

# Auction-Rate Securities (ARS) Broker-Dealer Settlements / Offers

~ As of 1/25/2010 ~

Name of Financial Institution	Amount * (MM)	Offer / Settlement Dates	
		Start	End
<b>BANK OF AMERICA -- Assurance of Discontinuance (6/3/09)</b>			
Client Holdings:	N/A		
Individual Investors	\$4,500	10/1/2008	12/31/2008
Institutional Investors (Best efforts)	N/A	N/A	N/A
<u>Qualifiers:</u> <ul style="list-style-type: none"> <li>Individual Investors refers to individuals and trusts for the benefit of individual as well as small business customers with less than \$10 MM on deposit and charitable organizations with up to \$25 MM on deposit.</li> <li>Investors must have purchased securities before 2/11/08.</li> </ul>			
<u>Notes:</u> <ul style="list-style-type: none"> <li>Bank of America had previously agreed to buy back all ARS held by government entities, including municipalities.</li> <li>Customers who sold auction rate securities below par after 2/11/08 shall have the difference between par and the sale price paid to them by Bank of America.</li> <li>Will use "best efforts to provide liquidity solutions for institutional investors.</li> <li>Repurchase program will remain open for three months beginning the later of 10/1/08, or as soon as practicable after the SEC provides definitive guidance on the mechanics of the program.</li> </ul>			
<b>BNY MELLON CAPITAL MARKETS LLC -- Proposed Settlement (Announced 10/23/08)</b>			
Client Holdings:	N/A		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u> <ul style="list-style-type: none"> <li>Individual Investors refers to all natural persons, small institutions and charities.</li> <li>Investors must have purchased before 2/11/08.</li> </ul>			
<u>Notes:</u> <ul style="list-style-type: none"> <li>Will compensate customers who sold securities below par after 02/28/08.</li> <li>The principle agreement with FINRA is subject to being formalized in an approved settlement document called a Letter of Acceptance, Waiver and Consent (AWC).</li> </ul>			
<b>CITIGROUP, INC. -- SEC Final Settlement (12/11/08)</b>			
Client Holdings:	\$19,300		
Individual Investors	\$7,300	N/A	11/5/2008
Institutional Investors (Best Efforts)	\$12,000	N/A	12/31/2009
<u>Qualifiers:</u> <ul style="list-style-type: none"> <li>Individual Investors refers individual investors and some institutions.</li> <li>Investors must have purchased securities between 5/31/06 and 2/28/08.</li> </ul>			
<u>Notes:</u> <ul style="list-style-type: none"> <li>Institutional Investors: Best efforts attempt to liquidate securities by the end of 2009.</li> <li>Will make whole any losses sustained by customers who purchased securities before 02/11/08, and sold such securities after that date for a loss.</li> </ul>			
<b>CITY NATIONAL SECURITIES -- Proposed Settlement (Announced 10/23/08)</b>			
Client Holdings:	N/A		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u> <ul style="list-style-type: none"> <li>Individual Investors refers to all natural persons, small institutions and charities.</li> <li>Investors must have purchased before 2/11/08.</li> </ul>			
<u>Notes:</u> <ul style="list-style-type: none"> <li>Will compensate customers who sold securities below par after 02/28/08.</li> <li>The principle agreement with FINRA is subject to being formalized in an approved settlement document called a Letter of Acceptance, Waiver and Consent (AWC).</li> </ul>			
<b>CITY SECURITIES -- FINRA Settlement (9/14/09)</b>			
Client Holdings:	\$13.1		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u> <ul style="list-style-type: none"> <li>Securities were purchased through Northwestern Mutual Investment Services.</li> </ul>			
<u>Notes:</u> <ul style="list-style-type: none"> <li>City Securities offers to repurchase at par ARS that individual investors and some institutions purchased between May 31, 2006, and Feb. 28, 2008.</li> <li>Agreed to make whole individual investors who sold ARS below par after Feb. 28, 2008.</li> </ul>			

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~ As of 1/25/2010 ~

Name of Financial Institution	Amount * (MM)	Offer / Settlement Dates	
		Start	End
<b>COMMERCE BANCSHARES INC. -- Proposed Buyback Offer (Announced 8/16/08)</b>			
Client Holdings:	\$545	8/25/2008	9/30/2008
Individual Investors	N/A		
Institutional Investors	N/A		
<u>Qualifiers:</u>			
• N/A			
<u>Notes:</u>			
• Includes 140 customers; company did not distinguish between retail or institutional investors or denote other buyback criteria.			
• Buyback includes customers from Commerce Bank, N.A. and Commerce Brokerage Services Inc.			
• All the securities that Commerce will purchase are investment-grade with \$420 million being AAA securities backed by federally insured student loans, issued by state student loan authorities.			
<b>COMERICA SECURITIES, INC. -- Proposed Settlement (Announced 9/18/08)</b>			
Client Holdings:	N/A		
Individual Investors	\$1,460	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
• Individual Investors refers to individuals and some institutions.			
• ARS must have been purchased between 5/31/06 and 2/28/08.			
<u>Notes:</u>			
• Agreed to make whole individual investors who sold ARS below par after 2/28/08.			
• The principle agreement with FINRA is subject to being formalized in an approved settlement document called a Letter of Acceptance, Waiver and Consent (AWC).			
<b>CREDIT SUISSE GROUP-- Proposed Settlement Offer (Announced 9/16/08)</b>			
Client Holdings:	N/A		
Individual Investors	\$550	N/A	12/11/2008
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
• Individual Investors refers to individuals, charities and small businesses with \$10 million or less in their accounts prior to 2/14/08.			
<u>Notes:</u>			
• Will offer expedited liquidity options to its clients and reimburse investors who sold their holdings at a loss after the market for auction-rate securities collapsed.			
<b>DEUTSCHE BANK AG -- Assurance of Discontinuance (6/3/09)</b>			
Client Holdings:	N/A		
Individual Investors	\$1,000	8/21/2008	11/21/2008
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
• Individual Investors refers to all retail customers.			
<u>Notes:</u>			
• Agreed to buy out at par all of its retail customers' ARS within 90 days.			
• Deutsche Bank has agreed to complete by 11/19/08 all purchases from eligible investors who accept the offer prior to 11/19/08, and in addition shall keep the offer open until 12/31/08.			
<b>FIDELITY INVESTMENTS -- Proposed Settlement (Announced 9/12/08)</b>			
Client Holdings:	\$300		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
• TBA			
<u>Notes:</u>			
• TBA			

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~ As of 1/25/2010 ~

Name of Financial Institution	Amount * (MM)	Offer / Settlement Dates	
		Start	End
<b>FIFTH THIRD SECURITIES -- FINRA Settlement (9/14/09)</b>			
Client Holdings:	\$11.9		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
<ul style="list-style-type: none"> <li>• Securities were purchased through Northwestern Mutual Investment Services.</li> </ul>			
<u>Notes:</u>			
<ul style="list-style-type: none"> <li>• Fifth Third offers to repurchase at par ARS that individual investors and some institutions purchased between May 31, 2006, and Feb. 28, 2008.</li> <li>• Agreed to make whole individual investors who sold ARS below par after Feb. 28, 2008.</li> </ul>			
<b>FIRST SOUTHWEST COMPANY -- FINRA Final Settlement (12/16/08)</b>			
Client Holdings:	N/A		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
<ul style="list-style-type: none"> <li>• Individual Investors refers to individuals and some institutions.</li> <li>• ARS must have been purchased between 5/31/06 and 2/28/08.</li> </ul>			
<u>Notes:</u>			
<ul style="list-style-type: none"> <li>• Details and amounts TBA.</li> <li>• Agreed to make whole individual investors who sold ARS below par after 2/28/08.</li> <li>• The principle agreement with FINRA is subject to being formalized in an approved settlement document called a Letter of Acceptance, Waiver and Consent (AWC).</li> </ul>			
<b>GOLDMAN SACHS GROUP INC. -- Assurance of Discontinuance (6/3/09)</b>			
Client Holdings:	N/A		
Individual Investors	\$1,000	8/21/2008	11/12/2008
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
<ul style="list-style-type: none"> <li>• Investors must have purchased the securities prior to 2/11/08.</li> <li>• Individual Investors includes individuals, all charities and non-profits, and businesses with \$10 million or less.</li> </ul>			
<u>Notes:</u>			
<ul style="list-style-type: none"> <li>• Will compensate private clients who purchased ARS through the Firm prior to 2/11/08, and sold such securities at a loss prior to 8/21/08.</li> <li>• Will endeavor to continue to work with issuers and other interested parties, including regulatory and government entities, to expeditiously provide liquidity solutions for institutional investors.</li> </ul>			
<b>HARRIS INVESTOR SERVICES INC. -- Proposed Settlement (Announced 10/23/08)</b>			
Client Holdings:	N/A		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
<ul style="list-style-type: none"> <li>• Individual Investors refers to all natural persons, small institutions and charities.</li> <li>• Investors must have purchased before 2/11/08.</li> </ul>			
<u>Notes:</u>			
<ul style="list-style-type: none"> <li>• Will compensate customers who sold securities below par after 02/28/08.</li> <li>• The principle agreement with FIRE is subject to being formalized in an approved settlement document called a Letter of Acceptance, Waiver and Consent (AWC).</li> </ul>			
<b>HSBC -- Proposed Buyback Offer (Announced 6/20/2008 &amp; 10/24/08)</b>			
Client Holdings:	N/A	6/20/2008	7/31/2008
Individual Investors	N/A	10/24/2008	11/25/2008
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
<ul style="list-style-type: none"> <li>• N/A</li> </ul>			
<u>Notes:</u>			
<ul style="list-style-type: none"> <li>• Some customers did not participate in the first offering (6/20/08), and the firm is continuing to address the needs of the few remaining customers.</li> <li>• Securities and banking laws prevented it from buying some closed-end preferred shares.</li> <li>• Second announced redemption offered to purchase at par all remaining auction-rate securities purchased through HSBC and currently held by customer in their HSBC Securities accounts.</li> </ul>			

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~ As of 1/25/2010 ~

Name of Financial Institution	Amount * (MM)	Offer / Settlement Dates	
		Start	End
<b>JANNEY MONTGOMERY SCOTT LLC -- Proposed Agreement (Announced 5/07/09)</b>			
Client Holdings:	N/A		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
• TBA			
<u>Notes:</u>			
• TBA			
<b>JPMORGAN CHASE &amp; CO. -- Assurance of Discontinuance (6/3/09)</b>			
Client Holdings:	N/A		
Individual Investors	\$3,000	on or before 11/12/2008	12/7/2008
Institutional Investors (Best Efforts)	N/A	N/A	12/31/2009
<u>Qualifiers:</u>			
• Individual Investors refers to individuals, charities and small to medium-sized businesses with account values and household values of less than \$10 MM.			
• ARS were purchased through J.P. Morgan Securities Inc., Chase Investment Services Corp. or Bear, Stearns & Co. Inc. prior to 2/12/08.			
<u>Notes:</u>			
• Institutional Investors: Best efforts attempt to liquidate securities by the end of 2009.			
• Does not cover specified employees of the firm (financial advisors, registered representatives and / or current or senior management).			
• Will compensate individual investors who purchased ARS through the Firm prior to 2/12/08, and sold such securities at a loss prior to 8/14/08.			
• JPMorgan extended its previously announced tender offer on 11/10/2008. The offer will now expire on 12/7/2008.			
<b>M&amp;I FINANCIAL ADVISORS, INC.-- Proposed Agreement (Announced 5/07/09)</b>			
Client Holdings:	N/A		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
• TBA			
<u>Notes:</u>			
• TBA			
<b>M&amp;T SECURITIES, INC.-- Proposed Agreement (Announced 5/07/09)</b>			
Client Holdings:	N/A		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
• TBA			
<u>Notes:</u>			
• TBA			
<b>MERRILL LYNCH &amp; CO., INC. -- Proposed Settlement (Announced 8/21/08)</b>			
Client Holdings:	\$12,000		
Individual Investors (less than \$4 MM)	\$4,000	10/15/2008	1/15/2010
Individual Investors (between \$4 MM and \$100 MM)	\$8,000	1/2/2009	1/15/2010
Institutional Investors (best efforts)	N/A	N/A	N/A
<u>Qualifiers:</u>			
• Individual Investors (less than \$4 MM) refers to retail clients including individuals, charitable institutions and many family-owned and small businesses with less than \$4 MM on deposit.			
• Individual Investors (between \$4 MM and \$100 MM) includes the remaining individual investors and charitable organizations as well as businesses with less than \$100 MM on deposit.			
<u>Notes:</u>			
• Individual Investors currently hold an estimated \$12 billion in auction-rate securities, which they expect to be reduced to under \$10 billion by January 2009 as a result of announced and anticipated issuer redemptions.			
• Merrill Lynch will use its best efforts to provide liquidity to its ARS institutional customers and business customers with accounts of more than \$100 MM.			

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~ As of 1/25/2010 ~

Name of Financial Institution	Amount * (MM)	Offer / Settlement Dates	
		Start	End
<b>MORGAN STANLEY -- Assurance of Discontinuance (6/3/09)</b>			
Client Holdings:			
Individual Investors	\$4,500	on or before 9/30/2008	12/11/2008
Institutional Investors (Best Efforts)	N/A	N/A	12/31/2009
<u>Qualifiers:</u> • Individual Investors includes all individuals, all charities and those small to medium-sized businesses with accounts of \$10 million or less. • Investors must have purchased securities prior to 2/13/08. <u>Notes:</u> • Institutional Investors: Best efforts attempt to liquidate securities by the end of 2009. • Institutional Investors who purchased securities after 2/13/08, as well as holders where the auctions are clearing, will be excluded from the program. • Will also make whole any losses sustained by individual investors purchased before 2/12/08 and sold at a loss prior to 8/11/08.			
<b>NATCITY INVESTMENTS, INC.-- Proposed Agreement (Announced 5/07/09)</b>			
Client Holdings:			
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u> • TBA <u>Notes:</u> • TBA			
<b>NORTHERN TRUST CORP. -- Proposed Buyback Offer (Announced 9/29/08)</b>			
Client Holdings:			
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u> • Securities were purchased through Northern Trust for Personal Financial Services or from a Northern Trust affiliated broker/dealer. <u>Notes:</u> • The terms of the offer will be communicated to those clients who qualify for the program.			
<b>NORTHWESTERN MUTUAL INVESTMENT SERVICES -- FINRA Settlement (9/14/09)</b>			
Client Holdings:			
Individual Investors	\$103	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u> • Securities were purchased through Northwestern Mutual Investment Services. <u>Notes:</u> • Northwestern offers to repurchase at par ARS that individual investors and some institutions purchased between May 31, 2006, and Feb. 28, 2008. • Agreed to make whole individual investors who sold ARS below par after Feb. 28, 2008.			
<b>RBC CAPITAL MARKETS CORP. -- Assurance of Discontinuance (6/3/09)</b>			
Client Holdings:			
Individual Investors	\$800	on or before 12/15/2008	6/15/2009
Institutional Investors	N/A	N/A	12/31/2009
<u>Qualifiers:</u> • Individual Investors refers to individuals, small business investors with account values up to and including \$10 MM and investors that are nonprofit, charitable or religious organizations with account values up to and including \$25 MM. • Institutional Investors refers to individuals with accounts valued at more than \$10 MM, and investors that are nonprofit, charitable and religious organizations with accounts valued at more than \$25 MM. • ARS must have been purchased from RBC prior to the market collapse on 2/11/08. <u>Notes:</u> • RBC will use its best efforts to provide liquidity to "Institutional Investors" as described above. • Agreed to make whole any losses by individual investors who purchased ARS before 2/11/08.			

# Auction-Rate Securities (ARS) Broker-Dealer Settlements / Offers

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Name of Financial Institution	Amount * (MM)	Offer / Settlement Dates	
		Start	End
<b>STIFEL, NICOLAUS &amp; CO. -- Proposed Repurchase Plan (Announced 2/12/09)</b>			
Client Holdings:	\$180		
Individual Investors	\$180	6/1/2009	6/1/2011
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
<ul style="list-style-type: none"> <li>• Individual Investors refers to all Stifel retail clients.</li> <li>• ARS must have been purchased prior to the market collapse on 2/13/08, and be held in Stifel accounts.</li> </ul>			
<u>Notes:</u>			
<ul style="list-style-type: none"> <li>• Stifel will offer to repurchase, at par, the greater of 10% or \$25,000 of each account on or before June 2009.</li> <li>• Stifel will repurchase the remaining balance of ARS until June 2012 contingent on market conditions and other future events.</li> </ul>			
<b>SUNTRUST INVESTMENT SERVICES, INC. -- Determined not to Finalize (5/07/09)</b>			
Client Holdings:	N/A		
Individual Investors	N/A	12/1/2008	3/2/2009
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
<ul style="list-style-type: none"> <li>• Individual Investors refers to individuals and some institutions.</li> <li>• ARS must have been purchased between 5/31/06 and 2/28/08.</li> </ul>			
<u>Notes:</u>			
<ul style="list-style-type: none"> <li>• Agreed to make whole individual investors who sold ARS below par after 2/28/08.</li> <li>• The principle agreement with FINRA is subject to being formalized in an approved settlement document called a Letter of Acceptance, Waiver and Consent (AWC).</li> <li>• Determined not to finalize previously announced settlement in principal with FINRA announced on 9/18/08.</li> </ul>			
<b>SUNTRUST ROBINSON HUMPHREY, INC. -- Determined not to Finalize (5/07/09)</b>			
Client Holdings:	N/A		
Individual Investors	N/A	12/1/2008	3/2/2009
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
<ul style="list-style-type: none"> <li>• Individual Investors refers to individuals and some institutions.</li> <li>• ARS must have been purchased between 5/31/06 and 2/28/08.</li> </ul>			
<u>Notes:</u>			
<ul style="list-style-type: none"> <li>• Agreed to make whole individual investors who sold ARS below par after 2/28/08.</li> <li>• The principle agreement with FINRA is subject to being formalized in an approved settlement document called a Letter of Acceptance, Waiver and Consent (AWC).</li> <li>• Determined not to finalize previously announced settlement in principal with FINRA announced on 9/18/08.</li> </ul>			
<b>TD AMERITRADE, INC. -- Proposed Settlement (Announced 7/20/09)</b>			
Client Holdings:	N/A		
Individual Investors	\$456	7/20/2009	3/1/2010
Institutional Investors	N/A	N/A	N/A
<u>Qualifiers:</u>			
<ul style="list-style-type: none"> <li>• Individual Investors refers to individuals, charities, non-profits and small businesses and institutions.</li> <li>• ARS must have been purchased before 2/13/08.</li> </ul>			
<u>Notes:</u>			
<ul style="list-style-type: none"> <li>• Agreed to make whole individual investors who sold ARS at a discount after the market failed.</li> <li>• Agreed to purchase ARS from retail investors with accounts of \$250,000 or less within 75 days and by 3/01/10, for all other eligible customers.</li> </ul>			

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Name of Financial Institution	Amount * (MM)	Offer / Settlement Dates	
		Start	End
<b>UBS AG -- SEC Final Settlement (12/11/08)</b>			
Client Holdings:	\$22,100		
Individual Investors (less than \$1 MM)	\$8,300	10/31/2008	1/4/2011
Individual Investors (up to \$10 MM)		1/2/2009	1/4/2011
Other (Tax-Exempt ARPS)	\$3,500	N/A	10/31/2008
Institutional Investors (Greater than \$10 MM)	\$10,300	6/30/2010	7/2/2012
<p><u>Qualifiers:</u></p> <ul style="list-style-type: none"> <li>Individual Investors (less than \$1 MM) includes natural persons, small businesses and charitable organizations with less than \$1 MM.</li> <li>Individual Investors (up to \$10 MM) includes all other UBS individual investors and charitable organizations as well as small business investors with account and household values up to \$10 MM.</li> </ul> <p><u>Notes:</u></p> <ul style="list-style-type: none"> <li>Will make whole by 9/15/08 any losses sustained by the investors described above who sold ARS between 2/13/08 and 8/08/08.</li> </ul>			
<b>WACHOVIA -- SEC Final Settlement (2/6/09)</b>			
Client Holdings:	\$8,800		
Individual Investors	\$5,700	on or before 11/10/2008	11/28/2008
Institutional Investors	\$3,100	on or before 6/10/2009	6/30/2009
<p><u>Qualifiers:</u></p> <ul style="list-style-type: none"> <li>Individual Investors includes individuals, charities and religious organizations, as well as small and medium-sized businesses with account values and household values of less than \$10 MM.</li> <li>Institutional Investors includes all other investors.</li> <li>ARS were purchased through Wachovia Securities, LLC, Wachovia Capital Markets, LLC and A.G. Edwards.</li> <li>Investors must have purchased securities prior to 2/13/08.</li> </ul> <p><u>Notes:</u></p> <ul style="list-style-type: none"> <li>Will reimburse investors who would have been covered by the offer but who sold their ARS below par, between 2/13/08, and the date of entry of the settlement.</li> <li>ARS that are the subject of functioning auctions will not be eligible for purchase.</li> </ul>			
<b>WAMU INVESTMENTS, INC. -- FINRA Final Settlement (12/16/08)</b>			
Client Holdings:	N/A		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<p><u>Qualifiers:</u></p> <ul style="list-style-type: none"> <li>Individual Investors refers to individuals and some institutions.</li> <li>ARS must have been purchased between 5/31/06 and 2/28/08.</li> </ul> <p><u>Notes:</u></p> <ul style="list-style-type: none"> <li>Details and amounts TBA.</li> <li>Agreed to make whole individual investors who sold ARS below par after 2/28/08.</li> <li>The principle agreement with FINRA is subject to being formalized in an approved settlement document called a Letter of Acceptance, Waiver and Consent (AWC).</li> </ul>			
<b>WELLS FARGO INVESTMENTS LLC -- NASAA Settlement (11/18/09)</b>			
Client Holdings:	\$1,300		
Individual Investors	N/A	N/A	N/A
Institutional Investors	N/A	N/A	N/A
<p><u>Qualifiers:</u></p> <ul style="list-style-type: none"> <li>ARS must have been purchased from Wells Fargo's brokerage unit before February 13, 2008.</li> </ul> <p><u>Notes:</u></p> <ul style="list-style-type: none"> <li>Wells Fargo has agreed to offer to buy back auction-rate securities by April 18, 2010.</li> <li>Wells Fargo will fully reimburse certain investors who sold ARS at a discount after the market failed.</li> <li>They will also consent to public arbitration to resolve other investor claims as a result of their inability to access their funds, and pay \$1.9 million in penalties to the states.</li> </ul>			

\*Approximate based on public statements/filings



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