

Cash Transactions

Account Number: 1234-5678-ABC
 Account Name: JOHN Q INVESTOR

Case Name: INVESTOR V. BROKERAGE FIRM
 Date Range: 09/2009 Thru 05/2015

| Date | Bot/Rec | Slid/Del | Description | Price | Debit | Credit | Comments |
|---|------------|-------------|--|------------|-------|---------------------|----------------------------|
| SECURITIES RECEIVED IN | | | | | | | |
| 1 | 09/02/2009 | 300.0000 | RECV ISHARES TRUST BARCLAYS TIPS BOND FUND | \$101.1400 | | \$30,342.00 | BLOOMBERG CLOSE |
| 2 | 09/02/2009 | 15,000.0000 | RECV U S BANCORP NOTES B/E SEMI 4.500% 072910 DTD 072905 FC 012906 | \$103.4590 | | \$15,518.85 | BLOOMBERG CLOSE |
| TOTAL FOR SECURITIES RECEIVED IN | | | | | | \$45,860.85 | |
| DEPOSITS | | | | | | | |
| 3 | 09/02/2009 | | TRANSFER CASH BALANCE | | | \$145,436.58 | |
| 4 | 09/08/2009 | | TRANSFER CASH BALANCE | | | \$1.16 | |
| 5 | 09/24/2009 | | TRANSFER CASH BALANCE | | | \$95.00 | |
| 6 | 10/02/2009 | | TRANSFER CASH BALANCE | | | \$0.16 | |
| TOTAL FOR DEPOSITS | | | | | | \$145,532.90 | |
| CASH TRANSFERRED IN | | | | | | | |
| 7 | 05/07/2015 | | FM 5124-8976 | | | \$51,354.57 | |
| TOTAL FOR CASH TRANSFERRED IN | | | | | | \$51,354.57 | |
| DIVIDENDS | | | | | | | |
| 8 | 09/08/2009 | | ISHARES TRUST BARCLAYS TIPS BOND FUND | | | \$276.12 | DIVIDEND |
| 9 | 10/20/2009 | | INVESTMENT MANAGERS SERIES TRUST ZACKS MARKET NEUTRAL FD CL A | | | \$136.50 | DIVIDEND; A/O 10/16/09 |
| 10 | 12/11/2009 | | FORUM FUNDS ABSOLUTE STRATEGIES FUND INTSTITUTIONAL SHARES | | | \$14.02 | DIVIDEND STG |
| 11 | 01/04/2010 | | FORUM FUNDS ABSOLUTE STRATEGIES FUND INTSTITUTIONAL SHARES | | | \$288.22 | DIVIDEND; A/O 12/31/09 |
| 12 | 05/18/2010 | | NEW YORK COMMUNITY BANCORP INC | | | \$257.00 | DIVIDEND |
| 13 | 06/01/2010 | | WAL-MART STORES INC | | | \$85.00 | DIVIDEND |
| 14 | 06/03/2010 | | TJX COMPANIES INC NEW | | | \$61.65 | DIVIDEND |
| 15 | 10/01/2010 | | PUTNAM PREMIER INCOME TRUST SBI | | | \$168.15 | DIVIDEND |
| 16 | 10/12/2010 | | ALTRIA GROUP INC | | | \$190.00 | DIVIDEND |
| 17 | 11/01/2010 | | PUTNAM PREMIER INCOME TRUST SBI | | | \$168.15 | DIVIDEND |
| 18 | 12/01/2010 | | PUTNAM PREMIER INCOME TRUST SBI | | | \$336.30 | DIVIDEND |
| 19 | 09/23/2011 | | DELAWARE POOLED TR DIVERSIFIED INCOME FD CL A | | | \$26.53 | DIVIDEND; A/O 09/22/11 |
| 20 | 10/24/2011 | | DELAWARE POOLED TR DIVERSIFIED INCOME FD CL A | | | \$390.72 | DIVIDEND; A/O 10/21/11 |
| 21 | 11/23/2011 | | DELAWARE POOLED TR DIVERSIFIED INCOME FD CL A | | | \$392.38 | DIVIDEND; A/O 11/22/11 |
| 22 | 12/09/2011 | | PERMANENT PORTFOLIO FD INC | | | \$214.68 | DIVIDEND LTG; A/O 12/07/11 |
| 23 | 12/09/2011 | | PERMANENT PORTFOLIO FD INC | | | \$300.55 | DIVIDEND; A/O 12/07/11 |

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| 24 | 12/23/2011 | | DELAWARE POOLED TR DIVERSIFIED INCOME FD CL A | | | \$375.05 | DIVIDEND; A/O 12/22/11 |
| 25 | 12/23/2011 | | DELAWARE POOLED TR DIVERSIFIED INCOME FD CL A | | | \$1,315.18 | DIVIDEND STG; A/O 12/22/11 |
| 26 | 12/23/2011 | | DELAWARE POOLED TR DIVERSIFIED INCOME FD CL A | | | \$1,702.00 | DIVIDEND LTG; A/O 12/22/11 |
| 27 | 01/23/2012 | | DELAWARE POOLED TR DIVERSIFIED INCOME FD CL A | | | \$391.53 | DIVIDEND; A/O 01/20/12 |
| 28 | 02/23/2012 | | DELAWARE POOLED TR DIVERSIFIED INCOME FD CL A | | | \$398.29 | DIVIDEND; A/O 02/22/12 |
| 29 | 03/23/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$383.29 | DIVIDEND; A/O 03/22/12 |
| 30 | 04/23/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$379.00 | DIVIDEND; A/O 04/20/12 |
| 31 | 05/23/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$379.45 | DIVIDEND; A/O 05/22/12 |
| 32 | 06/25/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$389.92 | DIVIDEND; A/O 06/22/12 |
| 33 | 07/23/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$386.08 | DIVIDEND; A/O 07/20/12 |
| 34 | 08/16/2012 | | APPLE INC | | | \$60.95 | DIVIDEND |
| 35 | 08/23/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$398.36 | DIVIDEND; A/O 08/22/12 |
| 36 | 09/24/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$382.69 | DIVIDEND; A/O 09/21/12 |
| 37 | 10/23/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$376.52 | DIVIDEND; A/O 10/22/12 |
| 38 | 11/15/2012 | | APPLE INC | | | \$60.95 | DIVIDEND |
| 39 | 11/23/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$376.78 | DIVIDEND; A/O 11/21/12 |
| 40 | 12/07/2012 | | PERMANENT PORTFOLIO FD INC | | | \$196.14 | DIVIDEND; A/O 12/05/12 |
| 41 | 12/07/2012 | | PERMANENT PORTFOLIO FD INC | | | \$261.51 | DIVIDEND LTG; A/O 12/05/12 |
| 42 | 12/24/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$359.74 | DIVIDEND |
| 43 | 12/24/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$507.69 | DIVIDEND LTG |
| 44 | 12/24/2012 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$727.23 | DIVIDEND STG |
| 45 | 01/23/2013 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$360.39 | DIVIDEND; A/O 01/22/13 |
| 46 | 02/14/2013 | | APPLE INC | | | \$60.95 | DIVIDEND |
| 47 | 02/25/2013 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$370.77 | DIVIDEND; A/O 02/22/13 |
| 48 | 03/25/2013 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$369.55 | DIVIDEND; A/O 03/22/13 |
| 49 | 04/23/2013 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$387.01 | DIVIDEND; A/O 04/22/13 |
| 50 | 05/16/2013 | | APPLE INC | | | \$70.15 | DIVIDEND |
| 51 | 05/23/2013 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$385.83 | DIVIDEND; A/O 05/22/13 |
| 52 | 06/24/2013 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$428.55 | DIVIDEND; A/O 06/21/13 |
| 53 | 07/23/2013 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$387.14 | DIVIDEND; A/O 07/22/13 |
| 54 | 08/15/2013 | | APPLE INC | | | \$70.15 | DIVIDEND |
| 55 | 08/23/2013 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$396.11 | DIVIDEND; A/O 08/22/13 |
| 56 | 09/23/2013 | | DELAWARE DIVERSIFIED INCOME CL A | | | \$353.51 | DIVIDEND; A/O 09/20/13 |
| 57 | 11/14/2013 | | APPLE INC | | | \$70.15 | DIVIDEND |
| 58 | 01/02/2014 | | PERMANENT PORTFOLIO FD INC | | | \$183.97 | DIVIDEND; A/O 12/30/13 |
| 59 | 01/02/2014 | | PERMANENT PORTFOLIO FD INC | | | \$3,201.11 | DIVIDEND LTG; A/O 12/30/13 |
| 60 | 02/13/2014 | | APPLE INC | | | \$70.15 | DIVIDEND |

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|---------------------------------|------------|----------|----------------------------|-------|-------|--------------------|----------------------------|
| 61 | 05/15/2014 | | APPLE INC | | | \$75.67 | DIVIDEND |
| 62 | 08/14/2014 | | APPLE INC | | | \$75.67 | DIVIDEND |
| 63 | 11/13/2014 | | APPLE INC | | | \$75.67 | DIVIDEND |
| 64 | 12/12/2014 | | PERMANENT PORTFOLIO FD INC | | | \$219.91 | DIVIDEND; A/O 12/10/14 |
| 65 | 12/12/2014 | | PERMANENT PORTFOLIO FD INC | | | \$2,361.99 | DIVIDEND LTG; A/O 12/10/14 |
| 66 | 02/12/2015 | | APPLE INC | | | \$75.67 | DIVIDEND |
| TOTAL FOR DIVIDENDS | | | | | | \$23,164.39 | |
| MONEY MARKET FUND INCOME | | | | | | | |
| 67 | 09/30/2009 | | INSURED CASH ACCOUNT | | | \$4.93 | DIVIDEND |
| 68 | 10/30/2009 | | INSURED CASH ACCOUNT | | | \$5.27 | DIVIDEND |
| 69 | 11/30/2009 | | INSURED CASH ACCOUNT | | | \$5.06 | DIVIDEND |
| 70 | 12/31/2009 | | INSURED CASH ACCOUNT | | | \$5.24 | DIVIDEND |
| 71 | 01/29/2010 | | INSURED CASH ACCOUNT | | | \$5.23 | DIVIDEND |
| 72 | 02/26/2010 | | INSURED CASH ACCOUNT | | | \$4.11 | DIVIDEND |
| 73 | 03/31/2010 | | INSURED CASH ACCOUNT | | | \$4.51 | DIVIDEND |
| 74 | 04/08/2010 | | INSURED CASH ACCOUNT | | | \$1.00 | DIVIDEND |
| 75 | 04/30/2010 | | INSURED CASH ACCOUNT | | | \$1.72 | DIVIDEND |
| 76 | 05/07/2010 | | INSURED CASH ACCOUNT | | | \$0.36 | DIVIDEND |
| 77 | 05/28/2010 | | INSURED CASH ACCOUNT | | | \$1.83 | DIVIDEND |
| 78 | 06/30/2010 | | INSURED CASH ACCOUNT | | | \$4.54 | DIVIDEND |
| 79 | 07/30/2010 | | INSURED CASH ACCOUNT | | | \$6.02 | DIVIDEND |
| 80 | 08/31/2010 | | INSURED CASH ACCOUNT | | | \$6.05 | DIVIDEND |
| 81 | 09/30/2010 | | INSURED CASH ACCOUNT | | | \$5.21 | DIVIDEND |
| 82 | 10/29/2010 | | INSURED CASH ACCOUNT | | | \$4.69 | DIVIDEND |
| 83 | 11/30/2010 | | INSURED CASH ACCOUNT | | | \$3.08 | DIVIDEND |
| 84 | 12/31/2010 | | INSURED CASH ACCOUNT | | | \$3.45 | DIVIDEND |
| 85 | 01/31/2011 | | INSURED CASH ACCOUNT | | | \$2.86 | DIVIDEND |
| 86 | 02/28/2011 | | INSURED CASH ACCOUNT | | | \$2.14 | DIVIDEND |
| 87 | 03/31/2011 | | INSURED CASH ACCOUNT | | | \$2.02 | DIVIDEND |
| 88 | 04/29/2011 | | INSURED CASH ACCOUNT | | | \$2.71 | DIVIDEND |
| 89 | 05/31/2011 | | INSURED CASH ACCOUNT | | | \$2.61 | DIVIDEND |
| 90 | 06/30/2011 | | INSURED CASH ACCOUNT | | | \$3.87 | DIVIDEND |
| 91 | 07/29/2011 | | INSURED CASH ACCOUNT | | | \$5.54 | DIVIDEND |
| 92 | 08/31/2011 | | INSURED CASH ACCOUNT | | | \$6.17 | DIVIDEND |
| 93 | 09/30/2011 | | INSURED CASH ACCOUNT | | | \$3.83 | DIVIDEND |

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|------|------------|----------|----------------------|-------|-------|--------|----------|
| 94 | 10/31/2011 | | INSURED CASH ACCOUNT | | | \$0.06 | DIVIDEND |
| 95 | 11/30/2011 | | INSURED CASH ACCOUNT | | | \$0.05 | DIVIDEND |
| 96 | 12/30/2011 | | INSURED CASH ACCOUNT | | | \$0.06 | DIVIDEND |
| 97 | 01/31/2012 | | INSURED CASH ACCOUNT | | | \$0.06 | DIVIDEND |
| 98 | 02/29/2012 | | INSURED CASH ACCOUNT | | | \$0.13 | DIVIDEND |
| 99 | 03/30/2012 | | INSURED CASH ACCOUNT | | | \$0.23 | DIVIDEND |
| 100 | 04/30/2012 | | INSURED CASH ACCOUNT | | | \$0.23 | DIVIDEND |
| 101 | 05/31/2012 | | INSURED CASH ACCOUNT | | | \$0.23 | DIVIDEND |
| 102 | 06/29/2012 | | INSURED CASH ACCOUNT | | | \$0.22 | DIVIDEND |
| 103 | 07/31/2012 | | INSURED CASH ACCOUNT | | | \$0.24 | DIVIDEND |
| 104 | 08/31/2012 | | INSURED CASH ACCOUNT | | | \$0.22 | DIVIDEND |
| 105 | 09/28/2012 | | INSURED CASH ACCOUNT | | | \$0.22 | DIVIDEND |
| 106 | 10/31/2012 | | INSURED CASH ACCOUNT | | | \$0.22 | DIVIDEND |
| 107 | 11/30/2012 | | INSURED CASH ACCOUNT | | | \$0.21 | DIVIDEND |
| 108 | 12/31/2012 | | INSURED CASH ACCOUNT | | | \$0.22 | DIVIDEND |
| 109 | 01/31/2013 | | INSURED CASH ACCOUNT | | | \$0.22 | DIVIDEND |
| 110 | 02/28/2013 | | INSURED CASH ACCOUNT | | | \$0.19 | DIVIDEND |
| 111 | 03/28/2013 | | INSURED CASH ACCOUNT | | | \$0.10 | DIVIDEND |
| 112 | 04/30/2013 | | INSURED CASH ACCOUNT | | | \$0.10 | DIVIDEND |
| 113 | 05/31/2013 | | INSURED CASH ACCOUNT | | | \$0.10 | DIVIDEND |
| 114 | 06/28/2013 | | INSURED CASH ACCOUNT | | | \$0.10 | DIVIDEND |
| 115 | 07/31/2013 | | INSURED CASH ACCOUNT | | | \$0.10 | DIVIDEND |
| 116 | 08/30/2013 | | INSURED CASH ACCOUNT | | | \$0.10 | DIVIDEND |
| 117 | 09/30/2013 | | INSURED CASH ACCOUNT | | | \$0.54 | DIVIDEND |
| 118 | 10/31/2013 | | INSURED CASH ACCOUNT | | | \$1.16 | DIVIDEND |
| 119 | 11/29/2013 | | INSURED CASH ACCOUNT | | | \$1.12 | DIVIDEND |
| 120 | 12/31/2013 | | INSURED CASH ACCOUNT | | | \$1.16 | DIVIDEND |
| 121 | 01/31/2014 | | INSURED CASH ACCOUNT | | | \$1.10 | DIVIDEND |
| 122 | 02/28/2014 | | INSURED CASH ACCOUNT | | | \$0.27 | DIVIDEND |
| 123 | 03/31/2014 | | INSURED CASH ACCOUNT | | | \$0.30 | DIVIDEND |
| 124 | 04/30/2014 | | INSURED CASH ACCOUNT | | | \$0.29 | DIVIDEND |
| 125 | 05/30/2014 | | INSURED CASH ACCOUNT | | | \$0.30 | DIVIDEND |
| 126 | 06/30/2014 | | INSURED CASH ACCOUNT | | | \$0.29 | DIVIDEND |
| 127 | 07/31/2014 | | INSURED CASH ACCOUNT | | | \$0.30 | DIVIDEND |
| 128 | 08/29/2014 | | INSURED CASH ACCOUNT | | | \$0.30 | DIVIDEND |
| 129 | 09/30/2014 | | INSURED CASH ACCOUNT | | | \$0.29 | DIVIDEND |
| 130 | 10/31/2014 | | INSURED CASH ACCOUNT | | | \$0.30 | DIVIDEND |

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| 131 | 11/03/2014 | | INSURED CASH ACCOUNT | | | \$0.01 | DIVIDEND |
| 132 | 11/28/2014 | | INSURED CASH ACCOUNT | | | \$0.28 | DIVIDEND |
| 133 | 12/31/2014 | | INSURED CASH ACCOUNT | | | \$0.30 | DIVIDEND |
| 134 | 01/30/2015 | | INSURED CASH ACCOUNT | | | \$0.30 | DIVIDEND |
| 135 | 02/17/2015 | | INSURED CASH ACCOUNT | | | \$0.15 | DIVIDEND |
| TOTAL FOR MONEY MARKET FUND INCOME | | | | | | \$116.42 | |
| MISCELLANEOUS CHARGES | | | | | | | |
| 136 | 11/06/2009 | | ADVISORY FEE | | \$799.84 | | |
| 137 | 02/08/2010 | | ADVISORY FEE | | \$479.86 | | |
| 138 | 05/07/2010 | | ADVISORY FEE | | \$476.47 | | |
| 139 | 08/06/2010 | | ADVISORY FEE | | \$455.10 | | |
| 140 | 11/08/2010 | | ADVISORY FEE | | \$477.64 | | |
| 141 | 02/08/2011 | | ADVISORY FEE | | \$453.06 | | |
| 142 | 05/09/2011 | | ADVISORY FEE | | \$446.10 | | |
| 143 | 08/05/2011 | | ADVISORY FEE | | \$455.12 | | |
| 144 | 11/07/2011 | | ADVISORY FEE | | \$331.62 | | |
| 145 | 02/08/2012 | | ADVISORY FEE | | \$342.37 | | |
| 146 | 05/08/2012 | | ADVISORY FEE | | \$351.67 | | |
| 147 | 08/08/2012 | | ADVISORY FEE | | \$357.26 | | |
| 148 | 11/08/2012 | | ADVISORY FEE | | \$360.20 | | |
| 149 | 02/08/2013 | | ADVISORY FEE | | \$355.46 | | |
| 150 | 05/08/2013 | | ADVISORY FEE | | \$357.23 | | |
| 151 | 08/08/2013 | | ADVISORY FEE | | \$344.05 | | |
| 152 | 11/08/2013 | | ADVISORY FEE | | \$346.30 | | |
| 153 | 02/10/2014 | | ACCT ADMIN CHARGE | | \$10.00 | | |
| 154 | 02/10/2014 | | ADVISORY FEE | | \$151.32 | | |
| 155 | 05/09/2014 | | ACCT ADMIN CHARGE | | \$10.00 | | |
| 156 | 05/09/2014 | | ADVISORY FEE | | \$161.23 | | |
| 157 | 08/11/2014 | | ACCT ADMIN CHARGE | | \$10.00 | | |
| 158 | 08/11/2014 | | ADVISORY FEE | | \$165.41 | | |
| 159 | 11/10/2014 | | ACCT ADMIN CHARGE | | \$10.00 | | |
| 160 | 11/10/2014 | | ADVISORY FEE | | \$166.33 | | |
| 161 | 02/09/2015 | | ACCT ADMIN CHARGE | | \$10.00 | | |
| 162 | 02/09/2015 | | ADVISORY FEE | | \$170.08 | | |
| 163 | 02/13/2015 | | REV ADVISORY FEE | | | \$145.24 | ADJ |

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| 164 | 02/17/2015 | | TERMINATION FEE | | \$95.00 | | |
| TOTAL FOR MISCELLANEOUS CHARGES | | | | | | (\$8,003.48) | |
| SECURITIES DELIVERED OUT | | | | | | | |
| 165 | 02/19/2015 | DELV | 161.0000 APPLE INC | \$128.4500 | \$20,680.45 | | BLOOMBERG CLOSE |
| 166 | 02/19/2015 | DELV | 879.0450 PERMANENT PORTFOLIO FD INC | \$40.4500 | \$35,557.37 | | BLOOMBERG CLOSE |
| TOTAL FOR SECURITIES DELIVERED OUT | | | | | | (\$56,237.82) | |
| CASH WITHDRAWN | | | | | | | |
| 167 | 02/19/2015 | | TRANSFER CASH BALANCE | | \$35,853.05 | | |
| 168 | 02/23/2015 | | TRANSFER CASH BALANCE | | \$145.28 | | |
| 169 | 05/11/2015 | | TRANSFER CASH BALANCE | | \$51,354.57 | | |
| TOTAL FOR CASH WITHDRAWN | | | | | | (\$87,352.90) | |
| CASH TRANSFERRED OUT | | | | | | | |
| 170 | 01/30/2014 | | TO 5124-8976 | | \$100,500.00 | | |
| TOTAL FOR CASH TRANSFERRED OUT | | | | | | (\$100,500.00) | |