09* | 54 0960 | [3]23,639 95 | 59.7600 | 26,115.12 | 2,475.17 | 638 02 | 2 44% |

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**Investment Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **WARNACO GROUP INC COM NEW** | | | *Security Identifier:* WRC | | | | | |
| CUSIP: 934390402 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 7.000 | 12/09/09* | 42.0800 | 294.56 | 50.0400 | 350.28 | 55.72 | | |
| 4.000 | 08/18/10* | 42.7400 | 170.96 | 50.0400 | 200.16 | 29.20 | | |
| **11.000** | **Total** | | **$465.52** | | **$550.44** | **$84.92** | $0.00 | |
| **WARNER CHILCOTT PLC SHS A** | | | *Security Identifier:* WCRX | | | | | |
| CUSIP: G94368100 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 352.000 | 03/09/11 | 23.9000 | 8,412.80 | 15.1300 | 5,325.76 | -3,087.04 | | |
| **WASTE MGMT INC DEL COM** | | | *Security Identifier:* WM | | | | | |
| CUSIP: 94106L109 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 656.000 | 12/09/09* | 33.1700 | 21,759.52 | 32.7100 | 21,457.76 | -301.76 | 892.16 | 4.15% |
| 22.000 | 07/08/10* | 32.7050 | 719.51 | 32.7100 | 719.62 | 0.11 | 29.92 | 4.15% |
| **678.000** | **Total** | | **$22,479.03** | | **$22,177.38** | **-$301.65** | **$922.08** | |
| **WELLS FARGO & CO NEW COM** | | | *Security Identifier:* WFC | | | | | |
| CUSIP: 949746101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 245.000 | 12/09/09* | 26.1680 | 6,411.11 | 27.5600 | 6,752.20 | 341.09 | 117.60 | 1.74% |
| 93.000 | 06/10/11 | 26.2980 | 2,445.71 | 27.5600 | 2,563.08 | 117.37 | 44.64 | 1.74% |
| **338.000** | **Total** | | **$8,856.82** | | **$9,315.28** | **$458.46** | **$162.24** | |
| **WESCO INTL INC COM** | | | *Security Identifier:* WCC | | | | | |
| CUSIP: 95082P105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 25.000 | 03/18/11 | 59.7800 | 1,494.50 | 53.0100 | 1,325.25 | -169.25 | | |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Common Stocks** *(continued)* | | | | | | | | |
| **WILLIS GROUP HLDGS PUBLIC LTD CO** SHS | | | *Security Identifier:* WSH | | | | | |
| CUSIP: G96666105 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings. CITI-CIRA: 2 | | | | | | | | |
| 28 000 | 03/18/11 | 39 1000 | 1,094 80 | 38.8000 | 1,086 40 | -8 40 | 29.12 | 2 68% |
| **WORLD FUEL SVCS CORP COM** | | | *Security Identifier:* INT | | | | | |
| CUSIP: 981475106 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 41 000 | 03/18/11 | 37.9900 | 1,557.59 | 41 9800 | 1,721.18 | 163.59 | 6.15 | 0.35% |
| **XEROX CORPORATION** | | | *Security Identifier:* XRX | | | | | |
| CUSIP. 984121103 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings. CITI-CIRA: 1 | | | | | | | | |
| 262 000 | 01/05/11 | 11.4900 | [3]3,010.38 | 7.9600 | 2,085.52 | -924 86 | 44.54 | 2.13% |
| 5 000 | 03/25/11 | 11.8920 | 59 46 | 7.9600 | 39.80 | -19.66 | 0 85 | 2.13% |
| 78 day(s) added to your holding period as a result of a wash sale. | | | | | | | | |
| 21.000 | 03/25/11 | 10.6600 | 223.86 | 7.9600 | 167.16 | -56 70 | 3 57 | 2 13% |
| 171 000 | 03/31/11 | 10.6990 | 1,829.48 | 7.9600 | 1,361.16 | -468.32 | 29 07 | 2 13% |
| **459.000** | **Total** | | **$5,123.18** | | **$3,653.64** | **-$1,469.54** | **$78.03** | |
| **YANZHOU COAL MINING CO LTD SPONSORED ADR** REPSTG H SHS | | | *Security Identifier* YZC | | | | | |
| CUSIP. 984846105 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 222.000 | 06/30/10* | 19.4680 | [3]4,322.00 | 21.2100 | 4,708 62 | 386.62 | 179.71 | 3.81% |
| **3M CO COM** | | | *Security Identifier:* MMM | | | | | |
| CUSIP 88579Y101 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| Ratings: CITI-CIRA: 2 | | | | | | | | |
| 193.000 | 12/09/09* | 79.8780 | [3]15,416.46 | 81.7300 | 15,773.89 | 357 43 | 424.60 | 2.69% |
| 3.000 | 10/29/10* | 84.6870 | [3]254.06 | 81.7300 | 245.19 | -8.87 | 6.60 | 2.69% |
| 2.000 | 11/03/10* | 84.7300 | [3]169.46 | 81.7300 | 163.46 | -6 00 | 4.40 | 2 69% |
| 1.000 | 11/29/10* | 83.7700 | [3]83.77 | 81 7300 | 81.73 | -2.04 | 2.20 | 2 69% |
| 3 000 | 12/08/10* | 83.9630 | [3]251.89 | 81 7300 | 245.19 | -6.70 | 6 60 | 2.69% |
| **202.000** | **Total** | | **$16,175.64** | | **$16,509.46** | **$333.82** | **$444.40** | |
| **Total Common Stocks** | | | **$2,114,224.14** | | **$2,275,940.35** | **$161,716.21** | **$49,672.91** | |

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**Investment Account Statement**

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Real Estate Investment Trusts** | | | | | | | | |
| **ANNALY CAP MGMT INC COM** CUSIP: 035710409 Dividend Option. Cash Ratings: CITI-CIRA: 2 | | | *Security Identifier* NLY | | | | | |
| 220 000 | 12/09/09* | 18.5970 | [3]4,091.23 | 15.9600 | 3,511.20 | -580.03 | 501.60 | 14.28% |
| **ANWORTH MTG ASSET CORP COM** CUSIP: 037347101 Dividend Option: Cash | | | *Security Identifier:* ANH | | | | | |
| 154.000 | 03/18/11 | 7.0690 | 1,088.63 | 6.2800 | 967.12 | -121.51 | 129.36 | 13.37% |
| **CAPSTEAD MTG CORP COM NO PAR** CUSIP: 14067E506 Dividend Option: Cash | | | *Security Identifier:* CMO | | | | | |
| 57 000 | 03/18/11 | 13.2800 | 756.96 | 12 4400 | 709 08 | -47.88 | 98.04 | 13.82% |
| **CHATHAM LODGING TR COM** CUSIP: 16208T102 Dividend Option: Cash | | | *Security Identifier:* CLDT | | | | | |
| 27.000 | 03/18/11 | 16.1000 | 434.70 | 10.7800 | 291.06 | -143.64 | 18.90 | 6 49% |
| **COLONY FINL INC COM** CUSIP: 19624R106 Dividend Option: Cash | | | *Security Identifier:* CLNY | | | | | |
| 25.000 | 03/18/11 | 20.7600 | 519.00 | 15 7100 | 392.75 | -126.25 | 34.00 | 8 65% |
| **DIGITAL RLTY TR INC COM** CUSIP: 253868103 Dividend Option: Cash Ratings: CITI-CIRA: 2 | | | *Security Identifier:* DLR | | | | | |
| 98.000 | 12/09/09* | 48 4940 | [3]4,752.41 | 66 6700 | 6,533 66 | 1,781.25 | 266 56 | 4 07% |
| **ESSEX PROPERTY TRUST** CUSIP: 297178105 Dividend Option..Cash Ratings: CITI-CIRA: 2 | | | *Security Identifier:* ESS | | | | | |
| 34 000 | 12/09/09* | 81.3870 | [3]2,767 16 | 140.5100 | 4,777.34 | 2,010.18 | 141 44 | 2 96% |

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## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Equities** *(continued)* | | | | | | | | |
| **Real Estate Investment Trusts** *(continued)* | | | | | | | | |
| **HATTERAS FINL CORP COM** | | *Security Identifier:* HTS | | | | | | |
| CUSIP: 41902R103 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| 52.000 | 03/18/11 | 28.4600 | 1,479.92 | 26.3700 | 1,371.24 | -108 68 | 187.20 | 13 65% |
| 16 000 | 08/01/11 | 27.2900 | 436 64 | 26.3700 | 421 92 | -14.72 | 57 60 | 13 65% |
| **68.000** | **Total** | | **$1,916.56** | | **$1,793.16** | **-$123.40** | **$244.80** | |
| **MACERICH CO COM** | | *Security Identifier* MAC | | | | | | |
| CUSIP: 554382101 | | | | | | | | |
| Dividend Option. Cash | | | | | | | | |
| Ratings: CITI-CIRA: 1 | | | | | | | | |
| 134.000 | 05/26/10* | 40 5650 | 35,435.67 | 50 6000 | 6,780.40 | 1,344 73 | 294 80 | 4.34% |
| 38 000 | 09/02/10* | 43 4800 | 31,652.24 | 50.6000 | 1,922.80 | 270 56 | 83 60 | 4.34% |
| **172.000** | **Total** | | **$7,087.91** | | **$8,703.20** | **$1,615.29** | **$378.40** | |
| **MFA FINL INC COM** | | *Security Identifier:* MFA | | | | | | |
| CUSIP. 55272X102 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 131.000 | 03/18/11 | 8 1260 | 1,064.56 | 6 7200 | 880 32 | -184.24 | 131.00 | 14.88% |
| 156 000 | 05/02/11 | 8.0060 | 1,249.00 | 6.7200 | 1,048.32 | -200.68 | 156.00 | 14 88% |
| 64 000 | 06/03/11 | 8 0800 | 517 11 | 6.7200 | 430 08 | -87 03 | 64.00 | 14.88% |
| **351.000** | **Total** | | **$2,830.67** | | **$2,358.72** | **-$471.95** | **$351.00** | |
| **REDWOOD TR INC COM** | | *Security Identifier:* RWT | | | | | | |
| CUSIP: 758075402 | | | | | | | | |
| Dividend Option: Cash | | | | | | | | |
| 83 000 | 03/18/11 | 15 7700 | 1,308.91 | 10 1800 | 844.94 | -463.97 | 83 00 | 9.82% |
| **TWO HBRS INVT CORP COM** | | *Security Identifier:* TWO | | | | | | |
| CUSIP 90187B101 | | | | | | | | |
| Dividend Option Cash | | | | | | | | |
| 63.000 | 05/25/11 | 10.5800 | 666.53 | 9.2400 | 582.12 | -84.41 | 100.80 | 17.31% |
| **Total Real Estate Investment Trusts** | | | **$28,220.67** | | **$31,464.35** | **$3,243.68** | **$2,347.90** | |
| **Total Equities** | | | **$2,142,444.81** | | **$2,307,404.70** | **$164,959.89** | **$52,020.81** | |

Citi Investment Research & Analysis (CIRA) ratings may be shown for certain securities. All research ratings represent "opinions" and are not representations or guarantees of performance. Because the research report contains more complete information regarding the analyst's opinions, analysis, and rating, you should read the entire research report and not infer its contents from the rating. CIRA's stock recommendations include an investment rating and a risk rating. The Investment Rating Code (1, 2 or 3) is a function of CIRA's expectation of total return (forecast price appreciation and dividend yield within the next 12 months) and a Risk Rating. The Risk Rating (L, M, H or S) represents the stock's expected risk, taking into account price volatility and fundamental criteria. Please refer to the end of this statement for a guide describing CIRA ratings. Any third-party research rating have been normalized by such third party providers to a 1 (Buy), 2 (Hold), and 3 (Sell). Citi Investment Research is not the author of, does not take responsibility for, and does not guaranty the accuracy, completeness, or timeliness of the third-party research.

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# Investment Account Statement

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

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Mutual Funds 18.00% of Portfolio** | | | | | | | | |
| **Mutual Funds** | | | | | | | | |
| **ALLIANZ GLOBAL INVESTORS FIXED** | | | *Security Identifier:* FXICX | | | | | |
| INCOME SHARES SERIES G | | | | | | | | |
| CUSIP: 01882B205 | | | | | | | | |
| Open End Fund | | | | | | | | |
| Dividend Option: Reinvest; Capital Gains Option: Reinvest | | | | | | | | |
| 22,725.000 | 04/16/09* | 11.3700 | $258,383.25 | 12.4700 | 283,380.75 | 24,997.50 | 28,407.75 | 10.02% |
| 3,380.000 | 01/06/11* | 12.6900 | $42,892.20 | 12.4700 | 42,148.60 | -743.60 | 4,225.22 | 10.02% |
| 771.998 | 03/09/11* | 12.9100 | 9,966.50 | 12.4700 | 9,626.82 | -339.68 | 965.05 | 10.02% |
| 2,697.981 | 03/28/11* | 12.8800 | 34,750.00 | 12.4700 | 33,643.82 | -1,106.18 | 3,372.65 | 10.02% |
| **29,574.979** | **Total** | | **$345,991.95** | | **$368,799.99** | **$22,808.04** | **$36,970.67** | |
| **ALLIANZ GLOBAL INVESTORS FIXED** | | | *Security Identifier:* FXIMX | | | | | |
| INCOME SHARES SERIES M | | | | | | | | |
| CUSIP: 01882B304 | | | | | | | | |
| Open End Fund | | | | | | | | |
| Dividend Option: Reinvest; Capital Gains Option: Reinvest | | | | | | | | |
| 27,101.360 | 04/16/09* | 8.6400 | $234,155.75 | 10.4000 | 281,854.14 | 47,698.39 | 13,296.03 | 4.71% |
| 2,350.000 | 01/11/11* | 10.3000 | $24,205.00 | 10.4000 | 24,440.00 | 235.00 | 1,152.92 | 4.71% |
| 1,344.793 | 03/09/11* | 10.3700 | 13,945.50 | 10.4000 | 13,985.85 | 40.35 | 659.76 | 4.71% |
| 3,397.870 | 03/28/11* | 10.3300 | 35,100.00 | 10.4000 | 35,337.85 | 237.85 | 1,667.01 | 4.71% |
| **34,194.023** | **Total** | | **$307,406.25** | | **$355,617.84** | **$48,211.59** | **$16,775.72** | |
| **APOLLO INVT CORP COM** | | | *Security Identifier:* AINV | | | | | |
| CUSIP: 03761U106 | | | | | | | | |
| Closed End Fund | | | | | | | | |
| Dividend Option: Cash; Capital Gains Option: Cash | | | | | | | | |
| 68.000 | 03/18/11* | 11.3900 | 774.52 | 6.4400 | 437.92 | -336.60 | 76.16 | 17.39% |

[redacted]

## Portfolio Holdings *(continued)*

| Quantity | Acquisition Date | Unit Cost | Cost Basis | Market Price | Market Value | Unrealized Gain/Loss | Estimated Annual Income | Estimated Yield |
|---|---|---|---|---|---|---|---|---|
| **Mutual Funds** *(continued)* | | | | | | | | |
| **Mutual Funds** *(continued)* | | | | | | | | |
| **ARES CAP CORP COM** | | *Security Identifier* ARCC | | | | | | |
| CUSIP: 04010L103 | | | | | | | | |
| Closed End Fund | | | | | | | | |
| Dividend Option Cash; Capital Gains Option: Cash | | | | | | | | |
| 144 000 | 03/18/11* | 16.3800 | 2,358 72 | 15.4500 | 2,224 80 | -133.92 | 207.36 | 9.32% |
| **Total Mutual Funds** | | | $656,531.44 | | $727,080.55 | $70,549.11 | $54,029.91 | |
| **Total Mutual Funds** | | | $656,531.44 | | $727,080.55 | $70,549.11 | $54,029.91 | |