Form **990-PF**

Department of the Treasury
Internal Revenue Service

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

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

OMB No 1545-0052

**2012**

Open to public Inspection

**For calendar year 2012 or tax year beginning** , and ending

Name of foundation
CARIDAD CORPORATION

**A Employer identification number**
36-3505813

Number and street (or P O box number if mail is not delivered to street address) Room/suite
2630 W LAFAYETTE RD

**B** Telephone number
(952) 470-3600

City or town, state, and ZIP code
EXCELSIOR, MN 55331

**C** If exemption application is pending, check here ▶☐

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

**D** 1 Foreign organizations, check here ▶☐
2. Foreign organizations meeting the 85% test, check here and attach computation ▶☐

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

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

**I** Fair market value of all assets at end of year *(from Part II, col. (c), line 16)* ▶$ 1,188,302.

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

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

| **Part I** | **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a)) | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|
| Revenue 1 | Contributions, gifts, grants, etc , received | | | N/A | |
| 2 | Check ▶ ☒ if the foundation is not required to attach Sch B | | | | |
| 3 | Interest on savings and temporary cash investments | 3,398. | 3,398. | | STATEMENT 1 |
| 4 | Dividends and interest from securities | 18,397. | 18,397. | | STATEMENT 2 |
| 5a | Gross rents | | | | |
| b | Net rental income or (loss) | | | | |
| 6a | Net gain or (loss) from sale of assets not on line 10 | 42,244. | | | |
| b | Gross sales price for all assets on line 6a 872,951. | | | | |
| 7 | Capital gain net income (from Part IV, line 2) | | 42,244. | | |
| 8 | Net short-term capital gain | | | | |
| 9 | Income modifications | | | | |
| 10a | Gross sales less returns and allowances | | | | |
| b | Less Cost of goods sold | | | | |
| c | Gross profit or (loss) | | | | |
| 11 | Other income | | | | |
| 12 | **Total.** Add lines 1 through 11 | 64,039. | 64,039. | | |
| Operating and Administrative Expenses 13 | Compensation of officers, directors, trustees, etc | 0. | 0. | | 0. |
| 14 | Other employee salaries and wages | | | | |
| 15 | Pension plans, employee benefits | | | | |
| 16a | Legal fees STMT 3 | 46,461. | 46,461. | | 0. |
| b | Accounting fees | | | | |
| c | Other professional fees | | | | |
| 17 | Interest | | | | |
| 18 | Taxes STMT 4 | <31,865.> | <31,865.> | | 0. |
| 19 | Depreciation and depletion | | | | |
| 20 | Occupancy | | | | |
| 21 | Travel, conferences, and meetings | | | | |
| 22 | Printing and publications | | | | |
| 23 | Other expenses STMT 5 | 65,885. | 65,885. | | 0. |
| 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 80,481. | 80,481. | | 0. |
| 25 | Contributions, gifts, grants paid | 91,100. | | | 91,100. |
| 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 171,581. | 80,481. | | 91,100. |
| 27 | Subtract line 26 from line 12 | | | | |
| a | Excess of revenue over expenses and disbursements | <107,542.> | | | |
| b | **Net investment income** (if negative, enter -0-) | | 0. | | |
| c | **Adjusted net income** (if negative, enter -0-) | | | N/A | |

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| | | **Part II** **Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only | Beginning of year | End of year | |
|---|---|---|---|---|---|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash - non-interest-bearing | 55,253. | 72,759. | 72,759. |
| | 2 | Savings and temporary cash investments | 856,418. | 931,044. | 931,044. |
| | 3 | Accounts receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶ | | | |
| | | Less allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 | Other notes and loans receivable ▶ 50,325. | | | |
| | | Less allowance for doubtful accounts ▶ 0. | 50,325. | 50,325. | 50,325. |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments - U S and state government obligations | | | |
| | b | Investments - corporate stock STMT 6 | 155,471. | 64,230. | 118,177. |
| | c | Investments - corporate bonds STMT 7 | 24,430. | 0. | 0. |
| | 11 | Investments - land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other | | | |
| | 14 | Land, buildings, and equipment basis ▶ | | | |
| | | Less accumulated depreciation ▶ | | | |
| | 15 | Other assets (describe ▶ STATEMENT 8 ) | 0. | 15,997. | 15,997. |
| | 16 | **Total assets** (to be completed by all filers) | 1,141,897. | 1,134,355. | 1,188,302. |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable | | | |
| | 22 | Other liabilities (describe ▶ DUE TO TOM P LOWE ) | 0. | 100,000. | |
| | 23 | **Total liabilities** (add lines 17 through 22) | 0. | 100,000. | |
| Net Assets or Fund Balances | | **Foundations that follow SFAS 117, check here** ▶ ☐ **and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 | Unrestricted | | | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | **Foundations that do not follow SFAS 117, check here** ▶ ☒ **and complete lines 27 through 31.** | | | |
| | 27 | Capital stock, trust principal, or current funds | 1,141,897. | 1,034,355. | |
| | 28 | Paid-in or capital surplus, or land, bldg , and equipment fund | 0. | 0. | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | 0. | 0. | |
| | 30 | **Total net assets or fund balances** | 1,141,897. | 1,034,355. | |
| | 31 | **Total liabilities and net assets/fund balances** | 1,141,897. | 1,134,355. | |

## 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 | 1,141,897. |
| 2 | Enter amount from Part I, line 27a | 2 | <107,542.> |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 | Add lines 1, 2, and 3 | 4 | 1,034,355. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 0. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 1,034,355. |

## 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 SUMMARY | P | VARIOUS | VARIOUS |
| b | SEE SUMMARY | P | VARIOUS | VARIOUS |
| c | SEE SUMMARY | P | VARIOUS | VARIOUS |
| d | SEE SUMMARY | P | VARIOUS | VARIOUS |
| e | TENN. BOND WRITE OFF | D | VARIOUS | VARIOUS |

| | (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 | 111,583. | | 96,970. | 14,613. |
| b | 185,596. | | 180,582. | 5,014. |
| c | 271,755. | | 264,313. | 7,442. |
| d | 304,017. | | 264,412. | 39,605. |
| e | | | 24,430. | <24,430.> |

| | 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 | |
| a | | | | 14,613. |
| b | | | | 5,014. |
| c | | | | 7,442. |
| d | | | | 39,605. |
| e | | | | <24,430.> |

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 42,244.

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) If (loss), enter -0- in Part I, line 8 } 3 N/A

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

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

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

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e) Do not complete this part

1 Enter the appropriate amount in each column for each year, see 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 | 92,875. | 1,065,684. | .087151 |
| 2010 | 185,900. | 883,615. | .210386 |
| 2009 | 137,800. | 868,748. | .158619 |
| 2008 | 362,999. | 1,826,788. | .198709 |
| 2007 | 738,468. | 2,140,616. | .344979 |

| | | |
|---|---|---|
| 2 **Total** of line 1, column (d) | 2 | .999844 |
| 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 | .199969 |
| 4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5 | 4 | 1,107,461. |
| 5 Multiply line 4 by line 3 | 5 | 221,458. |
| 6 Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 0. |
| 7 Add lines 5 and 6 | 7 | 221,458. |
| 8 Enter qualifying distributions from Part XII, line 4 | 8 | 91,100. |

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

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

| | | | | | |
|---|---|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1<br>Date of ruling or determination letter ________ **(attach copy of letter if necessary-see instructions)** | | | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☐ and enter 1% of Part I, line 27b | | | 1 | 0. |
| c | All other domestic foundations enter 2% of line 27b Exempt foreign organizations enter 4% of Part I, line 12, col (b) | | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | | 2 | 0. |
| 3 | Add lines 1 and 2 | | | 3 | 0. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only Others enter -0-) | | | 4 | 0. |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3 If zero or less, enter -0- | | | 5 | 0. |
| 6 | Credits/Payments | | | | |
| a | 2012 estimated tax payments and 2011 overpayment credited to 2012 | 6a | 1,200. | | |
| b | Exempt foreign organizations - tax withheld at source | 6b | | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | | | |
| d | Backup withholding erroneously withheld | 6d | | | |
| 7 | Total credits and payments Add lines 6a through 6d | | | 7 | 1,200. |
| 8 | Enter any **penalty** for underpayment of estimated tax Check here ☐ if Form 2220 is attached | | | 8 | |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | | 9 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | | 10 | 1,200. |
| 11 | Enter the amount of line 10 to be **Credited to 2013 estimated tax** ▶ | | 0. **Refunded** ▶ | 11 | 1,200. |

## Part VII-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)?<br>*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.* | 1b | | X |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year<br>**(1)** On the foundation ▶ $ 0. **(2)** On foundation managers ▶ $ 0. | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ▶ $ 0. | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>*If "Yes," attach a detailed description of the activities.* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>*If "Yes," attach the statement required by General Instruction T.* | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either<br>● By language in the governing instrument, or<br>● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year?<br>*If "Yes," complete Part II, col. (c), and Part XV* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶<br>MN | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2012 or the taxable year beginning in 2012 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

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

| | | | | |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions) | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ CARIDAD CORP. / THOMAS LOWE III Telephone no ▶952-471-0499

Located at ▶2630 W LAFAYETTE RD, EXCELSIOR, MN ZIP+4 ▶55331

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

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

| | | | Yes | No |
|---|---|---|---|---|
| 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 | | X |
| | See the instructions for exceptions and filing requirements for Form TD F 90-22 1 If "Yes," enter the name of the foreign country ▶ | | | |

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

| | **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | | Yes | No |
|---|---|---|---|---|---|
| 1a | During the year did the foundation (either directly or indirectly) | | | | |
| (1) | Engage in the sale or exchange, or leasing of property with a disqualified person? | ☐ Yes ☒ No | | | |
| (2) | Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? | ☐ Yes ☒ No | | | |
| (3) | Furnish goods, services, or facilities to (or accept them from) a disqualified person? | ☐ Yes ☒ No | | | |
| (4) | Pay compensation to, or pay or reimburse the expenses of, a disqualified person? | ☐ Yes ☒ No | | | |
| (5) | Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? | ☐ Yes ☒ No | | | |
| (6) | Agree to pay money or property to a government official? (**Exception.** Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days ) | ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53 4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? | N/A | 1b | | |
| | Organizations relying on a current notice regarding disaster assistance check here | ▶ ☐ | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2012? | | 1c | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)) | | | | |
| a | At the end of tax year 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? | ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ _____, _____, _____, _____ | | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions ) | N/A | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here ▶ _____, _____, _____, _____ | | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? | ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 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? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2012 )* | N/A | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2012? | | 4b | | X |

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

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

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

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

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

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

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

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

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

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

*If "Yes," attach the statement required by Regulations section 53 4945-5(d).*

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

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

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

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

**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? N/A **7b**

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

**1 List all officers, directors, trustees, foundation managers and their compensation.**

| (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 |
|---|---|---|---|---|
| THOMAS P. LOWE<br>2630 W. LAFAYETTE RD<br>EXCELSIOR, MN 55331 | PRESIDENT<br>0.00 | 0. | 0. | 0. |
| MAGARET L. LOWE<br>2630 W. LAFAYETTE RD<br>EXCELSIOR, MN 55331 | VICE PRESIDENT<br>0.00 | 0. | 0. | 0. |
| THOMAS P. LOWE III<br>3295 CARMAN RD<br>EXCELSIOR, MN 55331 | TREASURER<br>20.00 | 0. | 0. | 0. |
| | | | | |

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

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

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

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

**3 Five highest-paid independent contractors for professional services. If none, enter "NONE."**

| **(a)** Name and address of each person paid more than $50,000 | **(b)** Type of service | **(c)** Compensation |
|---|---|---|
| NONE | | |
| | | |
| | | |
| | | |
| | | |

**Total** number of others receiving over $50,000 for professional services ▶ 0

## Part IX-A Summary of Direct Charitable Activities

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

## Part IX-B Summary of Program-Related Investments

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

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## 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 | 274,885. |
| b | Average of monthly cash balances | 1b | 849,441. |
| c | Fair market value of all other assets | 1c | |
| d | **Total** (add lines 1a, b, and c) | 1d | 1,124,326. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e 0. | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0. |
| 3 | Subtract line 2 from line 1d | 3 | 1,124,326. |
| 4 | Cash deemed held for charitable activities Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 16,865. |
| 5 | **Net value of noncharitable-use assets** Subtract line 4 from line 3 Enter here and on Part V, line 4 | 5 | 1,107,461. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 55,373. |

## 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 | 55,373. |
| 2a | Tax on investment income for 2012 from Part VI, line 5 2a | | |
| b | Income tax for 2012 (This does not include the tax from Part VI ) 2b | | |
| c | Add lines 2a and 2b | 2c | 0. |
| 3 | Distributable amount before adjustments Subtract line 2c from line 1 | 3 | 55,373. |
| 4 | Recoveries of amounts treated as qualifying distributions | 4 | 0. |
| 5 | Add lines 3 and 4 | 5 | 55,373. |
| 6 | Deduction from distributable amount (see instructions) | 6 | 0. |
| 7 | **Distributable amount** as adjusted Subtract line 6 from line 5 Enter here and on Part XIII, line 1 | 7 | 55,373. |

## 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 | 91,100. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc , purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 91,100. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income Enter 1% of Part I, line 27b | 5 | 0. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 91,100. |

**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)<br>Corpus | (b)<br>Years prior to 2011 | (c)<br>2011 | (d)<br>2012 |
|---|---|---|---|---|---|
| 1 Distributable amount for 2012 from Part XI, line 7 | | | | | 55,373. |
| 2 Undistributed income, if any, as of the end of 2012 | | | | | |
| a Enter amount for 2011 only | | | | 0. | |
| b Total for prior years ______ , ______ , ______ | | | 0. | | |
| 3 Excess distributions carryover, if any, to 2012 | | | | | |
| a From 2007 | 638,776. | | | | |
| b From 2008 | 271,781. | | | | |
| c From 2009 | 94,756. | | | | |
| d From 2010 | 141,719. | | | | |
| e From 2011 | 40,681. | | | | |
| f Total of lines 3a through e | | 1,187,713. | | | |
| 4 Qualifying distributions for 2012 from Part XII, line 4 ▶ $ | 91,100. | | | | |
| a Applied to 2011, but not more than line 2a | | | | 0. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | | 0. | | | |
| d Applied to 2012 distributable amount | | | | | 55,373. |
| e Remaining amount distributed out of corpus | | 35,727. | | | |
| 5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a).) | | 0. | | | 0. |
| 6 **Enter the net total of each column as indicated below:** | | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | | 1,223,440. | | | |
| b Prior years' undistributed income Subtract line 4b from line 2b | | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | | 0. | | |
| d Subtract line 6c from line 6b Taxable amount - see instructions | | | 0. | | |
| e Undistributed income for 2011 Subtract line 4a from line 2a Taxable amount - see instr | | | | 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) | | 0. | | | |
| 8 Excess distributions carryover from 2007 not applied on line 5 or line 7 | | 638,776. | | | |
| 9 **Excess distributions carryover to 2013.** Subtract lines 7 and 8 from line 6a | | 584,664. | | | |
| 10 Analysis of line 9 | | | | | |
| a Excess from 2008 | 271,781. | | | | |
| b Excess from 2009 | 94,756. | | | | |
| c Excess from 2010 | 141,719. | | | | |
| d Excess from 2011 | 40,681. | | | | |
| e Excess from 2012 | 35,727. | | | | |

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

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

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

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | (a) 2012 | (b) 2011 | (c) 2010 | (d) 2009 | (e) Total |
| 2 a 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<br>a "Assets" alternative test - enter<br>(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<br>(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 foundation 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 STATEMENT 9

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

NONE

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

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

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

THOMAS P LOWE C/O CARIDAD CORPORATION, 2630 W LAFAYETTE RD

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

LETTER DESCRIBING ORGANIZATION, BENEFIT, 501(C)(3) STATUS.

c Any submission deadlines

OCTOBER 30TH EACH CALANDAR YEAR

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

NONE

**Part XV** **Supplementary Information** (continued)

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

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| a *Paid during the year*<br>SEE STATEMENT 12 | | | | 91,100. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| **Total** | | | ▶ 3a | 91,100. |
| b *Approved for future payment*<br>NONE | | | | |
| | | | | |
| | | | | |
| **Total** | | | ▶ 3b | 0. |

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

| Enter gross amounts unless otherwise indicated | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclusion code | (d) Amount | |
| 1 Program service revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 3,398. | |
| 4 Dividends and interest from securities | | | 14 | 18,397. | |
| 5 Net rental income or (loss) from real estate | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | | | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 42,244. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal Add columns (b), (d), and (e) | | 0. | | 64,039. | 0. |

13 **Total.** Add line 12, columns (b), (d), and (e) 13 64,039.

(See worksheet in line 13 instructions to verify calculations )

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

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

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

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

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

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

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

b If "Yes," complete the following schedule

| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
|---|---|---|
| N/A | | |
| | | |
| | | |
| | | |
| | | |

**Sign Here**

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

▶ III | 5-6-13 | ▶ TREASURER

Signature of officer or trustee | Date | Title

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

**Paid Preparer Use Only**

| Print/Type preparer's name | Preparer's signature | Date | Check ☐ if self-employed | PTIN |
|---|---|---|---|---|
| DEBBIE S. ROBBINS | | 5/1/13 | | P00444279 |

Firm's name ▶ MOLLER & BARRETT, LLP

Firm's EIN ▶ 41-1796618

Firm's address ▶ 225 SOUTH SIXTH STREET, STE 4390
MINNEAPOLIS, MN 55402

Phone no (612) 372-0090

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

| SOURCE | AMOUNT |
|---|---|
| BD&F | 3,351. |
| BT VENTURES | 47. |
| TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A | 3,398. |

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | COLUMN (A) AMOUNT |
|---|---|---|---|
| BROKERAGE ACCOUNTS | 18,397. | 0. | 18,397. |
| TOTAL TO FM 990-PF, PART I, LN 4 | 18,397. | 0. | 18,397. |

FORM 990-PF LEGAL FEES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| LEGAL AND ACCOUNTING | 46,461. | 46,461. | | 0. |
| TO FM 990-PF, PG 1, LN 16A | 46,461. | 46,461. | | 0. |

FORM 990-PF TAXES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| FOREIGN TAXES | 96. | 96. | | 0. |
| FEDERAL TAX | 1,904. | 1,904. | | 0. |
| REFUND OF PROPERTY TAXES | <33,865.> | <33,865.> | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | <31,865.> | <31,865.> | | 0. |

## FORM 990-PF OTHER EXPENSES STATEMENT 5

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| MISCELLANEOUS INVESTMENT FEES | 575. | 575. | | 0. |
| BANK FEES | 144. | 144. | | 0. |
| METRO GEM CLAWBACK | 23,166. | 23,166. | | 0. |
| BUSINESS SERVICES | 42,000. | 42,000. | | 0. |
| TO FORM 990-PF, PG 1, LN 23 | 65,885. | 65,885. | | 0. |

## FORM 990-PF CORPORATE STOCK STATEMENT 6

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| STOCKS/OPTIONS | 64,230. | 118,177. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 64,230. | 118,177. |

## FORM 990-PF CORPORATE BONDS STATEMENT 7

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| BOND | 0. | 0. |
| TOTAL TO FORM 990-PF, PART II, LINE 10C | 0. | 0. |

## FORM 990-PF OTHER ASSETS STATEMENT 8

| DESCRIPTION | BEGINNING OF YR BOOK VALUE | END OF YEAR BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|
| PENDING SALES RECEIVABLE | 0. | 15,997. | 15,997. |
| TO FORM 990-PF, PART II, LINE 15 | 0. | 15,997. | 15,997. |

FORM 990-PF

## PART XV - LINE 1A
## LIST OF FOUNDATION MANAGERS

STATEMENT 9

NAME OF MANAGER

THOMAS P. LOWE
MAGARET L. LOWE

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

| SOURCE | AMOUNT |
|---|---|
| BD&F | 3,351. |
| BT VENTURES | 47. |
| TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A | 3,398. |

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | COLUMN (A) AMOUNT |
|---|---|---|---|
| BROKERAGE ACCOUNTS | 18,397. | 0. | 18,397. |
| TOTAL TO FM 990-PF, PART I, LN 4 | 18,397. | 0. | 18,397. |

## FORM 990-PF LEGAL FEES STATEMENT 3

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| LEGAL AND ACCOUNTING | 46,461. | 46,461. | | 0. |
| TO FM 990-PF, PG 1, LN 16A | 46,461. | 46,461. | | 0. |

## FORM 990-PF TAXES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| FOREIGN TAXES | 96. | 96. | | 0. |
| FEDERAL TAX | 1,904. | 1,904. | | 0. |
| REFUND OF PROPERTY TAXES | <33,865.> | <33,865.> | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | <31,865.> | <31,865.> | | 0. |

FORM 990-PF OTHER EXPENSES STATEMENT 5

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST- MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| MISCELLANEOUS INVESTMENT FEES | 575. | 575. | | 0. |
| BANK FEES | 144. | 144. | | 0. |
| METRO GEM CLAWBACK | 23,166. | 23,166. | | 0. |
| BUSINESS SERVICES | 42,000. | 42,000. | | 0. |
| TO FORM 990-PF, PG 1, LN 23 | 65,885. | 65,885. | | 0. |

FORM 990-PF CORPORATE STOCK STATEMENT 6

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| STOCKS/OPTIONS | 64,230. | 118,177. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 64,230. | 118,177. |

FORM 990-PF CORPORATE BONDS STATEMENT 7

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| BOND | 0. | 0. |
| TOTAL TO FORM 990-PF, PART II, LINE 10C | 0. | 0. |

FORM 990-PF OTHER ASSETS STATEMENT 8

| DESCRIPTION | BEGINNING OF YR BOOK VALUE | END OF YEAR BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|
| PENDING SALES RECEIVABLE | 0. | 15,997. | 15,997. |
| TO FORM 990-PF, PART II, LINE 15 | 0. | 15,997. | 15,997. |

FORM 990-PF

## PART XV - LINE 1A
## LIST OF FOUNDATION MANAGERS

STATEMENT 9

| NAME OF MANAGER |
|---|
| THOMAS P. LOWE |
| MAGARET L. LOWE |

CARIDAD CORPORATION
YEAR ENDED DECEMBER 31, 2009
FEDERAL ID# 36-3505813

**STATEMENT #12**
**PART XV LINE 3A**

| RECIPIENT | RELATION | FOUNDATION STATUS | PURPOSE | AMOUNT | |
|---|---|---|---|---|---|
| American Refugee Committee | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Anne K Taylor Fund | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| ASWRV | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Baseline Club | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 300 00 |
| Breck School Annual Fund | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Camp Mak-A-Dream | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| Camphill Village Minnesota | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 200 00 |
| Capital Research Center | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Cato Institute | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 2,500.00 |
| CFACT | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| Chase Johnson Benefit Trust | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| College Possible | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Community Emergency Services | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Courage Center | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Debbie Oneida, Benefit Account For Casey Schv | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Freedom Foundation of Minnesota | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Friends Of HCL | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 10,000 00 |
| Hammer Residences | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 7,500 00 |
| Holy Rosary Church | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Inner City Tennis | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| Institute For Justice | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| LAKE MINNETONKA ASSOC | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Living With Wolves | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| Minneapolis Heart Institute Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 15,000 00 |
| Minneapolis Recreation Development, Inc | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 3,000 00 |
| Minnetonka Center for The Arts | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 3,100 00 |
| NFT Minnesota Heart Fund | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| Northwestern CHI PSI Educational Foundation, Ir | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| NYU Tisch | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| One Percent Club | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Oregon Institute of Science & Medicine | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| Orono High School | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Pacific Legal Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Page Education Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| People Incorporated | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| PPL | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 10,000 00 |
| Rowland Hall School | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Salvation Army | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| SAWTOOTH SKI CLUB | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500.00 |
| Snowbird Sports Education Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000.00 |
| St Martin's Church | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 3,500 00 |
| Thacher School Annual Fund | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| The Blake School Annual Fund | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 550 00 |
| The Community Library | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| The Whole Learning School | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| Top Dog Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 200 00 |
| Trinity School At River Ridge | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 10,000 00 |
| Twin Cities Public Television | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 1,000 00 |
| University of Minn Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| UNIVERSITY OF MINNESOTA FOUNDATION | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 250 00 |
| VitreoRetinal Surgery Foundation | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| Women's Ski Jumping USA | N/A | Publicly supported charity | Further the tax exempt purpose of the charity | $ | 500 00 |
| | | | **Total** | | **91,100.00** |

PBC

**Ameritrade**

Powered by GAINSKEEPER

# Realized Book Capital Gain/Loss Report

Created 2/15/2013 11 44 am

LOWE THOMAS
862302528
01/01/2012 -- 12/31/2012

## Entire Period

| | | | |
|---|---|---|---|
| Short-term gain | 94,865.93 | Long-term gain | 142,298.55 |
| Short-term loss | -80,254.24 | Long-term loss | -137,284.28 |
| Short-term net | 14,611.69 | Long-term net | 5,014.27 |
| Short-term proceeds | 111,583.29 | Long-term proceeds | 185,596.07 |
| Short-term cost | 96,970.72 | Long-term cost | 180,582.68 |

## Section 1256 Gain/Loss (included above)

| | | | |
|---|---|---|---|
| Gain | 237,164.48 | Loss | -200,636.11 |
| Short-term gain or loss(40%) | 14,611.69 | Long-term gain or loss(60%) | 21,916.68 |
| Section 1256 sales | 278,956.77 | | |
| Section 1256 cost | 242,428.40 | | |

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| CANADIAN OIL SANDS LTD (COSWF) | Sell FIFO | 1,000 | 10/16/2007 | 35,125 00 | 06/05/2012 | 18,222 59 | | -16,902 41 |
| RUT Apr 21 2012 890 0 Call* | Expire Short | 500 | 03/02/2012 | 0 00 | 04/23/2012 | 634 94 | 253 98 | 380 96 |
| RUT Apr 21 2012 890 0 Call* | Expire Short | 500 | 03/02/2012 | 0 00 | 04/23/2012 | 654 94 | 261 98 | 392 96 |
| RUT Apr 21 2012 890.0 Call* | Expire Short | 500 | 03/02/2012 | 0 00 | 04/23/2012 | 654 94 | 261 98 | 392 96 |
| RUT Apr 21 2012 890 0 Call* | Expire Short | 500 | 03/02/2012 | 0 00 | 04/23/2012 | 659 94 | 263 98 | 395 96 |
| RUT Apr 21 2012 890 0 Call* | Expire Short | 500 | 03/06/2012 | 0 00 | 04/23/2012 | 279 94 | 111 98 | 167 96 |
| RUT Apr 21 2012 900 0 Call* | Buy to Close FIFO | 500 | 03/02/2012 | 50 06 | 04/10/2012 | 414 94 | 145 95 | 218 93 |
| RUT Apr 21 2012 900 0 Call* | Buy to Close FIFO | 1,000 | 03/12/2012 | 100 12 | 04/10/2012 | 829 88 | 291 90 | 437 86 |
| RUT Apr 21 2012 900 0 Call* | Buy to Close FIFO | 500 | 03/20/2012 | 50 06 | 04/10/2012 | 399.94 | 139 95 | 209 93 |
| RUT Apr 21 2012 900 0 Call* | Buy to Close FIFO | 500 | 03/20/2012 | 50 06 | 04/10/2012 | 399 94 | 139 95 | 209 93 |
| RUT Apr 21 2012 900 0 Call* | Buy to Close FIFO | 500 | 03/20/2012 | 50 06 | 04/10/2012 | 399 94 | 139 95 | 209 93 |
| RUT Apr 21 2012 900 0 Call* | Buy to Close FIFO | 500 | 03/26/2012 | 50 06 | 04/10/2012 | 509 94 | 183 95 | 275 93 |
| RUT Apr 21 2012 900 0 Call* | Buy to Close FIFO | 500 | 03/26/2012 | 50.06 | 04/10/2012 | 509 94 | 183 95 | 275 93 |
| RUT Apr 21 2012 900 0 Call* | Buy to Close FIFO | 500 | 03/26/2012 | 50 06 | 04/10/2012 | 514 94 | 185 95 | 278 93 |
| RUT Apr 21 2012 910 0 Call* | Expire Long | 500 | 03/02/2012 | 290 06 | 04/23/2012 | | -116 02 | -174 04 |
| RUT Apr 21 2012 910 0 Call* | Expire Long | 500 | 03/02/2012 | 300 06 | 04/23/2012 | | -120 02 | -180 04 |
| RUT Apr 21 2012 910 0 Call* | Expire Long | 500 | 03/02/2012 | 300 06 | 04/23/2012 | | -120 02 | -180 04 |
| RUT Apr 21 2012 910 0 Call* | Expire Long | 500 | 03/02/2012 | 295 06 | 04/23/2012 | | -118 02 | -177 04 |
| RUT Apr 21 2012 910 0 Call* | Expire Long | 500 | 03/06/2012 | 140 06 | 04/23/2012 | | -56 02 | -84 04 |
| RUT Apr 21 2012 920 0 Call* | Sell to Close.FIFO | 500 | 03/02/2012 | 205 06 | 04/10/2012 | 14 94 | -76 05 | -114 07 |
| RUT Apr 21 2012 920 0 Call* | Sell to Close FIFO | 1,000 | 03/12/2012 | 400 12 | 04/10/2012 | 29 88 | -148 10 | -222 14 |
| RUT Apr 21 2012 920.0 Call* | Sell to Close FIFO | 500 | 03/20/2012 | 170 06 | 04/10/2012 | 14 94 | -62.05 | -93 07 |
| RUT Apr 21 2012 920 0 Call* | Sell to Close FIFO | 500 | 03/20/2012 | 170 06 | 04/10/2012 | 14 94 | -62.05 | -93 07 |
| RUT Apr 21 2012 920 0 Call* | Sell to Close FIFO | 500 | 03/20/2012 | 170 06 | 04/10/2012 | 14 94 | -62 05 | -93 07 |
| RUT Apr 21 2012 920 0 Call* | Sell to Close FIFO | 500 | 03/26/2012 | 225 06 | 04/10/2012 | 14 94 | -84 05 | -126 07 |
| RUT Apr 21 2012 920 0 Call* | Sell to Close FIFO | 500 | 03/26/2012 | 225 06 | 04/10/2012 | 14 94 | -84 05 | -126 07 |
| RUT Apr 21 2012 920 0 Call* | Sell to Close FIFO | 500 | 03/26/2012 | 230 06 | 04/10/2012 | 14 94 | -86.05 | -129 07 |
| RUT Apr 21 2012 670 0 Put* | Sell to Close FIFO | 1,000 | 03/06/2012 | 3,980 12 | 04/13/2012 | 69 88 | -1,564 10 | -2,346 14 |
| RUT Apr 21 2012 670 0 Put* | Sell to Close FIFO | 500 | 03/06/2012 | 2,195 06 | 04/13/2012 | 34 94 | -864 05 | -1,296 07 |
| RUT Apr 21 2012 680 0 Put* | Sell to Close FIFO | 500 | 03/02/2012 | 2,060 06 | 04/13/2012 | 44 94 | -806 05 | -1,209 07 |
| RUT Apr 21 2012 680 0 Put* | Sell to Close FIFO | 500 | 03/02/2012 | 2,035 06 | 04/13/2012 | 44 94 | -796 05 | -1,194 07 |
| RUT Apr 21 2012 680 0 Put* | Sell to Close FIFO | 500 | 03/02/2012 | 2,050 06 | 04/13/2012 | 44 94 | -802 05 | -1,203 07 |
| RUT Apr 21 2012 680 0 Put* | Sell to Close FIFO | 500 | 03/02/2012 | 2,050 06 | 04/13/2012 | 44 94 | -802 05 | -1,203 07 |
| RUT Apr 21 2012 680 0 Put* | Sell to Close.FIFO | 500 | 03/02/2012 | 2,040 06 | 04/13/2012 | 44 94 | -798 05 | -1,197 07 |
| RUT Apr 21 2012 690 0 Put* | Buy to Close FIFO | 1,000 | 03/06/2012 | 110 12 | 04/13/2012 | 5,409 88 | 2,119 90 | 3,179 86 |
| RUT Apr 21 2012 690 0 Put* | Buy to Close FIFO | 500 | 03/06/2012 | 55 06 | 04/13/2012 | 2,984 94 | 1,171 95 | 1,757.93 |
| RUT Apr 21 2012 700 0 Put* | Buy to Close FIFO | 500 | 03/02/2012 | 65 06 | 04/13/2012 | 2,864 94 | 1,119 95 | 1,679 93 |
| RUT Apr 21 2012 700 0 Put* | Buy to Close FIFO | 500 | 03/02/2012 | 65 06 | 04/13/2012 | 2,794 94 | 1,091 95 | 1,637 93 |
| RUT Apr 21 2012 700 0 Put* | Buy to Close FIFO | 500 | 03/02/2012 | 65 06 | 04/13/2012 | 2,799 94 | 1,093 95 | 1,640 93 |
| RUT Apr 21 2012 700 0 Put* | Buy to Close FIFO | 500 | 03/02/2012 | 65 06 | 04/13/2012 | 2,799 94 | 1,093 95 | 1,640 93 |
| RUT Apr 21 2012 700 0 Put* | Buy to Close.FIFO | 500 | 03/02/2012 | 65 06 | 04/13/2012 | 2,809 94 | 1,097 95 | 1,646 93 |
| RUT Apr 21 2012 710 0 Put* | Expire Long | 1,000 | 03/12/2012 | 3,350 12 | 04/23/2012 | | -1,340 05 | -2,010 07 |
| RUT Apr 21 2012 710 0 Put* | Expire Long | 500 | 03/20/2012 | 605 06 | 04/23/2012 | | -242 02 | -363 04 |
| RUT Apr 21 2012 710 0 Put* | Expire Long | 500 | 03/20/2012 | 605 06 | 04/23/2012 | | -242 02 | -363 04 |
| RUT Apr 21 2012 710 0 Put* | Expire Long | 500 | 03/20/2012 | 605 06 | 04/23/2012 | | -242 02 | -363 04 |
| RUT Apr 21 2012 710 0 Put* | Expire Long | 500 | 03/26/2012 | 215 06 | 04/23/2012 | | -86 02 | -129 04 |
| RUT Apr 21 2012 710 0 Put* | Expire Long | 500 | 03/26/2012 | 215 06 | 04/23/2012 | | -86 02 | -129 04 |
| RUT Apr 21 2012 710 0 Put* | Expire Long | 500 | 03/26/2012 | 205 06 | 04/23/2012 | | -82 02 | -123 04 |
| RUT Apr 21 2012 730 0 Put* | Expire Short | 1,000 | 03/12/2012 | 0 00 | 04/23/2012 | 4,879 88 | 1,951 95 | 2,927 93 |
| RUT Apr 21 2012 730 0 Put* | Expire Short | 500 | 03/20/2012 | 0 00 | 04/23/2012 | 929 94 | 371 98 | 557 96 |
| RUT Apr 21 2012 730 0 Put* | Expire Short | 500 | 03/20/2012 | 0 00 | 04/23/2012 | 929 94 | 371 98 | 557 96 |
| RUT Apr 21 2012 730 0 Put* | Expire Short | 500 | 03/20/2012 | 0 00 | 04/23/2012 | 929 94 | 371 98 | 557 96 |
| RUT Apr 21 2012 730 0 Put* | Expire Short | 500 | 03/26/2012 | 0 00 | 04/23/2012 | 374 94 | 149 98 | 224 96 |
| RUT Apr 21 2012 730 0 Put* | Expire Short | 500 | 03/26/2012 | 0 00 | 04/23/2012 | 374 94 | 149 98 | 224 96 |
| RUT Apr 21 2012 730 0 Put* | Expire Short | 500 | 03/26/2012 | 0 00 | 04/23/2012 | 369 94 | 147 98 | 221 96 |

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| RUT Aug 18 2012 860 0 Call* | Buy to Close FIFO | 1,000 | 06/19/2012 | 50 17 | 08/16/2012 | 2,709 88 | 1,063 88 | 1,595 83 |
| RUT Aug 18 2012 860 0 Call* | Buy to Close FIFO | 1,000 | 07/10/2012 | 50 17 | 08/16/2012 | 2,619 88 | 1,027 88 | 1,541 83 |
| RUT Aug 18 2012 860 0 Call* | Buy to Close FIFO | 1,000 | 07/13/2012 | 50 17 | 08/16/2012 | 1,329 88 | 511 88 | 767 83 |
| RUT Aug 18 2012 870 0 Call* | Expire Long | 1,500 | 07/13/2012 | 1,155.18 | 08/20/2012 | | -462 07 | -693 11 |
| RUT Aug 18 2012 850 0 Call* | Buy to Close FIFO | 1,500 | 07/13/2012 | 75 26 | 08/16/2012 | 3,494 82 | 1,367 82 | 2,051.74 |
| RUT Aug 18 2012 880 0 Call* | Expire Long | 1,000 | 06/19/2012 | 1,130 12 | 08/20/2012 | | -452 05 | -678.07 |
| RUT Aug 18 2012 880 0 Call* | Expire Long | 1,000 | 07/10/2012 | 1,020.12 | 08/20/2012 | | -408 05 | -612 07 |
| RUT Aug 18 2012 880 0 Call* | Expire Long | 1,000 | 07/13/2012 | 450 12 | 08/20/2012 | | -180 05 | -270 07 |
| RUT Feb 18 2012 640 0 Put* | Expire Long | 500 | 01/18/2012 | 775 06 | 02/21/2012 | | -310 02 | -465 04 |
| RUT Feb 18 2012 640 0 Put* | Expire Long | 500 | 01/18/2012 | 775 06 | 02/21/2012 | | -310 02 | -465 04 |
| RUT Feb 18 2012 640 0 Put* | Expire Long | 500 | 01/18/2012 | 780 06 | 02/21/2012 | | -312 02 | -468 04 |
| RUT Feb 18 2012 660 0 Put* | Buy to Close FIFO | 500 | 01/18/2012 | 25 06 | 02/14/2012 | 1,159 94 | 453 95 | 680 93 |
| RUT Feb 18 2012 660 0 Put* | Buy to Close FIFO | 500 | 01/18/2012 | 25 06 | 02/14/2012 | 1,159 94 | 453 95 | 680 93 |
| RUT Feb 18 2012 660 0 Put* | Buy to Close FIFO | 500 | 01/18/2012 | 25 06 | 02/14/2012 | 1,164 94 | 455 95 | 683 93 |
| RUT Feb 18 2012 680 0 Put* | Expire Long | 500 | 01/25/2012 | 550 06 | 02/21/2012 | | -220 02 | -330.04 |
| RUT Feb 18 2012 680 0 Put* | Expire Long | 500 | 01/25/2012 | 610 06 | 02/21/2012 | | -244 02 | -366 04 |
| RUT Feb 18 2012 680 0 Put* | Expire Long | 500 | 01/25/2012 | 615 06 | 02/21/2012 | | -246 02 | -369 04 |
| RUT Feb 18 2012 700 0 Put* | Buy to Close FIFO | 500 | 01/25/2012 | 25 06 | 02/14/2012 | 899 94 | 349 95 | 524 93 |
| RUT Feb 18 2012 700 0 Put* | Buy to Close FIFO | 500 | 01/25/2012 | 25 06 | 02/14/2012 | 969 94 | 377 95 | 566 93 |
| RUT Feb 18 2012 700 0 Put* | Buy to Close.FIFO | 500 | 01/25/2012 | 25 06 | 02/14/2012 | 964 94 | 375 95 | 563 93 |
| RUT Jul 21 2012 860 0 Call* | Sell to Close FIFO | 1,000 | 06/06/2012 | 620 12 | 07/13/2012 | 19 88 | -240 10 | -360 14 |
| RUT Jul 21 2012 860 0 Call* | Sell to Close FIFO | 500 | 06/08/2012 | 345 06 | 07/13/2012 | 9 94 | -134 05 | -201 07 |
| RUT Jul 21 2012 630 0 Put* | Sell to Close FIFO | 3,000 | 05/21/2012 | 17,400 36 | 07/02/2012 | 209 64 | -6,876 29 | -10,314 43 |
| RUT Jul 21 2012 650 0 Put* | Buy to Close FIFO | 3,000 | 05/21/2012 | 570 36 | 07/02/2012 | 22,739 64 | 8,867 71 | 13,301 57 |
| RUT Jul 21 2012 840 0 Call* | Buy to Close FIFO | 1,000 | 06/06/2012 | 170 12 | 07/13/2012 | 1,549 88 | 551 90 | 827 86 |
| RUT Jul 21 2012 840 0 Call* | Buy to Close FIFO | 500 | 06/08/2012 | 85 06 | 07/13/2012 | 894.94 | 323 95 | 485 93 |
| RUT Jun 16 2012 670 0 Put* | Sell to Close FIFO | 2,000 | 05/03/2012 | 3,740 24 | 05/21/2012 | 4,999 76 | 503 81 | 755 71 |
| RUT Jun 16 2012 670 0 Put* | Sell to Close FIFO | 500 | 05/04/2012 | 1,250 06 | 05/21/2012 | 1,249 94 | -0 05 | -0 07 |
| RUT Jun 16 2012 670 0 Put* | Sell to Close FIFO | 500 | 05/04/2012 | 1,300 06 | 05/21/2012 | 1,249.94 | -20 05 | -30 07 |
| RUT Jun 16 2012 690 0 Put* | Buy to Close FIFO | 2,000 | 05/03/2012 | 8,400 24 | 05/21/2012 | 5,699 76 | -1,080 19 | -1,620 29 |
| RUT Jun 16 2012 690 0 Put* | Buy to Close FIFO | 500 | 05/04/2012 | 2,100 06 | 05/21/2012 | 1,814 94 | -114 05 | -171 07 |
| RUT Jun 16 2012 690 0 Put* | Buy to Close FIFO | 500 | 05/04/2012 | 2,100 06 | 05/21/2012 | 1,864 94 | -94 05 | -141 07 |
| RUT Jun 16 2012 870 0 Call* | Expire Short | 500 | 05/07/2012 | 0 00 | 06/18/2012 | 494 94 | 197 98 | 296 96 |
| RUT Jun 16 2012 870 0 Call* | Expire Short | 500 | 05/07/2012 | 0 00 | 06/18/2012 | 494 94 | 197 98 | 296 96 |
| RUT Jun 16 2012 870 0 Call* | Expire Short | 1,000 | 05/07/2012 | 0 00 | 06/18/2012 | 989 88 | 395 95 | 593 93 |
| RUT Jun 16 2012 890 0 Call* | Expire Long | 500 | 05/07/2012 | 180 06 | 06/18/2012 | | -72 02 | -108 04 |
| RUT Jun 16 2012 890 0 Call* | Expire Long | 500 | 05/07/2012 | 180 06 | 06/18/2012 | | -72 02 | -108 04 |
| RUT Jun 16 2012 890 0 Call* | Expire Long | 1,000 | 05/07/2012 | 360 12 | 06/18/2012 | | -144 05 | -216 07 |
| RUT Mar 17 2012 890 0 Call* | Expire Short | 1,000 | 02/21/2012 | 0 00 | 03/19/2012 | 849 88 | 339 95 | 509 93 |
| RUT Mar 17 2012 890 0 Call* | Expire Short | 1,000 | 02/21/2012 | 0 00 | 03/19/2012 | 849 88 | 339 95 | 509 93 |
| RUT Mar 17 2012 890 0 Call* | Expire Short | 1,000 | 02/21/2012 | 0 00 | 03/19/2012 | 849 88 | 339 95 | 509.93 |
| RUT Mar 17 2012 890 0 Call* | Expire Short | 500 | 02/21/2012 | 0 00 | 03/19/2012 | 424 94 | 169 98 | 254 96 |
| RUT Mar 17 2012 910 0 Call* | Expire Long | 1,000 | 02/21/2012 | 300 12 | 03/19/2012 | | -120 05 | -180 07 |
| RUT Mar 17 2012 910 0 Call* | Expire Long | 1,000 | 02/21/2012 | 300 12 | 03/19/2012 | | -120 05 | -180 07 |
| RUT Mar 17 2012 910 0 Call* | Expire Long | 1,000 | 02/21/2012 | 300 12 | 03/19/2012 | | -120 05 | -180 07 |
| RUT Mar 17 2012 910 0 Call* | Expire Long | 500 | 02/21/2012 | 150 06 | 03/19/2012 | | -60 02 | -90 04 |
| RUT Mar 17 2012 700 0 Put* | Expire Long | 500 | 02/15/2012 | 1,525 06 | 03/19/2012 | | -610 02 | -915 04 |
| RUT Mar 17 2012 700 0 Put* | Expire Long | 500 | 02/15/2012 | 1,535 06 | 03/19/2012 | | -614 02 | -921.04 |
| RUT Mar 17 2012 700 0 Put* | Expire Long | 500 | 02/15/2012 | 1,535 06 | 03/19/2012 | | -614 02 | -921 04 |
| RUT Mar 17 2012 700 0 Put* | Expire Long | 500 | 02/15/2012 | 1,530 06 | 03/19/2012 | | -612 02 | -918 04 |
| RUT Mar 17 2012 700 0 Put* | Expire Long | 500 | 02/15/2012 | 1,560 06 | 03/19/2012 | | -624 02 | -936 04 |
| RUT Mar 17 2012 710 0 Put* | Expire Long | 1,000 | 02/06/2012 | 2,840 12 | 03/19/2012 | | -1,136 05 | -1,704 07 |
| RUT Mar 17 2012 710 0 Put* | Expire Long | 500 | 02/27/2012 | 420 06 | 03/19/2012 | | -168 02 | -252 04 |
| RUT Mar 17 2012 710 0 Put* | Expire Long | 500 | 02/27/2012 | 430 06 | 03/19/2012 | | -172 02 | -258 04 |
| RUT Mar 17 2012 720 0 Put* | Expire Short | 500 | 02/15/2012 | 0 00 | 03/19/2012 | 2,159 94 | 863 98 | 1,295 96 |

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| RUT Mar 17 2012 720 0 Put* | Expire Short | 500 | 02/15/2012 | 0 00 | 03/19/2012 | 2,184 94 | 873 98 | 1,310 96 |
| RUT Mar 17 2012 720 0 Put* | Expire Short | 500 | 02/15/2012 | 0 00 | 03/19/2012 | 2,184 94 | 873 98 | 1,310 96 |
| RUT Mar 17 2012 720 0 Put* | Expire Short | 500 | 02/15/2012 | 0 00 | 03/19/2012 | 2,189 94 | 875 98 | 1,313 96 |
| RUT Mar 17 2012 720 0 Put* | Expire Short | 500 | 02/15/2012 | 0 00 | 03/19/2012 | 2,204 94 | 881 98 | 1,322 96 |
| RUT Mar 17 2012 730 0 Put* | Buy to Close FIFO | 1,000 | 02/06/2012 | 110 12 | 03/12/2012 | 4,109 88 | 1,599 90 | 2,399 86 |
| RUT Mar 17 2012 730 0 Put* | Buy to Close FIFO | 500 | 02/27/2012 | 55 06 | 03/12/2012 | 739 94 | 273 95 | 410 93 |
| RUT Mar 17 2012 730 0 Put* | Buy to Close FIFO | 500 | 02/27/2012 | 55 06 | 03/12/2012 | 749 94 | 277 95 | 416 93 |
| RUT May 19 2012 670 0 Put* | Expire Long | 1,500 | 04/13/2012 | 3,000 18 | 05/21/2012 | | -1,200 07 | -1,800 11 |
| RUT May 19 2012 670 0 Put* | Expire Long | 2,500 | 04/13/2012 | 5,075 30 | 05/21/2012 | | -2,030 12 | -3,045 18 |
| RUT May 19 2012 690 0 Put* | Expire Short | 1,500 | 04/13/2012 | 0 00 | 05/21/2012 | 4,274 82 | 1,709 93 | 2,564 89 |
| RUT May 19 2012 690 0 Put* | Expire Short | 2,500 | 04/13/2012 | 0 00 | 05/21/2012 | 6,824 70 | 2,729 88 | 4,094 82 |
| RUT May 19 2012 865 0 Call* | Expire Short | 1,000 | 04/24/2012 | 0 00 | 05/21/2012 | 479 88 | 191 95 | 287 93 |
| RUT May 19 2012 865 0 Call* | Expire Short | 1,000 | 04/24/2012 | 0 00 | 05/21/2012 | 479 88 | 191 95 | 287 93 |
| RUT May 19 2012 865 0 Call* | Expire Short | 1,000 | 04/24/2012 | 0 00 | 05/21/2012 | 479 88 | 191 95 | 287 93 |
| RUT May 19 2012 865 0 Call* | Expire Short | 1,000 | 04/24/2012 | 0 00 | 05/21/2012 | 479 88 | 191.95 | 287 93 |
| RUT May 19 2012 885 0 Call* | Expire Long | 1,000 | 04/24/2012 | 200 12 | 05/21/2012 | | -80 05 | -120 07 |
| RUT May 19 2012 885 0 Call* | Expire Long | 1,000 | 04/24/2012 | 200 12 | 05/21/2012 | | -80 05 | -120 07 |
| RUT May 19 2012 885.0 Call* | Expire Long | 1,000 | 04/24/2012 | 200 12 | 05/21/2012 | | -80.05 | -120 07 |
| RUT May 19 2012 885 0 Call* | Expire Long | 1,000 | 04/24/2012 | 200 12 | 05/21/2012 | | -80 05 | -120 07 |
| SPX Apr 21 2012 1450 0 Call* | Expire Short | 500 | 03/07/2012 | 0 00 | 04/23/2012 | 439 94 | 175 98 | 263 96 |
| SPX Apr 21 2012 1450 0 Call* | Expire Short | 500 | 03/07/2012 | 0 00 | 04/23/2012 | 439 94 | 175 98 | 263 96 |
| SPX Apr 21 2012 1400 0 Call* | Sell to Close FIFO | 500 | 04/19/2012 | 185 06 | 04/19/2012 | 89 94 | -38 05 | -57 07 |
| SPX Apr 21 2012 1200 0 Put* | Expire Long | 500 | 03/07/2012 | 2,705 06 | 04/23/2012 | | -1,082 02 | -1,623 04 |
| SPX Apr 21 2012 1200 0 Put* | Expire Long | 500 | 03/07/2012 | 2,705 06 | 04/23/2012 | | -1,082 02 | -1,623 04 |
| SPX Apr 21 2012 1420 0 Call* | Buy to Close FIFO | 500 | 04/19/2012 | 50 06 | 04/19/2012 | 24 94 | -10 05 | -15 07 |
| SPX Apr 21 2012 1220 0 Put* | Buy to Close FIFO | 500 | 03/07/2012 | 80 06 | 04/12/2012 | 3,369 94 | 1,315 95 | 1,973 93 |
| SPX Apr 21 2012 1220.0 Put* | Buy to Close FIFO | 500 | 03/07/2012 | 80.06 | 04/12/2012 | 3,369 94 | 1,315 95 | 1,973 93 |
| SPX Apr 21 2012 1470 0 Call* | Expire Long | 500 | 03/07/2012 | 300 06 | 04/23/2012 | | -120 02 | -180 04 |
| SPX Apr 21 2012 1470 0 Call* | Expire Long | 500 | 03/07/2012 | 300 06 | 04/23/2012 | | -120 02 | -180 04 |
| SPX Aug 18 2012 1450 0 Call* | Expire Short | 500 | 06/19/2012 | 0 00 | 08/20/2012 | 1,189 94 | 475 98 | 713 96 |
| SPX Aug 18 2012 1450 0 Call* | Expire Short | 500 | 06/19/2012 | 0 00 | 08/20/2012 | 1,189 94 | 475 98 | 713 96 |
| SPX Aug 18 2012 1440 0 Call* | Buy to Close FIFO | 500 | 06/18/2012 | 415 09 | 08/08/2012 | 1,414 94 | 399 94 | 599 91 |
| SPX Aug 18 2012 1440 0 Call* | Buy to Close FIFO | 500 | 06/18/2012 | 415 09 | 08/08/2012 | 1,414 94 | 399 94 | 599 91 |
| SPX Aug 18 2012 1440 0 Call* | Buy to Close.FIFO | 500 | 06/29/2012 | 415 09 | 08/08/2012 | 1,114 94 | 279 94 | 419 91 |
| SPX Aug 18 2012 1440 0 Call* | Buy to Close FIFO | 500 | 06/29/2012 | 410 09 | 08/08/2012 | 1,114 94 | 281 94 | 422 91 |
| SPX Aug 18 2012 1440 0 Call* | Buy to Close FIFO | 500 | 06/29/2012 | 415 09 | 08/08/2012 | 1,139 94 | 289 94 | 434 91 |
| SPX Aug 18 2012 1440 0 Call* | Buy to Close FIFO | 500 | 07/18/2012 | 410 09 | 08/08/2012 | 864 94 | 181 94 | 272 91 |
| SPX Aug 18 2012 1440 0 Call* | Buy to Close FIFO | 500 | 07/18/2012 | 410 09 | 08/08/2012 | 864 94 | 181 94 | 272 91 |
| SPX Aug 18 2012 1460 0 Call* | Sell to Close FIFO | 500 | 06/18/2012 | 675 06 | 08/08/2012 | 149 91 | -210 06 | -315 09 |
| SPX Aug 18 2012 1460 0 Call* | Sell to Close FIFO | 500 | 06/18/2012 | 675 06 | 08/08/2012 | 149 91 | -210 06 | -315 09 |
| SPX Aug 18 2012 1460 0 Call* | Sell to Close FIFO | 500 | 06/29/2012 | 550 06 | 08/08/2012 | 149 91 | -160 06 | -240 09 |
| SPX Aug 18 2012 1460 0 Call* | Sell to Close FIFO | 500 | 06/29/2012 | 550 06 | 08/08/2012 | 149 91 | -160 06 | -240 09 |
| SPX Aug 18 2012 1460 0 Call* | Sell to Close FIFO | 500 | 06/29/2012 | 550 06 | 08/08/2012 | 149 91 | -160 06 | -240 09 |
| SPX Aug 18 2012 1460 0 Call* | Sell to Close FIFO | 500 | 07/18/2012 | 425 06 | 08/08/2012 | 149 91 | -110 06 | -165 09 |
| SPX Aug 18 2012 1460 0 Call* | Sell to Close FIFO | 500 | 07/18/2012 | 425 06 | 08/08/2012 | 149 91 | -110 06 | -165 09 |
| SPX Aug 18 2012 1470 0 Call* | Expire Long | 500 | 06/19/2012 | 550 06 | 08/20/2012 | | -220 02 | -330 04 |
| SPX Aug 18 2012 1470 0 Call* | Expire Long | 500 | 06/19/2012 | 575 06 | 08/20/2012 | | -230 02 | -345 04 |
| SPX Feb 18 2012 1200 0 Put* | Buy to Close FIFO | 500 | 01/24/2012 | 57.56 | 02/14/2012 | 1,669 94 | 644 95 | 967 43 |
| SPX Feb 18 2012 1225 0 Put* | Buy to Close FIFO | 500 | 01/27/2012 | 57 56 | 02/14/2012 | 1,309 94 | 500 95 | 751 43 |
| SPX Feb 18 2012 1225 0 Put* | Buy to Close FIFO | 300 | 01/27/2012 | 34 54 | 02/14/2012 | 785 96 | 300 57 | 450 85 |
| SPX Feb 18 2012 1225 0 Put* | Buy to Close FIFO | 200 | 01/27/2012 | 23 02 | 02/14/2012 | 529 97 | 202 78 | 304 17 |
| SPX Feb 18 2012 1225 0 Put* | Buy to Close FIFO | 500 | 01/27/2012 | 57 56 | 02/14/2012 | 1,309 94 | 500 95 | 751 43 |
| SPX Feb 18 2012 1225 0 Put* | Buy to Close FIFO | 500 | 01/27/2012 | 57 56 | 02/14/2012 | 1,334 94 | 510 95 | 766 43 |
| SPX Feb 18 2012 1225 0 Put* | Buy to Close FIFO | 500 | 01/27/2012 | 57 56 | 02/14/2012 | 1,334 94 | 510 95 | 766 43 |
| SPX Feb 18 2012 1375 0 Call* | Expire Short | 500 | 01/11/2012 | 0 00 | 02/21/2012 | 1,034 94 | 413 98 | 620 96 |

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| SPX Feb 18 2012 1375 0 Call* | Expire Short | 500 | 01/11/2012 | 0 00 | 02/21/2012 | 1,034 94 | 413 98 | 620 96 |
| SPX Feb 18 2012 1375 0 Call* | Expire Short | 500 | 01/11/2012 | 0 00 | 02/21/2012 | 1,009 94 | 403 98 | 605 96 |
| SPX Feb 18 2012 1375 0 Call* | Expire Short | 500 | 01/11/2012 | 0 00 | 02/21/2012 | 1,009 94 | 403 98 | 605 96 |
| SPX Feb 18 2012 1400 0 Call* | Expire Long | 500 | 01/17/2012 | 325 06 | 02/21/2012 | | -130 02 | -195 04 |
| SPX Feb 18 2012 1400 0 Call* | Expire Long | 500 | 01/17/2012 | 325 06 | 02/21/2012 | | -130 02 | -195 04 |
| SPX Feb 18 2012 1400 0 Call* | Expire Long | 500 | 01/18/2012 | 275 06 | 02/21/2012 | | -110 02 | -165 04 |
| SPX Feb 18 2012 1400 0 Call* | Expire Long | 500 | 01/18/2012 | 400 06 | 02/21/2012 | | -160 02 | -240 04 |
| SPX Feb 18 2012 1180 0 Put* | Expire Long | 500 | 01/24/2012 | 1,285 06 | 02/21/2012 | | -514 02 | -771 04 |
| SPX Feb 18 2012 1395 0 Call* | Expire Long | 500 | 01/11/2012 | 450 06 | 02/21/2012 | | -180 02 | -270 04 |
| SPX Feb 18 2012 1395 0 Call* | Expire Long | 500 | 01/11/2012 | 450 06 | 02/21/2012 | | -180 02 | -270 04 |
| SPX Feb 18 2012 1395 0 Call* | Expire Long | 500 | 01/11/2012 | 475 06 | 02/21/2012 | | -190 02 | -285 04 |
| SPX Feb 18 2012 1395 0 Call* | Expire Long | 500 | 01/11/2012 | 475 06 | 02/21/2012 | | -190 02 | -285 04 |
| SPX Feb 18 2012 1205 0 Put* | Expire Long | 500 | 01/27/2012 | 900 06 | 02/21/2012 | | -360 02 | -540 04 |
| SPX Feb 18 2012 1205 0 Put* | Expire Long | 300 | 01/27/2012 | 546 04 | 02/21/2012 | | -218 42 | -327 62 |
| SPX Feb 18 2012 1205 0 Put* | Expire Long | 200 | 01/27/2012 | 360 03 | 02/21/2012 | | -144 01 | -216 02 |
| SPX Feb 18 2012 1205 0 Put* | Expire Long | 500 | 01/27/2012 | 900 06 | 02/21/2012 | | -360 02 | -540 04 |
| SPX Feb 18 2012 1205 0 Put* | Expire Long | 500 | 01/27/2012 | 900 06 | 02/21/2012 | | -360 02 | -540 04 |
| SPX Feb 18 2012 1205 0 Put* | Expire Long | 500 | 01/27/2012 | 900 06 | 02/21/2012 | | -360 02 | -540 04 |
| SPX Feb 18 2012 1380 0 Call* | Expire Short | 500 | 01/17/2012 | 0 00 | 02/21/2012 | 734 94 | 293 98 | 440 96 |
| SPX Feb 18 2012 1380 0 Call* | Expire Short | 500 | 01/17/2012 | 0 00 | 02/21/2012 | 734 94 | 293 98 | 440 96 |
| SPX Feb 18 2012 1380 0 Call* | Expire Short | 500 | 01/18/2012 | 0 00 | 02/21/2012 | 659 94 | 263 98 | 395 96 |
| SPX Feb 18 2012 1380 0 Call* | Expire Short | 500 | 01/18/2012 | 0.00 | 02/21/2012 | 884 94 | 353 98 | 530 96 |
| SPX Jan 21 2012 1050 0 Put* | Buy to Close FIFO | 500 | 01/01/2012 | 107 56 | 01/04/2012 | 325 00 | 86 98 | 130 46 |
| SPX Jan 21 2012 1050 0 Put* | Buy to Close FIFO | 500 | 01/01/2012 | 107 56 | 01/04/2012 | 325 00 | 86 98 | 130 46 |
| SPX Jan 21 2012 1050 0 Put* | Buy to Close FIFO | 500 | 01/01/2012 | 107 56 | 01/04/2012 | 325 00 | 86 98 | 130 46 |
| SPX Jan 21 2012 1050 0 Put* | Buy to Close FIFO | 500 | 01/01/2012 | 107 56 | 01/04/2012 | 325 00 | 86 98 | 130 46 |
| SPX Jan 21 2012 1350 0 Call* | Expire Long | 500 | 01/01/2012 | 275 00 | 01/23/2012 | | -110 00 | -165 00 |
| SPX Jan 21 2012 1350 0 Call* | Expire Long | 500 | 01/01/2012 | 275 00 | 01/23/2012 | | -110 00 | -165 00 |
| SPX Jan 21 2012 1350 0 Call* | Expire Long | 500 | 01/01/2012 | 275 00 | 01/23/2012 | | -110 00 | -165 00 |
| SPX Jan 21 2012 1350 0 Call* | Expire Long | 500 | 01/01/2012 | 275 00 | 01/23/2012 | | -110 00 | -165 00 |
| SPX Jan 21 2012 1030 0 Put* | Expire Long | 500 | 01/01/2012 | 150 00 | 01/23/2012 | | -60 00 | -90 00 |
| SPX Jan 21 2012 1030 0 Put* | Expire Long | 500 | 01/01/2012 | 150 00 | 01/23/2012 | | -60 00 | -90 00 |
| SPX Jan 21 2012 1030 0 Put* | Expire Long | 1,000 | 01/01/2012 | 300 00 | 01/23/2012 | | -120 00 | -180 00 |
| SPX Jan 21 2012 1330 0 Call* | Expire Short | 500 | 01/01/2012 | 0 00 | 01/23/2012 | 775 00 | 310 00 | 465 00 |
| SPX Jan 21 2012 1330 0 Call* | Expire Short | 500 | 01/01/2012 | 0 00 | 01/23/2012 | 775 00 | 310 00 | 465 00 |
| SPX Jan 21 2012 1330 0 Call* | Expire Short | 500 | 01/01/2012 | 0 00 | 01/23/2012 | 775 00 | 310 00 | 465 00 |
| SPX Jan 21 2012 1330 0 Call* | Expire Short | 500 | 01/01/2012 | 0 00 | 01/23/2012 | 775 00 | 310 00 | 465 00 |
| SPX Jul 21 2012 1200 0 Put* | Buy to Close FIFO | 500 | 06/21/2012 | 185 06 | 07/02/2012 | 1,704 94 | 607 95 | 911 93 |
| SPX Jul 21 2012 1200 0 Put* | Buy to Close FIFO | 500 | 06/21/2012 | 185 06 | 07/02/2012 | 1,689 94 | 601 95 | 902 93 |
| SPX Jul 21 2012 1400 0 Call* | Buy to Close FIFO | 500 | 06/08/2012 | 145 06 | 07/18/2012 | 1,384 94 | 495 95 | 743 93 |
| SPX Jul 21 2012 1400 0 Call* | Buy to Close FIFO | 500 | 06/08/2012 | 145 06 | 07/18/2012 | 1,384 94 | 495 95 | 743 93 |
| SPX Jul 21 2012 1400 0 Call* | Buy to Close FIFO | 500 | 06/08/2012 | 145 06 | 07/18/2012 | 1,379 94 | 493 95 | 740 93 |
| SPX Jul 21 2012 1450 0 Call* | Sell to Close FIFO | 500 | 05/29/2012 | 625 06 | 06/28/2012 | 29 94 | -238 05 | -357 07 |
| SPX Jul 21 2012 1450 0 Call* | Sell to Close FIFO | 500 | 05/29/2012 | 625 06 | 06/28/2012 | 29 94 | -238 05 | -357 07 |
| SPX Jul 21 2012 1170 0 Put* | Sell to Close FIFO | 500 | 06/25/2012 | 1,075 06 | 07/02/2012 | 124 94 | -380 05 | -570 07 |
| SPX Jul 21 2012 1170 0 Put* | Sell to Close FIFO | 500 | 06/25/2012 | 1,075 06 | 07/02/2012 | 124 94 | -380 05 | -570 07 |
| SPX Jul 21 2012 1180 0 Put* | Sell to Close FIFO | 500 | 06/21/2012 | 1,290 06 | 07/02/2012 | 99 94 | -476 05 | -714 07 |
| SPX Jul 21 2012 1180 0 Put* | Sell to Close FIFO | 500 | 06/21/2012 | 1,275 06 | 07/02/2012 | 99 94 | -470 05 | -705 07 |
| SPX Jul 21 2012 1190 0 Put* | Buy to Close FIFO | 500 | 06/25/2012 | 185 06 | 07/02/2012 | 1,514 94 | 531 95 | 797 93 |
| SPX Jul 21 2012 1190 0 Put* | Buy to Close FIFO | 500 | 06/25/2012 | 185 06 | 07/02/2012 | 1,514 94 | 531 95 | 797 93 |
| SPX Jul 21 2012 1410 0 Call* | Expire Short | 500 | 07/18/2012 | 0 00 | 07/23/2012 | 49 94 | 19 98 | 29 96 |
| SPX Jul 21 2012 1410 0 Call* | Expire Short | 500 | 07/18/2012 | 0 00 | 07/23/2012 | 49 94 | 19 98 | 29 96 |
| SPX Jul 21 2012 1410 0 Call* | Expire Short | 500 | 07/18/2012 | 0 00 | 07/23/2012 | 49 94 | 19 98 | 29 96 |
| SPX Jul 21 2012 1420 0 Call* | Sell to Close FIFO | 500 | 06/08/2012 | 670 06 | 07/18/2012 | 24 94 | -258 05 | -387 07 |
| SPX Jul 21 2012 1420 0 Call* | Sell to Close FIFO | 500 | 06/08/2012 | 670 06 | 07/18/2012 | 24 94 | -258 05 | -387 07 |

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| SPX Jul 21 2012 1420 0 Call* | Sell to Close FIFO | 500 | 06/08/2012 | 490 06 | 07/18/2012 | 24 94 | -186 05 | -279 07 |
| SPX Jul 21 2012 1430 0 Call* | Expire Long | 500 | 07/18/2012 | 25 06 | 07/23/2012 | | -10 02 | -15 04 |
| SPX Jul 21 2012 1430 0 Call* | Expire Long | 500 | 07/18/2012 | 25 06 | 07/23/2012 | | -10 02 | -15 04 |
| SPX Jul 21 2012 1430 0 Call* | Expire Long | 500 | 07/18/2012 | 25 06 | 07/23/2012 | | -10 02 | -15 04 |
| SPX Jul 21 2012 1430 0 Call* | Buy to Close FIFO | 500 | 05/29/2012 | 90 06 | 06/28/2012 | 1,264 94 | 469 95 | 704 93 |
| SPX Jul 21 2012 1430 0 Call* | Buy to Close FIFO | 500 | 05/29/2012 | 90 06 | 06/28/2012 | 1,264 94 | 469 95 | 704 93 |
| SPX Jun 16 2012 1150 0 Put* | Buy to Close FIFO | 500 | 05/18/2012 | 136 17 | 06/06/2012 | 2,389 94 | 901 51 | 1,352 26 |
| SPX Jun 16 2012 1150 0 Put* | Buy to Close FIFO | 400 | 05/18/2012 | 108 94 | 06/06/2012 | 1,911 95 | 721 20 | 1,081 81 |
| SPX Jun 16 2012 1150 0 Put* | Buy to Close FIFO | 100 | 05/18/2012 | 15 02 | 06/06/2012 | 477.99 | 185 19 | 277 78 |
| SPX Jun 16 2012 1200 0 Put* | Expire Short | 500 | 05/08/2012 | 0 00 | 06/18/2012 | 2,129 94 | 851 98 | 1,277 96 |
| SPX Jun 16 2012 1200 0 Put* | Expire Short | 500 | 05/08/2012 | 0 00 | 06/18/2012 | 2,189 94 | 875 98 | 1,313 96 |
| SPX Jun 16 2012 1200 0 Put* | Expire Short | 500 | 05/08/2012 | 0 00 | 06/18/2012 | 2,359 94 | 943 98 | 1,415 96 |
| SPX Jun 16 2012 1400 0 Call* | Expire Long | 500 | 05/21/2012 | 425 06 | 06/18/2012 | | -170 02 | -255 04 |
| SPX Jun 16 2012 1400 0 Call* | Expire Long | 500 | 05/21/2012 | 425 06 | 06/18/2012 | | -170 02 | -255 04 |
| SPX Jun 16 2012 1380 0 Call* | Expire Short | 500 | 05/21/2012 | 0 00 | 06/18/2012 | 989 94 | 395 98 | 593 96 |
| SPX Jun 16 2012 1380 0 Call* | Expire Short | 500 | 05/21/2012 | 0 00 | 06/18/2012 | 989 94 | 395 98 | 593 96 |
| SPX Jun 16 2012 1470 0 Call* | Expire Short | 500 | 04/24/2012 | 0 00 | 06/18/2012 | 1,024 94 | 409 98 | 614 96 |
| SPX Jun 16 2012 1470 0 Call* | Expire Short | 500 | 04/24/2012 | 0 00 | 06/18/2012 | 1,024 94 | 409 98 | 614 96 |
| SPX Jun 16 2012 1470 0 Call* | Expire Short | 500 | 04/24/2012 | 0 00 | 06/18/2012 | 1,034 94 | 413 98 | 620 96 |
| SPX Jun 16 2012 1470 0 Call* | Expire Short | 500 | 04/24/2012 | 0 00 | 06/18/2012 | 1,024 94 | 409 98 | 614 96 |
| SPX Jun 16 2012 1490 0 Call* | Expire Long | 500 | 04/24/2012 | 535 06 | 06/18/2012 | | -214 02 | -321 04 |
| SPX Jun 16 2012 1490 0 Call* | Expire Long | 500 | 04/24/2012 | 535 06 | 06/18/2012 | | -214 02 | -321 04 |
| SPX Jun 16 2012 1490 0 Call* | Expire Long | 500 | 04/24/2012 | 520 06 | 06/18/2012 | | -208 02 | -312 04 |
| SPX Jun 16 2012 1490 0 Call* | Expire Long | 500 | 04/24/2012 | 535 06 | 06/18/2012 | | -214 02 | -321 04 |
| SPX Jun 16 2012 1170 0 Put* | Expire Long | 500 | 05/14/2012 | 1,475 06 | 06/18/2012 | | -590 02 | -885 04 |
| SPX Jun 16 2012 1180 0 Put* | Expire Long | 500 | 05/08/2012 | 1,665 06 | 06/18/2012 | | -666 02 | -999 04 |
| SPX Jun 16 2012 1180 0 Put* | Expire Long | 500 | 05/08/2012 | 1,700 06 | 06/18/2012 | | -680 02 | -1,020 04 |
| SPX Jun 16 2012 1180 0 Put* | Expire Long | 500 | 05/08/2012 | 1,845 06 | 06/18/2012 | | -738 02 | -1,107 04 |
| SPX Jun 16 2012 1130.0 Put* | Sell to Close FIFO | 500 | 05/18/2012 | 1,900.06 | 06/06/2012 | 74 94 | -730 05 | -1,095 07 |
| SPX Jun 16 2012 1130 0 Put* | Sell to Close FIFO | 400 | 05/18/2012 | 1,520 05 | 06/06/2012 | 59 95 | -584 04 | -876 06 |
| SPX Jun 16 2012 1130 0 Put* | Sell to Close FIFO | 100 | 05/18/2012 | 380 01 | 06/06/2012 | 4 98 | -150 01 | -225 02 |
| SPX Jun 16 2012 1190 0 Put* | Expire Short | 500 | 05/14/2012 | 0 00 | 06/18/2012 | 1,914 94 | 765 98 | 1,148 96 |
| SPX Mar 17 2012 1425 0 Call* | Expire Short | 500 | 02/13/2012 | 0 00 | 03/19/2012 | 859 94 | 343 98 | 515 96 |
| SPX Mar 17 2012 1425 0 Call* | Expire Short | 500 | 02/13/2012 | 0 00 | 03/19/2012 | 859 94 | 343 98 | 515 96 |
| SPX Mar 17 2012 1425 0 Call* | Expire Short | 500 | 02/13/2012 | 0 00 | 03/19/2012 | 859 94 | 343 98 | 515 96 |
| SPX Mar 17 2012 1210 0 Put* | Expire Long | 500 | 02/07/2012 | 1,975 06 | 03/19/2012 | | -790 02 | -1,185 04 |
| SPX Mar 17 2012 1210 0 Put* | Expire Long | 500 | 02/07/2012 | 1,975 06 | 03/19/2012 | | -790 02 | -1,185 04 |
| SPX Mar 17 2012 1210.0 Put* | Expire Long | 500 | 02/14/2012 | 2,250 06 | 03/19/2012 | | -900 02 | -1,350 04 |
| SPX Mar 17 2012 1230 0 Put* | Expire Short | 500 | 02/07/2012 | 0 00 | 03/19/2012 | 2,609 94 | 1,043 98 | 1,565 96 |
| SPX Mar 17 2012 1230 0 Put* | Expire Short | 500 | 02/07/2012 | 0 00 | 03/19/2012 | 2,609 94 | 1,043 98 | 1,565 96 |
| SPX Mar 17 2012 1230 0 Put* | Expire Short | 500 | 02/14/2012 | 0 00 | 03/19/2012 | 2,859 94 | 1,143 98 | 1,715 96 |
| SPX Mar 17 2012 1415 0 Call* | Expire Short | 500 | 02/07/2012 | 0 00 | 03/19/2012 | 1,279 94 | 511 98 | 767 96 |
| SPX Mar 17 2012 1415 0 Call* | Expire Short | 500 | 02/07/2012 | 0 00 | 03/19/2012 | 1,279 94 | 511 98 | 767 96 |
| SPX Mar 17 2012 1415 0 Call* | Expire Short | 500 | 02/07/2012 | 0 00 | 03/19/2012 | 1,284 94 | 513 98 | 770 96 |
| SPX Mar 17 2012 1415 0 Call* | Expire Short | 500 | 02/07/2012 | 0 00 | 03/19/2012 | 1,279 94 | 511 98 | 767 96 |
| SPX Mar 17 2012 1420 0 Call* | Expire Short | 500 | 02/08/2012 | 0 00 | 03/19/2012 | 1,204 94 | 481 98 | 722 96 |
| SPX Mar 17 2012 1420 0 Call* | Expire Short | 500 | 02/08/2012 | 0 00 | 03/19/2012 | 1,204 94 | 481 98 | 722 96 |
| SPX Mar 17 2012 1445 0 Call* | Expire Long | 500 | 02/13/2012 | 450 06 | 03/19/2012 | | -180 02 | -270 04 |
| SPX Mar 17 2012 1445 0 Call* | Expire Long | 500 | 02/13/2012 | 450 06 | 03/19/2012 | | -180 02 | -270 04 |
| SPX Mar 17 2012 1445 0 Call* | Expire Long | 500 | 02/13/2012 | 425 06 | 03/19/2012 | | -170 02 | -255 04 |
| SPX Mar 17 2012 1440 0 Call* | Expire Long | 500 | 02/08/2012 | 595 06 | 03/19/2012 | | -238 02 | -357 04 |
| SPX Mar 17 2012 1440 0 Call* | Expire Long | 500 | 02/08/2012 | 595 06 | 03/19/2012 | | -238 02 | -357 04 |
| SPX Mar 17 2012 1435 0 Call* | Expire Long | 500 | 02/07/2012 | 595 06 | 03/19/2012 | | -238 02 | -357 04 |
| SPX Mar 17 2012 1435 0 Call* | Expire Long | 500 | 02/07/2012 | 595 06 | 03/19/2012 | | -238 02 | -357 04 |
| SPX Mar 17 2012 1435 0 Call* | Expire Long | 500 | 02/07/2012 | 600 06 | 03/19/2012 | | -240 02 | -360 04 |

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| SPX Mar 17 2012 1435 0 Call* | Expire Long | 500 | 02/07/2012 | 595 06 | 03/19/2012 | | -238 02 | -357 04 |
| SPX May 19 2012 1475 0 Call* | Buy to Close FIFO | 500 | 04/12/2012 | 110 06 | 05/03/2012 | 529 94 | 167 95 | 251 93 |
| SPX May 19 2012 1475 0 Call* | Buy to Close FIFO | 500 | 04/12/2012 | 110 06 | 05/03/2012 | 529 94 | 167 95 | 251 93 |
| SPX May 19 2012 1475 0 Call* | Buy to Close FIFO | 500 | 04/12/2012 | 110 06 | 05/03/2012 | 529 94 | 167 95 | 251 93 |
| SPX May 19 2012 1475 0 Call* | Buy to Close FIFO | 500 | 04/12/2012 | 110 06 | 05/03/2012 | 529 94 | 167 95 | 251 93 |
| SPX May 19 2012 1200 0 Put* | Sell to Close FIFO | 500 | 04/03/2012 | 975 06 | 05/03/2012 | 99 94 | -350 05 | -525 07 |
| SPX May 19 2012 1200 0 Put* | Sell to Close FIFO | 500 | 04/03/2012 | 975 06 | 05/03/2012 | 99 94 | -350 05 | -525 07 |
| SPX May 19 2012 1200 0 Put* | Sell to Close FIFO | 500 | 04/03/2012 | 975 06 | 05/03/2012 | 99 94 | -350 05 | -525 07 |
| SPX May 19 2012 1200 0 Put* | Sell to Close FIFO | 500 | 04/03/2012 | 975 06 | 05/03/2012 | 99 94 | -350 05 | -525 07 |
| SPX May 19 2012 1200 0 Put* | Sell to Close FIFO | 500 | 04/04/2012 | 1,165 06 | 05/03/2012 | 99 94 | -426 05 | -639 07 |
| SPX May 19 2012 1200 0 Put* | Sell to Close FIFO | 500 | 04/04/2012 | 1,170 06 | 05/03/2012 | 99 94 | -428 05 | -642 07 |
| SPX May 19 2012 1220 0 Put* | Buy to Close FIFO | 500 | 04/03/2012 | 160 06 | 05/03/2012 | 1,224 94 | 425 95 | 638 93 |
| SPX May 19 2012 1220 0 Put* | Buy to Close FIFO | 500 | 04/03/2012 | 160.06 | 05/03/2012 | 1,224 94 | 425 95 | 638 93 |
| SPX May 19 2012 1220 0 Put* | Buy to Close FIFO | 500 | 04/03/2012 | 160 06 | 05/03/2012 | 1,224 94 | 425 95 | 638 93 |
| SPX May 19 2012 1220 0 Put* | Buy to Close FIFO | 500 | 04/03/2012 | 160 06 | 05/03/2012 | 1,224 94 | 425 95 | 638 93 |
| SPX May 19 2012 1220 0 Put* | Buy to Close FIFO | 500 | 04/04/2012 | 160 06 | 05/03/2012 | 1,409 94 | 499 95 | 749 93 |
| SPX May 19 2012 1220 0 Put* | Buy to Close FIFO | 500 | 04/04/2012 | 160 06 | 05/03/2012 | 1,424 94 | 505 95 | 758 93 |
| SPX May 19 2012 1210 0 Put* | Expire Long | 500 | 04/10/2012 | 1,815 06 | 05/21/2012 | | -726 02 | -1,089 04 |
| SPX May 19 2012 1210 0 Put* | Expire Long | 500 | 04/10/2012 | 1,815 06 | 05/21/2012 | | -726 02 | -1,089 04 |
| SPX May 19 2012 1210 0 Put* | Expire Long | 500 | 04/10/2012 | 1,815 06 | 05/21/2012 | | -726 02 | -1,089 04 |
| SPX May 19 2012 1210 0 Put* | Expire Long | 500 | 04/10/2012 | 1,800 06 | 05/21/2012 | | -720 02 | -1,080 04 |
| SPX May 19 2012 1210 0 Put* | Expire Long | 500 | 04/10/2012 | 2,550.06 | 05/21/2012 | | -1,020 02 | -1,530 04 |
| SPX May 19 2012 1230 0 Put* | Expire Short | 500 | 04/10/2012 | 0 00 | 05/21/2012 | 2,254 94 | 901 98 | 1,352 96 |
| SPX May 19 2012 1230 0 Put* | Expire Short | 500 | 04/10/2012 | 0 00 | 05/21/2012 | 2,279 94 | 911 98 | 1,367 96 |
| SPX May 19 2012 1230 0 Put* | Expire Short | 500 | 04/10/2012 | 0 00 | 05/21/2012 | 2,254 94 | 901 98 | 1,352 96 |
| SPX May 19 2012 1230 0 Put* | Expire Short | 500 | 04/10/2012 | 0 00 | 05/21/2012 | 2,239 94 | 895 98 | 1,343 96 |
| SPX May 19 2012 1230 0 Put* | Expire Short | 500 | 04/10/2012 | 0 00 | 05/21/2012 | 3,189 94 | 1,275 98 | 1,913 96 |
| SPX May 19 2012 1490 0 Call* | Expire Short | 500 | 04/03/2012 | 0 00 | 05/21/2012 | 904 94 | 361 98 | 542 96 |
| SPX May 19 2012 1490 0 Call* | Expire Short | 500 | 04/03/2012 | 0 00 | 05/21/2012 | 899 94 | 359.98 | 539 96 |
| SPX May 19 2012 1490 0 Call* | Expire Short | 500 | 04/03/2012 | 0 00 | 05/21/2012 | 899.94 | 359 98 | 539 96 |
| SPX May 19 2012 1490 0 Call* | Expire Short | 500 | 04/03/2012 | 0 00 | 05/21/2012 | 899 94 | 359 98 | 539 96 |
| SPX May 19 2012 1490 0 Call* | Expire Short | 500 | 04/04/2012 | 0 00 | 05/21/2012 | 814 94 | 325 98 | 488 96 |
| SPX May 19 2012 1490 0 Call* | Expire Short | 500 | 04/04/2012 | 0 00 | 05/21/2012 | 804 94 | 321 98 | 482 96 |
| SPX May 19 2012 1510 0 Call* | Expire Long | 500 | 04/03/2012 | 450 06 | 05/21/2012 | | -180 02 | -270 04 |
| SPX May 19 2012 1510 0 Call* | Expire Long | 500 | 04/03/2012 | 445 06 | 05/21/2012 | | -178 02 | -267 04 |
| SPX May 19 2012 1510 0 Call* | Expire Long | 500 | 04/03/2012 | 445 06 | 05/21/2012 | | -178 02 | -267 04 |
| SPX May 19 2012 1510 0 Call* | Expire Long | 500 | 04/03/2012 | 445 06 | 05/21/2012 | | -178 02 | -267 04 |
| SPX May 19 2012 1510 0 Call* | Expire Long | 500 | 04/04/2012 | 405 06 | 05/21/2012 | | -162 02 | -243 04 |
| SPX May 19 2012 1510 0 Call* | Expire Long | 500 | 04/04/2012 | 405 06 | 05/21/2012 | | -162 02 | -243 04 |
| SPX May 19 2012 1495 0 Call* | Sell to Close FIFO | 500 | 04/12/2012 | 240 06 | 05/03/2012 | 49 94 | -76 05 | -114 07 |
| SPX May 19 2012 1495 0 Call* | Sell to Close FIFO | 500 | 04/12/2012 | 240 06 | 05/03/2012 | 49 94 | -76 05 | -114 07 |
| SPX May 19 2012 1495 0 Call* | Sell to Close FIFO | 500 | 04/12/2012 | 240 06 | 05/03/2012 | 49 94 | -76 05 | -114 07 |
| SPX May 19 2012 1495 0 Call* | Sell to Close FIFO | 500 | 04/12/2012 | 240 06 | 05/03/2012 | 49 94 | -76 05 | -114 07 |
| VIX Apr 18 2012 47 5 Call* | Sell to Close FIFO | 6,000 | 02/15/2012 | 4,620 72 | 03/26/2012 | 59 28 | -1,824 58 | -2,736 86 |
| VIX Apr 18 2012 47 5 Call* | Sell to Close FIFO | 3,000 | 02/15/2012 | 2,010 36 | 03/26/2012 | 29 64 | -792 29 | -1,188 43 |
| VIX Aug 22 2012 55 0 Call* | Expire Long | 4,000 | 06/26/2012 | 960 48 | 08/23/2012 | | -384 19 | -576 29 |
| VIX Aug 22 2012 60 0 Call* | Expire Long | 5,000 | 06/21/2012 | 850 60 | 08/23/2012 | | -340 24 | -510 36 |
| VIX Feb 15 2012 16 0 Put* | Expire Long | 2,000 | 01/31/2012 | 100 24 | 02/16/2012 | | -40 10 | -60 14 |
| VIX Feb 15 2012 18 0 Put* | Expire Short | 2,000 | 01/31/2012 | 0 00 | 02/16/2012 | 519 76 | 207 90 | 311 86 |
| VIX Jan 18 2012 70 0 Call* | Expire Long | 5,000 | 01/01/2012 | 150 00 | 01/19/2012 | | -60.00 | -90 00 |
| VIX Jan 18 2012 75 0 Call* | Expire Long | 5,000 | 01/01/2012 | 250 00 | 01/19/2012 | | -100 00 | -150 00 |
| VIX Jul 18 2012 55 0 Call* | Sell to Close FIFO | 4,000 | 06/04/2012 | 1,760 48 | 06/26/2012 | 279 52 | -592 38 | -888 58 |
| VIX Jul 18 2012 60 0 Call* | Sell to Close FIFO | 5,000 | 06/04/2012 | 1,450 60 | 06/21/2012 | 249 40 | -480 48 | -720 72 |
| VIX Jun 20 2012 45 0 Call* | Sell to Close FIFO | 4,000 | 05/01/2012 | 720 48 | 06/04/2012 | 1,239 52 | 207 62 | 311 42 |
| VIX Jun 20 2012 50 0 Call* | Sell to Close FIFO | 5,000 | 04/23/2012 | 1,500 60 | 06/04/2012 | 849 40 | -260 48 | -390 72 |

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| VIX Mar 21 2012 16 0 Put* | Sell to Close FIFO | 2,000 | 01/23/2012 | 140 24 | 03/19/2012 | 1,459 76 | 527 81 | 791 71 |
| VIX Mar 21 2012 16 0 Put* | Sell to Close FIFO | 3,000 | 02/15/2012 | 360 36 | 03/19/2012 | 2,189 64 | 731 71 | 1,097 57 |
| VIX Mar 21 2012 16 0 Put* | Sell to Close FIFO | 6,000 | 02/15/2012 | 600 72 | 03/19/2012 | 4,379 28 | 1,511 42 | 2,267 14 |
| VIX Mar 21 2012 17.0 Put* | Sell to Close FIFO | 5,000 | 01/11/2012 | 700 60 | 03/19/2012 | 7,649 40 | 2,779 52 | 4,169 28 |
| VIX Mar 21 2012 18 0 Put* | Buy to Close FIFO | 2,000 | 01/23/2012 | 4,980 24 | 03/19/2012 | 659 76 | -1,728 19 | -2,592 29 |
| VIX Mar 21 2012 18 0 Put* | Buy to Close FIFO | 3,000 | 02/15/2012 | 7,470 36 | 03/19/2012 | 1,289 64 | -2,472 29 | -3,708 43 |
| VIX Mar 21 2012 18 0 Put* | Buy to Close FIFO | 6,000 | 02/15/2012 | 14,940 72 | 03/19/2012 | 2,399 28 | -5,016.58 | -7,524 86 |
| VIX Mar 21 2012 19 0 Put* | Buy to Close FIFO | 5,000 | 01/11/2012 | 17,350 60 | 03/19/2012 | 2,049 40 | -6,120 48 | -9,180 72 |
| VIX Mar 21 2012 47 5 Call* | Sell to Close FIFO | 5,000 | 01/10/2012 | 2,725 60 | 02/15/2012 | 1,399 40 | -530 48 | -795 72 |
| VIX Mar 21 2012 47 5 Call* | Sell to Close FIFO | 1,000 | 01/23/2012 | 405 12 | 02/15/2012 | 279 88 | -50.10 | -75 14 |
| VIX Mar 21 2012 47 5 Call* | Sell to Close FIFO | 1,000 | 01/23/2012 | 405 12 | 02/15/2012 | 259 88 | -58 10 | -87 14 |
| VIX Mar 21 2012 47 5 Call* | Sell to Close FIFO | 2,000 | 01/31/2012 | 590 24 | 02/15/2012 | 519 76 | -28 19 | -42 29 |
| VIX May 16 2012 45 0 Call* | Sell to Close FIFO | 5,000 | 03/26/2012 | 1,000 60 | 04/23/2012 | 649 40 | -140.48 | -210 72 |
| VIX May 16 2012 45 0 Call* | Sell to Close FIFO | 4,000 | 03/26/2012 | 800 48 | 05/01/2012 | 79 52 | -288 38 | -432 58 |
| **Total:** | | | | **277,553.40** | | **297,179.36** | **14,611.69** | **5,014.27** |

# Realized Book Capital Gain/Loss Report

Created 3/04/2013 9 43 pm

LOWE THOMAS
920049625
01/01/2012 -- 12/31/2012

## Entire Period

| | | | |
|---|---|---|---|
| Short-term gain | 112,510.52 | Long-term gain | 181,779.78 |
| Short-term loss | -105,068.58 | Long-term loss | -142,175.20 |
| Short-term net | 7,441.94 | Long-term net | 39,604.58 |
| Short-term proceeds | 271,754.74 | Long-term proceeds | 304,017.03 |
| Short-term cost | 264,313.12 | Long-term cost | 264,412.13 |

## Section 1256 Gain/Loss (included above)

| | | | |
|---|---|---|---|
| Gain | 271,399.14 | Loss | -236,958.58 |
| Short-term gain or loss(40%) | 13,776.29 | Long-term gain or loss(60%) | 20,664.27 |
| Section 1256 sales | 381,717.97 | | |
| Section 1256 cost | 347,277.41 | | |

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| CHESAPEAKE ENERGY CORP (CHK) | Sell FIFO | 1,000 | 06/05/2012 | 17,056 90 | 11/12/2012 | 16,739 63 | -317 27 | |
| MFA FINANCIAL INC (MFA) | Sell FIFO | 2,000 | 04/20/2009 | 13,853 34 | 11/13/2012 | 15,589 66 | | 1,736 32 |
| MFA FINANCIAL INC (MFA) | Sell FIFO | 2,500 | 04/20/2009 | 17,316 66 | 11/14/2012 | 19,239 57 | | 1,922 91 |
| MFA FINANCIAL INC (MFA) | Sell FIFO | 2,000 | 04/20/2009 | 13,853 34 | 11/14/2012 | 15,189 66 | | 1,336 32 |
| MARKWEST ENERGY PARTNERS (MWE) | Sell FIFO | 200 | 07/21/2009 | 4,409 00 | 09/18/2012 | 10,797 78 | | 6,388 78 |
| MARKWEST ENERGY PARTNERS (MWE) | Sell FIFO | 90 | 07/21/2009 | 1,984 05 | 11/13/2012 | 4,245 11 | | 2,261 06 |
| MARKWEST ENERGY PARTNERS (MWE) | Sell FIFO | 210 | 07/21/2009 | 4,629 45 | 11/13/2012 | 9,924 37 | | 5,294 92 |
| NORTHERN OIL AND GAS INC (NOG) | Sell FIFO | 1,000 | 11/10/2011 | 22,445 00 | 11/08/2012 | 14,759 67 | -7,685 33 | |
| POWERSHARES DIV ACHIEVERS P (PFM) | Sell FIFO | 900 | 01/05/2012 | 13,495 41 | 09/18/2012 | 14,983 76 | 1,488 35 | |
| POWERSHARES DIV ACHIEVERS P (PFM) | Sell FIFO | 100 | 01/05/2012 | 1,499 49 | 09/18/2012 | 1,665 96 | 166 47 | |
| POWERSHARES DYNAMIC BUYBACK (PKW) | Sell FIFO | 500 | 01/06/2012 | 13,432 50 | 09/18/2012 | 15,109 72 | 1,677 22 | |
| RUT Jan 19 2013 870 0 Call* | Short MTM Sell | 3,000 | 11/23/2012 | 19,530 00 | 12/31/2012 | 4,626 99 | -5,961 20 | -8,941 81 |
| RUT Jan 19 2013 890 0 Call* | MTM Sell | 3,000 | 11/23/2012 | 1,983 00 | 12/31/2012 | 5,400 00 | 1,366 80 | 2,050 20 |
| RUT Nov 17 2012 730 0 Put* | Sell to Close FIFO | 2,000 | 10/11/2012 | 3,305 33 | 11/14/2012 | 14 67 | -1,316 26 | -1,974 40 |
| RUT Nov 17 2012 750 0 Put* | Buy to Close FIFO | 2,000 | 10/11/2012 | 555 34 | 11/14/2012 | 5,024 66 | 1,787 73 | 2,681 59 |
| RUT Oct 20 2012 880 0 Call* | Expire Short | 2,000 | 08/16/2012 | 0 00 | 10/22/2012 | 6,319 66 | 2,527 86 | 3,791 80 |
| RUT Oct 20 2012 900 0 Call* | Expire Long | 2,000 | 08/16/2012 | 2,860 34 | 10/22/2012 | | -1,144 14 | -1,716 20 |
| RUT Oct 20 2012 875 0 Call* | Expire Short | 500 | 09/17/2012 | 0 00 | 10/22/2012 | 4,331 17 | 1,732 47 | 2,598 70 |
| RUT Oct 20 2012 875 0 Call* | Expire Short | 500 | 09/17/2012 | 0 00 | 10/22/2012 | 4,321 17 | 1,728 47 | 2,592 70 |
| RUT Oct 20 2012 895 0 Call* | Expire Long | 500 | 09/17/2012 | 1,743 84 | 10/22/2012 | | -697 54 | -1,046 30 |
| RUT Oct 20 2012 895 0 Call* | Expire Long | 500 | 09/17/2012 | 1,748 84 | 10/22/2012 | | -699 54 | -1,049 30 |
| RUT Sep 22 2012 860 0 Call* | Buy to Close FIFO | 500 | 08/16/2012 | 2,458 84 | 09/17/2012 | 814 91 | -657 57 | -986 36 |
| RUT Sep 22 2012 860 0 Call* | Buy to Close FIFO | 500 | 08/16/2012 | 2,438 84 | 09/17/2012 | 814 91 | -649 57 | -974 36 |
| RUT Sep 22 2012 880 0 Call* | Sell to Close FIFO | 500 | 08/16/2012 | 285 09 | 09/17/2012 | 141 16 | -57 57 | -86 36 |
| RUT Sep 22 2012 880 0 Call* | Sell to Close FIFO | 500 | 08/16/2012 | 290 09 | 09/17/2012 | 136 16 | -61 57 | -92 36 |
| SPXW Dec 14 2012 1470 0 Call* | Sell to Close FIFO | 1,000 | 11/19/2012 | 467 66 | 12/11/2012 | 492 33 | 9 87 | 14 80 |
| SPXW Dec 14 2012 1450 0 Call* | Buy to Close FIFO | 1,000 | 11/19/2012 | 1,907 67 | 12/11/2012 | 1,192 33 | -286 14 | -429 20 |
| SPXW Jan 04 2013 1300 0 Put* | MTM Sell | 2,000 | 12/21/2012 | 4,825 33 | 12/31/2012 | 600 00 | -1,690 13 | -2,535 20 |
| SPXW Jan 04 2013 1320 0 Put* | Short MTM Sell | 2,000 | 12/21/2012 | 1,000 00 | 12/31/2012 | 6,184 66 | 2,073 86 | 3,110 80 |
| SPX Dec 22 2012 1500 0 Call* | Expire Long | 2,000 | 11/09/2012 | 1,425 33 | 12/24/2012 | | -570 13 | -855 20 |
| SPX Dec 22 2012 1480 0 Call* | Expire Short | 2,000 | 11/09/2012 | 0 00 | 12/24/2012 | 2,984 66 | 1,193 86 | 1,790 80 |
| SPX Dec 22 2012 1470 0 Call* | Expire Short | 2,000 | 11/09/2012 | 0 00 | 12/24/2012 | 4,444 66 | 1,777 86 | 2,666 80 |
| SPX Dec 22 2012 1490 0 Call* | Expire Long | 2,000 | 11/09/2012 | 2,085 33 | 12/24/2012 | | -834 13 | -1,251 20 |
| SPX Feb 16 2013 1520 0 Call* | Short MTM Sell | 2,000 | 12/11/2012 | 4,200.00 | 12/31/2012 | 8,264 66 | 1,625 86 | 2,438 80 |
| SPX Feb 16 2013 1540 0 Call* | MTM Sell | 2,000 | 12/11/2012 | 5,005.33 | 12/31/2012 | 1,700 00 | -1,322 13 | -1,983 20 |
| SPX Jan 19 2013 1500 0 Call* | MTM Sell | 1,000 | 11/19/2012 | 1,067.66 | 12/31/2012 | 800 00 | -107 06 | -160 60 |
| SPX Jan 19 2013 1500 0 Call* | MTM Sell | 1,000 | 11/23/2012 | 1,467 66 | 12/31/2012 | 800 00 | -267 06 | -400 60 |
| SPX Jan 19 2013 1500 0 Call* | MTM Sell | 1,000 | 12/11/2012 | 3,307 67 | 12/31/2012 | 800 00 | -1,003 07 | -1,504 60 |
| SPX Jan 19 2013 1480 0 Call* | Short MTM Sell | 1,000 | 11/19/2012 | 2,550 00 | 12/31/2012 | 1,992 33 | -223 07 | -334 60 |
| SPX Jan 19 2013 1480 0 Call* | Short MTM Sell | 1,000 | 11/23/2012 | 2,550 00 | 12/31/2012 | 2,992 33 | 176 93 | 265 40 |
| SPX Jan 19 2013 1480 0 Call* | Short MTM Sell | 1,000 | 12/11/2012 | 2,550 00 | 12/31/2012 | 6,182 34 | 1,452 94 | 2,179 40 |
| SPX Nov 17 2012 1300 0 Put* | Expire Short | 2,000 | 10/23/2012 | 0 00 | 11/19/2012 | 6,604 66 | 2,641 86 | 3,962 80 |
| SPX Nov 17 2012 1475 0 Call* | Expire Short | 3,500 | 10/16/2012 | 0 00 | 11/19/2012 | 40,318 16 | 16,127 26 | 24,190 90 |
| SPX Nov 17 2012 1280 0 Put* | Expire Long | 2,000 | 10/23/2012 | 4,945 33 | 11/19/2012 | | -1,978 13 | -2,967 20 |
| SPX Nov 17 2012 1460 0 Call* | Expire Short | 200 | 10/16/2012 | 0 00 | 11/19/2012 | 3,058 47 | 1,223 39 | 1,835 08 |
| SPX Nov 17 2012 1460 0 Call* | Expire Short | 900 | 10/16/2012 | 0 00 | 11/19/2012 | 13,798 10 | 5,519 24 | 8,278 86 |
| SPX Nov 17 2012 1460 0 Call* | Expire Short | 900 | 10/16/2012 | 0 00 | 11/19/2012 | 13,798 10 | 5,519 24 | 8,278 86 |
| SPX Nov 17 2012 1480 0 Call* | Expire Long | 200 | 10/16/2012 | 1,541 54 | 11/19/2012 | | -616 62 | -924 92 |
| SPX Nov 17 2012 1480 0 Call* | Expire Long | 900 | 10/16/2012 | 6,936 91 | 11/19/2012 | | -2,774 76 | -4,162 15 |
| SPX Nov 17 2012 1480 0 Call* | Expire Long | 900 | 10/16/2012 | 6,891 91 | 11/19/2012 | | -2,756.76 | -4,135 15 |
| SPX Nov 17 2012 1540 0 Call* | Buy to Close FIFO | 500 | 09/13/2012 | 25 09 | 11/07/2012 | 1,671 17 | 658 43 | 987 65 |
| SPX Nov 17 2012 1540 0 Call* | Buy to Close FIFO | 500 | 09/13/2012 | 25 08 | 11/07/2012 | 1,671 17 | 658 44 | 987 65 |
| SPX Nov 17 2012 1540 0 Call* | Buy to Close FIFO | 500 | 09/13/2012 | 25 09 | 11/07/2012 | 1,671 17 | 658 43 | 987 65 |
| SPX Nov 17 2012 1540 0 Call* | Buy to Close FIFO | 500 | 09/13/2012 | 25 08 | 11/07/2012 | 1,661 17 | 654 44 | 981 65 |
| SPX Nov 17 2012 1560 0 Call* | Expire Long | 500 | 09/13/2012 | 888 84 | 11/19/2012 | | -355 54 | -533 30 |

on 1099 b

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| SPX Nov 17 2012 1560 0 Call* | Expire Long | 500 | 09/13/2012 | 888 84 | 11/19/2012 | | -355 54 | -533 30 |
| SPX Nov 17 2012 1560 0 Call* | Expire Long | 500 | 09/13/2012 | 888 84 | 11/19/2012 | | -355 54 | -533 30 |
| SPX Nov 17 2012 1560 0 Call* | Expire Long | 500 | 09/13/2012 | 878 84 | 11/19/2012 | | -351 54 | -527 30 |
| SPX Nov 17 2012 1495 0 Call* | Expire Long | 3,500 | 10/16/2012 | 18,821 85 | 11/19/2012 | | -7,528.74 | -11,293 11 |
| SPX Oct 20 2012 1450 0 Call* | Buy to Close FIFO | 200 | 09/17/2012 | 1,381 54 | 10/16/2012 | 5,632 47 | 1,700 37 | 2,550 56 |
| SPX Oct 20 2012 1450 0 Call* | Buy to Close FIFO | 300 | 09/17/2012 | 2,057 30 | 10/16/2012 | 8,448 70 | 2,556 56 | 3,834 84 |
| SPX Oct 20 2012 1450 0 Call* | Buy to Close FIFO | 500 | 09/17/2012 | 3,428 84 | 10/16/2012 | 13,886 17 | 4,182 93 | 6,274 40 |
| SPX Oct 20 2012 1450 0 Call* | Buy to Close FIFO | 100 | 09/17/2012 | 685 77 | 10/16/2012 | 2,777 23 | 836 58 | 1,254 88 |
| SPX Oct 20 2012 1450 0 Call* | Buy to Close FIFO | 400 | 09/17/2012 | 2,743 07 | 10/16/2012 | 11,108 94 | 3,346 35 | 5,019 52 |
| SPX Oct 20 2012 1450 0 Call* | Buy to Close FIFO | 500 | 09/17/2012 | 3,428 84 | 10/16/2012 | 13,886 17 | 4,182 93 | 6,274 40 |
| SPX Oct 20 2012 1475 0 Call* | Expire Short | 500 | 09/17/2012 | 0 00 | 10/22/2012 | 7,036 17 | 2,814 47 | 4,221 70 |
| SPX Oct 20 2012 1475 0 Call* | Expire Short | 500 | 09/17/2012 | 0 00 | 10/22/2012 | 7,036 17 | 2,814 47 | 4,221 70 |
| SPX Oct 20 2012 1475 0 Call* | Expire Short | 500 | 09/17/2012 | 0 00 | 10/22/2012 | 6,986 17 | 2,794 47 | 4,191.70 |
| SPX Oct 20 2012 1475 0 Call* | Expire Short | 500 | 09/17/2012 | 0 00 | 10/22/2012 | 6,976 17 | 2,790 47 | 4,185 70 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 300 | 09/17/2012 | 1,268 30 | 10/16/2012 | 6,421 20 | 2,061 16 | 3,091 74 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 200 | 09/17/2012 | 845 54 | 10/16/2012 | 4,287 96 | 1,376 97 | 2,065 45 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 500 | 09/17/2012 | 2,113 83 | 10/16/2012 | 10,686 17 | 3,428 94 | 5,143 40 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 300 | 09/17/2012 | 1,268 30 | 10/16/2012 | 6,472 20 | 2,081 56 | 3,122 34 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 200 | 09/17/2012 | 845 54 | 10/16/2012 | 4,319 96 | 1,389 77 | 2,084 65 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 500 | 09/17/2012 | 2,113 83 | 10/16/2012 | 10,776 17 | 3,464 94 | 5,197 40 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 300 | 09/17/2012 | 1,268 30 | 10/16/2012 | 6,466 20 | 2,079 16 | 3,118 74 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 200 | 09/17/2012 | 845 54 | 10/16/2012 | 4,317 96 | 1,388 97 | 2,083 45 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 300 | 09/17/2012 | 1,268 30 | 10/16/2012 | 6,466 20 | 2,079 16 | 3,118 74 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 200 | 09/17/2012 | 845 53 | 10/16/2012 | 4,317 96 | 1,388 97 | 2,083 46 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 300 | 09/17/2012 | 1,268 31 | 10/16/2012 | 6,466 20 | 2,079 16 | 3,118 73 |
| SPX Oct 20 2012 1460 0 Call* | Buy to Close FIFO | 200 | 09/17/2012 | 845 53 | 10/16/2012 | 4,317 96 | 1,388 97 | 2,083 46 |
| SPX Oct 20 2012 1470 0 Call* | Sell to Close FIFO | 200 | 09/17/2012 | 3,291 54 | 10/16/2012 | 128 46 | -1,265.23 | -1,897.85 |
| SPX Oct 20 2012 1470 0 Call* | Sell to Close FIFO | 300 | 09/17/2012 | 4,937 30 | 10/16/2012 | 192 70 | -1,897 84 | -2,846 76 |
| SPX Oct 20 2012 1470 0 Call* | Sell to Close FIFO | 300 | 09/17/2012 | 4,911.81 | 10/16/2012 | 192 69 | -1,887 65 | -2,831.47 |
| SPX Oct 20 2012 1470 0 Call* | Sell to Close FIFO | 200 | 09/17/2012 | 3,270 04 | 10/16/2012 | 128 47 | -1,256 63 | -1,884 94 |
| SPX Oct 20 2012 1470 0 Call* | Sell to Close FIFO | 100 | 09/17/2012 | 1,635 77 | 10/16/2012 | 64 23 | -628 62 | -942 92 |
| SPX Oct 20 2012 1470 0 Call* | Sell to Close FIFO | 400 | 09/17/2012 | 6,543 07 | 10/16/2012 | 256 93 | -2,514 46 | -3,771 68 |
| SPX Oct 20 2012 1470 0 Call* | Sell to Close FIFO | 200 | 09/17/2012 | 3,263 79 | 10/16/2012 | 128 46 | -1,254 13 | -1,881 20 |
| SPX Oct 20 2012 1470 0 Call* | Sell to Close FIFO | 300 | 09/17/2012 | 4,887.06 | 10/16/2012 | 192 70 | -1,877 74 | -2,816 62 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 500 | 09/17/2012 | 6,098 84 | 10/16/2012 | 276 16 | -2,329 07 | -3,493 61 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 200 | 09/17/2012 | 2,443 79 | 10/16/2012 | 110.47 | -933 33 | -1,399 99 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 300 | 09/17/2012 | 3,654 06 | 10/16/2012 | 165 70 | -1,395 34 | -2,093 02 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 200 | 09/17/2012 | 2,463 79 | 10/16/2012 | 110 46 | -941 33 | -1,412 00 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 300 | 09/17/2012 | 3,684 06 | 10/16/2012 | 165 70 | -1,407 34 | -2,111 02 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 500 | 09/17/2012 | 6,158 84 | 10/16/2012 | 276 17 | -2,353 07 | -3,529 60 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 200 | 09/17/2012 | 2,463 79 | 10/16/2012 | 110 46 | -941 33 | -1,412 00 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 300 | 09/17/2012 | 3,687 06 | 10/16/2012 | 165 70 | -1,408 54 | -2,112 82 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 200 | 09/17/2012 | 2,463 79 | 10/16/2012 | 110 47 | -941 33 | -1,411 99 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 300 | 09/17/2012 | 3,687 06 | 10/16/2012 | 165.70 | -1,408 54 | -2,112 82 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 200 | 09/17/2012 | 2,463 79 | 10/16/2012 | 110 46 | -941 33 | -1,412 00 |
| SPX Oct 20 2012 1480 0 Call* | Sell to Close FIFO | 300 | 09/17/2012 | 3,687 06 | 10/16/2012 | 165 70 | -1,408 54 | -2,112 82 |
| SPX Oct 20 2012 1490 0 Call* | Expire Short | 500 | 09/17/2012 | 0 00 | 10/22/2012 | 4,186 17 | 1,674 47 | 2,511 70 |
| SPX Oct 20 2012 1490 0 Call* | Expire Short | 500 | 09/17/2012 | 0 00 | 10/22/2012 | 4,221 17 | 1,688 47 | 2,532 70 |
| SPX Oct 20 2012 1495 0 Call* | Expire Long | 500 | 09/17/2012 | 3,653.84 | 10/22/2012 | | -1,461 54 | -2,192 30 |
| SPX Oct 20 2012 1495 0 Call* | Expire Long | 500 | 09/17/2012 | 3,678 84 | 10/22/2012 | | -1,471 54 | -2,207 30 |
| SPX Oct 20 2012 1495 0 Call* | Expire Long | 500 | 09/17/2012 | 3,558 84 | 10/22/2012 | | -1,423 54 | -2,135 30 |
| SPX Oct 20 2012 1495 0 Call* | Expire Long | 500 | 09/17/2012 | 3,568 84 | 10/22/2012 | | -1,427 54 | -2,141 30 |
| SPX Oct 20 2012 1510 0 Call* | Expire Long | 500 | 09/17/2012 | 2,003 84 | 10/22/2012 | | -801 54 | -1,202 30 |
| SPX Oct 20 2012 1510 0 Call* | Expire Long | 500 | 09/17/2012 | 1,998 84 | 10/22/2012 | | -799 54 | -1,199 30 |
| SPX Sep 22 2012 1450 0 Call* | Buy to Close FIFO | 500 | 07/13/2012 | 7,608 84 | 09/17/2012 | 1,364 94 | -2,497 56 | -3,746 34 |

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| SPX Sep 22 2012 1450 0 Call* | Buy to Close FIFO | 200 | 07/13/2012 | 3,013 79 | 09/17/2012 | 545 98 | -987 12 | -1,480 69 |
| SPX Sep 22 2012 1450 0 Call* | Buy to Close FIFO | 300 | 07/13/2012 | 4,512 06 | 09/17/2012 | 818 96 | -1,477 24 | -2,215 86 |
| SPX Sep 22 2012 1450 0 Call* | Buy to Close FIFO | 200 | 07/26/2012 | 3,013 79 | 09/17/2012 | 513 98 | -999 92 | -1,499 89 |
| SPX Sep 22 2012 1450 0 Call* | Buy to Close FIFO | 300 | 07/26/2012 | 4,500 06 | 09/17/2012 | 770 96 | -1,491 64 | -2,237 46 |
| SPX Sep 22 2012 1450 0 Call* | Buy to Close FIFO | 200 | 07/26/2012 | 3,011 79 | 09/17/2012 | 515 98 | -998 32 | -1,497 49 |
| SPX Sep 22 2012 1450 0 Call* | Buy to Close FIFO | 300 | 07/26/2012 | 4,506 06 | 09/17/2012 | 773 96 | -1,492.84 | -2,239 26 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 300 | 08/08/2012 | 954 05 | 09/17/2012 | 701 19 | -101 14 | -151 72 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 200 | 08/08/2012 | 636 04 | 09/17/2012 | 467 96 | -67 23 | -100 85 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 200 | 08/08/2012 | 636 04 | 09/17/2012 | 466 21 | -67.93 | -101 90 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 300 | 08/08/2012 | 954 05 | 09/17/2012 | 698 94 | -102 04 | -153 07 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 200 | 08/08/2012 | 636 04 | 09/17/2012 | 476 21 | -63 93 | -95 90 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 300 | 08/08/2012 | 954 05 | 09/17/2012 | 713 94 | -96 04 | -144 07 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 500 | 08/08/2012 | 1,590 09 | 09/17/2012 | 1,166 16 | -169 57 | -254 36 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 300 | 08/08/2012 | 954 05 | 09/17/2012 | 701 19 | -101 14 | -151 72 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 200 | 08/08/2012 | 636 04 | 09/17/2012 | 467 96 | -67.23 | -100 85 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 300 | 08/08/2012 | 954 05 | 09/17/2012 | 701.19 | -101 14 | -151 72 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 200 | 08/08/2012 | 636 04 | 09/17/2012 | 467 96 | -67 23 | -100 85 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 300 | 08/08/2012 | 954 05 | 09/17/2012 | 701 19 | -101 14 | -151 72 |
| SPX Sep 22 2012 1475 0 Call* | Sell to Close FIFO | 200 | 08/08/2012 | 636 04 | 09/17/2012 | 467 96 | -67 23 | -100 85 |
| SPX Sep 22 2012 1460 0 Call* | Buy to Close FIFO | 500 | 07/13/2012 | 3,803 84 | 09/17/2012 | 1,214 94 | -1,035.56 | -1,553 34 |
| SPX Sep 22 2012 1460 0 Call* | Buy to Close FIFO | 500 | 07/13/2012 | 3,778 84 | 09/17/2012 | 1,214 94 | -1,025 56 | -1,538 34 |
| SPX Sep 22 2012 1480 0 Call* | Sell to Close FIFO | 500 | 07/13/2012 | 650 06 | 09/17/2012 | 646 16 | -1 56 | -2 34 |
| SPX Sep 22 2012 1480 0 Call* | Sell to Close FIFO | 500 | 07/13/2012 | 650 06 | 09/17/2012 | 646 16 | -1 56 | -2 34 |
| SPX Sep 22 2012 1470 0 Call* | Sell to Close FIFO | 500 | 07/13/2012 | 725 06 | 09/17/2012 | 1,806 16 | 432 44 | 648 66 |
| SPX Sep 22 2012 1470 0 Call* | Sell to Close FIFO | 500 | 07/13/2012 | 725 06 | 09/17/2012 | 1,871 16 | 458 44 | 687 66 |
| SPX Sep 22 2012 1470 0 Call* | Sell to Close FIFO | 200 | 07/26/2012 | 258 02 | 09/17/2012 | 746 21 | 195 28 | 292 91 |
| SPX Sep 22 2012 1470 0 Call* | Sell to Close FIFO | 300 | 07/26/2012 | 387 04 | 09/17/2012 | 1,109 94 | 289 16 | 433 74 |
| SPX Sep 22 2012 1470 0 Call* | Sell to Close FIFO | 300 | 07/26/2012 | 390 04 | 09/17/2012 | 1,109 19 | 287 66 | 431 49 |
| SPX Sep 22 2012 1470 0 Call* | Sell to Close FIFO | 200 | 07/26/2012 | 260 02 | 09/17/2012 | 737 96 | 191 18 | 286 76 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 200 | 08/08/2012 | 2,131 79 | 09/17/2012 | 1,203 96 | -371 13 | -556 70 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 300 | 08/08/2012 | 3,183 06 | 09/17/2012 | 1,805 95 | -550 84 | -826 27 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 500 | 08/08/2012 | 5,303 84 | 09/17/2012 | 3,009 91 | -917 57 | -1,376 36 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 300 | 08/08/2012 | 3,264 81 | 09/17/2012 | 1,805 95 | -583 54 | -875 32 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 200 | 08/08/2012 | 2,170 04 | 09/17/2012 | 1,203 96 | -386 43 | -579 65 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 500 | 08/08/2012 | 5,383 84 | 09/17/2012 | 3,004 91 | -951 57 | -1,427 36 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 200 | 08/08/2012 | 2,159 79 | 09/17/2012 | 1,203 96 | -382 33 | -573 50 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 300 | 08/08/2012 | 3,228 06 | 09/17/2012 | 1,805 95 | -568 84 | -853 27 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 200 | 08/08/2012 | 2,159 79 | 09/17/2012 | 1,201 96 | -383 13 | -574 70 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 300 | 08/08/2012 | 3,228 06 | 09/17/2012 | 1,802 95 | -570 04 | -855 07 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 200 | 08/08/2012 | 2,159 79 | 09/17/2012 | 1,201 96 | -383 13 | -574 70 |
| SPX Sep 22 2012 1455 0 Call* | Buy to Close FIFO | 300 | 08/08/2012 | 3,228 06 | 09/17/2012 | 1,802 95 | -570 04 | -855 07 |
| SPX Sep 22 2012 1465 0 Call* | Buy to Close FIFO | 500 | 07/27/2012 | 2,423 84 | 09/17/2012 | 1,794 94 | -251 56 | -377 34 |
| SPX Sep 22 2012 1465 0 Call* | Buy to Close FIFO | 500 | 07/27/2012 | 2,363 84 | 09/17/2012 | 1,794 94 | -227 56 | -341 34 |
| SPX Sep 22 2012 1465 0 Call* | Buy to Close FIFO | 500 | 07/27/2012 | 2,378 84 | 09/17/2012 | 1,789 94 | -235 56 | -353 34 |
| SPX Sep 22 2012 1465 0 Call* | Buy to Close FIFO | 500 | 07/27/2012 | 2,363 84 | 09/17/2012 | 1,794 94 | -227 56 | -341 34 |
| SPX Sep 22 2012 1485 0 Call* | Sell to Close FIFO | 500 | 07/27/2012 | 905 06 | 09/17/2012 | 271 16 | -253 56 | -380 34 |
| SPX Sep 22 2012 1485 0 Call* | Sell to Close FIFO | 500 | 07/27/2012 | 905 06 | 09/17/2012 | 256 16 | -259 56 | -389 34 |
| SPX Sep 22 2012 1485 0 Call* | Sell to Close FIFO | 500 | 07/27/2012 | 900 06 | 09/17/2012 | 246 16 | -261 56 | -392 34 |
| SPX Sep 22 2012 1485 0 Call* | Sell to Close FIFO | 500 | 07/27/2012 | 905 06 | 09/17/2012 | 266 16 | -255 56 | -383 34 |
| SEAGATE TECHNOLOGY (STX) | Sell FIFO | 1,000 | 04/20/2012 | 29,026 00 | 12/17/2012 | 28,209 47 | -816 53 | |
| VIX Dec 19 2012 50 0 Call* | Expire Long | 10,000 | 11/09/2012 | 1,086 69 | 12/20/2012 | | -434 68 | -652 01 |
| VIX Dec 19 2012 55 0 Call* | Expire Long | 10,000 | 11/09/2012 | 586 69 | 12/20/2012 | | -234 68 | -352 01 |
| VIX Jan 16 2013 37 5 Call* | MTM Sell | 10,000 | 12/12/2012 | 1,086 69 | 12/31/2012 | 1,000 00 | -34 68 | -52 01 |
| VIX Jan 16 2013 40 0 Call* | MTM Sell | 10,000 | 12/12/2012 | 1,086 69 | 12/31/2012 | 500 00 | -234 68 | -352 01 |
| VIX Nov 21 2012 55 0 Call* | Expire Long | 10,000 | 10/04/2012 | 486 69 | 11/23/2012 | | -194 68 | -292 01 |

| Description | Trans type | Qty | Open date | Cost | Close date | Proceeds | ST gain($) | LT gain($) |
|---|---|---|---|---|---|---|---|---|
| VIX Oct 17 2012 45 0 Call* | Expire Long | 5,000 | 09/13/2012 | 548 34 | 10/18/2012 | | -219 34 | -329 00 |
| VIX Oct 17 2012 45 0 Call* | Expire Long | 5,000 | 09/13/2012 | 548 34 | 10/18/2012 | | -219 34 | -329 00 |
| VIX Sep 19 2012 50 0 Call* | Expire Long | 5,000 | 08/07/2012 | 550 85 | 09/20/2012 | | -220 34 | -330 51 |
| VIX Sep 19 2012 50 0 Call* | Expire Long | 5,000 | 08/07/2012 | 550 85 | 09/20/2012 | | -220 34 | -330 51 |
| WINDSTREAM CORP (WIN) | Sell FIFO | 500 | 05/24/2012 | 4,741 12 | 09/18/2012 | 5,359 93 | 618 81 | |
| WINDSTREAM CORP (WIN) | Sell FIFO | 2,500 | 05/24/2012 | 23,705 58 | 11/08/2012 | 22,239.51 | -1,466.07 | |
| **Total:** | | | | **528,725.25** | | **575,771.77** | **7,441.94** | **39,604.58** |

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