

LEGISLATIVE ETHICS COMMISSION
STATE OF NEW YORK

MAIL: LEGISLATIVE OFFICE BUILDING-BOX 75-ALBANY, NY 12247
LOCATION: ALFRED E. SMITH STATE OFFICE BUILDING-SUITE 1431-ALBANY, NY 12247
PHONE: (518)432-7837/7838 FAX: (518)426-6850

RECEIVED

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE

For Calendar Year 2012

MAY 14 2013
BY [Signature]
LEG. ETHICS COMM.

1. Name Kenneth P. LaValle
2. (a) Title of Position Senator
(b) Department, Agency or other Governmental Entity NYS Senate
(c) Address of Present Office 806 LOB, State Street, Albany, NY 12247
(d) Office Telephone Number 518-455-3121
3. (a) Marital Status Married. If married, please give spouse's full name including maiden name where applicable.
Darlene Penny Wells LaValle .

(b) List the names of all unemancipated children.

None

Answer each of the following questions completely, with respect to calendar year 2012, 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.

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
Attorney At Law	Twomey Latham Shea Kelly Dubin & Quartarro 33 W. Second Street, Riverhead, NY 11901		Judicial 2 nd Dept
Broker	Kenneth P. LaValle 6 Settlers Path, Port Jefferson, NY 11777 (Not Active in Profession)	Real Estate Broker NYSDOS	License #35LA1069354

- (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
Broker/salesperson	Wells Real Estate/Not Active in Profession RT. 112 Port Jefferson Station, NY 11776	NYSDOS lic.#0532881-30-23-832	
Director	Suffolk County Real Property Tax Service Agency/Administration 300 Center Drive, Riverhead, NY 11901-3398		NYS ORPS/NYSDT&F

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.

Entity	Relationship	Contracting	Category
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Self, Spouse Child	Which Held or Interest in Contract	to Entity and Interest in Contract	State or Local Agency	of Value of Contract (In Table II)
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Not Applicable

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.

Not Applicable

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.

9. List each source of gifts, EXCLUDING campaign contributions, ni 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 emancipated licensed to practice law in NYS. General practice of law, concentration in wills, trusts; estate planning, elder and real estate law; municipal law.

(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
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Not Applicable

(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.

Not Applicable

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 (In Table I)	Name of Donor	Address	Nature of Gift	Category of Value of Gift
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Not Applicable

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
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Not Applicable

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)
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<u>NYS Deferred Compensation Plan</u>	<u>J</u>
<u>Transamerica Life Insurance Co. Of New York</u>	<u>E</u>
<u>JPMorgan IRS/SEP</u>	<u>H</u>

* 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).

Not Applicable

(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.)

Not Applicable

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 of Amount Category
(In Table I)

<u>Spouse</u>	<u>Suffolk County Real Property Tax Service Agency</u>		
		<u>Director</u>	<u>H</u>
<u>Joint</u>	<u>Teachers Federal Credit Union</u>	<u>Interest</u>	<u>C</u>
<u>Joint</u>	<u>Teachers Federal Credit Union</u>	<u>Interest</u>	<u>B</u>
<u>Self</u>	<u>Twomey, Latham, Shea, Kelley, Dubin and Quartararo</u>		<u>G</u>
<u>Self</u>	<u>JP Morgan Chase</u>		<u>D</u>

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
(In Table I)

Category
of Amount

Not Applicable

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)

Not Applciable

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)
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Spouse	T. ROWE Price	Stable Fund	NA	J	
Joint	Teachers Federal	Creidt Union	Money Market	NA	K
Joint	Teachers Federal	Credit Union	Money Market	NA	H
Self	T. ROWE Price	Stable Fund		J	
Self	JP Morgan Chase ("Exhibit A" - see attached)			H	

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)
<u>Not Applicable</u>						

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)
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Not Applicable

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 Guarantor	Type of Liability and Collateral, if any	Category of or Amount (In Table II)
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Spouse Macy American Express Credit D

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)

5 14 13
 Date (month/day/year)

[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

Exhibit "A"

KENNETH P. LAVALLE

STATEMENT PERIOD
March 29 - April 30, 2013

LAST STATEMENT March 28, 2013

Your Portfolio Holdings

CASH & MONEY MARKET FUNDS

DESCRIPTION	TYPE	SYMBOL/CUSIP	QUANTITY	PRICE	MARKET VALUE
JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX	CASH	A000BZ3	2.58	1.0000	3
TOTAL CASH & MONEY MARKET FUNDS					\$3

MUTUAL FUNDS

DESCRIPTION	SYMBOL/CUSIP	ACCT TYPE	QUANTITY	PRICE	MARKET VALUE	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
MFS SER TRUST III HIGH YIELD OPPORTUNITIES FUND DIVIDEND REINVESTED	MHOBX	CASH	416.867	6.7400	2,810	160	5.6940
MAINSTAY FUNDS HIGH YIELD CORP BOND FUND CL A DIVIDEND REINVESTED	MHCAX	CASH	402.734	6.2100	2,501	170	6.7973

KENNETH P. LAVALLE

STATEMENT PERIOD
March 29 - April 30, 2013

LAST STATEMENT ~~March 28, 2013~~

Portfolio Value

	THIS PERIOD	LAST PERIOD
Assets		
Sweep Program/Money Mkt Fds	2.58	2.58
Mutual Funds	5,311.00	5,231.00
Total Assets	\$5,313.58	\$5,233.58
NET PORTFOLIO VALUE	\$5,313.58	\$5,233.58

Cash Flow Analysis

	THIS PERIOD	THIS YEAR
Opening Cash/Sweep Prog.	\$2.58	\$2.58
Div/Int/Other Inc (Credit)	26.82	93.46
Amount Credited	\$26.82	\$93.46
Securities Bought	-26.82	-93.46
Amount Debited	\$-26.82	\$-93.46
Closing Cash/Sweep Prog.	\$2.58	\$2.58

Income Summary

	THIS PERIOD	YEAR TO DATE
Dividends	26.82	80.50
Total	\$26.82	\$80.50



KENNETH P. LAVALLE

STATEMENT PERIOD
March 29 - April 30, 2013

Your messages

LAST STATEMENT **March 28, 2013**



Important Information For Clients Holding Restricted Securities:

Restricted Securities (typically noted as "Restricted" or "RSTD" in the security description) have not been registered under the Securities Act of 1933 and may not be "freely traded." Since restricted securities are subject to certain restrictions which may render them illiquid or less liquid than freely-tradeable shares, there can be no assurance a secondary market exists. While we typically use the value of the registered/unrestricted security of the same issuer and same class for statement (and other) reporting purposes, the price realizable in a sale of the securities may be less than the "Market Value" indicated and could be zero. No attempt has been made to independently value the specific security subject to its restriction. Additionally, inclusion of pricing of these holdings will result in the aggregated value of your portfolio as reflected on this report being overstated by an amount equal to the difference (if any) between the value of the freely-traded underlying security and the actual value of your restricted shares. For additional information on pricing, please see "Market Prices" on the back of your account statement.



You are advised to promptly report any inaccuracy or discrepancy in your account to your broker and J.P. Morgan Clearing Corp. ("JPMCC") at the telephone numbers listed on this statement. In order to protect your rights, including any rights under the Securities Investor Protection Act ("SIPA"), any such communications should be reconfirmed in writing to your broker and JPMCC at the addresses which appear on the front of this statement.



Important Information Regarding Auction Rate Securities (ARS). ARS are debt or preferred securities with an interest or dividend rate reset periodically in an auction. Although there may be daily, weekly and monthly resets, there is no guarantee that there will be liquidity. If there are not enough bids at an auction to redeem the securities available for sale, the result may be a failed auction. In the event of a failed auction, there is no assurance that a secondary market will develop or that the security will trade at par or any other price reflected on statements. Accordingly, investors should not rely on pricing information appearing in their statements with respect to ARS. Where J.P. Morgan Clearing Corp. was unable to obtain a price from an outside service for a particular ARS, the price column on your statement will indicate "unpriced."

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

Portfolio Value

	THIS PERIOD	LAST PERIOD
Assets		
Sweep Program/Money Mkt Fds	1,598.28	8,336.45
Equities	50,844.00	50,169.00
Mutual Funds	78,986.00	70,847.00
Total Assets	\$131,428.28	\$129,352.45
NET PORTFOLIO VALUE	\$131,428.28	\$129,352.45

Income Summary

	THIS PERIOD	YEAR TO DATE
Dividends	840.01	1,872.87
Total	\$840.01	\$1,872.87

LAST STATEMENT **March 28, 2013**

Cash Flow Analysis

	THIS PERIOD	THIS YEAR
Opening Cash/Sweep Prog.	\$8,308.85	\$10,998.53
Div/Int/Other Inc (Credit)	839.94	2,680.05
Sweep Program Div/Int	0.07	0.24
Amount Credited	\$840.01	\$2,680.29
Securities Bought	-7,578.18	-12,073.14
Miscellaneous (Debit)	0.00	-35.00
Amount Debited	\$-7,578.18	\$-12,108.14
Net Cash/Sweep Prog. Act.	-6,738.17	-9,427.85
Closing Cash/Sweep Prog.	\$1,570.68	\$1,570.68

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

Your Portfolio Holdings

CASH & MONEY MARKET FUNDS

LAST STATEMENT March 28, 2013

DESCRIPTION	TYPE	SYMBOL/CUSIP	QUANTITY	PRICE	MARKET VALUE
JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX	CASH	A000BZ3	1,570.68	1.0000	1,571
SubTotal of Cash & Sweep Money Market Fund					\$1,571
DREYFUS GENERAL MONEY MARKET FUND (B) EST. 30 DAY AVG YIELD .0100%	CASH	GMBXX	27.60	1.0000	28
TOTAL CASH & MONEY MARKET FUNDS					\$1,599

EQUITIES

Equities & Options

DESCRIPTION	SYMBOL/CUSIP	ACCT TYPE	QUANTITY	PRICE	MARKET VALUE	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
ALPINE TOTAL DYNAMIC DIVIDEND FUND SHS BENEFICIAL INTEREST	AOD	CASH	506	4.1400	2,095	164	7.8282
BLACKROCK ENHANCED EQUITY DIVIDEND TRUST	BDJ	CASH	242	7.8100	1,890	136	7.1958
BLACKROCK FLOATING RATE INCOME STRATEGIES FD INC	FRA	CASH	183	15.9100	2,912	169	5.8036
DOW 30 PREMIUM & DIVIDEND INCOME FUND INC	DPD	CASH	463	14.8800	6,889	493	7.1563
DELAWARE ENHANCED GLOBAL DIVID & INCOME FD	DEX	CASH	114	12.5800	1,434	103	7.1827
EATON VANCE TAX ADVANTAGED GLOBAL DIVIDEND INCOME FUND	ETG	CASH	110	15.8900	1,748	135	7.7231
EATON VANCE ENHANCED EQUITY INCOME FD II	EOS	CASH	177	11.4300	2,023	186	9.1943

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

LAST STATEMENT ^{3/27/13} March 28, 2013

Your Portfolio Holdings (continued)

Equities & Options (Continued)

DESCRIPTION	SYMBOL/CUSIP	ACCT TYPE	QUANTITY	PRICE	MARKET VALUE	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
EATON VANCE TAX ADVANTAGED DIVIDEND INCOME FUND	EVT	CASH	268	19.1800	5,140	346	6.7315
ING GLOBAL ADVANTAGE & PREM OPPORTUNITY FD	IGA	CASH	241	13.4100	3,232	270	8.3540
NUVEEN EQUITY PREM OPPORTUNITY FUND	JSN	CASH	367	12.7500	4,679	410	8.7626
NUVEEN EQUITY PREM ADVANTAGE FD	JLA	CASH	391	12.6600	4,950	444	8.9697
NEW YORK COMMUNITY BANCORP INC	NYCB	CASH	368	13.5500	4,986	368	7.3807
NUVEEN CREDIT STRATEGIES INCOME FUND DIVIDEND REINVESTED	JQC	CASH	234	10.6200	2,485	194	7.8068
NEUBERGER BERMAN HIGH YIELD STRATEGIES FUND	NHS	CASH	276	14.1500	3,905	298	7.6312
WELLS FARGO ADVANTAGE INCOME OPPORTUNITIES FD	EAD	CASH	242	10.2300	2,476	197	7.9564

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

SECURITY NUMBER
9L55721

LAST STATEMENT March 28, 2013

Your Portfolio Holdings (continued)

Equities & Options (Continued)

DESCRIPTION	SYMBOL/CUSIP	ACCT TYPE	QUANTITY	PRICE	MARKET VALUE	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
PRIMARY FUND IN LIQUIDATION RSTD CREDERIAN FUND SERVICES, WAS APPOINTED LIQUIDATING AGENT FOR THE RESERVE PRIMARY FUND. CREDERIAN CONSOLIDATED FUND CLASSES INTO A SINGLE CLASS *PRIMARY FUND-IN LIQUIDATION* (SECURITY NUMBER: 9L55721). FOR MORE INFO., CONTACT YOUR BROKER.	9L55721	CASH	2.82	Unpriced			
Total Equities & Options					\$50,844	\$3,913	
TOTAL EQUITIES					\$50,844	\$3,913	

MUTUAL FUNDS

DESCRIPTION	SYMBOL/CUSIP	ACCT TYPE	QUANTITY	PRICE	MARKET VALUE	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
INVESCO HIGH YIELD FUND CL B SHS	AHYBX	CASH	479.616	4.5800	2,197	106	4.8248
CREDIT SUISSE OPPORTUNITY FD FLOATING RT HIGH INCOME FD CL B	CHOBX	CASH	340.735	7.0400	2,399	92	3.8349
EATON VANCE INCOME FUND BOSTON INC CLASS B	EBIBX	CASH	433.364	6.1500	2,665	146	5.4784
EATON VANCE HIGH INCOME OPPORTUNITIES FUND CLASS B	EVHIX	CASH	490.868	4.6900	2,302	130	5.6473
FIRST INVESTORS FUND FOR INCOME INC-CL B	FIFJX	CASH	1,711.446	2.6800	4,587	229	4.9924

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

Your Portfolio Holdings (continued)

MUTUAL FUNDS (Continued)

LAST STATEMENT **March 28, 2013**

DESCRIPTION	SYMBOL/CUSIP	ACCT TYPE	QUANTITY	PRICE	MARKET VALUE	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
PUTNAM HIGH YIELD TRUST-CL B	PHBBX	CASH	290.038	8.1500	2,364	122	5.1607
SUNAMERICA INCOME FDS HIGH YIELD BD FD CL B DIVIDEND REINVESTED	SHNBX	CASH	832.891	3.6200	3,015	145	4.8093

Transaction Detail

SETTLEMENT DATE	TRADE DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
04/01/13		REINVEST	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX MONTHLY DIVIDEND REINVESTED	A000BZ3	0.07		0.07	
04/01/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX INTRA-DAY PURCHASE	A000BZ3	83.68		83.68	
04/01/13		DIVIDEND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX MONTHLY DIVIDEND 03/01-03/31	A000BZ3				0.07

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

LAST STATEMENT March 28, 2013

Your Portfolio Holdings (continued)**MUTUAL FUNDS** (Continued)

DESCRIPTION	SYMBOL/CUSIP	ACCT TYPE	QUANTITY	PRICE	MARKET VALUE	ESTIMATED ANNUAL INCOME	ESTIMATED YIELD (%)
GOLDMAN SACHS HIGH YIELD FUND-CL B	GSHBX	CASH	446.877	7.5000	3,352	179	5.3401
IVY FDS INC HIGH INCOME FD CL B	WHIBX	CASH	915.92	8.7900	8,051	516	6.4091
JOHN HANCOCK INCOME FUND CL B	STIBX	CASH	707.923	6.8700	4,863	215	4.4211
JPMORGAN TR II HIGH YIELD FD CL B	OGHBX	CASH	365.158	8.3500	3,049	166	5.4444
JOHN HANCOCK FDS II FLOATING RATE INCOME FD CL B	JFIBX	CASH	1,141.379	9.5200	10,866	422	3.8837
WESTERN ASSET HIGH HIGH INCOME FUND CLASS B	SHIBX	CASH	361.068	6.4200	2,318	138	5.9534
WESTERN ASSET GLOBAL HIGH YIELD BOND FUND CLASS B	SBHYX	CASH	317.404	7.5600	2,400	152	6.3333
MFS SER TRUST III HIGH YIELD OPPORTUNITIES FUND	MHOBX	CASH	739.13	6.7400	4,982	283	5.6804
MAINSTAY FUNDS HIGH YIELD CORP BOND FUND CL B	MKHCX	CASH	424.86	6.1800	2,626	159	6.0548
MFS BOND FUND-CL B	MFBBX	CASH	148.584	14.3500	2,132	67	3.1426
MFS UTILITIES FUND-CL B	MMUBX	CASH	207.087	21.1100	4,372	83	1.8984
MAINSTAY FUNDS HIGH YIELD CORP BOND FUND CL A	MHCAX	CASH	530.15	6.2100	3,292	223	6.7740
PIONEER GLOBAL HIGH YIELD FD CL B DIVIDEND REINVESTED	PGHBX	CASH	287.408	10.4500	3,003	189	6.2937
PUTNAM GLOBAL UTILITIES FUND CL B DIVIDEND REINVESTED	PUTBX	CASH	352.092	11.7900	4,151	67	1.6141



KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

Transaction Detail (continued)

LAST STATEMENT March 28, 2013

SETTLEMENT DATE	TRADE DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
04/01/13		REINVEST	JOHN HANCOCK FDS II FLOATING RATE INCOME FD CL B REINVEST PRICE \$ 9.49	JFIBX	2.963		28.12	
04/01/13		DIVIDEND	JOHN HANCOCK FDS II FLOATING RATE INCOME FD CL B RECORD 03/28/13 PAY 03/28/13	JFIBX				28.12
04/01/13		DIVIDEND	WESTERN ASSET HIGH HIGH INCOME FUND CLASS B RECORD 03/28/13 PAY 03/28/13	SHIBX				10.62
04/01/13		DIVIDEND	WESTERN ASSET GLOBAL HIGH YIELD BOND FUND CLASS B RECORD 03/28/13 PAY 03/28/13	SBHYX				12.64
04/01/13		REINVEST	MFS SER TRUST III HIGH YIELD OPPORTUNITIES FUND REINVEST PRICE \$ 6.66	MHOBX	3.405		22.68	
04/01/13		DIVIDEND	MFS SER TRUST III HIGH YIELD OPPORTUNITIES FUND RECORD 03/28/13 PAY 04/01/13	MHOBX				22.68
04/01/13		REINVEST	MAINSTAY FUNDS HIGH YIELD CORP BOND FUND CL B REINVEST PRICE \$ 6.13	MKHCX	2.152		13.19	
04/01/13		DIVIDEND	MAINSTAY FUNDS HIGH YIELD CORP BOND FUND CL B RECORD 03/27/13 PAY 03/28/13	MKHCX				13.19
04/01/13		REINVEST	MFS BOND FUND-CL B REINVEST PRICE \$ 14.16	MFBBX	0.311		4.40	
04/01/13		DIVIDEND	MFS BOND FUND-CL B RECORD 03/28/13 PAY 04/01/13	MFBBX				4.40
04/01/13		REINVEST	MFS UTILITIES FUND-CL B REINVEST PRICE \$ 20.29	MMUBX	0.143		2.91	

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

LAST STATEMENT March 28, 2013

Transaction Detail (continued)

SETTLEMENT DATE	TRADE DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
04/01/13		DIVIDEND	INVESCO HIGH YIELD FUND CL B SHS RECORD 03/31/13 PAY 03/28/13	AHYBX				8.68
04/01/13		DIVIDEND	CREDIT SUISSE OPPORTUNITY FD FLOATING RT HIGH INCOME FD CL B RECORD 03/28/13 PAY 03/28/13	CHOBX				7.86
04/01/13		REINVEST	EATON VANCE INCOME FUND BOSTON INC CLASS B REINVEST PRICE \$ 6.07	EBIBX	1.941		11.78	
04/01/13		DIVIDEND	EATON VANCE INCOME FUND BOSTON INC CLASS B RECORD 03/28/13 PAY 03/28/13	EBIBX				11.78
04/01/13		DIVIDEND	EATON VANCE HIGH INCOME OPPORTUNITIES FUND CLASS B RECORD 03/28/13 PAY 03/28/13	EVHIX				10.90
04/01/13		REINVEST	GOLDMAN SACHS HIGH YIELD FUND-CL B REINVEST PRICE \$ 7.42	GSHBX	1.951		14.48	
04/01/13		DIVIDEND	GOLDMAN SACHS HIGH YIELD FUND-CL B RECORD 03/28/13 PAY 03/28/13	GSHBX				14.48
04/01/13		DIVIDEND	JOHN HANCOCK INCOME FUND CL B RECORD 03/28/13 PAY 03/28/13	STIBX				16.52
04/01/13		REINVEST	JPMORGAN TR II HIGH YIELD FD CL B REINVEST PRICE \$ 8.24	OGHBX	1.676		13.81	
04/01/13		DIVIDEND	JPMORGAN TR II HIGH YIELD FD CL B RECORD 03/27/13 PAY 04/01/13	OGHBX				13.81



Exhibit "A"

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

LAST STATEMENT March 28, 2013

Transaction Detail (continued)

SETTLEMENT DATE	TRADE DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
04/12/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX FROM CASH ACCOUNT BALANCE	A000BZ3	25.45		25.45	
04/12/13		REINVEST	ALPINE TOTAL DYNAMIC DIVIDEND FUND SHS BENEFICIAL INTEREST REINVEST @ 4.094300	AOD	3		12.28	
04/12/13		DIVIDEND	ALPINE TOTAL DYNAMIC DIVIDEND FUND SHS BENEFICIAL INTEREST RD 03/21 PD 03/28 CDRT .027 DIV ON 503.00000 SHS	AOD				13.58
04/15/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX FROM CASH ACCOUNT BALANCE	A000BZ3	1.3		1.30	
04/24/13		REINVEST	ING GLOBAL ADVANTAGE & PREM OPPORTUNITY FD REINVEST @ 12.860000	IGA	5		64.30	
04/24/13		DIVIDEND	ING GLOBAL ADVANTAGE & PREM OPPORTUNITY FD RD 04/03 PD 04/15 CDRT .280 DIV ON 236.00000 SHS	IGA				66.08
04/25/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX FROM CASH ACCOUNT BALANCE	A000BZ3	1.78		1.78	
04/25/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX INTRA-DAY PURCHASE	A000BZ3	10.15		10.15	
04/25/13		DIVIDEND	PUTNAM HIGH YIELD TRUST-CL B RECORD 04/23/13 PAY 04/25/13	PHBBX				10.15

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

Transaction Detail (continued)

LAST STATEMENT: March 28, 2013

SETTLEMENT DATE	TRADE DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
04/26/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX INTRA-DAY PURCHASE	A000BZ3	8.55		8.55	
04/26/13		DIVIDEND	DELAWARE ENHANCED GLOBAL DIVID & INCOME FD REC 04/12/13 PAY 04/26/13	DEX	114	0.0750		8.55
04/29/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX INTRA-DAY PURCHASE	A000BZ3	41.75		41.75	
04/29/13		DIVIDEND	IVY FDS INC HIGH INCOME FD CL B RECORD 04/26/13 PAY 04/26/13	WHIBX				41.75
04/30/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX INTRA-DAY PURCHASE	A000BZ3	38.93		38.93	
04/30/13		DIVIDEND	BLACKROCK FLOATING RATE INCOME STRATEGIES FD INC REC 04/15/13 PAY 04/30/13	FRA	183	0.0770		14.09
04/30/13		DIVIDEND	NEUBERGER BERMAN HIGH YIELD STRATEGIES FUND REC 04/15/13 PAY 04/30/13	NHS	276	0.0900		24.84
TOTAL								

KENNETH P LAVALLE IRA/SEP

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STATEMENT PERIOD
March 29 - April 30, 2013

Transaction Detail (continued)

LAST STATEMENT **March 28, 2013**

SETTLEMENT DATE	TRADE DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
04/09/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX REDEMPTION REQUESTED	A000BZ3	-7,000			7,000.00
04/09/13	04/08/13	BOUGHT	IVY FDS INC HIGH INCOME FD CL B SOLICITED OFFERING MATERIALS ENCLOSED OR TO FOLLOW VIA E-MAIL FOR ONLINE DELIVERY OR VIA POSTAL SERVICE	WHIBX	200.458	8.7300	1,750.00	
04/09/13	04/08/13	BOUGHT	JOHN HANCOCK FDS II FLOATING RATE INCOME FD CL B SOLICITED OFFERING MATERIALS ENCLOSED OR TO FOLLOW VIA E-MAIL FOR ONLINE DELIVERY OR VIA POSTAL SERVICE	JFIBX	184.405	9.4900	1,750.00	
04/09/13	04/08/13	BOUGHT	MFS UTILITIES FUND-CL B SOLICITED OFFERING MATERIALS ENCLOSED OR TO FOLLOW VIA E-MAIL FOR ONLINE DELIVERY OR VIA POSTAL SERVICE ON SELLING YOUR SHARES, YOU	MMUBX	85.784	20.4000	1,750.00	
04/09/13		REINVEST	NUVEEN EQUITY PREM OPPORTUNITY FUND REINVEST @ 12.587257	JSN	7		88.11	

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

Transaction Detail (continued)

LAST STATEMENT March 28, 2013

SETTLEMENT DATE	TRADE DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
04/09/13		DIVIDEND	NUVEEN EQUITY PREM OPPORTUNITY FUND RD 03/15 PD 04/01 CDRT .279 DIV ON 360.00000 SHS	JSN				100.44
04/09/13	04/08/13	BOUGHT	PUTNAM GLOBAL UTILITIES FUND CL B SOLICITED OFFERING MATERIALS ENCLOSED OR TO FOLLOW VIA E-MAIL FOR ONLINE DELIVERY OR VIA POSTAL SERVICE	PUTBX	155.694	11.2400	1,750.00	
04/10/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX FROM CASH ACCOUNT BALANCE	A000BZ3	12.33		12.33	
04/11/13		DIVIDEND	EATON VANCE TAX ADVANTAGED GLOBAL DIVIDEND INCOME FUND RD 03/21 PD 03/28 CDRT .102 DIV ON 110.00000 SHS	ETG				11.28
04/11/13		REINVEST	EATON VANCE ENHANCED EQUITY INCOME FD II REINVEST @ 11.281500	EOS	1		11.28	
04/11/13		DIVIDEND	EATON VANCE ENHANCED EQUITY INCOME FD II RD 03/21 PD 03/28 CDRT .087 DIV ON 176.00000 SHS	EOS				15.40
04/11/13		REINVEST	EATON VANCE TAX ADVANTAGED DIVIDEND INCOME FUND REINVEST @ 13.654000	EVT	1		18.65	
04/11/13		DIVIDEND	EATON VANCE TAX ADVANTAGED DIVIDEND INCOME FUND RD 03/21 PD 03/28 CDRT .107 DIV ON 267.00000 SHS	EVT				28.70

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

Transaction Detail (continued)

LAST STATEMENT March 28, 2013

SETTLEMENT DATE	TRADE DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
04/05/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX INTRA-DAY PURCHASE	A000BZ3	19.17		19.17	
04/05/13		REINVEST	DOW 30 PREMIUM & DIVIDEND INCOME FUND INC REINVEST @ 14.621840	DPD	8		116.97	
04/05/13		DIVIDEND	DOW 30 PREMIUM & DIVIDEND INCOME FUND INC RD 03/15 PD 04/01 CDRT .266 DIV ON 455.00000 SHS	DPD				121.03
04/05/13		DIVIDEND	FIRST INVESTORS FUND FOR INCOME INC-CL B RECORD 03/28/13 PAY 04/05/13	FIFJX				19.17
04/05/13		REINVEST	NUVEEN EQUITY PREM ADVANTAGE FD REINVEST @ 12.517400	JLA	8		100.14	
04/05/13		DIVIDEND	NUVEEN EQUITY PREM ADVANTAGE FD RD 03/15 PD 04/01 CDRT .284 DIV ON 383.00000 SHS	JLA				108.77
04/05/13		REINVEST	NUVEEN CREDIT STRATEGIES INCOME FUND REINVEST @ 10.140000	JQC	1		10.14	
04/05/13		DIVIDEND	NUVEEN CREDIT STRATEGIES INCOME FUND RD 03/15 PD 04/01 CDRT .069 DIV ON 233.00000 SHS	JQC				16.12
04/08/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX FROM CASH ACCOUNT BALANCE	A000BZ3	18.67		18.67	

KENNETH P LAVALLE IRA/SEP

STATEMENT PERIOD
March 29 - April 30, 2013

LAST STATEMENT March 28, 2013

Transaction Detail (continued)

SETTLEMENT DATE	TRADE DATE	TRANSACTION	DESCRIPTION	SYMBOL/CUSIP	QUANTITY	PRICE	DEBIT AMOUNT	CREDIT AMOUNT
04/01/13		DIVIDEND	MFS UTILITIES FUND-CL B RECORD 03/28/13 PAY 04/01/13	MMUBX				2.91
04/01/13		REINVEST	MAINSTAY FUNDS HIGH YIELD CORP BOND FUND CL A REINVEST PRICE \$ 6.16	MHCAX	3.003		18.50	
04/01/13		DIVIDEND	MAINSTAY FUNDS HIGH YIELD CORP BOND FUND CL A RECORD 03/27/13 PAY 03/28/13	MHCAX				18.50
04/01/13		REINVEST	PIONEER GLOBAL HIGH YIELD FD CL B REINVEST PRICE \$ 10.42	PGHBX	1.37		14.28	
04/01/13		DIVIDEND	PIONEER GLOBAL HIGH YIELD FD CL B RECORD 03/28/13 PAY 03/28/13	PGHBX				14.28
04/01/13		REINVEST	SUNAMERICA INCOME FDS HIGH YIELD BD FD CL B REINVEST PRICE \$ 3.58	SHNBX	3.397		12.16	
04/01/13		DIVIDEND	SUNAMERICA INCOME FDS HIGH YIELD BD FD CL B RECORD 03/28/13 PAY 03/28/13	SHNBX				12.16
04/01/13		DIVIDEND	WELLS FARGO ADVANTAGE INCOME OPPORTUNITIES FD REC 03/14/13 PAY 04/01/13	EAD	242	0.0680		16.46
04/02/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX INTRA-DAY PURCHASE	A000BZ3	23.26		23.26	
04/03/13		FUND	JPMORGAN TR I PRIME MONEY MKT FD CASH MGMT SECURITY SYMBOL IS JCMXX REDEMPTION REQUESTED	A000BZ3	-23.26			23.26

