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Form 990-PF

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

OMB No 1545-0052

2012

Open to Public Inspection

Department of the Treasury Internal Revenue Service

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

For calendar year 2012, or tax year beginning 01-01-2012, and ending 12-31-2012

Name of foundation: HALBERT HARMON FOUNDATION. Employer identification number: 20-0214688. Telephone number: (817) 939-4946. City: IRVING, TX 750392443. Accounting method: Cash. Fair market value: \$4,005,572.

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))

Table with 5 columns: (a) Revenue and expenses per books, (b) Net investment income, (c) Adjusted net income, (d) Disbursements for charitable purposes. Rows include Revenue (1-12), Operating and Administrative Expenses (13-26), and Summary (27-29).

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

Part II Balance Sheets		Beginning of year		End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value	
Assets	1 Cash—non-interest-bearing	42,924	87,843	87,843	
	2 Savings and temporary cash investments	993,386	1,344,538	1,344,538	
	3 Accounts receivable ▶ _____ Less allowance for doubtful accounts ▶ _____				
	4 Pledges receivable ▶ _____ Less allowance for doubtful accounts ▶ _____				
	5 Grants receivable				
	6 Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see page 15 of the instructions)				
	7 Other notes and loans receivable (attach schedule) ▶ 1,000,000 Less allowance for doubtful accounts ▶ _____	1,000,000	1,000,000	1,000,000	
	8 Inventories for sale or use				
	9 Prepaid expenses and deferred charges				
	10a Investments—U S and state government obligations (attach schedule)				
	b Investments—corporate stock (attach schedule)	1,231,497	1,130,566	1,573,191	
	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)	3,267,807	3,562,947	4,005,572		
Liabilities	17 Accounts payable and accrued expenses				
	18 Grants payable				
	19 Deferred revenue				
	20 Loans from officers, directors, trustees, and other disqualified persons				
	21 Mortgages and other notes payable (attach schedule)				
22 Other liabilities (describe ▶ _____)					
23 Total liabilities (add lines 17 through 22)		0			
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> 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 ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.				
	27 Capital stock, trust principal, or current funds				
	28 Paid-in or capital surplus, or land, bldg, and equipment fund				
29 Retained earnings, accumulated income, endowment, or other funds	3,267,807	3,562,947			
30 Total net assets or fund balances (see page 17 of the instructions)	3,267,807	3,562,947			
31 Total liabilities and net assets/fund balances (see page 17 of the instructions)	3,267,807	3,562,947			

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	3,267,807
2	Enter amount from Part I, line 27a	2	419,191
3	Other increases not included in line 2 (itemize) ▶ _____	3	
4	Add lines 1, 2, and 3	4	3,686,998
5	Decreases not included in line 2 (itemize) ▶ _____	5	124,051
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	3,562,947

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)		(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo, day, yr)	(d) Date sold (mo, day, yr)
1a	See Additional Data Table			
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	See Additional Data Table			
b				
c				
d				
e				
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))	
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any		
a	See Additional Data Table			
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	187,510
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

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

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

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

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

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

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2011	57,607	2,286,005	0.0252
2010	45,263	2,456,344	0.018427
2009	113,500	2,276,576	0.049856
2008	298,500	2,568,506	0.116215
2007	288,000	2,697,111	0.106781
2	Total of line 1, column (d).		2 0.316479
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 0.063296
4	Enter the net value of noncharitable-use assets for 2012 from Part X, line 5.		4 2,667,978
5	Multiply line 4 by line 3.		5 168,872
6	Enter 1% of net investment income (1% of Part I, line 27b).		6 1,979
7	Add lines 5 and 6.		7 170,851
8	Enter qualifying distributions from Part XII, line 4.		8 53,382

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 page 18 of the instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary—see instructions)		
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1	3,958
c	All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b)		
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	2	
3	Add lines 1 and 2.	3	3,958
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-)	4	
5	Tax based on investment income. Subtract line 4 from line 3 If zero or less, enter -0-	5	3,958
6	Credits/Payments		
a	2012 estimated tax payments and 2011 overpayment credited to 2012	6a	2,268
b	Exempt foreign organizations—tax withheld at source	6b	
c	Tax paid with application for extension of time to file (Form 8868)	6c	4,500
d	Backup withholding erroneously withheld	6d	
7	Total credits and payments Add lines 6a through 6d.	7	6,768
8	Enter any penalty for underpayment of estimated tax Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10	2,810
11	Enter the amount of line 10 to be Credited to 2013 estimated tax ▶ 2,810 Refunded ▶	11	

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? <input checked="" type="checkbox"/>		No
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see page 19 of the instructions for definition)? <i>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.</i>		No
c Did the foundation file Form 1120-POL for this year?		No
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year (1) On the foundation ▶ \$ _____ (2) On foundation managers ▶ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>		No
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i> <input checked="" type="checkbox"/>		No
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		No
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i> <input checked="" type="checkbox"/>		No
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either ● By language in the governing instrument, or ● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	Yes	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col (c), and Part XV</i>	Yes	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ 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? <i>If "No," attach explanation .</i>	Yes	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>		No
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		No

Part VII-A Statements Regarding Activities (continued)

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11		No
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		No
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address N/A	13	Yes	
14	The books are in care of CHRISTOPHER HARMON Telephone no (972) 590-2100 Located at 6655 N MACARTHUR BLVD IRVING TX ZIP +4 75039			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 —Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the year.	15		
16	At any time during calendar year 2012, 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		No

See instructions for exceptions and filing requirements for Form TD F 90-22.1 If "Yes", enter the name of the foreign country

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

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.		Yes	No
1a	During the year did the foundation (either directly or indirectly)		
	(1) Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 20 of the instructions)? Organizations relying on a current notice regarding disaster assistance check here. <input type="checkbox"/>	1b	
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 2012?	1c	No
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a	At the end of tax year 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years 20 ____, 20 ____, 20 ____, 20 ____		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions).	2b	No
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here 20 ____, 20 ____, 20 ____, 20 ____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2012 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? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012.</i>)	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	No
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012?	4b	No

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

<p>5a During the year did the foundation pay or incur any amount to</p> <p>(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>(3) Provide a grant to an individual for travel, study, or other similar purposes? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>(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). <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>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</p> <p>Organizations relying on a current notice regarding disaster assistance check here. <input type="checkbox"/></p> <p>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? <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes," attach the statement required by Regulations section 53.4945–5(d).</p> <p>6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? 6b No If "Yes" to 6b, file Form 8870.</p> <p>7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>b If yes, did the foundation receive any proceeds or have any net income attributable to the transaction? 7b</p>	
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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 Additional Data Table				

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

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

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

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

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation

Total number of others receiving over \$50,000 for professional services. ▶

Part IX-A Summary of Direct Charitable Activities

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 	
2 	
All other program-related investments. See page 24 of the instructions 3 	

Total. Add lines 1 through 3. ▶

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see 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	1,597,984
b	Average of monthly cash balances.	1b	1,110,623
c	Fair market value of all other assets (see instructions).	1c	0
d	Total (add lines 1a, b, and c).	1d	2,708,607
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation).	1e	
2	Acquisition indebtedness applicable to line 1 assets.	2	0
3	Subtract line 2 from line 1d.	3	2,708,607
4	Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	40,629
5	Net value of noncharitable-use assets. Subtract line 4 from line 3 Enter here and on Part V, line 4	5	2,667,978
6	Minimum investment return. Enter 5% of line 5.	6	133,399

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	133,399
2a	Tax on investment income for 2012 from Part VI, line 5.	2a	3,958
b	Income tax for 2012 (This does not include the tax from Part VI).	2b	
c	Add lines 2a and 2b.	2c	3,958
3	Distributable amount before adjustments Subtract line 2c from line 1.	3	129,441
4	Recoveries of amounts treated as qualifying distributions.	4	
5	Add lines 3 and 4.	5	129,441
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	129,441

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc , purposes		
a	Expenses, contributions, gifts, etc —total from Part I, column (d), line 26.	1a	53,382
b	Program-related investments—total from Part IX-B.	1b	0
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes.	2	0
3	Amounts set aside for specific charitable projects that satisfy the		
a	Suitability test (prior IRS approval required).	3a	0
b	Cash distribution test (attach the required schedule).	3b	0
4	Qualifying distributions. Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4	4	53,382
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	
6	Adjusted qualifying distributions. Subtract line 5 from line 4.	6	53,382

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 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				129,441
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only.			0	
b Total for prior years 2010, 2009, 2008		0		
3 Excess distributions carryover, if any, to 2012				
a From 2007.	155,217			
b From 2008.	170,702			
c From 2009.	113,500			
d From 2010.				
e From 2011.				
f Total of lines 3a through e.	439,419			
4 Qualifying distributions for 2012 from Part XII, line 4 ▶ \$ <u>53,382</u>				
a Applied to 2011, but not more than line 2a			0	
b Applied to undistributed income of prior years (Election required—see instructions).				
c Treated as distributions out of corpus (Election required—see instructions).				
d Applied to 2012 distributable amount.				53,382
e Remaining amount distributed out of corpus	0			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).)	76,059			76,059
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	363,360			
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.				
d Subtract line 6c from line 6b Taxable amount—see instructions.		0		
e Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount—see instructions.			0	
f Undistributed income for 2012 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2013.				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (see instructions).				
8 Excess distributions carryover from 2007 not applied on line 5 or line 7 (see instructions).	79,158			
9 Excess distributions carryover to 2013. Subtract lines 7 and 8 from line 6a.	284,202			
10 Analysis of line 9				
a Excess from 2008.	170,702			
b Excess from 2009.	113,500			
c Excess from 2010.				
d Excess from 2011.				
e Excess from 2012.				

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

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2012, enter the date of the ruling.

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

	Tax year	Prior 3 years			(e) Total
	(a) 2012	(b) 2011	(c) 2010	(d) 2009	
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))

See Additional Data Table

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

NA

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

Check here if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see 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

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

c Any submission deadlines

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

Part XV **Supplementary Information** (continued)

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i> See Additional Data Table				
Total			3a	48,484
b <i>Approved for future payment</i>				
Total			3b	

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

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... a Transfers from the reporting foundation to a noncharitable exempt organization of (1) Cash (2) Other assets b Other transactions (1) Sales of assets to a noncharitable exempt organization (2) Purchases of assets from a noncharitable exempt organization (3) Rental of facilities, equipment, or other assets (4) Reimbursement arrangements (5) Loans or loan guarantees (6) Performance of services or membership or fundraising solicitations c Sharing of facilities, equipment, mailing lists, other assets, or paid employees d If the answer to any of the above is "Yes," complete the following schedule

Table with 4 columns: (a) Line No, (b) Amount involved, (c) Name of noncharitable exempt organization, (d) Description of transfers, transactions, and sharing arrangements

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

b If "Yes," complete the following schedule Table with 3 columns: (a) Name of organization, (b) Type of organization, (c) Description of relationship

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

Paid Preparer Use Only Print/Type preparer's name Preparer's Signature Date Check if self-employed PTIN Firm's name PricewaterhouseCoopers LLP Firm's EIN Firm's address Dallas, TX 752012997 Phone no (214) 999-1400

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns a - d

(a) List and describe the kind(s) of property sold (e g , real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo , day, yr)	(d) Date sold (mo , day, yr)
1000 SHS CVS CAREMARK CORP	P	2011-12-28	2012-06-20
2300 SHS CVS CAREMARK CORP	P		2012-06-20
SEE STATEMENT A	P		
SEE STATEMENT A	P		
SEE STATEMENT A	P		
SEE STATEMENT B	P		
SEE STATEMENT B	P		
SEE STATEMENT C	P		
SEE STATEMENT C	P		
CAPITAL GAIN DIVIDENDS	P		

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns e - h

(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)
45,839		1,000	44,839
105,430		2,300	103,130
169,356		188,135	-16,638
211,998		209,081	2,917
147,271		122,013	25,258
5,579		3,830	1,749
44,573		20,970	23,603
135,206		142,137	-6,931
59,758		50,381	9,377
			206

Form 990PF Part IV - Capital Gains and Losses for Tax on Investment Income - Columns i - l

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
			44,839
			103,130
			-16,638
			2,917
			25,258
			1,749
			23,603
			-6,931
			9,377

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

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
DAVID S HALBERT 6655 N MACARTHUR BLVD IRVING, TX 750392443	DIRECTOR/PRESIDENT 0	0	0	0
JON MARK HARMON 2671 OLD ANNETTA ROAD ALEDO, TX 76008	DIRECTOR/V P 0	0	0	0
CHRISTOPHER ROBERT HARMON 6655 N MACARTHUR BLVD IRVING, TX 750392443	DIRECTOR/SECRETARY 0	0	0	0
BELINDA JO HARMON 2671 OLD ANNETTA ROAD ALEDO, TX 76008	DIRECTOR/V P 0	0	0	0
ROBERT G HARMON 2671 OLD ANNETTA ROAD ALEDO, TX 76008	DIRECTOR/V P 0	0	0	0
DAVID TODD HARMON 2671 OLD ANNETTA ROAD ALEDO, TX 76008	DIRECTOR 0	0	0	0

Form 990PF Part XV Line 1a - 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).

DAVID S HALBERT

6655 N MACARTHUR BLVD

IRVING TEXAS 75039

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

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
a <i>Paid during the year</i>				
FORTRESS YOUTH DEVELOPMENT CENTER 712 E Stella St FORT WORTH, TX 76104	NONE	501(c)(3)	ONE HALF OF DOROTHY WAITE'S SALARY	5,500
ABILENE CHRISTIAN UNIVERSITY 1600 CAMPUS COURT ABILENE, TX 79699	NONE	501(C)(3)	HALBERT WALLING SCHOLARSHIP	7,984
MISSIONS RESOURCE NETWORK 4001 AIRPORT FREEWAY BEDFORD, TX 76021	NONE	501(c)(3)	GENERAL FUND	10,000
ABILENE CHRISTIAN UNIVERSITY 1600 CAMPUS COURT ABILENE, TX 79699	NONE	501(C)(3)	EXCEPTIONAL FUND	5,000
ABILENE CHRISTIAN UNIVERSITY 1600 CAMPUS COURT ABILENE, TX 79699	NONE	501(C)(3)	NCAA DIV 1	10,000
ABILENE CHRISTIAN UNIVERSITY 1600 CAMPUS COURT ABILENE, TX 79699	NONE	501(C)(3)	DON & CAROL CRISP SCHOLARSHIP	10,000
Total				48,484

Schedule B
(Form 990, 990-EZ,
or 990-PF)

Schedule of Contributors

OMB No 1545-0047

▶ Attach to Form 990, 990-EZ, or 990-PF.

2012

Department of the Treasury
Internal Revenue Service

Name of the organization
HALBERT HARMON FOUNDATION

Employer identification number
20-0214688

Organization type (check one)

Filers of:

Section:

Form 990 or 990-EZ

501(c)() (enter number) organization

4947(a)(1) nonexempt charitable trust **not** treated as a private foundation

527 political organization

Form 990-PF

501(c)(3) exempt private foundation

4947(a)(1) nonexempt charitable trust treated as a private foundation

501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule**.

Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

Special Rules

For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33¹/₃% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of **(1)** \$5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.

For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc., contributions of \$5,000 or more during the year. ▶ \$ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2 of its Form 990, or check the box on line H of its Form 990-EZ or on Part I, line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization
 HALBERT HARMON FOUNDATION

Employer identification number
 20-0214688

Part I Contributors (see instructions) Use duplicate copies of Part I if additional space is needed

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	DSH 2004 CLAT 6655 N MACARTHUR BLVD IRVING, TX 75039	\$ 276,433	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
_____	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
_____	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
_____	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
_____	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)
_____	_____ _____ _____	\$ _____	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II if there is a noncash contribution)

Name of organization
HALBERT HARMON FOUNDATION

Employer identification number
20-0214688

Part II Noncash Property (see instructions) Use duplicate copies of Part II if additional space is needed

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
_____	_____ _____ _____ _____	\$ _____	_____
_____	_____ _____ _____ _____	\$ _____	_____
_____	_____ _____ _____ _____	\$ _____	_____
_____	_____ _____ _____ _____	\$ _____	_____
_____	_____ _____ _____ _____	\$ _____	_____
_____	_____ _____ _____ _____	\$ _____	_____
_____	_____ _____ _____ _____	\$ _____	_____
_____	_____ _____ _____ _____	\$ _____	_____
_____	_____ _____ _____ _____	\$ _____	_____

Name of organization
HALBERT HARMON FOUNDATION

Employer identification number
20-0214688

Part III Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than \$1,000 for the year. Complete columns (a) through (e) and the following line entry
For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year (Enter this information once. See instructions.) \$
Use duplicate copies of Part III if additional space is needed

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____ _____ _____	_____ _____ _____	_____ _____ _____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____ _____ _____	_____ _____ _____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____ _____ _____	_____ _____ _____	_____ _____ _____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____ _____ _____	_____ _____ _____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____ _____ _____	_____ _____ _____	_____ _____ _____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____ _____ _____	_____ _____ _____

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
_____	_____ _____ _____	_____ _____ _____	_____ _____ _____

(e) Transfer of gift	
Transferee's name, address, and ZIP 4	Relationship of transferor to transferee
_____ _____ _____	_____ _____ _____

TY 2012 Accounting Fees Schedule

Name: HALBERT HARMON FOUNDATION

EIN: 20-0214688

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	4,500			4,500

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

TY 2012 Depreciation Schedule

Name: HALBERT HARMON FOUNDATION

EIN: 20-0214688

**TY 2012 Investments Corporate
Stock Schedule****Name:** HALBERT HARMON FOUNDATION**EIN:** 20-0214688

Name of Stock	End of Year Book Value	End of Year Fair Market Value
MORGAN STANLEY	1,130,566	1,573,191
MORGAN STANLEY	0	0
CVS CAREMARK	0	0

TY 2012 Land, Etc. Schedule

Name: HALBERT HARMON FOUNDATION

EIN: 20-0214688

TY 2012 Legal Fees Schedule

Name: HALBERT HARMON FOUNDATION

EIN: 20-0214688

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
LEGAL FEES	398			398

TY 2012 Other Decreases Schedule

Name: HALBERT HARMON FOUNDATION

EIN: 20-0214688

Description	Amount
BOOK/TAX DIFFERENCE IN BASIS OF STOCK	123,929
OTHER BOOK/TAX DIFFERENCE	122

TY 2012 Other Expenses Schedule

Name: HALBERT HARMON FOUNDATION

EIN: 20-0214688

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FROM ETFS PHYSICAL PLATINUM SH				
BANK CHARGES				

TY 2012 Other Income Schedule

Name: HALBERT HARMON FOUNDATION

EIN: 20-0214688

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
MISCELLANEOUS INCOME	-50		

**TY 2012 Other Notes/Loans
Receivable Short Schedule**

Name: HALBERT HARMON FOUNDATION

EIN: 20-0214688

Name of 501(c)(3) Organization	Balance Due
MANA	1,000,000

TY 2012 Other Professional Fees Schedule

Name: HALBERT HARMON FOUNDATION

EIN: 20-0214688

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT MANAGEMENT FEES	14,953	14,953		0

TY 2012 Taxes Schedule

Name: HALBERT HARMON FOUNDATION

EIN: 20-0214688

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES PAID	179	179		0
US INCOME TAXES PAID	1,700	0		0

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section. These transactions should be reported on Form 8949 Part I with box A checked.)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	Symbol (Box 1d): AVB	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
AVALONBAY COMM INC	50 000	07/12/12	09/12/12		\$7,029 88	\$7,293 47	\$0 00	(\$263 59)	\$0 00
	22 000	07/17/12	09/12/12		\$3,093 15	\$3,316 33	\$0 00	(\$223 18)	\$0 00
	26 000	07/31/12	09/12/12		\$3,655 54	\$3,822 39	\$0 00	(\$166 85)	\$0 00
Security Subtotal	98.000				\$13,778.57	\$14,432.19	\$0.00	(\$653.62)	\$0.00
EQUITY RESIDENTAL	114 000	07/11/12	09/07/12		\$6,920 91	\$7,196 88	\$0 00	(\$275 97)	\$0 00
	51 000	07/17/12	09/07/12		\$3,096 19	\$3,341 03	\$0 00	(\$244 84)	\$0 00
Security Subtotal	165.000				\$10,017.10	\$10,537.91	\$0.00	(\$520.81)	\$0.00
KEYCORP NEW	419 000	06/19/12	12/12/12		\$3,468 95	\$3,203 42	\$0 00	\$265 53	\$0 00
PHARMACYCLICS INC	168 000	06/20/12	11/07/12		\$8,039 10	\$7,380 17	\$0 00	\$658 93	\$0 00
PIMCO 25+YR ZERO CPN US TIF	36 000	10/23/12	12/18/12		\$3,957 22	\$4,008 23	\$0 00	(\$51 01)	\$0 00
	32 000	10/23/12	12/19/12		\$3,512 28	\$3,562 88	\$0 00	(\$50 60)	\$0 00
	1 000	11/08/12	12/19/12		\$109 76	\$113 66	\$0 00	(\$3 90)	\$0 00
Security Subtotal	69.000				\$7,579.26	\$7,684.77	\$0.00	(\$105.51)	\$0.00
PROSHARES TR ULSH MSCI EURP	134 000	05/17/12	06/11/12		\$5,897 19	\$6,049 19	\$152 00	(\$152 00)	\$0 00
	16 000	05/17/12	06/20/12		\$643 38	\$722 29	\$78 92	(\$78 92)	\$0 00
	9 000	05/17/12	06/20/12		\$361 89	\$406 29	\$44 40	(\$44 40)	\$0 00
	134 000	05/17/12	06/20/12		\$5,388 21	\$6,174 40	\$786 19	(\$786 19)	\$0 00

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section These transactions should be reported on Form 8949 Part I with box A checked)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
PROSHARES TR ULSH MSCI EURP	8 000	05/21/12	06/20/12	\$321 68	\$359 55	\$37 87	(\$37 87)	\$0 00
	8 000	05/24/12	06/20/12	\$321 68	\$363 63	\$41 95	(\$41 95)	\$0 00
	16 000	05/17/12	07/30/12	\$595 05	\$806 19	\$0 00	(\$211 14)	\$0 00
	9 000	05/17/12	07/30/12	\$334 71	\$468 97	\$0 00	(\$134 26)	\$0 00
	120 000	05/21/12	07/30/12	\$4,462 86	\$6,365 04	\$0 00	(\$1,902 18)	\$0 00
	14 000	05/21/12	09/14/12	\$404 03	\$742 59	\$0 00	(\$338 56)	\$0 00
	8 000	05/21/12	09/14/12	\$230 88	\$415 27	\$0 00	(\$184 39)	\$0 00
	8 000	05/24/12	09/14/12	\$230 88	\$419 35	\$0 00	(\$188 47)	\$0 00
	17 000	05/30/12	09/14/12	\$490 61	\$801 97	\$0 00	(\$311 36)	\$0 00
	173 000	06/25/12	09/14/12	\$4,992 67	\$7,608 63	\$0 00	(\$2,615 96)	\$0 00
Security Subtotal	674,000			\$24,675.72	\$31,703.36	\$1,141.33	(\$7,027.65)	\$0.00
PROSHARES ULTASHORT 2000		CUSIP: 74348A202		Symbol (Box 1d): TWM				
	88 000	05/08/12	06/11/12	\$2,930 15	\$2,866 99	\$0 00	\$63 16	\$0 00
	49 000	05/08/12	08/07/12	\$1,444 65	\$1,596 39	\$0 00	(\$151 74)	\$0 00
	68 000	05/17/12	08/07/12	\$2,004 83	\$2,297 18	\$0 00	(\$292 35)	\$0 00
	3 000	06/01/12	08/07/12	\$88 45	\$107 48	\$0 00	(\$19 03)	\$0 00
	156 000	06/01/12	09/07/12	\$4,179 41	\$5,588 89	\$0 00	(\$1,409 48)	\$0 00
Security Subtotal	364,000			\$10,647.49	\$12,456.93	\$0.00	(\$1,809.44)	\$0.00
PROSHARES ULTRASHORT QQQ		CUSIP: 74347X237		Symbol (Box 1d): QID				
	137 000	05/10/12	07/18/12	\$4,382 86	\$4,522 93	\$0 00	(\$140 07)	\$0 00
	7 000	05/17/12	07/18/12	\$223 94	\$242 20	\$0 00	(\$18 26)	\$0 00
	54 000	05/17/12	07/19/12	\$1,698 97	\$1,868 39	\$0 00	(\$169 42)	\$0 00

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section These transactions should be reported on Form 8949 Part I with box A checked)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
PROSHARES ULTRASHORT QQQ	101,000	06/01/12	07/19/12	\$3,177.70	\$3,672.77	\$0.00	(\$495.07)	\$0.00
	199,000	06/13/12	07/19/12	\$6,261.02	\$6,986.73	\$0.00	(\$725.71)	\$0.00
Security Subtotal	498,000			\$15,744.49	\$17,293.02	\$0.00	(\$1,548.53)	\$0.00
PROSHARES ULTRASHORT S&P500		CUSIP: 74347R883		Symbol (Box 1d):				
	267,000	05/08/12	05/30/12	\$4,527.71	\$4,299.69	\$0.00	\$228.02	\$0.00
	38,000	05/10/12	05/30/12	\$644.39	\$605.30	\$0.00	\$39.09	\$0.00
	26,000	05/10/12	07/05/12	\$399.36	\$414.16	\$0.00	(\$14.80)	\$0.00
	119,000	05/17/12	07/05/12	\$1,827.82	\$2,004.14	\$0.00	(\$176.32)	\$0.00
	344,000	06/04/12	07/05/12	\$5,283.79	\$6,202.77	\$0.00	(\$918.98)	\$0.00
	141,000	06/04/12	07/18/12	\$2,197.04	\$2,542.41	\$0.00	(\$345.37)	\$0.00
Security Subtotal	935,000			\$14,880.11	\$16,068.47	\$0.00	(\$1,188.36)	\$0.00
PROSHARES ULTRASHRT S&P500 NEW		CUSIP: 74347B300		Symbol (Box 1d): SDS				
	76,000	11/15/12	12/18/12	\$4,045.33	\$4,618.61	\$0.00	(\$573.28)	\$0.00
	41,000	11/15/12	12/19/12	\$2,166.67	\$2,491.62	\$0.00	(\$324.95)	\$0.00
Security Subtotal	117,000			\$6,212.00	\$7,110.23	\$0.00	(\$898.23)	\$0.00
PROSHARES ULTRSHORT MSCI EMER		CUSIP: 74347X575		Symbol (Box 1d): EEV				
	78,000	07/09/12	08/06/12	\$2,088.85	\$2,326.26	\$237.41	(\$237.41)	\$0.00
	43,000	07/09/12	08/06/12	\$1,151.53	\$1,282.42	\$130.89	(\$130.89)	\$0.00
	111,000	07/12/12	08/06/12	\$2,972.59	\$3,476.90	\$504.31	(\$504.31)	\$0.00
	39,000	07/12/12	08/06/12	\$1,044.43	\$1,221.62	\$0.00	(\$177.19)	\$0.00
	28,000	07/12/12	08/06/12	\$749.82	\$877.04	\$127.22	(\$127.22)	\$0.00
	78,000	07/09/12	09/14/12	\$1,857.93	\$2,689.19	\$0.00	(\$831.26)	\$0.00
	43,000	07/09/12	09/14/12	\$1,024.24	\$1,477.80	\$0.00	(\$453.56)	\$0.00

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section These transactions should be reported on Form 8949 Part I with box A checked)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
PROSHARES ULTRSHORT MSCI	111,000	07/12/12	09/14/12	\$2,643.97	\$4,021.90	\$0.00	(\$1,377.93)	\$0.00
	28,000	07/12/12	09/14/12	\$666.95	\$1,007.34	\$0.00	(\$340.39)	\$0.00
Security Subtotal	559,000			\$14,200.31	\$18,380.47	\$999.83	(\$4,180.16)	\$0.00
RED HAT INC		CUSIP: 756577102 Symbol (Box 1d): RHT						
	37,000	05/16/12	07/16/12	\$1,929.73	\$2,065.64	\$0.00	(\$135.91)	\$0.00
SMITHFIELD FOODS INC (VA)		CUSIP: 832248108 Symbol (Box 1d): SFD						
	379,000	08/30/12	12/18/12	\$8,394.70	\$7,254.44	\$0.00	\$1,140.26	\$0.00
THE MOSAIC CO (HLDG CO) NEW		CUSIP: 61945C103 Symbol (Box 1d): MOS						
	92,000	08/16/12	11/14/12	\$4,504.04	\$5,491.58	\$0.00	(\$987.54)	\$0.00
VEECO INSTRUMENTS INC DEL		CUSIP: 922417100 Symbol (Box 1d): VEEO						
	80,000	05/29/12	08/02/12	\$2,711.74	\$2,725.10	\$0.00	(\$13.36)	\$0.00
	81,000	05/29/12	10/17/12	\$2,441.89	\$2,759.16	\$0.00	(\$317.27)	\$0.00
Security Subtotal	161,000			\$5,153.63	\$5,484.26	\$0.00	(\$330.63)	\$0.00
VERIFONE SYSTEMS INC		CUSIP: 92342Y109 Symbol (Box 1d): PAY						
	117,000	06/13/12	09/12/12	\$3,722.10	\$3,728.77	\$0.00	(\$6.67)	\$0.00
VERIZON COMMUNICATIONS		CUSIP: 92343V104 Symbol (Box 1d): VZ						
	125,000	08/02/12	12/03/12	\$5,521.85	\$5,546.49	\$0.00	(\$24.64)	\$0.00
	38,000	08/02/12	12/12/12	\$1,692.41	\$1,686.13	\$0.00	\$6.28	\$0.00
	78,000	08/06/12	12/12/12	\$3,473.89	\$3,488.58	\$0.00	(\$14.69)	\$0.00
Security Subtotal	241,000			\$10,688.15	\$10,721.20	\$0.00	(\$33.05)	\$0.00

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Covered Securities (Consider Box 6b (Basis Reported to IRS) as being checked for this section These transactions should be reported on Form 8949 Part I with box A checked)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	Symbol (Box 1d):	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
VIVUS INCORPORATED				CUSIP: 928551100					
	122.000	07/03/12	07/20/12		\$2,883.79	\$3,633.55	\$0.00	(\$749.76)	\$0.00
	120.000	07/18/12	07/20/12		\$2,836.52	\$3,504.12	\$0.00	(\$667.60)	\$0.00
	242.000				\$5,720.31	\$7,137.67	\$0.00	(\$1,417.36)	\$0.00
Security Subtotal					\$169,355.76	\$188,134.50	\$2,141.16	(\$18,778.75)	\$0.00
Total Short Term Covered Securities									

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part I with box B checked)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	Symbol (Box 1d):	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
ALBEMARLE CORPORATION				CUSIP: 012653101						
	30.000	08/29/11	06/13/12		\$1,730.25	\$1,533.83	\$0.00	\$196.42	\$0.00	
	21.000	02/03/12	06/13/12		\$1,211.18	\$1,414.10	\$0.00	(\$202.92)	\$0.00	
	51.000				\$2,941.43	\$2,947.93	\$0.00	(\$6.50)	\$0.00	
Security Subtotal										
ALLEGHENY TECH INC				CUSIP: 01741R102						
	7.000	08/26/11	06/01/12		\$217.47	\$321.53	\$0.00	(\$104.06)	\$0.00	
	21.000	08/26/11	06/04/12		\$617.66	\$964.59	\$0.00	(\$346.93)	\$0.00	
	34.000	08/29/11	06/04/12		\$1,000.02	\$1,624.51	\$0.00	(\$624.49)	\$0.00	
	62.000				\$1,835.15	\$2,910.63	\$0.00	(\$1,075.48)	\$0.00	
Security Subtotal										

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.) (Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
CF INDUSTRIES HOLDINGS, INC									
		CUSIP: 125269100 Symbol (Box 1d): CF							
	14.000	02/01/12	05/09/12	\$2,457.50	\$2,557.19	\$0.00	(\$99.69)	\$0.00	
	24.000	02/01/12	05/14/12	\$4,004.85	\$4,383.75	\$0.00	(\$378.90)	\$0.00	
	19.000	02/01/12	05/17/12	\$3,017.70	\$3,470.47	\$0.00	(\$452.77)	\$0.00	
	23.000	02/16/12	05/17/12	\$3,653.00	\$4,091.88	\$0.00	(\$438.88)	\$0.00	
Security Subtotal	80.000			\$13,133.05	\$14,503.29	\$0.00	(\$1,370.24)	\$0.00	
CHENIERE ENERGY INC NEW									
		CUSIP: 16411R208 Symbol (Box 1d): LNG							
	261.000	03/14/12	06/04/12	\$3,042.49	\$3,935.18	\$0.00	(\$892.69)	\$0.00	
	239.000	03/15/12	06/04/12	\$2,786.03	\$3,761.48	\$0.00	(\$975.45)	\$0.00	
	50.000	04/04/12	06/04/12	\$582.85	\$787.10	\$0.00	(\$204.25)	\$0.00	
Security Subtotal	550.000			\$6,411.37	\$8,483.76	\$0.00	(\$2,072.39)	\$0.00	
D R HORTON INC									
		CUSIP: 23331A109 Symbol (Box 1d): DHI							
	265.000	12/09/11	06/04/12	\$3,917.08	\$3,347.43	\$0.00	\$569.65	\$0.00	
	136.000	12/12/11	06/04/12	\$2,010.28	\$1,705.55	\$0.00	\$304.73	\$0.00	
	68.000	12/16/11	06/04/12	\$1,005.14	\$822.55	\$0.00	\$182.59	\$0.00	
Security Subtotal	469.000			\$6,932.50	\$5,875.53	\$0.00	\$1,056.97	\$0.00	
HERTZ GLOBAL HOLDINGS, INC									
		CUSIP: 42805T105 Symbol (Box 1d): HTZ							
	290.000	10/10/11	07/25/12	\$3,120.62	\$2,904.96	\$0.00	\$215.66	\$0.00	
HOME DEPOT INC									
		CUSIP: 437076102 Symbol (Box 1d): HD							
	146.000	01/06/12	06/14/12	\$7,586.87	\$6,301.01	\$0.00	\$1,285.86	\$0.00	
ISRAEL CHEMICALS LTD ADR									
		CUSIP: 465036200 Symbol (Box 1d): ISCHY							
	663.000	02/02/12	06/14/12	\$6,542.73	\$6,980.86	\$0.00	(\$438.13)	\$0.00	

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
ITC HOLDINGS									
		CUSIP: 465685105 Symbol (Box 1d): ITC							
	40.000	05/10/11	05/08/12	\$2,913.00	\$2,926.69	\$0.00	(\$13.69)	\$0.00	
	18.000	05/11/11	05/08/12	\$1,310.85	\$1,317.80	\$0.00	(\$6.95)	\$0.00	
	26.000	06/13/11	05/08/12	\$1,893.45	\$1,814.57	\$0.00	\$78.88	\$0.00	
	84.000			\$6,117.30	\$6,059.06	\$0.00	\$58.24	\$0.00	
Security Subtotal									
KEYCORP NEW									
		CUSIP: 493267108 Symbol (Box 1d): KEY							
	496.000	10/10/11	10/08/12	\$4,319.82	\$3,161.40	\$0.00	\$1,158.42	\$0.00	
	8.000	10/12/11	10/08/12	\$69.67	\$54.59	\$0.00	\$15.08	\$0.00	
	499.000	10/24/11	10/15/12	\$4,155.58	\$3,567.50	\$0.00	\$588.08	\$0.00	
	181.000	10/26/11	10/15/12	\$1,507.33	\$1,312.94	\$0.00	\$194.39	\$0.00	
	1,184.000			\$10,052.40	\$8,096.43	\$0.00	\$1,955.97	\$0.00	
Security Subtotal									
KINDER MORGAN MGMT LLC									
		CUSIP: 49455U100 Symbol (Box 1d): KMR							
	0.304	07/06/11	05/15/12	\$21.69	\$18.75	\$0.00	\$2.84	\$0.00	
KIRBY CP									
		CUSIP: 497266106 Symbol (Box 1d): KEX							
	40.000	08/02/11	05/18/12	\$2,203.88	\$2,322.47	\$0.00	(\$118.59)	\$0.00	
	19.000	08/02/11	05/21/12	\$1,045.38	\$1,103.18	\$0.00	(\$57.80)	\$0.00	
	55.000	10/12/11	05/21/12	\$3,026.09	\$3,125.80	\$0.00	(\$99.71)	\$0.00	
	114.000			\$6,275.35	\$6,551.45	\$0.00	(\$276.10)	\$0.00	
Security Subtotal									
LENNAR CORPORATION									
		CUSIP: 526057104 Symbol (Box 1d): LEN							
	170.000	12/09/11	06/04/12	\$4,106.27	\$3,337.34	\$0.00	\$768.93	\$0.00	
	88.000	12/12/11	06/04/12	\$2,125.60	\$1,700.08	\$0.00	\$425.52	\$0.00	
	45.000	12/16/11	06/04/12	\$1,086.96	\$846.12	\$0.00	\$240.84	\$0.00	
	50.000	12/16/11	06/14/12	\$1,271.54	\$940.13	\$0.00	\$331.41	\$0.00	

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
LENNAR CORPORATION	66,000	12/19/11	06/14/12	\$1,678.43	\$1,240.14	\$0.00	\$438.29	\$0.00	
	30,000	12/20/11	06/14/12	\$762.92	\$583.48	\$0.00	\$179.44	\$0.00	
	10,000	12/21/11	06/14/12	\$254.30	\$198.31	\$0.00	\$55.99	\$0.00	
Security Subtotal	459,000			\$11,286.02	\$8,845.60	\$0.00	\$2,440.42	\$0.00	
LIBERTY INTER CO VENTURE SER A									
	0,000	08/15/12	08/15/12	\$1.02	\$0.00	\$0.00	\$1.02	\$0.00	
LYONDELLBASELL NV CL-A									
	58,000	04/13/12	08/01/12	\$2,564.76	\$2,539.81	\$0.00	\$24.95	\$0.00	
MC DONALDS CORP									
	20,000	11/23/11	11/14/12	\$1,700.32	\$1,840.32	\$0.00	(\$140.00)	\$0.00	
METHANEX CORPORATION									
	112,000	04/26/12	09/28/12	\$3,181.08	\$3,815.63	\$0.00	(\$634.55)	\$0.00	
	5,000	04/27/12	09/28/12	\$142.01	\$174.12	\$0.00	(\$32.11)	\$0.00	
	104,000	04/27/12	10/24/12	\$2,949.19	\$3,621.63	\$0.00	(\$672.44)	\$0.00	
Security Subtotal	221,000			\$6,272.28	\$7,611.38	\$0.00	(\$1,339.10)	\$0.00	
MONSTER BEVERAGE CORP COM									
	76,000	09/15/11	08/13/12	\$4,125.78	\$3,348.74	\$0.00	\$777.04	\$0.00	
	26,000	09/19/11	08/13/12	\$1,411.45	\$1,202.33	\$0.00	\$209.12	\$0.00	
	24,000	09/23/11	08/13/12	\$1,302.88	\$1,045.25	\$0.00	\$257.63	\$0.00	
	11,000	09/27/11	08/13/12	\$597.16	\$508.70	\$0.00	\$88.46	\$0.00	

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
MONSTER BEVERAGE CORP COM	25,000	09/27/11	08/29/12	\$1,484.05	\$1,156.13	\$0.00	\$327.92	\$0.00	
	28,000	10/14/11	08/29/12	\$1,662.14	\$1,344.25	\$0.00	\$317.89	\$0.00	
Security Subtotal	190,000			\$10,583.46	\$8,605.40	\$0.00	\$1,978.06	\$0.00	
NIKE INC B		CUSIP: 654106103		Symbol (Box 1d): NKE					
	76,000	07/07/11	06/29/12	\$6,628.87	\$7,122.55	\$0.00	(\$493.68)	\$0.00	
NUNANCE COMMUNICATIONS INC		CUSIP: 67020Y100		Symbol (Box 1d): NUAN					
	154,000	09/09/11	07/03/12	\$3,653.18	\$2,614.52	\$0.00	\$1,038.66	\$0.00	
	35,000	09/09/11	07/11/12	\$748.77	\$594.21	\$0.00	\$154.56	\$0.00	
	82,000	09/13/11	07/11/12	\$1,754.27	\$1,482.46	\$0.00	\$271.81	\$0.00	
	42,000	09/15/11	07/11/12	\$898.53	\$800.17	\$0.00	\$98.36	\$0.00	
	30,000	09/15/11	07/13/12	\$648.75	\$571.55	\$0.00	\$77.20	\$0.00	
	63,000	09/23/11	07/13/12	\$1,362.37	\$1,172.13	\$0.00	\$190.24	\$0.00	
	71,000	10/06/11	07/13/12	\$1,535.37	\$1,488.07	\$0.00	\$47.30	\$0.00	
	8,000	12/05/11	07/13/12	\$172.99	\$199.27	\$0.00	(\$26.28)	\$0.00	
	67,000	12/05/11	07/23/12	\$1,364.79	\$1,668.88	\$0.00	(\$304.09)	\$0.00	
	66,000	02/10/12	07/23/12	\$1,344.42	\$1,758.27	\$0.00	(\$413.85)	\$0.00	
Security Subtotal	618,000			\$13,483.44	\$12,349.53	\$0.00	\$1,133.91	\$0.00	
OWENS CORNING INC		CUSIP: 690742101		Symbol (Box 1d): OC					
	77,000	11/03/11	05/09/12	\$2,515.28	\$2,193.82	\$0.00	\$321.46	\$0.00	
	43,000	11/03/11	05/14/12	\$1,372.94	\$1,225.12	\$0.00	\$147.82	\$0.00	
	13,000	11/04/11	05/14/12	\$415.08	\$371.45	\$0.00	\$43.63	\$0.00	
	34,000	11/04/11	05/18/12	\$969.28	\$971.49	\$0.00	(\$2.21)	\$0.00	
	68,000	11/07/11	05/18/12	\$1,938.56	\$1,956.00	\$0.00	(\$17.44)	\$0.00	

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
OWENS CORNING INC	13,000	12/01/11	05/18/12	\$370.60	\$378.39	\$0.00	(\$7.79)	\$0.00	
	98,000	12/01/11	05/21/12	\$2,779.93	\$2,852.51	\$0.00	(\$72.58)	\$0.00	
	21,000	12/20/11	05/21/12	\$595.70	\$573.07	\$0.00	\$22.63	\$0.00	
	25,000	12/20/11	06/01/12	\$714.83	\$682.22	\$0.00	\$32.61	\$0.00	
	54,000	12/21/11	06/01/12	\$1,544.03	\$1,491.08	\$0.00	\$52.95	\$0.00	
	36,000	01/05/12	06/01/12	\$1,029.35	\$1,120.38	\$0.00	(\$91.03)	\$0.00	
	55,000	02/15/12	06/01/12	\$1,572.63	\$1,683.86	\$0.00	(\$111.23)	\$0.00	
Security Subtotal	537,000			\$15,818.21	\$15,499.39	\$0.00	\$318.82	\$0.00	
PENTAIR LTD									
	0,000	09/28/12	09/28/12	\$22.84	\$0.00	\$0.00	\$22.84	\$0.00	
PIMCO 25+YR ZERO CPN US TIF									
	64,000	04/05/12	08/03/12	\$7,635.24	\$6,309.34	\$0.00	\$1,325.90	\$0.00	
	44,000	04/05/12	08/07/12	\$5,169.47	\$4,337.67	\$0.00	\$831.80	\$0.00	
	8,000	04/05/12	08/16/12	\$877.58	\$788.67	\$0.00	\$88.91	\$0.00	
	36,000	04/09/12	08/16/12	\$3,949.11	\$3,680.31	\$0.00	\$268.80	\$0.00	
Security Subtotal	152,000			\$17,631.40	\$15,115.99	\$0.00	\$2,515.41	\$0.00	
PROSHARES ULTASHORT 2000									
	42,000	11/17/11	06/11/12	\$1,398.49	\$1,770.09	\$0.00	(\$371.60)	\$0.00	
	42,000	11/21/11	06/11/12	\$1,398.49	\$1,885.43	\$0.00	(\$486.94)	\$0.00	
Security Subtotal	84,000			\$2,796.98	\$3,655.52	\$0.00	(\$858.54)	\$0.00	

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section These transactions should be reported on Form 8949 Part I with box B checked) (Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
PROSHARES ULTRASHORT QQQ		CUSIP: 74347X237	Symbol (Box 1d): QID						
	10,000	11/17/11	07/18/12	\$319.92	\$452.48	\$0.00	(\$132.56)	\$0.00	
	44,000	11/21/11	07/18/12	\$1,407.63	\$2,170.90	\$0.00	(\$763.27)	\$0.00	
	30,000	11/23/11	07/18/12	\$959.75	\$1,509.53	\$0.00	(\$549.78)	\$0.00	
Security Subtotal	84,000			\$2,687.30	\$4,132.91	\$0.00	(\$1,445.61)	\$0.00	
PROSHARES ULTRASHORT S&P500		CUSIP: 74347R883	Symbol (Box 1d):						
	34,000	11/17/11	05/30/12	\$576.56	\$706.05	\$0.00	(\$129.49)	\$0.00	
	93,000	11/21/11	05/30/12	\$1,577.07	\$2,048.85	\$0.00	(\$471.78)	\$0.00	
Security Subtotal	127,000			\$2,153.63	\$2,754.90	\$0.00	(\$601.27)	\$0.00	
PROTHENA CP PLC ORD		CUSIP: G72800108	Symbol (Box 1d): PRTA						
	0,000	12/21/12	12/21/12	\$0.29	\$0.00	\$0.00	\$0.29	\$0.00	
RED HAT INC		CUSIP: 756577102	Symbol (Box 1d): RHT						
	18,000	09/13/11	07/09/12	\$923.22	\$691.87	\$0.00	\$231.35	\$0.00	
	34,000	09/15/11	07/09/12	\$1,743.86	\$1,390.55	\$0.00	\$353.31	\$0.00	
	23,000	10/06/11	07/09/12	\$1,179.66	\$955.76	\$0.00	\$223.90	\$0.00	
	33,000	10/12/11	07/16/12	\$1,721.11	\$1,514.20	\$0.00	\$206.91	\$0.00	
Security Subtotal	108,000			\$5,567.85	\$4,552.38	\$0.00	\$1,015.47	\$0.00	
SALESFORCE COM, INC		CUSIP: 79466L302	Symbol (Box 1d): CRM						
	9,000	09/27/11	05/08/12	\$1,289.53	\$1,133.63	\$0.00	\$155.90	\$0.00	
	12,000	10/06/11	05/08/12	\$1,719.38	\$1,463.88	\$0.00	\$255.50	\$0.00	
Security Subtotal	21,000			\$3,008.91	\$2,597.51	\$0.00	\$411.40	\$0.00	

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
CUSIP: 78463V107 Symbol (Box 1d):									
SPDR GOLD TR GOLD SHS	0.000		07/06/12	\$4.55	\$0.00	\$0.00	\$0.00	\$0.00	CT
	0.000		08/10/12	\$4.59	\$0.00	\$0.00	\$0.00	\$0.00	CT
	0.000		09/12/12	\$5.91	\$0.00	\$0.00	\$0.00	\$0.00	CT
	0.000		10/08/12	\$8.89	\$0.00	\$0.00	\$0.00	\$0.00	CT
	0.000		11/19/12	\$8.21	\$0.00	\$0.00	\$0.00	\$0.00	CT
	0.000		12/11/12	\$7.76	\$0.00	\$0.00	\$0.00	\$0.00	CT
	22.000	06/15/12	12/12/12	\$3,656.90	\$3,478.18	\$0.00	\$178.72	\$0.00	CT
	24.000	06/15/12	12/18/12	\$3,932.77	\$3,794.38	\$0.00	\$138.39	\$0.00	CT
	21.000	06/15/12	12/19/12	\$3,390.13	\$3,320.08	\$0.00	\$70.05	\$0.00	CT
Security Subtotal	67.000			\$11,019.71	\$10,592.64	\$0.00	\$387.16	\$0.00	
CUSIP: 854502101 Symbol (Box 1d): SWK									
STANLEY BLACK & DECKER INC	112.000	01/03/12	06/14/12	\$6,990.53	\$7,892.62	\$0.00	(\$902.09)	\$0.00	
	46.000	01/03/12	07/12/12	\$2,711.53	\$3,241.61	\$0.00	(\$530.08)	\$0.00	
	11.000	01/05/12	07/12/12	\$648.41	\$777.72	\$0.00	(\$129.31)	\$0.00	
	4.000	01/26/12	07/12/12	\$235.79	\$285.86	\$0.00	(\$50.07)	\$0.00	
	51.000	01/26/12	07/24/12	\$3,276.18	\$3,644.73	\$0.00	(\$368.55)	\$0.00	
	43.000	01/26/12	08/29/12	\$2,842.63	\$3,073.01	\$0.00	(\$230.38)	\$0.00	
Security Subtotal	267.000			\$16,705.07	\$18,915.55	\$0.00	(\$2,210.48)	\$0.00	
CUSIP: 903845303 Symbol (Box 1d): ULTA									
ULTA SALON COS & FRAGR INC	33.000	09/08/11	05/08/12	\$2,723.20	\$1,942.02	\$0.00	\$781.18	\$0.00	

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
WHIRLPOOL CORP									
		CUSIP: 963320106 Symbol (Box 1d): WHR							
	51.000	03/09/12	06/25/12	\$2,821.78	\$3,842.70	\$0.00	(\$1,020.92)	\$0.00	\$0.00
	14.000	03/14/12	06/25/12	\$774.61	\$1,101.35	\$0.00	(\$326.74)	\$0.00	\$0.00
Security Subtotal	65.000			\$3,596.39	\$4,944.05	\$0.00	(\$1,347.66)	\$0.00	\$0.00
WYNDHAM WORLDWIDE CORP									
		CUSIP: 98310W108 Symbol (Box 1d): WYN							
	96.000	01/19/12	07/12/12	\$4,815.78	\$3,830.12	\$0.00	\$985.66	\$0.00	\$0.00
Total Short Term Noncovered Securities				\$212,038.19	\$209,081.23	\$0.00	\$2,916.95	\$0.00	\$0.00
Total Short Term Covered and Noncovered Securities				\$381,393.95	\$397,215.73	\$2,141.16	(\$15,861.80)	\$0.00	\$0.00

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
ALBEMARLE CORPORATION									
		CUSIP: 012653101 Symbol (Box 1d): ALB							
	21.000	09/30/10	05/09/12	\$1,293.01	\$980.06	\$0.00	\$312.95	\$0.00	\$0.00
	17.000	10/01/10	05/09/12	\$1,046.73	\$798.75	\$0.00	\$247.98	\$0.00	\$0.00
	23.000	10/01/10	05/14/12	\$1,402.83	\$1,080.66	\$0.00	\$322.17	\$0.00	\$0.00
	7.000	10/06/10	05/14/12	\$426.95	\$333.94	\$0.00	\$93.01	\$0.00	\$0.00
	5.000	10/06/10	05/23/12	\$297.11	\$238.53	\$0.00	\$58.58	\$0.00	\$0.00

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OMB NO. 1545-0715

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II, with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
EBAY INC									
		CUSIP: 278642103		Symbol (Box 1d): EBAY					
	104.000	04/08/10	05/29/12	\$4,280.29	\$2,732.71	\$0.00	\$1,547.58	\$0.00	
	33.000	04/14/10	05/29/12	\$1,358.17	\$888.93	\$0.00	\$469.24	\$0.00	
	84.000	04/14/10	07/02/12	\$3,447.38	\$2,262.72	\$0.00	\$1,184.66	\$0.00	
	44.000	02/11/11	07/02/12	\$1,805.77	\$1,504.61	\$0.00	\$301.16	\$0.00	
	17.000	02/11/11	07/11/12	\$665.13	\$581.33	\$0.00	\$83.80	\$0.00	
	81.000	05/04/11	07/11/12	\$3,169.17	\$2,672.46	\$0.00	\$496.71	\$0.00	
Security Subtotal	363.000			\$14,725.91	\$10,642.76	\$0.00	\$4,083.15	\$0.00	
ITC HOLDINGS									
		CUSIP: 465685105		Symbol (Box 1d): ITC					
	36.000	09/08/10	05/08/12	\$2,621.70	\$2,135.13	\$0.00	\$486.57	\$0.00	
	20.000	09/09/10	05/08/12	\$1,456.50	\$1,201.32	\$0.00	\$255.18	\$0.00	
	20.000	09/10/10	05/08/12	\$1,456.50	\$1,208.24	\$0.00	\$248.26	\$0.00	
	22.000	09/13/10	05/08/12	\$1,602.15	\$1,346.54	\$0.00	\$255.61	\$0.00	
	5.000	09/14/10	05/08/12	\$364.12	\$307.30	\$0.00	\$56.82	\$0.00	
	5.000	09/15/10	05/08/12	\$364.12	\$307.09	\$0.00	\$57.03	\$0.00	
Security Subtotal	108.000			\$7,865.09	\$6,505.62	\$0.00	\$1,359.47	\$0.00	
KEYCORP NEW									
		CUSIP: 493267108		Symbol (Box 1d): KEY					
	231.000	10/12/11	10/15/12	\$1,923.73	\$1,576.30	\$0.00	\$347.43	\$0.00	
	286.000	10/26/11	12/12/12	\$2,367.82	\$2,074.58	\$0.00	\$293.24	\$0.00	
Security Subtotal	517.000			\$4,291.55	\$3,650.88	\$0.00	\$640.67	\$0.00	
KINDER MORGAN MGMT LLC									
		CUSIP: 49455U100		Symbol (Box 1d): KMR					
	0.248	07/06/11	08/14/12	\$18.18	\$13.19	\$0.00	\$4.99	\$0.00	
	0.447	07/06/11	11/14/12	\$31.40	\$20.90	\$0.00	\$10.50	\$0.00	
Security Subtotal	0.695			\$49.58	\$34.09	\$0.00	\$15.49	\$0.00	

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
LORILLARD INC									
		CUSIP: 544147101		Symbol (Box 1d): LO					
	34,000	05/19/11	09/12/12	\$3,987.78	\$3,920.21	\$0.00	\$67.57	\$0.00	\$0.00
	12,000	05/23/11	09/12/12	\$1,407.45	\$1,392.05	\$0.00	\$15.40	\$0.00	\$0.00
	12,000	05/26/11	09/12/12	\$1,407.45	\$1,376.26	\$0.00	\$31.19	\$0.00	\$0.00
	5,000	06/13/11	09/12/12	\$586.45	\$506.86	\$0.00	\$79.59	\$0.00	\$0.00
	31,000	06/13/11	09/14/12	\$3,606.59	\$3,142.50	\$0.00	\$464.09	\$0.00	\$0.00
	1,000	06/17/11	09/14/12	\$116.34	\$111.32	\$0.00	\$5.02	\$0.00	\$0.00
	95,000			\$11,112.06	\$10,449.20	\$0.00	\$662.86	\$0.00	\$0.00
Security Subtotal									
MARSH & MCLENNAN COS INC									
		CUSIP: 571748102		Symbol (Box 1d): MMC					
	206,000	02/25/11	09/07/12	\$7,045.41	\$6,208.51	\$0.00	\$836.90	\$0.00	\$0.00
	104,000	02/25/11	10/18/12	\$3,636.56	\$3,134.39	\$0.00	\$502.17	\$0.00	\$0.00
	36,000	02/28/11	10/18/12	\$1,258.81	\$1,098.24	\$0.00	\$160.57	\$0.00	\$0.00
	18,000	03/14/11	10/18/12	\$629.40	\$550.26	\$0.00	\$79.14	\$0.00	\$0.00
	32,000	03/14/11	10/26/12	\$1,079.35	\$978.24	\$0.00	\$101.11	\$0.00	\$0.00
	67,000	08/10/11	10/26/12	\$2,259.89	\$1,881.53	\$0.00	\$378.36	\$0.00	\$0.00
	63,000	10/05/11	10/26/12	\$2,124.97	\$1,685.54	\$0.00	\$439.43	\$0.00	\$0.00
	53,000	10/06/11	10/26/12	\$1,787.66	\$1,431.81	\$0.00	\$355.85	\$0.00	\$0.00
	579,000			\$19,822.05	\$16,968.52	\$0.00	\$2,853.53	\$0.00	\$0.00
Security Subtotal									
MC DONALDS CORP									
		CUSIP: 580135101		Symbol (Box 1d): MCD					
	74,000	08/23/10	06/01/12	\$6,482.12	\$5,454.07	\$0.00	\$1,028.05	\$0.00	\$0.00
	7,000	08/25/10	06/01/12	\$613.17	\$512.51	\$0.00	\$100.66	\$0.00	\$0.00
	9,000	08/25/10	11/14/12	\$765.15	\$658.94	\$0.00	\$106.21	\$0.00	\$0.00
	26,000	06/10/11	11/14/12	\$2,210.43	\$2,106.44	\$0.00	\$103.99	\$0.00	\$0.00
	116,000			\$10,070.87	\$8,731.96	\$0.00	\$1,338.91	\$0.00	\$0.00
Security Subtotal									

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
MICROCHIP TECHNOLOGY INC									
		CUSIP: 595017104	Symbol (Box 1d): MCHP						
	123.000	04/08/10	07/09/12	\$3,905.68	\$3,268.30	\$0.00	\$637.38	\$0.00	
	110.000	04/08/10	07/10/12	\$3,444.66	\$2,922.87	\$0.00	\$521.79	\$0.00	
Security Subtotal	233.000			\$7,350.34	\$6,191.17	\$0.00	\$1,159.17	\$0.00	
NORDSTROM INC									
		CUSIP: 655664100	Symbol (Box 1d): JWN						
	71.000	04/21/11	07/12/12	\$3,526.54	\$3,352.04	\$0.00	\$174.50	\$0.00	
PENTAIR LTD									
		CUSIP: H6169Q108	Symbol (Box 1d): PNR						
	3.000	04/08/10	10/03/12	\$132.51	\$94.16	\$0.00	\$38.35	\$0.00	
	17.000	05/10/11	10/03/12	\$750.88	\$639.54	\$0.00	\$111.34	\$0.00	
Security Subtotal	20.000			\$883.39	\$733.70	\$0.00	\$149.69	\$0.00	
PVH CORPORATION									
		CUSIP: 693656100	Symbol (Box 1d): PVH						
	42.000	09/17/10	07/12/12	\$3,093.23	\$2,416.33	\$0.00	\$676.90	\$0.00	
	3.000	09/20/10	07/12/12	\$220.94	\$178.73	\$0.00	\$42.21	\$0.00	
	38.000	09/20/10	08/02/12	\$2,880.71	\$2,263.91	\$0.00	\$616.80	\$0.00	
Security Subtotal	83.000			\$6,194.88	\$4,858.97	\$0.00	\$1,335.91	\$0.00	
ROBERT HALF INT									
		CUSIP: 770323103	Symbol (Box 1d): RHI						
	97.000	05/10/10	07/17/12	\$2,714.10	\$2,618.15	\$0.00	\$95.95	\$0.00	
	39.000	05/11/10	07/17/12	\$1,091.24	\$1,054.66	\$0.00	\$36.58	\$0.00	
Security Subtotal	136.000			\$3,805.34	\$3,672.81	\$0.00	\$132.53	\$0.00	
SLM CORPORATION									
		CUSIP: 78442P106	Symbol (Box 1d): SLM						
	241.000	12/21/10	11/02/12	\$4,260.03	\$3,130.84	\$0.00	\$1,129.19	\$0.00	
	7.000	01/12/11	11/02/12	\$123.74	\$98.82	\$0.00	\$24.92	\$0.00	
Security Subtotal	248.000			\$4,383.77	\$3,229.66	\$0.00	\$1,154.11	\$0.00	

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II, with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
THE ADT CORPORATION COM									
		CUSIP: 00101J106		Symbol (Box 1d): ADT					
	0.750	05/10/11	09/28/12	\$29.23	\$24.79	\$0.00	\$4.44	\$0.00	\$0.00
	7.000	04/08/10	10/03/12	\$272.96	\$172.16	\$0.00	\$100.80	\$0.00	\$0.00
	35.000	05/10/11	10/03/12	\$1,364.78	\$1,152.74	\$0.00	\$212.04	\$0.00	\$0.00
Security Subtotal	42.750			\$1,666.97	\$1,349.69	\$0.00	\$317.28	\$0.00	\$0.00
TRANSDIGM GROUP INC									
		CUSIP: 893641100		Symbol (Box 1d): TDG					
	57.000	04/08/10	08/08/12	\$7,036.76	\$3,098.52	\$0.00	\$3,938.24	\$0.00	\$0.00
TYCO INTERNATIONAL LTD NEW									
		CUSIP: H89128104		Symbol (Box 1d): TYC					
	128.000	04/08/10	09/25/12	\$7,165.74	\$5,021.13	\$0.00	\$2,144.61	\$0.00	\$0.00
	13.500	04/08/10	10/04/12	\$387.85	\$263.25	\$0.00	\$124.60	\$0.00	\$0.00
	71.500	05/10/11	10/04/12	\$2,054.14	\$1,788.00	\$0.00	\$266.14	\$0.00	\$0.00
Security Subtotal	213.000			\$9,607.73	\$7,072.38	\$0.00	\$2,535.35	\$0.00	\$0.00
VERIFONE SYSTEMS INC									
		CUSIP: 92342Y109		Symbol (Box 1d): PAY					
	34.000	02/15/11	09/06/12	\$1,060.41	\$1,629.87	\$0.00	(\$569.46)	\$0.00	\$0.00
	33.000	03/21/11	09/06/12	\$1,029.23	\$1,731.47	\$0.00	(\$702.24)	\$0.00	\$0.00

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II, with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	NOTES
VERIFONE SYSTEMS INC	103,000	03/21/11	09/12/12	\$3,276.71	\$5,404.27	\$0.00	(\$2,127.56)	\$0.00	
	9,000	03/29/11	09/12/12	\$286.31	\$505.18	\$0.00	(\$218.87)	\$0.00	
Security Subtotal	179,000			\$5,652.66	\$9,270.79	\$0.00	(\$3,618.13)	\$0.00	
Total Long Term Noncovered Securities				\$147,270.95	\$122,012.72	\$0.00	\$25,258.23	\$0.00	
Total Short and Long Term, Covered and Noncovered Securities				\$528,664.90	\$519,228.45	\$2,141.16	\$9,396.43	\$0.00	

Form 1099-B Total Reportable Amounts

Total Sales Price (Box 2)	\$528,664.90
Total Cost or Other Basis (Box 3)	\$188,134.50
Total Wash Sale Loss Disallowed (Box 5)	\$2,141.16
Total Fed Tax Withheld (Box 4)	\$0.00

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Short Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part I with box B checked.)									
DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	
ENGLITY HOLDINGS INC	0.000	07/17/12	07/17/12	\$13.55	\$0.00	\$0.00	\$13.55	\$0.00	
CUSIP: 29285W104 Symbol (Box 1d): EGL									
HUMAN GENOME SCIENCES INC	30.000	08/22/11	07/16/12	\$426.08	\$416.88	\$0.00	\$9.20	\$0.00	
	360.000	02/16/12	07/16/12	\$5,112.96	\$3,413.45	\$0.00	\$1,699.51	\$0.00	
Security Subtotal	390.000			\$5,539.04	\$3,830.33	\$0.00	\$1,708.71	\$0.00	
CUSIP: 53071M880 Symbol (Box 1d): LVNTA									
LIBERTY INTER CO VENTURE SER A	0.000	08/15/12	08/15/12	\$26.54	\$0.00	\$0.00	\$26.54	\$0.00	
Total Short Term Noncovered Securities				\$5,579.13	\$3,830.33	\$0.00	\$1,748.80	\$0.00	

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)									
DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)	
BIODIEN IDEC INC	0.500	12/01/04	06/21/12	\$71.69	\$29.98	\$0.00	\$41.71	\$0.00	
	70.000	12/01/04	06/29/12	\$10,004.36	\$4,197.37	\$0.00	\$5,806.99	\$0.00	
	5.000	03/16/05	06/29/12	\$714.60	\$185.35	\$0.00	\$529.25	\$0.00	
	100.000	03/16/05	09/18/12	\$15,537.93	\$3,707.00	\$0.00	\$11,830.93	\$0.00	
Security Subtotal	175.500			\$26,328.58	\$8,119.70	\$0.00	\$18,208.88	\$0.00	
CUSIP: 09062X103 Symbol (Box 1d): BIIB									
COVIDIEN PLC NEW	0.150	12/01/04	06/21/12	\$8.03	\$6.49	\$0.00	\$1.54	\$0.00	
CUSIP: G2554F113 Symbol (Box 1d): COV									

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
ENGILITY HOLDINGS INC								
		CUSIP: 29285W104 Symbol (Box 1d): EGL						
	36,000	12/01/04	07/19/12	\$633.17	\$643.60	\$0.00	(\$10.43)	\$0.00
	5,000	03/21/05	07/19/12	\$87.94	\$86.01	\$0.00	\$1.93	\$0.00
	11,000	05/30/06	07/19/12	\$193.47	\$217.10	\$0.00	(\$23.63)	\$0.00
Security Subtotal	52,000			\$914.58	\$946.71	\$0.00	(\$32.13)	\$0.00
HUMAN GENOME SCIENCES INC								
	320,000	03/01/11	07/16/12	\$4,544.86	\$7,999.78	\$0.00	(\$3,454.92)	\$0.00
L-3 COMMUNICATIONS HOLDING INC								
	0.500	12/01/04	06/21/12	\$36.75	\$37.26	\$0.00	(\$0.51)	\$0.00
LIBERTY INTER CO VENTURE SER A								
		CUSIP: 53071M880 Symbol (Box 1d): LVNNTA						
	10,000	12/01/04	08/17/12	\$422.93	\$443.48	\$0.00	(\$20.55)	\$0.00
	27,000	06/02/08	08/17/12	\$1,141.90	\$1,073.14	\$0.00	\$68.76	\$0.00
	13,000	06/03/08	08/17/12	\$549.80	\$529.30	\$0.00	\$20.50	\$0.00
Security Subtotal	50,000			\$2,114.63	\$2,045.92	\$0.00	\$68.71	\$0.00
LIBERTY INTERACTIVE CO INTER A								
	0.500	12/01/04	06/21/12	\$8.51	\$9.91	\$0.00	(\$1.40)	\$0.00
LIBERTY MEDIA CO LIBERTY CAP A								
	100,000	06/24/08	09/18/12	\$10,228.31	\$1,500.00	\$0.00	\$8,728.31	\$0.00
LIBERTY VENTURES RT 10 9 12								
		CUSIP: 53071M112 Symbol (Box 1d):						
	3,000	12/01/04	09/14/12	\$41.91	\$42.37	\$0.00	(\$0.46)	\$0.00
	9,000	06/02/08	09/14/12	\$125.72	\$102.53	\$0.00	\$23.19	\$0.00
	5,000	06/03/08	09/14/12	\$69.85	\$50.57	\$0.00	\$19.28	\$0.00
Security Subtotal	17,000			\$237.48	\$195.47	\$0.00	\$42.01	\$0.00

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued)

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II, with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
NATIONAL OILWELL VARCO INC	0.500	12/01/04	06/21/12	\$33.60	\$23.90	\$0.00	\$9.70	\$0.00
		CUSIP: 637071101		Symbol (Box 1d): NOV				
PALL CORPORATION	0.500	12/01/04	06/21/12	\$26.92	\$13.76	\$0.00	\$13.16	\$0.00
		CUSIP: 696429307		Symbol (Box 1d): PLL				
PENTAIR LTD	0.109	12/01/04	09/28/12	\$4.83	\$4.36	\$0.00	\$0.47	\$0.00
		CUSIP: H6169Q108		Symbol (Box 1d): PNR				
SEAGATE TECHNOLOGY PLC	0.500	12/01/04	06/21/12	\$11.98	NOT ON FILE			\$0.00
		CUSIP: G7945M107		Symbol (Box 1d): STX				
TE CONNECTIVITY LTD NEW	0.500	12/01/04	06/21/12	\$16.37	\$19.92	\$0.00	(\$3.55)	\$0.00
		CUSIP: H84989104		Symbol (Box 1d): TEL				
TYCO INTERNATIONAL LTD NEW	0.500	12/01/04	06/21/12	\$27.14	\$26.59	\$0.00	\$0.55	\$0.00
		CUSIP: H89128104		Symbol (Box 1d): TYC				

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PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS (continued) OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

Long Term - Noncovered Securities # (Consider Box 6a (Noncovered Security) as being checked for this section. These transactions should be reported on Form 8949 Part II with box B checked.)
(Continued)

DESCRIPTION (Box 8)	QUANTITY (Box 1e)	DATE ACQUIRED (Box 1b)	DATE OF SALE (Box 1a)	SALES PRICE (Box 2a)	ADJUSTED COST OR OTHER BASIS (Box 3)	WASH SALE LOSS DISALLOWED (Box 5)	GAIN/(LOSS) AMOUNT	FEDERAL INCOME TAX WITHHELD (Box 4)
UNITEDHEALTH GP INC	0.500	12/01/04	06/21/12	\$29.94	\$20.55	\$0.00	\$9.39	\$0.00
CUSIP: 91324P102 Symbol (Box 1d): UNH								
Total Long Term Noncovered Securities				\$44,572.51	\$20,970.32	\$0.00	\$23,590.21	\$0.00
Total Short and Long Term, Covered and Noncovered Securities				\$50,151.64	\$24,800.65	\$0.00	\$25,339.01	\$0.00
Form 1099-B Total Reportable Amounts								
Total Sales Price (Box 2)	\$50,151.64							
Total Cost or Other Basis (Box 3)	\$0.00							
Total Wash Sale Loss Disallowed (Box 5)	\$0.00							
Total Fed Tax Withheld (Box 4)	\$0.00							

Noncovered securities are not subject to the IRS cost basis reporting regulations, therefore their date of acquisition, cost basis, short or long term designation and any disallowed loss resulting from a wash sale will not be reported to the IRS

Details of Short Term Gain (Loss) 2012

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included (if applicable), it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000020	123	ROYAL CARIBBEAN CRUISES	01/11/12	02/24/12	\$ 3,504.75	\$ 3,474.44		\$ 30.31
	8	MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/12/12		227.95	227.61		.34
125000030	112	ROYAL CARIBBEAN CRUISES	01/12/12	02/27/12	3,143.79	3,186.56	(42.77)	
	12	MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/17/12		336.83	325.91		10.92
125000040	64	ROYAL CARIBBEAN CRUISES	01/17/12	04/23/12	1,863.75	1,738.17	(74.42)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000050	46	BRISTOL MYERS SQUIBB CO	06/10/11	01/26/12	1,501.29	1,270.00		231.29
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000060	78	CAPITAL ONE FINL CORP	11/02/11	01/20/12	3,524.72	3,533.47	(8.75)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000080	31	CROWN HOLDINGS INC (HOLDING COMPANY)	04/20/11	03/09/12	1,127.36	1,166.69	(39.33)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000100	226	GOLDCORP INC NEW	03/01/12	04/05/12	9,247.01	11,116.58	(1,869.57)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000140	128	INTERNATIONAL PAPER CO	06/21/11	04/09/12	4,347.96	3,664.69		683.27
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						

Details of Short Term Gain (Loss) 2012 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000150	203	INTERNATIONAL PAPER CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/21/11	04/11/12	\$ 6,660.24	\$ 5,811.98		\$ 848.26
125000160	35	INTERNATIONAL PAPER CO	06/21/11	04/13/12	1,156.38	1,002.06		154.32
	63	MorganStanley SmithBarney LLC	07/01/11		2,081.49	1,919.73		161.76
	236	acted as your agent in this transaction.	12/02/11		7,797.31	6,772.89		1,024.42
125000170	111	ITAU UNIBANCO BANCO HLDG S A ADR MorganStanley SmithBarney LLC acted as your agent	03/08/12	04/25/12	1,750.60	2,362.27	(611.67)	
125000180	92	ITAU UNIBANCO BANCO HLDG	03/08/12	04/26/12	1,424.57	1,957.92	(533.35)	
	323	S A ADR MorganStanley SmithBarney LLC acted as your agent	03/09/12		5,001.47	6,952.90	(1,951.43)	
125000190	177	JUNIPER NETWORKS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/19/12	04/25/12	3,631.84	4,136.90	(505.06)	
125000200	119	JUNIPER NETWORKS INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	01/19/12	04/27/12	2,521.23	2,781.30	(260.07)	
125000210	0043	KINDER MORGAN MANAGEMENT LLC	06/08/11	02/14/12	34	26		08
	.0027	CASH IN LIEU OF .01718	06/09/11		21	.16		.05
	.0023	RECORD 01/31/12 PAY 02/14/12	06/10/11		18	.14		04
	0042		06/13/11		33	.26		.07
	0019		06/23/11		.15	.12		03
	0017		07/06/11		14	.11		.03
125000220	8	KIRBY CORP MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/02/11	04/19/12	515.75	464.49		51.26
125000280	65	ONEOK INC NEW	06/20/11	02/01/12	5,326.68	4,563.64		763.04
	30	MorganStanley SmithBarney LLC	06/21/11		2,458.47	2,151.47		307.00
	22	acted as your agent in this transaction.	06/24/11		1,802.88	1,611.79		191.09

HALBERT HARMON FOUNDATION, INC

20-0214688

MS# 1958C-19

Details of Short Term Gain (Loss) 2012 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000290	39	ORACLE CORP MorganStanley SmithBarney LLC acted as principal in this transaction.	08/29/11	02/01/12	\$ 1,106.19	\$ 1,070.03		\$ 36.16
	90		09/29/11		2,552.75	2,718.19	(165.44)	
125000320	44	PROSHARES ULTRASHORT S&P500	11/16/11	01/05/12	815.11	881.16	(66.05)	
	139	MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/17/11		2,574.99	2,886.52	(311.53)	
125000330	3	PROSHARES ULTRASHORT QQQ ETF	11/15/11	01/19/12	117.96	131.85	(13.89)	
	24	MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/16/11		943.71	1,043.48	(99.77)	
125000340	9	PROSHARES ULTRASHORT QQQ ETF	11/16/11	02/01/12	340.64	391.31	(50.67)	
	32	MorganStanley SmithBarney LLC acted as your agent in this transaction.	11/16/11		1,211.18	1,390.42	(179.24)	
	24		11/17/11		908.38	1,085.96	(177.58)	
125000350	43	PROSHARES ULTRASHORT QQQ ETF	11/17/11	02/03/12	1,576.75	1,945.69	(368.94)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000360	17	SM ENERGY CO	10/26/11	02/01/12	1,218.94	1,372.24	(153.30)	
	26	MorganStanley SmithBarney LLC acted as your agent in this transaction.	10/27/11		1,864.25	2,286.90	(422.65)	
125000370	29	SMUCKER J M CO NEW	05/26/11	01/26/12	2,300.75	2,239.13		61.62
	62	MorganStanley SmithBarney LLC acted as your agent in this transaction.	05/27/11		4,918.85	4,848.90		69.95
	23		06/17/11		1,824.73	1,769.79		54.94
125000380	77	TIFFANY & CO NEW	07/20/11	01/10/12	4,614.73	6,434.40	(1,819.67)	
		MorganStanley SmithBarney LLC acted as your agent in this transaction.						
125000390	48	TIFFANY & CO NEW	07/20/11	01/11/12	2,880.36	4,011.06	(1,130.70)	
	30	MorganStanley SmithBarney LLC acted as your agent in this transaction.	08/29/11		1,800.22	2,102.21	(301.99)	

STATEMENT C

HALBERT HARMON FOUNDATION, INC

20-0214688

MS# 1958C-19

Details of Short Term Gain (Loss) 2012 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000410	187	UNITED CONTINENTAL HOLDINGS INC	12/12/11	02/24/12	\$ 3,839.62	\$ 3,860.66	(\$ 41.04)	
125000420	260	UNITED CONTINENTAL HOLDINGS INC MorganStanley SmithBarney LLC acted as your agent	12/12/11	02/27/12	5,250.94	5,395.58	(144.64)	
125000430	42	UNITED CONTINENTAL HOLDINGS INC	12/12/11	03/14/12	814.61	871.59	(56.98)	
125000440	135	UNITED CONTINENTAL HOLDINGS INC MorganStanley SmithBarney LLC acted as your agent	12/16/11	03/21/12	2,618.38	2,870.59	(252.21)	
125000450	73	UNITED CONTINENTAL HOLDINGS INC MorganStanley SmithBarney LLC acted as your agent	01/26/12	03/22/12	1,500.49	1,590.65	(90.16)	
125000460	54	WEIGHT WATCHERS INTL INC NEW	05/19/11	02/15/12	4,129.54	4,530.92	(401.38)	223.18
	28	MorganStanley SmithBarney LLC	11/09/11		2,141.24	1,918.06		190.53
	19	acted as your agent	11/10/11		1,452.99	1,262.46		240.18
	28	in this transaction.	11/11/11		2,141.24	1,901.06		157.35
	19		11/14/11		1,452.98	1,295.63		
Total					\$ 135,206.36	\$ 142,136.72	(\$ 12,421.85)	\$ 5,491.49

Details of Long Term Gain (Loss) 2012

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. In addition, although cash in lieu less than \$20 is not included c if applicable, it is included in this section. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000010	5	TE CONNECTIVITY LTD-CHF LIQUIDATION OF FRACTIONAL SHS	12/01/04	02/13/12	\$ 17.55	\$ 19.92	(\$ 2.37)	

HALBERT HARMON FOUNDATION, INC

20-0214688

MS# 1958C-19

Details of Long Term Gain (Loss) 2012 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000050	244	BRISTOL MYERS SQUIBB CO	04/08/10	01/26/12	\$ 7,963.35	\$ 6,396.95		\$ 1,566.40
	45	MorganStanley SmithBarney LLC	06/10/10		1,468.65	1,101.23		367.42
	29	acted as your agent in this transaction.	07/15/10		946.46	730.01		216.45
125000070	80	CROWN HOLDINGS INC	06/28/10	03/08/12	2,918.57	2,006.56		912.01
	38	(HOLDING COMPANY) MorganStanley SmithBarney LLC	06/29/10		1,386.32	945.11		441.21
125000080	100	CROWN HOLDINGS INC	06/29/10	03/09/12	3,636.65	2,487.12		1,149.53
	56	(HOLDING COMPANY) MorganStanley SmithBarney LLC	07/13/10		2,036.53	1,455.03		581.50
125000090	80	GLOBAL PAYMENTS INC	12/22/10	01/06/12	3,711.38	3,656.14		55.24
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction.						
125000110	11	HASBRO INC	04/07/10	01/17/12	365.32	424.60	(59.28)	
	45	MorganStanley SmithBarney LLC	04/08/10		1,494.47	1,720.26	(225.79)	
		acted as principal in this transaction						
125000120	54	HASBRO INC	04/08/10	01/18/12	1,780.16	2,064.31	(284.15)	
		MorganStanley SmithBarney LLC						
		acted as principal in this transaction						
125000130	86	HASBRO INC	04/08/10	01/19/12	2,805.57	3,287.61	(482.04)	
	70	MorganStanley SmithBarney LLC	07/21/10		2,283.60	2,814.27	(530.67)	
	30	acted as principal in this transaction	07/26/10		978.68	1,265.33	(286.65)	
125000220	17	KIRBY CORP	02/28/11	04/19/12	1,095.95	934.45		161.50
	47	MorganStanley SmithBarney LLC	03/01/11		3,029.99	2,593.72		436.27
		acted as your agent in this transaction						
125000230	39	NATIONAL FUEL GAS CO	04/08/10	01/19/12	1,936.34	1,978.80	(42.46)	
		MorganStanley SmithBarney LLC						
		acted as your agent in this transaction						

Details of Long Term Gain (Loss) 2012 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000240	33	NATIONAL FUEL GAS CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/08/10	02/03/12	\$ 1,659.89	\$ 1,674.37	(\$ 14.48)	
125000250	35	NATIONAL FUEL GAS CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/08/10	02/17/12	1,678.39	1,775.85	(97.46)	
125000260	32 12	NATIONAL FUEL GAS CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/08/10 06/04/10	03/14/12	1,601.91 600.71	1,623.64 592.19	(21.73)	8.52
125000270	8 24	NATIONAL FUEL GAS CO MorganStanley SmithBarney LLC acted as your agent in this transaction.	06/04/10 12/02/10	03/15/12	395.20 1,185.61	394.79 1,570.60	(384.99)	41
125000300	25	PERRIGO COMPANY MorganStanley SmithBarney LLC acted as principal in this transaction.	04/07/10	02/07/12	2,427.87	1,492.25		935.62
125000310	20 23	PERRIGO COMPANY MorganStanley SmithBarney LLC acted as principal in this transaction.	04/07/10 04/08/10	03/14/12	2,073.06 2,384.02	1,193.80 1,348.63		879.26 1,035.39
125000400	37 15	TRANSDIGM GROUP INC MorganStanley SmithBarney LLC acted as your agent in this transaction.	04/07/10 04/08/10	03/19/12	4,195.44 1,700.85	2,017.98 815.40		2,177.46 885.46
Total					\$ 59,758.50	\$ 50,380.92	(\$ 2,432.07)	\$ 11,809.65

Details of Deposits and Withdrawals 2012

This section reflects any deposits or withdrawals made to your account during the year.

Withdrawals

Reference number	Date	Description	Referral number	Amount
220000100	05/04/12	MORGAN STANLEY LIQUID ASSET FUND INC		\$ 11,307.95
220000300	01/20/12	CONSULTING & ADVISORY SERVICES FROM 01/01/12 TO 03/31/12		908.56
220000500	04/20/12	CONSULTING & ADVISORY SERVICES FROM 04/01/12 TO 06/30/12		986.63
Total				\$ 14,977.56

Reference number	Date	Description	Referral number	Amount
220000200	01/13/12	ROC 1ST QTR FEE FROM 01/01/2012 TO 03/31/2012		\$ 833.73
220000400	04/11/12	ROC 2ND QTR FEE FROM 04/01/2012 TO 06/30/2012		940.69