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

Department of the Treasury  
Internal Revenue Service

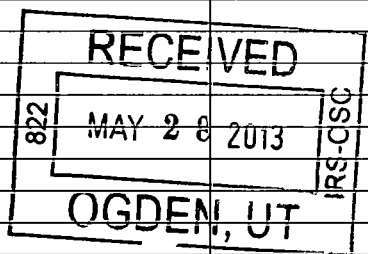
**Note** The foundation may be able to use a copy of this return to satisfy state reporting requirements.

Open to public inspection

For calendar year 2012 or tax year beginning \_\_\_\_\_, and ending \_\_\_\_\_

Name of foundation <b>ROCKCARES: THE NORRIS-ROCABERTE FAMILY FOUNDATION</b>		A Employer identification number <b>77-0539237</b>
Number and street (or P O box number if mail is not delivered to street address) <b>P.O. BOX 741880</b>		B Telephone number <b>(323)933-0922</b>
City or town, state, and ZIP code <b>LOS ANGELES, CA 90004</b>		C If exemption application is pending, check here <input type="checkbox"/>
G Check all that apply: <input type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col (c), line 16) <b>\$ 1,968,975.</b> (Part I, column (d) must be on cash basis.)	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here <input type="checkbox"/>

Part I Analysis of Revenue and Expenses <small>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))</small>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
1 Contributions, gifts, grants, etc., received				N/A	
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments		72.	72.		STATEMENT 1
4 Dividends and interest from securities		43,382.	43,382.		STATEMENT 2
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		38,858.			
b Gross sales price for all assets on line 6a <b>397,630.</b>					
7 Capital gain net income (from Part IV, line 2)			38,858.		
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		267.	0.		STATEMENT 3
12 Total. Add lines 1 through 11		82,579.	82,312.		
13 Compensation of officers, directors, trustees, etc		0.	0.		0.
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees					
b Accounting fees <b>STMT 4</b>		8,815.	0.		0.
c Other professional fees					
17 Interest					
18 Taxes <b>STMT 5</b>		10.	0.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses <b>STMT 6</b>		33,074.	31,684.		0.
24 Total operating and administrative expenses. Add lines 13 through 23		41,899.	31,684.		0.
25 Contributions, gifts, grants paid		88,500.			88,500.
26 Total expenses and disbursements Add lines 24 and 25		130,399.	31,684.		88,500.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		-47,820.			
b Net investment income (if negative, enter -0-)			50,628.		
c Adjusted net income (if negative, enter -0-)				N/A	



SCANNED MAY 30 2013

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<b>Part II Balance Sheets</b> <small>Attached schedules and amounts in the description column should be for end-of-year amounts only</small>		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	1 Cash - non-interest-bearing			
	2 Savings and temporary cash investments	98,875.	50,483.	50,483.
	3 Accounts receivable ▶			
	Less: allowance for doubtful accounts ▶			
	4 Pledges receivable ▶			
	Less: allowance for doubtful accounts ▶			
	5 Grants receivable			
	6 Receivables due from officers, directors, trustees, and other disqualified persons			
	7 Other notes and loans receivable ▶			
	Less: allowance for doubtful accounts ▶			
	8 Inventories for sale or use			
	9 Prepaid expenses and deferred charges			
	10a Investments - U.S. and state government obligations			
	b Investments - corporate stock <span style="float: right;">STMT 7</span>	1,771,261.	1,771,833.	1,918,492.
	c Investments - corporate bonds			
11 Investments - land, buildings, and equipment basis ▶				
Less accumulated depreciation ▶				
12 Investments - mortgage loans				
13 Investments - other				
14 Land, buildings, and equipment: basis ▶ <span style="float: right;">3,567.</span>				
Less accumulated depreciation <span style="float: right;">STMT 8 ▶ 3,567.</span>				
15 Other assets (describe ▶ _____)				
<b>16 Total assets (to be completed by all filers)</b>	<b>1,870,136.</b>	<b>1,822,316.</b>	<b>1,968,975.</b>	
<b>Liabilities</b>	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 ▶ _____)			
<b>23 Total liabilities (add lines 17 through 22)</b>	<b>0.</b>	<b>0.</b>		
<b>Net Assets or Fund Balances</b>	<b>Foundations that follow SFAS 117, check here</b> ▶ <input type="checkbox"/>			
	<b>and complete lines 24 through 26 and lines 30 and 31.</b>			
	24 Unrestricted			
	25 Temporarily restricted			
	26 Permanently restricted			
	<b>Foundations that do not follow SFAS 117, check here</b> ▶ <input checked="" type="checkbox"/>			
	<b>and complete lines 27 through 31.</b>			
	27 Capital stock, trust principal, or current funds	0.	0.	
28 Paid-in or capital surplus, or land, bldg., and equipment fund	0.	0.		
29 Retained earnings, accumulated income, endowment, or other funds	1,870,136.	1,822,316.		
<b>30 Total net assets or fund balances</b>	<b>1,870,136.</b>	<b>1,822,316.</b>		
<b>31 Total liabilities and net assets/fund balances</b>	<b>1,870,136.</b>	<b>1,822,316.</b>		

**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)	1,870,136.
2 Enter amount from Part I, line 27a	-47,820.
3 Other increases not included in line 2 (itemize) ▶ _____	0.
4 Add lines 1, 2, and 3	1,822,316.
5 Decreases not included in line 2 (itemize) ▶ _____	0.
6 Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	1,822,316.

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**Part IV Capital Gains and Losses for Tax on Investment Income**

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs. MLC Co.)	(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a MERRILL LYNCH #808-02106 (SEE ATTACHED)	P	VARIOUS	
b MERRILL LYNCH #808-02106 (SEE ATTACHED)	P	VARIOUS	
c			
d			
e			

(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a 26,244.		23,701.	2,543.
b 371,386.		335,071.	36,315.
c			
d			
e			

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h))
(i) 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			2,543.
b			36,315.
c			
d			
e			

2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }	2	38,858.
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	75,500.	1,831,151.	.041231
2010	173,845.	1,862,965.	.093316
2009	113,834.	1,715,747.	.066347
2008	30,000.	2,157,933.	.013902
2007	101,022.	2,580,373.	.039150

2 Total of line 1, column (d)	2	.253946
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	.050789
4 Enter the net value of noncharitable-use assets for 2012 from Part X, line 5	4	1,895,271.
5 Multiply line 4 by line 3	5	96,259.
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	506.
7 Add lines 5 and 6	7	96,765.
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	88,500.

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**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 <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary-see instructions)			
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b		1	1,013.
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	1,013.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	1,013.
6 Credits/Payments:			
a 2012 estimated tax payments and 2011 overpayment credited to 2012	6a	400.	
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	400.	
8 Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	613.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be: Credited to 2013 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	11		

**Part VII-A Statements Regarding Activities**

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

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**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)			<b>X</b>
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)			<b>X</b>
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <b>NONE</b>	<b>X</b>		
14	The books are in care of ► <b>RICHARD ROCABERTE</b> Telephone no. ► <b>(323) 933-0922</b> Located at ► <b>P.O. BOX 741880, LOS ANGELES, CA</b> ZIP+4 ► <b>90004</b>			
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		<b>N/A</b>	
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? See the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ►	<b>16</b>	<b>Yes</b>	<b>No</b> <b>X</b>

**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.**

		<b>Yes</b>	<b>No</b>
<b>1a</b>	During the year did the foundation (either directly or indirectly):		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</b>	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here <input type="checkbox"/> <b>N/A</b>	<b>1b</b>	
<b>c</b>	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?	<b>1c</b>	<b>X</b>
<b>2</b>	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)):		
<b>a</b>	At the end of tax year 2012, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2012? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► _____, _____, _____		
<b>b</b>	Are there any years listed in 2a for which the foundation is <b>not</b> 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 <b>all</b> years listed, answer "No" and attach statement - see instructions.) <b>N/A</b>	<b>2b</b>	
<b>c</b>	If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here. ► _____, _____, _____		
<b>3a</b>	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>b</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) <b>N/A</b>	<b>3b</b>	
<b>4a</b>	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	<b>4a</b>	<b>X</b>
<b>b</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?	<b>4b</b>	<b>X</b>

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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)?  Yes  No  
 Organizations relying on a current notice regarding disaster assistance check here  N/A

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?  Yes  No  
 If "Yes," attach the statement required by Regulations section 53.4945-5(d) N/A

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?  Yes  No  
 If "Yes" to 6b, file Form 8870

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

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction?  Yes  No

5b		
6b		X
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
RICHARD J. ROCABERTE P.O. BOX 74367 LOS ANGELES, CA 90004-0367	PRESIDENT 5.00	0.	0.	0.
PAUL J. NORRIS JR. P.O. BOX 829 PASADENA, CA 91102	TREASURER 1.00	0.	0.	0.
ROSEMARY COLEMAN 1100 E. GREEN ST. PASADENA, CA 91102	SECRETARY 1.00	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 X Minimum Investment Return** (All domestic foundations must complete this part. Foreign foundations, see instructions.)

<b>1</b> Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
<b>a</b> Average monthly fair market value of securities	<b>1a</b>	1,839,635.
<b>b</b> Average of monthly cash balances	<b>1b</b>	84,498.
<b>c</b> Fair market value of all other assets	<b>1c</b>	
<b>d</b> Total (add lines 1a, b, and c)	<b>1d</b>	1,924,133.
<b>e</b> Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	<b>1e</b>	0.
<b>2</b> Acquisition indebtedness applicable to line 1 assets	<b>2</b>	0.
<b>3</b> Subtract line 2 from line 1d	<b>3</b>	1,924,133.
<b>4</b> Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	28,862.
<b>5</b> Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	1,895,271.
<b>6</b> Minimum investment return. Enter 5% of line 5	<b>6</b>	94,764.

**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.)

<b>1</b> Minimum investment return from Part X, line 6		<b>1</b>	94,764.
<b>2a</b> Tax on investment income for 2012 from Part VI, line 5	<b>2a</b>	1,013.	
<b>b</b> Income tax for 2012. (This does not include the tax from Part VI.)	<b>2b</b>		
<b>c</b> Add lines 2a and 2b	<b>2c</b>	1,013.	
<b>3</b> Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	93,751.	
<b>4</b> Recoveries of amounts treated as qualifying distributions	<b>4</b>	0.	
<b>5</b> Add lines 3 and 4	<b>5</b>	93,751.	
<b>6</b> Deduction from distributable amount (see instructions)	<b>6</b>	0.	
<b>7</b> Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	93,751.	

**Part XII Qualifying Distributions** (see instructions)

<b>1</b> Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b> Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	<b>1a</b>	88,500.
<b>b</b> Program-related investments - total from Part IX-B	<b>1b</b>	0.
<b>2</b> Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	<b>2</b>	
<b>3</b> Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b> Suitability test (prior IRS approval required)	<b>3a</b>	
<b>b</b> Cash distribution test (attach the required schedule)	<b>3b</b>	
<b>4</b> Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	88,500.
<b>5</b> Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b	<b>5</b>	0.
<b>6</b> Adjusted qualifying distributions. Subtract line 5 from line 4	<b>6</b>	88,500.

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

Form 990-PF (2012)

**ROCKCARES : THE NORRIS-ROCABERTE FAMILY  
FOUNDATION**

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**Part XIII Undistributed Income** (see instructions)

	(a) Corpus	(b) Years prior to 2011	(c) 2011	(d) 2012
1 Distributable amount for 2012 from Part XI, line 7				93,751.
2 Undistributed income, if any, as of the end of 2012				
a Enter amount for 2011 only			84,605.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2012:				
a From 2007				
b From 2008				
c From 2009				
d From 2010				
e From 2011				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2012 from Part XII, line 4: ▶ \$ 88,500.				
a Applied to 2011, but not more than line 2a			84,605.	
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				3,895.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2012 (If an amount appears in column (d), the same amount must be shown in column (a))	0.			0.
6 Enter the net total of each column as indicated below:	0.			
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	0.			
b Prior years' undistributed income. Subtract line 4b from line 2b		0.		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0.		
d Subtract line 6c from line 6b. Taxable amount - see instructions		0.		
e Undistributed income for 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				89,856.
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	0.			
9 Excess distributions carryover to 2013 Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2008				
b Excess from 2009				
c Excess from 2010				
d Excess from 2011				
e Excess from 2012				

ROCKCARES: THE NORRIS-ROCABERTE FAMILY

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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		(e) Total
	(a) 2012	(b) 2011	(c) 2010	(d) 2009	
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:					
a "Assets" alternative test - enter:					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter:					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

**Part XV Supplementary Information (Complete this part only if the 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).)

**RICHARD J. ROCABERTE**

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:

**SEE ATTACHED STATEMENT**

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

**SEE ATTACHED STATEMENT**

c Any submission deadlines.

**SEE ATTACHED STATEMENT**

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

**SEE ATTACHED STATEMENT**

ROCKCARES: THE NORRIS-ROCABERTE FAMILY

Form 990-PF (2012)

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**Part XV** Supplementary Information (continued)

<b>3 Grants and Contributions Paid During the Year or Approved for Future Payment</b>				
Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
<b>a Paid during the year</b>				
AIDS ASSISTANCE PROGRAM 1276 NORTH PALM CANYON DRIVE, SUITE 108 PALM SPRINGS, CA 92262	NONE	PUBLIC CHARITY	PROVIDING NUTRITIONAL SUPPORT FOR MEN, WOMEN AND CHILDREN LIVING WITH HIV/AIDS	20,000.
TRIAL LAWYERS COLLEGE P.O. BOX 1249 LARAMIE, WY 82073	NONE	EDUCATIONAL ORGANIZATION	TO PROVIDE SUPPORT FOR TRAINING AND EDUCATION OF LAWYERS AND JUDGES	15,000.
FRIENDS OF THIRD 201 SOUTH JUNE STREET LOS ANGELES, CA 90004	NONE	PUBLIC CHARITY	TO PROVIDE CURRICULAR ENHANCEMENT PROGRAMS FOR ALL STUDENTS	21,000.
AIDS PROJECT LA 3550 WILSHIRE BLVD STE 300 LOS ANGELES, CA 90010	NONE	PUBLIC CHARITY	TO PROVIDE SUPPORT FOR PEOPLE WITH HIV AND AIDS	2,500.
TEMPLE RAMAT ZION 17655 DEVONSHIRE STREET NORTHRIDGE, CA 91325	NONE	RELIGIOUS ORGANIZATION	TO PROVIDE SUPPORT FOR THE MEMBERS OF THE ORGANIZATION AND THE COMMUNITY	20,000.
<b>Total</b>	<b>SEE CONTINUATION SHEET(S)</b>			<b>88,500.</b>
<b>b Approved for future payment</b>				
NONE				
<b>Total</b>				
				0.









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

SOURCE	AMOUNT
MERRILL LYNCH 808-02106	57.
MERRILL LYNCH 808-02283	15.
TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A	72.

FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

SOURCE	GROSS AMOUNT	CAPITAL GAINS DIVIDENDS	COLUMN (A) AMOUNT
MERRILL LYNCH 808-02106	43,382.	0.	43,382.
TOTAL TO FM 990-PF, PART I, LN 4	43,382.	0.	43,382.

FORM 990-PF OTHER INCOME STATEMENT 3

DESCRIPTION	(A) REVENUE PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME
2011 EXCISE TAX REFUND	267.	0.	
TOTAL TO FORM 990-PF, PART I, LINE 11	267.	0.	

FORM 990-PF ACCOUNTING FEES STATEMENT 4

DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
BARTLETT, PRINGLE & WOLF, LLP	8,815.	0.		0.
TO FORM 990-PF, PG 1, LN 16B	8,815.	0.		0.

FORM 990-PF	TAXES			STATEMENT 5
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
FRANCHISE TAX BOARD	10.	0.		0.
TO FORM 990-PF, PG 1, LN 18	10.	0.		0.

FORM 990-PF	OTHER EXPENSES			STATEMENT 6
DESCRIPTION	(A) EXPENSES PER BOOKS	(B) NET INVEST- MENT INCOME	(C) ADJUSTED NET INCOME	(D) CHARITABLE PURPOSES
CONSULTING/MANAGEMENT PRIVATE POST OFFICE BOX RENTAL	29,661.	29,661.		0.
POSTAGE AND DELIVERY	440.	0.		0.
MERRILL LYNCH BANK FEE	800.	0.		0.
FOREIGN TAX PAID	150.	0.		0.
	2,023.	2,023.		0.
TO FORM 990-PF, PG 1, LN 23	33,074.	31,684.		0.

FORM 990-PF	CORPORATE STOCK		STATEMENT 7
DESCRIPTION	BOOK VALUE	FAIR MARKET VALUE	
EQUITIES	1,771,833.	1,918,492.	
TOTAL TO FORM 990-PF, PART II, LINE 10B	1,771,833.	1,918,492.	

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**FORM 990-PF DEPRECIATION OF ASSETS NOT HELD FOR INVESTMENT STATEMENT 8**

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<u>DESCRIPTION</u>	<u>COST OR OTHER BASIS</u>	<u>ACCUMULATED DEPRECIATION</u>	<u>BOOK VALUE</u>
MICROEDGE SOFTWARE	3,567.	3,567.	0.
TOTAL TO FM 990-PF, PART II, LN 14	3,567.	3,567.	0.

**ROCKCARES: The Norris-Rocaberte Family Foundation**  
**EIN: 77-0539237**  
**ATTACHMENT TO 2012 FORM 990PF**

**Form 990PF, page 10, Part XV, "Supplementary information"**

Line 2a: The name, address and telephone number of the person to whom applications should be addressed:

Richard Rocaberte  
RockCares: The Norris-Rocaberte Family Foundation  
P.O. Box 741880  
Los Angeles, CA 90004  
(323) 933-0922

Line 2b: The form in which applications should be submitted and information and materials they should include:

An organization requesting a grant must submit ALL of the following:

- 1) Brief proposal describing the history of the organization, the purpose for which the grant money is requested, how the organization will meet its objectives and how the outcome will be measured.
- 2) List of Board of Directors, including biography and term of service for each member.
- 3) Current operating budget
- 4) Copy of the most recent audited financial statements
- 5) Copy of the IRS Section 501 (c) (3) determination letter along with a letter signed by an officer of the organization stating the IRS letter has not been modified nor the non-profit 501 (c) (3) status revoked since the letter issuance date.

Line 2c: Any submission deadlines.

None

Line 2d: Any restrictions or limitations on awards such as geographical areas, charitable fields, kinds of institutions, or other factors.

Grants are not made:

- 1) To individuals
- 2) To medical research

**ROCKCARES: Norris-Rocaberte Family Foundation**  
**EIN: 77-0539237**  
**ATTACHMENT TO 2012 FORM 990PF**  
**PAGE 2**

- 3) For propagandizing, influencing legislation and/or elections, promoting voter registration, for political candidates, political campaigns or organizations engaged in political activities.
- 4) For refugee or religious programs or consumer interests
- 5) For religious institutions limiting services to only one sect or denomination
- 6) For endowment funds

ROCKCARES: NORRIS-ROCABERTE FAMILY FOUNDATION  
 EIN 77-0539237  
 MERRILL LYNCH ACCOUNT 808-02106

**EMA** Fiscal Statement

ROCKCARES: THE NORRIS-

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
6.0000	ANHEUSER-BUSCH INBEV ADR	02/11/11	01/19/12	374.03	335.91	38.12 ST
4.0000	ANHEUSER-BUSCH INBEV ADR	02/22/11	01/19/12	249.35	218.86	30.49 ST
3.0000	ANHEUSER-BUSCH INBEV ADR	02/25/11	01/19/12	187.02	165.03	21.99 ST
3.0000	BRITISH AMN TOBACO SPADR	02/11/11	01/26/12	279.64	233.49	46.15 ST
15.0000	BNP PARIBAS SPONSORD ADR	02/11/11	01/20/12	343.09	576.15	(233.06) ST
12.0000	BNP PARIBAS SPONSORD ADR	02/22/11	01/20/12	274.48	453.24	(178.76) ST
10.0000	BNP PARIBAS SPONSORD ADR	02/25/11	01/20/12	228.73	385.90	(157.17) ST
10.0000	BNP PARIBAS SPONSORD ADR	03/08/11	01/20/12	228.74	371.00	(142.26) ST
12.0000	CASH AMERICAN INTL INC	02/11/11	01/24/12	515.24	494.76	20.48 ST
9.0000	CASH AMERICAN INTL INC	02/22/11	01/24/12	386.43	374.13	12.30 ST
10.0000	CASH AMERICAN INTL INC	02/25/11	01/24/12	429.37	423.40	5.97 ST
9.0000	CASH AMERICAN INTL INC	03/08/11	01/24/12	386.43	386.37	0.06 ST
6.0000	CASH AMERICAN INTL INC	03/11/11	01/24/12	257.62	253.56	4.06 ST
3.0000	CASH AMERICAN INTL INC	03/16/11	01/24/12	128.82	124.83	3.99 ST

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
21.0000	IMPAX LABS INC	03/15/11	01/12/12	414.89	545.27	(130.38) ST
3.0000	IMPAX LABS INC	03/16/11	01/12/12	59.27	75.03	(15.76) ST
3.0000	IMPAX LABS INC	03/17/11	01/12/12	59.27	72.41	(13.14) ST
3.0000	IMPAX LABS INC	04/28/11	01/12/12	59.27	83.13	(23.86) ST
4.0000	IMPAX LABS INC	05/16/11	01/12/12	79.02	108.84	(29.82) ST
7.0000	IMPAX LABS INC	06/03/11	01/12/12	138.31	180.67	(42.36) ST
46.0000	PROGRESS ENERGY INC	02/11/11	01/25/12	2,462.44	2,109.56	352.88 ST
34.0000	PROGRESS ENERGY INC	02/22/11	01/25/12	1,820.07	1,546.32	273.75 ST
34.0000	PROGRESS ENERGY INC	02/25/11	01/25/12	1,820.07	1,543.42	276.65 ST
31.0000	PROGRESS ENERGY INC	03/08/11	01/25/12	1,659.47	1,437.01	222.46 ST
17.0000	PROGRESS ENERGY INC	03/11/11	01/25/12	910.03	788.97	121.06 ST
29.0000	PROGRESS ENERGY INC	03/16/11	01/25/12	1,552.41	1,294.72	257.69 ST
22.0000	PROGRESS ENERGY INC	03/17/11	01/25/12	1,177.69	968.44	209.25 ST
41.0000	PROGRESS ENERGY INC	04/28/11	01/25/12	2,194.79	1,930.69	264.10 ST
25.0000	PROGRESS ENERGY INC	05/16/11	01/25/12	1,338.29	1,216.50	121.79 ST
35.0000	PROGRESS ENERGY INC	05/26/11	01/25/12	1,873.60	1,656.20	217.40 ST
23.0000	PROGRESS ENERGY INC	06/03/11	01/25/12	1,231.23	1,079.39	151.84 ST
18.0000	PROGRESS ENERGY INC	06/10/11	01/25/12	963.57	840.96	122.61 ST
14.0000	PROGRESS ENERGY INC	06/24/11	01/25/12	749.44	661.92	87.52 ST
31.0000	PROGRESS ENERGY INC	07/13/11	01/25/12	1,659.49	1,491.72	167.77 ST
1.0000	REED ELSEVIER N V	04/28/11	01/06/12	22.17	26.21	(4.04) ST
12.0000	REED ELSEVIER N V	05/16/11	01/06/12	266.07	321.84	(55.77) ST
9.0000	REED ELSEVIER N V	05/26/11	01/06/12	199.55	238.08	(38.53) ST
5.0000	REED ELSEVIER N V	06/03/11	01/06/12	110.86	134.65	(23.79) ST
9.0000	REED ELSEVIER N V	06/20/11	01/06/12	199.55	229.98	(30.43) ST
14.0000	REED ELSEVIER N V	07/13/11	01/06/12	310.43	364.30	(53.87) ST
2.0000	SUCCESSFACTORS INC	05/26/11	01/06/12	79.61	67.52	12.09 ST
42.0000	SUCCESSFACTORS INC	08/30/11	01/06/12	1,671.99	970.11	701.88 ST
46.0000	SUCCESSFACTORS INC	10/19/11	01/06/12	1,831.23	1,132.35	698.88 ST
1.0000	THORATEC CORP COM NEW	02/25/11	01/03/12	33.40	27.87	5.53 ST
6.0000	THORATEC CORP COM NEW	03/08/11	01/03/12	200.45	173.82	26.63 ST
53.0000	VISA INC CL A SHRS	02/11/11	12/30/11	5,409.37	3,969.41	1,439.96 ST
40.0000	VISA INC CL A SHRS	02/22/11	12/30/11	4,082.55	2,969.60	1,112.95 ST
34.0000	VISA INC CL A SHRS	02/25/11	12/30/11	3,470.17	2,544.68	925.49 ST
18.0000	BJ'S RESTAURANTS INC	02/11/11	02/08/12	955.45	658.62	296.83 ST
11.0000	BJ'S RESTAURANTS INC	02/22/11	02/08/12	583.89	398.09	185.80 ST
13.0000	BJ'S RESTAURANTS INC	02/25/11	02/08/12	690.05	458.64	231.41 ST
1.0000	BJ'S RESTAURANTS INC	03/08/11	02/08/12	53.09	37.17	15.92 ST
13.0000	CLOUD PEAK ENERGY INC	02/11/11	02/21/12	236.87	295.10	(58.23) LT
9.0000	CLOUD PEAK ENERGY INC	02/22/11	02/21/12	163.98	197.64	(33.66) ST

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
13,000	CLOUD PEAK ENERGY INC	02/25/11	02/21/12	236.87	258.83	(21.96) ST
7,000	CLOUD PEAK ENERGY INC	03/08/11	02/21/12	127.54	146.65	(19.11) ST
5,000	CLOUD PEAK ENERGY INC	03/11/11	02/21/12	91.10	100.60	(9.50) ST
6,000	CLOUD PEAK ENERGY INC	03/16/11	02/21/12	109.32	125.46	(16.14) ST
8,000	CLOUD PEAK ENERGY INC	03/17/11	02/21/12	145.77	171.36	(25.59) ST
9,000	CLOUD PEAK ENERGY INC	04/28/11	02/21/12	163.99	180.45	(16.46) ST
9,000	CLOUD PEAK ENERGY INC	05/16/11	02/21/12	163.99	182.07	(18.08) ST
9,000	CLOUD PEAK ENERGY INC	05/26/11	02/21/12	163.99	186.66	(22.67) ST
6,000	CLOUD PEAK ENERGY INC	06/03/11	02/21/12	109.32	119.40	(10.08) ST
12,000	CLOUD PEAK ENERGY INC	06/20/11	02/21/12	218.67	228.18	(9.51) ST
14,000	DIAGEO PLC SP5D ADR NEW	02/11/11	02/10/12	1,303.90	1,076.70	227.20 ST
21,000	GRAFTECH INTL LTD	02/11/11	02/24/12	271.95	479.96	(208.01) LT
15,000	GRAFTECH INTL LTD	02/22/11	02/24/12	194.25	347.91	(153.66) LT
18,000	GRAFTECH INTL LTD	02/25/11	02/24/12	233.10	364.08	(130.98) ST
14,000	GRAFTECH INTL LTD	03/08/11	02/24/12	181.30	292.60	(111.30) ST
9,000	GRAFTECH INTL LTD	03/11/11	02/24/12	116.55	186.57	(70.02) ST
11,000	GRAFTECH INTL LTD	03/16/11	02/24/12	142.45	218.46	(76.01) ST
11,000	GRAFTECH INTL LTD	03/17/11	02/24/12	142.45	217.36	(74.91) ST
8,000	GRAFTECH INTL LTD	04/28/11	02/24/12	103.60	185.92	(82.32) ST
21,000	GRAFTECH INTL LTD	05/16/11	02/24/12	271.95	443.31	(171.36) ST
14,000	GRAFTECH INTL LTD	05/26/11	02/24/12	181.30	289.80	(108.50) ST
10,000	GRAFTECH INTL LTD	06/03/11	02/24/12	129.50	199.60	(70.10) ST
13,000	GRAFTECH INTL LTD	06/10/11	02/24/12	168.36	244.92	(76.56) ST
19,000	GENESCO INC	02/11/11	02/08/12	1,218.75	766.27	452.48 ST
14,000	GENESCO INC	02/22/11	02/08/12	898.03	554.87	343.16 ST
3,000	GENESCO INC	02/25/11	02/08/12	192.44	121.98	70.46 ST
9,000	INFORMATICA CORP CA	03/08/11	02/24/12	448.33	428.22	20.11 ST
7,000	INFORMATICA CORP CA	03/11/11	02/24/12	348.70	334.11	14.59 ST
9,000	INFORMATICA CORP CA	03/16/11	02/24/12	448.34	426.53	21.81 ST
9,000	INFORMATICA CORP CA	03/17/11	02/24/12	448.34	417.35	30.99 ST
8,000	INFORMATICA CORP CA	04/28/11	02/24/12	398.53	438.08	(39.55) ST
9,000	LVMH MOET HENNESSY ADR	02/11/11	01/30/12	285.09	291.78	(6.69) ST
6,000	LVMH MOET HENNESSY ADR	02/22/11	01/30/12	190.06	187.50	2.56 ST
10,000	LVMH MOET HENNESSY ADR	02/25/11	01/30/12	316.77	313.32	3.45 ST
6,000	LVMH MOET HENNESSY ADR	03/08/11	01/30/12	190.07	191.04	(0.97) ST
13,000	NESTLE S A REP RG SH ADR	02/11/11	02/22/12	791.82	693.55	98.27 LT
4,000	NESTLE S A REP RG SH ADR	02/22/11	02/22/12	243.64	223.00	20.64 ST
7,000	OYO GEOSPACE CORP	02/11/11	02/08/12	766.29	733.25	33.04 ST
5,000	OYO GEOSPACE CORP	02/22/11	02/08/12	547.34	542.15	5.19 ST
6,000	OYO GEOSPACE CORP	02/25/11	02/08/12	656.82	622.38	34.44 ST

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
2.0000	OYO GEOSPACE CORP	03/08/11	02/08/12	218.95	199.82	19.13 ST
3.0000	OYO GEOSPACE CORP	03/08/11	02/09/12	321.75	299.73	22.02 ST
7.0000	PLANTRONICS INC NEW COM	02/11/11	02/08/12	261.95	250.39	11.56 ST
5.0000	PLANTRONICS INC NEW COM	02/22/11	02/08/12	187.10	176.20	10.90 ST
6.0000	PLANTRONICS INC NEW COM	02/25/11	02/08/12	224.53	207.06	17.47 ST
6.0000	PLANTRONICS INC NEW COM	03/08/11	02/08/12	224.53	215.09	9.44 ST
2.0000	PLANTRONICS INC NEW COM	03/11/11	02/08/12	74.84	69.04	5.80 ST
5.0000	PLANTRONICS INC NEW COM	03/16/11	02/08/12	187.11	169.40	17.71 ST
3.0000	PLANTRONICS INC NEW COM	03/17/11	02/08/12	112.26	102.33	9.93 ST
5.0000	PLANTRONICS INC NEW COM	04/28/11	02/08/12	187.11	180.70	6.41 ST
5.0000	PLANTRONICS INC NEW COM	05/16/11	02/08/12	187.11	185.70	1.41 ST
5.0000	PLANTRONICS INC NEW COM	05/26/11	02/08/12	187.11	179.35	7.76 ST
3.0000	PLANTRONICS INC NEW COM	06/03/11	02/08/12	112.26	105.54	6.72 ST
6.0000	PLANTRONICS INC NEW COM	06/20/11	02/08/12	224.53	208.08	16.45 ST
7.0000	PLANTRONICS INC NEW COM	10/28/11	02/08/12	261.97	241.95	20.02 ST
7.0000	PLANTRONICS INC NEW COM	10/28/11	02/09/12	261.56	241.95	19.61 ST
21.0000	POLYPORE INTL INC	11/14/11	02/08/12	1,002.60	1,178.22	N/C
3.0000	POLYPORE INTL INC	11/25/11	02/08/12	143.23	152.71	N/C
30.0000	SOCIETE GENERAL SPN ADR	02/11/11	01/30/12	153.34	393.00	(239.66) ST
24.0000	SOCIETE GENERAL SPN ADR	02/22/11	01/30/12	122.67	319.20	(196.53) ST
20.0000	SOCIETE GENERAL SPN ADR	02/25/11	01/30/12	102.23	272.77	(170.54) ST
24.0000	SOCIETE GENERAL SPN ADR	03/08/11	01/30/12	122.68	315.12	(192.44) ST
10.0000	SOCIETE GENERAL SPN ADR	03/11/11	01/30/12	51.11	130.30	(79.19) ST
27.0000	SOCIETE GENERAL SPN ADR	03/16/11	01/30/12	138.02	332.10	(194.08) ST
13.0000	SOCIETE GENERAL SPN ADR	03/17/11	01/30/12	66.46	164.84	(98.38) ST
6.0000	THORATEC CORP COM NEW	03/08/11	02/23/12	209.73	173.82	35.91 ST
8.0000	THORATEC CORP COM NEW	03/11/11	02/23/12	279.64	222.08	57.56 ST
8.0000	THORATEC CORP COM NEW	03/16/11	02/23/12	279.64	215.60	64.04 ST
9.0000	THORATEC CORP COM NEW	03/17/11	02/23/12	314.61	231.75	82.86 ST
1.0000	THORATEC CORP COM NEW	04/28/11	02/23/12	34.96	30.65	4.31 ST
17.0000	UNILEVER NV NY REG SHS	02/11/11	02/02/12	554.81	503.01	51.80 ST
12.0000	UNILEVER NV NY REG SHS	02/22/11	02/02/12	391.63	356.99	34.64 ST
13.0000	UNILEVER NV NY REG SHS	02/25/11	02/02/12	424.28	392.65	31.63 ST
1.0000	UNILEVER NV NY REG SHS	03/08/11	02/02/12	32.64	30.46	2.18 ST
18.0000	ZURICH FINL SVCS SPN ADR	02/11/11	02/23/12	443.10	495.18	(52.08) LT
14.0000	ZURICH FINL SVCS SPN ADR	02/22/11	02/23/12	344.64	397.88	(53.24) LT
12.0000	ZURICH FINL SVCS SPN ADR	02/25/11	02/23/12	295.41	345.96	(50.55) ST
13.0000	FTI CONSULTING INC COM	02/11/11	03/01/12	512.39	485.42	26.97 LT
9.0000	FTI CONSULTING INC COM	02/22/11	03/01/12	354.73	326.07	28.66 LT
11.0000	FTI CONSULTING INC COM	02/25/11	03/01/12	433.57	364.32	69.25 LT

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
3.0000	FTI CONSULTING INC COM	03/08/11	03/01/12	118.25	107.04	11.21 ST
20.0000	GEO GROUP INC	02/11/11	02/29/12	353.09	487.20	(134.11) LT
15.0000	GEO GROUP INC	02/22/11	02/29/12	264.82	373.12	(108.30) LT
15.0000	GEO GROUP INC	02/25/11	02/29/12	264.83	372.22	(107.39) LT
1.0000	GEO GROUP INC	03/08/11	02/29/12	17.66	24.84	(7.18) ST
21.0000	POLYPORE INTL INC	11/14/11	03/19/12	744.37	1,049.22	(304.85) ST
15.0000	POLYPORE INTL INC	11/25/11	03/19/12	531.71	763.57	(231.86) ST
8.0000	ROVI CORP	02/11/11	03/16/12	271.43	514.34	(242.91) LT
4.0000	ROVI CORP	02/16/11	03/16/12	135.72	243.79	(108.07) LT
2.0000	ROVI CORP	02/22/11	03/16/12	67.86	111.84	(43.98) LT
5.0000	ROVI CORP	02/25/11	03/16/12	169.65	280.10	(110.45) LT
6.0000	ROVI CORP	03/08/11	03/16/12	203.57	331.14	(127.57) LT
3.0000	ROVI CORP	03/11/11	03/16/12	101.79	165.99	(64.20) LT
5.0000	ROVI CORP	03/16/11	03/16/12	169.65	276.55	(106.90) ST
4.0000	ROVI CORP	03/17/11	03/16/12	135.72	218.08	(82.36) ST
5.0000	ROVI CORP	04/28/11	03/16/12	169.65	244.50	(74.85) ST
6.0000	ROVI CORP	05/16/11	03/16/12	203.58	344.52	(140.94) ST
3.0000	ROVI CORP	05/26/11	03/16/12	203.58	346.02	(142.44) ST
3.0000	ROVI CORP	06/03/11	03/16/12	101.79	166.44	(64.65) ST
4.0000	ROVI CORP	06/10/11	03/16/12	135.72	212.56	(76.84) ST
5.0000	ROVI CORP	07/13/11	03/16/12	169.66	275.65	(105.99) ST
29.0000	AMER EXPRESS COMPANY	02/22/11	04/20/12	1,661.53	1,288.36	373.17 LT
49.0000	AMGEN INC COM PV \$0.0001	02/11/11	04/13/12	3,219.52	2,637.58	581.94 LT
34.0000	AMGEN INC COM PV \$0.0001	02/22/11	04/13/12	2,233.95	1,761.80	472.15 LT
36.0000	AMGEN INC COM PV \$0.0001	02/25/11	04/13/12	2,365.37	1,877.27	488.10 LT
40.0000	AMGEN INC COM PV \$0.0001	03/08/11	04/13/12	2,628.18	2,100.31	527.87 LT
16.0000	AMGEN INC COM PV \$0.0001	03/11/11	04/13/12	1,051.27	859.84	191.43 LT
33.0000	AMGEN INC COM PV \$0.0001	03/16/11	04/13/12	2,168.26	1,746.42	421.84 LT
28.0000	AMGEN INC COM PV \$0.0001	03/17/11	04/13/12	1,839.74	1,500.46	339.28 LT
1.0000	AMGEN INC COM PV \$0.0001	04/28/11	04/13/12	65.71	56.96	8.75 ST
11.0000	COHERENT INC CAL	02/11/11	04/10/12	586.06	645.37	(59.31) LT
8.0000	COHERENT INC CAL	02/22/11	04/10/12	426.22	473.20	(46.98) LT
7.0000	COHERENT INC CAL	02/25/11	04/10/12	372.96	424.34	(51.38) LT
12.0000	DTS INC	02/11/11	04/10/12	355.84	567.00	(211.16) LT
9.0000	DTS INC	02/22/11	04/10/12	266.88	409.59	(142.71) LT
10.0000	DTS INC	02/25/11	04/10/12	296.53	458.60	(162.07) LT
1.0000	DTS INC	03/08/11	04/10/12	29.66	47.83	(18.17) LT
125.0000	KKR FINL HLDGS LLC	08/25/11	04/24/12	1,137.96	1,078.05	(N/C)
53.0000	MERCK AND CO INC SHS	02/11/11	04/20/12	2,056.12	1,751.96	304.16 LT
23.0000	SAPIENT CORP	02/11/11	04/03/12	283.62	299.00	(15.38) LT

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
7.0000	SAPIENT CORP	02/22/11	04/03/12	86.33	84.24	2.09 LT
10.0000	SAPIENT CORP	02/22/11	04/04/12	121.99	120.35	1.64 LT
18.0000	SAPIENT CORP	02/25/11	04/04/12	219.60	212.76	6.84 LT
3.0000	SAPIENT CORP	03/08/11	04/04/12	36.60	35.07	1.53 LT
31.0000	SHUFFLE MASTER INC	02/11/11	04/03/12	572.03	316.71	255.32 LT
23.0000	SHUFFLE MASTER INC	02/22/11	04/03/12	424.41	219.36	205.05 LT
22.0000	SHUFFLE MASTER INC	02/25/11	04/03/12	405.96	210.76	195.20 LT
2.0000	SHUFFLE MASTER INC	03/08/11	04/03/12	36.91	18.46	18.45 LT
4.0000	TARGET CORP	02/11/11	04/13/12	230.49	217.75	12.74 LT
6.0000	TARGET CORP	02/25/11	04/13/12	345.75	315.03	30.72 LT
3.0000	TARGET CORP	03/08/11	04/13/12	172.87	154.74	18.13 LT
2.0000	TARGET CORP	03/11/11	04/13/12	115.25	103.80	11.45 LT
2.0000	TARGET CORP	03/16/11	04/13/12	115.25	101.56	13.69 LT
2.0000	TARGET CORP	03/17/11	04/13/12	115.25	100.56	14.69 LT
3.0000	TARGET CORP	04/28/11	04/13/12	172.87	151.47	21.40 ST
3.0000	TARGET CORP	05/16/11	04/13/12	172.87	151.55	21.32 ST
5.0000	TARGET CORP	06/03/11	04/13/12	288.13	237.48	50.65 ST
5.0000	TARGET CORP	06/24/11	04/13/12	288.14	232.85	55.29 ST
17.0000	UNIVERSAL ELECTRONCS INC	02/11/11	04/09/12	311.05	449.31	(138.26) LT
11.0000	UNIVERSAL ELECTRONCS INC	02/22/11	04/09/12	201.28	289.45	(88.17) LT
1.0000	UNIVERSAL ELECTRONCS INC	02/25/11	04/10/12	17.50	26.31	(8.81) LT
12.0000	UNIVERSAL ELECTRONCS INC	02/25/11	04/10/12	210.07	332.64	(122.57) LT
3.0000	UNIVERSAL ELECTRONCS INC	02/25/11	04/11/12	52.34	83.16	(30.82) LT
9.0000	UNIVERSAL ELECTRONCS INC	03/08/11	04/11/12	157.05	248.67	(91.62) LT
27.0000	VIVUS INC DEL PV\$0.001	02/27/12	04/05/12	600.72	671.41	(70.69) ST
35.0000	VIVUS INC DEL PV\$0.001	03/21/12	04/05/12	778.73	748.46	30.27 ST
31.0000	ALLSTATE CORP DEL COM	02/11/11	05/03/12	1,062.66	974.20	88.46 LT
3.0000	AMAZON COM INC COM	02/22/11	05/03/12	691.00	543.43	147.57 LT
1.0000	ALTERA CORP	05/26/11	05/03/12	35.16	47.10	(11.94) ST
18.0000	AT&T INC	02/11/11	05/03/12	594.35	513.86	80.49 LT
39.0000	ACME PACKET INC	02/10/12	05/11/12	972.24	1,287.09	(314.85) ST
21.0000	ACME PACKET INC	02/14/12	05/11/12	523.51	720.66	(197.15) ST
6.0000	ACME PACKET INC	05/03/12	05/11/12	149.58	169.98	(20.40) ST
5.0000	AMER EXPRESS COMPANY	02/25/11	05/03/12	304.51	217.68	86.83 LT
2.0000	AMGEN INC COM PV \$0.0001	04/28/11	05/03/12	141.40	113.92	27.48 LT
23.0000	ARCHER DANIELS MIDLD	02/11/11	05/03/12	755.07	830.24	(75.17) LT
2.0000	AUTODESK INC DEL PV\$0.01	04/13/12	05/03/12	79.91	82.32	(2.41) LT
5.0000	AUTOMATIC DATA PROC	02/11/11	05/03/12	271.81	248.03	23.78 LT
3.0000	BLUE NILE INC	02/11/11	05/03/12	86.36	172.68	(86.32) LT
88.0000	COMCAST CORP NEW CL A	02/11/11	05/03/12	2,674.86	2,106.52	568.34 LT

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
34.0000	COMCAST CORP NEW CL A	02/22/11	05/03/12	1,033.47	855.02	178.45 LT
64.0000	CVS CAREMARK CORP	02/11/11	05/03/12	2,934.48	2,113.04	821.44 LT
17.0000	CVS CAREMARK CORP	02/22/11	05/03/12	779.48	556.86	222.62 LT
175.0000	CISCO SYSTEMS INC COM	02/11/11	05/03/12	3,472.67	3,286.10	186.57 LT
55.0000	CISCO SYSTEMS INC COM	02/22/11	05/03/12	1,091.42	1,023.00	68.42 LT
5.0000	CLOROX CO DEL COM	02/11/11	05/03/12	337.16	335.10	2.06 LT
10.0000	COCA COLA COM	02/11/11	05/03/12	773.50	633.95	139.55 LT
11.0000	COHERENT INC CAL CXL	02/11/11	04/10/12	586.06	645.37	59.31 LT
8.0000	COHERENT INC CAL	02/11/11	04/10/12	426.23	469.36	N/C
3.0000	COHERENT INC CAL	02/11/11	04/10/12	159.83	176.01	(16.18) LT
4.0000	DIAGEO PLC SPSP ADR NEW	02/11/11	05/10/12	397.32	307.63	89.69 LT
14.0000	DIAGEO PLC SPSP ADR NEW	02/22/11	05/10/12	1,390.62	1,080.29	310.33 LT
13.0000	DIAGEO PLC SPSP ADR NEW	02/25/11	05/10/12	1,291.30	1,010.10	281.20 LT
14.0000	DIAGEO PLC SPSP ADR NEW	03/08/11	05/10/12	1,390.63	1,092.31	298.32 LT
8.0000	DIAGEO PLC SPSP ADR NEW	03/11/11	05/10/12	794.64	610.00	184.64 LT
11.0000	DIAGEO PLC SPSP ADR NEW	03/16/11	05/10/12	1,092.64	789.91	302.73 LT
10.0000	DIAGEO PLC SPSP ADR NEW	03/17/11	05/10/12	993.31	732.73	260.58 LT
10.0000	DIAGEO PLC SPSP ADR NEW	04/28/11	05/10/12	99.34	81.00	18.34 LT
12.0000	DTS INC CXL	02/11/11	04/10/12	355.84	567.00	211.16 LT
8.0000	DTS INC	02/11/11	04/10/12	237.23	378.00	(140.77) LT
4.0000	DTS INC	02/11/11	04/10/12	118.61	189.00	(70.39) LT
30.0000	DANONE-SPONS ADR	02/11/11	05/03/12	418.39	354.81	63.58 LT
41.0000	EDISON INTL CALIF	02/11/11	05/03/12	1,798.63	1,520.13	278.50 LT
6.0000	EXPEDITORS INTL WASH INC	02/11/11	05/03/12	243.49	321.69	(78.20) LT
9.0000	FACTSET RESH SYS INC	02/11/11	05/03/12	943.82	943.08	0.74 LT
15.0000	FACTSET RESH SYS INC	02/11/11	05/18/12	1,551.86	1,571.81	(19.95) LT
19.0000	FACTSET RESH SYS INC	02/22/11	05/18/12	1,965.70	2,012.86	(47.16) LT
2.0000	FACTSET RESH SYS INC	02/25/11	05/18/12	206.92	208.66	(1.74) LT
7.0000	FRESH MKT INC	02/11/11	05/01/12	355.84	299.25	56.59 LT
6.0000	FRESH MKT INC	02/22/11	05/01/12	305.01	270.78	34.23 LT
7.0000	FRESH MKT INC	02/25/11	05/01/12	355.85	293.30	62.55 LT
1.0000	FRESH MKT INC	03/08/11	05/01/12	50.84	39.72	11.12 LT
2.0000	FRANKLIN RES INC	02/11/11	05/03/12	240.77	257.40	(16.63) LT
5.0000	GREENHILL COMPANY INC	06/24/11	05/03/12	187.11	257.26	(70.15) ST
2.0000	GOOGLE INC CL A	02/11/11	05/03/12	1,227.66	1,248.60	(20.94) LT
42.0000	GNC HOLDINGS INC SHS	04/04/11	05/22/12	1,576.26	732.89	843.37 LT
7.0000	GNC HOLDINGS INC SHS	04/07/11	05/22/12	262.72	124.61	138.11 LT
6.0000	HOME DEPOT INC	02/11/11	05/03/12	316.45	224.26	92.19 LT
97.0000	INTEL CORP	02/11/11	05/03/12	2,813.89	2,115.56	698.33 LT
70.0000	INTEL CORP	02/22/11	05/03/12	2,030.65	1,527.29	503.36 LT

# EMA Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
2.0000	INTEL CORP	02/25/11	05/03/12	58.02	43.76	14.26 LT
42.0000	KRAFT FOODS INC VA CL A	02/11/11	05/03/12	1,654.03	1,283.36	370.67 LT
32.0000	KIMBERLY CLARK	02/11/11	05/03/12	2,520.35	2,093.25	427.10 LT
1.0000	KIMBERLY CLARK	02/22/11	05/03/12	78.77	65.10	13.67 LT
15.0000	LEGG MASON INC	02/11/11	05/03/12	366.38	533.62	(167.24) LT
104.0000	LOWE'S COMPANIES INC	02/11/11	05/03/12	3,328.98	2,605.34	723.64 LT
69.0000	LOWE'S COMPANIES INC	02/22/11	05/03/12	2,208.65	1,791.64	417.01 LT
31.0000	LOWE'S COMPANIES INC	02/25/11	05/03/12	992.30	783.85	208.45 LT
26.0000	MERCK AND CO INC SHS	02/11/11	05/03/12	1,018.66	859.45	159.21 LT
46.0000	MOTOROLA SOLUTIONS INC	02/11/11	05/03/12	2,340.66	1,815.45	525.21 LT
38.0000	MARSH & MCLENNAN COS INC	02/11/11	05/03/12	1,298.82	1,096.07	202.75 LT
6.0000	MEDTRONIC INC COM	02/11/11	05/03/12	231.43	238.56	(7.13) LT
9.0000	MICROSOFT CORP	02/11/11	05/03/12	286.57	245.50	41.07 LT
8.0000	OMNICOM GROUP COM	02/11/11	05/03/12	415.61	393.88	21.73 LT
26.0000	OMNICOM GROUP COM	02/11/11	05/10/12	1,315.68	1,280.10	35.58 LT
27.0000	OMNICOM GROUP COM	02/22/11	05/10/12	1,366.29	1,320.99	45.30 LT
25.0000	OMNICOM GROUP COM	02/25/11	05/10/12	1,265.08	1,245.85	19.23 LT
29.0000	OMNICOM GROUP COM	03/08/11	05/10/12	1,467.50	1,432.02	35.48 LT
14.0000	OMNICOM GROUP COM	03/11/11	05/10/12	708.45	692.16	16.29 LT
19.0000	OMNICOM GROUP COM	03/16/11	05/10/12	961.47	895.02	66.45 LT
2.0000	OMNICOM GROUP COM	03/16/11	05/18/12	97.89	94.21	3.68 LT
19.0000	OMNICOM GROUP COM	03/17/11	05/18/12	930.04	906.19	23.85 LT
3.0000	OMNICOM GROUP COM	04/28/11	05/18/12	146.84	147.45	(0.61) LT
19.0000	OMNICOM GROUP COM	05/16/11	05/18/12	930.04	906.87	23.17 LT
25.0000	OMNICOM GROUP COM	05/26/11	05/18/12	1,223.74	1,171.72	52.02 ST
13.0000	OMNICOM GROUP COM	06/03/11	05/18/12	636.35	598.39	37.96 ST
18.0000	OMNICOM GROUP COM	06/10/11	05/18/12	881.09	812.52	68.57 ST
7.0000	OMNICOM GROUP COM	06/20/11	05/18/12	342.65	320.32	22.33 ST
10.0000	OMNICOM GROUP COM	06/24/11	05/18/12	489.50	459.10	30.40 ST
12.0000	OMNICOM GROUP COM	07/13/11	05/18/12	587.41	574.56	12.85 ST
17.0000	ORACLE CORP \$0.01 DEL	02/11/11	05/03/12	506.16	569.93	(63.77) LT
77.0000	PFIZER INC	02/11/11	05/03/12	1,740.16	1,448.95	291.21 LT
7.0000	PROCTER & GAMBLE CO	02/11/11	05/03/12	449.76	453.95	(4.19) LT
7.0000	QUALCOMM INC	02/11/11	05/03/12	451.05	403.08	47.97 LT
8.0000	QUALITY SYSTEMS INC	02/11/11	05/15/12	237.96	320.40	N/C
2.0000	QUALITY SYSTEMS INC	02/25/11	05/15/12	59.49	79.68	N/C
8.0000	QUALITY SYSTEMS INC	02/25/11	05/15/12	237.95	318.72	(80.77) LT
6.0000	QUALITY SYSTEMS INC	03/08/11	05/15/12	178.47	244.32	(65.85) LT
4.0000	QUALITY SYSTEMS INC	03/11/11	05/15/12	118.98	163.98	(45.00) LT
2.0000	QUALITY SYSTEMS INC	03/16/11	05/15/12	59.50	79.47	(19.97) LT

# EMA Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
38.0000	RAYTHEON CO DELAWARE NEW	04/15/11	05/03/12	2,047.77	1,852.68	185.09 LT
7.0000	ROYAL DUTCH SHELL PLC	02/11/11	05/15/12	448.27	477.54	N/C
20.0000	SEI INVT CO PA PV \$0.01	02/11/11	05/03/12	405.71	466.10	(60.39) LT
23.0000	SAPIENT CORP CXL	02/11/11	04/03/12	283.62	299.00	15.38 LT
23.0000	SAPIENT CORP	02/11/11	04/03/12	283.62	299.00	N/C
3.0000	SCHLUMBERGER LTD	02/11/11	05/03/12	220.59	269.93	N/C
14.0000	SEATTLE GENETICS INC COM	02/11/11	05/08/12	267.30	216.02	51.28 LT
11.0000	SEATTLE GENETICS INC COM	02/22/11	05/08/12	210.03	163.31	46.72 LT
11.0000	SEATTLE GENETICS INC COM	02/25/11	05/08/12	210.03	166.32	43.71 LT
11.0000	SEATTLE GENETICS INC COM	03/08/11	05/08/12	210.03	163.02	47.01 LT
6.0000	SEATTLE GENETICS INC COM	03/11/11	05/08/12	114.56	86.16	28.40 LT
4.0000	SEATTLE GENETICS INC COM	03/16/11	05/08/12	76.38	57.44	18.94 LT
1.0000	SABMILLER PLC SPON ADR	04/16/12	05/03/12	41.82	40.78	1.04 ST
18.0000	TRAVELERS COS INC	02/11/11	05/03/12	1,164.88	1,059.41	105.47 LT
8.0000	UNITED PARCEL SVC CL B	02/11/11	05/03/12	626.89	602.52	24.37 LT
17.0000	UNIVERSAL ELECTRONICS INC CXL	02/11/11	04/09/12	311.05	449.31	138.26 LT
8.0000	UNIVERSAL ELECTRONICS INC	02/11/11	04/09/12	146.38	211.44	N/C
9.0000	UNIVERSAL ELECTRONICS INC	02/11/11	04/09/12	164.67	237.87	(73.20) LT
27.0000	VERIZON COMMUNICATNS COM	02/11/11	05/03/12	1,093.82	979.90	113.92 LT
7.0000	VISA INC CL A SHRS	02/25/11	05/03/12	825.93	523.90	302.03 LT
12.0000	VISA INC CL A SHRS	03/08/11	05/03/12	1,415.90	882.47	533.43 LT
20.0000	VISA INC CL A SHRS	03/08/11	05/18/12	2,276.66	1,470.79	805.87 LT
11.0000	VISA INC CL A SHRS	03/08/11	05/18/12	1,241.43	808.93	432.50 LT
5.0000	VISA INC CL A SHRS	03/11/11	05/18/12	564.30	362.60	201.70 LT
16.0000	VISA INC CL A SHRS	03/11/11	05/21/12	1,840.56	1,160.32	680.24 LT
8.0000	VISA INC CL A SHRS	03/16/11	05/21/12	920.29	569.29	351.00 LT
6.0000	ZIMMER HOLDINGS INC COM	02/11/11	05/03/12	383.28	363.27	20.01 LT
76.0000	WILLIAMS COMPANIES DEL	02/11/11	05/03/12	2,570.47	1,670.60	899.87 LT
26.0000	WPX ENERGY INC	02/11/11	04/27/12	447.25	388.67	58.58 LT
14.0000	WPX ENERGY INC	02/22/11	04/27/12	240.83	231.40	9.43 LT
18.0000	WPX ENERGY INC	02/25/11	04/27/12	309.64	301.29	8.35 LT
17.0000	WPX ENERGY INC	03/08/11	04/27/12	292.43	284.06	8.37 LT
9.0000	WPX ENERGY INC	03/11/11	04/27/12	154.82	149.78	5.04 LT
13.0000	WPX ENERGY INC	03/16/11	04/27/12	223.63	211.57	12.06 LT
13.0000	WPX ENERGY INC	03/17/11	04/27/12	223.63	213.76	9.87 LT
12.0000	WPX ENERGY INC	04/28/11	04/27/12	206.42	218.74	(12.32) ST
28.0000	WPX ENERGY INC	05/16/11	04/27/12	481.67	466.20	15.47 ST
12.0000	WPX ENERGY INC	05/26/11	04/27/12	206.43	204.37	2.06 ST
13.0000	WPX ENERGY INC	06/03/11	04/27/12	223.63	219.96	3.67 ST
12.0000	WPX ENERGY INC	06/10/11	04/27/12	206.43	195.12	11.31 ST

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
15.0000	WPX ENERGY INC	06/20/11	04/27/12	258.04	236.42	21.62 ST
22.0000	WPX ENERGY INC	07/13/11	04/27/12	378.46	353.22	25.24 ST
11.0000	BJS RESTAURANTS INC	03/08/11	06/01/12	459.00	408.87	50.13 LT
7.0000	BJS RESTAURANTS INC	03/11/11	06/01/12	292.09	270.13	21.96 LT
1.0000	BJS RESTAURANTS INC	03/16/11	06/01/12	41.73	37.95	3.78 LT
9.0000	BJS RESTAURANTS INC	03/16/11	06/04/12	372.99	341.55	31.44 LT
6.0000	BJS RESTAURANTS INC	03/17/11	06/04/12	248.66	218.22	30.44 LT
1.0000	CENTENE CORP	02/22/11	06/11/12	25.86	29.56	(3.70) LT
12.0000	CENTENE CORP	02/25/11	06/11/12	310.36	358.56	(48.20) LT
12.0000	CENTENE CORP	03/08/11	06/11/12	310.36	376.56	(66.20) LT
7.0000	CENTENE CORP	03/11/11	06/11/12	181.04	215.32	(34.28) LT
8.0000	CENTENE CORP	03/16/11	06/11/12	206.90	235.54	(28.64) LT
7.0000	CENTENE CORP	03/17/11	06/11/12	181.04	205.56	(24.52) LT
9.0000	CENTENE CORP	04/28/11	06/11/12	232.77	323.28	(90.51) LT
12.0000	CENTENE CORP	05/16/11	06/11/12	310.36	421.32	(110.96) LT
10.0000	CENTENE CORP	05/26/11	06/11/12	258.63	346.70	(88.07) LT
8.0000	CENTENE CORP	06/03/11	06/11/12	206.91	276.76	(69.85) LT
9.0000	CENTENE CORP	06/10/11	06/11/12	232.77	289.89	(57.12) LT
10.0000	CENTENE CORP	07/13/11	06/11/12	258.64	364.70	(106.06) ST
35.0000	CENTENE CORP	05/03/12	06/11/12	258.64	395.00	(136.36) ST
11.0000	CHINA CONSTRUCT UNSPN AD	12/06/11	06/13/12	461.11	506.91	(45.80) ST
2.0000	DIAGEO PLC SPSD ADR NEW	04/28/11	05/30/12	1,040.17	891.00	149.17 LT
9.0000	DIAGEO PLC SPSD ADR NEW	05/16/11	05/30/12	189.13	168.17	20.96 LT
9.0000	FACTSET RESH SYS INC	02/25/11	05/30/12	954.46	938.97	15.49 LT
32.0000	GNC HOLDINGS INC SHS	04/07/11	06/19/12	1,151.97	569.66	582.31 LT
27.0000	INDUSTRL AND COMMRCB BK	02/11/11	05/30/12	426.81	461.91	(35.10) LT
14.0000	PHILLIPS 66 SHS	02/22/11	05/30/12	274.38	459.20	(184.82) LT
9.0000	PHILLIPS 66 SHS	02/25/11	05/30/12	304.87	315.07	(10.20) LT
10.0000	PHILLIPS 66 SHS	03/08/11	05/30/12	304.87	355.55	(50.68) LT
6.0000	PHILLIPS 66 SHS	03/16/11	05/30/12	182.92	355.85	(172.93) LT
8.0000	PHILLIPS 66 SHS	03/17/11	05/30/12	243.89	210.36	32.53 LT
7.0000	PHILLIPS 66 SHS	04/28/11	05/30/12	213.41	246.50	(33.09) LT
13.0000	PHILLIPS 66 SHS	05/16/11	05/30/12	396.33	461.39	(65.06) LT
17.0000	PHILLIPS 66 SHS	05/16/11	05/30/12	518.28	558.30	(40.02) LT
9.0000	PHILLIPS 66 SHS	05/26/11	05/30/12	274.38	298.95	(24.57) LT
7.0000	PHILLIPS 66 SHS	06/03/11	05/30/12	213.41	232.31	(18.90) ST
4.0000	PHILLIPS 66 SHS	06/10/11	05/30/12	121.95	131.17	(9.22) ST
3.0000	PHILLIPS 66 SHS	06/20/11	05/30/12	91.46	99.12	(7.66) ST
4.0000	PHILLIPS 66 SHS	06/24/11	05/30/12	121.95	132.17	(10.22) ST

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
7.0000	PHILLIPS 66 SHS	07/13/11	05/30/12	213.43	239.56	(26.13) ST
11.0000	REDWOOD TRUST INC	02/11/11	06/11/12	134.83	181.72	(46.89) LT
18.0000	REDWOOD TRUST INC	02/25/11	06/11/12	220.63	295.14	(74.51) LT
8.0000	REDWOOD TRUST INC	03/08/11	06/11/12	98.06	131.28	(33.22) LT
5.0000	REDWOOD TRUST INC	03/11/11	06/11/12	61.28	80.25	(18.97) LT
7.0000	REDWOOD TRUST INC	03/16/11	06/11/12	85.80	109.90	(24.10) LT
5.0000	REDWOOD TRUST INC	03/17/11	06/11/12	61.29	78.85	(17.56) LT
7.0000	REDWOOD TRUST INC	04/28/11	06/11/12	85.80	109.83	(24.03) LT
8.0000	REDWOOD TRUST INC	05/16/11	06/11/12	98.06	122.24	(24.18) LT
14.0000	REDWOOD TRUST INC	06/03/11	06/11/12	171.62	211.26	(39.64) LT
9.0000	REDWOOD TRUST INC	05/03/12	06/11/12	110.34	104.40	5.94 ST
9.0000	REDWOOD TRUST INC	05/03/12	06/12/12	108.54	104.40	4.14 ST
12.0000	VISA INC CL A SHRS	03/16/11	05/30/12	1,413.76	853.93	559.83 LT
7.0000	A N S Y S INC COM	02/11/11	07/11/12	391.85	402.46	(10.61) LT
1.0000	A N S Y S INC COM	03/17/11	07/11/12	55.97	51.16	4.81 LT
6.0000	A N S Y S INC COM	04/28/11	07/11/12	335.88	328.44	7.44 LT
110.0000	ARCH COAL INC	03/20/12	07/25/12	592.43	1,329.19	(736.76) ST
13.0000	ALLSCRIPTS HEALTHCARE	02/11/11	07/25/12	59.25	92.91	(33.66) ST
10.0000	ALLSCRIPTS HEALTHCARE	02/22/11	07/19/12	127.33	287.65	(160.32) LT
11.0000	ALLSCRIPTS HEALTHCARE	02/25/11	07/19/12	97.95	204.45	(106.50) LT
9.0000	ALLSCRIPTS HEALTHCARE	03/08/11	07/19/12	107.74	233.17	(125.43) LT
6.0000	ALLSCRIPTS HEALTHCARE	03/11/11	07/19/12	88.15	191.07	(102.92) LT
8.0000	ALLSCRIPTS HEALTHCARE	03/16/11	07/19/12	58.77	124.08	(65.31) LT
7.0000	ALLSCRIPTS HEALTHCARE	03/17/11	07/19/12	78.36	163.12	(84.76) LT
10.0000	ALLSCRIPTS HEALTHCARE	04/28/11	07/19/12	68.56	144.67	(76.11) LT
10.0000	ALLSCRIPTS HEALTHCARE	05/16/11	07/19/12	97.95	166.16	(68.21) LT
10.0000	ALLSCRIPTS HEALTHCARE	05/26/11	07/19/12	97.95	197.50	(99.55) LT
6.0000	ALLSCRIPTS HEALTHCARE	06/03/11	07/19/12	97.95	202.30	(104.35) LT
11.0000	ALLSCRIPTS HEALTHCARE	06/20/11	07/19/12	58.77	119.64	(60.87) LT
10.0000	ALLSCRIPTS HEALTHCARE	05/03/12	07/19/12	107.75	204.01	(96.26) LT
12.0000	CONCUR TECHNOLOGIES INC	08/12/11	07/10/12	97.97	106.09	(8.12) ST
6.0000	CATALYST HEALTH SOLUTION	02/11/11	07/03/12	764.38	451.79	312.59 ST
4.0000	CATALYST HEALTH SOLUTION	02/22/11	07/03/12	168.00	N/A	168.00 LT
5.0000	CATALYST HEALTH SOLUTION	02/25/11	07/03/12	140.00	N/A	140.00 LT
4.0000	CATALYST HEALTH SOLUTION	03/08/11	07/03/12	112.00	N/A	112.00 LT
3.0000	CATALYST HEALTH SOLUTION	03/11/11	07/03/12	84.00	N/A	84.00 LT
3.0000	CATALYST HEALTH SOLUTION	03/16/11	07/03/12	84.00	N/A	84.00 LT
3.0000	CATALYST HEALTH SOLUTION	03/17/11	07/03/12	84.00	N/A	84.00 LT
4.0000	CATALYST HEALTH SOLUTION	04/28/11	07/03/12	112.00	N/A	112.00 LT

# EMA Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
4.0000	CATALYST HEALTH SOLUTION	05/16/11	07/03/12	112.00	N/A	112.00 LT
5.0000	CATALYST HEALTH SOLUTION	05/26/11	07/03/12	140.00	N/A	140.00 LT
2.0000	CATALYST HEALTH SOLUTION	06/03/11	07/03/12	56.00	N/A	56.00 LT
4.0000	CATALYST HEALTH SOLUTION	06/10/11	07/03/12	112.00	N/A	112.00 LT
6.0000	CATALYST HEALTH SOLUTION	05/03/12	07/03/12	168.00	125.75	42.25 ST
6.0000	FTI CONSULTING INC COM	03/08/11	07/10/12	161.65	214.08	(52.43) LT
5.0000	FTI CONSULTING INC COM	03/11/11	07/10/12	134.71	180.20	(45.49) LT
8.0000	FTI CONSULTING INC COM	03/16/11	07/10/12	215.54	284.00	(68.46) LT
6.0000	FTI CONSULTING INC COM	03/17/11	07/10/12	161.65	214.38	(52.73) LT
8.0000	FTI CONSULTING INC COM	04/28/11	07/10/12	215.54	315.04	(99.50) LT
10.0000	FTI CONSULTING INC COM	05/16/11	07/10/12	269.43	377.90	(108.47) LT
9.0000	FTI CONSULTING INC COM	05/26/11	07/10/12	242.49	336.42	(93.93) LT
6.0000	FTI CONSULTING INC COM	06/03/11	07/10/12	161.66	222.18	(60.52) LT
8.0000	FTI CONSULTING INC COM	06/10/11	07/10/12	215.55	293.36	(77.81) LT
7.0000	FTI CONSULTING INC COM	07/13/11	07/10/12	188.61	265.30	(76.69) ST
7.0000	FTI CONSULTING INC COM	05/03/12	07/10/12	188.61	255.78	(67.17) ST
2.0000	INFORMATICA CORP CA	04/28/11	07/06/12	60.05	109.52	(49.47) LT
12.0000	INFORMATICA CORP CA	05/16/11	07/06/12	360.34	645.60	(285.26) LT
10.0000	INFORMATICA CORP CA	05/26/11	07/06/12	300.29	562.60	(262.31) LT
8.0000	INFORMATICA CORP CA	06/03/11	07/06/12	240.23	455.44	(215.21) LT
10.0000	INFORMATICA CORP CA	06/10/11	07/06/12	300.29	543.90	(243.61) LT
4.0000	INFORMATICA CORP CA	06/24/11	07/06/12	120.12	229.08	(108.96) LT
7.0000	INFORMATICA CORP CA	11/22/11	07/06/12	210.20	314.48	(104.28) ST
5.0000	INFORMATICA CORP CA	05/03/12	07/06/12	150.16	241.35	(91.19) ST
11.0000	LUFKIN INDS INC	02/22/11	07/20/12	638.37	816.31	(177.94) LT
1.0000	LUFKIN INDS INC	02/25/11	07/20/12	58.04	77.40	(19.36) LT
11.0000	LUFKIN INDS INC	02/25/11	07/23/12	618.69	851.40	(232.71) LT
13.0000	LUFKIN INDS INC	03/08/11	07/23/12	731.19	1,106.56	(375.37) LT
3.0000	POLYPORE INTL INC	11/25/11	07/06/12	114.68	152.72	(38.04) ST
3.0000	POLYPORE INTL INC	11/25/11	07/06/12	114.68	134.28	(19.60) ST
31.0000	POLYPORE INTL INC	02/01/12	07/06/12	1,185.09	1,289.61	(104.52) ST
4.0000	POLYPORE INTL INC	05/03/12	07/06/12	152.92	155.12	(2.20) ST
8.0000	QUALITY SYSTEMS INC	02/11/11	07/19/12	192.58	385.88	(193.30) LT
2.0000	QUALITY SYSTEMS INC	02/25/11	07/19/12	48.14	96.05	(47.91) LT
2.0000	QUALITY SYSTEMS INC	03/16/11	07/19/12	48.14	79.47	(31.33) LT
4.0000	QUALITY SYSTEMS INC	03/17/11	07/19/12	96.29	159.12	(62.83) LT
4.0000	QUALITY SYSTEMS INC	04/28/11	07/19/12	96.29	173.52	(77.23) LT
6.0000	QUALITY SYSTEMS INC	05/16/11	07/19/12	144.44	266.19	(121.75) LT
6.0000	QUALITY SYSTEMS INC	05/26/11	07/19/12	144.44	260.01	(115.57) LT
2.0000	QUALITY SYSTEMS INC	06/03/11	07/19/12	48.14	82.24	(34.10) LT

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
6,000	QUALITY SYSTEMS INC	06/10/11	07/19/12	144.44	237.39	(92.95) LT
33,000	QUALITY SYSTEMS INC	01/27/12	07/19/12	794.45	1,287.82	(493.37) ST
8,000	TIBCO SOFTWARE INC	03/08/11	07/09/12	224.75	198.72	26.03 LT
13,000	TIBCO SOFTWARE INC	03/11/11	07/09/12	365.21	313.04	52.17 LT
16,000	TIBCO SOFTWARE INC	03/16/11	07/09/12	449.50	383.04	66.46 LT
16,000	TIBCO SOFTWARE INC	03/17/11	07/09/12	449.51	381.28	68.23 LT
46,000	ACACIA RESH CORP	05/19/11	08/06/12	1,120.07	1,790.45	(670.38) LT
4,000	ACACIA RESH CORP	05/20/11	08/06/12	97.39	154.89	(57.50) LT
6,000	ACACIA RESH CORP	05/26/11	08/06/12	146.10	233.28	(87.18) LT
4,000	ACACIA RESH CORP	06/03/11	08/06/12	97.40	144.04	(46.64) LT
9,000	ACACIA RESH CORP	06/20/11	08/06/12	219.14	283.50	(64.36) LT
4,000	ACACIA RESH CORP	05/03/12	08/06/12	97.41	167.60	(70.19) ST
12,000	AMAZON COM INC COM	02/22/11	07/27/12	2,817.75	2,173.72	644.03 LT
3,000	AMAZON COM INC COM	02/25/11	07/27/12	704.44	532.81	171.63 LT
6,000	BRUKER CORP	02/22/11	08/14/12	71.13	111.29	(40.16) LT
13,000	BRUKER CORP	02/25/11	08/14/12	154.11	244.27	(90.16) LT
6,000	BRUKER CORP	03/08/11	08/14/12	71.14	119.46	(48.32) LT
8,000	BRUKER CORP	03/08/11	08/15/12	95.15	159.28	(64.13) LT
8,000	BRUKER CORP	03/11/11	08/15/12	95.15	153.84	(58.69) LT
11,000	BRUKER CORP	03/16/11	08/15/12	130.84	201.96	(71.12) LT
8,000	BRUKER CORP	03/17/11	08/15/12	95.15	146.32	(51.17) LT
14,000	BRUKER CORP	04/28/11	08/15/12	166.53	284.76	(118.23) LT
10,000	BRUKER CORP	05/16/11	08/15/12	118.95	195.10	(76.15) LT
12,000	BRUKER CORP	05/26/11	08/15/12	142.74	228.24	(85.50) LT
3,000	BRUKER CORP	06/03/11	08/15/12	35.69	54.99	(19.30) LT
1,000	GNC HOLDINGS INC SHS	04/07/11	08/15/12	36.87	17.80	19.07 LT
5,000	GNC HOLDINGS INC SHS	04/28/11	08/15/12	184.39	100.00	84.39 LT
20,000	GNC HOLDINGS INC SHS	05/16/11	08/15/12	737.57	392.60	344.97 LT
12,000	GNC HOLDINGS INC SHS	05/26/11	08/15/12	442.54	232.20	210.34 LT
8,000	GNC HOLDINGS INC SHS	06/03/11	08/15/12	295.03	156.00	139.03 LT
11,000	GNC HOLDINGS INC SHS	06/10/11	08/15/12	405.66	213.40	192.26 LT
17,000	GNC HOLDINGS INC SHS	05/03/12	08/15/12	626.95	667.08	(40.13) ST
145,000	HALOZYME THERAPEUTICS	04/16/12	08/02/12	617.08	1,242.26	(625.18) ST
14,000	HALOZYME THERAPEUTICS	05/03/12	08/02/12	59.58	115.18	(55.60) ST
66,000	HALOZYME THERAPEUTICS	07/03/12	08/02/12	280.88	639.03	(358.15) ST
1,000	TENNECO INC DEL	02/22/11	08/06/12	28.24	41.89	(13.65) LT
8,000	TENNECO INC DEL	02/25/11	08/06/12	225.97	320.40	(94.43) LT
7,000	TENNECO INC DEL	03/08/11	08/06/12	197.72	282.73	(85.01) LT
4,000	TENNECO INC DEL	03/11/11	08/06/12	112.98	163.28	(50.30) LT
6,000	TENNECO INC DEL	03/16/11	08/06/12	169.47	237.00	(67.53) LT

# EMA<sup>TM</sup> Fiscal Statement

ROCKCARES, THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
6 0000	TENNECO INC DEL	03/17/11	08/06/12	169.48	235.38	(65.90) LT
6 0000	TENNECO INC DEL	04/28/11	08/06/12	169.48	271.44	(101.96) LT
8 0000	TENNECO INC DEL	05/16/11	08/06/12	225.97	333.04	(107.07) LT
7 0000	TENNECO INC DEL	05/26/11	08/06/12	197.72	283.08	(85.36) LT
5 0000	TENNECO INC DEL	06/03/11	08/06/12	141.23	198.00	(56.77) LT
6 0000	TENNECO INC DEL	06/10/11	08/06/12	169.49	229.80	(60.31) LT
6 0000	TENNECO INC DEL	05/03/12	08/06/12	169.49	191.16	(21.67) ST
10 0000	GLAXOSMITHKLINE PLC ADR	02/11/11	09/06/12	457.84	378.47	79.37 LT
7 0000	GLAXOSMITHKLINE PLC ADR	02/22/11	09/06/12	320.49	266.49	54.00 LT
3 0000	GLAXOSMITHKLINE PLC ADR	02/25/11	09/06/12	137.36	114.68	22.68 LT
23 0000	MERITOR INCCOM	02/11/11	09/21/12	106.17	456.55	(350.38) LT
18 0000	MERITOR INCCOM	02/22/11	09/21/12	83.08	328.13	(245.05) LT
16 0000	MERITOR INCCOM	02/25/11	09/21/12	73.85	289.83	(215.98) LT
21 0000	MERITOR INCCOM	03/08/11	09/21/12	96.93	380.10	(283.17) LT
10 0000	MERITOR INCCOM	03/11/11	09/21/12	46.16	178.40	(132.24) LT
13 0000	MERITOR INCCOM	03/16/11	09/21/12	60.01	224.64	(164.63) LT
11 0000	MERITOR INCCOM	03/17/11	09/21/12	50.77	188.32	(137.55) LT
41 0000	MERITOR INCCOM	04/01/11	09/21/12	189.26	690.01	(500.75) LT
18 0000	MERITOR INCCOM	04/28/11	09/21/12	83.09	309.06	(225.97) LT
30 0000	MERITOR INCCOM	05/16/11	09/21/12	138.49	505.50	(367.01) LT
23 0000	MERITOR INCCOM	05/26/11	09/21/12	106.17	368.46	(262.29) LT
15 0000	MERITOR INCCOM	06/03/11	09/21/12	69.24	229.35	(160.11) LT
20 0000	MERITOR INCCOM	06/10/11	09/21/12	92.33	290.60	(198.27) LT
23 0000	MERITOR INCCOM	07/13/11	09/21/12	106.19	368.92	(262.73) LT
1 0000	MERITOR INCCOM	07/13/11	09/24/12	4.57	16.04	(11.47) LT
10 0000	MERITOR INCCOM	05/03/12	09/24/12	45.80	67.66	(21.86) ST
6 0000	SIEMENS AG ADR	02/11/11	09/06/12	578.52	772.25	(193.73) LT
2 0000	SIEMENS AG ADR	02/22/11	09/06/12	192.84	259.42	(66.58) LT
12 0000	SOTHEBY'S (DELAWARE)	02/11/11	09/11/12	414.52	535.05	(120.53) LT
9 0000	SOTHEBY'S (DELAWARE)	02/22/11	09/11/12	310.89	425.33	(114.44) LT
5 0000	SOTHEBY'S (DELAWARE)	02/25/11	09/11/12	172.72	239.90	(67.18) LT
5 0000	TOTAL S.A. SP ADR	02/11/11	09/06/12	254.87	277.54	(22.67) LT
5 0000	TOTAL S.A. SP ADR	02/11/11	09/06/12	254.87	277.68	(22.81) LT
3 0000	TOTAL S.A. SP ADR	02/11/11	09/06/12	152.92	165.50	(12.58) LT
2 0000	TOTAL S.A. SP ADR	02/22/11	09/06/12	101.95	109.97	(8.02) LT
1 0000	TOTAL S.A. SP ADR	02/25/11	09/06/12	50.98	60.25	(9.27) LT
36 0000	ALLSTATE CORP DEL COM	02/11/11	10/12/12	1,460.28	1,131.33	328.95 LT
48 0000	ALLSTATE CORP DEL COM	02/22/11	10/12/12	1,947.04	1,528.12	418.92 LT
27 0000	ALLSTATE CORP DEL COM	02/25/11	10/12/12	1,095.22	848.17	247.05 LT
3 0000	AMAZON COM INC COM	02/25/11	10/12/12	729.56	532.81	196.75 LT

# EMA Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
42,000	AT&T INC	02/11/11	10/12/12	1,509.87	1,199.02	310.85 LT
8,000	AUTOMATIC DATA PROC	02/11/11	10/12/12	467.79	396.86	70.93 LT
6,000	BRUKER CORP	06/03/11	10/15/12	72.34	109.98	(37.64) LT
11,000	BRUKER CORP	06/10/11	10/15/12	132.63	202.29	(69.66) LT
16,000	BRUKER CORP	08/15/11	10/15/12	192.94	232.30	(39.36) LT
60,000	BRUKER CORP	08/15/11	10/16/12	719.68	871.11	(151.43) LT
2,000	BRUKER CORP	08/16/11	10/16/12	23.99	28.98	(4.99) LT
19,000	BRUKER CORP	05/03/12	10/16/12	227.91	301.43	(73.52) ST
10,000	BIOMARIN PHARMACEUTICALS	03/08/11	10/23/12	387.80	244.60	143.20 LT
6,000	BIOMARIN PHARMACEUTICALS	03/11/11	10/23/12	232.68	147.84	84.84 LT
7,000	BIOMARIN PHARMACEUTICALS	03/16/11	10/23/12	271.46	167.79	103.67 LT
7,000	BIOMARIN PHARMACEUTICALS	03/17/11	10/23/12	271.46	167.02	104.44 LT
8,000	BIOMARIN PHARMACEUTICALS	04/28/11	10/23/12	310.24	213.76	96.48 LT
4,000	BIOMARIN PHARMACEUTICALS	05/16/11	10/23/12	155.13	104.96	50.17 LT
27,000	BAXTER INTERNTL INC	02/11/11	10/12/12	1,636.70	1,386.07	250.63 LT
22,000	COMCAST CORP NEW CL A	02/22/11	10/12/12	784.06	553.25	230.81 LT
65,000	COMCAST CORP NEW CL A	02/25/11	10/12/12	2,316.55	1,641.04	675.51 LT
1,000	COMCAST CORP NEW CL A	03/08/11	10/12/12	35.64	25.65	9.99 LT
13,000	CVS CAREMARK CORP	02/22/11	10/12/12	611.77	425.83	185.94 LT
6,000	CHEVRON CORP	02/11/11	10/12/12	672.64	577.55	95.09 LT
7,000	CONOCOPHILLIPS	02/11/11	10/12/12	394.05	386.30	7.75 LT
28,000	CISCO SYSTEMS INC COM	02/22/11	10/12/12	510.99	520.80	(9.81) LT
150,000	COMPUWARE CORP	02/10/12	10/24/12	1,224.81	1,307.76	(82.95) ST
14,000	COMPUWARE CORP	05/03/12	10/24/12	114.32	122.58	(8.26) ST
70,000	DANONE-SPONS ADR	02/11/11	10/12/12	864.48	827.88	36.60 LT
16,000	EDISON INTL CALIF	02/11/11	10/12/12	745.90	593.22	152.68 LT
9,000	EDISON INTL CALIF	02/22/11	10/12/12	419.57	328.37	91.20 LT
11,000	EXPEDITORS INTL WASH INC	02/11/11	10/12/12	381.03	589.77	(208.74) LT
2,000	GOOGLE INC CL A	02/11/11	10/12/12	1,500.93	1,248.60	252.33 LT
63,000	HALLIBURTON COMPANY	06/19/12	10/12/12	2,106.67	1,858.98	247.69 ST
43,000	HUNTSMAN CORP	02/11/11	10/23/12	633.83	773.83	(140.00) LT
35,000	HUNTSMAN CORP	02/22/11	10/23/12	515.91	608.11	(92.20) LT
30,000	HUNTSMAN CORP	02/25/11	10/23/12	442.22	529.50	(87.28) LT
9,000	HOME DEPOT INC	02/11/11	10/12/12	535.06	336.39	198.67 LT
9,000	JOHNSON AND JOHNSON COM	02/11/11	10/12/12	613.07	546.17	66.90 LT
8,000	KRAFT FOODS GROUP INC	02/11/11	10/12/12	373.91	257.32	116.59 LT
13,000	KRAFT FOODS GROUP INC	02/22/11	10/12/12	607.62	430.06	177.56 LT
1,000	KRAFT FOODS GROUP INC	10/08/12	10/12/12	46.73	N/A	N/C
18,000	KIMBERLY CLARK	02/22/11	10/12/12	1,540.77	1,171.88	368.89 LT
13,000	LOWE'S COMPANIES INC	02/25/11	10/12/12	405.91	328.71	77.20 LT

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES- THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
13.0000	MARATHON OIL CORP	02/11/11	10/12/12	382.62	359.08	23.54 LT
8.0000	MEDIDATA SOLUTIONS INC	02/11/11	10/03/12	317.25	215.52	101.73 LT
4.0000	MEDIDATA SOLUTIONS INC	02/11/11	10/04/12	156.45	107.76	48.69 LT
9.0000	MEDIDATA SOLUTIONS INC	02/22/11	10/04/12	352.01	231.84	120.17 LT
9.0000	MEDIDATA SOLUTIONS INC	02/25/11	10/04/12	352.01	233.01	119.00 LT
2.0000	MEDIDATA SOLUTIONS INC	03/08/11	10/04/12	78.23	53.90	24.33 LT
2.0000	MEDIDATA SOLUTIONS INC	03/08/11	10/08/12	78.27	53.90	24.37 LT
5.0000	MEDIDATA SOLUTIONS INC	03/08/11	10/05/12	198.28	134.75	63.53 LT
4.0000	MEDIDATA SOLUTIONS INC	03/11/11	10/05/12	158.64	102.16	56.48 LT
25.0000	MERCK AND CO INC SHS	02/11/11	10/12/12	1,142.97	826.39	316.58 LT
42.0000	MERCK AND CO INC SHS	02/22/11	10/12/12	1,920.20	1,358.89	561.31 LT
16.0000	MONDELEZ INTERNATIONAL	02/11/11	10/12/12	435.27	317.35	117.92 LT
7.0000	NOVARTIS ADR	02/11/11	10/12/12	431.68	391.58	40.10 LT
22.0000	NORTHROP GRUMMAN CORP	02/11/11	10/12/12	1,512.69	1,402.79	109.90 LT
29.0000	ORACLE CORP \$0.01 DEL	02/11/11	10/12/12	901.62	972.24	(70.62) LT
6.0000	PEETS COFFEE AND TEA INC	06/29/12	10/08/12	440.72	359.77	80.95 ST
16.0000	PEETS COFFEE AND TEA INC	06/29/12	10/05/12	1,175.23	959.37	215.86 ST
34.0000	PFIZER INC	02/11/11	10/12/12	853.53	639.79	213.74 LT
40.0000	PFIZER INC	02/22/11	10/12/12	1,004.16	751.76	252.40 LT
24.0000	QUEST DIAGNOSTICS INC	02/11/11	10/12/12	1,527.09	1,371.81	155.28 LT
7.0000	RAYTHEON CO DELAWARE NEW	04/15/11	10/12/12	383.73	343.13	40.60 LT
15.0000	SAPIENT CORP	03/08/11	10/09/12	163.49	175.35	(11.86) LT
11.0000	SAPIENT CORP	03/11/11	10/09/12	119.89	120.89	(1.00) LT
23.0000	SAPIENT CORP	03/13/11	10/09/12	250.69	287.37	(36.68) LT
12.0000	SAPIENT CORP	03/16/11	10/09/12	130.80	130.92	(0.12) LT
8.0000	SAPIENT CORP	03/17/11	10/09/12	87.21	85.04	2.17 LT
4.0000	SAPIENT CORP	03/17/11	10/10/12	42.41	42.52	(0.11) LT
15.0000	SAPIENT CORP	04/28/11	10/10/12	159.04	185.85	(26.81) LT
17.0000	SAPIENT CORP	05/16/11	10/10/12	180.25	241.23	(60.98) LT
6.0000	SAPIENT CORP	05/26/11	10/10/12	63.63	88.02	(24.39) LT
1.0000	SOCIETE GENERAL SPN ADR	03/17/11	10/03/12	5.73	12.68	(6.95) LT
14.0000	SOCIETE GENERAL SPN ADR	04/28/11	10/03/12	80.35	186.20	(105.85) LT
35.0000	SOCIETE GENERAL SPN ADR	05/16/11	10/03/12	200.89	416.15	(215.26) LT
30.0000	SOCIETE GENERAL SPN ADR	05/26/11	10/03/12	172.19	342.60	(170.41) LT
5.0000	SOCIETE GENERAL SPN ADR	06/03/11	10/03/12	28.69	59.90	(31.21) LT
27.0000	SOCIETE GENERAL SPN ADR	06/20/11	10/03/12	154.98	297.54	(142.56) LT
26.0000	SOCIETE GENERAL SPN ADR	07/13/11	10/03/12	149.24	263.38	(114.14) LT
14.0000	SOCIETE GENERAL SPN ADR	05/03/12	10/03/12	80.37	63.42	16.95 ST
15.0000	TRAVELERS COS INC	02/11/11	10/12/12	1,032.13	882.83	149.30 LT
29.0000	UNIVERSAL DISPLAY CORP	02/27/12	10/05/12	1,000.47	1,309.56	(309.09) ST

# EMA<sup>TM</sup> Fiscal Statement

ROCKCARES, THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
3,000	UNIVERSAL DISPLAY CORP	05/03/12	10/05/12	103.50	123.20	(19.70) ST
6,000	UNITED PARCEL SVC CL B	02/11/11	10/12/12	432.35	451.89	(19.54) LT
31,000	VERIZON COMMUNICATNS COM	02/11/11	10/12/12	1,394.66	1,125.08	269.58 LT
11,000	VERIZON COMMUNICATNS COM	02/22/11	10/12/12	494.88	394.98	99.90 LT
5,000	VISA INC CL A SHRS	03/16/11	10/12/12	696.66	355.80	340.86 LT
7,000	VITAMIN SHOPPE INC	02/11/11	10/24/12	395.97	241.43	154.54 LT
8,000	VITAMIN SHOPPE INC	02/11/11	10/25/12	452.67	275.92	176.75 LT
6,000	VITAMIN SHOPPE INC	02/22/11	10/25/12	339.52	206.88	132.64 LT
2,000	WILLIAMS COMPANIES DEL	02/11/11	10/12/12	70.63	43.96	26.67 LT
18,000	WILLIAMS COMPANIES DEL	02/22/11	10/12/12	635.75	437.49	198.26 LT
26,000	WILLIAMS COMPANIES DEL	02/22/11	10/23/12	889.77	631.92	257.85 LT
52,000	WILLIAMS COMPANIES DEL	02/25/11	10/23/12	1,779.54	1,280.45	499.09 LT
51,000	WILLIAMS COMPANIES DEL	03/08/11	10/23/12	1,745.31	1,253.07	492.24 LT
29,000	WILLIAMS COMPANIES DEL	03/11/11	10/23/12	992.43	709.69	282.74 LT
37,000	WILLIAMS COMPANIES DEL	03/16/11	10/23/12	1,266.21	884.36	381.85 LT
39,000	WILLIAMS COMPANIES DEL	03/17/11	10/23/12	1,334.65	942.97	391.68 LT
38,000	WILLIAMS COMPANIES DEL	04/28/11	10/23/12	1,300.43	1,018.54	281.89 LT
82,000	WILLIAMS COMPANIES DEL	05/16/11	10/23/12	2,806.20	2,003.01	803.19 LT
36,000	WILLIAMS COMPANIES DEL	05/28/11	10/23/12	1,231.99	901.54	330.45 LT
39,000	WILLIAMS COMPANIES DEL	06/03/11	10/23/12	1,334.66	970.31	364.35 LT
37,000	WILLIAMS COMPANIES DEL	06/10/11	10/23/12	1,266.21	884.66	381.55 LT
44,000	WILLIAMS COMPANIES DEL	06/20/11	10/23/12	1,505.77	1,019.03	486.74 LT
67,000	WILLIAMS COMPANIES DEL	07/13/11	10/23/12	2,292.89	1,581.74	711.15 LT
1,000	A N S Y S INC COM	04/28/11	11/21/12	66.89	54.74	12.15 LT
9,000	A N S Y S INC COM	05/16/11	11/21/12	602.04	498.24	103.80 LT
9,000	AMER EXPRESS COMPANY	02/25/11	11/07/12	501.92	391.82	110.10 LT
27,000	BANK NEW YORK MELLON	02/11/11	11/07/12	653.93	869.02	(215.09) LT
14,000	BAXTER INTERNTL INC	02/11/11	11/07/12	908.99	718.70	190.29 LT
17,000	BAXTER INTERNTL INC	02/22/11	11/07/12	1,103.79	889.86	213.93 LT
25,000	COMCAST CORP NEW CL A	03/08/11	11/07/12	913.33	641.16	272.17 LT
29,000	CYMER INC	07/22/11	11/05/12	2,386.42	1,373.95	1,012.47 LT
3,000	CYMER INC	05/03/12	11/06/12	248.09	157.17	90.92 ST
3,000	CYMER INC	08/17/12	11/06/12	248.10	184.06	64.04 ST
4,000	CANON INC ADR REP5SH	02/11/11	11/02/12	126.74	192.07	(65.33) LT
7,000	CANON INC ADR REP5SH	02/11/11	11/05/12	221.17	336.12	(114.95) LT
9,000	CANON INC ADR REP5SH	02/22/11	11/05/12	284.37	431.46	(147.09) LT
8,000	CANON INC ADR REP5SH	02/25/11	11/05/12	252.78	382.74	(129.96) LT
3,000	CANON INC ADR REP5SH	03/08/11	11/05/12	94.80	140.52	(45.72) LT
10,000	CONOCOPHILLIPS	02/11/11	11/07/12	569.05	551.85	17.20 LT
46,000	CISCO SYSTEMS INC COM	02/22/11	11/07/12	791.65	855.59	(63.94) LT

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
12.0000	CISCO SYSTEMS INC COM	02/25/11	11/07/12	206.52	224.16	(17.64) LT
8.0000	DTS INC	03/06/11	11/09/12	121.23	393.01	(271.78) LT
8.0000	DTS INC	03/08/11	11/09/12	121.23	382.64	(261.41) LT
5.0000	DTS INC	03/11/11	11/09/12	75.77	235.05	(159.28) LT
7.0000	DTS INC	03/16/11	11/09/12	106.07	323.75	(217.68) LT
6.0000	DTS INC	03/17/11	11/09/12	90.92	272.58	(181.66) LT
9.0000	DTS INC	04/28/11	11/09/12	136.38	396.36	(259.98) LT
8.0000	DTS INC	05/16/11	11/09/12	121.23	349.36	(228.13) LT
9.0000	DTS INC	05/26/11	11/09/12	136.39	417.15	(280.76) LT
5.0000	DTS INC	06/03/11	11/09/12	75.77	211.75	(135.98) LT
8.0000	DTS INC	06/10/11	11/09/12	121.24	323.04	(201.80) LT
7.0000	DTS INC	07/13/11	11/09/12	106.08	280.49	(174.41) LT
5.0000	DTS INC	12/06/11	11/09/12	75.78	142.20	(66.42) ST
3.0000	DANONE-SPONS ADR	02/11/11	11/07/12	36.62	35.48	1.14 LT
40.0000	DANONE-SPONS ADR	02/22/11	11/07/12	488.40	493.20	(4.80) LT
4.0000	GLAXOSMITHKLINE PLC ADR	02/25/11	11/02/12	174.89	152.91	21.98 LT
8.0000	GLAXOSMITHKLINE PLC ADR	03/08/11	11/02/12	349.80	305.60	44.20 LT
1.0000	GLAXOSMITHKLINE PLC ADR	03/11/11	11/02/12	43.73	38.78	4.95 LT
6.0000	GEOSPACE TECHNOLOGIES	03/11/11	11/21/12	434.74	284.76	149.98 LT
3.0000	GEOSPACE TECHNOLOGIES	03/16/11	11/21/12	217.37	135.29	82.08 LT
4.0000	GEOSPACE TECHNOLOGIES	03/16/11	11/23/12	289.74	180.38	109.36 LT
5.0000	GEOSPACE TECHNOLOGIES	03/17/11	11/26/12	72.03	45.09	26.94 LT
13.0000	HOME DEPOT INC	02/11/11	11/02/12	360.20	230.98	129.22 LT
19.0000	HOME DEPOT INC	02/25/11	11/02/12	813.00	485.89	327.11 LT
23.0000	HOME DEPOT INC	02/25/11	11/02/12	1,198.23	720.48	467.75 LT
21.0000	HOME DEPOT INC	03/08/11	11/02/12	1,438.39	850.44	587.95 LT
12.0000	HOME DEPOT INC	03/11/11	11/02/12	1,313.31	780.27	533.04 LT
16.0000	HOME DEPOT INC	03/16/11	11/02/12	750.46	446.16	304.30 LT
15.0000	HOME DEPOT INC	03/17/11	11/02/12	1,000.62	572.74	427.88 LT
18.0000	HOME DEPOT INC	04/28/11	11/02/12	938.08	534.78	403.30 LT
20.0000	HOME DEPOT INC	05/16/11	11/02/12	1,125.70	673.20	452.50 LT
23.0000	HOME DEPOT INC	05/26/11	11/02/12	1,250.78	740.25	510.53 LT
11.0000	HOME DEPOT INC	06/03/11	11/02/12	1,438.40	835.95	602.45 LT
16.0000	HOME DEPOT INC	06/10/11	11/02/12	687.93	381.70	306.23 LT
7.0000	HOME DEPOT INC	06/20/11	11/02/12	1,000.63	535.36	465.27 LT
8.0000	HOME DEPOT INC	06/24/11	11/02/12	437.77	243.01	194.76 LT
10.0000	HOME DEPOT INC	07/13/11	11/02/12	500.31	281.64	218.67 LT
16.0000	JOHNSON AND JOHNSON COM	02/11/11	11/07/12	625.41	363.45	261.96 LT
1.0000	KRAFT FOODS GROUP INC	07/13/11	10/12/12	1,120.29	970.97	149.32 LT
				46.73	36.67	10.06 LT

# EMA<sup>SM</sup> Fiscal Statement

ROCKCARES: THE NORRIS-

## REALIZED CAPITAL GAIN AND LOSS SUMMARY

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
1.0000	KRAFT FOODS GROUP INC	10/08/12	10/12/12	46.73	N/A	N/C
24.0000	LOWE'S COMPANIES INC	02/25/11	11/07/12	786.81	606.86	179.95 LT
29.0000	MARATHON OIL CORP	02/11/11	11/07/12	875.93	801.03	74.90 LT
7.0000	MOTOROLA SOLUTIONS INC	02/11/11	11/07/12	372.04	276.26	95.78 LT
12.0000	MOTOROLA SOLUTIONS INC	02/22/11	11/07/12	637.79	458.52	179.27 LT
12.0000	MARSH & MCLENNAN COS INC	02/11/11	11/07/12	412.19	346.13	66.06 LT
22.0000	MEDTRONIC INC	02/11/11	11/02/12	926.77	874.72	52.05 LT
22.0000	MEDTRONIC INC	02/22/11	11/02/12	926.78	885.72	41.06 LT
20.0000	MEDTRONIC INC	02/25/11	11/02/12	842.52	798.53	43.99 LT
22.0000	MEDTRONIC INC	03/08/11	11/02/12	926.78	871.71	55.07 LT
15.0000	MEDTRONIC INC	03/11/11	11/02/12	631.90	571.20	60.70 LT
15.0000	MEDTRONIC INC	03/16/11	11/02/12	631.90	550.45	81.45 LT
1.0000	MEDTRONIC INC	03/17/11	11/02/12	42.13	37.07	5.06 LT
14.0000	MEDTRONIC INC	03/17/11	11/05/12	587.32	518.98	68.34 LT
19.0000	MEDTRONIC INC	04/28/11	11/05/12	797.08	797.81	(0.73) LT
19.0000	MEDTRONIC INC	05/16/11	11/05/12	797.08	801.99	(4.91) LT
22.0000	MEDTRONIC INC	05/26/11	11/05/12	922.94	886.50	36.44 LT
13.0000	MEDTRONIC INC	06/03/11	11/05/12	545.37	512.33	33.04 LT
16.0000	MEDTRONIC INC	06/10/11	11/05/12	671.23	606.97	64.26 LT
8.0000	MEDTRONIC INC	06/20/11	11/05/12	335.61	308.67	26.94 LT
18.0000	MEDTRONIC INC	07/13/11	11/05/12	755.14	680.88	74.26 LT
13.0000	MICROSOFT CORP	02/11/11	11/07/12	379.82	354.62	25.20 LT
9.0000	NOVARTIS ADR	02/11/11	11/07/12	538.64	503.46	35.18 LT
7.0000	PROCTER & GAMBLE CO	02/11/11	11/07/12	475.92	453.95	21.97 LT
9.0000	QUALCOMM INC	02/11/11	11/07/12	526.24	518.24	8.00 LT
28.0000	SEI INVT CO PA PV \$0.01	02/11/11	11/07/12	610.95	652.54	(41.59) LT
6.0000	SCHLUMBERGER LTD	02/11/11	11/07/12	416.95	539.86	(122.91) LT
3.0000	TRAVELERS COS INC	02/11/11	11/07/12	206.12	176.57	29.55 LT
5.0000	TRAVELERS COS INC	02/22/11	11/07/12	343.55	303.88	39.67 LT
10.0000	UNITED PARCEL SVC CL B	02/11/11	11/07/12	726.48	753.14	(26.66) LT
15.0000	VODAFONE GROU PLC SP ADR	02/11/11	11/07/12	402.44	436.74	(34.30) LT
3.0000	VISA INC CL A SHRS	03/16/11	11/07/12	426.89	213.48	213.41 LT
5.0000	VISA INC CL A SHRS	03/16/11	11/21/12	729.27	355.81	373.46 LT
7.0000	VISA INC CL A SHRS	03/17/11	11/21/12	1,020.98	499.73	521.25 LT
9.0000	ZIMMER HOLDINGS INC COM	02/11/11	11/07/12	579.86	544.90	34.96 LT
5.0000	KIMBERLY CLARK	02/22/11	12/04/12	428.68	325.52	103.16 LT
24.0000	KIMBERLY CLARK	02/25/11	12/04/12	2,057.69	1,559.90	497.79 LT
24.0000	KIMBERLY CLARK	03/08/11	12/04/12	2,057.69	1,553.52	504.17 LT
13.0000	KIMBERLY CLARK	03/11/11	12/04/12	1,114.58	840.32	274.26 LT
17.0000	KIMBERLY CLARK	03/16/11	12/04/12	1,457.53	1,079.61	377.92 LT

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Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sale Amount	Cost Basis	Gain or (Loss)
16.0000	KIMBERLY CLARK	03/17/11	12/04/12	1,371.79	1,021.22	350.57 LT
34.0000	KIMBERLY CLARK	04/28/11	12/04/12	2,915.07	2,218.84	696.23 LT
13.0000	KIMBERLY CLARK	05/16/11	12/04/12	1,114.58	886.73	227.85 LT
23.0000	KIMBERLY CLARK	05/26/11	12/04/12	1,971.96	1,559.96	412.00 LT
18.0000	KIMBERLY CLARK	06/03/11	12/04/12	1,543.27	1,184.66	358.61 LT
16.0000	KIMBERLY CLARK	06/10/11	12/04/12	1,371.80	1,038.49	333.31 LT
14.0000	KIMBERLY CLARK	06/24/11	12/04/12	1,200.32	916.24	284.08 LT
19.0000	KIMBERLY CLARK	07/13/11	12/04/12	1,629.02	1,273.50	355.52 LT
9.0000	SAP AG SHS	02/11/11	12/04/12	718.25	541.42	176.83 LT
7.0000	SAP AG SHS	02/22/11	12/04/12	558.65	415.34	143.31 LT
4.0000	SAP AG SHS	02/25/11	12/04/12	319.23	238.98	80.25 LT
				397,630	358,772	38,858