

**Recipient's Name and Address:**

|||  
CUSTOMERNAME CUSTOMERLASTNAME  
OR CUSTOMERNAME CUSTOMERLASTNAME  
1234 TOWNLINE STREET  
APT. #1234  
SOMEWHERE, MA 00000-0000

**Your Financial Advisor Is:**

ADVISORNAME ADVISORNAME  
OR ADVISORNAME ADVISORNAME  
1234 STREET  
BOX 1234  
SOMEWHERE, MA 00000-0000



**ProCASH PLUS**<sup>®</sup>

**ACCOUNT HOLDER INFORMATION:**

ACCOUNT NUMBER: 123-456789

**For Your Information**

Making sense of your finances just got simpler—thanks to this consolidated tax and year-end statement.

The following sources of must-have, year-end information are now at your fingertips:

- Tax Statement (IRS Form 1099)—containing a detailed summary of your reportable and other nonreportable brokerage account transactions to assist with tax preparation
- Asset Management Account Activity—listing checking, debit card, and electronic transactions posted to your asset management account  
< Available for Gold and Platinum asset management accounts only >
- Portfolio Evaluation Service (PES<sup>®</sup>)—featuring a schedule of realized gains and losses for your investments  
< Available for PES accounts only >

We hope you will find the information provided by these tools helpful while preparing for the current tax-filing season.

**Customer Service Information**

**Contact Information**

**Telephone Number:** (999) 999-9999  
**Fax Number:** (999) 999-9999  
**E-Mail Address:** name@yourwebsite.com

**Customer Service Information**

**Service Hours:** Monday – Friday 8:00 a.m. – 5:00 p.m. (ET)  
Saturday 12:00 p.m. – 4:00 p.m. (ET)  
**Customer Service Telephone Number:** (999) 999-9999  
**Web Site:** www.yourwebsite.com  
To report a lost or stolen Debit Card or check call (999) 999-9999,  
24 hours a day, 7 days a week.


All amounts and transactions displayed in this sample tax and year-end statement are only samples and do not represent actual transactions. Accordingly, no guidance should be inferred as to any specific transaction from the samples in this sample tax and year-end statement.

**Account Number: 123-456789**

**Recipient's Identification  
Number: 999-99-9999**

**2009 TAX AND  
YEAR-END STATEMENT**

**Recipient's Name and Address:**

  
 CUSTOMERNAME CUSTOMERLASTNAME  
 OR CUSTOMERNAME CUSTOMERLASTNAME  
 1234 TOWNLINE STREET  
 APT. #1234  
 SOMEWHERE, MA 00000-0000

**Your Financial Advisor Is:**

ADVISORNAME ADVISORNAME  
 OR ADVISORNAME ADVISORNAME  
 1234 STREET  
 BOX 1234  
 SOMEWHERE, MA 00000-0000

**PAYOR INFORMATION:**

PERSHING, LLC  
  
**Federal Identification  
Number: 12-3456789**

NOTICE: This tax statement is incomplete as it relates to your CDO, CMO, REMIC or FASTI. You should not file your tax return until you receive a revised statement from us with the applicable information. (See the message at the end of this statement).

**Summary of Gross Proceeds and Regulated Futures Contracts**

	<u>Amount</u>
Gross Proceeds (Less Commissions and Fees) .....	173,207.80 *
<b>Federal Income Tax Withheld - Gross Proceeds .....</b>	<b>546.12</b>

Regulated Futures Contracts:

Profit or (Loss) Realized in 2009 .....	841.43
Unrealized Profit or (Loss) on Open Contracts - 12/31/08 .....	141.12
Unrealized Profit or (Loss) on Open Contracts - 12/31/09 .....	1,557.00
Aggregate Profit or (Loss) .....	2,257.31
<b>Federal Income Tax Withheld - Reg. Futures Contracts .....</b>	<b>0.00</b>

\* Details of each Gross Proceeds transaction are reported to the IRS.  
Refer to the 1099-B section of this statement for these details.

**2009 1099-DIV Dividends and Distributions OMB No. 1545-0110**

<u>Box</u>		<u>Amount</u>
1a	Total Ordinary Dividends .....	1,155.52
1b	Qualified Dividends .....	812.00
2a	Total Capital Gain Distributions .....	625.00
2b	Unrecaptured Section 1250 Gain .....	175.00
2c	Section 1202 Gain .....	350.00
2d	Collectibles (28%) Gain .....	0.00
3	Nondividend Distributions .....	116.00
<b>4</b>	<b>Federal Income Tax Withheld .....</b>	<b>402.14</b>
5	Investment Expenses .....	0.00
6	Foreign Tax Paid .....	34.35
7	Foreign Country or U.S. Possession .....	n/a
8	Cash Liquidation Distributions .....	1,094.00
9	NonCash Liquidation Distributions .....	0.00

**2009 1099-INT Interest Income OMB No. 1545-0112**

<u>Box</u>		<u>Amount</u>
1	Interest Income .....	4,805.01
2	Early Withdrawal Penalty .....	0.00
3	Interest on U.S. Savings Bonds & Treasury Obligations .....	7,642.44
<b>4</b>	<b>Federal Income Tax Withheld .....</b>	<b>0.00</b>
5	Investment Expenses .....	0.00
6	Foreign Tax Paid .....	0.00
7	Foreign Country or U.S. Possession .....	n/a
8	Tax-Exempt Interest .....	1,475.00
9	Specified Private Activity Bond Interest .....	595.00

**Summary of Original Issue Discount**

	<u>Amount</u>
Original Issue Discount (Non-U.S. Treasury Obligations) .....	531.61
Other Periodic Interest .....	800.00
<b>Federal Income Tax Withheld .....</b>	<b>0.00</b>
Original Issue Discount on U.S. Treasury Obligations .....	0.00
Investment Expenses .....	0.00

This is important tax information and is being furnished to the Internal Revenue Service (IRS). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

**Recipient's Name and Address:**

CUSTOMERNAME CUSTOMERLASTNAME  
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**Account Number: 123-456789**

Recipient's Identification  
Number: 999-99-9999

**2009 TAX AND  
YEAR-END STATEMENT**

Form 1099-MISC		2009 Miscellaneous Income	(OMB No. 1545-0115)
<i>Box</i>			<i>Amount</i>
2	Royalties .....		0.00
3	Other Income .....		0.00
<b>4</b>	<b>Federal Income Tax Withheld</b> .....		<b>0.00</b>
8	Substitute Payments in Lieu of Dividends or Interest .....		50.00

Summary Of Transactions We Do Not Report To The IRS (See enclosure for additional information)		<i>Amount</i>
<b>Municipal Original Issue Discount</b>		
	Original Issue Discount - Subject to Alternative Minimum Tax .....	13.75
	Original Issue Discount - Not Subject to Alternative Minimum Tax .....	240.48
	<b>Total Municipal Original Issue Discount</b> .....	<b>3,379.23</b>
<b>Non-Reportable Distributions</b>		
	Partnership Cash Distributions .....	420.00
	Trust Distributions .....	100.00
	Return of Principal Distributions .....	300.00
	<b>Total Non-Reportable Distributions</b> .....	<b>820.00</b>
<b>Equity Options Transactions</b>		
	Cost of Equity Option Purchases .....	12,112.50
	Equity Option Proceeds and Expirations .....	7,588.99
<b>Securities Purchased</b>		
	<b>Net Cost of Securities Purchased</b> .....	<b>352,329.56</b>
<b>Accrued Interest Purchased</b>		
	U.S. Corporation .....	728.33
	U.S. Government .....	1,041.70
	U.S. Government Agencies .....	60.00
	Foreign Source .....	250.00
	Tax-Exempt .....	256.87
	Tax-Exempt - Specified Private Activity .....	170.00
	<b>Total Accrued Interest Purchased</b> .....	<b>2,506.70</b>
	<b>Margin Interest Expense Charged to Your Account</b> .....	<b>662.50</b>

**Recipient's Name and Address:**

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**Account Number: 123-456789**

Recipient's Identification  
Number: 999-99-9999

**2009 TAX AND  
YEAR-END STATEMENT**

**Summary Of Transactions We Do Not Report To The IRS (continued)**

	<i>Amount</i>
<b>Electronic Deposits Summary</b>	
Total Electronic Deposits .....	2,699.25
<b>Other Deposits Summary</b>	
Total Other Deposits .....	54,997.66
<b>Checking Activity Summary</b>	
Total Checking Activity .....	(3,299.69)
<b>Debit Card Activity Summary</b>	
Total Debit Card Activity .....	(9,162.98)
<b>Electronic Withdrawals Summary</b>	
Total Electronic Withdrawals .....	(4,898.25)
<b>Other Withdrawals Summary</b>	
Total Other Withdrawals .....	(28,750.00)
<b>Schedule of Realized Gains and Losses</b>	
Total Short Term - Realized Gain/Loss .....	1,019.38
Total Long Term - Realized Gain/Loss .....	1,655.12
<b>Total Short Term and Long Term - Realized Gain/Loss .....</b>	<b>.2,674.50</b>

SAMPLE

**Recipient's Name and Address:**

CUSTOMERNAME CUSTOMERLASTNAME  
OR CUSTOMERNAME CUSTOMERLASTNAME

**Account Number: 123-456789**

Recipient's Identification  
Number: 999-99-9999

**2009 TAX AND  
YEAR-END STATEMENT**

**2009 Form 1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS OMB No. 1545-0715**  
(For individuals, report details on Form 1040, Schedule D, Line 1 or 8.)

This is important tax information and is being furnished to the IRS. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Description (Box 7)	CUSIP (Box 1b)	Trade/Process Date (Box 1a)	Quantity	Proceeds (Less Commissions & Fees) (Box 2)	Federal Income Tax Withheld (Box 4)
EXXON MOBIL CORP COM	013742507	06/07/2009 10/20/2009	50 20	5,000.00* 1,752.00 6,752.00	
OCCUSYSTEMS INC COM	674623103	04/17/2009	10	100.00	
CHEVRON CORP	009269101	09/02/2009	45	9,562.50	
PENN NATL GAMING INC	8793351097	08/04/2009	10	1,950.43	546.12
UNITED STATES TREAS BILLS 0.000% 04/08/07 B/E	912795PT2	04/08/2009	100.00	99,005.00	
U.S. TREAS NOTE 8.250% 05/15/09 B/E DTD 05/15/97	912810BU1	05/15/2009	55,000	55,837.89	
<b>TOTAL</b>				<b>173,207.80</b>	<b>546.12</b>

\*Short Sale

**Form 1099-B REGULATED FUTURES CONTRACTS**

**PROFIT OR (LOSS) REALIZED IN 2007**

Description	Expiration Date/ Strike Price	Closing Trade/Process Date	Number of Contracts	Buy/ Sell/ Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss) (Box 8)	Federal Income Tax Withheld (Box 4)
PUT 100 S & P	EXP 09-20-09 @ 975	03/15/2009	10	Sell	1,921.380	2,342.76	421.38	0.00
500 INDEX CUSIP: 12483B910		07/10/2009	5	Sell	845.70	1,265.75	420.05	0.00
<b>TOTAL</b>							<b>841.43</b>	<b>0.00</b>

**Recipient's Name and Address:**CUSTOMERNAME CUSTOMERLASTNAME  
OR CUSTOMERNAME CUSTOMERLASTNAME**Account Number: 123-456789**Recipient's Identification  
Number: 999-99-9999**2009 TAX AND  
YEAR-END STATEMENT****Form 1099-B****REGULATED FUTURES CONTRACTS**

This is important tax information and is being furnished to the IRS. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

**UNREALIZED PROFIT OR (LOSS) ON OPEN CONTRACTS - 12/31/08**

Description	Expiration Date/ Strike Price	Opening Trade Date	Number of Contracts	Long/ Short	Opening Contract Amount	Market Value 12/31/08	Unrealized Profit/(Loss) (Box 9)
PUT 100 S & P 100 INDEX CUSIP: 7837909TF	EXP 03-19-09 @ 430	01/31/2008	10	Long	1,921.38	2,062.50	141.12
<b>TOTAL</b>							<b>141.12</b>

**UNREALIZED PROFIT OR (LOSS) ON OPEN CONTRACTS - 12/31/08**

Description	Expiration Date/ Strike Price	Opening Trade Date	Number of Contracts	Long/ Short	Opening Contract Amount	Market Value 12/31/07	Unrealized Profit/(Loss) (Box 10)	Federal Income Tax Withheld (Box 4)
PUT 100 S & P 100 INDEX CUSIP: 7837909TC	EXP 01-21-09 @ 415	12/11/2008	10	Short	3,557.00	2,000.00	1,557.00	0.00
<b>TOTAL</b>							<b>1,557.00</b>	<b>0.00</b>

**Aggregate Profit or (Loss) - Form 1099-B; Box 11 (Individuals report on Form 6781, line 1, column b)****2,257.31****Total Federal Income Tax Withheld on Regulated Futures Contracts****0.00**

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**Account Number: 123-456789**

Recipient's Identification  
Number: 999-99-9999

**2009 TAX AND  
YEAR-END STATEMENT**

**INTEREST INCOME (Details of Form 1099-INT)**

Description	CUSIP/ Security Type	Date Paid	Interest Income (Box 1)	Interest on U.S. Savings Bonds and Treasury Obligations (Box 3)	Federal Income Tax Withheld (Box 4)	Investment Expenses (Box 5)	Foreign Tax Paid (Box 6)
BROWNING FERRIS INDS INC SUB DEV CONV 6.750% 07/18/09 B/E	115885AG0 U.S. Corp.	12/15/2009	312.50				
CENCO INC SUB DEB CONV 5.000% 11/01/10 REG	151303AC8 Foreign	08/30/2009	200.00				
CITICORP SUB NT 8.500% 02/01/18 REG	173034DK2 U.S. Corp.	03/15/2009	633.75				
FEDL NATL MTG ASSN DEB 8.875% 07/10/09 REG DTD 07/10/92	31358DAV6 Govt Agency	01/10/2009 06/30/2009	1,109.38 1,109.38 2,218.76				
U S TREAS BD 8.250% 05/15/09 B/E	912810BU1 U.S. Govt	05/15/2009 08/29/2009		1,258.05 519.99* 1,778.04			
U S TREAS BILL 0.000% 03/08/09 B/E PURCHASE PRICE: 245,582.50 Quantity: 250,000	912795PZ8 U.S. Govt	03/08/2009		4,417.50			
U S TREAS BILL 0.000% 06/16/09 B/E IRS Publication 1212 rate per \$1000: 48.23 Quantity: 30,000	912795QD6 U.S. Govt	06/16/2009		1,446.90			
FEDERAL HOME LN BKS CONS BD 0.000% 10/21/09 B/E PURCHASE PRICE: 14,125.00 Quantity: 15,000	3133M0QP9 Govt Agency	07/21/2009	875.00				

\* Represents Accrued Interest Sold

**Recipient's Name and Address:**CUSTOMERNAME CUSTOMERLASTNAME  
OR CUSTOMERNAME CUSTOMERLASTNAME**Account Number: 123-456789**Recipient's Identification  
Number: 999-99-9999**2009 TAX AND  
YEAR-END STATEMENT****INTEREST INCOME (Details of Form 1099-INT)****(continued)**

<i>Description</i>	<i>CUSIP/ Strike Price</i>	<i>Date Paid</i>	<i>Interest Income (Box 1)</i>	<i>Interest on U.S. Savings Bonds and Treasury Obligations (Box 3)</i>	<i>Federal Income Tax Withheld (Box 4)</i>	<i>Investment Expenses (Box 5)</i>	<i>Foreign Tax Paid (Box 6)</i>
FORD MOTOR CREDIT CORP DISCOUNT COMMERCIAL PAPER 0.00% 02/03/09 B/E PURCHASE PRICE: 9,785.00 Quantity: 10,000	34539UP30 U.S. Corp.	02/03/2009	125.00				
<b>Interest on Your Credit Balance</b>			<b>350.00</b>				
<b>Interest Income - U.S. Corporations and on Your Credit Balance</b>			<b>1,421.25</b>				
<b>Interest Income - Foreign Corporations</b>			<b>200.00</b>				
<b>Interest Income - U.S. Government Agencies</b>			<b>3,093.76</b>				
<b>TOTAL</b>			<b>4,715.01</b>	<b>7,642.44</b>			

# Represents Accrued Interest Sold



**Recipient's Name and Address:**CUSTOMERNAME CUSTOMERLASTNAME  
OR CUSTOMERNAME CUSTOMERLASTNAME**Account Number: 123-456789**Recipient's Identification  
Number: 999-99-9999**2009 TAX AND  
YEAR-END STATEMENT****TAX-EXEMPT INTEREST (Details of Form 1099-INT)****(continued)**

<i>Description</i>	<i>CUSIP/ Security Type</i>	<i>Date Paid</i>	<i>Tax-Exempt Interest (Box 8)</i>	<i>Specified Private Activity Bond Interest (Box 9)</i>	<i>Federal Income Tax Withheld (Box 4)</i>	<i>Investment Expenses (Box 5)</i>	<i>Foreign Tax Paid (Box 6)</i>
WESTCHESTER CNTY NY	957367AS4	02/01/2009	297.50	297.50			
INDL DEV AGY ARPT		08/01/2009	297.50	297.50			
FAC REV WESTCHESTER ARPT ASSOC-SER A DTD 02/01/95 CLB			595.00	595.00			
SULLIVAN WEST CENT	865353AZ9	04/15/2009	440.00				
SCH DIST NY		10/17/2009	440.00				
4.400% 04/15/23 B/E DTD 04/15/05 CLB			880.00				
<b>TOTAL</b>			<b>1,475.00</b>	<b>595.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**Recipient's Name and Address:**CUSTOMERNAME CUSTOMERLASTNAME  
OR CUSTOMERNAME CUSTOMERLASTNAME**Account Number: 123-456789**Recipient's Identification  
Number: 999-99-9999**2009 TAX AND  
YEAR-END STATEMENT****DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)**

<i>Description</i>	<i>Date Paid</i>	<i>Total Ordinary Dividends (Box 1a)</i>	<i>Qualified Dividends (Box 1b)</i>	<i>*Total Capital Gain Distributions (Box 2a)</i>	<i>Nondividend Distributions (Box 3)</i>	<i>Federal Income Tax Withheld (Box 4)</i>	<i>Investment Expenses (Box 5)</i>	<i>Foreign Tax Paid (Box 6)</i>
BRITISH PETE PIC ADRS	07/03/2009	80.00						12.00
FORTIS CAPITAL FUND	06/17/2009	100.00	60.00		100.00			
NATIONAL LOAN BK HOUSTON TEX	02/17/2009	100.00	100.00			28.00		
PHILIP MORRIS COMPANIES INC	04/11/2009	276.00	276.00					
	07/11/2009	276.00	276.00					
		552.00	552.00					
PRICE REIT INC CL B	06/30/2009	100.00	100.00	500.00	16.00			
REUTERS HLDGS INC	05/06/2009	223.52						22.35
PUTNAM FUND A **	01/11/2009			125.00		35.00		
Dividends - U.S. Corporations		852.00	812.00					
Dividends - Foreign Corporations		303.52	0.00					
<b>TOTAL</b>		<b>1,155.52</b>	<b>812.00</b>	<b>625.00</b>	<b>116.00</b>	<b>63.00</b>	<b>0.00</b>	<b>34.35</b>

\* Refer to the Capital Gain Distributions section for details.

\*\* We have not yet received information to properly classify the income paid by this company. If we receive information, we will send you a revised tax information statement. See Tax Guide for details.

**Recipient's Name and Address:**CUSTOMERNAME CUSTOMERLASTNAME  
OR CUSTOMERNAME CUSTOMERLASTNAME**Account Number: 123-456789**Recipient's Identification  
Number: 999-99-9999**2009 TAX AND  
YEAR-END STATEMENT****CAPITAL GAIN DISTRIBUTIONS**

(For individuals, report Total Capital Gain Distributions on Form 1040, Schedule D, Line 13, column (f). Report Post-May 5 Capital Gain Distributions on line 13, column (g). To report Qualified 5-Year Gain, Unrecaptured Section 1250 Gain, and Section 1202 Gain, see instructions to Form 1040, Schedule D.)

<i>Description</i>	<i>Date Paid</i>	<i>Total Capital Gain Distributions (Box 2a)</i>	<i>Unrecaptured Section 1250 Gain (Box 2b)</i>	<i>Section 1202 Gain (Box 2c)</i>	<i>Collectibles (28%) Gain (Box 2d)</i>	<i>Long Term Capital Gain Distributions</i>
PRICE REIT INC CL B	06/30/2009	500.00	175.00	225.00	0.00	100.00
PUTNAM FUND A	01/11/2009	125.00	0.00	125.00	0.00	0.00
<b>TOTAL</b>		<b>625.00</b>	<b>175.00</b>	<b>350.00</b>	<b>0.00</b>	<b>100.00</b>

**LIQUIDATION DISTRIBUTIONS (Details of Form 1099-DIV)**

(continued)

<i>Description</i>	<i>Date Paid</i>	<i>Cash Liquidation Distributions (Box 8)</i>	<i>Noncash Liquidation Distributions (Fair Market Value) (Box 9)</i>	<i>Federal Income Tax Withheld</i>
NATIONAL LOAN BK HOUSTON TEX	02/17/2009	1,094.00		339.14
<b>TOTAL</b>		<b>1,094.00</b>	<b>0.00</b>	<b>339.14</b>

**Total Federal Income Tax Withheld on Dividends and Distributions:****402.14  
(Box 4)**

**Recipient's Name and Address:**

CUSTOMERNAME CUSTOMERLASTNAME  
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**2009 TAX AND  
YEAR-END STATEMENT**

**2009 Form 1099-OID**

**ORIGINAL ISSUE DISCOUNT**

**OMB No. 1545-0117**

**(For individuals, report details on Form 1040; Schedule B; Line 1.)**

This is important tax information and is being furnished to the IRS. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Description	Lot No.	Lot Quantity	Accrual Begin/Entry Date	Days Held	Daily OID Rate Per \$1,000	Original Issue Discount (Box 1)	Other Periodic Interest (Box 2)	Federal Income Tax Withheld (Box 4)	OID on U.S. Treasury Obligations (Box 6)	Investment Expenses (Box 7)
FNMA GTD REMIC PASS THRU CTF REMIC TR 1991-108 CL-108-K 9.000% 02/25/20 B/E CUSIP: 31358FAN9			For a Detailed Breakdown See the Additional Written Statement			20.30	750.00			
MAXXAM INC SR SUB RESET NT 14.000% 05/20/06 REG DTD 03/01/89 CUSIP: 577913AD8	1	10,000	01/01/2009	135	.0385675	52.45				
			05/15/2009	123	.0382465	47.04				
			09/15/2009	107	.0380655	40.73				
				365		140.22*				
			01/04/2009				50.00			
CERTIFICATES ACCRUAL TREAS SECS SER-Z INT PRIN PMT ON 12% 2003 TREAS BD 0.000% 05/15/08 CUSIP: 156883BK5	1	12,000	01/01/2009	45	.1277990	69.01				
			02/15/2009	79	.1333658	126.43				
				124		195.44*				
	2	12,000	01/01/2009	45	.0999655	69.01				
			02/15/2009	85	.1040695	106.15				
				130		160.13*				
<b>Security Total - Amount Reportable to the IRS</b>						<b>355.57</b>				
CERTIFICATES ACCRUAL TREAS SECS SER-J INT PMT ON 875% 2012 TREAS BD 0.000% 05/15/10 CUSIP: 156884XE3	1	6,000	01/01/2009	137	.1132877	15.52*				
<b>TOTAL</b>						<b>531.61</b>	<b>800.00</b>	<b>.00</b>	<b>.00</b>	<b>.00</b>

\*This may not be the correct figure to report on your income tax return. See instructions for details.

**Recipient's Name and Address:**

CUSTOMERNAME CUSTOMERLASTNAME  
OR CUSTOMERNAME CUSTOMERLASTNAME

**Account Number: 123-456789**

Recipient's Identification  
Number: 999-99-9999

**2009 TAX AND  
YEAR-END STATEMENT**

**2009 MISCELLANEOUS INCOME (Details of Form 1099-MISC)**

Description	Date Paid	Royalties (Box 2)	Other Income (Box 3)	Substitute Payments in Lieu of Dividends or Interest (Box 8)	Federal Income Tax Withheld (Box 4)
PHILIP MORRIS COMPANIES INC	04/11/2009			25.00	
PRAXAIR INC	03/15/2009			25.00	
<b>TOTAL</b>		<b>0.00</b>	<b>0.00</b>	<b>50.00</b>	<b>0.00</b>

**TRANSACTIONS WE DO NOT REPORT TO THE IRS**

**MUNICIPAL ORIGINAL ISSUE DISCOUNT**

Description	CUSIP	Lot No.	Rate Source	Lot Quantity	Accrual Period Begins	Days Held	Daily OID Rate per \$1,000	Original Issue Discount Subject to Alternative Minimum Tax	Original Issue Discount Not Subject to Alternative Minimum Tax
ALLEGHENY CNTY PA ARPT REV GTR PITTS INTL ARPT SER D SUBJ TO AMT TO YLD 8.3% 7.750% 01/01/20 REG DTD 07/01/89 CLB	017286AN5	1	Calc.	20,000	01-02 07-02	181 184 365	.0018441 .0019206	6.68 7.07 13.75	
TRIBOROUGH BRDG & TUNL AUTH N.Y. REVS CONVENTION CTR PROJ SER D O.I.D. 7.000% 01/01/13 REG DTD 06/15/86 PRF	986029GD1	1	Calc.	75,000	01-02 07-02	181 184 365	.0085961 .0089700		116.69 123.79 240.48
Security Total .....									
<b>TOTAL</b>								<b>13.75</b>	<b>240.48</b>

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Number: 999-99-9999**2009 TAX AND  
YEAR-END STATEMENT****TRANSACTIONS WE DO NOT REPORT TO THE IRS****(continued)****NON-REPORTABLE DISTRIBUTIONS**

<i>Description</i>	<i>CUSIP</i>	<i>Date Paid</i>	<i>Partnership Cash Distributions</i>	<i>Trust Distributions</i>	<i>Return of Principal Distributions</i>
NUVEEN CALIFORNIA MUNICIPAL VALUE FD INC COM	67062C107	07/01/2009 10/01/2009			200.00 100.00 300.00
PERKINS FAMILY RESTAURANT LP EQUITY PARTN SECS	714063104	02/15/2009	210.00 210.00 420.00		
TORCH ENERGY RTY TR UNIT BEN INT	891013104	03/11/2009		100.00	
<b>TOTAL</b>			<b>420.00</b>	<b>100.00</b>	<b>300.00</b>

**EQUITY OPTIONS TRANSACTIONS**

<i>Description</i>	<i>Expiration Date/ Strike Price</i>	<i>Trade/Process Date</i>	<i>Transaction Type</i>	<i>Quantity</i>	<i>Purchase Amount</i>	<i>Proceeds</i>
PUT 100 DELL COMPUTER CORP CUSIP: 2470259TO	EXP 08-19-9 @ 75	08/18/2009	Sell Open	3		88.99
PUT 100 DELL COMPUTER CORP CUSIP: 2470259TO	EXP 08-19-09 @ 75	08/21/2009	Expiration	3		0.00
CALL 100 LANCER GRP. CUSIP: 51461D240	EXP 06-30-09 @ 16 5/8	03/16/2009	Buy Open	25	6,363.80	
CALL 100 LANCER GRP. CUSIP: 51461D240	EXP 06-30-09 @ 16 5/8	06/30/2009	Sell Close	25		7,500.00
<b>TOTAL</b>					<b>6,363.80</b>	<b>7,588.99</b>

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YEAR-END STATEMENT****TRANSACTIONS WE DO NOT REPORT TO THE IRS****(continued)****SECURITIES PURCHASED**

<i>Description</i>	<i>CUSIP</i>	<i>Trade/Process Date</i>	<i>Quantity</i>	<i>Net Cost</i>	<i>Accrued Interest Purchased Amount</i>	<i>Security Type</i>
GRUPO TELEvisa S A EURO BOND ISIN # USP4987VAD57 11.375% 05/15/08 B/E DTD 05/13/97	P4987VAD5	11/15/2009	20,000	17,900.00	250.00	Foreign Source
ANN TAYLOR INC SUB NT 8.750% 06/15/09 REG DTD 06/28/94 CLB	036117AC3	02/23/2009 09/25/2009	50,000	41,353.16	280.75 280.75 561.50	U.S. Corporation
FOXMEYER CORP.	351654108	01/21/2009	400	5,004.06		
GNMA GTD MTG PASS THRU CTFS POOL # 004108 8.000% 04/15/05 DTD 10/01/75	362029R51	03/08/2009	12,995	10,046.82	60.00	U.S. Government Agency
BUFFALO NY SER A 4.400% 11/15/14 B/E DTD 05/16/03 CLB	1196744B2	02/04/2009	25,000	26,301.00	256.67	Tax-Exempt
NEW YORK ST RFDG SER B 7.200% 11/15/06 REG DTD 08/01/87 CLD	649785WM0	03/03/2009	50,000	50,336.00		
PACIFIC TEL&TEL CO DEB 7.800% 03/01/08 REG DTD 03/01/72	694886AW2	05/11/2009	150,000	147,603.10	166.83	U.S. Corporation

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YEAR-END STATEMENT****TRANSACTIONS WE DO NOT REPORT TO THE IRS****(continued)****SECURITIES PURCHASED****(continued)**

<i>Description</i>	<i>CUSIP</i>	<i>Trade/Process Date</i>	<i>Quantity</i>	<i>Net Cost</i>	<i>Accrued Interest Purchased Amount</i>	<i>Security Type</i>
TENNESSEE HSB DEV AGY HOMEOWNERSHIP PG-2005-2C 3.600% 07/01/09 B/E DTD 07/15/05	880459T93	08/02/2009	50,000	50,562.00	170.00	Specified Private Activity
U S TREAS NT 6.875% 03/31/08 B/E DTD 03/31/93	912827E73	03/31/2009	5,000	3,223.42	1,041.70	U.S. Government
<b>TOTAL</b>				<b>352,329.56</b>	<b>2,506.70</b>	



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**2009 TAX AND  
YEAR-END STATEMENT**

Revised Statement as of 03/12/2009

**ADDITIONAL WRITTEN STATEMENT – COLLATERALIZED DEBT OBLIGATIONS (Including REMICs)**

CUSIP	Lot No.	Quantity	Accrual Period Begins	Days Held	Per \$1,000 of Original Principal			Aggregate Amount Of			Ending Market Discount Fraction
					Beginning Adjusted Issue Price	Daily Original Issue Discount	Daily Accrued Interest Income	Original Issue Discount	Accrued Interest Income	Actual Interest Paid (Cash)	
<b>FNMA GTD REMIC PASS THRU CTF REMIC</b>											
31358FAN9	1	50,000	08/26/2009	30	990.0156	.0056711	.2500000	8.51	375.00	375.00	.0168721
		50,000	09/26/2009	30	990.1857	.0078586	.2500000	11.79	375.00	375.00	.0237814
<b>Lot Total:</b>				60				20.30	750.00	750.00	
<b>Security Total:</b>								20.30	750.00	750.00	
<b>P-B CMO TR TR 89 CMO SER 11 CL 11-D</b>											
69290JBC5	1	30,000	01/25/2009	30	998.4197		.2500000		225.00	225.00	.0226692
		30,000	02/25/2009	30	998.4621		.2500000		225.00	225.00	.0233715
		30,000	03/25/2009	30	998.4883				225.00	225.00	.0237944
<b>Lot Total:</b>				90					675.00	675.00	
<b>Security Total:</b>									675.00	675.00	

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**2009 TAX AND  
YEAR-END STATEMENT**

**TRANSACTIONS WE DO NOT REPORT TO THE IRS**

(continued)

**ELECTRONIC DEPOSITS**

Process/ Settlement Date	Activity Type	Description	Amount
01/31/09	ELECTRONIC TRANSACTION	DIRECT DEPOSIT 1231231234 THE BOARD OF PEN	1,890.34
05/31/09	ELECTRONIC TRANSACTION	DIRECT DEPOSIT 9999995559 TCHRS R ET SYS	808.91
<b>Total Electronic Deposits</b>			<b>2,699.25</b>

**OTHER DEPOSITS**

Process/ Settlement Date	Activity Type	Description	Quantity	Price	Amount
02/01/09	CHECK RECEIVED	CHECK RECEIVED 4335			18,551.35
02/25/09	CHECK RECEIVED	CHECK RECEIVED 9538			16,446.31
09/09/09	FEDERAL FUNDS RECEIVED	CITIBANK NA NYBD CIT 14458			20,000.00
<b>Total Other Deposits</b>					<b>54,997.66</b>

**CHECKING ACTIVITY**

Process Date	Date Written	Check Number	Payee	Check Category	Amount
<b>Code 0</b>					
11/26/09	11/26/09	0651	POSTY CARDS	CODE 0	(69.69)
11/26/09	10/26/09	0652	DR. GREENE	CODE 0	(340.00)
12/30/09	11/30/09	0666	SILVER CREEK FARMS	CODE 0	(390.00)
<b>Code 0 Total</b>					<b>(799.69)</b>

**Charitable Contributions**

01/07/09	12/15/09	0642	GEORGETOWN UNIV	CHARITABLE CONTRIBUTIONS	(1,000.00)
01/03/09	12/15/09	0654	ST JOSEPHS PREP	CHARITABLE CONTRIBUTIONS	(500.00)
03/09/09	02/28/09	0661	CONVENT OF THE SACRED HEART	CHARITABLE CONTRIBUTIONS	(1,000.00)
<b>Charitable Contributions Total</b>					<b>(2,500.00)</b>

<b>Total Checking Activity</b>					<b>(3,299.69)</b>
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**Recipient's Name and Address:**

CUSTOMERNAME CUSTOMERLASTNAME  
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**Account Number: 123-456789**

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2009 TAX AND  
YEAR-END STATEMENT

**TRANSACTIONS WE DO NOT REPORT TO THE IRS**

(continued)

**DEBIT CARD ACTIVITY**

<i>Process Date</i>	<i>Transaction Date</i>	<i>Vendor</i>	<i>Location</i>	<i>Reference Number</i>	<i>Amount</i>
<b>Cash Disbursements</b>					
10/25/09	10/25/09	ATM WITHDRAWAL	HOLLYWOOD	11111111111111111111	(2,000.00)
11/22/09	11/22/09	ATM WITHDRAWAL	MAIN & VINE STS	22222222222222222222	(2,000.00)
12/25/09	12/24/09	ATM WITHDRAWAL	CHRISTMAS CITY	1225122512251225122512	(5,000.00)
<b>Cash Disbursements Total</b>					<b>(9,000.00)</b>
<b>Retail Stores</b>					
06/23/09	06/22/09	MARKS & SPENCER	SPRINGFIELD VA	35425155174000056422368	(208.25)
06/24/09	06/23/09	MARKS & SPENCER	SPRINGFIELD VA	35425155174000056422137	45.27
<b>Retail Stores Total</b>					<b>(162.98)</b>
<b>Total Debit Card Activity</b>					<b>(9,162.98)</b>

**ELECTRONIC WITHDRAWALS**

<i>Process Settlement Date</i>	<i>Activity Type</i>	<i>Description</i>	<i>Amount</i>
01/07/09	ELECTRONIC TRANSACTION	AUTHORIZED DEBIT 47474747WFHM MORTGAGE	2,425.30
12/14/09	ELECTRONIC TRANSACTION	AUTHORIZED DEBIT AMEXARCDALAMERICAN EXPRESS	(2,472.95)
<b>Total Electronic Withdrawals</b>			<b>(4,898.25)</b>

**OTHER WITHDRAWALS**

<i>Process Settlement Date</i>	<i>Activity Type</i>	<i>Description</i>	<i>Quantity</i>	<i>Price</i>	<i>Amount</i>
05/02/09	FEDERAL FUNDS SENT	FIRST UNION NATIONAL			(23,750.00)
08/10/09	FEDERAL FUNDS SENT	BOSTON SAFE DEPOSIT			(5,000.00)
<b>Total Other Withdrawals</b>					<b>(28,750.00)</b>

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**2009 TAX AND  
YEAR-END STATEMENT**

**TRANSACTIONS WE DO NOT REPORT TO THE IRS**

(continued)

**SCHEDULE OF REALIZED GAINS AND LOSSES**

<i>Disposition Date</i>	<i>Acquisition Date</i>	<i>Closing Transaction</i>	<i>Security Description</i>	<i>Identifier</i>	<i>Quantity</i>	<i>Cost Basis</i>	<i>Proceeds</i>	<i>Realized Gain/Loss</i>
<b>Long Term</b>								
04/17/09	05/23/04	SELL	OCCUSYSTEMS INC COM	OCU	100.000	115.75	100.00	(15.75)
05/15/09	05/15/97	MAT	U. S. TREAS NOTE 8.250% 05/15/09 B/E DTD 05/15/97 Original Cost Basis: 49,875.40	912810BU1	55,000.000	55,000.00	55,000.00	0.00
08/04/09	08/08/05	SELL	PENN NATL GAMING INC	PENN	100.000	1,779.95	1,950.43	170.48
09/02/09	01/11/01	SELL	CHEVRON CORP	CVX	450.000	9,400.00	9,562.50	162.50
<b>Total Long Term</b>						<b>66,295.70</b>	<b>66,612.93</b>	<b>317.23</b>
<b>Short Term</b>								
03/15/09	09/22/08	SELL	PUT 100 S&P 500 INDEX	SBX-10	10.000	1,921.38	2,342.76	421.38
04/08/09	02/25/09	SELL	UNITED STATES TREAS BILLS 0.000% 04/08/07	912795PT2	100,000.000	98,790.50	99,005.00	214.50
06/30/09	03/16/09	SELL	CALL 100 LANCER GRP	IGG-LR	25.000	6,363.80	7,500.00	1,136.20
07/10/09	11/12/08	SELL	PUT 100 S&P 500 INDEX	SBX-10	5.000	845.70	1,265.75	420.05
08/21/09	10/22/08	EXP	PUT 100 DELL COMPUTER	VK-ML	3.000	1,234.50	0.00	(1,234.50)
10/20/09	04/10/09	SELL	EXXON MOBIL CORP COM	XOM	200.000	1,690.25	1,752.00	61.75
<b>Total Short Term</b>						<b>119,061.63</b>	<b>111,865.51</b>	<b>1,019.38</b>
<b>Total Long Term and Short Term</b>						<b>185,357.33</b>	<b>178,478.44</b>	<b>1,336.61</b>

This section is meant as a general guide and is provided for informational purposes only. The Schedule of Realized Gains and Losses is not reported to the IRS. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes; for example, it does not reflect disallowed losses from wash sale events and differences due to reclassification of income. The Schedule of Realized Gains and Losses section on this statement and the monthly client brokerage statement will differ when adjustments are made after the closing date of the transaction. When you report your cost basis on your tax return, it should be verified with your own records. In particular, there may be other adjustments which you need to make and you should consult with your tax advisor in order to properly report your gain or loss for tax purposes.

Cost basis on fixed income securities is adjusted by several factors including: amortization, accretion, or principal paydowns. Original cost basis of these investments is provided for your convenience.

(continued)

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The cost basis of this security has been provided to us by you or your financial organization and we make no representation as to the accuracy of such cost basis.

Realized gains and losses are not reported for this closing transaction because the cost basis or proceeds is not available. As a result, totals will not reflect information for this security.

Realized loss for this security is net of disallowance due to a wash sale to the extent such wash sales are reflected in our records.

There may be differences between the Schedule of Realized Gains and Losses and 1099 reporting. Below are some of the reasons for these differences:

- **Account Number Changes**—If your account number changed during the year, the Schedule of Realized Gains and Losses may have been transferred from the original account to the new account. The new account will provide you with the complete Schedule of Realized Gains and Losses. However, you will receive a complete 1099 for each account open during the year.
- **Corporate Actions**—For corporate actions, especially cash and stock mergers, the Schedule of Realized Gains and Losses may report the economic gain or loss resulting from the transaction, including the value of any stock or securities received. Thus, the Schedule of Realized Gains and Losses may report no capital gain, a capital gain equal to the difference between the original cost basis versus the fair market value of the new security, or a capital gain equal to the cash received, depending on the terms of the corporate action. In all events, however, the 1099 will only report the cash portion of the corporate action.
- **Cost Basis Service Enrollment**—The Schedule of Realized Gains and Losses will only be displayed for closing transactions during the period the account was enrolled in the cost basis service. However, proceeds will be reported on the 1099 for the full year.
- **Cost Basis Service Reenrollment**—The Schedule of Realized Gains and Losses provides you with the activity after your account was reactivated in the cost basis service. However, proceeds will be reported on the 1099 for the full year.
- **Fixed Income**—Maturities and redemptions for short-term instruments (maturities of less than one year) are included in the Schedule of Realized Gains and Losses. However, this income is reported to the IRS on Form 1099-INT.
- **Mortgage-Backed Securities**—Each principal paydown is included in the Schedule of Realized Gains and Losses. However, proceeds are reported to the IRS on Form 1099-B only upon the sale or final redemption of the security.
- **Options (Assignment)**—For the Schedule of Realized Gains and Losses, the underlying security proceeds are adjusted by the premium paid or received from the options contract. However, if the assignment of the options constitutes a sale of the underlying securities, the proceeds of the sale are reported to the IRS on Form 1099-B, without taking the premium into account.
- **Options (Closing Contracts)**—The Schedule of Realized Gains and Losses will include options transactions. However, options transactions are generally not reported to the IRS and may not appear on the 1099.
- **Short Sales**—Short sales are reported on the Schedule of Realized Gains and Losses in the year those sales are covered. However, short sales are reported to the IRS on Form 1099-B in the year they are sold.

The tax rules applicable to the reporting of the transactions reported on the Schedule of Realized Gains and Loss are complex. You should consult your tax advisor for the appropriate tax treatment of your transactions and the manner in which they should be reported on your tax returns.