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**Return of Private Foundation**

Department of the Treasury  
Internal Revenue Service

or Section 4947(a)(1) Trust Treated as Private Foundation  
Do not enter Social Security numbers on this form as it may be made public.

**2013**

Open to Public Inspection

Information about Form 990-PF and its separate instructions is at [www.irs.gov/form990pf](http://www.irs.gov/form990pf).

For calendar year 2013 or tax year beginning **DEC 1, 2012**, and ending **NOV 30, 2013**

Name of foundation  
**Laverna Hahn Charitable Trust**

Number and street (or P O box number if mail is not delivered to street address)  
**7 St Paul Street**

Room/suite  
**1500**

City or town, state or province, country, and ZIP or foreign postal code  
**Baltimore, MD 21202**

A Employer identification number  
**52-1585047**

B Telephone number  
**410 347 8787**

C If exemption application is pending, check here

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

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

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

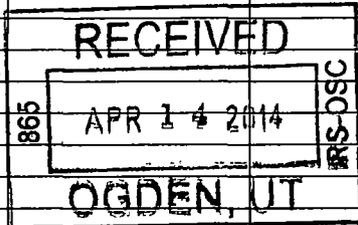
G Check all that apply:  
 Initial return  
 Final return  
 Address change  
 Initial return of a former public charity  
 Amended return  
 Name change

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

I Fair market value of all assets at end of year (from Part II, col (c), line 16)  
**\$ 36,840,092.** (Part I, column (d) must be on cash basis)

J Accounting method:  
 Cash  
 Accrual  
 Other (specify) \_\_\_\_\_

Part I Analysis of Revenue and Expenses		(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					
2 Check <input checked="" type="checkbox"/> if the foundation is not required to attach Sch B					
3 Interest on savings and temporary cash investments					
4 Dividends and interest from securities		1,156,079.	1,156,079.		Statement 1
5a Gross rents					
b Net rental income or (loss)					
6a Net gain or (loss) from sale of assets not on line 10		874,256.			
b Gross sales price for all assets on line 6a		7,830,228.			
7 Capital gain net income (from Part IV, line 2)					
8 Net short-term capital gain			874,256.		
9 Income modifications					
10a Gross sales less returns and allowances					
b Less Cost of goods sold					
c Gross profit or (loss)					
11 Other income					
12 Total. Add lines 1 through 11		2,030,335.	2,030,335.		
13 Compensation of officers, directors, trustees, etc					
14 Other employee salaries and wages					
15 Pension plans, employee benefits					
16a Legal fees Stmt 2		5,000.	5,000.		0.
b Accounting fees					
c Other professional fees					
17 Interest					
18 Taxes Stmt 3		28,244.	0.		0.
19 Depreciation and depletion					
20 Occupancy					
21 Travel, conferences, and meetings					
22 Printing and publications					
23 Other expenses Stmt 4		72,160.	32,160.		40,000.
24 Total operating and administrative expenses Add lines 13 through 23		177,201.	73,058.		75,899.
25 Contributions, gifts, grants paid		1,450,000.			1,450,000.
26 Total expenses and disbursements. Add lines 24 and 25		1,627,201.	73,058.		1,525,899.
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements		403,134.			
b Net investment income (if negative, enter -0-)			1,957,277.		
c Adjusted net income (if negative, enter -0-)				N/A	



SCANNED APR 16 2014

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only			Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value			
Assets	1	Cash - non-interest-bearing			2,065,043.	62.	62.
	2	Savings and temporary cash investments				3,843,071.	3,843,071.
	3	Accounts receivable ▶					
		Less: allowance for doubtful accounts ▶					
	4	Pledges receivable ▶					
		Less: allowance for doubtful accounts ▶					
	5	Grants receivable					
	6	Receivables due from officers, directors, trustees, and other disqualified persons					
	7	Other notes and loans receivable ▶					
		Less: allowance for doubtful accounts ▶					
	8	Inventories for sale or use					
	9	Prepaid expenses and deferred charges					
	10a	Investments - U.S. and state government obligations					
		b Investments - corporate stock Stmt 5			19,823,037.	18,657,687.	31,583,075.
		c Investments - corporate bonds Stmt 6			1,307,895.	1,125,710.	1,361,305.
	11	Investments - land, buildings, and equipment basis ▶					
	Less accumulated depreciation ▶						
12	Investments - mortgage loans						
13	Investments - other						
14	Land, buildings, and equipment: basis ▶						
	Less accumulated depreciation ▶						
15	Other assets (describe ▶ Tax credit )			80,000.	52,579.	52,579.	
16	<b>Total assets</b> (to be completed by all filers - see the instructions. Also, see page 1, item 1)			23,275,975.	23,679,109.	36,840,092.	
Liabilities	17	Accounts payable and accrued expenses					
	18	Grants payable					
	19	Deferred revenue					
	20	Loans from officers, directors, trustees, and other disqualified persons					
	21	Mortgages and other notes payable					
	22	Other liabilities (describe ▶ )					
	23	<b>Total liabilities</b> (add lines 17 through 22)			0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.						
	24	Unrestricted					
	25	Temporarily restricted					
	26	Permanently restricted					
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.						
	27	Capital stock, trust principal, or current funds			21,794,198.	22,005,592.	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund			0.	0.	
29	Retained earnings, accumulated income, endowment, or other funds			1,481,777.	1,673,517.		
30	<b>Total net assets or fund balances</b>			23,275,975.	23,679,109.		
31	<b>Total liabilities and net assets/fund balances</b>			23,275,975.	23,679,109.		

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	23,275,975.
2	Enter amount from Part I, line 27a	2	403,134.
3	Other increases not included in line 2 (itemize) ▶	3	0.
4	Add lines 1, 2, and 3	4	23,679,109.
5	Decreases not included in line 2 (itemize) ▶	5	0.
6	<b>Total net assets or fund balances at end of year</b> (line 4 minus line 5) - Part II, column (b), line 30	6	23,679,109.

**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.)
<b>1a</b> see attached schedule	P		
<b>b</b> see attached schedule	P		
<b>c</b> litigation proceeds	P		
<b>d</b>			
<b>e</b>			

(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)
<b>a</b> 2,818,004.		2,745,782.	72,222.
<b>b</b> 5,011,164.		4,210,190.	800,974.
<b>c</b> 1,060.			1,060.
<b>d</b>			
<b>e</b>			

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	
<b>a</b>			72,222.
<b>b</b>			800,974.
<b>c</b>			1,060.
<b>d</b>			
<b>e</b>			

<b>2</b> 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	874,256.
<b>3</b> 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))
2012	1,493,243.	32,029,224.	.046621
2011	1,463,552.	31,583,866.	.046339
2010	1,183,261.	28,111,323.	.042092
2009	1,433,333.	23,850,643.	.060096
2008	1,549,992.	29,680,788.	.052222

<b>2</b> Total of line 1, column (d)	2	.247370
<b>3</b> 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	.049474
<b>4</b> Enter the net value of noncharitable-use assets for 2013 from Part X, line 5	4	35,135,708.
<b>5</b> Multiply line 4 by line 3	5	1,738,304.
<b>6</b> Enter 1% of net investment income (1% of Part I, line 27b)	6	19,573.
<b>7</b> Add lines 5 and 6	7	1,757,877.
<b>8</b> 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	1,525,899.

**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	39,146.
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	39,146.
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4	0.
5	<b>Tax based on investment income.</b> Subtract line 4 from line 3. If zero or less, enter -0-	5	39,146.
6	Credits/Payments:		
a	2013 estimated tax payments and 2012 overpayment credited to 2013	6a	52,579.
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	52,579.
8	Enter any <b>penalty</b> for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8	
9	<b>Tax due.</b> If the total of lines 5 and 8 is more than line 7, enter <b>amount owed</b>	9	
10	<b>Overpayment.</b> If line 7 is more than the total of lines 5 and 8, enter the <b>amount overpaid</b>	10	13,433.
11	Enter the amount of line 10 to be: <b>Credited to 2014 estimated tax</b> <input type="checkbox"/> <b>13,433.</b> <b>Refunded</b> <input type="checkbox"/>	11	0.

**Part VII-A Statements Regarding Activities**

	Yes	No
1a		X
1b		X
1c		X
d		
e		
2		X
3		X
4a		X
4b		
5		X
6	X	
7	X	
8a		
8b	X	
9		X
10		X

N/A

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

11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)			X
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)			X
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ <u>N/A</u>	X		
14	The books are in care of ▶ <u>Robert Sloan</u> Telephone no. ▶ <u>410 347 8787</u> Located at ▶ <u>7 St Paul Street - Suite 1500, Baltimore, MD</u> ZIP+4 ▶ <u>21202</u>			
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 <u>N/A</u>			
16	At any time during calendar year 2013, 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 ▶		Yes	No
		16		X

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

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

		Yes	No
1a	During the year did the foundation (either directly or indirectly):		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here <u>N/A</u> ▶ <input type="checkbox"/>	1b	
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2013?	1c	X
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a	At the end of tax year 2013, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2013? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ _____, _____, _____		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions.) <u>N/A</u>	2b	
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ▶ _____, _____, _____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2013 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 2013.) <u>N/A</u>	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2013?	4b	X

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

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

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

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

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

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)?  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

**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
Robert Sloan 7 St Paul St - Suite 1500 Baltimore, MD 21202	Trustee 3.00	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

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

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

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

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

**Part IX-A** Summary of Direct Charitable Activities

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

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

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
1 N/A	
2	
3 All other program-related investments. See instructions.	
<b>Total.</b> Add lines 1 through 3 <span style="float: right;">▶</span>	<b>0.</b>

**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>	31,927,938.
<b>b</b>	Average of monthly cash balances	<b>1b</b>	3,678,828.
<b>c</b>	Fair market value of all other assets	<b>1c</b>	64,004.
<b>d</b>	<b>Total</b> (add lines 1a, b, and c)	<b>1d</b>	35,670,770.
<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>	35,670,770.
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions)	<b>4</b>	535,062.
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	35,135,708.
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5	<b>6</b>	1,756,785.

**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>	1,756,785.
<b>2a</b>	Tax on investment income for 2013 from Part VI, line 5	<b>2a</b>	39,146.
<b>b</b>	Income tax for 2013. (This does not include the tax from Part VI.)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b	<b>2c</b>	39,146.
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1	<b>3</b>	1,717,639.
<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>	1,717,639.
<b>6</b>	Deduction from distributable amount (see instructions)	<b>6</b>	0.
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	<b>7</b>	1,717,639.

**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>	1,525,899.
<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>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	1,525,899.
<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>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4	<b>6</b>	1,525,899.

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

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

	(a) Corpus	(b) Years prior to 2012	(c) 2012	(d) 2013
1 Distributable amount for 2013 from Part XI, line 7				1,717,639.
2 Undistributed income, if any, as of the end of 2013				
a Enter amount for 2012 only			1,481,777.	
b Total for prior years:		0.		
3 Excess distributions carryover, if any, to 2013:				
a From 2008				
b From 2009				
c From 2010				
d From 2011				
e From 2012				
f Total of lines 3a through e	0.			
4 Qualifying distributions for 2013 from Part XII, line 4: ▶ \$ 1,525,899.				
a Applied to 2012, but not more than line 2a			1,481,777.	
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 2013 distributable amount				44,122.
e Remaining amount distributed out of corpus	0.			
5 Excess distributions carryover applied to 2013 (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 2012. Subtract line 4a from line 2a. Taxable amount - see instr.			0.	
f Undistributed income for 2013. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2014				1,673,517.
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 2008 not applied on line 5 or line 7	0.			
9 Excess distributions carryover to 2014. Subtract lines 7 and 8 from line 6a	0.			
10 Analysis of line 9:				
a Excess from 2009				
b Excess from 2010				
c Excess from 2011				
d Excess from 2012				
e Excess from 2013				

**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 2013, 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				(e) Total
	(a) 2013	(b) 2012	(c) 2011	(d) 2010	
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).)

None

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

None

2 **Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**  
 Check here  if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

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

**See Statement 7**

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

c Any submission deadlines:

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

**Part XV** Supplementary Information (continued)

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

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a <i>Paid during the year</i>  See attached schedule			Unrestricted	1,450,000.
<b>Total</b>				▶ 3a 1,450,000.
b <i>Approved for future payment</i>  None				
<b>Total</b>				▶ 3b 0.

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated.

Table with 5 main columns: (a) Business code, (b) Amount, (c) Exclusion code, (d) Amount, (e) Related or exempt function income. Rows include: 1 Program service revenue (a-f), 2 Membership dues and assessments, 3 Interest on savings and temporary cash investments, 4 Dividends and interest from securities (14, 1,156,079), 5 Net rental income or (loss) from real estate (a-b), 6 Net rental income or (loss) from personal property, 7 Other investment income, 8 Gain or (loss) from sales of assets other than inventory (18, 874,256), 9 Net income or (loss) from special events, 10 Gross profit or (loss) from sales of inventory, 11 Other revenue (a-e), 12 Subtotal (0, 2,030,335, 0), 13 Total (13, 2,030,335).

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

Table with 2 columns: Line No. (with a downward arrow), Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). The table contains multiple empty rows for text entry.



**CONTRIBUTIONS - ROHAHN**  
**For the Fiscal Year: 12/1/12 to 11/30/13**

2013 Contributions

Baltimore Museum of Industry c/o Mr. Roland H. Woodward Executive Director 1415 Key Highway Baltimore, Maryland 21230	5/1/2013	20,000.00
Spotlighters Theatre 817 St. Paul Street Baltimore, Maryland 21202	11/21/2013	5,000.00
American Cancer Society Relay for Life 636 W. Lexington Street Baltimore, Maryland 21201		
Heroes Helping Heroes 4990 Mercantile Rd - #43574 Baltimore, Maryland 21236	11/11/2013	10,000.00
Maryland Volunteer Lawyers Service c/o Ms. Bonnie A. Sullivan, Exec Dir 1 N Charles Street - Suite 222 Baltimore, Maryland 21201	11/21/2013	10,000.00

Laverna Hahn Charitable Trust

Independent College Fund of Maryland 3225 Ellerslie Avenue, Suite C160 Baltimore, Maryland 21218	5/1/2013	15,000.00
Living Classrooms Foundation c/o Mr. Parker Rockefeller, Sr. V.P. 802 S. Caroline Street Baltimore, Maryland 21231	11/21/2013	25,000.00
Everyman Theatre Development Director 1727 N Charles Street Baltimore, Maryland 21201-5801		
Enoch Pratt Free Library Director of Institutional Advancement 400 Cathedral Street Baltimore, Maryland 21201-4484	8/6/2013	15,000.00
GBMC Foundation c/o Jenny Coldron, President 6701 N. Charles Street Baltimore, Maryland 21204 (1st installment of 3 year commitment to Weight Management Program)	8/7/2013	350,000.00
Gilchrist Hospice Care C/o Mrs. Lori Mulligan Development Director 11311 McCormick Road - Suite 350 Hunt Valley, MD 21031 To defray cost of uncompensated patient care	8/6/2013	350,000.00
Ms. Leigh Vella The Leukemia & Lymphoma Society	11/21/2013	10,000.00

Laverna Hahn Charitable Trust

c/o Jacqueline E. Stem, M.H.S.  
 100 Painters Mill Road - Suite 800  
 Owings Mills, Maryland 21117

5/30/2013 15,000.00

House of Ruth  
 2201 Argonne Drive  
 Baltimore, Maryland 21218-1627

5/1/2013 50,000 00

Maryland Science Center  
 c/o Mr. Mark Potter  
 Vice President - Development  
 601 Light Street  
 Baltimore, Maryland 21230-3812

Moveable Feast, Inc.  
 Post Office Box 2298  
 Baltimore, Maryland 21203

5/1/2013 50,000 00

National Aquarium in Baltimore  
 c/o Georgette Frederick, Director of  
 Corp & Foundation Relations  
 501 East Pratt Street  
 Baltimore, Maryland 21202

11/21/2013 30,000 00

Carroll Hospice, Inc  
 c/o Ms. Jeanifer S. Gambino  
 292 Stoner Ave  
 Westminster, Maryland 21157

12/14/2012 50,000 00

SPCA of Maryland  
 c/o Ms. Aileen O. Gabbey, Executive Director  
 3300 Falls Road  
 Baltimore, Maryland 21211-2403  
 (Initial installment on pledge of \$70,000 toward  
 replacement of heating & cooling system)

(12/19/07 contribution goes toward purchase

Laverma Hahn Charitable Trust

of vehicle)

12/15/09 contribution is first installment on  
\$150,000.00 pledge - toward expansion of  
facilities

12/13/11 - final contribution on \$150,00.00  
pledge

B&O Railroad Museum  
c/o Mr. Courtney B. Wilson, Executive Director  
901 W. Pratt Street  
Baltimore, Maryland 21223

11/21/2013 25,000.00

Chesapeake Bay Foundation  
c/o Mr. Wm. C Baker, President  
6 Herndon Avenue  
Annapolis, Maryland 21403

12/14/2012 25,000 00

Presbyterian Home of Maryland, Inc.  
c/o Susan F. Shea  
400 Georgia Court  
Towson, Maryland 21204  
(Initial installment on pledge of \$100,000 toward  
renovations of the healthcare center)

12/14/2012 30,000 00

(12/19/07 contribution represents 2nd pymt  
on \$100,000.00 pledge)

(12/18/08 contribution represents final install-  
ment of pledge toward healthcare center)

The Campaign for Catholic Charities  
c/o Gen Haines, Director of Major & Lead Gifts  
320 Cathedral Street  
Baltimore, Maryland 21201

Laverna Hahn Charitable Trust

\$50,000/year for 5 years  
1st year - 2005

UMBC Foundation  
c/o Ms. Carmel Todd, Asst. Director  
of Donor Relations  
1000 Hilltop Circle  
Baltimore, Maryland 21250

12/14/2012 30,000.00

Hopewell Cancer Support  
c/o Suzanne K Brace  
P. O. Box 755  
Brooklandville, Maryland 21022

8/6/2013 20,000.00

Stevenson University  
c/o Mr. Stevenson W. Close, Jr.  
Vice President - Development  
1525 Greenspring Road  
Stevenson, Maryland 21153-0641  
(Hahn-Waidner Scholarship)

11/21/2013 10,000.00

Maryland House & Garden Pilgrimage  
6200 N. Charles Street  
Baltimore, Maryland 21212

5/1/2013 25,000.00

The Baltimore Museum of Art  
c/o Ms. Judy Gibbs, Deputy Director for  
Development  
10 Art Museum Drive  
Baltimore, Maryland 21218-9914

5/1/2013 10,000.00

Long Green Volunteer Fire Company  
Post Office Box 4009  
Glen Arm, Maryland 21057

Lavera Hahn Charitable Trust

St. Mary's College of Maryland c/o Office of the President 18952 E. Fisher Road St. Mary's, Maryland 20686-3001	8/6/2013	25,000.00
Kennedy Krieger Institute 707 N. Broadway Baltimore, Maryland 21205		
The Star Spangled Banner Flag House 844 E. Pratt Street Baltimore, Maryland 21202	8/6/2013	5,000.00
Maryland Food Bank Lawyers Campaign Against Hunger	7/11/2013	5,000.00
Public Justice Center c/o John Nethercut, Esquire 1 N. Charles St., Suite 200 Baltimore, Maryland 21201		
CASA of Baltimore County, Inc 305 W. Chesapeake Ave , Suite 206 Towson, Maryland 21204		
Maryland Society for Sight c/o Ms. Audrey E. Novak 1313 Old Coldspring Lane Baltimore, Maryland 21209-4989		
The Interfaith Service Coalition c/o Ms. Deborah S. Cahill,	8/6/2013	10,000.00

Laverna Hahn Charitable Trust

Executive Director 116 West High Street Hancock, Maryland 21750		
Johns Hopkins School of Public Health c/o Ms. Donna L. Tivald Associate Director of Development 615 N Wolfe Street, Room W1600 Baltimore, Maryland 21205-2405		
Govans Ecumenical Development GEDCO 5513 York Road Baltimore, Maryland 21212		
SOME (So Others May Eat) 71 "O" Street, N.W. Washington, D.C. 20001		
Streetlite Christian Fellowship 841 E. Fort Avenue Baltimore, Maryland 21230		
Port Discovery Children's Museum 35 Market Place Baltimore, Maryland 21202 Attn: Dawn Sacks	8/6/2013	12,000 00
The Women's Law Center of Maryland 305 W Chesapeake Avenue Suite 201 Towson, Maryland 21204		
Maryland Historical Society		

Laverna Hahn Charitable Trust

c/o Ms. C. C. Coe, Development Officer  
 201 W. Monument Street  
 Baltimore, Maryland 21201-4674

11/21/2013 15,000.00

Baltimore Symphony Orchestra  
 c/o Allison Burr-Livingstone  
 1212 Cathedral Street  
 Baltimore, Maryland 21201

Irish American Partnership  
 33 Broad Street  
 Boston, Massachusetts 02109

8/6/2013 10,000.00

National Museum of Women  
 in the Arts  
 1250 New York Avenue, N.W.  
 Washington, D.C. 20005-3970  
 Attn: Ms. Irene Gutman, Deputy  
 Director

8/6/2013 30,000.00

Johns Hopkins University  
 c/o Dina M. Kilcos, Director of  
 Major Gifts  
 100 N. Charles Street - Suite 234  
 Baltimore, Maryland 21201

Memorial Sloan-Kettering Cancer Center  
 Office of Development  
 633 Third Avenue  
 New York, New York 10017

12/6/2012 10,000.00  
 8/6/2013 2,000.00

UMAR Youth & Boxing, Inc.  
 1813 Lorman Street  
 Baltimore, Maryland 21217

Laverna Hahn Charitable Trust

<p>McDaniel College                      c/o Mr. Lawrence R Junkin                      Assoc V.P., Development                      2 College Hill                      Westminster, Maryland 21157-4390</p>	8/6/2013	15,000 00
<p>The Woman's Industrial Exchange                      333 N. Charles Street                      Baltimore, Maryland 21201</p>	8/6/2013	20,000 00
<p>Center Stage                      700 N. Calvert Street                      Baltimore, Maryland 21202</p>	5/1/2013	15,000 00
<p>Good Samaritan Hospital Foundation                      c/o Linda Fbisch                      Russell Morgan Bldg - Suite 200                      5601 Loch Raven Blvd                      Baltimore, Maryland 21239</p>	11/21/2013	20,000 00
<p>Saint Ignatius Loyola Academy                      c/o John J. Ciccone, President                      740 N. Calvert Street                      Baltimore, Maryland 21202</p>	11/21/2013	20,000 00
<p>Maryland Institute College of Art                      1300 Mount Royal Avenue                      Baltimore, Maryland 21217</p>		
<p>Rebuilding Together Baltimore                      3034 Saint John's Lane, Bldg. #1                      Baltimore, Maryland 21214</p>		
<p>North Point Ministries                      4350 North Point Parkway</p>	3/26/2013	5,000 00

Laverna Hahn Charitable Trust

Alpharetta, Georgia 30022			
Doctors Without Borders 333 7th Avenue - 2nd Floor New York, New York 10001	8/6/2013	10,000.00	
Legal Aid Bureau, Inc. 500 East Lexington Street Baltimore, Maryland 21202	8/6/2013	15,000.00	
Maryland & Pennsylvania Railroad Preservation S John Finlayson, Treasurer P O. Box 2262 York, PA 17405-2262	8/6/2013	10,000.00	
Celebrate Hope Foundation (Crossing America fo P.O. Box 43053 Nottingham, MD 21236	8/28/2013	1,000.00	
Chesapeake BaySavers Foundation 200 Forbes Street Annapolis, MD 21401	11/21/2013	5,000.00	
ClusterBusters Inc 5230 Hickory Park Dr. Glen Allen, VA 23059	11/21/2013	10,000.00	
			<u>1,450,000.00</u>

2028816

Form 990-PF	Dividends and Interest from Securities				Statement	1
Source	Gross Amount	Capital Gains Dividends	(a) Revenue Per Books	(b) Net Investment Income	(c) Adjusted Net Income	
UBS	1,156,079.	0.	1,156,079.	1,156,079.		
To Part I, line 4	1,156,079.	0.	1,156,079.	1,156,079.		

Form 990-PF	Legal Fees				Statement	2
Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes		
WTP	5,000.	5,000.			0.	
To Form 990-PF, Pg 1, ln 16a	5,000.	5,000.			0.	

Form 990-PF	Taxes				Statement	3
Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes		
Excise tax	28,244.	0.			0.	
To Form 990-PF, Pg 1, ln 18	28,244.	0.			0.	

Form 990-PF	Other Expenses				Statement	4
Description	(a) Expenses Per Books	(b) Net Investment Income	(c) Adjusted Net Income	(d) Charitable Purposes		
UBS Financial, account fee	838.	838.			0.	
Administration expense	58,015.	18,015.			40,000.	
Foreign tax	13,307.	13,307.			0.	
To Form 990-PF, Pg 1, ln 23	72,160.	32,160.			40,000.	

Form 990-PF	Corporate Stock	Statement	5
<u>Description</u>		<u>Book Value</u>	<u>Fair Market Value</u>
		18,657,687.	31,583,075.
Total to Form 990-PF, Part II, line 10b		<u>18,657,687.</u>	<u>31,583,075.</u>

Form 990-PF	Corporate Bonds	Statement	6
<u>Description</u>		<u>Book Value</u>	<u>Fair Market Value</u>
		1,125,710.	1,361,305.
Total to Form 990-PF, Part II, line 10c		<u>1,125,710.</u>	<u>1,361,305.</u>

Form 990-PF

Grant Application Submission Information  
Part XV, Lines 2a through 2d

Statement 7

Name and Address of Person to Whom Applications Should be Submitted

Robert Sloan  
7 St Paul St- Ste 1500  
Baltimore, MD 21202

Telephone Number

4103478787

Form and Content of Applications

Letter applications; information should include charitable activity,  
background, purposes, etc

Any Submission Deadlines

Restrictions and Limitations on Awards

Form **990-W**

**Estimated Tax on Unrelated Business Taxable  
Income for Tax-Exempt Organizations**

OMB No. 1545-0976

(Worksheet)  
Department of the Treasury  
Internal Revenue Service

(and on Investment Income for Private Foundations) Form 990-PF

**2014**

(Keep for your records. Do not send to the Internal Revenue Service.)

1	Unrelated business taxable income expected in the tax year	1	
2	Tax on the amount on line 1. See instructions for tax computation	2	
3	Alternative minimum tax (see instructions)	3	
4	Total. Add lines 2 and 3	4	
5	Estimated tax credits (see instructions)	5	
6	Subtract line 5 from line 4	6	
7	Other taxes (see instructions)	7	
8	Total. Add lines 6 and 7	8	
9	Credit for federal tax paid on fuels (see instructions)	9	
10a	Subtract line 9 from line 8. <b>Note.</b> If less than \$500, the organization is not required to make estimated tax payments. Private foundations, see instructions	10a	
b	Enter the tax shown on the 2013 return (see instructions). <b>Caution.</b> If zero or the tax year was for less than 12 months, skip this line and enter the amount from line 10a on line 10c	10b	39,146.
c	<b>2014 Estimated Tax.</b> Enter the smaller of line 10a or line 10b. If the organization is required to skip line 10b, enter the amount from line 10a on line 10c	Adjusted To	10c 39,148.

		(a)	(b)	(c)	(d)	
11	Installment due dates (see instructions)	11	04/15/14	05/15/14	08/15/14	11/17/14
12	Required installments. Enter 25% of line 10c in columns (a) through (d) unless the organization uses the annualized income installment method, the adjusted seasonal installment method, or is a "large organization" (see instructions)	12	9,787.	9,787.	9,787.	9,787.
13	2013 Overpayment (see instructions)	13	9,787.	3,646.		
14	Payment due (Subtract line 13 from line 12)	14		6,141.	9,787.	9,787.

LHA For Paperwork Reduction Act Notice, see instructions.

Form **990-W** (2014)

Estimated Tax	39,148.
Overpayment Applied	13,433.
Amount Due	25,715.

**Rohahn**  
**All Marketable Security Data Output**  
**As of: November 30, 2012**

<u>Category</u>	<u>Quantity</u>	<u>Security</u>	<u>No</u>	<u>Date Acquired</u>	<u>Unit Cost</u>	<u>Cost Basis</u>	<u>Market Price</u>	<u>Market Value</u>	<u>Gain/Loss</u>
Common Stocks:									
	24,000	MCCORMICK & CO/C	103	Oct 20 00	3.31	79,364.09	64.56	1,549,439.94	1,470,075.85
	4,000	MCDERMOTT INTL/C	127	Feb 18 10	12.56	50,238.00	10.53	42,120.00	-8,118.00
	3,500	MCDERMOTT INTL LT2/C	326	Aug 12 11	14.52	50,811.50	10.53	36,855.00	-13,956.50
	<u>7,500</u>	<u>Subtotal for MDR</u>			<u>13.47</u>	<u>101,049.50</u>	<u>10.53</u>	<u>78,975.00</u>	<u>-22,074.50</u>
	10,125	MDU RESOURCES GR/C	104	Oct 20 00	4.87	49,334.99	20.72	209,789.99	160,455.00
	1,700	MEADWESTVACO CORP/C	238	Jun 14 05	26.50	45,055.35	30.91	52,547.00	7,491.65
	5,000	MEADWESTVACO CORP LT2/C	29	Dec 17 08	10.92	54,613.04	30.91	154,550.00	99,936.96
	<u>6,700</u>	<u>Subtotal for MWV</u>			<u>14.88</u>	<u>99,668.39</u>	<u>30.91</u>	<u>207,097.00</u>	<u>107,428.61</u>
	14,994	MERCK CO SCHPL/C	321	Nov 5 09	2.54	38,129.75	44.30	664,234.19	626,104.44
	2,800	METLIFE INC/C	70	Feb 1 12	36.44	102,045.07	33.19	92,932.00	-9,113.07
	1,200	MF GLOBAL/C	299	Jul 18 07	30.00	36,000.00	0.03	34.80	-35,965.20
	2,000	MOODYS CORP/C	106	Sep 5 86	4.44	8,876.48	48.58	97,160.00	88,283.52
	1,500	NATL FUEL GAS CO/C	270	Sep 26 05	34.20	51,302.01	52.08	78,120.00	26,817.99
	2,200	NATIONAL GRID/C	63	Feb 10 11	45.92	101,033.17	56.64	124,608.00	23,574.83
	2,000	NEXTERA ENERGY/C	153	Mar 22 11	54.20	108,391.75	68.71	137,420.00	29,028.25
	2,000	NISOURCE INC LT1/C	109	Mar 2 01	29.29	58,577.26	24.17	48,340.00	-10,237.26
	4,000	NISOURCE INC LT2/C	110	Oct 2 01	23.77	95,084.81	24.17	96,680.00	1,595.19
	<u>6,000</u>	<u>Subtotal for NI</u>			<u>25.61</u>	<u>153,662.07</u>	<u>24.17</u>	<u>145,020.00</u>	<u>-8,642.07</u>
	8,000	NORANDA ALUM/C	287	Jul 29 10	7.83	62,608.74	5.93	47,440.00	-15,168.74
	1,500	NORFOLK STHN CORP/C	279	Jul 26 06	40.96	61,432.96	60.38	90,570.00	29,137.04
	2,500	NORTHEAST UTIL/C	5	Dec 16 05	20.30	50,759.13	38.74	96,850.00	46,090.87
	2,500	NORTHEAST UTIL LT2/C	359	Oct 8 10	30.43	76,066.86	38.74	96,850.00	20,783.14
	<u>5,000</u>	<u>Subtotal for NU</u>			<u>25.37</u>	<u>126,825.99</u>	<u>38.74</u>	<u>193,700.00</u>	<u>66,874.01</u>

**Rohahn**  
**All Marketable Security Data Output**  
**As of: November 30, 2012**

<u>Category</u>	<u>Quantity</u>	<u>Security</u>	<u>No</u>	<u>Date Acquired</u>	<u>Unit Cost</u>	<u>Cost Basis</u>	<u>Market Price</u>	<u>Market Value</u>	<u>Gain/Loss</u>
	1,000	NOVARTIS AG/C	229	Jun 6 05	49.70	49,697.11	62.05	62,050.00	12,352.89
	1,000	NOVARTIS AG LT2/C	39	Jan 6 11	58.27	58,266.85	62.05	62,050.00	3,783.15
	<b>2,000</b>	<b>Subtotal for NVS</b>			<b>53.98</b>	<b>107,963.96</b>	<b>62.05</b>	<b>124,100.00</b>	<b>16,136.04</b>
	1,500	OCCIDENTAL PET/C	355	Sep 27 10	75.46	113,187.49	75.21	112,815.00	-372.49
	2,000	OMEGA HEALTHCARE LT1/C	113	Oct 20 00	21.25	42,508.00	22.92	45,840.00	3,332.00
	931	OMEGA HEALTHCARE LT2/C	231	Feb 15 02	2.92	2,718.52	22.92	21,338.52	18,620.00
	<b>2,931</b>	<b>Subtotal for OHI</b>			<b>15.43</b>	<b>45,226.52</b>	<b>22.92</b>	<b>67,178.52</b>	<b>21,952.00</b>
	4,000	PEABODY ENERGY/C	319	Jul 2 12	24.85	99,412.85	25.11	100,440.00	1,027.15
	431	PENTAIR LTD/C	390	Sep 14 12	41.07	17,701.93	48.49	20,899.19	3,197.26
	3,000	PFIZER/C	87	Apr 29 03	31.26	93,766.64	25.02	75,060.00	-18,706.64
	7,880	PFIZER WYETH/C	313	Oct 16 09	17.66	139,178.20	25.02	197,157.60	57,979.40
	<b>10,880</b>	<b>Subtotal for PFE</b>			<b>21.41</b>	<b>232,944.84</b>	<b>25.02</b>	<b>272,217.60</b>	<b>39,272.76</b>
	3,200	PHILLIPS 66/C	243	May 21 12	31.58	101,057.60	52.37	167,584.00	66,526.40
	3,400	PG&E CORP/C	317	Jul 28 11	42.18	143,395.14	40.95	139,230.00	-4,165.14
	3,000	PNC FINANCIAL SER GR/C	118	Oct 20 00	17.58	52,725.23	56.14	168,420.00	115,694.77
	2,218	PNC FINANCIAL MER/C	184	Oct 20 00	15.89	35,247.84	56.14	124,518.52	89,270.68
	<b>5,218</b>	<b>Subtotal for PNC</b>			<b>16.86</b>	<b>87,973.07</b>	<b>56.14</b>	<b>292,938.52</b>	<b>204,965.45</b>
	5,100	POTASH CORPORATION/C	119	Oct 20 00	2.28	11,637.62	38.52	196,452.00	184,814.38
	10,000	PPG INDUSTRIES/C	120	Oct 20 00	16.06	160,579.34	124.27	1,242,699.97	1,082,120.63
	2,000	PACCAR INC/C	295	Jul 6 11	51.71	103,411.38	43.94	87,880.00	-15,531.38
	6,000	PRAXAIR INC/C	121	Oct 20 00	9.46	56,768.00	107.21	643,259.99	586,491.99
	2,000	PRUDENTIAL FIN/C	356	Oct 1 10	53.80	107,590.74	52.12	104,240.00	-3,350.74

Common Stocks:

**Rohahn**  
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Category	Quantity	Security	No	Date Acquired	Unit Cost	Cost Basis	Market Price	Market Value	Gain/Loss
Common Stocks	1,687	RAYONIER INCLT1/C	14	Sep 5 86	0.00	1.00	49.84	84,080.08	84,079.08
	315	RAYONIER INCLT2/C	13	Dec 19 03	17.03	5,364.80	49.84	15,699.60	10,334.80
	<u>2,002</u>	<u>Subtotal for RYN</u>			<u>2.68</u>	<u>5,365.80</u>	<u>49.84</u>	<u>99,779.68</u>	<u>94,413.88</u>
	2,000	ROYAL DUTCH SHELL/C	360	Oct 13 10	63.67	127,341.01	66.97	133,940.00	6,598.99
	2,000	SEMPRA ENEGRY/C	105	Mar 27 08	52.89	105,775.93	68.42	136,840.00	31,064.07
	3,900	SPECTRA ENERGY CORP/C	147	Feb 22 01	17.57	68,509.17	27.95	109,005.00	40,495.83
	2,700	SPECTRA ENERGY CORP LT2/C	32	Jan 7 09	16.66	44,989.51	27.95	75,465.00	30,475.49
	<u>6,600</u>	<u>Subtotal for SE</u>			<u>17.20</u>	<u>113,498.68</u>	<u>27.95</u>	<u>184,470.00</u>	<u>70,971.32</u>
	2,408	SPRINTNEXTEL/C	261	Aug 17 05	19.46	46,861.63	5.73	13,797.84	-33,063.79
	1,925	STANLEYBLKDEC LT2/C	178	Jul 23 09	26.50	51,010.56	71.91	138,426.76	87,416.20
3,200	STORA ENSO OYJ/C	52	Mar 3 05	15.13	48,420.22	6.50	20,800.00	-27,620.22	
3,000	SUNCOR ENERGY LT1/C	357	Oct 5 10	34.02	102,062.21	32.61	97,830.00	-4,232.21	
1,600	SUNCOR ENERGY LT2/C	368	Oct 5 10	33.20	53,112.75	32.61	52,176.00	-936.75	
2,508	SUNCOR ENERGY HSBC/C	268	May 18 12	36.37	91,204.49	32.61	81,785.88	-9,418.61	
<u>7,108</u>	<u>Subtotal for SU</u>			<u>34.66</u>	<u>246,379.45</u>	<u>32.61</u>	<u>231,791.88</u>	<u>-14,587.57</u>	
1,500	SYSCO CORP/C	190	Nov 3 04	34.65	51,980.03	31.65	47,475.00	-4,505.03	
200	TARGA RESOURCES/C	17	Dec 6 10	22.00	4,400.00	50.09	10,018.00	5,618.00	
2,500	TATE LYLE/C	332	Oct 17 07	37.67	94,175.57	49.72	124,300.00	30,124.43	
2,800	TECK RESOURCES/C	139	Mar 15 12	36.04	100,904.92	33.67	94,275.99	-6,628.93	
16,000	TEXAS INSTRUMENTS/C	134	Oct 20 00	2.26	36,088.58	29.47	471,519.99	435,431.41	
666	TIME WARNER NEW/C	102	Mar 8 07	111.77	74,440.08	94.89	63,196.74	-11,243.34	
2,200	TOTAL SA FRANCE/C	341	Aug 1 12	46.97	103,344.69	50.16	110,352.00	7,007.31	
2,500	TRANSALTA CORP LT1/C	125	Apr 7 06	20.08	50,200.29	15.05	37,625.00	-12,575.29	
2,100	TRANSALTA CORP LT2/C	297	Aug 31 06	22.29	46,816.91	15.05	31,605.00	-15,211.91	
<u>4,600</u>	<u>Subtotal for TAC</u>			<u>21.09</u>	<u>97,017.20</u>	<u>15.05</u>	<u>69,230.00</u>	<u>-27,787.20</u>	

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Common Stocks:									
	4,000	TRAVELERS COS INC/C	129	Oct 20 00	31.39	125,540.35	70.82	283,280.00	157,739.65
	2,160	TREDEGAR INDUSTRIES/C	136	Oct 20 00	2.25	4,850.26	18.85	40,716.00	35,865.74
	3,200	TRINITY INDUSTRIES/C	386	Oct 15 12	31.62	101,176.76	31.77	101,664.00	487.24
	4,300	TRONOX LTD/C	382	Sep 27 12	23.69	101,846.97	15.48	66,564.00	-35,282.97
	1,800	TYCO INTL/C	380	Sep 14 12	27.55	49,594.70	28.37	51,066.00	1,471.30
	3,000	UCI CORP NEW/C	318	Aug 2 07	25.98	77,955.19	33.22	99,660.00	21,724.81
	3,300	UNITED RENTAL INC/C	342	Aug 6 12	30.93	102,063.14	41.53	137,049.00	34,985.86
	3,000	UNITED STATES STEEL/C	81	Feb 6 12	32.02	96,051.22	21.56	64,680.00	-31,371.22
	5,000	UNUM GROUP/C	392	Nov 1 12	20.48	102,378.09	20.39	101,950.00	-428.09
	4,307	VERIZON COMMUNICATION/C	142	Sep 5 86	21.45	92,396.92	44.12	190,024.84	97,627.92
	1,750	VODAFONE GROUP/C	42	Feb 9 05	30.17	52,802.32	25.80	45,141.25	-7,661.07
	1,600	VODAFONE GROUP LT2/C	25	Dec 5 07	37.93	60,694.53	25.80	41,272.00	-19,422.53
	3,350	Subtotal for VOD			33.88	113,496.85	25.80	86,413.25	-27,083.60
	2,000	WELLS FARGO & CO/C	183	Oct 26 04	29.40	58,808.77	33.01	66,020.00	7,211.23
	1,991	WELLS FARGO & CO WACH/C	144	Oct 20 00	63.55	126,523.00	33.01	65,722.91	-60,800.09
	3,991	Subtotal for WFC			46.44	185,331.77	33.01	131,742.91	-53,588.86
	5,000	WILLIAMS COS INC/C	361	Oct 21 10	17.64	88,186.58	32.84	164,200.00	76,013.42
	4,000	WISC ENERGY CORP/C	18	Dec 5 07	24.79	99,169.15	37.53	150,120.00	50,950.85
	1,666	WPX ENERGY/C	73	Oct 21 10	12.01	20,003.25	15.79	26,306.14	6,302.89
	4,000	XYLEM INC/C	375	Oct 20 00	5.54	22,158.05	26.09	104,360.00	82,201.95
	1,500	3M CO/C	311	Aug 28 08	72.83	109,240.47	90.95	136,425.00	27,184.53
		Total Common Stocks:				11,114,418.04		20,814,762.58	9,700,344.54
Preferred Stocks:									
	5,000	AEGON NV 6.375/PFD	219	May 26 05	25.00	125,000.00	25.40	127,000.00	2,000.00
	4,000	ALLIANZ SE 8.375/PFD	175	Jun 4 08	25.00	100,000.00	25.78	103,124.00	3,124.00

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Prefereed Stocks:									
	2,000	ALLIANA SE 8.375LT/PPD	66	Jan 7 10	25.30	50,601.25	25.78	51,562.00	960.75
	6,000	Subtotal for ALL 8.375			25.10	150,601.25	25.78	154,686.00	4,084.75
	4,000	AMER FIN GR 5.75/PPD	354	Aug 21 12	25.00	100,000.00	25.53	102,120.00	2,120.00
	4,000	AMER FIN GR 6.375/PPD	276	Jun 7 12	25.00	100,000.00	26.40	105,600.00	5,600.00
	4,000	AIG INCORPORATED 6.45/PPD	212	Jun 1 07	25.00	100,000.00	25.18	100,720.00	720.00
	4,000	ARCH CAPITAL 6.75/PPD	162	Mar 26 12	25.00	100,000.00	26.45	105,800.00	5,800.00
	4,000	ARES CAPITAL 5.875/PPD	381	Sep 20 12	25.00	100,000.00	24.97	99,880.00	-120.00
	4,000	ARES CAPITAL 7/PPD	57	Jan 26 12	25.00	100,000.00	26.60	106,400.00	6,400.00
	4,000	BB&T CORP 5.625/PPD	323	Jul 24 12	25.00	100,000.00	25.45	101,800.00	1,800.00
	4,000	BB&T CORP 5.850/PPD	223	Apr 26 12	25.00	100,000.00	25.93	103,720.00	3,720.00
	4,000	BANK OF AMER 8.2/PPD	186	May 21 08	25.00	100,000.00	25.45	101,800.00	1,800.00
	4,000	BANK OF AMER 8.625/PPD	131	Apr 23 08	25.00	100,000.00	25.45	101,800.00	1,800.00
	3,000	CABCO GOLDMAN 6/PPD	53	Mar 2 04	25.00	75,000.00	24.66	73,980.00	-1,020.00
	6,000	CABCO SER 2004 TR/PPD	75	May 14 04	25.00	150,000.00	18.08	108,492.00	-41,508.00
	2,000	CAPITAL ONE 7.5/PPD	193	May 24 06	25.00	50,000.00	25.53	51,060.00	1,060.00
	4,000	CHARLES SCHWAB 6/PPD	249	May 30 12	25.00	100,000.00	26.02	104,080.00	4,080.00
	3,000	CITIGROUP 6.35/PPD	161	Feb 28 07	25.00	75,000.00	25.34	76,017.00	1,017.00
	4,000	CITIGROUP CAP 6.5/PPD	298	Sep 8 06	25.00	100,000.00	25.41	101,636.00	1,636.00
	4,000	CONSTELLATION 8.625/PPD	196	Jun 23 08	25.00	100,000.00	26.40	105,600.00	5,600.00
	4,000	DEUTSCHE BK 6.625/PPD	269	Jul 13 07	25.00	100,000.00	25.16	100,640.00	640.00
	400	DTE ENERGY 6.5/PPD	373	Nov 28 11	25.00	10,000.00	27.42	10,968.00	968.00
	6,000	ESCROW ENRON 8.30/PPD	244	Jul 1 05	0.00	1.00	0.00	1.00	0.00
	4,000	GENERAL ELECTRIC 6.05%/PPD	99	Jan 30 07	25.00	100,000.00	25.76	103,040.00	3,040.00
	4,000	GENERAL ELECTRIC 4.875/PPD	384	Oct 2 12	25.00	100,000.00	25.09	100,360.00	360.00
	1,000	ESC GENERAL MTRS 7.25/PPD	224	Feb 12 02	0.00	1.00	0.00	1.00	0.00
	2,000	GOLDMAN SACHS FL A/PPD	171	Apr 14 05	25.00	50,000.00	20.50	41,000.00	-9,000.00
	4,000	GOLDMAN SACHS 6.5/PPD	366	Oct 20 11	25.00	100,000.00	27.00	108,000.00	8,000.00
	1,055	HOSPITALITY PROP/PPD	154	Feb 16 07	25.00	26,375.00	25.33	26,723.15	348.15
	2,000	HSBC HOLDINGS 6.20/PPD	267	Sep 16 05	25.00	50,000.00	25.06	50,120.00	120.00
	4,000	HSBC HOLDINGS 8.125/PPD	111	Apr 12 08	25.00	100,000.00	25.91	103,640.00	3,640.00

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Preferred Stocks:									
	4,000	ING GROEP 7.375/PFD	330	Sep 27 07	25 00	100,000.00	25.28	101,120.00	1,120.00
	4,000	ING GROEP 8.5/PFD	191	Jun 11 08	25 00	100,000.00	25.76	103,040.00	3,040.00
	4,000	JP MORGAN 5.875/PFD	124	Jun 9 03	25 00	100,000.00	25.38	101,520.00	1,520.00
	1,400	JP MORGAN 6.25/PFD	221	Sep 29 03	25 00	35,000.00	25.49	35,686.00	686.00
	2,000	JP MORGAN 6.875/PFD	308	Jul 26 07	25 00	50,000.00	25.61	51,220.00	1,220.00
	4,000	M&T 8.5/PFD	61	Jan 24 08	25 00	100,000.00	25.75	103,000.00	3,000.00
	4,000	MER LYN 6 45 DEC/PFD	22	Dec 8 06	25 00	100,000.00	25.14	100,560.00	560.00
	2,000	MER LYN 6.45 JUN/PFD	194	Apr 26 07	25 00	50,000.00	25.16	50,320.00	320.00
	2,000	METLIFE FLOATER 4/PFD	232	Jun 7 05	25 00	50,000.00	25 00	50,000.00	0 00
	4,000	METLIFE FLOATER 6.5/PFD	233	Jun 7 05	25 00	100,000.00	25.24	100,960.00	960.00
	2,000	MORGAN STAN FEB 6.6/PFD	23	Jan 19 06	25 00	50,000.00	25.04	50,080.00	80.00
	2,000	MORGAN STAN OCT 6.6/PFD	307	Oct 5 06	25 00	50,000.00	25.10	50,200.00	200.00
	4,000	NEXTERA ENERGY 5.125/PFD	395	Nov 14 12	25 00	100,000 00	25.09	100,360.00	360.00
	4,000	NEXTERA ENERGY 5.625/PFD	280	Jun 12 12	25 00	100,000 00	26.21	104,840.00	4,840.00
	4,300	PARTNERRE 6.50 LTD/PFD	195	Nov 12 04	25 00	107,505.25	25.21	108,403.00	897.75
	4,000	PRUDENTIAL FIN 5.75/PFD	397	Nov 27 12	25 00	100,000.00	25 00	100,000.00	0 00
	4,000	PUBLIC STORAGE 5.375/PFD	378	Sep 11 12	25 00	100,000 00	25.57	102,280.00	2,280.00
	4,000	PUBLIC STORAGE 5.625/PFD	274	Jun 6 12	25 00	100,000.00	26.03	104,120.00	4,120.00
	4,000	QWEST CORP 7.00/PFD	149	Mar 22 12	25 00	100,000 00	26.55	106,200.00	6,200.00
	4,000	QWEST CORP 7.375/PFD	252	Jun 1 11	25 00	100,000.00	26.65	106,600.00	6,600.00
	6,500	RBS CAPS SER E5.9/PFD	174	Jun 26 03	25 00	162,500.00	19.81	128,765.00	-33,735.00
	4,000	REINSURANCE GR AMER 6.2/PFD	348	Aug 14 12	25 00	100,000.00	26.85	107,400.00	7,400.00
	4,430	RENAISSANCE RE 6.08/PFD	59	Mar 18 04	25 00	110,750.00	25.01	110,794.30	44.30
	3,000	RENAISSANCE HLDG 6.6/PFD	26	Dec 13 06	25 00	75,000.00	25.14	75,420.00	420.00
	4,000	SCE TRUST 5.625/PFD	226	May 10 12	25 00	100,000.00	25.90	103,600.00	3,600.00
	4,000	STANLEY B&D 5.75/PFD	325	Jul 18 12	25 00	100,000.00	26.17	104,680.00	4,680.00
	4,000	TELEPHONE & DATA 5.875/PFD	396	Nov 26 12	25 00	100,000.00	25 00	100,000.00	0 00
	5,000	TELEPHONE & DATA 6.625/PFD	85	Mar 24 05	25 00	125,000.00	25.48	127,400.00	2,400 00
	2,000	VORNADO RLTY TR 6.625/PFD	257	Aug 24 05	25 00	50,000.00	25.34	50,680.00	680.00
	4,000	WELLS FARGO 5.125/PFD	394	Nov 13 12	25 00	100,000.00	25 00	100,000.00	0 00
	4,000	WELLS FARGO 5.2/PFD	347	Aug 9 12	25 00	100,000.00	25.02	100,080.00	80.00

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<b>Preferred Stocks:</b>									
<b>Total Preferred Stocks:</b>									
			100	Feb 10 12	77.10	99,998.70	76.81	5,416,012.45	38,278.95
	1,297	DEUTSCHE BK BHP9.5/LINK						99,618.68	-380.02
	10,000	DEUTSCHE BK HALL AUG/LINK	379	Sep 14 12	10.00	100,000.00	9.99	99,920.00	-80.00
	4,618	HSBC USA CSX 9.2/LINK	12	Dec 2 11	21.65	99,979.70	21.54	99,471.72	-507.98
	1,000	HSBC BANK USA413/LINK	294	Oct 27 09	100.00	100,000.00	116.19	116,190.00	16,190.00
	10,000	JP MORGAN ABX/LINK	377	Sep 7 12	10.00	100,000.00	9.13	91,300.00	-8,700.00
	10,000	JP MORGAN CMI/LINK	385	Oct 5 12	10.00	100,000.00	10.23	102,300.00	2,300.00
	10,000	JP MORGAN CSX/LINK	285	Jun 21 12	10.00	100,000.00	10.10	101,000.00	1,000.00
	10,000	JP MORGAN CSX AUG13/LINK	337	Jul 27 12	10.00	100,000.00	9.71	97,100.00	-2,900.00
	850	JP MORGAN DE 8.65/LINK	48	Jan 6 12	82.30	69,955.00	82.72	70,312.00	357.00
	10,000	JP MORGAN GNW/LINK	393	Nov 9 12	10.00	100,000.00	9.84	98,400.00	-1,600.00
	10,000	JP MORGAN MS/LINK	176	Apr 5 12	10.00	100,000.00	10.14	101,400.00	1,400.00
	10,000	JP MORGAN SLE/LINK	62	Jan 27 12	10.00	100,000.00	10.78	107,800.00	7,800.00
	4,568	JP MORGAN VLO 10.68/LINK	282	Jun 14 12	21.89	99,993.52	22.68	103,602.24	3,608.72
	10,000	UBS AG CARAOS INTC/LINK	114	Mar 2 12	10.00	100,000.00	7.85	78,490.00	-21,510.00
	10,000	UBS AG TRIG PAOS LNC/LINK	388	Oct 19 12	10.00	100,000.00	9.96	99,600.00	-400.00
	10,000	UBS AG TRIG PAOS PER/LINK	138	Mar 9 12	10.00	100,000.00	6.68	66,770.00	-33,230.00
	10,000	UBS AG TRIG PAOS UR/LINK	398	Nov 28 12	10.00	100,000.00	10.00	100,000.00	0.00
	2,925	UBS TRIG YON MET7.78/LINK	362	Aug 29 12	34.18	99,976.50	33.51	98,016.75	-1,959.75
	3,399	UBS TRIG YON SWN11.13/LINK	56	Jan 13 12	29.42	99,998.58	29.60	100,627.39	628.81
		<b>Total Linked Index Basket Fund:</b>				<b>1,869,902.00</b>		<b>1,831,918.78</b>	<b>-37,983.22</b>
<b>Mutual Fund Investments:</b>									
	6,000	ALPS ETF ALERIAN/MUT	84	Feb 8 12	16.80	100,781.91	16.34	98,040.00	-2,741.91
	3,000	ESC DWS REAL ESTATE/MUT	258	Jun 25 10	0.00	1.00	0.00	1.00	0.00
	5,400	ESC DWS REAL EST11/MUT	256	Jun 23 10	0.00	1.00	0.00	1.00	0.00
	5,000	EATON VANCE ADV/MUT	292	Aug 26 08	19.39	96,938.48	13.82	69,100.00	-27,838.48
	3,500	CBRE CLARION/MUT	41	Jan 27 05	14.49	50,705.08	8.92	31,220.00	-19,485.08

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Mutual Fund Investments:									
	9,000	CBRE CLARION LT2/MUT	55	Jan 10 12	7.23	65,032.24	8.92	80,280.00	15,247.76
	98	CBRE CLARION DRS/MUT	288	Jan 27 05	13.52	1,324.51	8.92	874.16	-450.35
	<u>12,598</u>	<u>Subtotal for IGR</u>			<u>9.29</u>	<u>117,061.83</u>	<u>8.92</u>	<u>112,374.16</u>	<u>-4,687.67</u>
	2,500	ING GLOBAL EQUITY/MUT	88	Mar 28 05	20.00	50,000.00	8.55	21,375.00	-28,625.00
	2,500	ING GLOBAL ADV/MUT	275	Oct 26 05	20.00	50,000.00	11.32	28,300.00	-21,700.00
	2,000	JOHN HANCOCK IJMUT	227	Sep 4 03	24.81	49,612.11	22.32	44,640.00	-4,972.11
	2,200	JOHN HANCOCK LT2/MUT	296	Aug 31 06	23.93	52,647.76	22.32	49,104.00	-3,543.76
	<u>4,200</u>	<u>Subtotal for HPF</u>			<u>24.35</u>	<u>102,259.87</u>	<u>22.32</u>	<u>93,744.00</u>	<u>-8,515.87</u>
	2,000	KAYNE ANDRSN ENDL /MUT	301	Sep 20 06	25.00	50,000.00	26.01	52,020.00	2,020.00
	2,000	KAYNE ANDRSN ENDL LT2/MUT	69	Feb 13 08	25.01	50,029.13	26.01	52,020.00	1,990.87
	<u>4,000</u>	<u>Subtotal for KED</u>			<u>25.01</u>	<u>100,029.13</u>	<u>26.01</u>	<u>104,040.00</u>	<u>4,010.87</u>
	4,000	KAYNE AND MIDSTREAM/MUT	365	Nov 23 10	25.00	100,000.00	28.04	112,160.00	12,160.00
	476	KAYNE AND MIDSTREAM DR/MUT	163	Nov 23 10	25.50	12,136.81	28.04	13,347.04	1,210.23
	<u>4,476</u>	<u>Subtotal for KMF</u>			<u>25.05</u>	<u>112,136.81</u>	<u>28.04</u>	<u>125,507.04</u>	<u>13,370.23</u>
	6,400	NUVEEN QUALITY/MUT	322	Aug 17 07	11.07	70,871.45	8.64	55,296.00	-15,575.45
	4,000	STONE HBR/MUT	33	Dec 22 10	25.00	100,000.00	24.70	98,800.00	-1,200.00
	713	STONE HBR DR/MUT	166	Dec 22 10	23.70	16,901.62	24.70	17,611.10	709.48
	<u>4,713</u>	<u>Subtotal for STONE</u>			<u>24.80</u>	<u>116,901.62</u>	<u>24.70</u>	<u>116,411.10</u>	<u>-490.52</u>
	8,710	TEMPLETON EMER LT1/MUT	21	Sep 5 86	12.65	110,178.26	17.07	148,679.70	38,501.44
	708	TEMPLETON EMER LT2/MUT	187	Nov 4 04	13.38	9,473.04	17.07	12,085.56	2,612.52
	<u>9,418</u>	<u>Subtotal for TEI</u>			<u>12.70</u>	<u>119,651.30</u>	<u>17.07</u>	<u>160,765.26</u>	<u>41,113.96</u>
	4,000	TORTOISE PIPELINE/MUT	367	Oct 26 11	25.00	100,000.00	24.15	96,616.00	-3,384.00
	17,725.182	UBS DYNAMIC CL AMUT	45	Feb 23 05	8.32	147,414.21	6.81	120,708.49	-26,705.72

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Mutual Fund Investments:	15,331.939	UBS GLOBAL ALLOC/MUT	158	Jun 16 03	10.52	163,388.99	9.41	146,155.54	-17,233.45
	25	MOTORS LIQ CO/MUT	303	Jun 12 12	0.04	1.00	19.50	487.50	486.50
		<b>Total Mutual Fund Investments:</b>				<b>1,447,438.60</b>		<b>1,348,922.09</b>	<b>-98,516.51</b>
Corporate Bonds:	100,000	APPALACHIAN PWR 4.95/B	35	Jan 15 09	91.41	91,405.25	107.46	107,462.00	16,056.75
	50,000	BEAR STEARNS COMP/B	38	Feb 11 04	100.00	50,000.00	100.40	50,201.50	201.50
	60,000	CONSTELLATION ENERGY/B	74	May 5 04	91.80	55,078.05	108.42	65,049.00	9,970.95
	100,000	CSX 6.25/B	65	Feb 2 09	94.50	94,496.25	122.86	122,855.00	28,358.75
	100,000	ENCANA CORP 5.9/B	349	Nov 5 08	86.32	86,324.25	119.20	119,200.00	32,875.75
	82,000	ENERGY TRANSFER 5.95/B	96	Feb 26 09	92.60	75,932.33	109.80	90,036.82	14,104.49
	110,000	EQUITABLE RES 6.5/B	316	Nov 4 09	105.67	116,241.15	116.01	127,611.00	11,369.85
	50,000	INDIANA MICH PWR 7/B	36	Jan 23 09	99.84	49,919.25	127.62	63,809.50	13,890.25
	100,000	INTL PAPER 7.95/B	315	Aug 6 08	101.86	101,859.25	129.45	129,453.00	27,593.75
	50,000	JOHN HANCOCK SIGN/B	43	Feb 22 05	100.00	50,000.00	100.00	50,001.50	1.50
	100,000	KRAFT FOODS 6.125/B	343	Oct 27 08	86.42	86,419.25	122.40	122,399.00	35,979.75
	100,000	LAKEHEAD 7/B	98	Mar 10 09	86.61	86,609.25	120.03	120,034.00	33,424.75
	25,000	MISSOURI PAC RR 4.75 LT1/B	235	May 9 02	66.42	16,605.25	101.50	25,375.00	8,769.75
	12,000	MISSOURI PAC RR 4.75 LT2/B	239	May 23 02	66.09	7,931.25	101.50	12,180.00	4,248.75
	5,000	MISSOURI PAC RR 4.75 LT3/B	248	Jul 26 02	66.16	3,307.75	101.50	5,075.00	1,767.25
	42,000	Subtotal for MISS PAC RR			66.30	27,844.25	101.50	42,630.00	14,785.75
	50,000	MORGAN STAN 4.0/B	273	Jul 28 10	100.00	50,000.00	101.02	50,511.50	511.50
	50,000	NORANDA INC 6/B	202	May 23 05	101.16	50,577.75	111.50	55,752.00	5,174.25
	60,000	PPL ENERGY SUPP 6.5/B	2	Dec 2 08	79.49	47,692.05	120.93	72,559.20	24,867.15
	50,000	ROUSE CO NTS/B	146	Sep 8 04	96.18	48,091.75	102.50	51,250.00	3,158.25
	40,000	SOUTHERN POWER/B	128	Mar 29 05	98.10	39,239.25	110.09	44,036.80	4,797.55
	70,000	UNION CAR LT1 7.875/B	8	Dec 27 02	100.01	70,005.25	128.03	89,623.80	19,618.55
	10,000	UNION CAR LT2 7.875/B	27	Mar 4 03	99.55	9,955.25	128.03	12,803.40	2,848.15

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Corporate Bonds:	20,000	UNION CAR LT3 7.875/B	152	Sep 28 04	101.03	20,205.25	128.03	25,606.80	5,401.55
	100,000	Subtotal for UNION 7.875			100.17	100,165.75	128.03	128,034.00	27,868.25
		Total Corporate Bonds:				1,307,895.08		1,612,885.82	304,990.74
Warrants:									
	89	WTS GENRL MOTORS JULY19/WT	182	Feb 12 02	66.48	5,917.14	10.57	940.73	-4,976.41
	89	WTS GENRL MOTORS JULY16/WT	189	Feb 12 02	85.70	7,627.38	16.72	1,488.08	-6,139.30
		Total Warrants:				13,544.52		2,428.81	-11,115.71
						23,195,975.18		33,091,973.97	9,895,998.79
<b>TOTAL ALL SECURITIES</b>									
<b>SUMMARY BY TYPE</b>									
Common/Preferred Stocks									
Common Stocks:						11,114,418.04		20,814,762.58	9,700,344.54
Preferred Stocks:						5,377,733.50		5,416,012.45	38,278.95
Linked Index Basket Fund:						1,869,902.00		1,831,918.78	-37,983.22
Mutual Fund Investments:						1,447,438.60		1,348,922.09	-98,516.51
Total Common/Preferred Stocks						19,809,492.14		29,411,615.90	9,602,123.76
Bonds									
Corporate Bonds:						1,307,895.08		1,612,885.82	304,990.74
Total Bonds						1,307,895.08		1,612,885.82	304,990.74
Traded Options/Warrants									
Warrants:						13,544.52		2,428.81	-11,115.71
Total Traded Options/Warrants						13,544.52		2,428.81	-11,115.71
Marketable Investments									
Money Market Accounts:						2,065,043.44		2,065,043.44	0.00
Total Marketable Investments						2,065,043.44		2,065,043.44	0.00
<b>TOTAL ALL SECURITIES</b>						23,195,975.18		33,091,973.97	9,895,998.79

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Money Market Accounts:									
	0	PAIN WEBBER MONEY FUND	11	Dec 28 12		3,843,071.00	0.00	3,843,071.00	0.00
		<b>Total Money Market Accounts:</b>				<b>3,843,071.00</b>		<b>3,843,071.00</b>	<b>0.00</b>
Common Stocks:									
	5,000	ABB LTD SPON/C	289	Oct 8 09	20.82	104,095.32	25.55	127,750.00	23,654.68
	2,300	ABODE SYSTEMS/C	20	Dec 5 07	44.25	101,783.61	56.78	130,594.00	28,810.39
	900	ADT CORP/C	389	Sep 14 12	35.79	32,209.61	40.56	36,504.00	4,294.39
	1,700	AETNA INC/C	167	Mar 8 07	44.39	75,462.02	68.93	117,181.00	41,718.98
	2,300	AETNA INC LT2/C	173	Jun 25 09	26.16	60,175.95	68.93	158,539.00	98,363.05
	<b>4,000</b>	<b>Subtotal for AET</b>	<b>33.91</b>			<b>135,637.97</b>	<b>68.93</b>	<b>275,720.00</b>	<b>140,082.03</b>
	4,800	ALBERMARLE/C	15	Oct 20 00	4.15	19,898.47	68.71	329,808.00	309,909.53
	2,209	ALPHA NATURAL RES/C	369	Oct 31 11	40.36	89,151.87	6.68	14,756.12	-74,395.75
	1,341	AMEREN CORP/C	228	May 16 05	50.78	68,095.25	35.85	48,074.85	-20,020.40
	12,000	AMERICA MOVIL SA DE/C	46	Sep 5 86	1.16	13,965.70	23.24	278,880.00	264,914.30
	1,421	AMERIPRISE FINANCIAL/C	277	Oct 20 00	8.68	12,327.43	108.25	153,823.25	141,495.82
	1,379	AMERIPRISE FINANCIAL LT2/C	225	Oct 20 00	39.15	53,993.82	108.25	149,276.75	95,282.93
	<b>2,800</b>	<b>Subtotal for AMP</b>	<b>23.69</b>			<b>66,321.25</b>	<b>108.25</b>	<b>303,100.00</b>	<b>236,778.75</b>
	2,000	AMGEN INC/C	291	Oct 14 09	60.83	121,669.76	114.08	228,160.00	106,490.24
	1,142	ANADARKO PETROLEUM/C	49	Sep 5 86	13.38	15,276.23	88.82	101,432.44	86,156.21
	858	ANADARKO PETROLEUM LT2/C	327	Sep 14 07	51.09	43,832.41	88.82	76,207.56	32,375.15
	500	ANADARKO PETROLEUM LT3/C	133	Mar 7 12	83.14	41,568.44	88.82	44,410.00	2,841.56
	<b>2,500</b>	<b>Subtotal for APC</b>	<b>40.27</b>			<b>100,677.08</b>	<b>88.82</b>	<b>222,050.00</b>	<b>121,372.92</b>
	6,000	APPLIED MATERIALS/C	159	Mar 24 11	15.46	92,784.83	17.30	103,800.00	11,015.17
	12,806	ARCHER DANIELS MIDLAND/C	50	Oct 20 00	5.26	67,389.14	40.25	515,441.50	448,052.36
	2,500	ASTRAZENECA/C	40	Dec 10 09	45.58	113,950.86	57.19	142,975.00	29,024.14

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Common Stocks:	3,800	AVISTA CORP/C	82	Feb 20 13	26.23	99,679.02	27.25	103,550.00	3,870.98
	12,756	AT & T/C	126	Oct 20 00	10.95	139,699.44	35.21	449,138.75	309,439.31
	7,939	AT&T BS/C	145	Oct 20 00	8.42	66,883.32	35.21	279,532.18	212,648.86
	<b>20,695</b>	<b>Subtotal for A T&amp;T</b>			<b>9.98</b>	<b>206,582.76</b>	<b>35.21</b>	<b>728,670.93</b>	<b>522,088.17</b>
	1,500	BP PLC SPON ADR/C	312	Nov 1 06	68.00	102,005.36	47.01	70,515.00	-31,490.36
	1,300	BP PLC SPON ADR LT2/C	240	Sep 17 09	55.09	71,614.98	47.01	61,113.00	-10,501.98
	<b>2,800</b>	<b>Subtotal for BP</b>			<b>62.01</b>	<b>173,620.34</b>	<b>47.01</b>	<b>131,628.00</b>	<b>-41,992.34</b>
	5,807	BANK OF AMERICA HSBC/C	352	Sep 28 09	17.22	99,996.54	15.82	91,866.74	-8,129.80
	6,257	BANK OF AMERICA DE/C	376	Nov 18 11	13.19	82,509.15	15.82	98,985.74	16,476.59
	<b>12,064</b>	<b>Subtotal for BAC</b>			<b>15.13</b>	<b>182,505.69</b>	<b>15.82</b>	<b>190,852.48</b>	<b>8,346.79</b>
	1,600	BASF AG SPON/C	156	Apr 7 05	36.59	58,551.39	106.94	171,104.00	112,552.61
	1,077	BHP BILLITON-UBS BHP/C	160	Mar 29 11	92.79	99,934.83	68.22	73,472.94	-26,461.89
	2,000	BRISTOL MYERS SQ/C	164	Mar 1 07	26.36	52,721.89	51.38	102,760.00	50,038.11
	4,000	BRISTOL MYERS SQ LT2/C	336	Mar 1 07	21.12	84,466.66	51.38	205,520.00	121,053.34
	<b>6,000</b>	<b>Subtotal for BMY</b>			<b>22.86</b>	<b>137,188.55</b>	<b>51.38</b>	<b>308,280.00</b>	<b>171,091.45</b>
	6,000	CALPINE CORP/C	168	Apr 4 11	15.95	95,675.20	18.91	113,460.00	17,784.80
	2,200	CANADIAN NAT RES/C	180	Apr 20 11	46.48	102,249.63	32.92	72,424.00	-29,825.63
	2,000	CANADIAN NAT RES LT2/C	101	Mar 27 13	32.31	64,611.65	32.92	65,840.00	1,228.35
	<b>4,200</b>	<b>Subtotal for CNQ</b>			<b>39.73</b>	<b>166,861.28</b>	<b>32.92</b>	<b>138,264.00</b>	<b>-28,597.28</b>
	1,500	CANADIAN PAC RRC	60	Oct 3 01	15.71	23,571.20	153.88	230,820.01	207,248.81
	406	CENTURYLINK INC/C	122	Sep 5 86	66.85	27,139.09	30.70	12,464.20	-14,674.89
	2,000	CIGNA CORP/C	130	Apr 25 08	43.39	86,783.43	87.45	174,899.99	88,116.56
	2,879	CHEVRON/C	260	Oct 20 00	11.08	31,912.76	122.44	352,504.77	320,592.01
	4,400	COCA COLA/C	310	Oct 19 06	22.45	98,792.28	40.19	176,835.99	78,043.71

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Common Stocks:									
	4,000	COLGATE PALMOLIVE/C	64	Oct 20 00	11.85	47,391.92	65.81	263,239.99	215,848.07
	4,500	CONAGRA FOOD/C	30	Dec 21 10	22.55	101,485.77	32.99	148,455.01	46,969.24
	2,400	CONS ENERGY LT2/C	329	Aug 19 11	42.56	102,147.13	35.58	85,392.00	-16,755.13
	4,200	CSX CORP/C	203	Jun 27 13	23.59	99,090.43	27.27	114,534.00	15,443.57
	2,000	DEUTSCHE BANK/C	4	Dec 1 10	50.03	100,054.08	48.33	96,652.00	-3,402.08
	635	DEUTSCHE BANK LT2/C	172	Mar 30 12	66.91	42,490.47	48.33	30,687.01	-11,803.46
	<b>2,635</b>	<b>Subtotal for DB</b>			<b>54.10</b>	<b>142,544.55</b>	<b>48.33</b>	<b>127,339.01</b>	<b>-15,205.54</b>
	1,300	DOW CHEMICAL LT1/C	197	May 25 06	40.00	51,998.03	39.06	50,778.00	-1,220.03
	1,700	DOW CHEMICAL LT2/C	44	Dec 17 07	42.37	72,023.10	39.06	66,402.00	-5,621.10
	2,200	DOW CHEMICAL LT3/C	241	Sep 22 09	26.73	58,795.81	39.06	85,932.00	27,136.19
	<b>5,200</b>	<b>Subtotal for DOW</b>			<b>35.16</b>	<b>182,816.94</b>	<b>39.06</b>	<b>203,112.00</b>	<b>20,295.06</b>
	1,400	DUKE ENERGY/C	210	Aug 12 13	70.98	99,376.23	69.96	97,944.00	-1,432.23
	500	DUN & BRADSTREET/C	71	Sep 5 86	5.50	2,751.08	116.85	58,425.00	55,673.92
	3,000	DU PONT DE NEMOURS/C	72	Oct 20 00	13.60	40,806.49	61.38	184,140.00	143,333.51
	1,700	E ON AG SPON/C	234	Jun 14 05	29.30	49,814.91	19.26	32,742.00	-17,072.91
	792	ENCANA CORP LT1/C	115	Oct 10 01	7.68	6,084.17	19.19	15,198.48	9,114.31
	2,208	ENCANA CORP 5-16/C	117	May 16 01	8.37	18,491.03	19.19	42,371.52	23,880.49
	<b>3,000</b>	<b>Subtotal for ECA</b>			<b>8.19</b>	<b>24,575.20</b>	<b>19.19</b>	<b>57,570.00</b>	<b>32,994.80</b>
	2,000	ENI SPA IT/C	284	Nov 19 13	49.14	98,274.48	47.86	95,720.00	-2,554.48
	2,600	EQT/C	363	Nov 4 10	38.86	101,040.42	85.11	221,286.00	120,245.58
	542	EXPRESS SCRIPTS MED/C	205	Apr 3 12	30.69	16,636.38	67.35	36,503.70	19,867.32
	7,900	EXXON MOBIL/C	76	Oct 20 00	9.44	74,566.75	93.48	738,492.03	663,925.28
	4,000	EXELIS INC/C	374	Oct 20 00	2.39	9,572.41	17.67	70,680.00	61,107.59
	2,200	FIRST ENERGY CORP/C	112	Mar 1 12	44.21	97,267.00	32.63	71,786.00	-25,481.00
	4,000	FOSTER WHEELER/C	188	Apr 1 10	28.51	114,033.57	30.33	121,320.00	7,286.43
	1,033	FRONTIER COMMUNIC/C	305	Jul 2 10	5.91	6,108.41	4.68	4,834.44	-1,273.97
	7,000	GASLOG LTD/C	150	May 15 13	13.31	93,137.38	15.93	111,510.00	18,372.62

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Common Stocks:									
	3,000	GENERAL ELECTRIC LT1/C	80	Oct 20 00	17.11	51,329.39	26.66	79,980.00	28,650.61
	3,000	GENERAL ELECTRIC LT2/C	230	Jul 16 08	27.29	81,863.25	26.66	79,980.00	-1,883.25
	3,000	GENERAL ELECTRIC LT3/C	242	May 16 12	19.27	57,806.05	26.66	79,980.00	22,173.95
	<b>9,000</b>	<b>Subtotal for GE</b>			<b>21.22</b>	<b>190,998.69</b>	<b>26.66</b>	<b>239,940.00</b>	<b>48,941.31</b>
	98	GENERAL MOTOR CO/C	199	Feb 12 02	116.88	11,454.48	38.73	3,795.54	-7,658.94
	2,372	GENTIVA HEALTH SER/C	6	Sep 5 86	0.00	1.00	12.35	29,294.20	29,293.20
	5,000	GENWORTH FINANCIAL/C	78	May 24 04	19.50	97,500.00	15.11	75,550.00	-21,950.00
	3,000	GLAXO SMITHKLINE PLC/C	83	Oct 26 00	9.12	27,371.54	52.92	158,759.99	131,388.45
	2,200	HALLIBURTON/C	207	Jul 23 13	46.08	101,381.35	52.68	115,896.00	14,514.65
	1,700	HEWLETT PACKARD/C	328	Aug 4 10	47.02	79,936.03	27.35	46,495.00	-33,441.03
	2,000	HEWLETT PACKARD LT2/C	350	Sep 23 11	21.95	43,905.24	27.35	54,700.00	10,794.76
	<b>3,700</b>	<b>Subtotal for HPQ</b>			<b>33.47</b>	<b>123,841.27</b>	<b>27.35</b>	<b>101,195.00</b>	<b>-22,646.27</b>
	4,000	HUNTSMAN CORP LT1/C	306	Sep 29 06	18.38	73,536.72	22.93	91,720.00	18,183.28
	2,000	HUNTSMAN CORP LT2/C	237	Jul 21 08	13.38	26,751.27	22.93	45,860.00	19,108.73
	<b>6,000</b>	<b>Subtotal for HUN</b>			<b>16.71</b>	<b>100,287.99</b>	<b>22.93</b>	<b>137,580.00</b>	<b>37,292.01</b>
	4,000	INTEL CORP/C	340	Sep 24 07	25.98	103,920.00	23.84	95,360.00	-8,560.00
	2,000	INTL BUSINESS MACH/C	90	Oct 20 00	31.18	62,352.31	179.68	359,359.99	297,007.68
	3,000	INTL PAPER CO LT2/C	116	Mar 16 09	7.02	21,059.00	46.65	139,950.00	118,891.00
	200	ITC HOLDING CORP/C	247	Jul 25 05	23.00	4,600.00	90.48	18,096.00	13,496.00
	1,200	ITC HOLDING CORP LT2/C	16	Dec 6 11	72.75	87,302.63	90.48	108,576.00	21,273.37
	<b>1,400</b>	<b>Subtotal for ITC</b>			<b>65.64</b>	<b>91,902.63</b>	<b>90.48</b>	<b>126,672.00</b>	<b>34,769.37</b>
	2,000	ITT CORP/C	92	Oct 20 00	3.70	7,394.54	40.82	81,640.00	74,245.46
	2,500	JP MORGAN CHASE/C	272	Jun 28 11	40.16	100,403.00	57.22	143,050.00	42,647.00
	8,040	JOHNSON & JOHNSON LT1/C	94	Oct 20 00	5.12	41,136.74	94.66	761,066.43	719,929.69

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<u>Category</u>	<u>Quantity</u>	<u>Security</u>	<u>No</u>	<u>Date</u> <u>Acquired</u>	<u>Unit</u> <u>Cost</u>	<u>Cost Basis</u>	<u>Market</u> <u>Price</u>	<u>Market Value</u>	<u>Gain/Loss</u>
Common Stocks:	1,960	JOHNSON & JOHNSON LT2/C	95	Oct 20 00	18.97	37,176.93	94.66	185,533.61	148,356.68
	<b>10,000</b>	<b>Subtotal for JNJ</b>			<b>7.83</b>	<b>78,313.67</b>	<b>94.66</b>	<b>946,600.04</b>	<b>868,286.37</b>
	2,500	KUBOTA CORP JAPAN/C	185	May 14 08	36.25	90,633.91	85.79	214,475.00	123,841.09
	1,347	LINCOLN NATL CORP/C	140	Oct 20 00	45.67	61,519.00	51.33	69,141.51	7,622.51
	3,853	LINCOLN NATL CORP LT2/C	181	Jul 23 09	18.28	70,420.84	51.33	197,774.50	127,353.66
	<b>5,200</b>	<b>Subtotal for LNC</b>			<b>25.37</b>	<b>131,939.84</b>	<b>51.33</b>	<b>266,916.01</b>	<b>134,976.17</b>
	24,000	MCCORMICK & CO/C	103	Oct 20 00	3.31	79,364.09	69.00	1,656,000.00	1,576,635.91
	4,000	MCDERMOTT INTL/C	127	Feb 18 10	12.56	50,238.00	8.15	32,600.00	-17,638.00
	3,500	MCDERMOTT INTL LT2/C	326	Aug 12 11	14.52	50,811.50	8.15	28,525.00	-22,286.50
	<b>7,500</b>	<b>Subtotal for MIDR</b>			<b>13.47</b>	<b>101,049.50</b>	<b>8.15</b>	<b>61,125.00</b>	<b>-39,924.50</b>
	10,125	MDU RESOURCES GR/C	104	Oct 20 00	4.87	49,334.99	29.67	300,408.75	251,073.76
	1,700	MEADWESTVACO CORP/C	238	Jun 14 05	26.50	45,055.35	35.11	59,687.00	14,631.65
	5,000	MEADWESTVACO CORP LT2/C	29	Dec 17 08	10.92	54,613.04	35.11	175,550.00	120,936.96
	<b>6,700</b>	<b>Subtotal for MWV</b>			<b>14.88</b>	<b>99,668.39</b>	<b>35.11</b>	<b>235,237.00</b>	<b>135,568.61</b>
	14,994	MERCK CO SCHPL/C	321	Nov 5 09	2.54	38,129.75	49.83	747,151.05	709,021.30
	2,800	METLIFE INC/C	70	Feb 1 12	36.44	102,045.07	52.19	146,132.00	44,086.93
	1,200	MF GLOBAL/C	299	Jul 18 07	30.00	36,000.00	0.00	0.12	-35,999.88
	1,440	MID AMERICA APT/C	278	May 15 13	67.62	97,371.50	60.24	86,745.60	-10,625.90
	2,000	MOODYS CORP/C	106	Sep 5 86	4.44	8,876.48	74.63	149,259.99	140,383.51
	1,500	NATL FUEL GAS CO/C	270	Sep 26 05	34.20	51,302.01	67.48	101,220.01	49,918.00
	2,200	NATIONAL GRID/C	63	Feb 10 11	45.92	101,033.17	63.36	139,392.00	38,358.83
	2,000	NEXTERA ENERGY/C	153	Mar 22 11	54.20	108,391.75	84.59	169,179.99	60,788.24
	1,500	NORFOLK STHN CORP/C	279	Jul 26 06	40.96	61,432.96	87.69	131,535.00	70,102.04
	2,500	NORTHEAST UTIL/C	5	Dec 16 05	20.30	50,759.13	41.08	102,700.00	51,940.87

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Common Stocks:									
	2,500	NORTHEAST UTIL LT2/C	359	Oct 8 10	30.43	76,066.86	41.08	102,700.00	26,633.14
	<b>5,000</b>	<b>Subtotal for NU</b>			<b>25.37</b>	<b>126,825.99</b>	<b>41.08</b>	<b>205,400.00</b>	<b>78,574.01</b>
	1,000	NOVARTIS AG/C	229	Jun 6 05	49.70	49,697.11	79.12	79,120.00	29,422.89
	1,000	NOVARTIS AG LT2/C	39	Jan 6 11	58.27	58,266.85	79.12	79,120.00	20,853.15
	<b>2,000</b>	<b>Subtotal for NVS</b>			<b>53.98</b>	<b>107,963.96</b>	<b>79.12</b>	<b>158,240.00</b>	<b>50,276.04</b>
	1,500	OCCIDENTAL PET/C	355	Sep 27 10	75.46	113,187.49	94.96	142,440.00	29,252.51
	4,000	PEABODY ENERGY/C	319	Jul 2 12	24.85	99,412.85	18.20	72,800.00	-26,612.85
	431	PENTAIR LTD/C	390	Sep 14 12	41.07	17,701.93	70.72	30,480.32	12,778.39
	3,000	PFIZER/C	87	Apr 29 03	31.26	93,766.64	31.73	95,190.00	1,423.36
	7,880	PFIZER WYETH/C	313	Oct 16 09	17.66	139,178.20	31.73	250,032.40	110,854.20
	<b>10,880</b>	<b>Subtotal for PFE</b>			<b>21.41</b>	<b>232,944.84</b>	<b>31.73</b>	<b>345,222.40</b>	<b>112,277.56</b>
	3,200	PHILLIPS 66/C	243	May 21 12	31.58	101,057.60	69.61	222,752.00	121,694.40
	3,000	PNC FINANCIAL SER GR/C	118	Oct 20 00	17.58	52,725.23	76.95	230,849.99	178,124.76
	2,218	PNC FINANCIAL MER/C	184	Oct 20 00	15.89	35,247.84	76.95	170,675.09	135,427.25
	<b>5,218</b>	<b>Subtotal for PNC</b>			<b>16.86</b>	<b>87,973.07</b>	<b>76.95</b>	<b>401,525.08</b>	<b>313,552.01</b>
	5,100	POTASH CORPORATION/C	119	Oct 20 00	2.28	11,637.62	31.65	161,415.00	149,777.38
	5,000	PPG INDUSTRIES/C	120	Oct 20 00	16.06	80,289.67	184.06	920,299.99	840,010.32
	3,300	PPL CORP/C	263	Oct 24 13	30.74	101,454.43	30.71	101,343.00	-111.43
	2,000	PINNACLE WEST CAP/C	250	Sep 16 13	53.92	107,839.64	53.36	106,720.00	-1,119.64
	6,000	PRAXAIR INC/C	121	Oct 20 00	9.46	56,768.00	126.26	757,560.01	700,792.01
	1,800	PROCTER & GAMBLE/C	192	Jun 18 13	79.23	142,622.04	84.22	151,596.00	8,973.96
	2,000	PRUDENTIAL FIN/C	356	Oct 1 10	53.80	107,590.74	88.76	177,520.00	69,929.26
	1,687	RAYONIER INC LT1/C	14	Sep 5 86	0.00	1.00	44.11	74,413.57	74,412.57
	315	RAYONIER INC LT2/C	13	Dec 19 03	17.03	5,364.80	44.11	13,894.65	8,529.85
	<b>2,002</b>	<b>Subtotal for RYN</b>			<b>2.68</b>	<b>5,365.80</b>	<b>44.11</b>	<b>88,308.22</b>	<b>82,942.42</b>

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<u>Category</u>	<u>Quantity</u>	<u>Security</u>	<u>No</u>	<u>Date</u> <u>Acquired</u>	<u>Unit</u> <u>Cost</u>	<u>Cost Basis</u>	<u>Market</u> <u>Price</u>	<u>Market Value</u>	<u>Gain/Loss</u>
Common Stocks:									
	2,000	ROYAL DUTCH SHELL/C	360	Oct 13 10	63.67	127,341.01	66.70	133,399.99	6,058.98
	2,000	SEMPRA ENEGRY/C	105	Mar 27 08	52.89	105,775.93	88.44	176,880.00	71,104.07
	3,900	SPECTRA ENERGY CORP/C	147	Feb 22 01	17.57	68,509.17	33.55	130,845.00	62,335.83
	2,700	SPECTRA ENERGY CORP LT2/C	32	Jan 7 09	16.66	44,989.51	33.55	90,585.00	45,595.49
	<b>6,600</b>	<b>Subtotal for SE</b>			<b>17.20</b>	<b>113,498.68</b>	<b>33.55</b>	<b>221,430.00</b>	<b>107,931.32</b>
	630	SPRINT NEW/C	208	Aug 17 05	52.77	33,245.45	8.39	5,285.70	-27,959.75
	1,925	STANLEYBLKDEC LT2/C	178	Jul 23 09	26.50	51,010.56	81.39	156,675.75	105,665.19
	3,000	SUNCOR ENERGY LT1/C	357	Oct 5 10	34.02	102,062.21	34.68	104,040.00	1,977.79
	1,600	SUNCOR ENERGY LT2/C	368	Oct 5 10	33.20	53,112.75	34.68	55,488.00	2,375.25
	2,508	SUNCOR ENERGY HSBC/C	268	May 18 12	36.37	91,204.49	34.68	86,977.44	-4,227.05
	<b>7,108</b>	<b>Subtotal for SU</b>			<b>34.66</b>	<b>246,379.45</b>	<b>34.68</b>	<b>246,505.44</b>	<b>125.99</b>
	1,500	SYSKO CORP/C	190	Nov 3 04	34.65	51,980.03	33.63	50,445.00	-1,535.03
	2,000	RIO TINTO/C	245	Sep 10 13	51.05	102,096.57	53.05	106,100.00	4,003.43
	200	TARGA RESOURCES/C	17	Dec 6 10	22.00	4,400.00	81.09	16,218.00	11,818.00
	2,800	TECK RESOURCES/C	139	Mar 15 12	36.04	100,904.92	24.21	67,788.00	-33,116.92
	16,000	TEXAS INSTRUMENTS/C	134	Oct 20 00	2.26	36,088.58	43.00	688,000.00	651,911.42
	666	TIME WARNER NEW/C	102	Mar 8 07	111.77	74,440.08	138.22	92,054.52	17,614.44
	2,200	TOTAL SA FRANCE/C	341	Aug 1 12	46.97	103,344.69	60.32	132,704.00	29,359.31
	2,500	TRANSALTA CORP LT1/C	125	Apr 7 06	20.08	50,200.29	13.34	33,350.00	-16,850.29
	2,100	TRANSALTA CORP LT2/C	297	Aug 31 06	22.29	46,816.91	13.34	28,014.00	-18,802.91
	<b>4,600</b>	<b>Subtotal for TAC</b>			<b>21.09</b>	<b>97,017.20</b>	<b>13.34</b>	<b>61,364.00</b>	<b>-35,653.20</b>
	4,000	TRAVELERS COS INC/C	129	Oct 20 00	31.39	125,540.35	90.74	362,959.99	237,419.64
	2,160	TREDEGAR INDUSTRIES/C	136	Oct 20 00	2.25	4,850.26	26.18	56,548.80	51,698.54
	1,800	TYCO INTL/C	380	Sep 14 12	27.55	49,594.70	38.14	68,652.00	19,057.30
	3,300	UNITED RENTAL INC/C	342	Aug 6 12	30.93	102,063.14	68.73	226,809.01	124,745.87

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Common Stocks:									
	3,000	UNITED STATES STEEL/C	81	Feb 6 12	32.02	96,051.22	26.81	80,430.00	-15,621.22
	5,000	UNUM GROUP/C	392	Nov 1 12	20.48	102,378.09	33.57	167,850.00	65,471.91
	4,307	VERIZON COMMUNICATION/C	142	Sep 5 86	21.45	92,396.92	49.62	213,713.34	121,316.42
	1,750	VODAFONE GROUP/C	42	Feb 9 05	30.17	52,802.32	37.09	64,907.50	12,105.18
	1,600	VODAFONE GROUP LT2/C	25	Dec 5 07	37.93	60,694.53	37.09	59,344.00	-1,350.53
	<b>3,350</b>	<b>Subtotal for VOD</b>	<b>33.88</b>		<b>113,496.85</b>	<b>37.09</b>	<b>124,251.50</b>	<b>10,754.65</b>	
	2,000	WELLS FARGO & CO/C	183	Oct 26 04	29.40	58,808.77	44.02	88,040.00	29,231.23
	1,991	WELLS FARGO & CO WACH/C	144	Oct 20 00	63.55	126,523.00	44.02	87,643.82	-38,879.18
	<b>3,991</b>	<b>Subtotal for WFC</b>	<b>46.44</b>		<b>185,331.77</b>	<b>44.02</b>	<b>175,683.82</b>	<b>-9,647.95</b>	
	4,000	WISC ENERGY CORP/C	18	Dec 5 07	24.79	99,169.15	41.77	167,080.00	67,910.85
	1,666	WPX ENERGY/C	73	Oct 21 10	12.01	20,003.25	18.59	30,970.94	10,967.69
	4,000	XYLEM INC/C	375	Oct 20 00	5.54	22,158.05	34.56	138,240.01	116,081.96
	1,500	3M CO/C	311	Aug 28 08	72.83	109,240.47	133.51	200,264.99	91,024.52
		<b>Total Common Stocks:</b>				<b>10,265,053.91</b>		<b>23,916,792.94</b>	<b>13,651,739.03</b>
Preferred Stocks:									
	5,000	AEGON NV 6.375/PFD	219	May 26 05	25.00	125,000.00	24.41	122,050.00	-2,950.00
	4,000	ALLSTATE CORP 5.625/PFD	165	Jun 5 13	25.00	100,000.00	23.08	92,316.00	-7,684.00
	4,000	AMER FIN GR 5.75/PFD	354	Aug 21 12	25.00	100,000.00	21.67	86,680.00	-13,320.00
	4,000	AMER FIN GR 6.375/PFD	276	Jun 7 12	25.00	100,000.00	24.49	97,944.00	-2,056.00
	4,000	APOLLO INVEST 6.875/PFD	179	Jun 10 13	25.00	100,000.00	22.06	88,240.00	-11,760.00
	4,000	ARCH CAPITAL 6.75/PFD	162	Mar 26 12	25.00	100,000.00	24.74	98,960.00	-1,040.00
	4,000	ARES CAPITAL 5.875/PFD	381	Sep 20 12	25.00	100,000.00	25.30	101,200.00	1,200.00
	4,000	ARES CAPITAL 7/PFD	57	Jan 26 12	25.00	100,000.00	26.25	105,000.00	5,000.00
	4,000	BB&T CORP 5.20/PFD	132	Apr 24 13	25.00	100,000.00	19.14	76,560.00	-23,440.00
	4,000	BB&T CORP 5.625/PFD	323	Jul 24 12	25.00	100,000.00	20.63	82,520.00	-17,480.00
	4,000	BB&T CORP 5.850/PFD	223	Apr 26 12	25.00	100,000.00	22.00	88,000.00	-12,000.00
	6,000	CABCO SER 2004 TR/PFD	75	May 14 04	25.00	150,000.00	17.62	105,720.01	-44,279.99
	4,000	CHARLES SCHWAB 6/PFD	249	May 30 12	25.00	100,000.00	23.13	92,520.00	-7,480.00

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Category	Quantity	No	Date	Unit	Cost Basis	Market Price	Market Value	Gain/Loss	
		Acquired	Cost						
Preferred Stocks:	3,000	CITIGROUP 6.35/PFD	161	Feb 28 07	25.00	75,000.00	25.18	75,540.00	540.00
	4,000	CULLEN FROST 5.375/PFD	77	Feb 12 13	25.00	100,000.00	21.21	84,840.00	-15,160.00
	4,000	DEUTSCHE BK 6.625/PFD	269	Jul 13 07	25.00	100,000.00	24.93	99,720.00	-280.00
	400	DTE ENERGY 6.5/PFD	373	Nov 28 11	25.00	10,000.00	24.61	9,842.80	-157.20
	4,000	GENERAL ELECTRIC 4.875/PFD	384	Oct 2 12	25.00	100,000.00	21.46	85,840.00	-14,160.00
	4,000	GENERAL ELEC2053 4.875/PFD	51	Jan 22 13	25.00	100,000.00	21.45	85,800.00	-14,200.00
	1,000	ESC GENERAL MTRS 7.25/PFD	224	Feb 12 02	0.00	1.00	0.00	1.00	0.00
	2,000	GOLDMAN SACHS FL A/PFD	171	Apr 14 05	25.00	50,000.00	18.09	36,180.00	-13,820.00
	4,000	GOLDMAN SACHS 6.5/PFD	366	Oct 20 11	25.00	100,000.00	25.78	103,120.00	3,120.00
	2,000	HSBC HOLDINGS 6.20/PFD	267	Sep 16 05	25.00	50,000.00	24.65	49,300.00	-700.00
	4,000	HSBC HOLDINGS 8.125/PFD	111	Apr 12 08	25.00	100,000.00	25.94	103,760.00	3,760.00
	4,000	ING GROEP 7.375/PFD	330	Sep 27 07	25.00	100,000.00	25.48	101,920.00	1,920.00
	4,000	ING GROEP 8.5/PFD	191	Jun 11 08	25.00	100,000.00	24.98	99,920.00	-80.00
	4,000	M&T 8.5/PFD	61	Jan 24 08	25.00	100,000.00	26.10	104,400.00	4,400.00
	4,000	MER LYN 6.45 DEC/PFD	22	Dec 8 06	25.00	100,000.00	25.06	100,240.00	240.00
	2,000	MER LYN 6.45 JUN/PFD	194	Apr 26 07	25.00	50,000.00	25.05	50,100.00	100.00
	2,000	METLIFE FLOATER 4/PFD	232	Jun 7 05	25.00	50,000.00	22.94	45,880.00	-4,120.00
	4,000	METLIFE FLOATER 6.5/PFD	233	Jun 7 05	25.00	100,000.00	24.89	99,560.00	-440.00
	2,000	MORGAN STAN FEB 6.6/PFD	23	Jan 19 06	25.00	50,000.00	24.88	49,768.00	-232.00
	2,000	MORGAN STAN OCT 6.6/PFD	307	Oct 5 06	25.00	50,000.00	24.81	49,620.00	-380.00
	4,000	NEXTERA ENERGY 5.00/PFD	47	Jan 15 13	25.00	100,000.00	18.78	75,120.00	-24,880.00
	4,000	NEXTERA ENERGY 5.125/PFD	395	Nov 14 12	25.00	100,000.00	19.02	76,080.00	-23,920.00
	4,000	NEXTERA ENERGY 5.625/PFD	280	Jun 12 12	25.00	100,000.00	21.25	85,000.00	-15,000.00
	4,000	PPL CAPITAL 5.9/PFD	97	Mar 12 13	25.00	100,000.00	21.07	84,280.00	-15,720.00
	4,000	PARTNER RE 5.875/PFD	68	Feb 11 13	25.00	100,000.00	20.40	81,600.00	-18,400.00
	4,300	PARTNERRE 6.50 LTD/PFD	195	Nov 12 04	25.00	107,505.25	23.63	101,609.00	-5,896.25
	4,000	PRUDENTIAL FIN 5.75/PFD	397	Nov 27 12	25.00	100,000.00	21.70	86,800.00	-13,200.00
	4,000	PUBLIC STORAGE 5.375/PFD	378	Sep 11 12	25.00	100,000.00	20.70	82,800.00	-17,200.00
	4,000	PUBLIC STORAGE 5.625/PFD	274	Jun 6 12	25.00	100,000.00	21.36	85,440.00	-14,560.00
	6,500	RBS CAPS SER E5.9/PFD	174	Jun 26 03	25.00	162,500.00	21.15	137,475.00	-25,025.00
	4,000	REINSURANCE GR AMER6.2/PFD	348	Aug 14 12	25.00	100,000.00	25.07	100,280.00	280.00
	2,217	RENAISSANCE RE 6.08/PFD	59	Mar 18 04	25.00	55,425.00	23.07	51,146.19	-4,278.81

**Rohahn**  
**All Marketable Security Data Output**  
**As of: November 30, 2013**

Category	Quantity	Security	No	Date Acquired	Unit Cost	Cost Basis	Market Price	Market Value	Gain/Loss
Preferred Stocks:	4,000	SCE TRUST 5.10/PFD	54	Jan 23 13	25.00	100,000.00	19.18	76,720.00	-23,280.00
	4,000	SCE TRUST 5.625/PFD	226	May 10 12	25.00	100,000.00	20.97	83,880.00	-16,120.00
	4,000	STANLEY B&D 5.75/PFD	325	Jul 18 12	25.00	100,000.00	22.59	90,360.00	-9,640.00
	4,000	TELEPHONE & DATA 5.875/PFD	396	Nov 26 12	25.00	100,000.00	20.68	82,720.00	-17,280.00
	5,000	TELEPHONE & DATA 6.625/PFD	85	Mar 24 05	25.00	125,000.00	24.09	120,450.00	-4,550.00
	4,000	USBANCORP DEL 5.150/PFD	141	Apr 29 13	25.00	100,000.00	20.87	83,480.00	-16,520.00
	4,000	VENTAS RENTAL 5.45/PFD	89	Feb 28 13	25.00	100,000.00	21.90	87,600.00	-12,400.00
	2,000	VORNADO RLTY TR 6.625/PFD	257	Aug 24 05	25.00	50,000.00	24.05	48,100.00	-1,900.00
	4,000	WELLS FARGO 5.125/PFD	394	Nov 13 12	25.00	100,000.00	21.09	84,360.00	-15,640.00
	4,000	WELLS FARGO 5.2/PFD	347	Aug 9 12	25.00	100,000.00	20.71	82,840.00	-17,160.00
		<b>Total Preferred Stocks:</b>				<b>5,060,431.25</b>		<b>4,561,202.00</b>	<b>-499,229.25</b>

Linked Index Basket Fund:

10,000	BARCLAY BANK F/LINK	143	May 3 13	10.00	100,000.00	10.13	101,300.00	1,300.00
10,000	BARCLAY BANK CAT/LINK	204	Jul 12 13	10.00	100,000.00	9.62	96,200.00	-3,800.00
10,000	DEUTSCHE BK MSFT/LINK	91	Mar 1 13	10.00	100,000.00	10.15	101,520.00	1,520.00
10,000	DEUTSCHE BK VLO/LINK	286	Nov 26 13	10.00	100,000.00	10.00	100,000.00	0.00
10,000	JP MORGAN MRVL/LINK	236	Sep 6 13	10.00	100,000.00	10.30	103,000.00	3,000.00
10,000	JP MORGAN RIO/LINK	93	Mar 8 13	10.00	100,000.00	10.50	105,000.00	5,000.00
10,000	ROYAL BK CANADA LNC/LINK	255	Oct 4 13	10.00	100,000.00	10.27	102,700.00	2,700.00
10,000	ROYAL BK CANADA FCX/LINK	251	Sep 20 13	10.00	100,000.00	10.27	102,700.00	2,700.00
10,000	ROYAL BK CANADA WFT/LINK	259	Oct 11 13	10.00	100,000.00	9.87	98,700.00	-1,300.00
10,000	UBS AG CARAOS GNW914/LINK	246	Sep 12 13	10.00	100,000.00	10.30	103,000.00	3,000.00
10,000	UBS AG CARAOS LEN/LINK	266	Oct 29 13	10.00	100,000.00	9.79	97,900.00	-2,100.00
10,000	UBS AG TRIG PAOS GM/LINK	107	Apr 5 13	10.00	100,000.00	10.15	101,500.00	1,500.00
10,000	UBS AG TRIG PAOS IP/LINK	281	Nov 1 13	10.00	100,000.00	10.11	101,100.00	1,100.00
10,000	UBS AG TRIG PAOS NBR/LINK	169	Jun 7 13	10.00	100,000.00	10.21	102,100.00	2,100.00
2,925	UBS TRIG YON MET 7.78/LINK	362	Aug 29 12	34.18	99,976.50	35.74	104,539.50	4,563.00
	<b>Total Linked Index Basket Fund:</b>				<b>1,499,976.50</b>		<b>1,521,259.50</b>	<b>21,283.00</b>

Mutual Fund Investments:

6,000	ALPSETF ALERIAN/MUT	84	Feb 8 12	16.80	100,781.91	17.68	106,080.00	5,298.09
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**Rohahn**  
**All Marketable Security Data Output**  
**As of: November 30, 2013**

<u>Category</u>	<u>Quantity</u>	<u>Security</u>	<u>No</u>	<u>Date</u> <u>Acquired</u>	<u>Unit</u> <u>Cost</u>	<u>Cost Basis</u>	<u>Market</u> <u>Price</u>	<u>Market Value</u>	<u>Gain/Loss</u>
Mutual Fund Investments:									
	3,000	ESC DWS REAL ESTATE/MUT	258	Jun 25 10	0.00	1.00	0.00	1.00	0.00
	5,400	ESC DWS REAL ESTI11/MUT	256	Jun 23 10	0.00	1.00	0.00	1.00	0.00
	5,000	EATON VANCE ADV/MUT	292	Aug 26 08	19.39	96,938.48	16.40	82,000.00	-14,938.48
	3,000	EATON VANCE ADV LT2/MUT	211	Aug 20 13	15.99	47,955.56	16.40	49,200.00	1,244.44
	<b>8,000</b>	<b>Subtotal for ETG</b>	<b>18.11</b>		<b>144,894.04</b>	<b>16.40</b>	<b>131,200.00</b>	<b>-13,694.04</b>	
	3,500	CBRE CLARION/MUT	41	Jan 27 05	14.49	50,705.08	8.08	28,280.00	-22,425.08
	9,000	CBRE CLARION LT2/MUT	55	Jan 10 12	7.23	65,032.24	8.08	72,720.00	7,687.76
	98	CBRE CLARION DRS/MUT	288	Jan 27 05	13.52	1,324.51	8.08	791.84	-532.67
	<b>12,598</b>	<b>Subtotal for IGR</b>	<b>9.29</b>		<b>117,061.83</b>	<b>8.08</b>	<b>101,791.84</b>	<b>-15,269.99</b>	
	5,000	CENTER COAST MLP/MUT	254	Sep 25 13	20.00	100,000.00	18.45	92,250.00	-7,750.00
	4,000	GUGGENHEIM/MUT	201	Jun 25 13	25.00	100,000.00	22.35	89,400.00	-10,600.00
	2,500	ING GLOBAL EQUITY/MUT	88	Mar 28 05	20.00	50,000.00	9.03	22,575.00	-27,425.00
	2,500	ING GLOBAL ADV/MUT	275	Oct 26 05	20.00	50,000.00	11.93	29,825.00	-20,175.00
	2,500	ISHARES MSCI EMU/MUT	271	Oct 30 13	40.20	100,509.29	4.04	10,090.00	-90,419.29
	2,000	JOHN HANCOCK II/MUT	227	Sep 4 03	24.81	49,612.11	18.44	36,880.00	-12,732.11
	2,200	JOHN HANCOCK LT2/MUT	296	Aug 31 06	23.93	52,647.76	18.44	40,568.00	-12,079.76
	<b>4,200</b>	<b>Subtotal for HPP</b>	<b>24.35</b>		<b>102,259.87</b>	<b>18.44</b>	<b>77,448.00</b>	<b>-24,811.87</b>	
	2,000	KAYNE ANDRSN ENDL /MUT	301	Sep 20 06	25.00	50,000.00	28.70	57,400.00	7,400.00
	2,000	KAYNE ANDRSN ENDL LT2/MUT	69	Feb 13 08	25.01	50,029.13	28.70	57,400.00	7,370.87
	<b>4,000</b>	<b>Subtotal for KED</b>	<b>25.01</b>		<b>100,029.13</b>	<b>28.70</b>	<b>114,800.00</b>	<b>14,770.87</b>	
	4,000	KAYNE AND MIDSTREAM/MUT	365	Nov 23 10	25.00	100,000.00	32.71	130,840.00	30,840.00
	720	KAYNE AND MIDSTREAM DR/MUT	163	Nov 23 10	28.24	20,333.96	32.71	23,551.20	3,217.24
	<b>4,720</b>	<b>Subtotal for KMF</b>	<b>25.49</b>		<b>120,333.96</b>	<b>32.71</b>	<b>154,391.20</b>	<b>34,057.24</b>	
	25	MOTORS LIQ CO/MUT	303	Jun 12 12	0.04	1.00	46.90	1,172.50	1,171.50
	6,400	NUVEEN QUALITY/MUT	322	Aug 17 07	11.07	70,871.45	7.59	48,576.00	-22,295.45

**Rohahn**  
**All Marketable Security Data Output**  
**As of: November 30, 2013**

<u>Category</u>	<u>Quantity</u>	<u>Security</u>	<u>No</u>	<u>Date</u> <u>Acquired</u>	<u>Unit</u> <u>Cost</u>	<u>Cost Basis</u>	<u>Market</u> <u>Price</u>	<u>Market Value</u>	<u>Gain/Loss</u>
Mutual Fund Investments:									
	4,000	STONE HBR/MUT	33	Dec 22 10	25.22	100,895.99	18.55	74,200.00	-26,695.99
	1,183	STONE HBR DR/MUT	166	Dec 22 10	22.35	26,440.21	18.55	21,944.65	-4,495.56
	<b>5,183</b>	<b>Subtotal for STONE</b>			<b>24.57</b>	<b>127,336.20</b>	<b>18.55</b>	<b>96,144.65</b>	<b>-31,191.55</b>
	8,710	TEMPLETON EMER LTI/MUT	21	Sep 5 86	12.65	110,178.26	14.49	126,207.90	16,029.64
	708	TEMPLETON EMER LT2/MUT	187	Nov 4 04	13.38	9,473.04	14.49	10,258.92	785.88
	<b>9,418</b>	<b>Subtotal for TEI</b>			<b>12.70</b>	<b>119,651.30</b>	<b>14.49</b>	<b>136,466.82</b>	<b>16,815.52</b>
	4,000	TORTOISE PIPELINE/MUT	367	Oct 26 11	25.00	100,000.00	28.11	112,440.00	12,440.00
	18,025.35	UBS DYNAMIC CLA/MUT	45	Feb 23 05	8.29	149,431.34	7.14	128,701.00	-20,730.34
	15,759.277	UBS GLOBAL ALLOC/MUT	158	Jun 16 03	10.50	165,516.87	10.28	162,005.36	-3,511.51
		<b>Total Mutual Fund Investments:</b>				<b>1,818,680.19</b>		<b>1,615,359.37</b>	<b>-203,320.82</b>
Corporate Bonds:									
	8,000	APPALACHIAN PWR 4.95/B	35	Jan 15 09	91.41	7,312.42	104.34	8,346.96	1,034.54
	50,000	BEAR STEARNS COMP/B	38	Feb 11 04	100.00	50,000.00	100.11	50,055.50	55.50
	60,000	CONSTELLATION ENERGY/B	74	May 5 04	91.80	55,078.05	105.27	63,162.60	8,084.55
	100,000	CSX 6.25/B	65	Feb 2 09	94.50	94,496.25	116.96	116,957.00	22,460.75
	100,000	ENCANA CORP 5.9/B	349	Nov 5 08	86.32	86,324.25	114.86	114,860.00	28,535.75
	82,000	ENERGY TRANSFER 5.95/B	96	Feb 26 09	92.60	75,932.33	105.63	86,614.14	10,681.81
	110,000	EQUITABLE RES 6.5/B	316	Nov 4 09	105.67	116,241.15	114.50	125,946.70	9,705.55
	50,000	INDIANA MICH PWR 7/B	36	Jan 23 09	99.84	49,919.25	120.00	60,001.50	10,082.25
	100,000	INTL PAPER 7.95/B	315	Aug 6 08	101.86	101,859.25	123.75	123,752.00	21,892.75
	50,000	JOHN HANCOCK SIGN/B	43	Feb 22 05	100.00	50,000.00	101.64	50,820.00	820.00
	100,000	KRAFT FOODS 6.125/B	343	Oct 27 08	86.42	86,419.25	117.31	117,306.00	30,886.75
	100,000	LAKEHEAD 7/B	98	Mar 10 09	86.61	86,609.25	117.82	117,821.00	31,211.75
	25,000	MISSOURI PAC RR 4.75 LT1/B	235	May 9 02	66.42	16,605.25	95.00	23,750.00	7,144.75
	12,000	MISSOURI PAC RR 4.75 LT2/B	239	May 23 02	66.09	7,931.25	95.00	11,400.00	3,468.75
	5,000	MISSOURI PAC RR 4.75 LT3/B	248	Jul 26 02	66.16	3,307.75	95.00	4,750.00	1,442.25
	<b>42,000</b>	<b>Subtotal for MISS PAC RR</b>			<b>66.30</b>	<b>27,844.25</b>	<b>95.00</b>	<b>39,900.00</b>	<b>12,055.75</b>

**Rohahn**  
**All Marketable Security Data Output**  
**As of: November 30, 2013**

Category	Quantity	Security	No	Date Acquired	Unit Cost	Cost Basis	Market Price	Market Value	Gain/Loss
<b>Corporate Bonds:</b>									
	50,000	NORANDA INC 6/B	202	May 23 05	101.16	50,577.75	108.30	54,150.00	3,572.25
	60,000	PPL ENERGY SUPP 6.5/B	2	Dec 2 08	79.49	47,692.05	112.86	67,717.20	20,025.15
	40,000	SOUTHERN POWER/B	128	Mar 29 05	98.10	39,239.25	106.52	42,609.20	3,369.95
	70,000	UNION CAR LT1 7.875/B	8	Dec 27 02	100.01	70,005.25	121.29	84,899.50	14,894.25
	10,000	UNION CAR LT2 7.875/B	27	Mar 4 03	99.55	9,955.25	121.29	12,128.50	2,173.25
	20,000	UNION CAR LT3 7.875/B	152	Sep 28 04	101.03	20,205.25	121.29	24,257.00	4,051.75
	<u>100,000</u>	<b>Subtotal for UNION 7.875</b>			<u>100.17</u>	<u>100,165.75</u>	<u>121.29</u>	<u>121,285.00</u>	<u>21,119.25</u>
		<b>Total Corporate Bonds:</b>				<b>1,125,710.50</b>		<b>1,361,304.80</b>	<b>235,594.30</b>
<b>Warrants:</b>									
		89 WTS GENRL MOTORS JULY 19/WT	182	Feb 12 02	66.48	5,917.14	21.18	1,885.02	-4,032.12
		89 WTS GENRL MOTORS JULY 16/WT	189	Feb 12 02	85.70	7,627.38	28.95	2,576.55	-5,050.83
		<b>Total Warrants:</b>				<b>13,544.52</b>		<b>4,461.57</b>	<b>-9,082.95</b>
						<u>23,626,467.87</u>		<u>36,787,451.30</u>	<u>13,160,983.43</u>
<b>TOTAL ALL SECURITIES</b>									
<b>SUMMARY BY TYPE</b>									
<b>Common/Preferred Stocks</b>									
<b>Common Stocks:</b>									
<b>Preferred Stocks:</b>									
<b>Linked Index Basket Fund:</b>									
<b>Mutual Fund Investments:</b>									
<b>Total Common/Preferred Stocks</b>									
<b>Bonds</b>									
<b>Corporate Bonds:</b>									
<b>Total Bonds</b>									
<b>Traded Options/Warrants</b>									
<b>Warrants:</b>									
<b>Total Traded Options/Warrants</b>									

**Rohahn**  
**All Marketable Security Data Output**  
**As of: November 30, 2013**

<u>Category</u>	<u>Quantity</u>	<u>Security</u>	<u>No</u>	<u>Date</u>	<u>Unit</u>	<u>Cost Basis</u>	<u>Market</u>	<u>Market Value</u>	<u>Gain/Loss</u>
				<u>Acquired</u>	<u>Cost</u>		<u>Price</u>		
Marketable Investments						3,843,071.00		3,843,071.00	0.00
Money Market Accounts:						3,843,071.00		3,843,071.00	0.00
<b>Total Marketable Investments</b>						<u>23,626,467.87</u>		<u>36,787,451.30</u>	<u>13,160,983.43</u>
<b>TOTAL ALL SECURITIES</b>									

**Rohahn**  
**Schedule D**  
**As of: November 30, 2013**

<u>Quantity</u>	<u>Asset</u>	<u>Date Acquired</u>	<u>Date Sold</u>	<u>Proceeds</u>	<u>Tax Basis</u>	<u>Gain/Loss</u>
<u>Short-Term Capital Gains and Losses</u>						
10,000	BARCLAY BANK OXY/LINK	Jul 19 13	Oct 23 13	100,000.00	100,000.00	0.00
10,000	BARCLAY LNC/LINK	Jan 25 13	Apr 30 13	100,000.00	100,000.00	0.00
4,716	BARCLAYS PLC JPM/C	Mar 19 12	Jan 22 13	89,311.22	82,662.80	6,648.42
4,000	COLONIAL PROP/C	May 15 13	Oct 2 13	97,371.50	97,371.50	0.00
10,000	DEUTSCHE BK FCX/LINK	Dec 7 12	Mar 11 13	104,750.00	100,000.00	4,750.00
10,000	DEUTSCHE BK HALL AUG/LINK	Sep 14 12	Feb 21 13	105,310.00	100,000.00	5,310.00
4,091	HARTFORD FINANCIAL LT2/C	Jun 22 12	Dec 5 12	85,783.97	99,984.04	-14,200.07
937	HESS CORP/C	Jul 13 12	Mar 20 13	65,203.00	64,587.07	615.93
10,000	JP MORGAN ALXN/LINK	May 31 13	Aug 30 13	102,775.00	100,000.00	2,775.00
10,000	JP MORGAN CMI/LINK	Oct 5 12	Jan 9 13	102,875.00	100,000.00	2,875.00
10,000	JP MORGAN CSX AUG13/LINK	Jul 27 12	Apr 30 13	107,688.00	100,000.00	7,688.00
10,000	JP MORGAN CSX/LINK	Jun 21 12	Mar 25 13	109,225.00	100,000.00	9,225.00
10,000	JP MORGAN GNW/LINK	Nov 9 12	Feb 13 13	104,500.00	100,000.00	4,500.00
10,000	JP MORGAN GNW14/LINK	Nov 9 12	May 22 13	103,003.00	100,000.00	3,003.00
10,000	JP MORGAN GNW614/LINK	May 29 13	Aug 30 13	103,245.00	100,000.00	3,245.00
10,000	JP MORGAN MS/LINK	Apr 5 12	Jan 9 13	100,000.00	100,000.00	0.00
10,000	JP MORGAN WLL/LINK	Jan 11 13	Apr 15 13	103,000.00	100,000.00	3,000.00
10,000	MORGAN STANLEY F/LINK	Feb 8 13	May 10 13	103,203.00	100,000.00	3,203.00
4,000	QWEST CORP 7.00/PFD	Mar 22 12	Feb 15 13	103,707.92	100,000.00	3,707.92
10,000	ROYAL BK CANADA MS/LINK	Apr 5 13	Jul 9 13	100,000.00	100,000.00	0.00
10,000	ROYAL BK CANADA OXY/LINK	Apr 19 13	Jul 23 13	100,000.00	100,000.00	0.00
3,200	TRINITY INDUSTRIES/C	Oct 15 12	Jun 18 13	123,127.45	101,176.76	21,950.69
10,000	UBS AG CARAOS HUN/LINK	Aug 23 13	Nov 27 13	103,925.00	100,000.00	3,925.00
10,000	UBS AG TRIG PAOS AIG/LINK	Jun 7 13	Sep 11 13	100,000.00	100,000.00	0.00
10,000	UBS AG TRIG PAOS APC/LINK	Apr 26 13	Jul 30 13	100,000.00	100,000.00	0.00
10,000	UBS AG TRIG PAOS CXS/LINK	Dec 27 12	Mar 28 13	100,000.00	100,000.00	0.00
10,000	UBS AG TRIG PAOS LNC/LINK	Oct 19 12	Jan 24 13	100,000.00	100,000.00	0.00
10,000	UBS AG TRIG PAOS URI/LINK	Nov 28 12	Feb 28 13	100,000.00	100,000.00	0.00
<b>Total Short-term</b>				<b>2,818,004.06</b>	<b>2,745,782.17</b>	<b>72,221.89</b>
<u>Long-Term Capital Gains and Losses</u>						
560.673	ACCO BRANDS LT1/C	Jun 14 05	Jun 18 13	3,539.82	5,604.45	-2,064.63
1,649.327	ACCO BRANDS LT2/C	Dec 17 08	Jun 18 13	10,413.05	6,794.70	3,618.35
2,000	AECOM TECH LT2/C	Dec 10 09	Nov 13 13	57,786.06	50,190.14	7,595.92
2,000	AECOM TECH/C	Aug 7 07	Nov 13 13	57,786.05	54,202.48	3,583.57
4,000	AIG INCORPORATED 6.45/PFD	Jun 1 07	Jun 17 13	100,000.00	100,000.00	0.00
3,600	AKZO NOBEL LT2/C	Oct 8 10	Sep 5 13	71,423.14	75,695.19	-4,272.05
2,700	AKZO NOBEL/C	May 26 06	Sep 5 13	53,567.34	49,656.01	3,911.33
3,000	ALCOA INC LT2/C	Sep 23 08	Oct 8 13	23,631.84	79,389.90	-55,758.06
2,000	ALCOA INC LT3/C	Mar 24 10	Oct 8 13	15,754.55	29,036.61	-13,282.06
3,000	ALCOA INC/C	Oct 16 06	Oct 8 13	23,631.83	81,558.46	-57,926.63
2,000	ALLIANA SE 8.375LT2/PFD	Jan 7 10	Jun 17 13	50,000.00	50,601.25	-601.25
4,000	ALLIANZ SE 8.375/PFD	Jun 4 08	Jun 17 13	100,000.00	100,000.00	0.00
92	APPALACHIAN PWR 4.95/B_S#1	Jan 15 09	Aug 20 13	97,678.05	84,092.83	13,585.22
4,000	BANK OF AMER 8.2/PFD	May 21 08	May 1 13	100,000.00	100,000.00	0.00

**Rohahn**  
**Schedule D**  
**As of: November 30, 2013**

<u>Quantity</u>	<u>Asset</u>	<u>Date Acquired</u>	<u>Date Sold</u>	<u>Proceeds</u>	<u>Tax Basis</u>	<u>Gain/Loss</u>
4,000	BANK OF AMER 8.625/PFD	Apr 23 08	May 28 13	100,000.00	100,000.00	0.00
3,000	CABCO GOLDMAN 6/PFD	Mar 2 04	May 29 13	75,000.00	75,000.00	0.00
1,500	CANADIAN PAC RR/C_SLD#1	Oct 3 01	Aug 20 13	180,692.61	23,571.21	157,121.40
2,000	CAPITAL ONE 7.5/PFD	May 24 06	Jan 2 13	50,000.00	50,000.00	0.00
2,700	CELANESE CORP LT2/C	Jun 5 12	Nov 25 13	148,302.82	101,829.12	46,473.70
4,000	CITIGROUP CAP 6.5/PFD	Sep 8 06	Apr 16 13	100,000.00	100,000.00	0.00
4,000	CONSTELLATION 8.625/PFD	Jun 23 08	Jun 17 13	100,000.00	100,000.00	0.00
700	DEERE CO/C	Mar 25 08	Aug 12 13	57,967.87	57,568.00	399.87
1,297	DEUTSCHE BK BHP9.5/LINK	Feb 10 12	Feb 19 13	99,998.70	99,998.70	0.00
6,000	ESCROW ENRON 8.30/PFD	Jul 1 05	Dec 28 12	215.17	-144.44	359.61
1,300	FOREST LABORATORIES/C	Jul 5 06	Jun 18 13	52,427.42	50,448.93	1,978.49
4,000	GENERAL ELECTRIC 6.05%/PFD	Jan 30 07	Jan 18 13	100,000.00	100,000.00	0.00
3,000	HARTFORD FINANCIAL/C	Oct 23 00	Dec 5 12	62,906.85	29,343.75	33,563.10
1,055	HOSPITALITY PROP/PFD	Feb 16 07	Jul 1 13	26,375.00	26,375.00	0.00
1,000	HSBC BANK USA413/LINK	Oct 27 09	Apr 30 13	103,000.00	100,000.00	3,000.00
4,618	HSBC USA CSX 9.2/LINK	Dec 2 11	Dec 7 12	99,979.70	99,979.70	0.00
4,000	JP MORGAN 5.875/PFD	Jun 9 03	May 8 13	100,000.00	100,000.00	0.00
1,400	JP MORGAN 6.25/PFD	Sep 29 03	May 8 13	35,000.00	35,000.00	0.00
2,000	JP MORGAN 6.875/PFD	Jul 26 07	May 8 13	50,000.00	50,000.00	0.00
10,000	JP MORGAN ABX/LINK	Sep 7 12	Sep 12 13	47,510.00	100,000.00	-52,490.00
850	JP MORGAN DE 8.65/LINK	Jan 6 12	Jan 14 13	69,955.00	69,955.00	0.00
10,000	JP MORGAN SLB/LINK	Jan 27 12	Feb 1 13	113,490.00	100,000.00	13,490.00
4,568	JP MORGAN VLO 10.68/LINK	Jun 14 12	Jun 20 13	99,993.52	99,993.52	0.00
50	MORGAN STAN 4.0/B	Jul 28 10	Jul 30 13	50,000.00	50,000.00	0.00
2,000	NISOURCE INC LT1/C	Mar 2 01	Jun 24 13	55,153.19	58,577.26	-3,424.07
4,000	NISOURCE INC LT2/C	Oct 2 01	Jun 24 13	110,306.39	95,084.81	15,221.58
8,000	NORANDA ALUM/C	Jul 29 10	Oct 8 13	17,793.15	62,608.74	-44,815.59
2,000	OMEGA HEALTHCARE LT1/C	Oct 20 00	Jun 24 13	58,555.95	42,508.00	16,047.95
931	OMEGA HEALTHCARE LT2 /C	Feb 15 02	Jun 24 13	27,257.80	2,718.52	24,539.28
2,000	PACCAR INC/C	Jul 6 11	Oct 30 13	111,352.25	103,411.38	7,940.87
3,400	PG&E CORP/C	Jul 28 11	Aug 21 13	141,894.90	143,395.14	-1,500.24
5,000	PPG INDUSTRIES/C_SLD#1	Oct 20 00	Jan 9 13	703,076.16	80,289.67	622,786.49
4,000	QWEST CORP 7.375/PFD	Jun 1 11	Feb 15 13	105,420.19	100,000.00	5,420.19
2,213	RENAISSANCE RE 6.08/PF_S#1	Mar 18 04	Jun 28 13	55,325.00	55,325.00	0.00
1,501	RENAISSANCERE HLDG 6.6/PFD	Dec 13 06	Jun 27 13	37,525.00	37,525.00	0.00
1,499	RENAISSANCERE HLDG 6.6_S#1	Dec 13 06	Dec 27 12	37,475.00	37,475.00	0.00
50	ROUSE CO NTS/B	Sep 8 04	Feb 14 13	51,942.50	48,091.75	3,850.75
0.279	SPRINT NEW/C_SLD#1	Aug 17 05	Jul 11 13	1.90	14.72	-12.82
2,408	SPRINTNEXTEL/C	Aug 17 05	Jul 11 13	46,861.63	46,861.63	0.00
3,200	STORA ENSO OYJ/C	Mar 3 05	Oct 8 13	26,099.32	48,420.22	-22,320.90
2,500	TATE LYLE/C	Oct 17 07	Sep 10 13	122,030.32	94,175.57	27,854.75
4,300	TRONOX LTD/C	Sep 27 12	Oct 15 13	102,651.80	101,846.97	804.83
10,000	UBS AG CARAOS INTC/LINK	Mar 2 12	Mar 8 13	79,041.00	100,000.00	-20,959.00
10,000	UBS AG TRIG PAOS PBR/LINK	Mar 9 12	Mar 14 13	61,547.00	100,000.00	-38,453.00
3,399	UBS TRIG YON SWN11.13/LINK	Jan 13 12	Jan 18 13	99,998.58	99,998.58	0.00
3,000	UGI CORP NEW/C	Aug 2 07	Feb 20 13	106,402.64	77,935.19	28,467.45

**Rohahn  
Schedule D  
As of: November 30, 2013**

<u>Quantity</u>	<u>Asset</u>	<u>Date Acquired</u>	<u>Date Sold</u>	<u>Proceeds</u>	<u>Tax Basis</u>	<u>Gain/Loss</u>
5,000	WILLIAMS COS INC/C	Oct 21 10	Jul 10 13	165,426.13	88,186.58	77,239.55
	<b>Total Long-term</b>			<b>5,011,164.19</b>	<b>4,210,190.24</b>	<b>800,973.95</b>
	<b>TOTAL CAPITAL GAINS</b>			<b>7,829,168.25</b>	<b>6,955,972.41</b>	<b>873,195.84</b>

**Rohahn**  
**Transactions by Account**  
**CAPITAL GAINS(LOSS) SHORT (7)**  
**From: December 2012 To: November 2013**

	<u>Date</u>	<u>Payee/Payor</u>	<u>*</u>	<u>Debit</u>	<u>Credit</u>
	Dec 1 12	Beginning Balance			0.00
		<u>PAINE WEBBER MONEY FUND(11)</u>			
Dr	Dec 5 12	Record Sale (9)	*	14,200.07	
memo	Dec 5 12	Sold Qty 4091			
memo		Tax Basis99,984.04			
memo		sold hartford 2of2			
Cr	Jan 22 13	Record Sale (9)	*		6,648.42
memo	Jan 22 13	Sold Qty 4716			
memo		Tax Basis82,662.80			
memo		SOLD BARCLAY PLC JPM			
Cr	Jan 9 13	Redemption Of Securities (13)	*		2,875.00
memo	Jan 9 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red jp morgan cmi			
Cr	Feb 15 13	Record Sale (9)	*		3,707.92
memo	Feb 15 13	Sold Qty 4000			
memo		Tax Basis100,000.00			
memo		sold qwest 7			
Cr	Feb 13 13	Redemption Of Securities (13)	*		4,500.00
memo	Feb 13 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red jp morgan gnw			
Cr	Feb 21 13	Redemption Of Securities (13)	*		5,310.00
memo	Feb 21 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red deutsche bk hall aug			
Cr	Mar 20 13	Record Sale (9)	*		615.93
memo	Mar 20 13	Sold Qty 937			
memo		Tax Basis64,587.07			
memo		sold hess corp			
Cr	Mar 11 13	Redemption Of Securities (13)	*		4,750.00
memo	Mar 11 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red deutsche bk FCX			
Cr	Mar 25 13	Redemption Of Securities (13)	*		9,225.00
memo	Mar 25 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red jp morgan CSX July			
Cr	Apr 15 13	Redemption Of Securities (13)	*		3,000.00
memo	Apr 15 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red jp morgan wll			
Cr	Apr 30 13	Redemption Of Securities (13)	*		7,688.00
memo	Apr 30 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red jp morgan csx aug 13			

**Rohahn**  
**Transactions by Account**  
**CAPITAL GAINS(LOSS) SHORT (7)**  
**From: December 2012 To: November 2013**

	<u>Date</u>	<u>Payee/Payor</u>	<u>*</u>	<u>Debit</u>	<u>Credit</u>
Cr	May 10 13	Redemption Of Securities (13)	*		3,203.00
memo	May 10 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red morgan stanley f			
Cr	May 22 13	Redemption Of Securities (13)	*		3,003.00
memo	May 22 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red jp morgan GNW 14			
Cr	Jun 18 13	Record Sale (9)	*		21,950.69
memo	Jun 18 13	Sold Qty 3200			
memo		Tax Basis101,176.76			
memo		sold trinity industries			
Cr	Aug 30 13	Redemption Of Securities (13)	*		3,245.00
memo	Aug 30 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red jp morgan gnw jun 2014			
Cr	Aug 30 13	Redemption Of Securities (13)	*		2,775.00
memo	Aug 30 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red jp morgan alxn			
Cr	Nov 27 13	Redemption Of Securities (13)	*		3,925.00
memo	Nov 27 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red ubs ag caraso HUN			
	<b>Nov 30 13</b>	<b>Ending Balance</b>			<b>72,221.89</b>
		<b>Summary by Payee/Payor</b>			
		Record Sale (9)			18,722.89
		Redemption Of Securities (13)			53,499.00
		<b>Total</b>			<b>72,221.89</b>

**Rohahn**  
**Transactions by Account**  
**CAPITAL GAINS(LOSS) LONG (9)**  
**From: December 2012 To: November 2013**

	<u>Date</u>	<u>Payee/Payor</u>	<u>*</u>	<u>Debit</u>	<u>Credit</u>
	Dec 1 12	Beginning Balance			0.00
		<u>PAINE WEBBER MONEY FUND(11)</u>			
Cr	Dec 5 12	Record Sale (9)	*		33,563.10
memo	Dec 5 12	Sold Qty 3000			
memo		Tax Basis29,343.75			
memo		sold hartford fin 1 of 2			
Cr	Dec 28 12	Record Sale (9)	*		359.61
memo	Dec 28 12	Sold Qty 6000			
memo		Tax Basis-144.44			
memo		exchange of security			
memo		received 215.17cash			
memo		escrow enron 8.30pfd			
Cr	Jan 9 13	Record Sale (9)	*		622,786.49
memo	Jan 9 13	Sold Qty 5000			
memo		Tax Basis80,289.67			
memo		sold partial shs ppg Ind			
Cr	Feb 15 13	Record Sale (9)	*		5,420.19
memo	Feb 15 13	Sold Qty 4000			
memo		Tax Basis100,000.00			
memo		sold qwest 7.375			
Cr	Feb 20 13	Record Sale (9)	*		28,467.45
memo	Feb 20 13	Sold Qty 3000			
memo		Tax Basis77,935.19			
memo		sold ugi corp			
Cr	Feb 1 13	Redemption Of Securities (13)	*		13,490.00
memo	Feb 1 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red jp morgan slb			
Cr	Feb 14 13	Redemption Of Securities (13)	*		3,850.75
memo	Feb 14 13	Sold Qty 50			
memo		Tax Basis48,091.75			
memo		red rouse co notes			
Dr	Mar 8 13	Redemption Of Securities (13)	*	20,959.00	
memo	Mar 8 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red ubs ag INTC			
Dr	Mar 14 13	Redemption Of Securities (13)	*	38,453.00	
memo	Mar 14 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red UBS Ag Trig PBR			
Cr	Apr 30 13	Redemption Of Securities (13)	*		3,000.00
memo	Apr 30 13	Sold Qty 1000			
memo		Tax Basis100,000.00			
memo		red hsbc bank usa 413			
Dr	Jun 18 13	Record Sale (9)	*	2,064.63	
memo	Jun 18 13	Sold Qty 560.673			

**Rohahn**  
**Transactions by Account**  
**CAPITAL GAINS(LOSS) LONG (9)**  
**From: December 2012 To: November 2013**

	<u>Date</u>	<u>Payee/Payor</u>	<u>*</u>	<u>Debit</u>	<u>Credit</u>
memo		Tax Basis5,604.45			
memo		sold acco brands 1of2			
Cr	Jun 18 13	Record Sale (9)	*		3,618.35
memo	Jun 18 13	Sold Qty 1649.33			
memo		Tax Basis6,794.70			
memo		sold acco brands 2of2			
Cr	Jun 18 13	Record Sale (9)	*		1,978.49
memo	Jun 18 13	Sold Qty 1300			
memo		Tax Basis50,448.93			
memo		sold forest labs			
Dr	Jun 24 13	Record Sale (9)	*	3,424.07	
memo	Jun 24 13	Sold Qty 2000			
memo		Tax Basis58,577.26			
memo		sold nisource 1of2			
Cr	Jun 24 13	Record Sale (9)	*		15,221.58
memo	Jun 24 13	Sold Qty 4000			
memo		Tax Basis95,084.81			
memo		sold nisource 2of2			
Cr	Jun 24 13	Record Sale (9)	*		16,047.95
memo	Jun 24 13	Sold Qty 2000			
memo		Tax Basis42,508.00			
memo		sold omega health 1of2			
Cr	Jun 24 13	Record Sale (9)	*		24,539.28
memo	Jun 24 13	Sold Qty 931			
memo		Tax Basis2,718.52			
memo		sold omega health 2of2			
Dr	Jun 17 13	Redemption Of Securities (13)	*	601.25	
memo	Jun 17 13	Sold Qty 2000			
memo		Tax Basis50,601.25			
memo		red allianz 8.375			
Cr	Jul 10 13	Record Sale (9)	*		77,239.55
memo	Jul 10 13	Sold Qty 5000			
memo		Tax Basis88,186.58			
memo		sold Williams Cos			
Dr	Jul 11 13	Record Sale (9)	*	12.82	
memo	Jul 11 13	Sold Qty .279			
memo		Tax Basis14.72			
memo		sold frac share of sprint			
memo		from merger			
Cr	Aug 12 13	Record Sale (9)	*		399.87
memo	Aug 12 13	Sold Qty 700			
memo		Tax Basis57,568.00			
memo		sold deere comp			
Cr	Aug 20 13	Record Sale (9)	*		157,121.40
memo	Aug 20 13	Sold Qty 1500			
memo		Tax Basis23,571.21			

**Rohahn**  
**Transactions by Account**  
**CAPITAL GAINS(LOSS) LONG (9)**  
**From: December 2012 To: November 2013**

	<u>Date</u>	<u>Payee/Payor</u>	<u>*</u>	<u>Debit</u>	<u>Credit</u>
memo		sold part canadian PAC RR			
Cr	Aug 20 13	Record Sale (9)	*		13,585.22
memo	Aug 20 13	Sold Qty 92			
memo		Tax Basis84,092.83			
memo		sold part Appalachian			
Dr	Aug 21 13	Record Sale (9)	*	1,500.24	
memo	Aug 21 13	Sold Qty 3400			
memo		Tax Basis143,395.14			
memo		sold PG&E			
Dr	Sep 5 13	Record Sale (9)	*	4,272.05	
memo	Sep 5 13	Sold Qty 3600			
memo		Tax Basis75,695.19			
memo		sold akzo			
Cr	Sep 5 13	Record Sale (9)	*		3,911.33
memo	Sep 5 13	Sold Qty 2700			
memo		Tax Basis49,656.01			
memo		sold akzo			
Cr	Sep 10 13	Record Sale (9)	*		27,854.75
memo	Sep 10 13	Sold Qty 2500			
memo		Tax Basis94,175.57			
memo		SOLD TATE LYLE			
Dr	Sep 12 13	Redemption Of Securities (13)	*	52,490.00	
memo	Sep 12 13	Sold Qty 10000			
memo		Tax Basis100,000.00			
memo		red jp morgan chase ABX			
Dr	Oct 8 13	Record Sale (9)	*	57,926.63	
memo	Oct 8 13	Sold Qty 3000			
memo		Tax Basis81,558.46			
memo		sold alcoa 1 of3			
Dr	Oct 8 13	Record Sale (9)	*	55,758.06	
memo	Oct 8 13	Sold Qty 3000			
memo		Tax Basis79,389.90			
memo		sold alcoa 2 of3			
Dr	Oct 8 13	Record Sale (9)	*	13,282.06	
memo	Oct 8 13	Sold Qty 2000			
memo		Tax Basis29,036.61			
memo		sold alcoa 3 of3			
Dr	Oct 8 13	Record Sale (9)	*	44,815.59	
memo	Oct 8 13	Sold Qty 8000			
memo		Tax Basis62,608.74			
memo		sold noranda			
Dr	Oct 8 13	Record Sale (9)	*	22,320.90	
memo	Oct 8 13	Sold Qty 3200			
memo		Tax Basis48,420.22			
memo		sold stora ens o yj			
Cr	Oct 15 13	Record Sale (9)	*		804.83

**Rohahn**  
**Transactions by Account**  
**CAPITAL GAINS(LOSS) LONG (9)**  
**From: December 2012 To: November 2013**

	<u>Date</u>	<u>Payee/Payor</u>	<u>*</u>	<u>Debit</u>	<u>Credit</u>
memo	Oct 15 13	Sold Qty 4300			
memo		Tax Basis101,846.97			
memo		sold tronox ltd			
Cr	Oct 30 13	Record Sale (9)	*		7,940.87
memo	Oct 30 13	Sold Qty 2000			
memo		Tax Basis103,411.38			
memo		sold paccar inc			
Cr	Nov 13 13	Record Sale (9)	*		3,583.57
memo	Nov 13 13	Sold Qty 2000			
memo		Tax Basis54,202.48			
memo		sold Aecom 1 of2			
Cr	Nov 13 13	Record Sale (9)	*		7,595.92
memo	Nov 13 13	Sold Qty 2000			
memo		Tax Basis50,190.14			
memo		sold Aecom Tech 2 of2			
Cr	Nov 25 13	Record Sale (9)	*		46,473.70
memo	Nov 25 13	Sold Qty 2700			
memo		Tax Basis101,829.12			
memo		sold celanese corp			
	Nov 30 13	<b>Ending Balance</b>			<u><u>800,973.95</u></u>
Summary by Payee/Payor					
		Record Sale (9)			893,136.45
		Redemption Of Securities (13)		92,162.50	
		<b>Total</b>		<u>92,162.50</u>	<b>800,973.95</b>