

HAND DELIVERED

FORM 6

FULL AND PUBLIC DISCLOSURE

2013

Please print or type your name, mailing address, agency name, and position below:

## OF FINANCIAL INTEREST

FOR OFFICE USE ONLY:

LAST NAME — FIRST NAME — MIDDLE NAME:

SCOTT - RICHARD - LYNN

232592

MAILING ADDRESS:

700 NORTH ADAMS STREET

FLORIDA  
COMMISSION ON ETHICS

JUN 16 2014

RECEIVED

PROCESSED

CITY :

TALLAHASSEE

ZIP :

32303

COUNTY :

LEON

NAME OF AGENCY :

EXECUTIVE OFFICE OF THE GOVERNOR

NAME OF OFFICE OR POSITION HELD OR SOUGHT :

GOVERNOR

CHECK IF THIS IS A FILING BY A CANDIDATE ☒

## PART A -- NET WORTH

Please enter the value of your net worth as of December 31, 2013, or a more current date. [Note: Net worth is not calculated by subtracting your reported liabilities from your reported assets, so please see the instructions on page 3.]

My net worth as of DECEMBER 31, 20 13 was \$ 132,720,161.

## PART B -- ASSETS

## HOUSEHOLD GOODS AND PERSONAL EFFECTS:

Household goods and personal effects may be reported in a lump sum if their aggregate value exceeds \$1,000. This category includes any of the following, if not held for investment purposes: jewelry; collections of stamps, guns, and numismatic items; art objects; household equipment and furnishings; clothing; other household items; and vehicles for personal use.

The aggregate value of my household goods and personal effects (described above) is \$ 181,184

## ASSETS INDIVIDUALLY VALUED AT OVER \$1,000:

DESCRIPTION OF ASSET (specific description is required - see instructions p.4)	VALUE OF ASSET
SEE ATTACHMENT	\$132,538,977

## PART C -- LIABILITIES

## LIABILITIES IN EXCESS OF \$1,000 (See instructions on page 4):

NAME AND ADDRESS OF CREDITOR	AMOUNT OF LIABILITY
N/A	N/A

## JOINT AND SEVERAL LIABILITIES NOT REPORTED ABOVE:

NAME AND ADDRESS OF CREDITOR	AMOUNT OF LIABILITY
N/A	N/A

**PART D -- INCOME**

You may ***EITHER*** (1) file a complete copy of your 2013 federal income tax return, including all W2's, schedules, and attachments, ***OR*** (2) file a sworn statement identifying each separate source and amount of income which exceeds \$1,000, including secondary sources of income, by completing the remainder of Part D, below.

- ☐ I elect to file a copy of my 2013 federal income tax return and all W2's, schedules, and attachments.  
 (If you check this box and attach a copy of your 2013 tax return, you need not complete the remainder of Part D.)

**PRIMARY SOURCES OF INCOME (See instructions on page 5):**

NAME OF SOURCE OF INCOME EXCEEDING \$1,000	ADDRESS OF SOURCE OF INCOME	AMOUNT
SEE ATTACHMENT	SEE ATTACHMENT	SEE ATTACHMENT

**SECONDARY SOURCES OF INCOME** [Major customers, clients, etc., of businesses owned by reporting person--see instructions on page 5]:

NAME OF BUSINESS ENTITY	NAME OF MAJOR SOURCES OF BUSINESS' INCOME	ADDRESS OF SOURCE	PRINCIPAL BUSINESS ACTIVITY OF SOURCE
N/A	N/A	N/A	N/A

**PART E -- INTERESTS IN SPECIFIED BUSINESSES** [Instructions on page 6]

	BUSINESS ENTITY # 1	BUSINESS ENTITY # 2	BUSINESS ENTITY # 3
NAME OF BUSINESS ENTITY	N/A	N/A	N/A
ADDRESS OF BUSINESS ENTITY			
PRINCIPAL BUSINESS ACTIVITY			
POSITION HELD WITH ENTITY			
I OWN MORE THAN A 5% INTEREST IN THE BUSINESS			
NATURE OF MY OWNERSHIP INTEREST			

IF ANY OF PARTS A THROUGH E ARE CONTINUED ON A SEPARATE SHEET, PLEASE CHECK HERE ☒

**OATH**

I, the person whose name appears at the beginning of this form, do depose on oath or affirmation and say that the information disclosed on this form and any attachments hereto is true, accurate, and complete.

STATE OF FLORIDA  
COUNTY OF LEON

Sworn to (or affirmed) and subscribed before me this 16<sup>th</sup> day of

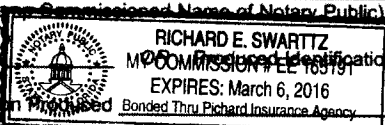
JUNE, 20 14 by RICHARD SCOTT

[Signature]  
(Signature of Notary Public--State of Florida)

(Print, Type, or Stamp Commissioned Name of Notary Public)

Personally Known

Type of Identification



[Signature]  
SIGNATURE OF REPORTING OFFICIAL OR CANDIDATE

If a certified public accountant licensed under Chapter 473, or attorney in good standing with the Florida Bar prepared this form for you, he or she must complete the following statement:

I, Emmett Mitchell IV, prepared the CE Form 6 in accordance with Art. II, Sec. 8, Florida Constitution, Section 112.3144, Florida Statutes, and the instructions to the form. Upon my reasonable knowledge and belief, the disclosure herein is true and correct.

[Signature]

Signature

6/16/14

Date

Preparation of this form by a CPA or attorney does not relieve the filer of the responsibility to sign the form under oath.

## PART B - ASSETS

2013

<u>DESCRIPTION OF ASSETS</u>	<u>VALUE OF ASSETS</u>	
Residence Naples, Florida Parcel: 09380240002	\$13,134,904	6
Boathouse Naples, Florida Parcel: 13420001922	\$99,750	6
Montana residence Geo Code: 4498-34-2-01-05-0000, 60.601 Acres	\$1,498,459	5
Cash and Cash Equivalents (Pershing, One Pershing Plaza; Jersey City, NJ 07399)	\$12,466,586	
Cash and Cash Equivalents (Neuberger Berman, P.O. Box 183211; Columbus, OH 43218)	\$5,175	
Cash and Cash Equivalents (Merrill Lynch, 1500 Merrill Lynch Drive; Pennington, NJ 08534)	\$8,999	
Cash and Cash Equivalents (Morgan Stanley, 1 New York Plaza; New York, NY 10004)	\$819,371	
Stock: China A Share Fund Limited China A Class 2S	\$67,102	
GFX Investments, LLC	\$6,154	1
GMO Quality Fund-III	\$2,923,343	1
AG Super Fund, LP	\$4,345,983	1
Ellis Lake Domestic Fund, LP	\$2,425,157	1
Engine Capital, LP	\$1,756,852	1
GRT Energy, LP	\$1,909,980	1
KSA Capital Partners, LP	\$2,178,911	1
Nokomis Capital Partners, LP	\$1,371,297	1
The Overlook Partners Fund, LP	\$1,771,819	4
Vollero Beach Capital Fund, LP	\$1,271,754	1
China Healthcare Partnership Master Fund, LP	\$6,209	
CAI Partners and Company IV, LP	\$223,835	1
Columbia Collier Management, LLC	\$1,015,000	1
G. Scott Capital Partners I, LP	\$1,000,000	5
Vestar Executives V, LP	\$210,928	1
Vestar Executives IV, LP	\$1,222	1
Vestar - AIV Holdings B, LP	\$16,440	1
Rivid, LLC	\$3,500	1
Fulton Chain Acquisition, LLC	\$128,423	1
S&S Sports, LLC	\$1,680,238	1
S&S Equity Partners, LLC	\$1,057,767	1
S&S Debt Partners, LLC	\$310,525	1
Pharmaca Investments, LLC	\$276,337	1
RLSI-CSP Capital Partners, LLC	\$43,855,524	1
RLSI-Emida Capital Partners, LLC	\$375,000	1
Richard L. & F. Annette Scott Family Partnership LTD.	\$717,843	
Due from S. Scott	\$599,138	
Due from P. Phillips	\$125,254	
Due from Luther Oaks	\$14,600	
Due from Roland Alonzo dba Alonzo Financial	\$78,200	
Due from S&S Family Entertainment, LLC	\$398,610	
Refundable Club Deposits: Royal Poinciana, Naples, Florida	\$5,000	
Refundable Club Deposits: Red Sky, Wolcott, Colorado	\$96,000	
IRA Account (cash and cash equivalents): CL King & Associates, 9 Elk Street; Albany, NY 12207	\$1	
Bank Accounts: Wells Fargo, Tallahassee, Florida	\$93,218	
Bank Accounts: Mutual of Omaha, Naples Florida	\$55,986	
<u>Merrill Lynch externally managed account(s):</u>		
Bonds: GNMA Pool ■■■■ 96	\$35,420	1

PART B - ASSETS 2013

Neuberger Berman externally managed account(s):

Stock: Spectra Energy Corp	\$53,430	1
Stock: Williams Companies Inc	\$104,139	1
Stock: Centerpoint Energy Inc	\$50,069	1
Stock: Dominion Res Inc	\$58,221	1
Stock: Oneok Inc	\$149,232	1
MLP: Cedar Fair LP	\$193,362	1, 3
MLP: Access Midstream Partners LP	\$70,725	1, 3
MLP: Alliance Hldgs GP LP	\$164,164	1, 3
MLP: Boardwalk Pipeline Partners LP	\$63,800	1, 3
MLP: Crestwood Midstream Partners LP	\$135,800	1, 3
MLP: DCP Midstream Partners LP	\$55,385	1, 3
MLP: Enterprise Products Partners LP	\$202,878	1, 3
MLP: Midcoast Energy Partners LP	\$29,400	1, 3
MLP: NGL Energy Partners Com	\$62,100	1, 3
MLP: Nustar GP Holdings LLC	\$73,034	1, 3
MLP: PVR Partners LP	\$206,591	1, 3
MLP: Regency Energy Partners LP	\$194,324	1, 3
MLP: Southcross Energy Partners LP	\$46,878	1, 3
MLP: Suburban Propane Partners LP	\$129,444	1, 3
MLP: Teekay Offshore Partners LP	\$91,328	1, 3
MLP: Western Gas Partners LP	\$114,743	1, 3
MLP: Energy Transfer Equity LP	\$310,612	1, 3
MLP: Teekay Lng Partners LP	\$49,544	1, 3
MLP: Crestwood Equity Partners LP	\$110,640	1, 3

PART B - ASSETS 2013

Pershing Advisor Solutions externally managed account(s):

Stock: Covidien Plc	\$444,421	1
Stock: Transatlantic Petroleum	\$207,769	1
Stock: Seadrill Partners LLC	\$325,066	1
Stock: Abbott Labs	\$158,341	1
Stock: Apple Inc	\$411,789	1
Stock: Callon Petroleum	\$315,510	1
Stock: Cogent Communications	\$564,043	1
Stock: Concho Res Inc	\$284,040	1
Stock: Consol Energy Inc	\$198,303	1
Stock: FTD Cos Inc	\$290,874	1
Stock: Gilead Sciences Inc	\$1,143,623	1
Stock: Gulfport Energy Corp	\$655,163	1
Stock: Hologic Inc	\$306,620	1
Stock: Johnson & Johnson	\$252,514	1
Stock: Mosaic Co	\$14,181	1
Stock: Nasdaq Omx Group Inc	\$630,114	1
Stock: Novartis AG Sponsored ADR	\$358,736	1
Stock: PBF Energy Inc	\$361,507	1
Stock: Pfizer Inc	\$431,117	1
Stock: Phillips 66 Com	\$528,032	1
Stock: Sanofi Spons Adr	\$345,163	1
Stock: TRW Automotive Hldgs Corp	\$165,815	1
Stock: Amtech Systems Inc	\$741,936	1
Stock: Argan Inc	\$14,686,476	1
Stock: Key Technology	\$692,956	1
Stock: Nts Inc	\$2,468,402	1
Stock: Wireless Telecomm Group Inc	\$994,384	1
ETP: Wisdomtree Tr Japan Hedged Equity Fund	\$291,161	1, 2
MLP: Cedar Fair, LP	\$554,057	1
MLP: Enterprise Products Partners LP	\$216,867	1
MLP: Suncoke Energy Partners LP	\$338,344	1

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**\$132,538,977**

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Footnotes:

1: Shown at GAAP or Estimated Fair Market Value

2: ETP stands for Exchange-Traded Products

3: MLP stands for Master Limited Partnership

4: IFRS

5: Cost basis

6: Market Value from tax bill

## PART D - INCOME

2013

## PRIMARY SOURCES OF INCOME:

<u>NAME AND SOURCE OF INCOME EXCEEDING \$1,000</u>	<u>ADDRESS OF SOURCE OF INCOME</u>	<u>AMOUNT</u>	
Merrill Lynch / Investment Income	1500 Merrill Lynch Drive; Pennington, NJ 08534	\$ 8,672.81	4
Morgan Stanley / Investment Income	1 New York Plaza; New York, NY 10004	\$ 3,661.90	5
Neuberger Berman / Investment Income	P.O. Box 183211; Columbus, OH 43218	\$ 12,510.38	1
Pershing / Investment Income	One Pershing Plaza; Jersey City, NJ 07399	\$ 18,967.57	2
CL King / Investment Income	9 Elk Street; Albany, NY 12207	\$ 815,979.78	3
MeetMe, Inc. fka Quepasa Corporation / Taxable Interest	100 Union Square Drive; New Hope, PA 18938	\$ 428,752.00	
GMO Quality Fund III / Investment Income	P.O. Box 5493; Boston, MA 02206	\$ 311,798.23	
AG Super Fund, LP / Investment Income	245 Park Avenue; New York, NY 10167	\$ 208,965.00	
CAI Partners and Company IV, LP / Investment Income	70 East 55th Street; New York, NY 10022	\$ 4,088.00	
Crestwood Equity Partners, LP fka Inergy LP / Investment Income	700 Louisiana Street; Houston, TX 77002	\$ 1,898.00	
Ellis Lake Domestic Fund, LP / Investment Income	444 Madison Avenue; New York, NY 10022	\$ 210,982.00	
Energy Transfer Equity, LP / Investment Income	3738 Oak Lawn Avenue; Dallas, TX 75219	\$ 2,576.00	
Engine Capital, LP / Investment Income	1370 Broadway; New York, NY 10018	\$ 52,742.00	
Fulton Chain Acquisition, LLC / Investment Income	568 9th Street S.; Naples, FL 34102	\$ 527,313.00	
GRT Energy, LP / Investment Income	One Liberty Square; Boston, MA 02109	\$ 131,343.00	
KSA Capital Partners, LP / Investment Income	67 Park Place East; Morristown, NJ 07960	\$ 2,146.00	
Nokomis Capital Partners, LP / Investment Income	2305 Cedar Springs Road; Dallas, TX 75201	\$ 27,719.00	
Overlook Partners Fund, LP / Investment Income	4/F, Willow House, Cricket Square; Grand Cayman	\$ 157,350.00	
PVR Partners, LP / Investment Income	100 Matsonford Road; Radnor, PA 19087	\$ 8,854.00	
S&S Family Entertainment /Business Income	90 Volunteer Drive; Hendersonville, TN 37075	\$ 156,383.00	
S&S Family Entertainment, LLC / Taxable Interest	90 Volunteer Drive; Hendersonville, TN 37075	\$ 39,860.98	
Sovereign Capital Limited / Investment Income	8326 Lullwater Drive; Dallas, TX 75218	\$ 44,310.00	
Tallgrass Energy Partners, LP / Investment Income	370 Van Gordon Street; Lakewood, CO 80228	\$ 6,128.00	
Vestar Executives IV, LP / Investment Income	245 Park Avenue; New York, NY 10167	\$ 1,736.00	
Vestar AIV Holdings / Investment Income	245 Park Avenue; New York, NY 10167	\$ 6,895.00	
Vollero Beach Capital Fund, LP / Investment Income	777 Third Avenue; New York, NY 10017	\$ 48,793.00	
Richard L. & F. Annette Scott Family Partnership Ltd / Investment Income	568 9th Street S.; Naples, FL 34102	\$ 19,103.46	

## BELOW IS DETAIL ALREADY INCLUDED IN AMOUNTS SHOWN ABOVE:

1 - Neuberger Berman externally managed account(s):

Centerpoint Energy Inc	\$ 1,792.80
Dominion Resources Inc VA New	\$ 2,025.00
Oneok Inc	\$ 2,940.00
Spectra Energy Corp	\$ 1,372.50
Williams Companies Inc	\$ 3,881.26
Tallgrass Energy Partners LP	\$ 5,380.28

2 - Pershing Advisor Solutions externally managed account(s):

AG Mtg Inv TR Inc	\$ 12,421.80
Nasdaq OMX Group Inc	\$ 1,952.08
Wisdomtree Tr Japan	\$ 3,074.23
Abbvie Inc	\$ 73,837.20

3 - CL King & Associates externally managed account(s):

Abbott Laboratories	\$ 2,194.64
Abbvie Inc	\$ 6,270.40
AG Mortgage Inv TR Inc	\$ 24,406.60
Apple Inc	\$ 5,679.10
Argan Inc	\$ 399,668.25
Boeing Co	\$ 8,063.60
Cogent Communications Group	\$ 2,262.20
Covidien Plc New	\$ 5,199.60

PART D - INCOME	2013	
iShares Silver Trust		\$ 3,016.73
iShares Tr S&P 100 Index Fund		\$ 17,397.28
Johnson & Johnson		\$ 42,949.45
Life Technologies Corp		\$ 185,399.71
Mallinckrodt Pub Ltd Co		\$ 5,737.91
Microsoft Corp		\$ 31,975.27
Mosaic Company		\$ 1,298.50
Nasdaq Omx Group Inc		\$ 5,856.24
Novartis AG Spons Adr		\$ 10,248.72
Occidental Petroleum Corp		\$ 2,259.34
PBF Energy Inc		\$ 10,427.40
Pfizer Inc		\$ 41,733.04
Phillips 66		\$ 8,603.52
Seadrill Partners LLC		\$ 15,231.00
US Dollar Floating Fund		\$ 262,266.63
Vodafone Group Plc New Adr		\$ 18,668.43
Vodafone Group Plc Sp Adr		\$ 96,548.91
Interest on cash		\$ 2,857.27
 <u>4 - Merrill Lynch externally managed account(s):</u>		
Massachusetts St Var CPI		\$ 5,683.33
GNMA [REDACTED]96		\$ 2,084.48
 <u>5 - Morgan Stanley externally managed account(s):</u>		
Bill 5/30/13 Cusip [REDACTED]R7		\$ 1,496.00
Bill 8/22/13 Cusip [REDACTED]E5		\$ 1,576.00

**FORM 6****FULL AND PUBLIC DISCLOSURE  
OF FINANCIAL INTEREST**RECEIVED  
DEPARTMENT OF STATE  
2013Please print or type your name, mailing  
address, agency name, and position below:

LAST NAME — FIRST NAME — MIDDLE NAME:

SCOTT - RICHARD - LYNN

MAILING ADDRESS:

700 NORTH ADAMS STREET

CITY:

TALLAHASSEE

ZIP:

32303

COUNTY:

LEON

NAME OF AGENCY:

EXECUTIVE OFFICE OF THE GOVERNOR

NAME OF OFFICE OR POSITION HELD OR SOUGHT:

GOVERNOR

CHECK IF THIS IS A FILING BY A CANDIDATE ☒2014 JUN 16 PM 3:25  
FOR OFFICE USE ONLY:DIVISION OF ELECTIONS  
TALLAHASSEE, FL

232592

PROCESSED

**PART A — NET WORTH**

Please enter the value of your net worth as of December 31, 2013, or a more current date. [Note: Net worth is not calculated by subtracting your reported liabilities from your reported assets, so please see the instructions on page 3.]

My net worth as of DECEMBER 31, 20 13 was \$ 132,720,161.**PART B — ASSETS****HOUSEHOLD GOODS AND PERSONAL EFFECTS:**

Household goods and personal effects may be reported in a lump sum if their aggregate value exceeds \$1,000. This category includes any of the following, if not held for investment purposes: jewelry; collections of stamps, guns, and numismatic items; art objects; household equipment and furnishings; clothing; other household items; and vehicles for personal use.

The aggregate value of my household goods and personal effects (described above) is \$ 181,184**ASSETS INDIVIDUALLY VALUED AT OVER \$1,000:**

DESCRIPTION OF ASSET (specific description is required - see instructions p.4)	VALUE OF ASSET
SEE ATTACHMENT	\$132,538,977

**PART C — LIABILITIES****LIABILITIES IN EXCESS OF \$1,000 (See instructions on page 4):**

NAME AND ADDRESS OF CREDITOR	AMOUNT OF LIABILITY
N/A	N/A

**JOINT AND SEVERAL LIABILITIES NOT REPORTED ABOVE:**

NAME AND ADDRESS OF CREDITOR	AMOUNT OF LIABILITY
N/A	N/A



# PART D - INCOME

You may **EITHER** (1) file a complete copy of your 2013 federal income tax return, including all W2's, schedules, and attachments, **OR** (2) file a sworn statement identifying each separate source and amount of income which exceeds \$1,000, including secondary sources of income, by completing the remainder of Part D, below.

- ☐ I elect to file a copy of my 2013 federal income tax return and all W2's, schedules, and attachments.  
 (If you check this box and attach a copy of your 2013 tax return, you need not complete the remainder of Part D.)

**PRIMARY SOURCES OF INCOME** (See instructions on page 5):

NAME OF SOURCE OF INCOME EXCEEDING \$1,000	ADDRESS OF SOURCE OF INCOME	AMOUNT
SEE ATTACHMENT	SEE ATTACHMENT	SEE ATTACHMENT

**SECONDARY SOURCES OF INCOME** (Major customers, clients, etc., of businesses owned by reporting person—see instructions on page 5):

NAME OF BUSINESS ENTITY	NAME OF MAJOR SOURCES OF BUSINESS' INCOME	ADDRESS OF SOURCE	PRINCIPAL BUSINESS ACTIVITY OF SOURCE
N/A	N/A	N/A	N/A

# PART E - INTERESTS IN SPECIFIED BUSINESSES [Instructions on page 6]

	BUSINESS ENTITY # 1	BUSINESS ENTITY # 2	BUSINESS ENTITY # 3
NAME OF BUSINESS ENTITY	N/A	N/A	N/A
ADDRESS OF BUSINESS ENTITY			
PRINCIPAL BUSINESS ACTIVITY			
POSITION HELD WITH ENTITY			
I OWN MORE THAN A 5% INTEREST IN THE BUSINESS			
NATURE OF MY OWNERSHIP INTEREST			

**IF ANY OF PARTS A THROUGH E ARE CONTINUED ON A SEPARATE SHEET, PLEASE CHECK HERE** ☒

# OATH

I, the person whose name appears at the beginning of this form, do depose on oath or affirmation and say that the information disclosed on this form and any attachments hereto is true, accurate, and complete.



STATE OF FLORIDA  
COUNTY OF LEON

Sworn to (or affirmed) and subscribed before me this 16 day of

JUNE, 2014 by RICHARD SCOTT

[Signature]  
(Signature of Notary Public—State of Florida)

Print, Type, or Stamp Commissioned Name of Notary Public: RICHARD E. SWARTZ  
 Personally Known ☒ OR Produced Identification ☐  
 Type of Identification Produced: \_\_\_\_\_  
 MY COMMISSION # EE 165191  
 EXPIRES: March 6, 2016  
 Bonded Thru Richard Insurance Agency

SIGNATURE OF REPORTING OFFICIAL OR CANDIDATE

If a certified public accountant licensed under Chapter 473, or attorney in good standing with the Florida Bar prepared this form for you, he or she must complete the following statement:

I, Emmett Mitchell, IV, prepared the CE Form 6 in accordance with Art. II, Sec. 8, Florida Constitution, Section 112.3144, Florida Statutes, and the instructions to the form. Upon my reasonable knowledge and belief, the disclosure herein is true and correct.

[Signature]

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6/16/14

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## PART B - ASSETS

2013

<u>DESCRIPTION OF ASSETS</u>	<u>VALUE OF ASSETS</u>	
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Montana residence Geo Code: 4498-34-2-01-05-0000, 60.601 Acres	\$1,498,459	5
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IRA Account (cash and cash equivalents): CL King & Associates, 9 Elk Street; Albany, NY 12207	\$1	
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<u>Merrill Lynch externally managed account(s):</u>		
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## PART B - ASSETS

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PART B - ASSETS 2013

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Stock: Concho Res Inc	\$284,040	1
Stock: Consol Energy Inc	\$198,303	1
Stock: FTD Cos Inc	\$290,874	1
Stock: Gilead Sciences Inc	\$1,143,623	1
Stock: Gulfport Energy Corp	\$655,163	1
Stock: Hologic Inc	\$306,620	1
Stock: Johnson & Johnson	\$252,514	1
Stock: Mosaic Co	\$14,181	1
Stock: Nasdaq Omx Group Inc	\$630,114	1
Stock: Novartis AG Sponsored ADR	\$358,736	1
Stock: PBF Energy Inc	\$361,507	1
Stock: Pfizer Inc	\$431,117	1
Stock: Phillips 66 Com	\$528,032	1
Stock: Sanofi Spons Adr	\$345,163	1
Stock: TRW Automotive Hldgs Corp	\$165,815	1
Stock: Amtech Systems Inc	\$741,936	1
Stock: Argan Inc	\$14,686,476	1
Stock: Key Technology	\$692,956	1
Stock: Nts Inc	\$2,468,402	1
Stock: Wireless Telecomm Group Inc	\$994,384	1
ETP: Wisdomtree Tr Japan Hedged Equity Fund	\$291,161	1, 2
MLP: Cedar Fair, LP	\$554,057	1
MLP: Enterprise Products Partners LP	\$216,867	1
MLP: Suncoke Energy Partners LP	\$338,344	1

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**\$132,538,977**

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Footnotes:

1: Shown at GAAP or Estimated Fair Market Value

2: ETP stands for Exchange-Traded Products

3: MLP stands for Master Limited Partnership

4: IFRS

5: Cost basis

6: Market Value from tax bill

## PART D - INCOME

2013

## PRIMARY SOURCES OF INCOME:

<u>NAME AND SOURCE OF INCOME EXCEEDING \$1,000</u>	<u>ADDRESS OF SOURCE OF INCOME</u>	<u>AMOUNT</u>	
Merrill Lynch / Investment Income	1500 Merrill Lynch Drive; Pennington, NJ 08534	\$ 8,672.81	4
Morgan Stanley / Investment Income	1 New York Plaza; New York, NY 10004	\$ 3,661.90	5
Neuberger Berman / Investment Income	P.O. Box 183211; Columbus, OH 43218	\$ 12,510.38	1
Pershing / Investment Income	One Pershing Plaza; Jersey City, NJ 07399	\$ 18,967.57	2
CL King / Investment Income	9 Elk Street; Albany, NY 12207	\$ 815,979.78	3
MeetMe, Inc. fka Quepasa Corporation / Taxable Interest	100 Union Square Drive; New Hope, PA 18938	\$ 428,752.00	
GMO Quality Fund III / Investment Income	P.O. Box 5493; Boston, MA 02206	\$ 311,798.23	
AG Super Fund, LP / Investment Income	245 Park Avenue; New York, NY 10167	\$ 208,965.00	
CAI Partners and Company IV, LP / Investment Income	70 East 55th Street; New York, NY 10022	\$ 4,088.00	
Crestwood Equity Partners, LP fka Inergy LP / Investment Income	700 Louisiana Street; Houston, TX 77002	\$ 1,898.00	
Ellis Lake Domestic Fund, LP / Investment Income	444 Madison Avenue; New York, NY 10022	\$ 210,982.00	
Energy Transfer Equity, LP / Investment Income	3738 Oak Lawn Avenue; Dallas, TX 75219	\$ 2,576.00	
Engine Capital, LP / Investment Income	1370 Broadway; New York, NY 10018	\$ 52,742.00	
Fulton Chain Acquisition, LLC / Investment Income	568 9th Street S.; Naples, FL 34102	\$ 527,313.00	
GRT Energy, LP / Investment Income	One Liberty Square; Boston, MA 02109	\$ 131,343.00	
KSA Capital Partners, LP / Investment Income	67 Park Place East; Morristown, NJ 07960	\$ 2,146.00	
Nokomis Capital Partners, LP / Investment Income	2305 Cedar Springs Road; Dallas, TX 75201	\$ 27,719.00	
Overlook Partners Fund, LP / Investment Income	4/F, Willow House, Cricket Square; Grand Cayman	\$ 157,350.00	
PVR Partners, LP / Investment Income	100 Matsonford Road; Radnor, PA 19087	\$ 8,854.00	
S&S Family Entertainment /Business Income	90 Volunteer Drive; Hendersonville, TN 37075	\$ 156,383.00	
S&S Family Entertainment, LLC / Taxable Interest	90 Volunteer Drive; Hendersonville, TN 37075	\$ 39,860.98	
Sovereign Capital Limited / Investment Income	8326 Lullwater Drive; Dallas, TX 75218	\$ 44,310.00	
Tallgrass Energy Partners, LP / Investment Income	370 Van Gordon Street; Lakewood, CO 80228	\$ 6,128.00	
Vestar Executives IV, LP / Investment Income	245 Park Avenue; New York, NY 10167	\$ 1,736.00	
Vestar AIV Holdings / Investment Income	245 Park Avenue; New York, NY 10167	\$ 6,895.00	
Vollero Beach Capital Fund, LP / Investment Income	777 Third Avenue; New York, NY 10017	\$ 48,793.00	
Richard L. & F. Annette Scott Family Partnership Ltd / Investment Income	568 9th Street S.; Naples, FL 34102	\$ 19,103.46	

## BELOW IS DETAIL ALREADY INCLUDED IN AMOUNTS SHOWN ABOVE:

1 - Neuberger Berman externally managed account(s):

Centerpoint Energy Inc	\$ 1,792.80
Dominion Resources Inc VA New	\$ 2,025.00
Oneok Inc	\$ 2,940.00
Spectra Energy Corp	\$ 1,372.50
Williams Companies Inc	\$ 3,881.26
Tallgrass Energy Partners LP	\$ 5,380.28

2 - Pershing Advisor Solutions externally managed account(s):

AG Mtg Inv TR Inc	\$ 12,421.80
Nasdaq OMX Group Inc	\$ 1,952.08
Wisdomtree Tr Japan	\$ 3,074.23
Abbvie Inc	\$ 73,837.20

3 - CL King & Associates externally managed account(s):

Abbott Laboratories	\$ 2,194.64
Abbvie Inc	\$ 6,270.40
AG Mortgage Inv TR Inc	\$ 24,406.60
Apple Inc	\$ 5,679.10
Argan Inc	\$ 399,668.25
Boeing Co	\$ 8,063.60
Cogent Communications Group	\$ 2,262.20
Covidien Plc New	\$ 5,199.60

PART D - INCOME 2013

IShares Silver Trust	\$	3,016.73
IShares Tr S&P 100 Index Fund	\$	17,397.28
Johnson & Johnson	\$	42,949.45
Life Technologies Corp	\$	185,399.71
Mallinckrodt Pub Ltd Co	\$	5,737.91
Microsoft Corp	\$	31,975.27
Mosaic Company	\$	1,298.50
Nasdaq Omx Group Inc	\$	5,856.24
Novartis AG Spons Adr	\$	10,248.72
Occidental Petroleum Corp	\$	2,259.34
PBF Energy Inc	\$	10,427.40
Pfizer Inc	\$	41,733.04
Phillips 66	\$	8,603.52
Seadrill Partners LLC	\$	15,231.00
US Dollar Floating Fund	\$	262,266.63
Vodafone Group Plc New Adr	\$	18,668.43
Vodafone Group Plc Sp Adr	\$	96,548.91
Interest on cash	\$	2,857.27
<u>4 - Merrill Lynch externally managed account(s):</u>		
Massachusetts St Var CPI		
GNMA P537896	\$	5,683.33
	\$	2,084.48
<u>5 - Morgan Stanley externally managed account(s):</u>		
Bill 5/30/13 Cusip 912796R7		
Bill 8/22/13 Cusip 9127957E5	\$	1,496.00
	\$	1,576.00