

# **SAMPLE REPORT V ABC BROKERAGE**

## **ABC-1234 - SAMPLE REPORT**

04/2010 Thru 12/2012

*Privileged / Confidential Attorney Work Product*

### Annualized Rate of Return

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Account		Date Range	Annualized Rate of Return	Profit & (Loss)
1 ABC-1234	SAMPLE REPORT	04/2010 - 12/2012	-57.80%	(\$640,317.18)
2 ABC-1234	SAMPLE REPORT	04/2010 - 12/2010	4.69%	\$4,106.22
3 ABC-1234	SAMPLE REPORT	01/2011 - 12/2011	-53.00%	(\$264,806.15)
4 ABC-1234	SAMPLE REPORT	01/2012 - 12/2012	-64.21%	(\$379,617.25)

## Total Investment Summary

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

**CREDITS:** **\$3,197,582.38**

BEGINNING CASH BALANCE	\$0.00
SECURITIES OPEN IN ACCOUNT	\$0.00
SECURITIES RECEIVED IN	\$26,339.50
CASH DEPOSITS	\$2,646,611.85
CASH TRANSFERRED IN	\$0.00
DEBITS TRANSFERRED OUT	\$524,631.03
CREDIT ADJUSTMENT	\$0.00

**DEBITS:** **\$2,557,265.20**

ENDING CASH BALANCE	\$0.00
SECURITIES DELIVERED OUT	\$845,064.34
CASH WITHDRAWN	\$1,712,161.17
CASH TRANSFERRED OUT	\$0.00
DEBITS TRANSFERRED IN	\$39.69
TAXES WITHHELD	\$0.00
SECURITIES IN ACCOUNT	\$0.00
DEBIT ADJUSTMENT	\$0.00

**RETURN ON INVESTMENT:** **(\$576,582.38)**

NET TRADING RESULT	(\$581,354.63)
DIVIDEND INCOME	\$4,772.25
INTEREST INCOME	\$0.00

**MISC. INCOME & EXPENSE:** **(\$63,734.80)**

MONEY MARKET FUND INCOME	\$17.15
MISCELLANEOUS CREDITS	\$0.00
INTEREST CHARGES	(\$60,178.67)
MISCELLANEOUS CHARGES	(\$3,573.28)

TOTAL COMMISSIONS:	\$501,194.11
COMMISSIONS to Market Value:	34.21%
COMMISSIONS to Equity Value:	37.31%
TURNOVER (Annualized) by Market Value:	55.65
by Equity Value:	60.69
CMF (Annualized) by Market Value:	38.57%
by Equity Value:	42.06%
AVERAGE MONTHLY EQUITY:	\$488,480.79

**Net Loss** **(\$640,317.18)**

% Simple Return = **-20.03%**  
% Return on Average Equity = **-131.08%**

**Net Loss** **(\$640,317.18)**

## Trade Transactions ROI - Summary

Account Name: SAMPLE REPORT  
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 Date Range: 04/2010 Thru 12/2012

**Subtotals On:**

	Trading Gain/(Loss)	Income	Net ROI	% ROI
EQUITIES	(\$581,354.63)	\$4,772.25	(\$576,582.38)	-0.71%

<b>Net Trading Result</b>	<b>(\$581,354.63)</b>		
<b>Total Income</b>		<b>\$4,772.25</b>	
<b>Net Return on Investments</b>			<b>(\$576,582.38)</b>
Money Market Funds			\$17.15
Miscellaneous Credits			\$0.00
Interest Charges			(\$60,178.67)
Miscellaneous Charges			(\$3,573.28)
<b>Net Loss</b>			<b>(\$640,317.18)</b>

### Trade Transactions ROI - Detail Summary

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Description	Trading Gain/Loss	Income	Net ROI	% ROI
<b>EQUITIES</b>				
1 ALLIANCE HOLDING GROUP LP	(\$5,590.56)	\$0.00	(\$5,590.56)	-2.7%
2 AMAZON.COM INC	(\$60,653.40)	\$0.00	(\$60,653.40)	-6.3%
3 AMERICAN EXPRESS CO	\$381.86	\$0.00	\$381.86	0.2%
4 AMR CORP	(\$32,237.42)	\$0.00	(\$32,237.42)	-12.5%
5 APPLE INC	(\$117,792.57)	\$5,074.75	(\$112,717.82)	-0.3%
6 APPLE INC	(\$2,469.03)	\$0.00	(\$2,469.03)	0.0%
7 AVALON RARE METALS INC	(\$50,120.57)	\$0.00	(\$50,120.57)	-26.4%
8 BANK OF AMERICA CORP	(\$27,138.66)	\$200.00	(\$26,938.66)	-3.0%
9 CATERPILLAR INC	\$44,115.56	\$7,200.00	\$51,315.56	2.5%
10 CISCO SYSTEMS INC	\$7,867.93	\$0.00	\$7,867.93	3.9%
11 CITIGROUP INC	(\$51,905.57)	\$0.00	(\$51,905.57)	-1.7%
12 CITIGROUP INC	\$4,108.75	\$0.00	\$4,108.75	2.3%
13 CONOCOPHILLIPS	(\$11,949.23)	(\$6,600.00)	(\$18,549.23)	-1.3%
14 CONTINENTAL AIRLINES CL B	\$1,488.14	\$0.00	\$1,488.14	2.0%
15 CORNING INC	(\$130.97)	\$7.50	(\$123.47)	-9.6%
16 CROWN CASTLE INTL CORP	(\$3,918.12)	\$0.00	(\$3,918.12)	-1.5%
17 DYNERGY INC	\$311.96	\$0.00	\$311.96	17.3%
18 FACEBOOK INC CL A	(\$73,767.70)	\$0.00	(\$73,767.70)	-17.3%
19 FREEPORT MCMORAN COPPER & GOLD	\$25,696.02	\$62.50	\$25,758.52	2.5%
20 GIGMEDIA LTD	(\$736.84)	\$0.00	(\$736.84)	-19.2%
21 HANSEN MEDICAL INC	(\$489.90)	\$0.00	(\$489.90)	-19.1%

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Description	Trading Gain/Loss	Income	Net ROI	% ROI
22 HOME DEPOT INC	\$10,663.82	\$0.00	\$10,663.82	1.2%
23 INTEL CORP	\$2,098.00	\$0.00	\$2,098.00	1.5%
24 INTEL CORP	(\$74,813.90)	\$0.00	(\$74,813.90)	-5.4%
25 INTL BUSINESS MACHINES CORP	(\$4,031.28)	\$0.00	(\$4,031.28)	-1.9%
26 ISHARES SILVER TRUST	\$11,767.77	\$0.00	\$11,767.77	5.6%
27 JP MORGAN CHASE & CO	\$48,808.87	\$0.00	\$48,808.87	3.3%
28 JP MORGAN CHASE & CO	\$10,068.10	\$0.00	\$10,068.10	0.9%
29 KB HOME	(\$17,972.62)	\$0.00	(\$17,972.62)	-2.9%
30 LENNAR CORP	(\$39,301.47)	(\$200.00)	(\$39,501.47)	-1.8%
31 LINEAR TECHNOLOGY CORP	\$3,549.98	\$0.00	\$3,549.98	2.2%
32 LOWES COMPANIES INC	(\$2,993.30)	(\$1,400.00)	(\$4,393.30)	-0.4%
33 MACYS INC	\$5,682.18	\$0.00	\$5,682.18	3.1%
34 MICRON TECHNOLOGY INC	(\$136,775.87)	\$0.00	(\$136,775.87)	-4.7%
35 MICROSOFT CORP	\$2,897.18	\$0.00	\$2,897.18	1.9%
36 MICROSOFT CORP	(\$55.82)	\$0.00	(\$55.82)	0.0%
37 MORGAN STANLEY	\$8,770.84	\$0.00	\$8,770.84	3.9%
38 NOVATEL WIRELESS INC	(\$1,309.10)	\$0.00	(\$1,309.10)	-15.9%
39 NYSE EURONEXT	(\$32.22)	\$7.50	(\$24.72)	-4.0%
40 OPENTABLE INC	\$4,781.79	\$0.00	\$4,781.79	2.0%
41 PANDORA MEDIA INC	(\$31,089.10)	\$0.00	(\$31,089.10)	-8.9%
42 PENNEY JC & CO INC	(\$20,373.86)	\$0.00	(\$20,373.86)	-3.2%
43 PHARMASSET INC	\$339.62	\$0.00	\$339.62	0.1%

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Description	Trading Gain/Loss	Income	Net ROI	% ROI
44 PNC FINANCIAL SERVICES GROUP INC	\$17,760.31	\$0.00	\$17,760.31	3.0%
45 PNC FINANCIAL SERVICES GROUP INC	(\$224.51)	\$0.00	(\$224.51)	-0.1%
46 PROSHARES TRUST SHORT DOW 30	(\$18,847.90)	\$0.00	(\$18,847.90)	-1.5%
47 PROSHARES TRUST SHORT QQQ	\$1,987.64	\$0.00	\$1,987.64	0.4%
48 TEXAS INSTRUMENTS INC	\$4,823.14	\$0.00	\$4,823.14	3.0%
49 TOLL BROTHERS INC	(\$71,811.99)	\$0.00	(\$71,811.99)	-4.2%
50 VISA INC CL A	\$54,841.43	\$0.00	\$54,841.43	3.5%
51 VISA INC CL A	(\$2,695.20)	\$0.00	(\$2,695.20)	-1.1%
52 WAL-MART STORES INC	(\$7,402.01)	\$0.00	(\$7,402.01)	-4.0%
53 WELLS FARGO & CO	\$26,314.39	\$0.00	\$26,314.39	2.2%
54 WHOLE FOODS MARKET INC	(\$11,459.32)	\$420.00	(\$11,039.32)	-4.3%
55 YAMANA GOLD INC	\$173.97	\$0.00	\$173.97	6.0%
56 YANDEX NV SHS CL A	(\$685.05)	\$0.00	(\$685.05)	-0.3%
57 ZIOPHARM ONCOLOGY INC	\$121.18	\$0.00	\$121.18	2.4%

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Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
<b>EQUITIES</b>											
1	04/02/2012		5000.000 ALLIANCE HOLDING GROUP LP	\$40.892		\$204,404.89		MU/D=\$0.20 +FEES PER CONFIRM; SHORT			
2	04/04/2012		5000.000 ALLIANCE HOLDING GROUP LP	\$41.969	\$209,995.45			COMM +FEES PER CONFIRM; COVER			
			<b>5,000.000</b>					<b>(\$5,590.56)</b>	<b>\$0.00</b>	<b>(\$5,590.56)</b>	<b>-2.7%</b>
3	01/30/2012		5000.000 AMAZON.COM INC	\$193.278	\$966,440.45			MU/D=\$1.90 +FEES PER CONFIRM			
4	02/01/2012		2500.000 AMAZON.COM INC	\$175.320		\$438,241.63		COMM +FEES PER CONFIRM			
5	02/15/2012		1500.000 AMAZON.COM INC	\$183.649		\$275,318.14		COMM +FEES PER CONFIRM			
6	03/21/2012		1000.000 AMAZON.COM INC	\$192.381		\$192,227.28		COMM +FEES PER CONFIRM			
			<b>5,000.000</b>					<b>(\$60,653.40)</b>	<b>\$0.00</b>	<b>(\$60,653.40)</b>	<b>-6.3%</b>
7	04/18/2012		4000.000 AMERICAN EXPRESS CO	\$58.669	\$234,726.00			MU/D=\$0.299 +FEES PER CONFIRM			
8	04/25/2012		4000.000 AMERICAN EXPRESS CO	\$58.791		\$235,107.86		MU/D=\$0.05 +FEES PER CONFIRM			
			<b>4,000.000</b>					<b>\$381.86</b>	<b>\$0.00</b>	<b>\$381.86</b>	<b>0.2%</b>
9	11/02/2010		30000.000 AMR CORP	\$7.520		\$225,537.08		MU/D=\$0.20 +FEES PER CONFIRM; SHORT			
10	11/04/2010		15000.000 AMR CORP	\$8.646	\$129,759.50			COMM CALC (Bonds @ 2.5%) COVER			
11	11/05/2010		15000.000 AMR CORP	\$8.530	\$128,015.00			COMM +FEES PER CONFIRM; COVER			
			<b>30,000.000</b>					<b>(\$32,237.42)</b>	<b>\$0.00</b>	<b>(\$32,237.42)</b>	<b>-12.5%</b>
12	12/08/2011		2000.000 APPLE INC	\$398.395	\$796,839.95			MU/D=\$5.00 +FEES PER CONFIRM			
13	12/21/2011		2000.000 APPLE INC	\$398.670	\$797,389.55			MU/D=\$4.00 +FEES PER CONFIRM			
14	01/05/2012		1000.000 APPLE INC	\$414.960		\$414,902.04		MU/D=\$2.00 +FEES PER CONFIRM			
15	01/09/2012		2500.000 APPLE INC	\$421.552		\$1,053,810.61		MU/D=\$4.25 +FEES PER CONFIRM			
16	01/24/2012		250.000 APPLE INC	\$451.550		\$111,385.43		COMM +FEES PER CONFIRM			
17	01/24/2012		250.000 APPLE INC	\$453.000		\$111,697.87		COMM +FEES PER CONFIRM			



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Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
18	02/15/2012	2500.000	APPLE INC	\$518.530	\$1,296,374.45			MU/D=\$3.00 +FEES PER CONFIRM			
19	02/16/2012	1000.000	APPLE INC	\$506.180	\$506,229.85			MU/D=\$3.00 +FEES PER CONFIRM			
20	02/17/2012	1500.000	APPLE INC	\$505.400	\$758,149.80			MU/D=\$3.00 +FEES PER CONFIRM			
21	02/29/2012	4000.000	APPLE INC	\$539.538		\$2,158,063.31		MU/D=\$4.00 +FEES PER CONFIRM			
22	03/06/2012	2000.000	APPLE INC	\$526.304	\$1,052,657.29			COMM CALC (Bonds @ 2.5%)			
23	03/07/2012	2000.000	APPLE INC	\$529.427		\$1,058,784.81		COMM CALC (Bonds @ 2.5%)			
24	03/08/2012	1000.000	APPLE INC	\$539.010		\$538,950.39		MU/D=\$3.0 +FEES PER CONFIRM			
25	05/08/2012	700.000	APPLE INC	\$563.390	\$394,522.88			COMM +FEES PER CONFIRM			
26	05/09/2012	1800.000	APPLE INC	\$572.930	\$1,031,423.77			COMM +FEES PER CONFIRM			
27	05/23/2012	1000.000	APPLE INC	\$559.700	\$559,849.85			COMM +FEES PER CONFIRM			
28	05/29/2012	3500.000	APPLE INC	\$571.879		\$2,001,483.07		MU/D=\$0.50 +FEES PER CONFIRM			
29	05/30/2012	1500.000	APPLE INC	\$577.723	\$866,684.98			COMM +FEES PER CONFIRM			
30	05/30/2012	1000.000	APPLE INC	\$569.057	\$569,206.95			COMM +FEES PER CONFIRM			
31	05/31/2012	2500.000	APPLE INC	\$577.690		\$1,444,143.17		MU/D=\$0.50 +FEES PER CONFIRM			
32	06/01/2012	2500.000	APPLE INC	\$566.826	\$1,417,216.15			COMM +FEES PER CONFIRM			
33	06/01/2012	2500.000	APPLE INC	\$561.390	\$1,403,574.75			COMM +FEES PER CONFIRM			
34	06/01/2012	5000.000	APPLE INC	\$561.537		\$2,807,474.40		COMM +FEES PER CONFIRM			
35	06/04/2012	5000.000	APPLE INC	\$554.627	\$2,773,283.79			COMM +FEES PER CONFIRM			
36	06/04/2012	5000.000	APPLE INC	\$558.799		\$2,793,880.85		MU/D=\$1.00 +FEES PER CONFIRM			
37	06/05/2012	5000.000	APPLE INC	\$561.580	\$2,808,051.45			COMM +FEES PER CONFIRM			
38	06/05/2012	5000.000	APPLE INC	\$563.862		\$2,819,196.29		MU/D=\$0.50 +FEES PER CONFIRM			
39	06/11/2012	2500.000	APPLE INC	\$586.440	\$1,466,249.70			COMM +FEES PER CONFIRM			
40	06/12/2012	2500.000	APPLE INC	\$568.311		\$1,420,596.30		COMM +FEES PER CONFIRM			

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Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI	
41	06/21/2012	2500.000	APPLE INC	\$582.667	\$1,456,818.48							COMM +FEES PER CONFIRM
42	06/21/2012	2500.000	APPLE INC	\$577.964		\$1,444,828.47						COMM +FEES PER CONFIRM
43	06/25/2012	1000.000	APPLE INC	\$573.230	\$573,379.50							COMM +FEES PER CONFIRM
44	06/27/2012	1000.000	APPLE INC	\$573.869	\$574,018.50							COMM +FEES PER CONFIRM
45	06/29/2012	2000.000	APPLE INC	\$579.117		\$1,158,157.06						MU/D=\$1.00 +FEES PER CONFIRM
46	07/09/2012	1000.000	APPLE INC	\$613.620	\$613,669.86							MU/D=\$0.9999 +FEES PER CONFIRM
47	07/11/2012	300.000	APPLE INC	\$599.499	\$179,899.55							MU/D=\$0.9999 +FEES PER CONFIRM
48	07/16/2012	300.000	APPLE INC	\$608.690		\$182,552.98						MU/D=\$1.00 +FEES PER CONFIRM
49	07/18/2012	500.000	APPLE INC	\$606.270		\$302,978.30						COMM CALC (Bonds @ 2.5%)
50	07/24/2012	1000.000	APPLE INC	\$601.839	\$601,888.75							COMM CALC (Bonds @ 2.5%)
51	07/31/2012	1000.000	APPLE INC	\$610.080		\$610,016.46						MU/D=\$0.75 +FEES PER CONFIRM
52	08/02/2012	1000.000	APPLE INC	\$604.258	\$604,408.11							COMM +FEES PER CONFIRM
53	08/03/2012	1000.000	APPLE INC	\$616.554		\$616,490.41						MU/D=\$1.00 +FEES PER CONFIRM
54	08/03/2012	500.000	APPLE INC	\$615.219		\$307,602.37						MU/D=\$1.00 +FEES PER CONFIRM
55	09/11/2012	1000.000	APPLE INC	\$660.923	\$660,973.19							MU/D=\$2.9999 +FEES PER CONFIRM
56	09/11/2012	1000.000	APPLE INC	\$662.732	\$662,731.80							MU/D=\$3.00 +FEES PER CONFIRM
57	09/26/2012	2000.000	APPLE INC	\$663.000	\$1,326,149.95							COMM +FEES PER CONFIRM
58	09/26/2012	2000.000	APPLE INC	\$668.352		\$1,336,624.08						MU/D=\$1.00 +FEES PER CONFIRM
59	09/28/2012	2000.000	APPLE INC	\$674.407	\$1,348,964.05							COMM +FEES PER CONFIRM
60	09/28/2012	2000.000	APPLE INC	\$669.138		\$1,338,096.28						COMM +FEES PER CONFIRM
61	10/08/2012	2000.000	APPLE INC	\$639.557	\$1,279,264.30							COMM +FEES PER CONFIRM
62	10/08/2012	2000.000	APPLE INC	\$638.486		\$1,276,793.05						COMM +FEES PER CONFIRM
63	10/10/2012	2000.000	APPLE INC	\$642.000	\$1,284,149.93							COMM CALC (Bonds @ 2.5%)

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Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
64	10/10/2012		2000.000 APPLE INC	\$640.994		\$1,281,809.34		COMM CALC (Bonds @ 2.5%)			
65	10/11/2012	2000.000	APPLE INC	\$630.549	\$1,261,248.83			COMM CALC (Bonds @ 2.5%)			
66	10/11/2012		2000.000 APPLE INC	\$628.748		\$1,257,318.44		COMM CALC (Bonds @ 2.5%)			
67	10/15/2012	1900.000	APPLE INC	\$628.690	\$1,194,660.94			COMM +FEES PER CONFIRM			
68	10/15/2012		1900.000 APPLE INC	\$630.930	\$1,198,916.76			COMM +FEES PER CONFIRM			
69	10/15/2012		1900.000 APPLE INC	\$633.793		\$1,204,128.80		MU/D=\$0.75 +FEES PER CONFIRM			
70	10/15/2012		1900.000 APPLE INC	\$629.712		\$1,196,376.51		MU/D=\$0.25 +FEES PER CONFIRM			
71	10/17/2012	1900.000	APPLE INC	\$651.004	\$1,237,056.60			COMM +FEES PER CONFIRM			
72	10/17/2012		1900.000 APPLE INC	\$645.272		\$1,225,839.57		COMM +FEES PER CONFIRM			
73	10/18/2012	1900.000	APPLE INC	\$637.359	\$1,211,081.34			COMM +FEES PER CONFIRM			
74	10/18/2012		1900.000 APPLE INC	\$632.081		\$1,200,776.17		COMM +FEES PER CONFIRM			
75	10/19/2012	1900.000	APPLE INC	\$619.091	\$1,176,422.85			COMM +FEES PER CONFIRM			
76	10/19/2012		1900.000 APPLE INC	\$610.972		\$1,160,671.21		COMM +FEES PER CONFIRM			
77	10/22/2012	2000.000	APPLE INC	\$634.846	\$1,269,742.35			MU/D=\$4.00 +FEES PER CONFIRM			
78	10/25/2012		1000.000 APPLE INC	\$607.250		\$607,186.86		COMM +FEES PER CONFIRM			
79	11/06/2012		585.000 APPLE INC	\$584.450		\$341,895.65		NO COMM +FEES PER CONFIRM			
80	11/06/2012		500.000 APPLE INC	\$584.490		\$292,188.71		COMM +FEES PER CONFIRM			
81	11/12/2012		80.000 APPLE INC	\$540.700		\$43,205.09		COMM +FEES PER CONFIRM			
82	11/13/2012		135.000 APPLE INC	\$544.510		\$73,457.26		COMM CALC (Bonds @ 2.5%)			
83	11/14/2012		105.000 APPLE INC	\$542.700		\$56,932.28		COMM CALC (Bonds @ 2.5%)			
84	11/15/2012		APPLE INC			\$5,074.75		DIVIDEND			
85	12/10/2012	DELV	1595.000 APPLE INC	\$529.821		\$845,064.34		VALUED PER MARKETWATCH			
		<b>65,800.000</b>	<b>65,800.000</b>					<b>(\$117,792.57)</b>	<b>\$5,074.75</b>	<b>(\$112,717.82)</b>	<b>-0.3%</b>

## Trade Transactions ROI

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Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
86	06/06/2012		5000.000 APPLE INC	\$570.832		\$2,854,047.31		COMM +FEES PER CONFIRM; SHORT			
87	06/06/2012	5000.000	APPLE INC	\$571.410	\$2,857,198.05			COMM +FEES PER CONFIRM; COVER			
88	06/12/2012		2500.000 APPLE INC	\$572.174		\$1,430,253.55		COMM +FEES PER CONFIRM; SHORT			
89	06/15/2012	2500.000	APPLE INC	\$570.680	\$1,426,849.70			COMM +FEES PER CONFIRM; COVER			
90	06/18/2012		2500.000 APPLE INC	\$586.500		\$1,466,067.20		COMM +FEES PER CONFIRM; SHORT			
91	06/18/2012	2500.000	APPLE INC	\$586.180	\$1,465,599.70			COMM +FEES PER CONFIRM; COVER			
92	06/19/2012		2500.000 APPLE INC	\$587.410		\$1,468,342.40		COMM +FEES PER CONFIRM SHORT			
93	06/19/2012	2500.000	APPLE INC	\$585.923		\$1,464,624.23		COMM +FEES PER CONFIRM SHORT			
94	06/19/2012	5000.000	APPLE INC	\$587.201	\$2,936,156.27			COMM +FEES PER CONFIRM; COVER			
		<b>15,000.000</b>	<b>15,000.000</b>					<b>(\$2,469.03)</b>	<b>\$0.00</b>	<b>(\$2,469.03)</b>	<b>0.0%</b>
95	04/21/2011	20000.000	AVALON RARE METALS INC	\$9.506	\$190,175.00			MU/D=\$0.15 +FEES PER CONFIRM			
96	05/25/2011		15000.000 AVALON RARE METALS INC	\$7.253		\$108,726.41		COMM +FEES PER CONFIRM			
97	06/08/2011		2500.000 AVALON RARE METALS INC	\$6.481		\$16,137.18		MU/D=\$0.04 +FEES PER CONFIRM			
98	07/21/2011		1500.000 AVALON RARE METALS INC	\$6.274		\$9,245.96		COMM +FEES PER CONFIRM			
99	07/27/2011		1000.000 AVALON RARE METALS INC	\$6.110		\$5,944.88		COMM +FEES PER CONFIRM			
		<b>20,000.000</b>	<b>20,000.000</b>					<b>(\$50,120.57)</b>	<b>\$0.00</b>	<b>(\$50,120.57)</b>	<b>-26.4%</b>
100	10/27/2010	20000.000	BANK OF AMERICA CORP	\$11.737	\$234,798.00			MU/D=\$0.1732 +FEES PER CONFIRM			
101	11/04/2010		20000.000 BANK OF AMERICA CORP	\$12.050		\$240,930.91		COMM CALC (Bonds @ 2.5%)			
102	11/16/2010	10000.000	BANK OF AMERICA CORP	\$11.900	\$119,065.00			COMM CALC (Bonds @ 2.5%)			
103	12/13/2010		10000.000 BANK OF AMERICA CORP	\$12.530		\$125,232.84		MU/D=\$0.20 +FEES PER CONFIRM			
104	12/27/2010		BANK OF AMERICA CORP			\$100.00		DIVIDEND			
105	03/12/2012	25000.000	BANK OF AMERICA CORP	\$8.040	\$201,049.95			MU/D=\$0.08 +FEES PER CONFIRM			
106	03/13/2012		20000.000 BANK OF AMERICA CORP	\$8.310		\$166,147.04		MU/D=\$0.05 +FEES PER CONFIRM			

## Trade Transactions ROI

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
107	03/21/2012		3000.000 BANK OF AMERICA CORP	\$9.680		\$28,989.81		MU/D=\$0.15 +FEES PER CONFIRM			
108	03/27/2012		2000.000 BANK OF AMERICA CORP	\$9.740		\$19,429.69		MU/D=\$0.10 +FEES PER CONFIRM			
109	04/11/2012	10000.000	BANK OF AMERICA CORP	\$8.900	\$89,049.95			MU/D=\$0.04 +FEES PER CONFIRM			
110	05/03/2012	20000.000	BANK OF AMERICA CORP	\$8.040	\$160,849.95			MU/D=\$0.04 +FEES PER CONFIRM			
111	05/23/2012		20000.000 BANK OF AMERICA CORP	\$6.910		\$138,046.95		COMM +FEES PER CONFIRM			
112	06/22/2012		BANK OF AMERICA CORP			\$100.00		DIVIDEND			
113	07/03/2012	10000.000	BANK OF AMERICA CORP	\$8.100	\$81,149.95			COMM +FEES PER CONFIRM			
114	07/24/2012		20000.000 BANK OF AMERICA CORP	\$7.010		\$140,046.90		COMM CALC (Bonds @ 2.5%)			
		<b>95,000.000</b>	<b>95,000.000</b>					<b>(\$27,138.66)</b>	<b>\$200.00</b>	<b>(\$26,938.66)</b>	<b>-3.0%</b>
115	01/09/2012	10000.000	CATERPILLAR INC	\$98.464	\$984,689.95			MU/D=\$1.50 +FEES PER CONFIRM			
116	01/18/2012		5000.000 CATERPILLAR INC	\$103.214		\$516,008.13		MU/D=\$5.00 +FEES PER CONFIRM			
117	01/23/2012		2500.000 CATERPILLAR INC	\$105.917		\$264,737.13		COMM +FEES PER CONFIRM			
118	01/27/2012		1000.000 CATERPILLAR INC	\$109.923		\$109,870.98		MU/D=\$0.75 +FEES PER CONFIRM			
119	01/30/2012		1000.000 CATERPILLAR INC	\$109.780		\$109,728.03		MU/D=\$0.50 +FEES PER CONFIRM			
120	02/09/2012		500.000 CATERPILLAR INC	\$112.980		\$56,439.00		MU/D=\$1.00 +FEES PER CONFIRM			
121	02/21/2012		CATERPILLAR INC			\$4,600.00		DIVIDEND			
122	03/29/2012	2500.000	CATERPILLAR INC	\$105.496	\$263,790.81			MU/D=\$0.50 +FEES PER CONFIRM			
123	04/02/2012		2500.000 CATERPILLAR INC	\$107.648		\$269,064.73		MU/D=\$0.10 +FEES PER CONFIRM			
124	04/11/2012	2000.000	CATERPILLAR INC	\$102.139	\$204,328.84			MU/D=\$0.50 +FEES PER CONFIRM			
125	04/13/2012		2000.000 CATERPILLAR INC	\$105.370		\$210,684.41		MU/D=\$0.50 +FEES PER CONFIRM			
126	05/07/2012	2000.000	CATERPILLAR INC	\$98.274	\$196,597.53			MU/D=\$0.50 +FEES PER CONFIRM			
127	05/23/2012		1500.000 CATERPILLAR INC	\$90.395		\$135,440.09		COMM +FEES PER CONFIRM			
128	06/25/2012	2000.000	CATERPILLAR INC	\$82.879	\$165,908.47			COMM +FEES PER CONFIRM			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
129	07/03/2012	2500.000	CATERPILLAR INC	\$86.590	\$216,624.95			COMM +FEES PER CONFIRM			
130	07/24/2012	5000.000	CATERPILLAR INC	\$80.849		\$404,083.61		COMM CALC (Bonds @ 2.5%)			
131	08/20/2012		CATERPILLAR INC			\$2,600.00		DIVIDEND			
		<b>21,000.000</b>	<b>21,000.000</b>					<b>\$44,115.56</b>	<b>\$7,200.00</b>	<b>\$51,315.56</b>	<b>2.5%</b>
132	12/13/2010	10000.000	CISCO SYSTEMS INC	\$20.200	\$202,065.00			MU/D=\$0.40 +FEES PER CONFIRM			
133	01/13/2011	10000.000	CISCO SYSTEMS INC	\$21.000		\$209,932.93		MU/D=\$0.10 +FEES PER CONFIRM			
		<b>10,000.000</b>	<b>10,000.000</b>					<b>\$7,867.93</b>	<b>\$0.00</b>	<b>\$7,867.93</b>	<b>3.9%</b>
134	04/23/2010	1000.000	CITIGROUP INC	\$4.850	\$4,915.00			COMM CALC (Bonds @ 2.5%)			
135	04/30/2010	9000.000	CITIGROUP INC	\$4.490	\$40,475.00			COMM CALC (Bonds @ 2.5%)			
136	05/10/2010	10000.000	CITIGROUP INC	\$4.310		\$43,034.27		COMM CALC (Bonds @ 2.5%)			
137	05/14/2010	20000.000	CITIGROUP INC	\$4.065	\$81,365.00			COMM CALC (Bonds @ 2.5%)			
138	05/26/2010	285.000	CITIGROUP INC	\$3.990		\$1,072.13		COMM CALC (Bonds @ 2.5%)			
139	06/22/2010	19715.000	CITIGROUP INC	\$3.950		\$77,807.92		COMM CALC (Bonds @ 2.5%)			
140	09/14/2010	50000.000	CITIGROUP INC	\$4.050	\$202,565.00			MU/D=\$0.10 +FEES PER CONFIRM			
141	10/19/2010	5000.000	CITIGROUP INC	\$4.050		\$20,084.65		COMM CALC (Bonds @ 2.5%)			
142	11/03/2010	45000.000	CITIGROUP INC	\$4.180		\$188,031.82		COMM CALC (Bonds @ 2.5%)			
143	11/08/2010	50000.000	CITIGROUP INC	\$4.468	\$223,465.00			COMM +FEES PER CONFIRM			
144	11/30/2010	50000.000	CITIGROUP INC	\$4.316	\$215,865.00			COMM CALC (Bonds @ 2.5%)			
145	12/13/2010	50000.000	CITIGROUP INC	\$4.720		\$235,930.92		MU/D=\$0.10 +FEES PER CONFIRM			
146	01/06/2011	150000.000	CITIGROUP INC	\$5.072	\$760,865.00			MU/D=\$0.10 +FEES PER CONFIRM			
147	01/13/2011	12000.000	CITIGROUP INC	\$4.940		\$59,213.97		MU/D=\$0.10 +FEES PER CONFIRM			
148	01/20/2011	13000.000	CITIGROUP INC	\$4.770		\$61,943.80		COMM +FEES PER CONFIRM			
149	01/21/2011	6000.000	CITIGROUP INC	\$4.881		\$29,220.43		COMM +FEES PER CONFIRM			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
150	02/07/2011		2000.000 CITIGROUP INC	\$4.871		\$9,676.81		COMM +FEES PER CONFIRM			
151	02/28/2011		5000.000 CITIGROUP INC	\$4.731		\$23,489.54		COMM +FEES PER CONFIRM			
152	03/04/2011		1000.000 CITIGROUP INC	\$4.541		\$4,475.91		COMM+FEES PER CONFIRM			
153	03/09/2011		1000.000 CITIGROUP INC	\$4.631		\$4,465.91		COMM +FEES PER CONFIRM			
154	03/09/2011		100.000 CITIGROUP INC	\$4.630		\$397.99		COMM +FEES PER CONFIRM			
155	03/16/2011		4000.000 CITIGROUP INC	\$4.431		\$17,658.65		COMM +FEES PER CONFIRM			
156	03/22/2011		5000.000 CITIGROUP INC	\$4.421		\$22,039.57		COMM +FEES PER CONFIRM			
157	04/29/2011		50000.000 CITIGROUP INC	\$4.550		\$227,330.63		COMM +FEES PER CONFIRM			
158	05/09/2011		100900.000 CITIGROUP INC					REV SPLIT			
159	05/09/2011	10090.000	CITIGROUP INC					REV SPLIT			
160	05/19/2011		10090.000 CITIGROUP INC	\$41.355		\$417,202.97		COMM +FEES PER CONFIRM			
161	01/05/2012	50000.000	CITIGROUP INC	\$28.580	\$1,429,044.95			COMM CALC (Bonds @ 2.5%)			
162	01/18/2012		40000.000 CITIGROUP INC	\$28.749		\$1,149,875.97		COMM +FEES PER CONFIRM			
163	01/30/2012		4000.000 CITIGROUP INC	\$30.281		\$121,071.72		COMM +FEES PER CONFIRM			
164	02/01/2012		6000.000 CITIGROUP INC	\$31.741		\$190,392.36		MU/D=\$0.25 +FEES PER CONFIRM			
165	07/13/2012	6000.000	CITIGROUP INC	\$26.790	\$160,789.95			MU/D=\$0.10 +FEES PER CONFIRM			
166	07/18/2012		6000.000 CITIGROUP INC	\$27.180		\$163,026.39		COMM CALC (Bonds @ 2.5%)			
		<b>396,090.000</b>	<b>396,090.000</b>					<b>(\$51,905.57)</b>	<b>\$0.00</b>	<b>(\$51,905.57)</b>	<b>-1.7%</b>
167	03/27/2012		5000.000 CITIGROUP INC	\$37.041		\$185,151.70		MU/D=\$0.10 +FEES PER CONFIRM; SHORT			
168	03/29/2012	5000.000	CITIGROUP INC	\$36.179	\$181,042.95			COMM +FEES PER CONFIRM; COVER			
		<b>5,000.000</b>	<b>5,000.000</b>					<b>\$4,108.75</b>	<b>\$0.00</b>	<b>\$4,108.75</b>	<b>2.3%</b>
169	01/23/2012		10000.000 CONOCOPHILLIPS	\$69.800		\$697,940.51		MU/D=\$070 +FEES PER CONFIRM; SHORT			
170	01/30/2012	7500.000	CONOCOPHILLIPS	\$68.567	\$514,299.45			MU/D=\$0.10 +FEES PER CONFIRM; COVER			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
171	01/30/2012		2500.000 CONOCOPHILLIPS	\$68.669	\$171,672.50						
172	02/06/2012		10000.000 CONOCOPHILLIPS	\$70.571		\$705,646.36					
173	02/16/2012		7500.000 CONOCOPHILLIPS	\$72.759	\$545,841.70						
174	02/17/2012		2500.000 CONOCOPHILLIPS	\$73.429	\$183,722.45						
175	03/01/2012		CONOCOPHILLIPS		\$6,600.00						
			<b>20,000.000</b>					<b>(\$11,949.23)</b>	<b>(\$6,600.00)</b>	<b>(\$18,549.23)</b>	<b>-1.3%</b>
176	07/01/2010		3500.000 CONTINENTAL AIRLINES CL B	\$21.592		\$75,503.94					
177	07/02/2010		3500.000 CONTINENTAL AIRLINES CL B	\$21.129	\$74,015.80						
			<b>3,500.000</b>					<b>\$1,488.14</b>	<b>\$0.00</b>	<b>\$1,488.14</b>	<b>2.0%</b>
178	05/24/2012		100.000 RECV CORNING INC	\$12.810	\$1,281.00						
179	06/29/2012		CORNING INC			\$7.50					
180	07/24/2012		100.000 CORNING INC	\$12.000		\$1,150.03					
			<b>100.000</b>					<b>(\$130.97)</b>	<b>\$7.50</b>	<b>(\$123.47)</b>	<b>-9.6%</b>
181	03/14/2012		5000.000 CROWN CASTLE INTL CORP	\$51.876		\$259,323.33					
182	04/04/2012		5000.000 CROWN CASTLE INTL CORP	\$52.618	\$263,241.45						
			<b>5,000.000</b>					<b>(\$3,918.12)</b>	<b>\$0.00</b>	<b>(\$3,918.12)</b>	<b>-1.5%</b>
183	11/10/2010		400.000 RECV DYNERGY INC	\$4.500	\$1,800.00						
184	12/17/2010		400.000 DYNERGY INC	\$5.630		\$2,111.96					
			<b>400.000</b>					<b>\$311.96</b>	<b>\$0.00</b>	<b>\$311.96</b>	<b>17.3%</b>
185	05/18/2012		7500.000 FACEBOOK INC CL A	\$42.500	\$318,799.95						
186	05/21/2012		3750.000 FACEBOOK INC CL A	\$34.050		\$127,534.91					
187	05/30/2012		3750.000 FACEBOOK INC CL A	\$28.500	\$107,024.95						



## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
188	06/20/2012		3750.000 FACEBOOK INC CL A	\$31.377		\$117,610.89		MU/D=\$0.20 +FEES PER CONFIRM			
189	07/24/2012		3750.000 FACEBOOK INC CL A	\$28.550		\$106,911.40		COMM CALC (Bonds @ 2.5%)			
			<b>11,250.000</b>					<b>(\$73,767.70)</b>	<b>\$0.00</b>	<b>(\$73,767.70)</b>	<b>-17.3%</b>
190	05/19/2011		5000.000 FREEPORT MCMORAN COPPER & GOLD	\$48.800	\$244,065.00			MU/D=\$1.00 +FEES PER CONFIRM			
191	05/25/2011		1000.000 FREEPORT MCMORAN COPPER & GOLD	\$50.570	\$50,634.90			MU/D=\$0.50 +FEES PER CONFIRM			
192	06/08/2011		3000.000 FREEPORT MCMORAN COPPER & GOLD	\$48.948		\$146,776.47		MU/D=\$0.033 +FEES PER CONFIRM			
193	06/28/2011		2000.000 FREEPORT MCMORAN COPPER & GOLD	\$49.930		\$99,693.27		COMM +FEES PER CONFIRM			
194	07/12/2011		750.000 FREEPORT MCMORAN COPPER & GOLD	\$53.161		\$39,705.30		COMM +FEES PER CONFIRM			
195	07/21/2011		250.000 FREEPORT MCMORAN COPPER & GOLD	\$55.350		\$13,672.23		COMM +FEES PER CONFIRM			
196	08/01/2011		FREEPORT MCMORAN COPPER & GOLD			\$62.50		DIVIDEND			
197	04/12/2012		5000.000 FREEPORT MCMORAN COPPER & GOLD	\$38.110	\$190,599.95			MU/D=\$0.20 +FEES PER CONFIRM			
198	05/01/2012		5000.000 FREEPORT MCMORAN COPPER & GOLD	\$38.250		\$191,196.15		MU/D=\$0.05 +FEES PER CONFIRM			
199	08/16/2012		7500.000 FREEPORT MCMORAN COPPER & GOLD	\$35.517	\$266,430.59			MU/D=\$0.01 +FEES PER CONFIRM			
200	08/21/2012		7500.000 FREEPORT MCMORAN COPPER & GOLD	\$36.832		\$276,180.51		MU/D=\$0.20 +FEES PER CONFIRM			
201	08/30/2012		7500.000 FREEPORT MCMORAN COPPER & GOLD	\$35.020	\$262,699.38			MU/D=\$0.35 +FEES PER CONFIRM			
202	09/06/2012		7500.000 FREEPORT MCMORAN COPPER & GOLD	\$36.394		\$272,901.91		MU/D=\$0.15 +FEES PER CONFIRM			
			<b>26,000.000</b>					<b>\$25,696.02</b>	<b>\$62.50</b>	<b>\$25,758.52</b>	<b>2.5%</b>
203	11/10/2010		2200.000 RECV GIGMEDIA LTD	\$1.740	\$3,828.00			VALUED PER MARKETWATCH			
204	12/17/2010		2200.000 GIGMEDIA LTD	\$1.480		\$3,091.16		COMM +FEES PER CONFIRM			
			<b>2,200.000</b>					<b>(\$736.84)</b>	<b>\$0.00</b>	<b>(\$736.84)</b>	<b>-19.2%</b>
205	05/24/2012		1000.000 RECV HANSEN MEDICAL INC	\$2.560	\$2,560.00			VALUED PER MARKETWATCH			
206	06/12/2012		1000.000 HANSEN MEDICAL INC	\$2.140		\$2,070.10		COMM +FEES PER CONFIRM			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
	<b>1,000.000</b>	<b>1,000.000</b>						<b>(\$489.90)</b>	<b>\$0.00</b>	<b>(\$489.90)</b>	<b>-19.1%</b>
207	03/30/2012	5000.000	HOME DEPOT INC	\$50.020		\$250,044.41		MU/D=\$0.25 +FEES PER CONFIRM; SHORT			
208	04/04/2012	5000.000	HOME DEPOT INC	\$49.668	\$248,487.89			COMM +FEES PER CONFIRM; COVER			
209	04/18/2012	5000.000	HOME DEPOT INC	\$51.480		\$257,344.25		MU/D=\$0.26 +FEES PER CONFIRM; SHORT			
210	04/20/2012	1000.000	HOME DEPOT INC	\$51.480	\$51,529.95			COMM +FEES PER CONFIRM; COVER			
211	04/23/2012	4000.000	HOME DEPOT INC	\$50.846	\$203,433.53			MU/D=\$0.10 +FEES PER CONFIRM; COVER			
212	05/07/2012	5000.000	HOME DEPOT INC	\$51.736		\$258,622.75		MU/D=\$0.20 +FEES PER CONFIRM; SHORT			
213	05/08/2012	5000.000	HOME DEPOT INC	\$50.380	\$251,949.45			MU/D=\$0.25 +FEES PER CONFIRM; COVER			
214	07/03/2012	2500.000	HOME DEPOT INC	\$51.550		\$128,823.04		MU/D=\$0.25 +FEES PER CONFIRM; SHORT			
215	07/16/2012	2500.000	HOME DEPOT INC	\$51.448	\$128,769.81			COMM +FEES PER CONFIRM; COVER			
	<b>17,500.000</b>	<b>17,500.000</b>						<b>\$10,663.82</b>	<b>\$0.00</b>	<b>\$10,663.82</b>	<b>1.2%</b>
216	04/13/2012	5000.000	INTEL CORP	\$28.350	\$141,799.81			MU/D=\$0.14 +FEES PER CONFIRM			
217	05/01/2012	5000.000	INTEL CORP	\$28.790		\$143,897.81		MU/D=\$0.10 +FEES PER CONFIRM			
	<b>5,000.000</b>	<b>5,000.000</b>						<b>\$2,098.00</b>	<b>\$0.00</b>	<b>\$2,098.00</b>	<b>1.5%</b>
218	02/24/2012	50000.000	INTEL CORP	\$26.266		\$1,313,226.05		COMM +FEES PER CONFIRM; SHORT			
219	03/29/2012	50000.000	INTEL CORP	\$27.758	\$1,388,039.95			COMM +FEES PER CONFIRM; COVER			
	<b>50,000.000</b>	<b>50,000.000</b>						<b>(\$74,813.90)</b>	<b>\$0.00</b>	<b>(\$74,813.90)</b>	<b>-5.4%</b>
220	03/29/2012	1000.000	INTL BUSINESS MACHINES CORP	\$209.369	\$209,418.84			MU/D=\$0.10 +FEES PER CONFIRM			
221	04/04/2012	1000.000	INTL BUSINESS MACHINES CORP	\$205.542		\$205,387.56		COMM +FEES PER CONFIRM			
	<b>1,000.000</b>	<b>1,000.000</b>						<b>(\$4,031.28)</b>	<b>\$0.00</b>	<b>(\$4,031.28)</b>	<b>-1.9%</b>
222	05/19/2011	5000.000	ISHARES SILVER TRUST	\$34.840	\$174,264.50			COMM +FEES PER CONFIRM			
223	05/25/2011	1000.000	ISHARES SILVER TRUST	\$37.410	\$37,474.90			MU/D=\$0.50 +FEES PER CONFIRM			

## Trade Transactions ROI

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
224	06/08/2011		3000.000 ISHARES SILVER TRUST	\$35.607		\$106,754.24		MU/D=\$0.033 +FEES PER CONFIRM			
225	07/19/2011		1000.000 ISHARES SILVER TRUST	\$39.300		\$39,134.24		COMM +FEES PER CONFIRM			
226	07/21/2011		1000.000 ISHARES SILVER TRUST	\$38.780		\$38,614.35		COMM +FEES PER CONFIRM			
227	07/25/2011		500.000 ISHARES SILVER TRUST	\$39.340		\$19,504.67		COMM +FEES PER CONFIRM			
228	07/27/2011		500.000 ISHARES SILVER TRUST	\$39.330		\$19,499.67		COMM +FEES PER CONFIRM			
		<b>6,000.000</b>	<b>6,000.000</b>					<b>\$11,767.77</b>	<b>\$0.00</b>	<b>\$11,767.77</b>	<b>5.6%</b>
229	12/17/2010	10000.000	JP MORGAN CHASE & CO	\$40.500	\$405,065.00			MU/D=\$0.8 +FEES PER CONFIRM			
230	12/30/2010		7500.000 JP MORGAN CHASE & CO	\$42.220		\$316,579.63		MU/D=\$0.10 +FEES PER CONFIRM			
231	01/03/2011		2500.000 JP MORGAN CHASE & CO	\$43.060		\$107,584.16		MU/D=\$0.40 +FEES PER CONFIRM			
232	11/18/2011	20000.000	JP MORGAN CHASE & CO	\$31.099	\$622,037.47			MU/D=\$0.45 +FEES PER CONFIRM			
233	12/02/2011		15000.000 JP MORGAN CHASE & CO	\$32.545		\$488,108.89		MU/D=\$0.10 +FEES PER CONFIRM			
234	12/02/2011		5000.000 JP MORGAN CHASE & CO	\$32.600		\$162,997.22		MU/D=\$0.50 +FEES PER CONFIRM			
235	04/13/2012	5000.000	JP MORGAN CHASE & CO	\$43.370	\$216,899.45			MU/D=\$0.21 +FEES PER CONFIRM			
236	04/19/2012	5000.000	JP MORGAN CHASE & CO	\$43.070	\$215,399.45			MU/D=\$0.20 +FEES PER CONFIRM			
237	04/25/2012		10000.000 JP MORGAN CHASE & CO	\$43.310		\$432,940.34		COMM +FEES PER CONFIRM			
		<b>40,000.000</b>	<b>40,000.000</b>					<b>\$48,808.87</b>	<b>\$0.00</b>	<b>\$48,808.87</b>	<b>3.3%</b>
238	12/05/2011		20000.000 JP MORGAN CHASE & CO	\$33.239		\$664,717.09		MU/D=\$0.50 +FEES PER CONFIRM SHORT			
239	12/08/2011	20000.000	JP MORGAN CHASE & CO	\$32.730	\$654,739.95			COMM +FEES PER CONFIRM; COVER			
240	03/27/2012		5000.000 JP MORGAN CHASE & CO	\$46.170		\$230,795.88		MU/D=\$0.10 +FEES PER CONFIRM; SHORT			
241	03/29/2012	5000.000	JP MORGAN CHASE & CO	\$45.650	\$228,399.45			COMM +FEES PER CONFIRM; COVER			
242	08/16/2012		7500.000 JP MORGAN CHASE & CO	\$37.010		\$277,518.81		MU/D=\$0.10 +FEES PER CONFIRM; SHORT			
243	08/28/2012	7500.000	JP MORGAN CHASE & CO	\$37.290	\$279,824.28			COMM CALC (Bonds @ 2.5%) COVER			

## Trade Transactions ROI

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
	<b>32,500.000</b>	<b>32,500.000</b>						<b>\$10,068.10</b>	<b>\$0.00</b>	<b>\$10,068.10</b>	<b>0.9%</b>
244	10/07/2010		20000.000 KB HOME	\$10.770		\$215,337.25		MU/D=\$0.30 +FEES PER CONFIRM; SHORT			
245	11/02/2010	20000.000	KB HOME	\$10.391	\$207,894.40			MU/D=\$0.0049 +FEES PER CONFIRM; COVER			
246	12/30/2010		20000.000 KB HOME	\$13.125		\$262,430.42		MU/D=\$0.40 +FEES PER CONFIRM; SHORT			
247	01/06/2011	10000.000	KB HOME	\$14.400	\$144,064.00			COMM +FEES PER CONFIRM; COVER			
248	01/13/2011	10000.000	KB HOME	\$14.998	\$150,045.00			COMM +FEES PER CONFIRM; COVER			
249	03/14/2012		10000.000 KB HOME	\$12.281		\$122,752.81		MU/D=\$0.12 +FEES PER CONFIRM; SHORT			
250	03/20/2012	8000.000	KB HOME	\$11.749	\$94,041.95			MU/D=\$0.10 +FEES PER CONFIRM; COVER			
251	03/22/2012	2000.000	KB HOME	\$11.199	\$22,447.75			MU/D=\$0.10 +FEES PER CONFIRM; COVER			
	<b>50,000.000</b>	<b>50,000.000</b>						<b>(\$17,972.62)</b>	<b>\$0.00</b>	<b>(\$17,972.62)</b>	<b>-2.9%</b>
252	02/02/2012		10000.000 LENNAR CORP	\$21.481		\$214,755.88		MU/D=\$0.21 +FEES PER CONFIRM; SHORT			
253	02/17/2012	7500.000	LENNAR CORP	\$23.379	\$175,492.45			COMM +FEES PER CONFIRM; COVER			
254	02/24/2012	1500.000	LENNAR CORP	\$22.588	\$34,032.10			COMM +FEES PER CONFIRM. COVER			
255	03/14/2012		9000.000 LENNAR CORP	\$26.101		\$234,854.77		COMM +FEES PER CONFIRM; SHORT			
256	03/22/2012	5000.000	LENNAR CORP	\$25.939	\$129,745.00			COMM +FEES PER CONFIRM; COVER			
257	03/22/2012	5000.000	LENNAR CORP	\$25.909	\$129,645.45			COMM +FEES PER CONFIRM; COVER			
258	04/11/2012		7500.000 LENNAR CORP	\$25.450		\$190,822.25		MU/D=\$0.12 +FEES PER CONFIRM; SHORT			
259	04/17/2012		5000.000 LENNAR CORP	\$25.731		\$128,604.15		MU/D=\$0.13 +FEES PER CONFIRM; SHORT			
260	04/19/2012	12500.000	LENNAR CORP	\$24.800	\$310,045.15			MU/D=\$0.0999 +FEES PER CONFIRM; COVER			
261	04/20/2012		5000.000 LENNAR CORP	\$25.530		\$127,597.17		MU/D=\$0.13 +FEES PER CONFIRM; SHORT			
262	04/23/2012	5000.000	LENNAR CORP	\$24.640	\$123,249.95			MU/D=\$0.10 +FEES PER CONFIRM COVER			
263	04/24/2012		10000.000 LENNAR CORP	\$25.392		\$253,862.13		MU/D=\$0.13 +FEES PER CONFIRM SHORT			
264	04/27/2012		10000.000 LENNAR CORP	\$28.330		\$283,246.13		MU/D=\$0.10 +FEES PER CONFIRM; SHORT			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
265	05/01/2012		10000.000 LENNAR CORP	\$28.630		\$286,143.96		COMM +FEES PER CONFIRM; SHORT			
266	05/01/2012	10000.000	LENNAR CORP	\$28.388	\$284,029.95			COMM +FEES PER CONFIRM COVER			
267	05/02/2012		10000.000 LENNAR CORP	\$29.490		\$294,744.44		COMM +FEES PER CONFIRM; SHORT			
268	05/02/2012	10000.000	LENNAR CORP	\$29.207	\$292,124.45			MU/D=\$0.10 +FEES PER CONFIRM; COVER			
269	05/09/2012		LENNAR CORP		\$200.00			DIVIDEND SHORT			
270	05/09/2012	20000.000	LENNAR CORP	\$28.517	\$570,498.19			COMM +FEES PER CONFIRM; COVER			
271	08/14/2012		5000.000 LENNAR CORP	\$31.165		\$155,773.28		MU/D=\$0.10 +FEES PER CONFIRM; SHORT			
272	08/30/2012	5000.000	LENNAR CORP	\$32.139	\$160,842.94			COMM +FEES PER CONFIRM; COVER			
		<b>81,500.000</b>	<b>81,500.000</b>					<b>(\$39,301.47)</b>	<b>(\$200.00)</b>	<b>(\$39,501.47)</b>	<b>-1.8%</b>
273	04/02/2012		5000.000 LINEAR TECHNOLOGY CORP	\$32.910		\$164,496.93		MU/D=\$0.17 +FEES PER CONFIRM; SHORT			
274	04/04/2012	5000.000	LINEAR TECHNOLOGY CORP	\$32.179	\$160,946.95			MU/D=\$0.10 +FEES PER CONFIRM; COVER			
		<b>5,000.000</b>	<b>5,000.000</b>					<b>\$3,549.98</b>	<b>\$0.00</b>	<b>\$3,549.98</b>	<b>2.2%</b>
275	02/01/2012		15000.000 LOWES COMPANIES INC	\$26.867		\$402,951.69		MU/D=\$0.10 +FEES PER CONFIRM; SHORT			
276	02/15/2012	7500.000	LOWES COMPANIES INC	\$27.460	\$206,099.20			COMM +FEES PER CONFIRM; COVER			
277	02/17/2012	5000.000	LOWES COMPANIES INC	\$27.660	\$138,449.43			COMM +FEES PER CONFIRM; COVER			
278	02/24/2012	1500.000	LOWES COMPANIES INC	\$26.980	\$40,619.95			COMM +FEES PER CONFIRM; COVER			
279	03/30/2012		7000.000 LOWES COMPANIES INC	\$31.270		\$218,835.12		MU/D=\$0.15 +FEES PER CONFIRM; SHORT			
280	04/04/2012	8000.000	LOWES COMPANIES INC	\$30.700	\$245,749.95			COMM +FEES PER CONFIRM; COVER			
281	04/12/2012		10000.000 LOWES COMPANIES INC	\$31.420		\$314,142.97		MU/D=\$0.15 +FEES PER CONFIRM; SHORT			
282	04/23/2012	10000.000	LOWES COMPANIES INC	\$31.046	\$310,512.93			MU/D=\$0.05 +FEES PER CONFIRM COVER			
283	05/09/2012		LOWES COMPANIES INC		\$1,400.00			DIVIDEND SHORT			
284	07/03/2012		5000.000 LOWES COMPANIES INC	\$27.732		\$138,607.83		MU/D=\$0.10 +FEES PER CONFIRM; SHORT			
285	07/10/2012	5000.000	LOWES COMPANIES INC	\$27.210	\$136,099.45			MU/D=\$0.10 +FEES PER CONFIRM; COVER			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
	<b>37,000.000</b>	<b>37,000.000</b>						<b>(\$2,993.30)</b>	<b>(\$1,400.00)</b>	<b>(\$4,393.30)</b>	<b>-0.4%</b>
286	11/09/2011	6000.000	MACYS INC	\$30.750	\$184,549.95			COMM +FEES PER CONFIRM			
287	11/09/2011	6000.000	MACYS INC	\$31.714		\$190,232.13		MU/D=\$0.50 +FEES PER CONFIRM			
	<b>6,000.000</b>	<b>6,000.000</b>						<b>\$5,682.18</b>	<b>\$0.00</b>	<b>\$5,682.18</b>	<b>3.1%</b>
288	04/12/2011	20000.000	MICRON TECHNOLOGY INC	\$10.542	\$210,911.00			MU/D=\$0.15 +FEES PER CONFIRM			
289	04/29/2011	15000.000	MICRON TECHNOLOGY INC	\$11.572	\$173,640.50			MU/D=\$0.25 +FEES PER CONFIRM			
290	06/08/2011	20000.000	MICRON TECHNOLOGY INC	\$8.557		\$171,071.71		MU/D=\$0.005 +FEES PER CONFIRM			
291	06/27/2011	5000.000	MICRON TECHNOLOGY INC	\$7.360	\$36,864.50			MU/D=\$0.02 +FEES PER CONFIRM			
292	07/01/2011	80000.000	MICRON TECHNOLOGY INC	\$8.050	\$644,065.00			MU/D=\$0.20 +FEES PER CONFIRM			
293	07/12/2011	62000.000	MICRON TECHNOLOGY INC	\$7.400	\$458,865.00			COMM +FEES PER CONFIRM			
294	07/12/2011	62000.000	MICRON TECHNOLOGY INC	\$7.400		\$458,726.19		COMM +FEES PER CONFIRM			
295	08/01/2011	20000.000	MICRON TECHNOLOGY INC	\$7.430		\$148,597.80		NO COMM +FEES PER CONFIRM			
296	08/01/2011	20000.000	MICRON TECHNOLOGY INC	\$7.450		\$148,932.81		COMM +FEES PER CONFIRM			
297	08/01/2011	20000.000	MICRON TECHNOLOGY INC	\$7.390		\$147,639.06		COMM +FEES PER CONFIRM			
298	08/01/2011	20000.000	MICRON TECHNOLOGY INC	\$7.440		\$148,797.14		NO COMM +FEES PER CONFIRM			
299	08/01/2011	20000.000	MICRON TECHNOLOGY INC	\$7.430		\$148,597.14		NO COMM +FEES PER CONFIRM			
300	10/14/2011	100000.000	MICRON TECHNOLOGY INC	\$5.762	\$576,265.00			COMM CALC (Bonds @ 2.5%)			
301	11/03/2011	10000.000	MICRON TECHNOLOGY INC	\$5.770		\$57,688.89		COMM +FEES PER CONFIRM			
302	11/03/2011	10000.000	MICRON TECHNOLOGY INC	\$5.760		\$57,588.89		COMM +FEES PER CONFIRM			
303	11/03/2011	10000.000	MICRON TECHNOLOGY INC	\$5.810		\$58,088.88		COMM +FEES PER CONFIRM			
304	11/03/2011	10000.000	MICRON TECHNOLOGY INC	\$5.810		\$58,088.88		COMM +FEES PER CONFIRM			
305	11/03/2011	10000.000	MICRON TECHNOLOGY INC	\$5.800		\$57,938.93		COMM +FEES PER CONFIRM			
306	11/03/2011	10000.000	MICRON TECHNOLOGY INC	\$5.810		\$58,088.88		COMM +FEES PER CONFIRM			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
307	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.810		\$58,088.88		COMM +FEES PER CONFIRM			
308	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.760		\$57,588.89		COMM +FEES PER CONFIRM			
309	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.810		\$58,088.88		COMM +FEES PER CONFIRM			
310	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.820		\$58,188.88		COMM +FEES PER CONFIRM			
311	11/09/2011	50000.000	MICRON TECHNOLOGY INC	\$5.586	\$279,349.95			MU/D=\$0.10 +FEES PER CONFIRM			
312	11/10/2011	50000.000	MICRON TECHNOLOGY INC	\$5.258	\$262,949.95			MU/D=\$0.10 +FEES PER CONFIRM			
313	11/11/2011	50000.000	MICRON TECHNOLOGY INC	\$5.426		\$271,144.84		COMM +FEES PER CONFIRM			
314	11/16/2011	50000.000	MICRON TECHNOLOGY INC	\$6.550		\$327,443.66		MU/D=\$0.10 +FEES PER CONFIRM			
315	04/11/2012	10000.000	MICRON TECHNOLOGY INC	\$7.200	\$72,049.95			MU/D=\$0.03 +FEES PER CONFIRM			
316	05/07/2012	10000.000	MICRON TECHNOLOGY INC	\$6.690	\$66,949.95			MU/D=\$0.01 +FEES PER CONFIRM			
317	05/23/2012	15000.000	MICRON TECHNOLOGY INC	\$5.680		\$85,048.14		COMM +FEES PER CONFIRM			
318	07/03/2012	15000.000	MICRON TECHNOLOGY INC	\$6.880	\$103,349.95			COMM +FEES PER CONFIRM			
319	07/24/2012	20000.000	MICRON TECHNOLOGY INC	\$5.660		\$113,047.51		COMM CALC (Bonds @ 2.5%)			
		<b>417,000.000</b>	<b>417,000.000</b>					<b>(\$136,775.87)</b>	<b>\$0.00</b>	<b>(\$136,775.87)</b>	<b>-4.7%</b>
320	06/25/2012	5000.000	MICROSOFT CORP	\$29.780	\$149,049.95			COMM +FEES PER CONFIRM			
321	06/29/2012	5000.000	MICROSOFT CORP	\$30.400		\$151,947.13		MU/D=\$0.10 +FEES PER CONFIRM			
		<b>5,000.000</b>	<b>5,000.000</b>					<b>\$2,897.18</b>	<b>\$0.00</b>	<b>\$2,897.18</b>	<b>1.9%</b>
322	04/11/2012	5000.000	MICROSOFT CORP	\$30.200		\$150,946.65		MU/D=\$0.15 +FEES PER CONFIRM; SHORT			
323	04/25/2012	5000.000	MICROSOFT CORP	\$32.260		\$161,146.43		COMM +FEES PER CONFIRM; SHORT			
324	05/03/2012	5000.000	MICROSOFT CORP	\$31.940	\$159,749.45			MU/D=\$0.10 +FEES PER CONFIRM; COVER			
325	05/08/2012	5000.000	MICROSOFT CORP	\$30.450	\$152,399.45			COMM +FEES PER CONFIRM; COVER			
		<b>10,000.000</b>	<b>10,000.000</b>					<b>(\$55.82)</b>	<b>\$0.00</b>	<b>(\$55.82)</b>	<b>0.0%</b>

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
326	03/30/2012		12000.000 MORGAN STANLEY	\$19.557		\$234,631.81		MU/D=\$0.10 +FEES PER CONFIRM; SHORT			
327	04/04/2012		12000.000 MORGAN STANLEY	\$18.818	\$225,860.97			MU/D=\$0.10 +FEES PER CONFIRM; COVER			
			<b>12,000.000</b>					<b>\$8,770.84</b>	<b>\$0.00</b>	<b>\$8,770.84</b>	<b>3.9%</b>
328	11/10/2010		800.000 RECV NOVATEL WIRELESS INC	\$10.320	\$8,256.00			VALUED PER MARKETWATCH			
329	12/17/2010		800.000 NOVATEL WIRELESS INC	\$8.890		\$6,946.90		COMM +FEES PER CONFIRM			
			<b>800.000</b>					<b>(\$1,309.10)</b>	<b>\$0.00</b>	<b>(\$1,309.10)</b>	<b>-15.9%</b>
330	05/24/2012		25.000 RECV NYSE EURONEXT	\$24.500	\$612.50			VALUED PER GOOGLE FINANCE			
331	06/29/2012		25.000 NYSE EURONEXT			\$7.50		DIVIDEND			
332	07/24/2012		25.000 NYSE EURONEXT	\$25.210		\$580.28		COMM CALC (Bonds @ 2.5%)			
			<b>25.000</b>					<b>(\$32.22)</b>	<b>\$7.50</b>	<b>(\$24.72)</b>	<b>-4.0%</b>
333	11/09/2011		6000.000 OPENTABLE INC	\$40.376		\$242,202.54		COMM +FEES PER CONFIRM; SHORT			
334	11/09/2011		6000.000 OPENTABLE INC	\$39.562	\$237,420.75			COMM +FEES PER CONFIRM; COVER			
			<b>6,000.000</b>					<b>\$4,781.79</b>	<b>\$0.00</b>	<b>\$4,781.79</b>	<b>2.0%</b>
335	06/15/2011		18000.000 PANDORA MEDIA INC	\$19.357	\$348,592.80			COMM +FEES PER CONFIRM			
336	06/15/2011		18000.000 PANDORA MEDIA INC	\$17.649		\$317,503.70		COMM +FEES PER CONFIRM			
			<b>18,000.000</b>					<b>(\$31,089.10)</b>	<b>\$0.00</b>	<b>(\$31,089.10)</b>	<b>-8.9%</b>
337	01/27/2012		15000.000 PENNEY JC & CO INC	\$40.944		\$614,093.58		MU/D=\$0.60 +FEES PER CONFIRM; SHORT			
338	02/15/2012		5000.000 PENNEY JC & CO INC	\$42.172	\$211,007.95			COMM +FEES PER CONFIRM COVER			
339	02/17/2012		7500.000 PENNEY JC & CO INC	\$42.519	\$319,044.96			COMM +FEES PER CONFIRM; COVER			
340	02/24/2012		1500.000 PENNEY JC & CO INC	\$41.670	\$62,654.68			COMM +FEES PER CONFIRM; COVER			
341	02/24/2012		1000.000 PENNEY JC & CO INC	\$41.710	\$41,759.85			COMM +FEES PER CONFIRM; COVER			



## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
	<b>15,000.000</b>	<b>15,000.000</b>						<b>(\$20,373.86)</b>	<b>\$0.00</b>	<b>(\$20,373.86)</b>	<b>-3.2%</b>
342	11/04/2011	6000.000	PHARMASSET INC	\$69.528		\$417,108.12		COMM=\$0.50 +FEES PER CONFIRM; SHORT			
343	11/07/2011	3000.000	PHARMASSET INC	\$69.821	\$209,512.35			COMM CALC (Bonds @ 2.5%) COVER			
344	11/08/2011	3000.000	PHARMASSET INC	\$69.035	\$207,256.15			COMM +FEES PER CONFIRM COVER			
	<b>6,000.000</b>	<b>6,000.000</b>						<b>\$339.62</b>	<b>\$0.00</b>	<b>\$339.62</b>	<b>0.1%</b>
345	03/12/2012	10000.000	PNC FINANCIAL SERVICES GROUP INC	\$60.008	\$600,129.43			MU/D=\$0.60 +FEES PER CONFIRM			
346	03/13/2012	8000.000	PNC FINANCIAL SERVICES GROUP INC	\$61.461		\$491,631.74		MU/D=\$0.10 +FEES PER CONFIRM			
347	03/20/2012	1000.000	PNC FINANCIAL SERVICES GROUP INC	\$63.150		\$63,098.90		MU/D=\$0.40 +FEES PER CONFIRM			
348	03/21/2012	1000.000	PNC FINANCIAL SERVICES GROUP INC	\$63.210		\$63,159.10		MU/D=\$0.40 +FEES PER CONFIRM			
	<b>10,000.000</b>	<b>10,000.000</b>						<b>\$17,760.31</b>	<b>\$0.00</b>	<b>\$17,760.31</b>	<b>3.0%</b>
349	03/30/2012	4000.000	PNC FINANCIAL SERVICES GROUP INC	\$64.036		\$256,088.28		MU/D=\$0.32 +FEES PER CONFIRM; SHORT			
350	04/04/2012	4000.000	PNC FINANCIAL SERVICES GROUP INC	\$64.041	\$256,312.79			COMM +FEES PER CONFIRM; COVER			
	<b>4,000.000</b>	<b>4,000.000</b>						<b>(\$224.51)</b>	<b>\$0.00</b>	<b>(\$224.51)</b>	<b>-0.1%</b>
351	07/06/2010	1500.000	PROSHARES TRUST SHORT DOW 30	\$54.616	\$81,989.00			COMM CALC (Bonds @ 2.5%)			
352	08/26/2010	3500.000	PROSHARES TRUST SHORT DOW 30	\$52.919	\$185,281.85			COMM CALC (Bonds @ 2.5%)			
353	09/14/2010	5000.000	PROSHARES TRUST SHORT DOW 30	\$48.871		\$244,285.82		MU/D=\$0.50 +FEES PER CONFIRM			
354	07/21/2011	3000.000	PROSHARES TRUST SHORT DOW 30	\$39.808	\$119,489.00			MU/D=\$0.50 +FEES PER CONFIRM			
355	07/25/2011	1000.000	PROSHARES TRUST SHORT DOW 30	\$39.618	\$39,783.00			COMM +FEES PER CONFIRM			
356	07/27/2011	1000.000	PROSHARES TRUST SHORT DOW 30	\$40.618	\$40,783.20			COMM +FEES PER CONFIRM			
357	08/01/2011	2500.000	PROSHARES TRUST SHORT DOW 30	\$41.469	\$103,737.50			MU/D=\$0.25 +FEES PER CONFIRM			
358	08/02/2011	2500.000	PROSHARES TRUST SHORT DOW 30	\$42.219	\$105,612.50			MU/D=\$0.25 +FEES PER CONFIRM			
359	08/10/2011	5000.000	PROSHARES TRUST SHORT DOW 30	\$44.801		\$223,935.65		COMM CALC (Bonds @ 2.5%)			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
360	08/11/2011		5000.000 PROSHARES TRUST SHORT DOW 30	\$44.663		\$223,245.68		MU/D=\$0.25 +FEES PER CONFIRM			
361	08/15/2011	2500.000	PROSHARES TRUST SHORT DOW 30	\$43.188	\$108,035.00			MU/D=\$0.10 +FEES PER CONFIRM			
362	08/16/2011	2500.000	PROSHARES TRUST SHORT DOW 30	\$43.619	\$109,112.50			MU/D=\$0.25 +FEES PER CONFIRM			
363	08/18/2011	1000.000	PROSHARES TRUST SHORT DOW 30	\$44.842	\$45,007.00			COMM +FEES PER CONFIRM			
364	08/19/2011	1000.000	PROSHARES TRUST SHORT DOW 30	\$45.208	\$45,373.00			COMM +FEES PER CONFIRM			
365	08/22/2011	1000.000	PROSHARES TRUST SHORT DOW 30	\$44.836	\$45,001.00			COMM +FEES PER CONFIRM			
366	08/23/2011	1000.000	PROSHARES TRUST SHORT DOW 30	\$44.356	\$44,521.00			COMM +FEES PER CONFIRM			
367	08/24/2011	1000.000	PROSHARES TRUST SHORT DOW 30	\$43.776	\$43,941.00			COMM +FEES PER CONFIRM			
368	09/23/2011	2000.000	PROSHARES TRUST SHORT DOW 30	\$45.271		\$90,375.26		COMM +FEES PER CONFIRM			
369	09/27/2011	2000.000	PROSHARES TRUST SHORT DOW 30	\$42.990	\$86,144.80			COMM +FEES PER CONFIRM			
370	10/03/2011	1000.000	PROSHARES TRUST SHORT DOW 30	\$44.584		\$44,418.14		COMM +FEES PER CONFIRM			
371	10/07/2011	1000.000	PROSHARES TRUST SHORT DOW 30	\$43.804	\$43,869.00			MU/D=\$0.10 +FEES PER CONFIRM			
372	10/17/2011	2000.000	PROSHARES TRUST SHORT DOW 30	\$41.724		\$83,281.39		COMM CALC (Bonds @ 2.5%)			
373	11/10/2011	500.000	PROSHARES TRUST SHORT DOW 30	\$40.344		\$20,121.66		COMM +FEES PER CONFIRM			
374	11/14/2011	2000.000	PROSHARES TRUST SHORT DOW 30	\$39.552		\$79,052.53		COMM +FEES PER CONFIRM			
375	12/15/2011	5500.000	PROSHARES TRUST SHORT DOW 30	\$40.031		\$220,116.32		COMM +FEES PER CONFIRM			
		<b>28,000.000</b>	<b>28,000.000</b>					<b>(\$18,847.90)</b>	<b>\$0.00</b>	<b>(\$18,847.90)</b>	<b>-1.5%</b>
376	08/01/2011	5000.000	PROSHARES TRUST SHORT QQQ	\$32.179	\$160,959.50			MU/D=\$0.25 +FEES PER CONFIRM			
377	08/02/2011	5000.000	PROSHARES TRUST SHORT QQQ	\$32.889	\$164,510.00			MU/D=\$0.25 +FEES PER CONFIRM			
378	08/10/2011	5000.000	PROSHARES TRUST SHORT QQQ	\$34.613		\$172,996.62		MU/D=\$0.50 +FEES PER CONFIRM			
379	08/11/2011	5000.000	PROSHARES TRUST SHORT QQQ	\$34.402		\$171,939.67		MU/D=\$0.25 +FEES PER CONFIRM			
380	08/24/2011	2000.000	PROSHARES TRUST SHORT QQQ	\$34.639	\$69,443.00			COMM +FEES PER CONFIRM			
381	09/06/2011	2000.000	PROSHARES TRUST SHORT QQQ	\$34.399	\$68,863.00			MU/D=\$0.50 +FEES PER CONFIRM			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
382	09/07/2011	2000.000	PROSHARES TRUST SHORT QQQ	\$32.989	\$66,143.00			COMM +FEES PER CONFIRM			
383	10/07/2011	1000.000	PROSHARES TRUST SHORT QQQ	\$33.108	\$33,173.00			MU/D=\$0.10 +FEES PER CONFIRM			
384	10/17/2011	2000.000	PROSHARES TRUST SHORT QQQ	\$30.732		\$61,297.81		COMM CALC (Bonds @ 2.5%)			
385	11/14/2011	1000.000	PROSHARES TRUST SHORT QQQ	\$30.624		\$30,573.46		COMM +FEES PER CONFIRM			
386	12/15/2011	4000.000	PROSHARES TRUST SHORT QQQ	\$32.081		\$128,271.58		COMM +FEES PER CONFIRM			
		<b>17,000.000</b>	<b>17,000.000</b>					<b>\$1,987.64</b>	<b>\$0.00</b>	<b>\$1,987.64</b>	<b>0.4%</b>
387	04/02/2012	5000.000	TEXAS INSTRUMENTS INC	\$33.160		\$165,746.31		MU/D=\$0.17 +FEES PER CONFIRM; SHORT			
388	04/04/2012	5000.000	TEXAS INSTRUMENTS INC	\$32.175	\$160,923.17			MU/D=\$0.10 +FEES PER CONFIRM; COVER			
		<b>5,000.000</b>	<b>5,000.000</b>					<b>\$4,823.14</b>	<b>\$0.00</b>	<b>\$4,823.14</b>	<b>3.0%</b>
389	06/22/2010	4500.000	TOLL BROTHERS INC	\$16.601		\$74,638.19		COMM CALC (Bonds @ 2.5%) SHORT			
390	07/01/2010	4500.000	TOLL BROTHERS INC	\$16.489	\$74,265.50			COMM CALC (Bonds @ 2.5%) COVER			
391	12/15/2011	20000.000	TOLL BROTHERS INC	\$19.216		\$384,267.59		MU/D=\$0.194 +FEES PER CONFIRM; SHORT			
392	12/21/2011	20000.000	TOLL BROTHERS INC	\$20.627	\$412,589.95			COMM +FEES PER CONFIRM COVER			
393	04/24/2012	10000.000	TOLL BROTHERS INC	\$23.338		\$233,329.65		MU/D=\$0.12 +FEES PER CONFIRM; SHORT			
394	04/27/2012	10000.000	TOLL BROTHERS INC	\$25.396		\$253,905.43		MU/D=\$0.10 +FEES PER CONFIRM; SHORT			
395	05/01/2012	10000.000	TOLL BROTHERS INC	\$26.003		\$259,869.83		COMM +FEES PER CONFIRM; SHORT			
396	05/01/2012	10000.000	TOLL BROTHERS INC	\$25.918	\$259,324.95			COMM +FEES PER CONFIRM) COVER			
397	05/02/2012	10000.000	TOLL BROTHERS INC	\$26.565		\$265,496.09		COMM +FEES PER CONFIRM; SHORT			
398	05/02/2012	10000.000	TOLL BROTHERS INC	\$26.319	\$263,236.95			MU/D=\$0.10 +FEES PER CONFIRM; COVER			
399	05/09/2012	20000.000	TOLL BROTHERS INC	\$26.153	\$523,209.97			COMM +FEES PER CONFIRM; COVER			
400	08/14/2012	5000.000	TOLL BROTHERS INC	\$30.342		\$151,657.44		MU/D=\$0.10 +FEES PER CONFIRM; SHORT			
401	08/30/2012	5000.000	TOLL BROTHERS INC	\$32.440	\$162,348.89			COMM +FEES PER CONFIRM; COVER			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
	<b>69,500.000</b>	<b>69,500.000</b>						<b>(\$71,811.99)</b>	<b>\$0.00</b>	<b>(\$71,811.99)</b>	<b>-4.2%</b>
402	01/18/2012	15000.000	VISA INC CLA	\$105.148	\$1,577,268.45			MU/D=\$1.50 +FEES PER CONFIRM			
403	02/03/2012		10000.000 VISA INC CLA	\$106.642		\$1,066,347.55		MU/D=\$0.10 +FEES PER CONFIRM			
404	02/09/2012		4000.000 VISA INC CLA	\$113.532		\$454,070.45		MU/D=\$1.00 +FEES PER CONFIRM			
405	02/13/2012		1000.000 VISA INC CLA	\$111.744		\$111,691.88		MU/D=\$1.00 +FEES PER CONFIRM			
	<b>15,000.000</b>	<b>15,000.000</b>						<b>\$54,841.43</b>	<b>\$0.00</b>	<b>\$54,841.43</b>	<b>3.5%</b>
406	03/30/2012		2000.000 VISA INC CLA	\$117.533		\$235,010.75		MU/D=\$0.59 +FEES PER CONFIRM; SHORT			
407	04/04/2012		2000.000 VISA INC CLA	\$118.778	\$237,705.95			COMM +FEES PER CONFIRM; COVER			
	<b>2,000.000</b>	<b>2,000.000</b>						<b>(\$2,695.20)</b>	<b>\$0.00</b>	<b>(\$2,695.20)</b>	<b>-1.1%</b>
408	07/03/2012		2500.000 WAL-MART STORES INC	\$70.271		\$175,622.81		MU/D=\$0.25 +FEES PER CONFIRM; SHORT			
409	07/13/2012		2500.000 WAL-MART STORES INC	\$73.150	\$183,024.82			COMM +FEES PER CONFIRM; COVER			
	<b>2,500.000</b>	<b>2,500.000</b>						<b>(\$7,402.01)</b>	<b>\$0.00</b>	<b>(\$7,402.01)</b>	<b>-4.0%</b>
410	03/12/2012		20000.000 WELLS FARGO & CO	\$31.835	\$636,745.95			MU/D=\$0.31 +FEES PER CONFIRM			
411	03/13/2012		18000.000 WELLS FARGO & CO	\$32.928		\$592,642.94		MU/D=\$0.10 +FEES PER CONFIRM			
412	03/21/2012		2000.000 WELLS FARGO & CO	\$33.860		\$67,668.87		MU/D=\$0.25 +FEES PER CONFIRM			
413	08/22/2012		8000.000 WELLS FARGO & CO	\$34.490	\$275,969.95			MU/D=\$0.20 +FEES PER CONFIRM			
414	08/28/2012		4000.000 WELLS FARGO & CO	\$34.470	\$137,929.55			COMM CALC (Bonds @ 2.5%)			
415	08/29/2012		4000.000 WELLS FARGO & CO	\$34.610	\$138,489.55			MU/D=\$0.50 +FEES PER CONFIRM			
416	09/06/2012		16000.000 WELLS FARGO & CO	\$34.700		\$555,137.58		MU/D=\$0.08 +FEES PER CONFIRM			
	<b>36,000.000</b>	<b>36,000.000</b>						<b>\$26,314.39</b>	<b>\$0.00</b>	<b>\$26,314.39</b>	<b>2.2%</b>
417	03/14/2012		3000.000 WHOLE FOODS MARKET INC	\$85.861	\$257,634.15			MU/D=\$0.85 +FEES PER CONFIRM			
418	04/04/2012		3000.000 WHOLE FOODS MARKET INC	\$82.110		\$246,174.83		COMM +FEES PER CONFIRM			

## Trade Transactions ROI

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Trading Gain/Loss	Income	Net ROI	% ROI
419	04/17/2012		WHOLE FOODS MARKET INC			\$420.00		DIVIDEND			
		<u>3,000.000</u>	<u>3,000.000</u>								
								<b>(\$11,459.32)</b>	<b>\$420.00</b>	<b>(\$11,039.32)</b>	<b>-4.3%</b>
420	05/24/2012	200.000	RECV YAMANA GOLD INC	\$14.460	\$2,892.00			VALUED PER MARKETWATCH			
421	06/11/2012		200.000 YAMANA GOLD INC	\$15.830		\$3,065.97		COMM +FEES PER CONFIRM			
		<u>200.000</u>	<u>200.000</u>								
								<b>\$173.97</b>	<b>\$0.00</b>	<b>\$173.97</b>	<b>6.0%</b>
422	05/24/2011	7500.000	YANDEX NV SHS CLA	\$35.100	\$263,315.00			MU/D=\$0.10 +FEES PER CONFIRM			
423	05/24/2011		7500.000 YANDEX NV SHS CLA	\$35.040		\$262,629.95		COMM +FEES PER CONFIRM			
		<u>7,500.000</u>	<u>7,500.000</u>								
								<b>(\$685.05)</b>	<b>\$0.00</b>	<b>(\$685.05)</b>	<b>-0.3%</b>
424	05/23/2012	1000.000	RECV ZIOPHARM ONCOLOGY INC	\$5.110	\$5,110.00			VALUED PER MARKETWATCH			
425	06/11/2012		1000.000 ZIOPHARM ONCOLOGY INC	\$5.381		\$5,231.18		COMM +FEES PER CONFIRM			
		<u>1,000.000</u>	<u>1,000.000</u>								
								<b>\$121.18</b>	<b>\$0.00</b>	<b>\$121.18</b>	<b>2.4%</b>

Note: U = Unsolicited

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
1 CITIGROUP INC	1,000.0000	04/23/10	(\$4,915.00)	05/10/10	\$4,303.43	(\$611.57)	17	COMM CALC (Bonds @ 2.5%); COMM CALC (Bonds @ 2.5%)
2 CITIGROUP INC	9,000.0000	04/30/10	(\$40,475.00)	05/10/10	\$38,730.84	(\$1,744.16)	10	COMM CALC (Bonds @ 2.5%); COMM CALC (Bonds @ 2.5%)
3 CITIGROUP INC	285.0000	05/14/10	(\$1,159.45)	05/26/10	\$1,072.13	(\$87.32)	12	COMM CALC (Bonds @ 2.5%); COMM CALC (Bonds @ 2.5%)
4 CITIGROUP INC	19,715.0000	05/14/10	(\$80,205.55)	06/22/10	\$77,807.92	(\$2,397.63)	39	COMM CALC (Bonds @ 2.5%); COMM CALC (Bonds @ 2.5%)
5 TOLL BROTHERS INC	4,500.0000	06/22/10	\$74,638.19	07/01/10	(\$74,265.50)	\$372.69	9	(Short open)COMM CALC (Bonds @ 2.5%) SHORT; COMM CALC (Bonds @ 2.5%) COVER
6 CONTINENTAL AIRLINES CL B	3,500.0000	07/01/10	\$75,503.94	07/02/10	(\$74,015.80)	\$1,488.14	1	(Short open)COMM CALC (Bonds @ 2.5%) SHORT; COMM CALC (Bonds @ 2.5%) COVER
7 PROSHARES TRUST SHORT DOW 30	1,500.0000	07/06/10	(\$81,989.00)	09/14/10	\$73,285.75	(\$8,703.25)	70	COMM CALC (Bonds @ 2.5%); MU/D=\$0.50 +FEES PER CONFIRM
8 PROSHARES TRUST SHORT DOW 30	3,500.0000	08/26/10	(\$185,281.85)	09/14/10	\$171,000.07	(\$14,281.78)	19	COMM CALC (Bonds @ 2.5%); MU/D=\$0.50 +FEES PER CONFIRM
9 CITIGROUP INC	5,000.0000	09/14/10	(\$20,256.50)	10/19/10	\$20,084.65	(\$171.85)	35	MU/D=\$0.10 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
10 CITIGROUP INC	45,000.0000	09/14/10	(\$182,308.50)	11/03/10	\$188,031.82	\$5,723.32	50	MU/D=\$0.10 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
11 KB HOME	20,000.0000	10/07/10	\$215,337.25	11/02/10	(\$207,894.40)	\$7,442.85	26	(Short open)MU/D=\$0.30 +FEES PER CONFIRM; SHORT; MU/D=\$0.0049 +FEES PER CONFIRM; COVER
12 BANK OF AMERICA CORP	20,000.0000	10/27/10	(\$234,798.00)	11/04/10	\$240,930.91	\$6,132.91	8	MU/D=\$0.1732 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
13 AMR CORP	15,000.0000	11/02/10	\$112,768.54	11/05/10	(\$128,015.00)	(\$15,246.46)	3	(Short open)MU/D=\$0.20 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
14 AMR CORP	15,000.0000	11/02/10	\$112,768.54	11/04/10	(\$129,759.50)	(\$16,990.96)	2	(Short open)MU/D=\$0.20 +FEES PER CONFIRM; SHORT; COMM CALC (Bonds @ 2.5%) COVER
15 CITIGROUP INC	50,000.0000	11/08/10	(\$223,465.00)	12/13/10	\$235,930.92	\$12,465.92	35	COMM +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
16 DYNERGY INC	400.0000	11/10/10	(\$1,800.00)	12/17/10	\$2,111.96	\$311.96	37	VALUED PER MARKETWATCH; COMM +FEES PER CONFIRM
17 GIGMEDIA LTD	2,200.0000	11/10/10	(\$3,828.00)	12/17/10	\$3,091.16	(\$736.84)	37	VALUED PER MARKETWATCH; COMM +FEES PER CONFIRM

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
18 NOVATEL WIRELESS INC	800.0000	11/10/10	(\$8,256.00)	12/17/10	\$6,946.90	(\$1,309.10)	37	VALUED PER MARKETWATCH; COMM +FEES PER CONFIRM
19 BANK OF AMERICA CORP	10,000.0000	11/16/10	(\$119,065.00)	12/13/10	\$125,232.84	\$6,167.84	27	COMM CALC (Bonds @ 2.5%); MU/D=\$0.20 +FEES PER CONFIRM
20 CITIGROUP INC	12,000.0000	11/30/10	(\$51,807.60)	01/13/11	\$59,213.97	\$7,406.37	44	COMM CALC (Bonds @ 2.5%); MU/D=\$0.10 +FEES PER CONFIRM
21 CITIGROUP INC	13,000.0000	11/30/10	(\$56,124.90)	01/20/11	\$61,943.80	\$5,818.90	51	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
22 CITIGROUP INC	6,000.0000	11/30/10	(\$25,903.80)	01/21/11	\$29,220.43	\$3,316.63	52	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
23 CITIGROUP INC	2,000.0000	11/30/10	(\$8,634.60)	02/07/11	\$9,676.81	\$1,042.21	69	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
24 CITIGROUP INC	5,000.0000	11/30/10	(\$21,586.50)	02/28/11	\$23,489.54	\$1,903.04	90	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
25 CITIGROUP INC	1,000.0000	11/30/10	(\$4,317.30)	03/04/11	\$4,475.91	\$158.61	94	COMM CALC (Bonds @ 2.5%); COMM+FEES PER CONFIRM
26 CITIGROUP INC	1,000.0000	11/30/10	(\$4,317.30)	03/09/11	\$4,465.91	\$148.61	99	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
27 CITIGROUP INC	100.0000	11/30/10	(\$431.73)	03/09/11	\$397.99	(\$33.74)	99	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
28 CITIGROUP INC	4,000.0000	11/30/10	(\$17,269.20)	03/16/11	\$17,658.65	\$389.45	106	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
29 CITIGROUP INC	5,000.0000	11/30/10	(\$21,586.50)	03/22/11	\$22,039.57	\$453.07	112	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
30 CITIGROUP INC	900.0000	11/30/10	(\$3,885.57)	04/29/11	\$4,091.95	\$206.38	150	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
31 CISCO SYSTEMS INC	10,000.0000	12/13/10	(\$202,065.00)	01/13/11	\$209,932.93	\$7,867.93	31	MU/D=\$0.40 +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
32 JP MORGAN CHASE & CO	7,500.0000	12/17/10	(\$303,798.75)	12/30/10	\$316,579.63	\$12,780.88	13	MU/D=\$0.8 +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
33 JP MORGAN CHASE & CO	2,500.0000	12/17/10	(\$101,266.25)	01/03/11	\$107,584.16	\$6,317.91	17	MU/D=\$0.8 +FEES PER CONFIRM; MU/D=\$0.40 +FEES PER CONFIRM
34 KB HOME	10,000.0000	12/30/10	\$131,215.21	01/06/11	(\$144,064.00)	(\$12,848.79)	7	(Short open)MU/D=\$0.40 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
35 KB HOME	10,000.0000	12/30/10	\$131,215.21	01/13/11	(\$150,045.00)	(\$18,829.79)	14	(Short open)MU/D=\$0.40 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
36 CITIGROUP INC	49,100.0000	01/06/11	(\$249,056.48)	04/29/11	\$223,238.68	(\$25,817.80)	113	MU/D=\$0.10 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
37 CITIGROUP INC	10,090.0000	01/06/11	(\$511,808.52)	05/19/11	\$417,202.97	(\$94,605.55)	133	MU/D=\$0.10 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
38 MICRON TECHNOLOGY INC	20,000.0000	04/12/11	(\$210,911.00)	06/08/11	\$171,071.71	(\$39,839.29)	57	MU/D=\$0.15 +FEES PER CONFIRM; MU/D=\$0.005 +FEES PER CONFIRM
39 AVALON RARE METALS INC	15,000.0000	04/21/11	(\$142,631.25)	05/25/11	\$108,726.41	(\$33,904.84)	34	MU/D=\$0.15 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
40 AVALON RARE METALS INC	2,500.0000	04/21/11	(\$23,771.88)	06/08/11	\$16,137.18	(\$7,634.70)	48	MU/D=\$0.15 +FEES PER CONFIRM; MU/D=\$0.04 +FEES PER CONFIRM
41 AVALON RARE METALS INC	1,500.0000	04/21/11	(\$14,263.13)	07/21/11	\$9,245.96	(\$5,017.17)	91	MU/D=\$0.15 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
42 AVALON RARE METALS INC	1,000.0000	04/21/11	(\$9,508.75)	07/27/11	\$5,944.88	(\$3,563.87)	97	MU/D=\$0.15 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
43 MICRON TECHNOLOGY INC	15,000.0000	04/29/11	(\$173,640.50)	07/12/11	\$110,982.14	(\$62,658.36)	74	MU/D=\$0.25 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
44 FREEPORT MCMORAN COPPER & GOLD	3,000.0000	05/19/11	(\$146,439.00)	06/08/11	\$146,776.47	\$337.47	20	MU/D=\$1.00 +FEES PER CONFIRM; MU/D=\$0.033 +FEES PER CONFIRM
45 FREEPORT MCMORAN COPPER & GOLD	2,000.0000	05/19/11	(\$97,626.00)	06/28/11	\$99,693.27	\$2,067.27	40	MU/D=\$1.00 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
46 ISHARES SILVER TRUST	3,000.0000	05/19/11	(\$104,558.70)	06/08/11	\$106,754.24	\$2,195.54	20	COMM +FEES PER CONFIRM; MU/D=\$0.033 +FEES PER CONFIRM
47 ISHARES SILVER TRUST	1,000.0000	05/19/11	(\$34,852.90)	07/19/11	\$39,134.24	\$4,281.34	61	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
48 ISHARES SILVER TRUST	1,000.0000	05/19/11	(\$34,852.90)	07/21/11	\$38,614.35	\$3,761.45	63	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
49 YANDEX NV SHS CL A	7,500.0000	05/24/11	(\$263,315.00)	05/24/11	\$262,629.95	(\$685.05)	0	MU/D=\$0.10 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
50 FREEPORT MCMORAN COPPER & GOLD	750.0000	05/25/11	(\$37,976.18)	07/12/11	\$39,705.30	\$1,729.13	48	MU/D=\$0.50 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
51 FREEPORT MCMORAN COPPER & GOLD	250.0000	05/25/11	(\$12,658.73)	07/21/11	\$13,672.23	\$1,013.51	57	MU/D=\$0.50 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
52 ISHARES SILVER TRUST	500.0000	05/25/11	(\$18,737.45)	07/25/11	\$19,504.67	\$767.22	61	MU/D=\$0.50 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
53 ISHARES SILVER TRUST	500.0000	05/25/11	(\$18,737.45)	07/27/11	\$19,499.67	\$762.22	63	MU/D=\$0.50 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
54 PANDORA MEDIA INC	18,000.0000	06/15/11	(\$348,592.80)	06/15/11	\$317,503.70	(\$31,089.10)	0	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM



**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
55 MICRON TECHNOLOGY INC	5,000.0000	06/27/11	(\$36,864.50)	07/12/11	\$36,994.05	\$129.55	15	MU/D=\$0.02 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
56 MICRON TECHNOLOGY INC	42,000.0000	07/01/11	(\$338,134.13)	07/12/11	\$310,750.00	(\$27,384.13)	11	MU/D=\$0.20 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
57 MICRON TECHNOLOGY INC	20,000.0000	07/01/11	(\$161,016.25)	08/01/11	\$148,597.14	(\$12,419.11)	31	MU/D=\$0.20 +FEES PER CONFIRM; NO COMM +FEES PER CONFIRM
58 MICRON TECHNOLOGY INC	18,000.0000	07/01/11	(\$144,914.63)	08/01/11	\$132,875.15	(\$12,039.47)	31	MU/D=\$0.20 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
59 MICRON TECHNOLOGY INC	2,000.0000	07/12/11	(\$14,802.10)	08/01/11	\$14,763.91	(\$38.19)	20	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
60 MICRON TECHNOLOGY INC	20,000.0000	07/12/11	(\$148,020.97)	08/01/11	\$148,597.80	\$576.83	20	COMM +FEES PER CONFIRM; NO COMM +FEES PER CONFIRM
61 MICRON TECHNOLOGY INC	20,000.0000	07/12/11	(\$148,020.97)	08/01/11	\$148,932.81	\$911.84	20	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
62 MICRON TECHNOLOGY INC	20,000.0000	07/12/11	(\$148,020.97)	08/01/11	\$148,797.14	\$776.17	20	COMM +FEES PER CONFIRM; NO COMM +FEES PER CONFIRM
63 PROSHARES TRUST SHORT DOW 30	3,000.0000	07/21/11	(\$119,489.00)	08/10/11	\$134,361.39	\$14,872.39	20	MU/D=\$0.50 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
64 PROSHARES TRUST SHORT DOW 30	1,000.0000	07/25/11	(\$39,783.00)	08/10/11	\$44,787.13	\$5,004.13	16	COMM +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
65 PROSHARES TRUST SHORT DOW 30	1,000.0000	07/27/11	(\$40,783.20)	08/10/11	\$44,787.13	\$4,003.93	14	COMM +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
66 PROSHARES TRUST SHORT DOW 30	2,500.0000	08/01/11	(\$103,737.50)	08/11/11	\$111,622.84	\$7,885.34	10	MU/D=\$0.25 +FEES PER CONFIRM; MU/D=\$0.25 +FEES PER CONFIRM
67 PROSHARES TRUST SHORT QQQ	5,000.0000	08/01/11	(\$160,959.50)	08/10/11	\$172,996.62	\$12,037.12	9	MU/D=\$0.25 +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
68 PROSHARES TRUST SHORT DOW 30	2,500.0000	08/02/11	(\$105,612.50)	08/11/11	\$111,622.84	\$6,010.34	9	MU/D=\$0.25 +FEES PER CONFIRM; MU/D=\$0.25 +FEES PER CONFIRM
69 PROSHARES TRUST SHORT QQQ	5,000.0000	08/02/11	(\$164,510.00)	08/11/11	\$171,939.67	\$7,429.67	9	MU/D=\$0.25 +FEES PER CONFIRM; MU/D=\$0.25 +FEES PER CONFIRM
70 PROSHARES TRUST SHORT DOW 30	2,000.0000	08/15/11	(\$86,428.00)	09/23/11	\$90,375.26	\$3,947.26	39	MU/D=\$0.10 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
71 PROSHARES TRUST SHORT DOW 30	500.0000	08/15/11	(\$21,607.00)	10/03/11	\$22,209.07	\$602.07	49	MU/D=\$0.10 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
72 PROSHARES TRUST SHORT DOW 30	500.0000	08/16/11	(\$21,822.50)	10/03/11	\$22,209.07	\$386.57	48	MU/D=\$0.25 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
73 PROSHARES TRUST SHORT DOW 30	2,000.0000	08/16/11	(\$87,290.00)	10/17/11	\$83,281.39	(\$4,008.61)	62	MU/D=\$0.25 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
74 PROSHARES TRUST SHORT DOW 30	500.0000	08/18/11	(\$22,503.50)	11/10/11	\$20,121.66	(\$2,381.84)	84	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
75 PROSHARES TRUST SHORT DOW 30	500.0000	08/18/11	(\$22,503.50)	11/14/11	\$19,763.13	(\$2,740.37)	88	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
76 PROSHARES TRUST SHORT DOW 30	1,000.0000	08/19/11	(\$45,373.00)	11/14/11	\$39,526.27	(\$5,846.74)	87	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
77 PROSHARES TRUST SHORT DOW 30	500.0000	08/22/11	(\$22,500.50)	11/14/11	\$19,763.13	(\$2,737.37)	84	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
78 PROSHARES TRUST SHORT DOW 30	500.0000	08/22/11	(\$22,500.50)	12/15/11	\$20,010.58	(\$2,489.93)	115	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
79 PROSHARES TRUST SHORT DOW 30	1,000.0000	08/23/11	(\$44,521.00)	12/15/11	\$40,021.15	(\$4,499.85)	114	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
80 PROSHARES TRUST SHORT DOW 30	1,000.0000	08/24/11	(\$43,941.00)	12/15/11	\$40,021.15	(\$3,919.85)	113	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
81 PROSHARES TRUST SHORT QQQ	2,000.0000	08/24/11	(\$69,443.00)	10/17/11	\$61,297.81	(\$8,145.19)	54	COMM +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
82 PROSHARES TRUST SHORT QQQ	1,000.0000	09/06/11	(\$34,431.50)	11/14/11	\$30,573.46	(\$3,858.04)	69	MU/D=\$0.50 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
83 PROSHARES TRUST SHORT QQQ	1,000.0000	09/06/11	(\$34,431.50)	12/15/11	\$32,067.90	(\$2,363.61)	100	MU/D=\$0.50 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
84 PROSHARES TRUST SHORT QQQ	2,000.0000	09/07/11	(\$66,143.00)	12/15/11	\$64,135.79	(\$2,007.21)	99	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
85 PROSHARES TRUST SHORT DOW 30	2,000.0000	09/27/11	(\$86,144.80)	12/15/11	\$80,042.30	(\$6,102.50)	79	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
86 PROSHARES TRUST SHORT DOW 30	1,000.0000	10/07/11	(\$43,869.00)	12/15/11	\$40,021.15	(\$3,847.85)	69	MU/D=\$0.10 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
87 PROSHARES TRUST SHORT QQQ	1,000.0000	10/07/11	(\$33,173.00)	12/15/11	\$32,067.90	(\$1,105.11)	69	MU/D=\$0.10 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
88 MICRON TECHNOLOGY INC	10,000.0000	10/14/11	(\$57,626.50)	11/03/11	\$57,938.93	\$312.43	20	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
89 MICRON TECHNOLOGY INC	10,000.0000	10/14/11	(\$57,626.50)	11/03/11	\$57,688.89	\$62.39	20	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
90 MICRON TECHNOLOGY INC	10,000.0000	10/14/11	(\$57,626.50)	11/03/11	\$57,588.89	(\$37.61)	20	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
91 MICRON TECHNOLOGY INC	10,000.0000	10/14/11	(\$57,626.50)	11/03/11	\$57,588.89	(\$37.61)	20	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
92 MICRON TECHNOLOGY INC	10,000.0000	10/14/11	(\$57,626.50)	11/03/11	\$58,088.88	\$462.38	20	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM

### Open / Close Analysis (by Open)

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
93 MICRON TECHNOLOGY INC	10,000.0000	10/14/11	(\$57,626.50)	11/03/11	\$58,088.88	\$462.38	20	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
94 MICRON TECHNOLOGY INC	10,000.0000	10/14/11	(\$57,626.50)	11/03/11	\$58,188.88	\$562.38	20	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
95 MICRON TECHNOLOGY INC	10,000.0000	10/14/11	(\$57,626.50)	11/03/11	\$58,088.88	\$462.38	20	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
96 MICRON TECHNOLOGY INC	10,000.0000	10/14/11	(\$57,626.50)	11/03/11	\$58,088.88	\$462.38	20	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
97 MICRON TECHNOLOGY INC	10,000.0000	10/14/11	(\$57,626.50)	11/03/11	\$58,088.88	\$462.38	20	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
98 PHARMASSET INC	3,000.0000	11/04/11	\$208,554.06	11/07/11	(\$209,512.35)	(\$958.29)	3	(Short open)COMM=\$0.50 +FEES PER CONFIRM; SHORT; COMM CALC (Bonds @ 2.5%) COVER
99 PHARMASSET INC	3,000.0000	11/04/11	\$208,554.06	11/08/11	(\$207,256.15)	\$1,297.91	4	(Short open)COMM=\$0.50 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM COVER
100 MACYS INC	6,000.0000	11/09/11	(\$184,549.95)	11/09/11	\$190,232.13	\$5,682.18	0	COMM +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
101 MICRON TECHNOLOGY INC	50,000.0000	11/09/11	(\$279,349.95)	11/11/11	\$271,144.84	(\$8,205.11)	2	MU/D=\$0.10 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
102 OPENTABLE INC	6,000.0000	11/09/11	\$242,202.54	11/09/11	(\$237,420.75)	\$4,781.79	0	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
103 MICRON TECHNOLOGY INC	50,000.0000	11/10/11	(\$262,949.95)	11/16/11	\$327,443.66	\$64,493.71	6	MU/D=\$0.10 +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
104 JP MORGAN CHASE & CO	15,000.0000	11/18/11	(\$466,528.10)	12/02/11	\$488,108.89	\$21,580.79	14	MU/D=\$0.45 +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
105 JP MORGAN CHASE & CO	5,000.0000	11/18/11	(\$155,509.37)	12/02/11	\$162,997.22	\$7,487.85	14	MU/D=\$0.45 +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
106 JP MORGAN CHASE & CO	20,000.0000	12/05/11	\$664,717.09	12/08/11	(\$654,739.95)	\$9,977.14	3	(Short open)MU/D=\$0.50 +FEES PER CONFIRM SHORT; COMM +FEES PER CONFIRM; COVER
107 APPLE INC	1,000.0000	12/08/11	(\$398,419.98)	01/05/12	\$414,902.04	\$16,482.06	28	MU/D=\$5.00 +FEES PER CONFIRM; MU/D=\$2.00 +FEES PER CONFIRM
108 APPLE INC	1,000.0000	12/08/11	(\$398,419.98)	01/09/12	\$421,524.24	\$23,104.27	32	MU/D=\$5.00 +FEES PER CONFIRM; MU/D=\$4.25 +FEES PER CONFIRM
109 TOLL BROTHERS INC	20,000.0000	12/15/11	\$384,267.59	12/21/11	(\$412,589.95)	(\$28,322.36)	6	(Short open)MU/D=\$0.194 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM COVER

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
110 APPLE INC	1,500.0000	12/21/11	(\$598,042.16)	01/09/12	\$632,286.37	\$34,244.20	19	MU/D=\$4.00 +FEES PER CONFIRM; MU/D=\$4.25 +FEES PER CONFIRM
111 APPLE INC	250.0000	12/21/11	(\$99,673.69)	01/24/12	\$111,697.87	\$12,024.18	34	MU/D=\$4.00 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
112 APPLE INC	250.0000	12/21/11	(\$99,673.69)	01/24/12	\$111,385.43	\$11,711.74	34	MU/D=\$4.00 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
113 CITIGROUP INC	40,000.0000	01/05/12	(\$1,143,235.96)	01/18/12	\$1,149,875.97	\$6,640.01	13	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
114 CITIGROUP INC	4,000.0000	01/05/12	(\$114,323.60)	01/30/12	\$121,071.72	\$6,748.12	25	COMM CALC (Bonds @ 2.5%); COMM +FEES PER CONFIRM
115 CITIGROUP INC	6,000.0000	01/05/12	(\$171,485.39)	02/01/12	\$190,392.36	\$18,906.97	27	COMM CALC (Bonds @ 2.5%); MU/D=\$0.25 +FEES PER CONFIRM
116 CATERPILLAR INC	5,000.0000	01/09/12	(\$492,344.98)	01/18/12	\$516,008.13	\$23,663.16	9	MU/D=\$1.50 +FEES PER CONFIRM; MU/D=\$5.00 +FEES PER CONFIRM
117 CATERPILLAR INC	2,500.0000	01/09/12	(\$246,172.49)	01/23/12	\$264,737.13	\$18,564.64	14	MU/D=\$1.50 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
118 CATERPILLAR INC	1,000.0000	01/09/12	(\$98,469.00)	01/27/12	\$109,870.98	\$11,401.99	18	MU/D=\$1.50 +FEES PER CONFIRM; MU/D=\$0.75 +FEES PER CONFIRM
119 CATERPILLAR INC	1,000.0000	01/09/12	(\$98,469.00)	01/30/12	\$109,728.03	\$11,259.04	21	MU/D=\$1.50 +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
120 CATERPILLAR INC	500.0000	01/09/12	(\$49,234.50)	02/09/12	\$56,439.00	\$7,204.50	31	MU/D=\$1.50 +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
121 VISA INC CL A	10,000.0000	01/18/12	(\$1,051,512.30)	02/03/12	\$1,066,347.55	\$14,835.25	16	MU/D=\$1.50 +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
122 VISA INC CL A	4,000.0000	01/18/12	(\$420,604.92)	02/09/12	\$454,070.45	\$33,465.53	22	MU/D=\$1.50 +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
123 VISA INC CL A	1,000.0000	01/18/12	(\$105,151.23)	02/13/12	\$111,691.88	\$6,540.65	26	MU/D=\$1.50 +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
124 CONOCOPHILLIPS	2,500.0000	01/23/12	\$174,485.13	01/30/12	(\$171,672.50)	\$2,812.63	7	(Short open)MU/D=\$070 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
125 CONOCOPHILLIPS	7,500.0000	01/23/12	\$523,455.38	01/30/12	(\$514,299.45)	\$9,155.93	7	(Short open)MU/D=\$070 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
126 PENNEY JC & CO INC	5,000.0000	01/27/12	\$204,697.86	02/15/12	(\$211,007.95)	(\$6,310.09)	19	(Short open)MU/D=\$0.60 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM COVER

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
127 PENNEY JC & CO INC	7,500.0000	01/27/12	\$307,046.79	02/17/12	(\$319,044.96)	(\$11,998.17)	21	(Short open)MU/D=\$0.60 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
128 PENNEY JC & CO INC	1,000.0000	01/27/12	\$40,939.57	02/24/12	(\$41,759.85)	(\$820.28)	28	(Short open)MU/D=\$0.60 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
129 PENNEY JC & CO INC	1,500.0000	01/27/12	\$61,409.36	02/24/12	(\$62,654.68)	(\$1,245.32)	28	(Short open)MU/D=\$0.60 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
130 AMAZON.COM INC	2,500.0000	01/30/12	(\$483,220.23)	02/01/12	\$438,241.63	(\$44,978.60)	2	MU/D=\$1.90 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
131 AMAZON.COM INC	1,500.0000	01/30/12	(\$289,932.14)	02/15/12	\$275,318.14	(\$14,614.00)	16	MU/D=\$1.90 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
132 AMAZON.COM INC	1,000.0000	01/30/12	(\$193,288.09)	03/21/12	\$192,227.28	(\$1,060.81)	51	MU/D=\$1.90 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
133 LOWES COMPANIES INC	7,500.0000	02/01/12	\$201,475.85	02/15/12	(\$206,099.20)	(\$4,623.36)	14	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
134 LOWES COMPANIES INC	5,000.0000	02/01/12	\$134,317.23	02/17/12	(\$138,449.43)	(\$4,132.20)	16	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
135 LOWES COMPANIES INC	1,500.0000	02/01/12	\$40,295.17	02/24/12	(\$40,619.95)	(\$324.78)	23	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
136 LOWES COMPANIES INC	1,000.0000	02/01/12	\$26,863.45	04/04/12	(\$30,718.74)	(\$3,855.30)	63	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
137 LENNAR CORP	7,500.0000	02/02/12	\$161,066.91	02/17/12	(\$175,492.45)	(\$14,425.54)	15	(Short open)MU/D=\$0.21 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
138 LENNAR CORP	1,500.0000	02/02/12	\$32,213.38	02/24/12	(\$34,032.10)	(\$1,818.72)	22	(Short open)MU/D=\$0.21 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM. COVER
139 LENNAR CORP	1,000.0000	02/02/12	\$21,475.59	03/22/12	(\$25,929.09)	(\$4,453.50)	49	(Short open)MU/D=\$0.21 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
140 CONOCOPHILLIPS	7,500.0000	02/06/12	\$529,234.77	02/16/12	(\$545,841.70)	(\$16,606.93)	10	(Short open)MU/D=\$0.70 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
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Case Name: SAMPLE REPORT V ABC BROKERAGE  
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Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
141 CONOCOPHILLIPS	2,500.0000	02/06/12	\$176,411.59	02/17/12	(\$183,722.45)	(\$7,310.86)	11	(Short open)MU/D=\$0.70 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
142 APPLE INC	2,500.0000	02/15/12	(\$1,296,374.45)	02/29/12	\$1,348,789.57	\$52,415.12	14	MU/D=\$3.00 +FEES PER CONFIRM; MU/D=\$4.00 +FEES PER CONFIRM
143 APPLE INC	1,000.0000	02/16/12	(\$506,229.85)	02/29/12	\$539,515.83	\$33,285.98	13	MU/D=\$3.00 +FEES PER CONFIRM; MU/D=\$4.00 +FEES PER CONFIRM
144 APPLE INC	500.0000	02/17/12	(\$252,716.60)	02/29/12	\$269,757.91	\$17,041.31	12	MU/D=\$3.00 +FEES PER CONFIRM; MU/D=\$4.00 +FEES PER CONFIRM
145 APPLE INC	1,000.0000	02/17/12	(\$505,433.20)	03/07/12	\$529,392.41	\$23,959.21	19	MU/D=\$3.00 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
146 INTEL CORP	50,000.0000	02/24/12	\$1,313,226.05	03/29/12	(\$1,388,039.95)	(\$74,813.90)	34	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
147 APPLE INC	1,000.0000	03/06/12	(\$526,328.65)	03/07/12	\$529,392.41	\$3,063.76	1	COMM CALC (Bonds @ 2.5%); COMM CALC (Bonds @ 2.5%)
148 APPLE INC	1,000.0000	03/06/12	(\$526,328.65)	03/08/12	\$538,950.39	\$12,621.75	2	COMM CALC (Bonds @ 2.5%); MU/D=\$3.00 +FEES PER CONFIRM
149 BANK OF AMERICA CORP	20,000.0000	03/12/12	(\$160,839.96)	03/13/12	\$166,147.04	\$5,307.08	1	MU/D=\$0.08 +FEES PER CONFIRM; MU/D=\$0.05 +FEES PER CONFIRM
150 BANK OF AMERICA CORP	3,000.0000	03/12/12	(\$24,125.99)	03/21/12	\$28,989.81	\$4,863.82	9	MU/D=\$0.08 +FEES PER CONFIRM; MU/D=\$0.15 +FEES PER CONFIRM
151 BANK OF AMERICA CORP	2,000.0000	03/12/12	(\$16,084.00)	03/27/12	\$19,429.69	\$3,345.69	15	MU/D=\$0.08 +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
152 PNC FINANCIAL SERVICES GROUP INC	8,000.0000	03/12/12	(\$480,103.54)	03/13/12	\$491,631.74	\$11,528.20	1	MU/D=\$0.60 +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
153 PNC FINANCIAL SERVICES GROUP INC	1,000.0000	03/12/12	(\$60,012.94)	03/20/12	\$63,098.90	\$3,085.96	8	MU/D=\$0.60 +FEES PER CONFIRM; MU/D=\$0.40 +FEES PER CONFIRM
154 PNC FINANCIAL SERVICES GROUP INC	1,000.0000	03/12/12	(\$60,012.94)	03/21/12	\$63,159.10	\$3,146.16	9	MU/D=\$0.60 +FEES PER CONFIRM; MU/D=\$0.40 +FEES PER CONFIRM
155 WELLS FARGO & CO	18,000.0000	03/12/12	(\$573,071.36)	03/13/12	\$592,642.94	\$19,571.59	1	MU/D=\$0.31 +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
156 WELLS FARGO & CO	2,000.0000	03/12/12	(\$63,674.60)	03/21/12	\$67,668.87	\$3,994.28	9	MU/D=\$0.31 +FEES PER CONFIRM; MU/D=\$0.25 +FEES PER CONFIRM
157 CROWN CASTLE INTL CORP	5,000.0000	03/14/12	\$259,323.33	04/04/12	(\$263,241.45)	(\$3,918.12)	21	(Short open)MU/D=\$0.52 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER

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Account Name: SAMPLE REPORT  
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Case Name: SAMPLE REPORT V ABC BROKERAGE  
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158 KB HOME	8,000.0000	03/14/12	\$98,202.25	03/20/12	(\$94,041.95)	\$4,160.30	6	(Short open)MU/D=\$0.12 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
159 KB HOME	2,000.0000	03/14/12	\$24,550.56	03/22/12	(\$22,447.75)	\$2,102.81	8	(Short open)MU/D=\$0.12 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
160 LENNAR CORP	4,000.0000	03/14/12	\$104,379.90	03/22/12	(\$103,716.36)	\$663.54	8	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
161 LENNAR CORP	5,000.0000	03/14/12	\$130,474.87	03/22/12	(\$129,745.00)	\$729.87	8	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
162 WHOLE FOODS MARKET INC	3,000.0000	03/14/12	(\$257,634.15)	04/04/12	\$246,174.83	(\$11,459.32)	21	MU/D=\$0.85 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
163 CITIGROUP INC	5,000.0000	03/27/12	\$185,151.70	03/29/12	(\$181,042.95)	\$4,108.75	2	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
164 JP MORGAN CHASE & CO	5,000.0000	03/27/12	\$230,795.88	03/29/12	(\$228,399.45)	\$2,396.43	2	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
165 CATERPILLAR INC	2,500.0000	03/29/12	(\$263,790.81)	04/02/12	\$269,064.73	\$5,273.92	4	MU/D=\$0.50 +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
166 INTL BUSINESS MACHINES CORP	1,000.0000	03/29/12	(\$209,418.84)	04/04/12	\$205,387.56	(\$4,031.28)	6	MU/D=\$0.10 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
167 HOME DEPOT INC	5,000.0000	03/30/12	\$250,044.41	04/04/12	(\$248,487.89)	\$1,556.52	5	(Short open)MU/D=\$0.25 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
168 LOWES COMPANIES INC	7,000.0000	03/30/12	\$218,835.12	04/04/12	(\$215,031.21)	\$3,803.91	5	(Short open)MU/D=\$0.15 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
169 MORGAN STANLEY	12,000.0000	03/30/12	\$234,631.81	04/04/12	(\$225,860.97)	\$8,770.84	5	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
170 PNC FINANCIAL SERVICES GROUP INC	4,000.0000	03/30/12	\$256,088.28	04/04/12	(\$256,312.79)	(\$224.51)	5	(Short open)MU/D=\$0.32 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
171 VISA INC CL A	2,000.0000	03/30/12	\$235,010.75	04/04/12	(\$237,705.95)	(\$2,695.20)	5	(Short open)MU/D=\$0.59 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER

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Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
172 ALLIANCE HOLDING GROUP LP	5,000.0000	04/02/12	\$204,404.89	04/04/12	(\$209,995.45)	(\$5,590.56)	2	(Short open)MU/D=\$0.20 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
173 LINEAR TECHNOLOGY CORP	5,000.0000	04/02/12	\$164,496.93	04/04/12	(\$160,946.95)	\$3,549.98	2	(Short open)MU/D=\$0.17 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
174 TEXAS INSTRUMENTS INC	5,000.0000	04/02/12	\$165,746.31	04/04/12	(\$160,923.17)	\$4,823.14	2	(Short open)MU/D=\$0.17 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
175 BANK OF AMERICA CORP	10,000.0000	04/11/12	(\$89,049.95)	05/23/12	\$69,023.48	(\$20,026.47)	42	MU/D=\$0.04 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
176 CATERPILLAR INC	2,000.0000	04/11/12	(\$204,328.84)	04/13/12	\$210,684.41	\$6,355.57	2	MU/D=\$0.50 +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
177 LENNAR CORP	7,500.0000	04/11/12	\$190,822.25	04/19/12	(\$186,027.09)	\$4,795.16	8	(Short open)MU/D=\$0.12 +FEES PER CONFIRM; SHORT; MU/D=\$0.0999 +FEES PER CONFIRM; COVER
178 MICRON TECHNOLOGY INC	10,000.0000	04/11/12	(\$72,049.95)	05/23/12	\$56,698.76	(\$15,351.19)	42	MU/D=\$0.03 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
179 MICROSOFT CORP	5,000.0000	04/11/12	\$150,946.65	05/03/12	(\$159,749.45)	(\$8,802.80)	22	(Short open)MU/D=\$0.15 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
180 FREEPORT MCMORAN COPPER & GOLD	5,000.0000	04/12/12	(\$190,599.95)	05/01/12	\$191,196.15	\$596.20	19	MU/D=\$0.20 +FEES PER CONFIRM; MU/D=\$0.05 +FEES PER CONFIRM
181 LOWES COMPANIES INC	10,000.0000	04/12/12	\$314,142.97	04/23/12	(\$310,512.93)	\$3,630.04	11	(Short open)MU/D=\$0.15 +FEES PER CONFIRM; SHORT; MU/D=\$0.05 +FEES PER CONFIRM COVER
182 INTEL CORP	5,000.0000	04/13/12	(\$141,799.81)	05/01/12	\$143,897.81	\$2,098.00	18	MU/D=\$0.14 +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
183 JP MORGAN CHASE & CO	5,000.0000	04/13/12	(\$216,899.45)	04/25/12	\$216,470.17	(\$429.28)	12	MU/D=\$0.21 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
184 LENNAR CORP	5,000.0000	04/17/12	\$128,604.15	04/19/12	(\$124,018.06)	\$4,586.09	2	(Short open)MU/D=\$0.13 +FEES PER CONFIRM; SHORT; MU/D=\$0.0999 +FEES PER CONFIRM; COVER
185 AMERICAN EXPRESS CO	4,000.0000	04/18/12	(\$234,726.00)	04/25/12	\$235,107.86	\$381.86	7	MU/D=\$0.299 +FEES PER CONFIRM; MU/D=\$0.05 +FEES PER CONFIRM
186 HOME DEPOT INC	1,000.0000	04/18/12	\$51,468.85	04/20/12	(\$51,529.95)	(\$61.10)	2	(Short open)MU/D=\$0.26 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER



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187 HOME DEPOT INC	4,000.0000	04/18/12	\$205,875.40	04/23/12	(\$203,433.53)	\$2,441.87	5	(Short open)MU/D=\$0.26 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
188 JP MORGAN CHASE & CO	5,000.0000	04/19/12	(\$215,399.45)	04/25/12	\$216,470.17	\$1,070.72	6	MU/D=\$0.20 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
189 LENNAR CORP	5,000.0000	04/20/12	\$127,597.17	04/23/12	(\$123,249.95)	\$4,347.22	3	(Short open)MU/D=\$0.13 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM COVER
190 LENNAR CORP	10,000.0000	04/24/12	\$253,862.13	05/01/12	(\$284,029.95)	(\$30,167.82)	7	(Short open)MU/D=\$0.13 +FEES PER CONFIRM SHORT; COMM +FEES PER CONFIRM COVER
191 TOLL BROTHERS INC	10,000.0000	04/24/12	\$233,329.65	05/01/12	(\$259,324.95)	(\$25,995.30)	7	(Short open)MU/D=\$0.12 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM) COVER
192 MICROSOFT CORP	5,000.0000	04/25/12	\$161,146.43	05/08/12	(\$152,399.45)	\$8,746.98	13	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
193 LENNAR CORP	10,000.0000	04/27/12	\$283,246.13	05/02/12	(\$292,124.45)	(\$8,878.32)	5	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
194 TOLL BROTHERS INC	10,000.0000	04/27/12	\$253,905.43	05/02/12	(\$263,236.95)	(\$9,331.52)	5	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
195 LENNAR CORP	10,000.0000	05/01/12	\$286,143.96	05/09/12	(\$285,249.09)	\$894.87	8	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
196 TOLL BROTHERS INC	10,000.0000	05/01/12	\$259,869.83	05/09/12	(\$261,604.99)	(\$1,735.16)	8	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
197 LENNAR CORP	10,000.0000	05/02/12	\$294,744.44	05/09/12	(\$285,249.09)	\$9,495.35	7	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
198 TOLL BROTHERS INC	10,000.0000	05/02/12	\$265,496.09	05/09/12	(\$261,604.99)	\$3,891.11	7	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
199 BANK OF AMERICA CORP	10,000.0000	05/03/12	(\$80,424.98)	05/23/12	\$69,023.48	(\$11,401.50)	20	MU/D=\$0.04 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
200 BANK OF AMERICA CORP	10,000.0000	05/03/12	(\$80,424.98)	07/24/12	\$70,023.45	(\$10,401.53)	82	MU/D=\$0.04 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)

### Open / Close Analysis (by Open)

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201 CATERPILLAR INC	1,500.0000	05/07/12	(\$147,448.15)	05/23/12	\$135,440.09	(\$12,008.06)	16	MU/D=\$0.50 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
202 CATERPILLAR INC	500.0000	05/07/12	(\$49,149.38)	07/24/12	\$40,408.36	(\$8,741.02)	78	MU/D=\$0.50 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
203 HOME DEPOT INC	5,000.0000	05/07/12	\$258,622.75	05/08/12	(\$251,949.45)	\$6,673.30	1	(Short open)MU/D=\$0.20 +FEES PER CONFIRM; SHORT; MU/D=\$0.25 +FEES PER CONFIRM; COVER
204 MICRON TECHNOLOGY INC	5,000.0000	05/07/12	(\$33,474.98)	05/23/12	\$28,349.38	(\$5,125.60)	16	MU/D=\$0.01 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
205 MICRON TECHNOLOGY INC	5,000.0000	05/07/12	(\$33,474.98)	07/24/12	\$28,261.88	(\$5,213.10)	78	MU/D=\$0.01 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
206 APPLE INC	700.0000	05/08/12	(\$394,522.88)	05/29/12	\$400,296.61	\$5,773.73	21	COMM +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
207 APPLE INC	1,800.0000	05/09/12	(\$1,031,423.77)	05/29/12	\$1,029,334.15	(\$2,089.62)	20	COMM +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
208 FACEBOOK INC CL A	3,750.0000	05/18/12	(\$159,399.98)	05/21/12	\$127,534.91	(\$31,865.07)	3	MU/D=\$0.50 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
209 FACEBOOK INC CL A	3,750.0000	05/18/12	(\$159,399.98)	06/20/12	\$117,610.89	(\$41,789.09)	33	MU/D=\$0.50 +FEES PER CONFIRM; MU/D=\$0.20 +FEES PER CONFIRM
210 APPLE INC	1,000.0000	05/23/12	(\$559,849.85)	05/29/12	\$571,852.31	\$12,002.46	6	COMM +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
211 ZIOPHARM ONCOLOGY INC	1,000.0000	05/23/12	(\$5,110.00)	06/11/12	\$5,231.18	\$121.18	19	VALUED PER MARKETWATCH; COMM +FEES PER CONFIRM
212 CORNING INC	100.0000	05/24/12	(\$1,281.00)	07/24/12	\$1,150.03	(\$130.97)	61	VALUED PER MARKETWATCH; COMM CALC (Bonds @ 2.5%)
213 HANSEN MEDICAL INC	1,000.0000	05/24/12	(\$2,560.00)	06/12/12	\$2,070.10	(\$489.90)	19	VALUED PER MARKETWATCH; COMM +FEES PER CONFIRM
214 NYSE EURONEXT	25.0000	05/24/12	(\$612.50)	07/24/12	\$580.28	(\$32.22)	61	VALUED PER GOOGLE FINANCE; COMM CALC (Bonds @ 2.5%)
215 YAMANA GOLD INC	200.0000	05/24/12	(\$2,892.00)	06/11/12	\$3,065.97	\$173.97	18	VALUED PER MARKETWATCH; COMM +FEES PER CONFIRM
216 APPLE INC	1,000.0000	05/30/12	(\$569,206.95)	05/31/12	\$577,657.27	\$8,450.32	1	COMM +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
217 APPLE INC	1,500.0000	05/30/12	(\$866,684.98)	05/31/12	\$866,485.90	(\$199.08)	1	COMM +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
218 FACEBOOK INC CL A	3,750.0000	05/30/12	(\$107,024.95)	07/24/12	\$106,911.40	(\$113.55)	55	COMM +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
219 APPLE INC	2,500.0000	06/01/12	(\$1,417,216.15)	06/01/12	\$1,403,737.20	(\$13,478.95)	0	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
220 APPLE INC	2,500.0000	06/01/12	(\$1,403,574.75)	06/01/12	\$1,403,737.20	\$162.45	0	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
221 APPLE INC	5,000.0000	06/04/12	(\$2,773,283.79)	06/04/12	\$2,793,880.85	\$20,597.06	0	COMM +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
222 APPLE INC	5,000.0000	06/05/12	(\$2,808,051.45)	06/05/12	\$2,819,196.29	\$11,144.84	0	COMM +FEES PER CONFIRM; MU/D=\$0.50 +FEES PER CONFIRM
223 APPLE INC	5,000.0000	06/06/12	\$2,854,047.31	06/06/12	(\$2,857,198.05)	(\$3,150.74)	0	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
224 APPLE INC	2,500.0000	06/11/12	(\$1,466,249.70)	06/12/12	\$1,420,596.30	(\$45,653.40)	1	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
225 APPLE INC	2,500.0000	06/12/12	\$1,430,253.55	06/15/12	(\$1,426,849.70)	\$3,403.85	3	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
226 APPLE INC	2,500.0000	06/18/12	\$1,466,067.20	06/18/12	(\$1,465,599.70)	\$467.50	0	(Short open)COMM +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
227 APPLE INC	2,500.0000	06/19/12	\$1,464,624.23	06/19/12	(\$1,468,078.14)	(\$3,453.91)	0	(Short open)COMM +FEES PER CONFIRM SHORT; COMM +FEES PER CONFIRM; COVER
228 APPLE INC	2,500.0000	06/19/12	\$1,468,342.40	06/19/12	(\$1,468,078.14)	\$264.27	0	(Short open)COMM +FEES PER CONFIRM SHORT; COMM +FEES PER CONFIRM; COVER
229 APPLE INC	2,500.0000	06/21/12	(\$1,456,818.48)	06/21/12	\$1,444,828.47	(\$11,990.01)	0	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
230 APPLE INC	1,000.0000	06/25/12	(\$573,379.50)	06/29/12	\$579,078.53	\$5,699.03	4	COMM +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
231 CATERPILLAR INC	2,000.0000	06/25/12	(\$165,908.47)	07/24/12	\$161,633.44	(\$4,275.03)	29	COMM +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
232 MICROSOFT CORP	5,000.0000	06/25/12	(\$149,049.95)	06/29/12	\$151,947.13	\$2,897.18	4	COMM +FEES PER CONFIRM; MU/D=\$0.10 +FEES PER CONFIRM
233 APPLE INC	1,000.0000	06/27/12	(\$574,018.50)	06/29/12	\$579,078.53	\$5,060.03	2	COMM +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
234 BANK OF AMERICA CORP	10,000.0000	07/03/12	(\$81,149.95)	07/24/12	\$70,023.45	(\$11,126.50)	21	COMM +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
235 CATERPILLAR INC	2,500.0000	07/03/12	(\$216,624.95)	07/24/12	\$202,041.81	(\$14,583.15)	21	COMM +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
236 HOME DEPOT INC	2,500.0000	07/03/12	\$128,823.04	07/16/12	(\$128,769.81)	\$53.23	13	(Short open)MU/D=\$0.25 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
237 LOWES COMPANIES INC	5,000.0000	07/03/12	\$138,607.83	07/10/12	(\$136,099.45)	\$2,508.38	7	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; MU/D=\$0.10 +FEES PER CONFIRM; COVER
238 MICRON TECHNOLOGY INC	15,000.0000	07/03/12	(\$103,349.95)	07/24/12	\$84,785.63	(\$18,564.32)	21	COMM +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
239 WAL-MART STORES INC	2,500.0000	07/03/12	\$175,622.81	07/13/12	(\$183,024.82)	(\$7,402.01)	10	(Short open)MU/D=\$0.25 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
240 APPLE INC	300.0000	07/09/12	(\$184,100.96)	07/16/12	\$182,552.98	(\$1,547.98)	7	MU/D=\$0.9999 +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
241 APPLE INC	500.0000	07/09/12	(\$306,834.93)	07/18/12	\$302,978.30	(\$3,856.63)	9	MU/D=\$0.9999 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
242 APPLE INC	200.0000	07/09/12	(\$122,733.97)	07/31/12	\$122,003.29	(\$730.68)	22	MU/D=\$0.9999 +FEES PER CONFIRM; MU/D=\$0.75 +FEES PER CONFIRM
243 APPLE INC	300.0000	07/11/12	(\$179,899.55)	07/31/12	\$183,004.94	\$3,105.39	20	MU/D=\$0.9999 +FEES PER CONFIRM; MU/D=\$0.75 +FEES PER CONFIRM
244 CITIGROUP INC	6,000.0000	07/13/12	(\$160,789.95)	07/18/12	\$163,026.39	\$2,236.44	5	MU/D=\$0.10 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
245 APPLE INC	500.0000	07/24/12	(\$300,944.38)	07/31/12	\$305,008.23	\$4,063.86	7	COMM CALC (Bonds @ 2.5%); MU/D=\$0.75 +FEES PER CONFIRM
246 APPLE INC	500.0000	07/24/12	(\$300,944.38)	08/03/12	\$308,245.21	\$7,300.83	10	COMM CALC (Bonds @ 2.5%); MU/D=\$1.00 +FEES PER CONFIRM
247 APPLE INC	500.0000	08/02/12	(\$302,204.06)	08/03/12	\$308,245.21	\$6,041.15	1	COMM +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
248 APPLE INC	500.0000	08/02/12	(\$302,204.06)	08/03/12	\$307,602.37	\$5,398.32	1	COMM +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
249 LENNAR CORP	5,000.0000	08/14/12	\$155,773.28	08/30/12	(\$160,842.94)	(\$5,069.66)	16	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
250 TOLL BROTHERS INC	5,000.0000	08/14/12	\$151,657.44	08/30/12	(\$162,348.89)	(\$10,691.45)	16	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; COMM +FEES PER CONFIRM; COVER
251 FREEPORT MCMORAN COPPER & GOLD	7,500.0000	08/16/12	(\$266,430.59)	08/21/12	\$276,180.51	\$9,749.92	5	MU/D=\$0.01 +FEES PER CONFIRM; MU/D=\$0.20 +FEES PER CONFIRM

### Open / Close Analysis (by Open)

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
252 JP MORGAN CHASE & CO	7,500.0000	08/16/12	\$277,518.81	08/28/12	(\$279,824.28)	(\$2,305.47)	12	(Short open)MU/D=\$0.10 +FEES PER CONFIRM; SHORT; COMM CALC (Bonds @ 2.5%) COVER
253 WELLS FARGO & CO	8,000.0000	08/22/12	(\$275,969.95)	09/06/12	\$277,568.79	\$1,598.84	15	MU/D=\$0.20 +FEES PER CONFIRM; MU/D=\$0.08 +FEES PER CONFIRM
254 WELLS FARGO & CO	4,000.0000	08/28/12	(\$137,929.55)	09/06/12	\$138,784.39	\$854.85	9	COMM CALC (Bonds @ 2.5%); MU/D=\$0.08 +FEES PER CONFIRM
255 WELLS FARGO & CO	4,000.0000	08/29/12	(\$138,489.55)	09/06/12	\$138,784.39	\$294.85	8	MU/D=\$0.50 +FEES PER CONFIRM; MU/D=\$0.08 +FEES PER CONFIRM
256 FREEPORT MCMORAN COPPER & GOLD	7,500.0000	08/30/12	(\$262,699.38)	09/06/12	\$272,901.91	\$10,202.53	7	MU/D=\$0.35 +FEES PER CONFIRM; MU/D=\$0.15 +FEES PER CONFIRM
257 APPLE INC	1,000.0000	09/11/12	(\$660,973.19)	09/26/12	\$668,312.04	\$7,338.85	15	MU/D=\$2.9999 +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
258 APPLE INC	1,000.0000	09/11/12	(\$662,731.80)	09/26/12	\$668,312.04	\$5,580.24	15	MU/D=\$3.00 +FEES PER CONFIRM; MU/D=\$1.00 +FEES PER CONFIRM
259 APPLE INC	2,000.0000	09/26/12	(\$1,326,149.95)	09/28/12	\$1,338,096.28	\$11,946.33	2	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
260 APPLE INC	2,000.0000	09/28/12	(\$1,348,964.05)	10/08/12	\$1,276,793.05	(\$72,171.00)	10	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
261 APPLE INC	2,000.0000	10/08/12	(\$1,279,264.30)	10/10/12	\$1,281,809.34	\$2,545.04	2	COMM +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
262 APPLE INC	2,000.0000	10/10/12	(\$1,284,149.93)	10/11/12	\$1,257,318.44	(\$26,831.49)	1	COMM CALC (Bonds @ 2.5%); COMM CALC (Bonds @ 2.5%)
263 APPLE INC	1,900.0000	10/11/12	(\$1,198,186.39)	10/15/12	\$1,204,128.80	\$5,942.41	4	COMM CALC (Bonds @ 2.5%); MU/D=\$0.75 +FEES PER CONFIRM
264 APPLE INC	100.0000	10/11/12	(\$63,062.44)	10/15/12	\$62,967.19	(\$95.26)	4	COMM CALC (Bonds @ 2.5%); MU/D=\$0.25 +FEES PER CONFIRM
265 APPLE INC	1,800.0000	10/15/12	(\$1,135,815.88)	10/15/12	\$1,133,409.33	(\$2,406.55)	0	COMM +FEES PER CONFIRM; MU/D=\$0.25 +FEES PER CONFIRM
266 APPLE INC	100.0000	10/15/12	(\$63,100.88)	10/17/12	\$64,517.87	\$1,416.99	2	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
267 APPLE INC	1,800.0000	10/15/12	(\$1,131,784.05)	10/17/12	\$1,161,321.70	\$29,537.65	2	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
268 APPLE INC	100.0000	10/15/12	(\$62,876.89)	10/18/12	\$63,198.75	\$321.85	3	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
269 APPLE INC	1,800.0000	10/17/12	(\$1,171,948.36)	10/18/12	\$1,137,577.42	(\$34,370.93)	1	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Date	Open Amount	Date	Close Amount	Trading Result	Days Held	Comments
270 APPLE INC	100.0000	10/17/12	(\$65,108.24)	10/19/12	\$61,087.96	(\$4,020.28)	2	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
271 APPLE INC	1,800.0000	10/18/12	(\$1,147,340.22)	10/19/12	\$1,099,583.25	(\$47,756.97)	1	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
272 APPLE INC	100.0000	10/18/12	(\$63,741.12)	10/25/12	\$60,718.69	(\$3,022.44)	7	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
273 APPLE INC	900.0000	10/19/12	(\$557,252.93)	10/25/12	\$546,468.17	(\$10,784.76)	6	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
274 APPLE INC	585.0000	10/19/12	(\$362,214.40)	11/06/12	\$341,895.65	(\$20,318.75)	18	COMM +FEES PER CONFIRM; NO COMM +FEES PER CONFIRM
275 APPLE INC	415.0000	10/19/12	(\$256,955.52)	11/06/12	\$242,516.63	(\$14,438.89)	18	COMM +FEES PER CONFIRM; COMM +FEES PER CONFIRM
276 APPLE INC	85.0000	10/22/12	(\$53,964.05)	11/06/12	\$49,672.08	(\$4,291.97)	15	MU/D=\$4.00 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
277 APPLE INC	80.0000	10/22/12	(\$50,789.69)	11/12/12	\$43,205.09	(\$7,584.60)	21	MU/D=\$4.00 +FEES PER CONFIRM; COMM +FEES PER CONFIRM
278 APPLE INC	135.0000	10/22/12	(\$85,707.61)	11/13/12	\$73,457.26	(\$12,250.35)	22	MU/D=\$4.00 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
279 APPLE INC	105.0000	10/22/12	(\$66,661.47)	11/14/12	\$56,932.28	(\$9,729.19)	23	MU/D=\$4.00 +FEES PER CONFIRM; COMM CALC (Bonds @ 2.5%)
280 APPLE INC	1,595.0000	10/22/12	(\$1,012,619.52)	12/10/12	\$845,064.34	(\$167,555.18)	49	MU/D=\$4.00 +FEES PER CONFIRM; VALUED PER MARKETWATCH

**Open / Close Analysis (by Open)**

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Investment	Quantity	Open		Close		Trading Result	Days Held	Comments
		Date	Amount	Date	Amount			

**Total:**

Average Days Held :	25
Net Trading Result :	(\$581,354.63)
Income :	\$4,789.40
Margin Interest :	(\$60,178.67)
Miscellaneous :	(\$3,573.28)
Net Loss :	(\$640,317.18)

**Realized**

Trading Result :	(\$411,707.52)
Average Days Held :	25

Received, Open: Original Valuation  
 Delivered, In Acct: Original Valuation

Note: Data has been modified from its original form to match buy and sell transactions on a first-in first-out basis.  
 Trading Result = Capital Invested Profit/(Loss) no income

## Cash Transactions

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Sld/Del	Description	Price	Debit	Credit	Comments
<b>SECURITIES RECEIVED IN</b>							
1	11/10/2010	400.000	RECV DYNERGY INC	\$4.500		\$1,800.00	VALUED PER MARKETWATCH
2	11/10/2010	2200.000	RECV GIGMEDIA LTD	\$1.740		\$3,828.00	VALUED PER MARKETWATCH
3	11/10/2010	800.000	RECV NOVATEL WIRELESS INC	\$10.320		\$8,256.00	VALUED PER MARKETWATCH
4	05/23/2012	1000.000	RECV ZIOPHARM ONCOLOGY INC	\$5.110		\$5,110.00	VALUED PER MARKETWATCH
5	05/24/2012	100.000	RECV CORNING INC	\$12.810		\$1,281.00	VALUED PER MARKETWATCH
6	05/24/2012	1000.000	RECV HANSEN MEDICAL INC	\$2.560		\$2,560.00	VALUED PER MARKETWATCH
7	05/24/2012	25.000	RECV NYSE EURONEXT	\$24.500		\$612.50	VALUED PER GOOGLE FINANCE
8	05/24/2012	200.000	RECV YAMANA GOLD INC	\$14.460		\$2,892.00	VALUED PER MARKETWATCH
<b>TOTAL FOR SECURITIES RECEIVED IN</b>						<b>\$26,339.50</b>	
<b>DEPOSITS</b>							
9	04/30/2010		DEPOSIT			\$4,915.00	
10	05/14/2010		DEPOSIT			\$40,475.00	
11	09/09/2010		DEPOSIT			\$95,000.00	
12	10/27/2010		DEPOSIT			\$120,000.00	
13	12/13/2010		DEPOSIT			\$100,000.00	
14	12/30/2010		DEPOSIT			\$75,000.00	
15	04/19/2011		DEPOSIT			\$105,500.00	
16	04/29/2011		DEPOSIT			\$50,000.00	
17	07/12/2011		DEPOSIT			\$210,000.00	
18	10/28/2011		DEPOSIT			\$190,000.00	
19	12/01/2011		DEPOSIT			\$150,000.00	
20	12/15/2011		DEPOSIT			\$120,000.00	
21	01/05/2012		DEPOSIT			\$200,000.00	
22	01/13/2012		DEPOSIT			\$340,000.00	
23	01/18/2012		DEPOSIT			\$75,000.00	
24	01/26/2012		DEPOSIT			\$300,000.00	
25	05/17/2012		DEPOSIT			\$200,000.00	
26	05/23/2012		TRANSFER CASH BALANCE			\$718.35	
27	06/27/2012		TRANSFER CASH BALANCE			\$3.50	
28	09/25/2012		DEPOSIT			\$270,000.00	
<b>TOTAL FOR DEPOSITS</b>						<b>\$2,646,611.85</b>	
<b>DIVIDENDS</b>							
29	12/27/2010		BANK OF AMERICA CORP			\$100.00	DIVIDEND
30	08/01/2011		FREEMPORT MCMORAN COPPER & GOLD			\$62.50	DIVIDEND



## Cash Transactions

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Comments
31			CATERPILLAR INC			\$4,600.00	DIVIDEND
32			CONOCOPHILLIPS		\$6,600.00		DIVIDEND SHORT
33			WHOLE FOODS MARKET INC			\$420.00	DIVIDEND
34			LENNAR CORP		\$200.00		DIVIDEND SHORT
35			LOWES COMPANIES INC		\$1,400.00		DIVIDEND SHORT
36			BANK OF AMERICA CORP			\$100.00	DIVIDEND
37			CORNING INC			\$7.50	DIVIDEND
38			NYSE EURONEXT			\$7.50	DIVIDEND
39			CATERPILLAR INC			\$2,600.00	DIVIDEND
40			APPLE INC			\$5,074.75	DIVIDEND
<b>TOTAL FOR DIVIDENDS</b>						<b>\$4,772.25</b>	
<b>DEBITS TRANSFERRED OUT</b>							
41			TRANSFER DEBIT BALANCE OUT			\$50.00	
42			TRANSFER DEBIT BALANCE OUT			\$524,581.03	
<b>TOTAL FOR DEBITS TRANSFERRED OUT</b>						<b>\$524,631.03</b>	
<b>SECURITIES DELIVERED OUT</b>							
43	12/10/2012	DELV	1595.000 APPLE INC	\$529.821		\$845,064.34	VALUED PER MARKETWATCH
<b>TOTAL FOR SECURITIES DELIVERED OUT</b>						<b>\$845,064.34</b>	
<b>CASH WITHDRAWN</b>							
44	08/03/2011		CHK ISS #CS00237173		\$110,000.00		
45	08/16/2011		CHK ISS #CS00237825		\$34,980.00		
46	11/14/2011		CHK ISS #CS00243211		\$215,000.00		
47	02/13/2012		CHK ISS #CS00249560		\$160,000.00		
48	03/20/2012		WIRE TRANSFER		\$310,000.00		
49	04/16/2012		CHK ISS #CS00253310		\$320,000.00		
50	05/24/2012		CHK ISS #CS00255749		\$40,000.00		
51	05/24/2012		TRANSFER CASH BALANCE		\$4.59		
52	05/24/2012		TRANSFER CASH BALANCE		\$10.00		
53	05/24/2012		TRANSFER CASH BALANCE		\$125.00		
54	05/24/2012		TRANSFER CASH BALANCE		\$1,945.32		
55	06/18/2012		CHK ISS #CS00257054		\$50,000.00		
56	07/17/2012		CHK ISS #CS00258936		\$187,000.00		
57	07/18/2012		CHK ISS #CS00259018		\$213,000.00		

## Cash Transactions

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Sld/Del	Description	Price	Debit	Credit	Comments
58	08/23/2012		CHK ISS #CS00261214		\$70,000.00		
59	12/12/2012		TRANSFER CASH BALANCE		\$96.26		
<b>TOTAL FOR CASH WITHDRAWN</b>						<b>(\$1,712,161.17)</b>	
<b>INTEREST CHARGES</b>							
60	05/27/2010		MARGIN INTEREST		\$67.45		
61	05/31/2010		MARGIN INTEREST		\$63.91		
62	06/30/2010		MARGIN INTEREST		\$227.02		
63	07/31/2010		MARGIN INTEREST		\$166.53		
64	08/31/2010		MARGIN INTEREST		\$267.55		
65	09/30/2010		MARGIN INTEREST		\$821.99		
66	10/31/2010		MARGIN INTEREST		\$496.70		
67	11/30/2010		MARGIN INTEREST		\$526.71		
68	12/31/2010		MARGIN INTEREST		\$1,683.62		
69	01/31/2011		MARGIN INTEREST		\$2,366.12		
70	02/28/2011		MARGIN INTEREST		\$2,131.74		
71	03/31/2011		MARGIN INTEREST		\$2,296.87		
72	04/30/2011		MARGIN INTEREST		\$2,175.71		
73	05/31/2011		MARGIN INTEREST		\$2,885.01		
74	06/30/2011		MARGIN INTEREST		\$1,894.75		
75	07/31/2011		MARGIN INTEREST		\$2,036.35		
76	08/31/2011		MARGIN INTEREST		\$1,466.48		
77	09/30/2011		MARGIN INTEREST		\$1,307.04		
78	10/31/2011		MARGIN INTEREST		\$2,264.26		
79	11/30/2011		MARGIN INTEREST		\$2,264.82		
80	12/31/2011		MARGIN INTEREST		\$2,010.06		
81	01/31/2012		MARGIN INTEREST		\$6,391.57		
82	02/29/2012		MARGIN INTEREST		\$2,369.72		
83	03/31/2012		MARGIN INTEREST		\$1,521.03		
84	04/30/2012		MARGIN INTEREST		\$89.41		
85	05/31/2012		MARGIN INTEREST		\$3,037.73		
86	06/30/2012		MARGIN INTEREST		\$772.20		
87	07/31/2012		MARGIN INTEREST		\$2,958.27		
88	08/31/2012		MARGIN INTEREST		\$419.86		
89	09/30/2012		MARGIN INTEREST		\$2,510.03		
90	10/31/2012		MARGIN INTEREST		\$5,015.82		
91	11/30/2012		MARGIN INTEREST		\$4,612.75		

## Cash Transactions

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Sld/Del	Description	Price	Debit	Credit	Comments
92	12/31/2012		MARGIN INTEREST		\$1,059.59		
<b>TOTAL FOR INTEREST CHARGES</b>						<b>(\$60,178.67)</b>	
<b>DEBITS TRANSFERRED IN</b>							
93	11/10/2010		DEBIT TRANSFER IN		\$4.69		
94	11/10/2010		DEBIT TRANSFER IN		\$35.00		
<b>TOTAL FOR DEBITS TRANSFERRED IN</b>						<b>(\$39.69)</b>	
<b>MISCELLANEOUS CHARGES</b>							
95	07/30/2010		STOCK LOAN FEE		\$20.44		
96	08/27/2010		STOCK LOAN FEE		\$18.39		
97	08/27/2010		STOCK LOAN FEE		\$53.19		
98	11/30/2010		STOCK LOAN FEE		\$354.31		
99	12/30/2010		STOCK LOAN FEE		\$33.99		
100	12/30/2010		STOCK LOAN FEE		\$82.50		
101	01/14/2011		STOCK LOAN FEE		\$3.21		
102	01/14/2011		STOCK LOAN FEE		\$3.50		
103	01/31/2011		ANNUAL FEE		\$75.00		
104	02/28/2011		STOCK LOAN FEE		\$32.57		
105	02/28/2011		STOCK LOAN FEE		\$34.38		
106	02/28/2011		STOCK LOAN FEE		\$37.35		
107	08/03/2011		WIRE FEE		\$20.00		
108	08/16/2011		OVERNIGHT FEE		\$20.00		
109	12/20/2011		STOCK LOAN FEE		\$18.90		
110	12/20/2011		STOCK LOAN FEE		\$21.48		
111	12/20/2011		STOCK LOAN FEE		\$36.06		
112	01/18/2012		STOCK LOAN FEE		\$55.33		
113	01/18/2012		STOCK LOAN FEE		\$103.75		
114	01/31/2012		ANNUAL FEE		\$75.00		
115	02/13/2012		OVERNIGHT FEE		\$20.00		
116	02/14/2012		STOCK LOAN FEE		\$17.92		
117	02/14/2012		STOCK LOAN FEE		\$30.61		
118	03/13/2012		STEC INC		\$72.49		
119	03/13/2012		STOCK LOAN FEE		\$0.10		
120	03/13/2012		STOCK LOAN FEE		\$0.62		
121	03/13/2012		STOCK LOAN FEE		\$61.60		
122	03/13/2012		STOCK LOAN FEE		\$77.46		

## Cash Transactions

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Comments
123	03/13/2012		STOCK LOAN FEE		\$128.67		
124	03/13/2012		STOCK LOAN FEE		\$209.60		
125	03/20/2012		WIRE FEE		\$20.00		
126	04/13/2012		STOCK LOAN FEE		\$13.33		
127	04/13/2012		STOCK LOAN FEE		\$64.51		
128	04/13/2012		STOCK LOAN FEE		\$70.52		
129	04/13/2012		STOCK LOAN FEE		\$525.94		
130	04/16/2012		OVERNIGHT FEE		\$20.00		
131	05/11/2012		STOCK LOAN FEE		\$9.94		
132	05/11/2012		STOCK LOAN FEE		\$14.41		
133	05/11/2012		STOCK LOAN FEE		\$16.45		
134	05/11/2012		STOCK LOAN FEE		\$18.47		
135	05/11/2012		STOCK LOAN FEE		\$37.92		
136	05/11/2012		STOCK LOAN FEE		\$38.67		
137	05/11/2012		STOCK LOAN FEE		\$43.04		
138	05/11/2012		STOCK LOAN FEE		\$62.87		
139	05/11/2012		STOCK LOAN FEE		\$141.25		
140	05/11/2012		STOCK LOAN FEE		\$198.13		
141	05/24/2012		OVERNIGHT FEE		\$20.00		
142	06/11/2012		STOCK LOAN FEE		\$13.56		
143	06/11/2012		STOCK LOAN FEE		\$70.27		
144	06/11/2012		STOCK LOAN FEE		\$187.63		
145	06/18/2012		OVERNIGHT FEE		\$20.00		
146	07/17/2012		OVERNIGHT FEE		\$20.00		
147	07/18/2012		OVERNIGHT FEE		\$20.00		
148	08/13/2012		STOCK LOAN FEE		\$6.36		
149	08/13/2012		STOCK LOAN FEE		\$6.75		
150	08/13/2012		STOCK LOAN FEE		\$11.17		
151	08/23/2012		OVERNIGHT FEE		\$20.00		
152	09/13/2012		STOCK LOAN FEE		\$0.57		
153	09/13/2012		STOCK LOAN FEE		\$46.79		
154	09/13/2012		STOCK LOAN FEE		\$58.34		
155	10/11/2012		STOCK LOAN FEE		\$7.97		
156	12/05/2012		TERMINATION FEE		\$50.00		
<b>TOTAL FOR MISCELLANEOUS CHARGES</b>						<b>(\$3,573.28)</b>	

### MONEY MARKET FUND INCOME

## Cash Transactions

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Comments
157	05/19/2010		LEGENT INSURED DEPOSIT FD			\$0.12	DIVIDEND
158	07/09/2010		LEGENT INSURED DEPOSIT FD			\$0.21	DIVIDEND
159	11/12/2010		LEGENT INSURED DEPOSIT FD			\$0.43	DIVIDEND
160	08/25/2011		LEGENT INSURED DEPOSIT FD			\$2.31	DIVIDEND
161	11/15/2011		LEGENT INSURED DEPOSIT FD			\$0.24	DIVIDEND
162	12/13/2011		LEGENT INSURED DEPOSIT FD			\$0.16	DIVIDEND
163	02/22/2012		LEGENT INSURED DEPOSIT FD			\$0.95	DIVIDEND
164	03/09/2012		LEGENT INSURED DEPOSIT FD			\$0.37	DIVIDEND
165	03/15/2012		LEGENT INSURED DEPOSIT FD			\$0.33	DIVIDEND
166	03/23/2012		LEGENT INSURED DEPOSIT FD			\$0.85	DIVIDEND
167	04/24/2012		LEGENT INSURED DEPOSIT FD			\$4.56	DIVIDEND
168	05/11/2012		LEGENT INSURED DEPOSIT FD			\$0.43	DIVIDEND
169	06/14/2012		LEGENT INSURED DEPOSIT FD			\$1.59	DIVIDEND
170	06/25/2012		LEGENT INSURED DEPOSIT FD			\$1.37	DIVIDEND
171	06/28/2012		LEGENT INSURED DEPOSIT FD			\$0.37	DIVIDEND
172	07/12/2012		LEGENT INSURED DEPOSIT FD			\$0.47	DIVIDEND
173	08/07/2012		LEGENT INSURED DEPOSIT FD			\$0.12	DIVIDEND
174	08/24/2012		LEGENT INSURED DEPOSIT FD			\$1.74	DIVIDEND
175	09/04/2012		LEGENT INSURED DEPOSIT FD			\$0.17	DIVIDEND
176	09/14/2012		LEGENT INSURED DEPOSIT FD			\$0.36	DIVIDEND

		<b>\$17.15</b>	
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**TOTAL FOR MONEY MARKET FUND INCOME**

## Trade Transactions Chronology

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
1 04/23/2010	1000.000		CITIGROUP INC	\$4.850	\$4,915.00			\$65.00	COMM CALC (Bonds @ 2.5%)
2 04/30/2010	9000.000		CITIGROUP INC	\$4.490	\$40,475.00			\$65.00	COMM CALC (Bonds @ 2.5%)
3 05/10/2010		10000.000	CITIGROUP INC	\$4.310		\$43,034.27		\$65.73	COMM CALC (Bonds @ 2.5%)
4 05/14/2010	20000.000		CITIGROUP INC	\$4.065	\$81,365.00			\$65.00	COMM CALC (Bonds @ 2.5%)
5 05/26/2010		285.000	CITIGROUP INC	\$3.990		\$1,072.13		\$65.02	COMM CALC (Bonds @ 2.5%)
6 06/22/2010		19715.000	CITIGROUP INC	\$3.950		\$77,807.92		\$66.33	COMM CALC (Bonds @ 2.5%)
7 06/22/2010		4500.000	TOLL BROTHERS INC	\$16.601		\$74,638.19		\$66.31	COMM CALC (Bonds @ 2.5%) SHORT
8 07/01/2010		3500.000	CONTINENTAL AIRLINES CL B	\$21.592		\$75,503.94		\$66.31	COMM CALC (Bonds @ 2.5%) SHORT
9 07/01/2010	4500.000		TOLL BROTHERS INC	\$16.489	\$74,265.50			\$65.00	COMM CALC (Bonds @ 2.5%) COVER
10 07/02/2010	3500.000		CONTINENTAL AIRLINES CL B	\$21.129	\$74,015.80			\$65.00	COMM CALC (Bonds @ 2.5%) COVER
11 07/06/2010	1500.000		PROSHARES TRUST SHORT DOW 30	\$54.616	\$81,989.00			\$65.00	COMM CALC (Bonds @ 2.5%)
12 08/26/2010	3500.000		PROSHARES TRUST SHORT DOW 30	\$52.919	\$185,281.85			\$65.00	COMM CALC (Bonds @ 2.5%)
13 09/14/2010	50000.000		CITIGROUP INC	\$4.050	\$202,565.00			\$5,065.00	MU/D=\$0.10 +FEES PER CONFIRM
14 09/14/2010		5000.000	PROSHARES TRUST SHORT DOW 30	\$48.871		\$244,285.82		\$2,569.18	MU/D=\$0.50 +FEES PER CONFIRM
15 10/07/2010		20000.000	KB HOME	\$10.770		\$215,337.25		\$6,068.75	MU/D=\$0.30 +FEES PER CONFIRM; SHORT
16 10/19/2010		5000.000	CITIGROUP INC	\$4.050		\$20,084.65		\$165.35	COMM CALC (Bonds @ 2.5%)
17 10/27/2010	20000.000		BANK OF AMERICA CORP	\$11.737	\$234,798.00			\$3,529.00	MU/D=\$0.1732 +FEES PER CONFIRM
18 11/02/2010		30000.000	AMR CORP	\$7.520		\$225,537.08		\$6,068.92	MU/D=\$0.20 +FEES PER CONFIRM; SHORT
19 11/02/2010	20000.000		KB HOME	\$10.391	\$207,894.40			\$163.00	MU/D=\$0.0049 +FEES PER CONFIRM; COVER
20 11/03/2010		45000.000	CITIGROUP INC	\$4.180		\$188,031.82		\$68.18	COMM CALC (Bonds @ 2.5%)
21 11/04/2010	15000.000		AMR CORP	\$8.646	\$129,759.50			\$65.00	COMM CALC (Bonds @ 2.5%) COVER
22 11/04/2010		20000.000	BANK OF AMERICA CORP	\$12.050		\$240,930.91		\$69.09	COMM CALC (Bonds @ 2.5%)
23 11/05/2010	15000.000		AMR CORP	\$8.530	\$128,015.00			\$65.00	COMM +FEES PER CONFIRM; COVER
24 11/08/2010	50000.000		CITIGROUP INC	\$4.468	\$223,465.00			\$65.00	COMM +FEES PER CONFIRM
25 11/10/2010	400.000	RECV	DYNERGY INC	\$4.500	\$1,800.00			\$0.00	VALUED PER MARKETWATCH
26 11/10/2010	2200.000	RECV	GIGMEDIA LTD	\$1.740	\$3,828.00			\$0.00	VALUED PER MARKETWATCH
27 11/10/2010	800.000	RECV	NOVATEL WIRELESS INC	\$10.320	\$8,256.00			\$0.00	VALUED PER MARKETWATCH

## Trade Transactions Chronology

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
28 11/16/2010	10000.000		BANK OF AMERICA CORP	\$11.900	\$119,065.00			\$65.00	COMM CALC (Bonds @ 2.5%)
29 11/30/2010	50000.000		CITIGROUP INC	\$4.316	\$215,865.00			\$65.00	COMM CALC (Bonds @ 2.5%)
30 12/13/2010		10000.000	BANK OF AMERICA CORP	\$12.530		\$125,232.84		\$2,067.16	MU/D=\$0.20 +FEES PER CONFIRM
31 12/13/2010	10000.000		CISCO SYSTEMS INC	\$20.200	\$202,065.00			\$4,065.00	MU/D=\$0.40 +FEES PER CONFIRM
32 12/13/2010		50000.000	CITIGROUP INC	\$4.720		\$235,930.92		\$5,069.08	MU/D=\$0.10 +FEES PER CONFIRM
33 12/17/2010		400.000	DYNERGY INC	\$5.630		\$2,111.96		\$140.04	COMM +FEES PER CONFIRM
34 12/17/2010		2200.000	GIGMEDIA LTD	\$1.480		\$3,091.16		\$165.06	COMM +FEES PER CONFIRM
35 12/17/2010	10000.000		JP MORGAN CHASE & CO	\$40.500	\$405,065.00			\$8,065.00	MU/D=\$0.8 +FEES PER CONFIRM
36 12/17/2010		800.000	NOVATEL WIRELESS INC	\$8.890		\$6,946.90		\$165.13	COMM +FEES PER CONFIRM
37 12/30/2010		7500.000	JP MORGAN CHASE & CO	\$42.220		\$316,579.63		\$820.37	MU/D=\$0.10 +FEES PER CONFIRM
38 12/30/2010		20000.000	KB HOME	\$13.125		\$262,430.42		\$8,069.58	MU/D=\$0.40 +FEES PER CONFIRM; SHORT
39 01/03/2011		2500.000	JP MORGAN CHASE & CO	\$43.060		\$107,584.16		\$1,066.84	MU/D=\$0.40 +FEES PER CONFIRM
40 01/06/2011	150000.000		CITIGROUP INC	\$5.072	\$760,865.00			\$15,065.00	MU/D=\$0.10 +FEES PER CONFIRM
41 01/06/2011	10000.000		KB HOME	\$14.400	\$144,064.00			\$65.00	COMM +FEES PER CONFIRM; COVER
42 01/13/2011		10000.000	CISCO SYSTEMS INC	\$21.000		\$209,932.93		\$1,068.57	MU/D=\$0.10 +FEES PER CONFIRM
43 01/13/2011		12000.000	CITIGROUP INC	\$4.940		\$59,213.97		\$1,266.03	MU/D=\$0.10 +FEES PER CONFIRM
44 01/13/2011	10000.000		KB HOME	\$14.998	\$150,045.00			\$65.00	COMM +FEES PER CONFIRM; COVER
45 01/20/2011		13000.000	CITIGROUP INC	\$4.770		\$61,943.80		\$66.20	COMM +FEES PER CONFIRM
46 01/21/2011		6000.000	CITIGROUP INC	\$4.881		\$29,220.43		\$65.57	COMM +FEES PER CONFIRM
47 02/07/2011		2000.000	CITIGROUP INC	\$4.871		\$9,676.81		\$65.19	COMM +FEES PER CONFIRM
48 02/28/2011		5000.000	CITIGROUP INC	\$4.731		\$23,489.54		\$165.46	COMM +FEES PER CONFIRM
49 03/04/2011		1000.000	CITIGROUP INC	\$4.541		\$4,475.91		\$65.09	COMM+FEES PER CONFIRM
50 03/09/2011		1000.000	CITIGROUP INC	\$4.631		\$4,465.91		\$165.09	COMM +FEES PER CONFIRM
51 03/09/2011		100.000	CITIGROUP INC	\$4.630		\$397.99		\$65.01	COMM +FEES PER CONFIRM
52 03/16/2011		4000.000	CITIGROUP INC	\$4.431		\$17,658.65		\$65.35	COMM +FEES PER CONFIRM
53 03/22/2011		5000.000	CITIGROUP INC	\$4.421		\$22,039.57		\$65.43	COMM +FEES PER CONFIRM
54 04/12/2011	20000.000		MICRON TECHNOLOGY INC	\$10.542	\$210,911.00			\$3,066.03	MU/D=\$0.15 +FEES PER CONFIRM
55 04/21/2011	20000.000		AVALON RARE METALS INC	\$9.506	\$190,175.00			\$3,065.00	MU/D=\$0.15 +FEES PER CONFIRM
56 04/29/2011		50000.000	CITIGROUP INC	\$4.550		\$227,330.63		\$169.37	COMM +FEES PER CONFIRM
57 04/29/2011	15000.000		MICRON TECHNOLOGY INC	\$11.572	\$173,640.50			\$3,815.00	MU/D=\$0.25 +FEES PER CONFIRM

## Trade Transactions Chronology

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
58 05/09/2011		100900.000	CITIGROUP INC					\$0.00	REV SPLIT
59 05/09/2011	10090.000		CITIGROUP INC					\$0.00	REV SPLIT
60 05/19/2011		10090.000	CITIGROUP INC	\$41.355		\$417,202.97		\$73.02	COMM +FEES PER CONFIRM
61 05/19/2011	5000.000		FREEPORT MCMORAN COPPER & GOLD	\$48.800	\$244,065.00			\$5,065.00	MU/D=\$1.00 +FEES PER CONFIRM
62 05/19/2011	5000.000		ISHARES SILVER TRUST	\$34.840	\$174,264.50			\$3,565.00	COMM +FEES PER CONFIRM
63 05/24/2011	7500.000		YANDEX NV SHS CL A	\$35.100	\$263,315.00			\$815.00	MU/D=\$0.10 +FEES PER CONFIRM
64 05/24/2011		7500.000	YANDEX NV SHS CL A	\$35.040		\$262,629.95		\$170.05	COMM +FEES PER CONFIRM
65 05/25/2011		15000.000	AVALON RARE METALS INC	\$7.253		\$108,726.41		\$67.09	COMM +FEES PER CONFIRM
66 05/25/2011	1000.000		FREEPORT MCMORAN COPPER & GOLD	\$50.570	\$50,634.90			\$565.00	MU/D=\$0.50 +FEES PER CONFIRM
67 05/25/2011	1000.000		ISHARES SILVER TRUST	\$37.410	\$37,474.90			\$565.00	MU/D=\$0.50 +FEES PER CONFIRM
68 06/08/2011		2500.000	AVALON RARE METALS INC	\$6.481		\$16,137.18		\$165.32	MU/D=\$0.04 +FEES PER CONFIRM
69 06/08/2011		3000.000	FREEPORT MCMORAN COPPER & GOLD	\$48.948		\$146,776.47		\$166.83	MU/D=\$0.033 +FEES PER CONFIRM
70 06/08/2011		3000.000	ISHARES SILVER TRUST	\$35.607		\$106,754.24		\$166.06	MU/D=\$0.033 +FEES PER CONFIRM
71 06/08/2011		20000.000	MICRON TECHNOLOGY INC	\$8.557		\$171,071.71		\$168.29	MU/D=\$0.005 +FEES PER CONFIRM
72 06/15/2011	18000.000		PANDORA MEDIA INC	\$19.357	\$348,592.80			\$165.00	COMM +FEES PER CONFIRM
73 06/15/2011		18000.000	PANDORA MEDIA INC	\$17.649		\$317,503.70		\$171.10	COMM +FEES PER CONFIRM
74 06/27/2011	5000.000		MICRON TECHNOLOGY INC	\$7.360	\$36,864.50			\$165.00	MU/D=\$0.02 +FEES PER CONFIRM
75 06/28/2011		2000.000	FREEPORT MCMORAN COPPER & GOLD	\$49.930		\$99,693.27		\$166.92	COMM +FEES PER CONFIRM
76 07/01/2011	80000.000		MICRON TECHNOLOGY INC	\$8.050	\$644,065.00			\$16,065.00	MU/D=\$0.20 +FEES PER CONFIRM
77 07/12/2011		750.000	FREEPORT MCMORAN COPPER & GOLD	\$53.161		\$39,705.30		\$165.75	COMM +FEES PER CONFIRM
78 07/12/2011	62000.000		MICRON TECHNOLOGY INC	\$7.400	\$458,865.00			\$65.00	COMM +FEES PER CONFIRM
79 07/12/2011		62000.000	MICRON TECHNOLOGY INC	\$7.400		\$458,726.19		\$73.81	COMM +FEES PER CONFIRM
80 07/19/2011		1000.000	ISHARES SILVER TRUST	\$39.300		\$39,134.24		\$165.76	COMM +FEES PER CONFIRM
81 07/21/2011		1500.000	AVALON RARE METALS INC	\$6.274		\$9,245.96		\$165.19	COMM +FEES PER CONFIRM
82 07/21/2011		250.000	FREEPORT MCMORAN COPPER & GOLD	\$55.350		\$13,672.23		\$165.27	COMM +FEES PER CONFIRM
83 07/21/2011		1000.000	ISHARES SILVER TRUST	\$38.780		\$38,614.35		\$165.75	COMM +FEES PER CONFIRM
84 07/21/2011	3000.000		PROSHARES TRUST SHORT DOW 30	\$39.808	\$119,489.00			\$1,565.00	MU/D=\$0.50 +FEES PER CONFIRM
85 07/25/2011		500.000	ISHARES SILVER TRUST	\$39.340		\$19,504.67		\$165.38	COMM +FEES PER CONFIRM
86 07/25/2011	1000.000		PROSHARES TRUST SHORT DOW 30	\$39.618	\$39,783.00			\$165.00	COMM +FEES PER CONFIRM
87 07/27/2011		1000.000	AVALON RARE METALS INC	\$6.110		\$5,944.88		\$165.12	COMM +FEES PER CONFIRM



## Trade Transactions Chronology

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
88 07/27/2011		500.000	ISHARES SILVER TRUST	\$39.330		\$19,499.67		\$165.38	COMM +FEES PER CONFIRM
89 07/27/2011	1000.000		PROSHARES TRUST SHORT DOW 30	\$40.618	\$40,783.20			\$165.00	COMM +FEES PER CONFIRM
90 08/01/2011		20000.000	MICRON TECHNOLOGY INC	\$7.430		\$148,597.14		\$2.86	NO COMM +FEES PER CONFIRM
91 08/01/2011		20000.000	MICRON TECHNOLOGY INC	\$7.430		\$148,597.80		\$2.86	NO COMM +FEES PER CONFIRM
92 08/01/2011		20000.000	MICRON TECHNOLOGY INC	\$7.440		\$148,797.14		\$2.86	NO COMM +FEES PER CONFIRM
93 08/01/2011		20000.000	MICRON TECHNOLOGY INC	\$7.390		\$147,639.06		\$166.94	COMM +FEES PER CONFIRM
94 08/01/2011		20000.000	MICRON TECHNOLOGY INC	\$7.450		\$148,932.81		\$67.19	COMM +FEES PER CONFIRM
95 08/01/2011	2500.000		PROSHARES TRUST SHORT DOW 30	\$41.469	\$103,737.50			\$690.00	MU/D=\$0.25 +FEES PER CONFIRM
96 08/01/2011	5000.000		PROSHARES TRUST SHORT QQQ	\$32.179	\$160,959.50			\$1,315.00	MU/D=\$0.25 +FEES PER CONFIRM
97 08/02/2011	2500.000		PROSHARES TRUST SHORT DOW 30	\$42.219	\$105,612.50			\$690.00	MU/D=\$0.25 +FEES PER CONFIRM
98 08/02/2011	5000.000		PROSHARES TRUST SHORT QQQ	\$32.889	\$164,510.00			\$1,315.00	MU/D=\$0.25 +FEES PER CONFIRM
99 08/10/2011		5000.000	PROSHARES TRUST SHORT DOW 30	\$44.801		\$223,935.65		\$69.35	COMM CALC (Bonds @ 2.5%)
100 08/10/2011		5000.000	PROSHARES TRUST SHORT QQQ	\$34.613		\$172,996.62		\$2,568.38	MU/D=\$0.50 +FEES PER CONFIRM
101 08/11/2011		5000.000	PROSHARES TRUST SHORT DOW 30	\$44.663		\$223,245.68		\$1,319.32	MU/D=\$0.25 +FEES PER CONFIRM
102 08/11/2011		5000.000	PROSHARES TRUST SHORT QQQ	\$34.402		\$171,939.67		\$1,318.33	MU/D=\$0.25 +FEES PER CONFIRM
103 08/15/2011	2500.000		PROSHARES TRUST SHORT DOW 30	\$43.188	\$108,035.00			\$315.00	MU/D=\$0.10 +FEES PER CONFIRM
104 08/16/2011	2500.000		PROSHARES TRUST SHORT DOW 30	\$43.619	\$109,112.50			\$690.00	MU/D=\$0.25 +FEES PER CONFIRM
105 08/18/2011	1000.000		PROSHARES TRUST SHORT DOW 30	\$44.842	\$45,007.00			\$165.00	COMM +FEES PER CONFIRM
106 08/19/2011	1000.000		PROSHARES TRUST SHORT DOW 30	\$45.208	\$45,373.00			\$165.00	COMM +FEES PER CONFIRM
107 08/22/2011	1000.000		PROSHARES TRUST SHORT DOW 30	\$44.836	\$45,001.00			\$165.00	COMM +FEES PER CONFIRM
108 08/23/2011	1000.000		PROSHARES TRUST SHORT DOW 30	\$44.356	\$44,521.00			\$165.00	COMM +FEES PER CONFIRM
109 08/24/2011	1000.000		PROSHARES TRUST SHORT DOW 30	\$43.776	\$43,941.00			\$165.00	COMM +FEES PER CONFIRM
110 08/24/2011	2000.000		PROSHARES TRUST SHORT QQQ	\$34.639	\$69,443.00			\$165.00	COMM +FEES PER CONFIRM
111 09/06/2011	2000.000		PROSHARES TRUST SHORT QQQ	\$34.399	\$68,863.00			\$1,065.00	MU/D=\$0.50 +FEES PER CONFIRM
112 09/07/2011	2000.000		PROSHARES TRUST SHORT QQQ	\$32.989	\$66,143.00			\$165.00	COMM +FEES PER CONFIRM
113 09/23/2011		2000.000	PROSHARES TRUST SHORT DOW 30	\$45.271		\$90,375.26		\$166.74	COMM +FEES PER CONFIRM
114 09/27/2011	2000.000		PROSHARES TRUST SHORT DOW 30	\$42.990	\$86,144.80			\$165.00	COMM +FEES PER CONFIRM
115 10/03/2011		1000.000	PROSHARES TRUST SHORT DOW 30	\$44.584		\$44,418.14		\$165.86	COMM +FEES PER CONFIRM
116 10/07/2011	1000.000		PROSHARES TRUST SHORT DOW 30	\$43.804	\$43,869.00			\$165.00	MU/D=\$0.10 +FEES PER CONFIRM
117 10/07/2011	1000.000		PROSHARES TRUST SHORT QQQ	\$33.108	\$33,173.00			\$165.00	MU/D=\$0.10 +FEES PER CONFIRM
118 10/14/2011	100000.000		MICRON TECHNOLOGY INC	\$5.762	\$576,265.00			\$65.00	COMM CALC (Bonds @ 2.5%)

## Trade Transactions Chronology

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
119	10/17/2011		2000.000 PROSHARES TRUST SHORT DOW 30	\$41.724		\$83,281.39		\$166.61	COMM CALC (Bonds @ 2.5%)
120	10/17/2011		2000.000 PROSHARES TRUST SHORT QQQ	\$30.732		\$61,297.81		\$166.19	COMM CALC (Bonds @ 2.5%)
121	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.810		\$58,088.88		\$11.12	COMM +FEES PER CONFIRM
122	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.820		\$58,188.88		\$11.12	COMM +FEES PER CONFIRM
123	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.810		\$58,088.88		\$11.12	COMM +FEES PER CONFIRM
124	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.800		\$57,938.93		\$61.07	COMM +FEES PER CONFIRM
125	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.770		\$57,688.89		\$11.11	COMM +FEES PER CONFIRM
126	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.810		\$58,088.88		\$11.12	COMM +FEES PER CONFIRM
127	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.760		\$57,588.89		\$11.11	COMM +FEES PER CONFIRM
128	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.760		\$57,588.89		\$11.11	COMM +FEES PER CONFIRM
129	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.810		\$58,088.88		\$11.12	COMM +FEES PER CONFIRM
130	11/03/2011		10000.000 MICRON TECHNOLOGY INC	\$5.810		\$58,088.88		\$11.12	COMM +FEES PER CONFIRM
131	11/04/2011		6000.000 PHARMASSET INC	\$69.528		\$417,108.12		\$58.08	COMM=\$0.50 +FEES PER CONFIRM; SHORT
132	11/07/2011	3000.000	PHARMASSET INC	\$69.821	\$209,512.35			\$49.95	COMM CALC (Bonds @ 2.5%) COVER
133	11/08/2011	3000.000	PHARMASSET INC	\$69.035	\$207,256.15			\$149.95	COMM +FEES PER CONFIRM COVER
134	11/09/2011	6000.000	MACYS INC	\$30.750	\$184,549.95			\$49.95	COMM +FEES PER CONFIRM
135	11/09/2011	6000.000	MACYS INC	\$31.714		\$190,232.13		\$3,053.70	MU/D=\$0.50 +FEES PER CONFIRM
136	11/09/2011	50000.000	MICRON TECHNOLOGY INC	\$5.586	\$279,349.95			\$5,049.95	MU/D=\$0.10 +FEES PER CONFIRM
137	11/09/2011	6000.000	OPENTABLE INC	\$40.376		\$242,202.54		\$54.66	COMM +FEES PER CONFIRM; SHORT
138	11/09/2011	6000.000	OPENTABLE INC	\$39.562	\$237,420.75			\$49.95	COMM +FEES PER CONFIRM; COVER
139	11/10/2011	50000.000	MICRON TECHNOLOGY INC	\$5.258	\$262,949.95			\$5,049.95	MU/D=\$0.10 +FEES PER CONFIRM
140	11/10/2011	500.000	PROSHARES TRUST SHORT DOW 30	\$40.344		\$20,121.66		\$50.34	COMM +FEES PER CONFIRM
141	11/11/2011	50000.000	MICRON TECHNOLOGY INC	\$5.426		\$271,144.84		\$155.16	COMM +FEES PER CONFIRM
142	11/14/2011	2000.000	PROSHARES TRUST SHORT DOW 30	\$39.552		\$79,052.53		\$51.47	COMM +FEES PER CONFIRM
143	11/14/2011	1000.000	PROSHARES TRUST SHORT QQQ	\$30.624		\$30,573.46		\$50.54	COMM +FEES PER CONFIRM
144	11/16/2011	50000.000	MICRON TECHNOLOGY INC	\$6.550		\$327,443.66		\$5,056.34	MU/D=\$0.10 +FEES PER CONFIRM
145	11/18/2011	20000.000	JP MORGAN CHASE & CO	\$31.099	\$622,037.47			\$9,049.95	MU/D=\$0.45 +FEES PER CONFIRM
146	12/02/2011	15000.000	JP MORGAN CHASE & CO	\$32.545		\$488,108.89		\$1,559.36	MU/D=\$0.10 +FEES PER CONFIRM
147	12/02/2011	5000.000	JP MORGAN CHASE & CO	\$32.600		\$162,997.22		\$503.14	MU/D=\$0.50 +FEES PER CONFIRM

## Trade Transactions Chronology

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
148	12/05/2011		20000.000 JP MORGAN CHASE & CO	\$33.239		\$664,717.09		\$10,062.91	MU/D=\$0.50 +FEES PER CONFIRM SHORT
149	12/08/2011	2000.000	APPLE INC	\$398.395	\$796,839.95			\$10,049.95	MU/D=\$5.00 +FEES PER CONFIRM
150	12/08/2011	20000.000	JP MORGAN CHASE & CO	\$32.730	\$654,739.95			\$149.95	COMM +FEES PER CONFIRM; COVER
151	12/15/2011	5500.000	PROSHARES TRUST SHORT DOW 30	\$40.031		\$220,116.32		\$54.18	COMM +FEES PER CONFIRM
152	12/15/2011	4000.000	PROSHARES TRUST SHORT QQQ	\$32.081		\$128,271.58		\$52.42	COMM +FEES PER CONFIRM
153	12/15/2011	20000.000	TOLL BROTHERS INC	\$19.216		\$384,267.59		\$3,937.41	MU/D=\$0.194 +FEES PER CONFIRM; SHORT
154	12/21/2011	2000.000	APPLE INC	\$398.670	\$797,389.55			\$8,049.95	MU/D=\$4.00 +FEES PER CONFIRM
155	12/21/2011	20000.000	TOLL BROTHERS INC	\$20.627	\$412,589.95			\$49.95	COMM +FEES PER CONFIRM COVER
156	01/05/2012	1000.000	APPLE INC	\$414.960		\$414,902.04		\$2,057.96	MU/D=\$2.00 +FEES PER CONFIRM
157	01/05/2012	50000.000	CITIGROUP INC	\$28.580	\$1,429,044.95			\$49.95	COMM CALC (Bonds @ 2.5%)
158	01/09/2012	2500.000	APPLE INC	\$421.552		\$1,053,810.61		\$10,695.39	MU/D=\$4.25 +FEES PER CONFIRM
159	01/09/2012	10000.000	CATERPILLAR INC	\$98.464	\$984,689.95			\$15,049.95	MU/D=\$1.50 +FEES PER CONFIRM
160	01/18/2012	5000.000	CATERPILLAR INC	\$103.214		\$516,008.13		\$2,559.91	MU/D=\$5.00 +FEES PER CONFIRM
161	01/18/2012	40000.000	CITIGROUP INC	\$28.749		\$1,149,875.97		\$72.03	COMM +FEES PER CONFIRM
162	01/18/2012	15000.000	VISA INC CLA	\$105.148	\$1,577,268.45			\$22,549.95	MU/D=\$1.50 +FEES PER CONFIRM
163	01/23/2012	2500.000	CATERPILLAR INC	\$105.917		\$264,737.13		\$1,305.06	COMM +FEES PER CONFIRM
164	01/23/2012	10000.000	CONOCOPHILLIPS	\$69.800		\$697,940.51		\$7,063.49	MU/D=\$0.70 +FEES PER CONFIRM; SHORT
165	01/24/2012	250.000	APPLE INC	\$453.000		\$111,697.87		\$1,552.13	COMM +FEES PER CONFIRM
166	01/24/2012	250.000	APPLE INC	\$451.550		\$111,385.43		\$1,502.17	COMM +FEES PER CONFIRM
167	01/27/2012	1000.000	CATERPILLAR INC	\$109.923		\$109,870.98		\$802.08	MU/D=\$0.75 +FEES PER CONFIRM
168	01/27/2012	15000.000	PENNEY JC & CO INC	\$40.944		\$614,093.58		\$9,061.92	MU/D=\$0.60 +FEES PER CONFIRM; SHORT
169	01/30/2012	5000.000	AMAZON.COM INC	\$193.278	\$966,440.45			\$9,549.95	MU/D=\$1.90 +FEES PER CONFIRM
170	01/30/2012	1000.000	CATERPILLAR INC	\$109.780		\$109,728.03		\$552.07	MU/D=\$0.50 +FEES PER CONFIRM
171	01/30/2012	4000.000	CITIGROUP INC	\$30.281		\$121,071.72		\$52.28	COMM +FEES PER CONFIRM
172	01/30/2012	7500.000	CONOCOPHILLIPS	\$68.567	\$514,299.45			\$799.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
173	01/30/2012	2500.000	CONOCOPHILLIPS	\$68.669	\$171,672.50			\$0.00	COMM +FEES PER CONFIRM; COVER
174	02/01/2012	2500.000	AMAZON.COM INC	\$175.320		\$438,241.63		\$58.37	COMM +FEES PER CONFIRM
175	02/01/2012	6000.000	CITIGROUP INC	\$31.741		\$190,392.36		\$1,553.64	MU/D=\$0.25 +FEES PER CONFIRM

## Trade Transactions Chronology

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
176	02/01/2012		15000.000 LOWES COMPANIES INC	\$26.867		\$402,951.69		\$1,557.72	MU/D=\$0.10 +FEES PER CONFIRM; SHORT
177	02/02/2012		10000.000 LENNAR CORP	\$21.481		\$214,755.88		\$2,154.12	MU/D=\$0.21 +FEES PER CONFIRM; SHORT
178	02/03/2012		10000.000 VISA INC CL A	\$106.642		\$1,066,347.55		\$1,070.45	MU/D=\$0.10 +FEES PER CONFIRM
179	02/06/2012		10000.000 CONOCOPHILLIPS	\$70.571		\$705,646.36		\$7,063.64	MU/D=\$0.70 +FEES PER CONFIRM; SHORT
180	02/09/2012		500.000 CATERPILLAR INC	\$112.980		\$56,439.00		\$551.05	MU/D=\$1.00 +FEES PER CONFIRM
181	02/09/2012		4000.000 VISA INC CL A	\$113.532		\$454,070.45		\$4,058.75	MU/D=\$1.00 +FEES PER CONFIRM
182	02/13/2012		1000.000 VISA INC CL A	\$111.744		\$111,691.88		\$1,052.12	MU/D=\$1.00 +FEES PER CONFIRM
183	02/15/2012		1500.000 AMAZON.COM INC	\$183.649		\$275,318.14		\$154.91	COMM +FEES PER CONFIRM
184	02/15/2012	2500.000	APPLE INC	\$518.530	\$1,296,374.45			\$7,549.95	MU/D=\$3.00 +FEES PER CONFIRM
185	02/15/2012	7500.000	LOWES COMPANIES INC	\$27.460	\$206,099.20			\$149.95	COMM +FEES PER CONFIRM; COVER
186	02/15/2012	5000.000	PENNEY JC & CO INC	\$42.172	\$211,007.95			\$149.95	COMM +FEES PER CONFIRM COVER
187	02/16/2012	1000.000	APPLE INC	\$506.180	\$506,229.85			\$3,049.95	MU/D=\$3.00 +FEES PER CONFIRM
188	02/16/2012	7500.000	CONOCOPHILLIPS	\$72.759	\$545,841.70			\$149.95	COMM +FEES PER CONFIRM; COVER
189	02/17/2012	1500.000	APPLE INC	\$505.400	\$758,149.80			\$4,549.95	MU/D=\$3.00 +FEES PER CONFIRM
190	02/17/2012	2500.000	CONOCOPHILLIPS	\$73.429	\$183,722.45			\$149.95	COMM +FEES PER CONFIRM; COVER
191	02/17/2012	7500.000	LENNAR CORP	\$23.379	\$175,492.45			\$149.95	COMM +FEES PER CONFIRM; COVER
192	02/17/2012	5000.000	LOWES COMPANIES INC	\$27.660	\$138,449.43			\$149.95	COMM +FEES PER CONFIRM; COVER
193	02/17/2012	7500.000	PENNEY JC & CO INC	\$42.519	\$319,044.96			\$149.95	COMM +FEES PER CONFIRM; COVER
194	02/24/2012	50000.000	INTEL CORP	\$26.266		\$1,313,226.05		\$20,073.95	COMM +FEES PER CONFIRM; SHORT
195	02/24/2012	1500.000	LENNAR CORP	\$22.588	\$34,032.10			\$149.95	COMM +FEES PER CONFIRM. COVER
196	02/24/2012	1500.000	LOWES COMPANIES INC	\$26.980	\$40,619.95			\$149.95	COMM +FEES PER CONFIRM; COVER
197	02/24/2012	1500.000	PENNEY JC & CO INC	\$41.670	\$62,654.68			\$149.98	COMM +FEES PER CONFIRM; COVER
198	02/24/2012	1000.000	PENNEY JC & CO INC	\$41.710	\$41,759.85			\$49.95	COMM +FEES PER CONFIRM; COVER
199	02/29/2012	4000.000	APPLE INC	\$539.538		\$2,158,063.31		\$16,089.09	MU/D=\$4.00 +FEES PER CONFIRM
200	03/06/2012	2000.000	APPLE INC	\$526.304	\$1,052,657.29			\$50.09	COMM CALC (Bonds @ 2.5%)

## Trade Transactions Chronology

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
201	03/07/2012		2000.000 APPLE INC	\$529.427		\$1,058,784.81		\$68.99	COMM CALC (Bonds @ 2.5%)
202	03/08/2012		1000.000 APPLE INC	\$539.010		\$538,950.39		\$3,059.71	MU/D=\$3.0 +FEES PER CONFIRM
203	03/12/2012	25000.000	BANK OF AMERICA CORP	\$8.040	\$201,049.95			\$2,049.95	MU/D=\$0.08 +FEES PER CONFIRM
204	03/12/2012	10000.000	PNC FINANCIAL SERVICES GROUP INC	\$60.008	\$600,129.43			\$6,049.95	MU/D=\$0.60 +FEES PER CONFIRM
205	03/12/2012	20000.000	WELLS FARGO & CO	\$31.835	\$636,745.95			\$6,249.95	MU/D=\$0.31 +FEES PER CONFIRM
206	03/13/2012	20000.000	BANK OF AMERICA CORP	\$8.310		\$166,147.04		\$1,052.96	MU/D=\$0.05 +FEES PER CONFIRM
207	03/13/2012	8000.000	PNC FINANCIAL SERVICES GROUP INC	\$61.461		\$491,631.74		\$858.82	MU/D=\$0.10 +FEES PER CONFIRM
208	03/13/2012	18000.000	WELLS FARGO & CO	\$32.928		\$592,642.94		\$1,860.66	MU/D=\$0.10 +FEES PER CONFIRM
209	03/14/2012	5000.000	CROWN CASTLE INTL CORP	\$51.876		\$259,323.33		\$2,654.67	MU/D=\$0.52 +FEES PER CONFIRM; SHORT
210	03/14/2012	10000.000	KB HOME	\$12.281		\$122,752.81		\$1,254.67	MU/D=\$0.12 +FEES PER CONFIRM; SHORT
211	03/14/2012	9000.000	LENNAR CORP	\$26.101		\$234,854.77		\$2,394.23	COMM +FEES PER CONFIRM; SHORT
212	03/14/2012	3000.000	WHOLE FOODS MARKET INC	\$85.861	\$257,634.15			\$2,599.95	MU/D=\$0.85 +FEES PER CONFIRM
213	03/20/2012	8000.000	KB HOME	\$11.749	\$94,041.95			\$849.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
214	03/20/2012	1000.000	PNC FINANCIAL SERVICES GROUP INC	\$63.150		\$63,098.90		\$451.10	MU/D=\$0.40 +FEES PER CONFIRM
215	03/21/2012	1000.000	AMAZON.COM INC	\$192.381		\$192,227.28		\$153.42	COMM +FEES PER CONFIRM
216	03/21/2012	3000.000	BANK OF AMERICA CORP	\$9.680		\$28,989.81		\$500.49	MU/D=\$0.15 +FEES PER CONFIRM
217	03/21/2012	1000.000	PNC FINANCIAL SERVICES GROUP INC	\$63.210		\$63,159.10		\$451.10	MU/D=\$0.40 +FEES PER CONFIRM
218	03/21/2012	2000.000	WELLS FARGO & CO	\$33.860		\$67,668.87		\$551.18	MU/D=\$0.25 +FEES PER CONFIRM
219	03/22/2012	2000.000	KB HOME	\$11.199	\$22,447.75			\$249.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
220	03/22/2012	5000.000	LENNAR CORP	\$25.939	\$129,745.00			\$50.00	COMM +FEES PER CONFIRM; COVER
221	03/22/2012	5000.000	LENNAR CORP	\$25.909	\$129,645.45			\$99.95	COMM +FEES PER CONFIRM; COVER
222	03/27/2012	2000.000	BANK OF AMERICA CORP	\$9.740		\$19,429.69		\$250.31	MU/D=\$0.10 +FEES PER CONFIRM
223	03/27/2012	5000.000	CITIGROUP INC	\$37.041		\$185,151.70		\$553.30	MU/D=\$0.10 +FEES PER CONFIRM; SHORT
224	03/27/2012	5000.000	JP MORGAN CHASE & CO	\$46.170		\$230,795.88		\$554.12	MU/D=\$0.10 +FEES PER CONFIRM; SHORT
225	03/29/2012	2500.000	CATERPILLAR INC	\$105.496	\$263,790.81			\$1,299.95	MU/D=\$0.50 +FEES PER CONFIRM
226	03/29/2012	5000.000	CITIGROUP INC	\$36.179	\$181,042.95			\$149.95	COMM +FEES PER CONFIRM; COVER
227	03/29/2012	50000.000	INTEL CORP	\$27.758	\$1,388,039.95			\$149.95	COMM +FEES PER CONFIRM; COVER

## Trade Transactions Chronology

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
228	03/29/2012	1000.000	INTL BUSINESS MACHINES CORP	\$209.369	\$209,418.84			\$1,049.95	MU/D=\$0.10 +FEES PER CONFIRM
229	03/29/2012	5000.000	JP MORGAN CHASE & CO	\$45.650	\$228,399.45			\$149.95	COMM +FEES PER CONFIRM; COVER
230	03/30/2012	5000.000	HOME DEPOT INC	\$50.020		\$250,044.41		\$1,305.59	MU/D=\$0.25 +FEES PER CONFIRM; SHORT
231	03/30/2012	7000.000	LOWES COMPANIES INC	\$31.270		\$218,835.12		\$1,104.88	MU/D=\$0.15 +FEES PER CONFIRM; SHORT
232	03/30/2012	12000.000	MORGAN STANLEY	\$19.557		\$234,631.81		\$1,255.24	MU/D=\$0.10 +FEES PER CONFIRM; SHORT
233	03/30/2012	4000.000	PNC FINANCIAL SERVICES GROUP INC	\$64.036		\$256,088.28		\$1,335.72	MU/D=\$0.32 +FEES PER CONFIRM; SHORT
234	03/30/2012	2000.000	VISA INC CL A	\$117.533		\$235,010.75		\$1,235.25	MU/D=\$0.59 +FEES PER CONFIRM; SHORT
235	04/02/2012	5000.000	ALLIANCE HOLDING GROUP LP	\$40.892		\$204,404.89		\$1,054.56	MU/D=\$0.20 +FEES PER CONFIRM; SHORT
236	04/02/2012	2500.000	CATERPILLAR INC	\$107.648		\$269,064.73		\$305.99	MU/D=\$0.10 +FEES PER CONFIRM
237	04/02/2012	5000.000	LINEAR TECHNOLOGY CORP	\$32.910		\$164,496.93		\$903.66	MU/D=\$0.17 +FEES PER CONFIRM; SHORT
238	04/02/2012	5000.000	TEXAS INSTRUMENTS INC	\$33.160		\$165,746.31		\$903.69	MU/D=\$0.17 +FEES PER CONFIRM; SHORT
239	04/04/2012	5000.000	ALLIANCE HOLDING GROUP LP	\$41.969	\$209,995.45			\$149.95	COMM +FEES PER CONFIRM; COVER
240	04/04/2012	5000.000	CROWN CASTLE INTL CORP	\$52.618	\$263,241.45			\$149.95	COMM +FEES PER CONFIRM; COVER
241	04/04/2012	5000.000	HOME DEPOT INC	\$49.668	\$248,487.89			\$150.39	COMM +FEES PER CONFIRM; COVER
242	04/04/2012	1000.000	INTL BUSINESS MACHINES CORP	\$205.542		\$205,387.56		\$154.54	COMM +FEES PER CONFIRM
243	04/04/2012	5000.000	LINEAR TECHNOLOGY CORP	\$32.179	\$160,946.95			\$549.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
244	04/04/2012	8000.000	LOWES COMPANIES INC	\$30.700	\$245,749.95			\$149.95	COMM +FEES PER CONFIRM; COVER
245	04/04/2012	12000.000	MORGAN STANLEY	\$18.818	\$225,860.97			\$1,249.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
246	04/04/2012	4000.000	PNC FINANCIAL SERVICES GROUP INC	\$64.041	\$256,312.79			\$149.99	COMM +FEES PER CONFIRM; COVER
247	04/04/2012	5000.000	TEXAS INSTRUMENTS INC	\$32.175	\$160,923.17			\$549.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
248	04/04/2012	2000.000	VISA INC CL A	\$118.778	\$237,705.95			\$149.95	COMM +FEES PER CONFIRM; COVER
249	04/04/2012	3000.000	WHOLE FOODS MARKET INC	\$82.110		\$246,174.83		\$155.47	COMM +FEES PER CONFIRM
250	04/11/2012	10000.000	BANK OF AMERICA CORP	\$8.900	\$89,049.95			\$4,049.95	MU/D=\$0.04 +FEES PER CONFIRM
251	04/11/2012	2000.000	CATERPILLAR INC	\$102.139	\$204,328.84			\$1,049.95	MU/D=\$0.50 +FEES PER CONFIRM

## Trade Transactions Chronology

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
252	04/11/2012		7500.000 LENNAR CORP	\$25.450		\$190,822.25		\$954.25	MU/D=\$0.12 +FEES PER CONFIRM; SHORT
253	04/11/2012	10000.000	MICRON TECHNOLOGY INC	\$7.200	\$72,049.95			\$349.95	MU/D=\$0.03 +FEES PER CONFIRM
254	04/11/2012		5000.000 MICROSOFT CORP	\$30.200		\$150,946.65		\$803.35	MU/D=\$0.15 +FEES PER CONFIRM; SHORT
255	04/12/2012	5000.000	FREEPORT MCMORAN COPPER & GOLD	\$38.110	\$190,599.95			\$1,049.95	MU/D=\$0.20 +FEES PER CONFIRM
256	04/12/2012	10000.000	LOWES COMPANIES INC	\$31.420		\$314,142.97		\$1,557.03	MU/D=\$0.15 +FEES PER CONFIRM; SHORT
257	04/13/2012		2000.000 CATERPILLAR INC	\$105.370		\$210,684.41		\$1,054.70	MU/D=\$0.50 +FEES PER CONFIRM
258	04/13/2012	5000.000	INTEL CORP	\$28.350	\$141,799.81			\$749.95	MU/D=\$0.14 +FEES PER CONFIRM
259	04/13/2012	5000.000	JP MORGAN CHASE & CO	\$43.370	\$216,899.45			\$1,099.95	MU/D=\$0.21 +FEES PER CONFIRM
260	04/17/2012		5000.000 LENNAR CORP	\$25.731		\$128,604.15		\$702.85	MU/D=\$0.13 +FEES PER CONFIRM; SHORT
261	04/18/2012	4000.000	AMERICAN EXPRESS CO	\$58.669	\$234,726.00			\$1,249.55	MU/D=\$0.299 +FEES PER CONFIRM
262	04/18/2012		5000.000 HOME DEPOT INC	\$51.480		\$257,344.25		\$1,355.75	MU/D=\$0.26 +FEES PER CONFIRM; SHORT
263	04/19/2012	5000.000	JP MORGAN CHASE & CO	\$43.070	\$215,399.45			\$1,049.95	MU/D=\$0.20 +FEES PER CONFIRM
264	04/19/2012	12500.000	LENNAR CORP	\$24.800	\$310,045.15			\$1,298.70	MU/D=\$0.0999 +FEES PER CONFIRM; COVER
265	04/20/2012	1000.000	HOME DEPOT INC	\$51.480	\$51,529.95			\$49.95	COMM +FEES PER CONFIRM; COVER
266	04/20/2012		5000.000 LENNAR CORP	\$25.530		\$127,597.17		\$702.83	MU/D=\$0.13 +FEES PER CONFIRM; SHORT
267	04/23/2012	4000.000	HOME DEPOT INC	\$50.846	\$203,433.53			\$449.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
268	04/23/2012	5000.000	LENNAR CORP	\$24.640	\$123,249.95			\$549.95	MU/D=\$0.10 +FEES PER CONFIRM COVER
269	04/23/2012	10000.000	LOWES COMPANIES INC	\$31.046	\$310,512.93			\$549.95	MU/D=\$0.05 +FEES PER CONFIRM COVER
270	04/24/2012		10000.000 LENNAR CORP	\$25.392		\$253,862.13		\$1,355.67	MU/D=\$0.13 +FEES PER CONFIRM SHORT
271	04/24/2012		10000.000 TOLL BROTHERS INC	\$23.338		\$233,329.65		\$1,255.21	MU/D=\$0.12 +FEES PER CONFIRM; SHORT
272	04/25/2012		4000.000 AMERICAN EXPRESS CO	\$58.791		\$235,107.86		\$255.23	MU/D=\$0.05 +FEES PER CONFIRM
273	04/25/2012		10000.000 JP MORGAN CHASE & CO	\$43.310		\$432,940.34		\$159.66	COMM +FEES PER CONFIRM
274	04/25/2012		5000.000 MICROSOFT CORP	\$32.260		\$161,146.43		\$153.57	COMM +FEES PER CONFIRM; SHORT
275	04/27/2012		10000.000 LENNAR CORP	\$28.330		\$283,246.13		\$1,056.32	MU/D=\$0.10 +FEES PER CONFIRM; SHORT

## Trade Transactions Chronology

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
276	04/27/2012		10000.000 TOLL BROTHERS INC	\$25.396		\$253,905.43		\$1,055.67	MU/D=\$0.10 +FEES PER CONFIRM; SHORT
277	05/01/2012		5000.000 FREEPORT MCMORAN COPPER & GOLD	\$38.250		\$191,196.15		\$304.24	MU/D=\$0.05 +FEES PER CONFIRM
278	05/01/2012		5000.000 INTEL CORP	\$28.790		\$143,897.81		\$553.19	MU/D=\$0.10 +FEES PER CONFIRM
279	05/01/2012		10000.000 LENNAR CORP	\$28.630		\$286,143.96		\$156.37	COMM +FEES PER CONFIRM; SHORT
280	05/01/2012	10000.000	LENNAR CORP	\$28.388	\$284,029.95			\$149.95	COMM +FEES PER CONFIRM COVER
281	05/01/2012		10000.000 TOLL BROTHERS INC	\$26.003		\$259,869.83		\$155.78	COMM +FEES PER CONFIRM; SHORT
282	05/01/2012	10000.000	TOLL BROTHERS INC	\$25.918	\$259,324.95			\$149.95	COMM +FEES PER CONFIRM) COVER
283	05/02/2012		10000.000 LENNAR CORP	\$29.490		\$294,744.44		\$156.56	COMM +FEES PER CONFIRM; SHORT
284	05/02/2012	10000.000	LENNAR CORP	\$29.207	\$292,124.45			\$1,049.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
285	05/02/2012		10000.000 TOLL BROTHERS INC	\$26.565		\$265,496.09		\$155.91	COMM +FEES PER CONFIRM; SHORT
286	05/02/2012	10000.000	TOLL BROTHERS INC	\$26.319	\$263,236.95			\$1,049.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
287	05/03/2012	20000.000	BANK OF AMERICA CORP	\$8.040	\$160,849.95			\$849.95	MU/D=\$0.04 +FEES PER CONFIRM
288	05/03/2012	5000.000	MICROSOFT CORP	\$31.940	\$159,749.45			\$549.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
289	05/07/2012	2000.000	CATERPILLAR INC	\$98.274	\$196,597.53			\$1,049.95	MU/D=\$0.50 +FEES PER CONFIRM
290	05/07/2012		5000.000 HOME DEPOT INC	\$51.736		\$258,622.75		\$1,055.75	MU/D=\$0.20 +FEES PER CONFIRM; SHORT
291	05/07/2012	10000.000	MICRON TECHNOLOGY INC	\$6.690	\$66,949.95			\$149.95	MU/D=\$0.01 +FEES PER CONFIRM
292	05/08/2012	700.000	APPLE INC	\$563.390	\$394,522.88			\$149.95	COMM +FEES PER CONFIRM
293	05/08/2012	5000.000	HOME DEPOT INC	\$50.380	\$251,949.45			\$1,299.95	MU/D=\$0.25 +FEES PER CONFIRM; COVER
294	05/08/2012	5000.000	MICROSOFT CORP	\$30.450	\$152,399.45			\$149.95	COMM +FEES PER CONFIRM; COVER
295	05/09/2012	1800.000	APPLE INC	\$572.930	\$1,031,423.77			\$149.95	COMM +FEES PER CONFIRM
296	05/09/2012	20000.000	LENNAR CORP	\$28.517	\$570,498.19			\$150.19	COMM +FEES PER CONFIRM; COVER
297	05/09/2012	20000.000	TOLL BROTHERS INC	\$26.153	\$523,209.97			\$149.97	COMM +FEES PER CONFIRM; COVER
298	05/18/2012	7500.000	FACEBOOK INC CL A	\$42.500	\$318,799.95			\$3,799.95	MU/D=\$0.50 +FEES PER CONFIRM
299	05/21/2012		3750.000 FACEBOOK INC CL A	\$34.050		\$127,534.91		\$152.82	COMM +FEES PER CONFIRM
300	05/23/2012	1000.000	APPLE INC	\$559.700	\$559,849.85			\$149.95	COMM +FEES PER CONFIRM



## Trade Transactions Chronology

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
301	05/23/2012								
		20000.000	BANK OF AMERICA CORP	\$6.910		\$138,046.95		\$153.05	COMM +FEES PER CONFIRM
302	05/23/2012								
		1500.000	CATERPILLAR INC	\$90.395		\$135,440.09		\$152.99	COMM +FEES PER CONFIRM
303	05/23/2012								
		15000.000	MICRON TECHNOLOGY INC	\$5.680		\$85,048.14		\$151.86	COMM +FEES PER CONFIRM
304	05/23/2012	1000.000	RECV ZIOPHARM ONCOLOGY INC	\$5.110	\$5,110.00			\$0.00	VALUED PER MARKETWATCH
305	05/24/2012	100.000	RECV CORNING INC	\$12.810	\$1,281.00			\$0.00	VALUED PER MARKETWATCH
306	05/24/2012	1000.000	RECV HANSEN MEDICAL INC	\$2.560	\$2,560.00			\$0.00	VALUED PER MARKETWATCH
307	05/24/2012	25.000	RECV NYSE EURONEXT	\$24.500	\$612.50			\$0.00	VALUED PER GOOGLE FINANCE
308	05/24/2012	200.000	RECV YAMANA GOLD INC	\$14.460	\$2,892.00			\$0.00	VALUED PER MARKETWATCH
309	05/29/2012								
		3500.000	APPLE INC	\$571.879		\$2,001,483.07		\$1,844.83	MU/D=\$0.50 +FEES PER CONFIRM
310	05/30/2012	1500.000	APPLE INC	\$577.723	\$866,684.98			\$100.00	COMM +FEES PER CONFIRM
311	05/30/2012	1000.000	APPLE INC	\$569.057	\$569,206.95			\$149.95	COMM +FEES PER CONFIRM
312	05/30/2012	3750.000	FACEBOOK INC CL A	\$28.500	\$107,024.95			\$149.95	COMM +FEES PER CONFIRM
313	05/31/2012								
		2500.000	APPLE INC	\$577.690		\$1,444,143.17		\$1,332.33	MU/D=\$0.50 +FEES PER CONFIRM
314	06/01/2012	2500.000	APPLE INC	\$566.826	\$1,417,216.15			\$149.95	COMM +FEES PER CONFIRM
315	06/01/2012	2500.000	APPLE INC	\$561.390	\$1,403,574.75			\$100.00	COMM +FEES PER CONFIRM
316	06/01/2012								
		5000.000	APPLE INC	\$561.537		\$2,807,474.40		\$212.60	COMM +FEES PER CONFIRM
317	06/04/2012	5000.000	APPLE INC	\$554.627	\$2,773,283.79			\$149.95	COMM +FEES PER CONFIRM
318	06/04/2012								
		5000.000	APPLE INC	\$558.799		\$2,793,880.85		\$5,112.65	MU/D=\$1.00 +FEES PER CONFIRM
319	06/05/2012	5000.000	APPLE INC	\$561.580	\$2,808,051.45			\$149.95	COMM +FEES PER CONFIRM
320	06/05/2012								
		5000.000	APPLE INC	\$563.862		\$2,819,196.29		\$2,613.16	MU/D=\$0.50 +FEES PER CONFIRM
321	06/06/2012								
		5000.000	APPLE INC	\$570.832		\$2,854,047.31		\$113.89	COMM +FEES PER CONFIRM; SHORT
322	06/06/2012	5000.000	APPLE INC	\$571.410	\$2,857,198.05			\$149.95	COMM +FEES PER CONFIRM; COVER
323	06/11/2012	2500.000	APPLE INC	\$586.440	\$1,466,249.70			\$149.95	COMM +FEES PER CONFIRM
324	06/11/2012								
		200.000	YAMANA GOLD INC	\$15.830		\$3,065.97		\$100.03	COMM +FEES PER CONFIRM
325	06/11/2012	1000.000	ZIOPHARM ONCOLOGY INC	\$5.381		\$5,231.18		\$150.08	COMM +FEES PER CONFIRM
326	06/12/2012								
		2500.000	APPLE INC	\$572.174		\$1,430,253.55		\$182.00	COMM +FEES PER CONFIRM; SHORT
327	06/12/2012								
		2500.000	APPLE INC	\$568.311		\$1,420,596.30		\$181.78	COMM +FEES PER CONFIRM
328	06/12/2012	1000.000	HANSEN MEDICAL INC	\$2.140		\$2,070.10		\$70.00	COMM +FEES PER CONFIRM
329	06/15/2012	2500.000	APPLE INC	\$570.680	\$1,426,849.70			\$149.95	COMM +FEES PER CONFIRM; COVER

## Trade Transactions Chronology

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
330	06/18/2012	2500.000	APPLE INC	\$586.500		\$1,466,067.20		\$182.80	COMM +FEES PER CONFIRM; SHORT
331	06/18/2012	2500.000	APPLE INC	\$586.180	\$1,465,599.70			\$149.95	COMM +FEES PER CONFIRM; COVER
332	06/19/2012	2500.000	APPLE INC	\$587.410		\$1,468,342.40		\$182.85	COMM +FEES PER CONFIRM SHORT
333	06/19/2012	2500.000	APPLE INC	\$585.923		\$1,464,624.23		\$182.80	COMM +FEES PER CONFIRM SHORT
334	06/19/2012	5000.000	APPLE INC	\$587.201	\$2,936,156.27			\$149.95	COMM +FEES PER CONFIRM; COVER
335	06/20/2012	3750.000	FACEBOOK INC CLA	\$31.377		\$117,610.89		\$802.61	MU/D=\$0.20 +FEES PER CONFIRM
336	06/21/2012	2500.000	APPLE INC	\$582.667	\$1,456,818.48			\$149.95	COMM +FEES PER CONFIRM
337	06/21/2012	2500.000	APPLE INC	\$577.964		\$1,444,828.47		\$82.32	COMM +FEES PER CONFIRM
338	06/25/2012	1000.000	APPLE INC	\$573.230	\$573,379.50			\$149.95	COMM +FEES PER CONFIRM
339	06/25/2012	2000.000	CATERPILLAR INC	\$82.879	\$165,908.47			\$149.95	COMM +FEES PER CONFIRM
340	06/25/2012	5000.000	MICROSOFT CORP	\$29.780	\$149,049.95			\$149.95	COMM +FEES PER CONFIRM
341	06/27/2012	1000.000	APPLE INC	\$573.869	\$574,018.50			\$149.95	COMM +FEES PER CONFIRM
342	06/29/2012	2000.000	APPLE INC	\$579.117		\$1,158,157.06		\$2,075.94	MU/D=\$1.00 +FEES PER CONFIRM
343	06/29/2012	5000.000	MICROSOFT CORP	\$30.400		\$151,947.13		\$553.37	MU/D=\$0.10 +FEES PER CONFIRM
344	07/03/2012	10000.000	BANK OF AMERICA CORP	\$8.100	\$81,149.95			\$149.95	COMM +FEES PER CONFIRM
345	07/03/2012	2500.000	CATERPILLAR INC	\$86.590	\$216,624.95			\$149.95	COMM +FEES PER CONFIRM
346	07/03/2012	2500.000	HOME DEPOT INC	\$51.550		\$128,823.04		\$677.86	MU/D=\$0.25 +FEES PER CONFIRM; SHORT
347	07/03/2012	5000.000	LOWES COMPANIES INC	\$27.732		\$138,607.83		\$553.07	MU/D=\$0.10 +FEES PER CONFIRM; SHORT
348	07/03/2012	15000.000	MICRON TECHNOLOGY INC	\$6.880	\$103,349.95			\$149.95	COMM +FEES PER CONFIRM
349	07/03/2012	2500.000	WAL-MART STORES INC	\$70.271		\$175,622.81		\$678.90	MU/D=\$0.25 +FEES PER CONFIRM; SHORT
350	07/09/2012	1000.000	APPLE INC	\$613.620	\$613,669.86			\$1,049.85	MU/D=\$0.9999 +FEES PER CONFIRM
351	07/10/2012	5000.000	LOWES COMPANIES INC	\$27.210	\$136,099.45			\$549.95	MU/D=\$0.10 +FEES PER CONFIRM; COVER
352	07/11/2012	300.000	APPLE INC	\$599.499	\$179,899.55			\$349.92	MU/D=\$0.9999 +FEES PER CONFIRM
353	07/13/2012	6000.000	CITIGROUP INC	\$26.790	\$160,789.95			\$649.95	MU/D=\$0.10 +FEES PER CONFIRM
354	07/13/2012	2500.000	WAL-MART STORES INC	\$73.150	\$183,024.82			\$149.95	COMM +FEES PER CONFIRM; COVER
355	07/16/2012	300.000	APPLE INC	\$608.690		\$182,552.98		\$354.05	MU/D=\$1.00 +FEES PER CONFIRM

## Trade Transactions Chronology

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Std/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
356	07/16/2012	2500.000	HOME DEPOT INC	\$51.448	\$128,769.81			\$149.95	COMM +FEES PER CONFIRM; COVER
357	07/18/2012	500.000	APPLE INC	\$606.270		\$302,978.30		\$156.75	COMM CALC (Bonds @ 2.5%)
358	07/18/2012	6000.000	CITIGROUP INC	\$27.180		\$163,026.39		\$53.61	COMM CALC (Bonds @ 2.5%)
359	07/24/2012	1000.000	APPLE INC	\$601.839	\$601,888.75			\$49.95	COMM CALC (Bonds @ 2.5%)
360	07/24/2012	20000.000	BANK OF AMERICA CORP	\$7.010		\$140,046.90		\$153.10	COMM CALC (Bonds @ 2.5%)
361	07/24/2012	5000.000	CATERPILLAR INC	\$80.849		\$404,083.61		\$158.89	COMM CALC (Bonds @ 2.5%)
362	07/24/2012	100.000	CORNING INC	\$12.000		\$1,150.03		\$49.98	COMM CALC (Bonds @ 2.5%)
363	07/24/2012	3750.000	FACEBOOK INC CL A	\$28.550		\$106,911.40		\$152.23	COMM CALC (Bonds @ 2.5%)
364	07/24/2012	20000.000	MICRON TECHNOLOGY INC	\$5.660		\$113,047.51		\$152.49	COMM CALC (Bonds @ 2.5%)
365	07/24/2012	25.000	NYSE EURONEXT	\$25.210		\$580.28		\$49.97	COMM CALC (Bonds @ 2.5%)
366	07/31/2012	1000.000	APPLE INC	\$610.080		\$610,016.46		\$813.64	MU/D=\$0.75 +FEES PER CONFIRM
367	08/02/2012	1000.000	APPLE INC	\$604.258	\$604,408.11			\$149.95	COMM +FEES PER CONFIRM
368	08/03/2012	1000.000	APPLE INC	\$616.554		\$616,490.41		\$1,063.79	MU/D=\$1.00 +FEES PER CONFIRM
369	08/03/2012	500.000	APPLE INC	\$615.219		\$307,602.37		\$500.00	MU/D=\$1.00 +FEES PER CONFIRM
370	08/14/2012	5000.000	LENNAR CORP	\$31.165		\$155,773.28		\$553.49	MU/D=\$0.10 +FEES PER CONFIRM; SHORT
371	08/14/2012	5000.000	TOLL BROTHERS INC	\$30.342		\$151,657.44		\$553.36	MU/D=\$0.10 +FEES PER CONFIRM; SHORT
372	08/16/2012	7500.000	FREEPORT MCMORAN COPPER & GOLD	\$35.517	\$266,430.59			\$124.95	MU/D=\$0.01 +FEES PER CONFIRM
373	08/16/2012	7500.000	JP MORGAN CHASE & CO	\$37.010		\$277,518.81		\$806.19	MU/D=\$0.10 +FEES PER CONFIRM; SHORT
374	08/21/2012	7500.000	FREEPORT MCMORAN COPPER & GOLD	\$36.832		\$276,180.51		\$1,556.18	MU/D=\$0.20 +FEES PER CONFIRM
375	08/22/2012	8000.000	WELLS FARGO & CO	\$34.490	\$275,969.95			\$1,649.95	MU/D=\$0.20 +FEES PER CONFIRM
376	08/28/2012	7500.000	JP MORGAN CHASE & CO	\$37.290	\$279,824.28			\$150.03	COMM CALC (Bonds @ 2.5%) COVER
377	08/28/2012	4000.000	WELLS FARGO & CO	\$34.470	\$137,929.55			\$49.95	COMM CALC (Bonds @ 2.5%)
378	08/29/2012	4000.000	WELLS FARGO & CO	\$34.610	\$138,489.55			\$2,049.95	MU/D=\$0.50 +FEES PER CONFIRM
379	08/30/2012	7500.000	FREEPORT MCMORAN COPPER & GOLD	\$35.020	\$262,699.38			\$2,674.95	MU/D=\$0.35 +FEES PER CONFIRM
380	08/30/2012	5000.000	LENNAR CORP	\$32.139	\$160,842.94			\$149.95	COMM +FEES PER CONFIRM; COVER
381	08/30/2012	5000.000	TOLL BROTHERS INC	\$32.440	\$162,348.89			\$149.95	COMM +FEES PER CONFIRM; COVER
382	09/06/2012	7500.000	FREEPORT MCMORAN COPPER & GOLD	\$36.394		\$272,901.91		\$1,181.09	MU/D=\$0.15 +FEES PER CONFIRM
383	09/06/2012	16000.000	WELLS FARGO & CO	\$34.700		\$555,137.58		\$1,342.42	MU/D=\$0.08 +FEES PER CONFIRM
384	09/11/2012	1000.000	APPLE INC	\$662.732	\$662,731.80			\$3,000.00	MU/D=\$3.00 +FEES PER CONFIRM

## Trade Transactions Chronology

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
385	09/11/2012	1000.000	APPLE INC	\$660.923	\$660,973.19			\$3,049.85	MU/D=\$2.9999 +FEES PER CONFIRM
386	09/26/2012	2000.000	APPLE INC	\$663.000	\$1,326,149.95			\$149.95	COMM +FEES PER CONFIRM
387	09/26/2012	2000.000	APPLE INC	\$668.352		\$1,336,624.08		\$2,079.94	MU/D=\$1.00 +FEES PER CONFIRM
388	09/28/2012	2000.000	APPLE INC	\$674.407	\$1,348,964.05			\$149.95	COMM +FEES PER CONFIRM
389	09/28/2012	2000.000	APPLE INC	\$669.138		\$1,338,096.28		\$179.93	COMM +FEES PER CONFIRM
390	10/08/2012	2000.000	APPLE INC	\$639.557	\$1,279,264.30			\$149.95	COMM +FEES PER CONFIRM
391	10/08/2012	2000.000	APPLE INC	\$638.486		\$1,276,793.05		\$178.56	COMM +FEES PER CONFIRM
392	10/10/2012	2000.000	APPLE INC	\$642.000	\$1,284,149.93			\$150.13	COMM CALC (Bonds @ 2.5%)
393	10/10/2012	2000.000	APPLE INC	\$640.994		\$1,281,809.34		\$178.66	COMM CALC (Bonds @ 2.5%)
394	10/11/2012	2000.000	APPLE INC	\$630.549	\$1,261,248.83			\$150.03	COMM CALC (Bonds @ 2.5%)
395	10/11/2012	2000.000	APPLE INC	\$628.748		\$1,257,318.44		\$177.96	COMM CALC (Bonds @ 2.5%)
396	10/15/2012	1900.000	APPLE INC	\$630.930	\$1,198,916.76			\$149.95	COMM +FEES PER CONFIRM
397	10/15/2012	1900.000	APPLE INC	\$628.690	\$1,194,660.94			\$149.95	COMM +FEES PER CONFIRM
398	10/15/2012	1900.000	APPLE INC	\$633.793		\$1,204,128.80		\$1,501.96	MU/D=\$0.75 +FEES PER CONFIRM
399	10/15/2012	1900.000	APPLE INC	\$629.712		\$1,196,376.51		\$551.77	MU/D=\$0.25 +FEES PER CONFIRM
400	10/17/2012	1900.000	APPLE INC	\$651.004	\$1,237,056.60			\$149.95	COMM +FEES PER CONFIRM
401	10/17/2012	1900.000	APPLE INC	\$645.272		\$1,225,839.57		\$177.42	COMM +FEES PER CONFIRM
402	10/18/2012	1900.000	APPLE INC	\$637.359	\$1,211,081.34			\$100.00	COMM +FEES PER CONFIRM
403	10/18/2012	1900.000	APPLE INC	\$632.081		\$1,200,776.17		\$176.86	COMM +FEES PER CONFIRM
404	10/19/2012	1900.000	APPLE INC	\$619.091	\$1,176,422.85			\$149.95	COMM +FEES PER CONFIRM
405	10/19/2012	1900.000	APPLE INC	\$610.972		\$1,160,671.21		\$175.96	COMM +FEES PER CONFIRM
406	10/22/2012	2000.000	APPLE INC	\$634.846	\$1,269,742.35			\$8,049.95	MU/D=\$4.00 +FEES PER CONFIRM
407	10/25/2012	1000.000	APPLE INC	\$607.250		\$607,186.86		\$63.56	COMM +FEES PER CONFIRM
408	11/06/2012	585.000	APPLE INC	\$584.450		\$341,895.65		\$7.66	NO COMM +FEES PER CONFIRM
409	11/06/2012	500.000	APPLE INC	\$584.490		\$292,188.71		\$56.50	COMM +FEES PER CONFIRM
410	11/12/2012	80.000	APPLE INC	\$540.700		\$43,205.09		\$50.92	COMM +FEES PER CONFIRM
411	11/13/2012	135.000	APPLE INC	\$544.510		\$73,457.26		\$51.59	COMM CALC (Bonds @ 2.5%)
412	11/14/2012	105.000	APPLE INC	\$542.700		\$56,932.28		\$51.23	COMM CALC (Bonds @ 2.5%)
413	12/10/2012	DELV	1595.000	APPLE INC	\$529.821			\$845,064.34	\$0.00 VALUED PER MARKETWATCH

### Trade Transactions Chronology

Account Name: SAMPLE REPORT  
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Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Accr Int	Commission	Comments
413			NET TRADING RESULT:			<u>(\$581,354.63)</u>		<u>\$501,194.11</u>	

Note: U = Unsolicited

## Cash Transactions Chronology

Account Name: SAMPLE REPORT  
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Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Comments
1 04/30/2010			DEPOSIT			\$4,915.00	
2 05/14/2010			DEPOSIT			\$40,475.00	
3 05/19/2010			LEGENT INSURED DEPOSIT FD			\$0.12	DIVIDEND
4 05/27/2010			MARGIN INTEREST		\$67.45		
5 05/31/2010			MARGIN INTEREST		\$63.91		
6 06/30/2010			MARGIN INTEREST		\$227.02		
7 07/09/2010			LEGENT INSURED DEPOSIT FD			\$0.21	DIVIDEND
8 07/30/2010			STOCK LOAN FEE		\$20.44		
9 07/31/2010			MARGIN INTEREST		\$166.53		
10 08/27/2010			STOCK LOAN FEE		\$53.19		
11 08/27/2010			STOCK LOAN FEE		\$18.39		
12 08/31/2010			MARGIN INTEREST		\$267.55		
13 09/09/2010			DEPOSIT			\$95,000.00	
14 09/30/2010			MARGIN INTEREST		\$821.99		
15 10/27/2010			DEPOSIT			\$120,000.00	
16 10/31/2010			MARGIN INTEREST		\$496.70		
17 11/10/2010			DEBIT TRANSFER IN		\$35.00		
18 11/10/2010			DEBIT TRANSFER IN		\$4.69		
19 11/10/2010	2200.000	RECV	GIGMEDIA LTD	\$1.740		\$3,828.00	VALUED PER MARKETWATCH
20 11/10/2010	800.000	RECV	NOVATEL WIRELESS INC	\$10.320		\$8,256.00	VALUED PER MARKETWATCH
21 11/10/2010	400.000	RECV	DYNERGY INC	\$4.500		\$1,800.00	VALUED PER MARKETWATCH
22 11/12/2010			LEGENT INSURED DEPOSIT FD			\$0.43	DIVIDEND
23 11/30/2010			STOCK LOAN FEE		\$354.31		
24 11/30/2010			MARGIN INTEREST		\$526.71		
25 12/13/2010			DEPOSIT			\$100,000.00	
26 12/27/2010			BANK OF AMERICA CORP			\$100.00	DIVIDEND
27 12/30/2010			STOCK LOAN FEE		\$33.99		
28 12/30/2010			DEPOSIT			\$75,000.00	
29 12/30/2010			STOCK LOAN FEE		\$82.50		
30 12/31/2010			MARGIN INTEREST		\$1,683.62		
31 01/14/2011			STOCK LOAN FEE		\$3.21		
32 01/14/2011			STOCK LOAN FEE		\$3.50		

## Cash Transactions Chronology

Account Name: SAMPLE REPORT  
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Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Comments
33	01/31/2011		MARGIN INTEREST		\$2,366.12		
34	01/31/2011		ANNUAL FEE		\$75.00		
35	02/28/2011		STOCK LOAN FEE		\$32.57		
36	02/28/2011		STOCK LOAN FEE		\$34.38		
37	02/28/2011		STOCK LOAN FEE		\$37.35		
38	02/28/2011		MARGIN INTEREST		\$2,131.74		
39	03/31/2011		MARGIN INTEREST		\$2,296.87		
40	04/19/2011		DEPOSIT			\$105,500.00	
41	04/29/2011		DEPOSIT			\$50,000.00	
42	04/30/2011		MARGIN INTEREST		\$2,175.71		
43	05/31/2011		MARGIN INTEREST		\$2,885.01		
44	06/30/2011		MARGIN INTEREST		\$1,894.75		
45	07/12/2011		DEPOSIT			\$210,000.00	
46	07/31/2011		MARGIN INTEREST		\$2,036.35		
47	08/01/2011		FREEPORT MCMORAN COPPER & GOLD			\$62.50	DIVIDEND
48	08/03/2011		WIRE FEE		\$20.00		
49	08/03/2011		CHK ISS #CS00237173		\$110,000.00		
50	08/16/2011		OVERNIGHT FEE		\$20.00		
51	08/16/2011		CHK ISS #CS00237825		\$34,980.00		
52	08/25/2011		LEGENT INSURED DEPOSIT FD			\$2.31	DIVIDEND
53	08/31/2011		MARGIN INTEREST		\$1,466.48		
54	09/30/2011		MARGIN INTEREST		\$1,307.04		
55	10/28/2011		DEPOSIT			\$190,000.00	
56	10/31/2011		MARGIN INTEREST		\$2,264.26		
57	11/14/2011		CHK ISS #CS00243211		\$215,000.00		
58	11/15/2011		LEGENT INSURED DEPOSIT FD			\$0.24	DIVIDEND
59	11/30/2011		MARGIN INTEREST		\$2,264.82		
60	12/01/2011		DEPOSIT			\$150,000.00	
61	12/13/2011		LEGENT INSURED DEPOSIT FD			\$0.16	DIVIDEND
62	12/15/2011		DEPOSIT			\$120,000.00	
63	12/20/2011		STOCK LOAN FEE		\$18.90		
64	12/20/2011		STOCK LOAN FEE		\$21.48		

## Cash Transactions Chronology

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Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Comments
65	12/20/2011		STOCK LOAN FEE		\$36.06		
66	12/31/2011		MARGIN INTEREST		\$2,010.06		
67	01/05/2012		DEPOSIT			\$200,000.00	
68	01/13/2012		DEPOSIT			\$340,000.00	
69	01/18/2012		DEPOSIT			\$75,000.00	
70	01/18/2012		STOCK LOAN FEE		\$55.33		
71	01/18/2012		STOCK LOAN FEE		\$103.75		
72	01/26/2012		DEPOSIT			\$300,000.00	
73	01/31/2012		MARGIN INTEREST		\$6,391.57		
74	01/31/2012		ANNUAL FEE		\$75.00		
75	02/13/2012		CHK ISS #CS00249560		\$160,000.00		
76	02/13/2012		OVERNIGHT FEE		\$20.00		
77	02/14/2012		STOCK LOAN FEE		\$17.92		
78	02/14/2012		STOCK LOAN FEE		\$30.61		
79	02/21/2012		CATERPILLAR INC			\$4,600.00	DIVIDEND
80	02/22/2012		LEGENT INSURED DEPOSIT FD			\$0.95	DIVIDEND
81	02/29/2012		MARGIN INTEREST		\$2,369.72		
82	03/01/2012		CONOCOPHILLIPS		\$6,600.00		DIVIDEND SHORT
83	03/09/2012		LEGENT INSURED DEPOSIT FD			\$0.37	DIVIDEND
84	03/13/2012		STOCK LOAN FEE		\$0.10		
85	03/13/2012		STOCK LOAN FEE		\$77.46		
86	03/13/2012		STOCK LOAN FEE		\$128.67		
87	03/13/2012		STOCK LOAN FEE		\$0.62		
88	03/13/2012		STEC INC		\$72.49		
89	03/13/2012		STOCK LOAN FEE		\$61.60		
90	03/13/2012		STOCK LOAN FEE		\$209.60		
91	03/15/2012		LEGENT INSURED DEPOSIT FD			\$0.33	DIVIDEND
92	03/20/2012		WIRE TRANSFER		\$310,000.00		
93	03/20/2012		WIRE FEE		\$20.00		
94	03/23/2012		LEGENT INSURED DEPOSIT FD			\$0.85	DIVIDEND
95	03/31/2012		MARGIN INTEREST		\$1,521.03		
96	04/13/2012		STOCK LOAN FEE		\$13.33		



## Cash Transactions Chronology

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Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Comments
97	04/13/2012		STOCK LOAN FEE		\$525.94		
98	04/13/2012		STOCK LOAN FEE		\$70.52		
99	04/13/2012		STOCK LOAN FEE		\$64.51		
100	04/16/2012		CHK ISS #CS00253310		\$320,000.00		
101	04/16/2012		OVERNIGHT FEE		\$20.00		
102	04/17/2012		WHOLE FOODS MARKET INC			\$420.00	DIVIDEND
103	04/24/2012		LEGENT INSURED DEPOSIT FD			\$4.56	DIVIDEND
104	04/30/2012		MARGIN INTEREST		\$89.41		
105	05/09/2012		LOWES COMPANIES INC		\$1,400.00		DIVIDEND SHORT
106	05/09/2012		LENNAR CORP		\$200.00		DIVIDEND SHORT
107	05/11/2012		STOCK LOAN FEE		\$37.92		
108	05/11/2012		STOCK LOAN FEE		\$198.13		
109	05/11/2012		STOCK LOAN FEE		\$141.25		
110	05/11/2012		STOCK LOAN FEE		\$18.47		
111	05/11/2012		LEGENT INSURED DEPOSIT FD			\$0.43	DIVIDEND
112	05/11/2012		STOCK LOAN FEE		\$14.41		
113	05/11/2012		STOCK LOAN FEE		\$16.45		
114	05/11/2012		STOCK LOAN FEE		\$62.87		
115	05/11/2012		STOCK LOAN FEE		\$43.04		
116	05/11/2012		STOCK LOAN FEE		\$38.67		
117	05/11/2012		STOCK LOAN FEE		\$9.94		
118	05/17/2012		DEPOSIT			\$200,000.00	
119	05/23/2012		TRANSFER CASH BALANCE			\$718.35	
120	05/23/2012	1000.000	RECV ZIOPHARM ONCOLOGY INC	\$5.110		\$5,110.00	VALUED PER MARKETWATCH
121	05/24/2012		TRANSFER CASH BALANCE		\$1,945.32		
122	05/24/2012		CHK ISS #CS00255749		\$40,000.00		
123	05/24/2012		TRANSFER CASH BALANCE		\$10.00		
124	05/24/2012		TRANSFER CASH BALANCE		\$4.59		
125	05/24/2012		OVERNIGHT FEE		\$20.00		
126	05/24/2012		TRANSFER CASH BALANCE		\$125.00		
127	05/24/2012	1000.000	RECV HANSEN MEDICAL INC	\$2.560		\$2,560.00	VALUED PER MARKETWATCH
128	05/24/2012	200.000	RECV YAMANA GOLD INC	\$14.460		\$2,892.00	VALUED PER MARKETWATCH

## Cash Transactions Chronology

Account Name: SAMPLE REPORT  
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Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Comments
129	05/24/2012	100.000	RECV CORNING INC	\$12.810		\$1,281.00	VALUED PER MARKETWATCH
130	05/24/2012	25.000	RECV NYSE EURONEXT	\$24.500		\$612.50	VALUED PER GOOGLE FINANCE
131	05/31/2012		MARGIN INTEREST		\$3,037.73		
132	06/11/2012		STOCK LOAN FEE		\$70.27		
133	06/11/2012		STOCK LOAN FEE		\$187.63		
134	06/11/2012		STOCK LOAN FEE		\$13.56		
135	06/14/2012		LEGENT INSURED DEPOSIT FD			\$1.59	DIVIDEND
136	06/18/2012		CHK ISS #CS00257054		\$50,000.00		
137	06/18/2012		OVERNIGHT FEE		\$20.00		
138	06/22/2012		BANK OF AMERICA CORP			\$100.00	DIVIDEND
139	06/25/2012		LEGENT INSURED DEPOSIT FD			\$1.37	DIVIDEND
140	06/27/2012		TRANSFER CASH BALANCE			\$3.50	
141	06/28/2012		LEGENT INSURED DEPOSIT FD			\$0.37	DIVIDEND
142	06/29/2012		NYSE EURONEXT			\$7.50	DIVIDEND
143	06/29/2012		CORNING INC			\$7.50	DIVIDEND
144	06/30/2012		MARGIN INTEREST		\$772.20		
145	07/12/2012		LEGENT INSURED DEPOSIT FD			\$0.47	DIVIDEND
146	07/17/2012		OVERNIGHT FEE		\$20.00		
147	07/17/2012		CHK ISS #CS00258936		\$187,000.00		
148	07/18/2012		OVERNIGHT FEE		\$20.00		
149	07/18/2012		CHK ISS #CS00259018		\$213,000.00		
150	07/31/2012		MARGIN INTEREST		\$2,958.27		
151	08/07/2012		LEGENT INSURED DEPOSIT FD			\$0.12	DIVIDEND
152	08/13/2012		STOCK LOAN FEE		\$6.36		
153	08/13/2012		STOCK LOAN FEE		\$6.75		
154	08/13/2012		STOCK LOAN FEE		\$11.17		
155	08/20/2012		CATERPILLAR INC			\$2,600.00	DIVIDEND
156	08/23/2012		OVERNIGHT FEE		\$20.00		
157	08/23/2012		CHK ISS #CS00261214		\$70,000.00		
158	08/24/2012		LEGENT INSURED DEPOSIT FD			\$1.74	DIVIDEND
159	08/31/2012		MARGIN INTEREST		\$419.86		
160	09/04/2012		LEGENT INSURED DEPOSIT FD			\$0.17	DIVIDEND

### Cash Transactions Chronology

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Date	Bot/Rec	Slid/Del	Description	Price	Debit	Credit	Comments
161			STOCK LOAN FEE		\$58.34		
162			STOCK LOAN FEE		\$0.57		
163			STOCK LOAN FEE		\$46.79		
164			LEGENT INSURED DEPOSIT FD			\$0.36	DIVIDEND
165			DEPOSIT			\$270,000.00	
166			MARGIN INTEREST		\$2,510.03		
167			STOCK LOAN FEE		\$7.97		
168			MARGIN INTEREST		\$5,015.82		
169			APPLE INC			\$5,074.75	DIVIDEND
170			MARGIN INTEREST		\$4,612.75		
171			TERMINATION FEE		\$50.00		
172			APPLE INC	\$529.821		\$845,064.34	VALUED PER MARKETWATCH
173	DELV	1595.000	TRANSFER DEBIT BALANCE OUT			\$50.00	
174			TRANSFER DEBIT BALANCE OUT			\$524,581.03	
175			TRANSFER CASH BALANCE		\$96.26		
176			MARGIN INTEREST		\$1,059.59		

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## Income Summary

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Date	Description	Debit	Credit	Total
1 05/19/2010	LEGENT INSURED DEPOSIT FD		\$0.12	
2 07/09/2010	LEGENT INSURED DEPOSIT FD		\$0.21	
3 11/12/2010	LEGENT INSURED DEPOSIT FD		\$0.43	
4 08/25/2011	LEGENT INSURED DEPOSIT FD		\$2.31	
5 11/15/2011	LEGENT INSURED DEPOSIT FD		\$0.24	
6 12/13/2011	LEGENT INSURED DEPOSIT FD		\$0.16	
7 02/22/2012	LEGENT INSURED DEPOSIT FD		\$0.95	
8 03/09/2012	LEGENT INSURED DEPOSIT FD		\$0.37	
9 03/15/2012	LEGENT INSURED DEPOSIT FD		\$0.33	
10 03/23/2012	LEGENT INSURED DEPOSIT FD		\$0.85	
11 04/24/2012	LEGENT INSURED DEPOSIT FD		\$4.56	
12 05/11/2012	LEGENT INSURED DEPOSIT FD		\$0.43	
13 06/14/2012	LEGENT INSURED DEPOSIT FD		\$1.59	
14 06/25/2012	LEGENT INSURED DEPOSIT FD		\$1.37	
15 06/28/2012	LEGENT INSURED DEPOSIT FD		\$0.37	
16 07/12/2012	LEGENT INSURED DEPOSIT FD		\$0.47	
17 08/07/2012	LEGENT INSURED DEPOSIT FD		\$0.12	
18 08/24/2012	LEGENT INSURED DEPOSIT FD		\$1.74	
19 09/04/2012	LEGENT INSURED DEPOSIT FD		\$0.17	
20 09/14/2012	LEGENT INSURED DEPOSIT FD		\$0.36	
				<b>\$17.15</b>
21 11/15/2012	APPLE INC		\$5,074.75	
				<b>\$5,074.75</b>
22 12/27/2010	BANK OF AMERICA CORP		\$100.00	
23 06/22/2012	BANK OF AMERICA CORP		\$100.00	
				<b>\$200.00</b>
24 02/21/2012	CATERPILLAR INC		\$4,600.00	
25 08/20/2012	CATERPILLAR INC		\$2,600.00	
				<b>\$7,200.00</b>
26 03/01/2012	CONOCOPHILLIPS	\$6,600.00		
				<b>(\$6,600.00)</b>

## Income Summary

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

Date	Description	Debit	Credit	Total
27 06/29/2012	CORNING INC		\$7.50	\$7.50
28 08/01/2011	FREEPORT MCMORAN COPPER & GOLD		\$62.50	\$62.50
29 05/09/2012	LENNAR CORP	\$200.00		(\$200.00)
30 05/09/2012	LOWES COMPANIES INC	\$1,400.00		(\$1,400.00)
31 06/29/2012	NYSE EURONEXT		\$7.50	\$7.50
32 04/17/2012	WHOLE FOODS MARKET INC		\$420.00	\$420.00
				\$420.00
			<b>TRADE DIVIDENDS AND INTEREST</b>	<b>\$4,772.25</b>
			<b>MONEY MARKET FUND INCOME</b>	<b>\$17.15</b>
			<b>TOTAL INCOME</b>	<b>\$4,789.40</b>

### Monthly Profit / (Loss)

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Month End	Mkt Val Sec Recvd	Deposits	Cash Tfr In	Mkt Val Sec Delv	Cash Withdrawn	Cash Tfr Out	Cum CR/DR	Month End Equity	Month P & L	Cum P & L	Margin Interest	Income	Misc CR/DR
1 04/30/2010		\$4,915.00					\$4,915.00	\$3,225.00	(\$1,690.00)	(\$1,690.00)			
2 05/31/2010		\$40,475.00					\$45,390.00	\$40,681.56	(\$3,018.44)	(\$4,708.44)	(\$131.36)	\$0.12	
3 06/30/2010							\$45,390.00	\$41,209.25	\$527.69	(\$4,180.75)	(\$227.02)		
4 07/31/2010							\$45,390.00	\$35,146.13	(\$6,063.12)	(\$10,243.87)	(\$166.53)	\$0.21	(\$20.44)
5 08/31/2010							\$45,390.00	\$34,805.15	(\$340.98)	(\$10,584.85)	(\$267.55)		(\$71.58)
6 09/30/2010		\$95,000.00					\$140,390.00	\$105,653.98	(\$24,151.17)	(\$34,736.02)	(\$821.99)		
7 10/31/2010		\$120,000.00					\$260,390.00	\$236,711.18	\$11,057.20	(\$23,678.82)	(\$496.70)		
8 11/30/2010	\$13,884.00					(\$39.69)	\$274,234.31	\$202,260.81	(\$48,294.68)	(\$71,973.50)	(\$526.71)	\$0.43	(\$354.31)
9 12/31/2010		\$175,000.00					\$449,234.31	\$453,340.53	\$76,079.72	\$4,106.22	(\$1,683.62)	\$100.00	(\$116.49)
10 01/31/2011							\$449,234.31	\$403,343.99	(\$49,996.54)	(\$45,890.32)	(\$2,366.12)		(\$81.71)
11 02/28/2011							\$449,234.31	\$377,854.30	(\$25,489.69)	(\$71,380.01)	(\$2,131.74)		(\$104.30)
12 03/31/2011							\$449,234.31	\$333,413.46	(\$44,440.84)	(\$115,820.85)	(\$2,296.87)		
13 04/30/2011		\$155,500.00					\$604,734.31	\$513,494.88	\$24,581.42	(\$91,239.43)	(\$2,175.71)		
14 05/31/2011							\$604,734.31	\$419,823.90	(\$93,670.98)	(\$184,910.41)	(\$2,885.01)		
15 06/30/2011							\$604,734.31	\$280,263.42	(\$139,560.48)	(\$324,470.89)	(\$1,894.75)		
16 07/31/2011		\$210,000.00					\$814,734.31	\$450,594.36	(\$39,669.06)	(\$364,139.95)	(\$2,036.35)		
17 08/31/2011					(\$144,980.00)		\$669,754.31	\$338,281.26	\$32,666.90	(\$331,473.05)	(\$1,466.48)	\$64.81	(\$40.00)
18 09/30/2011							\$669,754.31	\$367,738.68	\$29,457.42	(\$302,015.63)	(\$1,307.04)		
19 10/31/2011		\$190,000.00					\$859,754.31	\$476,680.76	(\$81,057.92)	(\$383,073.55)	(\$2,264.26)		
20 11/30/2011					(\$215,000.00)		\$644,754.31	\$341,221.43	\$79,540.67	(\$303,532.88)	(\$2,264.82)	\$0.24	
21 12/31/2011		\$270,000.00					\$914,754.31	\$654,054.38	\$42,832.95	(\$260,699.93)	(\$2,010.06)	\$0.16	(\$76.44)
22 01/31/2012		\$915,000.00					\$1,829,754.31	\$1,671,564.98	\$102,510.60	(\$158,189.33)	(\$6,391.57)		(\$234.08)
23 02/29/2012					(\$160,000.00)		\$1,669,754.31	\$1,610,333.16	\$98,768.18	(\$59,421.15)	(\$2,369.72)	\$4,600.95	(\$68.53)
24 03/31/2012					(\$310,000.00)		\$1,359,754.31	\$1,306,323.65	\$5,990.49	(\$53,430.66)	(\$1,521.03)	(\$6,598.45)	(\$570.54)
25 04/30/2012					(\$320,000.00)		\$1,039,754.31	\$973,975.09	(\$12,348.56)	(\$65,779.22)	(\$89.41)	\$424.56	(\$694.30)
26 05/31/2012	\$12,455.50	\$200,718.35			(\$42,084.91)		\$1,210,843.25	\$1,013,909.62	(\$131,154.41)	(\$196,933.63)	(\$3,037.73)	(\$1,599.57)	(\$601.15)
27 06/30/2012		\$3.50			(\$50,000.00)		\$1,160,846.75	\$960,339.66	(\$3,573.46)	(\$200,507.09)	(\$772.20)	\$118.33	(\$291.46)
28 07/31/2012					(\$400,000.00)		\$760,846.75	\$480,738.61	(\$79,601.05)	(\$280,108.14)	(\$2,958.27)	\$0.47	(\$40.00)
29 08/31/2012					(\$70,000.00)		\$690,846.75	\$419,080.91	\$8,342.30	(\$271,765.84)	(\$419.86)	\$2,601.86	(\$44.28)
30 09/30/2012		\$270,000.00					\$960,846.75	\$709,311.57	\$20,230.66	(\$251,535.18)	(\$2,510.03)	\$0.53	(\$105.70)
31 10/31/2012							\$960,846.75	\$454,393.83	(\$254,917.74)	(\$506,452.92)	(\$5,015.82)		(\$7.97)
32 11/30/2012							\$960,846.75	\$410,096.42	(\$44,297.41)	(\$550,750.33)	(\$4,612.75)	\$5,074.75	
33 12/31/2012			\$524,631.03	(\$845,064.34)	(\$96.26)		\$640,317.18	\$0.00	(\$89,566.85)	(\$640,317.18)	(\$1,059.59)		(\$50.00)

**Monthly Profit / (Loss)**

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

Month End	Mkt Val Sec Recvd	Deposits	Cash Tfr In	Mkt Val Sec Delv	Cash Withdrawn	Cash Tfr Out	Cum CR/DR	Month End Equity	Month P & L	Cum P & L	Margin Interest	Income	Misc CR/DR
	\$26,339.50	\$2,646,611.85	\$524,631.03	(\$845,064.34)	(\$1,712,161.17)	(\$39.69)			(\$640,317.18)	(\$640,317.18)	(\$60,178.67)	\$4,789.40	(\$3,573.28)

NOTE: Deposits include Beginning Cash Balance and Credit Adjustments.  
Cash Withdrawn includes Taxes Withheld and Debit Adjustments.

## Turnover

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

	Account	Date Range	Open Total	Avg. Mkt.Val.	Avg. Equity	Entire Date Range		Annualized		
						By Equity	By Market	By Equity	By Market	
1	ABC-1234	SAMPLE REPORT	04/2010 - 12/2012	\$81,275,787.43	\$532,695.50	\$488,480.79	166.38	152.57	60.50	55.48
2	ABC-1234	SAMPLE REPORT	04/2010 - 12/2010	\$2,850,360.73	\$178,157.27	\$128,114.84	22.25	16.00	29.66	21.33
3	ABC-1234	SAMPLE REPORT	01/2011 - 12/2011	\$10,364,911.26	\$852,435.00	\$413,063.74	25.09	12.16	25.09	12.16
4	ABC-1234	SAMPLE REPORT	01/2012 - 12/2012	\$68,060,515.44	\$478,859.68	\$834,172.29	81.59	142.13	81.59	142.13



## Turnover Calculations

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

	Month End	Market Value	Cash Value	Equity Value	Purchases	Market Value Turnover	Equity Value Turnover
1	04/30/2010	\$43,700.00	(\$40,475.00)	\$3,225.00			
2	05/31/2010	\$78,071.40	(\$37,389.84)	\$40,681.56			
3	06/30/2010	(\$73,620.00)	\$114,829.25	\$41,209.25			
4	07/31/2010	\$75,270.00	(\$40,123.87)	\$35,146.13			
5	08/31/2010	\$260,550.00	(\$225,744.85)	\$34,805.15			
6	09/30/2010	\$195,500.00	(\$89,846.02)	\$105,653.98			
7	10/31/2010	\$206,430.00	\$30,281.18	\$236,711.18			
8	11/30/2010	\$542,464.00	(\$340,203.19)	\$202,260.81			
9	12/31/2010	\$275,050.00	\$178,290.53	\$453,340.53			
<b>Year End Totals:</b>					<b>\$2,610,864.05</b>	<b>14.65</b>	<b>20.38</b>
10	01/31/2011	\$814,580.00	(\$411,236.01)	\$403,343.99			
11	02/28/2011	\$758,160.00	(\$380,305.70)	\$377,854.30			
12	03/31/2011	\$666,978.00	(\$333,564.54)	\$333,413.46			
13	04/30/2011	\$1,041,131.00	(\$527,636.12)	\$513,494.88			
14	05/31/2011	\$931,540.00	(\$511,716.10)	\$419,823.90			
15	06/30/2011	\$321,395.00	(\$41,131.58)	\$280,263.42			
16	07/31/2011	\$942,700.00	(\$492,105.64)	\$450,594.36			
17	08/31/2011	\$487,380.00	(\$149,098.74)	\$338,281.26			
18	09/30/2011	\$648,920.00	(\$281,181.32)	\$367,738.68			
19	10/31/2011	\$1,034,436.00	(\$557,755.24)	\$476,680.76			
20	11/30/2011	\$962,000.00	(\$620,778.57)	\$341,221.43			
21	12/31/2011	\$1,620,000.00	(\$965,945.62)	\$654,054.38			
<b>Year End Totals:</b>					<b>\$10,672,244.07</b>	<b>12.52</b>	<b>25.84</b>
22	01/31/2012	\$2,097,430.00	(\$425,865.02)	\$1,671,564.98			
23	02/29/2012	(\$673,630.00)	\$2,283,963.16	\$1,610,333.16			
24	03/31/2012	(\$774,380.00)	\$2,080,703.65	\$1,306,323.65			
25	04/30/2012	(\$902,475.00)	\$1,876,450.09	\$973,975.09			
26	05/31/2012	\$380,830.75	\$633,078.87	\$1,013,909.62			
27	06/30/2012	\$444,163.75	\$516,175.91	\$960,339.66			

### Turnover Calculations

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

	Month End	Market Value	Cash Value	Equity Value	Purchases	Market Value Turnover	Equity Value Turnover
28	07/31/2012	\$305,380.00	\$175,358.61	\$480,738.61			
29	08/31/2012	\$815,305.00	(\$396,224.09)	\$419,080.91			
30	09/30/2012	\$1,334,210.00	(\$624,898.43)	\$709,311.57			
31	10/31/2012	\$1,785,960.00	(\$1,331,566.17)	\$454,393.83			
32	11/30/2012	\$933,521.60	(\$523,425.18)	\$410,096.42			
33	12/31/2012	\$0.00	\$0.00	\$0.00			

	<b>Year End Totals:</b>	<b>\$68,237,894.17</b>	<b>142.50</b>	<b>81.80</b>
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<b>Average Annualized Market Value Turnover</b>	<b>55.65</b>
<b>Average Annualized Equity Value Turnover</b>	<b>60.69</b>

## Cost Maintenance Factor

Account Name: SAMPLE REPORT

Case Name: SAMPLE REPORT V ABC BROKERAGE

Account Number: ABC-1234

Date Range: 04/2010 Thru 12/2012

	Account	Date Range	Commissions	Mrg.Int.&Fee	Avg. Mkt.Val.	Avg. Equity	Entire Date Range		Annualized		
							By Equity	By Market	By Equity	By Market	
1	ABC-1234	SAMPLE REPORT	04/2010 - 12/2012	\$501,194.11	\$63,751.95	\$532,695.50	\$488,480.79	115.65%	106.05%	42.06%	38.57%
2	ABC-1234	SAMPLE REPORT	04/2010 - 12/2010	\$53,502.59	\$4,884.30	\$178,157.27	\$128,114.84	45.57%	32.77%	60.77%	43.70%
3	ABC-1234	SAMPLE REPORT	01/2011 - 12/2011	\$137,731.09	\$25,401.66	\$852,435.00	\$413,063.74	39.49%	19.14%	39.49%	19.14%
4	ABC-1234	SAMPLE REPORT	01/2012 - 12/2012	\$309,960.43	\$33,465.99	\$478,859.68	\$834,172.29	41.17%	71.72%	41.17%	71.72%

## Cost Maintenance Factor

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

	Month Ended	Market Value	Equity	Commissions	Margin Interest & Fees
1	04/30/2010	\$43,700.00	\$3,225.00	\$130.00	\$0.00
2	05/31/2010	\$78,071.40	\$40,681.56	\$195.75	\$131.36
3	06/30/2010	(\$73,620.00)	\$41,209.25	\$132.64	\$227.02
4	07/31/2010	\$75,270.00	\$35,146.13	\$261.31	\$186.97
5	08/31/2010	\$260,550.00	\$34,805.15	\$65.00	\$339.13
6	09/30/2010	\$195,500.00	\$105,653.98	\$7,634.18	\$821.99
7	10/31/2010	\$206,430.00	\$236,711.18	\$9,763.10	\$496.70
8	11/30/2010	\$542,464.00	\$202,260.81	\$6,694.19	\$881.02
9	12/31/2010	\$275,050.00	\$453,340.53	\$28,626.42	\$1,800.11
10	01/31/2011	\$814,580.00	\$403,343.99	\$18,728.21	\$2,447.83
11	02/28/2011	\$758,160.00	\$377,854.30	\$230.65	\$2,236.04
12	03/31/2011	\$666,978.00	\$333,413.46	\$425.97	\$2,296.87
13	04/30/2011	\$1,041,131.00	\$513,494.88	\$10,115.40	\$2,175.71
14	05/31/2011	\$931,540.00	\$419,823.90	\$10,885.16	\$2,885.01
15	06/30/2011	\$321,395.00	\$280,263.42	\$1,334.52	\$1,894.75
16	07/31/2011	\$942,700.00	\$450,594.36	\$19,422.41	\$2,036.35
17	08/31/2011	\$487,380.00	\$338,281.26	\$11,523.09	\$1,506.48
18	09/30/2011	\$648,920.00	\$367,738.68	\$1,561.74	\$1,307.04
19	10/31/2011	\$1,034,436.00	\$476,680.76	\$893.66	\$2,264.26
20	11/30/2011	\$962,000.00	\$341,221.43	\$28,141.06	\$2,264.82
21	12/31/2011	\$1,620,000.00	\$654,054.38	\$34,469.22	\$2,086.50
22	01/31/2012	\$2,097,430.00	\$1,671,564.98	\$85,276.24	\$6,625.65
23	02/29/2012	(\$673,630.00)	\$1,610,333.16	\$72,137.14	\$2,438.25
24	03/31/2012	(\$774,380.00)	\$1,306,323.65	\$43,955.90	\$2,091.57
25	04/30/2012	(\$902,475.00)	\$973,975.09	\$32,697.73	\$783.71
26	05/31/2012	\$380,830.75	\$1,013,909.62	\$17,725.04	\$3,638.88
27	06/30/2012	\$444,163.75	\$960,339.66	\$14,848.23	\$1,063.66

### Cost Maintenance Factor

Account Name: SAMPLE REPORT  
 Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
 Date Range: 04/2010 Thru 12/2012

	Month Ended	Market Value	Equity	Commissions	Margin Interest & Fees	
28	07/31/2012	\$305,380.00	\$480,738.61	\$7,403.91	\$2,998.27	
29	08/31/2012	\$815,305.00	\$419,080.91	\$12,182.64	\$464.14	
30	09/30/2012	\$1,334,210.00	\$709,311.57	\$11,133.13	\$2,615.73	
31	10/31/2012	\$1,785,960.00	\$454,393.83	\$12,382.57	\$5,023.79	
32	11/30/2012	\$933,521.60	\$410,096.42	\$217.90	\$4,612.75	
33	12/31/2012	\$0.00	\$0.00	\$0.00	\$1,109.59	
<b>Total Months:</b>		<b>33</b>	<b>\$17,578,951.50</b>	<b>\$16,119,865.91</b>	<b>\$501,194.11</b>	<b>\$63,751.95</b>

**Avg Equity: \$ 488,480.79**

<u>Commission to Market Value Ratio</u>	34.21%
<u>Commission to Equity Ratio</u>	37.31%

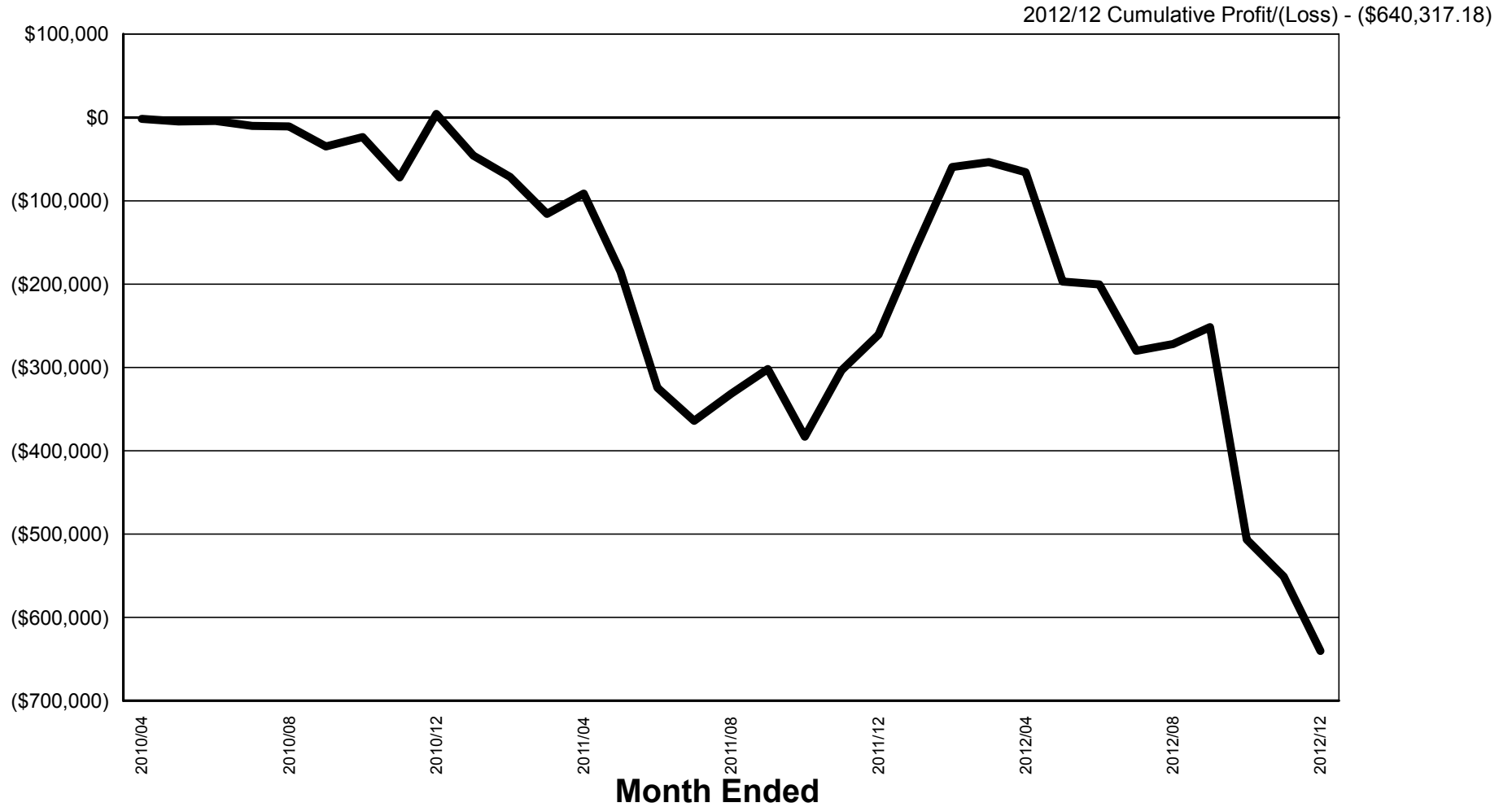
<u>Cost to Market Value Ratio</u>	38.57%
<u>Cost to Equity Ratio</u>	42.06%

**Cumulative Profit / (Loss)**

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

**Value**



## Month End Equities

Account Name: SAMPLE REPORT  
Account Number: ABC-1234

Case Name: SAMPLE REPORT V ABC BROKERAGE  
Date Range: 04/2010 Thru 12/2012

### Value

