

# Susan Smith Account ABC-1948 with Happy Hollow Investment Associates

Prepared by Greg B. Wood

June 8, 2007

Trade Date	Account Number	Buy / Sell / Expire / Exercise / Assigned	Solicited / Unsolicited	Quantity	Stock	Expiration	Strike	Stock Price	Put / Call Common Stock	Open / Close	Amount	Bates: Smith - 000
1	8/24/1999 ABC-1948	Sold	Unsolicited	60	Procter & Gamble			\$ 100.00	Stock		\$ 5,962.30	516
2	8/31/1999 ABC-1948	Bought	Unsolicited	100	Dycom Indus, Inc			\$ 33.38	Stock		\$ 3,385.00	516
3	<b>9/7/1999 ABC-1948</b>	<b>Sell Limit Order - Expires in 1</b>		<b>100</b>	<b>Dycom Indus, Inc</b>				<b>Stock</b>		<b>@ 38</b>	517
4	9/14/1999 ABC-1948	Bought	Unsolicited	3	Chevron Corp	October	\$ 95		Call	Open	\$ 937.50	517
5	9/17/1999 ABC-1948	Sold	Unsolicited	100	Dycom Indus, Inc			\$ 38.00	Stock		\$ 3,772.37	518
6	<b>9/17/1999 ABC-1948</b>	<b>Sell Limit Order</b>		<b>3</b>	<b>Chevron Corp</b>	<b>October</b>	<b>\$ 95</b>		<b>Call</b>	<b>Open</b>	<b>@ 4</b>	518
7	10/6/1999 ABC-1948	Bought	Unsolicited	3	CMGI Inc	November	\$ 100		Call	Open	\$ 2,962.50	519
8	10/6/1999 ABC-1948	Bought	Unsolicited	2	MCI WorldCom	November	\$ 65		Call	Open	\$ 1,537.50	519
9	10/7/1999 ABC-1948	Bought	Unsolicited	3	Motorola Inc	November	\$ 85		Call	Open	\$ 2,962.50	521
10	10/7/1999 ABC-1948	Sold	Unsolicited	3	CMGI Inc	November	\$ 100		Call	Close	\$ 5,062.33	520
11	10/7/1999 ABC-1948	Sold	Unsolicited	2	MCI WorldCom	November	\$ 65		Call	Close	\$ 2,062.43	520
12	10/11/1999 ABC-1948	Bought	Unsolicited	3	INTEL	November	\$ 70		Call	Open	\$ 2,887.50	522
13	10/11/1999 ABC-1948	Bought	Unsolicited	2	HI/FN Inc	November	\$ 45		Call	Open	\$ 2,437.50	521
14	10/12/1999 ABC-1948	Sold	Unsolicited	3	Motorola Inc	November	\$ 85		Call	Close	\$ 4,049.86	522
15	10/13/1999 ABC-1948	Bought	Unsolicited	4	CMGI Inc	November	\$ 100		Call	Open	\$ 3,237.50	523
16	<b>10/19/1999 ABC-1948</b>	<b>Expired</b>		<b>3</b>	<b>Chevron Corp</b>	<b>October</b>	<b>\$ 95</b>		<b>Call</b>	<b>Close</b>	<b>\$ -</b>	<b>431</b>
17	11/3/1999 ABC-1948	Sold	Unsolicited	3	INTEL	November	\$ 70		Call	Close	\$ 2,887.40	523
18	11/5/1999 ABC-1948	Bought	Unsolicited	1	4 Kids Entertainment	November	\$ 70		Call	Open	\$ 1,382.50	524
19	11/8/1999 ABC-1948	Sold	Unsolicited	2	HI/FN Inc	November	\$ 45		Call	Close	\$ 267.49	528
20	11/8/1999 ABC-1948	Bought	Unsolicited	4	Realnetworks Inc	November	\$ 135		Call	Open	\$ 4,987.50	527
21	11/8/1999 ABC-1948	Bought	Unsolicited	3	Realnetworks Inc	November	\$ 135		Call	Open	\$ 3,637.50	526
22	11/8/1999 ABC-1948	Sold	Unsolicited	3	Realnetworks Inc	November	\$ 135		Call	Close	\$ 4,162.36	526
23	11/8/1999 ABC-1948	Sold	Unsolicited	2	Realnetworks Inc	November	\$ 120		Call	Close	\$ 2,767.40	525
24	11/8/1999 ABC-1948	Sold	Unsolicited	1	4 Kids Entertainment	November	\$ 70		Call	Close	\$ 1,929.93	525
25	11/8/1999 ABC-1948	Bought	Unsolicited	2	Realnetworks Inc	November	\$ 120		Call	Open	\$ 1,832.50	524

26	11/16/1999	ABC-1948	Sold	Unsolicited	4 Realnetworks Inc	November	\$ 135	Call	Close	\$ 5,162.32	527
27	11/17/1999	ABC-1948	Sold	Unsolicited	2 CMGI Inc	November	\$ 100	Call	Close	\$ 4,967.33	528
28	11/18/1999	ABC-1948	Bought	Unsolicited	2 BEA Systems	December	\$ 85	Call	Open	\$ 3,787.50	530
29	11/18/1999	ABC-1948	Sold	Unsolicited	2 CMGI Inc	November	\$ 100	Call	Close	\$ 6,087.29	529
30	11/18/1999	ABC-1948	Bought	Unsolicited	3 CISCO Systems	December	\$ 80	Call	Open	\$ 2,475.00	529
31	11/19/1999	ABC-1948	Bought	Unsolicited	5 General Electric	December	\$ 130	Call	Open	\$ 5,600.00	531
32	11/19/1999	ABC-1948	Bought	Unsolicited	3 National Semi Conductor	December	\$ 30	Call	Open	\$ 3,412.50	531
33	11/19/1999	ABC-1948	Bought	Unsolicited	2 BEA Systems	December	\$ 95	Call	Open	\$ 3,032.50	530
34	<b>11/23/1999</b>	<b>ABC-1948</b>	<b>Sell Limit Order</b>		<b>3 National Semi Conductor</b>	<b>December</b>	<b>\$ 30</b>	<b>Call</b>	<b>Close</b>	<b>@ 12 3/4</b>	532
35	<b>11/23/1999</b>	<b>ABC-1948</b>	<b>Sell Limit Order</b>		<b>3 CISCO Systems</b>	<b>December</b>	<b>\$ 80</b>	<b>Call</b>	<b>Close</b>	<b>@ 10 1/2</b>	532
36	11/24/1999	ABC-1948	Sold	Unsolicited	6 CISCO Systems	December	\$ 80	Call	Close	\$ 3,112.39	533
37	11/29/1999	ABC-1948	Sold	Unsolicited	3 National Semi Conductor	December	\$ 30	Call	Close	\$ 3,787.37	533
38	11/30/1999	ABC-1948	Bought	Unsolicited	5 CISCO Systems	December	\$ 85	Call	Open	\$ 3,537.50	534
39	12/2/1999	ABC-1948	Sold	Unsolicited	5 CISCO Systems	December	\$ 85	Call	Close	\$ 4,712.34	534
40	12/3/1999	ABC-1948	Bought	Unsolicited	4 CMGI Inc	December	\$ 160	Call	Open	\$ 5,637.50	536
41	12/3/1999	ABC-1948	Sold	Unsolicited	3 BEA Systems	December	\$ 85	Call	Close	\$ 10,462.15	536
42	12/3/1999	ABC-1948	Bought	Unsolicited	1 CISCO Systems	December	\$ 90	Call	Open	\$ 682.50	535
43	12/3/1999	ABC-1948	Sold	Unsolicited	2 BEA Systems	December	\$ 95	Call	Close	\$ 4,962.33	535
44	12/6/1999	ABC-1948	Bought	Unsolicited	4 BEA Systems	December	\$ 120	Call	Open	\$ 5,587.50	537
45	12/6/1999	ABC-1948	Bought	Unsolicited	5 BEA Systems	December	\$ 110	Call	Open	\$ 7,537.50	537
46	12/7/1999	ABC-1948	Bought	Unsolicited	5 CISCO Systems	December	\$ 100	Call	Open	\$ 2,225.00	538
47	12/7/1999	ABC-1948	Sold	Unsolicited	4 CMGI Inc	December	\$ 160	Call	Close	\$ 7,962.23	538
48	12/10/1999	ABC-1948	Sold	Unsolicited	1 CISCO Systems	December	\$ 90	Call	Close	\$ 892.46	540
49	12/10/1999	ABC-1948	Sold	Unsolicited	5 General Electric	December	\$ 130	Call	Close	\$ 7,462.25	539
50	12/10/1999	ABC-1948	Bought	Unsolicited	5 General Electric	December	\$ 140	Call	Open	\$ 4,032.50	539
51	12/13/1999	ABC-1948	Bought	Unsolicited	7 INTEL	December	\$ 75	Put	Open	\$ 3,275.00	540
52	12/16/1999	ABC-1948	Bought	Unsolicited	2 CMGI Inc	January	\$ 220	Call	Open	\$ 6,737.50	542
53	12/16/1999	ABC-1948	Sold	Unsolicited	5 General Electric	December	\$ 140	Call	Close	\$ 2,587.41	541
54	12/17/1999	ABC-1948	Sold	Unsolicited	5 CISCO Systems	December	\$ 100	Call	Close	\$ 212.49	543
55	12/17/1999	ABC-1948	Sold	Unsolicited	5 BEA Systems	December	\$ 110	Call	Close	\$ 6,462.23	543
56	12/17/1999	ABC-1948	Sold	Unsolicited	4 BEA Systems	December	\$ 120	Call	Close	\$ 1,262.45	542

57	12/17/1999	ABC-1948	Sold	Unsolicited	7 INTEL	December	\$ 75	Put	Close	\$ 93.75	541
58	12/29/1999	ABC-1948	Sold	Unsolicited	2 CMGI Inc	January	\$ 220	Call	Close	\$ 12,162.09	544
59	12/29/1999	ABC-1948	Bought	Unsolicited	1 QUALCOMM Inc	January	\$ 600	Call	Open	\$ 7,982.50	544
60	12/30/1999	ABC-1948	Sold	Unsolicited	1 QUALCOMM Inc	January	\$ 600	Call	Close	\$ 10,429.65	545
61	12/31/1999	ABC-1948	Bought	Unsolicited	2 QUALCOMM Inc	January	\$ 150	Call	Open	\$ 6,537.50	545
62	1/3/2000	ABC-1948	Bought	Unsolicited	2 Doubleclick	February	\$ 250	Call	Open	\$ 8,437.50	546
63	1/3/2000	ABC-1948	Bought	Unsolicited	2 CISCO Systems	January	\$ 105	Call	Open	\$ 1,237.50	546
64	1/18/2000	ABC-1948	Sold	Unsolicited	2 CISCO Systems	January	\$ 105	Call	Close	\$ 1,362.44	547
65	1/21/2000	ABC-1948	Sold	Unsolicited	2 QUALCOMM Inc	January	\$ 150	Call	Close	\$ 1,262.45	547
66	1/26/2000	ABC-1948	Bought	Unsolicited	2 Nortel Networks	February	\$ 100	Call	Open	\$ 2,212.50	548
67	1/27/2000	ABC-1948	Bought	Unsolicited	2 CMGI Inc	February	\$ 110	Call	Open	\$ 1,937.50	548
68	2/3/2000	ABC-1948	Sold	Unsolicited	2 CMGI Inc	February	\$ 110	Call	Close	\$ 3,062.39	549
69	2/4/2000	ABC-1948	Sold	Unsolicited	2 Nortel Networks	February	\$ 100	Call	Close	\$ 2,282.50	549
70	2/7/2000	ABC-1948	Bought	Unsolicited	2 Micromuse	February	\$ 185	Call	Open	\$ 2,662.50	550
71	2/8/2000	ABC-1948	Sold	Unsolicited	2 Micromuse	February	\$ 185	Call	Close	\$ 4,962.33	551
72	2/8/2000	ABC-1948	Bought	Unsolicited	2 United Pan Europe	March	\$ 175	Call	Open	\$ 3,786.00	551
73	2/9/2000	ABC-1948	Sold	Unsolicited	1 Broadcom Corp	February	\$ 320	Call	Close	\$ 2,617.40	552
74	2/9/2000	ABC-1948	Bought	Unsolicited	1 Yahoo Inc	February	\$ 370	Call	Open	\$ 1,795.00	552
75	2/11/2000	ABC-1948	Sold	Unsolicited	1 Yahoo Inc	February	\$ 370	Call	Close	\$ 392.48	553
76	2/11/2000	ABC-1948	Bought	Unsolicited	1 Realnetworks Inc	February	\$ 180	Call	Open	\$ 1,632.50	553
77	2/17/2000	ABC-1948	Sold	Unsolicited	2 Realnetworks Inc	February	\$ 90	Call	Close	\$ 187.49	554
78	2/23/2000	ABC-1948	Bought	Unsolicited	1 BEA Systems	March	\$ 145	Call	Open	\$ 1,632.50	554
79	2/23/2000	ABC-1948	Expired		4 Doubleclick	February	\$ 125	Call	Close	\$ -	436
80	2/25/2000	ABC-1948	Sold	Unsolicited	2 United Pan Europe	March	\$ 175	Call	Close	\$ 4,062.35	555
81	2/25/2000	ABC-1948	Bought	Unsolicited	100 Semiconductor Technologies		\$ 71.75	Stock		\$ 7,227.50	555
82	2/29/2000	ABC-1948	Sold	Unsolicited	100 Semiconductor Technologies		\$ 95.00	Stock		\$ 9,447.18	556
83	3/2/2000	ABC-1948	Bought	Unsolicited	2 JDS Uniphase	March	\$ 280	Call	Open	\$ 3,675.50	556
84	3/7/2000	ABC-1948	Bought	Unsolicited	1 Procter & Gamble	March	\$ 75	Put	Open	\$ 1,632.50	557
85	3/10/2000	ABC-1948	Sold	Unsolicited	1 Procter & Gamble	March	\$ 75	Put	Close	\$ 2,000.00	557
86	3/14/2000	ABC-1948	Bought	Unsolicited	1 Nokia Corp	April	\$ 210	Call	Open	\$ 1,782.50	558
87	3/21/2000	ABC-1948	Expired		1 BEA Systems	March	\$ 145	Call	Close	\$ -	438

88	3/21/2000	ABC-1948	Expired		4 JDS Uniphase	March	\$ 140	Call	Close	\$ -	438
89	3/24/2000	ABC-1948	Sell Limit Order		1 Nokia Corp	April	\$ 210	Call	Close	\$ 30	438
90	5/16/2000	ABC-1948	Bought	Unsolicited	1 CMGI Inc	June	\$ 65	Call	Open	\$ 733.50	558
91	6/9/2000	ABC-1948	Bought	Unsolicited	10 Semiconductor Technologies		\$ 40.75	Stock		\$ 441.00	559
92	8/1/2000	ABC-1948	Received*		400 Procter & Gamble			Stock			439
93	8/1/2000	ABC-1948	Received*		10 National Semi Conductor			Stock			439
94	12/21/2000	ABC-1948	Sold	Unsolicited	4 Procter & Gamble	January	\$ 80	Call	Open	\$ 436.48	559
95	1/16/2001	ABC-1948	Bought	Unsolicited	290 Puma Technology		\$ 10.94	Stock		\$ 3,029.13	560
96	1/23/2001	ABC-1948	Sold	Unsolicited	4 Procter & Gamble	February	\$ 70	Call	Open	\$ 936.46	561
97	1/23/2001	ABC-1948	Bought	Unsolicited	2 Procter & Gamble	February	\$ 70	Put	Open	\$ 713.50	560
98	1/25/2001	ABC-1948	Sell Limit Order		290 pumatech			Stock		\$ 3.75	438
99	1/31/2001	ABC-1948	Sold	Unsolicited	2 Procter & Gamble	February	\$ 70	Put	Close	\$ 376.48	561
100	2/16/2001	ABC-1948	Assigned	Unsolicited	400 Procter & Gamble		\$ 70	Stock		\$ 27,945.56	564
101	2/26/2001	ABC-1948	Bought	Unsolicited	400 Juniper Networks		\$ 76.31	Stock		\$ 30,525.00	562
102	3/20/2001	ABC-1948	Margin Interest							\$ 9.83	456
103	4/12/2001	ABC-1948	Sold	Unsolicited	4 Juniper Networks	April	\$ 45	Call	Open	\$ 961.46	562
104	4/20/2001	ABC-1948	Bought	Unsolicited	4 Juniper Networks	April	\$ 45	Call	Close	\$ 8,323.50	563
105	6/13/2001	ABC-1948	Sold	Unsolicited	100 Pumatech		\$ 3.02	Stock		\$ 268.48	563
106	6/28/2001	ABC-1948	Margin Interest							\$ 7.00	468
107	7/22/2001	ABC-1948	Margin Interest							\$ 7.26	468
108	7/23/2001	ABC-1948	Margin Interest							\$ 2.62	468
109	8/20/2001	ABC-1948	Margin Interest							\$ 18.75	475
110	9/17/2001	ABC-1948	Sold	Unsolicited	200 Juniper Networks		\$ 11.47	Stock		\$ 2,271.42	564
111	9/18/2001	ABC-1948	Margin Interest							\$ 11.23	482
112	10/14/2002	OTA-220027	Sold	Unsolicited	150 Procter & Gamble		\$ 70.00	Stock		\$ 13,606.08	566
113	2/1/2005	ABC-1948	Bought	Unsolicited	2 Harrahs	August	\$ 65	Call	Open	\$ 754.00	568
114	5/31/2005	ABC-1948	Sold	Unsolicited	2 Harrahs	August	\$ 65	Call	Close	\$ 1,505.93	569
115	7/7/2005	ABC-1948	Bought	Unsolicited	5 Harrahs	August	\$ 75	Call	Open	\$ 889.00	570
116	8/2/2005	ABC-1948	Bought	Unsolicited	3 Harrahs	August	\$ 80	Call	Open	\$ 469.00	570

\*Monthly statements are incomplete. This is the first month that this issue shows.