LEGISLATIVE ETHICS COMMISSION
STATE OF NEW YORK

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RECEIVED
MAY 09 2014
BY
LEG. ETHICS COMM.

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE

For Calendar Year 2013

1. Name Velmanette Montgomery

2. (a) Title of Position N.Y. STATE SENATOR

   (b) Department, Agency or other Governmental Entity N.Y. SENATE

   (c) Address of Present Office 30 THIRD AVE. BROOKLYN NY 11217

   (d) Office Telephone Number 718-643-6140

3. (a) Marital Status MARRIED. If married, please give spouse's full name including maiden name where applicable.
   William WALKER

   (b) List the names of all unemancipated children.

Answer each of the following questions completely, with respect to calendar year 2013, unless another period or date is otherwise specified. If additional space is needed, attach additional pages.

Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following Categories in Table I or Table II of this subdivision as called for in the question: A reporting individual shall indicate the Category by letter only.

Whenever "income" is required to be reported herein, the term "income" shall mean the aggregate net income before taxes from the source identified.

The term "calendar year" shall mean the year ending the December 31st preceding the date of filing of the annual statement.

4. (a) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Organization	State or Local Agency
N/A		

(b) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the spouse or unemancipated child of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Organization	State or Local Agency
N/A		

5. (a) List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Position	Name & Address of Organization	Description	State or Local Agency
N/A			

(b) If the spouse or unemancipated child of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

Position	Name & Address of Organization	Description	State or Local Agency
N/A			

6. List any interest, in EXCESS of $1,000, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an

ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do NOT list any interest in a contract made or executed by a local agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

Self, Spouse or Child	Entity Which Held Interest in Contract	Relationship to Entity and Interest in Contract	Contracting State or Local Agency	Category of Value of Contract (In Table II)
N/A				

7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

Kings County Democratic Committee (Member)
Central Brooklyn Democratic Committee (CBID Member)
Independent Neighborhood Democrats (Member)
Vanguard Independent Democratic Association (Member)
Lambda Independent Democrats (Member)

8. (a) If the reporting individual practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, or works as a member or employee of a firm required to register pursuant to section one-e of the legislative law as a lobbyist, give a general description of the principal subject areas of matters undertaken by such individual. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation.

N/A

(b) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE: If the reporting individual personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), then identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of $10,000 during the reporting period for such services rendered in direct connection with:

(i) A proposed bill or resolution in the senate or assembly during the reporting period;

(ii) A contract in an amount totaling $50,000 or more from the state or any state agency for services, materials, or property;

(iii) A grant of $25,000 or more from the state or any state agency during the reporting period;

(iv) A grant obtained through a legislative initiative during the reporting period; or

(v) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or knowingly solicit or direct to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in subparagraphs (i)through (v)of this paragraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c),(d), e)and (f)of subdivision seven of section seventy-three of this article.

The disclosure requirement in this question shall not require disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from the reporting individual or his or her firm. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations matters. With respect to clients represented in other matters, where disclosure of a client's identity is likely to cause harm, the reporting individual shall request an exemption from the joint commission pursuant to paragraph (i) of subdivision nine of section ninety-four of the executive law. Only a reporting individual who first enters public office after July first, two thousand twelve, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

Client	Nature of Services Provided
N/A	

(c) List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of $1,000 excluding investments in securities and interests in real property.

N/A

9. List each source of gifts, EXCLUDING campaign contributions, in EXCESS of $1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or unemancipated child from the same donor, EXCLUDING gifts from a relative. INCLUDE the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in item 10. Indicate the value and nature of each such gift.

Self, Spouse or Child	Name of Donor	Address	Nature of Gift	Category of Value of Gift (In Table I)
N/A				

10. Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of $1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or factfinding events. The term "reimbursements" does NOT include gifts reported under item 9.

Source	Description
N/A	

11. List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans (other than retirement plans of the state of New York or the city of New York), and deferred compensation plans

(e.g., 401, 403(b), 457, etc.) established in accordance with the internal revenue code, in which the REPORTING INDIVIDUAL held a beneficial interest in EXCESS of $1,000 at any time during the preceding year. Do NOT report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

Identity	Category of Value* (In Table II)
DEFERRED COMPENSATION	J
CIRS RETIREMENT	D
ROTH IRA	E

* The value of such interest shall be reported only if reasonably ascertainable.

12. (a) Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

N/A

(b) Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the REPORTING INDIVIDUAL in EXCESS of $1,000 from a prior employer OTHER THAN the State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

N/A

13. List below the nature and amount of any income in EXCESS of $1,000 from EACH SOURCE for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the

name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

Self/ Spouse	Source	Nature	Category of Amount (In Table I)
	Nuveen Investments	Exempt. interest/Dividend	B

14. List the sources of any deferred income (not retirement income) in EXCESS of $1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

Source	Category of Amount (In Table I)
N/A	

15. List each assignment of income in EXCESS of $1,000, and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of $1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

Item Assigned or Transferred	Assigned or Transferred to	Category of Value (In Table I)
N/A		

16. List below the type and market value of securities held by the reporting individual or such individual's spouse from each issuing entity in EXCESS of $1,000 at the close of the taxable year last

occurring prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed ONLY IF the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse has transferred assets to such trust for his or her benefit in which event such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. Securities of which the reporting individual or the reporting individual's spouse is the owner of record but in which such individual or the reporting individual's spouse has no beneficial interest shall not be listed. Indicate percentage of ownership ONLY if the reporting person or the reporting person's spouse holds more than five percent (5%) of the stock of a corporation in which the stock is publicly traded or more than ten percent (10%) of the stock of a corporation in which the stock is NOT publicly traded. Also list securities owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. For the purpose of this item the term "securities" shall mean mutual funds, bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits (CDs) and such other evidences of indebtedness and certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in item 8 (a) or if the security is corporate stock, NOT publicly traded, in a trade or business of a reporting individual or a reporting individual's spouse.

Self/ Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of publicly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
SELF	WELLS FARGO ADVISERS			J
	WELLS FARGO ADVISORS DSIP			H
(See Attached)				

17. List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in

which any vested or contingent interest in EXCESS of $1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

Self/ Spouse/ Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	Category of Market Value (In Table II)
	N/A					

18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of $1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount (In Table II)
[redacted] N/A	[redacted]	[redacted]

19. List below all liabilities of the reporting individual and such individual's spouse, in EXCESS of $10,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with

a matrimonial action, alimony or child support payments. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

Name of Creditor or Guarantor	Type of Liability and Collateral, if any	Category of Amount (In Table II)
N/A		

The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.

(Signature of Reporting Individual) Date (month/day/year) 5/15/14

[CATEGORY OF INCOME TABLES]

TABLE I

Category A		none		
Category B	$ 1	to under	$ 1,000	
Category C	$ 1,000	to under	$ 5,000	
Category D	$ 5,000	to under	$ 20,000	
Category E	$ 20,000	to under	$ 50,000	
Category F	$ 50,000	to under	$ 75,000	
Category G	$ 75,000	to under	$ 100,000	
Category H	$ 100,000	to under	$ 150,000	
Category I	$ 150,000	to under	$ 250,000	
Category J	$ 250,000	to under	$ 350,000	
Category K	$ 350,000	to under	$ 450,000	
Category L	$ 450,000	to under	$ 550,000	
Category M	$ 550,000	to under	$ 650,000	
Category N	$ 650,000	to under	$ 750,000	
Category O	$ 750,000	to under	$ 850,000	
Category P	$ 850,000	to under	$ 950,000	
Category Q	$ 950,000	to under	$1,050,000	
Category R	$1,050,000	to under	$1,150,000	
Category S	$1,150,000	to under	$1,250,000	
Category T	$1,250,000	to under	$1,350,000	
Category U	$1,350,000	to under	$1,450,000	
Category V	$1,450,000	to under	$1,550,000	
Category W	$1,550,000	to under	$1,650,000	

Category X	$1,650,000 to under $1,750,000
Category Y	$1,750,000 to under $1,850,000
Category Z	$1,850,000 to under $1,950,000
Category AA	$1,950,000 to under $2,050,000
Category BB	$2,050,000 to under $2,150,000
Category CC	$2,150,000 to under $2,250,000
Category DD	$2,250,000 to under $2,350,000
Category EE	$2,350,000 to under $2,450,000
Category FF	$2,450,000 to under $2,550,000
Category GG	$2,550,000 to under $2,650,000
Category HH	$2,650,000 to under $2,750,000
Category II	$2,750,000 to under $2,850,000
Category JJ	$2,850,000 to under $2,950,000
Category KK	$2,950,000 to under $3,050,000
Category LL	$3,050,000 to under $3,150,000
Category MM	$3,150,000 to under $3,250,000
Category NN	$3,250,000 to under $3,350,000
Category OO	$3,350,000 to under $3,450,000
Category PP	$3,450,000 to under $3,550,000
Category QQ	$3,550,000 to under $3,650,000
Category RR	$3,650,000 to under $3,750,000
Category SS	$3,750,000 to under $3,850,000
Category TT	$3,850,000 to under $3,950,000
Category UU	$3,950,000 to under $4,050,000
Category VV	$4,050,000 to under $4,150,000
Category WW	$4,150,000 to under $4,250,000
Category XX	$4,250,000 to under $4,350,000
Category YY	$4,350,000 to under $4,450,000
Category ZZ	$4,450,000 to under $4,550,000
Category AAA	$4,550,000 to under $4,650,000
Category BBB	$4,650,000 to under $4,750,000
Category CCC	$4,750,000 to under $4,850,000
Category DDD	$4,850,000 to under $4,950,000
Category EEE	$4,950,000 to under $5,050,000
Category FFF	$5,050,000 to under $5,150,000
Category GGG	$5,150,000 to under $5,250,000
Category HHH	$5,250,000 to under $5,350,000
Category III	$5,350,000 to under $5,450,000
Category JJJ	$5,450,000 to under $5,550,000
Category KKK	$5,550,000 to under $5,650,000
Category LLL	$5,650,000 to under $5,750,000
Category MMM	$5,750,000 to under $5,850,000
Category NNN	$5,850,000 to under $5,950,000
Category OOO	$5,950,000 to under $6,050,000
Category PPP	$6,050,000 to under $6,150,000
Category QQQ	$6,150,000 to under $6,250,000
Category RRR	$6,250,000 to under $6,350,000
Category SSS	$6,350,000 to under $6,450,000
Category TTT	$6,450,000 to under $6,550,000
Category UUU	$6,550,000 to under $6,650,000
Category VVV	$6,650,000 to under $6,750,000
Category WWW	$6,750,000 to under $6,850,000
Category XXX	$6,850,000 to under $6,950,000
Category YYY	$6,950,000 to under $7,050,000
Category ZZZ	$7,050,000 to under $7,150,000
Category AAAA	$7,150,000 to under $7,250,000
Category BBBB	$7,250,000 to under $7,350,000

Category CCCC	$7,350,000 to under $7,450,000
Category DDDD	$7,450,000 to under $7,550,000
Category EEEE	$7,550,000 to under $7,650,000
Category FFFF	$7,650,000 to under $7,750,000
Category GGGG	$7,750,000 to under $7,850,000
Category HHHH	$7,850,000 to under $7,950,000
Category IIII	$7,950,000 to under $8,050,000
Category JJJJ	$8,050,000 to under $8,150,000
Category KKKK	$8,150,000 to under $8,250,000
Category LLLL	$8,250,000 to under $8,350,000
Category MMMM	$8,350,000 to under $8,450,000
Category NNNN	$8,450,000 to under $8,550,000
Category OOOO	$8,550,000 to under $8,650,000
Category PPPP	$8,650,000 to under $8,750,000
Category QQQQ	$8,750,000 to under $8,850,000
Category RRRR	$8,850,000 to under $8,950,000
Category SSSS	$8,950,000 to under $9,050,000
Category TTTT	$9,050,000 to under $9,150,000
Category UUUU	$9,150,000 to under $9,250,000
Category VVVV	$9,250,000 to under $9,350,000
Category WWWW	$9,350,000 to under $9,450,000
Category XXXX	$9,450,000 to under $9,550,000
Category YYYY	$9,550,000 to under $9,650,000
Category ZZZZ	$9,650,000 to under $9,750,000
Category AAAAA	$9,750,000 to under $9,850,000
Category BBBBB	$9,850,000 to under $9,950,000
Category CCCCC	$9,950,000 to under $10,000,000
Category DDDDD	$10,000,000 or over

TABLE II

Category A	none
Category B	$ 1 to under $ 1,000
Category C	$ 1,000 to under $ 5,000
Category D	$ 5,000 to under $ 20,000
Category E	$ 20,000 to under $ 50,000
Category F	$ 50,000 to under $ 75,000
Category G	$ 75,000 to under $ 100,000
Category H	$ 100,000 to under $ 150,000
Category I	$ 150,000 to under $ 250,000
Category J	$ 250,000 to under $ 500,000
Category K	$ 500,000 to under $ 750,000
Category L	$ 750,000 to under $1,000,000
Category M	$1,000,000 to under $1,250,000
Category N	$1,250,000 to under $1,500,000
Category O	$1,500,000 to under $1,750,000
Category P	$1,750,000 to under $2,000,000
Category Q	$2,000,000 to under $2,250,000
Category R	$2,250,000 to under $2,500,000
Category S	$2,500,000 to under $2,750,000
Category T	$2,750,000 to under $3,000,000
Category U	$3,000,000 to under $3,250,000
Category V	$3,250,000 to under $3,500,000
Category W	$3,500,000 to under $3,750,000
Category X	$3,750,000 to under $4,000,000
Category Y	$4,000,000 to under $4,250,000

Category Z	$4,250,000 to under $4,500,000
Category AA	$4,500,000 to under $4,750,000
Category BB	$4,750,000 to under $5,000,000
Category CC	$5,000,000 to under $5,250,000
Category DD	$5,250,000 to under $5,500,000
Category EE	$5,500,000 to under $5,750,000
Category FF	$5,750,000 to under $6,000,000
Category GG	$6,000,000 to under $6,250,000
Category HH	$6,250,000 to under $6,500,000
Category II	$6,500,000 to under $6,750,000
Category JJ	$6,750,000 to under $7,000,000
Category KK	$7,000,000 to under $7,250,000
Category LL	$7,250,000 to under $7,500,000
Category MM	$7,500,000 to under $7,750,000
Category NN	$7,750,000 to under $8,000,000
Category OO	$8,000,000 to under $8,250,000
Category PP	$8,250,000 to under $8,500,000
Category QQ	$8,500,000 to under $8,750,000
Category RR	$8,750,000 to under $9,000,000
Category SS	$9,000,000 to under $9,250,000
Category TT	$9,250,000 to under $9,500,000
Category UU	$9,500,000 or over

Additional information

Return of principal

Portfolio detail

Cash and Sweep Balances

DESCRIPTION
Margin/loan balance

Stocks, options & ETFs

Stocks and ETFs

DESCRIPTION
ALCATEL-LUCENT ADR ALU Acquired 04/14/99 nc R Acquired 10/27/00 nc Acquired 06/10/05 nc R
Total
APPLE INC AAPL - HELD IN MARGIN Acquired 06/30/06 nc
BRISTOL MYERS SQUIBB CO BMY - HELD IN MARGIN Acquired 03/23/99 nc
FACEBOOK INC CLASS A FB - HELD IN MARGIN Acquired 09/24/13

SENATOR MONTGOMERY

WELLS FARGO ADVISORS

Stocks, options & ETFs

Stocks and ETFs continued

DESCRIPTION
FREEPORT-MCMORAN COPPER & GOLD INC CLASS B FCX - HELD IN MARGIN Acquired 07/06/11
GENERAL ELECTRIC COMPANY GE - HELD IN MARGIN Acquired 03/31/10 nc
GENERAL MILLS INC GIS - HELD IN MARGIN Acquired 02/28/13
HEWLETT-PACKARD COMPANY HPQ Acquired 07/01/97 nc R Acquired 10/31/97 nc R Acquired 05/24/07 nc
Total
INTEL CORP INTC - HELD IN MARGIN Acquired 06/16/00 nc Acquired 10/10/00 nc
Total
INTERNATIONAL BUSINESS MACHINE CORP IBM - HELD IN MARGIN Acquired 06/23/97 nc
LSI CORP LSI Acquired 04/14/99 nc Acquired 04/14/99 nc Acquired 10/27/00 nc Acquired 10/27/00 nc R Acquired 01/19/06 nc
Total
MCDONALDS CORP MCD Acquired 05/05/92 nc

SENATOR MONTGOMERY

Stocks, options & ETFs

Stocks and ETFs continued

DESCRIPTION
MICROSOFT CORP MSFT - HELD IN MARGIN Acquired 12/12/96 nc
NOKIA CORP SPONSORED ADR NOK - HELD IN MARGIN Acquired 08/08/00 nc
POTASH CORP OF SASKATCHEWAN INC POT - HELD IN MARGIN Acquired 07/06/11
POWERSHARES ET GOLDEN DRAGON CHINA PORT PGJ Acquired 09/19/07 nc
PROCTER & GAMBLE CO PG - HELD IN MARGIN Acquired 11/29/13
REGENCY ENERGY PARTNERS RGP - HELD IN MARGIN Acquired 04/09/13 nc Acquired 04/09/13 nc
Total
Total Stocks and ETFs
Total Stocks, options & ETFs

Cost information for one or more securities is
nc Cost information for this tax lot is not covered
R Tax lot(s) held in Margin, rather than Cash

SENATOR MONTGOMERY

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Fixed Income Securities

Corporate and municipal bonds and (
system to arrive at an estimated mar

Government Asset Backed/CM(

DESCRIPTION
GNMA 12-61 MD REMIC MULTICLASS CMO CPN 2.250% DUE 04/16/42 DTD 05/01/12 FC 06/16/12 REMAIN BAL 12,163.62 JAN FACTOR 0.81090802 CUSIP 38378EJ95 Acquired 06/06/12 nc

Total Government Asset Backed/CMO Securities

Total Remaining Balance on all Gc

nc Cost information for this tax lot is not covered

Municipal Bonds

DESCRIPTION
LONG ISLAND NY PWR AUTH ELEC SYS RV AGM CAP APPREC GEN SR A B/E N/C CPN 0.000% DUE 12/01/15 DTD 05/28/98 FC 12/01/98 Moody A2 , S&P AA- CUSIP 542690BZ4 Acquired 09/12/03 nc
NEW YORK NY CITY MUN WTR FIN AUTH WTR & SWR D N/C B/E REV OY=5.380% CPN 0.000% DUE 06/15/17 DTD 05/15/01

Fixed Income Securities

Municipal Bonds continued

DESCRIPTION
Moody AA1 , S&P AAA CUSIP 64970KQC4 Acquired 10/01/02 nc
LONG ISLAND PWR AUTH N Y ELEC SYS REV CAP APPREC OY=5.810% CPN 0.000% DUE 06/01/18 DTD 05/03/00 Moody A2 , S&P AA- CUSIP 542690NR9 Acquired 12/29/05 nc
NEW YORK NY CITY MUN WTR & SWR SYS REV CAP APPREC SER D B/E OID MBIA-IBC CPN 0.000% DUE 06/15/19 DTD 01/29/98 Moody AA1 , S&P AAA CUSIP 64970KDJ3 Acquired 05/27/05 nc
GLEN COVE NY IND DEV AGY CIVIC FAC REV RGNCY SER B ETM OY=6.9% CPN 0.000% DUE 10/15/19 DTD 01/15/92 HELD IN MARGIN Moody AAA , S&P NR CUSIP 377446AY5 Acquired 01/26/07 nc

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WELLS FARGO ADVISORS

Fixed Income Securities

Municipal Bonds continued

DESCRIPTION
NEW YORK NY FISCAL 2014 SUBSER D 1 G/O UNLTD B/E OID CPN 3.000% DUE 08/01/24 DTD 10/16/13 FC 02/01/14 CALL 08/01/23 @ 100.000 HELD IN MARGIN Moody AA2 , S&P AA CUSIP 64966K3H4 Acquired 10/02/13 nc
NEW YORK NY CITY TRANSNL FIN AUTH REV RFDG FUTURE TAX FISCAL 13 SUB D OID CPN 2.000% DUE 11/01/24 DTD 12/04/12 FC 05/01/13 CALL 11/01/22 @ 100.000 HELD IN MARGIN Moody AA1 , S&P AAA CUSIP 64971QM59 Acquired 01/02/13 nc
LONG ISLAND PWR AUTH NY ELEC SYS REV CAP APPREC GEN SER A AGM INSD CPN 0.000% DUE 12/01/24 DTD 05/28/98 Moody A2 , S&P AA- CUSIP 542690CJ9 Acquired 03/10/05 nc

Total Municipal Bonds

nc Cost information for this tax lot is not covere

Fixed Income Securities

Certificates of Deposit

Long-term certificates of deposit (ma

DESCRIPTION
GOLDMAN SACHS BANK CD NY PLAZA NY ACT/365 FDIC INSURED CPN 4.250% DUE 12/31/15 DTD 12/31/08 FC 06/30/09 HELD IN MARGIN CUSIP 381426YA7 Acquired 12/23/08 nc
Total Certificates of Deposit
Total Fixed Income Securities

nc Cost information for this tax lot is not covere

Mutual Funds

If a portion of your fund position was

Open End Mutual Funds

Open End Mutual Fund shares are p

DESCRIPTION
MFS SER TR I TECHNOLOGY FD-CL A MTCAX Acquired 05/16/00 nc Reinvestments nc
Total

C
G

SENATOR MONTGOMERY

Mutual Funds

Open End Mutual Funds continued

DESCRIPTION
MUNDER GROWTH OPPORTUNITIES CLASS A CL-A MNNAX Acquired 12/20/99 nc Reinvestments nc
Total
Client Inve Gain/Loss
Total Open End Mutual Funds
Total Mutual Funds

nc Cost information for this tax lot is not covered by IRS re

Annuities/Insurance

These positions are not held in your acco
Annuity and insurance values and all sub-ac
Original Premium may not reflect withdrawal
positions listed below.

Fixed Annuities

DESCRIPTION
HARTFORD LIFE INSURANCE COMPOUND RATE CONTRACT IV FIXED ANNUITY CONTR# 710663427
Sub Funds CRC
Total Fixed Annuities
Total Annuities/Insurance

SENATOR VELMANETTE MONTGOMERY
MANAGED DSIP

Portfolio detail

Cash and Sweep Balances

Sweep Balances - You have the right,
fund used in the sweep, subject to an
required by federal banking regulations
Sweep. In addition, the money market

Bank Deposit Sweep - Consists of mor
covered by SIPC, but are instead eligil
Deposit Sweep for your account, pleas

DESCRIPTION
BANK DEPOSIT SWEEP
Interest Period 01/01/14 - 01/31/14
Total Cash and Sweep Balances

* APYE measures the total amount of t
percentage yield earned is expressed a

Stocks, options & ETFs

Stocks and ETFs

DESCRIPTION
AFLAC INC AFL Acquired 04/21/11 Acquired 08/22/12
Total
AIR PRODUCTS & CHEMICALS INC APD Acquired 04/21/11 Acquired 08/22/12
Total

ADVISORS

SENATOR VELMANETTE MONTGOMERY
MANAGED DSIP

Stocks, options & ETFs

Stocks and ETFs continued

DESCRIPTION
ANALOG DEVICES INC ADI Acquired 04/21/11 Acquired 08/22/12
Total
AT & T INC T Acquired 04/21/11 Acquired 08/22/12 Acquired 08/22/13
Total
AUTOMATIC DATA PROCESSING ADP Acquired 04/21/11 Acquired 08/22/12
Total
BAXTER INTERNATIONAL INC BAX Acquired 11/29/11 Acquired 08/22/12
Total
BECTON DICKINSON & CO BDX Acquired 04/21/11 Acquired 08/22/12
Total
CHEVRON CORPORATION CVX Acquired 04/21/11 Acquired 08/01/12 Acquired 08/22/12
Total

Stocks, options & ETFs

Stocks and ETFs continued

DESCRIPTION
CHUBB CORP CB Acquired 11/11/11 Acquired 08/22/12
Total
CLOROX COMPANY CLX Acquired 04/21/11 Acquired 08/22/12
Total
COLGATE-PALMOLIVE CO CL Acquired 04/21/11
CONOCOPHILLIPS COP Acquired 04/21/11 Acquired 08/22/12 Acquired 04/30/13
Total
EATON VANCE CORP NON VTG EV Acquired 04/21/11 Acquired 04/21/11 Acquired 08/22/12
Total
EMERSON ELECTRIC CO EMR Acquired 04/21/11 Acquired 08/22/12
Total
EXXON MOBIL CORP XOM Acquired 04/21/11 Acquired 04/23/12

WELLS FARGO ADVISORS

SENATOR VELMANETTE MONTGOMERY
MANAGED DSIP

Stocks, options & ETFs

Stocks and ETFs continued

DESCRIPTION
Acquired 08/22/12
Total
FACTSET RESEARCH SYSTEMS INC FDS Acquired 04/21/11 Acquired 08/22/12
Total
GENERAL MILLS INC GIS Acquired 04/21/11 Acquired 08/22/12
Total
GENL DYNAMICS CORP COM GD Acquired 04/21/11 Acquired 08/22/12
Total
GRAINGER W W INC GWW Acquired 04/21/11 Acquired 08/22/12
Total
HARRIS CORP DEL HRS Acquired 04/21/11 Acquired 08/22/12
Total
ILLINOIS TOOL WORKS INC ITW Acquired 04/21/11 Acquired 08/22/12
Total

Stocks, options & ETFs

Stocks and ETFs continued

DESCRIPTION
INTERNATIONAL BUSINESS MACHINE CORP IBM Acquired 04/21/11
J M SMUCKER CO SJM Acquired 04/21/11 Acquired 08/22/12
Total
JOHNSON & JOHNSON JNJ Acquired 04/21/11 Acquired 08/22/12
Total
KELLOGG COMPANY K Acquired 02/14/12 Acquired 08/22/12
Total
LOWES COMPANIES INC LOW Acquired 02/05/13 Acquired 08/22/13
Total
MCDONALDS CORP MCD Acquired 04/21/11 Acquired 08/22/12
Total
MEDTRONIC INC MDT Acquired 01/04/12 Acquired 08/22/12
Total

Stocks, options & ETFs

Stocks and ETFs continued

DESCRIPTION
MICROSOFT CORP MSFT Acquired 02/10/12 Acquired 04/23/12 Acquired 08/22/12
Total
NEXTERA ENERGY INC NEE Acquired 04/21/11
NORDSTROM INC JWN Acquired 04/21/11
NORFOLK SOUTHERN CORP NSC Acquired 04/21/11 Acquired 08/22/12
Total
NORTHEAST UTILITIES NU Acquired 04/21/11 Acquired 08/22/12
Total
NOVARTIS AG SPON ADR NVS Acquired 04/21/11 Acquired 08/22/12
Total
PAYCHEX INC PAYX Acquired 04/21/11 Acquired 08/22/12
Total

Stocks, options & ETFs

Stocks and ETFs continued

DESCRIPTION
PEPSICO INCORPORATED PEP Acquired 04/21/11 Acquired 08/22/12
Total
PHILLIPS 66 PSX Acquired 04/21/11 Acquired 08/03/12 Acquired 08/22/12
Total
POLARIS INDS INC PII Acquired 04/21/11
PRAXAIR INC PX Acquired 04/21/11 Acquired 08/22/12 Acquired 04/30/13
Total
PROCTER & GAMBLE CO PG Acquired 04/21/11 Acquired 08/22/12
Total
SCANA CORP COM SCG Acquired 04/21/11 Acquired 08/22/12
Total
SIGMA ALDRICH CORP SIAL Acquired 04/21/11 Acquired 08/22/12
Total

ADVISORS

SENATOR VELMANETTE MONTGOMERY
MANAGED DSIP

Stocks, options & ETFs

Stocks and ETFs continued

DESCRIPTION
SYSCO CORPORATION SYY Acquired 04/21/11 Acquired 08/22/12
Total
TARGET CORP TGT Acquired 04/21/11
THE SOUTHERN COMPANY SO Acquired 07/28/11 Acquired 08/22/12
Total
UNITED TECHNOLOGIES CORP UTX Acquired 04/21/11 Acquired 08/22/12
Total
V F CORPORATION VFC Acquired 07/08/11
WAL-MART STORES INC WMT Acquired 04/21/11
WISCONSIN ENERGY CORP WEC Acquired 06/26/12 Acquired 08/22/12
Total
3M CO MMM Acquired 04/21/11 Acquired 08/22/12
Total

VELMANET MONTGOMERY (ROTH IRA)
FCC AS CUSTODIAN

Portfolio detail

Cash and Sweep Balances

Sweep Balances - You have the right, in the c
fund used in the sweep, subject to any open
required by federal banking regulations, the ba
Sweep. In addition, the money market mutual

Bank Deposit Sweep - Consists of monies held
covered by SIPC, but are instead eligible for F
Deposit Sweep for your account, please contac

DESCRIPTION
BANK DEPOSIT SWEEP
Interest Period 04/01/14 - 04/30/14
Total Cash and Sweep Balances

* APYE measures the total amount of the intere
percentage yield earned is expressed as an ann

Stocks, options & ETFs

Stocks and ETFs

DESCRIPTION
AT & T INC T Acquired 08/30/12 Acquired 05/14/13
Total
POTASH CORP OF SASKATCHEWAN INC POT Acquired 10/06/11
Total Stocks and ETFs
Total Stocks, options & ETFs

VELMANET MONTGOMERY (ROTH IRA)
FCC AS CUSTODIAN

Mutual Funds

If a portion of your fund position wa

Open End Mutual Funds

Open End Mutual Fund shares are

DESCRIPTION
MUNDER GROWTH OPPORTUNITIES CLASS A CL-A MNNAX Acquired 11/19/99 nc Reinvestments nc
Total
Total Open End Mutual Funds
Total Mutual Funds

nc Cost information for this tax lot is not cove

Activity detail

DATE	ACCOUNT TYPE
04/01	
04/30	Cash